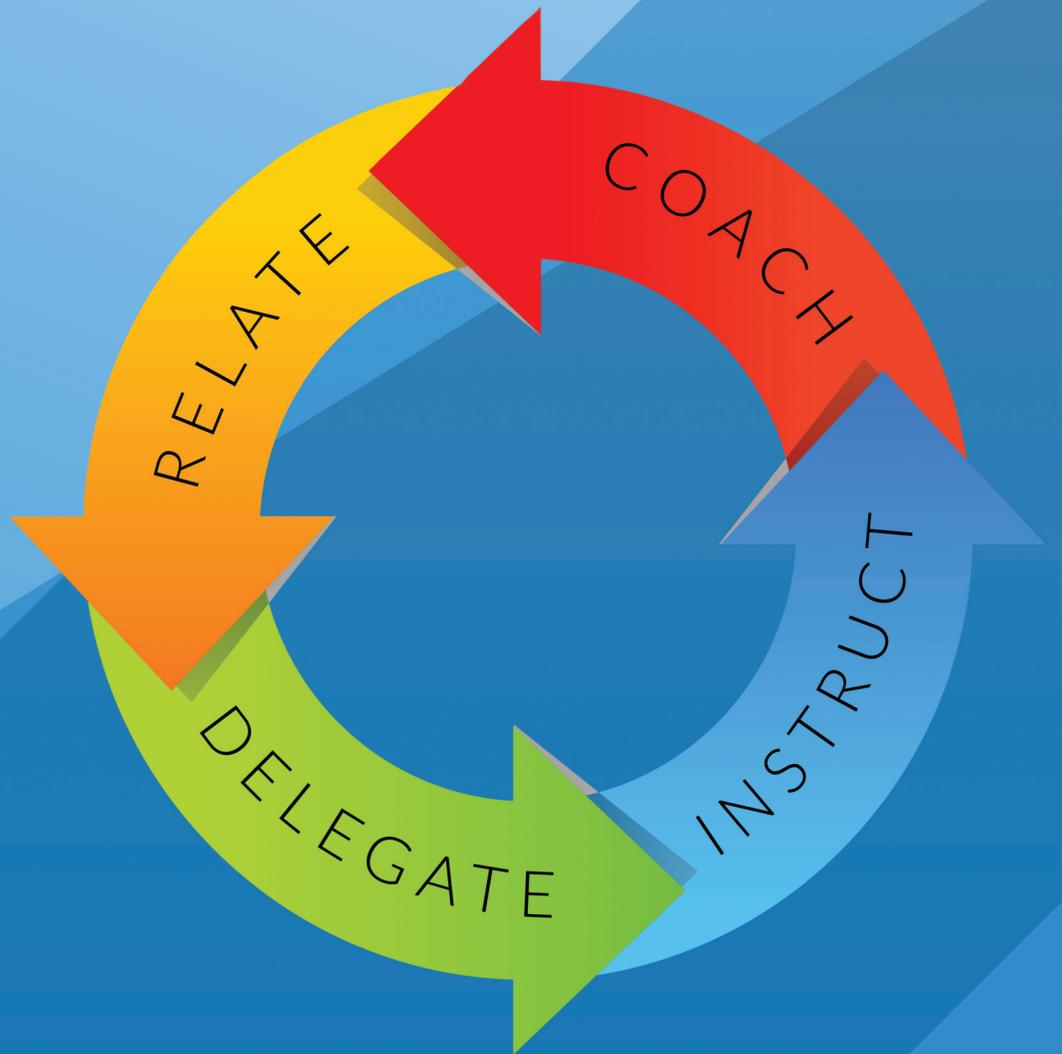


# SL

# STRATEGIC LEADER

## FACILITATOR'S GUIDE



ALEXANDER HIAM

# Strategic Leader

## Facilitator's Guide

Alexander Hiam

HRD Press • Amherst • Massachusetts

Copyright © 2018, Alexander Hiam

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without the prior permission of the publisher.

Published by: HRD Press, Inc.  
22 Amherst Road  
Amherst, MA 01002  
800-822-2801 (U.S. and Canada)  
413-253-3488  
413-253-3490 (fax)  
<http://www.hrdpress.com>

ISBN 978-1-61014-419-3

# Table of Contents

Before You Begin.....	v
Module 1: Introduction to Strategic Leadership .....	1
Module 2: Interpreting Your Online Assessment Results.....	15
Module 3: When and How to Instruct Your Direct Reports .....	23
Module 4: When and How to Coach Your Direct Reports.....	39
Module 5: When and How to Relate to Your Direct Reports.....	77
Module 6: When and How to Delegate to Your Direct Reports.....	103
Module 7: Determining the Best Strategy for Your Direct Reports.....	119
Module 8: Taking Action: Lead!.....	131

## APPENDICES

Appendix A: Self-Assessment Using the <i>Strategic Leader Assessment</i> .....	139
Appendix B: <i>Strategic Leader</i> Video Facilitator’s Guide .....	147
Appendix C: Developmental Leadership .....	159
Appendix D: Case Analysis and Interpretation .....	167
Appendix E: Technical Notes on the Design of the Strategic Leader.....	187



# Before You Begin...

## Classroom Requirements

This Strategic Leader workshop requires a classroom large enough to accommodate 15 to 20 people, with sufficient space to allow participants to break out into pairs or table groups. The classroom should have tables large enough to accommodate four to six participants each.

## Equipment and Supplies

You will need the following equipment and supplies to conduct this course:

- A copy of the *Strategic Leader Facilitator's Guide*
- A copy of the *Strategic Leader Participant Guide* for each participant
- Two flipchart easels with pads and markers
- Additional flipchart pads
- Computer and related equipment for a PowerPoint slide presentation
- Paper and pencils

## Preparing to Conduct the Workshop

Following is a checklist to help you prepare for the workshop.

- Review the *Strategic Leader Participant Guide*
- Review the *Strategic Leader Facilitator's Guide*
- Arrange for equipment and materials needed for the workshop
- Prepare room and equipment
- Obtain supplies needed to conduct activities/exercises

### Format

A TELL, SHOW, and DO format is used to provide the facilitator or leader with a “road map” through the training.

- TELL:** Provides key points the instructor will present to the participants in the course. Although the content is written in a scripted, conversational format, it is simply a roadmap to help the facilitator through the content. Feel free to add organization-specific information, examples from personal experience, or anything else you feel will enhance the content.
- SHOW:** PowerPoint slides, flipchart material, or any other display to be shared with participants.
- DO:** Go to *Participant Guide*, activities, exercises, discussion questions, material to be written on the flipchart.
- NOTE:** Instruction and information for the leader/facilitator only.

**NOTE:** The graph on the following page appears in the front of Module 3 of the *Participant Guide*. Participants can refer to this during discussions of C1, C2, C3, and C4 employees.



EMPLOYEE CAPACITY		LEADERSHIP STRATEGY	
C1.	Not fully capable, but motivated	→	LS1. Lead by managing tasks and their performance.
C2.	Not fully capable, not fully motivated	→	LS2. Manage task performances as they interact with performers' attitudes
C3.	Not fully motivated, but capable	→	LS3. Lead by managing the attitudes and feelings of the performer
C4.	Fully capable and motivated	→	LS4. Lead by encouraging the performers to self-manage their own performances



# Module 1: Introduction to Strategic Leadership

## Preparing for Training

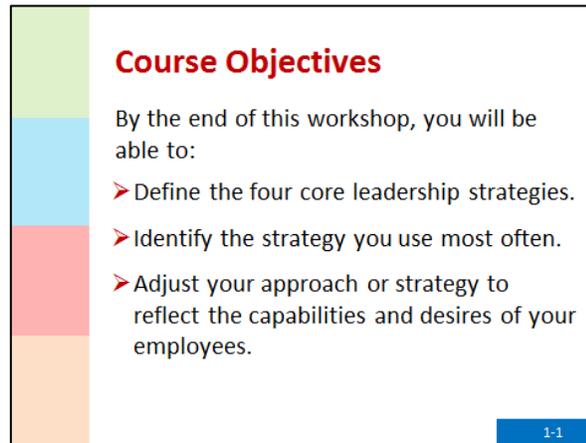
This module focuses on introducing strategic leadership. There are six objectives for this module. At the end of this module, participants will be able to:

- Objective 1:** Explain the importance of adjusting their leadership approach to reflect the employee capability and desire to perform.
- Objective 2:** Describe the difference between management and leadership with an awareness of the role of the leader in influencing the development and performance of employees in positive ways.
- Objective 3:** Take responsibility for leading by focusing on the varied performance needs of employees.
- Objective 4:** Describe a range of leadership behaviors to expand their knowledge of the options available for helping employees perform.
- Objective 5:** Learn to “drill down” to describe and understand leadership behaviors on a more specific and detailed level.
- Objective 6:** Recognize the distinction between selecting a leadership behavior strategically (after assessing the situation) and out of habit. Realize that we often repeat ineffective leadership actions instead of making a strategic assessment of what is most likely to work.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

**SHOW:** Show Slide 1-1: *Course Objectives*.



**Course Objectives**

By the end of this workshop, you will be able to:

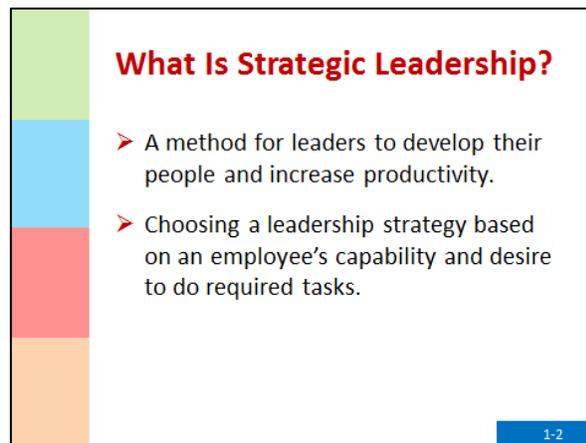
- Define the four core leadership strategies.
- Identify the strategy you use most often.
- Adjust your approach or strategy to reflect the capabilities and desires of your employees.

1-1

**DO:** Review the course objectives with participants.

### What is Strategic Leadership?

**SHOW:** Show Slide 1-2: *What Is Strategic Leadership?*



**What Is Strategic Leadership?**

- A method for leaders to develop their people and increase productivity.
- Choosing a leadership strategy based on an employee's capability and desire to do required tasks.

1-2

**TELL:**

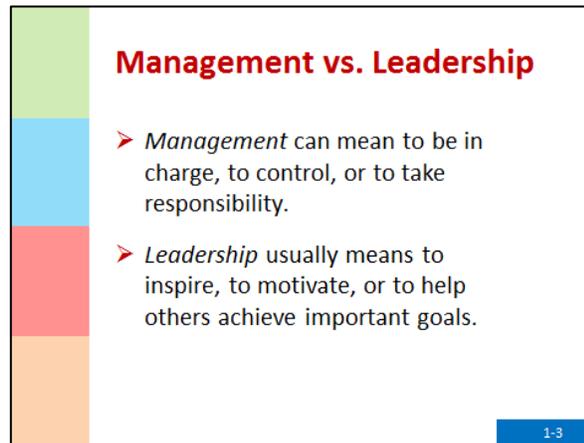
- Each person we manage has different requirements for peak performance right now, and for professional development over time. In fact, they may have multiple sets of needs or requirements for success. In a single day, an employee might work on multiple tasks or projects requiring different skills and thus require different types of leadership strategies in order to succeed.
- Strategic leadership is a practical method that leaders can use to develop their employees and increase productivity.
- In strategic leadership, a leader *chooses* a strategic approach based on the specific task to be done and the employee's level of development in relation to that task. The leader constantly "flexes" his or her strategy to fit the situation.
- Before we examine strategic leadership more closely, let's take a moment to define what leadership is.

**DO:** Challenge participants with the following question:

***What is the difference between management and leadership?***

Write some of the key points made by participants on the flipchart. This question might generate some interesting comments. Acknowledge these comments positively and do not dispute. This is your first opportunity to encourage and reward participants for active participation.

**SHOW:** Show Slide 1-3: *Management vs. Leadership.*



- TELL:**
- *Management* can mean to be in charge, to control, or to take responsibility.
  - *Leadership* usually means to inspire, motivate, or help others achieve important goals.
  - Anyone in a position of authority will often find themselves thrust into a leadership role. While this means you have the opportunity to provide leadership, it does not guarantee that you will do so.
  - It can be fairly difficult to provide good management, let alone good leadership. It is common for leaders or managers to use the same leadership approach and strategy over and over, with different individuals, and in different situations.
  - In addition to being accountable for your own performance, management requires you to be accountable for the performance of a group of people.

**SHOW:** Show Slide 1-4: *Management*.

**Management**

Elements of **management** include:

- Defining each employee's tasks or roles
- Checking up on their work
- Giving instruction
- Correcting employees when they make errors
- Tracking information about results

1-4

- TELL:**
- To manage, you need to use various methods for controlling what employees do, such as:
    - Defining each person's tasks or roles
    - Checking up on their work
    - Giving instructions
    - Correcting them when they make errors
    - Tracking information about results
  - These elements of management are important in the workplace, but they do not, on their own, ensure good leadership.

**SHOW:** Show Slide 1-5: *Leadership*.

**Leadership**

Elements of **leadership** include:

- Raising motivation to perform required tasks
- Developing an employee's skill and ability to perform the tasks
- Improving work processes
- Striving for higher and better results, believing in the employee's potential

1-5

- TELL:**
- Leadership goes beyond management because it has higher expectations for performance. A leader's aim is to get superior performance from employees. This involves many additional considerations, such as:
    - Raising an employee's motivation to perform the required tasks
    - Developing the skills and abilities to perform the required tasks
    - Improving work processes
    - Moving the entire group ahead, striving for higher and better results, believing in the employees' potential
  - Now let's take a look at strategic leadership.

**SHOW:** Show Slide 1-6: *A Strategic Leader assesses...*

The slide features a vertical bar on the left with four colored segments: light green at the top, light blue, light red, and light orange at the bottom. The main content is on the right, starting with the title 'A Strategic Leader assesses...' in red. Below the title are two bullet points, each starting with a red arrowhead. The first bullet point is 'Capability: The knowledge, experience, and skill an employee brings to a particular task or activity; the employee's need for instruction and task structure'. The second bullet point is 'Desire: An employee's confidence, commitment, and motivation to accomplish a specific task or activity; the employee's need for consideration and support'. The word 'and' is centered between the two bullet points. A small blue box with the text '1-6' is in the bottom right corner of the slide.

**A Strategic Leader assesses...**

- **Capability:** The knowledge, experience, and skill an employee brings to a particular task or activity; the employee's need for instruction and task structure
- and
- **Desire:** An employee's confidence, commitment, and motivation to accomplish a specific task or activity; the employee's need for consideration and support

1-6

- TELL:**
- Strategic leadership is based on a leader's assessment of an employee's
    - Capability, which is the knowledge, experience, and skill they bring to a particular task or activity as well as their need for instruction and task structure, and
    - Desire, which is the confidence, commitment, and motivation an employee has to accomplish a specific task or activity, as well as their need for consideration and support.

**SHOW:** Show Slide 1-7: *Capability*.

**Capability**

To determine **Capability**, ask performance-focused questions such as:

- How is the work going?
- Which tasks should I assign to which people?
- What resources do they need to complete the project successfully?
- What do they need to know to do this?
- Why is this task important?
- How could we do it better?

1-7

- TELL:**
- When an employee needs to work on capability, the leader's focus should be on making sure the employee performs well. The leader becomes *performance-focused*, primarily concerned with the task and how it is performed.
  - To determine capability, ask performance-focused questions such as:
    - How is the work going?
    - Which tasks should I assign to which people?
    - What resources do they need to complete the project successfully?
    - What do they need to know in order to be able to do the work?
    - Why is this task important?
    - How could we do it better?

**SHOW:** Show Slide 1-8: *Desire*.

**Desire**

To determine **Desire**, ask performer-focused questions such as:

- How is the employee feeling about the work?
- Is it important to him or her?
- Is the employee motivated?
- Is the employee confident and optimistic that he or she can do it well?
- Is the employee bored? Need a greater challenge?
- Is the employee over-challenged? Need more support?

1-8

- TELL:**
- When an employee needs to work on attitude or desire, the leader's focus should be on making sure the employee feels motivated and confident to perform the task. The leader's primary concerns are with the employee's attitudes and feelings, focusing on the *performer*.

- To determine desire, ask *performer-focused* questions, such as:
  - How is the employee feeling about the work?
  - Is it important to him or her?
  - Is the employee motivated?
  - Is the employee confident and optimistic that he or she can do it well?
  - Is the employee bored and need a greater challenge?
  - Or, is the employee over-challenged and needs more support?
- Let's do some brainstorming to identify managers' leadership behaviors.

### **Exercise: Managers' Leadership Behaviors**

**DO:** Have participants form pairs (create a triad if there is an odd number of participants).

Ask them to turn to page 2 in the *Participant Guide* and use the worksheet to make a list of managers' leadership behaviors—any things they or others they know sometimes do to try to improve the performance of employees.

Give participants a few minutes to generate six or more items on their lists. Encourage them to talk to their partners for ideas. Assist any pairs who are stuck.

Debrief the exercise by asking participants for some examples. If you want, write their responses on the flipchart under the heading:

#### *Managers' Leadership Behaviors*

Then, point out that while they did a good job and came up with many behaviors, it is interesting that the lists aren't even longer.

- TELL:**
- People tend to make short lists whenever this activity is done—yet there should be an almost infinite choice of leadership behaviors or actions available to managers.
  - Another common finding is for people to list very general, abstract actions rather than specific things. For instance, people often put something like “*motivate employees*” on their lists. Yet to motivate someone is not really a specific action or behavior; it's more of a general goal. It is a very abstract, high-level description of what a leader might do.
  - Before an action can be useful as a description or guide to a behavior, we would have to break it down into more specific possible actions.
  - An example of a more specific description of leader behavior designed to motivate might be “*Tell employees why it is important to accomplish a goal.*” That is one of many possible ways a leader might behave if he or she wanted to motivate people to perform well.

**DO:** Elicit examples of general actions from participants, praise their contributions, and then discuss how each one can always be broken down into more specific behaviors. For example, “*Communicate with employees*” can be broken down to “*Hold a Q&A session*,” “*Write an explanatory memo*,” “*Listen respectfully to an employee’s idea*,” and so on.

This discussion is helpful in making participants more aware of how leader behavior can be thought of on a very concrete, building-block level.

Explain that the more specific and narrow our observations, the more clearly we can see—and thus control—our own leadership behaviors.

### Strategic Leader Behavior

**SHOW:** Show Slide 1-9: *Strategic Leader Behavior*.

Strategic Leader Behavior			
A) Employee is not performing well	Leader is concerned, takes action based on leadership habits or assumptions		Non-strategic Outcome: Employee may not improve (Whose fault is it?)
B) Employee is not performing well	Leader evaluates the context	Leader adapts actions based on needs in the context	Strategic Outcome: Employee is more likely to improve

1-9

- TELL:**
- In this chart illustrating Strategic Leader Behavior, look at **example A** in the top row. Imagine a typical manager who notices that an employee is not performing his work very well. If the manager is responsible and concerned, she will certainly want to do something about it. But what?
  - If the manager usually uses a particular behavior in this context, then she will most likely try it again. Maybe she will warn the employee to do better. Or perhaps take a more positive approach by encouraging the employee to improve or showing the employee how to do the job correctly.
  - Whatever the response, if it is based on habit and not carefully thought out, it probably will not work.

- Now look at **example B** in the bottom row of the chart. Here, the manager analyzes the problem *before* deciding how to act. This makes the manager's response more strategic and therefore more likely to succeed.
- For instance, if the manager discovers that the employee does not know how to use the new software, then the best response might be training in how to use it.
- However, if the problem turns out to be that the employee thinks he has been unfairly treated, then the best response might involve discussing the employee's grievance and working to remedy the problem.
- Strategic leadership involves giving attention to what your employees need in order to succeed at a higher level, and adjusting your own behavior to have a positive influence on their development and performance.

### Why is Strategic Leadership Important?

**SHOW:** Show Slide 1-10: *Workplace Challenges*.



- TELL:**
- The idea that managers and team leaders should manage performance is not radical or new. However, there are factors operating in today's workplace that make the need for high performance an even greater managerial responsibility.
  - Some of these workplace challenges are shown on this slide.

**DO:** **ASK:** *How do you see these factors playing out in your organization?*

Acknowledge participants' responses. Possible responses include:

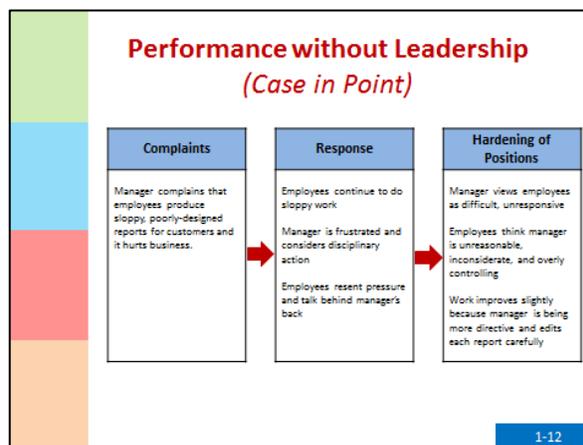
- Staff layoffs
- Departments being eliminated or merged; downsizing
- Changes in regulatory requirements
- Creation of self-managed teams
- Manager's “span of control” enlarged; having more employees to supervise

**SHOW:** Show Slide 1-11, *Performance Challenges*.



- TELL:**
- The leadership challenge is how to motivate employees as well as manage employee performance in a changing, increasingly challenging environment.
  - When there is significant change, people can feel disoriented and anxious, their energy can be directed from work to coping tactics, and their motivation can often fall.
  - In many organizations, people are given new responsibilities and must learn new things in a short period of time. People move in and out of work groups and teams as new requirements emerge and projects are initiated.
  - As leaders, you must be able to quickly analyze situations, tasks, requirements, and where employees' skill levels and motivation are in relation to these requirements. You need to develop both the directing and supporting skills and behaviors that will help manage the efforts of your employees in achieving the tasks at hand, moving them forward, and developing them to a point where you can eventually delegate.

**SHOW:** Show Slide 1-12: *Performance without Leadership*.



- TELL:**
- We inherited many of our leadership behaviors from a time when there might have been fewer challenges and the rate of change was slower. These behaviors don't always meet our needs.
  - Reacting without thinking a situation through carefully will probably not work well today.
  - A strategic approach is more thoughtful because the manager's behavior is guided by an objective and a strategy for how to achieve that objective.

**DO:** **ASK:** *What would a more strategic approach look like?*

Allow about 10 minutes for discussion.

Write relevant statements on the flipchart and respond, as appropriate.

**SHOW:** Show Slide 1-13: *Strategic Leadership Approach*.



- TELL:**
- In a strategic approach, the leader's actions are tactics that arise from a conscious plan and an analysis of the leadership context—not just a habitual or traditional response.
  - Now, let's take a look at strategic behaviors with regard to task and people orientations.

**SHOW:** Show Slide 1-14: *Each case response is a behavior.*

### Each case response is a *behavior*

**Example:** *What should you do...*



*...if the employee is improving but not completely meeting quality goals yet?*

- > Encourage him?
- > Remind him of objectives he hasn't yet met?
- > Give him more information about quality goals?
- > Put him in charge of improving the results?

1-14

- TELL:**
- In any specific case or situation, you can choose from multiple options. What is the best choice? What sort of choice do you often make? By examining your responses in various leadership contexts, you can learn something about your approach to leadership.
  - The Assessment you completed can be used to gain some insight into your preference for certain types of leadership strategies. By scoring it as you just did, you learned something about your tendencies as a leader. This is useful because it helps us be more aware of our own habitual responses or preferences—a good starting point for gaining more understanding and control of our own leadership behaviors.

**SHOW:** Show Slide 1-15: *Where do the behaviors focus?*

### Where do the behaviors *focus*?

<ul style="list-style-type: none"> <li>• <b>TASK</b> focus on getting the job done</li> <li>• Leader concerned with performance, not the performer</li> <li>• The <i>Instruct</i> strategy epitomizes this focus</li> </ul>	<ul style="list-style-type: none"> <li>• <b>PERSON</b> focus on helping the employee</li> <li>• Leader concerned with the performer, not the performance</li> <li>• The <i>Relate</i> strategy epitomizes this focus</li> </ul>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

1-15

- TELL:**
- The Assessment gave you a score for each of the four different prototypical leadership strategies: relate, coach, instruct, and delegate. We'll look at each of these strategies in depth later on, as each has an important role in good leadership.
  - At the moment, I want to focus on just two of them: **Instruct** and **Relate**.
  - The **Instruct** strategy involves a strong focus on the work—the task to be done. It uses various behaviors to structure and teach tasks to employees—things like giving out assignments, providing feedback, or giving clear instructions about what to do and how to do it. Your **Instruct** score represents your tendency to take a pure task focus in leadership.
  - The **Relate** strategy is about the person. It involves building motivation and good attitudes through behaviors such as encouraging people, taking an interest in their needs, and showing support and consideration toward them. Your **Relate** score represents your tendency to use a people focus.

**SHOW:** Show Slide 1-16: *Dividing our Lists of Behaviors*.

**Dividing our Lists of Behaviors**

<b>TASK</b> focus:	<b>PERSON</b> focus:
• Instruct	• Relate
• Set goals	• Listen, sympathize
• Give feedback	• Praise, encourage
• Check quality	• Feed
• Give out assignments	• Discuss common interests

1-16

- TELL:**
- This slide helps clarify what these two different orientations are all about. A **task focus** is all about the work, while a **person focus** is concerned with the individual who is doing the work. Your leadership behaviors can probably be divided into these categories, too.
  - One of the simplest but most powerful ways to be more strategic as a leader is to take a moment to think about which of these areas is most important for you to focus on in any leadership context.
  - Sometimes an employee will need you to work on task structure—maybe by giving better instructions or clearer feedback, for example. Other times, the employee might need you to focus on how they are feeling about the work—for example by being considerate, listening sympathetically, or by giving encouragement, recognition, or other rewards to them.

**DO:** Refer participants back to page 2 of the *Participant Guide* and have them review the lists of behaviors they made earlier. Lead a discussion by asking: ***In your own lists of behaviors, which do you feel are people-focused and which do you feel are more task-focused?***

If you have time, have participants code their responses as either **P** (people) or **T** (task) to help them understand the distinction. Allow a minute or two. Point out that it is possible for some of the behaviors to be focused on both people and tasks. However, many should be clearly biased toward one or the other. (If you wrote their responses on the flipchart, you can do this as a group.)

# Module 2: Interpreting Your Online Assessment Results

## Preparing for Training

This module focuses on interpreting your strategy scores. There are six objectives for this module. At the end of this module, participants will be able to:

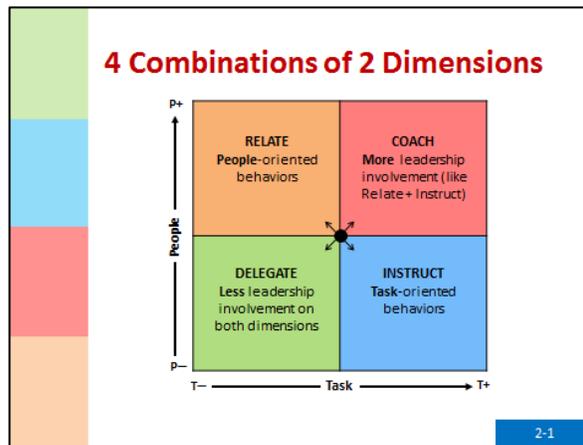
- Objective 1:** Define the four leadership strategies as low and high combinations of the two underlying dimensions: the leader's focus on the *task* and on the *person*.
- Objective 2:** Identify their highest strategy score to understand what their natural tendency is as a leader and the strengths or advantages of that strategy.
- Objective 3:** Identify their lowest strategy score to understand where they will need to focus their efforts in order to develop their capacity as a leader.
- Objective 4:** Explain the value of learning to “flex” your strategy or style to be able to respond effectively to more leadership situations.
- Objective 5:** Recognize that it can be difficult to self-manage their leadership behavior because it is not always fully within conscious control.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

## Interpreting Your Strategy Scores

**SHOW:** Show Slide 2-1: 4 Combinations of 2 Dimensions.



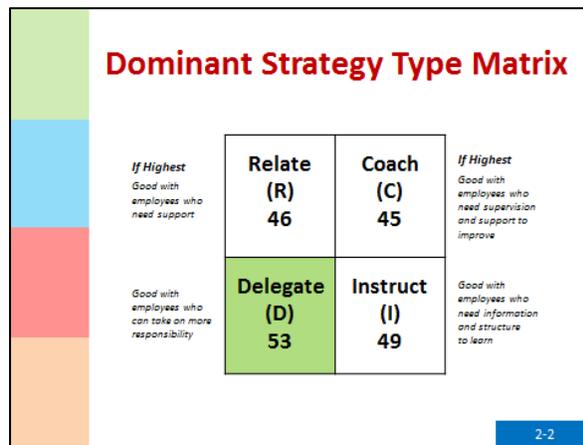
- TELL:**
- In your Strategic Leader report, you have scores for four leadership strategies: *Relate*, *Coach*, *Delegate*, and *Instruct*. If you look at the chart on the slide, you will notice that all four of these strategies represent different combinations of high or low orientations toward tasks or people.
  - The **Relate** strategy is oriented strongly toward relating to people and is not very concerned about tasks. The opposite is the **Instruct** strategy, since it focuses on tasks much more than people.
  - What if you combine a high orientation toward people with an equally high orientation toward tasks or the work? You have the **Coach** strategy. Coaching gives the employee a lot of support as well as plenty of structure and guidance for doing the work well.
  - Think of coaching someone to help them improve and develop as a star athlete. You would certainly take an interest in their feelings, since you'd want them to be enthusiastic and motivated to succeed. But you'd also be highly involved in their performance, giving increasingly challenging assignments and plenty of advice about how to perform better.
  - Coaching combines leadership aimed at *people and their attitudes* as well as their *abilities*.
  - Coaching sounds like more work and it is, since it's concerned with both encouraging the employee and helping them improve their work. Employees who are being coached may develop their skills, but might also become dependent on coaching from their leader.
  - **Delegate** is the opposite of this high-involvement style of leadership. The leader leaves the employee alone more of the time and trusts them to manage their own performance.

