BASIC COMMUNICATION MODEL

According to Adler and Towne (1978), all that ever has been accomplished by humans and all that ever will be accomplished involves communication with others. Many social and organizational problems derive from unsatisfactory relationships brought about by inadequate communication between people.

Success on and off the job often stems from one's ability to transfer information and express ideas to others. Effective communication frequently results in friendships that are more meaningful, smoother and more rewarding relationships with people on and off the job, and increased ability to meet personal needs. Psychologist Abraham Maslow (1970) suggests that the capability to satisfy personal needs arises mainly from the ability to communicate.

THE PROCESS OF COMMUNICATION

Adler and Towne describe communication as a process between at least two people that begins when one person wants to communicate with another. Communication originates as mental images within a person who desires to convey those images to another. Mental images can include ideas, thoughts, pictures, and emotions. The person who wants to communicate is called the sender (see figure). To transfer an image to another person, the *sender* first must transpose or translate the images into symbols that *receivers* can understand. Symbols often are words but can be pictures, sounds, or sense information (e.g., touch or smell). Only through symbols can the mental images of a sender have meaning for others. The process of translating images into symbols is called *encoding*.

The Communication Model

Once a message has been encoded, the next level in the communication process is to transmit or communicate the message to a receiver. This can be done in many ways: during face-to-face verbal interaction, over the telephone, through printed materials (letters, newspapers, etc.), or through visual media (television, photographs). Verbal, written, and visual media are three examples of possible communication *channels* used to transmit messages between senders and receivers. Other transmission channels include touch, gestures, clothing, and physical distances between sender and receiver (proxemics).

When a message is received by another person, a *decoding* process occurs. Just as a sender must encode messages in preparation for transmission through communication channels, receivers must sense and interpret the symbols and then decode the information back into images, emotions, and thoughts that make sense to them. When messages are decoded exactly as the sender has intended, the images of the sender and the images of the receiver match, and effective communication occurs.

HOW COMMUNICATION BREAKS DOWN

If everyone were to have the same experiences, all messages would be encoded, transmitted, and decoded alike. Symbols would have the same meanings for everyone, and all communication would be received as the senders intended. However, people differ in their personal histories, ways in which they experience things, and emotional responses, leading to differences in the ways in which communications are encoded, transmitted, received, and understood. Different people attach different meanings to the words, pictures, sounds, and gestures used during communication.

Difficulty with the encoding and decoding of images is not the only factor that affects the effectiveness of communication between people. Adler and Towne use the concept of *noise* to describe physical and psychological forces that can disrupt communication.

Physical noise refers to conspicuous distractions in the environment that make it difficult to hear or pay attention. For example, when the environment is excessively hot or excessively cold, or when one is in a noisy nightclub, one may tend to focus more concern on the situation than on the message. Physical noise can inhibit communication at any point in the process—in the sender, in the message, in the channel, or in the receiver.

Psychological noise alludes to mechanisms within individuals that restrict a sender's or receiver's ability to express and/or understand messages clearly. For example, senders with limited vocabularies may have difficulty translating images into symbols that can be understood easily by receivers. Receivers with inflated self-concepts may *filter* messages that disagree with their self-perceptions and put energy into defending themselves rather than into understanding the messages. Psychological noise most often results in defensiveness that blocks the flow of communication between sender and receiver.

With the many ways in which communications can be encoded, channeled, and decoded, there is little wonder why so many difficulties exist when people attempt to communicate with one another. Yet communication processes become more complex. Discussing communication in terms of sender-receiver implies one-way communication. However, human communication often is a *two-way* process in which each party shares sending and receiving responsibilities. As the quantity of people taking part in a communication increases, the potential for errors in encoding and decoding increases, along with the potential for physical and psychological noise.

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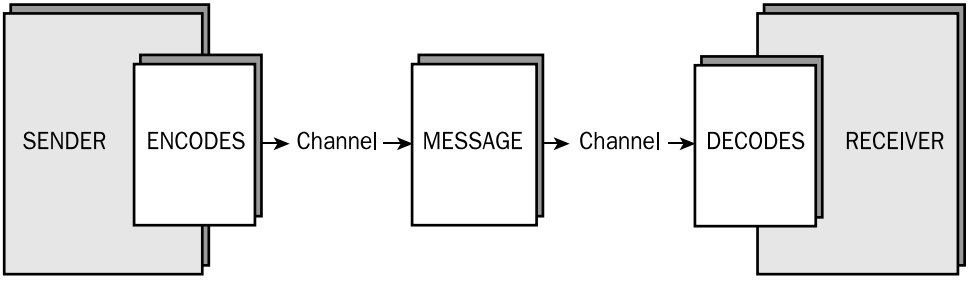


The Communication Model

CONVERGENCE STRATEGIES

Walt Boshear and Karl Albrecht developed the convergence-strategies model to deal with the concept of motion in relationships between people. It leads to deliberate strategies for establishing, maintaining, and improving relationships.

STABLE, CONVERGING, OR DIVERGING RELATIONSHIPS

The model categorizes all relationships as stable, converging, or diverging. In a *stable* relationship, two persons have reached a conscious or unconscious agreement regarding the ways in which they will relate to each other. They avoid any behavior that will change the relationship. On the other hand, relationships that are in a state of change can be either converging or diverging. A *converging* relationship is changing in ways that enhance the benefits of the relationship to the participants. A *diverging* relationship is changing in ways that tend to destroy the relationship or detract from its benefits to the participants.

Personal Versus Impersonal Relationships

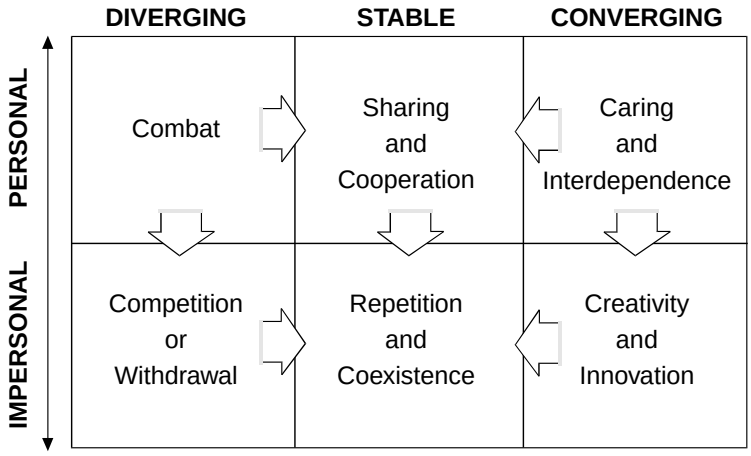
Any of the three types of relationships can be predominantly personal or predominantly impersonal. At the personal extreme, the ego-involvement of the participants—their attitudes, beliefs, and feelings—are an integral part of the relationship. On the other hand, emotional and personal issues are not considered in the impersonal relationship and generally will be disruptive to it if they arise.

A premise of the model is that forces, such as the consequences of growing up and the mores of Western culture, push individuals in the direction of impersonal, stable relationships. From birth through adolescence, individuals are cast in roles of dependency and inadequacy. They are surrounded by people who, by virtue of their age and experience, are better able to cope with their environment and who have been placed in positions of authority by cultural tradition. In Western culture, individuals are taught to control their emotions and follow the traditions of society. They are strongly encouraged to refrain from making any emotional attachments except those that are approved by society, such as courtship, marriage, and a few close friendships.

In addition to the forces of culture that guide the individual in establishing and maintaining relationships with people, there are the forces of time and exposure. The human intellectual and emotional system is highly adaptive and it tends toward stability. Experiences that initially may provoke a strong intellectual or emotional response will, when sustained or repeated, tend to elicit a lesser response.

The figure diagrams the structure of the model and the relationships between its elements. The internal arrows indicate the natural course of relationships under the

influence of time, exposure, and cultural forces. A relationship that originates with or presently has the characteristics described in any of the squares in the diagram tends to progress in the direction shown by the arrows. However, this progress is contingent on the absence of deliberate strategies by the participants or disruptive events outside the relationship.



The Impact of Cultural Forces on Relationships

Stable relationships tend to remain stable, but will, through time, incline toward repetitive behaviors and coexistence of the participants. Probably the most typical example is the course of many courtships and marriages. Initially a man and woman develop a highly personal, caring relationship. As they spend more time together, the relationship converges, and the personal stake that each feels in the relationship increases. At the point of marriage and during the early honeymoon phase, they are at the peak of a high-intensity, interdependent phase. As time goes by and each becomes more familiar with the other, the relationship stabilizes as a warm, personal marriage of sharing and cooperation. If the marriage partners are not innovative in keeping their relationship on a personal basis, it gradually becomes more and more impersonal until, in many cases, they can be said only to be sharing the same residence. They reach a highly repetitive, impersonal, coexistent phase that may go on indefinitely unless it is disrupted and goes into competition, withdrawal or combat. Then the relationship tends to restabilize at the same or lower level of personal commitment or deteriorate through competition or withdrawal.

If the individuals in a relationship want to increase their personal involvement, they must learn and apply deliberate strategies to cause converging to happen and to maintain the new relationship. Suggested by the model, the following are some applicable strategies.

Awareness of process. Individuals who are involved in a relationship should be aware of the process of that relationship. This requires them to learn about relationships in general and acquire a conceptual framework and vocabulary for monitoring the progress of their own relationship.

Allocation of time. Whether or not the relationship involves a task (e.g., problem, sport, hobby), at least some time should be devoted to maintaining the relationship and meeting the individual needs of the participants. Although those needs may not directly be a part of the relationship, they must be dealt with in order for the individuals to continue in the relationship.

Communication skills. On one hand, verbal language provides more opportunities for misunderstanding than for understanding, and on the other hand, many things that are vitally important to a relationship cannot be verbalized at all. Consequently, people should develop their skills in both verbal and nonverbal communication about a wide range of subjects that may be relevant to the relationship, such as emotions, feelings, thoughts, ideas, beliefs, suspicions, fears, and apprehensions.

Options for behaving and feeling. Any extended relationship between people places numerous demands on their behavior and feelings. In order to respond to these situations in ways that are appropriate and beneficial to the relationship, the participants need to develop a range of options for behavior and feelings. For example, person A establishes a normal pattern of being understanding whenever person B takes advantage of their friendship. Repetition of that behavior can establish such strong reinforcement that A may feel that he or she has lost the option to become angry about it. The reverse may also be true: an established pattern of anger may lead to the loss of the option to be understanding.

Willingness to risk. Disturbing a "safe" and "satisfactory" relationship can lead to improving the benefits of the relationship for the participants, but it requires their willingness to take emotional risks. They must be willing and able to trust each other and to expose themselves to anger, fear, joy, and even rejection as a "down payment" on deeper understanding and more rewarding relationships.

USE OF THE MODEL

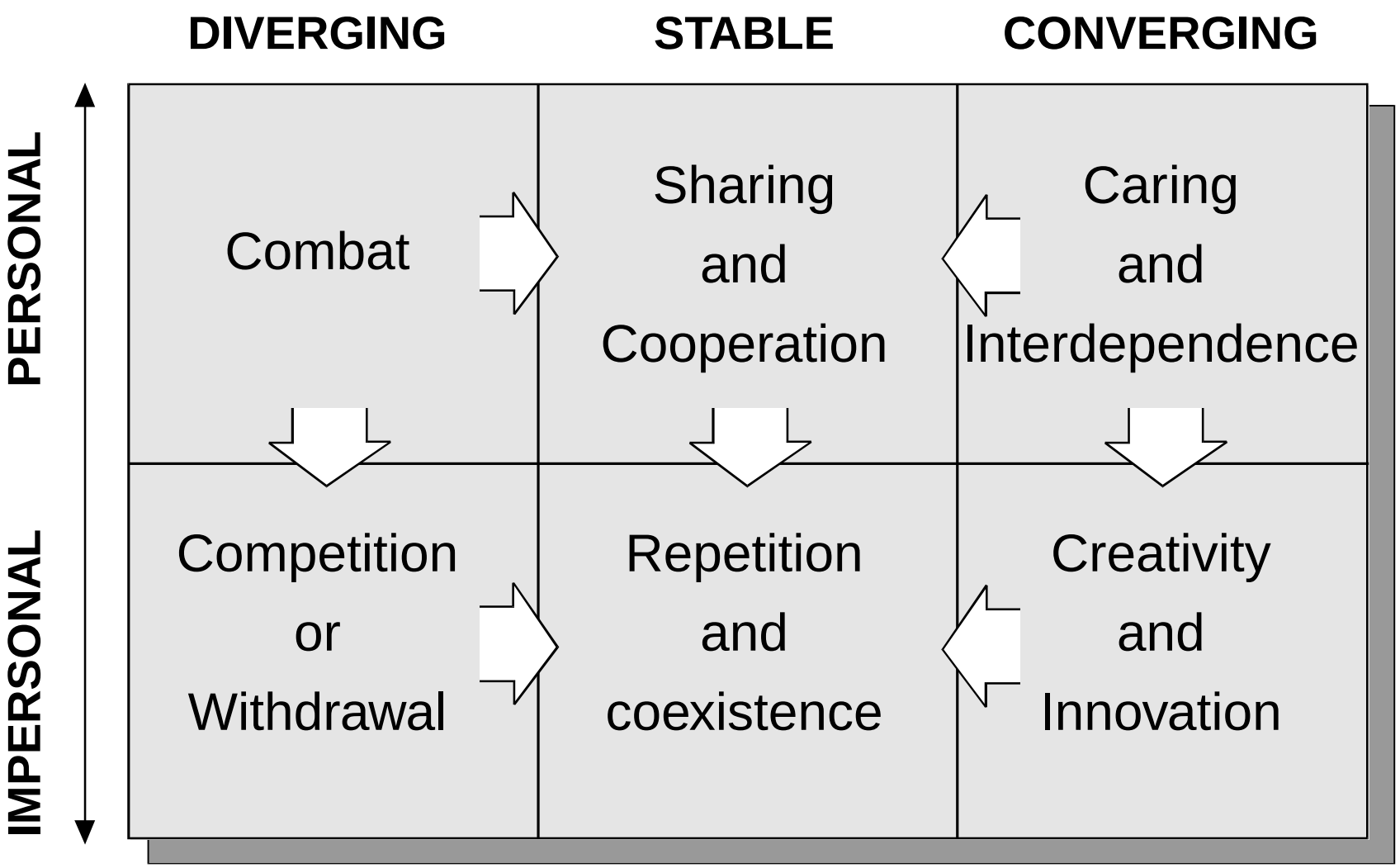
The concept of convergence strategies can lead to structured or unstructured experiences that can be used in counseling and training sessions to enable individuals to learn and practice the skills and strategies for counteracting the forces of time, exposure, and culture. Many examples can be found to demonstrate the inferences and operation of the model. Presented early in a learning session, the model can serve as a frequent reference point to evoke an understanding of the ongoing processes and the reason for learning such skills. Because the model focuses directly on the cultural forces that will act on individuals as they leave the isolation of the learning environment, it can be used to prepare individuals for the re-entry process. It provides a conceptual framework for examining the probable consequences of these cultural forces and the options that are available to counteract them.

The model is slightly more complex than many, requiring longer to develop and explore. Frequently, clarifying the concepts and exploring relevant examples lengthen

the presentation and discussion. This extended focus on the model can distract group members from a “here-and-now” orientation.

Source

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



The Impact of Cultural Forces on Relationships

EFFECTIVE NEGOTIATION

Life includes abundant opportunities and reasons to negotiate. Whether the subject is salary, who walks the dog, or the size of nuclear arsenals, negotiation usually is the process by which we make decisions and allocate resources. Despite its importance in every aspect of existence, most of us know very little about the art of negotiation. For most people, successful negotiation is splitting the difference. For example, Jane might say that she wants $185 for her old skis, Stan might say that he will pay $150, and they agree on a price of $167.50.

Roger Fisher, William Ury, and their colleagues at the Harvard Negotiation Project have studied negotiation systematically. In their book, *Getting to Yes: Negotiating Agreement Without Giving In,* Fisher and Ury (1981) criticize "splitting the difference" as an unimaginative and often unsatisfactory compromise in a nonprincipled negotiation. They also describe how to negotiate effectively.

PRINCIPLED VERSUS POSITIONAL BARGAINING

According to Fisher and Ury, the most common mistake that negotiators make is to bargain over *positions* rather than *principles*. When Jane says that she will not sell her used skis for less than $185, and Stan says that he will not pay more than $150, the two parties are locked into positions from which neither can retreat gracefully. What is more, both the buyer's and the seller's positions seem to be somewhat arbitrary; the negotiation lacks any principled basis for determining a fair market value for the skis.

One possible outcome is that positional bargaining will cause negotiations to break down, perhaps because offering an intermediate price is an admission that previous statements were untruthful. On the other hand, the parties may split the difference, enabling them to reach agreement. However, that form of compromise often produces what Fisher and Ury call "an unwise agreement"—one that fails to serve the underlying interests of either party. Jane will not get the full $185 she wanted in order to pay off the balance on her credit-card bill, and Stan will spend more than he budgeted for the used skis.

Hard and Soft Negotiation

Fisher and Ury believe that *positional* bargaining only permits the negotiator to adopt one of two stances. The negotiator can play the game *softly,* or the negotiator can play the game *hard*. For instance, if the seller lowers her price to $150, then she may have caved in to the buyer's hard pressure. Likewise, the buyer might dislike haggling over money because it makes him nervous, and he might meet the seller's demand by adopting a soft stance in the negotiation.

The soft negotiator places a higher value on the feelings and relationships of the bargainers than on the substance of the transaction. Hence, soft negotiators will give in on crucial points to promote good feelings, will retreat from their positions, will accept outcomes unfair to themselves in order to facilitate a deal, and will avoid conflict at all costs. If the soft negotiator's bargaining partner has adopted a hard posture, the soft negotiator is likely to be exploited. On the other hand, if a soft negotiator's adversary also has adopted a soft stance, the two may compete to accommodate each other in a negotiation whose sloppy outcome might be damaging to both parties. The example that Fisher and Ury give of the damage that can occur when two softies get together is O. Henry's story, *The Gift of The Magi*, in which the husband sold his watch to buy combs for his beloved wife's hair, while she sold her hair to buy an elegant watch chain for him.

Hard negotiation places greater value on the issues or things in the transaction than on the relationships of the bargainers. Hard negotiators will require their negotiation partners to give ground as a price for maintaining the relationship, will hold tenaciously to their positions, will exact unfair outcomes in return for arriving at agreements, and will attempt to win battles of wills.

Principled Negotiation

Principled negotiation transcends the contest over positions that typifies both hard and soft approaches to negotiation. Instead of deciding whether to play a "hard" or "soft" game, principled negotiators negotiate on the basis of merit. Fisher & Ury (1981, p. 13) observe that:

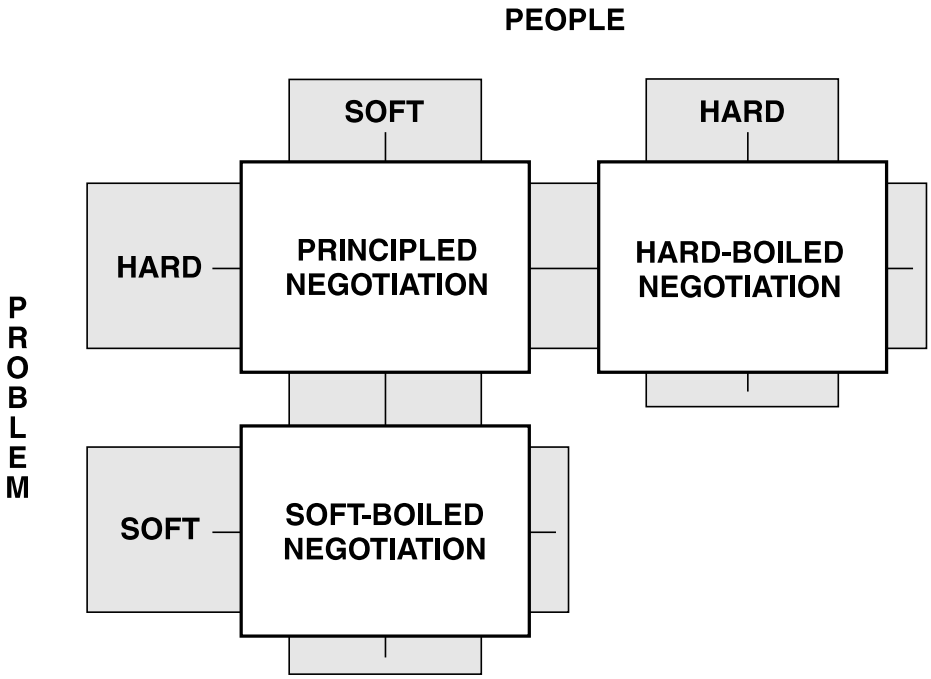
- ***Soft*** negotiators are soft on the people and the problem.
- ***Hard*** negotiators are hard on the problem and the people.
- ***Principled*** negotiators are soft on the people, hard on the problem.

THE FOUR STRATEGIES OF PRINCIPLED NEGOTIATION

The members of the Harvard Negotiation Project conclude that principled negotiation is more likely to produce wise agreements than is positional negotiation. The middle panel in the large table lists the four main strategies of a principled negotiator, and the side panels summarize the corresponding strategies of soft and hard negotiators.

Strategy One: Issues, Not Personalities

In any negotiation, the parties have an interest both in the substance of the matter and in the relationships between themselves. Positional bargaining swaps the interest in the relationship for the interest in the substance; principled negotiation attempts to preserve both interests by *separating the personality questions from the substantive interests.* This can be done as follows:

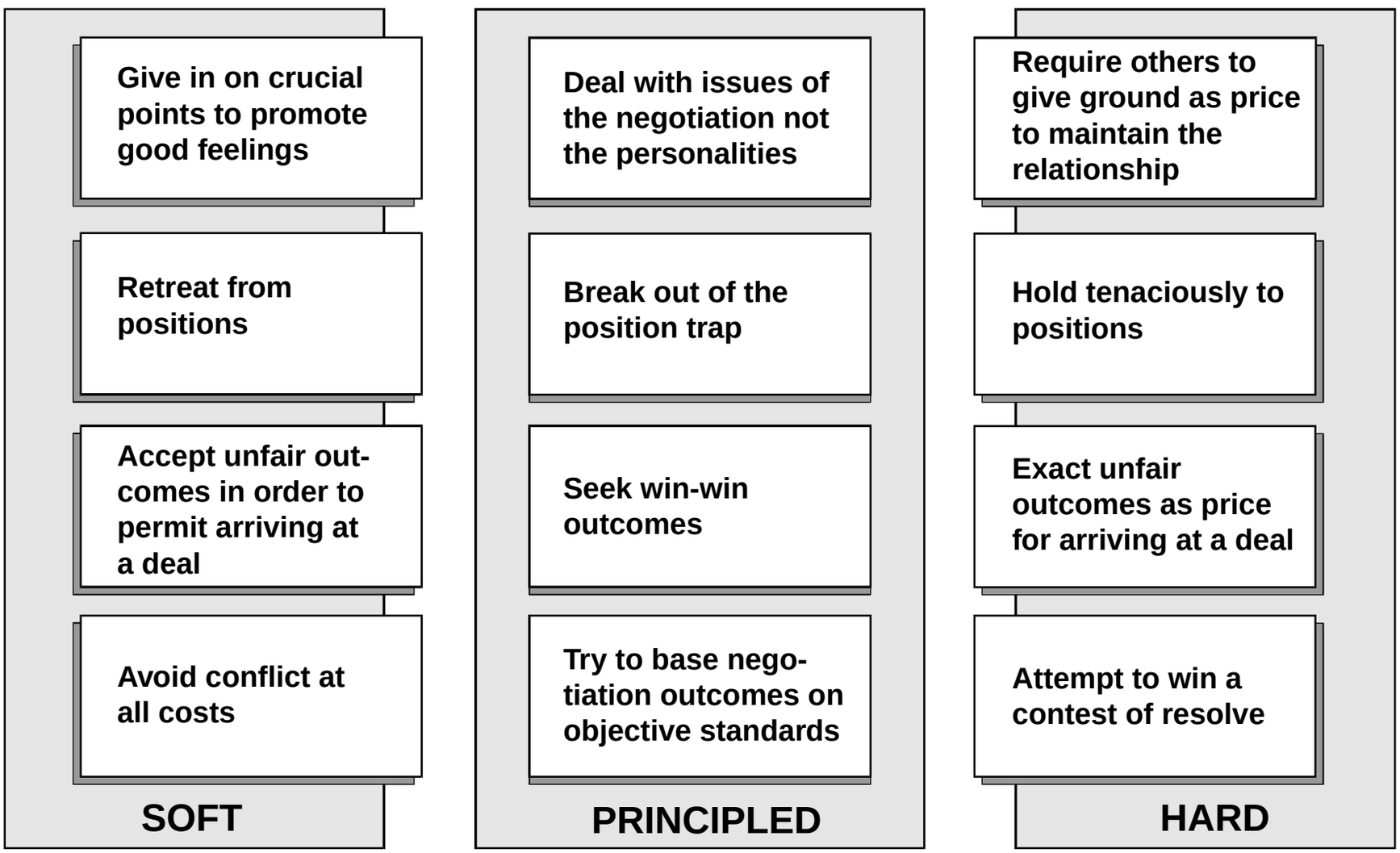


Three Approaches to Negotiation

1. Recognize the legitimacy of differences in perception. Understanding the other side's point of view is not a hazard to be avoided in the process of negotiation; it is the main benefit of accurate and clear communication and it makes creative agreements possible.
2. Structure proposals so that the other side can go along with them without "losing face."
3. Accept and deal with the emotions of both sides in the negotiation. Permit the people on the other side to express their emotions, and adopt the rule "only one person can get angry at a time." That way it is legitimate for both sides to relieve pressure, but the negotiation will not end in uproar and mutual recrimination.
4. During negotiations, use techniques of effective communication, such as active listening, speaking to be comprehended, and using I-messages rather than accusatory you-messages.
5. Work to prevent the deterioration of the relationship. Structure the negotiation so that the parties jointly confront the problem instead of each other. Rather than squaring off on opposite sides of the bargaining table, it helps to sit at the same side of the table, jointly facing the relevant documents.

Strategy Two: Breaking Out of the Position Trap

In the negotiation over the second-hand skis, although Stan had previously stated that he would not pay more than $150 for Jane's skis, his real interest was to stick to his budget. Jane's position was that she would take no less than $185 for the skis, although her real



Effective Negotiation

interest was to raise sufficient cash to pay off her credit-card bill. Both are in the position trap.

Fisher and Ury suggest breaking out of the position trap by identifying interests. There are at least four ways in which to identify interests in a negotiation:

1. The most obvious way to identify interests is for negotiating partners to persistently ask each other *why* they have adopted particular positions or resisted their negotiating partner's positions. The answer almost always will be that an interest is served by the position or thwarted by the other side's position.
2. Talk directly about interests.
3. As interests are exposed, write them down. Keep a list.
4. Treat the other side's interests as legitimate, at least for them.

Fisher and Ury also remind us that although it is not a good idea to commit oneself to one's position, it is necessary to commit to one's *interests*.

> This is the place in a negotiation to spend your aggressive energies . . . . Often the wisest solutions, those that produce the maximum gain for you at the minimum cost to the other side, are produced only by strongly advocating your interests. Two negotiators, each pushing hard for their interests, will often stimulate each other's creativity in thinking up mutually advantageous solutions. (pp. 56-57)

Strategy Three: Creatively Seeking WIN-WIN Outcomes

One of the reasons why many people dread negotiations is that most of their experience involves positional bargaining, which often produces losers and winners. Positional bargaining is a win-lose game, and nobody wants to be the one who loses. Frustrating deadlocks or mechanical splits of the difference also occur. In almost every case, the positional bargaining process feels stressfully competitive, sometimes frustrating even for those who did not actually experience defeat. It takes some creativity to generate the win-win outcomes called for by principled negotiation. However, if the underlying interests of both parties have been identified, it becomes possible to invent agreements that will satisfy the interests of both parties.

For instance, recognition of Jane's underlying interest in paying off her credit-card bill and Stan's interest in budget discipline suggests a creative alternative in which both parties are winners. Jane apparently values paying off the bill more than possessing ski equipment. Stan, who values adherence to his budget, will not be able to ski unless he also has obtained ski poles, gloves, boots, and other equipment. If Stan is willing to purchase some more equipment from Jane, she may obtain the money she needs to pay off her credit-card bill, and Stan might be able to stick to his budget for the skis while he buys other equipment at or near the price he has budgeted for it.

Strategy Four: Objective Standards

Principled negotiation seeks standards outside the will of the negotiators for determination of a fair and wise agreement. If Stan decides to buy Jane's ski poles as well as her skis, the interests of the two parties—his budget and her financial requirements—might determine the prices. Alternatively, and more fairly, the prices could be determined by an objective standard, such as a catalog of second-hand prices prepared by a skiing publication, an average of prices in local classified advertisements, or the prices charged by a nearby second-hand store. It may be that the skis are worth as much or more than Jane first demanded, in which case she should consider finding another buyer or Stan should consider revising his budget. If the objective price comes out lower than Jane's original position, she may need to consider meeting her interests by selling more equipment. Alternatively, she may need to revise her goal of paying off the credit-card bill this month or in this way.

A TACTIC FOR THE UNDERDOG

Much of the preceding discussion may seem to imply that principled negotiation takes place between equally powerful negotiating partners. However, that is not always the case. Fisher and Ury say that a skillful negotiator always should be aware of his or her "BATNA—Best Alternative to a Negotiated Agreement." A negotiator who knows what his or her alternatives are is less desperate to reach agreement and less likely to be pressured into accepting "an offer that can't be refused," even though he or she is the underdog.

Assuming that Jane is the underdog, because she needs the money more desperately than Stan needs the skis, she will be under substantial pressure to accede to his price demands. However, if she knows that borrowing the money she needs from a friend is her BATNA, at some point she could break off the negotiation with Stan, rather than agree to an unfair price.

GETTING THE OTHER SIDE TO PLAY BY THE SAME RULES

Positional bargaining is seductive. If "A" enters a negotiation with the best intents to conduct principled bargaining, the other party, "B," might criticize A's principled proposal and dig in behind a position. This might lead A to defend the proposal and make it a position from which he or she cannot easily retreat.

In order to avoid the seduction of potentially fruitless, positional bargaining, Fisher and Ury recommend the following:

1. Probe beneath the other side's position to identify the underlying principles.
2. Allow the people on the other side to ventilate their emotions. Recast their personal attacks as attacks on the predicament in which both parties find themselves.

3. Put proposals in the form of questions to which the other side can respond with information rather than in the form of assertions. (The other side is likely to respond to assertions with rejections and intractable position statements.)
4. Respond to the other side's positional assertions with silence. (The silent treatment will provoke more statements and possibly some reasonable proposals.)

To get both sides to play by the rules, Fisher and Ury also suggest the use of a third-party intervention method called the "one-text procedure." In the one-text procedure, the intervenor listens to both sides and presents a written proposal based on the statements of the two sides. Each side submits its criticism of the proposal, and the intervenor then revises the text of the proposal and resubmits it to the two sides. This process is repeated until the negotiation fails or—more optimistically—the intervenor has produced a text to which each side can give its assent. According to Fisher and Ury, in 1978, the United States performed the intervenor role in a one-text negotiation that resulted in the Camp David Accords between Israel and Egypt.

OVERCOMING SKULDUGGERY

Not everybody plays fair or negotiates in good faith. Fisher and Ury recommend ways to counteract several typical, bad-faith negotiating tactics.

Deceit

Some negotiators might attempt to defraud their adversaries or might conceal or misrepresent their lack of authority to conclude an agreement. Without calling the other side liars, express doubts or seek verifications. If they really mean to live up to their agreement, they ought not to object to putting it in writing and providing material safeguards against the contingency that they default on the deal. If one must negotiate with particular people, it is not unfair to insist on knowing what their bargaining authority is. Deception regarding authority could unfairly give the other side "a second bite at the apple." It could reach an agreement, claim the lack of authority to consummate it, and then seek further concessions.

Head Games

Some people will attempt to use psychological ploys to confuse, intimidate, or deceive their adversaries. Recognizing the ploys is half the solution; sometimes explicitly confronting them is the other half. For instance, if it seems that one deliberately has been seated so that the sun will be in one's eyes, it is legitimate to say, "I might be wrong, but it seems as though you placed me so the sun will be in my eyes; do you mind if we exchange seats or move where that won't be a problem for either of us?" Alternatively, one may opt to ignore the games, rather than to negotiate a change in the obnoxious condition.

Tying Their Own Hands

Certain negotiators might manipulate the situation so that they are unable to reciprocate the concessions that their opponents will need to make to arrive at agreement. Making outrageously unfair offers, raising the ante after making other concessions, declining to bargain at all, and publicly committing themselves to irrevocable positions are ways in which some negotiators might tie their own hands. (For instance, the officers of a union might announce to the rank and file that they will accept no offer below seventeen dollars per hour, implying that they cannot possibly yield on this point and retain their jobs as union leaders. Thus, management appears to be the only party with room to make reasonable concessions.) Directly confronting these manipulations, refusing to cave in to pressure tactics, and insisting on principles are ways to cope with adversaries who have tied their own hands.

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EGO/BEHAVIOR DISTINCTION

Developed by Dr. Frank Jasinski and Walton C. Boshear, the ego/behavior distinction concept distinguishes between a person's observed behavior and the inferences that frequently are made by observers about the person's character or nature based on the behavior.

The ego, in this context, is composed of a person's needs, attitudes, beliefs, opinions, feelings, and motives. The components of the ego constitute the inner self. An observer never fully can understand another person's *inner self* because it is internal—known only to that person. Many ego functions cannot be shared with others because they are not easily expressed in words.

Behavior, which can be observed, constitutes the *outer self.* Behavior is made up of actions, gestures, physical habits, and mannerisms of speech and movement. The outer self generally is considered to be the physical manifestation of the inner self.

Misunderstandings and other problems in communication usually are caused by people's tendency to base their judgments of others on observed behavior alone and to assume that observed behavior accurately represents the inner self. For example, many quiet people are perceived by others as conceited or aloof. The observed behavior (the fact that a person is quiet) is inferred by others to be indicative of conceit or aloofness (a condition of the inner self that may or may not be linked to a quiet nature). What people often fail to consider is that people behave in different ways for different reasons. In the above example, quietness may result from feelings of uncertainty in a particular situation, from a lack of self-esteem, or simply from fatigue. Some behaviors actually reflect the *opposite* of a person's inner self, the object being to mask one's true feelings. These strategies—bearing, posture, and gestures—might be interpreted incorrectly by others. For example, many people fail to realize that aggressive, "obnoxious" behavior may be a mask for insecurity.

It commonly is assumed that a particular kind of behavior has a cause that is the same for all people under all circumstances. A more flexible approach would be to consider each behavior as an element of a consistent pattern with which a person expresses his or her ego or internal make-up. This approach requires a delay in drawing conclusions until more is known. If making an inference about a person's ego is necessary as a basis for one's own actions, the inference should be recognized as tentative. In this way, it can be tested within the context of one's continued interactions with the other person.

Frequently in interpersonal relations, a person may consciously or unconsciously interpret someone else's behavior in terms of ego-behavior characteristics. For example, in the statement "Michael is avoiding me; he must not like me," the word "avoiding" represents an inference in itself. A more accurate observation might be "Michael hasn't

spoken to me since we were first introduced to each other." This semantic strategy eliminates judgments and inferences about others' actions. The judgment that Michael is "avoiding" in the first statement is based on an underlying hypothesis: "I wonder if he dislikes me?" And the hypothesis, in turn, may suggest an experiment such as, "I think I'll walk over to his office and strike up a conversation with him." This method, which could be thought of as the "don't-jump-to-conclusions approach," can enable people to discover others' actual ego/behavior relationships unclouded by their own behavioral patterns and assumptions.

USING THE DISTINCTION AS A STRATEGY

The ego/behavior distinction offers a functional strategy for minimizing interpersonal misunderstandings and conflicts. It suggests that people can enhance their relationships by communicating information about their own ego functions and by giving others nonjudgmental feedback about their behavior. The figure on the next page illustrates this strategy.

People are said to be engaging in *disclosure* when they talk about aspects of their inner selves that are not caused or affected by the behaviors of others. For example, "I sometimes worry about whether I'm a worthwhile person." Other feelings are reactions to what other people do and say. If we disclose these reactions to the person who sparked them, we are said to be giving *feedback*. For example: "When you walk by without saying 'Hello,' I feel hurt."

Feedback and disclosure are effective in developing and maintaining satisfactory interpersonal relationships. When an individual draws conclusions about another person's ego (e.g., "You don't love me"), he or she is attributing ego characteristics that may be incorrect. Such accusations are seen as personal affronts to the ego, which must be defended. This is dysfunctional in a relationship. Fortunately, there are alternatives to accusation and evaluation: *information seeking* and *information giving*.

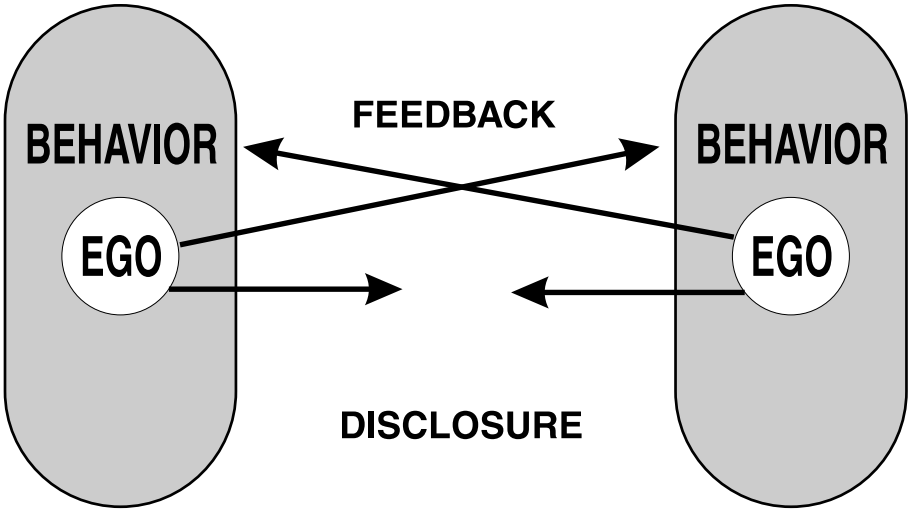
USES OF THE EGO/BEHAVIOR DISTINCTION

The ego/behavior distinction can be useful in revealing some causes of conflict and combativeness in interpersonal relations. It is not absolutely necessary that both persons in a dyadic relationship understand the concepts. If one person begins to implement this strategy for improving relations, he or she can see the results even if the other person is unaware of what is happening. Furthermore, although the strategy can be one-sided, it is essentially nonmanipulative.

In individual counseling, as well as in dyadic or group situations, the distinction provides a conceptual framework for getting to the source of the problem and an easy-to-understand vocabulary for discussing actions for improvement.

Source

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



Ego/Behavior Distinction in Relationships

GUIDELINES FOR GIVING FEEDBACK

Giving feedback is a verbal or nonverbal process through which a person communicates his or her perceptions and feelings about another person's behavior. Most people give and receive feedback daily without being aware that they are doing so. The process of giving and asking for feedback is one of the most important ways of learning new behaviors and of assessing our impact on others. It is through feedback that we learn to "keep on course" and to see ourselves as others see us.

The giving and receiving of meaningful feedback is an interpersonal exchange that implies the presence of certain key ingredients:

- ***Caring,***
- ***Trusting,***
- ***Acceptance,***
- ***Openness,*** and
- ***Concern for the needs of others.***

Thus, the extent to which the feedback is evaluative, judgmental, and helpful may depend on the personal philosophies of the parties involved. However, giving feedback is a learned skill that can be developed through the use of the following nine guidelines. Desired change is more likely to occur if these guidelines are followed.

1. ***Consider the needs of others.*** The primary reason for giving feedback should be to help oneself and others to grow. When growth is not the motivation, feedback can be destructive. For example, an angry person giving feedback may be motivated not by a desire for personal growth and relationship enhancement but by the desire to hurt the person who made him or her angry. Feedback motivated by self-serving interests is not feedback but self-gratification.
2. ***Describe behavior only; do not attempt to interpret.*** Overt behavior is highly objective and observable. When one attributes a motive to another person's behavior, one is interpreting a person's *intentions*. Because intentions are private and are known to only the person who possesses them, the attribution of motives and intention to behaviors and actions is highly subjective. In any event, interpreting or ascribing motives to a person's behavior tends to put that person on the defensive and cause him or her to expend energy on explaining or defending the behavior. Interpretation and speculation by others deprives the person of the opportunity to interpret and understand his or her own behavior, at the same time creating dependency on the interpreter. As a result, the feedback is not likely to be used, regardless of how helpful it might have been.

3. ***Focus on behavior that can be changed.*** Effective feedback is aimed at behavior that is relatively easy to change. Many people behave according to habit; their personal styles have developed through years of responding in certain ways. To receive feedback on personal habits can be frustrating because these behaviors can be very difficult to change. Feedback on behaviors that are difficult to change often creates anxiety and self-consciousness about the behaviors.
4. ***Be specific.*** When the feedback is specific, the person receiving the feedback will know which behavior is being discussed. For example, "You are a warm person," which is a very general statement, does not tell the person which behaviors contributed to the perception that he or she is warm.
5. ***Wait for feedback to be solicited.*** When soliciting feedback, a person asks others for their perceptions and observations about his or her behavior. In reality, most feedback is imposed. People often give feedback whether it is solicited or not and whether or not the person is prepared to receive the feedback. Also, a person's desire to *give* feedback may be greater than the other person's desire to *receive* it. This is particularly true when the person giving the feedback is angry or upset about something concerning the potential recipient.

   In some situations, it is appropriate to impose feedback, particularly when a norm exists for giving as well as soliciting feedback or in order to induce a norm of spontaneity. Nevertheless, feedback tends to be more helpful when it is requested. A request for feedback usually indicates that the person is prepared to listen and wants to know how others perceive his or her behavior.
6. ***Be nonjudgmental.*** Feedback is not objective and is rarely as constructive if it is based on personal interpretation. This type of evaluation often is perceived as a personal attack. When giving feedback, one must respond not to a person's perceived personality or likeability but to his or her *actions*. When people are told that they are stupid or insensitive, for example, it is extremely difficult to respond calmly and objectively. A person sometimes may act unthinkingly or behave in an insensitive way, but this is not proof of stupidity or insensitivity. Evaluation casts people in the roles of judge and defendant, often with disastrous effects.
7. ***Give feedback immediately after the behavior.*** When feedback is given immediately after the action, the event is fresh in both people's minds. In this way, feedback acts as a mirror of the person's behavior. There often is a tendency, however, to delay feedback. A person may fear losing emotional control, hurting another's feelings, or being criticized.

   An exception to this guideline is the case of the regularly scheduled feedback session, the purpose of which is to keep communication channels open. In these scheduled sessions, participants may discuss events that have taken place since their last session or may work on issues generated during the meeting itself. For

scheduled feedback sessions to be effective, the decision to hold them should be reached via participant consensus.

8. ***Allow the freedom to change or not to change.*** A person should have the freedom to use feedback in any meaningful way without being required to change. A giver of feedback who tells a person to change is attempting to set the standards for right and wrong or good and bad behavior and is judging the other person against these standards. Pressure to change can be very direct or very subtle, thus creating a competitive, no-win relationship. Furthermore, imposing standards on others by expecting them to change arouses resistance and even resentment.
9. ***Express feelings directly.*** People frequently assume that they are expressing their *feelings* when actually they are stating *opinions* and *perceptions*. Statements that begin with "I feel that . . . " often finish with beliefs or opinions. For example, the statement, "I feel that you are driving too fast," is an indirect expression of feelings. The underlying statement of feelings in the above example may be, "I am anxious because you are driving so fast," or, "I am frightened because you are driving fast." Indirect expressions of feelings offer an escape from commitment and often prevent meaningful feedback.

IMPLEMENTING THE GUIDELINES FOR FEEDBACK

The process of giving feedback sometimes can be inhibited if one attempts to consider all of the above guidelines simultaneously. Some guidelines take priority over others. It is most important to remember that *feedback should be descriptive, nonjudgmental, specific, and should offer freedom of choice.* The above guidelines also can be used diagnostically. For example, if a person receiving feedback reacts defensively, some of the guidelines probably have been violated by the giver.

In summary, the ways in which people give feedback may be strongly influenced by their values and personal philosophies about themselves, about their relationships with others, and about other people in general. Guidelines for giving feedback can be learned and are valuable in helping people to give and receive effective and useful feedback.

SOURCE

Hanson, P.G. (1975). Giving feedback: An interpersonal skill. In J.E. Jones & J.W. Pfeiffer (Eds.), *The 1975 annual handbook for group facilitators.* San Diego, CA: Pfeiffer & Company.

1. Consider the needs of others.
2. Describe behavior only; do not attempt to interpret.
3. Focus on behavior that can be changed.
4. Be specific.
5. Wait for feedback to be solicited.
6. Be nonjudgmental.
7. Give feedback immediately after the behavior.
8. Allow the freedom to change or not to change.
9. Express feelings directly.

Guidelines for Giving Feedback

INFLUENCE STRATEGIES IN ORGANIZATIONS

People in organizations engage in interaction and influence. We often limit our thinking about organizational influence to "leadership"—the influence of a manager over a subordinate—or perhaps to that and "politics," which could include all other forms of influence. However, throughout organizations, at all levels, across levels, up and down, people are trying to influence one another.

SEVEN BASIC STRATEGIES

The Kipnis-Schmidt Profiles of Organizational Influence Strategies (POIS) were developed through research to find out what means of influence people use in organizations and which ones work best in certain situations. These studies, which are reported in Kipnis, Schmidt, and Wilkinson (1980), identify seven basic influence strategies:

- ***Reason:*** influencing people by relying on data and information to support one's requests. The influencer plans, prepares, and uses expertise rather than "shooting from the hip." Facts and logical arguments are used to convince the "target" person. Reason is the most popular strategy used in organizations. The base of power here is the influencer's own knowledge and ability to communicate this information. Reason is used even more to influence bosses than to influence co-workers or subordinates. Whenever possible, however, reason is the first choice of influence strategy.
- ***Friendliness:*** influencing someone by causing that person to think well of the influencer. A number of tactics can be used to accomplish this, such as "acting friendly" and "sensing" the other person's mood before making a request. This strategy seeks to create a favorable impression of the influencer so that the target person will be more inclined to do what the influencer wants. A person's use of this influence strategy is based on the person's own personality, interpersonal skills, and sensitivity to the moods and attitudes of others. Friendliness is used more with subordinates and co-workers than it is with supervisors, but, overall, is used almost as widely as reason.
- ***Coalition:*** mobilizing other people in the organization to assist the influencer. The influencer operates on the premise that there is "power in numbers." The influencer's power in using this strategy is based on his or her alliances with co-workers and others in the organization. Coalition is a complex strategy that requires substantial skill and effort. It is, however, a widely used one, although it is used less with subordinates than with co-workers or supervisors.

- ***Bargaining:*** influencing others through negotiation and the exchange of benefits or favors. The tactics used are based on the social norms of obligation and reciprocity. The influencer reminds the target person of past favors that he or she has done and/or offers to make additional concessions in order to get what he or she wants. In short, the influencer relies on a trade. What the influencer has to trade is derived from two sources: the influencer's own time, effort, and skill or the organizational resources that the influencer controls. Bargaining is common, but is used less with supervisors than with co-workers or subordinates.
- ***Assertiveness:*** influencing people by one's forceful manner. It involves the use of demands, the setting of deadlines, and the expression of strong emotions. Assertiveness gives the impression that the influencer is "in charge" and expects compliance with his or her wishes. At times, visible emotion and displays of temper accompany this strategy. Assertiveness is most often used with subordinates; it is used less with co-workers or supervisors.
- ***Appeal to Higher Authority:*** relying on the chain of command to create influence. The influencer uses people higher up in the organization who have power over the target person. Other people and outside power are used to influence the target person indirectly. There are two ways in which this strategy is used: by formally appealing to the chain of command or by informally asking higher management to deal with the influencer's request or to speak to the target person on the influencer's behalf. This strategy is not widely used and is used less with supervisors than with co-workers or subordinates. Perhaps the risk of "going over the boss's head" causes people to avoid using this strategy with their managers.
- ***Sanctions:*** using rewards or punishments to influence others. The use of sanction may involve either a desirable gain or an undesirable consequence. The use of sanctions is a classic approach to influencing people and may seem to be the most obvious influence strategy. However, its use clearly depends on the influencer's access to rewards or punishments and on his or her ability to actually deliver them. Even so, this is one of the least used strategies, and it is used only with subordinates.

By understanding his or her own pattern of use of the seven strategies, a person can identify and correct problems in attempts to influence others. Examples of such problems would be using a particular tactic with inappropriate targets or overusing one or two strategies rather than selecting appropriately from the available range.

THE POIS PROFILES

Each of the POIS instruments generates two profiles for the seven strategies. The first one shows the respondents' typical use of each of the seven strategies. The second profile shows what they do when their first attempt to influence someone is resisted. For

both, the highest scores indicate those strategies that they are most likely to use. The profiles also tell respondents how they use the strategies compared to others who previously completed the POIS.

The instructions for the POIS permit respondents to chart or graph their scores in terms of high, average, and low ranges. Most people want to know what their profiles mean: are they "good" or "bad"? However, the POIS is not designed to yield value judgments about respondents' personalities. Instead, the POIS profiles allow respondents to compare their scores to norms for four major types of influencer behaviors:

- ***Bystander.*** Individuals with Bystander profiles have low scores on most influence strategies. Such individuals apparently do not exercise influence in their organizations.
- ***Captive.*** Individuals with Captive profiles have high scores on only one or two influence strategies. They tend to be limited in their choice of influence. That is, regardless of what they want, they use the same one or two influence strategies.
- ***Tactician.*** Individuals with Tactician profiles have average to high scores on three or four influence strategies. They are versatile in their approaches to the use of influence.
- ***Shotgun.*** Individuals with Shotgun profiles have high scores on most influence strategies. These individuals use a wide range of strategies in order to persuade others. However, they may not be as successful as they wish, because they are striking out blindly, regardless of the appropriateness of their strategies.

Obviously, the Tactician profile seems to have the best chances for success, because there is a need to vary one's influence strategies, to choose a strategy on the basis of which one is most likely to yield positive results. The basis for analyzing situations and making appropriate choices can be found in strategic influence theory.

STRATEGIC INFLUENCE THEORY

The goal of Kipnis and Schmidt's theory is to help people to understand how they use influence in their organizations. In particular, this theory provides information about the reasons for one's past choices of influence strategies and presents guidelines to help people to broaden the range of strategies that they use to influence other people in their organizations.

Strategic influence theory is based on an analysis of the personal and situational "TRAPs" that often lock people into using ineffective influence strategies. Once these traps are recognized, people can learn to expand their repertoires of influence strategies. Obviously, being able to use a wide range of influence strategies can enhance a person's ability to get things done.

The theory describes four traps that research has found to be related to the use of the seven influence strategies. The four traps are:

1. ***T***arget of influence (target person),
2. ***R***esources available to or possessed by the influencer,
3. ***A***dverse reactions of the target person, and
4. ***P***urpose of the use of influence.

Target

People frequently vary their influence strategies depending on whether they seek to influence their bosses, co-workers, or subordinates. Many people apparently believe that they always should use a particular strategy with a particular target of influence. For example, a common stereotype is that people should use friendliness with their supervisors and assertiveness with their subordinates. The trap is that this stereotype limits the influencer in terms of flexibility in "tailoring" the influence strategy to fit different people in different circumstances. All influence strategies have the *potential* to be used effectively in the appropriate circumstances. When some strategies are never used, the influencer not only is situationally inflexible but also may be limited to using only two or three of the seven strategies.

Resources

It is well recognized that people's resources guide their choice of influence strategy. For example, people who believe that they possess no resources that are valued by others may hesitate to attempt to influence others. Resources can be based on organizational position or on personal characteristics. Examples of organizational resources include control of budgetary matters, control of information, and the extent to which the work is considered important by the organization. Examples of personal resources include expertise, self-confidence, and personal manner.

Many people fall into the trap of not recognizing the full range of resources that they control. As a result, they hesitate to exercise influence or they select ineffective strategies. For example, people who do not recognize the importance of their personal resources, such as their expert knowledge, may feel that they have no "clout." As a result, these people may remain passive and feel helpless when called on to direct others. Because they do not take their personal resources into account, they may not think that they can use strategies such as reason, bargaining, and coalition.

Adverse Reactions

Adverse reactions refer to situations in which the target people resist doing what potential influencers request. There are several subtraps that people fall into when such resistance is encountered. Some simply give up when faced with refusals. Others rigidly persist in using an initially ineffective influence strategy. Still others escalate prematurely and use sanctions or strong assertive demands to overcome the resistance of target people. These strategies often are inappropriate in the early stages of resistance

and, hence, are ineffective. For example, if a person is using the initial strategy of friendliness in trying to persuade a supervisor, when faced with refusal, this person should consider other strategies. For instance, a more appropriate strategy may be the use of coalition or reason.

Effective influencers are flexible. They recognize that strategic choices can be made to overcome resistance. These strategic choices generally have been found to begin with the use of reason and simple requests. Only after resistance is encountered do effective influencers select other strategies. These new strategies then apply just enough pressure to overcome the resistance of target people.

Purpose

The purpose for exercising influence usually is to influence others organizationally or to promote one's own self-interests. Examples of organizationally motivated reasons are a desire to "sell" others on the worth of a new organizational program or an attempt to ensure that others do their work properly. In these instances, the person has the interests of the organization in mind when attempting to influence others. Personally motivated reasons for exercising influence include seeking to obtain an increase in salary, better work assignments, time off, or a promotion. The trap here is that the person may use the same strategy for each, regardless of what is wanted from the target person, rather than choosing the strategy that is most appropriate for obtaining what is wanted. For example, if a person's goal is to influence a manager to promote a new and better system of work, reason may be the most effective strategy. Effective influencers, then, take into account who they are trying to influence (the target), their resources (both personal and organizational), how to react to resistance, and their own reasons for exercising influence.

SELECTING SPECIFIC STRATEGIES

Situational influence theory provides a framework for examining situations and helps a person to identify the key aspects of a specific situation. In itself, it does not prescribe which influence strategy to use in a specific situation or even in a certain type of situation. However, from the original research that was done to develop the POIS, some guidelines have been derived regarding which strategies seem to succeed in certain types of situations with certain types of targets.

Reason. Reason is used most frequently in selling ideas. If their jobs require expertise, influencers most likely will find this strategy to be advantageous and effective. Its use is associated with acceptance of objectives. One possible problem in using this strategy could be a failure to develop ideas adequately and to organize information logically. The use of reason requires preparation time, thought, and communication skills.

Friendliness. Influencers are most likely to use the strategy of friendliness when they want personal favors, when they want assistance with their work, and when their power base is weak but they must convince the target people of their courses of action. Overuse of this strategy could lead the other people to suspect their motives and their work competence.

Coalition. Coalitions frequently are used for both personal and organizational reasons. The strategy of coalition can be used to obtain personal benefits and assistance on the job. The strategy also is useful in selling ideas to others. This can be a powerful strategy but it is not without danger. Overuse of coalition could create the impression that an influencer is conspiring against the target person.

Bargaining. Bargaining involves making concessions in exchange for getting what is wanted. This strategy is used most frequently when the influencer seeks personal benefits. A drawback of this strategy is that it creates obligations that the influencer must fulfill in the future. What is traded might not be worth what is received in exchange.

Assertiveness. Assertiveness is a two-edged sword. It is used when influencers know that they are right and wish to improve organizational effectiveness. When used effectively, assertiveness may overcome the resistance of target people. However, when used ineffectively, it can create ill will. This strategy often is used as a backup strategy when target people are resistant. Assertiveness can be used in combination with other influence strategies such as reason. It frequently is used when duty requires that the influencer convince someone of a course of action.

Higher Authority. Higher authority is a backup strategy to be used when influencers know from experience that the target persons will not agree to their requests. This strategy is used for many different reasons. The problem that results from frequent reliance on this strategy is that it could undermine relationships with target people.

Sanctions. Sanctions are used almost exclusively with subordinates, who expect that their boss has the authority and the right to provide rewards and punishments. Sanctions must be used with great care, because a failure to follow through will lead to a loss of credibility and, hence, a loss of ability to influence.

When influencers clearly can define the targets, their own resources, the possible adverse reactions of the targets, and their purposes in making the attempts, they can review the range of strategies defined above and decide which are most likely to be effective in a particular situation. This is quite a contrast to being “trapped” in one of the limited profiles—the Bystander or the Captive.

REFERENCE

Kipnis, D., Schmidt, S.M., & Wilkinson, I. (1980). Intraorganizational influence tactics: Explorations in getting one’s way. *Journal of Applied Psychology, 65,* 440-452.

SOURCE

Kipnis, D., & Schmidt, S.M. (1982). *Respondent's guide to the Kipnis-Schmidt profiles of organizational influence strategies (POIS).* San Diego, CA: Pfeiffer & Company.

Strategies	Traps	Behavior
Reason	Target Person	Bystander
Friendliness	Resources	Captive
Coalition	Adverse Reactions	Tactician
Bargaining	Purpose	Shotgun
Assertiveness		
Higher Authority		
Sanctions		

Basic Aspects of the Kipnis-Schmidt Theory

INTERPERSONAL COMPETENCE

Human relationships are vital to effective organizational functioning. Formal organizational structure, restrictive managerial controls, excessive direction from leaders, and the like often result in the reduction of human effectiveness. Argyris (1962) argues that the interpersonal relationships between people within an organization significantly affect the overall competence of an organization to achieve optimal effectiveness. Argyris says that organizational competence incorporates at least two identifiable and interrelated components: the first has to do with ideas and things and the other with relationships between people. Argyris calls the first component *intellective competency.* Intellective competency refers to the things that organizations do and often is assessed by measures of how well an organization accomplishes its goals (i.e., profit and loss, budget variance, product quality, inventory turnover). The second component is *interpersonal competency.* It refers to the *authenticity* of interpersonal relationships between people. Organizations must be both interpersonally and intellectively competent in order to be maximally effective.

THEORETICAL FOUNDATION

Argyris believes that in an effort to increase employee effectiveness, many organizations soon will become less concerned with keeping employees happy and highly satisfied through rational intellective means and will move toward developing employees who are self-responsible, committed, and enjoy high self-worth. Self-worth (acceptance), self-responsibility, and commitment are all outcomes of increased interpersonal competence. Argyris frames his thoughts regarding the etiology of interpersonal competence in a series of propositions that outline his basic theoretical orientation.

1. The first proposition asserts that human behavior is not random. The behavior of human beings is orderly and governed by an assortment of laws unified within the person. *Unity* for Argyis is analogous to the "*self*." The "self" is composed of the aggregate of the person's "needs, values, abilities, and defenses integrated into an organized whole that has meaning for the individual." The self is not a "thing" that can be seen by those who are not competent in basic psychological theory, those who are not open and receptive to others, or those who are highly defensive. Such types tend to see only surface behaviors, which usually appear random.
2. Researchers differ in their perceptions of human personality and often attach different labels (i.e., self, ego, persona) to describe the phenomenon. There is

however, substantial agreement that an integrated *unity* develops within people. The unification occurs as an outcome of interpersonal relationships.

3. Interpersonal relationships with parents and other members of the family of origin have the greatest effect on the initial development of the self. Later, extended relationships with friends, relatives, schoolmates, co-workers, and significant others tend to influence the development of the self. Healthy interpersonal relationships within the nuclear family unit help the individual to develop a sense of self that he or she can employ effectively to deal with family and other relationships.
4. As an individual develops, the self begins to operate as a *filtering mechanism* through which itself and the surrounding world are comprehended and evaluated. Information that is congruent with self-concepts is readily accepted and processed. Incongruent information is filtered (distorted) before being processed or is rejected altogether. This phenomenon is called *defensiveness*. Defensiveness is a response to some real or perceived threat to the self.

   Defensive behavior can be minimized by the use of *nonevaluative* feedback. Nonevaluative feedback is the act of describing behavior without attaching a value judgement. Argyris argues that proficient nonevaluative feedback *requires acceptance of one's own self and the selves of others.* Nonevaluative feedback cannot be acquired by practice, but can be learned only by the development of a central philosophy and set of values that emphasize individual growth.
5. The fifth proposition is that a person will be *aware* of behavior that does not threaten the sense of self. Awareness is the willingness and ability to perceive one's own or another's behavior. Acceptance is perceiving one's own or another's behavior as it was intended. Acceptance does not necessarily mean *liking* the behavior. Acceptance is associated with awareness in that behavior that is perceived as threatening will not be noticed. If one is not *aware* of a particular behavior, it cannot be accepted.
6. A fundamental need of human beings is to increase their willingness and ability to accept themselves and others. Deficiencies in the ability to accept oneself and others is followed by increased defensiveness, which impairs one's ability to give and receive meaningful feedback.
7. Awareness and acceptance of self and others are highly related. One cannot become more aware and accepting of oneself without becoming more aware and accepting of others. Argyris's example assumes that person "A" wants to boost self-acceptance. Person A's self has a filter mechanism that regulates the feedback given or received, so the more defensive person A becomes, the more feedback will be filtered and the less likelihood there will be of establishing an environment suitable for giving and receiving meaningful feedback. Similarly, the more defensive person B becomes, the more his or her feedback to person A will be filtered (distorted).

The implications are apparent. Person A will not understand feedback from person B unless there is a willingness and ability to understand, and unless person B is willing and able to help person A to understand. Person B will not be willing or able unless person A helps to establish an environment in which person B will not be defensive.

8. The interpersonal development of people is determined by relationships with others. In other words, it is not possible to grow interpersonally or to increase self-acceptance or self-awareness without establishing an environment for others to grow also.
9. A primary need of human beings is to be successful in their interpersonal encounters with others. Argyris defines *interpersonal success* as "the tendency to become more aware and accepting of themselves and of others." The increased awareness of self and others is the basis of psychological *unity*.
10. Increased awareness of self and others are the foundations of psychological growth that lead to *authentic relationships.* Authentic relationships are relationships in which an individual enhances his or her sense of self- and other awareness and acceptance in such a way that others can do the same. Argyris observes that authenticity is not a state that one can internalize alone. Authenticity depends on one's relationships with others and on one's ability to create conditions in which others also can be authentic.

The desire to increase acceptance of self and others is intimately linked with the development of interpersonal competence, and interpersonal competence is intimately linked with authenticity: authentic relationships increase with increases in the ability to give and receive nonevaluative feedback; increased nonevaluative feedback increases the ownership of ideas, values, and emotions; increased ownership increases openness and receptivity to new and different ideas, values, and emotions; and so on.

IMPLICATIONS FOR ORGANIZATIONS

Organizations are purposeful and exist to accomplish goals. In being purposeful, organizations are assumed to be rational entities with rules, expectations, and objectives that focus primarily on results (intellective competence). The underlying value system in many organizations characteristically emphasizes goal attainment and assumes that increases in the authenticity and interpersonal closeness of employees will result in decreases in productivity and effectiveness. Implicit in this value system are assumptions that human relationships are most effectively managed through direction, intimidation, punishment, and rewards. Consequently, conditions to encourage interpersonal competence are nonexistent. Acceptance of self and others becomes conditional on conforming to organizational expectations; commitment becomes external to the self; dependency develops; and interpersonal mistrust is the norm.

As interpersonal mistrust increases, the capacity to cope with interpersonal mistrust also increases, and people begin to decrease their openness and receptivity to new ideas. Employees "play it safe" and become guarded in their relations with themselves and others. Willingness to experiment with new ideas decreases, causing increases in "fire fighting" and crisis management. As crisis management increases, employee defensiveness also increases, leading to an increased focus on and protection of self. These relationships are cyclical and escalate if dysfunctional patterns are not interrupted.

Argyris says that the dysfunctional patterns can be broken only by creating the conditions that lead to authentic relationships and interpersonal competence.

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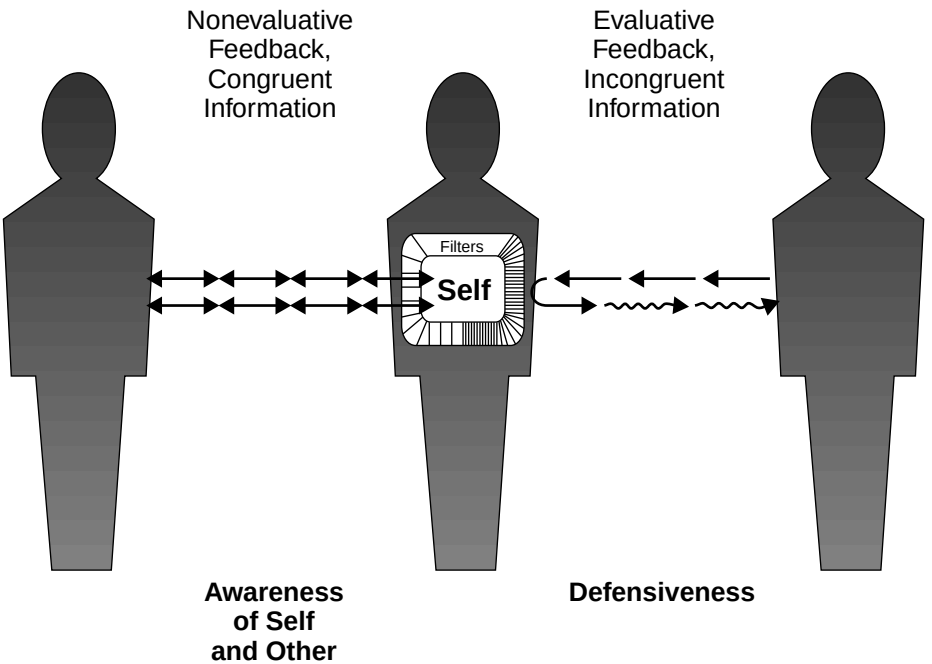
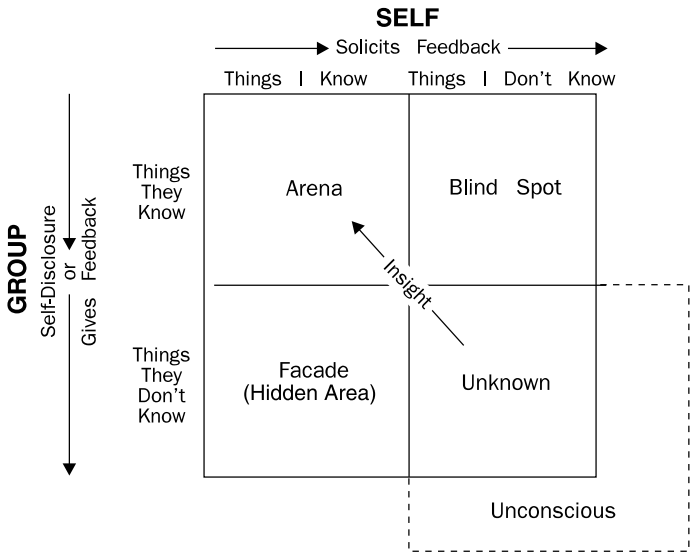
Argyris, C. (1962). Interpersonal competence and organizational effectiveness. Homewood, IL: Richard D. Irwin.


Nonevaluative
Feedback,
Congruent
Information
Evaluative
Feedback,
Incongruent
Information
Filters
Self
Awareness
of Self
and Other
Defensiveness

THE JOHARI WINDOW

Joseph Luft and Harry Ingham developed the Johari (Joe and Harry) window model for a program in group process. It has become famous in the human resource development field as a communication and feedback model to depict how we give and receive information about ourselves and others.

The model depicts a four-paned window (see figure). Looking at the four panes in terms of columns and rows, the two columns represent the *self*; the first contains "things I know about myself," and the second contains "things I do not know about myself." The rows represent the *group* one is in or *others*, the first row being "things they know about me," and the second being "things they do not know about me."



The size of (i.e., the information contained in) each of these panes varies as the level of mutual trust and exchange of feedback varies in the group in which the person is interacting.

The Arena contains information that I know about myself and about which the group knows. It is an area characterized by free and open exchange of information between myself and others. The Arena increases in size as the level of individual-individual or individual-group trust and communication increases.

The Blind Spot is the information known about me by others, but which I do not know about myself. This information may be in the form of body language, habits or mannerisms, tone of voice, style, etc. Our Blind Spots are the things we are not aware

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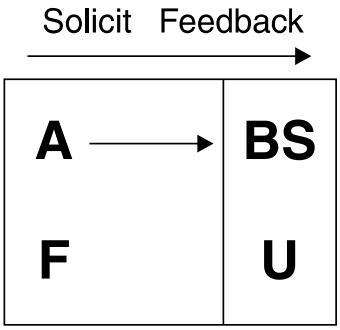
that we are communicating to others. It frequently is surprising to learn about these things and to learn how many of them there are. For persons with large Blind Spots, learning to solicit feedback can be quite useful and enlightening.

The Facade is the area of information that I know about myself but which, for some reason, I withhold from others. This information may include feelings, opinions, prejudices, and past history. People have various motives for keeping secrets: some may fear rejection or ridicule; others may withhold information in order to manipulate others.

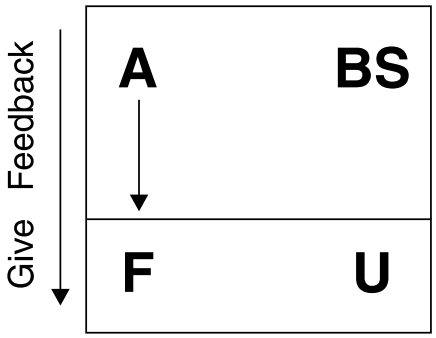
The Unknown contains things that neither I nor others know about me. Some of this material may be so far below the surface that I may never become aware of it. Other material, however, may be below the surface of awareness to both me and others but can be made public through an exchange of feedback. This information may include childhood memories, unrealized potential, and so on. Because knowing oneself completely is extremely unlikely, the Unknown in the Johari Window model is extended so that part of it always will remain unknown. In Freudian terms, this is the "unconscious."

TRAINING IMPLICATIONS OF THE MODEL

The boundaries of the panes are flexible, that is, one can enlarge or reduce a column or row by increasing or decreasing the amount of feedback one gives and receives. Much of the purpose of training with this model is to reduce the Blind Spot, to develop a receptive attitude, and to encourage others in the group to give me feedback. One needs to learn to solicit feedback from others in such a way that they will feel comfortable in giving it. The more this is accomplished, the more the vertical line will move to the right.



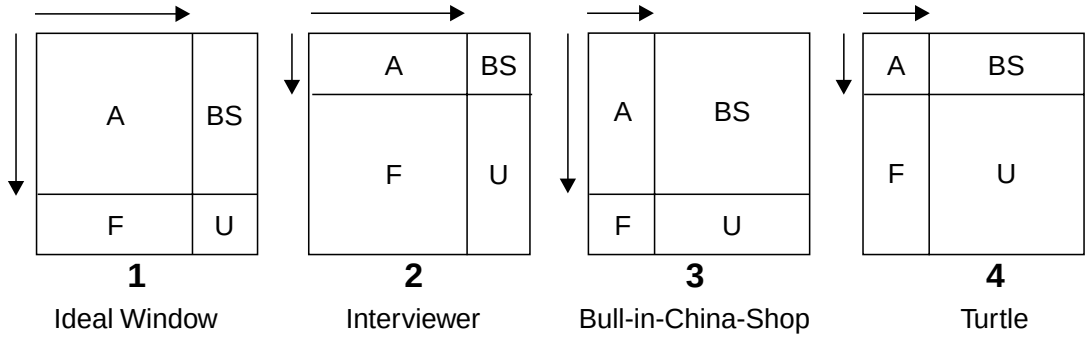
Another goal of training is to reduce the Facade (move the horizontal line down). One can do this by providing information to others about one's reactions to what is going on in the group and inside oneself.



Ratios of Panes

When one reduces one's Blind Spot and Facade through the process of giving and soliciting feedback, one increases the size of the Arena. In general, this is desirable. However, one may give more feedback than one asks for or ask for more than one gives. This imbalance can affect one's relationships with others. The *size* and *shape* of the Arena, therefore, also is a function of the ratio of giving versus soliciting feedback.

The following illustrations depict ideal and extreme ratios in terms of giving and soliciting feedback.



1. ***Ideal Window.*** In any significant relationship, a window with a large Arena and small Blind Spot, Facade, and Unknown is best (illustration 1). A person of this description would be relatively easy for others to interact with and understand, making for better and more honest relationships. In general, the size of the Arena increases as the level of trust in the group increases and norms are developed that facilitate giving and receiving feedback.
2. ***Interviewer.*** Illustration 2 depicts a person who is comfortable asking questions of others (soliciting feedback) but does not like to reveal personal information or provide feedback—hence, the large Facade and small Arena. Such individuals are comfortable with a high group-participation level, but not when the group's attention is focused on themselves. Because such persons do not commit themselves in the group, it is hard to know where they stand on issues. Others

eventually may react to this type of person with irritation, distrust, and withholding.

3. ***Bull-in-a-China-Shop.*** A person who has a large Blind Spot is depicted in illustration three. The opposite of the interviewer, people with this profile give a great deal of feedback but solicit very little. Their participation style is to comment on what is going on in the group, including group issues and the behavior of other members. Unfortunately, such persons either tend to be poor listeners (thus, "insensitive" to the impact of their behavior on others or what others are trying to tell them) or they may respond to feedback in such a way (e.g., with anger, tears, by threatening to leave) that others are reluctant to continue to give it. This type may be perceived by others as insensitive, opinionated, and critical. Because they are unaware of the impact of their behavior on others, such individuals do not know what behaviors to change.
4. ***Turtle.*** Illustration 4 depicts an individual with a large Unknown. This type of person tends to be the silent member or "observer," neither giving nor soliciting feedback. It is difficult for group members to know where this person stands in the group or where they stand with him or her. When confronted about such lack of participation, this person may respond with, "I learn more by listening." Actually, however, such persons learn very little about themselves because they do not provide the group with any data to which it can react. It takes a considerable amount of energy to maintain an Arena this small in a group situation because of the pressure that group norms exert against this kind of behavior. The energy needed to maintain a closed system is not available for self-exploration and personal growth.

CONCLUSION

The goal of learning to give and solicit feedback is to move information from the Blind Spot and the Facade into the Arena. Through this process, new information also can move from the Unknown into the Arena. This frequently is called "insight" or "inspiration." Using the Johari Window model helps people to provide a framework in which people can practice giving and receiving feedback. The overall goal is that they also learn to be more accepting of themselves and others.

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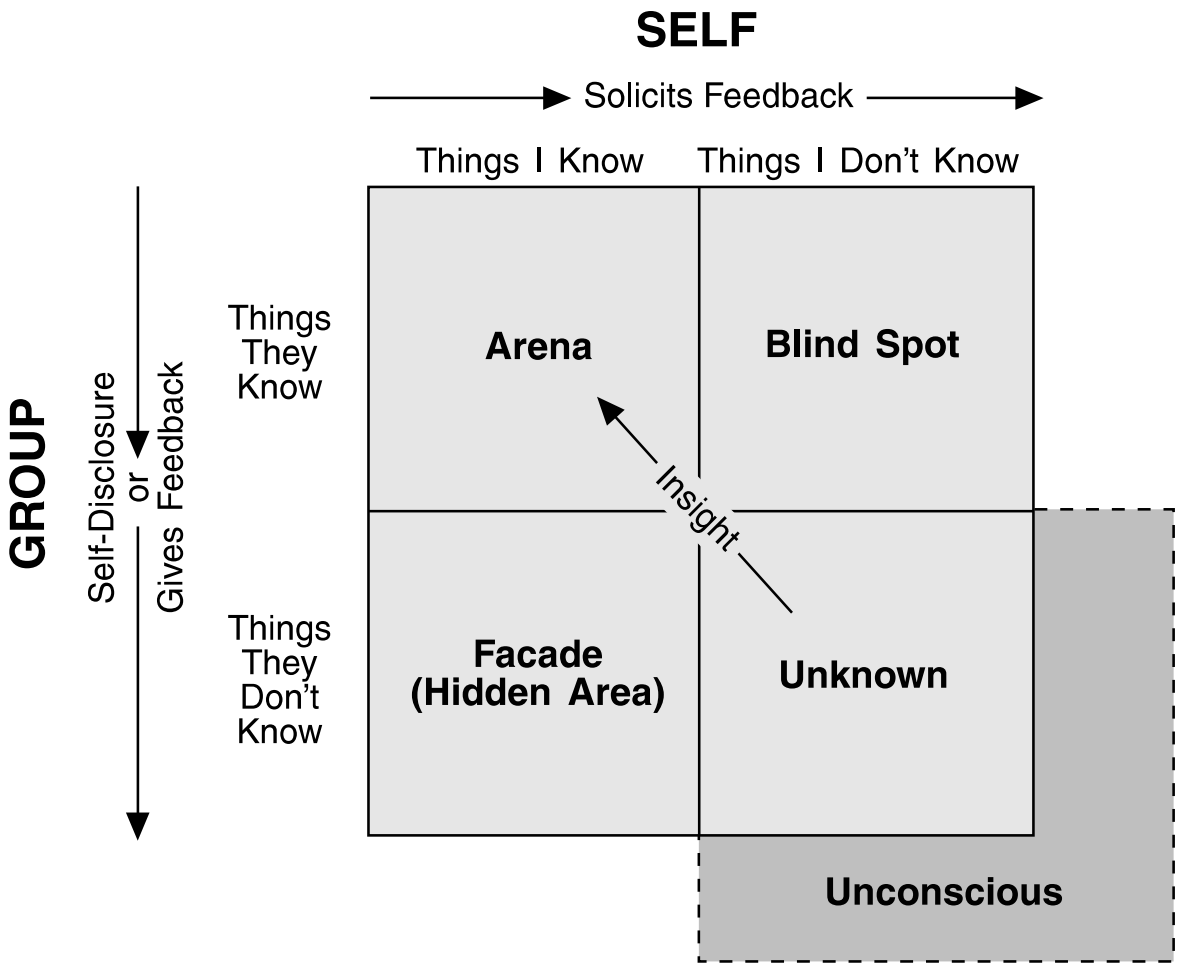


The Johari Window from *Group Processes: An Introduction to Group Dynamics* by Joseph Luft by permission of Mayfield Publishing Company. Copyright © 1984, 1970, and 1963 by Joseph Luft.

MULTICHANNEL COMMUNICATION

Karl Albrecht presented the concept of multichannel communication to explain the blocks in communication that result when feelings, values, and opinions are confused with facts. Albrecht suggested that transactions between two people take place through four separate communication channels that transmit facts, feelings, values, and opinions (see the figure on page 52). Albrecht (1977) offered the following definitions:

- ***Facts:*** Objectively verifiable aspects of experience; inferences, conjectures, or assumptions that are believed to be true; information or data having no particular emotional connotation.
- ***Feelings:*** Emotional responses to experience; here-and-now reactions that influence the transaction.
- ***Values:*** Ideals; behavioral standards based on one's sense of propriety; relatively permanent ideas about what should be; experiences, people, concepts, or institutions that one holds dear.
- ***Opinions:*** A belief or judgment that falls short of certainty and is oriented to the immediate situation; short-range ideas about what is happening, how others are behaving, and what is being said or proposed; attitudes associated with a decisive stand or position that one has adopted.

All the above kinds of information are exchanged to some degree in any dyadic interaction. Usually, one kind of information is predominant, but every kind of information is present to some extent. For example, in a typical business discussion, facts predominate. Feelings are involved to the extent that the people accept each other, consider each other to be competent and cooperative, and enjoy working with each other. Values come into play throughout the transaction ("This project is worthwhile"). Each person has opinions that affect the decision issues ("I don't like this format for the report"), but their opinions continually shift in response to new information, re-evaluation of facts, and the influences in their relationship.

MIXED CHANNELS OF COMMUNICATION

The concept of multichannel communication is helpful when dealing with situations in which the four channels are inadvertently "mixed." Perhaps the most frequently mixed channels of communication are facts and opinions. For example, a person might say, "That's a stupid idea. It will never work." The language of the statement implies that the stupidity of the idea is a verifiable fact. In reality, however, the person probably means,

"I don't like the idea. I disagree with the approach, and I believe that it is unlikely to work."

People often mix facts and opinions believing that others will realize that they are stating only their opinions. But unfortunately, the listener may not "hear" what was not said. The listener may react at the feeling level with a statement such as, "You don't even understand the idea. You are not qualified to pass judgment on it." Again, the statement seems to be factual, but it is laden with anger and frustration—strong feelings that are not being acknowledged. Of course, the participants' immediate reactions will heavily influence the course of the transaction. This may lead to further argument, exchanges of values and feelings that are expressed as facts, and increased hostility.

A fundamental principle of multichannel communication is that *unrecognized* messages that convey values, feelings, or opinions under the guise of facts exert subtle pressures on the listener. They may be pressures to agree, to conform, to capitulate, or to defend oneself against others' aggressive feelings. It follows that an awareness of these channels and the ability to separate them can produce greater empathy, understanding, and consideration on both sides of the transaction.

This concept implies that people are *incapable* of listening objectively. Instead, people see and hear through a filter made up of their own values, feelings, attitudes, and reaction patterns. It is difficult for a receiver to accept the message; separate facts from values, feelings, and opinions; and react only to the facts. A sender who expects the receiver to do all these things is likely to be disappointed.

OVERCOMING COMMUNICATION BLOCKS

The first steps toward overcoming a communication block are to become aware of the four channels, to differentiate them, and to call attention to the confusion between them. This procedure often is referred to as *making a process statement.* For example, a person might say, "George, you seem to be upset. Let's talk about that before we go any further. I want us to reach an agreement without hard feelings." This statement should bring George's feelings into the proper channel of communication. After being acknowledged in the conversation as legitimate feelings, they can be dealt with in such a way that George can return to the "factual" channel to complete the transaction.

Certain phrases, such as "to me," "up to a point," "as far as I know," "in my opinion," and "I feel" can be spectacularly effective in removing communication blocks. Such phrases call attention to the four channels of communication and separate them so that they can be dealt with individually.

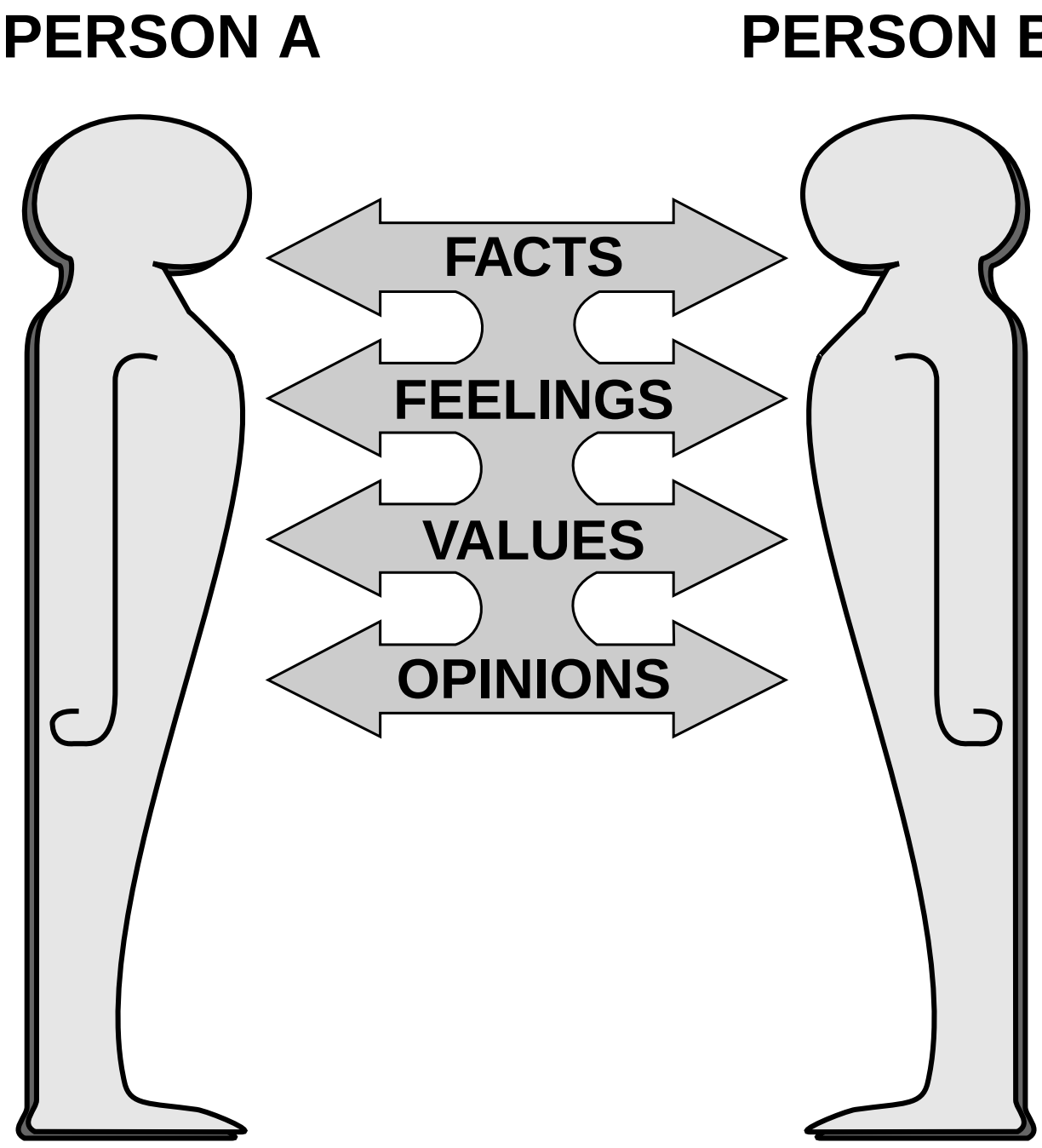
An awareness of multichannel communication also focuses attention on body language (gestures, mannerisms, posture, and so on) as a way of increasing understanding. Although verbal communication often is unreliable for conveying true feelings and attitudes, nonverbal communication is reliable if correctly interpreted.

In Western culture, denial of feelings and attitudes is so customary that many people automatically resort to rationalizing, intellectualizing, and diverting attention in

order to conceal their feelings. Common statements heard in heated discussions are "Now, let's not get personal," or "Let's stick to business and not let this get out of hand." Body language can be extremely valuable in detecting inconsistencies between facts and feelings. For example, a verbal message may be, "Gee, Fred, I'm really glad you came in to discuss this matter with me." But if the person is simultaneously glancing at the clock and standing by the door, then he or she is making quite another statement nonverbally.

SOURCE

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



Multichannel Communication

OPEN AND CLOSED RELATIONSHIPS

The open/closed relationships model, developed by William Barber, places open and closed relationships on opposite extremes of a continuum. The degree of openness or closedness in a relationship is determined by the ways in which the two people handle four elements: (a) the topic of conversation, (b) the time frame of the topic, (c) feelings, and (d) personal information. The figure on page 49 illustrates these basic concepts.

A CLOSED RELATIONSHIP

A closed relationship, as shown in the illustration, can be characterized as a very superficial relationship. Neither of the parties is especially involved or interested in the conversation. Most of the discussions in a closed relationship concern events that happened a long time ago or may happen in the distant future—or not at all. Both persons avoid revealing their feelings. If any feelings are shown, both people are likely to become even more distant to avoid becoming personally involved. If personal topics are approached at all, they are likely to be abstracted and generalized to the point that neither participant "owns" them.

AN OPEN RELATIONSHIP

At the other end of the continuum, the open relationship is much more direct, varied, and expressive. The topic of discussion frequently is the relationship itself—what it is and how it is progressing. Immediate experiences are shared as they are experienced, and feelings are an accepted subject of discussion. The sharing of feelings is seen as an aid to communication and understanding. The parties become personally involved with each other and share private information, thoughts, feelings, and attitudes.

By placing open and closed relationships on opposite ends of a continuum, the illustration suggests that movement from one end to the other need not be revolutionary but can be evolutionary. By gradually changing the four elements of the relationship, the parties can move toward a more open relationship as they learn to take personal risks at a mutually acceptable rate. They also have the entire spectrum of relationships available to them. They are not forced to make either/or choices; rather, they can move freely along the continuum as appropriate to their purposes and circumstances.

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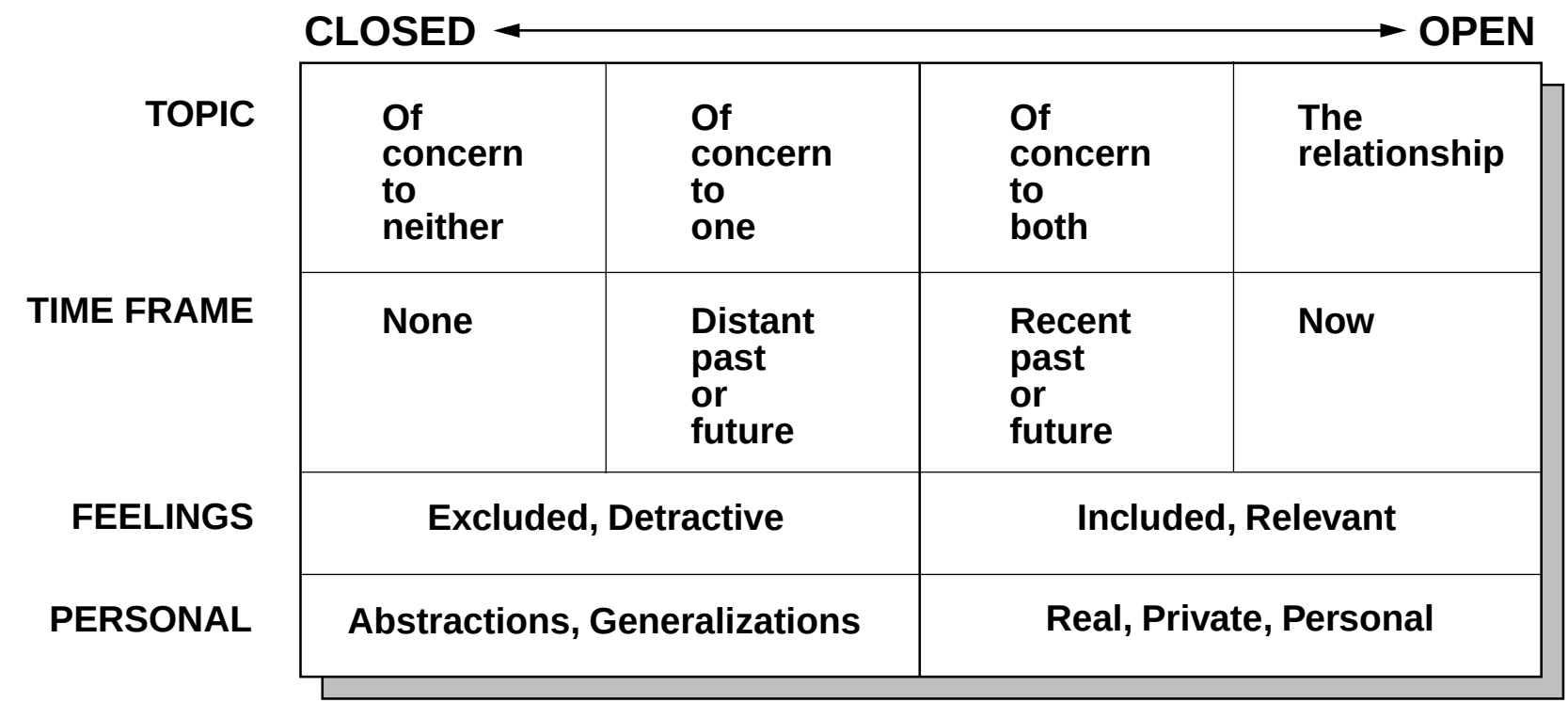


Open/Closed Relationships

PROXEMIC ZONES: THE IMPLICATIONS OF INTERACTION DISTANCE

It seems that everyone in an elevator looks at the numbers on the panel, not at one another. In close proximity, if people cannot move, they reduce eye contact. On a common-sense level, we know that this is one of the ways in which people protect their *personal space.*

Anthropologist Edward T. Hall coined the term *proxemics* for the systematic study of the causes and effects of personal-space requirements. *Interaction distance*, which is one important attribute of personal space, is defined by Darwyn E. Linder, a psychology professor at Arizona State University, as ". . . the straight-line distance between two parties to a social interaction" (1974, p. 1). Hall (1969) theorizes that interaction distance has profound meanings and consequences in interpersonal relations. In this regard, we are similar to other animals. The distances that humans and nonhuman animals maintain from members of their own species generally tell us a great deal about status, relationships, and probable conduct. The dynamics of interaction distance have profound implications for communication and behavior in organizations.

INTERACTION DISTANCES

The Swiss animal psychologist H. Hediger (1950, 1955, 1961) believes that the manner in which animals divide their territories serves both communicative and survival functions. Hediger attempts to classify interaction distances in nonhuman species. He defines *flight distance* as the point at which an animal flees from a potential predator, *critical distance* as the zone between flight distance and the distance at which a cornered animal will fight to defend its territory, *social distance* as the average spacing maintained in groupings of the species, and *individual distance* as the boundary within which "noncontact" species will take action to eject an intruder.

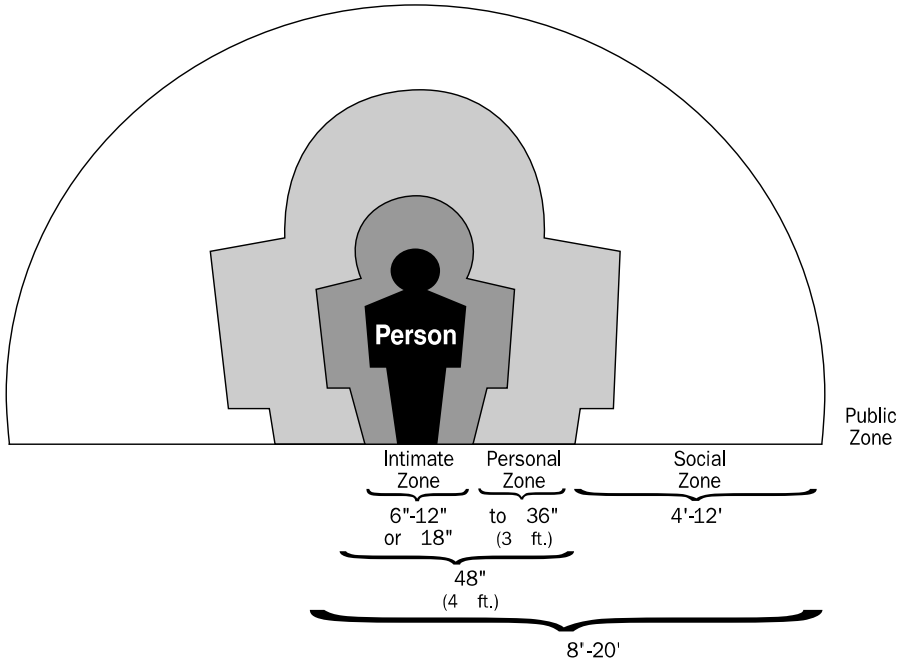
Building on Hediger's work, Hall (1959, 1969) speculates that humans exhibit some of the same conventions regarding space that had been observed in other animals. Hall notes that Hediger's flight and critical distances were relatively less important determinants of human territoriality, but that social and individual distances play a major role in the organization of human interactions.

In *The Silent Language* (1959), Hall classifies eight human interaction distances, which he subsequently simplifies to "close" and "far" phases of four distances. In his classification scheme, the *degree of expressed or desired intimacy is inversely related to the physical distance between people.* That is, the more intimacy that is desired, the less distance is desired; the less intimacy that is desired, the more space is desired.

Thus, the theory of proxemic zones delineates the social significance of the space surrounding a person's body. Each person perceptually structures his or her own spatial

field into several zones of varying intensities. The presence of another individual within one of these zones has certain effects on the attitudes and actions of the "owner" of the territory.

The figure illustrates the four principal proxemic zones.



Proxemic Zones

INTIMATE ZONE

The range of the intimate zone is defined by one's culture. In Western culture, particularly for middle-class Americans, the intimate zone typically extends six to twelve inches outward from the body, perhaps as much as eighteen inches. It usually is reserved for personal friendships or sexual intimacy. The owner of the territory may react to an unauthorized intrusion into this zone with defensive feelings, avoidance behavior, and, sometimes, even with hostility.

PERSONAL ZONE

For Americans, the personal zone extends outward from the edge of the intimate zone to about an arm's length, approximately thirty-six inches beyond the intimate zone, or from twelve to forty-eight inches beyond the body. This probably explains the American figure of speech "keeping him at arm's length." In some cultures, notably Mediterranean, the personal zone is smaller than this. For a Greek or an Italian, a friend standing at a distance of an arm's length would seem too distant for comfortable interaction. Entrance into an individual's personal zone usually is by invitation only.

SOCIAL ZONE

From the edge of the personal zone, an individual's social zone extends outward to a distance determined by his or her environment. In American culture, the social zone tends to extend eight to twenty feet beyond the body. In a quiet office, the social zone might extend four to twelve feet beyond the personal zone. In a noisy or crowded situation, the social zone might be as short as six to eight feet beyond the personal zone. When a person becomes aware of another individual within the social zone, he or she generally feels inclined to interact with that person in some way.

PUBLIC ZONE

The public zone extends indefinitely outward from the edge of the individual's social zone. People within a person's public zone usually do not exert significant influence on the person's nonverbal behavior. They are perceived as undifferentiated aspects of the environment, usually requiring no special attention from the individual.

The following table describes the close and far phases of Hall's four distances:

Distance	Close Phase	Distant Phase
Intimate	*Contact - 6 inches*. Amorous and physically aggressive behaviors occur at this distance.	*6 - 18 inches.* Touching and hushed or whispered communications occur at this distance.
Personal	*18 - 30 inches.* Personal companions, spouses, or those communicating at a crowded social event assume this distance.	*30 - 48 inches*. Informal discourses between acquaintances and companions occur at this distance.
Social	*4 - 7 feet.* Informal, impersonal business interactions occur at this distance.	*7 - 12 feet.* Formal business (e.g., interviews or negotiations) is transacted at this distance.
Public	*12 - 25 feet.* Speeches and other formal, one-way communications occur at this distance.	*25 feet or more.* Very formal ceremonies and performances, designed to preclude two-way discourse, occur at this distance.

INFERENCES FROM INTERACTION DISTANCES

Hall (1969) speculates that interaction distance serves a communicative function, in the sense that the distances people adopt for their interactions give others clues about

intended messages or the feelings being expressed in the relationship. Research in social psychology has largely substantiated Hall's theory.

In one experiment, Kenneth B. Little (1965) attributed various kinds of relationships among the people represented by cardboard cutouts and then asked his subjects to place the cutouts in an arrangement. In another experiment, Little asked his subjects to position live female actors, whose relationships with each other had been described at varying levels of friendship. In both experiments, physical proximity of assignment varied in accordance with the subjects' information about the intimacy of the relationships. If the subjects thought that a pair of actresses or cardboard cutouts had a more intimate relationship than another pair, they placed them physically closer together than they placed members of the emotionally remote pair.

Several experimental studies suggest that adopting particular interaction distances might be one of the ways in which humans express their degree of attraction and liking for others, in spite of their lack of conscious attention to the possibility that the distance conveys a message. Albert Mehrabian (1968), a psychologist at the University of California, Los Angeles, found that interaction distance (along with eye contact, body orientation, and body relaxation) was indicative of a communicator's *liking for another person.* Mehrabian asked different communicators to imagine that they were addressing people whom they either "liked intensely, liked moderately, neither liked nor disliked, disliked moderately, or disliked intensely." Although he avoided telling the communicators he used as subjects how close to approach, Mehrabian found that the more likable the addressee was supposed to be, the closer the subjects moved toward that person. (This was true whether the subjects were approaching someone of the same or opposite sex and was equally true for male and female subjects.) Donn Byrne, Glen Baskett, and Louis Hodges (1971) found that females chose closer adjacent seating and males chose closer face-to-face seating when the experimenters informed them that the target persons had *attitudes similar to their own.* Not surprisingly, two other studies show that people stand closer to friends and acquaintances than to strangers (Little, 1965; Willis, 1966). A person's *desire for approval* was shown to decrease interaction distance in still another study (Rosenfeld, 1965).

Leadership methods and influence attempts also can determine how closely humans will approach each other. Mehrabian and Williams (1969) instructed communicators to adopt different levels of intended persuasiveness for a communication and found that smaller interaction distances are adopted for *higher persuasive intent.*

Interaction distance may reveal true feelings about immutable characteristics, even when the people interacting may be reluctant to admit their feelings to themselves. In polite American society, it generally is inappropriate to express disdain or dislike for another person with a handicap or other stigmatizing identification. Sociologist Erving Goffman, in his book *Stigma: Notes on the Management of Spoiled Identity* (1963), intimates that powerful societal norms cause people to inflate the rankings they give when asked to rate the attractiveness of a handicapped person. However, Goffman cites research that suggests that nonstigmatized people betray their concealed uneasiness by

maintaining a larger than normal distance when interacting with a person who allegedly possesses a stigma such as epilepsy (Kleck, 1968).

Temporary conditions of the communication target also may affect interaction distance. Leipold (1963) observed that students whose stress level had been elevated by the news that they were doing poorly in a course placed their chairs farther away from a person with whom they were to discuss their academic progress than did nonstressed students.

Cultural Differences

Hall (1969) observes that the distances adopted in day-to-day interactions may be culturally determined. If Hall is correct, this phenomenon could have profound implications for international commerce and diplomacy. A business person from the United States or Europe, where the interaction distance appears to be relatively large, may seem cold, distant, and aloof to colleagues from Middle Eastern and East Asian cultures, where the interaction distance is smaller. Meanwhile, the Western person may feel that the Eastern person is being overly aggressive. If the intercultural encounter occurs while both parties are standing, the pair is liable to do an odd little dance across the room, in which the Westerner backs up while the Easterner advances. Unless one or both parties are sensitive to this intercultural difference, both parties are likely to feel sufficiently uncomfortable to undermine the purpose of the meeting.

APPLICATIONS OF KNOWLEDGE ABOUT INTERACTION DISTANCE

Research suggests that purposeful manipulation of the distance adopted during interactions can create (desired or undesired) emotional, attitudinal, or behavioral effects in others.

Robert Sommer, a psychologist at the University of California, Davis, has written extensively on the architectural design implications of proxemics. For example, Sommer's (1967) research provides support for his *expressive contact theory* of classroom ecology. Generally, he has found that participation in classroom discussion increases as a function of decreased distance and increased opportunity for contact between instructor and student. Students in front-row-center seats of classrooms conventionally arranged in rows participated more than did students who were seated at the sides of the rooms. When classrooms are arranged in horseshoes rather than rows, more students are directly in contact with the instructor and more participation occurs. The implications of these findings for training, education, and management communication are obvious.

Several physiological and social phenomena suggest that purposely decreasing interaction distance can be somewhat emotionally arousing. Eye contact decreases as conversants are brought closer together (Argyle and Dean, 1965). Galvanic skin response (GSR)—the changes in electrical conductivity of skin brought about by the variability of palmar or other sweating—increases as a person is approached.

(According to McBride, King, and James (1965), the increase of GSR occurs most rapidly when the approach is frontal, less rapidly when it is from the side, and least rapidly when it is from the rear.)

BODY LANGUAGE

The idea of body language (kinesics) is very closely connected with the concept of proxemic zones. People's nonverbal messages—posture, gestures, movements, sounds, etc.—usually will express their attitudes toward the presence of others within their spatial zones. For example, they may react to an uninvited intrusion into their personal zones by backing away, turning aside, avoiding eye contact, or appearing to be preoccupied with some distraction. Two people who are engaged in a stand-up conversation often will turn so that the fronts of their bodies form a right angle. This enables them to control the level of personal involvement quite precisely.

If stranger A is placed within the personal zone of individual B, B usually will adjust his body configuration. For example, on a crowded bus, rider B probably will keep his face and torso oriented away from intruding stranger A. Rider B may preoccupy himself with anything from reading a book to picking imaginary lint from his sleeve. His nonverbal signals say to intruder A, "I accept your presence, but I do not intend to interact with you in any significant way." The intruding person probably will transmit many of the same signals. If the two should decide to engage in conversation, their nonverbal signals are likely to change, reflecting their increased relaxation and acceptance of more involvement.

Perhaps the most interesting study of body language centers on two-person and small-group interactions within the social zone. This is the space in which a great deal of business is transacted. It is also the zone in which casual social interactions occur. People in a business conference usually are within social distance of one another. However, participants who are sitting side by side might share their personal zones while they confer quietly on some topic or other. The side-by-side geometry makes the proximity acceptable. At a family gathering or a quiet party in someone's living room, people also will be within social distance of one another.

USE OF THE THEORIES

The study of kinesics and proxemics offers abundant resources for interpreting nonverbal signals between people who are interacting at a social distance. General body position, posture, movements, gestures, and small mannerisms can be observed and interpreted to gain knowledge about the feelings and attitudes of individuals. This knowledge can be used to facilitate one's own communication with others. By adopting certain nonverbal patterns, one can help others to relax, open up to communication, and increase empathy. One also can compare the nonverbal messages of others with their

verbal statements to determine whether they are holding back, concealing information, or trying to mislead.

One can observe individuals and make some assessment of their general patterns of relating to others on physical terms. However, it is important to include factors such as the presence of a large number of people, the general physical environment, the noise level, the social setting, and the physical peculiarities of the individuals involved. For example, when a short person is interacting with a tall person, the short person's personal zone might be larger than it would be if he or she were dealing with someone of the same height. Many tall people are unaware that a difference in height intimidates some shorter individuals, causing them to seek a larger personal zone from which to interact.

It should be remembered that the four proxemic zones represent attitudinal and behavioral regions, rather than measurable aspects of the human body. In this regard, they should not be considered universal or invariable for any one individual. Each person's behavior is shaped by many factors other than proxemic zones.

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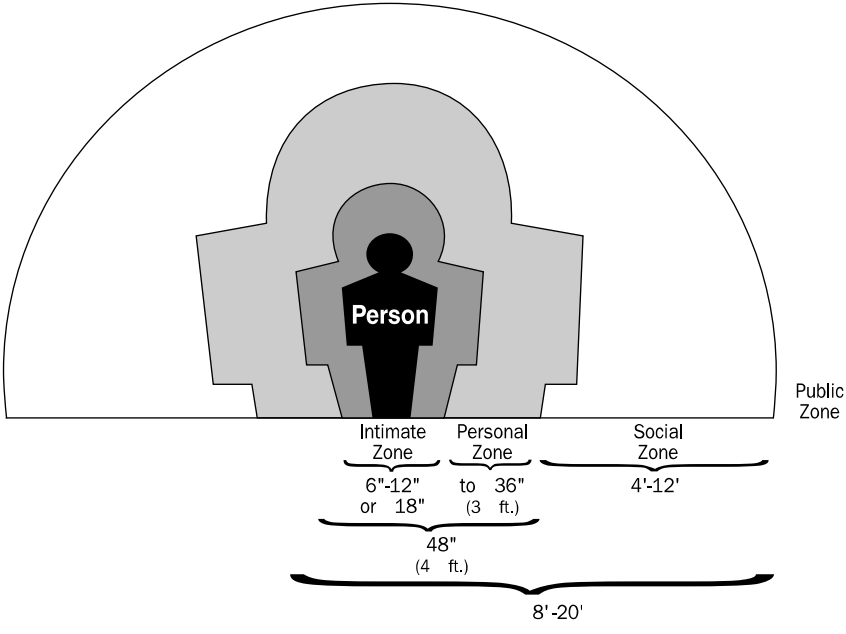

Proxemic Zones

ROGERS' HELPING PROCESS

During a professional career spanning more than half a century, the late psychologist Carl R. Rogers developed the *client-centered* mode of psychotherapy (Rogers, 1965). The client-centered approach appears to be effective and useful not only for meeting therapeutic goals but for any circumstance involving the intent to be helpful. Thus, the helping process Rogers describes (1961, 1965, 1970) is applicable to friendships, family relations, teaching, organization development, and management situations—wherever the goal is to provide helpful counsel.

CHARACTERISTICS OF THE ROGERIAN HELPING PROCESS

Psychologists or knowledgeable lay people could read a transcript of a therapy session and point to interventions by the therapist that they would characterize as examples of Rogers' "methods." However, Rogers took vigorous exception to the notion that his system of psychotherapy could or should be boiled down to mechanical techniques employed by the therapist. He believed that the counselor who had a certain set of attitudes would, as a result, effectively use techniques and methods consistent with those attitudes. On the other hand, a counselor who tries to employ a "method" that is not natural to his or her personal orientation will not be successful.

Attitudes

Client-centered therapy embodies at least the following attitudes on the part of the therapist:

- ***Respect for the client.*** The helper not only has to respect clients as people but also has to respect their ability to provide answers and insights regarding their own problems. Respect for the ability of clients justifies the use of a nondirective mode of helping. A therapist who lacks this respect for the ability of clients probably would feel the need to direct their attempts to cope with their problems.
- ***Unconditional positive regard.*** This amounts to acceptance of clients for their humanness, regardless of what they might have done or the distorted perceptions they might harbor. This attitude makes it possible for clients to express feelings and concerns that may frighten them. If therapists refrain from rejecting their clients' feelings or experiences, the clients can bring those disturbing parts of their personalities out into the open for the purpose of attaining therapeutic insight.
- ***A view of the helper's role as one of clarifying and objectifying the client's feelings.*** One of the most useful things a client-centered therapist can do is to

restate and reflect the concerns of clients. This allows clients to know that their concerns have been heard. This also can provide fresh insight, when clients are groping to express vague or deeply buried concerns. Because the concerns are somewhat novel to the clients themselves, the therapist's restatements will sound like new information and thereby will enable the clients to improve their conceptualizations of their problems.

- ***Genuineness.*** According to Rogers, client-centered counseling, if it is to be effective, cannot be employed as a technique or trick. Reliance on the ability of clients to identify and solve their own problems must be sincere; it cannot be a subtle manipulation by the therapist, calculated to cause clients to arrive at the therapist's insights. The therapist's caring and unconditional positive regard for clients also must be genuine in order for interventions to succeed at being helpful.
- ***Empathic identification.*** For the helping process to be truly client-centered, the therapist must strive to become thoroughly immersed in the thoughts, perceptions, and feelings of the clients. The most effective therapists achieve this goal to a great extent. Rogers concludes that this leaves little or no time in the therapeutic session for diagnosis, manipulation of the process, or other conventional-therapy activities. It is not the client-centered therapist's role to judge clients. However, the identification is characterized by Rogers as *empathic* rather than *emotional*; that is, the therapist perceives and provides understanding of clients' feelings rather than experiencing those feelings.

"Methods"

Despite the respect for clients and the commitment to nondirective helping, the client-centered therapist plays an *active* role in self-discovery by clients. Rogers (1965) explains that ". . . passivity and seeming lack of interest or involvement [would be] experienced by the client as a rejection . . ." (p. 27). Instead, nondirective therapy is intended to communicate acceptance of clients, through the therapist's active attempts to assist their struggles for growth.

The nondirective therapist does much *reflective* listening. The therapist resists the temptation to become a problem solver for or rescuer of clients. To do otherwise would subvert one of the major goals of client-centered therapy: improving clients' abilities to view the world through their own eyes. According to Rogers (1965), during client-centered therapy ". . . the individual moves away from a state where his thinking, feeling, and behavior are governed by the judgments and expectations of others, and toward a state in which he relies upon his own experience for his values and standards" (p. 157).

The client-centered approach differs radically from traditional forms of psychotherapy. The most important difference is that client-centered therapy is oriented toward the perspective, needs, and goals of the client rather than those of the therapist. The therapist is a helper in the change process, not the director. Where a conventional

therapist might provide a diagnosis and prescribe a cure, the client-centered therapist would invite the client to identify problems and experiment with self-formulated strategies for more healthy living.

APPLICABILITY OF THE HELPING PROCESS OUTSIDE PSYCHOTHERAPY

Of all the orientations toward psychological counseling, client-centered therapy probably offers the largest number of insights that can be applied outside therapeutic interventions. The nondirective approach is unthreatening and ethically acceptable for many other helping situations. This is because the focus is on the autonomy and worthiness of clients rather than on their pathology. Helping methods that emphasize respect for the person and genuineness of the helper's motivations hardly can be regarded as unwarranted intrusions.

Further, the philosophy and methods of Rogerian helping are easily comprehended, and a caring person can readily acquire the skills needed to provide emotional help to reasonably healthy colleagues. These methods are applicable in everyday interactions and are especially effective in what Rogers (1970) calls "intensive group experiences." The elegant simplicity of Rogerian procedures explains the durable success of T-group and team-building methods in the field of organization development. It also explains the popularity of encounter groups during the 1970s and the continued survival of intensive group methods in training and development, management development, and psychotherapy. Rogers (1977) remarks on the "natural and spontaneous caring" that group members show for one another and how this enables them to deal "in a helpful, facilitating, and therapeutic fashion with the pain and suffering of others." He concludes that most people are more capable of being healing or therapeutic than we have assumed, and that the key may be the permission or freedom generated by a caring, supportive, trusting emotional environment.

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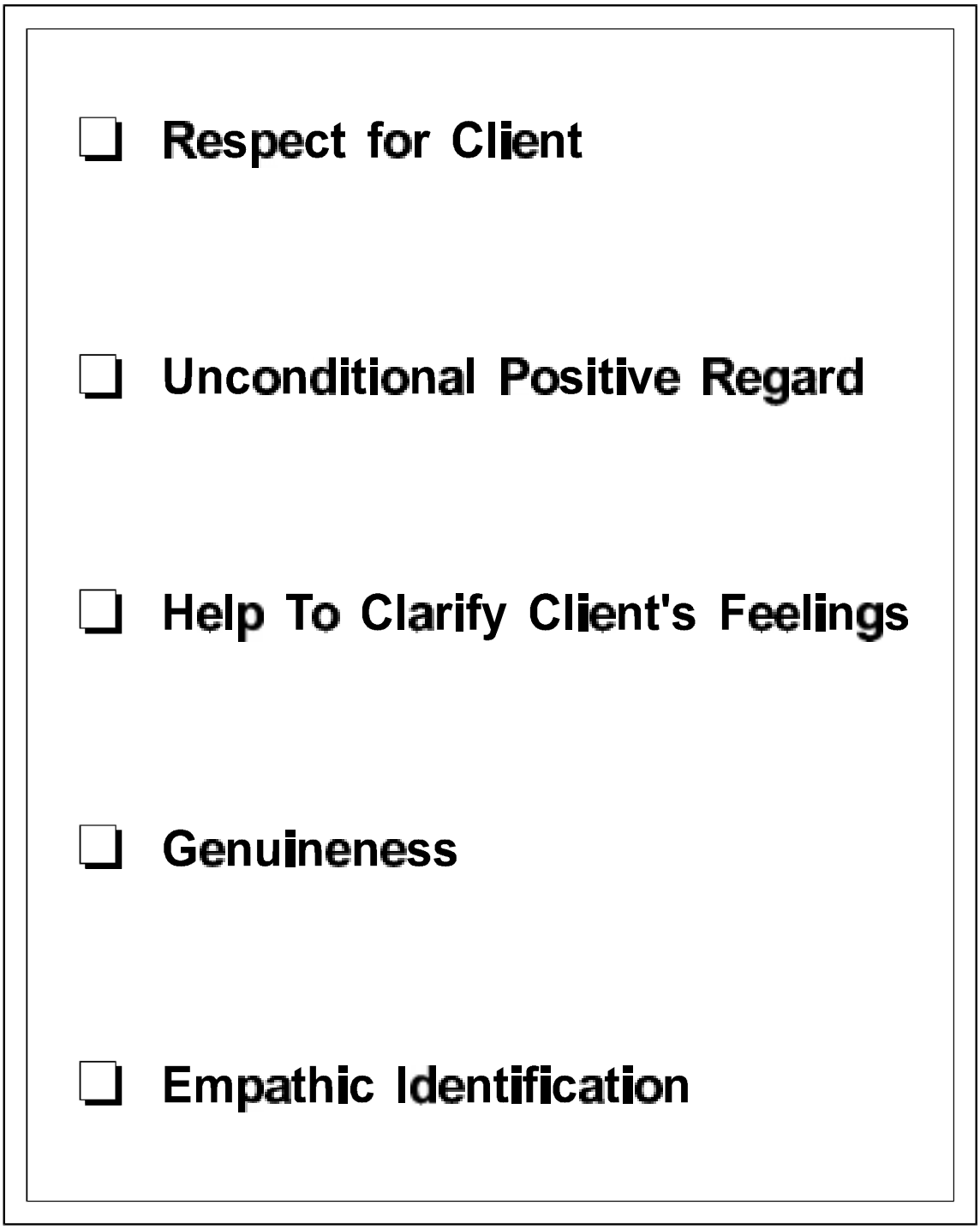
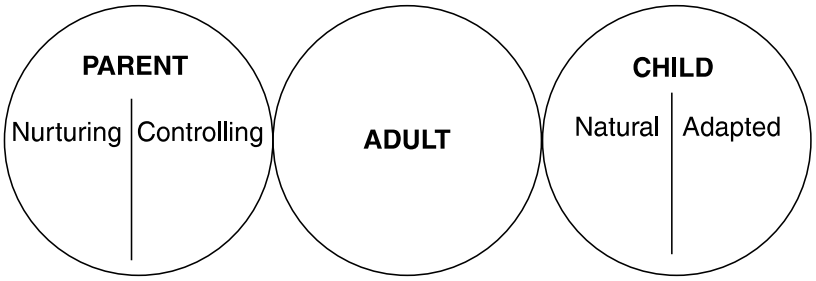


Aspects of Client-Centered Approach

EGO STATES: PARENT/ADULT/CHILD

Like many researchers, Eric Berne (1964) pondered the multiple nature of human beings. Combining his theory of transactional analysis with the multiple-nature puzzle, Berne hypothesizes that there are three states of being that exist within all people. The three states are formulated in childhood and result from the incorporation of recordings of *internal events* (feelings about events) and *external events* (data, information, and behavioral messages from one's parents) received during a child's first five years. From these findings, Berne went on to develop the Parent/Adult/Child (P/A/C) model, which categorizes human behavior into one of three *ego states: Parent, Adult, or Child.* The ego states, according to Berne, are the three basic ways in which people behave and react. The illustration that follows depicts the Parent/Adult/Child ego states.



Structural Diagram of Parent/Adult/Child Ego States*

CHILD

The first state of being is *Child*, which is characterized by strong emotions and desires. The Child state is formed from internal events and is synthesized from the young child's feelings about the events that take place during those formative years. Harris (1969) hypothesizes that, because a child has limited powers of verbal communication, much of the data that he or she absorbs will take the form of feelings. Emotions such as fear, anger, delight, and joy are part of the Child state. Emotional and purely sensual feelings such as crying, jumping for joy, and sexual arousal also are part of the Child. The Child state should not be confused with "childish" or "immature" behavior. The Child state is a *category*, whereas "childish" is a *judgment.*

* Adapted from Berne, 1964.

PARENT

The second state, *Parent,* is characterized by criticism, guilt, and "shoulds." It is made up of the many external events that occur during the child's first five years. It includes all the rules and regulations that the child hears the parents say and infers from their behavior. Because a child of this age is unable to question, explain, or modify the actions and words of others, the external events and the messages that they contain are recorded verbatim. A child believes that everything his or her parents do and say is the truth. Many of these recordings—both verbal and nonverbal—are negative in tone (e.g., "No," "Don't touch," and so on). Although many of these messages are essential to the child's survival ("Don't run out in the road!"), others are the sources of prejudice, guilt, or fear. Some are confusing; a father who punishes his son for hitting the baby but who beats his wife may instill fear and confusion in the child. After the Parent stage forms, it becomes the basis for much adult guilt, inhibition, prejudice, caution, habit, and unwillingness to change.

ADULT

The *Adult* state begins to take shape at around ten months of age. This age is significant because it marks the beginning of the child's ability to move about independently. This is the first time that the child has been able to explore, discover, and form opinions independently. For the first time, the child is not simply *absorbing* (Parent stage) or *reacting* (Child stage) but *analyzing.* For these reasons, Harris (1969) considers the Adult state to be the most rational, mature, nonjudgmental, and logical of the three ego states. The Adult state plays an important role, which is to balance the unquestioned acceptance and emotional reactions of the Parent and Child. Harris states: "One of the important functions of the Adult is to examine the data in the Parent, to see whether or not it is true and still applicable today, and then to accept it or reject it; and to examine the Child to see whether or not the feelings are appropriate to the present or are archaic and in response to archaic Parent data" (p. 30).

Berne proposes a theory to explain the development of each ego state. When babies are born, they are motivated by physical needs (e.g., food, shelter, warmth). They feel secure when these are met and insecure and uncomfortable when they are not. Berne hypothesizes that babies' experiences during this stage, in addition to the basic needs and emotions, become the Child ego state.

As children grow, they begin to receive messages about how they should and should not act from parents, teachers, and other authority figures. Children unquestioningly accept and imitate adults' messages until these messages become part of the Parent ego state.

At the same time, children are trying to discern their places in the world. Using their rational faculties, children begin to understand that they are not the center of the universe, that they must make choices, and that they are accountable for their actions.

These and other realizations form the basis for the Adult ego state, which attempts to arrange the world in a logical order.

USES OF THE MODEL

Berne developed a system of group therapy called *transactional analysis,* which uses the Parent/Adult/Child ego-states model. In transactional analysis (T.A.), people complete an inventory that reveals which of the three ego states are their preferred modes of behavior. They can then be trained in subjects such as adapting their preferred ego states to various situations, getting along with people who prefer other "styles," and balancing the three ego states to achieve better self-images.

T.A. can be used in organizations as a method of fostering better employee-employee or supervisor-employee interactions, as part of team-building sessions, and so on. The Parent/Adult/Child Model also can be used in studies of the following:

- ***Prejudice*** (the excessive influence or contamination of the Adult by the Parent),
- ***Freedom to change*** (the capacity of the Adult to adapt the ego state to the situation),
- ***Guilt*** (the Parent's ability to punish the Child for certain types of feelings or behaviors, and
- ***Self-image*** (the Child state as the source of basic attitudes about oneself).

FURTHER DEVELOPMENT OF THE P/A/C MODEL: THE I'M OK—YOU'RE OK THEORY

In the book entitled *I'm OK—You're OK: A Practical Guide to Transactional Analysis,* Thomas Harris (1969) expands Berne's concept of the P/A/C ego states. Harris also considers Berne's conclusion that the human brain stores data "in stereo": it records not only events but the feelings attached to those events, thus allowing people to recall not only facts but the feelings that were experienced when an event was "recorded." This explains why sounds and smells, for example, can conjure up powerful memories and emotions.

THE LIFE POSITION

Harris states that by the child's second or third year, he or she has formed a *life position.* Harris equates the life position to what Piaget calls the "state of equilibrium." The life position is the result of two or three years' worth of data input (the Parent and Child states) along with personal exploration and findings (the Adult state). According to Harris, children decide on one of the following three life positions: *I'm Not OK—You're OK; I'm Not OK—You're Not OK; or I'm OK—You're Not OK.* The basis for this decision is what Harris calls *stroking* and *nonstroking*. Strokes are, literally, physical

contact and comforting. To an infant, strokes also are the necessities for survival: food, warmth, etc. After birth (a traumatic and terrifying experience), there is a brief period of time during which no stroking occurs. The infant has moved abruptly from a warm, dark, safe environment to one that is bright, cold, loud, and uncomfortable. This new environment is "not OK." This not-OKness is the sense that the infant gets about himself or herself. The person who provides warmth, food, and stroking is therefore automatically OK. The first and most common life position, formed practically at birth, is I'm Not OK-You're OK.

Life positions are not interchangeable; a person cannot shift from one to another. A life position, once chosen—even though it is an unconscious decision—cannot be changed. The only exception occurs when a person consciously decides to replace his or her dysfunctional life position with the fourth and healthiest life position, *I'm OK—You're OK.* Following are descriptions of the original three life positions.

1. ***I'm not OK—You're OK.*** A person who holds this viewpoint believes that he or she is less adequate than everybody else and that all others are better than he or she is. This is a result of receiving some stroking but not enough. Consequently, many people struggle with feelings of inferiority and the fear that they are not good enough. This life position probably is the most universal, as virtually all people have these feelings at one time or another. A twist on this life position is the message that *You Can Be OK, If.* A person who feels this way will conquer challenge after challenge but will continue to feel inadequate.
2. ***I'm not OK—You're not OK.*** People who view the world through this life position feel the most hopeless. A child who forms this life position decides that not only is he or she not OK, but that the rest of the world and the people in it are hopeless and terrible, too. Harris states that such children have ceased to receive strokes after such time as stroking was essential to their survival. In other words, as soon as the child no longer needs to be picked up and fed, "babying" stops and punishments become more common and more severe. The child concludes that he or she is not OK (not receiving strokes) and that others also are not OK (not doing the hoped-for stroking). Such people, according to Harris, are likely to become mentally disturbed, withdrawn, and hopeless. They reject all future loving overtures. In addition, the Adult states that are stunted in development for lack of stroking, are not used, atrophy, and are difficult to reach.
3. ***I'm OK—You're Not OK.*** This life position is the most dysfunctional and disturbed. According to Harris, it usually results from severe abuse during childhood. If a child is abused badly enough, he or she realizes that parents (others) are not OK. Eventually, out of sheer self-defense, the child concludes that he or she is OK—better off—without the abuse that can be thought of as negative stroking. The person who takes the I'm OK-You're Not OK position receives no stroking; any strokes received will have to be engineered. Thus, this person comes to believe that, first, no one besides himself or herself is OK; and

second, that any stroking received is false. This is the life position of people who are regarded as psychopaths, who tend to become serial killers, and so on.

Although there are times when the Parent or Child states are appropriate (joy and guilt certainly are warranted sometimes), Harris believes that people should strive to keep their transactions in the Adult state. Harris says that the Parent and Child states can inhibit relationships and cause psychological difficulties if not recognized and kept in check. He also says that the ways in which an individual's Parent, Adult, and Child are concentrated in the psyche create one of four possible life positions. The original three life positions have been described above. The fourth life position differs from the first three because it can be chosen consciously and because it is the healthiest and most well balanced approach to life.

I'm OK—You're OK

Harris stresses that the I'm OK—You're OK life position is *chosen*. One cannot hold this position without a conscious decision to adopt it as one's philosophy of life. This position also is not magic; it will not mend all wounds and provide instant popularity, love, selffulfillment, and happiness. The decision to adopt the I'm OK—You're OK life position should be undertaken with the determination to approach life from the Adult perspective, to persist if the Adult life position is not immediately successful, and to realize that the decision will require a great deal of personal energy and hard work. It takes work to overcome a lifetime of feeling that one is not OK or that others are not OK.

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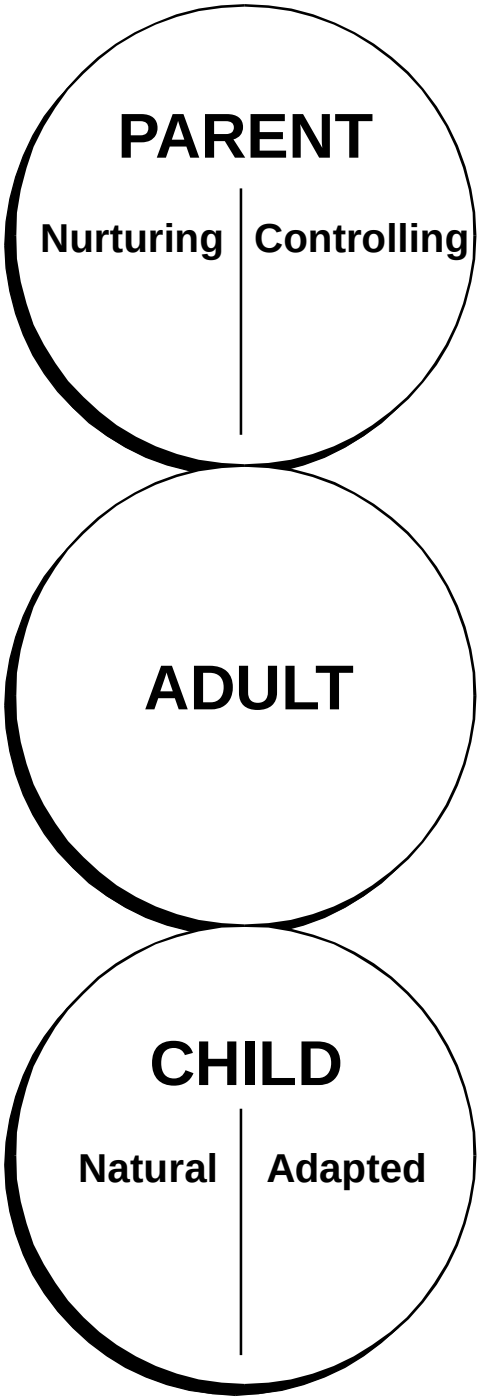

Structural Diagram of Parent/Adult/Child Ego States

Adapted from Berne, 1964.