- Delegation involves trusting the employee and not managing him or her as closely. It frees up your leadership time and energy for employees who need it more. Even more important, Delegation helps employees take a more mature and responsible approach. It encourages them to develop and learn to perform well without close supervision.

### Interpretation

**DO:** Have participants turn to page 3 of their Strategic Leader online report and take a minute to look at their dominant strategy type score.

**SHOW:** Show Slide 2-2: *Interpreting Your Scores*.



**TELL:**

- The Dominant Strategy Type Matrix on page 3 of your Strategic Leader report will have one of the four strategy types shaded in green, indicating your dominant strategy type. It is possible to have a tie and have two strategy types shaded.

**[Participants might not have a report printed in color, in which case the shading will be in gray-scale.]**

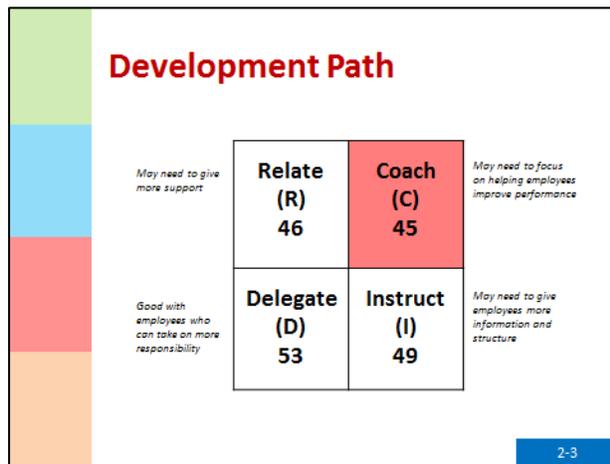
- The number in each quadrant indicates your raw score.
- The note next to each quadrant describes the specific strengths this score is generally associated with.

**DO:** **ASK:** *Based on what you have learned so far, what strengths does your high score indicate? Jot these down in the space provided.*

After 5 minutes, ask for volunteers to share the strengths they attributed to their dominant strategy. Respond with feedback, as appropriate.

**NOTE:** If you feel participants would be reluctant to share their scores, skip sharing responses and move on to the Development Path.

**SHOW:** Show Slide 2-3: *Development Path*.



- TELL:**
- Now, turn to page 4 of your Assessment report. The quadrant shaded in red on this page indicates your lowest score.
  - This score is your development path type—the strategy you should practice most if you want to expand your leadership capabilities.

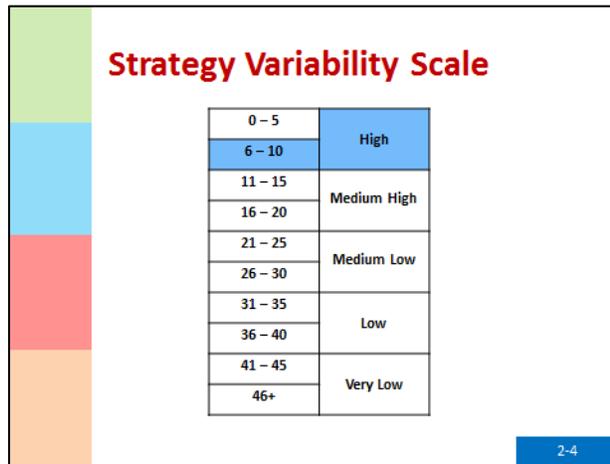
**DO:** Lead a discussion by asking: *Based on your low score, what do you feel you need to do to improve your capability in that strategy? You can write these down in the space provided.*

After 5 minutes, ask for volunteers to share the areas they feel they need to work on in order to strengthen their capability in that strategy. Respond with feedback, as appropriate. (Again, if you feel participants would be reluctant to share their scores, skip this part.)

When participants are finished, have them turn to page 5 of their report and look at the Strategy Variability Scale.

**DO:** Have participants turn to page 5 of their Assessment report and look at their score for Strategy Variability.

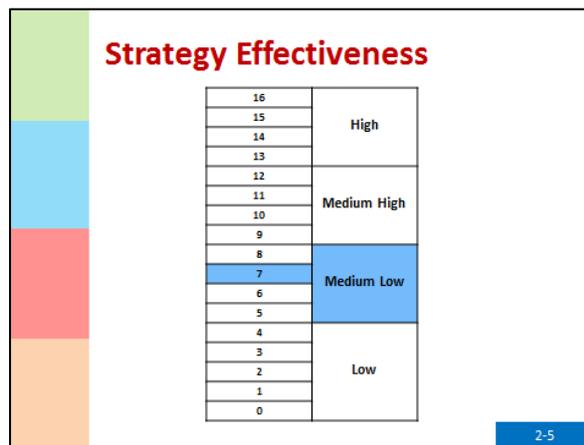
**SHOW:** Show Slide 2-4: *Strategy Variability Scale*.



- TELL:**
- The Strategy Variability Scale shows how variable (adaptable/flexible) your strategy is in different contexts or situations. This score is shaded in blue, as shown on the slide.
  - Your Strategy Variability score was determined by subtracting your lowest style score from your highest.
  - Some people tend to rely on one strategy regardless of the situation, while others tend to vary their strategy. A good goal for leaders is to perfect all four strategies so they can “flex” their style based on which style would be more effective or appropriate to the situation.

**DO:** Have participants turn to page 6 of their Assessment report and look at their score for Strategy Effectiveness.

**SHOW:** Show Slide 2-5: *Strategy Effectiveness*.



- TELL:**
- There were “ideal” responses to each of the cases in the assessment. Your strategy effectiveness was determined by the number of ideal responses you selected. The number of matches could be anywhere from 0 to 16.
  - As you can see from the slide, the number of ideal matches for this respondent is shaded in blue. If you look at the chart on page 6 of your Assessment report, you will see the shaded area indicating your number of ideal matches.
  - Before we go into the four strategies in depth, let’s briefly review each in terms of the leader’s focus and some ways to use the strategy.

**SHOW:** Show Slide 2-6, *Understanding the Strategies*.

Strategy	Leader's Focus
Instruct	Performer's capability (ability to perform the task well)
Coach*	Performer's capability and desire to perform well
Relate	Performer's desire to perform well
Delegate	Performer's increasing self-sufficiency

- TELL:**
- A strategy type is a core approach to leadership that many people often or habitually use.
  - Each strategy can be effective, depending on the context and how skillfully it is used. When you understand each type of strategy more fully, you are more likely to use it well.

**DO:** Have participants turn to page 7 in the Assessment report and look over the table on Understanding the Strategies.

- TELL:**
- If you look at the table on this page, you will see that it expands on the information shown on the slide by providing some ways you can use each strategy.
  - You will notice an asterisk next to the Coach strategy because you can also combine elements from Instruct and Relate to get a similar effect. Coaching often combines elements of these other two strategies.
  - This chart is simply an overview of the better approaches to using each strategy. The four strategies will be covered separately to make sure you learn how and when to use the strategy and develop some basic skills to begin learning how to “flex” your strategies based on the situation requiring “strategic” leadership.

**Activity: Identifying Strengths and Gaps**

**DO:** Have participants turn to page 8 in the *Participant Guide*. Tell them to think about their dominant strategy score. In the space provided, have them list the things they do that they believe are consistent with their dominant strategy score and that make them effective as a leader.

Next, have them think about their lowest strategy score and list those things they could do, or do more of, that would make them more effective.

Refer participants to the table on page 7 of their Assessment report if they are not clear on which behaviors might be associated with their highest and lowest scores.

**SHOW:** Show Slide 2-7, *Alternating Strategies*.



**DO:** **ASK:** *Why might leaders want to be adaptable?*

Write relevant participant responses on the flipchart and respond, as appropriate.

**ASK:** *Is it difficult to change our behavior?*

Write relevant participant responses on the flipchart and respond, as appropriate.

Ask participants to share any experiences where they found it necessary or desirable to behave differently from how they normally behave.

Write these experiences on the flipchart and respond.

**SHOW:** Show Slide 2-8.



- TELL:**
- Moving away from a habitual approach to management behavior and toward a more strategic approach is an important part of becoming an exceptional leader.
  - Since employee performance issues and needs vary greatly, it is important to be able to vary your leadership behavior in response. This often requires you to behave in new ways or ways you may not find as comfortable as your normal responses.
  - We're now going to take a more indepth look at each of the four leadership strategies, beginning with Instruct.

# Module 3: When and How to *Instruct* Your Direct Reports

## Preparing for Training

This module focuses on the Instruct strategy of leadership. There are three objectives for this module. Participants will:

- Objective 1:** Practice the Instruct strategy by applying five steps for communicating assignments effectively.
- Objective 2:** Manage feedback to maximize employee learning and improvement.
- Objective 3:** Learn to adjust the amount of task structure to give employees an appropriate level of challenge.

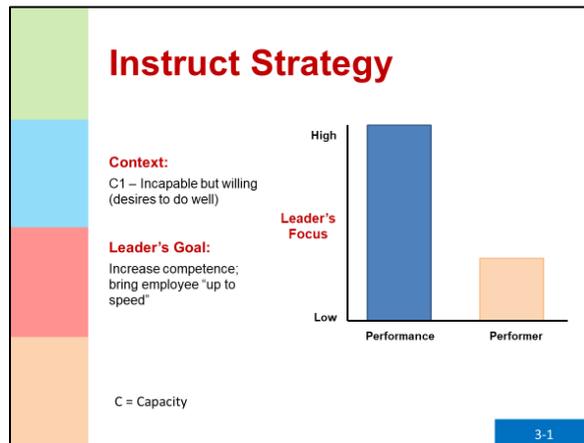
## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easels (for instructor and table groups)
- Markers in a variety of colors (for instructor and table groups)
- Prepare or obtain individual bags containing 10 connecting Lego® pieces (two bags per participant; each bag should contain identical pieces as far as type and size)

## Introduction to the Instruct Strategy

**DO:** Have participants turn to page 9 in the *Participant Guide*. Introduce the Instruct Strategy by making the following points:

**SHOW:** Show Slide 3-1, *Instruct Strategy*.



- TELL:**
- We looked at the overall model for Strategic Leadership, which includes four styles of leadership: Instruct, Coach, Relate, and Delegate.
  - We learned that the style selected in any given situation needs to match the capacity level of the employee in relation to the task to be performed.
  - In challenging work environments, where both new and experienced employees are learning new skills and are often shifted to new assignments, all four leadership strategies can come into play.
  - We are now going to look at the leadership strategies more closely and discuss how and when to use each strategy.
  - In this module, you will develop and practice the skills related to the Instruct Strategy, which focuses on task-oriented behaviors.
  - The Instruct Strategy is used when the employee's level is C1: capability is low in relation to the task. It might be that the employee is inexperienced or has not had training in the area.
  - The goal is to bring the employee "up to speed." Therefore, the leader primarily uses performance-focused behaviors and few performer-focused behaviors.

**DO:** Have participants turn to page 11 in the *Participant Guide* and explain that these are the cases from the SLTA assessment that are about to be referenced. As you present the examples, give participants enough time to look over the other options for each case.

**TELL:**

- Some examples of the Instruct strategy in action from your Strategic Leader Assessment cases include:
  - Case 11, Response A: Have a seasoned employee who knows the job well provide step-by-step instructions and watch over him for a few days.
  - Case 13, Response B: Walk him through the software step-by-step, then watch and give any needed advice as he tries to do it himself.
  - Case 8, Response A: Continue the morning meetings just to make sure everyone gets their instructions and does the right thing every day.

**DO:** **ASK:** *As we mentioned, the Instruct strategy is typically used with new employees who need to be told exactly what to do and how to do it. When else might the Instruct strategy be appropriate?*

Write participant responses on the flipchart and discuss.

Possible responses include:

- When an experienced employee is being asked to undertake a new assignment.
- With an employee who has moved from another part of the organization and doesn't "know the ropes" of the work unit.
- Under "crisis" or emergency situations.
- When work processes or standards change.

Add these responses to the list on the flipchart if not mentioned by participants.

**TELL:**

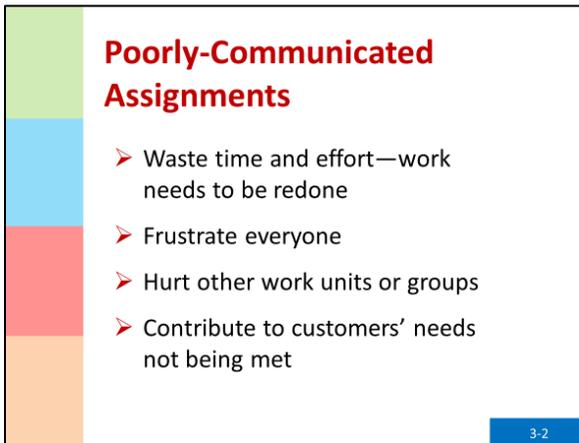
- The Instruct strategy is used to communicate assignments to C1 employees.
- The leader must first assess the employee's competence and commitment in relation to the particular assignment to determine whether Instruct is the appropriate strategy to use.

**DO:** Use the questions below to lead a discussion about communication.

**ASK:** *What typically happens when assignments are poorly communicated?*

Discuss responses.

**SHOW:** Show Slide 3-2, *Poorly-Communicated Assignments*.



**DO:** Review the consequences of poorly-communicated assignments. Have participants share examples from their own personal experience.

**ASK:** *What common mistakes do we tend to make when communicating assignments?*

Possible responses include:

- Being incomplete or rushing because of time pressures.
- Assuming the employee has the same information as you do.
- Assuming the employee should know what is involved or know how to do the task without being told.
- Assuming the employee knows *why* the work needs to be done.

**ASK:** *Have you ever had or seen a situation where a manager thought he or she was communicating clearly to employees, but the employees didn't understand or notice what the manager was trying to do?*

**NOTE:** This is an important talking/thinking point. Try to draw out the participants by probing for examples from their own experiences.

**TELL:**

- Clear communication at the start of a project or work assignment is particularly critical in today's organizations where a fast-pace and short deadline leaves little time for rework. The expectation is to "get it right the first time."
- Given that many people may be involved in an assignment and that staffing changes may occur suddenly when priorities shift, it is essential that every player clearly understand the requirements.
- When people are frequently shifted among assignments, they often lose sight of the overall mission or goals. They can become disheartened, demotivated, or jaded. One key aspect of communicating assignments is linking the work to an overall goal.

- Customer or quality requirements must be articulated as part of the assignment.
- Communicating assignments is important when employees are at the C1 level—when they need the information and are in a good frame of mind to receive it.
- Let's look at a five-step model for using the Instruct strategy to communicate assignments.

### Five Steps in Communicating Assignments

**DO:** Ask participants to turn to page 12 in the *Participant Guide* for a review of the five steps in communicating assignments.

**SHOW:** Show Slide 3-3, *Five Steps in Communicating an Assignment*.



**TELL:**

- In communicating assignments to a C1 employee, the leader focuses on performance of the *task* more than on the *performer*. Let's take a look at each step.

**Step 1.** Communicate the results you desire from the employee or the group—*what* is to be done and *when*.

Be directive and informative to spell out the duties and responsibilities of the individual or group.

**Step 2.** Explain *why* it is important for the assignment to be completed. Link the assignment to a work group or department goal, mission, and/or vision, and how the assignment benefits the organization.

Share needed information about the organization's operation.

**Step 3.** Communicate your expectations on *how* the assignment is to be done by demonstrating or providing the steps, procedures, standards, and resources needed to do the work.

Use informative behaviors of showing or telling how the work is to be done.

**Step 4.** Check the employee's understanding of the assignment and clarify roles and progress points.

Check progress and defining roles.

**Step 5.** Express confidence in the employee and your willingness to help. Doing so maintains high commitment and heads off any self-doubts the employee may have.

Provide encouragement and support.

It's important to monitor an employee's progress with the assignment and provide continued assistance as needed.

### **ACTIVITY: *Role-Play***

**DO:** Conduct a role-play demonstration of communicating an assignment with a volunteer. Have participants turn to page 13 in the *Participant Guide* for this demonstration.

Ask for a volunteer to play the role of a C1-level employee while you play the role of the leader communicating an assignment using the Instruct strategy.

Ask the volunteer to read the role of the employee from *Communicating an Assignment—Demonstration Script*.

Ask participants to turn to page 14 of the *Participant Guide* and use the space provided to record evidence of each step being communicated.

Debrief the role-play by asking participants to point out what the leader said for each step in communicating the assignment.

Have participants turn to page 15 for the answers.

## Communicating an Assignment— Demonstration Script

- Leader:** I want to discuss with you the XYZ project and your work assignment. You will be responsible for generating a summary report of the budget surveys completed by all of our field office staff. The report is to inform division management of any programs to consider in next year's budget.
- Employee:** *There are several field offices, aren't there?*
- Leader:** Yes, there are 12 field offices. This assignment is important since you will be representing the field's program requests by how you word this report. Your accuracy will also reflect on future budgetary decisions. Do you understand the significance of this report?
- Employee:** *I think so. It sounds as if I am going to have to be careful not to misrepresent the information.*
- Leader:** That's right. In order to complete the summary report, you will need to coordinate the return of all surveys from the field. Check with Linda over the next week to get the surveys that are still arriving. When all the surveys are in, record each response to a question on a master survey form for that location. Here is an example of what I mean (hand employee a piece of paper).
- Employee:** *This example helps a lot. If I have any questions, who do I see?*
- Leader:** I'm sure you'll be able to handle this just fine. I'll check in with you, but in the meantime, see Linda or me if you have any questions. Just so I make sure I was clear about my instructions, how about telling me what you understand them to be?
- Employee:** *Well, I will be compiling all the information I receive from the field and producing a summary report based on program interest I detect on the surveys I receive. I can check with you or Linda if I have questions.*
- Leader:** Great! It will also be helpful if you plan on giving me a progress report in the middle of next week. Do you have any questions now?
- Employee:** *No, not right now.*
- Leader:** Okay, that's it, then. By the way, thanks for your effort with this.

## Communicating an Assignment—Demonstration

**Instructions:** Use this page to jot down what the “leader” says to the “employee” that demonstrates each step.

**Step 1:** Communicate the results you desire from the employee—*what* is to be done.

---

---

---

---

**Step 2:** Explain *why* it is important for the assignment to be completed. Link the assignment to a work group or department goal, mission, and/or vision, and how the assignment benefits the organization.

---

---

---

---

**Step 3:** Communicate your expectations on *how* the assignment is to be done by demonstrating or providing the steps, procedures, standards, and resources needed to do the work.

---

---

---

---

**Step 4:** Check the employees’ understanding of the assignment and clarify roles and progress points.

---

---

---

---

**Step 5:** Express confidence in the employee and your willingness to help.

---

---

---

---

## Communicating an Assignment—Example

**Step 1. Communicate the results you desire from the employee (i.e., *what* is to be done).**

*I want to discuss with you the XYZ project and your work assignment. You will be responsible for generating a summary report of the budget surveys completed by all of our field office staff. The report is to inform division management of any programs to consider in next year's budget.*

**Step 2. Explain *why* it is important for the assignment to be completed (i.e., link the assignment to a work unit goal, mission, and/or vision).**

*This assignment is important since you will be representing the field's program requests by how you word this report. Your accuracy will also reflect on future budgetary decisions. Do you understand the significance of this report?*

**Step 3. Communicate your expectations on *how* the assignment is to be done by demonstrating or providing the steps, procedures, or standards needed to do the work.**

*In order to complete the summary report, you will need to coordinate the return of all surveys from the field. Check with Linda over the next week to get the surveys that are still arriving. When all the surveys are in, record each response to a question on a master survey form for that location. Here is an example of what I mean (hand employee a piece of paper).*

**Step 4. Check the employee's understanding of the assignment and clarify roles and progress points.**

*Just so I make sure I was clear about my instructions, how about telling me what you understand them to be?*

*It will also be helpful if you plan on giving me a progress report in the middle of next week.*

**Step 5. Express confidence in the employee and your willingness to help.**

*I'm sure you'll be able to handle this just fine. I'll check in with you, but in the meantime, see Linda or me if you have any questions.*

### Exercise 3-1: *Communicating an Assignment*

**TELL:** You are now going to have an opportunity to practice using the Instruct strategy when communicating an assignment to a C1-level employee.

**DO:** Refer participants to Exercise 3-1: *Communicating an Assignment* on pages 16 and 17 of the *Participant Guide* and review the instructions.

Write the following time breakdown for the exercise on the flipchart:

10 minutes	Design Object and Plan Assignment
10 minutes	Round 1—Communicate and Complete Assignment
10 minutes	Round 2—Communicate and Complete Assignment
10 minutes	Large Group Discussion
40 MINUTES	TOTAL TIME (includes transition time)

Distribute two bags of identical Lego® pieces to each participant (one to make their own object, the other to try to reproduce their partner's object).

Have participants begin creating their objects. After 5 minutes, tell them to “fix” the design and plan how to instruct others in building it (using the planning space on page 16 of the *Participant Guide*).

Call time after 5 minutes and divide the group into pairs. Participants who were sitting next to each other should not be partners, if possible. Have participants begin Round 1 (page 16 of the *Participant Guide*).

One person in each pair instructs the other in how to build their structure. When you call time, they should check their structure against the original in the bag. After Round 1, tell participants to check how well the communication steps were followed.

Have participants reverse roles and begin Round 2 (page 18 of the *Participant Guide*), including the check.

## Exercise 3-1: Communicating an Assignment

### Instructions: Individual Work

1. Using all the Lego® pieces contained in one of your bags, create any object(s) of your choice. Be creative!
2. When the object is completed, take a few moments to plan how you would instruct someone else to create your object. Describe what the object should look like and the steps it will take to achieve that result. Refer to the steps for communicating assignments as a guide.
3. Pretend this object is important to the success of your work unit and develop a statement linking the creation of the object to a larger purpose.
4. Hide the object you created in the bag. Only show it *after* your partner has finished trying to make it from your instructions. (Use the loose pieces in your other bag to try to make your partner's object.)

### PLANNING SPACE

## **Exercise 3-1: Communicating an Assignment (concluded)**

### **Instructions: Work with Partner**

1. Decide with your assigned partner who will be the leader for Round 1.
2. Using the behaviors of the Instruct Strategy, communicate the assignment to your partner and check his or her understanding of the assignment. Have your partner complete the assignment as instructed.
3. After Round 1, take a few minutes to check how well the steps were followed.
4. Reverse roles and repeat the process in Round 2, including the check.
5. Success in communicating the assignment will be determined by the successful recreation of the objects (compare by showing the original object you hid in your bag).

### Exercise 3-1: Communicating an Assignment (concluded)

**DO:** When participants are finished, facilitate a large group discussion on the use of the Instruct strategy when communicating an assignment. If any participants create an unusual object or communicate an unusual purpose for their objects, ask for volunteers to share their results with the large group.

Next, pose the following questions:

**ASK:** *What are some challenges in using the Instruct strategy when communicating assignments to a C1-level employee?*

Possible responses include:

- Time
- Have to know what you want; easier to react to what you *don't* want
- May not be an expert in task

Discuss participants' responses, then discuss strategies for overcoming these challenges. For example:

- The time spent correcting or redoing work can be applied toward planning.
- Experts in a particular task can be groomed to direct others.

**ASK:** *What role did feedback play in the exercise? Was it essential to success?*

Possible responses include:

- The employee needed ongoing feedback
- Instructions are not clear enough on their own
- The leader doesn't necessarily know what the performer needs to know until observing performance, so...
- Communicating an assignment is *interactive*; feedback goes both ways continually

**ASK:** *Are employees limited by the quality of their feedback?*

Possible responses include:

- In the Lego® exercise, it seemed like the biggest problem was the leader's ability to give clear instructions and feedback.
- Often, employees lack sufficient feedback about how they are doing.

**ASK:** *Could you, in hindsight, have designed your instructions or even the object itself to be easier for your partner to make?*

Possible responses include:

- Some of the instructions—and objects—seemed unnecessarily complicated
- You might break the construction into simple steps
- Leaders have more ability to *design* tasks than they usually realize

## Managing Feedback

- TELL:**
- No matter how well you communicate a task, employee performance will be sub-optimal without useful feedback.
  - Feedback is information about performance that...
    - Lets the employee judge accurately and frequently how he or she is doing.
    - Helps the employee see how to perform better.
    - Makes the employee want to improve.
    - Makes the employee feel good when he or she performs well.
  - If employees don't get clear, specific feedback that shows them how to improve, you might need to redesign measures of performance or improve the ways such measures are reported or interpreted.
  - Sometimes performance issues are best addressed by *working on the feedback instead of the employee*.

**DO:** Use the following questions to lead a discussion about feedback.

**ASK:** *Was feedback from your partner necessary or helpful in reproducing the Lego® object in the exercise you just completed?*

**ASK:** *Could the feedback have been made more useful? How?*

Possible answers include:

- There could have been more feedback
- Feedback needed to be clearer, more specific, not just "good" or "bad" but what is *specifically* right or wrong
- More positive, encouraging; which parts are right and should be kept

**ASK:** *Can anyone share an instance where feedback or lack of feedback affected their task performance?*

## Managing Task Structure

- TELL:**
- When performance is inadequate, *it is sometimes because of the task, not the person!* Leaders need to keep one eye on the tasks themselves to see if they could be the source of problems or opportunities.
  - You might need to modify *the task itself* to optimize present or future performance. People will never do poorly-designed tasks very well.
    - If a task lacks meaning and interest, add to it. Let employees complete a fuller, more whole step or piece of the work.
    - If employees don't make any decisions or have any control, can you give them more choices or responsibilities in deciding how best to do their work?
    - If a task is inefficiently designed, can you engage employees in making the work process more rational and efficient?
  - As you make such changes, check that the employee is not confused, anxious, or over-stretched by the task requirements. If so, add more instruction or support to keep the task “doable.”
  - Redesigning or adjusting a task to make it more likely that the employee will do it well is a potentially complex challenge. You may not have the skill or time to pursue it in depth with every employee; but you should always remember it is a valuable option for the Instruct strategy.

## Summary and Transition

- SHOW:** Show Slide 3-4 and summarize the key points of the module.

**Instruct Strategy: Summary**

- The Instruct strategy is used with C1 employees who, for whatever reason, are not capable of doing the task perfectly
- The Instruct strategy focuses mostly on the employee's *performance*
- Sometimes feedback or task design needs to be improved

3-9

- TELL:**
- The Instruct strategy is used with C1 employees not capable of doing a task perfectly. Instruct focuses primarily on an employee's *performance*.
  - Sometimes, feedback or task design needs to be improved before the employee's performance can be improved.

**SHOW:** Show Slide 3-5 and conclude the summary of key points.

**Instruct Strategy: Summary  
(concluded)**

- Assignments need to be communicated fully and clearly using **What, Why, How, Check, and Encourage**
- The leader makes sure the employee knows the what, why, where, when, and how of the assignment

3-5

- TELL:**
- Assignments must be communicated fully and clearly, using *what, why, how, check, and encourage*.
  - Make sure employees know the what, why, where, when, and how of the assignment.
  - We'll now look at the Coach strategy. Coaching requires the use of more supportive, performer-focused behaviors, including additional approaches to providing feedback.

**DO:** Have participants turn to pages 19 and 20 in the *Participant Guide* and explain that there will be a Notes page (or pages) at the end of each leadership type module that will present key points of the topic.

# Module 4: When and How to *Coach* Your Direct Reports

## Preparing for Training

This module focuses on the Coach strategy of leadership. There are six objectives for this module. Participants will:

- Objective 1:** Identify the differences between the Instruct and Coach strategies.
- Objective 2:** Practice using three levels of listening
- Objective 3:** Identify how to build employee participation by asking for input.
- Objective 4:** Practice giving positive and constructive feedback—two important tactics to use when implementing the Coach strategy.
- Objective 5:** Recognize situations in which normal leadership strategies may not apply due to serious performance issues, and review appropriate responses.
- Objective 6:** Learn how to help employees “stretch” to meet high expectations for their performance potential.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easels (for instructor and table groups)
- Markers in a variety of colors (for instructor and table groups)
- Koosh™ ball

## Introduction to the Coach Strategy

- TELL:**
- In the last module, we looked at the Instruct strategy, which is used when an employee is unable to perform a task well. The leader's goal is to provide the instruction the employee needs to complete the task, thus developing the employee's competence.
  - In this module, we'll examine Coaching, which requires the use of more supportive behaviors.
  - You'll learn when to coach as well as learn and practice several helpful tactics: listening, asking for input, and giving positive and constructive feedback.

**SHOW:** Show Slide 4-1, *Coach Strategy*.

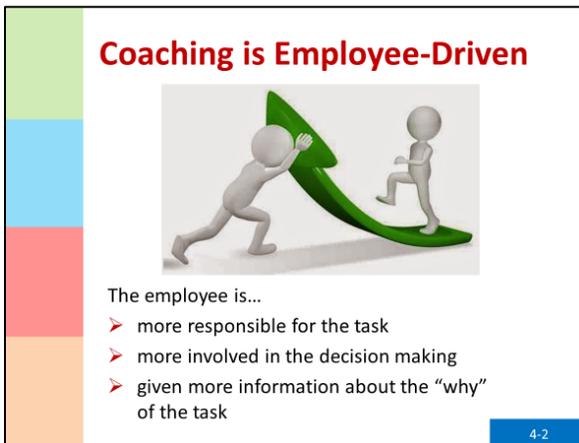


- TELL:**
- The Coach strategy is used when the employee's level is C2.
  - As with a C1 employee, the person's ability is often relatively low in relation to the task. He or she is still learning and gaining competency and self-sufficiency.
  - Unlike the C1 employee, however, the person also has some attitude issues and may lack confidence or motivation to perform the task.
  - The leader's goal is to continue to build competence and bring the person along toward proficiency. The leader does this by guiding performance, as well as encouraging and positively reinforcing the employee's efforts.

**DO:** Have participants turn to page 22 in the *Participant Guide* and explain that these are the cases from the SLTA assessment that are about to be referenced. As you present the examples, give participants enough time to look over the other options for each case.

- TELL:**
- Some examples of the Coach strategy from the Strategic Leader cases include:
    - Case 5, Response A: Supervise her work more closely, but also apologize and try to be encouraging.
    - Case 9, Response C: Spend time with him going over the form and helping him fill it in, and also take advantage of the time together to learn more about how he is feeling toward his work.
    - Case 14, Response A: Give them a break and encourage everyone to relax and get ready for another try, then stand by and have them ask you questions whenever they get confused.

**SHOW:** Show Slide 4-2, *Coaching is Employee-Driven*.



- TELL:**
- Whereas Instructing is leader-driven, coaching is often more employee-driven. The employee
    - Becomes more responsible for the task, seeking guidance and assistance from the leader.
    - Becomes more involved in the decision making necessary to perform the task.
    - Is given even more information about the “why” of the task to develop understanding and commitment to it.
  - Coaching uses informative behaviors which are needed to continue to build competence in performing a task, and encouraging behaviors, such as positive reinforcement and having the employee become more involved in the decision-making process to strengthen confidence and motivation.

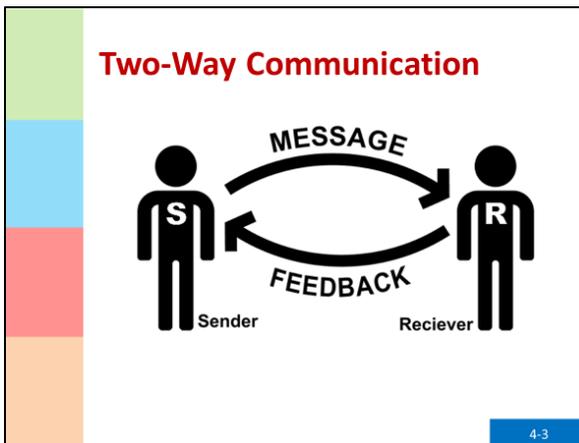
**DO:** **ASK:** *Who can give an example of coaching? What was the outcome?*

Provide feedback as necessary, then offer the following analogy.

- TELL:**
- Consider an example of teaching someone how to drive a car. Coaching is the point when the instructor designs a practice trip and lets the new driver drive it. However, the instructor also stays alert to the needs of the new driver and offers help or answers questions as needed.
  - At the end of the driving session or whenever a good learning opportunity arises, the instructor gives feedback on how well the driver is performing.
  - Coaching is appropriate when the employee has gained some competence in the task, but needs to refine his or her skills in order to work independently.
  - “Seasoned” employees may also require coaching to build their competence and provide reinforcement when they are faced with new assignments, tasks, or systems.

### Three Levels of Listening

- SHOW:** Show Slide 4-3, *Two-Way Communication*.



- TELL:**
- Two-way communication is central to coaching: the leader gives assignments and provides guidance and feedback, and the employee asks questions and seeks advice from the leader.
  - The leader is building a trusting relationship with the employee, finding out about the person’s strengths, their motivational needs, and any “individual differences” that must be taken into account.
  - Likewise, the employee is learning more about the leader, too, becoming more comfortable about asking questions and seeking advice.
  - Listening is one of the key tactics used in the Coach strategy. Think about the impact of being listened to or not being listened to.

**DO:**      **ASK:** *How do you know when you are not being listened to? How does that affect you?*

*How do you know when you are truly being listened to? How does that affect you?*

Acknowledge participants' responses and write them on the flipchart under the headings:

NOT LISTENED TO

LISTENED TO

- TELL:**
- We talked about how you felt when you were not listened to and how you felt when someone *did* listen to you.
  - Effective listening:
    - Encourages employees to share information and feelings,
    - Allows you to check your understanding of employees' information and feelings, and
    - Helps build trust and positive relationships.
  - Now we're going to look at the three different levels of listening.

**SHOW:** Show Slide 4-4, *Three Levels of Listening*.



- TELL:**
- There are three levels of listening, beginning with non-verbal behaviors and building toward understanding the content of what a person is saying and the feelings behind their words.

**SHOW:** Show Slide 4-5, *Attentive Listening*.

**Attentive Listening**

Actions that show you are paying attention:

- Saying “yes” or “uh huh”
- Nodding
- Maintaining eye contact
- Leaning toward speaker

4-5

**TELL:**

- The first of these levels is **Attentive listening**, which is the most basic level of listening. The listener exhibits that he or she is paying attention by saying “yes,” “uh huh,” nodding, maintaining eye contact, and other such mannerisms.

**SHOW:** Show Slide 4-6, *Responsive Listening*.

**Responsive Listening**

Involving yourself in the communication:

**Paraphrasing...**  
“If I understand you correctly, you’re saying...”

**Clarifying...**  
“Did you say...?”

**Summarizing...**  
“So you will be creating a new procedure?”

4-9

**TELL:**

- The second level, **Responsive listening**, is a higher level of listening than attentive listening. It requires the listener to involve him- or herself in the communication more overtly, such as by paraphrasing, asking clarifying questions, and summarizing what the person has said.
- Paraphrasing is restating *briefly* and *in your own words* what someone has said.
- When the speaker hears you restate what they said, it helps them feel listened to and encourages them to expand on what they were saying. It also helps you confirm what the other person said before you react.
- A useful way of paraphrasing is to begin your statement with the words “*You’re saying...*”

- TELL:**
- Don't "parrot back" what the person said, but use their own words to reflect the gist of the message. The paraphrase should be brief.
  - The purpose of paraphrasing is to check your understanding of what the speaker said, **not** to tell them what they think. If they don't seem to agree with your paraphrase, give them another chance to explain what they mean.

- DO:** Conduct a quick demonstration of paraphrasing:
1. Ask a volunteer to make a short statement about how the class is going so far and have him or her throw the Koosh™ ball to you.
  2. Paraphrase the statement by starting with the words "You're saying..."
  3. Explain that you will make a statement and throw the Koosh™ ball to someone else to paraphrase, who will then make a statement about the course and throw the Koosh™ ball again.
  4. Continue play for four or five turns.

**ASK:** *Is it difficult for leaders to avoid challenging their employees by disputing or correcting what they say? Why?*

Possible answers include:

- A leader's position of authority might make the leader and the employee feel that the leader should always be the expert.
- Sometimes leaders react defensively. They have feelings too!
- It takes emotional maturity and practice to be a good listener.

**SHOW:** Show Slide 4-7, *Empathic Listening*.

**Empathic Listening**

Listening for and reflecting the speaker's feelings and emotions is *empathic* listening.

**Examples:**

*"It sounds as if this has been difficult for you."*

*"You seem pretty excited about the project!"*

4-7

- TELL:**
- **Empathic listening** is the third and highest form of listening.
  - The listener not only uses attentive and responsive listening, but attempts to listen for feelings and emotions often not verbally communicated by the speaker.
  - Empathic listening means reflecting any emotion you might discern from an employee, as well as reflecting when there seems to be a lack of emotion.
  - Emotions do not have to be extreme in order to be noticed. As you get to know your employees and their unique differences, discerning their emotions will become easier.

**DO:** **ASK:** *What benefits do listening skills have for leaders?*

Possible responses include:

- Help them get more information before they jump to conclusions and react inappropriately.
- Help them get a better understanding of a problem or issue so that they can make better decisions about what to do.
- Help to build trust in employee relationships, increasing chances of people wanting to talk with the leader again.

**ASK:** *Think for a moment about your own listening habits and skills. Do you ever find people saying, “You’re not listening to me!”*

Acknowledge responses.

Summarize by saying that we frequently misperceive our own ability to listen effectively. All too often, our self-perceptions are out of sync with what others think.

### Exercise 4-1: Using Listening Skills

**DO:** Transition to the exercise by telling participants they will now practice using the three levels of listening with a partner.

Refer participants to Exercise 4-1: *Using Listening Skills* on page 23 of the *Participant Guide*. Have them read the instructions.

Have participants pair up. If there is an odd number of participants, have one group work as a triad. (The third person helps each of the others with the listening role.)

Emphasize that the role of the listener is to *listen* attentively, responsively, and empathically. **Listeners should not talk about themselves or offer advice.**

Have participants begin. Walk around to the different groups to observe the interactions.

After 5 minutes, call time and tell partners to switch roles.

After another 5 minutes, tell participants to give feedback to each other on their listening skills.

**DEBRIEF:** Use the following questions to debrief the exercise:

**ASK:** *When you were the speaker what was it like to be really listened to?*

Possible responses include:

- Felt I was really heard and understood
- Made me “open up” more
- Helped me clarify my own thoughts and feelings

**ASK:** *When you were the listener, what was it like to use attentive, responsive, and empathic listening?*

Possible responses include:

- Difficult
- Unnatural, “forced”
- Helped me better understand the person

Acknowledge responses and provide feedback based on your observations.

**TELL:** Listening is a learned skill. Although it can feel awkward and difficult at first, with practice, each of us can improve our ability to listen effectively to others. Practice these skills at work, at home, and in other settings.

**DO:** Use the following questions to continue the discussion:

**ASK:** *Why is listening rarely done well by managers?*

Possible responses include:

- Tradition
- Position of power
- Feeling that you have to dominate the interaction
- Not interested
- Don’t realize what the employee thinks and feels is important; affects performance

**ASK:** *What keeps you from listening well—what is your biggest barrier?*

Possible answers include:

- Impatience
- Habit
- Thinking about other things; not paying full attention
- “People don’t listen to me”

## Exercise 4-1: Using Listening Skills

### Instructions

1. Choose a partner. Decide which one of you will be the first speaker.
2. The *speaker* will select a topic (a major accomplishment he or she has achieved) and talk for 5 minutes.
3. The *listener* will use attentive, responsive, and empathic listening:
  - Attentive listening includes saying “yes,” nodding, maintaining eye contact, etc.
  - Responsive listening means paraphrasing, asking clarifying questions, and summarizing.
  - Empathic listening means sensing and reflecting the feelings and emotions being conveyed by the speaker.

All you should do as the listener is use the listening skills. Do not interject your ideas or talk about yourself.

### Possible Discussion Topics:

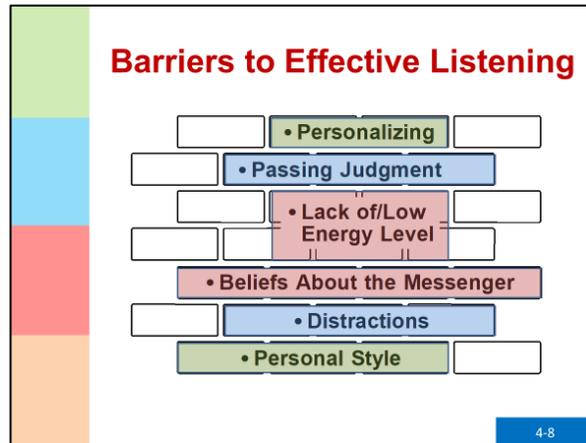
- A major accomplishment you have achieved, either professionally or personally.
  - Challenges or fears involved with this accomplishment.
  - How you felt afterwards. Did it change anything?
  - Is it at all embarrassing to talk about your personal accomplishments?
4. After 5 minutes, switch roles and repeat.
  5. Give each other feedback on how well each of you used the three listening skills.

**TIP:** The listener is *helping* the other person think, feel, and talk about their subject.

## Barriers to Effective Listening

**DO:** **ASK:** *What are some barriers to effective listening you have experienced?*

**SHOW:** Show Slide 4-8, *Barriers to Effective Listening*.



- TELL:**
- There are many barriers to our being able to listen effectively. Barriers can be internal (coming from within us) or external (coming from the environment).
  - We need to be aware of the barriers that prevent us from listening well and take steps to overcome them. Some common barriers are:
    - **Personalizing.** We often put our own feelings or experiences into what is being said (e.g., “*That happened to me, too.*”).
    - **Passing judgment.** We become critical of the person or his or her handling of the situation. (Do managers do this more often because of their position of power?)
    - **Lack of energy/low energy level.** We may be “down” and not feel like listening. (Yet taking an interest in others and being helpful often “recharges” us.)
    - **The Messenger.** There are people we don’t care to listen to. For instance, we’ve heard their “spiel” before so we tune them out, we are “put off” by the way in which they communicate, or we don’t think they’re credible.
    - (But if an employee is productive enough to stay in his or her job, then their manager has an interest in helping by using listening skills. If the employee talks too much about negative or irrelevant topics, the manager can use *focusing* skills, directing the employee politely to thoughts and feelings about performing the work.)
    - **Distractions.** These include letting our minds wander during a conversation and being distracted by noise, interruptions, how we are feeling physically, and so on.
    - **Personal style.** Our own personal style may get in the way, especially if it differs from the style of the other person.

**DO:** Ask participants for examples of barriers they experienced during the exercise they just completed.

Explain that listening is an important coaching skill. Being aware of the barriers that prevent us from listening well is the first step toward becoming more effective listeners.

### Asking for Input

**TELL:**

- In addition to listening, the Coach Strategy uses two other behaviors to demonstrate support and strengthen the employee's commitment: *asking for input* and *providing feedback*.

- Asking for input encourages employees to become more involved in decision making.

**DO:** **ASK:** *How many of you have been asked for your input, but felt that it was not really wanted? What gave you that feeling?*

Acknowledge responses, noting any that had been asked for input in a non-supportive manner.

**TELL:**

- You ask for input by asking questions. Asking questions, however, can seem directive if not asked in a supportive way.

**DO:** **ASK** participants who state they were asked for input in a manner that made them feel their input was not really wanted:

*How could the individual asking for input have phrased the request in a way that made you feel your input was genuinely wanted?*

Respond as appropriate.

Illustrate the difference between asking for input in a non-supportive versus a supportive way by posing the following questions:

*[Say with a confrontational tone of voice]*

"Well, how do you suggest we do that?"

*[Say with a non-confrontational, inquisitive tone]*

"What ideas do you have on how that might be done?"

**ASK:** *What differences do you hear between the way these two questions were asked?*

Possible responses include:

- The first sounded confrontational, sarcastic, as if you didn't actually want the input.
- The second sounded as if you were genuinely interested.

- TELL:**
- Using an inquisitive tone of voice can help convey your genuine interest in the person's input.
  - Employees who are not accustomed to being asked for their input may be mistrustful or suspicious at first, so special care needs to be given to how the questions are asked.
  - Using open-ended questions can also help convey your genuine interest in the person's input.

**DO:** Lead a discussion about asking questions.

**ASK:** *What are open-ended questions?*

**Answer:** Those requiring more than a simple “yes” or “no” answer.

**ASK:** *What kind of question did I just ask?*

**Answer:** An open-ended question.

**ASK:** *Suppose I had asked [say in an interrogating way], “Do you know what an open-ended question is?” What is the difference in the way that makes you feel?”*

A possible response would be: like you are doubting our knowledge, testing us, etc. It puts you on the spot to say “yes” or “no”.

### Giving Feedback

- TELL:**
- Providing feedback is another important supportive behavior used in coaching.
  - Feedback is information about behavior that allows people to know how they are doing, as we saw when we discussed the Instruct strategy. However, feedback also has emotional impact and can help raise confidence and build motivation.
  - Let's consider feedback from a more personal perspective.

**ACTIVITY: Individual Feedback**

**DO:** Refer participants to the *Individual Feedback Activity* on page 24 of the *Participant Guide*. Have them read the instructions and complete the page.

Allow approximately 5 minutes.

When participants have finished, tell them they will refer to this page later in the module.

- TELL:**
- The main thing to keep in mind when faced with a feedback situation is the outcome you want:
    - Do you want the employee’s behavior to continue or to stop?
    - What is the impact you want to make on the employee’s level of confidence in doing tasks and their overall feelings about it?
  - Let’s look at several feedback options.

**SHOW:** Show Slide 4-9, *Basic Feedback Options*.

**Basic Feedback Options**

- Option 1. Positive Feedback:** Increases the likelihood behavior will continue
- Option 2. Constructive Feedback:** Increases the likelihood behavior will stop or change
- Option 3. Negative Feedback:** Hurts feelings and motivation
- Option 4. No Feedback:** Makes the outcome uncertain

4-9

**DO:** **ASK:** *Which of these options is most common in the workplace? (Allow time for participants to read each option.)*

Possible answer:

- Probably Option 4—most employees don’t get enough feedback.

## Individual Feedback Activity

In the last module, we focused on the informative use of feedback to improve task performance. Now we will focus on how people *feel* about their feedback.

### Instructions

1. Think about feedback you have received recently, either complimentary or critical, based on something you did. In the space below, write down the feedback statement. Try to capture, as closely as possible, how it was expressed to you, using exact words, if possible. It will be for your personal use later in this module. You won't be required to share it with others in the class.

**Feedback Statement:**

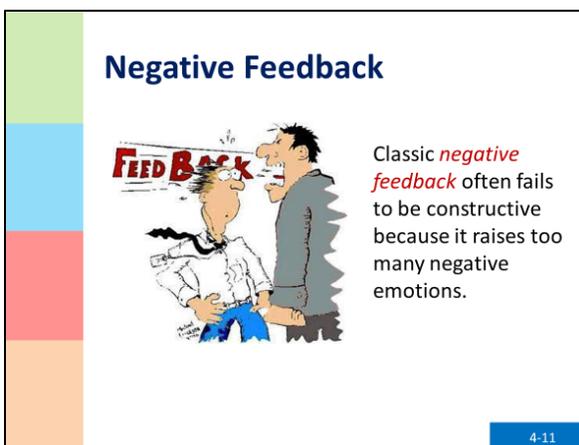
2. Jot down the circumstances under which you received this feedback.
  - When did you receive the feedback (e.g., immediately following what you did, a day later, weeks later)?
  - Did you receive the feedback in front of others or in private? How did the social context make you feel?
3. Overall, how did you feel about the feedback? Try to name any emotions or feelings it may have produced. (Did the feedback have an emotional impact?)

**SHOW:** Show Slide 4-10 on *Desirable* and *Undesirable* behavior.



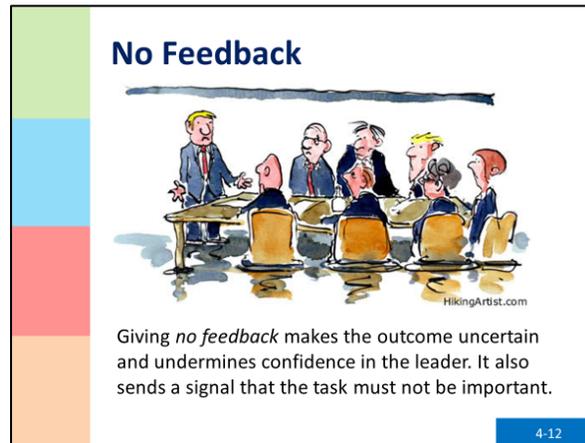
- TELL:**
- If the employee's behavior is ***desirable***, then provide ***positive feedback*** to increase the likelihood that the behavior will continue. It will also boost the employee's confidence and motivation.
  - If the employee's behavior is ***undesirable***, then provide ***constructive feedback*** to increase the likelihood that the behavior will stop. Given effectively, constructive feedback will maintain the employee's self-esteem while helping them become more competent and confident.

**SHOW:** Show Slide 4-11, *Negative Feedback*.



- TELL:**
- Classic ***negative feedback*** often ***fails to be constructive*** because it raises too many negative emotions. The employee may feel angry toward the leader, may lose confidence, or may decide he or she doesn't like the task. That is why leaders need to make an effort to deliver "bad news" in a helpful, sensitive manner.

**SHOW:** Show Slide 4-12, *No Feedback*.



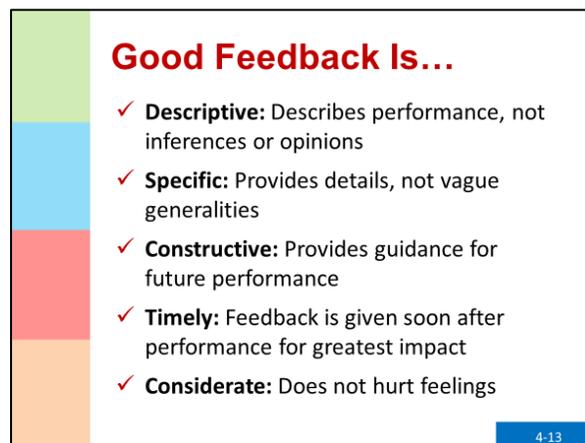
**No Feedback**

Giving *no feedback* makes the outcome uncertain and undermines confidence in the leader. It also sends a signal that the task must not be important.

4-12

- Giving ***no feedback***—that is, ignoring the behavior whether it is desirable or undesirable—makes the outcome uncertain and undermines confidence in the leader. It also sends a signal that the task must not be important.
- The problem with ignoring behavior is that the behavior may or may not continue.
- People may set their own feedback mechanisms and performance standards, which is good—*if* they do it correctly.
- However, employees' behavior and the standards set by employees may be at odds with what you desire, so it is better to be involved.
- Feedback is a critical tool for leaders. They need to provide feedback on desirable and undesirable behavior in order to shape the employee's performance and address issues of confidence and motivation.

**SHOW:** Show Slide 4-13, *Good Feedback Is...*, and present the characteristics of good feedback.



**Good Feedback Is...**

- ✓ **Descriptive:** Describes performance, not inferences or opinions
- ✓ **Specific:** Provides details, not vague generalities
- ✓ **Constructive:** Provides guidance for future performance
- ✓ **Timely:** Feedback is given soon after performance for greatest impact
- ✓ **Considerate:** Does not hurt feelings

4-13

- TELL:**
- Good feedback should be:
    - **Descriptive**, focusing on describing the behavior, avoiding inferences and opinions. It should *not* label the performer.
    - **Specific**, providing details about the behavior and *not* vague generalities.
    - **Constructive**, providing guidance as to future performance desired so that the employee knows what to do “next time”.
    - **Timely**, being as close to the performance as possible so that it is meaningful to the person and can be integrated into future performance as soon as possible.
    - **Considerate**, delivered in a time, place, and manner designed to help the employee process emotional reactions and avoid feelings that could make the feedback negative (as opposed to constructive).
  - You will now have the chance to evaluate the individual feedback statement you recorded earlier in terms of the characteristics of good feedback.

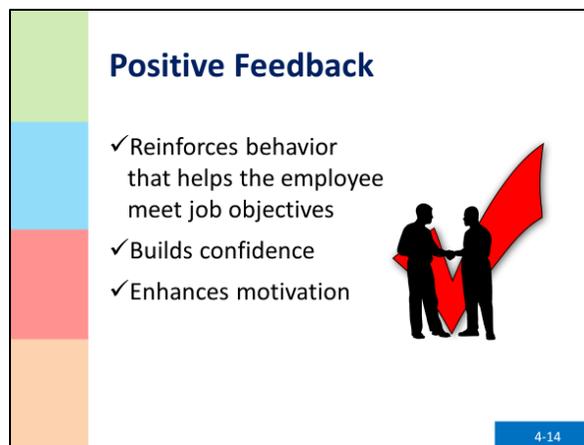
**DO:** Have participants turn back to the *Individual Feedback Statement* they recorded on page 24 of the *Participant Guide*.

**ASK:** *Did the feedback you received meet or not meet the five criteria?*

Have volunteers give examples of how their feedback statement met or did not meet the criteria of effective feedback and how the feedback made them feel.

## Giving Positive Feedback

**SHOW:** Show Slide 4-14, *Positive Feedback*.



- TELL:**
- As leaders, you are responsible for the performance and development of your employees. Providing positive feedback—letting employees know what they are doing well—enables them to maintain appropriate behavior and strengthens their confidence and motivation.
  - As we said earlier, you can give positive feedback or constructive feedback, depending on the outcome you want to achieve.
  - If the employee's behavior is desirable, then providing positive reinforcement will increase the likelihood that the behavior will continue.
  - Effective positive feedback reinforces behavior that helps the employee meet job objectives. It also builds confidence and enhances motivation.
  - Your intention in giving praise is to shape the employee's behavior by providing positive consequences when the behavior is desirable.
  - Because you are shaping behavior, it is important to give positive feedback along the way, not just when the task is completed. This keeps the employee working in a positive direction.
  - Once the employee has mastered a task, positive feedback is still important in order to maintain motivation.
  - You want to make sure that satisfactory work remains so, and encourage excellence when it occurs. Positive feedback is the key to maintaining and enhancing positive behavior.
  - When you give positive feedback, acknowledge the employee's demonstration of ability or willingness. Make simple statements that communicate your satisfaction. Tell them what you liked and why you liked it.

**DO:** Use the following questions to lead a discussion about barriers to giving positive feedback.

**ASK:** *What has your experience been in this organization with getting or giving positive feedback? Is it done? Why don't leaders provide more positive feedback?*

Write participants' responses on the flipchart and discuss.

Possible responses include:

- Fear about being seen as "soft"
- Unsure about what to say
- Too busy
- Not supported in the culture
- Good work is expected; people shouldn't expect thanks for doing their job

**ASK:** *Why is it important to overcome these barriers to giving positive feedback? Is this important to a high-performance climate?*

Discuss participants' responses.

## Giving Constructive Feedback

- TELL:**
- Now, let's turn our focus to using **constructive feedback**.
  - We've been talking about using positive feedback to reinforce desirable behavior. However, when you are **not** getting the behavior you want from your employees, other approaches are needed.
  - The most important tool to discourage the recurrence of undesirable behavior is to use **constructive feedback**.
  - When used properly, constructive feedback can help you reduce or eliminate undesirable behavior while maintaining the employee's self-esteem.
- SHOW:** Show Slide 4-15, *Ineffective Responses to Undesirable Behavior*, and discuss the five **ineffective** responses to undesirable behavior—what **not** to do.



- TELL:** Let's take a look at each of these ineffective ways to respond to undesirable behavior.
- **Avoiding Confrontation:** Sometimes, we are afraid to confront a problem head on and “save up” our complaints instead. Avoiding confrontation is ineffective, however, because the chances that performance will improve without rapid intervention are small.
  - **Overreacting:** Yelling or stripping away responsibilities may be a common response. Removing the person is an extreme example of overreacting and sometimes leaders make threats they regret later on. Have you ever done this?
  - **Complaining:** Complaining to others about the person should not be confused with seeking advice from others about the problem. Seeking advice can be a helpful strategy for preparing to deal with the problem.
  - **Lecturing:** Lecturing may feel like you're doing something about the problem. However, it's a big “turn off” for the employee. It also has little chance for successfully resolving the problem.
  - **Padding:** Sugar coating or padding criticism makes it less clear. It also makes employees flinch next time you give them positive feedback, since they will suspect you are not sincere.

**SHOW:** Show Slide 4-16, *Giving Constructive Feedback*.

**Giving Constructive Feedback**

Let the employee know:

- ✓ What *specific* behavior or result you don't like and why
- ✓ What you *want* and the benefit

**Examples:**

- ✓ *"I'm not happy that the project reports are a day late. This gets everyone off schedule and we miss our deadlines."*
- ✓ *"Don't do as much review of the project once it is basically finished. This will enable us to meet our schedules and deadlines and it will be less review work on your part."*

4-22

- TELL:**
- Giving constructive feedback is somewhat similar to giving positive feedback as it is important to give constructive feedback in a supportive way.
  - The steps to constructive feedback are designed to help you maintain the employee's self-esteem and preserve a positive relationship between you and the employee.
  - Although giving constructive feedback is informative and performance-focused, you must exhibit considerate, performer-focused behaviors as well.
  - Here are some tips to help you give constructive feedback in a supportive way.

**SHOW:** Show Slide 4-17, *Constructive Feedback Tips*.

**Constructive Feedback Tips**

- ✓ Build a working relationship that facilitates open communication—talk often.
- ✓ Balance with positive feedback.
- ✓ Balance with positive feedback.
- ✓ Prepare for the interaction (plan).
- ✓ Consider how to deal with the employee's reactions.
- ✓ Ensure privacy and a non-threatening setting.

4-17

**TELL:** **TIP: Build a working relationship that facilitates open communication.**

- Lay the groundwork for giving constructive feedback by developing a positive relationship with the employee. The employee can then view both positive feedback and constructive feedback as methods for helping himself or herself achieve effective performance.

- Building a positive relationship involves:
  - Taking time to get to know the person
  - Communicating your expectations for two-way communication
  - Providing positive feedback when it is deserved

**TIP: Prepare for the interaction.**

- Think through the interaction and how you will cover each of the steps.

**TIP: Consider the employee's reaction and how you will respond to it.**

- If the employee reacts with strong emotions, you can use listening skills, especially empathic listening, to help you defuse those strong feelings.
- Keep your emotions in check during the interaction. If necessary, hold off approaching the employee until you are in control of your emotions.

**TIP: Balance constructive feedback with positive feedback.**

- Provide a balanced picture of the employee's performance, conveying the positive elements of the person's work. This will make the employee more receptive to constructive feedback and will maintain their self-esteem.
- Give positive feedback first before giving constructive feedback. However, avoid saying, "This is good, but..." The employee may perceive this as a "setup" for hearing bad news.

**TIP: Ensure privacy and a non-threatening setting.**

- Give feedback in a private, non-threatening setting to avoid embarrassing the employee. Plus, you can't be sure what the employee's reaction might be.

**DO:** Use the following questions to lead a discussion on giving feedback:

**ASK:** *How many of you had some kind of emotional reaction to your personal feedback in the earlier exercise?*

*Were some of the feelings or responses negative, distracting, or uncomfortable for you?*

*Would these constructive feedback tips help employees manage their emotional reactions to negative feedback?*

Discuss responses.

**Exercise 4-2: Feedback Role-Plays**

**DO:** Have participants turn to Exercise 4-2 on page 25 in the *Participant Guide* and explain they will now have an opportunity to practice using the supportive behaviors in a role-play activity.

Divide the class into triads. Tell participants there are three roles to be assigned: **Leader, Employee, and Observer.** Have each triad determine who will play each role in Round 1. (Add an extra observer to one group, if necessary.)