OK/NOT OK LIFE POSITIONS

The concept of life positions, which is an important part of transactional-analysis theory, was explored by Thomas Harris (1969) as a way of understanding behavior. The life-positions concept provides a conceptual framework for understanding people in terms of whether they see themselves and others as either "OK" or "not OK." OK feelings are feelings of power, capability, well-being, lovableness, and personal worth. Not-OK feelings are the opposite: feelings of weakness, incompetence, helplessness, insignificance, anxiety, unworthiness of love, and worthlessness.

FOUR EXTREME POSITIONS

The concept of life positions is based on the theory that, early in life, people adopt a fundamental belief about their own self-worth and about the worth of others. People who decide that they or others generally are good and worthwhile are said to have adopted an "OK" life position. Likewise, people who decide that they or others generally are bad or worthless are said to have adopted a "not OK" life position. People rarely abandon their basic life positions; in fact, the basic life positions usually are reinforced by selective perception and by reactions to experiences. The only exception occurs when a person consciously decides to replace his or her dysfunctional life position with the fourth and healthiest life position, *I'm OK—You're OK.*

The initial and most common life position is adopted soon after birth. Birth is a traumatic and terrifying experience, and there is a brief period of time during which no *stroking* (physical contact, warmth, nourishment, and so on) occurs. The infant has moved abruptly from a warm, dark, safe environment to one that is bright, cold, loud, and uncomfortable. This new environment is, simply, "not OK." This not-OKness is the first feeling that the infant has about himself or herself. The person who provides warmth, food, and stroking is, therefore, OK. The first life position is I'm Not OK—You're OK.

Following are descriptions of the four life positions, which are made up from combinations of OK or not-OK perceptions of oneself and others. The combinations are:

1. ***I'm Not OK—You're OK.*** A person who holds this life position believes that he or she is inferior to others, especially in situations that concern competence, influence, or personal power. Burdened with self-defeating attitudes and a lack of confidence, a person in this position feels unable to measure up to other people.
2. ***I'm Not OK—You're Not OK.*** This position often is a symptom of a highly maladjusted personality. A person who holds this life position believes that he or she is worthless—and so is everyone else. Suspicious of others, such people

become anxious about what they or others might do that will be harmful to them. They feel disconnected from other people and alienated from their environments. But they have little motivation to try to overcome their negative feelings toward themselves and others.

3. ***I'm OK-You're Not OK.*** People who hold this life position believe that they cannot rely on anyone but themselves. They believe that other people are worthless and may be enemies, and that their lives would be fine if people would leave them alone. No matter what happens to this type of person, it is always someone else's fault. Because they feel unable to depend on anyone but themselves, such people soon learn to provide their own internal satisfactions.
4. ***I'm OK-You're OK.*** The fourth life position is considered the healthiest and requires conscious effort to achieve. People who hold the I'm OK-You're OK viewpoint see themselves as interdependent with others and with their environments. Messages from others confirming that they are OK are accepted and appreciated but are not essential to their feelings of self-worth. Because they realize that self-esteem is an individual responsibility, it is easy for people in the I'm OK-You're OK life position to see others as OK as well.

Berne postulates that the first three life positions result from childhood experiences. In contrast, the fourth position represents a perceptual jump. The I'm OK-You're OK position can be reached only through conscious re-evaluation of one's self-concept. The figure at the end of this article depicts the structural relationships of the four basic life positions. The area within the square represents all possible life positions, with the four extreme positions depicted in the corners. The dotted line suggests the perceptual jump that is required to achieve the I'm OK-You're OK life position.

DEVELOPMENT OF LIFE POSITIONS

An analysis of the development of the basic life positions can lead to an understanding of the nature and consequences of each life position. Infants have a mixture of OK and not OK feelings, with the not OK feelings predominating. Infants feel OK when their physical needs are satisfied and when they receive positive strokes (physical attention, recognition, and affection) from parents or other caregivers. When their needs are not met, they feel not OK. Because they are small, powerless, and inept, babies' early experiences provide them with many negative strokes. Withheld or negative stroking is not necessarily deliberate on the part of the caregivers and may result from the babies' inability to communicate their needs. Because adults can choose whether or not they wish to satisfy babies' needs, babies perceive adults as all-powerful and therefore OK. For most people, the early I'm Not OK-You're OK life position becomes a habit. Because the events in most people's lives do not force them to re-evaluate their positions, they remain with what is comfortable and familiar.

A preponderance of negative or withheld strokes may force the child to withdraw and perhaps to switch to one of the other two basic life positions. The battered child on

whom adults inflict pain may eventually conclude that other people are not OK. The child may find that he or she can satisfy the need for strokes better than adults can, thereby concluding that he or she is OK and that others are not OK. The child comes to believe that all would be well if it were not for the existence of other people.

The third life position, I'm Not OK-You're Not OK, occurs when the child's strokes are negative or withheld but are not devastating enough to cause the child to adopt the I'm OK-You're Not OK position in self-defense. Instead of being beaten, for example, the child may be denied affection or neglected. In this case, the child will continue to feel not OK and will decide that others also are not OK.

USE OF THE OK-NOT OK PRINCIPLES

The strengths of the life-positions theory are its uncomplicated terminology and the fact that relevant examples of the basic life positions can be elicited from almost any group. Unfortunately, the popularity of this concept has lessened its impact. The concepts are widely known but are not necessarily widely understood. The terms OK and not OK have become household words for many people, which dilutes the impact of the theory.

Harris (1969) stresses that the I'm OK-You're OK life position is not a cure-all; it will not heal all wounds or provide instant popularity, love, self-fulfillment, or happiness. Rather, an attempt to adopt this life position should be undertaken from a mature, thoughtful decision to approach life from a rational perspective, to persist even if success is not immediate, and to realize that the decision will require a great deal of personal energy and hard work. After all, it takes work to overcome a lifetime of feeling worthless or feeling that others cannot be accepted as they are.

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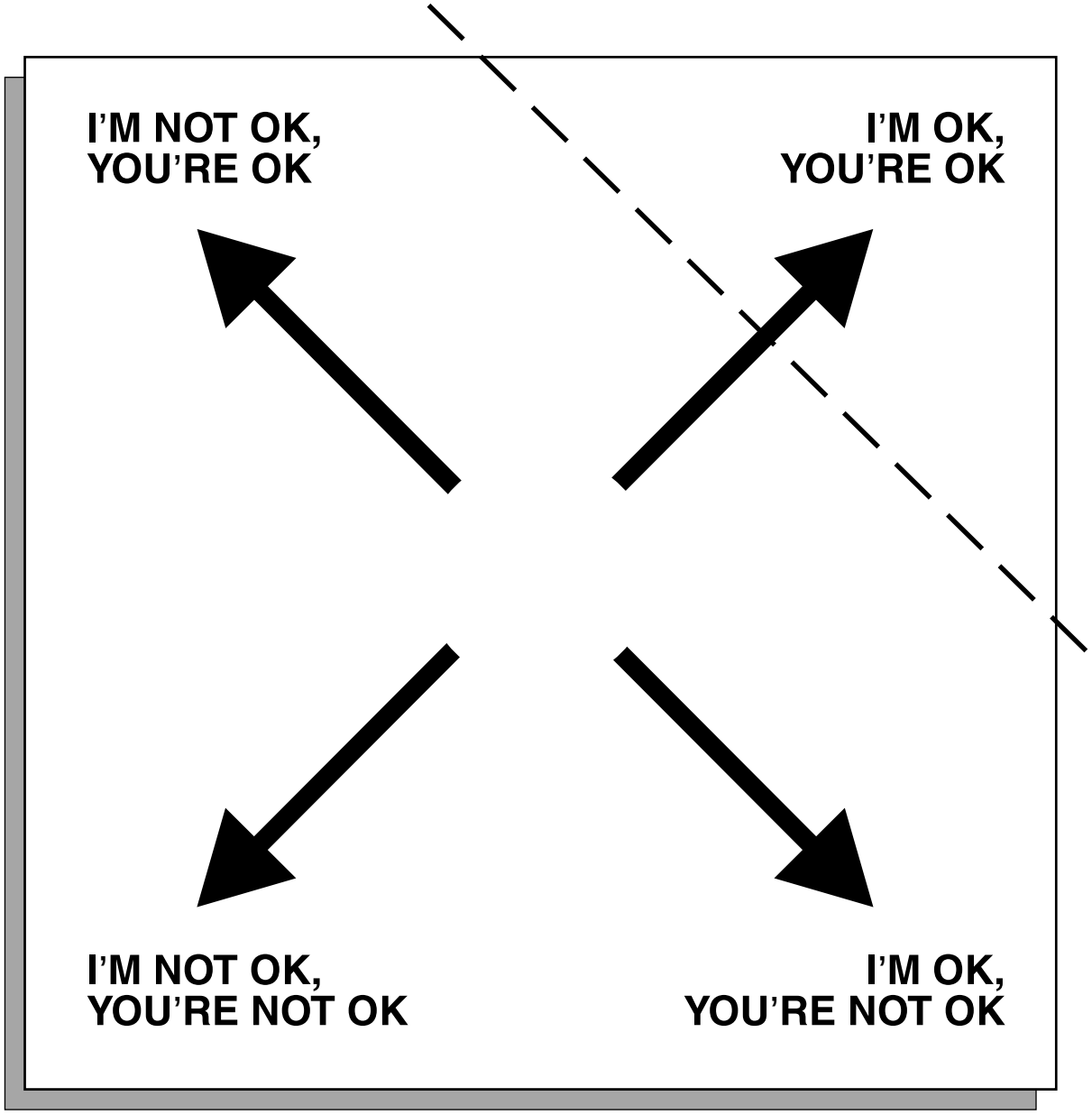

Structural Diagram of the Basic Life Positions

Adapted from Harris, 1967.

TRANSACTIONAL ANALYSIS

The theory of transactional analysis (T.A.), developed by Eric Berne (1961), is a comprehensive and useful way of analyzing interpersonal interactions. According to Berne, the interactions between two people (called *transactions*) are precipitated by *transactional contracts.* The transactional contract is an agreement, usually unspoken, between two people to interact with each other in ways that follow certain patterns. Some transactions are brief, ritualized, and can be conducted between people who are virtually strangers ("Hello, how are you?"; "Fine, thank you."). Other transactions, such as those between spouses, are much more intimate in nature.

Berne hypothesizes that each person possesses three *ego states* (patterned sets of thoughts and feelings): a *Parent,* an *Adult,* and a *Child.*[1] One ego state dominates in every transaction; this is true for both the sender and the receiver of the message.

The *Parent* is the law-and-order ego state. The Parent ego state provides us with our values, opinions, social consciences, rules and regulations, "shoulds" and "should nots," and "how-to" information. The Parent also has a nurturing aspect: it guides, teaches, and advises. A person acting from the Parent ego state is behaving according to his or her system of values.

The *Adult* is the unemotional, rational ego state. When operating from this state, a person collects information, weighs alternatives, tests reality, suggests hypotheses, and makes decisions. The Adult also exchanges information and ideas with others. The Adult state operates free of strong feelings.

The *Child* is the "feeling" state. It is the storehouse of feelings and emotional-reaction patterns from childhood. A person whose strong feelings are triggered is said to be operating from the Child ego state.

Transactional-analysis theory asserts that every person possesses all the ego states and can move from state to state when interacting with others. One state is not considered to be better or more desirable than another. For example, the Child state is not considered immature or undesirable; it merely denotes a behavioral pattern characterized by strong feelings. Similarly, the Parent state is neither good nor bad; it simply is a source of rules and regulations. And the Adult state, although it examines and updates data from the Parent and the Child to determine the appropriate response in each circumstance, should not be considered the ideal state for all transactions.

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[1] See the article entitled "Ego States" for a detailed description of Parent/Adult/Child theory.

THE TRANSACTION

During a transaction, a message originates in one person's ego state and is "sent" to a particular ego state of another person. When two people are interacting, each one may operate from any one of the three ego states. Therefore, nine possible combinations of ego states must be considered when one is trying to understand and analyze transactions. The figure on the next page illustrates several of the possible types of transactions.

A fundamental concept of transactional analysis is that the Adult state acts as a mediator. If a person's ego states are kept appropriately separate from one another, the Adult can serve as a general monitor of experiences and reactions. The Adult can prevent a person from becoming angry about or hurt by minor provocations while enabling an appropriate amount of acknowledgment and experience of the Child feelings involved.

Transactional-analysis theory suggests that people can influence the ego state of others in addition to controlling their own ego states. In order to do this, one must be aware of one's own ego configuration, assess the ego configuration of the other person, and adopt strategies to bring about the desired type of transaction. By observing the actions of another person and by ascertaining that person's ego state, one can act or speak in the way most likely to influence the person's ego state in one's favor.

USES OF TRANSACTIONAL-ANALYSIS THEORY

The concepts of transactional analysis are applicable to many learning situations. It is both interesting and useful to examine real-life experiences to determine the ego state from which each participant was operating at the time of the transaction. The theory of T.A. focuses on *observable* behavior during transactions. Therefore, the ability to label behavior as originating from "my Parent" or "my Child" facilitates communication between participants. The principles of T.A. are useful for exploring the dynamics of supervisor-subordinate relationships and for helping couples to reach better understanding of their relationships.

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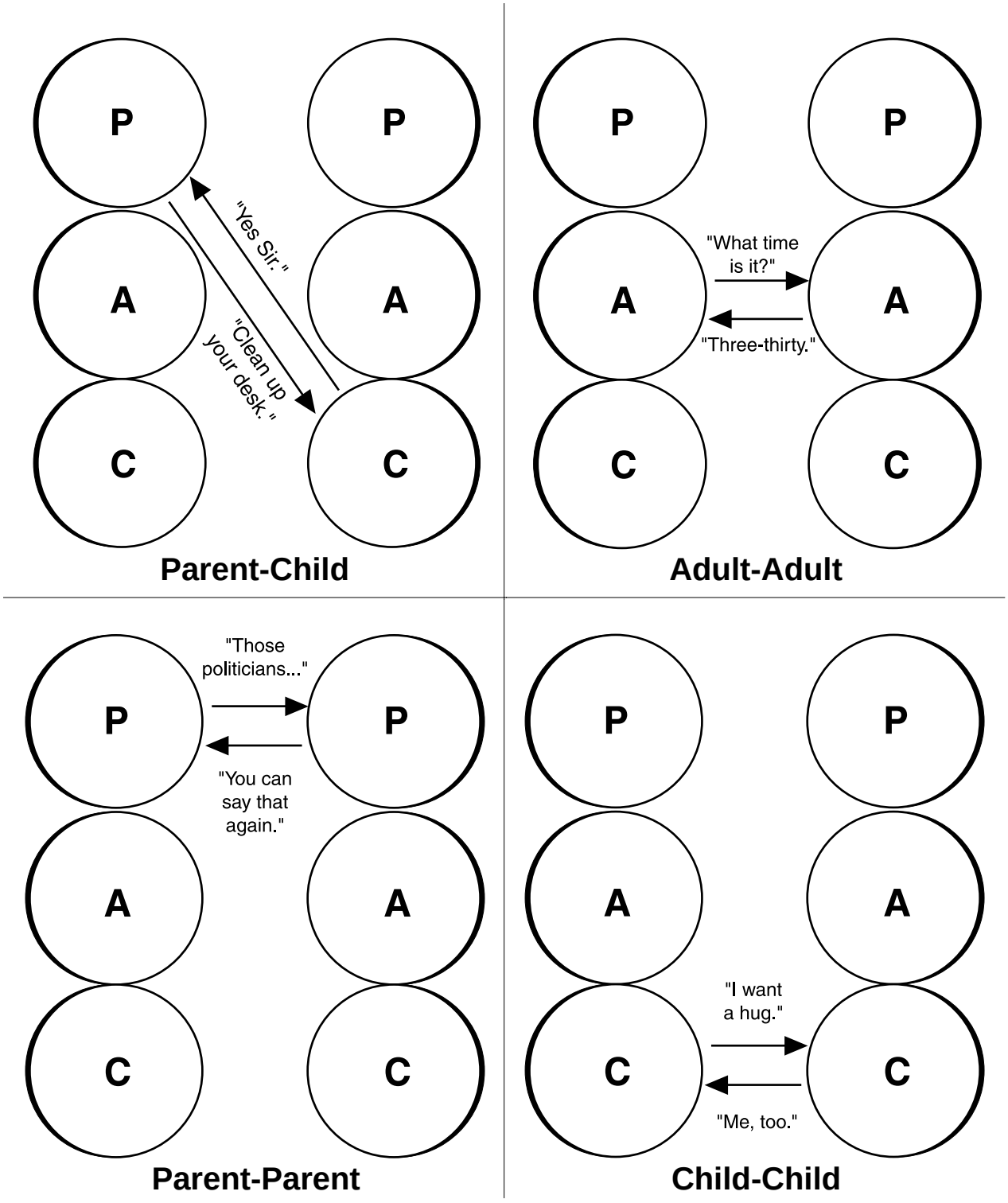


Typical Transactions Between Ego States

Adapted from Berne, 1964.

TRANSACTIONAL GAMES

Developed from Berne's (1964) theory of transactional analysis, the transactional-games concept describes a highly structured and socially dysfunctional form of interaction. A transactional game is a sequence of manipulative messages or *transactions* that result in a psychological "win" for the initiator of the game and a loss for his or her unwitting partner.

The transactional game represents one type of transaction, of which there is a wide range of possibilities. Berne (1964) divides the range of transactions into six categories, each characterized by a different level of involvement and by different behavior. The six stages of interpersonal involvement are:

- ***Withdrawal,***
- ***Rituals,***
- ***Pastimes,***
- ***Activities,***
- ***Games,*** and
- ***Intimacy.***

The illustration on page 77 depicts the behaviors and actions associated with each stage of involvement.

The transactional-games concept utilizes a component of transactional-analysis theory: the three ego states of individual personality (Parent, Adult, and Child). An ego state is a pattern of thoughts and feelings. According to Berne (1964), the Parent ego state provides us with moral, social, and personal values as well as with traditional standards of behavior. The Adult ego state is concerned with gathering, analyzing, and testing information. The Child ego state is responsible for basic emotions such as fear, joy, anger, and so on. Berne theorizes that these three ego states are present within each person, and that each transaction (interaction) with another person is dominated by one of the ego states.

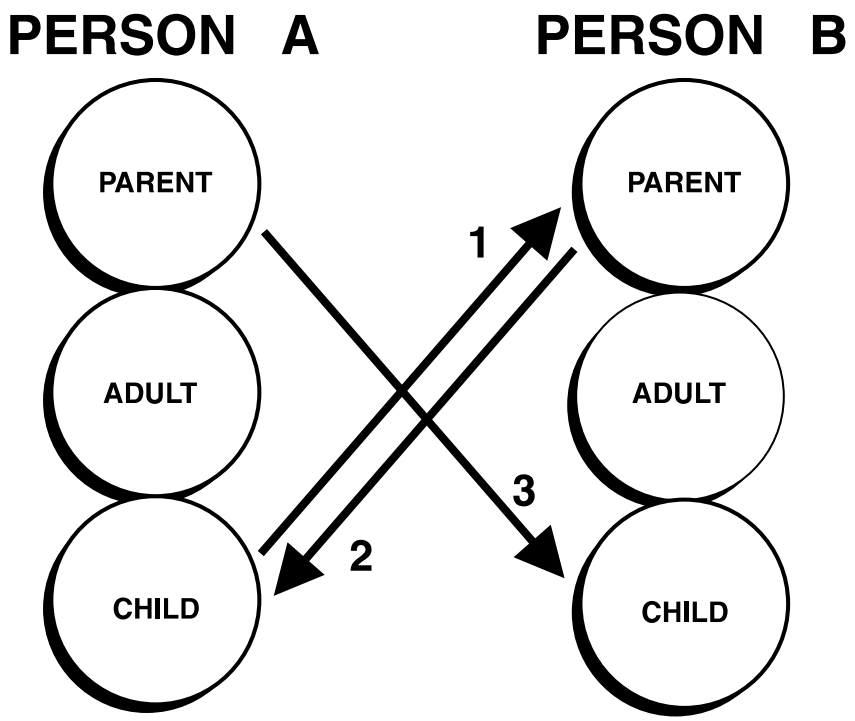
The figure on page 78 illustrates the use of ego states to analyze a transactional game. The numbered arrows indicate the ego state from which each sender's "message" originated, the ego state of the person to whom the message was directed, and the order in which the messages were sent and received. The game depicted here is called "Kick Me." (Whimsical titles for games are characteristic of transactional-games theory. Berne labels other games "If It Weren't For You," "I'm Only Trying To Help," and "Now I've Got You, You Son-of-a-Bitch.")

LEVEL	TYPICAL BEHAVIOR
Withdrawal	Physical departure from a threatening situation Psychological withdrawal if physical departure is not feasible Silence, preoccupation, pretending to be not there
Rituals	Standard behavior Discussions or conversations that deal with information known to both parties Social rituals such as greeting, leave-taking, and small talk Ceremonies, highly structured group behavior (plays, weddings, funerals, etc.)
Pastimes	Passing the time, small talk, light conversation, recreation (e.g., sports, card games.)
Activities	Task-oriented processes Attending to everyday business Carrying out business activities, commerce, social activities, meeting social obligations Communicating, negotiating, working together
Games	Complex interpersonal transactions Statements about each other, rather than about processes Subtle psychological attacks, diversions, and “Not OK” feelings
Intimacy	Sense of privacy, physical contact Pleasurable stroking, nurturing, and being nurtured In some situations, sexual arousal and/or sexual intercourse

Levels of Interpersonal Involvement

"KICK ME" – A GAME

Situation: A very formal dinner party.



MESSAGE		PERSON
1.	"Tell me you love me."	(A)
2.	"Stop making a scene."	(B)
3.	"You never show any affection! You only care about yourself!"	(A)
-	("I feel guilty.")	(B)
-	("Take that, you bum!")	(A)

The Transactional Game Process

Adapted from Berne, 1964

1. Message number one, “Tell me you love me,” is person A’s attempt to begin the game. This message is directed from A’s Child state to B’s Parent state. It is the beginning of a setup because A realizes that the highly formal situation (the dinner party) probably will constrain B from giving the requested response or “stroke.”
2. Person B agrees to participate in the game and responds with “Stop making a scene,” a message from B’s Parent to A’s Child. So far, the transaction is a Parent-Child exchange.
3. In the third message, A introduces a *switch* or *crossed transaction* in which A’s Parent berates B’s Child: “You never show any affection! You only care about yourself!” With this transaction, A gains psychological superiority. B feels guilty for having scolded A, accepts a one-down status (a Child ego state), and has lost the game.

The crossed-arrow configuration of the illustration is characteristic of transactional games. Transactional games often veer away from the original subject of the transaction because one player always introduces a message that is conceptually different from the preceding messages. In the “Kick Me” game, for example, the subject shifts from A’s desire for affection to B’s selfishness. Unprepared for the switch, B is caught off guard.

Berne’s (1964) approach to games implies the following: a self-actualized person should be able to move freely along the continuum of emotional involvement without relying on games as the vehicle for his or her transactions. People use transactional games to keep themselves from becoming intimate with others. By establishing a “one-up” status with the other person, the player can create and maintain a “safe” state of psychological separation.

IMPLICATIONS

The concept of transactional games focuses attention on the dysfunctional strategies that many people use to protect themselves from the emotional risks of intimacy. Familiarity with the game player’s manipulations also can be useful for people who do not wish to become unwitting partners. If a person realizes that he or she is being enticed into a game, firm adherence to the Adult ego state, analysis of the transaction, and proposal of alternatives to the initiator can squelch the game before it becomes destructive.

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SOURCE

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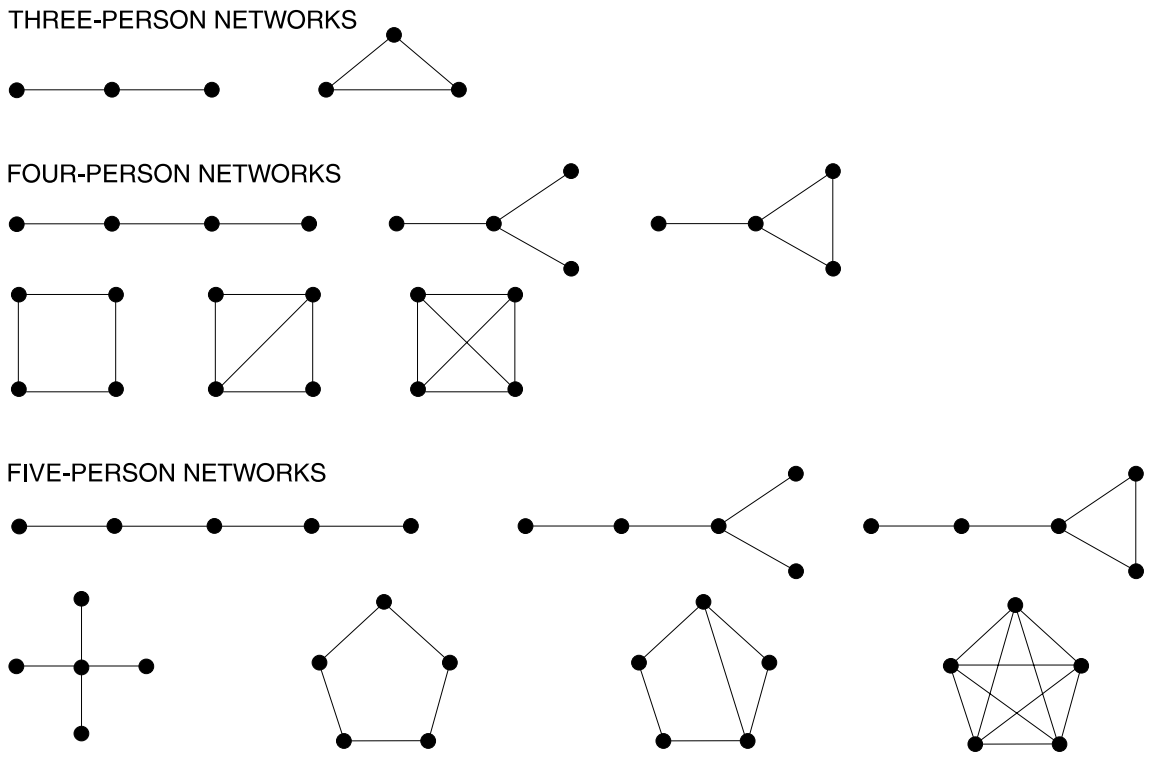
DIAGRAMING COMMUNICATION NETWORKS

A number of researchers (Bavelas, 1950; Bavelas & Barrett, 1951; Davis, 1969; Leavitt, 1951) have studied intergroup relationships and have diagramed the communication networks that exist among members. These networks, which affect groups' social structures and performance, can provide insight into interpersonal dynamics and—perhaps—tensions.

It is easy to diagram communication networks for groups of three, four, and five people, as shown in the figure below. Each dot represents a group member, and the connecting lines represent the members' channels of communication and interaction. The networks depicted are arranged in increasing order according to the number of available relationship channels.

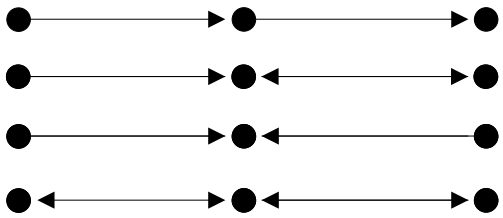
Each person in a relationship experiences that relationship differently. Therefore, communication network diagrams must illustrate the direction of the information flow or of the attraction of one person to another. For example, a person may feel a strong



Possible Communications Networks in Small Groups

Adapted from J.H. Davis, *Group Performance*, © 1969, by Addison-Wesley Publishing Company, Inc., Reading. Massachusetts. Reprinted with permission of the publisher.

attraction to another person but may hardly be noticed in return. Communication-network diagrams can depict whether an attraction is one-sided or mutual and whether information flows one way only or back and forth. The illustration that follows depicts the concept of direction as applied to a three-person diagram.



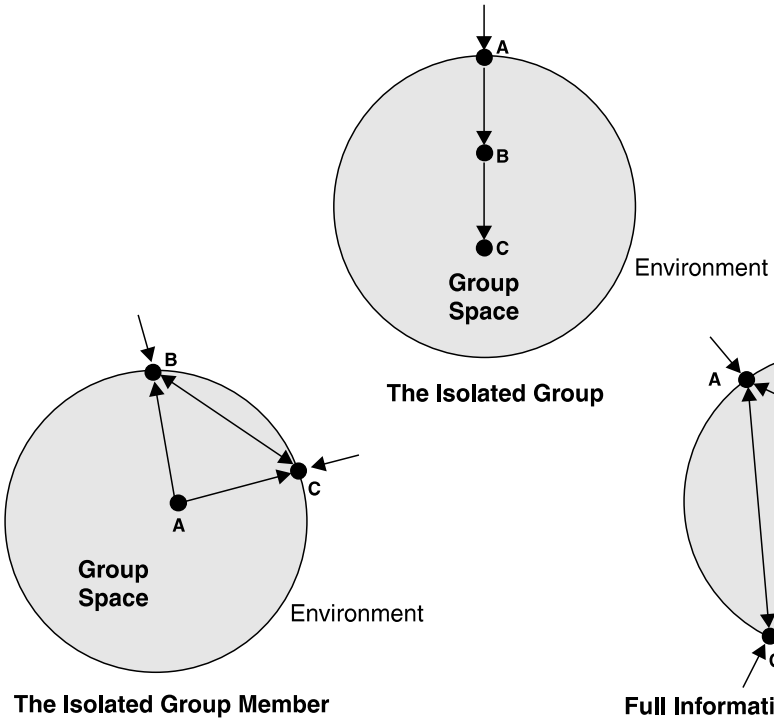
Direction of Information Flow in Communication Networks

When relationships are the result of necessity rather than of choice, the resulting networks of communication are known as *formal networks.* Formal networks exist between managers and subordinates and between co-workers who are not well acquainted. Networks that emerge because people choose to interact are known as *informal networks.* Informal networks may coexist with formal networks. For example, a group may communicate formally through letters and memos, while the informal network (the "grapevine") may operate much faster and more efficiently. This may render the formal network useless except for purposes of documentation.

When diagraming communication networks, it also is important to consider any contact that members of a network may have with their environment. For example, certain members only may be authorized to interact with people outside the group, which will affect the way in which information flows between the group members and the outside world. The illustrations on the next page depict possible configurations of a group of three people whose relationships vary within the boundaries of their "group space" and with different outside contacts. In the first illustration, members B and C of the triad will know only what member A tells them about the external environment. In the second illustration, members B and C will receive outside information but member A will not. In the third illustration, all members receive and share observations about the environment. Interestingly, studies have shown that the efficiency of a group does not increase linearly with an increase in communication channels.

The Sociomatrix

Mapping a communication network for groups of more than five people can be very complex. Such groups may wish to utilize a *sociomatrix* rather than a diagram. In the next illustration, the members of the group are represented by the letters A, B, and C. The rows in the matrix depict *initiators* of communication (output). The columns in the matrix represent the *receivers* (input). A blank cell indicates no communication between two members; an X in a cell represents communication made. In the example, the fourth row and fourth column represent the environment outside the group. It is apparent that



RECEIVER

INITIATOR	A	B	C	ENV.
A		X	X	
B			X	
C		X		
ENV.		X	X	

members B and C receive input from the environment but that they do not initiate any output. By examining the rows, we see that each member initiates communication to at least one other member. However, the columns reveal that member A receives no information from the other members and is isolated from the group.

USES OF THE COMMUNICATION-NETWORK CONCEPT

A diagram of the communication networks of a group's structure is subject to people's perceptions of the communication channels but can produce some interesting insights. For example, the cause of an employee's poor performance may be discovered by means of a group-network diagram that shows that the person is not given the information necessary to do his or her job.

The communication-networks concept also can be useful in experiential learning as a tool for fostering group development. The diagrams and matrices can be used by groups for the purposes of self-examination, conflict resolution, or problem solving.

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EMOTIONAL STYLES IN WORK-GROUP RELATIONS

Irving Weschler (1961) believes that small groups differ in the manner in which emotions are displayed and that people differ in the manner in which they react to emotional stimuli. He says that human beings exhibit a characteristic style of managing emotions in small-group and work relationships. According to Weschler, one learns as a child to react in certain ways to the *emotional content* of group situations. As one grows older, patterns develop that ultimately lead to predictable adult behaviors (or styles) in group situations. People are most comfortable with and tend to behave in a style that is familiar to them.

EMOTIONAL STYLES

Weschler says that the manner in which a person reacts to the emotional content of group interaction is an effective way to determine that individual's style. Some people work most effectively with "*tender*" emotions (e.g., affection, love, endearment, compassion) and others work most effectively with "*strong*" emotions (e.g., hostility, animosity, aggression). Three typical behavioral patterns are associated with an individual group member's reaction to emotions (see the figure on page 97).

- ***Friendly helpers*** are people who reject strong emotion yet are very comfortable with tender emotion.
- ***Strong achievers*** reject tender emotion yet are very comfortable with strong emotion.
- ***Logical thinkers*** are uncomfortable with all emotion and tend to displace emotions with logic, precision, data, facts, and knowledge.

In the illustration, emotional styles appear as mutually exclusive behavioral extremes. In reality, people are most often some combination of the three styles.

IMPLICATIONS OF EMOTIONAL STYLE

Each emotional style has implications for the manner in which individuals function as group members: how they respond to emotional stimuli, what they fear, how they attempt to influence other group members, how they react in stressful situations, and what they need to learn in order to become effective group members.

Friendly Helper: In the group setting, friendly helpers typically prefer warmth, compromise, and harmony, and typically attempt to reduce any tension that builds up

during group activities. Friendly helpers are well-suited for the role of gatekeeper because of their concern for group harmony. Friendly helpers reject strong emotions, do not tend toward self-assertion, yet readily accept the tender emotions in themselves and others. Friendly helpers most fear conflict, loss of affection, and emotional hurt. Attempts at group influence are likely to include praise of others, conciliation, appeals to pity, entertainment, or favors for other group members. Stress is likely to produce dependence on others and an inclination toward depression. Friendly helpers most need to learn how to assert themselves, to ask for what they want, and to be critical and evaluative of ideas.

Strong Achiever: In the group setting, strong achievers typically prefer task-oriented activities, e.g., initiating action, coordinating, and pressing for results. Strong achievers are well suited to gatekeeping roles because of their desire for command. Strong achievers reject affection and tender emotions, tend to be self-assertive, and readily accept aggressive qualities in themselves and others. Strong achievers most fear being perceived as soft or sentimental and losing control and influence within the group. Attempts at group influence are likely to include giving orders, threatening deprivation, or issuing challenges. Stress is likely to produce domination or exploitation of others and impulsive over-activity. Strong achievers most need to learn patience and how to give support to others.

Logical Thinker: Logical thinkers most often prefer information gathering and the clarification of words and ideas. Out of their desire to substitute logic, accuracy, and self-reliance for emotional involvement, logical thinkers are well suited for functional roles that allow them to systemize procedures and evaluate proposals. They tend to reject both strong and tender emotions. Logical thinkers most fear confusion, loss of structure, or being wrong; they often dislike feeling obligated to others or being overpowered by emotions and impulse. Attempts at group influence are likely to include appeals to logic and fact that include clever argument and an overwhelming knowledge of the rules and regulations. Stress is likely to produce withdrawal and an uncompromising adherence to rules and regulations. Logical thinkers most need to become aware of their feelings, accept closeness and intimacy, and express emotion.

Weschler believes that understanding group effectiveness is dependent on understanding the group's needs for emotional reactions and the group members' ability to meet those needs. As a group learns to more fully understand its emotional climate, it becomes more skilled in understanding what task and maintenance roles group members are most comfortable performing and in determining what standards should be used in evaluating group members, how group members will attempt to influence one another, what group members will fear, how they will react to stress, and what each of them needs to learn in order to become more productive and effective.

REFERENCE

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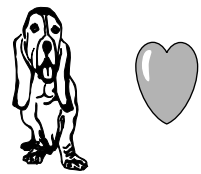
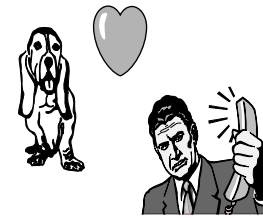
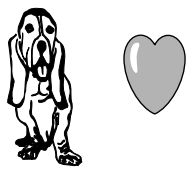
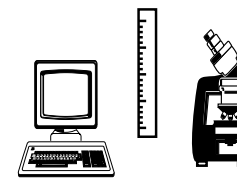
Rejects strong emotions 	Rejects tender emotions 	Uncomfortable with all emotion 
 Accepts tender emotions	 Accepts strong emotions	 Displaces emotions with logic, precision, data, facts, knowledge
Friendly Helper	**Strong Achiever**	**Logical Thinker**

FIVE STAGES OF GROUP DEVELOPMENT

In 1965, Bruce W. Tuckman hypothesized that groups go through four stages of development during their formation, existence, and dispersal:

- ***Forming,***
- ***Storming,***
- ***Norming,*** and
- ***Performing.***

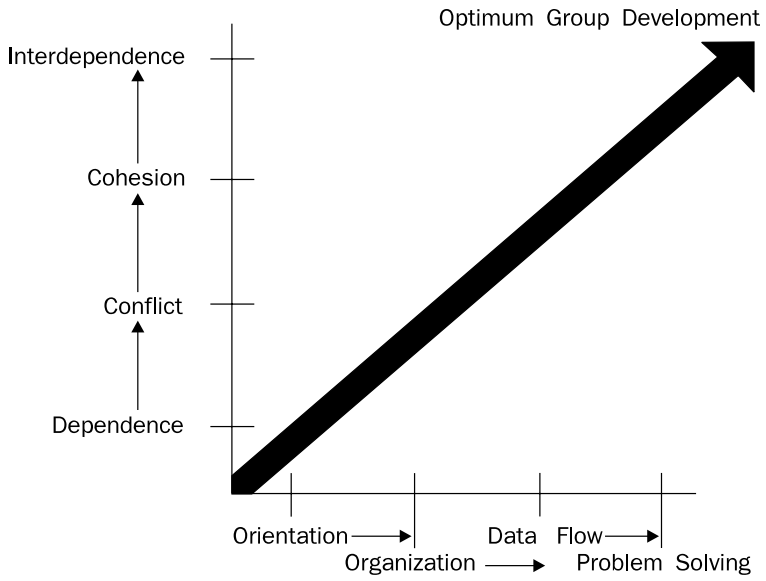
On reviewing studies of his hypothesis in 1977, Tuckman decided to add a fifth and final stage of group development: *Adjourning*.

Other researchers have labeled similar stages of group development. Charrier (1974) calls them *Polite* or *Why We're Here; Bid for Power; Constructive;* and *Esprit.* Cooke and Widdis (1988) call them *Polite* or *Purpose; Power; Positive;* and *Proficient.* The figure that follows illustrates the relationships between some of these classifications.

Tuckman	Charrier	Cooke & Widdis
Forming	Polite	Polite
Storming	Why We're Here	Purpose
Norming	Bid for Power	Power
Performing	Constructive	Positive
Adjourning	Esprit	Proficient

Jones (1974) depicts the model to show the four typical stages in the evolution of a group in relation to two major dimensions of personal relations and task functions. The progress along these two paths is parallel and interrelated, as shown in the figure on the next page.

The personal-relations dimension of the model encompasses all the interrelationships that people develop and sustain in the group—their feelings, expectations, commitments, assumptions, and problems with one another. The stages of personal relations correlate with the development of the identity and functions of a group from the personal orientations of individual members. The stages of task functions correlate with the progress of a group in understanding and accomplishing its work. As a group moves through the personal-relations and task-functions stages simultaneously, the progress and setbacks in one dimension influence the behavior and progress in the other.



STAGES ARE SEQUENTIAL AND DEVELOPMENTAL

The stages of group development are sequential and developmental. A group will proceed through these five stages only as far as its members are willing to grow. Group cohesiveness seems to depend on how well group members can relate in the same phase at the same time. Each member must be prepared to give up something at each step in order to make the group move to the next stage. The timing of each will depend on the nature of the group, the members, and the leadership of the group. Issues and concerns must be resolved in each stage before the group can move on. If the group is not able to resolve such issues, the dominant behavior will become either apathy or conflict, and group disintegration will result.

STAGE 1: FORMING

In the *Forming stage*, personal relations are characterized by dependence. Group members rely on safe, patterned behavior and look to the group leader for guidance and direction. Group members have a desire for acceptance by the group and a need to be sure that the group is safe. They set about gathering impressions and data about the similarities and differences among them and forming preferences for future subgrouping. Rules of behavior seem to be to keep things simple and avoid controversy. Serious topics and feelings are avoided.

The major task functions also concern orientation. Members attempt to become oriented to the task as well as to one another. Discussion centers around defining the scope of the task, how to approach it, and similar concerns.

To grow from this stage to the next, each member must relinquish the comfort of nonthreatening topics and risk the possibility of conflict.

STAGE 2: STORMING

The next stage, which Tuckman calls *Storming*, is characterized by competition and conflict in the personal-relations dimension and organization in the task-functions dimension. As the group members attempt to organize for the task, conflict inevitably results in their personal relations. Individuals have to bend and mold their feelings, ideas, attitudes, and beliefs to suit the group organization. Because of fear of exposure or weakness or fear of failure at tasks, there will be an increased desire for structure or clarification and commitment to structure. Although conflicts may or may not surface as group issues, they do exist. Questions will arise about who is going to be responsible for what, what the rules are, what the reward system is, and what the criteria for evaluation are. These reflect conflicts over leadership, structure, power, and authority. There may be wide swings in members' behavior based on emerging issues of competition and hostilities. Because of the discomfort generated during this stage, some members may remain completely silent while others attempt to dominate.

In order to progress to the next stage, group members must move from a "testing and proving" mentality to a problem-solving mentality. The most important trait in helping groups to move on to the next stage seems to be the ability to listen.

STAGE 3: NORMING

In Tuckman's *Norming* stage, interpersonal relations are characterized by cohesion. Group members are engaged in active acknowledgment of all members' contributions, community building and maintenance, and solving of group issues. Members are willing to change their preconceived ideas or opinions on the basis of facts presented by other members, and they actively ask questions of one another. Leadership is shared, and cliques dissolve. When members begin to know—and identify with—one another, the level of trust in their personal relations contributes to the development of group cohesion. It is during this stage of development (assuming that the group gets this far) that people begin to experience a sense of groupness and a feeling of catharsis at having resolved interpersonal conflicts.

The major task function of stage three is the data flow between group members; they share feelings and ideas, solicit and give feedback to one another, and explore actions related to the task. Creativity is high. If this stage of data flow and cohesion is attained by the group members, their interactions are characterized by openness and sharing of information on both a personal and task level. They feel good about being part of an effective group.

The major drawback of the norming stage is that members may begin to fear the inevitable future breakup of the group; they may resist change of any sort.

STAGE 4: PERFORMING

The *Performing* stage is not reached by all groups. If group members are able to evolve to stage four, their capacity, range, and depth of personal relations expand to true interdependence. In this stage, people can work singly, in subgroups, or as a total unit with equal facility. Their roles and authorities dynamically adjust to the changing needs of the group and individuals. Stage four is marked by interdependence in personal relations and problem solving in the realm of task functions. By now, the group should be most productive. Individual members have become self-assuring, and the need for group approval is past. Members are both highly task oriented and highly people oriented. There is unity: group identity is complete, group morale is high, and group loyalty is intense. The task function becomes genuine problem solving, leading toward optimal solutions and optimum group development. There is support for experimentation in solving problems and an emphasis on achievement. The overall goal is productivity through problem solving and work.

STAGE 5: ADJOURNING

Tuckman's final stage, *Adjourning*, involves the termination of task behaviors and disengagement from relationships. A planned conclusion usually includes recognition for participation and achievement and an opportunity for members to say personal goodbyes. Concluding a group can create some apprehension—in effect, a minor crisis. The termination of the group is a regressive movement from giving up control to giving up inclusion in the group. The most effective interventions in this stage are those that facilitate task termination and the disengagement process.

APPLICATIONS OF THE MODEL

Facilitators must be sensitive to the needs of group members in various stages of group development. By referring to this model, a facilitator can gain some insight into the inevitable stages through which a group must pass before attaining the benefits of stage four. This insight is useful both in planning group-learning situations and for monitoring a group's progress while it is in session.

As a tool to facilitate group communication and development, the model is most effective at stage three of a group's development. At this point, the members have experienced stages one and two and are in a receptive mode to internalize the implications of stage four. The model provides them with a goal they can visualize and work toward. Paying earnest attention to strategies for reaching stage four can facilitate the movement to that stage.

If the concepts of the model are presented when a group is in stage one, they may fall on deaf ears, receiving only polite attention. If presented in stage two, the concepts become food for conflicts or are ground into oblivion by the process of organization. At stage four, the model is unnecessary.

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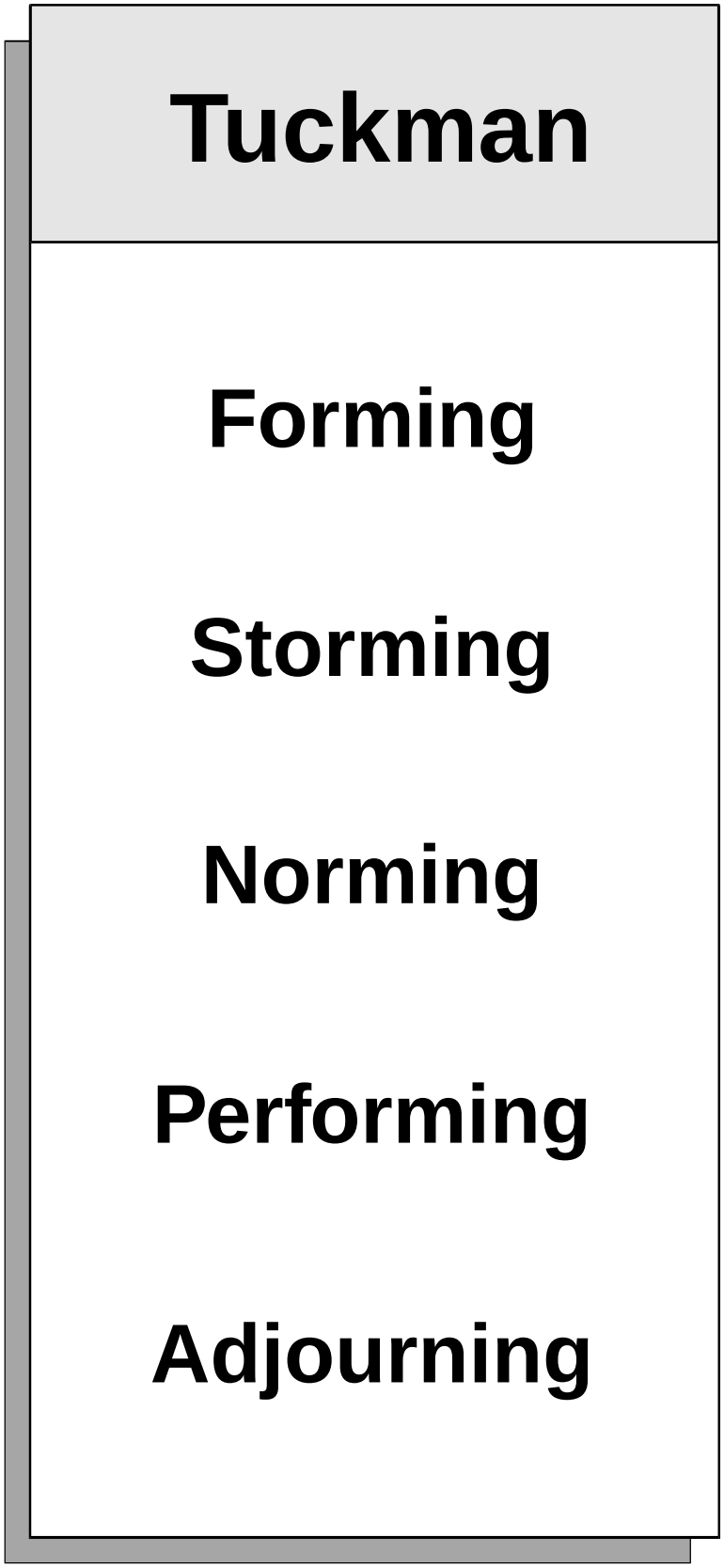
Tuckman
Forming
Storming
Norming
Performing
Adjourning

GROUP FUNCTIONS

There are three basic functions that consume a group's time and energy: task, interaction, and self-orientation. Boshear and Albrecht (1977) adapted the work of Bernard Bass (1962) to incorporate the concepts of direct and indirect activities that affect the group process. In any group, the time and energies of the members may be considered to be directed toward one of three basic functions:

1. ***Task-oriented*** behavior is aimed at accomplishing the objectives of the group. These objectives might be called "work"; they include things such as developing goals, requesting facts, offering information, clarifying issues, seeking consensus, or specific work such as writing, building, manufacturing, or repairing. Task objectives also could be called "play"; this would include things such as skiing, walking, fishing, camping, or participating in a sport.
2. ***Interaction-oriented*** activities relate to the group *process*—the operation of the group as a group. Behaviors that might indicate attention to interaction are encouraging, expressing feelings, attempting to reconcile disagreements, compromising for the benefit of the group, attempting to keep communication channels open, and setting or applying standards for group performance.
3. ***Self-oriented*** activities relate to meeting individual needs rather than helping the group in its task. These behaviors might include emphasizing personal issues, concerns, desires, and needs; dominating the discussion; interrupting others; wasting time; not listening; and pouting. Self-oriented activities may or may not be helpful to the task-oriented or interaction-oriented functions of the group.

DIRECT AND INDIRECT ACTIVITIES

The activities of the individual members in relation to the three basic functions may be direct or indirect. In direct behavior, there is agreement between the apparent reason for a member's behavior and the real reason. Indirect behavior is motivated by a reason the member does not reveal to the group. Such covert motives often are called "hidden agendas" because they are not on the open, shared agenda of the group. For example, if group members support an idea simply because they think it is a good one, they are engaging in direct behavior. If, however, they support the idea as a way to gain favor with the person who introduced the idea, they are engaging in indirect behavior.

The figure at the end of this article shows the relationship of the concepts and the range of possibilities for group functioning.

Each group has its own characteristic way of performing the three basic functions. In a "closed" group, the primary direct activities are restricted to task-oriented functions.

The members give direct attention to interaction-oriented functions only if they are necessary to the task. For example, a certain amount of social behavior is allowed to enable members to get acquainted, provided that it does not go on too long. Personal issues or self-oriented behaviors are discouraged.

In contrast to closed groups, other groups have norms that are more tolerant of interaction-oriented and self-oriented behaviors. The self-orientation of the members is even the primary focus of some groups in which interaction issues are dealt with only to the extent that they do not interfere with the personal needs of the individual members. The group either has no task or is so enmeshed in personal issues that the task receives no direct attention.

USE OF THE CONCEPT

This conceptual framework is useful in a group's effort to establish and maintain its norms and plan its expenditure of resources. It also can be used to facilitate a group's ability to observe and monitor its own processes.

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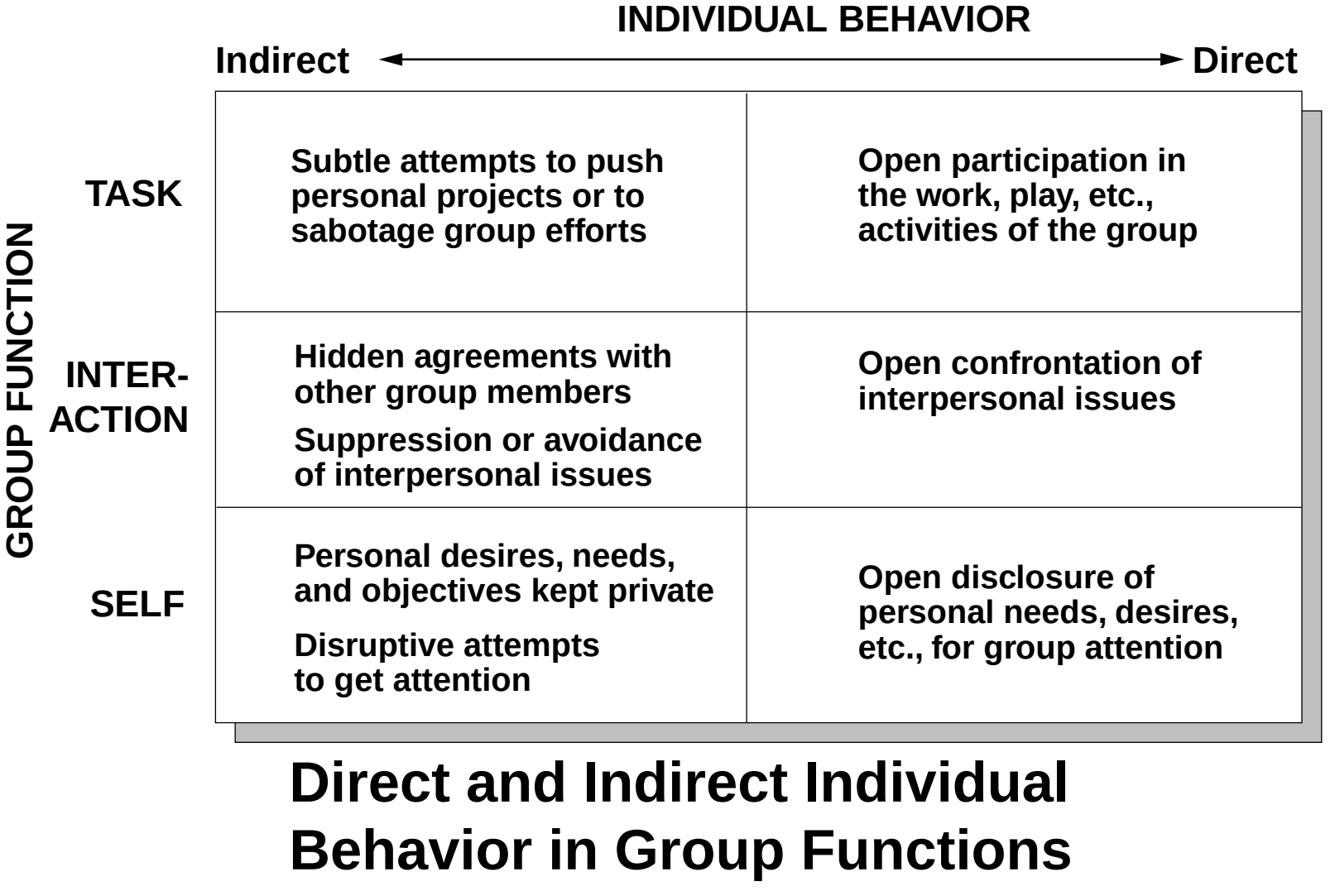

Direct and Indirect Individual Behavior in Group Functions

GROUP MEMBER ROLES

According to Benne and Sheats (1948), group training frequently assumes that leaders are responsible for the success of a group. Consequently, training often focuses excessively on the role of the group leader. Benne and Sheats reason that if groups are composed of both leaders and members, then an over-emphasis on group leadership neglects the relative importance of the roles enacted by group members. Members and leaders jointly share responsibility for group success.

Benne and Sheats classify group member roles under three major headings: task roles, building and maintenance roles, and individual roles.

TASK ROLES

Task roles center around getting the job done, the content of the group's activities, and what the group accomplishes. Task roles enacted by group members include:

- initiator-contributor
- information seeker
- opinion seeker
- information giver
- opinion giver
- elaborator
- coordinator
- orienter
- evaluator-critic
- energizer
- procedural technician
- recorder

BUILDING AND MAINTENANCE ROLES

Building and maintenance roles evidence concern about group process and how tasks are done. Building and maintenance roles include:

- encourager
- harmonizer

- compromiser
- gatekeeper and expediter
- standard setter or ego ideal
- group observer and commentator
- follower

INDIVIDUAL ROLES

Individual roles have to do with the ways in which group members satisfy their individual, personal needs; they do not necessarily relate to group accomplishment. Individual roles include:

- aggressor
- blocker
- recognition seeker
- self-confessor
- playboy
- dominator
- help seeker
- special-interest pleader

Benne and Sheats maintain that all members' roles are functional and all are necessary for group success. However, different roles are required at different stages of group development, and not all roles are required at all times. For example, the mixture and distribution of task-role requirements are functions of task progress; the distribution of building and maintenance roles are functions of group maturity; and individual roles are functions of individual maturity. For example, task roles that seek and give information probably would be more functional in early stages of task definition than would the evaluator-critic or procedural technician roles; the standard setter or ego ideal would likely be more functional as the group matured to levels more accepting of higher standards. The occurrence of individually focused roles will be significantly more noticeable as the group matures.

Each role contributes to group functioning and each hinders group functioning in some manner. An over-emphasis on task roles may require counterbalancing by building and maintenance activities; an over-emphasis on individual roles may require a shift to task and/or building and maintenance roles if the group is to function optimally.

Benne and Sheats suggest that it is no longer appropriate to look only to group leaders as the source of group quality and productivity. Members, as well as leaders, are ultimately responsible for group success. Thus, the development of diagnostic skills to

assess group role behavior as well as the group members' ability to enact a variety of roles can significantly increase a group's potential for quality and productivity.

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Task Roles	Building and Maintenance Roles	Individual Roles
initiator-contributor	encourager	aggressor
information seeker	harmonizer	blocker
opinion seeker	compromiser	recognition seeker
information giver	gatekeeper and expediter	self-confessor
opinion giver	standard setter or ego ideal	playboy
elaborator	group observer and commentator	dominator
coordinator	follower	help seeker
orienter		special-interest pleader
evaluator-critic		
energizer		
procedural technician		
recorder		

GROUP STRUCTURE AND PROCESS

Eric Berne (1963) developed the group structure and process model as a result of his studies of group dynamics. The model identifies the major internal relationships that exist within all groups. The figure at the end of this article depicts a simplified representation of Berne's concepts.

GROUP SPACE

Berne uses the term *group space* to denote both the *physical* space that the group occupies and the abstract, *psychological* space that can be thought of as the group's "identity." Groups identify, at least subjectively, both their physical and psychological boundaries. The group's physical space might be a conference room, a house, a club room, or any other area that is perceived as belonging to the group, either temporarily or permanently. Psychological boundaries are not as distinct, but some *external psychological boundary* is drawn between members and nonmembers of the group. Everything outside the group space is labeled the *external environment.*

Major internal boundaries exist within the group space to separate the group's members from its leaders. Major internal boundaries may or may not be reflected in the group's physical arrangement, but they do exist conceptually at all times. The *membership region* is made up of all the members of the group. The physical and conceptual differences that distinguish each member are known as the *minor internal boundaries.*

Within the conceptual framework of the group space, Berne (1963) identifies three forces that may place demands on a group's resources:

1. The *major group process* consists of the interactions between members and leaders. Support for or challenge to leaders is a part of the major group process. Support and challenge frequently occur simultaneously because some members support while others challenge leaders' credibility, authority, or actions.
2. The *minor group process* consists of the interactions between group members. "Minor" refers to the importance of these interactions to the whole group; they may not seem minor to the people involved. Minor internal processes include all the interactions that take place between members as they establish and maintain the relationships that allow the group to continue to exist.
3. The *external group process* consists of those areas in which the group interacts with its external environment. External processes may be routine or emergency, active or reactive. For example, a work group may give a routine progress report

to a person who is not part of the group, or an existing group suddenly may be confronted with an external intrusion.

Berne hypothesizes that *group cohesion* is a force that operates to maintain the orderly existence of a group. He believed that group cohesion can be measured by the group's ability to work against opposition and successfully overcome external pressure and internal agitation.

The separation of the leadership region and the membership region does not imply that specific people always can be fitted into one region or another. The group structure and process model is more like a group snapshot than a group documentation. The model simply depicts a group's leader and members at a particular point in time. The leadership region also may be occupied by more than one person. In families, for example, the leadership region may be occupied by two parents.

USE OF THE MODEL

The group structure and process model presents abstract concepts yet has many direct applications to everyday problems. For example, the model is an effective aid in problem solving because it points out how work groups' effectiveness can be eroded by infighting and by interorganizational competition. The model also can provide insight into the dynamics of inclusion versus exclusion and of leaders versus members.

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SOURCE

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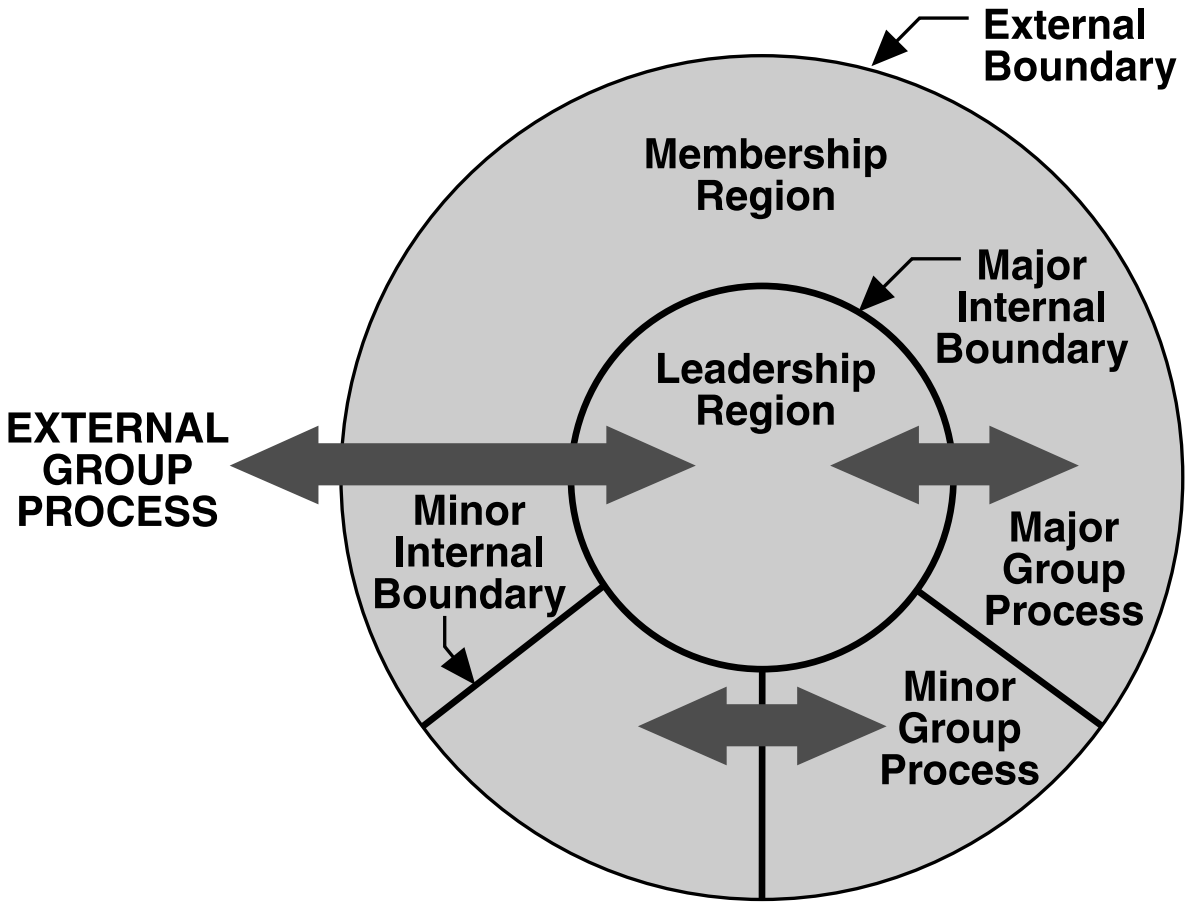

Group Structure and Process

Adapted from Berne, 1963.

HILL INTERACTION MATRIX (HIM)

The Hill Interaction Matrix (HIM) emerged as William Fawcett Hill (1965, 1973) was developing an instrument to measure group interaction styles. The HIM is a comprehensive method for thinking about and discussing group characteristics. It describes and categorizes group interactions from two perspectives, *content/style* and *work/style.*

CONTENT/STYLE

In classifying the subjects of group interactions, Hill identifies four typical categories: *topics, group, personal,* and *relationship.* The first two categories are oriented toward nonmembers, and the second two are oriented toward members. The topics category refers to subjects of general interest that are external to the group or the members. The group content includes interactions that have the group and the group processes as subjects. An interaction with one of the members as the subject would be categorized as personal content. The relationship category covers interactions between group members.