Tell participants that the primary behaviors the Leaders will practice are giving positive feedback and constructive feedback. Leaders will also practice their listening skills and should take advantage of opportunities to ask the employee for input.

Post the time breakdown for the role-plays on chart paper.

5 minutes	Preparation for Roles
10 minutes	Role-play
5 minutes	Observer Feedback
20 minutes	Total Time per Round
2	Number of Rounds
40 MINUTES	TOTAL TIME

Review the instructions:

- TELL:**
- In this exercise, there will be two rounds of role-playing.
  - Role-play scenarios will be provided for the role of Leader and Employee. The Observer will have a checklist of behaviors to assist in his or her observation.
  - In each round, the Leader will practice giving positive feedback and constructive feedback, listening, and where appropriate, asking for input. The Employee will respond to the communication of the Leader. The Observer will note the use of the supportive behaviors by the Leader and the effects on the Employee.

**DO:** Ask participants if they have any questions before they begin Round 1.

Have participants turn to pages 26 through 29 in the *Participant Guide* and find the role they will play in the role-plays.

Begin Round 1. Walk around and assist triads, if necessary. Call time after 5 minutes of preparation, again after 10 minutes of role-playing, and then after 5 minutes of Observer feedback.

Refer participants to pages 30 through 33 in the *Participant Guide* and have them choose the appropriate roles for Round 2 of the role-play activity.

Begin Round 2. Call times.

Use the following questions to debrief the exercise:

**ASK:**

**LEADERS:** *What was your experience in providing positive feedback?*

**EMPLOYEES:** *How did it feel to receive positive feedback?*

**LEADERS:** *What was your experience in providing constructive feedback?*

**EMPLOYEES:** *How did it feel to receive constructive feedback in a supportive way?*

**OBSERVERS:** *What key things did you notice about the use of the supportive behaviors and the impact on the interaction between Leader and Employee?*

Discuss responses.

## Exercise 4-2: Feedback Role-Plays

### Instructions

1. You will now have the opportunity to practice using supportive behaviors in a role-play activity.
2. There are three roles in this role-play activity: **Leader**, **Employee**, and **Observer**.
3. There will be two rounds of role-playing. Role-play scenarios for Round 1 can be found on pages 26 through 29 of this *Participant Guide*. Role-play scenarios for Round 2 can be found on pages 30 through 33.
4. The Observer will have a checklist of behaviors to assist in his or her observation.
5. In each round, the Leader will practice giving positive and constructive feedback, listening, and where appropriate, asking for input. The Employee will respond to the communication of the Leader. The Observer will note the use of the supportive behaviors by the Leader and the effects of the Employee.
6. After the Leader has completed the role-play, the Observer will review his or her checklist with the Leader. The Employee should participate in this exchange as well.
7. Observers should give the completed checklists to the Leader after giving the feedback.
8. Switch roles and repeat the process for Round 2 and a different role-play scenario.

## Scenario 1: Leader Role

### Background

Your employee, Pat, has been working on the customer satisfaction survey for the last month. Pat has completed the first two tasks of the project successfully: the list of customers has been compiled and entered into the master database with 100 percent accuracy, and the first draft of the survey has been completed by the deadline.

You have just reviewed a draft of the survey. You have noticed that some of the questions on the survey are biased and unclear. It is important that the survey not have any questions on it that either hint at the answers or that might be unclear to the reader.

One of the biased questions in the draft is:

*Most past customer comments about our response time have been unfavorable. Since the improvements to our process, do you agree our response time has improved?*

This question is biased since the reader would be basing his or her response on the evidence supplied that suggests improvements have affected response time. A better question would be:

*Has the response time of our department to your requests changed over the last two months? If yes, how?*

An example of an unclear question in the draft is:

*What impact has the HRWO process had on your requests for service?*

Using abbreviations may be confusing to the customers. A better question would be:

*What impact has the Human Resource Work Output (HRWO) process had on your requests for service?*

Pat was very enthusiastic about the project when it was first assigned, but you sense that Pat has begun to realize the complexity of creating surveys. You feel that Pat needs some additional exposure to the basic rules of survey questions, and you want to show support for Pat's thought and effort demonstrated thus far. You've had a fair amount of experience in survey design. Also, Susan Greene is an expert in survey design and research within the organization's Management Development Group. That group also has an excellent resource library.

You have called a meeting with Pat to provide feedback on the work completed to date on the customer satisfaction project.

## Scenario 1: Leader Role (continued)

### Role-Play Preparation

1. Jot down the *positive feedback* you'd like to give to Pat. Include what you like and why.

---

---

---

---

---

---

2. Jot down what you will say to Pat in the way of *constructive feedback*. Include what you don't like and why, what you *would* like, and the benefits.

---

---

---

---

---

---

3. How will you begin the feedback meeting? What will you say?

---

---

---

---

---

---

4. During the feedback meeting, remember to use the listening skills:

- Attentive listening—e.g., saying “yes,” nodding, maintaining eye contact, etc.
- Responsive listening—paraphrasing, asking clarifying questions, and summarizing
- Empathic listening—reflecting the feelings and emotions being conveyed

5. During the meeting, take advantage of opportunities to ask Pat for input.

## Scenario 1: Employee Role

### Background

You are Pat, an employee who has been given the project of creating a customer satisfaction survey. Thus far, you have successfully completed the first two tasks of the project. You created a master database of all the customers with 100 percent accuracy and wrote a first draft of the survey by the deadline.

Writing the survey was a bit frustrating. Trying to write clear questions was difficult, but you feel you did the best you could.

One question was particularly tricky to write. It had to do with asking customers to evaluate the department's improvements in providing services. You felt that customers needed to know the past data in order to assess the current level of service. Therefore, you wrote the following question:

*Most past customer comments about our response time have been unfavorable. Since the improvements to our process, do you agree our response time has improved?*

Another question you wrote was:

*What impact has the HRWO process had on your requests for service?*

HRWO is an abbreviation your department uses for Human Resource Work Output.

Your supervisor has called you in to discuss the project. Though you feel good about the completed tasks, you are feeling increasingly overwhelmed about the complexity of it all and where to go from here.

## Scenario 1: Observer Checklist

Tally the number of times the leader used coaching behaviors during the role-play. Be prepared to offer an example or two of each in your feedback.

Supportive Behaviors	Tally	Examples
<b>Attentive Listening</b> Used “yes’s” or “ummm’s”; maintained eye contact; leaned toward employee		
<b>Responsive Listening</b> Paraphrased, asked clarifying questions, summarized		
<b>Empathic Listening</b> Made statement acknowledging employee’s feelings		
<b>Asking for Input</b> Used open-ended questions and an inquisitive tone		
<b>Positive Feedback</b> Told what he/she liked and why		
<b>Constructive Feedback</b> Told what he/she didn’t like and why, what he/she would like, and the benefits		

## **Scenario 2: Leader Role**

### **Background**

You are the supervisor of the Warehouse Distribution Department. Chris has been your employee for just a few months, having been transferred from another organization. Chris has some experience with inventory systems and warehouse receivables. You're pleased that Chris has quickly learned the automated Purchase Order Filing System, and you have noticed that Chris has established an excellent rapport with the vendors.

Two weeks ago, you assigned Chris the task of logging in all furniture items purchased from a variety of vendors. Chris was instructed to match the incoming furniture items to the waiting purchase orders and make arrangements for the delivery of the items.

Just after lunch, you received a call from the Human Resource Group inquiring on the whereabouts of a chair they had ordered; it was to have been delivered yesterday. You are surprised because Chris has been delivering inventory on time for the last two weeks. Apparently, the Human Resource Group left a message with Chris first thing this morning to find out about the chairs, but Chris did not return the call. Your department prides itself on customer service; it is very important that customers are kept informed of the status of items they order and are alerted to any delays in delivery.

You suspect Chris may be having some problem matching the style and color codes on the items to the codes on the purchase orders because this particular vendor recently revised its coding structure for some items. You thought these changes had been inserted into the vendor's Product Style and Color Codes book, filed in Don Wood's office.

This morning, Chris seemed a bit frustrated and overwhelmed. You decide to have a talk with Chris. On your way down the hall, you see Chris coming toward you.

## Scenario 2: Leader Role (continued)

### Role-Play Preparation

1. Jot down the *positive feedback* you'd like to give to Chris. Include what you like and why.

---

---

---

---

---

---

2. Jot down what you will say to Chris in the way of *constructive feedback*. Include what you don't like and why, what you *would* like, and the benefits.

---

---

---

---

---

---

3. How will you begin the feedback meeting? What will you say?

---

---

---

---

---

---

4. During the feedback meeting, remember to use the listening skills:

- Attentive listening—e.g., saying “yes,” nodding, maintaining eye contact, etc.
- Responsive listening—paraphrasing, asking clarifying questions, and summarizing
- Empathic listening—reflecting the feelings and emotions being conveyed

5. During the meeting, take advantage of opportunities to ask Chris for input.

## **Scenario 2: Employee Role**

### **Background**

You are Chris, a fairly new employee to the organization. Your job is within the Warehouse Distribution Department. So far, things have been going well. You've learned the automated Purchase Order Filing System and are getting along well with the vendors.

Two weeks ago, you were given the task of matching incoming furniture from a variety of vendors to waiting purchase orders. You recently received a major shipment from the DEF Furniture Company, including a set of chairs for the Human Resource Group. You discovered that the color and style numbers of the chairs did not match any of the codes on the purchase orders in the Purchase Order Filing System. There was a message on your voicemail this morning from the Human Resource Group; their chairs should have been delivered yesterday. But you didn't want to call them back until you had figured out the problem.

It's now just after lunch, and you are on your way to tell your supervisor about the problem. As you walk down the hall, you notice your supervisor coming toward you.

## Scenario 2: Observer Checklist

Tally the number of times the leader used coaching behaviors during the role-play. Be prepared to offer an example or two of each in your feedback.

Supportive Behaviors	Tally	Examples
<b>Attentive Listening</b> Used “yes’s” or “ummm’s”; maintained eye contact; leaned toward employee		
<b>Responsive Listening</b> Paraphrased, asked clarifying questions, summarized		
<b>Empathic Listening</b> Made statement acknowledging employee’s feelings		
<b>Asking for Input</b> Used open-ended questions and an inquisitive tone		
<b>Positive Feedback</b> Told what he/she liked and why		
<b>Constructive Feedback</b> Told what he/she didn’t like and why, what he/she would like, and the benefits		

## Beyond Feedback: Dealing with “Problem” Employees

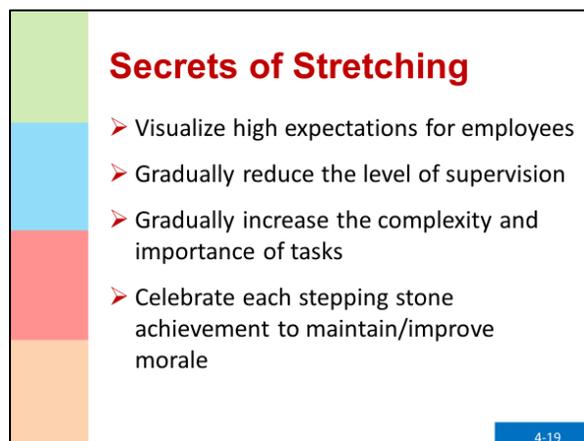
**SHOW:** Show Slide 4-18, *When Not to Lead*.



- TELL:**
- Coaching is for the vast majority of employees who are at least reasonably good performers and will respond to your leadership.
  - The feedback techniques you just practiced are for improving good employees—not for dealing with or disciplining someone who is a major problem.
  - In fact, the entire set of strategic leadership behaviors are for good, “improvable” employees.
  - Extreme examples of low competence and/or poor attitude go “off the strategic leadership grid” and beyond the reach of Coaching.
  - I recommend seeking help from your Human Resource or legal departments if you have “problem” employees because a more formal approach might be required.

## “Stretching” Employees

**SHOW:** Show Slide 4-19, *Secrets of Stretching*.



- TELL:**
- One reason leaders should make the high investment in Coaching, with its focus on both performer and performance, is to help the performer **develop**. When coaching, it helps to have high expectations for the employees so that you are always helping them reach toward higher performance levels.
  - You also have to have an incremental training and development path to reach these high expectations, or they won't come true. Lead in coaching by gradually increasing responsibilities through less direct supervision, harder tasks, or both. Just like athletes or dancers, employees can stretch and strengthen a little bit more each week.
  - This slide presents some of the secrets of stretching the abilities of your employees.

### Exercise 4-3: Helping Employees Stretch Toward High Expectations\*

- DO:** Have participants turn to Exercise 4-3 on page 34 in the *Participant Guide* and review the instructions. **[A Facilitator copy of this exercise is provided on the following page.]**

Give participants 10 to 12 minutes to do this activity at their tables. After 3 or 4 minutes, prompt them to begin sharing their results with others at their table. **For privacy reasons, tell participants not to give the name of the individual they evaluated.**

Then, ask for several examples and use them to illustrate how every employee can be stretched if the leader has (a) high expectations and (b) a gradual, helpful approach to coaching them as they improve.

- NOTE:** \*Based on the finding that “superior managers have greater confidence than other managers in their own ability to develop the talents of their subordinates,” and that this confidence allows them to hold and share high expectations for their employees. (J. Sterling Livingston, “Pygmalion in Management”, *Harvard Business Review*, Jan. 2003, quote from p. 102).

## **Exercise 4-3: Helping Employees Stretch Toward High Expectations**

### **Instructions**

1. Individually, take a few minutes to think of a specific employee and write a description of what they might accomplish in the next five years if they realized their greatest potential.
2. Think of one or two simple things you could do as a leader to help this employee achieve his or her potential more fully. (Make your idea(s) practical and likely to succeed.)
3. Now go around the table, taking turns to describe your vision of this employee's future success and something you can do to help bring it about.

**Notes on an employee's future potential:**

---

---

---

---

---

---

---

---

---

---

**Something simple and practical you could do now to help them achieve that potential.  
(Providing a "stretch" for them.)**

---

---

---

---

---

---

---

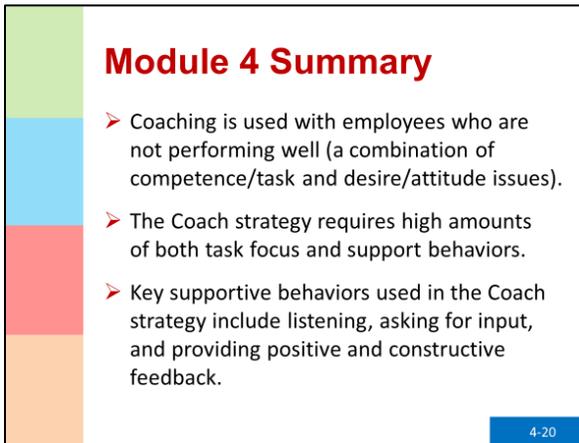
---

---

---

## Summary and Transition

**SHOW:** Show Slides 4-20 and summarize the key points of the module.



**Module 4 Summary**

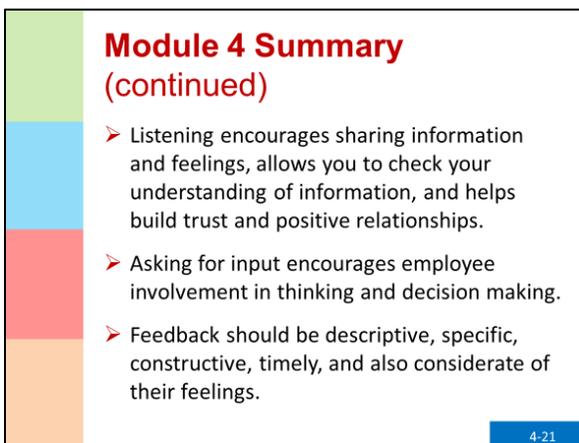
- Coaching is used with employees who are not performing well (a combination of competence/task and desire/attitude issues).
- The Coach strategy requires high amounts of both task focus and support behaviors.
- Key supportive behaviors used in the Coach strategy include listening, asking for input, and providing positive and constructive feedback.

4-20

**TELL:**

- Coaching is appropriate for employees who are not performing well because of competence and desire or attitude issues.
- Coaching requires high amounts of both task focus and support behaviors, including listening, asking for input, and providing positive and constructive feedback.

**SHOW:** Show Slide 4-21 and continue the summary of key points.



**Module 4 Summary (continued)**

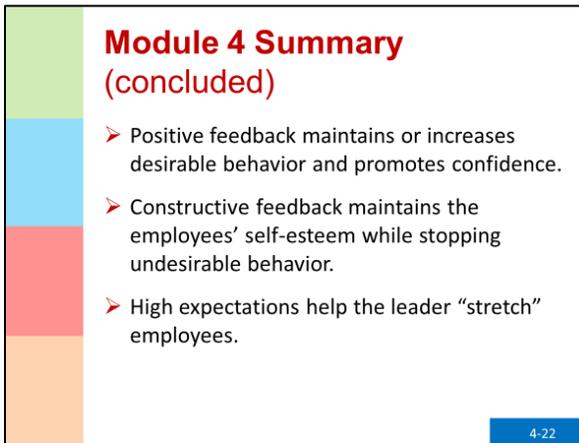
- Listening encourages sharing information and feelings, allows you to check your understanding of information, and helps build trust and positive relationships.
- Asking for input encourages employee involvement in thinking and decision making.
- Feedback should be descriptive, specific, constructive, timely, and also considerate of their feelings.

4-21

**TELL:**

- Listening encourages sharing information and feelings, allows you to check your understanding of information, and helps build trust and positive relationships.
- Asking for input encourages the employee to be involved in thinking and decision making.
- Feedback given to the employee should be descriptive, specific, constructive, timely, and considerate of the employee's feelings.

**SHOW:** Show Slide 4-22 and conclude the summary of key points.



**Module 4 Summary  
(concluded)**

- Positive feedback maintains or increases desirable behavior and promotes confidence.
- Constructive feedback maintains the employees' self-esteem while stopping undesirable behavior.
- High expectations help the leader "stretch" employees.

4-22

- TELL:**
- There are differences between positive feedback and constructive feedback. Positive feedback maintains or increases desirable behavior and promotes confidence.
  - Constructive feedback maintains the employee's self-esteem while stopping the undesirable behavior.
  - A leader's high expectations for an employee will help to stretch the employee's abilities.
  - In the next module, we will look at the third leadership strategy: Relating. This strategy represents a fundamental shift in employee and leader roles. The employee is able to perform the work, while the leader's role is more supportive and less instructional.

# Module 5: When and How to *Relate* to Your Direct Reports

## Preparing for Training

This module focuses on the Relate Coach strategy of leadership. There are four objectives for this module. Participants will:

- Objective 1:** Identify the differences between the Instruct, Coach, and Relate strategies.
- Objective 2:** Identify the factors leading to self-confident, self-motivated performance.
- Objective 3:** Become more aware of how important it is to model polite and considerate behavior in order to create a supportive, considerate climate in which employees will be motivated to participate fully.
- Objective 4:** Practice using the skills for reacting to others' ideas effectively: agreeing, disagreeing constructively, and building on ideas.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easels (for instructor and table groups)
- Markers in a variety of colors (for instructor and table groups)
- Masking tape or push pins
- Koosh™ ball

## Notes to the Instructor

Before you begin this module, prepare flipchart pages on the three reacting skills, as shown on the next three pages (Chart 1, Chart 2, Chart 3).

## ***CHART 1***

**Agreeing is...**

- **Stating WHAT you like**
- **Stating WHY you like it**

***"I like your idea because..."***

## **CHART 2**

### **Disagreeing Constructively is...**

- **Specifying the merits**
- **Specifying your concerns**
- **Exploring alternative ideas**

***"A good point about your idea is...,  
but I am concerned about...  
What do you suggest we might do  
about that?"***

### **CHART 3**

#### **Building on Ideas is...**

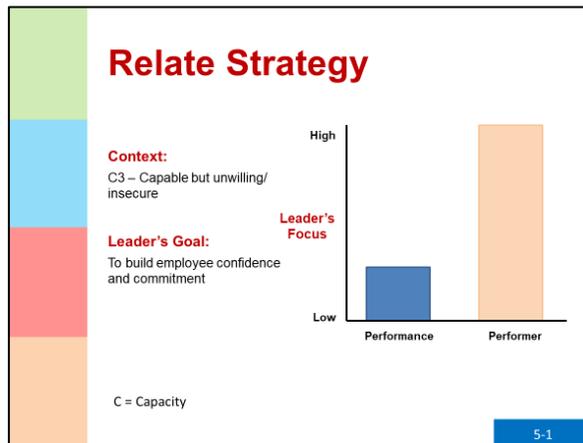
- **Acknowledging the connection**
- **Suggesting other benefits or applications**

***"I like your idea of... because....  
It would also allow us to then...."***

## Introduction to the Relate Strategy

**DO:** Review the Instruct and Coach Strategies. Refer participants to the Strategic Leadership chart on page 42 of the *Participant Guide*.

**SHOW:** Show Slide 5-1, *Relate Strategy*.



- TELL:**
- So far, we have discussed two of the situational coaching styles: Instruct and Coach. In the Instruct and Coach Strategies, the leader is focused on developing the employee's competence.
  - The Instruct Strategy is performance-focused and is appropriate for introducing new tasks.
  - In Coaching, the leader gives guidance and instruction, as needed, and also provides supportive feedback on performance.
  - However, with the Relate Strategy, the leader concentrates on increasing the employee's confidence and motivation to perform the task.

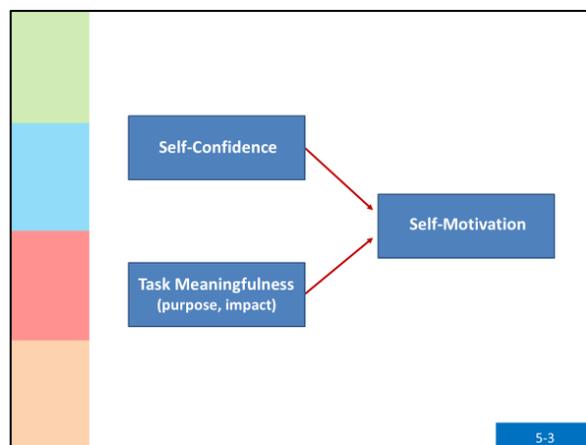
- TELL:**
- When an employee becomes competent in the task, the leader can use the Relate Strategy to maintain or improve their desire to perform the task independently and well.
  - Unlike the C1- and C2-level employees, who lack competence to perform the task, the C3 employee **is** competent.
  - However, the C3 employee lacks confidence in his or her ability to do the task or lacks the motivation to do the task, or may have other attitudes or feelings that get in the way of good performance (such as anger, resentment, frustration, or pessimism).
  - Sometimes the employee seems motivated at first glance, but in fact is not very **self-motivated** yet.

**NOTE:** Technically, we are trying to move employees toward a stronger level of intrinsic motivation to better prepare them for self-management at C4.

**DO:** Have participants turn to page 43 in the *Participant Guide* and explain that these are the cases from the SLTA assessment that are about to be referenced. As you present the examples, give participants enough time to look over the other options for each case.

- TELL:**
- The Relate Strategy emphasizes considerate behaviors to impact willingness and commitment. Directive behaviors are used minimally.
  - Management is as participatory as is feasible. Both leader and employee share in providing guidance and direction. The leader facilitates and encourages input and involvement from the employee.
  - What does the Relate strategy look like? It's helpful to review some examples from the Strategic Leader cases:
    - Case 6, Response A: Explain the need for the higher quality level and give them incentives to make sure they take the goals seriously.
    - Case 8, Response D: Use the morning meetings for employee recognition and informal conversation instead of giving out assignments.
    - Case 9, Response B: Offer him some friendly encouragement to help him feel better about the report forms, and let him know why the new form is important.
  - In the example of the new driver, at this point the driver has the skill to “solo” on the road, but may be feeling insecure or apprehensive about doing so. The role of the instructor is to provide encouragement and bolster confidence.

**SHOW:** Show Slide 5-2 and explain how self-confidence and task meaningfulness impacts self-motivation.



- TELL:**
- **Self-Confidence** is basically how we feel about our ability to perform a task. If we have no confidence in our abilities, we will avoid taking on more responsibility. An example would be the competent employee who seems hesitant to make any decisions.
  - **Task Meaningfulness** is our belief in the importance of doing the task. Many times, low morale or lack of enthusiasm arises because the employee does not see why the task is important. An example of this would be the competent employee who shows no enthusiasm for the work assigned.

**DO:** **ASK:** *When employee competence is high, why might self-motivation be low?*

Possible responses include:

- They might not feel totally confident about their ability to perform tasks without supervision.
- They might have run into some unexpected obstacles in trying to do tasks.
- Their motivational needs (e.g., need for recognition, praise, self-fulfillment, personal growth, etc.) are perhaps not being met.
- They might not feel work is important enough.

Transition to the next activity by telling participants they will now brainstorm specific behaviors that either promote self-motivated desire to perform, or hinder it.

Conduct a brainstorming session around things leaders do to help or hinder employee willingness—i.e., self-confidence and task meaningfulness.

### **Exercise 5-1: Raising Self-Confidence and Meaningfulness**

**DO:** Ask participants to turn to pages 44 and 45 in the *Participant Guide*. Tell them they can use this space to record discussion ideas as they are offered.

In triads, have participants discuss and fill in the T-shaped worksheet.

Challenge them to come up with leader behaviors that raise employee self-confidence and/or give the employees a greater sense of purpose by making their work more meaningful and important.

**SHOW:** Show Slide 5-3, *Examples of Behaviors That Promote* and review the behaviors.

Behaviors that Promote	
Self-Confidence	Meaningfulness
<ul style="list-style-type: none"> <li>✓ Set attainable goals</li> <li>✓ Praise achievements</li> <li>✓ Express confidence in employees</li> <li>✓ Recognize intermediate goals/ accomplishments</li> <li>✓ Share feedback from customers</li> </ul>	<ul style="list-style-type: none"> <li>✓ Explain how the task contributes to the overall plan</li> <li>✓ Take an interest in the work</li> <li>✓ Tell about employee accomplishments</li> </ul>

5-3

Other good answers could include:

Self-Confidence	Task Meaningfulness
<ul style="list-style-type: none"> <li>✓ Positive feedback</li> <li>✓ Encouragement</li> <li>✓ Reasonable goals/expectations</li> <li>✓ Positive “can-do” talk and style on part of leader (optimism is contagious!)</li> <li>✓ Recognition and rewards</li> <li>✓ Inspiring examples, role models, stories</li> <li>✓ Addressing fears of failure (“Will I be punished?”)</li> </ul>	<ul style="list-style-type: none"> <li>✓ Thanks from users/customers</li> <li>✓ Information on how task contributes to an important goal</li> <li>✓ Assigning meaningful tasks in the first place</li> <li>✓ Recognition and rewards</li> </ul>

- TELL:**
- The challenge with C3-level employees is how to build and maintain high confidence and motivation.
  - You do so by using supportive behaviors—involving the employees in planning, problem solving, decision making, listening, asking for input, providing feedback and constructive criticism, and reacting to their ideas in a supportive manner.
  - By demonstrating your confidence in the employee, the employee’s confidence is strengthened.
  - Once an employee has attained a high competence in a task, providing too much direction can negatively impact motivation.

**DO:** Conduct a demonstration to illustrate this point.

Ask for a volunteer to play the role of employee while you play the role of leader. The role-play script can be found on page 46 of the *Participant Guide*.

[**NOTE:** As an alternative, ask for two volunteers to play both roles.]

Thank the volunteer(s) and lead a round of applause.

Use the following questions to debrief the demonstration:

**ASK:** *What should the leader have done differently?*

Possible responses include:

- Responded empathically to how the employee was feeling
- Told the employee why the changes in format are needed
- Asked the employee for his or her input to the format change

**ASK:** *What is the danger of using the Instruct or Coach strategy with competent employees when Relating is more appropriate?*

Possible responses include:

- You can lose an employee as a source of good ideas
- Employees could lose commitment
- It can create dependency on the leader since employees may doubt their competence. This becomes a barrier to self-sufficiency.

Summarize the demonstration with the following points. (Cover the above possible responses if participants have not mentioned them.)

- TELL:**
- It's important not to direct C3-level employees because they are capable of coming to the correct answers themselves.
  - However, you do need to take time to listen and help them explore alternatives to build their confidence and willingness to do the task.
  - It usually isn't possible or desirable to remove all supervision from the competent employee. The leader must be careful not to "abandon" C3-level employees, because they still need advice and guidance.
  - The leader needs to be available to the employee when support is asked for or required. And it is always advisable to provide positive feedback and recognition for competent employees.

## Exercise 5-1: Raising Self-Confidence and Meaningfulness

**Desire** (motivation) to perform is affected by employees' self-confidence and task meaningfulness.

**Confidence** is basically how optimistic we feel about our ability to perform the task. If we have no confidence in our abilities, we will avoid taking on more responsibility.

**Example:** The competent employee who seems hesitant to make any decisions

**Task meaningfulness** is our belief in the importance of doing the task. Many times, low morale or lack of enthusiasm arises because the employee does not see why the task is important.

**Example:** The competent employee who shows no enthusiasm for the work assigned

### Instructions

Use the space below to record leadership behaviors you could use with your employees to promote motivation by helping in these two areas. (Is there a particular employee who would benefit from this treatment right now?)

Behaviors That Promote Self-Confidence	Behaviors That Promote Task Meaningfulness

## **Exercise 5-1: Raising Self-Confidence and Meaningfulness (continued)**

If leaders fail to recognize competence or address issues of confidence, task meaningfulness, or other influences on motivation, then productivity and morale will suffer.

The challenge with C3-level employees is how to maintain high motivation. It helps to use supportive behaviors to involve the employee in planning, problem solving, and decision making, and to demonstrate your trust in the individual.

Showing confidence in your employees is an important aspect of strengthening their willingness. Once an employee demonstrates competence, the leader must recognize that the employee's perspective and ideas are valid. Undermining an employee's ability to do the job can reduce motivation for a C3-level employee.