WORK/STYLE

The work style of a group is divided into four categories: *conventional, assertive, speculative,* and *confrontive.* Hill considers conventional and assertive to be prework styles, and speculative and confrontive represent the work itself. The figure at the end of this article illustrates the two dimensions of group interaction—content and work style—in matrix form. The workstyle dimension will be used to discuss the nature of the intersections.

1. ***Conventional.*** In the conventional mode, the group members hold fast to patterned and socially acceptable behaviors. Topical discussions are general, concerning subjects about which most members can agree or, at least, be objective. When the group is the subject, conversation may include operational information, such as meeting times and places, or social discussions about the group and its activities. If the members become personal, their talk is restricted to hobbies, likes, dislikes, general history, etc. The relationships discussed are very superficial, supportive, and flattering to the individuals.
2. ***Assertive.*** The assertive style is a pseudoconfrontation style. Although the group members may challenge one another, they do not do so for the purpose of seeking or giving help; they merely are acting out roles. Topical conversations involve gripes about the establishment, the government, the price of food, etc. Discussion about the group is critical and nonconstructive. When group members

become personal in the assertive style, they brag, show off, complain, or otherwise attempt to set themselves apart from the other group members. Relationships frequently are acted out or discussed in an exaggerated manner, either positively or negatively.

3. ***Speculative.*** The speculative style characterizes the cognitive work of the group members. It involves asking and answering questions and forming hypotheses. This style represents the intellectual processing of data and experiences. Topical discussions involve subjects relevant to group issues, such as behavioral theories. The group process is evaluated from a critical but constructive position, and the group seeks methods and strategies for improvement. Personal issues of members are examined for causation, consequences, alternatives, etc. Relationships are analyzed and evaluated for their importance or impact on the individual members.
4. ***Confrontive.*** Confrontation involves exposing oneself to personal risk, seeking and giving help in real problem areas, and making contact with others on vital issues. Topical issues in the confrontive mode are fully explored to understand all relevant meaning for the participants. In the confrontive style, group processes that have been consciously or unconsciously avoided are examined. Personal concerns of the group members are explored in depth to separate the real underlying issues from the surface distortions. The relationships between members are the subject of reality testing—looking behind assumptions and expectations to discover actual relationship issues.

Hill defines the first two styles, conventional and assertive, as "prework" because they represent the group's avoidance or pseudoconfrontation of issues instead of its actual engagement of the issues cognitively in the speculative style or experientially in the confrontive mode.

Over the duration of its existence, a group may engage in all the work styles and range over all the content areas. If a large proportion of the group time is devoted to one style or content area, it may be referred to as the group's style.

One version of the HIM includes an additional work style called *responsive*. It is characterized by reluctant group members whose primary interactions are to respond minimally to group leader interventions. It was not included in this discussion because it is usually not encountered in learning situations; it is observed primarily in therapy groups.

USE OF THE HIM

The HIM can be very beneficial to a group that is evaluating and monitoring its own behavior. It portrays a wide range of behaviors as possible options for the group, allowing members to conclude or adopt strategies that are most consistent with their objectives.

Not only does the model focus on characteristic behavior for the total group, it also lends itself to analysis of individual behavior. Group members can use the vocabulary of the model in articulating their fears, concerns, or frustrations. Even a subjective positioning of individual-member behavior within the HIM framework can clarify the reasons for misunderstandings and conflict between members.

Hill states that there is a deliberate value system in the arrangement of the content and work-style categories. The categories are arranged from left to right and from top to bottom in ascending order of their contribution to growth—as Hill sees it. When this value judgment is observed by group members in the presentation of the model, it is easily dealt with and does not seem to affect the utility of the model.

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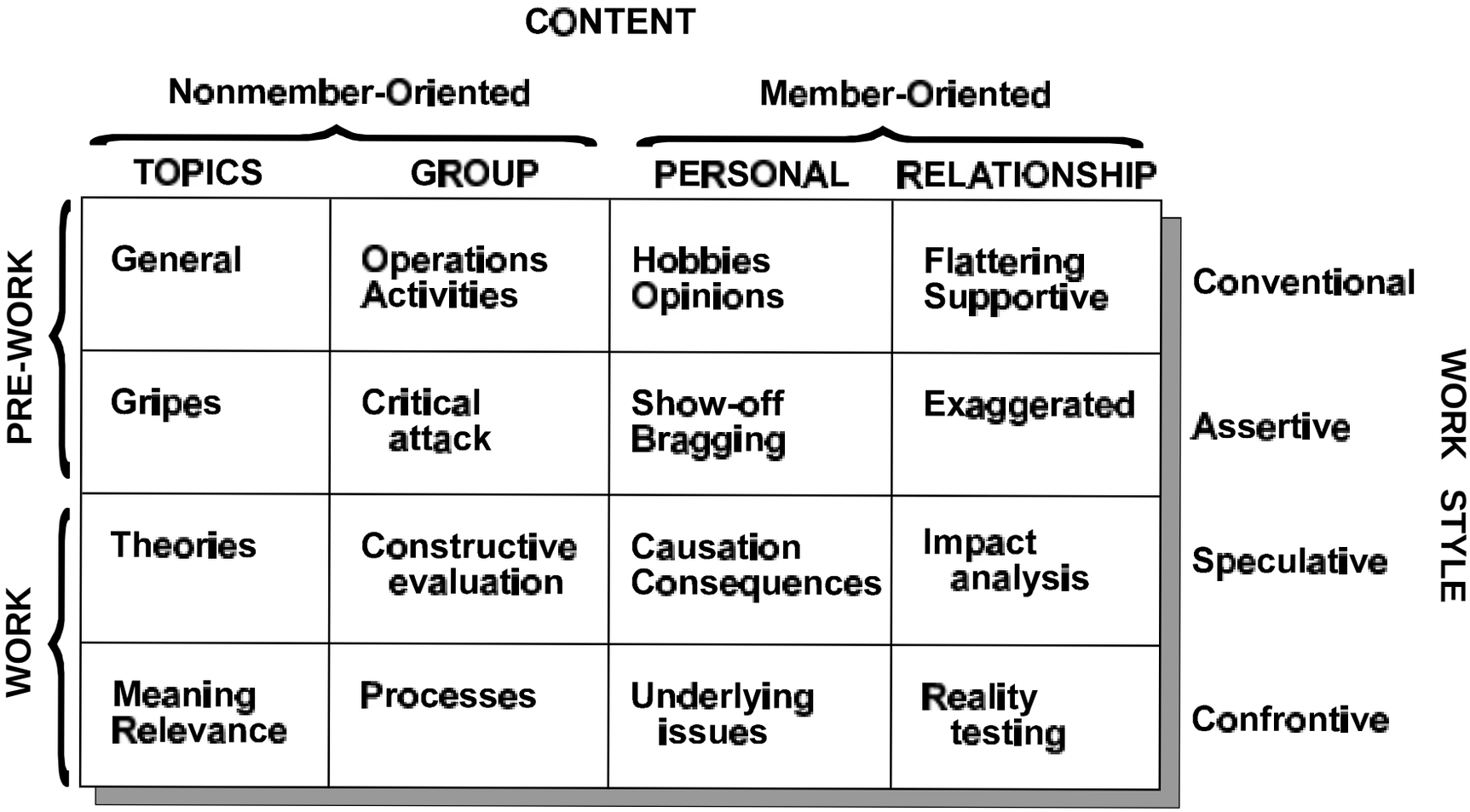


HILL Interaction Matrix (HIM)

Adapted with permission from W.F. Hill (1973)

IDENTIFYING ROLES OF GROUP MEMBERS

All interactions within a group either help the group to accomplish its task, help the group to maintain itself, or do not serve any group function. The member-roles viewpoint of group development implies that a group needs the participation of members in both task and group-building/maintenance areas if it is to grow and become fully productive. As stated by Dimock (1987), all group participation can be classified in terms of functions or roles, as follows:

Task Roles

1. Defining problems
2. Seeking information
3. Giving information
4. Seeking opinions
5. Giving opinions
6. Testing feasibility

Group Building/Maintenance Roles

7. Coordinating
8. Mediating-harmonizing
9. Orienting-facilitating
10. Supporting-encouraging
11. Following

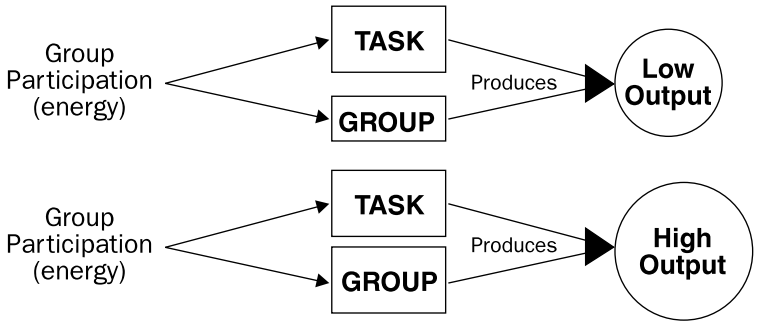
Individual Roles (nonfunctional)

12. Blocking
13. Out of field
14. Digressing

Not only does a group need both task and maintenance functions, but it needs *appropriate* functions *at the right time.* When a football team is not functioning well, an analysis is made of the different positions. All functions (positions and roles) are coordinated. But in a nonprofessional group, members may serve roles or functions of which the group is not aware or they may not be fulfilling any roles, and the members may not be aware of these omissions. A review of the roles taken in the group compared to the roles that a group requires (such as the eleven listed previously) can point out the gaps. Filling the gaps requires recognition of the importance of these roles and the ability of the members to fulfill these roles when needed. The latter is called role flexibility and may be the most valuable attribute of a group member.

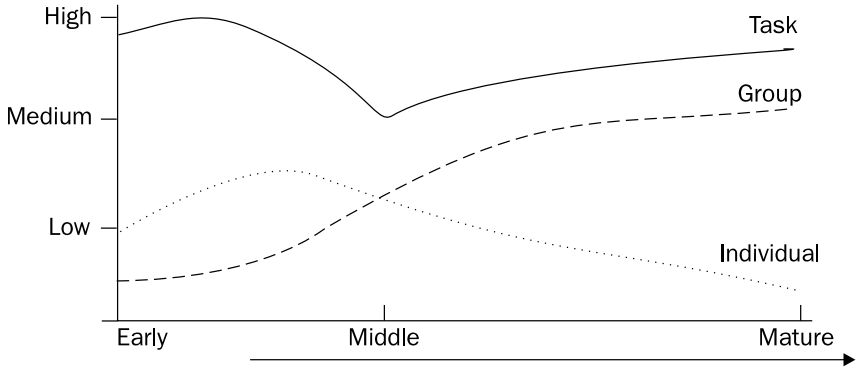
The extent to which the eleven essential functions are fulfilled becomes evident through group observation. For example, it may become apparent that only two or three people are attempting to fill all member roles. This keeps other members from assuming responsibility; they do not have the opportunity to develop or practice new roles or to utilize their existing skills.

Once identified through observation and analysis, lack of role flexibility, inadequate role distribution, and missing role functions can be improved through the agreement of group members to share and practice the needed roles in the group.



Giving major attention to task roles produces lower output (productivity) than giving attention to both task and group roles.

Giving major attention to task roles produces lower output (productivity) than giving attention to both task and group roles. Groups, during their initial stages of development, tend to be primarily task oriented. Almost all the participation is at the task level (e.g., giving opinions and giving information). The development of the group, as well as its productivity, is limited unless it can move into the group-building area.



Mature groups show a reasonable balance of task and group roles. Individual roles increase in the early stages of development and drop off during the mature stage. In fact, the development of a group can be charted by comparing the percentage of task roles to group-building and nonfunctional roles. The early stages are characterized by a high proportion of task roles with individual roles growing in number. As growth progresses, group roles rise and individual roles drop off.

A group has to acquire a balance of task and group functions if it is to utilize all its potential as a group. Typically, groups need help in learning group-building roles.

GUIDES TO OBSERVING ROLES OF GROUP MEMBERS

Dimock's observation tool encourages descriptions of individual behavior and provides specific feedback to each member. Group members find practicing different roles and getting feedback on the practice very useful in developing a larger repertoire of roles and in gaining skill and comfort in using them.

To make a complete record of a group meeting using this guide is a full-time job and removes the observer from participating. To allow for participant-observers, a five-minute sample can be recorded every fifteen or twenty minutes. It is best if the time samples are determined ahead of time to increase the likelihood of their being a cross-section of the total meeting. Observing the roles of group members compliments video recording of a group, as both forms of observation provide specific feedback to individuals. This activity is particularly useful for training purposes when the goal is personal skill development.

A few technical problems may arise in using this observation guide. An individual may take more than one role as he or she speaks, and it often is difficult to decide how to categorize the input. For example, a member may begin by agreeing and building on a previous speaker's idea but end up making a new proposal. This participation could be categorized as "supporting-encouraging" or "gives opinions." Although it is possible to list this contribution under both categories, Dimock suggests that it be listed under the chief message it left with the group. In this case, that would be "gives opinions," because a new proposal has more impact than general agreement. When in doubt, the observer can list both categories; in the long run, the group profile will look pretty much the same.

ROLES OF GROUP MEMBERS DEFINITION SHEET

Task Functions

1. **Defines problems:** group problem is defined; overall purpose of group is outlined.
2. **Seeks information:** requests factual information about group problem or methods of procedure; asks for clarification of suggestions.
3. **Gives information:** offers information about group problem or methods to be used; clarifies a suggestion.
4. **Seeks opinions:** asks for the opinions of others relevant to discussion.
5. **Gives opinions:** states beliefs or opinions relevant to discussion.
6. **Tests feasibility:** questions reality, checks practicality of suggested solutions.

Group-Building and Maintenance Functions

7. **Coordinates:** clarifies a statement and relates it to another statement in such a way as to bring them together. Reviews proposed alternatives.
8. **Mediates-harmonizes:** intercedes in disputes or disagreements and attempts to reconcile them. Highlights similar views.
9. **Orients-facilitates:** keeps group on track, points out deviations from agreed-on procedures or direction of group discussion. Helps group process; proposes procedures to make group more effective.
10. **Supports-encourages:** expresses approval of others' suggestions; is warm and responsive to others' ideas.
11. **Follows:** goes along with the movement of the group; accepts ideas of others; expresses agreement.

Individual Functions

12. **Blocks:** interferes with the progress of the group by arguing, resisting, and disagreeing beyond reason. Returns to "dead" issues later.
13. **Withdraws:** withdraws from discussion; daydreams; does something else; whispers to others; leaves room; etc.
14. **Digresses:** gets off the subject; leads discussion in personally oriented direction or turns a brief statement into a long, nebulous speech.

It is more difficult to categorize an intervention when its true meaning is camouflaged, especially if it is a fairly long speech. Although the content of the participation should be taken at face value and categorized accordingly, Dimock suggests that when in doubt, either list it as giving opinions or just omit it from the record. Often, new observers tend to puzzle over the intervention for a bit; by then the next speaker may say something that influences the rating. For example, if it is not clear whether Tom is supporting a previous idea, giving information about it, or seeking others' opinions about it, and the next speaker says, "Yes, I, too, agree that this would make sense and that we should do it," there may be a tendency to categorize Tom as giving opinions (agreement) or supporting-encouraging. The rule of thumb here is to try not to be influenced by a following statement in categorizing the previous one.

SOURCE

Dimock, H.G. (1987). *Groups: Leadership and group development.* San Diego, CA: Pfeiffer & Company.

ROLES OF GROUP MEMBERS

Put initials of each member at top of each column.

TASK ROLES									
Defines problem									
Seeks information									
Gives information									
Seeks opinions									
Gives opinions									
Tests feasibility									
GROUP BUILDING AND MAINTENANCE ROLES									
Coordinating									
Mediating-harmonizing									
Orienting-facilitating									
Supporting-encouraging									
Following									
INDIVIDUAL ROLES									
Blocking									
Out of field									
Digressing									

If a general, rather than individual, picture of the group is desired, the first column can be used to show the total times that function was taken by any group member. This would then show what functions were being overplayed and underplayed in the group.

INTERACTION PROCESS ANALYSIS (IPA)

In the late 1940s, Robert Freed Bales and a few of his colleagues at Harvard University's Laboratory of Social Relations became concerned that the methods being used to categorize the behavior of people in small groups were overly specialized and, consequently, held little relevance beyond the research population being studied. The practice of creating specialized lists of behavioral categories for each particular kind of group studied created major problems. First, the categorization of group behavior was closely tied to the research setting and often not applicable to other groups. Second, with group-specific categories, normative data allowing for the comparison of different groups were unavailable. Third, extensive training of observers was required with each new group studied.

Interaction Process Analysis (IPA) represents an attempt by Bales (1950) to develop a general classification of small-group behavior that is useful for describing the dynamics of people interacting in groups. Originally conceptualized as a vehicle to aid in the development of a larger body of knowledge suitable for the analysis of large social systems, IPA evolved into one of the early methods of describing small-group process.

DEFINING A GROUP

According to Bales, a group can be any number of persons (usually two to twenty) who interact, face-to-face, and perceive one another as group members. Bales observes that small groups, regardless of their task orientations, characteristically are similar in the manner in which members interact with and remember one another. Bales categorizes these behaviors as "interaction" or "process" behaviors and hypothesizes that similar behaviors appear in all small groups regardless of task (content) concerns. Thus, for Bales, the process of group interaction, exclusive of task concerns, presented the basis for a standardized, general-purpose framework for group analysis.

BEHAVIORAL CATEGORIES

Bales identifies and categorizes twelve initiating and response behaviors that he believes will comprehensively describe social interaction within groups. The first set of categories includes behaviors that exert positive influences on the social and emotional aspects of group interaction. The second set of categories includes behaviors that exert influence on task accomplishment and are socially/emotionally neutral. The third set of categories includes behaviors that exert negative influence on social and emotional aspects of group interaction.

Social/Emotional (Positive)

1. ***Shows solidarity.*** Behaviors in category one confirm the fellowship arising from a common responsibility or interest among group members. Included in category one are acts that demonstrate solidarity and cohesion among members, raise the status of another member, or give help and rewards. For example, greetings, handshakes, friendly gestures, use of first names, praise, encouragement, sincere compliments, offers of assistance, consolation, support, and comfort all are considered acts of solidarity.
2. ***Shows tension release.*** Included in category two are behaviors that indicate a spontaneous relief of tension. For example, friendly jokes, cheerfulness, delight, joy, positive responses to joking, clowning, playfulness, smiles, chuckling, and nonaggressive horseplay all are viewed as tension-reducing mechanisms.
3. ***Agrees.*** Category-three behaviors indicate agreement, understanding, acceptance, and compliance. Examples are acts that indicate confirmation or affirmation, commitment to carry out instructions or responsibilities, and nondefensive acceptance of criticism. Indicators of category-three behavior include body language as well as overt acts.

Task (Socially/Emotionally Neutral)

4. ***Gives suggestions.*** Included in category four are behaviors that suggest concrete ways of attaining group goals while allowing for autonomy of others. Examples are giving suggestions, giving directions, proposing solutions, indicating how to start a task, and indicating how to cope with a problem or issue.
5. ***Gives opinions.*** Category five includes acts that indicate thought-in-progress. For example, thinking, reasoning, analyzing, evaluating, expressing opinions or feelings, generating and testing hypotheses, and objective attempts to understand the behavior of oneself and others are considered thought-in-progress activities.
6. ***Gives orientation.*** Category-six behaviors are intended to focus group attention and prepare others to receive information or communication. Examples include orientation of new and existing members, giving information, clarifying, repeating, clearing of the throat, calling someone by name, maintaining eye contact, integrating new members, and stating facts alluding to outer or inner situations. Such behaviors say, “Get ready, here it comes.”
7. ***Asks for orientation.*** Behaviors that fall into category seven are those that seek additional information and indicate that a member does not have sufficient knowledge to support action. Examples are making efforts to obtain factual information, asking for information, indicating confusion or uncertainty pertaining to the group’s goals or tasks, and appearing disoriented.

8. ***Asks for opinion.*** Included in category eight are behaviors that encourage a statement or reaction on the part of another without limiting the response. Requests for an opinion, evaluation, analysis, inferential interpretation, or expression of feeling are examples of asking for opinion. Such requests often take the form of "Tell me more about . . ."; "How do you feel about . . . ?"; or "I wonder if . . . ."
9. ***Asks for suggestions.*** Included in category nine are behaviors that implicitly or explicitly solicit ideas regarding how the group is to proceed. Category seven is characterized by matter-of-fact, low-emotionality requests, such as requests for suggestions, directions, or ideas about how to proceed. Requests in category nine often take the form of "What should we talk about?" or "How should we proceed?"

Social/Emotional (Negative)

10. ***Disagrees.*** Category ten includes behaviors that indicate disagreement or a non-committed attitude. Category ten is characterized by passive rejection, failing to pay attention, skepticism, excessive caution, aloofness, playing "hard to please," failing to provide information or to complete tasks, procrastinating, ignoring requests or complaints, and defending or restating an original position excessively.
11. ***Shows tension.*** Behaviors assigned to category eleven indicate increased tension and stress within the group. Such behaviors include requests made with noticeable emotionality, body language that suggests shame or guilt, excessive need for support, craving for affection, expressions of frustration, indications of perceived failure, apathy, psychological withdrawal, lack of attention, boredom, anxiety, hesitation in speech, and speechlessness.
12. ***Shows antagonism.*** Category-twelve behaviors indicate antagonism or hostility and tend to minimize the status of other group members. Category twelve includes attempts to defend and assert a personal position, attempts to control and regulate others, attempts to resist supervision and direction by others, and attempts to supervise and direct others in a manner that appears to be arbitrary or authoritarian. Examples are resisting control, griping, harassing others, interrupting, finishing sentences for others, covering up deficiencies, being on guard, seeking status, attempting to vindicate oneself, boasting, throwing temper tantrums, displaying jealousy, and being belligerent.

SCORING

The importance that Bales placed on standardized procedures for group observation led him to the development of a quantitatively based system for systematically observing and scoring group behavior. Bales believed that if his methods were to lead the way in

standardizing group observation, not only must behavioral categories be standardized, but processes for observing group interaction must be standard as well. Most importantly, Bales thought that observers must be trained to understand and recognize as well as record group observations.

Once an observer has mastered the complexities of the behavioral categories, group observation becomes a matter of the observer sitting down with a printed set of categories (as shown in the figure) and recording the behavior as it occurs.

To record group processes, group members are each assigned a number, and behavior is recorded by putting the number of the person speaking and the number of the person spoken to next to the appropriate category in the Interaction Matrix. For example, the request for information from person 1 directed at person 2 would be recorded next to category seven as "1-2" (see figure). The response from person 2 directed to person 1 would be recorded next to category six as "2-1." All subsequent initiation and response behaviors would then be recorded in a similar manner.

Interaction Matrix

Socio-Emotional (Positive)

1. Shows Solidarity								
2. Shows Tension Release								
3. Agrees								

Task (Socio-Emotional Neutral)

4. Gives Suggestions								
5. Gives Opinion								
6. Gives Orientation	1-2							
7. Asks for Orientation	2-1							
8. Asks for Opinion								
9. Asks for Suggestions								

Socio-Emotional (Negative)

10. Disagrees								
11. Shows Tension								
12. Shows Antagonism								

IMPLICATIONS

IPA data yield several interpretive possibilities based on the relationship between behavioral categories. As discussed previously, group behaviors are classified according to three behavioral dimensions: social/emotional (positive), task (neutral), and social/emotional (negative). The preferred pattern of interaction for healthy, fully functioning groups is one of balance and shifting emphasis between social/emotional and task concerns. When excessive attention is placed on task, then social/emotional concerns are minimized and tension is created in the social/emotional arena. Emphasis would need to shift to social/emotional areas in order to bring the group to a healthy state of equilibrium. Likewise, excessive attention placed on social/emotional areas would be likely to create tension related to task accomplishment and require a shift to task concerns. This systematic viewing of group process is probably the most powerful offering of Interaction Process Analysis.

With categories six and seven as a starting point, there is a symmetrical relationship between the top and bottom half of the IPA model. A second level of analysis makes use of the symmetrical relationship between categories. For example, category six pertains to activities that are intended to focus attention and prepare others to receive information. Category seven pertains to activities that seek additional knowledge and information. Thus, an examination of group activities in categories six and seven reveal group functioning related to communication. Likewise, opinion-seeking behavior in category eight is counterbalanced by opinion-giving behavior in category five, and an examination reveals group functioning related to evaluation. Similarly, categories nine and four attend to control issues; ten and three, to issues related to decisions; eleven and two, to issues related to reducing tension; and categories twelve and one address issues related to reintegration.

IPA also has been demonstrated to be useful in the analysis of group problem-solving processes. Categories one, two, and three; categories four, five, and six; categories seven, eight, and nine; and categories ten, eleven, and twelve, respectively, are associated with positive problem-solving responses (1,2,3), attempts to provide answers (4,5,6), asking questions (7,8,9), and negative problem-solving responses (10,11,12). Within this framework, the problem-solving sequence is conceptualized as asking questions, attempts to provide answers, and positive and negative responses.

SOURCE

Bales, R.F. (1950). *Interaction process analysis: A method for the study of small groups.* Reading, MA: Addison-Wesley.

MAJOR GROWTH PROCESSES IN GROUPS

Groups exert powerful influences, and these pressures can be either beneficial or detrimental to the welfare of their members. Many different types of groups can foster the growth of the individuals who comprise them. A combination of processes that can be engendered in a group can create both the conditions for and the methods by which members can learn about themselves in supportive ways.

The five major growth processes that can be observed in groups are *self-assessment, self-disclosure, feedback, risk taking,* and *consensual validation.* Each of these processes will be examined separately, but it is important to remember that it is their interaction that accounts for much of the immense potency of social interaction for shaping the behavior of individuals. The goal in unleashing these processes is to assist individuals in making "wise" choices, based on three criteria: *awareness of self, awareness of options,* and *willingness to take responsibility for consequences.*

It is important to note the interdependence of these processes, the centrality of self-assessment, and the importance of the trust condition to support each process. Although it is not necessary for these processes to be initiated in a given sequence, the one in which they will be discussed here roughly parallels the development of many groups that are formed for purposes such as personal growth or team building.

SELF-ASSESSMENT

The core of personal learning is looking clearly at oneself. Unfortunately, our ability to distort information about ourselves is almost limitless. The key to individual growth in any effort that can be described as humanistic is self-assessment. The first criterion of the "wise" choice is self-awareness.

In any group in which members are looking critically at themselves, there is the likelihood that new insights will emerge. If the group exists to promote growth on the part of its members, it needs to emphasize the need to relate what happens in the group to individuals. The key questions often are: "Who am I?," "What am I up to?," "Where am I going?," and "What difference does it make anyway?"

The concept that an individual has about self is a remarkably stable aspect of personality. It has a profound effect on how the person behaves or chooses not to behave. Our self-concepts come from "significant others," usually in the formative years. Sometimes what we have learned about ourselves from those whom we have trusted shapes large parts of our lives. We all have self-concepts, although we may not be aware of what they are. We defend ourselves when we feel threatened and we open ourselves to learning in a high-trust situation. It is as though the self-concept is surrounded by a membrane that is thick under threat and permeable with trust.

In order for group members to be able to see themselves more clearly, additional processes must be followed. Interacting with others can provide new data about oneself.

SELF-DISCLOSURE

Talking about oneself in a group setting is just one form of disclosure and is a potentially useful way of discovering patterns. Sharing feelings with others can be both cathartic and enlightening. We mediate our self-disclosure by choosing what to reveal, in accordance with our perceptions of what is appropriate in the situation. Group norms can have a significant effect on this. We hold back less in an atmosphere of trust than we do when we feel threatened.

FEEDBACK

The third core growth process is feedback, or the sharing of interpersonal perceptions and reactions. We give feedback by telling others how their behavior affects us. This process greatly affects our self-concepts. Feedback from someone one knows and trusts has even more effect than feedback from a stranger or someone whom one mistrusts. In a group situation, there is the potential for both constructive and destructive feedback. Because the process is so powerful—especially when it is requested—it can result in a narrowing of one's choices as well as a clearer understanding of oneself.

Feedback needs to be managed well. When an individual solicits concrete, descriptive statements from others about the effects of that individual's behavior, that person's self-concept is probably the most permeable. If the feedback is targeted toward the growth goals of the individual, the data are likely to be useful. However, the process is risky.

RISK TAKING

Some areas of the self are not directly accessible through reflection or discussion. One must take risks to reach them. Trying new ways of behaving can help us to discover parts of ourselves that we may have been afraid to explore and that may disconfirm certain aspects of our self-concepts. Obviously, some risks are foolish (the probability of negative outcomes is too high) and others have little growth potential (failure is unlikely). Trying out new behavior in a group can not only expand one's response repertoire, but also can disclose new parts of oneself.

If the group has high mutual trust, members are likely to receive support for experimenting with behavior, especially if they announce what they are doing. This is one of the keys to building trust. Talking about trust does not instill confidence; that comes from working together on commonly agreed-on objectives. The experience of success and of validated expectations of one another creates a feeling of safety.

CONSENSUAL VALIDATION

Feedback that contains themes or common threads is more powerful than feedback that is different from each individual. One develops the idea that one is loveable (or stupid, or competent) by hearing that message from more than one person whom one trusts. This does not, by the way, mean that the feedback is accurate, but the consensus "validates" the information and increases the chances that one will internalize the characterization.

Consensual validation is one of the most powerful processes that occur in groups. It can serve as a mechanism for "correcting" one's self-concept, for counteracting one's tendency to practice self-deception. The practical implication for growth is that we can compare other's perceptions of and reactions to us and look for commonalities.

IMPLICATIONS FOR WORK GROUPS

If it is desirable that individuals learn from their behavior on the job, it is necessary that they have opportunities to attempt new tasks, receive feedback, and experience support and rewards for development. Norms of openness, solicitation of feedback and confrontation, experimentation, and tolerance for varying perceptions must be established and maintained in the work group.

It is, however, important to remember that work groups are put together primarily to perform tasks that require the members' cooperation, not primarily to support individual learning. Task primacy means that self-disclosure, feedback, and risk taking need to be encouraged only in relation to the tasks of the group.

IMPLICATIONS FOR GROWTH GROUPS

Growth groups are assembled to provide data to individuals and to give them a place in which to try new ways of behaving. The major growth processes discussed earlier are the principal vehicles for change, and these processes should be initiated deliberately. The facilitator can help to promote trust by modeling and encouraging others to engage in self-assessment, self-disclosure, feedback, risk taking, and consensual validation.

It follows that if one wants the individual to grow in self-awareness as a precondition to making wise choices, one must ensure that the group mirrors the array of data sources in that person's usual environment. The composition of the group is important: if there is too much homogeneity, the individual may not learn how other kinds of people may react to him or her. Conversely, if the group is too heterogeneous, some individuals may experience anxiety about being "different" and may not participate fully. A good guideline is one of controlled variety: maximum difference with the proviso that no person feels unable to identify with any other member.

SOURCE

Pfeiffer, J.W., & Ballew, A.C. (1988). *Presentation and evaluation skills in human resource development* (UATT Series, Vol. 7). San Diego, CA: Pfeiffer & Company.

Self-Assessment

Self-Disclosure

Feedback

Risk Taking

Consensual Validation

Five Major Growth Processes in Groups

MANAGING MEETINGS

The business meeting continues to gain importance in today's organization. As more organizations exist for the sole purpose of processing information, more meetings are being held to discuss and to disseminate that information. Furthermore, the "real business" of an organization often is conducted within a meeting. Statistics show that typical managers spend approximately one quarter of their work days in meetings—meetings that often are dull, uninspiring, boring, or even without purpose.

TYPES OF MEETINGS

Nicoll (1981) identifies eight types of meetings, each having a different purpose. It is important for everyone involved in a meeting to understand what kind of meeting he or she is in.

1. ***Informational meetings*** are held to disseminate data, facts, decisions, and policies that have been made at higher levels in the organization. Informational meetings are of three subtypes: (a) *from supervisor to subordinate*, in which the former conveys information; (b) *from subordinates to supervisor*, in which subordinates convey information; and (c) *interactional*, in which information is shared.
2. ***Validational meetings*** are held to announce decisions made by higher management and to gain commitment to implementing the decisions.
3. ***Planning or strategizing meetings*** are held in order for the participants to create long-range action plans for themselves. The outcome usually is a vision or mission and some sort of to-do list.
4. ***Problem-solving and decision-making meetings*** are similar to planning and strategizing meetings except that the plans made are for the short term. The focus is on day-to-day business rather than on long-range planning.
5. ***Staff conferences*** are held to ensure the progress of action plans generated in planning and problem-solving meetings. Progess reports are provided, the expression of opinions is solicited, and individual actions are coordinated.
6. ***Feedback and evaluation meetings*** are held to assess the progress of goals set in previous planning or problem-solving meetings. The focus is on organizational or personal performance.
7. ***Training meetings*** are held to educate. The training typically focuses on behavior, skills, or knowledge that will allow people to perform their duties more easily and effectively.

8. ***Celebrative meetings,*** which usually are social get-togethers rather than structured proceedings, allow participants to relax and to take pride in their accomplishments.

PLANNING THE MEETING

Much has been written on the management of meetings—how to make them more interesting, how to ensure equal participation by all group members, how to organize a meeting, and so on. Many meetings are problematic because of inadequate preparation. Schindler-Rainman, Lippitt, and Cole (1988) list ten dimensions that all meetings have in common. These factors must be considered when planning a meeting.

1. ***People.*** All meetings involve people. There may be two people or hundreds or thousands, depending on the purpose of the meeting. Meeting participants may differ in their familiarity with the proceedings or in their ages, ethnic backgrounds, genders, attitudes, and values. These differences must be considered when planning a meeting.
2. ***Purpose.*** All meetings have reasons for being. Sometimes these purposes—or hoped-for outcomes—are clearly stated and sometimes they are taken for granted.
3. ***Atmosphere or Climate.*** All meetings have an atmosphere or climate. Sometimes it just happens. More often, it is planned to ensure the kind of atmosphere that will facilitate a productive meeting. The atmosphere is affected by the physical surroundings; the arrangements; the room temperature; the patterns of greeting, seating, and meeting people; and the patterns of involvement or noninvolvement during the meeting. If some thought is given to the climate, a meeting can have an atmosphere that is conducive to participation and productivity.
4. ***Place and Space.*** Meetings are held in a space and a place, and meeting planners must consider the following: access to the space, size of the space, kinds of movable furniture available, acoustics, cost, availability of parking, relationship between the space and the purpose of the meeting, equipment needed, lighting, temperature controls, and restroom facilities. These factors have much to do with the way participants feel as they enter the meeting and the degree to which they can comfortably and productively accomplish their business.
5. ***Costs.*** Meetings have various types of costs. Some costs, such as the costs of regular staff meetings, are considered standard operating expenses. Other meetings are costly because room or equipment rental or other items must be paid for. Paying the people who attend the meetings also must be taken into account when assessing expenditures.
6. ***Time Dimensions.*** All meetings have beginnings and endings, although their lengths may vary greatly. Within the allotted time, usually there will be a

planned sequence of events or agenda items. It is important to decide who will make the time decisions and who will decide when the meeting will be held. The person who makes these decisions will need to consider factors such as the length of time that it will take most participants to travel to and from the meeting.

7. ***Prework.*** Some meetings are carefully planned beforehand; others just happen. One must think about and plan for the people who are coming: various ways to get them there, ways to make the meeting interesting, materials that will be needed, and so on. A meeting's productivity is directly related to the amount of planning that goes into the meeting.
8. ***Plans, Program, and Agenda.*** Most meetings have an agenda; some are thought out beforehand, while others are not created until the start of the meeting. A detailed, planned program or agenda, which can be shared by all participants, is a valuable addition to a meeting. When planning the agenda, it is important to consider who will do the planning, to what degree the participants are involved with the planning, and the type and number of issues that can be dealt with in the time available.
9. ***Beginnings, Middles, and Endings.*** All meetings, whether they are one hour or several days in duration, can be examined in terms of beginnings, middles, and endings. Often, little thought is given to how the meeting will begin or end, most of the focus being on the actual content (the middle of the meeting) and on the work to be done. Failure to plan the beginning and ending of a meeting can result in an unproductive middle or in a lack of follow-through.
10. ***Follow-Up.*** After a meeting has ended, there usually is a need for some follow-up activity such as writing thank-you notes, implementing action items, paying bills, giving information to people who did not attend, making phone calls, recording minutes, and so on. The planning stage of any meeting should take these follow-up activities into consideration.

IN-PROCESS MEETING MANAGEMENT

In addition to more detailed meeting planning, managers are finding it necessary to pay more attention to the management of meeting participants. Every organization has a hierarchy; part is overt (job titles, designation of managers and subordinates, and so on), and part is unspoken. Within each group of people there tends to be a "pecking order," even if the people technically are colleagues on the same rung of the hierarchical ladder. Some members act domineering: they are talkative, they tend to interrupt others, and so on. Less aggressive members may not feel comfortable challenging the dominant member(s) and may remain silent for the duration of the meeting. This results in uneven participation, which often produces side effects such as boredom and stilted lines of communication.

Mosvick and Nelson (1987) identify eleven steps for ensuring effective decision making in meetings. These items also are good tips for effective meeting management.

1. Spend enough time stating and restating the initial question until everyone agrees on the problem or issue to be discussed.
2. Solicit participants' honest opinions at the outset of the meeting.
3. Think of opinions as hypotheses; test them instead of arguing over them.
4. Plan a method of testing opinions against reality, considering the issue and the goal.
5. Establish a rule that additional information given during the meeting must be relevant to the agreed-on topic.
6. Encourage disagreement and differences of opinions.
7. Do not judge others' opinions hastily. Learn to appreciate the diversity of others' points of view.
8. Encourage meeting members' commitment to resolving the issue whenever possible.
9. Compromise as needed.
10. Ask whether a decision is necessary. Remember that choosing to do nothing is a legitimate choice.
11. Construct a process for feedback to find out whether the decision was successful.

AVOIDING COMMON MEETING PITFALLS

The following are some dysfunctional patterns and behaviors that commonly are found in meetings (Bradford, 1976):

- Vying for power, often by challenging the leader or by wooing a group of supporters, thus dividing the group;
- Joking and clowning excessively, which not only is a distraction but also may disguise hostility;
- Failing to agree on the issue or problem;
- Arguing about others' opinions or suggestions, which stifles the brainstorming process and can cause embarrassment or discomfort;
- Wandering off the topic at hand; and
- Forcing meeting members to answer to the chairperson (usually someone who is higher on the organizational ladder than they are).

Awareness of these traps can help the meeting manager to avoid them. Constructive, rather than punitive, confrontation is an effective technique for dealing with many disruptive and dysfunctional meeting behaviors. A meeting leader who

chooses to confront must be sure to discuss the *behavior*, not the person. More desirable behaviors should be suggested in a direct but caring way. Jones (1980) suggests two approaches to dealing with disruptive meeting participants. The first approach (see examples below) requires the meeting leader to communicate directly with the disruptive person.

- Turn a dominating person's questions into statements, thus forcing the person to take responsibility for his or her opinions.
- Refuse to engage in a debate. Point out that debates have winners and losers; therefore, the desired win-win outcome is impossible.
- Suggest that the meeting leader and the disruptive person swap roles. This gives the person a sense of what he or she is doing to the group.
- Using active-listening techniques, mirror the person's feelings. For example, "You seem particularly upset today, particularly when I disagree with you."
- Agree with the person's need to be heard and to be supported.

The second approach to dealing with disruptive meeting members that Jones (1980) suggests uses the other meeting participants as allies against the disruptive person. Some examples are as follows.

- Ask the participants to establish norms that will discourage "You're wrong, I'm right" thinking.
- Post all participant input anonymously on flip charts. This makes information available to all and can lessen repetition.
- Break the participants into small groups, which immediately limits a dominating person's sphere of influence. Give the groups a task that requires them to reach consensus.

UTILIZING THE MEETING-MANAGEMENT GUIDELINES

Meeting leaders may find that the use of *small groups* can help to prevent the participants from falling into the common meeting traps. When people break into small groups to discuss an issue, less assertive persons often become more willing to participate. A small group is not as likely to wander off the subject as a large group. Because fewer people are competing for attention in a small group, members tend to feel a stronger sense of commitment. Finally, small groups can diffuse aggressive members' tendency to dominate the conversation.

Meeting leaders will find that their meetings will become more interesting, lively, and balanced as they follow the guidelines that have been presented in this article. The core points to remember are that all meeting participants must be treated equally; that honesty must be the norm; and that all opinions must be encouraged and respected.

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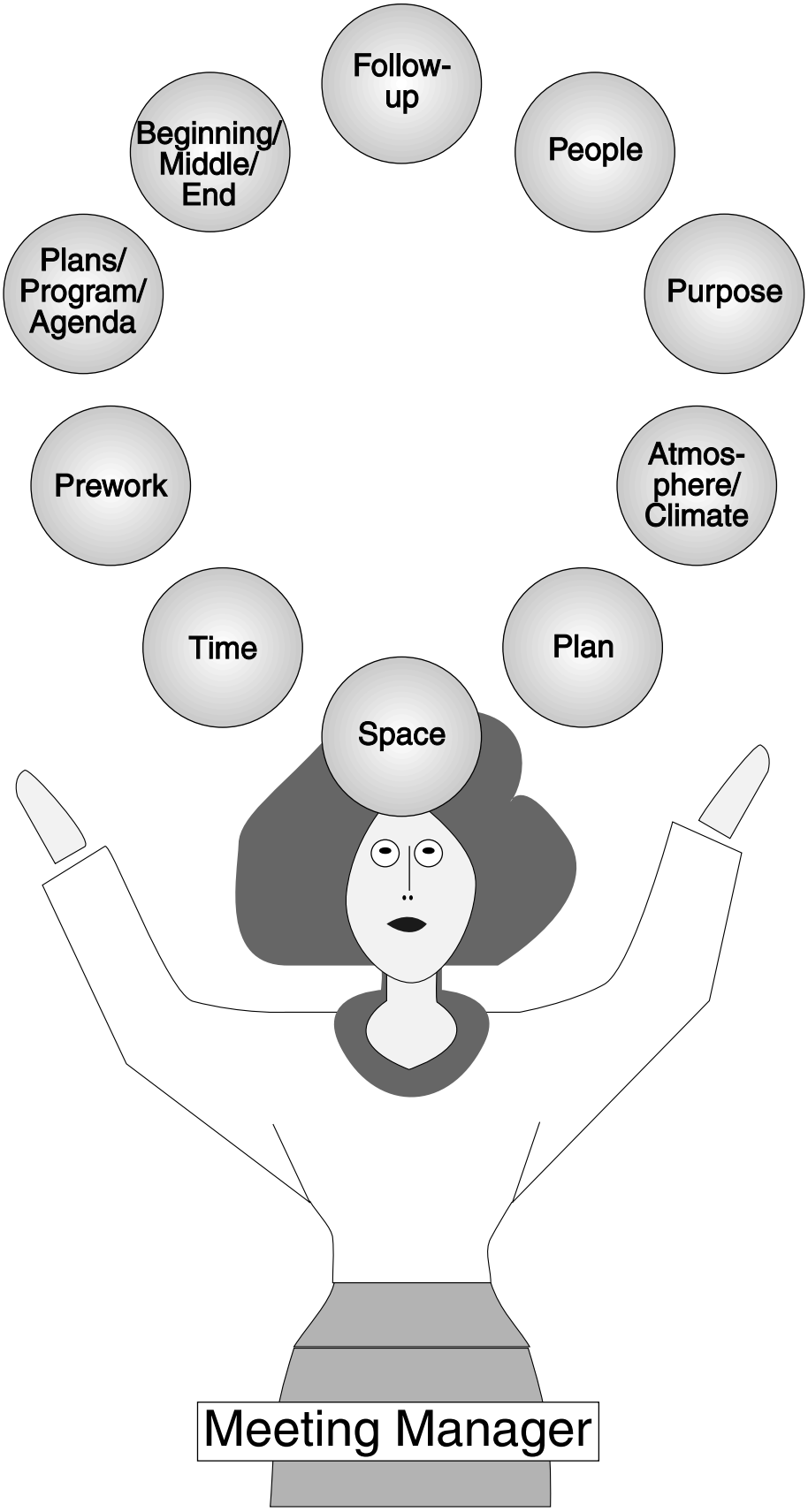
Follow-up
Beginning/ Middle/ End
People
Plans/ Program/ Agenda
Purpose
Prework
Atmos-phere/ Climate
Time
Plan
Space
Meeting Manager

A MODEL OF GROUPS: SYSTEMS THEORY

In *The Human Group,* George C. Homans defines a *group* as any number of people who frequently interact with one another (p. 85). Every person belongs to a variety of groups: co-workers, families, classmates, congregations, clubs, and so on. Cliques, associations, gangs—all are groups. In addition, *subgroups* often can be demarcated when a group contains more than two members. For example, in a department of seven people in an organization, there may be three subgroups: one subgroup of four, one subgroup of three, and two persons who have a closer friendship than is found among the members of the other two subgroups.

THE GROUP AS A SYSTEM FUNCTIONING IN AN ENVIRONMENT

Groups have boundaries. They are exclusive, i.e., certain people belong to them and all others do not. Groups tend to view others as outsiders and to resist changes in membership and advances from others, which they interpret as intrusions. Homans calls everything and everyone that is not part of a group the *environment*. Obviously, groups exist within their environments and cannot help but be affected by their environments.

Groups can be thought of as *systems* or "organized wholes." Homans compares a group functioning in its environment to an organism surviving in its environment, simultaneously affecting and being affected by its surroundings. Thus, we see that although a group may have a fixed membership, it must be flexible and adaptable in order to survive in its ever-changing environment.

Homans defines a *social system* as "the activities, interactions, and sentiments of the group members, together with the mutual relations of these elements with one another during the time the group is active" (p. 87). Everything that is not part of the social system is part of the environment in which it exists. The environment influences and affects groups in three ways: physically, technically, and socially.

The *physical* environment consists of the actual surroundings in which the group functions, the tools or objects that it employs, and so on. For a group of office workers, the physical environment may consist of the office building, offices, paper, computers, typewriters, and all the other objects in the workplace. Placement of workers (proximity of offices, etc.) also can contribute to a group's formation.

The *technical environment* consists of the "tools of the trade" and the particular manner in which they are used by the group members. Accountants use adding machines; members of a health club use weight machines, stationary bicycles, and saunas.

The *social environment* is more abstract than the physical or technical environments. A group's social environment encompasses the social norms of the group, the norms of the group's surroundings, the organized systems of interrelating (e.g., the way in which a business functions), and so on. One group may have a warm, supportive, social environment; in another group, competition, lack of trust, and "backstabbing" may be accepted norms. To some extent, group members are responsible for sustaining the social environment by reinforcing accepted and expected behavior, resisting change, and teaching new members "the way things work around here."

GROUP SURVIVAL: ADAPTABILITY OF THE EXTERNAL SYSTEM

In accordance with the phenomenon of "survival of the fittest" or natural selection, a group must behave in a manner that will allow it to survive in its environment. Homans specifies three elements of group behavior that must continually adapt and change to preserve the group: *sentiment, activity*, and *interaction*. The way in which these three elements adapt to their environment is called the *external system.*

The external system is cyclic; that is, it is a circular pattern of cause-and-effect or action/reaction that does not have a discernible beginning. The group continually changes in order to survive in its environment and as it changes, it imposes on the environment. In other words, not only does the group adapt to the environment, but the environment adapts to the group. It is impossible to say which came first, the environment or the group, because they simultaneously create each other.

Within the external system, two components, sentiment and activity, are interdependent. *Sentiments* can be defined as urges or motivations that compel one into activity to alleviate a feeling of need. Thirst can be classified as a sentiment, and drinking can be labeled an activity.

Sentiment and activity are applicable not only to current needs; they are also present when a person anticipates a future need. In the previous example of thirst and drinking, a person's thirst is a current need, giving rise to the motivation to drink. Having quenched the thirst, however, the person still could fear future thirst, which would create the motivation to drink more or to carry water. Homans states that the relationship between motive and activity is reciprocal; if either is changed, the other will be affected.

Two other components of the external system, activity and interaction, also are interdependent. *Interaction*—verbal or nonverbal communication—occurs as a result of activity. Actions (especially those by people who are members of the same group) affect others and cause them to react, however subtly. Group members' actions necessarily produce interactions among members.

THE INTERACTION PYRAMID

The relationship between activity and interaction becomes somewhat different when the group involved is a manager and his or her employees. When supervision is the activity, interaction (communication) does not adapt and change in the way that it does among same-status group members. According to Homans, this produces the "pyramid of interaction" or hierarchical structure. This is the traditional organizational power structure in which a few people at the top have power over many others, and influence filters down through the ranks. Homans states that it is difficult for one person to supervise many persons; thus, the interaction pyramid allows for many levels of supervision and many small groups within the larger environment. This structure tends to remain stable in the face of changes in activity; in fact, Homans perceives the pyramid as a method of organization into which larger groups naturally fall. (Homans' theory was developed prior to the emphasis on empowerment of employees and the flattening of organizational structures to reduce middle management.) Not all organizational interaction is vertical; much of it is lateral (among peers).

As organizations become more sophisticated, and awareness of the importance of human resources grows, it becomes apparent that effective communication and interaction are crucial to the success of groups and larger organizations. Activities such as team building and group development may literally pay off in increased effectiveness and harmony in a work group.

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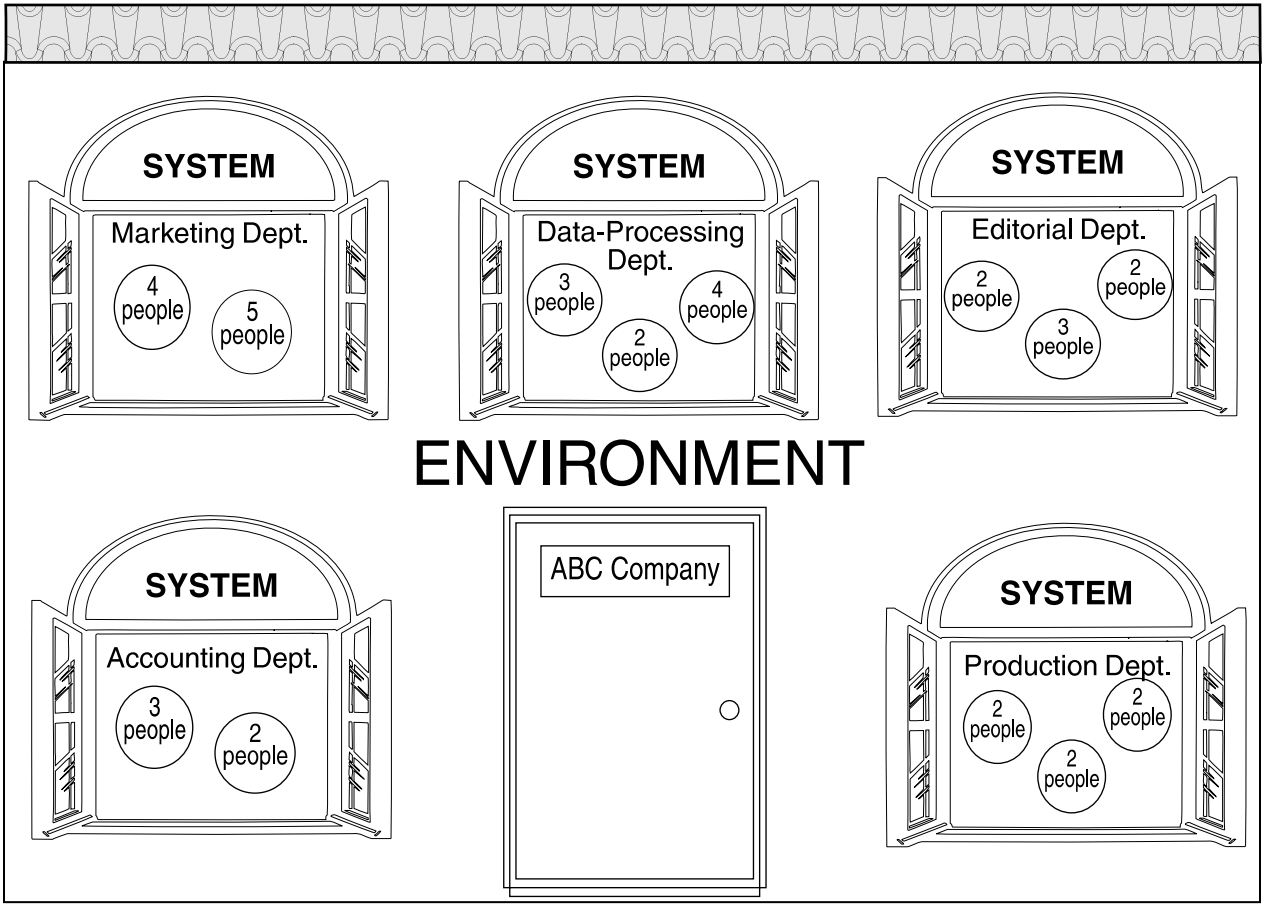

Groups Functioning as Systems Within an Environment

POSITIVE GROUP NORMS

All groups have expressed and/or unexpressed norms, or ways of doing things. Expressed norms may be in the form of written rules or procedures. Unexpressed norms may be tacit understandings about the ways in which members interrelate, how long meetings will last, how much frivolity will be included in meetings, and so on. Several criteria are useful in making judgments about norms in groups and can help to increase the clarity with which facilitators and groups confront particular issues.

FEEDBACK

If people learned solely from experience, older people clearly would be more skilled at relationships and behavior than younger people. In reality, how people use their experience is more important than the experience itself. Individuals learn through developing behavioral patterns guided by clear and accurate feedback about the effectiveness and appropriateness of their actions. Feedback can come from a variety of sources, including other group members, group facilitators, observers, data-collection instruments, audio- and videotape playback, or degrees of task success.

To be useful, feedback must be valid data and be related to events and actions. Feedback also is more useful if it is relevant to behavior and situations that can be changed or modified. It is easier to change what one *does* than to change what one *is*. For example, the feedback that "You are a hostile person and should change" is less useful than "If your speech with me were less abrupt and argumentative, I could work better with you," and that is less useful than "When you interrupt me, I feel discounted and then angry." Negative motives (e.g., to punish the receiver or to establish the sender's superiority) can reduce the validity of the feedback. The following is a summary of the general guidelines for giving feedback:

- Feedback should be specific and objective: it should describe observable behaviors, and words should be quoted directly.
- It should not be evaluative, make inferences, or attribute feelings or motives.
- It should be given only for behaviors that *can* be changed.
- It should describe the impact of the behavior on the person who is giving the feedback.
- It should be requested by the recipient.

Accuracy of feedback can be checked or validated in the group setting. Recipients of feedback can be asked to state in their own words what they heard. The group also should provide support to the person receiving the feedback; its purpose is to help the

person to solve problems, not to create new ones. The facilitator can help in this process by suggesting alternative or new behaviors and by reinforcing positive attempts to change.

SUPPORTIVE CLIMATE

An atmosphere of trust and nondefensiveness is necessary for people to be able to risk their ideas and feelings, behave openly, and accept feedback. All group members must be able to risk being themselves, right or wrong, effective or ineffective, without feeling that they are risking their membership in the group and the acceptance of others. This does not necessarily mean that conflict, anger, or differences should be avoided. Indeed, such emotions are more acceptable in a supportive climate.

EXPERIMENTATION

An important possibility in many group situations—especially in a training situation—is the testing of alternative patterns of behavior and personal relationships. Within a supportive climate and with valid feedback, experimentation can be a key element in changing behavior. Some people may, however, use experimentation defensively: "I did not really feel like that; I just did that to see what you would do." The difference between useful and useless experimentation is that useful experimentation concerns one's *personal* behavior; experimenting with the behavior of *others* is "playing games."

PRACTICE AND APPLICATION

To gain confidence in their newly acquired behaviors, group members need to practice them. New behaviors need to be transferred to and retained in situations that are external to the group or training setting. This sometimes is referred to as the "re-entry" problem. It is possible and profitable to test actual application if, for example, the training is conducted at intervals (e.g., weekly meetings), because individuals may have received valid feedback on their behavior. Simulated application can be used to deal with some issues, especially those concerning the group facilitator.

GOAL CLARITY

It is helpful when group members and facilitators have some clear goals and purposes. This is especially true in a training group. A lack of clear learning goals produces two problems: differences in individual learning needs cannot be handled, and it becomes difficult to determine the extent of progress. Goals are more helpful if they are related to specific behaviors and actions and checked against feedback. Although clear goals cannot be expected immediately, goal clarification and review should be a continuing process for individuals and for the group.

GROUP GROWTH

A group has development needs beyond the collective needs of its members; it needs time and assistance to become mature, effective, and cohesive. A group often will require more time than the same number of individuals working separately or in small subgroups, achieving different, but valued, results. “One-shot” groups need not receive specialized attention.

GROUP MAINTENANCE

The need for group maintenance is closely related to group growth. In many group-learning models, members can use group maintenance to develop their skills in group diagnosis and group facilitation. Energy invested in group building and maintenance as a preventive rather than repair measure is a positive indicator of group health and growth. A facilitator can aid in this process by teaching the members about the roles of members in groups and by helping them to learn to identify and deal with dysfunctional behaviors.

COMMUNICATION

Usually only a small proportion of what is said in a group is heard or understood by many of the members. People may be thinking about what they want to say next, what they would like to say but will not, what they think the speaker really is saying, or what they are feeling at the moment. Any of these distractions reduces the probability of listening. A positive correction is for group members to slow down the rate of verbal communication or to make shorter statements that others can check to ensure understanding. Checking and nonverbal communication activities are useful in this process.

Another issue that often arises in groups is when no members are speaking or visibly participating in some way. If the facilitator does not generate a discussion or activity at that point, group members are likely to complain that “nothing is happening.” The facilitator can take this opportunity to help the members to see what *is* happening, i.e., to discuss the lack of communication at that point and what might be happening to cause it.

STRUCTURE AND PROCEDURE

“Unstructured” groups do not exist. All groups have norms and procedures, and even anarchy is a structure. It is not always sufficiently clear how formal the structure should be and whether it is imposed externally or derived internally. Structures are related to assumptions and values, as well as to the participants’ abilities to cope with ambiguity. When a group can establish and maintain the degree of structure it needs for effective work and can change the structure as its needs and issues change, group growth is evident.

SOURCE

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- ❑ Feedback
- ❑ Supportive Climate
- ❑ Experimentation
- ❑ Practice and Application
- ❑ Goal Clarity
- ❑ Group Growth
- ❑ Group Maintenance
- ❑ Communication
- ❑ Structure and Procedure

Positive Group Norms

SOCIAL FACILITATION

Social psychologists have observed that under certain circumstances, living organisms perform more of certain behaviors when in the presence of others than they do when alone. This phenomenon is called social facilitation. In a paper for the journal *Science*, social psychologist Robert B. Zajonc (1969) culled numerous examples of social facilitation from empirical research by others. For example:

- According to one study, pairs and groups of ants will dig more sand per ant than solitary ants will dig.
- According to a finding of research conducted in 1897, bicycle time trialists ride faster in pairs than they ride alone.

Such studies seem to support the belief in group synergy that is held by many organizational-process consultants; that is, that the joint performance of groups will be greater than would be the sum of the individual performances of the people composing the groups. However, Zajonc also notes that, on cognitive tasks, the presence of others does not always facilitate performance. Under some circumstances, the presence of others improves cognitive-task performance; under others, it worsens performance.

Because the notion of group synergy is so important to the field of organization development, this unexpected complexity makes it well worthwhile for consultants to study the research on social facilitation.

TWO TYPES OF SOCIAL FACILITATION

Zajonc classifies the research on social facilitation into two categories: audience effect studies, which are concerned with social-facilitation effects when a subject's performance is witnessed by one or more other persons; and co-action studies, which track social-facilitation effects when one or more other persons act alongside the subject.

Audience Effects

On certain mechanical tasks, which might be viewed as laboratory simulations of the simplest elements of quality control or machine operation, there clearly is an improvement in accuracy related to the presence of an audience. For example, subjects performing the "pursuit-rotor task," in which they point a stylus at a revolving target, made fewer errors when an audience of four to eight onlookers was present than they made when working alone. Similarly, National Guard recruits, who signaled when a light on a panel failed to switch on, performed an average of 34 percent better when they were visited periodically by an officer than when they worked unobserved.

Zajonc reports that having an audience improves ability to solve simple multiplication problems and to respond to word-association tasks. On the other hand, in one experiment summarized by Zajonc, college students observed by a few onlookers took an average of 14 percent more trials to learn a list of nonsense syllables than did solitary students. In another experiment, the presence of an audience increased the time to learn a "finger maze" by almost 12 percent.

Co-action Effects

In what might be termed the banquet effect, research reviewed by Zajonc suggests that chickens, albino rats, and canine puppies all eat more in the company of other feasting members of their species than they do alone.

Again, the studies of cognitive tasks, in the experiments reported by Zajonc, pose something of a puzzle. Pairs of birds (greenfinches) take longer than lone birds to learn what food is unpalatable. Cockroaches—a photophobic species—take longer when coacting than when alone to learn how to find the refuge of a darkened bottle in one arm of a well-lighted maze. However, coacting human subjects performed worse than lone subjects on some cognitive tasks and better than lone subjects on other cognitive tasks. The coacting humans did better on chain-word association, vowel cancellation, reversible perspective, and multiplication tasks. The solitary humans excelled on tests of problem solving and judgment.

THE DOMINANT RESPONSE HYPOTHESIS

Zajonc found a pattern in the research. His reports suggest that subjects do better in the presence of observers when they are performing tasks or activities that they already know. They do less well in the presence of spectators when they are trying to learn how to do something. In other words, "performance is facilitated and learning is impaired by the presence of spectators" (p. 218).

Thus, subjects asked to repeat nonsense syllables or perform a finger-maze task do worse with an audience because of the novelty of the material. When birds try to learn to avoid unpleasant-tasting food, cockroaches try to find a dark refuge in a well-lit maze, or humans perform problem-solving and judgmental tasks, they are working with new, unlearned material and producing new responses. Mistakes predominate over correct answers. When people do word-association, vowel-cancellation, reversible-perspective, or multiplication tasks, they are performing in a way that they already know how to do correctly. On the well-learned tasks, right answers are the dominant response, and the subjects do better with coactors than they do alone.

Because other research has shown that the presence of other members of one's species is physically arousing, Zajonc further hypothesizes that general arousal might account for the elicitation of the dominant response when spectators or coactors are present. When we are more aroused, we do more of whatever behavior is currently dominant in our repertoire. If the response is well-learned, we produce that dominant

response. If the desired behavior is not well-learned, we produce more of the response we know best, which at this stage of our learning is wrong answers.

IMPLICATIONS FOR ORGANIZATIONAL BEHAVIOR

Management styles and organizational climates vary substantially. Douglas McGregor (1960) characterizes the more directive, reward-and-punishment style as Theory-X and the less directive, employee-centered style as Theory-Y. McGregor hypothesizes that a manager's assumptions underlying adoption of one of the two styles operate as self-fulfilling prophecies concerning the amount of self-direction and dedication that employees will express. However, he does not say that either Theory-X or Theory-Y is better for all circumstances. The dominant-response explanation of social facilitation may suggest that there are tasks for which Theory-X leadership might produce better results and others for which a Theory-Y style would obtain better results.

For familiar, well-learned activities, such as assembly work and other repetitive tasks, the presence of coactors would seem to be likely to improve performance. It also is likely that the presence of an observer (manager) would not hinder performance, unless, perhaps, it carried a message of distrust or punishment that would cause other psychological effects to come into play.

On the other hand, when a person is attempting to perform a complex, unfamiliar task, social-facilitation research seems to predict that observation by others would cause the person to make more mistakes.

Social facilitation research also has important implications for trainers. It seems that the more novel the subject matter is, the more desirable it would be to individualize instruction and let the trainee work as independently as possible until the responses are learned. Once the responses are well-learned, the optimum performance will be obtained when the employee works in the presence of other workers or other spectators.

Further research by industrial and organizational psychologists may help to determine whether findings from social-facilitation research can predict outcomes to be obtained from the use of various management styles and training methods.