Leaders of truly competent employees need to be careful not to revert to directive, task-focused behaviors when supportive behaviors are more appropriate. They must also be careful not to "abandon" employees who may need their advice or who may need a sounding board.

## Exercise 5-1: Raising Self-Confidence and Meaningfulness (concluded)

### Demonstration Script

#### Employee Role

You are a C3-level employee, which means you are highly competent but feel somewhat unmotivated. When reading your first line, speak unenthusiastically, avoid eye contact, and perhaps put your hand to your head as if you have a headache.

#### Script

**Leader:** Hi [name]! How are you coming along on the wage report?

**Employee:** [sigh] Okay, it's almost done. I should have it on your desk by this afternoon.

**Leader:** Good. By the way, this time I want you to format the report in three columns with the department titles in bold across the top. Also, when you make copies of the report, be sure to give one to Payroll, Personnel, and the big guy upstairs. And don't forget, I need it by 1:00 p.m.

[Leader walks away.]

[Employee turns to the audience and says:]

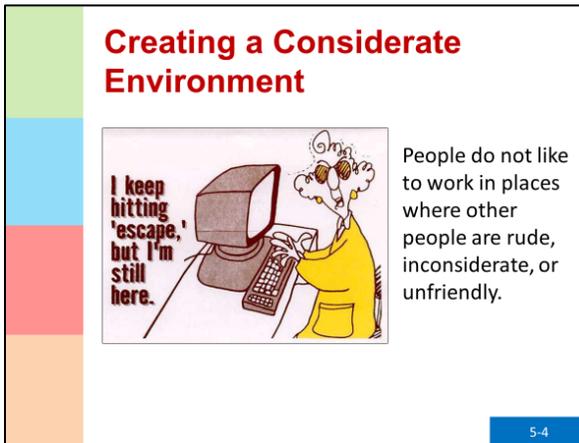
**Employee:** Does [name] even know how often I've done these reports? I know how to format them and who to give them to! Besides, if I did it using columns, I wouldn't have enough space for the information. I need to put it in rows!

[Employee mutters:]

**Leader:** "I guess it just doesn't matter...."

## Creating a Considerate Environment

**SHOW:** Show Slide 5-4, *Creating a Considerate Environment*.



- TELL:**
- People don't like to work in places where other people are rude, inconsiderate, or unfriendly.
  - Inconsiderate treatment demotivates employees and causes many performance problems.
  - Most leaders think they are already considerate—but most employees say they aren't. Why?
  - There is a surprisingly large difference in how people rate their own manners versus how others rate them.
  - For example, 85% of people believe their manners are good to excellent, but only 23% of other people agree with them. And approximately 85% think their boss has poor manners!

**DO:** **ASK:** *What are some things a leader can do to ensure that the workplace has a considerate, polite climate?*

Write participants' responses on a flipchart page. Possible responses include:

- Speak with employees regularly.
- Use polite language such as “please” and “thank you”.
- Take a polite interest in how employees are doing.
- Apologize for mistakes or impoliteness, whether intended or not.

**TELL:**

- To make sure the workplace has a considerate, polite climate, leaders need to make a special effort to be polite and considerate themselves.

### **Exercise 5-2: Recalling Polite and Impolite Behavior**

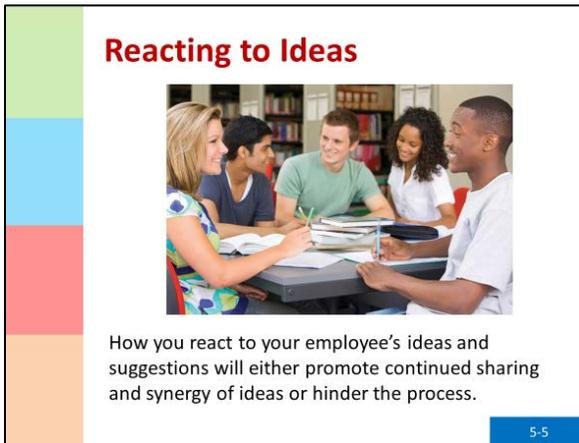
Ask participants to (please) turn to Exercise 5-2 on page 47 of the *Participant Guide*. Go over the instructions with participants and have them spend 5 or 10 minutes making their lists of *best* and *worst* workplace manners.

After participants finish, ask for examples. Discuss why it may have been harder to come up with good examples, and reiterate that it is important for leaders to *take the lead* in creating a polite, considerate climate so that nobody gets demotivated by bad manners.



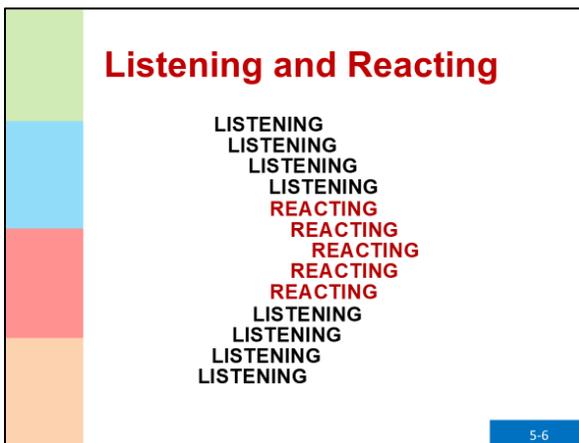
## Reacting to Ideas

**SHOW:** Show Slide 5-5, *Reacting to Ideas*.



- TELL:**
- The Relate Strategy is grounded in employee involvement and empowerment concepts.
  - When employees are involved in planning, problem solving, and decision making in areas affecting their work, it creates a sense of empowerment.
  - It also establishes an effective climate where employees feel comfortable discussing work-related problems and sharing ideas.
  - As a leader, you are trying to create an environment that gives employees permission to explore, to think of possibilities, and to think critically.
  - How you react to your employee's ideas and suggestions will either promote continued sharing and synergy of ideas or hinder the process.

**SHOW:** Show Slide 5-6, *Listening and Reacting*.



- TELL:**
- Listening helps you confirm and clarify what your employees are saying and feeling.
  - Reacting to employees' ideas and suggestions tells them what you think of their point of view.
  - Listening and reacting are intertwined in most communications.
- SHOW:** Show Slide 5-7, *Reacting Skills*.



- TELL:**
- Reacting skills include agreeing, disagreeing constructively, and building on ideas. Let's take a look at each of these, beginning with **Agreeing**.
  - Agreeing is accomplished by saying *what* you like about the employee's idea and *why* you like it.
  - By communicating the value to you or to the organization of the idea, you give the employee additional reinforcement for offering the idea.
  - For example, you might say, "*I like your idea because...*"

### Agreeing

- DO:** Display the flipchart page you prepared at the start of the module (**Chart 1**) and cover the following points about agreeing. Tell participants that a copy of these charts can be found on page 48 of the *Participant Guide*.

Ask for one or two volunteers to react to something positive that has happened so far during the course (e.g., something someone at their table has said, something they like about the training facilities, etc.).

## Disagreeing Constructively

**DO:** Introduce the second reacting skill, Disagreeing Constructively, by posing the following rhetorical question:

**ASK:** *How many of you believe that within every idea lies the possibility of a great idea?*

**TELL:**

- Many times, ideas have two parts: a part that is worth considering and a part that discounts it from consideration.
- Often, our tendency is to reject an idea before we really understand its potential value.

**DO:** Display the flipchart page you prepared at the start of the module (**Chart 2**) and cover the following points about disagreeing constructively.

**TELL:**

- **Disagreeing constructively** is when you specify the merits of an idea or suggestion (*what you like*) as well as your concerns about it.
- When disagreeing constructively, you explore alternative ideas with the employee that embrace the merits but diminish your concerns.
- The sequence when disagreeing constructively is important. An employee will feel you have listened when you begin with the merits of the idea *before* expressing your concerns.

**DO:** Practice constructive disagreement by giving an example of an idea with both good and bad elements to it (see Exercise 5-3).

### Exercise 5-3: Disagreeing Constructively

**DO:** Explain that the purpose of this exercise is to practice giving constructive disagreement or feedback statements.

Refer participants to page 49 of the *Participant Guide* and have them complete the activity.

Allow 5 to 8 minutes for participants to discuss and jot down possible merits and concerns for a constructive disagreement statement. They should add any ideas that could be explored as well.

Debrief by tossing the Koosh™ ball to someone and asking him or her to give a statement that includes the three parts of disagreeing constructively. Then, throw the Koosh™ ball again. Continue play for three to four turns.

Provide constructive feedback on responses to ensure that the skill is being used properly, particularly that merit is expressed before concerns.

Suggested responses include:

**Merits:** Saves time, allows employees to accommodate childcare issues. People like to set their own schedules. Employee retention might go up.

**Concerns:** Will some people “cheat” and not work a full day? It might make communication and teamwork difficult. Who will answer phones if everyone chooses to be out at the same time?

**Explore Ideas:** Could have a “core” period of 4 to 5 hours in mid-day when everyone has to be in—so you can always talk to or find co-workers at that time. Could have employees keep time logs. Should employees submit proposed “flex” schedules for approval first? Would it be wise to require some minimum number of people to be present at any point in time so that calls will be answered and someone will be available if needed by customers or other departments?

## Exercise 5-3: Disagreeing Constructively

### Instructions

In the box below, you'll find an employee suggestion. Discuss it at your table, and fill in the blanks with both the merits and concerns (problems). Add more ideas if they come up.

<b>EMPLOYEE SUGGESTION:</b>	<i>I think we should let office workers come and go whenever they want so that they can avoid rush-hour traffic.</i>
<b>Merits:</b>	
<b>Concerns:</b>	
<b>Explore Ideas:</b>	

## Building on Ideas

**TELL:** At times, someone's idea will make us think of another idea. But merely offering your own idea without recognizing the connection to the other person's idea is counterproductive to building the person's confidence and self-esteem.

**DO:** Introduce the third reacting skill, Building on Ideas, by posing the following question:

**ASK:** *Have you ever been in a situation where you suggested a good idea and all of a sudden it becomes someone else's idea?*

Acknowledge responses.

Display the flipchart page you prepared at the start of the module (**Chart 3**) and cover the following points about building on ideas.

- TELL:**
- The most important thing to remember about building on ideas is to acknowledge the connection to the original idea—that is, give credit where credit is due.
  - You can acknowledge the idea by saying things like:
    - “What you said about...makes me think about...”
    - “Your idea to do...would allow us then to do...”
  - When you build on someone's idea, you add value to it. You might suggest additional benefits, other applications, or ways to implement the idea.

**Example:** *What you said about letting office workers flex their schedules to miss rush hour makes me think about organizing a car pool to allow them to take advantage of the car-pool lane on the freeway.*

- Sometimes, an idea “pops into your head” that is far removed from the original idea. You get so enthusiastic about your own version of the idea that you ignore the employee's original intent.
- Remember, the goal is to maximize employee involvement. If you have significantly changed the original idea, you need to check back with the employee to make sure your modification still preserves the important elements of the original thought.

**DO:** Transition to Exercise 5-4 to have participants practice each of the reacting skills.

## Exercise 5-4: Reacting to Ideas

**TELL:** • The purpose of the exercise is to practice the Relating behaviors of listening and reacting to ideas.

**DO:** Have participants turn to page 50 of the *Participant Guide* and read the instructions. When they are finished, have them generate ideas in Step 1 individually.

Next, have participants turn to page 51 and read the instructions for Step 2. Encourage them to work in their table groups and use reacting skills to share, refine, or extend ideas through discussion. Allow 10 minutes.

Monitor table groups to make sure ideas are recorded on the flipchart before discussion.

Debrief the exercise. Ask each group to share its one “best” idea. (Was it hard to choose just one?) After each group presents its idea, ask the following questions:

**ASK:**

***What reactions did you get to the original ideas?***

***Were the reacting skills used?***

***How did using the reacting skills affect the group’s process in coming up with one “best” idea?***

Conclude the exercise by **asking:**

***How much building on ideas occurred?***

***Would you say the original ideas became better ones through this process?***

**NOTE:**

The use of shapes for creative invention comes from a series of experiments described by Ronald A. Finke (*Creative Imagery: Discoveries and Inventions in Visualization*, Hillsdale, NJ: Erlbaum, 1990), and by Finke, Ward and Smith, (*Creative Cognition: Theory, Research and Applications*, Cambridge, MA: The MIT Press, 1992).

Both sources give multiple examples of inventions, such as a “ring wagon” using the wheels, ring and wire (and/or handle), for children’s play. Hundreds of product inventions have been generated, mostly from combinations of three shapes, in Ward’s experiments, so participants ought to be able to come up with many ideas. But many of their ideas will benefit from refinement through the reaction process, since ideas tend to be unrefined at first, given the generic nature of the shapes participants work with.

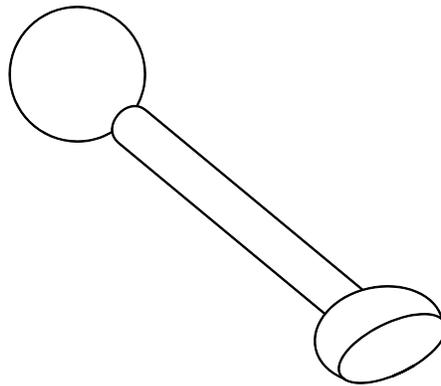
**TELL:**

- Reacting to others’ ideas in a supportive way encourages input and involvement, increasing the creative flow of ideas and group synergy.
- Listening and reacting skills should be used hand-in-hand. It is important to be sure you heard the idea accurately before you react.

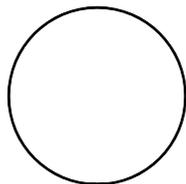
## Exercise 5-4: Reacting to Ideas

### Part 1: Problem

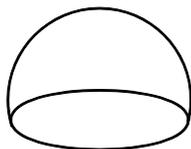
Your company needs to find something useful to do with a warehouse full of parts. Your team is charged with developing one or more creative new products from these parts. The parts are general shapes that can be used (with a little imagination) in many different ways. For instance, you could combine three of these parts—a sphere, cylinder, and half-sphere—to make a “snowball maker” like this:



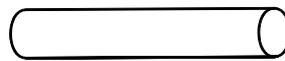
Assuming these pieces are appropriate sizes, this design could be sold as a child's winter toy, for packing snow into lumps that would make partially pre-formed snowballs. Okay, maybe this idea has some problems, but can you do better? Here are the shapes you have to work with:



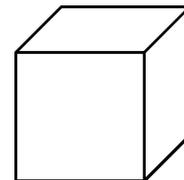
**Sphere**



**Half-Sphere**



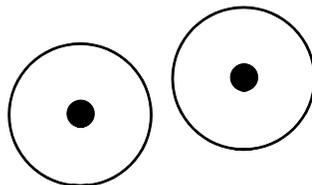
**Cylinder**



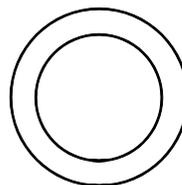
**Cube**



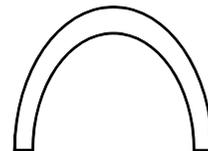
**Wire**  
(It is bendable)



**Wheels**



**Ring**



**Handle**

## **Exercise 5-4: Reacting to Ideas (concluded)**

### **Instructions**

Individually, take a few minutes to come up with ideas for products using some or all of these parts to do things people will find useful or fun. Make whatever might sell—personal items, tools, toys and games, etc.

Share the ideas and discuss them with your group, using your Reacting skills to draw out and develop each other's ideas.

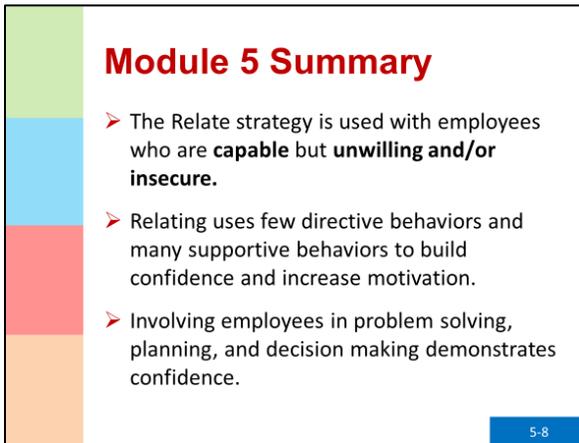
Select and refine one idea at your table to present to the other groups. Draw it on the chart paper and prepare to present it.

### **Reacting Skills:**

- Agreeing (stating the “what” and the “why”)
- Constructive disagreement (specifying the merits and your concerns)
- Building on ideas (acknowledging and adding value)

## Summary and Transition

**SHOW:** Show Slides 5-8 and summarize the key points of the module.



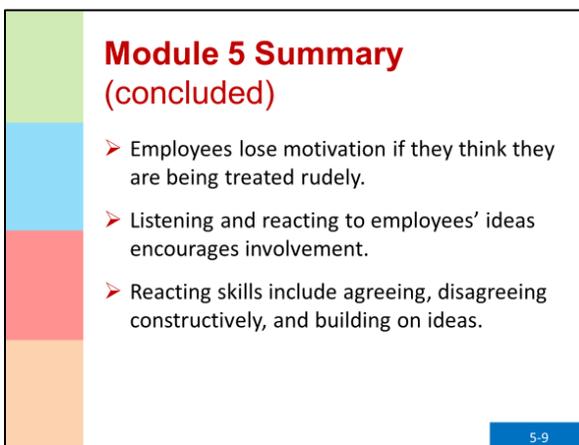
The slide features a vertical bar on the left with four colored segments: green at the top, light blue, red, and orange at the bottom. The main content area has a white background with a blue footer containing the slide number '5-8'. The title 'Module 5 Summary' is in red. Three bullet points with red arrowheads describe the 'Relate' strategy.

**Module 5 Summary**

- The Relate strategy is used with employees who are **capable** but **unwilling and/or insecure**.
- Relating uses few directive behaviors and many supportive behaviors to build confidence and increase motivation.
- Involving employees in problem solving, planning, and decision making demonstrates confidence.

- TELL:**
- Relating is used with employees who are capable but unwilling and/or insecure. It uses few directive behaviors and many supportive behaviors to build confidence and increase motivation.
  - When you involve employees in problem solving, planning, and decision making, you demonstrate your confidence in them.

**SHOW:** Show Slide 5-9 and conclude the summary of key points.



The slide features a vertical bar on the left with four colored segments: green at the top, light blue, red, and orange at the bottom. The main content area has a white background with a blue footer containing the slide number '5-9'. The title 'Module 5 Summary (concluded)' is in red. Three bullet points with red arrowheads describe the consequences of the 'Relate' strategy.

**Module 5 Summary (concluded)**

- Employees lose motivation if they think they are being treated rudely.
- Listening and reacting to employees' ideas encourages involvement.
- Reacting skills include agreeing, disagreeing constructively, and building on ideas.

- TELL:**
- Employees lose motivation if they feel they are being treated in a rude manner.
  - Listening and reacting to employees' ideas encourages involvement.
  - Reacting skills include agreeing, disagreeing constructively, and building on ideas.
  - The next and final coaching style is Delegating, used with fully capable, confident, and motivated employees.



# Module 6: When and How to *Delegate* to Your Direct Reports

## Preparing for Training

This module focuses on the Delegate strategy of leadership. There are four objectives for this module. Participants will:

- Objective 1:** Differentiate the Delegate strategy from the other three strategies.
- Objective 2:** Describe the benefits of and barriers to delegating tasks.
- Objective 3:** Prepare to develop C4 employees by offering them new challenges to master.
- Objective 4:** Plan to delegate a task back on the job.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easels (one for instructor and each table)
- Markers in a variety of colors (for instructor and table groups)
- Masking tape or push pins

## Introduction to the Delegate Strategy

**DO:** Refer participants to the Strategic Leadership diagram on page 42 of the *Participant Guide* and introduce the module, using the key points below.

- TELL:**
- We discussed three of the four Strategic Leadership styles so far. We'll now turn our attention to the fourth style, Delegate.
  - Delegating is both a style of coaching and a process with specific steps to follow.

**DO:** Have participants turn to page 56 in the *Participant Guide* and explain that these are the cases from the SLTA assessment that are about to be referenced. As you present the examples, give participants enough time to look over the other options for each case.

- TELL:**
- Here are some examples of delegation from the Strategic Leader cases:
    - Case 8, Response C: Reduce the meetings to twice a week and have employees prepare multi-day plans that they present for discussion during those meetings (instead of your telling them what to do).
    - Case 16, Response D: Welcome him into the group, and then let him work at a high level of responsibility with only occasional check-ins.
    - Case 13, Response A: Give him a copy of the manual and let him have an opportunity to try learning the new program on his own.
    - Case 6, Response C: Post the new quality goals at all workstations with instructions to achieve them by the end of the transition period.
  - In this module, we will discuss the Delegation *strategy* and the *process* of delegation.

**DO:** Introduce the characteristics of the Delegate strategy by asking the following questions:

**ASK:** *How many of you have employees who generally demonstrate high competence and high willingness?*

*What are some behaviors or characteristics of these C4 employees?*

Record participants' responses on the flipchart.

Possible responses include:

- Trustworthy
- Dependable
- Enthusiastic
- Responsible
- Self-sufficient
- Helpful
- Independent

**SHOW:** Show Slide 6-1, *Delegate Strategy*.



- TELL:**
- With the C3-level employee, a Relate Strategy was used to increase the employee's willingness. With the C4-level employee, both desire and capability are already high.
  - When employees are operating at the C4-level, a leader must look for opportunities to give them more authority and accountability, allowing the employee to work more independently.
  - The requirement for both directive and supportive behaviors on the part of the leader are relatively low:
    - Some directive behavior is used in making the assignment.
    - Some supportive behavior may be used during the completion of the task, if the associate asks for advice, assistance, or reassurance. And everyone needs occasional feedback and recognition.

**DO:** **ASK:** *For those of you who did not have Delegate as your primary dominant strategy type, what challenges might you face when using the Delegate strategy?*

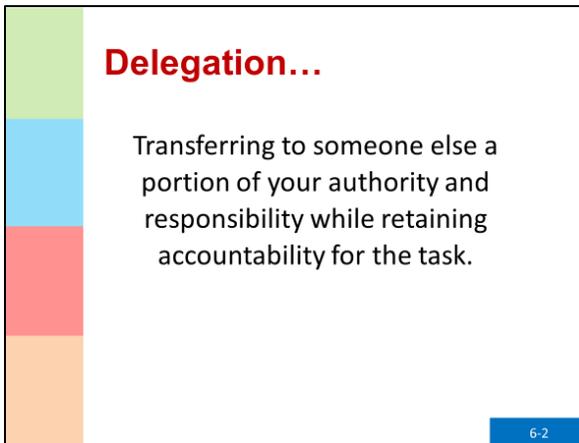
Possible responses include:

- If the primary strategy is Instruct, the leader tends to use many directive behaviors. The challenge when working with C4-level employees will be to temper the use of directive behaviors and to start using some supportive behaviors.
- If the primary strategy is Coach, the leader tends to use many directive and supportive behaviors. The challenge will be to limit the use of both types of behaviors.
- If the primary style is Relate, the leader tends to use many supportive behaviors. The challenge will be to temper the use of supportive behaviors and to start using some directive behaviors.

- TELL:**
- Consider how you might flex your dominant leadership strategy type to fit the employee and the situation.

## Exercise 6-1: Benefits of and Barriers to Delegation

**SHOW:** Show Slide 6-2, *Definition of Delegation*.



**DO:** Define delegation and tell participants that delegating is the process of having someone “stand in” for you.

**ASK:** *What does it mean to transfer a portion of authority and responsibility, but retain accountability?*

Possible response:

Ultimately, the leader is held accountable for the quantity, quality, and timely completion of tasks assigned to him or her, even if the leader chooses to delegate those tasks to others.

**TELL:**

- Most people have mixed feelings about delegation. While delegation offers an opportunity for the leader to get more done and to appropriately develop the organization’s and employees’ capabilities, there are some barriers that can get in the way of delegating.

**DO:** Have participants turn to the *Benefits of and Barriers to Delegation* on page 57 in the *Participant Guide* and go over the instructions. Tell participants they should consider the benefits of and barriers to delegating.

Divide the large group into two smaller groups and have each group appoint a recorder.

Write the heading **Benefits** on a flipchart page and tell one group that they will have 5 minutes to brainstorm the *benefits* of delegating.

Write the heading **Barriers** on a flipchart page and tell the other group that they will have 5 minutes to brainstorm the *barriers* to delegating.

Tell the groups that while they are brainstorming, they should consider benefits to employees, leaders, and the organization as well as the barriers imposed by employees, leaders, and/or the organization.

After 5 minutes, call time. Ask each group to view what the other group has brainstormed.

Participants may use the space provided on page 57 to write down the benefits and barriers developed in class.

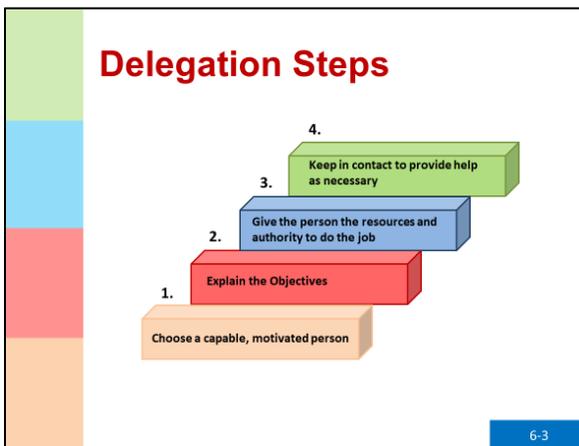
**TELL:**

- Delegating becomes even more important in a challenging work environment as the number of tasks and priorities increase and managerial workloads increase.
- A leader can delegate tasks to associates as a way to develop their competence, confidence, and motivation.



## The Delegation Process

- TELL:**
- Delegation can be done using a specific process. The Delegate strategy is used with employees who are highly capable and eager in relation to a particular task.
  - If the benefits of delegation are to be realized, both the task and the person to whom the task will be delegated must be selected carefully and the appropriate coaching style must be used.
  - Let's examine the steps in the process in more detail.
- SHOW:** Show Slide 6-3, *Delegation Steps*.



- TELL:**
- The leader matches the task to the employee and chooses a capable, motivated person. The leader explains the objectives of the task.
  - Employees to whom tasks are delegated are given the authority to perform the task, and have the decision-making power and responsibility for seeing that the tasks are completed and done well.
  - For leaders to succeed in delegating, they must
    - trust the employee or team to do a good job.
    - trust themselves to “roll with the punches” if all does not go well.
  - Point out that many of the difficulties leaders have with delegation stem from a feeling of loss of control over a task.
  - Using this four-step process for delegation and building in regularly scheduled check-ins with employees can help them maintain a sense of control.
  - Reviewing what went well and what did not go well after they have delegated a task, in other words “lessons learned”, will also help them become more adept at delegating.

## Exercise 6-2: Delegating Job Tasks

**TELL:** There are times when you want to consider delegating tasks you typically do to your employees.

**DO:** **ASK:** *What are some times when this would be appropriate?*

Possible responses include:

- When you have employees who you think are capable of performing the tasks
- When your own workload is heavy

**TELL:** When choosing what to delegate, divide your job tasks into categories:

- Work that can be done only by you, and
- Work that can be delegated to a trained person.

**DO:** Make two columns on a piece of flipchart paper. Title the left column: **Done Only By You**. Title the right column: **Delegate**.

**ASK:** *What are some examples of work that can be done only by you?*

Write participant responses on the flipchart under the appropriate column.

Possible responses include

- Hiring or firing an employee
- Conducting a performance review

**ASK:** *What are some examples of work that you might delegate?*

Write participants' responses under the **Delegate** column.

**DO:** Tell participants they will now practice the steps in delegating tasks.

Have participants turn to page 58 in the *Participant Guide* and complete the exercise.

Allow about 10 minutes for individual work.

Have one or two volunteers share their plans with the group. (Alternatively, if time permits, ask participants to take turns sharing their results/plans with others from their group/table.)

## Exercise 6-2: Delegating Job Tasks

### Instructions

Think about all the tasks that you currently do yourself. Identify one task that you could move to the category, **Work That Can Be Delegated**. Using the spaces below, make a plan for delegating this task when you get back to work.

1. What is the task?

---

---

---

2. To whom will you delegate it? What is their capacity level and what leadership style will you need to use?

---

---

---

---

---

3. What are the objectives for this task that you will need to share with this employee?

---

---

---

---

---

4. What resources and/or authority will you need to provide?

---

---

---

---

---

5. What contact points will you establish to maintain control and provide help if necessary?

---

---

---

---

---

## Developmental Leadership

**SHOW:** Show Slide 6-4, *Developmental Leadership*.

### Developmental Leadership:

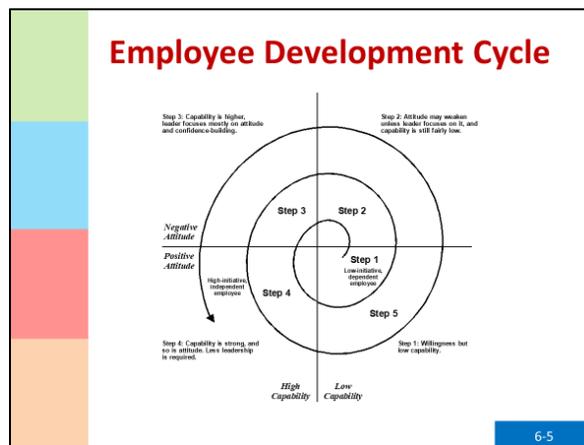
1. Maximizes employee performance on the current task.
2. Helps employees grow and develop so they can tackle even greater challenges in the future.




6-4

- TELL:**
- Strategic leaders always have *two* objectives when managing:
    1. Maximizing employee performance on the current task.
    2. Helping employees grow and develop so they can tackle even greater challenges in the future.
  - This development perspective means that leaders are not content with employees who have plateaued. For instance, even if an employee is performing well with coaching from the leader, the leader needs to push the employee to become more independent—otherwise growth into new challenges will not occur.
  - So, the long-term objective of the strategic leader is to move all employees toward delegation in their current tasks and roles.

**SHOW:** Show Slide 6-5, *Employee Development Cycle*.



- TELL:**
- This slide shows the employee development cycle:
    - **Step 1.** Introduce a responsibility using the *Instruct* strategy.
    - **Step 2.** Develop performance capacity using the *Coach* strategy.
    - **Step 3.** Support greater self-sufficiency with the *Relate* strategy.
    - **Step 4.** Hand off responsibility with the *Delegate* strategy.
    - **Step 5.** Select a new, expanded assignment or skill and restart the process using the *Instruct* strategy again. Continue through expanding cycles of responsibility to stimulate growth.

### Exercise 6-3: Developing Your Employees

- TELL:**
- This activity will help you integrate a developmental perspective into the general workplace *climate* and into your specific use of leadership strategies.

**DO:** Instruct the participants to do the individual self-rating exercise on page 59 of the *Participant Guide* (3–5 min.). (Your Strategic Leader self-assessment booklets/reports also have this form on page 18.)

Tell participants to read the *Example Case* on page 60 of the *Participant Guide* (also on page 19 of the Strategic Leader self-assessment booklet), discuss the case at their table, and agree on answers to the three questions at the end of the case. At the end of the time period, ask if anyone has had an experience like the one in the case. Discuss the transition to part 3.

Ask participants to come up with some ideas for developing one of their own employees.

## Exercise 6-3: Developing Your Employees

### Part 1: Rate Yourself

Think about ways you could be a more developmental leader. Rate yourself using the self-rating questions below. When you are finished, add up the numbers you circled and enter the total on the scale below.

#### Self-Rating: Developmental Leadership Practices

No	–	Yes	<i>Do you generally...</i>		
1	2	3	4	5	Increase employees' level of challenge by adding responsibilities?
1	2	3	4	5	Look for ways to increase the quality and amount of information employees get about their performance?
1	2	3	4	5	Introduce employees to new tasks that require them to learn new and varied skills?
1	2	3	4	5	Pursue development goals for and with employees?

Circle total here. This scale indicates current level of use of developmental leadership practices:

4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
<b>None</b>				<b>Low</b>				<b>Medium</b>				<b>High</b>				

### Part 2: Example Case

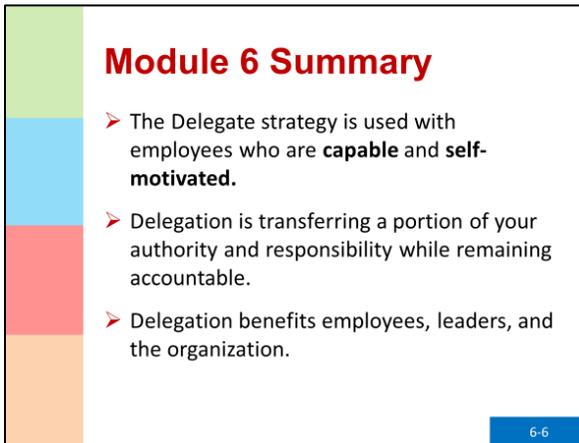
Imagine an employee who does a job reasonably well with the help of a manager who provides a high degree of supervision and structure. The employee is used to being told what to do and having errors corrected, and has come to rely on the leader's help. The leader is used to telling the employee what to do and has come to believe the employee is incapable of working more independently. Things seem okay to both of them, since the work is getting done reasonably well. But there is something wrong with this situation, as the following questions reveal:

___ No    ___ Yes	Will the employee be able to handle new challenges or changes well?
___ No    ___ Yes	Will the employee do the work with more self-sufficiency in the future?
___ No    ___ Yes	Will the leader be able to spend less time and effort supervising this employee in the future?



## Summary and Transition (5 minutes)

**SHOW:** Show Slide 6-6 and summarize the key points of the module.



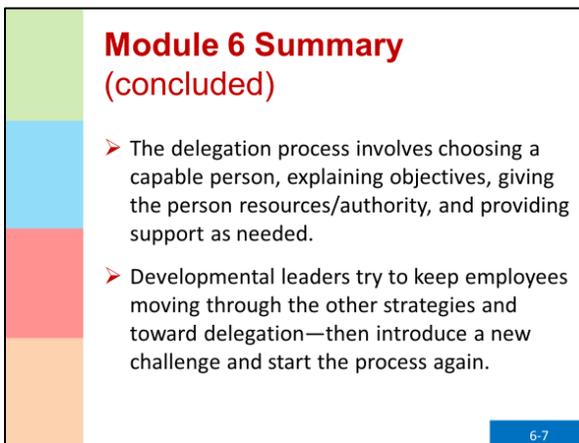
The slide features a vertical bar on the left with four colored segments: green at the top, light blue, light red, and light orange at the bottom. The main content area has a white background with a blue footer containing the slide number '6-6'. The title 'Module 6 Summary' is in bold red text. Three bullet points with red arrowheads are listed below the title.

**Module 6 Summary**

- The Delegate strategy is used with employees who are **capable** and **self-motivated**.
- Delegation is transferring a portion of your authority and responsibility while remaining accountable.
- Delegation benefits employees, leaders, and the organization.

- TELL:**
- The Delegate strategy is used when an employee is capable and self-motivated. When you delegate, you transfer a portion of your authority and responsibility while maintaining accountability.
  - Delegation benefits employees, leaders, and the organization by freeing the leader to focus on tasks only he or she can perform.

**SHOW:** Show Slide 6-7 and continue your summary of the key points.



The slide features a vertical bar on the left with four colored segments: green at the top, light blue, light red, and light orange at the bottom. The main content area has a white background with a blue footer containing the slide number '6-7'. The title 'Module 6 Summary (concluded)' is in bold red text. Two bullet points with red arrowheads are listed below the title.

**Module 6 Summary (concluded)**

- The delegation process involves choosing a capable person, explaining objectives, giving the person resources/authority, and providing support as needed.
- Developmental leaders try to keep employees moving through the other strategies and toward delegation—then introduce a new challenge and start the process again.

- TELL:**
- The process of delegating involves choosing a capable person, explaining the objectives of the task or project, giving that person the resources and authority needed to do the work, and providing support, as needed.
  - Developmental leaders keep employees moving through the other strategies and toward delegation, then introduce a new challenge and begin the process once again.

## Strategic Leader

- This module wraps up our discussion of the four strategic leadership strategies.
  - Strategic Leadership will help you provide the right mix of behaviors to increase employee competence, motivation, and confidence.
  - You also learned that you may need to flex your primary coaching style to fit the employees' needs.
- We'll now take a look at applying your knowledge of Strategic Leadership with your employees.



# Module 7: Determining the Best Strategy for Your Direct Reports

## Preparing for Training

This module focuses on the evaluating strategic needs. There are three objectives for this module. Participants will be able to:

- Objective 1:** Assess any employee or group of employees and their relationship to a task in terms of how **capable** they are and how strongly they **desire** to do the task.
- Objective 2:** Select the most appropriate strategy based on this assessment of capability and desire to perform.
- Objective 3:** Analyze leadership situations using a three-step method that involves assessing employee capacity, selecting a strategy, and planning implementation of the strategy with appropriate leadership behaviors.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

**SHOW:** Show Slide 7-1, *What Leadership Strategy Does Your Employee Need?*

The slide features a title in red, a central photograph of two women at a computer, and three bullet points on the right. Below the photo are two questions with red arrows pointing to the photo. The slide has a vertical bar on the left with four colored segments (green, blue, red, orange) and a blue footer box with the number 7-1.

### What Leadership Strategy Does Your Employee Need?

- ✓ The strategic leader selects a strategy before acting
- ✓ The strategy is based on employee needs
- ✓ The leader looks at two key areas of need: **capability** and **attitude**

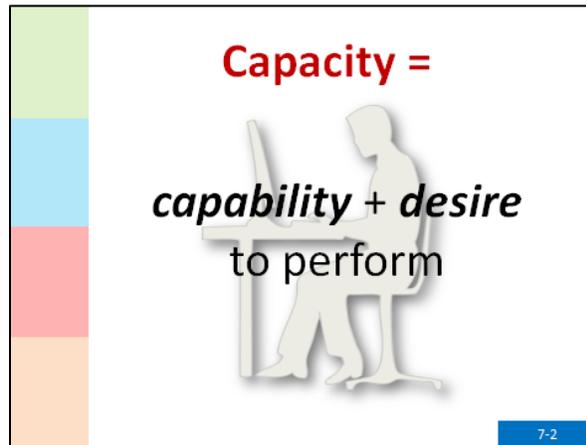
Does she **know** how to do the task well?

Does she **want** to do the task well?

7-1

- TELL:**
- At any point in time, an employee or group of employees can be classified according to their needs in two key areas: how capable, or how able, they are to do the tasks, and how strongly they desire to do the tasks.
  - If you think of the Delegate strategy as being an ideal you want to aim for—employees who can take co-responsibility with you for doing their work well—then you can see that you definitely want employees who are ready for delegation.
  - This means that you want employees who are strong on both of the areas we are talking about—the capability and attitude dimensions. You want them to know how to do the task well, and you want them to desire to do well. This combination ensures good performances without a lot of supervision or external efforts to motivate them.
  - But obviously, not all employees are able and willing all of the time for all of the tasks that need doing! Often, they are low on one or the other or even both of these dimensions.
  - That is when you as the leader need to “fill some gaps” through what you bring to the table and how you behave. That is where you need to select one of the other strategies—Instruct, Coach, or Relate—in order to make up for some lack of capability or desire to perform.
  - First, let’s look at how *capacity* is defined with regard to an employee.

**SHOW:** Show Slide 7-2, *Capacity =*



- TELL:**
- **Capacity** is defined as the combination of the performer's **capability** and **desire** to perform.
  - The Strategic Leader Assessment began with an evaluation of the capability of the performer as well as an evaluation of the people part of the performance—attitude, motivation, and desire to perform.
  - These two aspects of overall performance capacity tell the leader to what extent a task and/or person focus is needed.

**SHOW:** Show Slide 7-3, *Case 3.*

**Strategic Leader Case 3.**

**CASE 3.**  
In the middle of an important project, one of your team members quits. The new replacement is eager to help out, but lacks experience. Will she perform well if you...

A. Let her know what her duties are so that she can take on her new responsibilities as quickly as possible.  
B. Show her how to do the work, and also give her extra attention and encouragement to increase her motivation?  
C. Give her more sympathy, attention, and encouragement at first to help her with the transition?  
D. Show her exactly what to do, then correct her work whenever she gets confused and approve it when it is correct?

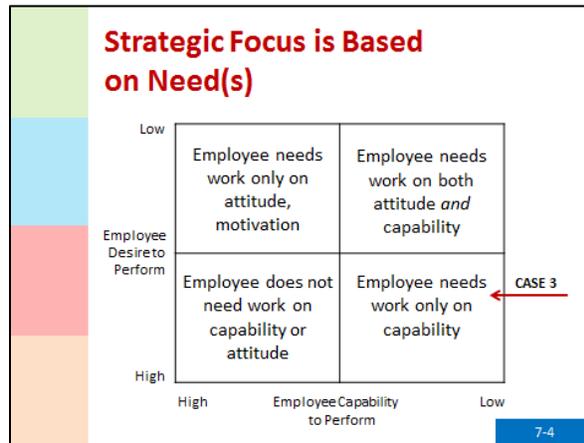
7-3

- TELL:**
- In each of the cases you responded to in the Assessment, you were given information or clues about *capacity*. Let's take another look at Case 3. In this case, you learn that a team member quits in the middle of an important project and is replaced by someone who is eager to help out, but lacks experience.

## Strategic Leader

- Before selecting a leadership strategy in this or *any* case, it is important to ask:  
 Does the employee have the full **capability** to do the job? (Yes or No?)  
 Does the employee have a strong **desire** to do the job? (Yes or No?)

**SHOW:** Show Slide 7-4, *Strategic Focus is Based on Need(s)*



**TELL:** • This slide shows a graph summarizing four different employee conditions. Since the case states that the employee is *eager*, the leader does not need to work on increasing her desire to perform.

**SHOW:** Show Slide 7-5, *Selecting the Best Strategy*.

**Selecting the Best Strategy**

What does the leader need to do if employees are not capable?

- Give information, briefings, examples, and check the work: **Instruct.**
- This strategy focuses on teaching the task.
- It assumes employees *want* to master the task, so it does not worry very much about their attitudes.

Case 3: Show and Tell with the Instruct strategy.

- TELL:**
- The logic behind the selection of an optimal or “best” strategy is quite simple. For starters, the leader needs to evaluate the employee’s capability to do the task in question. Is the employee fully able? Does the employee have all the knowledge and so forth that might be needed to do this well?
  - Often, employees lack some capabilities and this is a problem limiting their performance. They might not have some knowledge, information, or skills that they need for the task at hand. If so, then the leader’s natural role is to help fill the gap.
  - The leader can use an Instruct strategy to raise the employee’s capability to perform the work well. A simple way to do this is to tell them specifically what to do and oversee them as they do it.
  - Another way might be to pair them with a more knowledgeable partner for mentoring.
  - Or, you may modify the task itself, giving them a simpler or partial assignment to help them gain experience.

**DO:**     **ASK:** *Can anyone recall a time when an employee wanted to perform well, but lacked some important information or skills needed to do the job well?*

***What did the employee’s manager do to remedy the problem? (The manager might not have addressed the need fully—often, such needs are not properly addressed in the workplace today.)***

Discuss responses. Record relevant comments on the flipchart.

**SHOW:** Show Slide 7-6, *How to Select the Best Strategy*.



- TELL:**
- This slide summarizes the logic of choosing a leadership strategy based on your assessment of the employee's capability to perform and their desire to perform.
  - The Instruct strategy focuses your leadership behavior on building up the employee's task capabilities.
  - The Coach strategy is for employees who need to improve in both capability and desire to perform. For employees with the capability but who have some attitude or confidence issues, the Relate strategy is best.
  - And finally, for those employees whose capabilities and attitude are high, the Delegate strategy gives them more responsibility and takes more of the burden off the leader.
  - We have already explored each of these strategies and how they work. Now we're going to focus on making sure we choose the most appropriate strategy in each situation.

### **ACTIVITY: Measuring Employee Capacity to Perform**

- DO:** Have participants turn to pages 66 and 67 in the *Participant Guide*. Review the instructions and give them 5 minutes to evaluate the capability and desire of the group in the example case on page 66.

On page 67, have them choose a strategy and explain why they chose that strategy. Allow 5 to 7 minutes.

When they are finished, ask for volunteers to share their responses and explain why they chose their strategy.

## Activity: Measuring Employee Capacity to Perform

**Example Case:** You usually hold a morning meeting in which you give each employee their assignment for the day, but lately your group has been performing so well and with such enthusiasm that you wonder if it is really necessary.

Before selecting a strategy, ask the following two key questions needed to understand the employees' capacity:

1. **Evaluate capability.** Do employees have the know-how, skills, information, and experience needed to perform well? Circle a number on this scale for your answer:

1	2	3	4	5
No Capability	Low Capability	Partial Capability	Reasonable Capability	High Capability
Not ready to self-manage; will need you to structure and teach the task. Choose <b>Coach</b> if desire is also low; otherwise, choose <b>Instruct</b> .			May be ready to self-manage. Choose <b>Relate</b> if desire is not high; otherwise, choose <b>Delegate</b> .	

2. **Evaluate desire.** Do these employees have the interest, motivation, self-confidence, and support needed to do the task well? Circle a number on this scale for your answer:

1	2	3	4	5
No desire to perform well	Low desire	Inconsistent or partial desire	Medium to high desire	Highly motivated; strong desire to do well
Not ready to self-manage; will need you to support and motivate. Choose the <b>Coach</b> strategy if capability is also low; otherwise, choose <b>Relate</b> .			May be ready to self-manage. Choose <b>Instruct</b> if capability is not high; otherwise, choose <b>Delegate</b> .	

## Activity: Measuring Employee Capacity to Perform (concluded)

With this simple two-question analysis, you can narrow down your selection to the one leadership strategy that is most likely to meet the capacity needs and therefore give optimal results. Which of these four options did you choose for the case of the employees who may no longer need instructions every morning?

Strategy	Defined as:	Example of how to implement strategy:
<b>Instruct</b>	Focus only on capability to perform the task	<ul style="list-style-type: none"> <li>Continue the morning meetings just to make sure everyone gets their instructions and does the right thing every day.</li> </ul>
<b>Coach</b>	Focus on both capability and desire to perform	<ul style="list-style-type: none"> <li>Continue to give daily instructions, but also add more encouragement and recognition to the routine.</li> </ul>
<b>Relate</b>	Focus only on desire to perform	<ul style="list-style-type: none"> <li>Reduce the meetings to twice a week and have employees prepare multi-day plans that they present for discussion during those meetings (instead of your telling them what to do).</li> </ul>
<b>Delegate</b>	Reduce your leadership focus; step back	<ul style="list-style-type: none"> <li>Use the morning meetings for employee recognition and informal conversation instead of giving out assignments.</li> </ul>

What strategy did you choose? \_\_\_\_\_

**Why?**

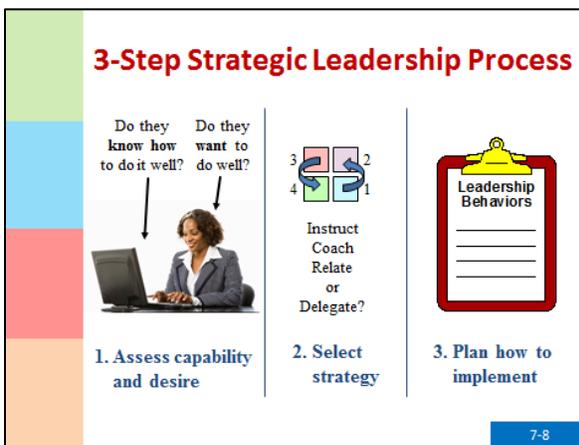
## Practice Case: Leading in Context

**DO:** Have participants work at tables or in break-out groups of three to five (or pairs if seating does not permit groups).

Ask participants turn to page 68 in the *Participant Guide*.

**TELL:** The Assessment asked you to determine what you would do in specific leadership contexts. Now that you have spent some time thinking about your own leadership type and habits, as well as how to assess employee capacity to perform, you may see these cases in a different light.

**SHOW:** Show Slide 7-8, *3-Step Strategic Leadership Process* (leave this slide displayed throughout the exercise).



- TELL:**
- This is a summary of the three-step process you need to go through in order to make sure your leadership behaviors are strategic.
    1. Assess **capacity** to perform in terms of capability and desire
    2. Select a **leadership** strategy
    3. **Implement** the strategy
  - The practice case will have you work through this three-step process to design your leadership response.

**DO:** Debrief the activity to make sure participants understand the intended learning points.

Provide the following solutions to each step and briefly discuss:

- TELL:**
- In Step 1, the group of employees were asked to change their approach right away. The employees have the capability, but there may be some anxiety that could interfere with their desire to perform. In this case, the leader should focus on desire and not capability.
  - In Step 2, the best selection in this case is Relate, in which the leader takes steps to help reduce their anxiety and get them motivated and ready to perform well.
    - LS2, Coaching, is a backup that could work almost as well as Relating, but Coaching puts more effort into structuring and supervising the task than is needed.
    - LS1, Instruct, will not work because it ignores the emotional issues employees feel and over-supervises them on performing, since they already have the needed capabilities. In fact, using Instruct might prove counterproductive by increasing the employees' emotional resistance to the changes rather than reducing it.
    - LS4, Delegate, will not work because they are not yet at full capacity. Given this responsibility, they will probably not be able to rise to the challenge effectively. Delegating before people are ready is setting them up for failure.
  - In Step 3, where the ideal response is to Relate, there are two examples of supportive employee-oriented leadership actions:
    - (1) Sharing information that affects employees and their work, and
    - (2) Leading an open discussion of their anxieties and concerns.
  - Combining these two leadership actions should be helpful if the leader does it sensitively and considerately. Employees will feel like the leader cares about how they are affected and how they feel.
  - They will have a chance to process their initial resistance and perhaps even to vent a bit before going back to work and actually making the needed changes.
  - By using actions such as these, the leader helps the employees overcome the emotional barriers to effective performance in the case.

## Practice Case: Leading in Context

You have just received surprising information that requires your group to take a new approach right away. You know the group members are good enough to handle the changes, but they may feel anxious about it at first. You...

- **LS1.** Develop a detailed, careful new plan, let each employee know what their new role is, then follow up to check on how well they are doing.
- **LS2.** Plan any needed changes with them, and then supervise them through a series of detailed steps in order to make sure they handle the changes correctly.
- **LS3.** Ask each of them to talk about any personal concerns or anxieties they feel and help those whose concerns are serious.
- **LS4.** Share the information with them and ask them to come up with a new plan for themselves.

### Step 1. Assess capacity to perform

By assessing the employee's capability and desire, you can determine what you, as a leader, need to focus on.

- Do you need to provide the knowledge, experience, resources, and structure necessary for employees to do the task well?
- Do you need to focus on the employees' attitude; for example, by helping them overcome stress, discouragement, boredom, or other negative feelings that might get in the way of desire to perform well?
- Do both problems apply, in which case you will need to help them become more capable *and* become more motivated to perform?

### Step 2. Select a leadership strategy

Which strategy is the best match? The responses in the above case demonstrate the following strategies:

- LS1 = Instruct
- LS2 = Coach
- LS3 = Relate
- LS4 = Delegate

### Step 3. Consider how to implement the strategy

There are always choices of how you might implement any particular strategy, and it is possible to use any of the strategies well or poorly. Implementation is improved when you take a moment to consider options and come up with a number of possibilities. Then, select the best one or several and incorporate them into your leadership response to the situation.

---

---

---

**DO:** Have participants turn to page 8 of their *Strategic Leader Report: Selecting the Best Strategy* and explain that this section of the report can be used as a job aid back at work.

- TELL:**
- Part 2 of your online *Strategic Leader Report* provides information on selecting the best or optimal strategy type based on an employee's capacity as well as the costs of using a strategy that is *not* appropriate to the employee or the situation.
  - Worksheets are provided to walk you through the process of evaluating the capacity of an employee, then using the capacity scores to choose your leadership strategy.
  - The Assessment had you measure your tendency toward four common strategy types and found the one (or ones) you use most often.
  - Let's revisit Case 3 from the Assessment and approach leadership strategy from a different perspective.
  - Instead of asking what you would do based on the strategy type you use most often, consider what is the best thing to do based on the employee's capacity to perform. This will sometimes require a change in your strategy.

# Module 8: Taking Action: Lead!

## Preparing for Training

This module focuses on implementing your strategy. There are three objectives for this module. Participants will be able to:

- Objective 1:** Explain that there are many ways to implement each of the four strategies and leaders can increase their effectiveness by seeking creative and context-appropriate leader behaviors.
- Objective 2:** Increase their awareness of the broad “menu” of options for leadership activities.
- Objective 3:** Develop specific ideas for leadership actions they might use at their workplace, sorted into four categories based on the four leadership strategies.

## Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

## Implementation

**SHOW:** Show Slide 8-1, *Implementation*.



**Implementation**

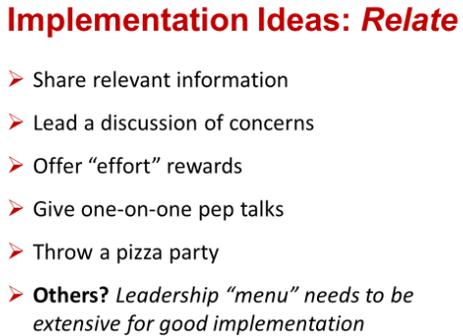
A Strategic Leader helps employees deal with anxieties associated with unexpected change, focusing on the *people* issues rather than the *tasks*.

8-1

- TELL:**
- In the practice case you just completed, the employees needed their leader to help them deal with anxieties associated with an unexpected change. This focused the leader on the *people* issues rather than the *task*, and called for the **Relate** strategy.
  - In the third step of the case analysis, you were asked to come up with ideas for implementing Relate. As you may have noticed, just knowing which strategy to use is not enough—you have to then use some leadership behaviors that are appropriate both to the *strategy* and to the *employees* in their current situation.
  - This is where your leadership imagination and judgment come in. What ideas did you think would work best for this case?

**DO:** Allow volunteers to share their ideas for implementing the Relate strategy and provide feedback.

**SHOW:** Show Slide 8-2, *Implementation Ideas: Relate*.



**Implementation Ideas: Relate**

- Share relevant information
- Lead a discussion of concerns
- Offer “effort” rewards
- Give one-on-one pep talks
- Throw a pizza party
- **Others?** Leadership “menu” needs to be extensive for good implementation

8-2

**DO:** Solicit additional ideas from participants and write those ideas on a flipchart.

Point out that the participants have done a good job of developing many ideas for how to handle the case strategically. Remind them of the exercise in the beginning of the workshop in which they made lists of leadership behaviors.

Explain that the more strategy-appropriate behaviors they can think of, the more likely they are to find one or a few that really work in any specific case.

Remind participants that they probably already know how to brainstorm a list of ideas—but that they probably don't use that skill to generate options before they decide how to treat employees.

Why not? What if they did?

**SHOW:** Show Slide 8-3: *Idea: Build a Behavior Database.*



- TELL:**
- What if you took notes about leadership actions that you liked and collected them for later reference? You might be able to check your list whenever you needed an implementation idea.
  - Some organizations are even beginning to do this systematically, by gathering the best leadership practices of many managers into a central database. You don't have to do this formally if you don't want to, but the point is that the more behaviors you are aware of, the more likely you are to come up with one that really works when you are trying to implement any of the strategies.
  - But remember—you always want to choose a leadership action that fits the appropriate strategy! Each behavior you might use is going to work some of the time, but not all of the time, because it is not always going to be focused correctly.
  - Make sure that whatever you decide to do is appropriate to the strategy you have identified. Focus your behaviors on task learning when that is what employees need, and on attitudes when that is the stronger need.
  - If you forget to focus your behavior in this way, your actions will no longer be strategic and they won't work as often or consistently as you'd like.

### Activity: Choosing Leadership Actions

**DO:** Have participants turn to page 70 in the *Participant Guide*. Review the instructions, and challenge them to come up with a menu of leadership behaviors for themselves to use when they go back to work.

Ask participants to draw from everything that has been discussed in the workshop, or the cases from the Assessment if they wish, but make these lists their own by only including things they really think they could and would do, since different leaders and workplaces have different norms and expectations and there is no one-size-fits-all solution to this exercise.

Have them work in pairs or breakout groups.

Make sure participants compile a set of options for each strategy, not just one un-strategic list.

Watch for groups getting off track and either go over to facilitate or, if you think they have done enough, end the activity.

Allow 10 to 15 minutes for this task.

Debrief this exercise by having participants share some of their leadership behaviors and provide feedback, as appropriate.

Have participants turn to page 17 in their *Strategic Leader report*.

**TELL:**

- Part 3 of your Strategic Leader report offers guidance on developmental leadership. This part of your report can be used as a job aid once you have spent some time working on your developmental leadership.

## Activity: Choosing Leadership Actions

### Instructions

Draw from everything that has been discussed in this workshop or the cases from the Assessment to make a list of leadership actions.

Make these lists your own by only including things you really think you could and would do, since different leaders and workplaces have different norms and expectations. There is no one-size-fits-all solution to this exercise.

STRATEGY	PREFERRED ACTIONS
<b>Instruct</b>	
<b>Coach</b>	
<b>Relate</b>	
<b>Delegate</b>	



# Appendices

---

**Appendix A:** Self-Assessment Using the *Strategic Leader Assessment*

**Appendix B:** *Strategic Leader* Video Facilitator's Guide

**Appendix C:** Developmental Leadership

**Appendix D:** Case Analysis and Interpretation

**Appendix E:** Technical Notes on the Design of the Strategic Leader



# Appendix A: Self-Assessment Using the *Strategic Leader Assessment*—Method A

## Preparing for Training

This module focuses on administering and scoring the Assessment. There are five objectives for this module. Participants will be able to:

- Objective 1:** Describe the four employee capacity levels in the strategic leadership model.
- Objective 2:** Define task-oriented and people-oriented leadership behaviors.
- Objective 3:** Describe the four leadership strategies.
- Objective 4:** Match leadership strategies to the appropriate employee capacity levels.
- Objective 5:** Determine their own strategy type and analyze the implications for them as leaders.

Use this module if you are administering the paper-and-pencil version of the Strategic Leader Assessment.

## Equipment and Supplies

- The *Strategic Leader* assessment booklet and scoring sheet
- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

## Notes to the Instructor

Before you begin this module:

1. Make sure everyone has a copy of the Strategic Leader self-assessment booklet and the scoring sheet.
2. If completing the self-assessment was given as a pre-course assignment, confirm with participants that they have completed the instrument and have it with them.
3. Make sure everyone has a copy of the *Participant Guide*.

## Administering the Strategic Leader Assessment

- TELL:**
- We have been talking about management behaviors in different situations or contexts. Now we are going to do an activity in which each of you will individually complete an assessment about leader behavior.
- DO:** Distribute a copy of the *Strategic Leader Leader's Self-Assessment* booklet to each participant along with the accompanying answer sheet.
- TELL:**
- The self-assessment booklet has three parts. Part 1 is the Self-Assessment, which you will complete now.
  - Turn to page 1 in your self-assessment booklet.
- DO:** Review the instructions on page 1 of the self-assessment booklet with the participants. Make sure participants understand the example.
- SHOW:** Show Slide A-1, *Self-Assessment Answer Sheet*.

**Self-Assessment Answer Sheet**

Rating Scale: (How well would each response work based on its own merit?)

Definitely Not	Probably Not	Possibly	Probably	Definitely
1	2	3	4	5

**Example Case**

You are in a building with a strong smell of smoke. Your goal is to make sure your employees are safe. Will it work if you...

A. Pull the fire alarm?  
 B. Look for the source?  
 C. Fight the fire yourself?  
 D. Leave the building without telling anyone?

1. A.	1	2	3	4	5
B.	1	2	3	4	5
C.	1	2	3	4	5
D.	1	2	3	4	5

Shade in the letter of your response to each option.