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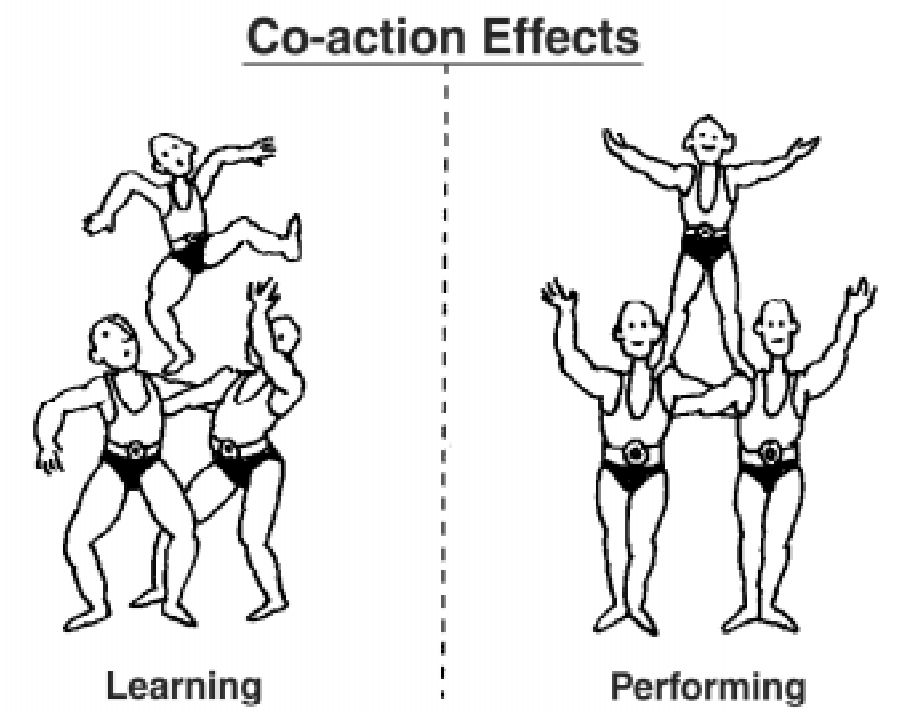
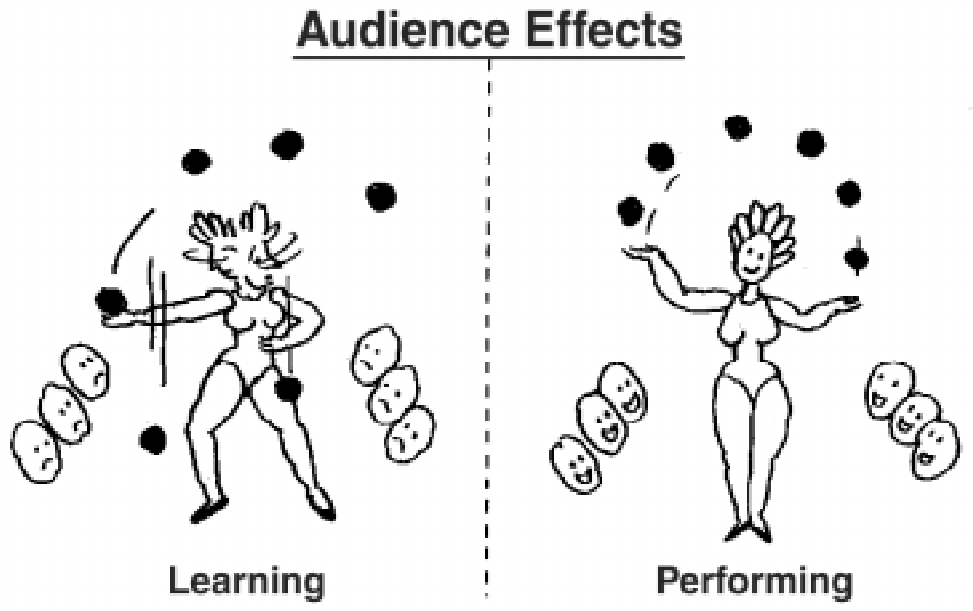




The Dominant-Response Hypothesis

SYSTEMATIC MULTIPLE-LEVEL OBSERVATION OF GROUPS (SYMLOG)

SYMLOG (Systematic Multiple-Level Observation of Groups) is a theory of personality and group dynamics that includes practical methods for measuring interaction among members of a group and applying the theory to an actual group. The conceptual framework was developed as a result of the research of Robert F. Bales (1970, 1979) and his colleagues at Harvard University.

The components of SYMLOG are as follows:

1. ***SYstematic.*** The SYMLOG approach allows group members to consider more variables in their own and others' values and behavior than would be possible with an unstructured, intuitive approach.
2. ***Multiple Level.*** The SYMLOG approach allows one to deal with issues concerning individual members' personalities, values, and behaviors; overall team processes; and the effects of the broader organizational culture on the inner workings of the group.
3. ***Observation of Groups.*** The SYMLOG approach uses one's own and others' observations about individual values and behaviors in real working groups.

BACKGROUND

SYMLOG is based on a large body of research findings and a number of underlying theoretical assumptions. It is assumed that every act of behavior takes place in a larger context, an interactive "field" of influences. *One needs to understand the larger context—personal, interpersonal, group, and situation—in order to understand patterns of behavior and to influence them successfully.* The measurement procedures of SYMLOG are designed to measure both the behavioral patterns and their larger context.

A SYMLOG *field diagram* is a graphic illustration of a group that shows the way in which the individual members relate to one another. There is evidence to show that the most effective, productive, and satisfied groups show characteristic patterns in their SYMLOG field diagrams. In addition, there are systematic ways of increasing understanding of the particular group being examined and of intervening in such a way as to help it move toward more effective and satisfying working relationships. These approaches can be learned in classroom settings, applied by external facilitators, or used by the group members themselves as they make informed choices about their own priorities and changes they may wish to make.

THE FIELD DIAGRAM

In a SYMLOG field diagram, a sample of which is provided in the figure on the next page, the location of each group member is plotted in a "group space," which can be visualized as analogous to the physical space in which the group lives. The field diagram is a simplified picture of the way in which the members of the group tend to see themselves and one another with regard to three dimensions that are critical in understanding and describing the way in which individuals interact:

1. ***Dominance versus submissiveness;***
2. ***Friendliness versus unfriendliness;*** and
3. ***Acceptance of, versus opposition to, the task orientation of established authority.***

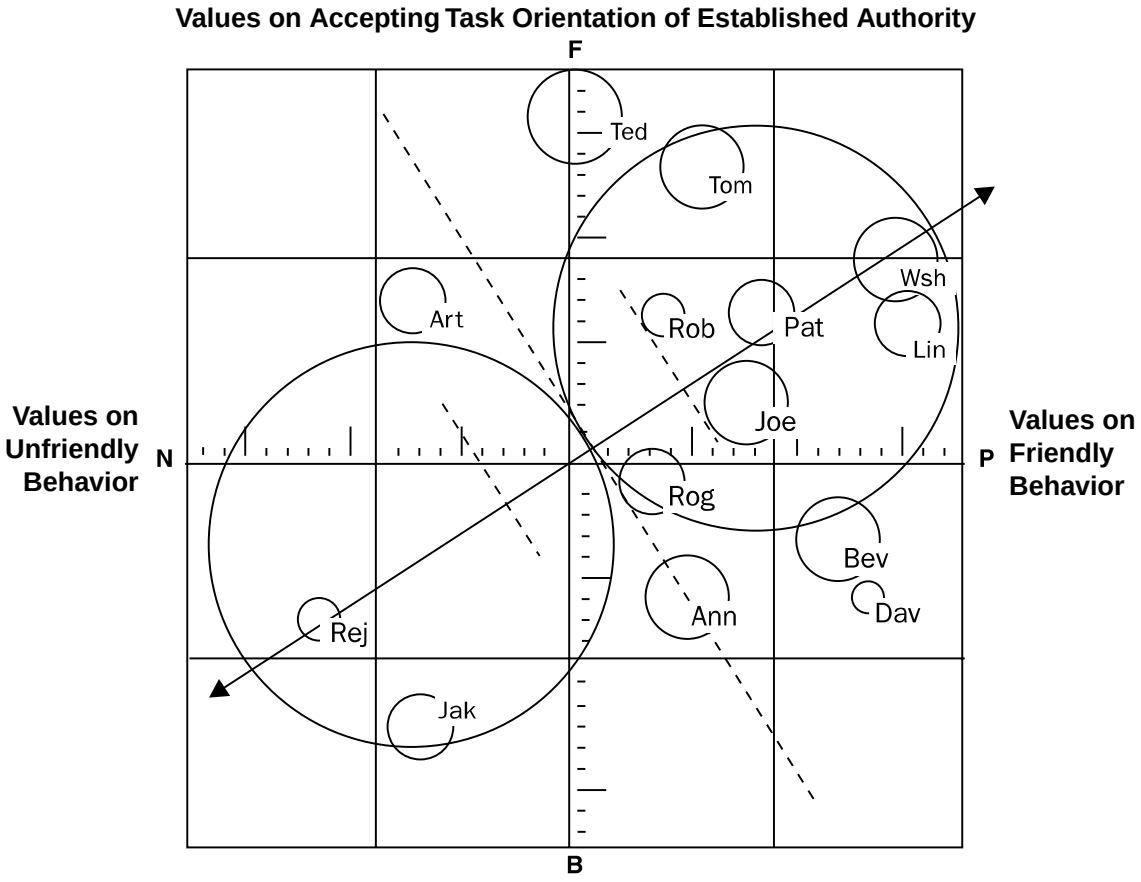
The field diagram gives a comprehensive frame of reference for describing the behavior and values of the members of a particular group. Each member's location in the group space, shown as a circle in the diagram, is called an *image* and is labeled with the member's code name (generally a three-letter abbreviation of the member's first name, or the entire first name if it consists of only three letters). Each member's image is based on that member's summary average rating in the three dimensions, as assessed by all group members.

Dominance/Submissiveness

The rating received by an individual in this dimension represents the prominence, status, power, and personal influence that the individual is seen to have in relation to other group members. In the field diagram, an individual member's dominance is represented by the relative size of his or her image circle: the larger the circle, the more dominant the person is perceived to be within the group.

In the figure, the circles representing Ted, Bev, and Ann are larger than those of the other group members. Of these, Ted's circle is the largest, which indicates that he is perceived by the group as the most dominant member. Rob and Dav have very small circles, meaning that they are seen as the most submissive members of the group.

Dominant members may be high participators, probably extroverts; they also may show more of a tendency to impose their views on the group. The more submissive members typically are seen as quiet, passive, or introverted. However, the full meaning of an image location cannot be understood from its location in any single dimension; the other two dimensions must be considered at the same time.



Note: Larger circle diameters indicate dominance. Expansion multiplier = 1.31.

SYMLOG Field Diagram*

Friendliness/Unfriendliness

The field diagram shows images as located somewhere on the bipolar dimension between unfriendly on the left side and friendly on the right side. An image on the left side of the diagram often is associated with behaviors that are perceived to be self-interested and self-protective; images on the right side often are associated with behaviors experienced as equalitarian, cooperative, or protective of others.

In the figure, the image labeled Lin is the farthest right, which indicates that Lin is perceived as the friendliest person in the group. Art and Jak have images on the unfriendly side of the diagram and probably are perceived as self-centered. Ted is perceived by others to be neither friendly nor unfriendly, with his image circle on the line dividing the friendly side of the diagram from the unfriendly side.

* Reprinted by permission of Dr. Robert F. Bales and the SYMLOG Consulting Group from the SYMLOG Case Study Kit, New York: Free Press, 1980.

Acceptance of/Opposition to the Task Orientation of Established Authority

"The task orientation of established authority" means the rules and procedures that have been set up by authorities external to the group who will evaluate the group's performance. Authority may be represented by a supervisor, organizational or governmental constraints, society at large, or the like.

Acceptance of the standards set up by authority is represented by the location of an image in the upper half of the diagram. Ted and Tom, in particular, are perceived as concerned about following the directives of those in authority or doing things in a prescribed or "correct" manner. Opposing, disregarding, or trying to change authority is represented by a location in the lower half. Such people (e.g., Jak) seem to have little regard for established procedures, preferring instead to challenge authority, create new approaches, or change the existing order of things.

Because Ann is seen as friendlier than Jak, it is likely that she is more concerned with managing interpersonal needs and may be trying to soften the requirements of authority in order to avoid conflict in the group. The location of Jak's image indicates that the members experience him as focusing attention on himself and obstructing any progress that the group tries to make.

HOW IMAGE LOCATIONS ARE DERIVED

The location of a member image on the field diagram is derived from a series of ratings made by all group members (including the individual in question), based on their experiences and impressions of that individual in the group. There are twenty-six items on the rating form (see illustration that follows); each item is designed to measure a direction or combination of directions on the SYMLOG field diagram.

The size and location of a circle on the field diagram represents that member's average rating received in all three dimensions. Because the image is derived from perceptions, it does not necessarily represent a member's "true self"; it reflects only how the individual is seen by the other members of the group.

When members of a work group rate themselves and one another, they respond to a "rating question" such as the following:

> In general, what kinds of values does this person show in his or her behavior?

This question is designed to indicate what the group members perceive to be the actual behavior of the individual. Group members also may be asked to rate the kind of behavior that they feel would be ideal for a particular member.

> In general, what kinds of values would be ideal for this person to show in order to be most effective?

The "ideal" is a concept. Thus, in addition to ratings of actual members, SYMLOG ratings may be made on important personal or group concepts. The concepts also are shown as images in the field. Group members often are asked to rate several concepts that help in understanding the meaning of the field diagram or its implications for change. These concepts are listed following the table.

DESCRIPTIVE ITEMS—Individual and Organizational Values

1.	Individual financial success, personal prominence and power	Rarely	Sometimes	Often
2.	Popularity and social success, being liked and admired	Rarely	Sometimes	Often
3.	Active teamwork toward common goals, organizational unity	Rarely	Sometimes	Often
4.	Efficiency, strong impartial management	Rarely	Sometimes	Often
5.	Active reinforcement of authority, rules, and regulations	Rarely	Sometimes	Often
6.	Tough-minded, self-oriented assertiveness	Rarely	Sometimes	Often
7.	Rugged, self-oriented individualism, resistance to authority	Rarely	Sometimes	Often
8.	Having a good time, releasing tension, relaxing control	Rarely	Sometimes	Often
9.	Protecting less able members, providing help when needed	Rarely	Sometimes	Often
10.	Equality, democratic participation in decision making	Rarely	Sometimes	Often
11.	Responsible idealism, collaborative work	Rarely	Sometimes	Often
12.	Conservative, established, "correct" ways of doing things	Rarely	Sometimes	Often
13.	Restraining individual desires for organizational goals	Rarely	Sometimes	Often
14.	Self-protection, self-interest first, self-sufficiency	Rarely	Sometimes	Often
15.	Rejection of established procedures, rejection of conformity	Rarely	Sometimes	Often
16.	Change to new procedures, different values, creativity	Rarely	Sometimes	Often
17.	Friendship, mutual pleasure, recreation	Rarely	Sometimes	Often
18.	Trust in the goodness of others	Rarely	Sometimes	Often
19.	Dedication, faithfulness, loyalty to the organization	Rarely	Sometimes	Often
20.	Obedience to the chain of command, complying with authority	Rarely	Sometimes	Often
21.	Self-sacrifice if necessary to reach organizational goals	Rarely	Sometimes	Often
22.	Passive rejection of popularity, going it alone	Rarely	Sometimes	Often
23.	Admission of failure, withdrawal of effort	Rarely	Sometimes	Often
24.	Passive non-cooperation with authority	Rarely	Sometimes	Often
25.	Quiet contentment, taking it easy	Rarely	Sometimes	Often
26.	Giving up personal needs and desires, passivity	Rarely	Sometimes	Often

SYMLOG Rating Form

1. ***Wish.*** In general, what kinds of values do you personally wish to show in the group (whether or not you are actually able to do so)?
2. ***Reject.*** In general, what kinds of values do you tend to reject, either in yourself or in others?
3. ***Expect.*** In general, what kinds of values do you expect others in the group to evaluate you as showing in your behavior?
4. ***Most effective.*** In general, what kinds of values does the most effective member (or leader) you have known show in his or her behavior?

The group whose field diagram is illustrated rated only the concepts wish and reject, as indicated in the diagram by the circles labeled Wsh and Rej, respectively.

GROUP DYNAMICS

Polarization and Unification in Groups

The field diagram can be used to focus attention on the interactions and relationships that are likely to characterize the group as a functioning whole. The diagram consists of four quadrants. In most effective teams, the images of the majority of the members are located in the upper-right quadrant, which indicates values and behavior that are both friendly and accepting of the task orientation of established authority.

However, in the group illustrated, the images of two members, Art and Jak, are on the left or unfriendly side; and five members, Rog, Bev, Dav, Ann, and Jak, are perceived as demonstrating behavior and values that tend to oppose the task orientation of established authority. It has been noted previously that Ted, by far the most dominant member of the group, is the most committed to the task orientation of established authority. Thus, it is possible to see how the relative locations of images on the field diagram indicate the probable relationships of cooperation or conflict between or among various group members.

The Overlay

In the field diagram, an *overlay* consisting of two large circles connected by a long line tipped with opposing arrowheads is superimposed over the configuration of images. The long line is the *line of polarization.* The overlay can be moved around over the configuration of images. It is fitted to the configuration of images so as to reveal the most important features of the total configuration. Often, the most meaningful fit is when one end of the line of polarization passes through the group-average "wished-for" location (Wsh), and the opposite end passes through the group-average "rejected" location (Rej), as is shown in the illustration.

Cutting through the middle of, and at a right angle to, the line of polarization, between the two large circles, there is a long, dashed line, the *line of balance.* In

addition, there are two short, dashed lines near the center where the two large circles join. These are the *swing lines.* All three of these dashed lines are part of the overlay.

The overlay represents the SYMLOG general theory of group dynamics. The overlay is first fitted over the configuration of images of the particular group. Each part of the overlay is then inspected to highlight specific, dynamic features of the group and the roles that the members play, as described in the following paragraphs.

Subgroups. When the line of polarization is arranged to pass through the wished-for and rejected locations in a group's field diagram, the two large circles often separate the images into two opposing clusters. Images that fall within the boundary of a given large circle are considered to be more alike than different in the values and behavior they represent. If the images represent group members, the members within the circle may tend to form one of two kinds of subgroups:

1. ***Reference subgroup.*** The subgroup within the circle containing the Wsh image is called the *reference subgroup.* The circle is known as the *reference circle* because the Wsh image frequently is a major reference point for most of the members, locating a critical point in the pattern of values and behaviors that the group members prefer. The members whose images fall toward the center of the reference circle tend to form a relatively unified group. They tend to stick together, especially in the face of opposition; and they tend to cooperate and move toward the location of the Wsh image if they can.
2. ***Opposition subgroup.*** A subgroup located within the circle centered on the Rej image is called the *opposition subgroup,* and the circle is called the *opposite circle.* It contains the images of those kinds of values and behaviors that the members in the reference circle tend to reject. The opposite circle often does not contain the images of any group members. If it does, the members in the reference subgroup tend to reject the members in the opposition subgroup and vice versa. This process of mutual rejection is called *polarization.*

The Line of Polarization. The arrow passing through the Wsh image represents the psychological tendencies of group members to try to move their images in the "wished-for" direction and to unify themselves into a single, "good" cluster, in spite of whatever diversity may exist. The arrow passing through the "rejected" image (Rej) on the opposite side of the diagram represents the psychological tendencies of members to move the images in the opposite circle into a single, "bad" cluster, if they can psychologically manage to do so and in spite of their diversity. The opposition in the direction of the two arrows represents the psychological tendencies of members to separate the "good" cluster from the "bad" cluster.

Members in the opposition subgroup typically are different from those in the reference subgroup in terms of their priorities, their personality needs, and their formal roles. Although the members whose images cluster in the opposite circle may be referred to as a subgroup, they typically do not cooperate easily with one another and may even be polarized among themselves.

Members in the reference subgroup may try in many ways to change members in the opposition subgroup, but their attempts often are resisted and futile. If the struggle continues long enough, the members of the reference subgroup may give up and begin to reject not only the behavior and values of the opposition subgroup but also its members; they may even discontinue any further attempts at inclusion or change.

Line of Balance. The line of balance, which is the long, dashed line between the reference and opposite circles, marks the dividing line between the two sides in a polarized struggle and helps to identify the dynamic tendencies of images that are not a part of either of the main, polarized clusters. The line of balance indicates which of the main subgroups an isolated image is closest to and, therefore, which subgroup the particular member is most likely to join, if at all. However, the values and behavior of members who are isolated from subgroups are likely to be so different from those marked by the group-average "wished-for" image that these members may not choose to join, and they may not be accepted if they try to join.

It is possible for an isolate (or a cluster in an outside position that may be called a "third-party subgroup") to be drawn toward one of two roles in the group or to be forced into one of these roles by the attitudes of other members. These two roles are as follows:

1. ***Scapegoat.*** If a polarized struggle is in progress and feelings are high, an isolated member or third-party subgroup may attract negative feelings from both of the main, conflicting subgroups and so may become a scapegoat, blamed and attacked by both sides. The risk is more pronounced for isolates rated by others on the "negative" or unfriendly side of the field diagram.
2. ***Mediator.*** A member whose image is located midway between the two opposed sides, on or near the line of balance, has a potential opportunity to become a mediator. Such a member may be able to identify with both sides and to feel similar to both in such a way as to attract positive feelings from both. If a member in this position sees the opportunity to take the initiative and is sufficiently dominant and skillful, he or she may mediate by providing critical help in moderating the struggle in the group. This is more likely to occur if the mediator is located on the friendly side of the field, but sometimes a person on the unfriendly side can function as a mediator. Sometimes the same person or third-party subgroup acts as both scapegoat and mediator.

The Swing Area. The swing lines (the two short, dashed lines parallel to the line of balance and on each side of it) enclose an area between the reference circle and the opposite circle, lying partly in each. Members whose images are located in this area can be likened to the "swing vote" in a political election: they may swing to one side to support one subgroup on one issue and then support the other subgroup on a different issue.

Submissive members whose images fall in this area often feel "stuck"—so much conflict as to whether to move in one way or the other that they cannot move at all. They tend not to attract much attention and may want merely to "sink out of sight" because

they are unable to resolve their conflicts. Other members in this area may be very visible, even dominant, but give out ambiguous cues as to whether they are friendly or unfriendly and whether or not they are oriented to the group tasks. Still other members found in the swing area simply may be indifferent.

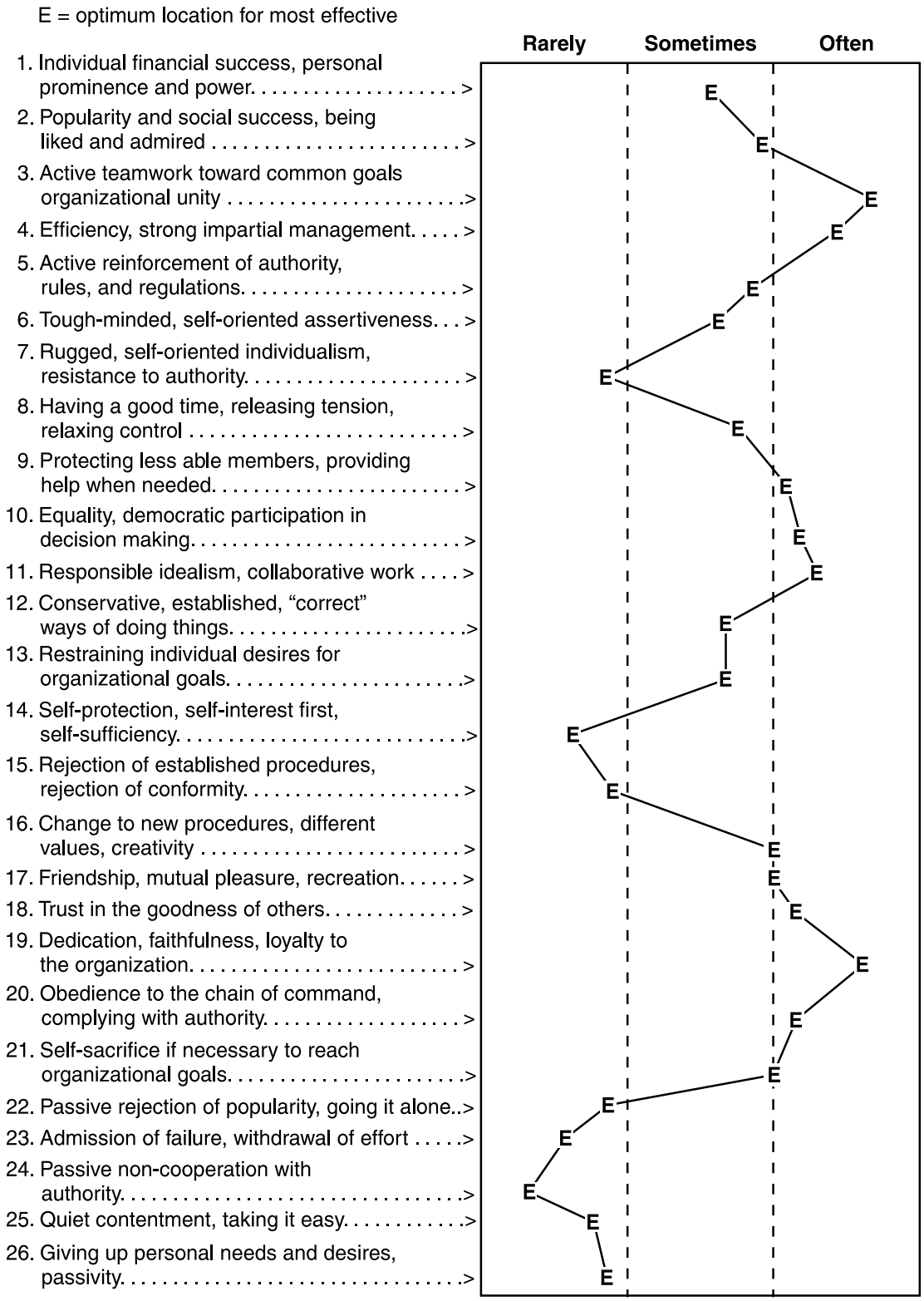
The Leader-Mediator. The role of a leader-mediator (not necessarily the formal leader) within the group is of special interest because it is found in so many good teams and is often crucial. An effective team that endures over time does not manifest the extremes of polarization, subgrouping, isolated members, potential scapegoats, and so on, that are shown in the sample field diagram. However, such a team often has a mild tendency toward polarization. In many work groups, most of the members' images (and most of the reference circle) are found in or near the upper-right quadrant—the friendly, task-oriented area that accepts the established authority and direction of the group. The Wsh image often is found near the center of the quadrant. However, there is a common tendency for one or a few members to diverge from the center of the reference-group cluster and move in a more task-oriented but unfriendly direction so that they approach or pass over the boundary of the reference circle. In the sample field diagram, Ted already has moved in this direction, and Tom appears to be approaching the border. At the same time, one or a few members may diverge from the center of the cluster and move in the friendly and less task-oriented direction. In the figure, Lin is moving in this direction, and Bev already has passed over the border of the reference circle.

This kind of divergence from the group-average Wsh location often is related to the demands of formal roles within the group (technical demands for structure as contrasted to human relations demands) as well as to personality differences. The images of Tom and Bev indicate such divergence, and these two people would tend to experience conflict when dealing with each other. Polarizations of this type usually are not so severe as those between the two extremes of the line of polarization, but often they create considerable difficulties. This probably is the most characteristic kind of polarization in task-oriented groups; if it is not mediated or resolved effectively, it tends to reduce both group productivity and group satisfaction.

When such polarization becomes obvious, a skillful leader-mediator can play a crucial role in keeping the two people or factions from diverging too far. In the sample group, Pat is in a position to help in this way because Pat's image is about midway between those of Tom and Bev. However, in order to be successful, any mediator needs to be sufficiently dominant, skillful, and able to interpret and communicate the needs and priorities of the members of the two factions.

THE SYMLOG BAR GRAPH

The figure on the next page shows the twenty-six items used by the members of the sample group to rate one another. The length of the line of X's following each item indicates the average rating for that item. The ratings depict judgments of the frequency (rarely, sometimes, and often) with which the values described by the item were actually



Symlog Bar Graph Derived from Results of Rating Form

shown in behavior. The lengths of the lines of X's, when read down the list, form a bar graph.

The bar graph also shows an *effectiveness profile,* drawn as a vertical line connecting the letters "E." This profile was derived from a series of surveys conducted by the SYMLOG Consulting Group, which asked leaders and members of a large number of groups in a wide variety of settings to rate the "most effective" group members and leaders they have known on the twenty-six items. The location of the letter "E" for each item marks its norm, or the average response that indicates the most effective frequency.

Thus, the bar graph of observed frequencies for a particular group may be compared with an effectiveness profile. This comparison highlights the specific values and/or behaviors on which a particular group differs markedly from the survey respondents regarding what is "effective." The SYMLOG Consulting Group has a number of normative profiles of different kinds of groups in different settings, and new norms can be developed for particular client populations.

A particular group or some members of it probably will disagree with some aspects of any effectiveness profile that is chosen for the purpose of comparison. The purposes of a particular group or its particular situation may require a somewhat different profile; or the group may shift its priorities and values over time depending on the situation, the work of the group, and the needs of its members. Nevertheless, by comparing their own ratings of one another with a well-chosen effectiveness profile, the members of any group can discuss and make explicit choices about the way in which they want their group to function.

CHANGING A GROUP'S PERFORMANCE

The roles of group members can be changed. In fact, they are much easier to change than the deeper personality characteristics of individual members. Group roles are naturally dynamic; they have a tendency to move around in the space represented by the field diagram. In addition, they are interdependent: the movement of each is dependent on the movement of all or most of the others.

One of the great secrets of successful change is that it may be easier to change the whole, interdependent configuration of roles than to change them one at a time. Such a transformation can be encouraged by open group discussion to which all members contribute in order to understand why each one behaves as he or she does and in order to negotiate new patterns for behavior. The probability of effective change is increased by carrying the discussion to the point of explicit decisions and commitments to modify behaviors.

In using the SYMLOG approach with a group, suitable agreements and arrangements need to be made with the members about the kind and degree of detail and amount of interpretation that they wish to receive as feedback. The SYMLOG field diagrams show how the group is perceived by each individual member; bar graphs show

how each individual is seen by the group; and customized, interpretive reports provided by the SYMLOG Consulting Group comment on each significant departure from the selected effectiveness profile, the resulting effects on teamwork, and what might help. SYMLOG, as a theory of group dynamics and a process by which a group can examine its overall functioning and effectiveness, can contribute greatly to the satisfaction and productivity of group members.

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THE TAVISTOCK MODEL

The Tavistock method originated with the work of the British psychoanalyst Wilfred R. Bion. Convinced of the importance of considering not only the individual but also the group of which the individual is a member, in the late 1940s Bion conducted a series of small study groups at London's Tavistock Institute of Human Relations. He reported his experiences in a series of articles for the journal *Human Relations* and, later, as the book *Experiences in Groups* (Bion, 1961).

Gradually, Bion's novel approach of viewing a group as a collective entity evolved into a method. In a series of conferences from 1957 on—under the guidance of A. Kenneth Rice, chairman of Tavistock's Centre for Applied Social Research and a member of one of Bion's early study groups—the design shifted from the roles that individuals assume in work groups to the dynamics of leadership and authority relations in groups. Rice's views that individuals cannot be understood, or changed, outside the context of the groups in which they live, shaped the contours of the group relations conference as a teaching modality. Under his influence, group work in the 1960s in Great Britain focused on group relations; in contrast, groups in the United States moved toward personal growth and the study of interpersonal dynamics.

In 1965, Rice led a conference in the United States, and the Tavistock method began to be developed here by Margaret Rioch and others. The A.K. Rice Institute is now the U.S. equivalent of the Tavistock Institute.

BASIC PREMISES

An aggregate cluster of persons becomes a group when interaction between members occurs, when members' awareness of their common relationship develops, and when a common group task emerges. Various forces can operate to produce a group: an external threat, collective regressive behavior, or attempts to satisfy needs for security, safety, dependency, and affection. A more deliberate force is the conscious choice of individuals to band together to perform a task.

When the aggregate becomes a group, the group behaves as a system—an entity that in some respects is greater than the sum of its parts—and the primary task of the group is *survival*. Although this task frequently is disguised, group survival becomes a latent motivating force for all group members. It provides the framework for the exploration of group behavior.

Appreciating the group as a whole requires a perceptual shift on the part of the observer, a blurring of individual separateness and a readiness to see the collective interactions generated by group members. In Gestalt terms, the group is focal and individuals are background.

The group-as-a-whole approach can be summarized as follows:

- The primary task of any group is what it must do to survive.
- The group has a life of its own only as a consequence of the fantasies and projections of its members.
- The group uses its members in the service of its primary task.
- The behavior of any group member at any moment is the expression of his or her own needs, history, and behavioral patterns *and* the needs, history, and behavioral patterns of the group.
- Whatever the group is doing or talking about, the group is always talking about itself, reflecting itself.
- Understanding the process of the group provides group members with heightened awareness and the ability to make previously unavailable choices about their identities and functions in a group setting.

BION'S THEORY

Groups, like dreams, have a manifest, overt aspect and a latent, covert aspect. The manifest aspect is the *work group*, a level of functioning at which members consciously pursue an agreed-on objective and work toward the completion of a task. Although group members have hidden agendas, they rely on internal and external controls to prevent these hidden agendas from emerging and interfering with the announced group task. They pool their rational thinking and combine their skills to solve problems and make decisions.

In truth, groups do not always function rationally or productively, nor are individual members necessarily aware of the internal and external controls they rely on to maintain the boundary between their announced intentions and their hidden agendas. The combined hidden agendas of group members constitute the latent aspect of group life, the *basic assumption* group. In contrast to the rational group, this group consists of unconscious wishes, fears, defenses, fantasies, impulses, and projections. The work group is focused away from itself, toward the task; the basic assumption group is focused inward, toward fantasy and a more primitive reality. Tension always exists between the two; it is balanced by various behavioral and psychological structures, including individual defense systems, ground rules, expectations, and group norms.

Basic Assumptions

On the basic assumption level of functioning, the group behaves *as if* a certain assumption is true and valid and *as if* certain behaviors are vital to the group's survival. "Basic" refers to the survival motivation of the group; "assumption" underscores the fact that the survival motivation is based, not on fact or reality, but on the collective projections of the group members.

Bion identifies three distinct types of basic assumptions: dependency, fight/flight, and pairing. Turquet (1974) adds a fourth: oneness.

Basic Assumption Dependency. The essential aim of this level of group functioning is to attain security and protection from one individual, either the designated leader or a member who assumes that role. The group behaves as if it is stupid, incompetent, or psychotic in the hope that it will be rescued from its impotency by a powerful, God-like leader who will instruct and direct it toward task completion. When the leader fails to meet these impossible demands, the group members express their disappointment and hostility in a variety of ways. The dependency function often serves as a lure for a charismatic leader who exerts authority through powerful personal characteristics.

Basic Assumption Fight/Flight. In this mode of functioning, the group perceives its survival as dependent on either fighting (active aggression, scapegoating, physical attack) or fleeing from the task (withdrawal, passivity, avoidance, ruminating on past history). Anyone who mobilizes the aggressive forces of the group is granted leadership, but the persistent bickering, in-fighting, and competition make most leadership efforts short lived. In flight functioning, leadership usually is bestowed on an individual who minimizes the importance of the task and facilitates the group movement away from the here-and-now.

Basic Assumption Pairing. Pairing phenomena include bonding between two individuals who express warmth and affection leading to intimacy and closeness. The pair need not be a man and a woman. Such a pair or pairs often provide mutual intellectual support to the extent that other members become inactive. When the group assumes this mode of functioning, it perceives that its survival is contingent on reproduction; that is, in some magic way, a "Messiah" will be born to save the group and help it complete its task.

Basic Assumption Oneness. Described by Turquet (1974), this level of functioning occurs "when members seek to join in a powerful union with an omnipotent force, unobtainably high, to surrender self for passive participation, and thereby to feel existence, well-being, and wholeness" (p. 357). The group commits itself to a "movement"—a cause outside itself—as a way of survival. Leaders who offer a philosophy of life or methods to achieve higher levels of consciousness become attractive to the group in this type of basic assumption functioning.

The basic assumption life of any group is never exhausted, nor is it imperative for a group to rid itself of its basic-assumption characteristics. In fact, as Bion perceives society, certain institutions capitalize on our collective basic-assumption strivings and provide structures and vehicles to channel these strong, primitive feelings. Hence, the church attempts to satisfy dependency needs; the military and industry employ fight/flight motivation; and the aristocracy and the political system—with their emphasis on breeding and succession—build on basic assumption pairing. The interest in mysticism and cosmic consciousness seems to be an expression of basic assumption oneness.

THE GROUP RELATIONS CONFERENCE

The Tavistock method can be applied in many different group situations. Primarily intended to teach group dynamics and increase the awareness of group phenomena, the method is formally applied in *group relations conferences*, events that are characterized by a clear statement of objectives, specific staff roles, and a pervasive, all-encompassing application of the group-as-a-whole theoretical approach.

The aims of such conferences tend to be to study the ways in which authority is vested in leaders by others, to study the factors involved as they happen, to study the covert processes that operate in and among groups, and to study the problems encountered in the exercise of authority. There is no attempt to prescribe specifically what anyone shall learn. Participants are provided with experience-based group opportunities to study their own behavior as it happens, and conference events allow consultation with at least one staff member to facilitate that task.

Consultants consult only to a group, not to individual members, and only within the time boundaries prescribed. The consultant's role often is the subject of much consternation among members, which is deliberate, in the interest of assisting members to pursue the task of the event in which they are involved. The consultant does not engage in social amenities, advice giving, or nurturing, but performs his or her task by providing interventions for the group's consideration and reporting his or her observations back to the group. Thus, the consultant confronts the group by drawing attention to group behavior. This is done by means of description, process observation, thematic development, and other interventions, some of which are designed to shock the group into awareness of what is happening.

Participants typically experience some pain as they explore issues of authority, responsibility, boundaries (of input, roles, tasks, and time), projection, organizational structure, and largegroup phenomena.

Group members inevitably project on the staff their fantasies, fears, and doubts about authority and power. Exploration of these projections can yield significant learnings, but the role of consultant is difficult. Strict adherence to it is a hallmark of the Tavistock method.

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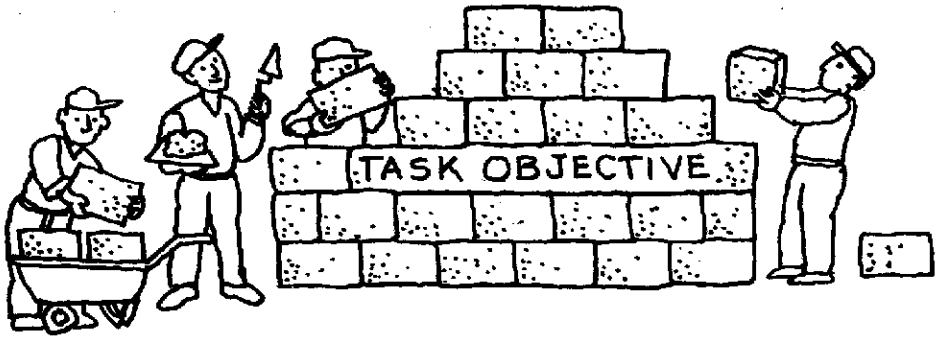
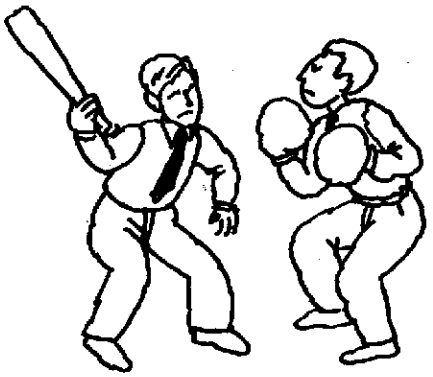
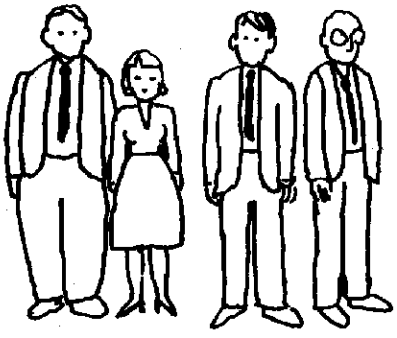


Work Group

Dependency



Fight-Flight



Pairing

Oneness

Basic Assumption Groups

THEORIES OF GROUP DEVELOPMENT: AN OVERVIEW

EARLY THEORIES

Bales and Strodtbeck (1951) and Bales (1953) describe stages of group development, using the categories from Bales's (1950) interaction process analysis. The three stages they describe included getting organized (*orientation* stage), asking for and giving opinions (*evaluation* stage), and asking for and giving suggestions (*emergence solutions* stage). At first only task behaviors were studied, but as roles were considered, interpersonal behaviors began to be observed (Parson & Bales, 1955).

Bennis and Shepard (1956) studied data from T-groups and noticed an *initial* phase that began with an expression of dependency needs, followed by a counterdependence stage, and concluded with a resolution stage. This was a task-oriented phase. The second phase involved *interdependence* and working relationships. It began with cohesion, changed to interpersonal conflict, and ended with interpersonal-problem resolution and effective group task work. Each stage included a subphase that focused on conflict. Bennis and Shepard perceived each stage as developmental; a group could work through each to resolution and proceed to the next or it could become fixed in any stage. The major issue that was likely to arise in phase one was orientation to authority; the major issue that could stop development in phase two was intimacy.

Schutz (1958) added a third stage to Bennis and Shepard's model and proposed a three-stage model based on interpersonal relations. Schutz's sequential stages are *inclusion* (dependence), *control* (independence), and *affection* (interdependence)—changed to *openness* in 1982. Schutz called his model FIRO (Fundamental Interpersonal Relations Orientation). It was one of the first theories to consider conflict and control as major issues in small-group development. In addition, Schutz saw his model as cyclical rather than linear.

Bion (1961) identified the work group as the final and productive stage of group development. *Communication* is the key to this group's effectiveness. Bion also identified three other types of groups, based on their "basic assumptions." These may or may not be sequential, but a group must develop past these dysfunctional basic assumptions if it is to evolve into a productive work group. The *dependency* group is searching for leadership—for an authority figure who will protect and guide it. The *fight-flight* group is engaged in conflict, with members selecting either aggression and bickering or avoidance and withdrawal. There is a tendency to argue about the task or to avoid working on it in order to avoid conflict. In the *pairing* group, members have begun to pair off for mutual support. Later, Turquet (1974) added the basic assumption

of "oneness" to describe a group in which the members seek to join or surrender to a higher force. Leaders who promise "higher consciousness" appeal to this group.

Tuckman (1965) summarized the small-group research in describing a sequential process of group development that included both interpersonal and task areas. He identified four stages of development: *forming, storming, norming,* and *performing.*

Gibb (1964) formulated a theory that combined the linear-progressive models and the cyclical models. He called the four stages *acceptance, data flow, goals and norms*, and *control*. Much of Gibb's observations were based on T-groups. Gibb emphasized the development of the interpersonal concepts of trust, communication, integration, and interdependence. As individuals grow, so does the group. Conflict is not one of Gibb's concepts, but it is implied that the group deals with it in the second stage through open communication, creative problem solving, and effective decision making.

Mills (1964) added a fifth stage. His first four stages parallel Tuckman's and are called *the encounter, testing boundaries and modeling roles, negotiating an indigenous normative system,* and *production.* The fifth stage is the conclusion of the group; he calls it *separation*.

Mann (1967) called his first four stages *initial complaining, premature enactment, confrontation,* and *internalization.* He called the fifth stage *separation and terminal review*. Most of the subsequent models included a fifth stage.

Slater (1966) identified three initial stages, *anxiety and frustration with the leader, attacking the leader,* and *high group morale and equalitarianism,* with a later stage of *relaxed restriction* that included some inter-member conflict and resolution. The sequence of Slater's first two stages is different from Tuckman's. Slater noted that anxiety and frustration create a fight-flight pattern similar to Bion's and that the attack on the leader is created by dependency issues.

Dunphy (1968) proposed a six-stage model based on his observation of self-analytic groups. The first stage is *maintenance of external, normative standards*. The second is *individual rivalry*, the third, *aggression*; the fourth, *negativism*; the fifth, *emotional concerns,* and the sixth, *high affection.* The first stage is parallel to what Tuckman called "forming." The third, fourth, and fifth parallel what Tuckman called "storming." The fifth and sixth also parallel Schutz's third stage of "affection." Dunphy did not propose a performing or separation stage.

LATER THEORIES

Yalom (1970), Lacoursiere (1974), and Braaten (1975) all proposed four-stage models that combined Tuckman's third and fourth stages and included a termination stage. Yalom's stages were *orientation and hesitant participation; conflict, dominance, and rebellion; intimacy, closeness, and cohesiveness;* and *termination*. Spitz and Sadock (1973) also combined Tuckman's first and second stages, resulting in a three-stage theory focusing on *dependence, interdependence*, and *termination.*

Charrier (1974) named five stages*: polite or why we're here; bid for power; constructive;* and *esprit*.

Hare (1976) developed a cyclic sequence that begins and ends with *latent pattern management and tension management.* His three middle stages are *adaption, integration,* and *goal attainment*. In this model, task behaviors promote the group-development process.

In sequential order, the task behaviors are defining the situation, developing skills, developing roles, and working. This model also includes a termination subphase similar to Mann's stage of separation and terminal review. The cyclical process is then repeated.

Cohen and Smith (1976) described ten phases*: acquaintance, goal ambiguity and diffuse anxiety, members' search for position/definition, sharpened affects and anxieties, sharpened interactions, norm crystallization/enforcement-defensification, distributive leadership, decreased defensiveness and increased experimentation, group potency,* and *termination.* Each phase is related to five themes: anxiety, power, normatization, interpersonalization, and personalization. Their comprehensive model also includes an intervention cube (diagnostic) and a critical-incident model (to determine when interventions are needed). They also discussed possible group-intervention strategies.

Corey and Corey (1977) offered a four-stage theory involving *initial, transition, working,* and *final* stages, along with pre- and post-group descriptions. They also focused on leader ethics.

Stanford (1977) based his model on classroom groups. He reversed Tuckman's storming and norming stages because of the more directive role of the leader in educational settings. He also added the termination stage.

In 1977, Tuckman and Jensen added a fifth stage, which they called *adjourning*, to Tuckman's model.

Miles (1981) proposed an eight-stage model to assess training groups. The stages are: *entering the situation;* three storming stages of *conflict over goals and expectancies, resistance,* and *factional crisis;* two norming stages of *golden glow* and *getting involved more deeply;* and the seventh and eighth stages of *productive work* and *deceleration.* The sixth stage included some conflict. This model also parallels that of Tuckman. Miles was one of the first to suggest that it is the responsibility of leaders to train group members to analyze and cope with these developmental changes.

Ward (1982) called the five stages *orientation, power, cohesiveness, working,* and *termination*. Kormanski and Mozenter (1987) called them *awareness, conflict, cooperation, productivity,* and *separation*. Cooke and Widdis (1988) called them *Polite* or *Purpose; Power; Positive; and Proficient.*

SUMMARY OF THEORIES

The Tuckman model (forming, storming, norming, performing, and adjourning) generally is accepted today as the basic model of group development. It synthesizes the previous work, and little has been done subsequently that improves on it. Tuckman also

has done substantial research that supports his model. Some models combine the third and fourth stages, and some create more stages that correspond to Tuckman's second and third stages. The interpersonal and task behaviors described in all the models are similar; the main differences are to be found in the terms used to describe them.

The primary points to be made in addition to identifying the stages of group development are as follows:

- Movement from one stage to another is based on successfully resolving the thematic concerns of the current stage.
- Both personal-interpersonal and task concerns must be addressed in each phase. These concerns are parallel and interrelated.

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	Stages				
Early Theories	**One**	**Two**	**Three**	**Four**	**Five**
Bales, et al.	Orientation	Evaluation	Emergence Solutions		
Bennis and Shepard	Dependence	Counter-dependence	Resolution	Interdependence	
Bion	Dependency	Fight/flight	Pairing	Work	
Dunphy	1. Maintenance of External, normative standards	2. Individual rivalry	3. Aggression	4. Negativisms	5. Emotional Concerns / 6. High Affection
Gibb	Acceptance	Data flow	Goals and norms	Control	
Mann	Initial complaining	Premature enactment	Confrontation	Internalization	Separation and terminal review
Mills	The Encounter	Testing boundaries and modeling roles	Negotiating and indigenous normative system	Production	Separation
Schutz	Inclusion	Control	Openness (affection)	Deinclusion	
Slater	Anxiety and frustration with the leader	Attacking the leader	High group morale and equalitarianism	Relaxed restriction	
Tuckman	Forming	Storming	Norming	Performing	Adjourning
Later Theories	**One**	**Two**	**Three**	**Four**	**Five**
Charrier	Polite (Why we're here)	Bid for Power	Constructive	Esprit	
Cohen and Smith	1. Acquaintance 2. Goal ambiguity and diffuse anxiety	3. Members search for position/ definition 4. Sharpened affects and anxieties	5. Sharpened interactions 6. Norm crystallization	7. Distributive leadership 8. Decreased defensiveness and increased experimenta-tion	9. Group potency 10. Termination
Cooke and Widdis	Polite/ Purpose	Power	Positive	Proficient	
Corey and Corey	Initial	Transition	Working	Final	
Hare	Latent pattern management and tension management	Adaption	Integration	Goal Attainment	Latent pattern management and tension management
Kormanski & Mozenter	Awareness	Conflict	Cooperation	Productivity	Separation
Miles	1. Entering the situation	2. Conflict over goals and expectations 3. Resistance 4. Factional crisis	5. Golden glow 6. Getting involved more deeply	7. Productive work	8. Deceleration
Spitz and Sadock	Dependence	Interdependence	Termination		
Stanford	Forming	Norming	Storming	Performing	Termination
Ward	Orientation	Power	Cohesiveness	Working	Termination
Yalom (Lacoursiere, Braaten)	Orientation and hesitant participation	Conflict, dominance, and rebellion	Intimacy, closeness, and cohesiveness	Termination	

Theories of Group Development

TORI THEORY AND PRACTICE

At the core of Gibb's (1972, 1978) theory of personal, group, and organizational development is *trust*—trust in oneself, in others, and in the social systems that people create. The name of the theory, TORI, is an acronym for the four core dimensions of the theory: *Trust, Openness, Realization,* and *Interdependence*.

Dimock (1987) describes the basics of TORI theory:

> In the TORI framework there are four dimensions or modal concerns in group growth. *Acceptance* is concerned with the achievement of membership in the group based on trust. *Data flow* is concerned with opening valid, spontaneous communication in the group and translating these data into decision making and choices. *Goal formation* has to do with determining member wants and integrating them into problem solving and group action planning, with a goal of productive, creative work. *Control* is concerned with leadership, power, and organizational structures that can be developed into freedom-giving, flexible forms. According to TORI theory, the most revealing aspect of a group's development is a description of the ways in which the early fears in the group are resolved by an increase in trust. (p. 76)

Newly formed groups experience similar fears and difficulties. The chart below, which depicts the TORI group-development process, describes some of the problems that new groups experience and what the problems are replaced with as groups develop trust.

Tori Group Development

Modal Concern	Individual Behavior	Early Development	Later Development
Trust Acceptance	Accepting self and others	Conformity Fear of adequacy	Diversity welcomed Support, encouragement
Membership	Trusting Expressing warmth Seeing differences	Status seeking Need for role definition	Acceptance of nonconformity Trust and risk taking
Openness Data flow Decision making	Spontaneity Rapport Depth of communication Disclosing	Strategy, caution Ambiguity Secrecy Distortion of data	Clarity, directness Spontaneous expression Listening, sharing Increasing feedback
Realization Goal formation Productivity	Asserting Exploring Clarifying own needs Achieving	Persuasion advice Extrinsic motivation Competition, rivalry Apathy, withdrawal	Involvement, creativity Cooperation Common goals Enthusiasm
Interdependence Control Organization	Participating Cooperating Giving and getting freedom	Dependency Bargaining Formal rules Structure, channels	Informality Flexible structures Little need for leaders Roles, power irrelevant

TORI theory includes the following principles and assumptions:

1. Social systems—groups, individuals, communities, nations, and organizations—are best understood and improved if one thinks of them as living, growing organisms.
2. Fear, which is a symptom of unresolved trust, is the greatest inhibitor of growth.
3. Growth is a movement from fear to trust. The following movements are signs of growth: from depersonalization and roles toward personalization; from a closed system toward an open system; from selfish motivations toward self-determination; and from dependence on others toward interdependence.
4. Fearful people tend to become defensive. Defensive actions can be classified into four forms: depersonalization and role playing; facade building and covert strategizing; imposition and persuasion; and high control and dependence.
5. When people trust and lower their defenses, they display the following types of behavior: intimacy and freedom from roles and stereotypes; openness and honesty; self-determination, assertiveness, and actualization; and reciprocity and interdependence.
6. Environmental forces can inhibit growth and trust. Likewise, a person's environment can nurture and sustain growth-producing behaviors such as creativity, high learning, group productivity, personal growth, and group vitality.

Growth occurs when a person chooses to act in ways that reinforce desired physical responses and behavioral patterns. Behavioral change takes place when people take risks such as showing feelings rather than talking about them; acting rather than contemplating or observing; and carrying out impulses or making choices. Growth is the result of self-sustained and self-directed changes in lifestyle and behavioral patterns.

THE TORI THEORY OF LEADERSHIP

The TORI system makes several assumptions about leadership and about the relationship between leadership style and learning.

1. Group leaders are most effective when they are open, tolerant of others, and interdependent.
2. Small groups can discover styles of coping when their environments are low in defense. The most effective leader is one who adjusts to the group's changing norms and who becomes an active, assertive member but does not distance himself or herself from the group by assuming a traditional leadership role.
3. Functional behaviors or styles (personal, open, self-determining, and interdependent) are intrinsically rewarding and self-perpetuating if the system environment is high in trust and low in defense. The group leader trusts that the process will develop and does not attempt to teach, train, persuade, or model the desired behavior.

4. Groups grow in a self-sustaining manner when its members are intimate, open, allowing, and interdependent.
5. High-defense groups experience practically no perceptual or feeling input. Therefore, eliciting members' feelings and reactions is a powerful force toward creating more functional styles of coping and relating. Functional feedback also appears to have a powerful impact.

The following table is a check list for group or team leaders who are applying TORI theory. The most important point to remember is that the TORI leader operates from a position of trust. TORI leaders trust their impulses, others' motivations, the processes of group interaction, the goodness of the world and of people, others' abilities and capacities, and others' capacities to assume responsibility for their own lives. Fearful leaders tend to be impersonal, closed, and controlling—all of which are symptoms of the leaders' lack of trust. In contrast, TORI leaders recognize their own fears and, therefore, are able to control them.

Fears lose their ability to frighten as people begin to understand their causes and as they learn that fears will dissipate in an atmosphere of openness and interaction. Leaders must become well acquainted with both their own fears and with others' fears. They must learn to deal with fears both verbally and nonverbally during the group's interaction.

Inexperienced leaders have many fears: of losing control, of appearing incompetent or unprofessional, that group members will be hurt, of not living up to the group's expectations, of ceasing to be objective, that members might perceive other members as more competent or helpful than themselves, and of being unable to help the group to resolve conflicts or crises. Experienced leaders, on the other hand, are able to overcome the urge to play the traditional leader role and to enter into personal relationships instead.

Putting TORI theory into practice both on the job and as part of one's lifestyle takes time and effort but can be accomplished. Few who truly commit to giving up traditional roles revert to role behavior. Ideally, TORI-theory practitioners act the same when leading groups as they do when they are participating as group members.

IMPLEMENTING TORI THEORY IN ORGANIZATIONS

The TORI style of leadership is appropriate for leadership roles in organizations. Typically, people in management positions, whether they be parents, teachers, administrators, or managers, attempt to manage the atmosphere, the communication networks, the motivations, and the structures of their systems. Basically distrusting, they use praise and punishment, performance appraisals, merit-based reward systems, competition, quality control, and rules to keep their people in line. The data produced by these systems indicates their effectiveness; however, the data do not reflect underlying negative reactions such as depersonalization, rigid adherence to roles, and fear; circumvention of rules; passive attitudes; and cycles of dependence and hostility.

A more humanistic and productive style of leadership is to "go with the flow" and to contribute directly to the system's emergence and growth. As leaders work to increase organizational trust levels, the human needs of well-being and fulfillment begin to take priority; rules and structure become of less and less concern. Growth and growth-producing behaviors are valued. This is not to say that the manager or group leader must become passive, nondirective, overly permissive, impotent, or servile. Rather, leaders who practice TORI theory become assertive, warm, open, active, expressive of their feelings and needs, and involved. TORI leaders do not assume responsibility for their groups or for the organization. They realize that taking responsibility for others contributes to the perpetuation of traditional leader-follower roles, of passivity, and of dependency.

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Check List for Group Leaders Practicing TORI Theory

Leader moves away from:

- Role-playing, impersonal behavior;
- Relationships based on roles, such as leader-member or member-member;
- Screened responses; acting only in ways deemed appropriate, relevant, helpful, or professional;
- Stereotyped views of others; viewing others only as clients, patients, or members;
- Concern for changing, curing, or remedying "deficient" people;
- Behavior that is consistent with the leader's theory of action, training, or group growth;
- Abstraction, generalities, and principles;
- Evaluative or moral judgments;
- A "then" rather than "now" perspective;
- Other's limitations;
- Punishments and rewards;
- Legal concerns, norms, and controls;
- Fears, cautiousness, and conservation;
- Words, semantics, and speech

Leader moves toward:

- Disclosing, nonrole behavior;
- Responses that reveal the leader's feelings and perceptions;
- Interpersonal relationships;
- Spontaneous behavior; reacting to things as they happen;
- Belief that all people are unique and valuable;
- Concern for growth and development in all relationships;
- Responses based on impulses, intuition, and gut feelings;
- Available, direct, and visible behavior;
- Concrete, primitive, and elemental feelings and perceptions;
- Concern for the "now";
- Focus on people's strengths and growth processes; and
- Trust, risk, impulse, and liberation.

ANDRAGOGY: PRINCIPLES OF ADULT LEARNING

Andragogy, the concept of adult learning defined by Malcolm Knowles (1972, 1975, 1978), is based on the assumption that adults want to learn. Unlike children in school, most adults have control over whether they show up for training and whether they stay or walk out. Andragogy relies on the use of *cognitive theories,* which deal with the acquisition of knowledge and are more humanistic in nature than *stimulus-response theories,* which rely on behavior modification and conditioning to achieve results. Pavlov (out of print), the well known researcher who conditioned his dog to salivate at the ringing of a bell, employed a stimulus-response theory. In contrast, cognitive theories generally rely on the individual to learn through self-motivation.

The foremost of Knowles' discoveries was that *andragogy* (adult learning) is different from *pedagogy* (children's learning). In particular, adults are aware of their abilities and their experiences and they *require* more involvement in the learning process. Other characteristics of andragogy include the following (Goad, 1982; Hanson, 1981):

1. Learning is a process—as opposed to a series of finite, unrelated steps—that lasts throughout the entire life span of most people.
2. For optimum transfer of learning, the learner must be actively involved in the learning experience, not a passive recipient of information.
3. Each learner must be responsible for his or her own learning.
4. The learning process has an affective (emotional) as well as an intellectual component.
5. Adults learn by doing; they want to be *involved*. Regardless of the benefits of coaching, one should never merely demonstrate how to do something if an adult learner actually can perform the task, even if it takes longer that way.
6. Problems and examples must be realistic and *relevant to the learners.*
7. Adults relate their learning to what they already know. It is wise to learn something about the backgrounds of the learners and to provide examples that they can understand in their own frames of reference.
8. An informal environment works best. Trying to intimidate adults causes resentment and tension, and these inhibit learning.
9. Variety stimulates. It is a good idea to try to appeal to all five of the learners' senses, particularly to those aspects identified by neurolinguistic programming: the visual, the kinesthetic, and the auditory. A change of pace and a variety of learning techniques help to mitigate boredom and fatigue.

10. Learning flourishes in a win-win, nonjudgmental environment. The norms of the training setting are violated by tests and grading procedures. Checking learning objectives is far more effective.
11. The training facilitator is a change agent. The trainer's role is to present information or skills or to create an environment in which exploration can take place. The participants' role is to take what is offered and apply it in a way that is relevant and best for them. The trainer's responsibility is to facilitate. The participants' responsibility is to learn.

EXPERIENTIAL LEARNING: ANDRAGOGY APPLIED

Traditional childhood learning, especially in public education, is oriented toward the teacher imparting knowledge to the students. Adult learning is a process of one person (the trainer) providing the opportunity for another person (the learner) to acquire knowledge, skills, and/or awareness. Adults are more accustomed to exercising choice; they demand more choice in the matter of what they will believe, adopt, and apply. For these reasons, experiential learning has many advantages over the traditional classroom approach, the primary one being that it is more effective. In fact, many educators now believe that experiential learning works better with children as well.

Because human resource development (HRD) professionals work exclusively with adults, most have a background in adult education, industrial/organizational psychology, or some other branch of the behavioral sciences. Clearly, adults' learning processes are different enough from children's learning processes that HRD professionals must understand the principles of andragogy in order to make adults' learning experiences profitable and meaningful.

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CO-FACILITATING

Co-facilitating a group is one of the most important and helpful steps in becoming a professional trainer. Even after one has gained proficiency in leading groups, co-facilitating is superior to working alone. There are, of course, some major advantages, some potential disadvantages, and some ways to avoid problems in co-facilitating.

ADVANTAGES IN GROUP DEVELOPMENT

One of the most convincing reasons for working with a colleague as a co-facilitator is to complement each other's styles. One person may have a group-dynamics focus while the other may have an intra-individual focus. Together they may be able to monitor and facilitate individual and group development better than either of them could separately.

Dealing with Heightened Affect

In some groups (e.g., personal-growth groups or team building), highly emotional situations may arise, and the facilitator must be able to deal not only with persons who have a heightened affect but also with the "audience effect." It is difficult to help an individual to work through deeply felt reactions and, at the same time, to assist other group members in integrating this experience in terms of its potential learning. In such a situation, it is always advantageous to have a co-facilitator. One facilitator can "work with" the person(s) experiencing significant emotions, while the other facilitator assists the other participants in dealing with their reactions to the situation.

Synergistic Effect

The remark that "two heads are better than one" often has been validated experientially in consensus-seeking tasks. When people work together collaboratively, a synergistic effect often develops. That is, the outcome of the deliberation exceeds the sum of the contribution of the individuals. Co-facilitating can generate synergistic outcomes through the personal and professional interchange that results from working toward a common task.

Modeling

One way in which participants learn in training is by studying facilitators as behavioral models. Co-facilitating provides not only two models of individuals coping with their own life situations, but it also offers a model for meaningful, effective, two-person relationships. The interaction between the co-facilitators gives participants a way to

gauge dyadic relationships. The likelihood that the training will transfer to the participants' back-home, everyday situations is increased.

Reduced Dependency

A recurring issue in training groups is the problem of dependency on the facilitator. Facilitators who work with many groups alone sometimes dread having repeatedly to face participants' unresolved authority conflicts. With co-facilitators, the leadership is shared and, therefore, the dependency problem is dissipated somewhat.

Appropriate Pacing

A facilitator can pace himself or herself more effectively when working with a partner. Observing and intervening in a group session is demanding, and the facilitator sometimes is not able to relax enough to permit the process to emerge at its own rate. Co-facilitators can check each other's timing of events and provide some respite from the detailed monitoring necessary to provide meaningful interventions.

Sharp Focus

A final advantage is that issues can be focused more sharply when they are seen by two facilitators. Facilitators usually have "favorite" issues that are likely to emerge in their groups, and co-facilitating can offset biases.

ADVANTAGES IN PERSONAL AND PROFESSIONAL DEVELOPMENT

Co-facilitating offers each partner support for his or her personal development. Facilitating can be a lonely activity; the opportunities for meaningful personal development are lessened by the complexity of the facilitator's monitoring and intervening tasks. With co-facilitators, each can better work his or her personal development issues both in and out of the group setting.

Another major advantage of co-facilitating is the opportunity for professional growth. Participants usually are not able to offer meaningful feedback on facilitator competence. When facilitators work together, they can provide each other with a rich source of professional reactions. In this way, each training experience becomes a practicum for the facilitators involved.

POTENTIAL DISADVANTAGES

Different Orientations

Some dangers are inherent in co-facilitation, and it is necessary to be aware of potential problems. Individuals with different orientations—theoretical, technical, personal—can easily impair each other's effect in the group. It is, for example, difficult to imagine a

good melding of a Tavistock-oriented "consultant" and an Esalen-trained facilitator. Such partners would likely discover themselves working at cross-purposes.

Extra Energy

Co-facilitating takes energy. Not only are the facilitators occupied with the development of the participants and of the group, but they also have to expend effort to develop and maintain the relationship that may be pivotal to the success of the training. The training subgoals include not only the facilitators' personal and professional development, but also their relationship with each other.

Threat and Competition

Because two professionals in a group may constitute more of a threat to individual participants than one would, they may see co-facilitators as colluding with each other. The "clinic" sessions that co-facilitators engage in between training sessions can arouse suspicion and create an emotional distance between the facilitators and the participants.

Co-facilitators can become competitive with each other, too. Although they may deny any concern for popularity, they may, perhaps without knowing it, engage in behavior that meets other needs besides those inherent in the training.

Overtraining

It clearly is possible to "overtrain" a group, particularly with the presence of two active facilitators. It is important to recognize that too many interventions may stifle both participation and learning. This is especially true if facilitators play the "two-on-one" game, simultaneously attempting to interpret and facilitate one participant. Group-member helpfulness is one of the most potent dimensions of group training events. After an initiation period, participants—as well as facilitators—can make meaningful interventions. It is important that the facilitators stay out of the way in order to permit this to occur.

Blind Spots

Co-facilitators may have mutual blind spots in observing inter-and intraindividual dynamics, and it is possible to reinforce each other's failure to attend to particular areas. If co-facilitators are similar in their theory and technique, it is quite likely that they will pay attention to the same data. Thus, they may neglect (or pay less attention to) other data, thereby increasing the possibility that they will fail to notice significant learning opportunities that are outside their normal purview.

A Misleading Model

In any human situation, there is the possibility that people will react to assumptions rather than to clear understandings of each other. This, of course, can occur with co-

facilitators if they are not clear about each other's positions on recurring and predictable group issues. In this event, they can provide an ineffective model for the participants.

When the relationship between co-facilitators is tense, mistrustful, and/or closed, the modeling is negative. Participants may mistakenly conclude that what "works" in human relations is to behave in ways directly opposed to the values on which HRD is based.

Different Rhythms

A final potential disadvantage in co-facilitating is that the facilitators' intervention rhythms may be different. One may intervene on a "beat" of ten, while the other intervenes on a beat of three. The facilitator who is slower to react or who hesitates in the hope that the participants will take responsibility for the maintenance of the group may find obtrusive the partner who intervenes more rapidly. Disjunctive contacts that may result between the co-facilitators provide a negative model for the participants.

AVOIDING THE DANGERS

Facilitators who are considering joining together to work with a group can engage in a number of activities to obviate these potential disadvantages. The obvious first step is to share orientations to and experiences with similar kinds of group situations.

A second way of avoiding the problems of ineffective co-facilitation is to solicit feedback frequently and regularly. As a check on behavioral perception, there is no substitute for honest and straightforward reactions.

In order to counteract one facilitator's tendency to overtrain the group and to cut into the rhythm of interventions of the other, it may be useful to count to ten—or twenty—before intervening. If any participant speaks during that time, the count is begun again at zero.

It is important that the co-facilitators be honest both in presenting themselves and in soliciting feedback from participants. In this way, they can de-emphasize the impact of their presence in the group. Each co-facilitator needs to monitor the reasons for his or her behavior in the group. Each intervention should be "located," that is, the facilitators need to know what they are observing, what they are responding to, what the needs in the group seem to be, and what the intervention is designed to elicit. Otherwise, it is likely that the intervention will meet the personal needs of a facilitator at the expense of the needs of the participants.

Testing Assumptions

It seems axiomatic that all assumptions need to be tested continually. Facilitators clearly are not above making errors in communication. It is critical that they check the bases of their professional judgments.

If co-facilitators experience difficulty in working together, they may solicit a third party as a consultant. This activity can produce a great deal of learning not only for themselves but also for any observers.

Personal Awareness

In confronting the potential disadvantages of co-facilitating, partners can create for themselves opportunities to experiment with and to enlarge both their personal development and their professional expertise. The inventory on the following page can help facilitators to become more aware of their assumptions, preferences, and motivations in facilitating groups.

COORDINATING WITH THE CO-FACILITATOR

In planning to co-facilitate a training event, there are several things that trainers can do to enhance the process. The first is to establish a personal connection with each other for at least an hour to share information and expectations. This includes sharing responses to the inventory in this section, discussing professional experiences, and explaining what personal issues each anticipates working on in the group. It is a very good idea to state some of your co-facilitation patterns and to indicate the behaviors that your co-facilitator might see as idiosyncratic. It also would be helpful if each of you were to note issues that have arisen in your past work with other facilitators.

When you have shared this personal information, it is time to define together the training goals of the event on which you are about to work; to reach consensus about the expectations and experiences of the participants; and to discuss your reactions to the makeup of the group, its size, and any other special considerations. Then work to reach agreement on the following issues.

Operating Norms

1. Where will each of you sit during the sessions? When presenting and not presenting?
2. Who will open and end each session?
3. Are there differences in status between you? If so, how will this be handled? How will it be presented to the participants?
4. Will there be open-ended or specific time periods for starting, breaks, etc.? Will you end at specific times?
5. What are your preferences for attendance for yourselves and for the participants? Will either of you be free to leave the group or will you both remain part of the group during all sessions?
6. How much “there-and-then” discussion will be allowed? How do you define “here-and-now”?

Learning Style: (Write a statement of approximately one hundred words to explain your concept of how people learn.)

Personal Motivation: (Complete the following sentence: I am involved in training because . . .)

Expectations: (What things do you expect to happen in the type of group in which you will be working? What would be the best thing that could happen? What would be the worst thing?

Intervention Style: (What are your typical responses in the type of group in which you will be working?)

1. When starting the group, I usually . . .
2. When someone talks too much, I usually . . .
3. When the group is silent, I usually . . .
4. When an individual in the group is silent for a long period of time, I usually . . .
5. When someone becomes upset of cries, I usually . . .
6. When someone comes in late, I usually . . .
7. When someone introduces outside information about family or friends into the group context, I usually . . .
8. When group members are excessively polite and unwilling to confront one another, I usually . . .
9. When there is conflict in the group, I usually . . .
10. When there is a group attack on one individual, I usually . . .
11. When group members discuss sexual feelings about one another or about me, I usually . . .
12. If there is physical violence, I usually . . .

My favorite interventions in this type of group are:

My typical "intervention rhythm" (fast/slow) is:

My style is characteristically more (a) nurturing or (b) confronting

The thing that makes me most uncomfortable in groups like this is:

Other information about me that might be useful to a co-facilitator (e.g., FIRO-B scores, social style, NLP preference, training/learning style, etc.) is:

Facilitator Inventory

7. How (and possibly when) will you make theory inputs, and which of you will do what?
8. How will you work to facilitate transfer of learning and back-home application? Will there be follow-up and, if so, how will it be done?

Co-Facilitating Style

1. Where, when, and how will you deal with issues between you?
2. Can you agree to disagree? How much tolerance is there for differences?
3. Will you encourage or discourage conflict?
4. How much of your behavior will be role determined and how much will be personal and individual?
5. Is it possible to use each other's energy; that is, can one of you be "out" while the other is "in"?
6. How will you establish and maintain growth-producing norms?
7. What is not negotiable with each of you as a co-facilitator?

Ethics

1. What are your responsibilities if someone in the group has psychological difficulty? Are you responsible for referral? What responsibilities do you have after the training experience is over?
2. What responsibilities, if any, do you have for screening participants?
3. Are you adequately qualified? How will you communicate your qualifications to the participants?
4. What are your ethical standards with regard to issues such as sexism, sexuality, prejudice, racial slurs, and so on?

After sharing information and discussing it, it might be a good idea to take a break in order to review and consider the information that you have received from each other, then meet again to discuss any items that need clarification.

CLINICS

"Clinicking" is the term that some trainers use for the brief, "how-are-we-doing, what-should-we-consider-changing" meetings that co-facilitators have during the breaks in a training event and at the end of each day. Some of the questions that you may want to ask are as follows:

Diagnosis

1. On a scale of one to ten, how did things go in this session?
2. What is happening in the group(s)?
3. Are there any problems that need to be addressed? If so, what are we going to do about them?

Soliciting Feedback

1. What did I do that was effective?
2. What did I do that was ineffective?
3. How am I doing as a co-facilitator?
4. To what degree are we colluding, that is, not sharing all the information we have?

Renegotiation

1. As we re-examine our contract, is there anything that we need to renegotiate?
2. How are we feeling about each other?
3. What is each of us going to do in the next session?

Finally, it is important to have a debriefing session at the end of the training event in order to conduct a final clinic and to discuss what happened, what was or should have been done, and what each of you learned from the experience. The following questions may be helpful at this time:

1. To what extent were the training goals achieved?
2. Under what conditions would we work together again?
3. What are our personal and professional learnings from this event?
4. What do you see that I can do personally to improve my training competence?

SOURCE

Pfeiffer, J.W., & Ballew, A.C. (1988). *Presentation and evaluation skills in human resource development* (UATT Series, Vol. 7). San Diego, CA: Pfeiffer & Company.

THE CYCLE OF CHANGE

Kurt Lewin (1947) studied the issue of personal learning and change and noted that most people are in a "frozen" state in terms of their openness to learning and change. Each person carries his or her own set of unexamined attitudes and habitual modes of perceiving and responding. Lewin described the cycle of change as *unfreezing* (opening up, for some reason, to the possibility of learning or changing), *change* (a learning of some kind), and *refreezing* (using the changed habits—attitudes or behaviors—in place of the old ones). A simple figure can be used to illustrate this concept.

UNFREEZING

People in organizations often do things in the same ways for years. Even if they do not like the ways in which things are done, people tend to prefer the known over the unknown and will resist change. Even in experiential learning groups, unless the participants have benefited from a considerable amount of previous training, they will come to the event in a "frozen" state. Before people can undergo change, they must *unfreeze* their typical attitudes and behaviors—a process that can be very threatening. Sometimes unfreezing is the result of trying something that clearly does not work because the consequences are so negative; one then decides that it might be done better another way. Sometimes the change is imposed from the outside; in this case, there is more resistance on the part of the person who is targeted for change. In order to reduce the threat of change and the resulting resistance, people must examine their old attitudes and/or behaviors and decide that they are *willing* to experiment to see if some changes would be beneficial.

CHANGE

The atmosphere of the training group is important in facilitating change. The process is greatly enhanced when an atmosphere of support, mutual risk taking, and trust exists. The democracy and intimacy that are part of training-group process support self-examination and reduce the risk of trying out new responses. In fact, the mutual process among participants creates a norm that makes change desirable, rather than a sign of weakness or failure. As participants become involved in the training group, they begin to share its responsibilities, and the group becomes more cohesive. Fears about changing are reduced, and risk taking is rewarded.

Depending on the training objectives, *change* can be facilitated by a number of techniques. Primarily it involves the participants examining some aspect of themselves or the area of focus, experimenting with new ways of thinking or behaving, learning

new concepts that they can relate to their existing knowledge and use as models for new ways of thinking or behaving, and practicing the change with feedback and support from the facilitator and the other group members. Many different training technologies can be used to aid in this process.

REFREEZING

Refreezing is the process by which the new attitudes and behaviors are integrated into the participants' own ways of thinking and being. This integration actually is not a frozen state, because the process of change is a cycle: once experienced it opens up the individual to experiment and change again. The extent to which this takes place depends on the extent to which the person *identifies with and internalizes* the change. This, in turn, is dependent on the degree and quality of support and reinforcement the person receives. If one's changed attitudes and behaviors lead to more satisfying and effective relationships or a greater sense of self-awareness, or if others provide positive feedback, there is an incentive to continue the change.

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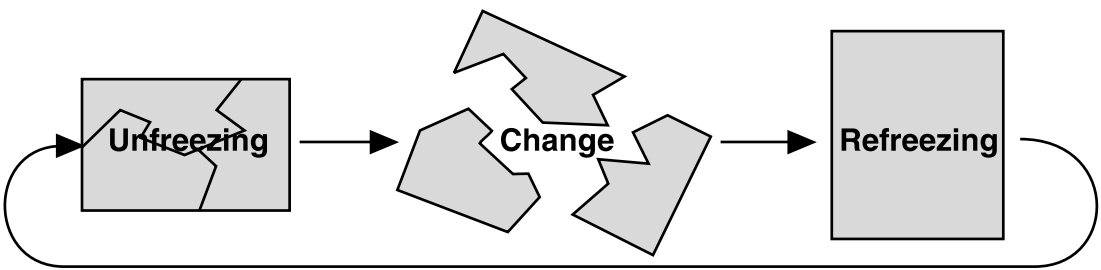


The Cycle of Change

DATA COLLECTION AND ANALYSIS FOR A NEEDS ASSESSMENT

The preferred way to answer the question "Why is the training being conducted?" is by doing a needs assessment. It is one of the most basic skills in establishing objectives for a training event. Such an assessment can provide clarity about the expectations of the client system and can help to reconcile them with the needs of the participants (e.g., do you want skill training or awareness expansion, team building or communication training? What are the priorities? Can these be accomplished in time allowed?) There also can be several other beneficial outcomes, including the following (Warshauer, 1988):

- Increasing the commitment of management and potential participants to the training and development effort;
- Increasing the visibility of the training function;
- Clarifying crucial organizational issues;
- Providing for the best use of limited resources;
- Providing new program and design ideas; and
- Formulating strategies for how to proceed with the training efforts.

It is not always possible to do a formal or full-scale needs assessment (some clients are sure that they know what is needed and will insist that you do just that), but it almost always is preferable. As an absolute minimum, one can conduct an informal needs assessment, i.e., obtain the answers (from at least a sample of the client population) to the following questions:

- Why is the training being conducted? What is the need?
- What is expected to change as a result of this training (e.g., knowledge, skills, or attitudes—for individuals, groups, or a system)?
- What will be the impact of this training (on individuals, groups, the system)?
- How will the learnings be reinforced?
- How will results be monitored/evaluated?

A number of techniques are available for obtaining answers to these and other pertinent questions. The facilitator must consider each method and determine which (or which combination) is most appropriate to the particular client system.

DATA-COLLECTION TECHNIQUES

Several methods can be used to collect data from the sources that are available. Some require the involvement of individuals or groups; others, such as observation and review of existing data, require less direct involvement. Frequently, two or more techniques will be used in concert (e.g., a survey questionnaire and interviews), thus expanding the range and type of information gathered. The following is a partial listing of techniques for collecting information. For more complete discussions of data-collection techniques, refer to Bouchard (1976) and Nadler (1977).

Individually Oriented Methods	Interviews Instruments (Questionnaires, Surveys; etc.) Tests
Group-Oriented Methods	Sensing Interviews Committees Delphi Technique Nominal-Group Technique Brainstorming
Observation	Systematic Observation Complete Observation Participant Observation
Review of Existing Data	Sensitivity Originality

Individually Oriented Methods

Most data-collection techniques involve either the people who are to be trained or individuals who have frequent contact with them. These techniques include questionnaires, interviews, and tests. Each method has unique features that influence its appropriateness.

Interviews

The interview is one of the most commonly used methods for gathering data, but it is most appropriate when the following conditions exist:

- When the information to be shared is of a personal or sensitive nature;
- When some of the questions to be asked may need to be clarified or explained;
- When some of the interviewees' answers may need to be clarified or explained;
- When the data collector does not know all the issues, so cannot design an instrument that will pinpoint them;
- When the interviewer may want to change gears or pursue topics further during the questioning, based on the information that is received;

- When the group of people who will provide the information is small enough to allow one-on-one interviews;
- When there is time to conduct one-on-one interviews with all those who hold relevant information, as well as time to review the responses and extract relevant data;
- When the data collector has the skill and means to collate, tabulate, analyze, and interpret the various data that will be obtained.

It often is best if the person who will be conducting the interview is a neutral third party, i.e., one of the facilitators who will be designing the training, not the interviewee's boss or someone with an affiliation within the organization. This will increase the likelihood of an honest response and can help to eliminate any suspicion of bias. It must be remembered, however, that there are some people who will view any outsider as a "spy." It is helpful if the credentials of the interviewer and the reason why he or she was selected can be published in the system prior to the actual interviewing process. It is then up to the interviewer to establish a comfortable atmosphere once each interview has begun.

The following is a basic outline of a typical interview process:

1. Starting Out. One problem associated with data-gathering interviews is determining whom to interview. If a training program is to be conducted within an organization, it probably is a good idea to interview a cross-section of the prospective participants (and their managers, if the participants themselves are not all managers) as well as the person who has arranged for the training. Once you have determined who will be interviewed, provide the people to be interviewed with enough notice of or details about the meeting for them to prepare themselves adequately. An unprepared interviewee usually can offer only opinions, unsubstantiated by "hard" data. Such information also may be superficial, especially if the interviewee is relatively unfamiliar with the subject or the interviewer is not highly skilled in interviewing techniques.

When selecting a room for the interview, pay attention to the surroundings. Seating should be comfortable but not too comfortable. The person being interviewed should not be faced with bright light from a window or other source. There should be a table or other writing surface for taking notes.

Plan the interview time so as to eliminate interruptions. This may mean scheduling it early or late. Be there a little early to organize your thoughts and materials, and start on time. If possible, know the name and position of the person to be interviewed and his or her relationship to the rest of the potential participant group. Welcome the person by name, offer a seat, and introduce yourself, stating why you are there. State the purpose of the interview, who else will be interviewed, and how the data will be used.

Next, describe the norms that you would like to establish, e.g., honesty and risk taking. Make it clear that what the interviewee says will be anonymous but not confidential, that is, the data from all interviews will be tabulated and reported, but "who" said "what" will not be revealed. Encourage the person to try to relax and to say

what he or she really thinks or feels. Ask the person to agree to tell you if you do not ask questions clearly. Then explain the procedure: say that you will take notes (or record the answers) while the person is talking to be sure that you get the real meaning of what is said, rather than relying on your memory of it. Obtain written or recorded permission if you will be recording the person's responses on tape. Say that you will review your notes with the person at the end of the interview in order to check the phrasing. Finally, estimate the amount of time that the interview will take.

2. Asking Questions. Prepare the questions that you will ask ahead of time, so that when actually conducting the interviews you ask everyone the same basic questions. (Of course, during the course of a particular interview, you can ask the individual additional questions to clarify an answer or to follow new, pertinent trains of thought.) Check to make sure that you understand the questions that you will be asking.

Put the questions in a logical sequence, starting with less complicated and less threatening questions first. Ask open-ended questions, such as "why . . .," "how . . .," "what . . .," and "what do you think about . . .?" This allows the person to explain facts, details, and reasons while answering the question. Do not phrase questions negatively because this could be seen as biased; make them neutral. For example, rather than saying "Don't you think that . . .," ask "How do you think . . .?" It is important not to bias the question or lead the interviewee into any particular type of response.

While the interviewee is talking, take notes, using the person's own words. Try to maintain an interested, encouraging appearance and—above all—do not criticize the person's answers, rationale, or phrasing. If it is necessary to ask questions of clarification, make it clear that you are doing so merely in order to be sure that you understand accurately what the person is trying to say. This is a good time to practice active listening. Watch for verbal and nonverbal cues that could indicate that the interviewee is reluctant to discuss a particular subject, uncomfortable with the interview, overly eager to press a certain point, confused, tired, etc. You may need to change your manner of questioning or take a different tack.

If unfavorable information is introduced, there always is the fear that the source of the information will be revealed. Unless an atmosphere of trust is developed with the interviewee, the information shared may be slanted. It can take time to develop a trusting relationship. Some people never will "open up" to an interviewer, and many people will tell only what they think the interviewer wants to hear. Information acquired under such circumstances should be evaluated carefully and compared with data acquired from other sources.

3. Finishing Up. As you approach the end of the interview, wind down the complexity of the questions. Ask the interviewee if there is anything important about the topic that you did not ask or anything else that the person wants to say. Be sure to leave enough time to summarize the person's comments so that he or she can check your understanding. Finally, thank the person for participating and reiterate what the next steps will be (that the data will be tabulated, how it will be used and by whom, etc.).

Leave enough time to complete your notes before the next interview is scheduled to begin.

Instruments

The questionnaire, survey, or rating scale is another commonly used method of collecting data. Any instrument should be checked for its ability to measure what is desired (validity) and the consistency, over time, of the ratings obtained (reliability). Items or questions on the instrument form should not be phrased so that the answers received are biased. Closed-ended questions limit the responses an individual can make. For example, if the choices on a questionnaire are limited to "team development," "communication training," and "performance appraisal," but the respondent actually thinks that the problem is a lack of organizational direction, it is unlikely that the respondent will write in "more organizational direction" even if a space is left for "other." Another way in which bias can be introduced is through leading questions, those that indicate to the respondents how they are expected to answer. For example, if asked whether assistance in improving leadership abilities would be useful, who would say no? This does not, however, mean that leadership training actually is a crucial need.

For a complete discussion of how to select, develop, and use instruments (including organizational surveys and instruments used for research), refer to *Using Instruments in Human Resource Development* (Pfeiffer & Ballew, 1988a).

Tests

Tests also can be used to assess the skills, abilities, or perspectives of an individual for diagnostic purposes. Tests are probably the least used of the assessment techniques. They are used primarily by designers of training programs to determine how accomplished the participants are before starting the program. This avoids repeating information that is already known or assuming too much prior knowledge. One of the major disadvantages of tests is that they frequently are perceived as threatening; as a result, people become quite defensive about their scores. If it is necessary to use a test prior to a skill-training program, the purpose of the test should be stated explicitly.

Group-Oriented Methods

In contrast to individually oriented methods of data collection, group-oriented methods allow people to receive assistance from other group members to support their views. Such techniques also allow members to "piggyback" on the ideas of others, generating expanded information. However, they also can limit opinions that do not represent the majority viewpoint. This limitation can be an advantage or a disadvantage, depending on whether the researcher wants a variety of ideas or ideas common to the majority of group members. The most commonly used techniques for collecting data from groups are sensing interviews, focus groups, committees, the Delphi technique, the nominal-group technique, and brainstorming.

Sensing Interviews

Sensing interviews may be preferable to individual interviews in terms of time utilization and group support of ideas, but they do have potential weaknesses. First, as with most data-collection methods, respondents must believe that their answers will be used in the intended manner. Trust of the leader and the other group members is a prerequisite to an honest, open discussion. Second, people who were not invited to be members of the group may think that they were excluded deliberately; thus, they may feel threatened. An explanation of the purpose of the sensing interview should be made to alleviate the fears of such people.

Focus Groups

This technique is used widely in marketing. A group of customers, users, or consumers is identified (often based on certain characteristics) and brought together to provide feedback on products, services, etc. It is much like a customer survey, but the respondents are not selected randomly. One pitfall of this method is that people may not be totally honest in their answers, e.g., they may say that they travel to Europe frequently because they wish they did or want to be seen as sophisticated. Recent studies indicate that focus-group responses tend to be more reliable if the respondents are rewarded in some way (a nominal payment or gift), because they then feel a responsibility to respond honestly.

Committees

Committees may be ad hoc or permanent advisory groups whose purpose is to provide input and guidance in program design. Alternatively, functional committees can provide insight into particular problems. Often, committee members can see skill deficiencies, attitudinal barriers, or other factors that hinder performance. Because of their expertise, they also may be able to specify what would be most useful in overcoming particular problems.

The Delphi Technique

The Delphi technique (Bunning, 1979) is especially useful if it is necessary to obtain information from individuals in a variety of locations. Generally, the process starts with the selection of a panel of individuals who are knowledgeable about a particular area of concern. These individuals are requested to identify the major aspects of a specified issue. These issues are then integrated into a questionnaire that is sent back to the panel of experts, who are asked to indicate the extent of the problem. The responses are summarized and returned to the panel members with another questionnaire. This time the experts are asked to complete the questionnaire and to explain their rationale for deviating from the mean group response on each question. The process reveals both the group members' opinions and reasons for differences of opinion.

The Nominal-Group Technique

The nominal-group technique (Delbecq, Van de Ven, & Gustafson, 1975; Ford, 1975) is somewhat similar to the Delphi technique. The major difference between the two methods is that in the NGT, the panel members meet as a group to discuss the various issues. The individuals participating in an NGT activity are given a subject or theme and asked to write their thoughts about the topic on a sheet of paper. The next step is to proceed around the group, asking each member to share one thought or idea with the group, in turn. These ideas are recorded without discussion until all ideas are shared and recorded.

The major advantages of the NGT are that it ensures that every group member contributes to the generation of ideas and that multiple facets of ideas are surfaced. It also helps to gain commitment from the participants because they have had equal opportunities to contribute and to evaluate ideas.

Brainstorming

Brainstorming is similar to the NGT. In this approach, ideas are voiced as they occur and are recorded without discussion of their merit. This allows participants to build on other members' ideas. Quantity of ideas is the first concern in brainstorming. After numerous ideas are generated and no new ideas are forthcoming, the discussion turns to the feasibility of the ideas. The major advantage of this approach is that "piggybacking" of ideas can occur. The technique does not, however, assure that all members will participate.

Observation

A third group of techniques used to collect data (and to verify data collected by other methods) is observation (Bouchard, 1976). The techniques range from observing a sample of behavior to some form of "undercover" observation by a concealed observer. The advantage of observation is that behavior is more natural and people are not required to provide the information directly. They continue to function as they would normally. Ideally, this would decrease the intervention impact caused by the data-collection process. Still, observation is likely to have some impact on behavior. Subjects being observed may "perform" for the observer and thus bias the data.

Systematic Observation

Systematic observation techniques frequently require a sampling of the behavior in question. For example, interactions between certain people could be observed on a random basis. After a series of observations, a pattern would evolve, showing what problems typically were encountered. If the observation revealed particular sources of problems, it might be deemed worthwhile to design a program (e.g., training in communication, listening, problem solving, conflict management, negotiation, etc.) to deal with the sources of the problems.

Complete Observation

Complete observation occurs when the observer openly uses a videotape camera, film camera, audio recorder, or other such technique to record relevant behavior. This method can yield massive amounts of information. It also can require large expenditures of time and money.

This technique can be used within a training program to record participant behavior during an activity. The primary purpose of such a recording would be to allow the trainer to discuss relevant issues with the trainees without interrupting the dynamics of the original session. However, it also would allow the trainers to analyze the session later, in order to improve the design of the training program. This type of observation also can be useful in analyzing meetings and other group events prior to and after a training intervention.

Participant Observation

In a final method of observation, the observer also is a participant. This may require the researcher to actually interact in a task-related way with one or more members of the group in order to learn what is involved in doing the work. Participation gives the data collector added credibility as well as relevant examples.

In another version of participant observation, the observer surreptitiously observes the group. Ideally, this method reduces the bias caused when the subjects realize that they are being observed. However, because the observer is intervening in the group's activities, his or her actions can bias the results. A potentially more serious issue is one of ethics and credibility. One must consider how people will respond to data gathered by such means and whether they would trust a leader or trainer who used such techniques to gather data. This method would be especially counterproductive if the program based on the data were to require openness and trust among the participants.

Review of Existing Data

A review of existing data is useful in gathering information because the information is collected after the action, so there is no danger of biasing the behavior. An example of this technique is a review of critical incidents or performance evaluations to determine employee strengths and weaknesses. It may be possible to trace a number of incidents to common causes and, thus, to identify potential problem areas.

Although a variety of data are available in most organizations, there do not seem to be well-established techniques for collecting such data. Information collected often is in the form of case studies, which may be used to demonstrate a point during a program, indicate needs for program development, or verify the results of information acquired through other means. The keys to the use of this data-collection technique seem to be sensitivity and originality. One must be very sensitive to the type, quality, and initial purpose of the information being reviewed. Creativity and originality in interpreting and

analyzing the data can lead to new insights. Historical data also can be used to supplement and confirm data collected from other sources and by other means.

DATA ANALYSIS

After the sources of needed information are identified and the data are collected, it is necessary to analyze and interpret the data. The procedures that frequently are used include some form of gap analysis, scaling methods, weighting formulas, and consensus. These procedures can be used to analyze data collected by a variety of techniques, and more than one procedure can be used to analyze a group of data. These techniques are as follows.

Gap Analysis	
Scaling Methods:	Rating Rankings Nominal-Group Technique
Weighting Formulas	
Consensus:	Voting Compromise

Gap Analysis

A fairly easy method of analyzing data is examining the gap between where the organization or group "is" on a particular issue and where it should be or where it would like to be. The differences between actual and desired states indicate potential areas for program development. For example, a difference between 50 percent turnover for a particular firm or group versus a 10 percent average turnover for the industry would signal a potential problem. Once such differences are identified, it is necessary to attach priorities to the gaps to guide program development.

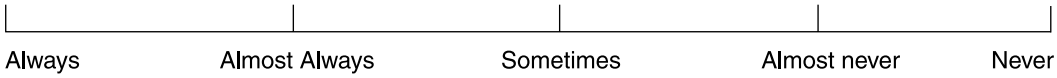
Scaling Methods

Scaling methods such as measurements on a continuum or rankings can be used to establish the relative significance of issues. Typical scaling procedures include the following.

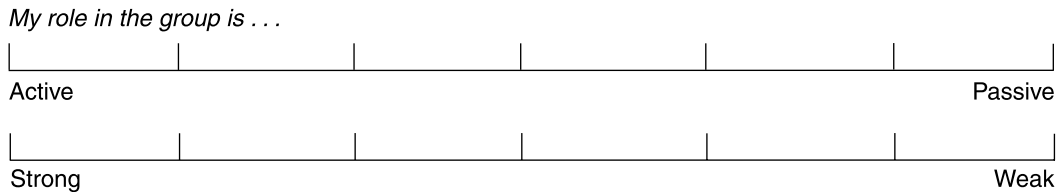
Rating Scales

Scales frequently are used to show the importance or magnitude of various issues to the person completing the scale. The most frequently used is the Likert scale, on which the respondent indicates agreement on a continuum ranging from "strongly agree" to "strongly disagree." Other frequently used measurements include ranges of importance or desirability.

I participate actively in the group's deliberations.



The semantic differential rating scale is used to rate bipolar attributes, for example:



A variation of this technique is to ask the respondent to mark a scale to indicate where the respondent, group, or organization is and where it should be on particular issues. This helps to identify major gaps between the current and desired states (i.e., training needs). Other types of rating scales include forced-choice scales and sociometric ratings (rankings).

Rankings

Various data can be rank ordered in terms of their importance, desirability, frequency, etc. Individual rankings then can be combined to establish the relative value that the group places on each issue. Sociometric ratings (of individuals) allow comparison (e.g.. who rated whom or what lowest and highest), thereby generating more data than just the individual rankings themselves. The design and use of these scaling methods are described in more detail in Pfeiffer and Ballew (1988a).

The Nominal-Group Technique

In the nominal-group technique, the participants in a group rank the items identified in the group discussion in order of importance. The responses of all participants are compiled, and the results are reported to the group. The group ranking then can be used to establish priorities for discussion, training, or other program design.

Weighting Formulas

One of the problems in using scales is that no mechanism is provided to indicate the relative differences in the importance of the scales. Weighting formulas allow the respondents or diagnostician to attach more value to one scale than another. A common weighting method is to ask the respondent to indicate how important a particular attribute (skill, attitude, need) is, how frequently the attribute is encountered, or how deficient the subject feels in terms of the attribute. In one example, a study asked managers to indicate how important a particular competency was for their subordinates, how frequently the subordinates needed the competency, and how well prepared the subordinates were in that competency. These three responses were then combined to determine the need for a program to develop the competency. This study also identified substantially different priorities for job competencies among industries—again supporting the need to customize training programs rather than interpreting training needs to fit an existing program.

Consensus

One of the most commonly used methods of reaching agreement is consensus (a majority or all members agree on an issue, a ranking, or a next step). This is not to be confused with voting, compromising or "horse trading." Although the latter often are easy methods for decision making, they may not include a careful weighing of all the relevant information.

Voting

If a group uses a nonquantitative method to collect information, a vote of the members often is used to determine the implications of the data collected. However, one or two persons or issues frequently dominate the discussion, or individuals with high status—such as experts or top managers—often voice their views on the subject. Unless there is information that clearly contradicts these high-powered views, the subsequent vote and recommended actions will likely follow along.

Compromise

If there are a number of strong feelings about an issue, a common solution is a compromise. This often results in a nonthreatening, suboptimum recommendation that is acceptable to all but will do little to solve the problem. In fact, a compromise program could worsen the problem by raising the expectations of participants. Then, if the expected results are not achieved, the program, its sponsor, its designers, and its facilitators look bad.

Summary

To design a training program or intervention, the program designer should consider the possible sources of data, how the data will be collected, and how the data will be analyzed. Although it is possible to build a program based on an interview with a supervisor or a few potential participants, a wider perspective is helpful in assessing the needs that the program should attempt to meet. In general, the more sources of information, techniques of data collection, and methods of data analysis that can be used to diagnose a problem, the better the understanding one has of the problem or training need.

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THE EXPERIENTIAL LEARNING CYCLE

Experiential learning occurs when a person engages in some activity, looks back at the activity critically, abstracts some useful insight from the analysis, and puts the result to work through a change in behavior. Of course, this process is experienced spontaneously in everyone's ordinary life. People never stop learning; with each new experience, we consciously or unconsciously ask ourselves questions such as, "How did that feel?," "What really happened?," or "What do I need to remember about that?" It is an *inductive* process: proceeding from observation rather than from *a priori* "truth" (as in the *deductive* process).

Learning can be defined as a change in behavior as a result of experience or input, and that is the usual purpose of training. The effectiveness of experiential learning is based on the fact that nothing is more relevant to us than ourselves. One's own reactions to, observations about, and understanding of something are more important than someone else's opinion about it. Research has shown that people learn best by "doing." One remembers best what one *knows* better than one remembers what one *knows about.*

STRUCTURED EXPERIENCES

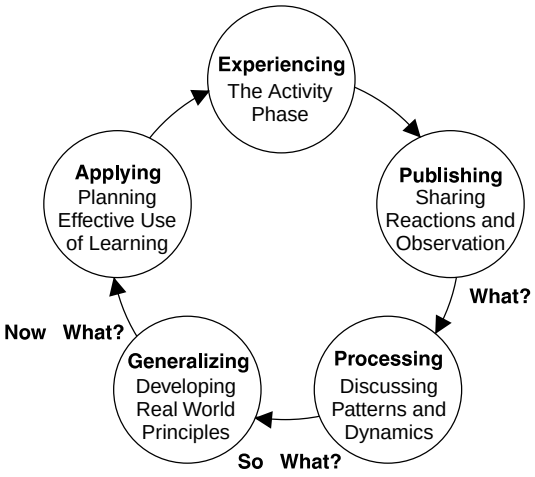
Learning experiences are generated naturally in daily life, but they also can be "set up" to provide opportunities for specific types of learning. A *structured experience* provides a framework in which the inductive process can be facilitated. The experience is structured so that some aspects of the situation are emphasized and others are not. A set of conditions is established that affects the participants' roles and the process of interaction. The facilitator may introduce a task to be done by the participant group; this task constitutes the dynamics of the learning situation. Participants experience the opportunities and the constraints of the situation and the human behaviors that are generated by the particular set of conditions. One of the major strengths of this approach is that it can be adapted to many situations or content areas. Once the particular learning objectives are identified, many types of activities can be selected to facilitate their achievement.

After participants have completed the activity or task, they are asked to end that phase of the experience and to process, or discuss, what took place. Within the particular focus, the participants discover meaning for themselves and validate their own learning. The significant thing is that the discussion of feelings, patterns, and implications that constitute the learning phases of the experience are outside the boundary of the artificial group activity. The facilitator helps the members to abstract, from among the aspects of the situation, those elements that capture the essence of the situation. These elements then are generalized to situations in the real world. Learnings about the possible effects

of a variety of behaviors can be obtained. The aim is for participants to be able to choose among behaviors when confronted with similar situations in the future.

THE EXPERIENTIAL LEARNING CYCLE

The steps in a structured experience follow those of a theoretical cycle (see illustration).



The Experiential Learning Cycle

Experiencing

Experiencing occurs naturally in all life situations. In the training setting, participants are exposed to a particular type of experience. This initial stage is the data-generating part of a structured experience. It is the step that so often is associated with "games" or fun. Obviously, if the process stops after this stage, all learning is left to chance, and the facilitator has not completed the task.

Almost any activity that involves either self-assessment or interpersonal interaction can be used as the "doing" part of experiential learning. The following are common individual and group activities:

- making products or models
- solving problems or sharing information
- giving and receiving feedback
- communicating verbally or nonverbally
- analyzing case material
- negotiating or bargaining
- competing or collaborating
- writing
- transactions
- guided imagery
- choosing self-disclosure
- confronting
- planning
- creating art objects
- role playing

These activities can be carried out by individuals or in dyads (pairs), triads (trios), small groups, group-on-group arrangements, or large groups. Of course, the learning objectives would dictate both the activity and the appropriate groupings.

It is important to note that the objectives of structured experiences are necessarily general and are stated in terms such as "to explore . . .," "to examine . . .," "to study . . .," "to identify . . .," etc. Inductive learning means learning through discovery, and the exact things to be learned cannot be specified beforehand. All that in wanted in this stage of the learning cycle is to develop a common data base for the discussion that follows. This means that whatever happens in the activity, whether expected or not, becomes the basis for critical analysis; participants may learn serendipitously.

Sometimes facilitators spend an inordinate amount of energy planning the activity but leave the examination of it unplanned. As a consequence, learning may not be facilitated. The next four steps of the experiential learning cycle are even more important than the experiencing phase. Accordingly, the facilitator needs to be careful that the activity does not generate excess data or create an atmosphere that makes discussion of the results difficult. There can be a lot of excitement and "fun" as well as conflict in human interaction, but these are not synonymous with learning; they provide the common references for group inquiry.

Publishing

The second stage of the cycle is roughly analogous to inputting data, in data-processing terms. People have experienced an activity and now they presumably are ready to share what they saw and/or how they felt during the event. The intent here is to make available to the group the experience of each individual. This step involves finding out what happened within and to individuals—at cognitive, affective, and behavioral levels—while the activity was progressing. A number of methods help to facilitate the publishing, or declaring, of the reactions and observations of individual participants.

- Recording data during the experiencing stage (for later discussion): rating such things as productivity, satisfaction, confidence, communication, leadership, etc.; listing adjectives that capture feelings at various points.
- Whips: quick free-association go-arounds on various topics concerning the activity.
- Subgroup sharing: generating lists such as the double-entry one "What I saw/How I felt."
- Posting: total-group input recorded on a newsprint flip chart.
- Ratings: developing ratings of relevant dimensions of the activity, tallying and averaging these measures.
- Reporting: systematic "interviewing" of individuals about their experiences during the activity.

- Nominations: a variation of the "Guess Who?" technique—asking participants to nominate one another for roles they played during the experiencing stage.
- Interviewing pairs: asking each other "what" and "how" questions about the activity.

Publishing can be carried out through unstructured discussion, but this requires that the facilitator be absolutely clear about the differences in the steps of the learning cycle and distinguish sharply among interventions in the discussion. For example, during the publishing phase it is important to stick to sharing feelings and other reactions and observations and not to allow some participants to skip ahead to generalizing—inferring principles from what happened. Conversely, some group members' energies may be focused on staying inside the activity, and they need to be nudged into separating themselves from it in order to learn. Structured techniques such as those listed above make the transition from stage one to stage two cleaner and easier. That, after all, is the job of the facilitator: to create clarity and transition with ease.

Processing

This stage can be thought of as the fulcrum or the pivotal step in experiential learning. It is the *systematic* examination of commonly shared experience by those persons involved. During this stage, participants attempt to answer the question, "What actually happened?" This is the "group dynamics" phase of the cycle, in which participants essentially reconstruct the patterns and interactions of the activity from their individual reports. This "talking through" part of the cycle is critical, and it cannot be either ignored or designed spontaneously if useful learning is to be developed. The facilitator needs to plan carefully how the processing will be carried out and focused toward the next stage, generalizing. Unprocessed data can be experienced as "unfinished business" by participants and can distract them from further learning. Selected techniques that can be used in the processing stage are listed below.

- Process observers: reports, panel discussions (observers often are unduly negative and often need training in performing their functions).
- Thematic discussion: looking for recurring topics from the reports of individuals.
- Sentence completion: writing or saying individual responses to phrases such as "The leadership was . . .," "Participation in this activity led to . . . ."
- Questionnaires: writing individual responses to items developed for the particular structured-experience activity.
- Data analysis: studying trends and correlations in ratings and/or adjectives elicited during the publishing stage.
- Key terms: posting a list of dimensions to guide the discussion.

- Interpersonal feedback: focusing attention on the effect of the role behaviors of participants in the activity.

This step should be thoroughly worked through before going on to the next. Participants should be led to look at what happened in terms of group dynamics and behavioral trends but not in terms of "meaning." What occurred was real, of course, but it was also somewhat artificially contrived by the structure of the activity. It is important to keep in mind that a consciousness of the dynamics of the activity is critical for learning about human relations outside the training setting. Participants often anticipate the next step of the learning cycle and make premature generalizations. The facilitator needs to make certain that the processing has been adequate before moving on.

Once the processing step has been accomplished, participants are ready (and should be encouraged) to say goodbye to the content of the structured activity and to focus on the learnings. This is the point at which learning readiness occurs. The question to be answered next is "So what?"

Generalizing

A key concept in experiential learning is that of *pattern*. Pattern implies that there is an order to the elements of a situation and that these elements occur with some regularity. Although variations on basic patterns occur because of individual and subcultural differences, they can be understood beyond their differences when seen as a general class of event. The concept of pattern unites previously isolated phenomena. When the arrangement of elements is understood in one situation, this understanding can be generalized and applied to other situations.

Much of experiential learning is concerned with bringing one's characteristic styles of interaction into conscious awareness, evaluating them with respect to their utility for different personal and professional roles, and modifying those particular aspects of one's style that limit one's effectiveness.

Also, certain patterns of elements in social situations evoke common behaviors, irrespective of individual styles of interaction. For example, a task group with limited resources tends to feel frustrated. A member's choice of behavior to express this frustration is more a function of the roles and norms of the situation than of his or her personality. A structured training approach emphasizes the patterns in given situations that provide opportunities for certain behavioral alternatives while limiting opportunities for other behavioral alternatives.

However, if learning is to transfer to the "real world," it is important for the participants to be able to extrapolate the experience from the training setting to the outside world. An inferential leap has to be made at this point in the structured experience, from the reality inside the activity to the reality of everyday life. The key question here is "So what?" Participants are led to focus their awareness on situations in their personal or work lives that are similar to those in the activity that they experienced. Their task is to abstract from the processing phase some principles that could be applied

"outside." Thus, the generalizations are to be made about "what tends to happen," not "what happened in this particular group."

This step is what makes structured experiences practical, and if it is omitted or glossed over, the learning is likely to be superficial. The following are some strategies for developing generalizations from the processing stage:

- Guided imagery: guiding participants to imagine realistic situations "back home" and determining what they have learned in the discussion that might be applicable there.
- Truth with a little "t": writing or making statements from the processing discussion about what is "true" about the "real world."
- Individual analysis: writing or saying "What I learned," "What I'm beginning to learn," "What I relearned."
- Key terms: posting topics such as "leadership," "communication," "feelings," etc., to focus generalizations.
- Sentence completion: writing completions to phrases such as "The effectiveness of shared leadership depends on . . . ."

It is useful in this stage for the group interaction to result in a series of products—generalizations that are presented not only orally but also visually. This strategy helps to facilitate vicarious learning among participants. The facilitator needs to remain nonevaluative about what is learned, drawing out the reactions of others to generalizations that appear incomplete or controversial. Participants sometimes anticipate the final stage of the learning cycle also, and they need to be kept on the track of clarifying what was learned before discussing what changes are needed.

In the generalizing stage, it is possible for the facilitator to bring in theoretical and research findings to augment the learning. If concepts are to be taught, this is the time to do it. Introducing cognitive points here can provide a framework for the learning that has been produced inductively and can help to check the reality orientation of the process. It is important that any input from the trainer be linked directly to the points that have been generalized by the participants. Also, the practice may encourage dependence on the facilitator as the source of knowledge and may lessen commitment to the final stage of the cycle if the outside information is not "owned" by the participants—a common phenomenon of *deductive* processes. Typically, less outside input is needed than one who is not familiar with the process may assume.

Applying

The final stage of the experiential learning cycle is the purpose for which the whole structured experience is designed. The central question here is "Now what?" The facilitator helps participants to apply generalizations to actual situations in which they are involved. Ignoring such discussion jeopardizes the probability that the learning will

be utilized. It is critical that attention be given to designing ways for individuals and/or groups to use the learning generated during the structured experience to plan more effective behavior. Several practices can be incorporated into this stage.

- Consulting dyads or triads: taking turns helping one another with back-home problem situations and applying generalizations.
- Goal setting: developing applications according to such goal criteria as specificity, performance, involvement, realism, and observability.
- Contracting: making explicit agreements with one another about applications.
- Subgrouping: in interest groups, discussing specific generalizations in terms of what can be done more effectively.
- Practice session: role playing back-home situations to practice "new" behavior.

Individuals are more likely to implement their planned applications if they share them with others. Participants can be asked to report what they intend to do with what they have learned, and this can encourage others to experiment with their own behavior.

It is important to note that on the diagram of the experiential learning cycle there is an arrow from "applying" to "experiencing." This is meant to indicate that the actual application of the learning is a new experience for the participant, to be examined inductively in turn. What structured experiences "teach," then, is a way of using one's everyday experiences as data for *conscious* learning about human interactions. This sometimes is referred to as "relearning how to learn."

Such learning is an everyday part of everyone's life. As long as one's mind is functioning normally, one never stops learning. A major purpose of human resource development is transferring learning from training programs to the job situation and—equally important—transferring the experience of relearning how to learn from the training situation to one's professional and private lives.

CONSIDERATIONS IN FACILITATING EXPERIENTIAL LEARNING

Although the stages of the model have been presented in discrete terms, it is clear that the interaction between them (and within them) is complex. No learner goes through these phases exactly step by step, and it probably would not be desirable to do so. The danger also exists that the participants might become fixed at one level because changing one's behavior is frightening or emotionally demanding. Some participants may engage in what seems to be whimsical behavior because they fail to see how the training is related to issues in their own lives.

If there is a major shortcoming in the area of change agentry, it lies in the completion of the latter phases of the cycle. The economics of time and money have discouraged the development of programs that might result in more integrated and long-term behavioral change. All too often one is seduced by the exhilaration of discovery (the early stages of the model) and finds generalizing, processing, and publishing

relegated to the last half hour—or even minutes—of the program. We all know that there are people who have left training programs full of good intentions but have soon returned to their old ways of behaving. When long-term change in individuals and/or organizations eludes us, we may begin to blame it on the participants rather than to examine the training design. Trainers must question their own professionalism or ethics if they attempt to present "exciting" training events that emphasize experiencing and discovering and are clearly lacking in generalization and application. Many clients will assert that they cannot afford a longer, more substantial design. The credibility of the HRD profession may be dependent on our answer to that assertion.

What experiential learning does best is to instill a sense of ownership over what is learned. This is most easily achieved by making certain that each stage of the learning cycle is developed adequately. The implications of the model stress the necessity for adequate planning and sufficient time for each step.

Another element that makes structured experiences so useful as learning devices is their safety. Each individual's responses to what happens during a structured experience are valid learning for that individual. In didactic learning, in contrast, the teacher has the power to push his or her interpretations, styles, and experiences, with the result that the participants' own reactions and insights—what they truly know—may be lost. It is imperative that facilitators preserve the integrity of each participant's individual experience.

Another aspect of the safety of a structured experience is the psychological safety provided by the boundary of each structured situation. When the artificial activity has ended, it is done with. The consequences of one's way of being in a situation can end with that situation. The processing, generalizing, and applying phases of the cycle emphasize going past the generating experience and thinking in terms of what tends to happen and how it might be different next time. Thus, participants can engage wholeheartedly in assigned tasks and then separate themselves from the situation in order to view it in retrospect. In this way, they are less encumbered by the emotional impact of events within the artificial situation. One can learn and be different in the next situation.

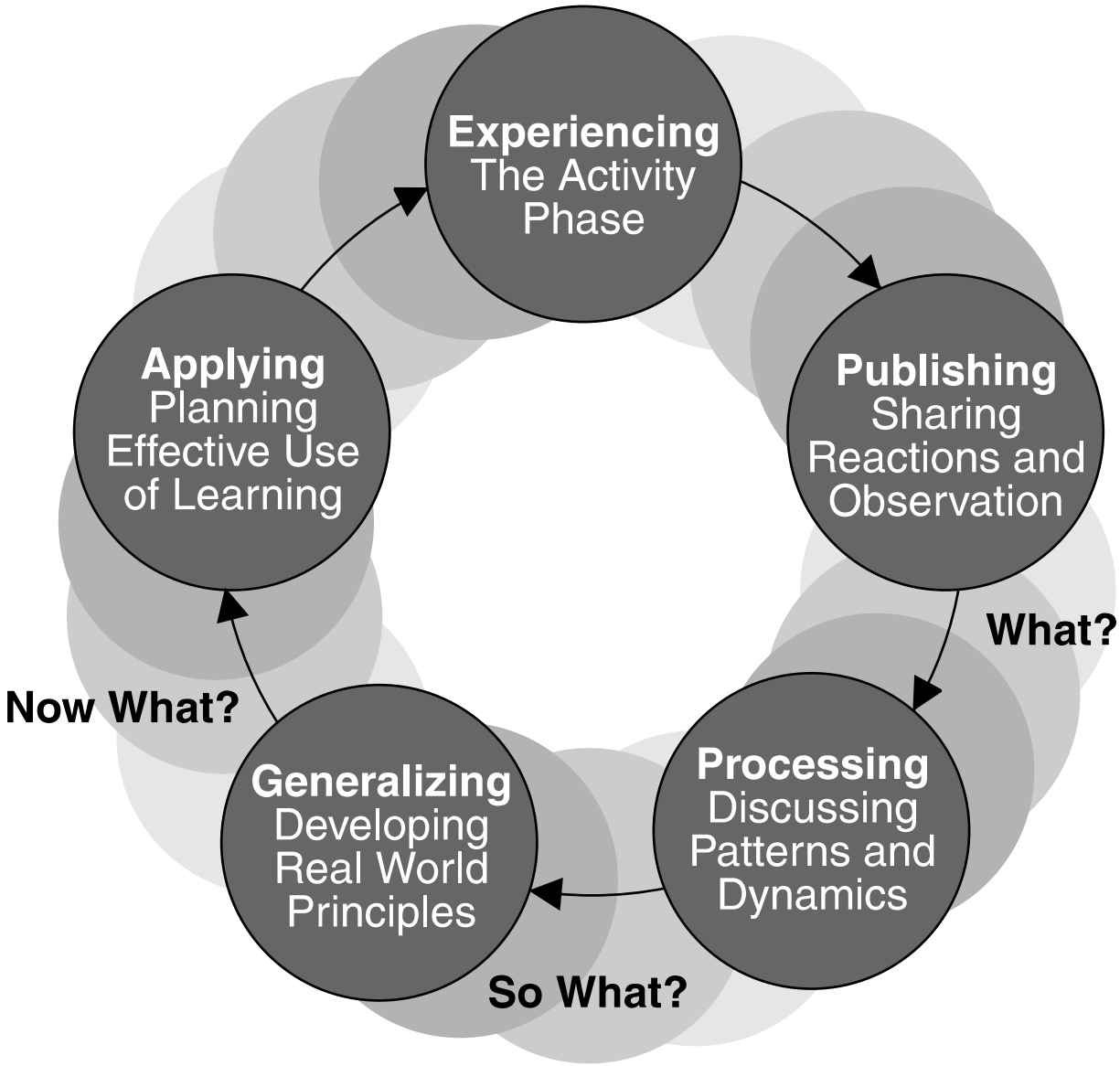
CONCLUSION

Learning experiences that utilize the experiential learning model allow participants to confront basic psychological and behavioral issues that they have to deal with in their daily lives. The model gives participants an opportunity to examine their feelings and behaviors related to interactions with other individuals. Examining their feelings and other reactions to situations helps to expand the participants' awareness and understanding of the function their emotions play in their behavior. Not only does this add to the interest and involvement of the participants, it also contributes significantly to the transfer of learning. No other type of learning generates this personal involvement and depth of understanding. The ultimate result is that participants accept responsibility

for their own learning and behavior, rather than assigning that responsibility to someone else.

SOURCE

Pfeiffer, J.W., & Ballew, A.C. (1988). *Using structured experiences in human resource development* (UATT Series, Vol. 1). San Diego, CA: Pfeiffer & Company.



The Experiential Learning Cycle

FACILITATOR EFFECTIVENESS

There are several dimensions that are important in and to those who are trainers, or *facilitators* of human learning and change. Some of these are personal and some are related to professional knowledge and experience.

PERSONAL REQUIREMENTS

The human element is the most critical and most real component of facilitator effectiveness. One of the most significant personal dimensions of a facilitator is the ability to feel *empathy* for another person. Of course, we never can fully experience someone else's situation, but it is crucial that a facilitator try to see things from another person's perspective. Another important personal dimension is *acceptance*—allowing another person to be different, to have a different set of values and goals, to behave differently.

Congruence and flexibility determine two additional aspects of the person. Congruent people are aware of what they are doing and feeling and are able to communicate these to others in a straightforward way. A healthy and psychologically mature person is flexible, not dogmatic, opinionated, rigid, or authoritarian. A healthy facilitator should be able to deal with another person at that person's pace.

If people have these personal attributes, they are therapeutic. Just being around them makes others feel good; they help by being well-integrated persons themselves. The most meaningful growth that facilitators can undertake is improving their own personal development, furthering their own understanding of their values, attitudes, impulses, and desires. Two of the most important interpersonal conflicts that HRD professionals must resolve for themselves are their individual *capacities for intimacy* and their *relations* to *authority*.

Specific attention should be paid to the facilitator's role as a person who interacts with others. The facilitator should strive to be a person who generates enrichment rather than a person who extracts nourishment from others. Facilitators should focus on giving trainees opportunities to grow as individuals. Many training programs are combinations of counseling, personal growth, consciousness raising, value clarification, sensory awareness, and other experiences in addition to content training; the intent is to help participants to experience themselves and others in a growthful way.

PROFESSIONAL REQUIREMENTS

Appropriate training for group facilitators is an important issue in education and in the applied behavioral sciences. The trainer needs more than a package of structured experiences to facilitate learning effectively. Solid exposure to and integration of the following components are needed.

Conceptual Knowledge

It is important that the group facilitator have a solid understanding of people, groups, and facilitating styles. This knowledge may be obtained through formal means (a university or other professional training program) and/or through less formal ways such as reading or attending seminars.

Theories. Theory is a resource. It is one of the components a facilitator uses to develop and improve as a practitioner. Theories abound in applied behavioral science; there are theories of personality, group dynamics, organizational behavior, community behavior, and systems.

Techniques. One also can improve the effects of training and consulting through techniques and design components such as structured experiences, instruments, lecturettes, confrontations, and verbal and nonverbal interventions.

Understanding People. The facilitator has direct and often intense involvement with people. Knowing about people in a theoretical sense contributes to knowing them in a personal and professional sense. This knowledge can be obtained through the study of normal and abnormal human behavior, theories of personality, and theories and techniques of counseling, as well as through other sources.

Understanding Groups. A thorough knowledge of group interaction and dynamics is required. A "cognitive map" is crucial to the adequate understanding of how groups develop and how members relate to one another. Several models are available for understanding the stages of group development in both the personal and task dimensions.

Skills

Experiential Learning. Experiential learning as a group member in various types of groups is a necessary beginning. Being in a group as a fully participating member may be the best way to learn about groups. Supervised co-facilitating experience is an important introduction to the role of group facilitator. It is at this point that the integration of theory, practice, and experience is approached. Supervised facilitating without a co-facilitator is the next step, and ongoing professional development is needed throughout one's practice. Such development may be acquired through laboratories, workshops, seminars, and professional conventions.

Communication Skills. Certain basic communication skills are necessary in order to promote individual, group, and organizational growth. A facilitator needs to develop the ability to listen, to express (both verbally and nonverbally), to observe, to respond to people, to intervene artfully in the group process, and to design effective learning environments that make efficient use of resources.

Presentation Skills. The perceived effectiveness of a presentation is dependent on several variables, including the presenter's appearance, use of language, bodily movements, preparation, content, and delivery. Attention to the following items can help to make any presentation more effective.

- ***Appearance.*** It is important that the facilitator appear credible and professional to the participants. One of the most obvious ways in which this perception can be affected is in the facilitator's choice of clothing and accessories. Needless to say, it would not be appropriate to show up for a training program at, for example, IBM, wearing a dashiki and sandals. In some other situation, it might not be appropriate to wear a business dress or suit. The trainer should determine what the culture of the sponsoring organization and participant group is and, in most cases, dress accordingly.
- ***Language.*** It is a good idea to use the participants' language as much as possible, with the exception of the crude vernacular or excessive jargon. Before speaking, take two or three deep breaths. Slow down and speak more deliberately than you would in a normal conversation. This makes it easier to remember what you want to say next, and it also is easier for the participants to understand.
- ***Body language.*** Nonverbal body language also is part of the trainer's presentation. Good posture helps to present a professional image, but it need not be stiff or formal. In fact, it often is a good idea to appear to be relaxed. It is important to look at all the group members as one speaks and to maintain eye contact briefly.
- ***Preparation.*** Preparing one's presentation ahead of time, practicing (in front of a mirror or on videotape), and observing seasoned professionals who are presenting can help to develop effective physical and verbal presentation skills.

It also is important to take the participants into consideration during any presentation. There are many books on the subject of metaverbal and nonverbal communication that can help a trainer to gain skill in reading the body language of the participants. One should be able to recognize nonverbal messages of enthusiasm, impatience, boredom, fatigue, conflict, mistrust, and so on. Other theories and models can help to improve a trainer's presentation and facilitation skills as well. For example, an understanding of neurolinguistic programing can help to make one's presentations more interesting and memorable for the visuals, auditories, and kinesthetics in the audience. An understanding of social styles can help one to understand and relate more effectively to the analyticals, drivers, expressives, and amiables in the group.

FUNCTIONAL EFFECTIVENESS

The group facilitator needs to demonstrate competency. This is a combination of the facilitator's knowledge, personal style, and training experience. Facilitative functions can be structured or unstructured, verbal or nonverbal, exotic or traditional, but they all are intended and applied to effect desired outcomes. Lieberman, Yalom, and Miles (1973) have identified four basic, facilitative functions in encounter groups: emotional stimulation, caring, meaning attribution, and executive function.

- ***Emotional stimulation*** represents evocative, expressive facilitator behavior that is personal and highly charged emotionally. The facilitator performing this function frequently is in the center of the group. Personal confrontation is valued; high risk is pervasive.
- ***Caring*** is evidenced by the development of specific, warm personal relationships with group members. These relationships are characterized by understanding and genuineness. Caring is a completely separate issue from technical proficiency.
- ***Meaning attribution*** is achieved by the facilitator's providing cognitive explanations of behavior and definitions of frameworks for change. As a functional skill, it means giving meaning to experience.
- ***Executive functions*** are managerial approaches such as stopping the action and asking group members to process the experience or suggesting roles and procedures for group members to follow.

Included within these four basic functions are specific behaviors. Some of these behaviors are listed in the table on the next page. They comprise a typology of facilitator functions and behaviors.

REFERENCE

Lieberman, M., Yalom, I., & Miles, M. (1973). *Encounter groups: First facts.* New York: Basic Books.

SOURCE

Pfeiffer, J.W., & Ballew, A.C. (1988). *Presentation and evaluation skills in human resource development* (UATT Series, Vol. 7). San Diego, CA: Pfeiffer & Company.

FUNCTIONS

BEHAVIORS

Emotional Stimulation	Caring	Meaning Attribution	Executive Function
Challenging	Accepting	Reflecting	Gatekeeping
Confronting	Understanding	Interpreting	Setting standards
Releasing strong emotion	Supporting	Explaining	Giving directions
Intrusive modeling	Modeling warmth	Labeling	Blocking
Catalyzing interaction	Developing intimate relationships	Linking	Directing traffic

Facilitator Functions and Some Inclusive Behaviors

FUNCTIONS OF GROUP LEADERS

Many observers have noted differences in the behavior of group leaders. In a study of encounter groups, Lieberman, Yalom, and Miles (1973) documented stylistic as well as behavioral differences among leaders. In general, the leader's behaviors aided groups to develop the conditions necessary for progress and growth. The results of the study allowed the researchers to categorize much of what the group leaders did within four factorially derived categories. The four categories are: *emotional stimulation, caring, meaning-attribution,* and *executive functioning*.

Emotional stimulation refers to a leader's expressing emotion; taking interpersonal risk; and communicating anger, affection, and love by demonstration. Stylistically, leaders who favor emotional stimulation invest great amounts of time modeling desired behavior. Thus, the leader functions as a *demonstrator* of behavior, becomes the center of the group's universe, and moves the group forward by use of personal power and personality.

Typical leader behaviors in this category include revealing personal feelings, values, and beliefs; challenging and confronting group members; participating in the group as a member; and generally calling attention to oneself.

Caring describes a leader's unconditional acceptance of others and expressions of warmth, authenticity, and genuine concern for the well-being of group members. Stylistically, leaders who favor caring invest great amounts of time establishing relationships. Thus, the leader becomes friend and confidant. The leader-group member relationship becomes much deeper than simply liking one another. For Lieberman, Yalom, and Miles, "liking" is more appropriately within the domain of emotional stimulation.

Typical leader behaviors in this category include protection from emotional harm; offers of friendship, love, and affection; and recurring invitations for members to seek feedback, support, praise, and encouragement.

- ***Meaning-Attribution*** is the process in which a leader interprets and attaches meaning to group feelings and behavior. It is a cognitive function whereby group feelings and behavior are named, interpreted, and translated into words and ideas by the leader. Stylistically, leaders who favor meaning-attribution can become very charismatic and tend to invest a great deal of time in raising issues and facilitating group self-reflection. Leaders who do not perform meaning-attribution functions tend to be perceived as equals and peers by group members. Typical leader behaviors in this category include explaining, clarifying, interpreting, and providing concepts to aid in understanding feelings and behavior, as well as providing concepts about how to change.

- ***Executive functioning*** refers to what Lieberman, Yalom, and Miles call the *movie director approach.* The leader stops the action and calls attention to a particular emotion or behavior. Stylistically, leaders who favor executive functioning accentuate the expression of emotion; interpersonal risk; and communication of anger, affection, and love through suggestion rather than by demonstration (as in emotional stimulation). Unlike an interpreter who provides meaning for the group, the executive leader asks the group to provide its own answers and meaning. Executivefunctioning leaders often assume the role of resource leader and utilize structured experiences to suggest and establish preferred group behavior.

Typical leader behaviors in this category include setting limits; suggesting or setting rules, norms, goals, and direction for group movement as well as time management; and stopping, inviting, eliciting, questioning, and suggesting procedures for making decisions.

Based on their research, Lieberman, Yalom, and Miles concluded that the most effective leaders were moderate in the use of emotional stimulation and executive functioning, were highly caring, and were moderate to high in their use of meaning-attribution. Conversely, the least effective leaders used either too much or too little emotional stimulation and executive functioning, were low in caring, and used little or no meaning-attribution.

LEADER TYPES

The four dimensions are fundamental in the sense that all leaders display the behaviors described. However, not all behaviors are displayed with the same intensity or in the same mix. The research of Lieberman, Yalom, and Miles suggests that differences in leader behavior are clearly associated with differences in leader *types*, which they identified as: *energizers*, *providers*, *social engineers*, *impersonals*, *laissez-faires*, and *managers* (see table).

For instance, the leaders labeled as *energizers* were distinguished by "intense emotional stimulation" and caring. Similarly, *providers* were distinguished by their high levels of caring and meaning-attribution, *social engineers* by their group orientation and high meaning-attribution, *impersonals* by their interpersonal distance, low caring, and low executive functioning, *laissez-faires* by their hands-off approach, and *managers* by their extreme executive functioning.

The research of Lieberman, Yalom, and Miles suggests that the behavior of leaders in encounter groups makes a significant difference on whether or not group members experience a beneficial or detrimental encounter. Of the six types of leader behavior, three—energizer, provider, and social engineer—were found to be beneficial and three—impersonal, laissez-faire, and manager—were found to be detrimental.

REFERENCE

Lieberman, M.A., Yalom, I.D., & Miles, M.B. (1973). *Encounter groups: First facts.* New York: Basic Books.