A-1

- TELL:**
- This assessment consists of 16 case studies concerning different employees or groups of employees. For each case study, there are four possible responses to the case. As the manager in these case studies, you must decide what to do in each case.
  - Rank each option, A, B, C, and D, in terms of how well you feel the option would work in that particular case. Make sure you rate each response based on its own merit, not in relation to the other responses.
  - You may feel that one option will work the best, while others will not be as effective. You may even feel that two of the options will work equally well. Put down whatever answers you think are best. How you rank the four options will be a matter of your personal opinions and experiences.
  - Use the Self-Assessment Answer Sheet to record your answers by shading in the number for each response, as shown on this slide. When you have answered all of the items, separate the Scoring Sheet from the Answer Sheet and follow the directions.

**DO:** Ask if there are any questions about how to do the questionnaire and how to mark the answer sheet. Answer any questions before beginning.

Tell the participants you will give them enough time to complete all 16 of the cases. When they are finished, you will walk them through the process of scoring their answers.

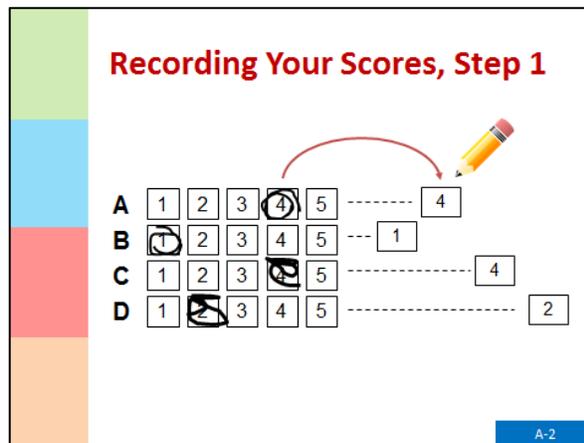
Allow 15 or 20 minutes for participants to complete the activity. Make sure everyone completes all 16 cases before continuing.

When participants are finished completing and scoring the assessment, move on to analyzing results.

Make sure that everybody has scored their assessment accurately. Answer any questions they may have before proceeding.

### Recording Your Results

**SHOW:** Show Slide A-2, *Recording Your Scores, Step 1*.



- TELL:**
- Now, separate the answer sheet from the scoring sheet and look at the second page. The numbers you marked on the top sheet should have transferred to the second sheet.
  - Each place where you marked a number has a line going to the right, showing you where to transfer this number into a box.
  - Read the number you marked and then write it in the indicated box. For instance, if you circled a “4” on one of the scales, write the number 4 in the corresponding box. This sorts out all of your answers into columns according to type so that you can analyze your preference for different leadership strategies. You can think of this exercise as unscrambling the results so that we can look at the underlying patterns.

**SHOW:** Show Slide A-3, *Recording Your Scores, Step 2*.

**Recording Your Scores, Step 2**

C	1	2	3	4	5	-----	3	↓ +
D	1	2	3	4	5	-----	2	↓ +
A	1	2	3	4	5	-----	4	↓ +
B	1	2	3	4	5	-----	1	↓ +
C	1	2	3	4	5	-----	4	↓ +
D	1	2	3	4	5	-----	2	↓ =

Enter column total here D

A-3

**TELL:**

- When you have transferred your numbers to the boxes, you will see that they are in columns. Add up the totals of each number you chose by column. There are eight places on the bottom of the form where you can enter these totals. Please add the numbers in each column carefully to get accurate totals.

**SHOW:** Show Slide A-4, *Recording Your Scores, Step 3*.

**Recording Your Scores, Step 3**

Total I  +  =

**Example:** The total of the two "I" column scores is your **Instruct** score.

A-4

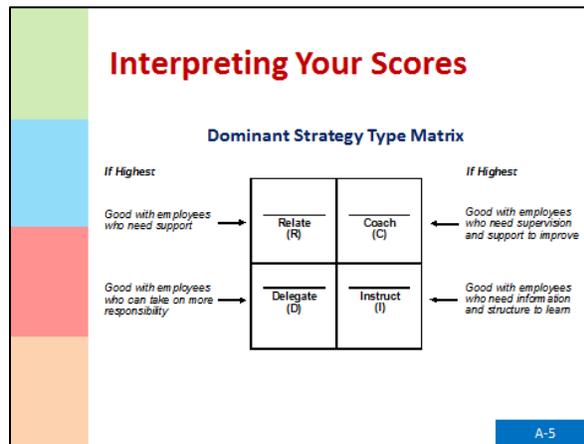
**TELL:**

- There are eight columns of answers, and you should now have eight totals on the bottom of your score sheets. However, there are only four different leadership strategies in this assessment, so you need to combine results from your two sets of totals.
- Please add both of your totals for your "I" scores to get a final total. Do the same with your C, R, and D scores so that you have four master totals, one for each letter.
- Enter these totals in the upper matrix or box on page 6 of your booklet. Does everyone see where to do this? When you enter them here, you will see that each score and letter corresponds to a type of leadership strategy. **I** is for the Instruct strategy, **C** is for Coach, **R** is for Relate, and **D** is for Delegate.

- In every case in the assessment booklet, there is an answer corresponding to each of these four strategies. The number totals represent your tendency to select each of these strategies from the options in the booklet.
- Most people have a tendency to favor one out of the four strategies over the others. Which one did you favor, as indicated by a higher total score?

**DO:** Have participants turn to page 6 in their Assessment booklet and review the directions for entering their strategy-type scores from the Scoring Sheet. Then, in the section for Development Path, have them check the box next to the strategy where they had their lowest score.

**SHOW:** Show Slide A-5, *Interpreting Your Scores*.



**TELL:** • The highest score on this matrix indicates your preferred leadership strategy. If you have a tie, that indicates you have a preference for both of those strategies.

**SHOW:** Show Slide A-6, *Interpreting Your Scores (concluded)*.



**TELL:** • The strategy you checked for your lowest score indicates the one you should practice most if you want to expand your leadership capabilities.

**DO:** Have participants turn to page 7 of the assessment booklet and review the instructions for recording the strategy variability score. Explain they will get these scores from their answer sheet.

**SHOW:** Show Slide A-7, *Strategy Variability Scale*.

**Strategy Variability Scale**

0 – 5	High
6 – 10	
11 – 15	Medium High
16 – 20	
21 – 25	Medium Low
26 – 30	
31 – 35	Low
36 – 40	
41 – 45	Very Low
46+	

A-7

- TELL:**
- Once you subtract your lowest strategy score from your highest, circle the range of numbers that your score falls in, as shown in this example.
  - Next, go back to your scoring sheet and count up all of the matches that were considered to be “ideal” responses. These are the shaded areas of the scoring sheet.
  - Count all of the matches you made and circle the total on the Strategy Effectiveness chart, as shown in this next slide.

**SHOW:** Show Slide A-8, *Strategy Effectiveness*.

**Strategy Effectiveness**

16	High
15	
14	
13	
12	Medium High
11	
10	
9	Medium Low
8	
7	
6	
5	Low
4	
3	
2	
1	

A-8

## Understanding the Strategies

**DO:** Direct participants to page 8 in their assessment booklet and review the table on understanding the strategies.

Explain that these strategies will be covered in depth during the rest of the workshop.



# Appendix B: Strategic Leader Video Facilitator’s Guide— Method B

## **Before You Begin**

The *Strategic Leader Assessment* helps leaders understand their own patterns of responses to varied leadership contexts and shows them how they can respond more effectively in the future. The cases in the Assessment are designed to reflect common leadership contexts and challenges in the modern workplace. There are always alternative ways for leaders to respond, and the Assessment helps leaders explore and evaluate these options.

Use this module with the accompanying video to facilitate the paper-and-pencil administration of the Assessment with scoring and interpretation.

Use the video after administering the Assessment to help provide feedback when reviewing the results. Copies of the *Strategic Leader Assessment* can be ordered through your distributor.

Instructions for administering the Assessment begin on the following page.





# Strategic Leader

---

## **Video Facilitator's Guide**

Copyright © 2017, HRD Press, Inc.

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, recording, or otherwise, without the prior permission of the publisher.

Published by: HRD Press, Inc.

22 Amherst Road  
Amherst, MA 01002  
800-822-2801 (U.S. and Canada)  
413-253-3488  
413-253-3490 (fax)  
<http://www.hrdpress.com>

ISBN 0-87425-834-0

Cover design by Eileen Klockars  
Production services by Jean Miller

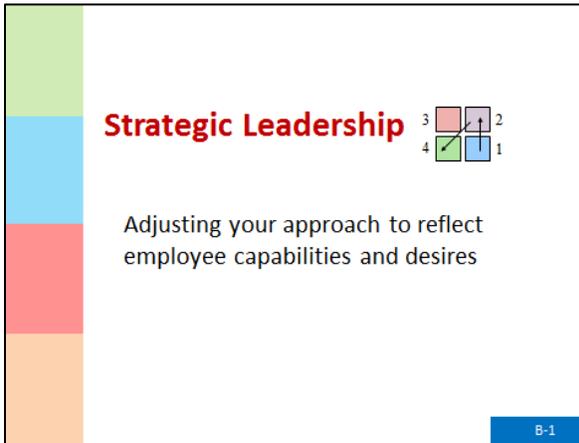
Research and development by: Alex Hiam & Associates  
295 Amity Street  
Amherst, MA 01002

Video produced by: Lexicon Media

## Strategic Leader Assessment

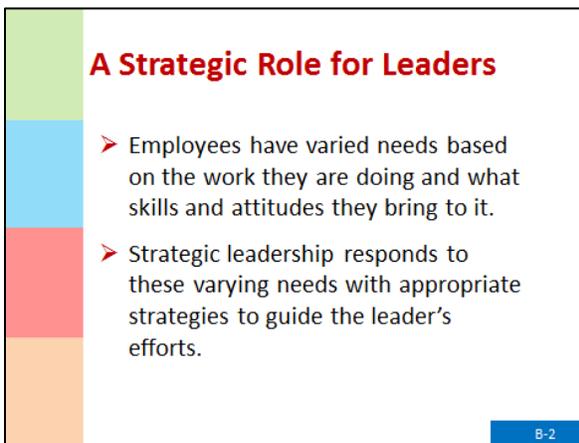
The following provides instruction for administering the Assessment and using the videotape as part of your debriefing and feedback.

**SHOW:** Show Slide B-1, *Strategic Leadership*, and provide a definition of **strategic leadership**.



- TELL:**
- To help employees perform their best, you need to determine what their performance-related needs are, and then adjust your supervision or leadership appropriately.
  - This is the definition of **strategic leadership**. There is no one right way to lead people in a workplace because performance issues and barriers are complex and varied.
  - A strategic approach seeks the most appropriate, easiest path to improvement, in each context or situation.

**SHOW:** Show Slide B-2, *A Strategic Role for Leaders*.



- TELL:**
- Each person we manage has different requirements for peak performance right now, and for professional development over time. In fact, each individual may have multiple sets of needs or requirements for success.
  - In a single day, one individual may work on multiple tasks or projects requiring different skills. This means they will require different types of leadership strategies in order to succeed.
  - A strategic leader focuses on both the **work to be done** and the **people doing the work**, responding thoughtfully and appropriately to the combinations of tasks and people performing those tasks.
  - The leader is strategic in the sense that he or she makes thoughtful adjustments based on an understanding of these needs.

**SHOW:** Show Slide B-3, *A Strategic Role for Leaders* (concluded)

**A Strategic Role for Leaders**  
(concluded)

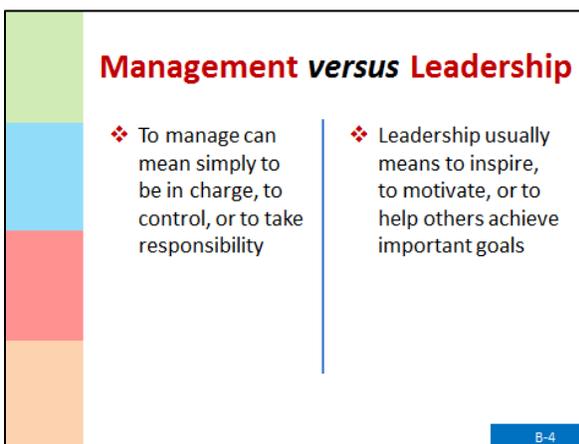
- The leader chooses from a handful of general strategies, then uses judgement, experience, and creativity to find (many) good ways to implement the strategy, depending on the circumstances.

B-3

- TELL:**
- The leader is strategic also in the sense that a strategy gives *general* guidance at a high level and then permits the leader to take action as he or she sees fit in order to implement the strategy well, given the context.

**DO:** **Ask** the participants: *What is the difference between management and leadership?* Acknowledge participants' responses. You may want to write some of the key points made by the participants on a flipchart or whiteboard.

**SHOW:** Show Slide B-4, *Management versus Leadership*.



- TELL:**
- Anyone in a position of authority may find themselves thrust into a leadership role. But while being in a leadership role provides the opportunity to provide leadership, it does not guarantee that you will do so.
  - It can be difficult to provide good management, let alone good leadership. Management involves stepping up to various responsibilities. It requires you to be accountable for your own performance as well as that of a group of people.
  - Leadership goes beyond management because it has higher expectations for performance. In managerial leadership, the leader's aim is to get superior performance from the group—to move the entire group ahead. To lead means to strive for higher and better results and to believe in the potential of your employees.
  - Now we're going to do an activity in which each of you will individually complete a questionnaire about leadership behavior.

### Administering the Strategic Leader Assessment

**DO:** Distribute a copy of the *Strategic Leader Self-Assessment* booklet to each participant along with the accompanying answer sheet.

- TELL:**
- This questionnaire consists of 16 case studies concerning different employees or groups of employees and what their manager should do in each case.
  - Imagine that you are the manager in each of these cases. Evaluate the four options given. Rank each option in terms of how well you feel it would work in the case. This is a matter of personal opinion. Put down whatever answers you think are best based on your own opinions and experiences.
  - The self-assessment booklet has three parts. Part 1 is the self-assessment, which we are doing right now.
  - Part 2 describes selecting the best strategy to meet a particular situation, and Part 3 takes a more long-term view with regard to developing your employees to work more self-sufficiently.

**NOTE:** The video that accompanies this facilitator’s guide briefly describes the principles in each part of the self-assessment booklet, as well as provides instructions for scoring the self-assessment. However, it is recommended that you incorporate the self-assessment and video into either your own lesson on strategic leadership, or use it in conjunction with the Strategic Leader workshop materials, available through your distributor.

**DO:** Review the instructions on page 1 of the self-assessment booklet with the participants. Make sure participants understand the example.

Ask if there are any questions about how to do the questionnaire and how to mark the answer sheet. Answer any questions before beginning.

Tell the participants you will give them enough time to complete all 16 of the cases. When they are finished, you will walk them through the process of scoring their answers.

Allow 15 or 20 minutes for participants to complete the activity. Make sure everyone completes all 16 cases before continuing.

### Scoring the Strategic Leader Self-Assessment

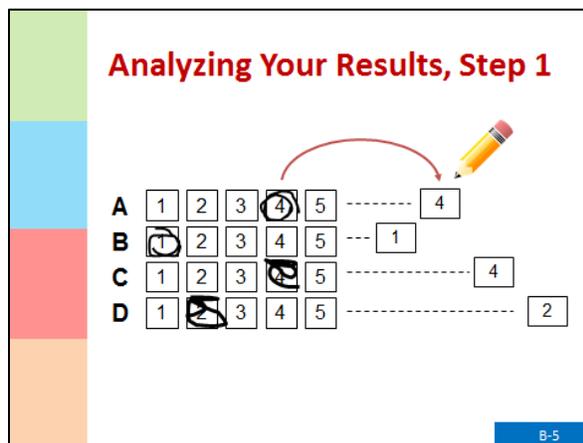
**SHOW:** Show the video: *Strategic Leader Video Program*. The video provides information about strategic leadership types and instructions for scoring the self-assessment.

**DO:** The information below can be used to supplement the scoring instructions, if participants need help.

When the video is finished, ask if anyone needs help scoring their assessment. If so, you may want to use the supplemental scoring instructions below. If not, lead a discussion about strategic leadership and how participants feel about the results of their self-assessment.

As mentioned earlier, this video and the self-assessment are most effective when used as part of a larger training program on strategic leadership.

**SHOW:** Show Slide B-5: *Analyzing Your Results, Step 1*.



- TELL:**
- Separate the answer sheet from the scoring sheet and look at the second page. The numbers you marked on the top sheet should have transferred to the second sheet.
  - Each place where you marked a number has a line going to the right, showing you where to transfer this number into a box.
  - Read the number you marked and then write it in the indicated box. For instance, if you circled a “3” on one of the scales, write the number 3 in the corresponding box. This sorts out all of your answers into columns according to type so that you can analyze your preference for different leadership strategies. (You can think of this exercise as unscrambling the results so that we can look at the underlying patterns.)

**SHOW:** Show Slide B-6: *Analyzing Your Results, Step 2.*

**Analyzing Your Results, Step 2**

C	1	2	3	4	5	-----	3	↓ +
D	1	<del>2</del>	3	4	5	-----	2	↓ +
A	1	2	3	4	5	-----	4	↓ +
B	<del>1</del>	2	3	4	5	-----	1	↓ +
C	1	2	3	4	5	-----	4	↓ +
D	1	<del>2</del>	3	4	5	-----	2	↓ +
								↓ =
								Enter column total here D

B-6

- TELL:**
- When you have transferred your numbers to the boxes, you will see that they are in columns. Add up the totals of each number you chose by column. There are eight places on the bottom of the form where you can enter these totals. Please add the numbers in each column carefully to get accurate totals.

**SHOW:** Show Slide B-7: *Analyzing Your Results, Step 3.*

**Analyzing Your Results, Step 3**

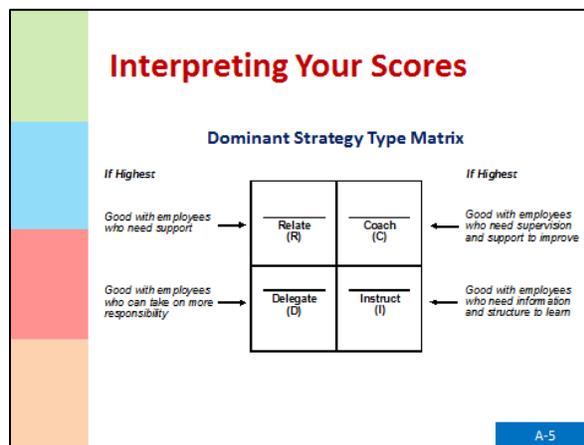
Total I [ ] ← [ ] + [ ]

**Example:** The total of the two “I” column scores is your **Instruct** score.

B-7

- TELL:**
- There are eight columns of answers, and you should now have eight totals on the bottom of your score sheets. However, there are only four different leadership strategies in this assessment, so you need to combine results from your two sets of totals.
  - Please add both of your totals for your “I” scores to get a final total. Do the same with your C, R, and D scores so that you have four master totals, one for each letter.
  - Enter these totals in the upper matrix or box on page 6 of your booklet. Does everyone see where to do this? When you enter them here, you will see that each score and letter corresponds to a type of leadership strategy. **I** is for the Instruct strategy, **C** is for Coach, **R** is for Relate, and **D** is for Delegate.
  - In every case in the assessment booklet, there is an answer corresponding to each of these four strategies. The number totals represent your tendency to select each of these strategies from the options in the booklet.
  - Most people have a tendency to favor one out of the four strategies over the others. Which one did you favor, as indicated by a higher total score?
- DO:** Have participants turn to page 6 in their Assessment booklet and review the directions for entering their strategy-type scores from the Scoring Sheet. Then, in the section for Development Path, have them check the box next to the strategy where they had their lowest score.

**SHOW:** Show Slide A-5, *Interpreting Your Scores*.



- TELL:**
- The highest score on this matrix indicates your preferred leadership strategy. If you have a tie, that indicates you have a preference for both of those strategies.

**SHOW:** Show Slide A-6, *Interpreting Your Scores (concluded)*.

**Interpreting Your Scores  
(concluded)**

**Development Path**

- Instruct (I)** May need to give employees more information and structure
- Coach (C)** May need to focus on helping employees improve
- Relate (R)** May need to give more support
- Delegate (D)** May need to give employees more responsibility

A-6

**TELL:** • The strategy you checked for your lowest score indicates the one you should practice most if you want to expand your leadership capabilities.

**DO:** Have participants turn to page 7 of the assessment booklet and review the instructions for recording the strategy variability score. Explain they will get these scores from their answer sheet.

**SHOW:** Show Slide A-7, *Strategy Variability Scale*.

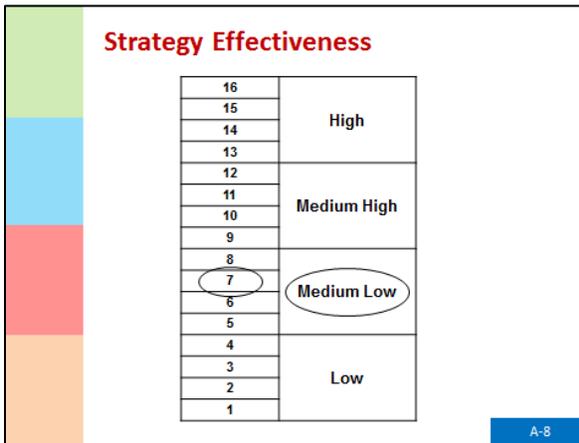
**Strategy Variability Scale**

0 – 5	High
6 – 10	
11 – 15	Medium High
16 – 20	
21 – 25	Medium Low
26 – 30	
31 – 35	Low
36 – 40	
41 – 45	Very Low
46+	

A-7

- TELL:**
- Once you subtract your lowest strategy score from your highest, circle the range of numbers that your score falls in, as shown in this example.
  - Next, go back to your scoring sheet and count up all of the matches that were considered to be “ideal” responses. These are the shaded areas of the scoring sheet.
  - Count all of the matches you made and circle the total on the Strategy Effectiveness chart, as shown in this next slide.

**SHOW:** Show Slide A-8, *Strategy Effectiveness*.



**DO:** Make sure that everybody has scored their assessment accurately and answer any questions they may have.

### Understanding the Strategies

- TELL:**
- You might want to take a minute now to look at the description of your favored type of leadership—it is summarized along with the other three strategies in the table on page 8 of your self-assessment booklet.
  - Each of these strategies will be covered in depth during the rest of the workshop.

# Appendix C: Developmental Leadership

**NOTE:** This Facilitator’s Guide walked you through a workshop focusing primarily on developing a leader’s ability to understand and use each of the four leadership strategies, and how to select a strategy that is appropriate to the employee and/or situation.

This module focuses on developing employees, increasing both their capability to perform as well as their desire to perform the tasks assigned to them.

**DO:** **ASK:** *“If I asked you which strategy you would prefer to be able to use most of the time, what would you say?”*

Take suggestions and comments from participants.

**SHOW:** Show Slide C-1, *Developmental Leadership*.

**Developmental Leadership**

- Seeks to increase both **desire** and **capability** to perform (increase employee’s performance **capacity**)
- Moves employees toward “Delegate” on each task (self-management)
- Seeks to expand their set of skills with varied tasks (stretching)

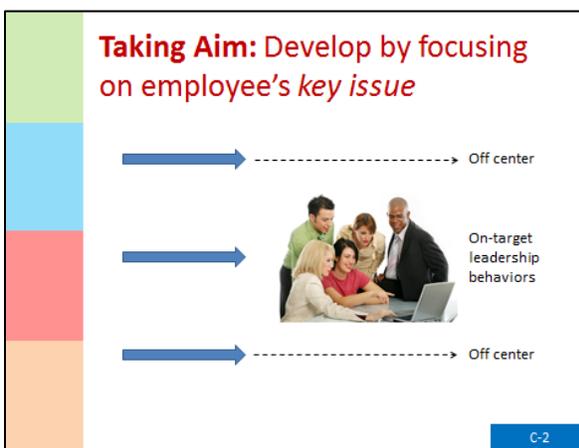
C-1

- TELL:**
- Developmental leadership seeks to increase desire **and** capability to perform. Personally, I’d prefer it if my employees were always at a high level of capability and always had a strong, self-motivated desire to perform their tasks well.
  - I’d want to be able to delegate much of the time. It’s easier on the leader, and it means you have employees who truly have the full capacity to do their jobs well—without your having to make up for any missing ingredients.
  - If you use the other three strategies well, whenever they are needed, you will in fact be moving your employees toward higher levels of capability and motivation. You will be developing them. They will move toward the ideal state in which you can delegate and they can take on equal responsibility for doing their own work.

- And you will be allowing them to expand their set of skills in a variety of areas and tasks.
- I want to focus on the development of employees now, and spend a little time discussing what is involved in maintaining momentum with any group of employees.

**NOTE:** Principles of job enrichment apply to this topic. You may have noticed that some of the fundamentals of enriching a task are integrated into this slide.

**SHOW:** Show Slide C-2, *Taking Aim: Develop by Focusing on Employee's Key Issue*.



- TELL:**
- Each employee has certain development needs. This becomes apparent when you do a simple exercise—think about what things you **wish** an employee would do, or would do better. Most managers can write such a list for each one of their employees.
  - To help an employee develop, you need to focus your efforts on whatever their key issue is right now. For instance, if an employee lacks self-confidence, then this issue will hold him back and keep him from tackling tough new tasks.
  - You can best help this employee develop by providing him with opportunities for easy successes and recognizing and praising those successes. Anything you can do to encourage him to have more confidence will help move him forward. Other things you might try to do with him will not be successful if his confidence issue is ignored.
  - Often, leaders try to get employees to do things that they are not ready to do. Knowing where they are and what challenges they are ready for is essential to developmental management. Be careful not to over-stretch your employees. Sometimes it is best to talk to them about their development path, asking them what sorts of growth and development opportunities they like and what they don't like or are not yet ready for.

## Exercise: Analyzing an Employee's Key Development Issue

**DO:** Have each participant think of an employee who is performing inadequately or who they think should be developing at a faster pace.

Refer participants to Appendix A on page 71 of the *Participant Guide*. Ask them to make a list of all the things that could be holding this employee back. The list could include a variety of things on both the “people” and “task” dimensions, such as:

- People issues such as not liking the work, worrying about a layoff, or having a “bad attitude” toward the leader, or
- Task issues such as not being comfortable with computers, or having difficulty working at a rapid pace.

When they are finished, have the participants decide which of these issues should be addressed first in order to move the employee forward. This helps them get “on target” when interacting with the employee in the future.

**NOTE:** If you run this activity here, it can serve as a set-up for the concluding activity in which participants use Form C on page 13 of their self-assessment report to measure an employee's capacity to perform and select a specific strategy for that employee.

To integrate the final activity into this one, have them go back to their notes from the activity and define the **Task** at the top of Form C as “**overcoming the employee's key issue.**” Then they will continue this activity by selecting the best strategy and developing a list of possible leader behaviors to help the employee develop.

Participant Guide, page 71

## Analzing an Employee’s Key Development Issue

### Instructions

Think of an employee who is performing inadequately or who you feel should be developing at a faster pace.

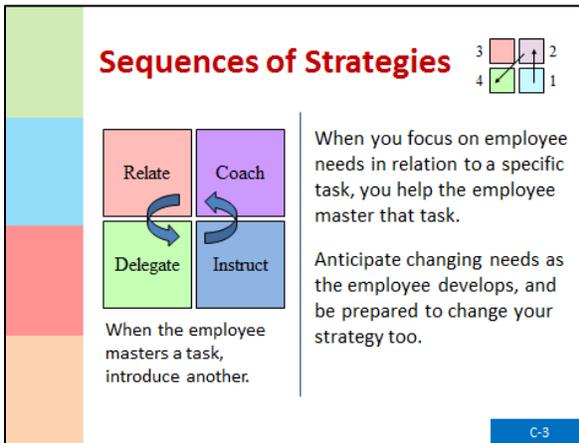
Make a list of all the things that could be holding this employee back. This list can include a variety of things on both the “people” and “task” dimensions, for example:

- People issues such as not liking the work, worrying about a layoff, or having a “bad attitude” toward the leader, or
- Task issues, such as not being comfortable with computers, or having difficulty working at a rapid pace.

When you are finished, determine which of these issues is the key one in terms of needing attention first in order to move the employee forward.

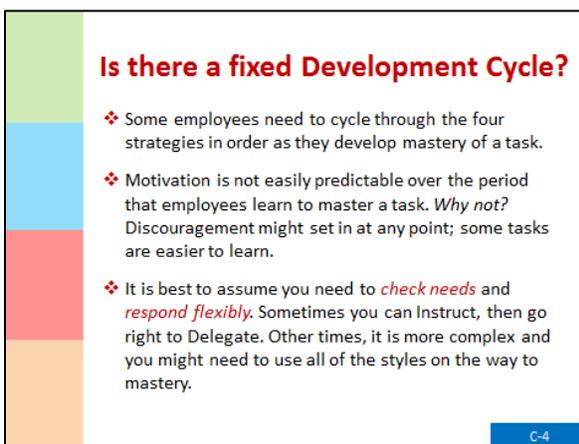
People Issues	Task Issues

**SHOW:** Show Slide C-3, *Sequences of Strategies*.



- TELL:**
- Being a developmental leader is not difficult once you get in the habit of assessing employee needs and selecting appropriate strategies.
  - Whenever you adjust your leadership based on an employee's needs, you are helping them to develop because the main impact of strategic leadership is to increase their performance capacity by boosting both their capability and their desire to perform.
  - Strategic leadership has as its aim the creation of self-sufficient, highly capable employees who learn to do their tasks well without the need for direct supervision.
  - Your orientation toward meeting employee needs helps them move toward task mastery. When they are ready to take responsibility for the task, delegate it to them, then begin to consider what their next challenge should be. You always want to be moving employees along by giving them new or expanded challenges to work on.
- DO:** Refer participants to the Employee Development Cycle diagram on page 20 of their self-assessment report.