	Emotional Stimulation	Caring	Meaning - Attribution	Executive Function
Energizer	High	High	Moderate-High	Moderate-High
Provider	Moderate	High	High	Moderate
Social Engineer	Low	Moderate	High	Low-High
Impersonal	Moderate	Low	Moderate	Low
Laissez-Faire	Low	Low	Moderate-High	Low
Manager	Low-Moderate	Low-Moderate	Low-Moderate	Very High

Relationship Between Leader Behaviors and Leader Types

INSTRUCTIONAL-SYSTEMS DEVELOPMENT

Models of instructional development are intended as guides for the designers, developers, and implementers of *learning systems* (systems of training, education, and instruction). Instructional-development models differ in their labels and processes, but all models include three basic components: *defining objectives* (analysis), *planning to achieve the objectives* (synthesis), and *testing the plan* (evaluation). Although all models possess similar central characteristics, definitional differences warrant individual consideration.

EDUCATION, TRAINING, AND INSTRUCTION

Many regard the differentiation between education and training as an important aspect of learning. Romiszowski (1981) suggests that the fundamental difference between education and training is the issue of preplanned learning goals. Romiszowski notes that:

> Those of us who know where they are going, and can define the path that leads there, are in the business of training, whereas those who neither know their destination nor the means of getting there are in the business of education. (1981, p. 3)

Romiszowski believes that most trainers would agree with the above statement while most educators probably would disagree. Educators might argue that, although their end goals may not always be specifically defined, their destinations are known, and they do understand how to attain their goals. Conversely, trainers might argue that, although their destinations are clearly defined, they sometimes deviate from their plans in order to facilitate individual learning. For Romiszowski, the differences between the two can be depicted as opposing points on an education-training continuum (see figure).

Education-Training Continuum

As shown in the figure, the education side of the continuum represents an approach in which learning goals and the methods for achieving learning goals are established solely by learners. Educators exist as resources and provide limited—if any—input into determining the direction of learning. The training side of the continuum represents the opposite extreme, in which learning goals and the methods for achieving them are established by people other than the learners. For example, organizational training goals

often are determined by specific needs that have been identified through structured needs analyses. The role of trainers is to ensure that predetermined goals are reached. Therefore, organizational trainers tend to allow only limited (if any) deviation from predetermined goals and methods.

Obviously, these definitions will not always apply to the terms "educator" and "trainer" as they are popularly used. In this framework, "education" is seen as an open opportunity for learning, not necessarily the school/academic environment. Similarly, "training" implies a preplanned approach, not necessarily within the HRD framework.

Somewhere between *learner-derived* education and *other-derived* training lies the point at which education ends and training begins. Romiszowski believes that the precise determination of this point is unimportant because training often contains elements of education and vice versa. Romiszowski also believes that *who* chooses the learning goals is relatively unimportant. The important issue is that some sort of goal determination and goal-attainment strategies have taken place. Accordingly, the term *instruction* is more appropriate than either *education* or *training*.

Instruction can be defined as "goal-directed teaching processes that are more or less preplanned." This definition addresses both goal formulation and preplanning. Preplanning is a crucial element as it provides the guidelines for future direction and introduces a means for educators, trainers, and learners to measure the learning that has occurred. For Romiszowski, goals (however determined), preplanning, and testing combine to form an *instructional system,* which brings about learning.

THE INSTRUCTIONAL-SYSTEMS APPROACH

Systems are defined in terms of inputs from the external environment (information, materials, technology, and people), internal-conversion processes (human and technological), and outcomes provided to users (outputs). Systems may or may not use feedback mechanisms to regulate themselves. Systems are purposeful and goal directed; they exist because of the interdependence between inputs, processes, outputs, and the environment. Instructional systems, therefore, are systems that receive input from the environment and, through a variety of internal processes, convert inputs into valued user outputs. The outputs of instructional systems are *solutions to problems.*

An instructional-systems approach applies systems thinking and terminology to the definition and resolution of *real problems.* Real problems are defined by Romiszowski as problems that have created enough dissatisfaction to warrant the cost of getting from "the way things are" to "the way things should be." Such systems thinking begins with a three-step process:

1. ***Step One:*** At the point at which the problem is located, the system is defined in terms of inputs, outputs, and boundaries. Romiszowski suggests that inputs and outputs be quantified because quantification increases validity, helps define the system's purpose, and helps determine system efficiency.

2. ***Step Two:*** In input-output terms, problems are identified as discrepancies between "the way things currently are" and "the way things should be." If discrepancies between what exists and what is desired cannot be described in input-output terms, it is unlikely that the correct system has been identified.
3. ***Step Three:*** The value of changing from what exists to what is desired is quantified. For example, if current outputs are assigned a value of ten, and if desired outputs are valued at fifteen, the value of changing from "what is" to "what should be" is five.

Effective instructional designs begin with precise problem statements. Learning problems can be defined as the differences between what learners should know and be able to do and what they currently know and are able to do. Romiszowski cautions that solutions are easily confused with problems and that care must be taken not to identify solutions before the problem has been defined accurately. Completion of the above three steps will ensure that the problems have been defined as precisely as possible and it provides a foundation for continuing the problem-solving process. Problem-solving processes follow this standard format:

- Define problems using systems terminology;
- Analyze problems in order to generate potential solutions;
- Select and synthesize the ideal solution;
- Control implementation; and
- Test, evaluate, and revise as needed.

REFERENCE

Romiszowski, A.J. (1981). *Designing instructional systems.* New York: Nichols.

LEARNING OBJECTIVES

Robert Mager (1984, p. v) reminds us, ". . . if you're not sure where you're going, you're liable to end up someplace else."

The need to specify and communicate learning objectives has attained the status of conventional wisdom in the field of education. Teachers, professors, and trainers are routinely required to prepare instructional objectives. Clearly stated objectives allow learners to:

- know the desired behavioral outcomes of instruction,
- know what the instructor intends to teach, and
- know whether they have achieved what the instruction was designed to achieve.

Writing the learning objectives permits the instructor to:

- organize the instruction,
- plan the instruction,
- select relevant concepts,
- select teaching methods, and
- know whether the learners have mastered the intended material.

THREE MAJOR ELEMENTS OF AN INSTRUCTIONAL OBJECTIVE

Three major elements of an instructional objective have been identified by Mager (1984). They are:

- ***Performance:*** a statement of the participant's desired performance ability at the end of training. An objective for this article might be: ". . . will be able to write a set of instructional objectives to provide training on that subject."
- ***Conditions:*** a description of the conditions under which the trainee will be able to perform the skill imparted by training. For example, readers of this article will be expected to formulate training objectives only on ". . . particular subject matter," about which they are knowledgeable.
- ***Criteria:*** the criteria for determining whether the learner has adequately demonstrated the ability covered by the training. The criterion for this article is ". . . in accordance with the suggestions for writing effective objectives described by this article."

Performance

The performance statement tells us what the participant will be able to *do* or *perform* at the conclusion of instruction. Often instructors want their students to *know* or *understand* something at the conclusion of training. For example, a geometry teacher might want his or her students to know how to find the area of a circle. Unfortunately, words such as "know" or "understand" are not very useful objectives, because the instructor cannot look inside heads to determine what students know about computing the area of a circle. In general, verbs that express "knowing" or "being" (to appreciate, to feel, to comprehend, to enjoy, to believe, to internalize, etc.) are too vague to describe performance in concrete terms. The need to express objectives as performances can be fulfilled by something such as the following:

> Students will *be able to write* computations necessary to calculate the area of a circle.
>
> or
>
> Students will *be able to write* answers to problems requiring the computation of the area of a circle.

Admittedly, the phrasing of the two preceding examples seems somewhat awkward. The instructor might state the objective more directly and concisely as:

> Students will *be able to compute* the area of a circle.

However, Mager points out that words such as "compute," "identify," "solve," "find," or "calculate" describe *covert* rather than *overt* behaviors. That is, they refer to invisible behaviors, the whirring and turning of the gears in someone's head. It is difficult to identify just when someone has computed the area of a circle or identified the mating call of a Snowy Egret. In a technical sense, one can know only whether the computation or identification has taken place if that person *writes* down or *says* something. When the exhortation for the learner to *do* something covert seems unclear, Mager (1984) suggests clarifying the issue by inserting a parenthetical phrase. For example:

> Students will be able to compute (*write the solution for)* the area of a circle.

There is no one way to write objectives, but experts on the subject generally agree that they should be written as *observable* and *measurable* performances, not states of being or states of knowledge.

Conditions

It is one thing to change the jib sail on a sailing yacht that is tied to the dock; quite another thing to perform the same task during a storm at sea. If the purpose of a seamanship course is to train ocean-going sailors, the objectives regarding jib sails should be stated differently than they would be for a course to familiarize novices with the operation of sailboats. In general, the purposes of the training determine how the conditions of the objectives will be stated.

For example, an objective for a course to train word processors at the customer-service department of a public utility might be:

> *Given the name, address, and appropriate complaint-response form,* participants will be able to enter text, save files, print out documents, and submit documents for final approval.

The objective for a course to train word processors at the classified-advertising department of a daily newspaper might be:

> *Given oral information from customers requesting advertising by telephone,* participants will be able to enter text, save files, print out documents, and submit documents for final approval.

The objective for a course to train court stenographers on a word-processing package might be:

> *Given either a tape-recorded trial transcript or a shorthand version of testimony,* participants will be able to enter text, save files, print out documents, and submit documents for final approval.

All three word processors are being trained for the same performance: to enter text, save files, print out documents, and submit documents for final approval. Nevertheless, the conditions imposed by the training objectives vary in accordance with the purpose of the training.

Thus, it is easy to see why performance conditions ought to dictate content of training, methods of training, and standards for successful completion of training. Unless those conditions are explicit in the objectives, the appropriate adjustments of training content, methods, and standards are unlikely to occur.

Criteria

Mager says that when you have identified what you want learners to be able to do, you can improve the descriptive quality of an objective by stating *how well* you want them to do it. Unfortunately, learners often are not informed as to what the test for a course will cover. If objectives are properly written, they communicate to the students what learning is expected as an outcome of the course. This encourages them to learn the desired material and avoids the educationally valueless and wasteful activity of trying to "psych out" the instructor regarding the exam. For the instructor, the objectives should guide the selection of materials used to teach and materials used to test. Thus, the performance criteria tell student and instructor alike what a successful performance outcome of the instruction will be.

Performance criteria can include the time limits in which the behavior will occur (e.g., given an appropriate computer and software, participants will be able to write a program that creates simple graphics in *two hours*). Accuracy also can be a criterion for performance (e.g., given appropriate equipment, laboratory-technician trainees will be able to correctly classify as healthy or pathological *98 percent of the cell samples).* Quality often is the criterion for performance (e.g., using only hand tools, such as a miter box and a bucksaw—but no hammers and nails—finish-carpentry trainees will construct a picture frame *with joints that have no gaps and that are as near to perfectly*

square as can be measured by a tri-square). As can be seen, criteria provide the basis for evaluating the achievement of learning objectives.

REFERENCE

Mager, R.F. (1984). *Preparing instructional objectives* (2nd, rev. ed.). Belmont, CA: Pitman Learning/DS Lake.

LEARNING STYLES

Most trainers, educators, and human resource development (HRD) professionals agree that people learn in different ways. Research has demonstrated that there are measurable differences in the ways in which people assimilate and process information—in other words, learn—as well as differences in the types of environments that are conducive to learning. Yet much training and education is conducted as if every learner will learn in the same way and at the same rate.

Riechmann and Grasha (1974) identified six learning styles: *competitive*, those who learn in order to outperform classmates; *collaborative*, who believe they can learn best through sharing; *avoidant*, who are not interested in learning content in traditional ways; *participant*, who want to learn and enjoy the sessions; *dependent*, who lack curiosity and want to be told what to do; and *independent*, who enjoy thinking for themselves.

Cross (1976) details research that discriminates field-dependent students—those who *perceive the world as a whole and emphasize relationships*—from field-independent students—those who tend to *separate elements and approach the world in an analytical mode.* She emphasizes that people will be more productive if they are studying by means of a method that is compatible with their styles.

Learning Styles and the Experiential Learning Cycle

Kolb (1976) presented descriptions of learning-style preferences. In brief, he says that some adults have a receptive, experience-based approach to learning; these individuals rely heavily on feeling-based judgments and learn best from specific examples, involvement, and discussion. Kolb calls these learners *concrete experiencers.* In the experiential learning cycle, such people are very receptive to and excited by experiencing the activity and publishing and sharing their reactions to it. These people may become glassy-eyed during the fourth step, in which the group generalizes about the activity.

Some adults have a tentative, impartial, and reflective approach to learning. Such individuals rely heavily on careful observation and learn best from situations that allow impartial observation. Kolb calls these the *reflective observers.* These individuals obtain insight and learning most easily from steps three and four of the experiential learning cycle, processing and generalizing.

Continuing around the adult learning cycle, other people have an analytical and conceptual approach to learning, relying heavily on logical thinking and rational evaluation. These individuals learn best from impersonal situations, from the opportunity to integrate new learning with what already is known, and from theory. This group is termed the *abstract conceptualizers;* they tend to be most comfortable in the generalizing stage of the experiential cycle.

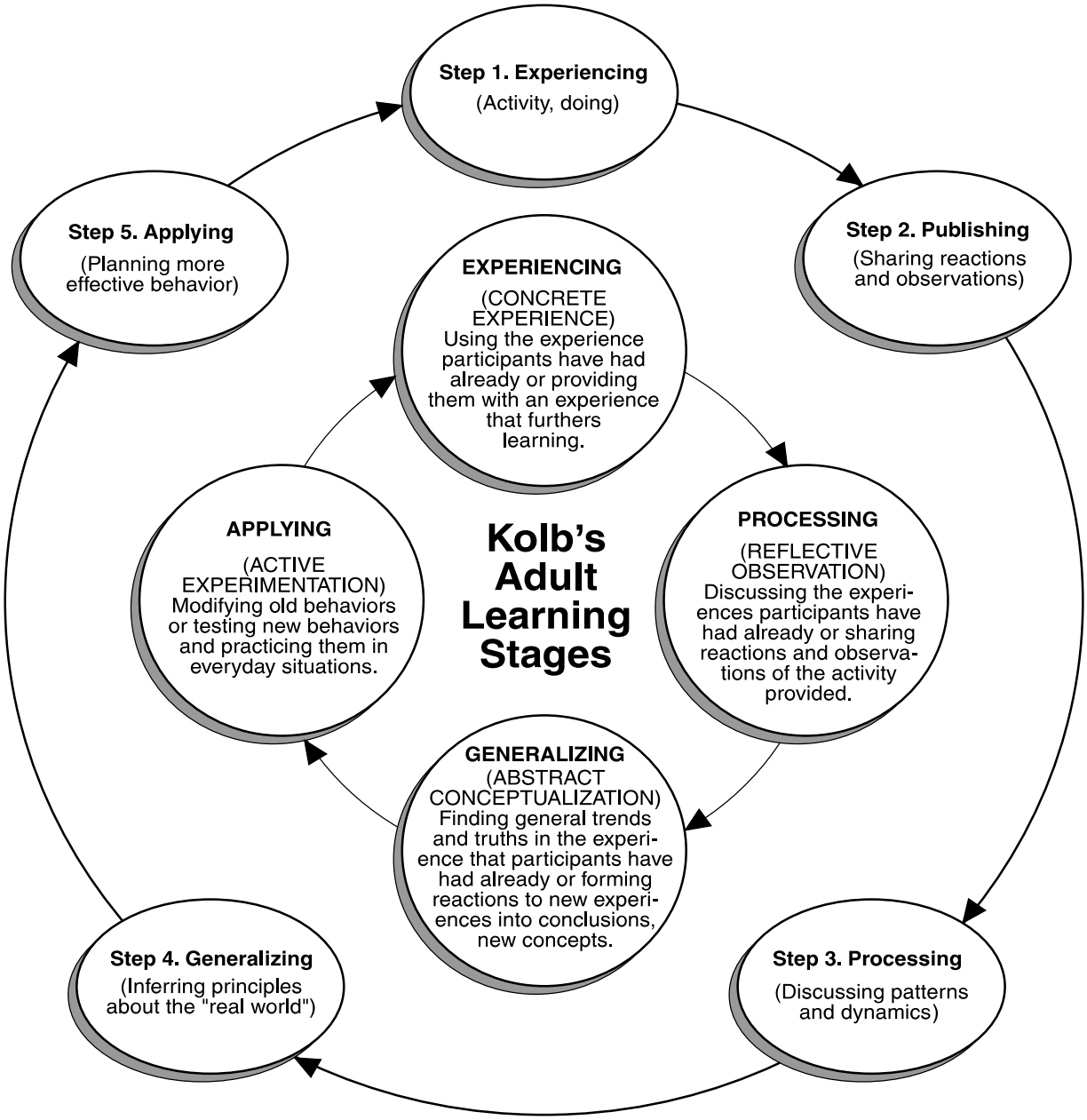
Finally, there are the adult learners who are called *active experimenters.* Their approach to learning is pragmatic ("Yes, but will it work?"). They rely heavily on experimentation and learn best from projects, back-home applications, and "trying it out." They must have the answer to the question "Now that I know all this, what am I going to do with it?" The final step in the experiential learning cycle, applying, is especially necessary for the active experimenters.

Despite these preferences, the experiential learning cycle cannot be abridged simply because an individual prefers one particular approach to learning; all learners must move through the entire cycle for the learning to "jell" and for the learner to "own" what was learned.

THE LEARNING-STYLE INVENTORY

Jacobs and Fuhrmann (1984) identify three basic types of learners: *dependent, collaborative,* and *independent.*

- ***Dependent learners*** tend to display a passive "teach-me" attitude toward learning. They assume that their trainers or instructors will assume full responsibility for any learning that takes place. Dependent learners expect that trainers will determine the learning objectives, develop course content and learning materials, and give grades. Dependent learners often are eager to learn but are likely to assume that they cannot do so without help. These learners are most productive in structured learning environments and often require a great deal of support and encouragement to move into more collaborative and independent learning situations.
- ***Collaborative learners*** expect to share the responsibility for learning and for establishing learning objectives and course content with their trainers. Collaborative learners value participation, interaction, teamwork, and the knowledge and expertise of their peers. They may be uncomfortable in highly structured learning-environments and at times may have difficulty recognizing trainers' expertise in designing independent learning projects and in facilitating the learning process.
- ***Independent learners*** expect to set and to achieve their own learning goals. They perceive trainers as holders of the knowledge and expertise that will help them to achieve their personal goals. Independent learners are comfortable working alone and require only minimal contact with others. The independent style of learning is highly active and can be expressed in the phrase, "Help me to learn to do it myself."



The Experiential Learning Cycle

The three styles are of equal merit, but certain styles may be more appropriate for certain people in particular learning situations. For example, more immature students require more structure and seem more dependent while they are learning. For use in their theory, Jacobs and Fuhrmann (1984) borrow Hersey and Blanchard's (1982) definition of maturity: the *willingness and ability to assume responsibility for directing one's own behavior*. Willingness refers to one's level of motivation, and ability refers to one's knowledge, skills, and talents in a particular field. Motivated (willing) trainees believe that the material about which they are learning is important. They are determined to learn and are confident in their ability to do so. Consequently, as trainees gain maturity, their competence in and confidence about independent learning increases. The table below presents an overview of appropriate trainer behaviors for each learning style.

Learner Style	Learner Needs	Trainer Role	Trainer Behavior
DEPENDENT (May occur in introductory courses, new work situations, languages, and some sciences when the learner has little or no information on entering the course.)	Structure Direction External reinforcement Encouragement Esteem from authority	Director Expert Authority	Lecturing Demonstrating Assigning Checking Encouraging Testing Reinforcing Transmitting content Grading Designing materials
COLLABORATIVE (May occur when the learner has some knowledge, information, or ideas and would like to share them or try them out.)	Interaction Practice Probe of self and others Observation Participation Peer challenge Peer esteem Experimentation	Collaborator Co-learner Environment setter	Interacting Questioning Providing resources Modeling Providing feedback Coordinating Evaluating Managing Observing process Grading
INDEPENDENT (May occur when the learner has much knowledge or skill on entering the course and wants to continue to search on his or her own or has had successful experiences in working through new situations alone. The learner may feel that the instructor cannot offer as much as he or she would like.)	Internal awareness Experimentation Time Nonjudgmental support	Delegator Facilitator	Allowing Providing requested feedback Providing resources Consulting Listening Negotiating Evaluating Delegating

Learner-Trainer Styles

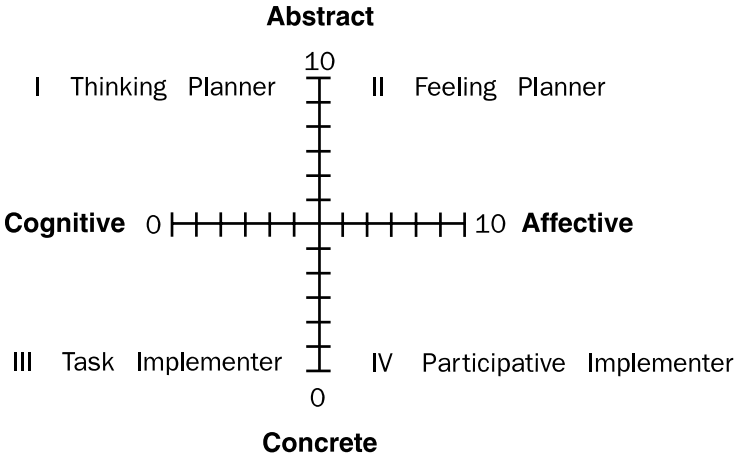
For Jacobs and Fuhrmann, the primary role of the educator or trainer is to provide learners with an opportunity to capitalize on their talents and interests. Therefore, trainers must be aware of people's learning styles so that they can create an enabling learning environment.

THE LEARNING-MODEL INSTRUMENT

Murrell (1987) presents a model that describes four types of learners—*thinking planners, feeling planners, task implementers,* and *participative implementers.* The four learning styles are based on two learning continuua:

- ***Cognitive-Affective;*** and
- ***Concrete-Abstract.***

Murrell asserts that learning results not only from cognition *(thinking)* but also from experience and feeling *(affect).* Murrell believes that individual differences on the affective-cognitive continuum are the fundamental predictors of how people learn. The model's second dimension (the vertical axis) utilizes an abstract-concrete continuum. Murrell's model is depicted in the figure that follows.



Murrell's Learning Cycle

COGNITIVE LEARNERS

Cognitive learners tend to learn through mental activity. They can grasp the subject matter intellectually and prefer to learn through controlled thought and logic. Murrell notes research regarding left-and right-brain functioning that indicates that people whose left brains are dominant tend to exhibit cognitive preferences. Rationality appeals to cognitive learners, as do logic and other intellectual skills. Murrell suggests that a high cognitive-learning preference often accompanies a high task orientation.

AFFECTIVE LEARNERS

Affective learners are more comfortable with situations in which they can learn through feelings and emotions rather than with logic. Affective learners prefer personal interaction during the learning process and learn about people by experiencing them emotionally. Murrell notes that in right-brain research, affective learners are said to be more intuitive, more spontaneous, and less linear.

CONCRETE LEARNERS

People with high concrete-learning preferences enjoy jumping in and getting their hands dirty. Hands-on experiences are important to concrete learners; they strive to keep busy, to become directly involved, and to physically approach or touch whatever they are working with. If they work with machines, they will get greasy; if they work with people, they will become involved.

ABSTRACT LEARNERS

At the other end of the concrete-abstract continuum are those who do not have any special desire to touch, but who want to keep active by thinking about the situation and by relating it to similar situations. Their preferred learning style is internal—inside their own heads.

People are unlikely to be on the extreme ends of either the cognitive-affective or concrete-abstract axes, and no one type of learning is best. The model merely offers a method for looking at different learning styles. The domains (areas between the vertical and horizontal continuua) are as follows:

1. ***The Thinking Planner*** represents a combination of cognitive and abstract preferences. This is the place for the planner whose job is task oriented and whose environment contains primarily things, numbers, or printouts. The thinking planner probably does well in school, is likely to have a talent for planning, and is likely to be successful in a department that deals with large quantities of untouchable things, such as financial management. The bias in formal education often is toward this learning style, in which concepts are treated abstractly and socioemotional elements often are denied.
2. ***The Feeling Planner*** represents a combination of affective and abstract preferences. Feeling planners enjoy working with people but have limited opportunities to get close to them. Social-analysis skills are represented in this area. People in this area should be able to understand the social and emotional factors that affect a large organization. Learners with this style sometimes experience difficulties when placed in learning situations that prevent them from having direct contact with others and when expected to determine without concrete experience the nature of and solutions to problems.

3. ***The Task Implementer*** represents a combination of cognitive and concrete preferences. Task implementers often are decision makers who primarily want to understand the task and who can focus on details and specifics in a thoughtful manner. If the demand for interpersonal skills is low and if the emotional climate is not a problem, this person is likely to do well.
4. ***The Participative Implementer*** represents a combination of affective and concrete preferences. Participative implementers tend to possess "people skills" and are able to work closely with others. These learners like to become involved and have the ability for and interest in working with the emotional needs and demands of others. Practical management programs often emphasize this style, which can complement the more traditional thinking-planning learning style.

Murrell also believes that, despite personal preferences, trainers should be capable of working with learners who function in each or the four areas because trainers must be able to work with a variety of people who learn in many different ways.

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LEVELS OF TRAINING EVALUATION

Most models of training, instructional design, and instruction incorporate some element of evaluation (Dick & Carey, 1985; Romiszowski, 1981). In a training context, evaluation can be defined as *the means to determine or to set the value of training.* In other words, evaluation is a measure of outcome and a means of providing feedback about training's impact. Unfortunately, evaluations often are not highly valid, which led Putman (1989) to suggest the following:

> Evaluation is to human resource development what losing weight is to the American middle class. Nobody denies its importance, almost everybody has plans to do it, and the mere act of trying brings automatic approval . . . . Evaluation is seldom done, hard to do, and the results are rarely useful. (p. 143)

Randall (1960) proposed that there are three distinct viewpoints regarding training evaluation.

- ***Negativists*** believe that evaluation of training is unnecessary or impossible because training programs cannot be measured objectively.
- ***Positivists*** believe that only scientific evaluation of training is worthwhile. Positivists believe that other types of evaluations are wastes of time.
- ***Frustrates*** believe that training must be evaluated and that the focus should be on the measurement of outcomes and on the design of meaningful evaluations. Frustrates tend to concentrate on performing the highest quality evaluation possible rather than on deciding whether an evaluation is necessary.

LEVELS OF EVALUATION

Training effectiveness is measured in terms of desired outcomes—whether organizational needs are fulfilled. Desired outcomes are determined by training goals and objectives, and training goals and objectives are determined through needs assessments. Therefore, training goals differ according to the needs of the organization that is sponsoring the training. Consequently, different types of information and measurement technologies are used for different types of evaluation. Mayo and DuBois (1987) describe four levels at which training outcomes can be evaluated.

1. Level I measures the trainees' *reactions* and acceptance of the material.
2. Level II measures the trainees' *learning* of knowledge and skills.
3. Level III measures changes in *behavior* and on-the-job improvement.
4. Level IV measures organizational *results* and improved operational performance.

The four levels correspond with four basic evaluation criteria: (a) did the trainees enjoy the training?; (b) did the trainees learn anything?; (c) did the training help on-the-job performance?; and (d) did the training help organizational performance?

The table at the end of this article depicts the four levels of training evaluation as related to ease of measurement, usual methods of evaluation, and the importance of each level in terms of bottom-line impact.

ACCEPTANCE OF TRAINING

The process of gathering trainees' reactions to the training is relatively uncomplicated and usually attempts to measure subjective responses about the following:

- Overall trainee acceptance of the training;
- Specific positive or negative feedback about training content or training processes;
- Suggestions for improvement;
- Evaluations of certain phases; and
- The trainer's effectiveness.

The information provided by trainees' reactions is useful for evaluating instructional content, delivery methods, the training staff, and the training environment. Trainees' reactions can be gathered easily and inexpensively through interviews and end-of-training surveys. Unfortunately, trainees' reactions are the least effective indicators of overall training effectiveness.

GAINS IN SKILL OR KNOWLEDGE

Training often is implemented because of the organization's desire for employees to learn something new. Level II (learning) evaluations attempt to determine whether trainees actually have acquired skills or knowledge as a result of training. Gathering such information is a more complex process than simply asking trainees for their reactions.

Information provided by Level II evaluation usually is more quantifiable than the highly subjective reactions obtained during Level I evaluation. However, when subjective information is being gathered, care needs to be taken in order to assure that actual learnings rather than reactions are being measured.

Level II evaluation often takes the form of performance evaluations and written tests.

- ***Performance testing*** measures gains in performance levels by requiring trainees to demonstrate the skills being taught and by observing the results.

- ***Written testing*** measures gains in knowledge by means of paper-and-pencil testing.

Level II testing procedures can be elaborate or simple. In either case, care needs to be taken to ensure that the tests are measuring gains in skill and knowledge and are not measuring skills and knowledge that were present prior to the training session. Expanded job skills and knowledge often are accurate predictors of improved on-the-job performance.

IMPROVED PERFORMANCE

Training most often takes place in order to alter trainees' behavior. Level III evaluations attempt to determine whether learning gains have been transferred to the job and whether they have produced improved job performance.

The measurement of job performance is considerably more complex than the measurement of trainee reactions or of trainee learning. Effective performance appraisal assumes that valid indicators of successful performance have been developed and that these indicators have been integrated into a valid and reliable performance-evaluation system. Once valid performance evaluation criteria have been developed, on-the-job improvement is best assessed through supervisor evaluations.

ORGANIZATIONAL RESULTS

The fourth level of evaluation is concerned with the "bottom line"—the degree to which the organization has benefited from the training. Any pertinent indicator of operational effectiveness may be used, such as data about sales, net profit, returns on investment, or inventory and employee turnover.

When evaluating the bottom line, one must explore all pertinent criteria and select those that best indicate significant training-related gains. Comparing the bottom-line dollar value of gains received as a result of training to the dollar cost of providing the training yields the net value of training. Sponsors of training must do their best to ensure that the type and quantity of training that they have selected are usable and cost effective.

Evaluation of training outcomes is an important part of the training process. However, Mayo and DuBois (1987) suggest that evaluation is not advisable under six conditions:

- When an evaluation that will provide useful information cannot be designed;
- When an adequate evaluation design cannot be implemented;
- When the results from an evaluation will be inaccurate or misleading;
- When the cost of evaluating is greater than the potential benefits;

- When those sponsoring the evaluation are highly motivated to prove or disprove something; and
- When no action will be taken as a result of the evaluation.

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Level of Evaluation	Ease of Measurement	How Measured	Importance
Acceptance by Trainees	1	Questionnaires Interviews	4
Gains in Skill or Knowledge	2	Tests and Check Lists	3
Improved Performance	3	Supervisory Ratings	2
Organizational Results	4	Judgments Company Records	1

Levels of Training Evaluation

NEW AGE TRAINING TECHNOLOGIES

Training technologies and methods that can be classified as "New Age" are considered controversial and threatening by some, innovative and enriching by others. In general, to proponents of New Age thinking, the term means ". . . the desire to create a better society . . . in which humanity lives in harmony with itself, nature, and the cosmos" (Adolph, 1988, p.6). Thus, advocates regard it as espousing more self-responsibility for upholding a wider, more universal, morality. However, opponents see it as too focused on the self—an abandonment of traditional morals.

THE CONTROVERSY

Three major issues plague the acceptance of New Age training technologies. First and most significant is the issue of religion. Some Christians believe that New Age thinking and New Age-type training are "demonic" and universally anti-Christian (Burrows, 1986); teach "a false religion" (Deo, 1987); and promote a world view of "monism" and "spiritism . . . involving occult correspondence" (Watring, 1987). Training becomes especially controversial when it is viewed as an infringement of religious rights. In an article entitled "Corporate Mind Control," Miller & Abramson (1987) describe the California Public Utilities Commission's investigation of complaints about a mandatory training program sponsored by Pacific Bell. Conducted by management consultant Charles Krone, "Krone training" is based on the teachings of George Gurdjieff, Armenian philosopher and mystic. Pacific Bell employees objected to the training, which was billed as "leadership development," and complained to the Utilities Commission that the exercises were mind-control sessions. If employees are forced to participate in sessions that they believe conflict with their religious beliefs, the religious issue becomes a legal one. In some organizations, employees who have refused to participate in New Age training have been fired and have taken legal action based on the violation of their right to religious freedom. Such incidents bring into question the legality of mandating training that some say is against their beliefs.

The second major issue is the charge of brainwashing or mind control, as in the Pacific Bell/Krone case. Participants may be asked to suspend critical judgment or to enter a trancelike state in which they are subject to suggestion, which some believe can cause emotional distress.

A third issue is distrust of the profit being made by New Age gurus. Reports about Shirley MacLaine, who is funding a spiritual center in Colorado with the proceeds from her seminars; about J.Z. Knight, who channels a $400-a-session spirit; or about other New Age proponents who make money from their offerings meet with much skepticism.

The distinction between these and some of the ventures funded by various "religious" organizations has not been made clear.

AN OVERVIEW OF NEW AGE TRAINING TECHNOLOGIES

The term *New Age training technology* needs to be distinguished from more personal or spiritual New Age explorations such as lucid dreaming, therapeutic prayer, channeling, crystal healing, past-life regression, or occult practices such as astrology, tarot, or numerology. New Age training technologies are described in the following sections.

Affirmations

An affirmation (Gawain, 1982; Helmstetter, 1986) is "a positive thought consciously chosen to be immersed in consciousness to produce a certain desired result" (Ray, 1981, p. 34). It is based on the idea that beliefs create emotions, which influence actions and, thereby, the results one obtains. Positive beliefs influence actions positively; negative beliefs do the opposite. Therefore, changing negative beliefs to positive ones can help to change one's life.

An affirmation usually is written or spoken in the first person present tense with a positive, active verb; it describes a desired outcome as if it were already accomplished or true (for example, "I am calm and cool when my boss criticizes me"). In training, the idea is that learning can be facilitated if the thought "I'll never be able to do this" is replaced by the positive affirmation "I am learning this easily and effortlessly." Affirmations also are known as positive thinking, positive self-talk, positive programing, and thought selection.

Biofeedback

The term *biofeedback* (Marcer, 1986; Schwartz, 1987; Smith, 1975) originated in experimental psychology. It refers to a continuous aural or visual report of changes in bodily reactions brought about by changes in thoughts and emotions. A feedback machine is electronically calibrated to communicate minute changes in brain waves, muscle contractions, temperature, or galvanic skin response. Using electronic feedback initially, over a period of time a person can learn to bring previously autonomic functions under conscious (if not rational or verbal) control. Biofeedback is used by medical practitioners in the treatment of migraines, tension headaches, TMJ, stress, high blood pressure, and gastrointestinal problems. It is used in psychotherapy to treat anxiety or panic disorders.

Because of the cost of the equipment and the time required, the biofeedback technique is not likely to be used in group training, but it has been employed as a stress-reduction technique. People who consistently are under the pressure of deadlines can use

biofeedback to learn to keep themselves relaxed and calm in the face of continual rush and change.

Centering

Centering (Carrington, 1977) creates a sense of inner balance (mental, emotional, physical, and spiritual) through mechanisms that focus one on a single point. Centering devices—such as focusing on a word, phrase, or object—separate one from external stimuli and prepare one for a deeper state of spiritual communion such as meditation. For example, participants in a training session could be asked to close their eyes, "go inside" themselves, and pay attention to their breathing, allowing all parts of themselves to achieve harmonious balance before beginning a difficult task.

Dianetics

Dianetics (Hubbard, 1978), the foundation of Scientology, is "a science of mind" following the "natural laws of thought." Negative past events (*engrams*) are stored as cellular traces in the body structure and can trigger irrational actions. Dianetics works by *clearing*, eliminating negative past events by *auditing* or *pastoral counseling.* A specially trained auditor listens, asks questions, recognizes psychological reactions by using an *E-meter* (a device that records electrical resistance in the hands), and probes reactions to help clients find the answers that will lead them to clear.

Guided Imagery

Guided imagery (Meier, 1984; Zilbergeld & Lazarus, 1987) gives external direction to the way in which a person represents objects and experiences in his or her mind. These images might be visual, auditory, or kinesthetic. In guided imagery, a facilitator either suggests the outline of an experience and the person completes it with personal information, or the facilitator suggests an exact sequence, such as relaxing each muscle of the body in turn. Guided imagery works by allowing the person to release the analytical part of his or her mind to a guide who leads him or her to receive information from the intuitive part of the mind. This information may provide insights, answers, emotions, or experiences that formerly were unconscious. For example, a person may be given the framework for consulting a sage (the person creates his or her own image of a wise person), asking a question (the person creates the question), and receiving an answer (the person also creates the answer). For relaxation, the suggested image might be a sunny beach or a quiet woodland trail.

Meditation

Meditation (Bloomfield, Cain, Jaffe, & Kory, 1975; Carrington, 1977; LeShan, 1974) is a method of attaining spiritual development through the disciplines of *concentration*

(thinking about meaning); or *contemplation* (controlling one's thoughts by focusing on an internal or external object); or, as in Transcendental Meditation (TM), through nonfocused, nonconcentrative repetition of a mantra to direct one's attention from a fully developed thought level toward more basic and simple thought. Meditational practices also can be categorized by the aspect of human experience that they address: *intellectual* (a deep, mental understanding of reality), *emotional* (or an expansion of positive emotion), *bodily* (complete absorption in movement), or *action* (the practice of a skill useful to others). Like imagery, meditation may be structured (directed) or unstructured. Meditation works by providing a nondistracting, focusing experience. Research indicates that this separation from the distractions of normal life results in alteration of brain waves. Relaxing and focusing also reduce stress and tension.

Neurolinguistic Programing (NLP)

Neurolinguistic programing (Bandler & Grinder, 1979) originated as a therapeutic practice; it uses a detailed model of human experience and communication to bring about changes in human behavior. This technique begins by determining a person's primary *representational system* (the way in which he or she typically interprets and describes events and feelings) from the predicates (adjectives, adverbs, and verbs) that the person uses and from the person's eye movements. There are three representational systems:

- *Visuals* codify and recall things in pictures; their predicates reflect this (e.g., "I see," "I get the picture").
- *Auditories* store and remember things in terms of sounds; they are apt to say things such as, "That sounds good."
- *Kinesthetics* process experiences and memories in terms of feelings (primarily physical). They use predicates such as, "I don't like the feel of that" or "Get in touch with . . . ."

An NLP therapist "matches" or mirrors the client's representational system (*pacing*) to achieve rapport and increase trust. Once rapport is established, the therapist or trainer can then change his or her own behavior (leading) to cause changes in the other person. NLP therapists also use the techniques of anchoring, bridging, reframing, and metaphor. The primary use of NLP in HRD is to teach trainers, consultants, and managers how to do more matching of predicates in order to achieve rapport with the persons with whom they are communicating.

Relaxation

Relaxation (Benson, 1975; Jacobson, 1938; Shealy, 1977) is the absence of muscular tension and the accompanying mental calm. One relaxation technique is similar to transcendental meditation; in another, *progressive relaxation*, participants are directed to

tighten muscles in each muscle group and then relax them. Relaxation works by slowing breathing and metabolic rates, reducing oxygen consumption, eliminating carbon dioxide from the system, and minimizing the frequency of visual and auditory imagery and stimuli. As a result, both thought and emotional processes diminish. Relaxation is used in training in the same way as suggested meditation or as preparation for another technique.

Self-Hypnosis

Self-hypnosis (Carrington, 1977; Murphy, 1963; Shealy, 1977; Smith, 1975; Zilbergeld & Lazarus, 1987), also known as *autogenic* (meaning self-created) *training*, involves focusing one's attention on suggestions given to oneself in a self-induced trance. In a light, goal-oriented trance state, attention narrows to one or two thoughts, thereby reducing awareness of external surroundings and usual ways of perceiving and thinking. The concept behind hypnosis is that the mind eventually will accept as true that which it is told. Suggestions first focus on muscles and breathing and then on cognitive or action outcomes in a present or future state. In psychological applications, self-hypnosis is used to treat various types of disorders. In HRD, self-hypnosis is used for stress management, to increase efficiency, as affirmation.

Silva Mind Control

Silva Mind Control (Silva & Stone, 1983) is a process of changing one's awareness from everyday consciousness (beta) to a lower frequency consciousness (alpha) for better problem solving and increased memory, efficiency, and creativity. Through a process of physical and mental *relaxation*, followed by *affirmation, visualization,* and *anchoring*, one "uses the mind to mind itself." The relaxation method consists of turning one's eyes upward and counting back from one hundred to one (with practice, a shorter count will work). The suggested anchor is to put three fingers together. The suggested vision process is to see the situation first as it is, then in positive change (viewing the second image on the left to activate the right brain), then to see the situation resolved. This process can be used to accomplish personal goals, increase group commitment, or maintain energy and enthusiasm.

Suggestology

Suggestology is the science of freeing and stimulating the personality, both under guidance and alone. *Suggestopedy* (Lozanov, 1978; Ostrander & Schroeder, 1979) is its application in instruction. The goal of suggestopedy is to help people to use both the body and the mind at peak efficiency to develop supermemory and superlearning capacities. Suggestopedy operates on the principles of joy and relaxation in learning, integration of conscious and paraconscious brain activity, and maximum use of reserve capacities. In the American method, participants first are trained in relaxation,

visualization, breathing, and affirmation. Next, the material to be learned is presented with readings, plays, and games. In the final, memory-reinforcement session, participants relax and breathe rhythmically in time to Baroque music while the instructor recites or chants, using three different intonations. Suggestopedy has been used to enhance foreign-language learning and to increase memory.

Visualization

Visualization (Gawain, 1982; Zilbergeld & Lazarus, 1987) uses the imagination to create experience in one or more sensory modes. Visualization can be *receptive*, relaxing and allowing images and impressions to surface as they will; or *active*, consciously choosing or creating what is desired to be felt or experienced. Receptive visualization works by reducing the analytical activity of the brain, allowing unconscious thoughts, emotions, or insights to emerge. An example of this is when the answer to a problem emerges in a state of quiet. Active visualization works by giving form to thought (e.g., creating an image of a new job). The most effective visualizations are specific, controlled, positive, active, simple, repeated, and self-rewarding.

Yoga

Yoga is a Hindu practice that takes four forms: (a) *Raja yoga*, meditation through contemplation and concentration on universal truths; (b) *Jnana yoga*, meditation on the various natures of one's self; (c) *Karma yoga*, active meditation on the path of service to others; and (d) *Bhaki yoga*, meditation using prayer and chanting for the purpose of praising others and divinity.

Hatha yoga (Oki, 1970) which is a preparation for any of these four forms, follows the principle that a healthy body means a healthy mind. Hatha yoga uses breathing exercises and postures in a set of systematic movements designed to keep the body in a constant state of balance. The original purpose of yoga was spiritual enlightenment; in the Western world, hatha yoga often is used as a form of exercise and relaxation.

THE BEST AND THE SAFEST OPTIONS

Relaxation, affirmation, and visualization emerge as the best and safest of the New Age training technologies for the following reasons:

1. They combine both the analytical and the intuitive functions of the brain, especially if the experience is adequately explained and processed; therefore, suspension of critical judgment is less of a problem than with other techniques.
2. They are "readily available, easy to learn, and simple to use . . . [they] harness natural abilities" (Zilbergeld & Lazarus, 1987, p. 12).
3. They empower the participants to control the process (choosing whether or not to relax and how, determining their own affirmations, and creating their own

visualizations) because the trainer gives process instructions rather than content instructions.

4. They have a proven success record in the learning field (Ostrander & Schroeder, 1979) and the human resource development field (Gentilman & Nelson, 1983; Robinson, 1984; Spice & Kopperl, 1984; Wilson, 1987).

TYPICAL DRAWBACKS

Drawbacks to New Age training technologies are the same as drawbacks to other types of training programs: training takes time to deliver, reinforce, and support; it costs money; it may meet with resistance; and it may stimulate certain individuals to take action of which management does not approve. The last drawback could occur with any kind of training in which employees feel more empowered (e.g., assertion, problem solving, decision making, dealing with conflict, and stress management).

HOW THE BEST METHODS CAN BENEFIT PEOPLE AND ORGANIZATIONS

In order for the techniques to be safe (both legally and psychologically) as well as workable, participants must be in control of choosing and using the techniques (Fitzgerald, 1987; Robinson, 1985). In addition, trainers must know the purposes and effects of the techniques, have been trained in the processes themselves, experience positive personal results with the techniques, use them voluntarily, frame the training in concepts that are familiar to participants and that relate to the value of the training, process the experiences afterward with the participants, and plan for follow-up.

Relaxation, affirmation, and visualization have been used effectively by Olympic athletes, the medical profession, and the psychological profession. Human resource development practitioners use them in:

- whole-brain training (Herrmann, 1987),
- learning skills (Meier, 1985),
- program design (Chalofsky, 1987),
- featuring skills (Gentilman & Nelson, 1983),
- stress management (Jenner, 1986),
- influencing subordinates' performance (Sandler, 1986),
- changing an organization's future (Lynch, 1986),
- improving performance (Friedrich, 1987),

- motivating teamwork (Carlson, 1987), and
- transforming large organizations (Veltrop, 1987).

These techniques can be used by "basically normal people who want to extend their capabilities" to whatever productive ends they wish (Zilbergeld & Lazarus, 1987, p. 15). New Age training technologies need not be attached to metaphysical, psychological, or spiritual theories; they can be presented in familiar language to become less intimidating and more workable. As accelerated learning techniques, they can be used as a means to many training ends and can be taught profitably alone.

The use of relaxation, affirmation, and visualization can produce additional benefits. Practitioners of these techniques may find themselves:

- More open to change, with the knowledge that they have some control over their own attitudes, options, actions, and reactions;
- More able to concentrate and to focus on tasks;
- More creative, with greater resources for generating ideas and alternatives;
- More responsible, realizing that what happens is, at least in part, a result of how they manage their mental lives; and
- More effective at dealing with others and more flexible and adaptable.

These techniques are empowering; empowered people are happier and more productive both at home and at work. Clearly, people who have a basic knowledge of the New Age techniques of relaxation, affirmation, and visualization can be assets to their organizations. Moreover, these techniques are gaining in popularity at a time when organizations are being urged to empower their employees.

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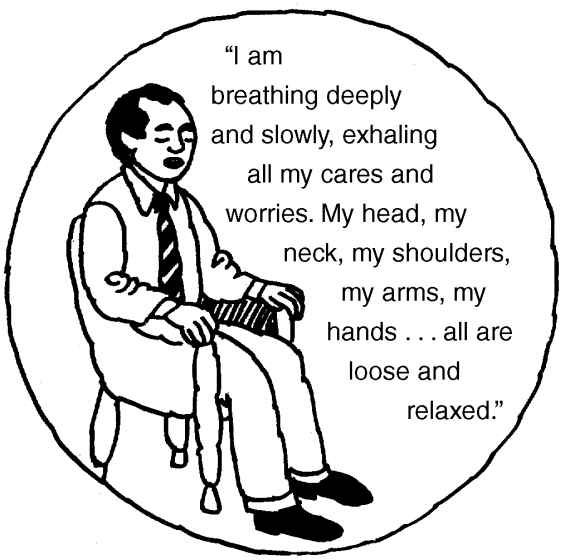
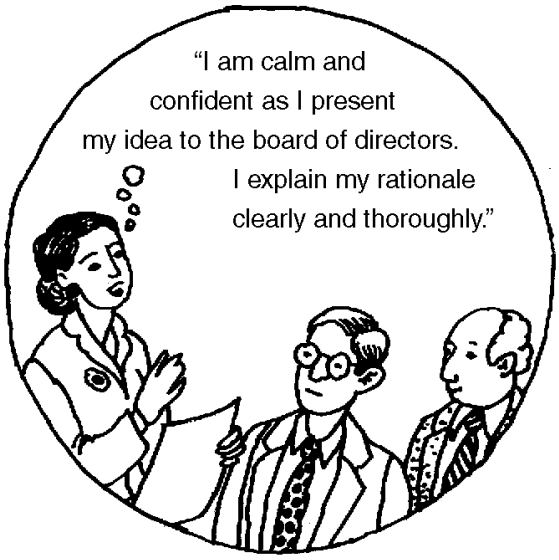


Relaxation



Affirmation

Visualization

PRE-DESIGN CONSIDERATIONS: PARTICIPANTS, TIMING, PHYSICAL FACILITIES, STAFFING, IMPLEMENTATION, AND EVALUATION

Before a training event can be designed, the training objectives must be established. For training objectives to be clear, there often must be a training needs assessment. Also, it is much more difficult to design training if one does not know how and by whom the training will be evaluated. Although needs assessment and evaluation are separate HRD functions from design, in reality they may be performed by the same people. Because of their interrelationships, they all need to be considered to some degree in the initial stage of planning a training event.

Design is the bridge between what the trainer wants to accomplish with (or in) a training event and how it will be done. Before attempting to design a training event, one should have answers to eight basic questions:

1. Why is the training being conducted?
2. What is to be the focus of the training?
3. Who is to be trained?
4. When is the training to be done?
5. Where is the training to be conducted?
6. Who is to conduct the training?
7. How will the training be designed?
8. Why, how, and by whom will the training be evaluated?

The "Why?" question is answered by needs assessment. The "What?" question relates to the training objectives. Both of these topics are addressed in separate articles in this section of Volume 25.

The first "Who?" is a question about participant considerations. "When?" relates to the length and timing of a training event. "Where?" asks about the location and physical facilities. The second "Who?" is a question about staffing considerations. "How?" relates to implementation considerations. The final questions are asked in regard to training evaluation. The ways to find answers to all these questions are addressed in this article.

WHO?: PARTICIPANT CONSIDERATIONS

One of the major factors to be considered before a training program is designed relates to the composition and needs of the group of people who will be participating in the training.

The Number of Participants

It is important to be able to anticipate how many people will be involved in the training program because some design components require a large number of participants while others are designed to be used with very small groups. The size of the total group will dictate the size and number of small groups that can be formed to achieve various objectives. Subgroups of three to seven members each tend to be optimal.

The designer also must consider the level of affect (emotional response) that is likely to be generated by each design component. A facilitator can handle a larger group if there will be minimal risk taking, conflict, or emotional involvement. If participants will be "pushed," the facilitator will need to devote more time and energy to each participant, so the group must be smaller or there must be additional facilitators.

The Familiarity of Participants with One Another

This consideration is important in selecting learning experiences. For example, it may not be necessary to include "icebreaker" activities if the participants are familiar with one another. What often happens is that some participants know one another but there is an unequal acquaintanceship within the group. The design of the training event should take into account that there might be some natural subdivision because of previous social acquaintance.

One can capitalize on the relationships that participants bring to a training experience by using acquaintanceship as a means of support for planning back-home applications and for follow-through. However, although intact groups (groups with established relationships), such as work groups, might achieve a greater transfer of learning, the members also might be reluctant to be entirely open. Instead, participants who are strangers to one another (and unlikely to continue the relationship after the training event) may gain greater intimacy and openness at the possible expense of a less effective transfer of learning. It can be desirable to use this information in forming groups, assigning staff to the particular groups, and selecting activities for the beginning and end of the experience.

The homogeneity or heterogeneity of the group—the group composition—also needs to be considered. Heterogeneity can lead to greater confrontation but can provide the group with a wider range of resources. Homogeneity can lead to greater intimacy and affection among participants but also to less variety, which can restrict the learning possibilities available to the group. In general, heterogeneous groups are richer, but each individual needs to be able to identify with at least one other person in the group. It also

is desirable if all the participants are at about the same level in terms of content background and previous training experience.

The Backgrounds and Previous Training Experiences of the Participants

It is important to consider whether the training might be dissonant with the norms and culture of the institutional backgrounds of the various participants or of that within which the training is to take place. One might not want to ask the participants to learn and change their attitudes in ways that are contrary to the ideology of their back-home situations. The organizational climate of the client organization may not understand or be supportive of training, and the implications of this need to be considered.

Before attempting the design, the facilitators should try to learn something about the backgrounds of the participants in regard to experiential approaches to education. This includes information about the initial goals, needs, and readiness of the participants. It is important to know whether participants have been in similar training programs before, because they may already have experienced some training activities that are being considered in which the learning depends on the novelty of the experience to the participants. It may be that some participants have been engaged in activities that are highly similar to those that are being planned. This need not be a negative factor; people who have experienced similar training before may be formed into an advanced group; they may be spread out deliberately across several learning groups; or they may be asked to volunteer for demonstrations of here-and-now interaction.

In addition, it may be helpful to know what the attitudes of the participants are regarding one another and the stated content or objectives of the training program and whether they have received any preparation for the training event from the sponsor. The latter can be achieved by means of word-of-mouth communication, a memorandum to prospective participants, or a brochure that specifies the learning goals of the event.

WHEN?: THE LENGTH AND TIMING OF A TRAINING EVENT

The length and timing of a training event are important in that the sequencing and timing of particular events are dependent in part on whether the training takes place at one time or is spaced over several meetings. Training that occurs weekly for an hour or two presents a significantly different design problem than does a one-day event. In many cases, a primary issue is how to accelerate learning within time constraints. In a brief contact design such as one evening or one-half day, some learning modules would not be attempted because either there would not be enough trust developed in the time available or more data might be generated than could be processed adequately. Likewise, spaced sessions (e.g., weekly two-hour sessions) probably would produce a less intimate and less person-centered experience, whereas more condensed or intensive sessions (e.g., a one-week retreat) might offer more personal growth. Spaced sessions may allow greater analysis of group dynamics and encourage members to “work through” issues between sessions.

Defined time limits within the event itself also can affect the training. Setting limits for various activities can encourage participants to express useful information by the end of the allotted time period, but also can establish the facilitator's role as the locus of control or authority. Similarly, the facilitators need to decide whether starting and ending times for sessions, break times, and meal times will be adhered to strictly or loosely. The facilitator should ask the person who is requesting the training program whether starting and ending times, lunch times, and break times can be arranged to suit the participants. If the client says "no," the time constraints are givens. Norms will develop as a result of the following factors: (a) the total time allocated to the group experience; (b) the time distribution (sessions at regular intervals, one intensive week, etc.); and (c) session time limits and adherence to limits.

Finally, if the event is to be conducted within an organization, the length and timing of each session should coincide as much as possible with organizational realities such as schedules, work loads, cafeteria hours, transportation, and so on.

WHERE?: THE LOCATION AND PHYSICAL FACILITIES

This consideration is important in that it is easier to develop what is called a "cultural-island" effect in a retreat setting than it is in the everyday environment of the participants. It is more possible in a retreat setting to capitalize on the development of norms of meaningful openness, experimentation, and sensitivity in creating an environment in which people are genuinely resourceful to one another during the free time of the training event. Some of the most significant learning in HRD training takes place outside the formally planned sessions.

The physical facilities also are important; ordinarily, movable furniture and privacy are desired. Auditoriums usually are too inflexible, and sometimes very large open spaces are detrimental to the training design. It also is important to anticipate whether the training event is likely to be interrupted by nonparticipants, telephone calls, and other annoyances.

The physical setup also can affect the training. The designers should consider where and how the groups will work; what kind of atmosphere the physical surroundings will create; and how the physical environment can be arranged to support the learning objectives. For example, different group arrangements can have different effects. A circle of chairs distributes power and promotes interaction. Flexible seating often is desired so that participants can move around, form groups, and so on. For processing, the fishbowl arrangement can be particularly effective. Tables can be a hindrance for attitude training, and sometimes even chairs can. In such cases, it is best to have circles of chairs or to have the participants sit on the floor. Wider tables create more distance and more formal interaction. People at the ends of rectangular tables tend to have more power and control. On the other hand, circular, square, and triangular seating arrangements tend to equalize power. No matter what the seating arrangements, it is best if participants select their own places.

WHO?: STAFFING CONSIDERATIONS

Another concern in training design is the availability of qualified staff to facilitate the training program. This includes consideration of the personalities, styles, preferred learning models, philosophies, and assumptions of the various staff members, which might cause role conflicts. The following issues should be resolved prior to the training event, and the design should be agreed to by all who will be involved in facilitating the event.

Skills/Repertoire

The facilitators' ability to handle certain types of group experiences and their range of competence should be a major consideration. The design of the experience should take into account the capabilities of the staff members as well as their preparedness in attempting various learning goals. If the staff members are minimally qualified, it may be necessary to use a great deal of instrumentation and structure to make up for their lack of supervised experience. The intensity level of the training event also should be modified somewhat depending on the expertise of the available staff. If the credentials of the staff members are somewhat suspect, it may be necessary to develop fairly strict controls on the amount of affect that is generated in the experience itself; i.e., activities that might generate a great deal of feeling data might not be used because, in general, they require much more expertise on the part of the facilitators.

Personality and Style Variables

Some facilitators work more readily with their own aggression, some with their affection, and others remain detached and unemotional. These differences may be justified or institutionalized as differences in role perception and style, but they really may be attributable to personality differences (i.e., personal styles or social styles) among staff members. Because the models of role conflict and resolution of interpersonal differences in the staff team could influence the participants' learning, it is important to review style preferences when selecting the training staff.

Facilitators also may have differences of opinion about training approaches. The following are some examples of these and suggestions for handling them (Cooper & Harrison, 1976).

- ***Mechanistic/Organic Approaches.*** If one staff member insists on structuring a group experience, and another wants to respond to group needs spontaneously, the entire experience may suffer. In such a case, it is necessary to synthesize these two approaches into a productive design.
- ***Modeling/Scanning.*** Trainers who adopt a learning theory based on modeling might find that they are encouraging noticeable but short-term change. If, instead, they encourage group members to use one another as learning sources, through an approach based on scanning the interactions of group members, participants may

actually show less change, but the approach may prompt major, internalized change.

- ***Group or Personal Growth.*** Staff disagreement about the level of intervention can create normative problems in that participants can receive conflicting messages about the learning objectives of the group. On the other hand, the conflict can provide the participants with a wider range of learning. These issues include the orientations of the facilitators toward (a) understanding the dynamics of the group or (b) developing the growth potential of individuals, as well as whether they believe that these orientations can co-exist.

Staff Composition

The composition of the training staff will influence the norms and learning objectives of the participants. The inclusion of both male and female staff members can provide opportunities to focus on issues that otherwise might not surface. Other variables include the number of staff members and the mix of staff members with different occupational identifications.

Administration of the Program

Finally, in planning the staffing of an event, it is important to know whether the trainers also will be the administrators of the program. This requires more time and effort on their part and may create a somewhat conflicting situation.

HOW?: IMPLEMENTATION CONSIDERATIONS

The Contract

This item may be the most important and it has two dimensions. First, it is critical that the facilitator have a clear sense of what the contract with the client system is. In the best circumstances, this consideration relates to one's skill in conducting a needs assessment, in determining learning objectives, and in specifying goals. At one end of the spectrum, the client may specify what is to be done (what type of training is to be delivered), although few clients have the expertise to stipulate how this is to be achieved. It then is the facilitator's job to determine whether he or she can accept such an assignment in good conscience. Generally, the client will ask for some type of training; the facilitator will ask relevant questions; and then the facilitator will suggest what type of training might be most appropriate, based on the completion of some degree of needs assessment. When the training to be delivered is agreed to, the means of delivery may be specified in the contract, or it may be left up to the facilitator to determine what will work. In such a case, the facilitator may want to leave some flexibility in the design in order to negotiate aspects of it with the participants.

The contract between the facilitator and the participants is the second dimension of contracting. It is important to narrow the expectation gap between oneself and the participants in the training event. It also is important to recognize that the psychological contract and the legal contract may not be the same. It is important that the goals and the learning method of the event be specified beforehand in language that both the staff members and the participants can understand. The design is far more likely to have a chance to be effective if the participants come to the learning experience knowing what to expect, why they are there, and what they have contracted to experience. However, it is also important to establish more specific expectations, behavioral norms, and so on, with the participants at the beginning of the training event. In some cases, this can best be achieved by means of a contract between the facilitator and the participants. Egan (1972) and Karp (1985) describe the development of such contracts.

Access to Materials and Other Aids

Access to training materials and other aids in terms of availability, budget, and convenience is an important consideration. Some materials, such as standardized measurement instruments, are expensive, and others require a great deal of time to prepare or assemble. Some teaching aids, such as videotape recorders, are difficult to carry from place to place. The facilitator needs to develop an inventory of materials that are available: newsprint flip charts, felt-tipped markers, easels, and masking tape; chalkboards, chalk, and erasers; blank paper and pencils; overhead projectors and other audiovisual aids; as well as work sheets, instruments, and handouts. It often is very useful to have duplicating equipment at the training site.

Opportunity for Follow-Through

A final consideration is the opportunity to follow through with the participants after the training experience is formally ended.

Although this concern is listed last, it is by no means of least importance. When developing a design for a learning event, it is important to know beforehand what is going to happen afterward. Is it going to be feasible for participants to meet again to work through the problems of transfer of training? Are they going to have access to one another on a day-to-day basis? Is the staff going to be accessible to them afterward? Is it possible to have follow-up sessions some weeks or months later to ensure transfer of training? Part of the application of learning to the participants' own work and social settings can be designed differently if there is an opportunity for some support and follow-through work after the training event is completed.

Prior to developing the design for a particular training event, the facilitator should explore what he or she has to work with in terms of time, space, staff, money, human resources, and materials. Once such an inventory is completed, the facilitator may conclude that the contracted goals of the learning experience are unattainable given the

resources that are available. The facilitator then may want to renegotiate the contract or attempt to develop new resources for the event.

WHY, WHAT, HOW, AND WHO?: TRAINING EVALUATION

The issue of training evaluation raises several questions:

- Why is evaluation being done?
- What is being evaluated?
- Who should set the learning standards?
- Who will be conducting the evaluation, i.e., who will judge the results of the training (participants, facilitators, both of these, outside individuals or groups)?
- How is the evaluation to be done, i.e., how will results be monitored/evaluated? By what measures? By what criteria?

The answers to the first two questions will help to answer the overall question: "Should evaluation be done?" Evaluation is not always necessary, and unnecessary evaluation may not be a good idea because it is time consuming and expensive and because it generates expectations that something will be done with the data obtained. So the answer to the "should" question almost always is either "Yes, if . . ." or "Not unless . . . ." Yes, if it is driven by a purpose: to determine something or to justify something. No, if the results will not be used, if the trainers or the client do not care what the results are, or if the subject matter or results may be too sensitive.

The purpose of evaluation is to obtain information. Before initiating or agreeing to an evaluation effort, it is wise to ask: What kind of information do you need? What kinds of questions are you trying to answer? What questions will give you that information?

The impetus to begin training and development in an organization often comes from management's belief that training is an important benefit to employees, that it is a worthwhile investment and that it will help employees to fulfill their potential. However, management also hopes that it will increase personal and job satisfaction, increase motivation and productivity, and decrease turnover. In today's organizations, the emphasis often is on "the bottom line," return on investment. Managers and others who contract for training programs need to understand that it is impossible to measure the effects of training in such terms. One would have to measure all the other factors in the organization, over a stipulated period of time, in order to determine what part training played. Obviously, this would be almost impossible if not merely more time consuming and expensive than would be realistic. However, many managers still ask for training to be measured in terms of "increased productivity" or "effect on morale" or similar results. The HRD staff must educate such people in the realities of measurement and research. Behavior does not change in the moment at the time of training. A host of personal and organizational factors affect how well the training "takes" and whether

changed attitudes or behaviors are permitted, supported, and reinforced in the workplace. Too often, the people who expect an evaluation are as confused about what is to be measured as they are about why the evaluation is being done.

Probably the best reason for evaluating training is to help the facilitators to examine the design and to improve it, if necessary. Probably the worst reason is to prove that the training was worth the time and effort that it took. If those who are sponsoring the training (this problem occurs primarily in organizational contexts) do not understand the intangible effects of human resource development, the trainers would be wise to educate them or to seek work elsewhere.

What can be measured realistically is whether the participants were satisfied with the training; whether they felt valued because of having been offered the training; whether they thought it was interesting, helpful, or useful; and whether they think that they will use the skills, change their attitudes or behaviors, or have achieved some type of self-development as a result of the training. Some discrete skills also can be measured in a short period of time.

The most important thing in deciding to do evaluation is to be clear about why you are doing it, what or whom you are doing it for, and what or whom you are evaluating. Evaluation done for the purpose of justification is different from evaluation done for the purpose of documentation, and that is quite different from evaluation done to determine something.

The evaluation forms or survey materials should be geared toward obtaining the responses or the quantity and quality of information that you need. For example, justification might include the need to show that the trainees were satisfied with the training. The evaluation form then would not ask "Were you satisfied with the training?"; rather, it would contain questions such as "Which activity (or part of the training) was the most satisfying?" The report then could say that the data shows that ____ percent of the trainees found ____ portion of the training to be the most satisfying. For documentation, you may need to show that so many people attended, that there was follow-up, that the training was timely or what was requested, etc., or you may need to keep a head count in order to show that so many people were trained per year or that so many managers were included in the HRD efforts. In order to determine something, you need to frame the inquiry so as to elicit useful information (e.g., What other job skills would be useful in this training program? How do you plan to use this training?). The techniques used to obtain information for evaluation purposes are basically the same as those used to obtain information for the needs assessment.

If the training facilitators are not to be involved in the evaluation phase, they should be permitted to assess the evaluator methods and to know who the evaluators will be. This is necessary for two reasons. The first is that one cannot design effectively until one knows what will be evaluated. When the goals of the training and the outcomes to be measured are specified clearly and are related to each other, the training staff has a clear notion of what to design for.

The second reason to ask questions about evaluation before beginning are related to professional ethics if not self-preservation. If it is not clear that the evaluation has a realistic purpose, that the proper issues or people are being assessed, that the methodology suits the purpose, and that the evaluators are qualified to conduct the inquiry, then the facilitators may well question whether they want to accept a training assignment that will be evaluated inappropriately.

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SENSITIVITY TRAINING

Sensitivity training is a part of human relations training that aims to make people act and feel differently, not merely to change their thinking. It is based on the concept of empathy, which is to actually perceive a situation with another person's viewpoint and emotions (Tannenbaum, Weschler, & Massarik, 1961).

Sensitivity training is based on these beliefs:

1. Interpersonal relations make up a substantial amount of our lives, both at home and at work.
2. Our ability to deal with others can be hampered by a lack of understanding and interpersonal skills.
3. These deficiencies can be changed and/or improved.

Sensitivity training is intended to better our *behavioral flexibility* (ability to change our behavior to suit the situation) and our *social sensitivity* (empathy with others). It works to promote the following:

- ***Understanding of Self:*** Resolving our internal personality conflicts in order to reach a greater understanding and level of acceptance of ourselves. We must become aware of our defenses and of behavioral traits that may communicate unwanted or unintended messages to others.
- ***Understanding of Others:*** This, of course, is not possible until self-understanding is achieved. In reaching an understanding of others, one must learn to let go of "snap judgments," stereotypes, and prejudices; one also must learn to accept and appreciate the differences among people instead of reacting negatively or defensively to them.
- ***Understanding of How Groups Work:*** In every group, issues of dominance, hierarchy, relationships, hidden agendas, and so on, arise. Becoming aware of these occurrences is the first step in learning to challenge them when they happen and to eradicate them from the group process.
- ***Culture Recognition:*** It is important to recognize an organization's unique "personality": its way of doing things, style of management, values, and so on. Sensitivity training can enhance employees' awareness of their organization's culture, thus providing them with a greater understanding of how things operate and what to do and not to do.
- ***Behavioral Training:*** New awareness will be worthless if people who receive sensitivity training do not put their learnings into practice. Most sensitivity training in the area of behavioral-skills modification involves training in

communication. Participants are taught how to listen, how to express their feelings (emotions as well as reactions to others' verbal and nonverbal communication), and how to combine the two.

Sensitivity training tends to be an unstructured, experimental, somewhat unsettling process. People tend to become uncomfortable and defensive when their behavior is talked about or criticized, yet this step is essential in order to produce behavioral change. Sensitivity training is best carried out in a small-group setting, which permits maximum interaction and participation by group members. In addition, the best atmosphere in which to conduct sensitivity training can be described as "permissive"; i.e., a tolerant, nonjudgmental atmosphere in which people feel free to speak their minds and do not feel pressured to act or behave in any prescribed manner.

Trainers who conduct sensitivity-training workshops must take care to do the following:

1. ***Create situations in which learning can take place.*** The trainer leads the group through exercises or structured experiences that provide interaction and feedback by group members.
2. ***Model the desired behavior.*** The trainer must serve as a behavioral example. He or she must be open, accepting, flexible, willing to share feelings, and noncritical. This will help to establish a similar atmosphere among participants.
3. ***Introduce new values.*** The trainer's behavior reflects his or her values and beliefs. By appearing to be concerned with a certain type of behavior, for example, the trainer indicates to participants that this behavior is significant and needs to be dealt with.
4. ***Facilitate communication.*** The trainer identifies participants' defenses or communication blocks, focuses the group's energy on these blocks, and thereby helps the group to work through them.
5. ***Function as an expert.*** Especially at the beginning of a sensitivity-training session, participants will want their trainer to demonstrate expertise and authority over the group process (by answering questions, establishing a structure, and so on). Trainers must take care to shift as much responsibility for the session as possible onto the group members. Without "owning" their session, participants will not feel as responsible for their progress and learning.

Trainers must be prepared to deal with participants' resistance to change. By pointing out a person's defense mechanisms, trainers can help that person to become aware of this behavior for the first time. Defenses are ways of covering up fears (about oneself and about others), self-doubts, and even laziness. The trainer's job is to help people to understand the sensitivity-training process, thus alleviating their fears; to help them to understand and accept themselves; and to help them to accept personal responsibility for changing those aspects of their behavior that are found to be unwanted or objectionable.

Sensitivity-training facilitators sometimes are accused of "playing with people's heads" or "stirring up trouble." Of course, a trainer must be able to sense when to push a participant and when to ease the pressure. It is important to remember, though, that the *participants* alone are responsible for the outcome of the training session. If participants accept this responsibility, they will be less likely to place blame on the trainer or to allow themselves to be pushed past their limits.

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SYSTEMIC DESIGN OF INSTRUCTION

Models of instructional design tend to focus on only one element of the instructional process. When this happens, the systemic nature of instruction can be overlooked or ignored. In response to these concerns, Dick and Carey (1985) developed a behaviorally based model of instructional design. The model is based on the authors' belief that instruction is a systemic process in which every element in the system is essential to the learning process.

A SYSTEMS VIEW

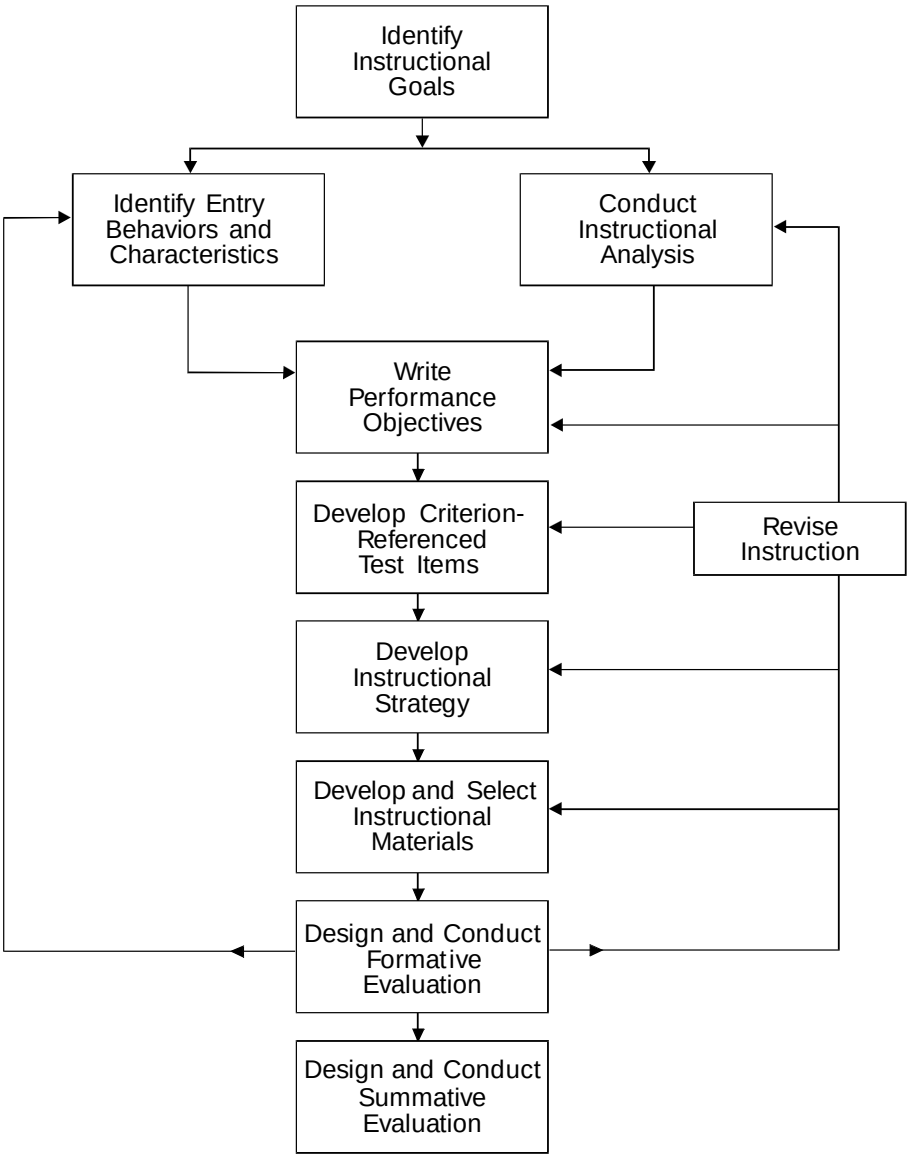
Instruction is composed of several interrelated elements that operate together to produce specific results. All elements in the system are interdependent for input and output, and the entire system utilizes feedback to determine whether its goals have been reached. Within the instructional system, the specified goal is learning. The elements that interact to create a learning environment are *instructors* (trainers), *learners* (trainees), *learning materials,* and *learning environments.* In Dick and Carey's instructional system, tests are "instructional thermostats" that provide feedback to the system about whether goals are being attained.

Dick and Carey's systems model consists of several interrelated steps that provide for the design, development, implementation, and evaluation of instruction. As illustrated in the figure on the next page, each step relies on input from previous steps in order to produce an output, which subsequently becomes input for the next step. Each step then becomes a feedback mechanism for the previous steps.

STEP ONE: IDENTIFY THE INSTRUCTIONAL GOALS

The first step in the model is to *identify the instructional goals.* From a systems approach, training and instruction are problem-solving processes. Yet in order to solve problems, one must first identify them. In an organizational context, problem identification typically is labeled *needs assessment.* Whether formal or informal, needs-assessment techniques require the identification of the gap between "what is" and "what should be." This gap is regarded as a problem that must be resolved. Through the identification of the problem and of the behavioral changes that must occur to resolve the problem, *instructional goals* can be set.

Effective instructional goals are precise statements of observable behavior that describe hoped-for, post-training behavior on the part of the trainees. Fuzzy goals, on the other hand, are abstract statements of nonobservable internal conditions. For example, a goal such as "trainees will be aware of . . ." contains the nonobservable and



Systems-Approach Model for Instructional Design*

nonmeasurable criterion of *awareness*. A more effective statement of the same goal, such as "trainees will *demonstrate* their awareness by *listing* . . ." links the nonmeasurable quality of awareness with the observable and measurable behaviors of demonstration and listing. Effective instructional goals clearly describe desired behavior, are related to identified needs, and can be achieved through training.

The presentation of clear, measurable, instructional goals can be difficult. Dick and Carey suggest that it is helpful to use the following procedure:

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- Put the goal in writing;
- Briefly state what the trainees will be doing after the goal has been achieved;
- Sort the statements according to what best illustrates the objectives of the fuzzy goal;
- Select behavioral indicators;
- Incorporate the behavioral indicators into a statement of intent; and
- Evaluate the statement.

Before an instructional goal can be stated specifically, one must identify a specific need and the behavioral changes that must occur in order to fulfill that need. The output of step one should be a clearly stated instructional goal.

STEP TWO: CONDUCT AN INSTRUCTIONAL ANALYSIS

Once instructional goals have been identified, the next step is to *conduct an instructional analysis.* In this process, one must identify the *subordinate skills* necessary to attain an instructional goal. According to Dick and Carey, a subordinate skill is a skill that may not be "important in and of itself as a learning outcome," but "must be achieved in order to learn some higher *superordinate skill"* (1985, p. 32). The instructional analysis consists of two steps: (a) classifying the goal statement and (b) analyzing the ways in which information is processed.

Goal Classification

The first step in instructional analysis is to classify goal statements according to the types of learning that must take place. There are four types of learning: *psychomotor, intellectual, verbal-information, and attitudinal.*

- ***Psychomotor*** learning requires the learner to perform some physical activity;
- ***Intellectual*** learning requires the learner to perform some cognitive activity;
- ***Verbal-information*** learning requires a verbal response to a specific cue; and
- ***Attitudinal*** learning involves influencing trainees to choose to perform a particular psychomotor, intellectual, or verbal skill under certain conditions.

Information-Processing Analysis (IPA)

The second instructional-analysis step is to list the steps a trainee should do to attain an instructional goal. The steps should be sequential and may be psychomotor, intellectual, verbal, attitudinal, or some combination of them. The information-processing analysis describes the process of attaining a goal in a step-by-step, flow-chart fashion. Through

the IPA process, prerequisite (subordinate) skills that must be mastered prior to performing an end behavior are identified. According to Dick and Carey, no less than three to five and not more than fifteen steps should be sequenced, as less than three will be too vague and more than fifteen will include too much detail.

The instructional-analysis process must begin with a clearly stated instructional goal. The output of the instructional-analysis process includes instructional goals and a determination of all skills that will be needed to achieve the goal.

STEP THREE: IDENTIFY ENTRY BEHAVIORS AND CHARACTERISTICS

After the prerequisite skills have been identified, one can begin to identify the behaviors and characteristics that trainees must possess *before* they can begin to learn. These initial, required behaviors and characteristics are termed *entry behaviors and characteristics.* An over- or underestimation of entry behaviors and characteristics often will result in a mismatch between the level of instruction and the learners' ability to learn. Dick and Carey caution that the identified behaviors and characteristics should be descriptive and should not be grounded in stereotypical representations.

A thorough understanding of the instructional goals, the necessary subordinate skills, and the targeted learning audience is necessary before one can identify entry behaviors and characteristics. In turn, this step will generate output such as a description of the targeted learners' general abilities, previous experiences, expectations, and emotional characteristics.

STEP FOUR: CREATE PERFORMANCE OBJECTIVES

With input from each of the previous steps, one can create performance objectives. Performance objectives, which can be behavioral, instructional, terminal, and so on, typically are narrower in scope than are instructional goals. Performance objectives specifically describe all the behaviors that trainees will be expected to demonstrate on completion of instruction. Performance objectives originate in instructional goals and are derived from the instructional analysis. Usually, one or more objectives should be written for each identified skill. Each objective should fulfill the following criteria:

- It describes the expected behavior;
- It describes the conditions under which the learner will be performing the behavior; and
- It sets standards for evaluating the success of the instruction.

Dick and Carey caution trainers not to become overly concerned with the wording of instructional objectives but to remain focused on the objectives as a declaration of instructional intent.

STEP FIVE: DEVELOP CRITERION-REFERENCED TEST ITEMS

The development of criterion-referenced test items and testing materials is a critical component of the instructional-design model. Criterion-referenced test items and materials measure both the learner's progress and the instruction's effectiveness. To serve both purposes, test items must correspond with and measure directly the performance objectives. Hence, the terms *objective-referenced* and *performance-referenced* apply as well. Four types of criterion-referenced measurements are useful:

- ***Entry-Behavior Tests.*** The items for entry-behavior tests are based on the objectives for the subordinate skills that trainees must possess prior to beginning the training.
- ***Pretests.*** Pretest items measure prior knowledge of skills that will be taught during the training course.
- ***Embedded Tests.*** Embedded-test items almost always measure *intellectual* skills. Implanted within instructional content and usually administered without feedback, embedded-test items function as practice questions to allow trainers to judge whether or not trainees understand the material and whether they are progressing as anticipated.
- ***Posttests.*** Posttest items should assess all performance objectives, with particular emphasis on instructional goals. Posttests may or may not measure subordinate skills. Administered after the training session, posttests evaluate trainees' progress, determine the effectiveness of the training, and pinpoint areas in which the effectiveness of the instruction has suffered.

The input needed to develop criterion-referenced test items are instructional goals and a list of performance objectives established through instructional analysis. The output is a series of fair and equitable test items that measure performance for each behavioral objective. The items become a resource input to be used in developing the specific tests that are indicated when the instructional strategy is formulated.

STEP SIX: DEVELOP AN INSTRUCTIONAL STRATEGY

An instructional strategy determines the structure of the information presented to trainees and describes the instructional materials and procedures that will be used to produce a particular learning outcome. The five essential ingredients of an instructional strategy are as follows:

1. ***Preinstructional activities.*** Preinstructional activities take place prior to the beginning of instruction and are designed to motivate and "hook" learners into the subject matter. Demonstrations of what is to be learned, information regarding prerequisite skills, pretests, and so on are included in this category. Preinstructional activities prepare trainees for the session to follow, provide

information on the variability of entry behaviors, and help the trainer to determine whether trainee variability is likely to affect trainees' ability to learn.

2. ***Information presentation.*** An instructional strategy must specify what information, principles, rules, and concepts need to be presented to trainees; how much material should be presented at one time; and in what order the material should be presented. Dick and Carey suggest that instructors should avoid presenting too much information in one chunk. One can avoid the error of overpresenting by paying careful attention to the learners' ages, the type of learning required, and the degree to which learning tasks can be varied.
3. ***Student participation.*** Dick and Carey describe *practice and feedback* as "powerful components" of the learning process. Students should be permitted to practice what is being required of them and should receive feedback on their performance. The degree to which learners are permitted to practice and to receive feedback will influence learning and retention.
4. ***Testing.*** Criterion-referenced test items have been developed for entry behavior, pretests, embedded tests, and posttests. The fourth ingredient of an instructional strategy, then, is to decide what kinds of test items will best facilitate the attainment of instructional goals. Testing strategies vary from situation to situation, but major strategy decisions most often will relate to the following:
   - Will entry behavior be measured and, if so, how will the test items be administered?
   - Will pre-existing skills and knowledge be measured and, if so, what skills will be measured and when will pretests be administered?
   - Will embedded-test items be used and, if so, at what point in the training session will they be used and what skills will they test?
   - When and how will posttests be administered?
   - What process and procedure, if any, will be used to evaluate instructional content and methods?
5. ***Follow-through activities.*** Dick and Carey recommend planning for remedial training if certain participants seem to need it as the training progresses. Likewise, follow-through activities can enhance the learning process as well as facilitate the transfer of learning into real-life situations.

A completed instructional strategy starts with instructional goals and descriptions of the targeted population, instructional analysis, performance objectives, and criterion-referenced test items and produces predictions of which instructional and testing materials will be needed, time estimates, and an order of presentation.

STEP SEVEN: DEVELOP AND SELECT INSTRUCTIONAL MATERIALS

Once an instructional strategy has been developed, one must begin to develop and select instructional materials. First, one must identify the instructional materials that are available and decide whether the existing materials are adequate or whether they can be adapted to fit instructional goals and objectives. If appropriate materials are not available, they must be developed. Dick and Carey state that a completed instructional package consists of manuals for students and instructors, other instructional materials, and testing materials.

With instructional goals, instructional analysis, performance objectives, sample test items and instructional strategy as inputs, the outcome of this phase of instructional design is a draft set of instructional materials, tests, and students' and instructors' manuals.

STEP EIGHT: DESIGN AND CONDUCT A FORMATIVE EVALUATION

All steps to this point have culminated in an *untested* instructional strategy and a set of instructional materials that most likely will present some problems. A *formative evaluation* is the process of gathering information during instructional development in order to make revisions, to test assumptions, and to improve the effectiveness of the instruction. It is a formalized feedback mechanism to improve the quality of instruction.

A formative evaluation typically begins with a review of the instructional materials by subject-matter experts—knowledgeable and experienced specialists who are familiar with the targeted learners and who have not been directly involved with the instructional-development project. After the instructional materials have been reviewed, three fundamental steps remain.

1. ***One-to-One Evaluation.*** The designer obtains information from people in the targeted trainee group.
2. ***Small-Group Evaluation.*** On its own, a group of eight to twenty students evaluates revisions resulting from the one-to-one evaluations and identifies any remaining problems with the training. The group should be as representative of the targeted trainee population as possible.
3. ***Field Trial.*** The purpose of a field trial (also known as a *pilot study*) is to test instructional materials and procedures in an actual training setting. Dick and Carey recommend that a representative group of at least thirty people participate in the field trial.

STEP NINE: REVISE THE INSTRUCTION

Formative evaluation produces feedback, which leads to the revision of nearly every part of the instructional process. The training plan is revised to improve its quality and to strengthen its effectiveness in meeting instructional goals and objectives.

STEP TEN: DESIGN AND CONDUCT A SUMMATIVE EVALUATION

Paradoxically, the goals of summative evaluation have little to do with the instructional design. Summative evaluation is not an indispensable part of the design processes because (a) it is not within the feedback loop and (b) it takes place after instruction has been designed, revised, and evaluated. Nevertheless, summative evaluation is important for evaluating the overall worth and value of a training session. In other words, summative evaluation permits *others* to determine whether the instruction has been effective.

Summative evaluations often are comparable to controlled-research processes in which independent evaluators analyze all aspects of the instruction. For example, instructional materials can be analyzed for content coverage; assessment materials can be analyzed in terms of psychometric quality; and the relationships between instructional goals and performance objectives can be examined. According to Dick and Carey, a summative evaluation often is set forth in a technical report that includes the following elements:

- purpose of the evaluation;
- materials evaluated;
- procedures used;
- names of participants;
- results; and
- recommendations and conclusions.

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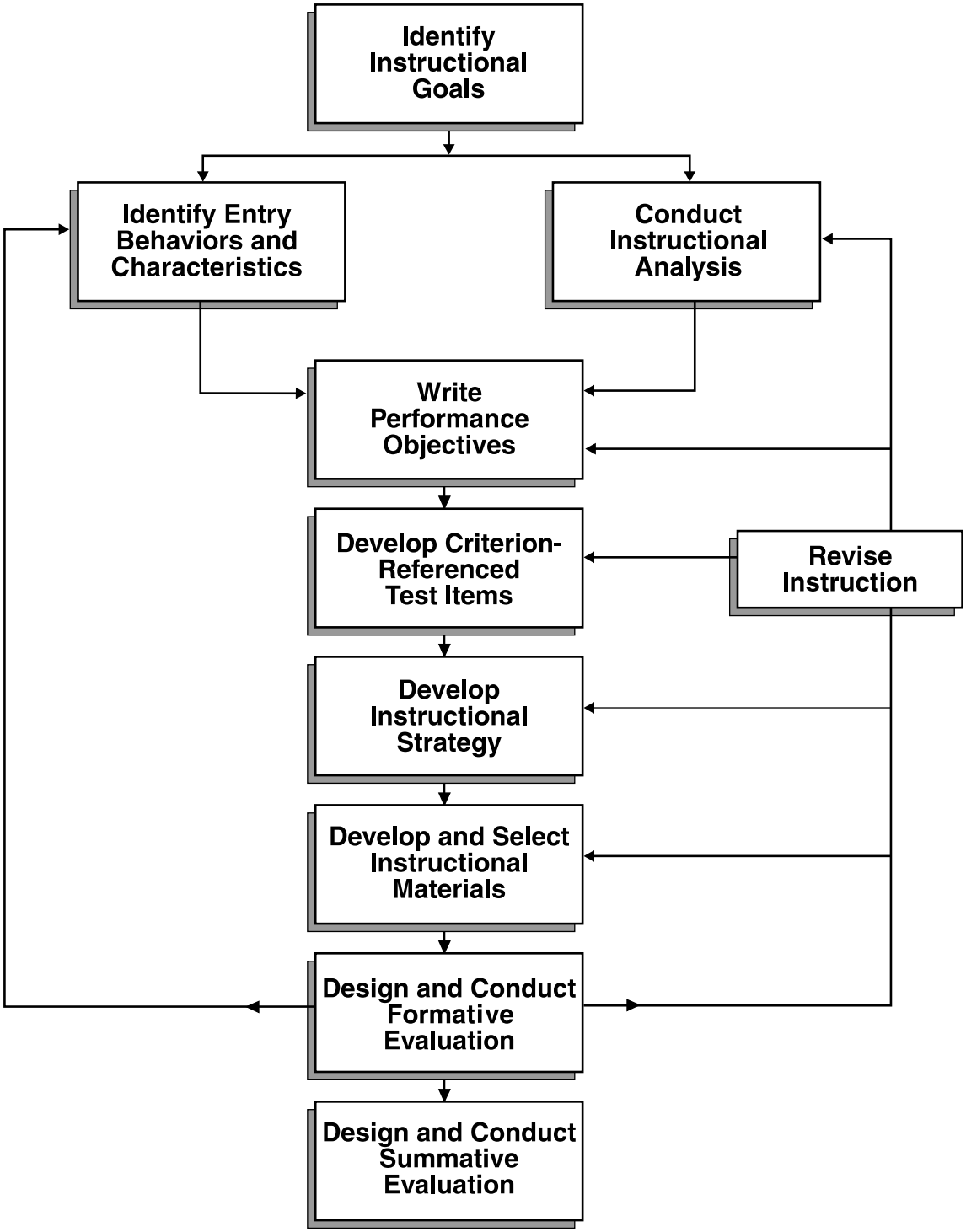

Systems-Approach Model for Instructional Design

THEORIES OF LEARNING

Most theories of learning are based on the assumption that people learn as a consequence of their actions—a behaviorist approach (DuBrin, 1984). Many training programs are based on this view, so they include such things as experience, feedback, and positive reinforcement.

CLASSICAL CONDITIONING

Classical conditioning is the stimulus-response theory of learning originated by Pavlov (out of print) in the late 1890s. A link is established between a conditioned stimulus (the dog receives food) and an unconditioned stimulus (the dog hears the man coming with the food), and the response to the former (the dog salivates) transfers to the latter also.

This helps to explain how people acquire uncomplicated habits and reflexes (e.g., ducking when one hears a bee buzzing, using pot holders to handle a hot pan).

OPERANT CONDITIONING

B.F. Skinner (1965, another out of print) is the name most associated with this theory of behaviorism and positive reinforcement. In this type of learning, the individual engages in a behavior, and the behavior is discouraged by negative results or feedback or it is encouraged (reinforced) by positive results or feedback. Behavior that leads to positive reinforcement or reward tends to be repeated. This is the "trying it out" method of learning. The feedback can be from a person (mother says "good") or it can be from the environment (turning too fast causes one to fall off the skateboard).

In children, learning most often is from spontaneous behavior. In more mature individuals, learning also may be a conscious attempt to try a new behavior or learn a skill.

Negative Reinforcement and Punishment

"Negative reinforcement" means that behavior also tends to *be repeated* when it leads to a *cessation of discomfort or relief from a negative stimulus.* Conversely, one tends *not* to repeat a behavior that leads to "punishment" or negative consequences. For example, picking up a hot dish with one's bare hands and being burned is punishment; one is not likely to repeat that behavior often. Running one's burned hands under cold water diminishes the pain; negative reinforcement makes it likely that this technique will be tried again the next time one is burned. Subsequently using potholders to lift the hot dish leads to positive reinforcement; the objective of moving the dish without pain is

accomplished. The person has learned both spontaneously and by deliberately trying the technique of using potholders.

Behaviorism also indicates that the *threat* of punishment can be sufficient to forestall the repetition of a behavior, if the doer believes that the punishment actually will occur.

SOCIAL-LEARNING THEORY

Social-learning theory, formulated by Albert Bandura (1971), is a cognitive and behavioral theory of learning. It differentiates between *acquisition* of knowledge or skills and *performance*. Social-learning theory emphasizes that people typically acquire the ability to perform a certain skill by observing some model. Models may be behavioral, pictorial, or verbal. The process of learning from a model (acquisition) is cognitive; it takes place by means of mental coding and organization. It occurs *before* learners actually demonstrate the ability to perform the skill (Kinlaw, 1989). A person often "learns" a skill and rehearses its performance mentally before actually having the opportunity to perform it. Social-learning theory also emphasizes that behavior or performance is part of the learning process and that performance, coupled with feedback and reinforcement, strengthens skill development.

Bandura identified three subprocesses of observational learning:

- ***Attention*** relates to how well the learners attend to what is being presented, whether they perceive accurately what is being modeled, and whether they select from the model the most relevant attributes. Attention is affected by the distinctiveness or perceptual clarity of what is modeled, the complexity of the model, the learner's perceptions of the value of what is modeled, the learner's perceptual (mind) set, and the learner's past reinforcement patterns.
- ***Retention*** deals with an element in observational learning that is ignored in theories of imitation (such as behaviorism and other reinforcement theories). Research has shown that when learners acquire a modeled response without performing it as modeled, they must be retaining the modeled response in some mental or symbolic form. The process of retention includes symbolic coding, cognitive organization, symbolic rehearsal, and motor rehearsal.
- ***Reproduction*** is the performance of a modeled pattern. It includes the elements of physical capabilities, availability of component responses, self-observation, and accuracy of feedback. Transition through this subprocess depends largely on the availability of the component responses required to reproduce the model. Learning to reproduce a complex, modeled interaction requires that each of the constituent skills in the interaction be modeled for the learners and performed by them before they go on to the more complex behaviors required in the complete interaction.

- ***Motivation*** is the incentive for continuing a learned behavior. Obviously, people do not demonstrate every learned behavior. People are motivated to continue a behavior only if they believe that they will benefit from it. Their perceptions of whether the behavior will benefit or hinder them are formed from their observations of how effective the behavior seems to be for others. From their observations of others and from personal experience, people form criteria of acceptable and nonacceptable behavior. These criteria are then used to evaluate and to accept or reject new behaviors.

Modeling and Shaping

The acquisition of complicated skills requires much more than a simple stimulus-response relationship. A series of stimulus-response behaviors must be learned, and the relationships between them must be understood so that they can be combined into a functional pattern. Modeling (imitating) and shaping (learning component skills) are two effective ways to learn complicated skills. Both are based on Bandura's social-learning theory. They are ways of teaching that are not didactic.

Imitation occurs when one performs a behavior that one has observed another person performing. Children learn in this way by mimicking adults. Unconscious and conscious imitation are ways of learning from others. The concept of *behavioral modeling as* a learning technique is based on principles of imitation, behavioral rehearsal (practice), reinforcement/reward, and transfer (Robinson, 1982). To work effectively, it requires imitation of a specific set of steps in a defined situation; repeated, guided practice in performing the desired behaviors; feedback on performance; and reinforcement for demonstration and application of correct behaviors.

Shaping is the learning of a series of individual skills that are components of a complicated skill, with *reinforcement* at each stage to encourage the use of the new skill and provide forward momentum. Positive reinforcement may be in the form of praise, reward, new learning, increased responsibility, or the like. Negative reinforcement also may occur, as the learner makes fewer mistakes or incurs fewer injuries. Increased personal pride and confidence on the part of the learner also contribute to the learning process.

Although modeling and shaping are forms of operant conditioning, something more may occur as the learner gains insights into the relationships between learned patterns. Cognitive learning can be a valuable supplement in this process.

COGNITIVE LEARNING

The cognitive approach maintains that most learning is more complex than merely a response to a stimulus. Because humans think while they are learning, a variety of factors come into play during the learning process. Varying degrees of information processing is done in the brains of most learners during the learning process. An

individual's particular levels of reasoning and analytical skills, memory, physical aptitudes, etc., will influence how easily he or she learns a particular skill or acquires new knowledge. Other factors include the learner's personality, motivation to learn, past experiences, insights, and so on.

People are learning continually, although not always by conscious or formal means. They learn through experience and by imitation; they learn by reading or hearing something and relating it to what they already know; and they learn by "leaps of logic."

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Classical Conditioning

Stimulus-Response: Dog salivates when receiving food. Man rings bell when dog is fed. Dog begins to salivate when bell is rung.

Operant Conditioning

1. Encouragement to repeat behavior:
   a. Positive Reinforcement: reward is received when behavior is performed
   b. Negative Reinforcement: unpleasant stimulus is removed when behavior is performed
2. Discouragement of behavior:
   a. Punishment (unpleasant feedback or stimulus)
   b. Threat of punishment

Social Learning Theory

Acquisition (attention and retention) and performance (reproduction)

Modeling: Imitation of behavior seen, with practice and reinforcement

Shaping: Learning of linked, component skills, with reinforcement for performance

Theories of Learning

TRAINING NEEDS ASSESSMENT

Most HRD professionals agree that an assessment of organizational needs is crucial to the development of effective training programs. *Needs assessment* is the term most commonly used to describe the assortment of information-gathering activities undertaken before the design and implementation of a training session. Also known as *needs analysis, front-end analysis, discrepancy analysis,* and *diagnosis,* needs assessment is the fundamental tool that organizations and HRD professionals use to discover where training is needed, what types of training should be conducted, and which employees are in need of training (Ostroff & Ford, 1989).

THE PURPOSE OF NEEDS ASSESSMENT

Training exists in order to prepare employees to accomplish an organization's goals. If employees are to be effective, training systems must be aligned with and driven by organizational needs. That is, *training activities are meaningless unless they benefit the organization* by fulfilling needs (Goldstein, 1974). Thus, the purpose of needs assessment is to gather information and to identify training needs in order to design and implement training programs that improve the organization's performance and effectiveness.

Romiszowski (1988) and Kaufman (1979) suggest that needs assessment is first and foremost a problem-solving process targeted toward resolving organizational problems. Similarly, Rossett (1990) says that needs assessment is the preferred tool for gathering information in two primary areas of organizational problems: *the introduction of new systems and technology* and *inadequate performance.* According to Rossett, needs assessment attempts to resolve these two problem areas by answering questions about the desired future situation, the current situation, possible causes of the problems, the feelings of the people involved, and potential solutions.

- ***The desired future situation*** is a vision of what outcomes the training will produce. The vision emphasizes desired results and the knowledge, skills, and attitudes necessary for trainees to perform at the hoped-for level. For example, if the organization is planning to introduce a new computer system, the vision of the desired future situation would include a definition of optimal performance and the knowledge, skills, and attitudes necessary to produce optimal performance.
- ***The current situation*** is a description of the here and now. The emphasis is on today's status quo—current performance levels, knowledge, skills, and attitudes. When desired situations are visualized and actual situations are described, the

discrepancies between vision and reality become evident; these represent the organization's training needs. Rossett cautions, however, that when new technology or new systems are introduced, there will not yet be actual performance levels with which to compare, and the desired situation, in this case, represents the training needs.

- ***Possible causes*** of any problems also must be examined when there are differences between the desired and the actual. Rossett lists six factors that contribute to performance problems:

  1. Lack of adequate knowledge, skills, or ability to perform well;
  2. An environment that does not support the desired level of performance;
  3. Nonexistent or unclear performance expectations;
  4. Lack of incentives for high performance;
  5. A sense that the desired performance is not valued; and
  6. Lack of self-confidence.

  Information from as many different sources as possible about the causes of poor performance can help to focus training designs on fixing the causes rather than just treating the symptoms.

- ***Feelings of the people involved*** must be considered before undertaking training. The purpose of organizational training is to modify employee behavior; thus, training implies a change that will affect people's lives. The risks associated with change (for instance, resistance to change and lack of commitment) often can be minimized by obtaining information about people's feelings about the proposed training and the accompanying changes. It is important to ask the following types of questions: whether the identified problems are perceived as problems by those who are being required to change; whether training is perceived as a solution; whether potential trainees are confident in their ability to perform at different levels; whether trainees are motivated to perform differently; and whether or not there are political issues associated with the training.

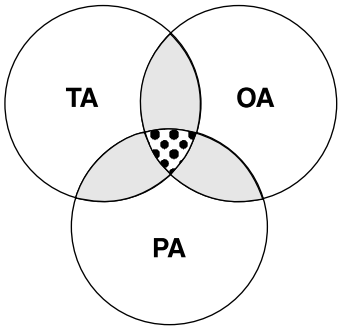
- ***Possible solutions*** are formulated during the final phase of a needs assessment. The goal is to reduce the discrepancy between "what is" and "what ought to be" in a way that maximizes the organizational benefit. Different types of problems often require different types of interventions. The emphasis throughout this final phase is on finding the optimal mix of potential solutions in order to completely eliminate or to significantly reduce the problem.

LEVEL OF ANALYSIS

Information regarding organizational needs can be gathered at three separate yet interrelated levels: *organization*, *task*, and *people* (McGehee & Thayer, 1961). The

Venn diagram pictured in the figure below illustrates the relationship between the three levels.

- ***Organizational*** analysis emphasizes training needs within the overall organization. Information is gathered regarding organizational goals, values, and available resources to determine whether training would help the organization to reach its goals. Organizational assessment defines the desired training outcomes at the macro level, identifies if and where the training is needed, and introduces a foundation for future evaluation. The emphasis is on strategic needs.



- ***Task*** (operational) analysis examines specific on-the-job tasks and the conditions in which the tasks are performed. Information is collected regarding task activities, the context in which the task is performed, and the knowledge, skills, abilities, and attitudes necessary for effective performance. The emphasis is on job content and context.
- ***People*** analysis focuses on the identification of employees within the organization who need training and of the types of training needed. Information is collected regarding the employees' knowledge, skills, abilities, attitudes, and performance, which then is compared to a predetermined standard of performance. People analysis emphasizes what is needed for the employee(s) to function at higher levels.

A comprehensive needs analysis by its very nature necessitates interacting with and including other people. Inclusion—especially of stakeholders and other influential organizational members—tends to increase the commitment to and ownership of training processes. Without the ownership, commitment, and support of influential people, training processes probably will be unable to benefit the organization to their full potential.

THE FIVE STEPS OF NEEDS ANALYSIS

Rossett (1990) indicates that there is not a standardized formula for conducting needs analyses. Still, the needs-analysis process generally comprises five steps.

1. ***Select Sources of Information.*** Needs analysis essentially is an information-gathering process. Accordingly, the first step in a needs analysis is to choose sources of information. Potential sources of useful information are infinite; these should be moderated by the level of analysis and limited to those stakeholders who will be affected by the changes and who can contribute pertinent information.
2. ***Determine the Stages of Analysis.*** A single source of information or mechanism for gathering information usually cannot furnish all the data necessary to obtain a clear picture of the problem or situation being assessed. Continued communication with various sources and the incorporation of several needs-assessment tools will assure more complete and useful data. The number of stages needed will vary, depending on how much information is needed and how much time and money has been allocated to the project.
3. ***Select and Administer Needs-Assessment Tools.*** Each stage of needs analysis utilizes one of five fundamental tools:

   - observations,
   - interviews,
   - surveys,
   - focus groups, and
   - documents.

   The determination of which tool is most appropriate is based on the focus of the data being gathered.
4. ***Create Items or Questions for Use in Gathering Information.*** One of the most difficult elements of needs analysis is defining what items and questions to use in order to obtain useful and valid information. For Rossett, the items and questions should be designed to obtain information regarding

   - The general problem or situation;
   - The details of the problem or situation;
   - Information that job incumbents already have;
   - Employees' feelings about the problem or new system;
   - Causes of performance problems; and
   - Possible solutions.
5. ***Consider the Critical-Incident Technique.*** Critical-incident analysis is a means of narrowing the general to the specific when examining performance problems. It is a method of inquiry that gathers information or "stories" from successful incumbents by questioning them about their experiences in various situations. The

critical-incident technique is especially useful when determining optimal and actual performance and knowledge. For Rossett (1990), the following questions are representative of those asked during a critical-incident analysis.

- Think about the most difficult situation you have had to handle on the job. What happened and what did you do?
- What is your most successful approach to . . .?
- Describe the best supervisor you ever had.
- What did you do that helped you to complete your last assignment on time?

IMPLICATIONS

Organizations often are "all talk, no action" in their support of needs analysis. Needs analysis often is conducted within a highly political environment in which there may be intense competition for organizational resources. To complicate matters, needs analysis can reveal problems that are different from the problems that management had predicted. Nevertheless, an effective needs analysis must be strongly supported whether it produces popular or unpopular recommendations. That support is most likely to be obtained only when the needs analysis makes use of thorough and systematic contact with people and information.

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TRAINING OBJECTIVES

Once a training-needs assessment has been completed, the data from it can be analyzed in order to consider *what is to be the focus of the proposed training* and its aims or desired outcomes—the specific ways in which people should change, develop, or behave. The following points should be considered; each will affect the training design (Cooper & Harrison, 1976):

Predetermined/Emergent Aims

- Who should determine the learning objectives (the facilitator, the participants, or both)?
- To what extent can learning aims be determined prior to the training experience?
- What is the possibility of additional aims emerging during the training event?
- To what extent might the facilitators impose, consciously or otherwise, some aims because of their own values and by setting norms?

Extent of Objectives

- To what extent are training aims conceptual (cognitive) or emotional (usually personal)? This will affect the nature of the design, the materials needed, and the type of facilitation required.
- Are the training objectives remedial (focused on participants' weaknesses, problems, or lacks) or developmental (to build participants' strengths)? The extent to which activities are focused in either direction should be considered, as well as the implications of this focus.
- How long is the group learning intended to have an effect (days, months, years)? What reinforcement will be available to the participants to aid in the transition and refreezing processes?

Experimental/Experiential Aims

The choice between these aims has implications for the training design (e.g., the use of observers, data collection, process reviews) and for the facilitator's learning theory or models. Points to consider include:

- The extent to which the activity will be a joint learning experiment, in which the facilitator has a special responsibility (e.g., for helping the group to examine data in reviewing its work).
- The extent to which the facilitator allows participants to experience the activity without heavily processing it.

IDENTIFYING THE TRAINING OBJECTIVE

To pinpoint the training objective, one can ask "What is expected to change as a result of this module?" In general, the training objective will fall into one of three broad categories:

- Cognitive: The acquisition of knowledge/understanding of concepts/memorization of content;
- Psychomotor: The practice and acquisition of new skills/new behaviors; and
- Affective: The development of awareness/exploration of attitudes/realization of preferences.

It is important to be clear about which of these areas will be the focus of the training. If participants are to be presented with a lecture on a particular topic, the training is in the cognitive realm (knowledge/concepts), and the objective would be to tell the participants about the topic or issue or to acquaint them with its major points. The objective is not to develop their skills in dealing with it or to change their attitudes about it (neither can be done with a lecture). Too often, training objectives are worded as "To change the participants' attitudes about . . ." when all that happens is a lecture on why they should or should not do something. (It would at least be more effective to state what would happen if they did or did not behave in a certain way.) Although the latter may bring about some change in people's behavior in certain situations (because of the understanding of the consequences), it is very unlikely to change their attitudes or opinions.

Knowledge and concepts can be communicated through training modules such as reading, lectures, and discussions. Psychomotor skills can be imparted only through "hands-on" (literally or figuratively) practice such as that provided by role playing, case studies, and simulations. Affective learning (e.g., awareness training or exploration and discovery of personal attitudes) requires the participation of the trainees. Their content—their thoughts, reactions, insights, and feelings—are a great deal of the focus of this type of training experience. Obtaining this information and working with it requires more facilitating skills than presenting skills. The training technologies that can be used in this realm are role plays, instruments, structured experiences, and intensive small groups.

Note that we stated the objective of this type of training as the awareness, discovery, or exploration of attitudes. Even with time to experience something and

discuss it in a training group, participants are likely to need time to reflect (and perhaps to experience the effects of changed behaviors) before their attitudes actually change. As Leon Festinger's (1957, 1964) research in cognitive dissonance shows, if you can change the behavior, the attitudes are more likely to follow. It does not seem to work as well the other way around.

WORDING IT REALISTICALLY

The training objective should communicate the following:

1. What the facilitator intends to do, or
2. The expected outcome or benefit to the participant.

It is important in framing the training objective to be clear about what you will do and what you reasonably can expect to happen as a result of the training. It is folly to promise that training will "improve productivity in the organization" or "change the trainees' attitudes." One of these may be what you hope to achieve, but neither can be guaranteed or measured. Rule number one is: Do not promise more than you can deliver. This may require that the client be educated about the reality of training and the other factors that can affect the outcome of training.

To be most realistic, a statement of training objectives would begin "It is expected that" (e.g., trainees will learn how to thread a needle as a result of this program). If this is not acceptable in one's particular situation, one still should resist making a statement such as "The trainee will be able to thread a needle as a result of the program." Training cannot control for other factors in the organization, the trainees' jobs and other environments, or the individuals themselves. All participants may not be able to attend all the training sessions because of other job pressures. People's skill levels are factors over which the trainer has no control. Also, although training can impact a person's comprehension and even ability, the trainer has little control over the person's willingness to use the new learning once the individual leaves the training setting. That, in fact, is the manager's responsibility. Too often, the people who are "ordering" the training expect trainers to assume this responsibility and to guarantee a "perfect" outcome.

In writing training objectives, therefore, it is wise to stick to what you will do and what you expect to happen. Suggested alternatives are: "The trainer will demonstrate and explain how to thread a needle, and the trainees will practice this skill" or "The trainees will have the opportunity to learn how to thread a needle" or "The trainees will be presented with the theory of and practice in threading a needle." Other objectives can be "to explore," "to engage in," and so on. If the training is mandatory skills training, the objective can include an "or else" statement, e.g., "The trainees will learn how to thread a needle or they will not be certified" (will have to retake the training, will have to be retested, etc.).

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TRAINING STYLES

Deciding what approach to take in helping people to learn can be difficult, particularly when one consults the "how to" literature on the subject. The classic debate between behaviorists (emphasizing control, shaping, prompting, reinforcing, token economy) and humanists (advocating freedom, spontaneity, student-centering, individuality, feelings) is just one example of basic differences. Even if one is clear about which of these psychological orientations one favors, there are numerous ways in which one can apply them, numerous approaches and techniques from which one can choose. Or can one really choose? Most trainers recognize that different adults prefer to learn in different ways, and that people in a training program will "get it" at different points. What they may not realize is that trainers also have preferred teaching or training styles, and they may tend to use these even when they do not match the trainees' learning styles. This means that the training may not be as effective as it could be. Accordingly, rather than using a particular training style, a trainer can increase his or her effectiveness by developing a variety of styles in order to complement different trainees and training objectives.

TYPES OF TRAINING STYLES

Adelson (1961) describes teachers as either *shamans*, who keep the focus on themselves; *priests*, who focus on the discipline and see themselves as a representative of it; or *mystic healers*, who focus on the learners.

A more useful taxonomy developed by Mann and his colleagues (1970) describes individual teachers as various combinations of six primary styles. The *expert* defines the role primarily as giving information; the *formal authority* defines it as directing and controlling; the *socializing agent* as preparing new members of a profession or discipline; the *facilitator* as enabling learners to develop in ways that they select; the *ego ideal* as being an inspiring model; and the *person* as being an interested and caring co-learner.

The Trainer Type Inventory

Wheeler and Marshall (1986) developed an instrument called the *Trainer Type Inventory (TTI)*, based on Kolb's (1976) work on learning-style preferences. Wheeler and Marshall assert that trainers can be classified as *listeners, directors, interpreters,* and *coaches*. Each style is differentiated by the way in which content is presented and the nature of the relationship between trainer and trainee. The following are the primary characteristics for each training style:

1. ***Listeners*** tend to create *affective* learning environments in which learners are encouraged to express their personal needs openly. The training focus is on the *here and now,* and listeners characteristically are highly aware of individual group members. Listeners tend to read nonverbal behavior well, show a great deal of empathy, and assure that all group members are heard. Listeners are comfortable with all types of expression (words, gestures, hugs, music, etc.), easily expose their own emotions, and expect learners to be self-directed and autonomous. In training situations, trainers who prefer a listening style appear relaxed and unhurried and "go with the flow," not appearing to worry about the training.
2. ***Directors*** tend to create *perceptual* learning environments in which the participation of learners is limited and controlled by the trainer. The training focus is on the *how and why.* Directors characteristically take charge and become the final judge of what is learned. Directors tend to be well organized, enter the training situation with detailed training guidelines, and have well-developed contingence plans. They most often stick to an announced agenda, presenting information through examples that are tied to a lecture format. In training situations, trainers who prefer a director style appear self-confident and tend to evaluate the learning based on objective criteria.
3. ***Interpreters*** tend to create *symbolic* learning environments in which learners are required to memorize and master terms, rules, and concepts. The training focus is on the *there and then,* and interpreters characteristically provide information based on objective data. Interpreters tend to integrate theory and events by making connections between past and present events. Through the use of case studies, lectures, and readings, they present well-constructed interpretations and encourage generalization and independent thought. In training situations, trainers who prefer an interpreter style want trainees to leave with a thorough knowledge and understanding of the facts and relevant terminology. They observe and tend to separate themselves from trainees, share ideas but not feelings, and listen for the intellectual rather than the emotional content.
4. ***Coaches*** tend to create *behavioral* learning environments in which trainees are encouraged to participate actively, learn, and evaluate their own progress. The training focus is on the *what and how.* Coaches characteristically encourage trainees to actively experiment with practical application. Coaches tend to draw on the strengths of the group and utilize trainees as resources. They clearly are in charge and they make use of activities, problems, and projects based on real life. In training situations, trainers who prefer a coaching style help trainees to verbalize what they already know and act as a facilitators to make the learning experience more comfortable and meaningful.

Wheeler and Marshall's instrument is useful in helping trainers to identify their typical training styles. Further value is found when the respondents share insights,

training techniques, and advice with other trainers who want to build skills in areas outside their current repertoires or comfort ranges.

TRAINER-TRAINEE FIT

Most trainers agree that different adults have different preferred styles of learning, although as yet there has been little agreement about how these individual learning styles can be classified. For example, Jacobs and Fuhrmann (1984) classify people as either *independent*, *dependent*, or *collaborative* learners; Murrell (1987) suggests classification based along *cognitive-affective* and *concrete-abstract* dimensions; and Kolb (1976) and Wheeler and Marshall (1986) suggest that people learn by *experience*, *observation*, *conceptualization*, or *experimentation*.

As described above and summarized in the table "Trainer-Trainee Styles," there are noticeable differences in the ways in which trainers prefer to train. Thus, based on their personal styles, trainers tend to create learning situations in which *they* feel comfortable and effective. For example, listeners are comfortable in and tend to create affective learning atmospheres; directors are comfortable in and tend to create perceptual atmospheres; interpreters are comfortable in and tend to create symbolic atmospheres; and coaches are comfortable in and tend to create behavioral learning atmospheres.

Similarly, there are differences in the learning modes that trainees are comfortable with. Trainees tend to feel more comfortable with and learn better in training atmospheres that fit with their personal styles of learning. For example, trainees who learn through experience feel comfortable in learning atmospheres that focus on the here and now and encourage free expression of personal needs; trainees who learn through observation are most comfortable in learning atmospheres that focus on the how and why and in which participation is controlled; trainees with conceptual orientations prefer learning atmospheres that focus on the objective data of there and then; and trainees who learn through experimentation are most comfortable in learning atmospheres that focus on the what and how through active participation.

The listener trains the concrete experiencer most effectively and is very comfortable in the activity and publishing steps of the experiential learning cycle. The director obtains the best results from the reflective observer and usually is very comfortable during step 3, processing (particularly in helping trainees to make the transition from "How do I feel about this?" to "Now what?"). The interpreter trains in the style favored by the abstract conceptualizer (step 4, generalizing), and the coach trains in the style favored by the active experimenter (step 5, applying).

The Training Style Inventory

Brostrom (1979) developed the *Training Style Inventory* to help trainers to learn about their personal impact on others in the learning setting and to form decisions about the use of various methods and techniques. The completion items correspond to four major instructional orientations: the behaviorist, structuralist, functionalist, and humanist approaches. (See figure at the end of this article)

These categories present some definite contrasts in style and suggest some implications for training, as shown in the table that follows:

	Behaviorist	Structuralist
Orientation to Teaching-Learning	New behavior can be caused and "shaped" with well-designed structures around the learner.	The mind is like a computer; the teacher is the programmer.
Basic Assumptions	Training designers select the desired end behavior and proceed to engineer a reinforcement schedule that systematically encourages learners' progress toward those goals. Imaginative new machinery has made learning fun and thinking unnecessary. Learners often control the speed.	Content properly organized and fed bit-by-bit to learners will be retained in memory. Criterion tests will verify the effectiveness of teaching. The teacher "keeps people awake" while simultaneously entering data—a much envied skill.
Key Words and Processing	▪ Stimulus-response ▪ practice ▪ shaping ▪ prompting ▪ behavior modification ▪ pinpointing ▪ habit formation ▪ reward and punishment ▪ teaching ▪ machines ▪ environmental design ▪ successive approximation ▪ sensitizing ▪ extinction ▪ token economy ▪ mastery	▪ task analysis ▪ lesson planning ▪ information mapping ▪ chaining ▪ sequencing ▪ memory ▪ audio-visual media ▪ presentation techniques ▪ standards ▪ association ▪ evaluation ▪ measuring instruments ▪ objectives ▪ recitation.
Interpersonal Style	Supportive emphasis on controlling and predicting the learner and learning outcomes—cooperative, stimulus-response mentalities are valued. Process is product centered.	Directive: planning, organization, presentation, and evaluation are featured. Process is teacher centered.
Strengths	"The Doctor": clear, precise, and deliberate; low risk; careful preparation; attentive; complete security for learners; a trust builder; everything "arranged"; protective; patient; in control	"The Expert": informative; thorough; certain; systematic; stimulating; good audio-visual techniques; well rehearsed; strong leader; powerful; expressive; dramatic; entertaining
Limitations	"The Manipulator": fosters dependence; overprotective; controlling; manipulative "for their own good"; sugar-coating; hypocritical agreeing; deceptive assuring; withholds data	"The Elitist": preoccupied with means, image, or structure rather than results; ignores affective variables; inflexible (must follow lesson plan); dichotomous (black or white) thinking; superior.

Trainer Style Contrasts

	Functionalist	Humanist
Orientation to Teaching-Learning	People learn best by doing, and they will do best what they want to do. People will learn what is practical.	Learning is a self-directed discovery. People are natural and unfold (like a flower) if others do not inhibit the process.
Basic Assumptions	The learner must be willing (or motivated) by the process or the product, otherwise it is useless to try teaching. Performance "on the job" is the true test. Opportunity, self-direction, thinking, achieving results, and recognition are important.	"Anything that can be taught to another is relatively inconsequential" (Rogers). Significant learning leads to insight and understanding of self and others. Being a better human being is considered a valid learning goal. Can be a very inefficient, time-consuming process.
Key Words and Processing	▪ problem solving ▪ simulation ▪ "hands-on" ▪ reasoning ▪ learner involvement ▪ reality-based ▪ consequences ▪ achievement ▪ failure ▪ confidence ▪ motivation ▪ thinking ▪ competence ▪ discipline ▪ recognition ▪ feedback ▪ working	▪ freedom ▪ individuality ▪ ambiguity ▪ uncertainty ▪ awareness ▪ spontaneity ▪ mutuality ▪ equality ▪ openness ▪ interaction ▪ experiential learning ▪ congruence ▪ authenticity ▪ listening ▪ cooperation ▪ feelings
Interpersonal Style	Assertive: a problem-focused, conditional, confrontational climate—striving, stretching, achieving. Process is task oriented and learner centered	Reflective: authenticity, equality, and acceptance mark relationship. Process is relationship centered.
Strengths	"The Coach": emphasizes purpose; challenges learners; realistic; lets people perform and make mistakes; takes risks; gives feedback; builds confidence; persuasive; gives opportunity and recognition	"The Counselor": sensitive; empathic; open; spontaneous; creative; a "mirror"; non-evaluative; accepting; responsive to learners; facilitative; interactive; helpful
Limitations	"Sink or Swim"; ends justify means; loses patience with slow learners; intimidating; insensitive; competitive; overly task oriented; opportunistic, return-on-investment mentality	"The Fuzzy Thinker": vague directions; abstract, esoteric, or personal content; lacks performance criteria; unconcerned with clock time; poor control of group; resists "teaching"; appears unprepared

Trainer Style Contrasts (continued)

Needless to say, the instruments discussed in this section, and others like them, can be used to learn more about one's own preferred styles. Such instruments can be very helpful in exploring and examining one's own attitudes, biases, and ways of operating.

Effective training requires an appropriate balance between trainer and trainee styles. Trainers can make a difference in *how well* people learn. Thus, they need to be aware of their tendency to structure a learning atmosphere in a manner that may be ineffective with a particular group of trainees. For example, trainers who train as listeners will be most effective with learners who learn through experience. Conversely, listeners are likely to be ineffective when training those who learn through observation. It is wise for trainers to become more skillful in training people in a variety of ways in order to be effective with as many people as possible.

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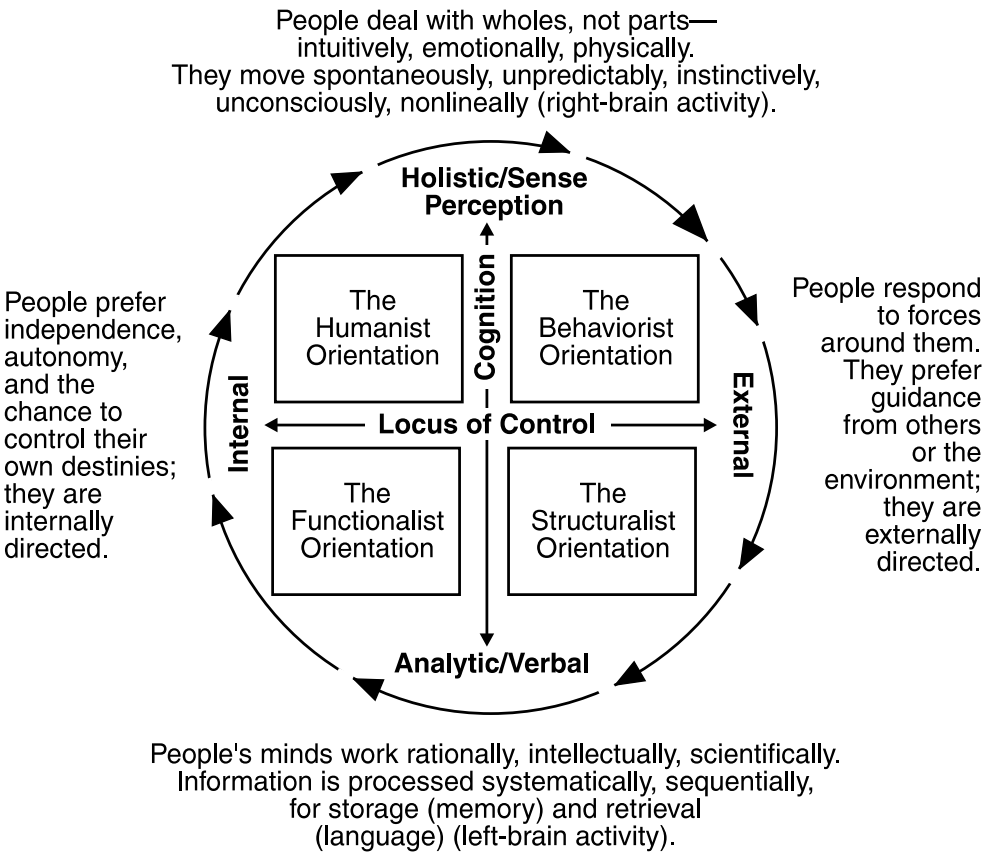
	Listener	Director	Interpreter	Coach
Learning Atmosphere	Affective	Perceptual	Symbolic	Behavioral
Dominant Learning Style	Concrete experience	Reflective observation	Abstract conceptualization	Active experimentation
Means of Evaluation	Immediate personal feedback	Discipline based; External criteria	Objective criteria	Learner's own judgment
Means of Learning	Free expression of personal needs	Memorization; Knowing terms and rules	New ways of seeing things	Discussion with peers
Instructional Technique	Real-life application	Lecture	Case studies, Theory, Reading	Activities, Homework, Problems
Contact with Learners	Self-directed; Autonomous	Little participation	Opportunity to think alone	Active participation
Focus	Here and now	How and why	There and then	What and how
Transfer of Learning	People/Who	Images/What	Symbols/Why	Actions/When
Sensory Perception	Touching	Seeing and hearing	Perceiving	Motor Skills

Trainer-Trainee Styles



TRANSFER OF LEARNING

One measure of training effectiveness is the degree to which the skills and behaviors that are taught are applied by trainees when they return to their jobs. Because one goal of training is to increase employee effectiveness, many trainers believe that it is their responsibility to ensure that the concepts and skills taught in the classroom are applied on the job. Trainers realize, of course, that if trainees are helped to become more efficient, more effective, or more satisfied, productivity generally will improve and management's support for training often will increase.

Research and experience suggest that several methods will increase the likelihood that trainees will use new learning. The methods that aid in the transfer of learning usually produce associations that help participants to transfer new concepts and skills to reallife situations.

METHODS THAT ENCOURAGE THE TRANSFER OF LEARNING

Job environments can either facilitate or create barriers to the transfer of and maintenance of learning. Barriers exist on the job because they are brought there by learners, because they are created by supervisors and managers, or because they are inherent in the organizational context. However, methods to counteract the negative effects of barriers do exist. Methods commonly used to encourage the transfer of learning from the training situation to the work situation are of four basic types:

1. Building a receptive environment by involving managers and supervisors in the training process;
2. Providing opportunities for trainees to apply concepts and to practice skills so that learning can be integrated more easily into work situations;
3. Planning post-training action; and
4. Planning and implementing follow-up activities.

MANAGEMENT AND SUPERVISORY INVOLVEMENT

Many techniques that enhance on-the-job receptiveness and support for training involve the trainees' supervisors and managers in the training process. Michalak and Yager (1979) state:

> The single most important factor in maintaining the behavior of trainees once they return to their jobs is whether or not there is any positive reinforcement coming from the managers of the

trainees. Positive reinforcement coming from immediate supervisors is the most powerful maintenance system. (p. 125)

Supervisors can be involved in support of training before, during, and after actual training events. Before the training takes place, supervisors can be included in the needs-assessment process so that trainers can learn about their perceptions of and desires for the outcome of the training program. Supervisors can suggest specific skills and concepts that should be included in the program; they also can help to select the employees to be trained and can explain to those employees why they were chosen and what is expected of them.

During and after the training, supervisors can participate in pilot programs so that they can experience the training firsthand and understand its relationship to their particular work situations; they can participate with trainees in parts of the training to discuss their roles in helping the transfer and maintenance of new behaviors; and they can initiate performance-coaching processes and other activities designed to reinforce new behaviors.

The more that supervisors and trainees discuss training outcomes, the higher the probability that new skills, knowledge, and behaviors will be applied by trainees.

APPLICATION AND PRACTICE OF NEW CONCEPTS AND SKILLS

The training itself may provide many opportunities for trainees to make connections between new concepts and skills and their day-to-day work activities. Trainees may be asked to share their expectations and goals for the training at the start of the program, giving trainers the opportunity to tailor the training to participants' needs. In addition, trainees who share their expectations with the group often feel more committed to meeting those expectations.

The training also can include activities (role plays, simulations, case studies, and so on) that allow trainees to apply concepts, to solve problems, and to practice new skills. Research indicates that similarities between activities and real-life work situations facilitate the transfer of learning. The practice and use of new skills can be supported further by requiring trainees to document their attempts to apply skills on the job and by allowing time at the end of a training session for discussion of the important points. Finally, trainers need to be aware of their roles in modeling the desired behaviors.

DEVELOPING AN ACTION PLAN

Training sessions can be designed to include opportunities for trainees to plan applications of new concepts and skills. Action plans tend to work best when trainees limit themselves to no more than three objectives and when trainees are asked to think of possible difficulties that might interfere with the implementation of their plans. The process of developing and implementing an action plan is time consuming but ensures continued commitment.

FOLLOW-UP ACTIVITIES

Follow-up activities fall into two categories: (a) those involving reminders sent either by trainers or by "buddies" to individual trainees, and (b) those involving subsequent meetings of the original group of trainees.

Trainees can refresh their memories by writing memos to themselves during the training session. These memos are given to the trainer and are mailed to the trainees at a later date. Trainers also can mail relevant materials—readings, bibliographies, flyers about related programs, and notes of encouragement—to trainees.

Follow-up sessions are opportunities for trainees to resolve problems that have arisen from attempts to apply new skills or behaviors. These sessions should be discussions of work-related problems only and must not be used as forums for introducing new material. During follow-up activities, just as in actual training, participants must be given opportunities to practice new skills and to receive feedback.

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1. **Involve managers and supervisors in the training process.**

2. **Allow trainees to apply concepts and to practice new skills.**

3. **Plan post-training action.**

4. **Plan and implement follow-up activities.**

Four Methods That Facilitate the Transfer of Learning