**SHOW:** Show Slide C-4, *Is There a Fixed Development Cycle?*



- Sometimes an employee can get stuck for a while, or even seem to regress. The leader needs to respond to the current needs—even if this means not moving directly to Delegate as soon as the leader might wish.
- Sometimes participants will need a lot of coaching before they can master a task; other times they need only instruction, or perhaps only relational leadership if they already know how, but have some attitude or motivation issues. You can't be sure, so you should always check.
- More experienced and reliable employees may move through the cycle more rapidly, short-circuiting it by not needing as much instruction or as much support. However, even the best employees can have difficulty with a task on occasion. Sometimes they have to learn something new at a time when there are many stresses or anxieties, and then they will need plenty of leadership support.

**DO:** Again, refer participants to the Employee Development Cycle diagram on page 10 of the *Participant Guide*.

Make it clear that you cannot give them a fixed formula for using the strategies in only one order. They must keep their eyes open and respond to needs as they arise. People are not very predictable.

**SHOW:** Show Slide C-5, *Developmental Leadership Practices* and discuss each of these four points.



### Optional Exercise (10 minutes)

**DO:** You can turn the four points on the slide into an activity using the exercise on page 17 of the self-assessment booklet. You can add to the exercise by having participants work on the Example Case on page 18 afterward, if you have the time. Use the following procedure:

- Have participants turn to page 17 of their self-assessment booklet and take the mini-assessment to determine if they are currently using developmental leadership practices.
- When they are finished, have them use the scale to determine if their use is high, medium, low, or none.

#### **If you have time...**

Have participants turn to page 18 of the booklet, read the example case, and answer the three yes/no questions. Discuss the implications of the “no” answer.



# Appendix D: Case Analysis and Interpretation

## Preparing for Training

### Equipment and Supplies

- Computer and equipment for presenting the PowerPoint slideshow
- Flipchart paper and easel
- Markers in a variety of colors

### Notes to the Instructor

Each of the 16 cases in the Strategic Leader Assessment offers four different options that represent possible ways of implementing the four core leadership strategies of Instruct, Coach, Relate, and Delegate.

People who have attitudes and values consistent with one of these strategies will tend to rate the success of the options based on that strategy higher than the other options, so the cases provide a good indication of type-tendencies in respondents.

The logic behind the selection of the best or optimal solution to each case is quite simple and is explained within Part 2 of the self-assessment booklet.

The best response mirrors the employee need(s) for task structure and consideration by using the strategy that provides an appropriate level of leadership focus on either structuring/teaching the task or supporting/motivating the employee.

In each case, simple clues are given as to whether the employee(s) in the case have mastered the task or not, and as to whether they are motivated to do it or not.

If you approach the cases with the goal of gathering and evaluating information about these two dimensions of leadership needs and behaviors, then it is fairly easy to select the “right” answer in each case (more on this when we discuss each individual case).

Where motivation is clearly high and can be counted on, the leader need only focus on the task and can use the Instruct strategy. Of course, the indicated strategy might be implemented in a wide variety of ways, as long as the tactics employed focus on raising task competency.

And yet the Instruct option in a case can only represent one specific example of the Instruct strategy, so in some cases, participants may think they know a “better” approach to the strategy.

From an instructional perspective, this is constructive, so long as they stay within the focus of the indicated strategy.

Often, however, participants will think that another approach is better because it is what they generally like or use, even though it is not consistent with the indicated strategy.

It is important to teach them that a more strategic (and generally more effective) leadership approach *fits the strategy to the needs* of the employee in *each* case, and so their general preferences are not universally valid.

Sometimes relational leaders (whose “type” is going to be Relate or Coach and who are very people-oriented) will argue that the case alternatives representing the Instruct and Delegate strategies are “too cold” and “not friendly enough” because they do not include an emphasis on supportive, relational leadership behaviors.

They might say, “*I’d never do that*” or something of the sort. This is a good opportunity to point out that perhaps they ought to consider doing whatever it is—for instance, providing information and instruction without extra support—when the context warrants it.

Leaders who always use their favored strategy type are acting out of the best of intentions—they genuinely *believe* their approach is the best. Yet from the employee’s viewpoint, these leaders are not always providing what is needed, and on the other hand are sometimes providing types of leadership that are definitely *not* needed.

If the goal is to develop increasing independence and self-management capabilities in employees (as Part 3 of the self-assessment aims to help leaders do), then the leader should avoid providing unneeded support or help, just as he or she should be sure to provide any leadership that *is* needed. A flexible approach is therefore essential, even though this means, in some cases, the leader must go against his or her first instinct.

### Teaching a More Discriminating Approach to Leadership Strategy

Because each case offers clear information for assessing context based on employee competence and desire to perform and then selecting the *one* strategy that fits the need, *there are always three options in each case that are poor fits* with the context. These options are not bad in and of themselves and might be effective in other cases, but they are not likely to do much good in the case in question and could even do harm.

Ideally, leaders will know enough to avoid using strategies that are not likely to work in a particular context or situation. Yet most people give medium (3) to high (4 or 5) ratings to *multiple* options in the cases on the Assessment. That means they often believe that *any* leadership action is likely to produce its intended result.

You can think of this bias (toward believing that many different leadership actions could be beneficial) as ***the intention fallacy***. Leaders think that if they intend to help an employee improve his or her performance, then whatever they do as a result of that intention is likely to be beneficial. In reality, actions taken without an appropriate strategic focus are not very likely to achieve the performance objectives and sometimes have a negative impact instead.

One beneficial result of training in strategic leadership is that it helps leaders become more discriminating in their assessment of possible leadership options. In training your participants, remember to help them work on identifying and avoiding ineffective and inappropriate leadership behaviors. This is certainly as important as helping them to find appropriate behaviors. Knowing what *not* to do is just as important as knowing what to do.

### Analyzing Each Case

What is the specific logic behind the solution to each of the cases? If you wish to discuss them in detail with participants, then following case-by-case notes may be useful. Make it clear, however, that *each* of the A through D responses is an example of a *good* leadership behavior in general terms. There are no clearly wrong or bad actions in these case responses—only actions that are wrong in the *specific* case and its context.

That is why it is challenging to take the Strategic Leader Assessment. You can't eliminate any option on its own merit; you have to look at how well it applies in the specific case.

(It would work against our training objectives to include any options that were poor in and of themselves, since it is plausible to expect that participants may remember and employ some of the options in these cases, which they should be able to do so successfully as long as they remember to use them in appropriate contexts by matching the response strategically to the employee's needs.)

A PowerPoint slide is provided for each case. As you review each case with the participants, the correct option for that case is provided in the training narrative.

### Analyzing and Interpreting the Strategic Leader Assessment

**DO:** Refer participants to page 2 of their self-assessment booklet.

**TELL:** We are now going to analyze and interpret each of the 16 cases on the Assessment.

These cases offered four different options that represent possible ways of implementing the four core leadership strategies of Instruct, Coach, Relate, and Delegate. For each case, there were always three options that were *poor* fits with the context.

While these options are not bad in and of themselves, and might be effective in other cases, they are not likely to do much good in the case in question and could even do harm.

**SHOW:** Show Slide D-1, Case 1.

**Case 1**

You have just received surprising information that requires your group to take a new approach right away. You know the group members are good enough to handle the changes, but they may feel anxious about it at first.

D-1

- TELL:**
- Let's take a look at each of the cases, beginning with Case 1. In this case, the group is *"good enough to handle the changes,"* so competence is not an issue. But *"they may feel anxious"* at first, so a strategy aiming to boost desire and build confidence is needed.
  - The correct answer is A—Relate: Ask each of them to talk about any personal concerns or anxieties they feel and help those whose concerns are serious.
  - In this case, Option A, Relate, fits the bill because the leader acts as a facilitator and guides the group through an airing and discussion of their concerns.
  - Other options may also sound good, but they fail to focus the leader's behavior on the desire dimension of performance. For instance, Option B is all about structuring their work, which is inappropriate since the case indicates they already have the capacity to handle the changes without active leadership involvement in this area.
  - Option C sounds nice too—share the information and ask them to come up with a new plan. But in fact, it does nothing about the attitude concerns. This group is not yet ready for the leader to delegate the whole problem to them, as option C does.
  - In Option D, the leader both structures the work and supports the performers as they do it—a classic example of the Coach strategy. This might work, but it is a lot more effort for the leader and fails to acknowledge the high level of competence the group brings to the challenge.

**SHOW:** Show Slide D-2: Case 2.

**Case 2**

Recently, several employees have resigned from your place of work and one remaining employee in particular has to do more work as a result. You know he is capable of handling the challenge, but right now he is angry about the situation.

D-2

- The correct answer is A—Relate: Cover for him as needed and focus on helping him feel better about the situation, figuring his performance will improve once his attitude does.
- As in Case 1, the problem here is on the attitude dimension, not the competence side of performance. The leader needs to be considerate, helpful, and supportive in order to turn this employee's attitude around.
- Option B is a clear use of the Instruct strategy because it focuses on "*his work plan*" rather than his feelings, and would only work well if the employee did not have emotional issues.
- Option C combines supportive and instructional leadership to represent the Coach strategy, and might work; however, it clearly requires more leadership time and effort than A and also risks making the employee feel that his expertise is not being respected.
- Option D delegates inappropriately. It gives the employee too much responsibility for someone who has emotional or motivation issues right now.

**SHOW:** Show Slide D-3: Case 3.

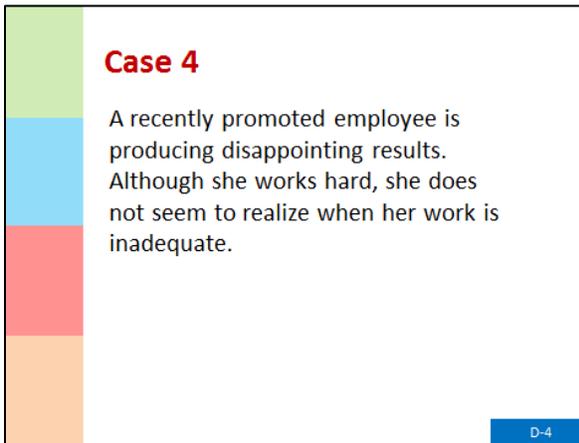
**Case 3**

In the middle of an important project, one of your team members quits. The new replacement is eager to help out, but lacks experience.

D-3

- TELL:**
- The correct answer is D—Instruct: Show her exactly what to do, then correct her work whenever she gets confused and approve it when it is correct.
  - Here, the new employee is “eager” and does not need any special effort to boost motivation, but clearly does need some help learning to master the work.
  - Some participants will argue that “a new employee needs more support than that,” assuming that this employee must have some attitude or confidence issues since she is new. Yet that is not always the case. In this specific case, in fact, the employee is observed to be eager to help out, suggesting that the leader need not worry about “*easing the transition*” along with teaching the task, as in Option B, the Coach strategy.
  - Option A is a pure Delegate approach, and may fail since we know the employee is not fully capable yet.
  - Option C is the Relate strategy, but will appeal to anyone who is friendly and supportive by nature. However, it focuses where there does not yet seem to be a problem and fails to focus on the task competency problem. Good intentions are not a guarantee of good leadership!

**SHOW:** Show Slide D-4: Case 4.



**Case 4**

A recently promoted employee is producing disappointing results. Although she works hard, she does not seem to realize when her work is inadequate.

D-4

- TELL:**
- The correct answer is A—Instruct: Spend more time with her as she works, showing her how to do a good job and when to make corrections.
  - Here, a hard-working, motivated employee is not performing up to new, higher standards following a promotion. We can infer that the primary issue is a lack of understanding or knowledge of the work.
  - Option B uses the Coach strategy to achieve the same objective of teaching her how to do her new job properly, along with plenty of supportive leadership. However, this is not necessary right now. Perhaps if the employee proves slow at learning the new tasks and gets discouraged, the leader may have to switch to a Coach strategy in the future, but hopefully it will never come to that if the leader quickly adopts the Instruct strategy, as in Option A.
  - Option C is an example of the Relate strategy. It may sound good to offer attention and encouragement as the employee learns the job, but the case points toward competency issues, so this option will probably not work unless the employee manages to teach herself whatever she lacks in the way of task skills and knowledge.
  - Option D pushes the responsibility for figuring out how to improve onto the employee's shoulders instead of the leader's. It is an example of the Delegate strategy in action. It will not work as well as A in this case, since we do not think the employee has enough skills at this point to take on full responsibility for her own performance. If she did, it would be appropriate, but in this case it simply sets her up for further failure.

**SHOW:** Show Slide D-5: Case 5.

**Case 5**

An employee made a series of mistakes that suggested she does not understand a technical point about her work. You tried to give her some constructive feedback, but she reacted defensively. Before you knew it, you found yourself arguing with her and you criticized her work more broadly than you had meant to. Now she is upset and angry.

D-5

- TELL:**
- The correct answer is C—Coach: Supervise her work more closely, but also apologize and try to be encouraging.
  - In this case, the leader is presented with an all-too-common problem—an employee who has gotten defensive about feedback the leader thought was constructive, not critical. Now the two have a conflict that needs to be resolved, so clearly the leader needs to be focusing on the attitude side of performance. But that alone is not enough, since we also know that the employee needed instruction about some technical aspect of her work.
  - The leader uses Coach, attending to the competency needs by supervising more closely, and also attending to the emotional issues in the conflict by apologizing and giving the employee emotional support.
  - Option A delegates (it uses the Delegate strategy), which is clearly a mistake here given the employee's combination of competency and attitude issues right now.
  - Option B is a pure Instruct approach and will not work well right now since the employee has emotional needs it fails to address.
  - Option D is purely relational (it uses the Relate strategy), and will certainly help resolve the immediate conflict. However, it will fail to eliminate the competency issue at the root of the conflict, so we can expect the problem to recur if Option D is used instead of Option C.

**SHOW:** Show Slide D-6: Case 6.

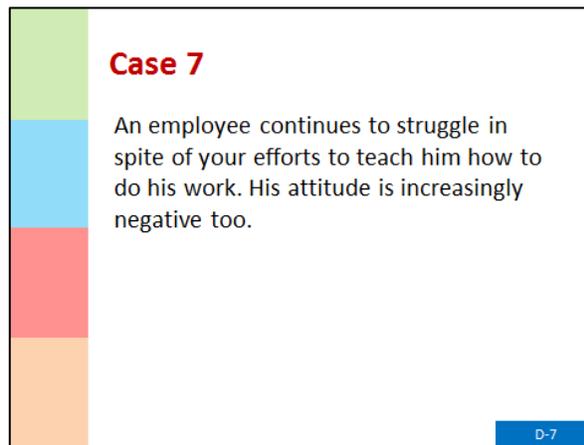
**Case 6**

Employees have been well trained in how to achieve new quality goals, but they don't seem to be taking the goals seriously.

D-6

- TELL:**
- The correct answer is A—Relate: Explain the need for the higher quality level and give them incentives to make sure they take the goals seriously.
  - Here, attitude stands in the way of progress, and until the leader can get employees to take the new quality goals seriously, no progress will be made, so the Relate strategy is indicated.
  - The leader uses Relate to focus attention on the goals. This option also makes sure employees understand **why** the new goals are necessary, which is essential to getting buy-in.
  - Option B represents the Coach strategy, combining a focus on supervising employees' work with an effort to improve their attitudes. It is not a bad option, but a close reading of the case shows that there is no information to indicate competency problems, so Option B is an overreaction that takes the leader into a hands-on supervisory role that is not needed in this context.
  - Option C is the Delegate strategy and will not work unless the motivation issue is fixed first.
  - Option D is highly task-oriented and instructional, an example of the Instruct strategy. But since we think the issue is attitude and not competency, this approach will not work very well. It will (as a side effect) at least demonstrate that the leader cares about the new quality goals, but it won't transfer that concern durably to the employees.

**SHOW:** Show Slide D-7: Case 7.



- TELL:**
- The correct answer is D—Coach: Give him encouragement and support in order to improve his attitude, and also spend more time teaching him how to do the work correctly.
  - This case describes an employee whose performance is deteriorating, apparently due to difficulties in mastering his work that are now beginning to have a negative impact on his attitude. Both competence and desire to perform are at a question here, so the leader needs to address both at once.
  - The Coach strategy will address the competence and desire issues in this case.
  - Option A employs the Instruct strategy, which fails to address the employee's deteriorating attitude, so probably won't work well in this particular case.
  - Option B uses long-term goals to provide a framework for using the Delegate strategy. The employee is not yet ready for that high degree of self-management, so this option is likely to fail too.
  - Option C uses a Relate strategy to "work on attitude," but we know from the case itself that more than attitude needs work. There is also the need to address his apparent lack of competence by teaching him how to do the work better.
  - The case describes the leader's past "efforts to teach him how to do his work." This suggests that the leader was focusing on the task and using the Instruct strategy previously. However, we can infer that it didn't work because the employee had some emotional or attitude issues along with competence issues. Switching to the Coach strategy should solve the problem.

**SHOW:** Show Slide D-8: Case 8.

**Case 8**

You usually hold a morning meeting in which you give each employee their assignments for the day, but lately your group has been performing so well and with such enthusiasm that you wonder if it is really necessary.

D-8

- TELL:**
- The correct answer is C—Delegate: Reduce the meetings to twice a week and have employees prepare multi-day plans that they present for discussion during those meetings (instead of your telling them what to do).
  - This group is performing well and with enthusiasm, and therefore does not need as close supervision as the leader has been providing.
  - The Delegate strategy gives the employees more of the responsibility for planning their daily work, but maintains periodic touch and ensures discussion of the goals and performance against them.
  - Remember, however, that delegation won't work simply by ignoring the employees; it is always necessary to provide some level of communication and control.
  - Option A shows the leader continuing to use an Instruct strategy. This would be a mistake, as it would ignore the employees' development and continue to treat them as not fully competent.
  - Option B illustrates the Coach strategy. The leader steps up his or her leadership efforts by adding support to the instruction of A. It is not appropriate here since employees do not need (and will probably resent) the high degree of involvement in their performance that the leader needs to have with this strategy.
  - Option D shifts the leader's focus of the daily meetings to support and encouragement using the Relate strategy. It's not going to do any harm, but neither is it necessary. And if employees are ready to take on more responsibility, then the leader might do better by saving all that meeting time and letting employees use it to be more productive.

**SHOW:** Show Slide D-9: Case 9.

**Case 9**

An employee has not submitted monthly progress reports since your firm introduced a more complex version of the report form. He avoids talking to you about it and seems less happy than he used to be with his job.

D-9

- TELL:**
- The correct answer is C—Coach: Spend time with him going over the form and helping him fill it in, and also take advantage of the time together to learn more about how he is feeling toward his work.
  - Problems with the new form (competence issues) are leading to a deteriorating attitude toward the job. The leader in this case needs to work on both dimensions at once.
  - The Coach strategy will allow the leader to be supportive and sympathetic, and the employee is likely to respond positively to this extra attention.
  - Option A is an example of the Delegate strategy, which is not likely to work here since there are apparently competency and attitude problems in the way of handing over responsibility to this employee.
  - Option B is a good example of the Relate strategy, and it might resolve the attitude issues except that there is a problem with the employee's competency that needs to be addressed too, so the Coach strategy is more likely to succeed than Relate.
  - Option D uses the Instruct strategy to teach the employee the skills involved in using the new form. It might have worked at first, before the employee's attitude deteriorated, but right now the Coach strategy is needed instead.

**SHOW:** Show Slide D-10: *Case 10*.

**Case 10**

You have recently taken over a group of employees who are experienced at their work and seem to take their responsibilities very seriously.

D-10

- TELL:**
- The correct answer is C—Delegate: Go over their goals with them and ask them to prepare a plan for their next month’s work.
  - It is easy to confuse the desire to be accepted and liked by a new group with the selection of leadership strategy in this case. While many people favor Option A, Relate, because it seems so friendly, there is no reason to increase this group’s emotional support right now. They already are performing well and sound self-sufficient and self-motivated.
  - This group will respond best to a new leader who recognizes this and leads them in an appropriate manner, and one who shows respect for their competency and commitment. In this case, Delegate is the preferred strategy.
  - Option B, a Coach approach, is not needed here because of what we know about this group’s excellent attitude and fine performance.
  - Option D, the Instruct strategy, is also not needed since this group does not need their new leader to come in and tell them how to do work that they already have mastered.

**SHOW:** Show Slide D-11: *Case 11*.

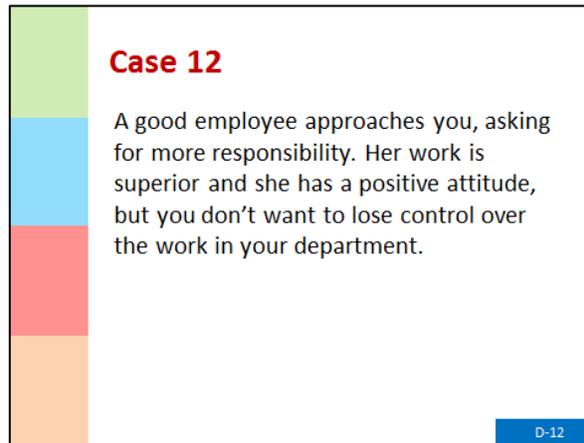
**Case 11**

An employee is having trouble learning how to do a new task, but his attitude is positive and he assures you he will keep trying until he succeeds.

D-11

- TELL:**
- The correct answer is A—Instruct: Have a seasoned employee who knows the job well provide step-by-step instructions and watch over him for a few days.
  - In this case, the employee has some competence issues, but is motivated to learn, so the solution is to use the Instruct strategy.
  - With the Instruct strategy, the leader teams the new employee with a more experienced employee who can teach him what he needs to know.
  - Option B uses a classic Delegate strategy in which the leader uses a meeting with the employee to set general goals and then gives the employee responsibility for pursuing them. Eventually that should be possible with this employee, but not quite yet.
  - Option C uses the Relate strategy. Its emphasis on boosting motivation is not appropriate here where the employee's attitude is already strong, and it fails to address a competence problem in the case.
  - Option D coaches the employee with a combination of support and instruction. While this wouldn't do any harm in the case, it is more involved than is necessary and treats the employee as less self-motivated than he currently is, and so might not move him to readiness for delegation as quickly as possible.

**SHOW:** Show Slide D-12: Case 12.



**Case 12**

A good employee approaches you, asking for more responsibility. Her work is superior and she has a positive attitude, but you don't want to lose control over the work in your department.

D-12

- TELL:**
- The correct answer is B—Delegate: Agree to let her work with less supervision and trust her with some new responsibilities, so long as she is willing to share her progress with you in a weekly e-mail briefing that you ask her to prepare.
  - Many managers participating in leadership courses worry about “losing control” in cases such as this one, and that anxiety keeps them from delegating when the employee is ready for it. However, in this case, the Delegate strategy is the best option.
  - Option A continues to use an Instruct approach even though the employee is clearly beyond the need for this strategy.
  - Option C increases the amount of leadership provided by switching to the Coach strategy. The employee does not need it.
  - Option D uses a Relate strategy, which also does not seem needed in this case. If delegation is done well, there will be sufficient recognition and considerate treatment through regular interactions with the employee, and there will not be any special need to increase the relational treatment.

**SHOW:** Show Slide D-13: Case 13.

**Case 13**

An experienced, enthusiastic employee has volunteered to learn a difficult software program. You are the only one who knows how to use it.

D-13

- TELL:**
- The correct answer is B—Instruct: Walk him through the software step-by-step, then watch and give any needed advice as he tried to do it himself.
  - In this case, the employee is motivated but lacks knowledge of how to use the program. Since you do know how to use it, your logical choice is to Instruct. Option B illustrates the preferred Instruct strategy.
  - Option A represents the Delegate strategy. The employee might succeed in teaching himself using the manual, but providing personal instruction is more likely to ensure success.
  - Option C supports the employee with the Relate strategy, which is not appropriate in this case since the barrier to progress is in the competency area and not in the area of the employee’s attitude.
  - Option D uses the Coach strategy. It might work in this case and is not a bad choice, but it is more involved than B and does not seem necessary given that the employee is approaching the task with a strongly positive attitude already.

**SHOW:** Show Slide D-14: Case 14.

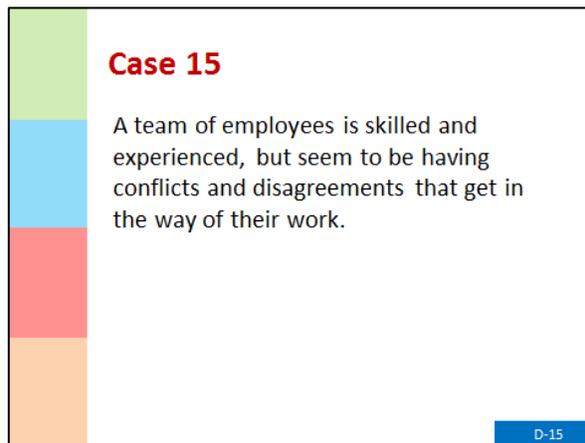
**Case 14**

New equipment is causing a lot of errors and slowdowns, and employees are complaining that they don't want to have to learn how to use it.

D-14

- TELL:**
- The correct answer is A—Coach: Give them a break and encourage everyone to relax and get ready for another try, then stand by and have them ask you questions whenever they get confused.
  - In this case we are told about both “hard” performance-related problems suggesting competency issues, and also “soft” attitude issues arising from the difficulties employees are having with new equipment.
  - At this point, the Coach strategy illustrated in Option A is required, as the leader is facing both attitude and competency problems.
  - Option B is a way to Delegate the responsibility to the employees. They do not sound properly prepared to succeed, and therefore the leader should not risk delegating to them now.
  - Option C is the Instruct strategy. It would address the need to become more competent in the use of the new equipment, but since there are now attitude issues as well, this strategy would not work as well as coaching would.
  - Option D uses a sympathetic Relate strategy, which might improve attitudes, but does not address the need to increase employee understanding of the new equipment too.

**SHOW:** Show Slide D-15: *Case 15*.



**Case 15**

A team of employees is skilled and experienced, but seem to be having conflicts and disagreements that get in the way of their work.

D-15

- TELL:**
- The correct answer is C—Relate: Encourage them to work on their problems, listen to their concerns, and offer support and advice to anyone who wants it.
  - A competent, experienced team is having “people problems,” indicating a need for relational leadership focused on their attitudes rather than their skills.
  - Option C uses the Relate strategy to work on the team’s attitudes and help them resolve their conflicts.
  - Option A gets the leader involved not only in working on the attitudes, but also in supervising the work directly. It is, therefore, an example of the Coach strategy. It might improve performance, but is not necessary at this point, and probably won’t lead the group to resolve its conflicts and become self-sufficient performers again.
  - Option B uses the Instruct strategy, which is overly focused on the work. This case requires the leader to focus on the people and their concerns. They know how to perform well, but aren’t, so instructing them in how to perform is not going to get at the root causes of their current performance problem.
  - Option D gives them full responsibility for resolving any problems and fixing their work. Delegation is not likely to work here since we know that they are not fully ready emotionally.

**SHOW:** Show Slide D-16: Case 16.

**Case 16**

An employee has just come to work for you from another location. Although new, he seems to have done most of the work before, and in fact has some good new ideas and approaches. You are pleased with his can-do attitude.

D-16

- TELL:**
- The correct answer is D—Delegate: Welcome him into the group and then let him work at a high level of responsibility with only occasional check-ins.
  - Here we have a new employee who appears to have both a healthy attitude and a high level of skill. In this case, Option D illustrates the preferred Delegate strategy that should be used by the leader.
  - Option A uses the Instruct strategy, which is not needed given the employee's expertise and would probably be insulting to him.
  - Option B uses the Coach strategy to work on attitude and competence. Since neither is an issue, it would be a waste of both the leader and the employee's time and it might demotivate the employee—who presumably knows he is good and might resent being treated as if he isn't capable.
  - Option C uses the Relate strategy. It sounds friendly and nice to give the new employee special attention and "*ease his transition,*" but it is not appropriate in this case. The employee's transition already sounds like it is well under way, since he is motivated and already making a difference through his performance. What he needs is to be trusted in his new role, not babied.



# Appendix E: Technical Notes on the Design of the Strategic Leader Model

## Table of Contents

Summarizing Ten Years of Original Leadership Research .....	E-162
Early Origins of the Core Dimensions .....	E-164
Single-Style versus Multi-Style Prescriptions for Leaders.....	E-165
Expanding on the Ohio State Model.....	E-166
The Style-Modification Paradox and the Strategic Resolution of It.....	E-166
Further Explorations of the Core Dimensions.....	E-167
Prescriptions for Leadership Effectiveness.....	E-169
Leadership and Employee Development.....	E-170
Corporate and Personal Benefits of Employee Development.....	E-172
Moving Employees Toward Delegation with the Life Cycle Model.....	E-173
Expanding the Definitions of Ability and Willingness .....	E-173
Ambiguity Surrounding Sequence of Motivational States .....	E-174
Avoiding Fixed-Sequence Assumptions about Motivation .....	E-176
Portraying Employee Needs on the Grid .....	E-177
Exploring the Problem of Leading Demotivated People.....	E-179
Constructing an Employee-Needs Version of the Ohio State Grid.....	E-179
Thinking of the Dimensions as Emotional versus Cognitive.....	E-182
Employee Development through Job Enrichment.....	E-183
Concluding Comments.....	E-184

## Technical Notes on the Design of the Strategic Leader Model

The *Strategic Leader Assessment* is an assessment tool, model of leadership behaviors, and prescriptive job aid for managers and other workplace leaders. It uses as its central model a description of leadership behavior that derives from classic studies of management behavior and leadership style and also reflects a decade of original research (through case studies, statistical surveys and modeling), performed by Alex Hiam & Associates in collaboration with various researchers. The Assessment and its strategic leadership model modifies, extends, and integrates a number of models and findings from diverse streams of research. It in some cases attempts to resolve inconsistencies or apparent errors in earlier models or teachings. It does *not* rely on unproven or hypothetical concepts, since it is built on the premise that leaders need to be given validated tools and advice rather than theoretical or presumptive opinions presented as fact.

Much of what is taught today to supervisors, managers, and team leaders is not derived obviously or clearly from careful research. It is an interesting question as to why consultants, trainers, and even professors will often present ideas as if they are validated when they are not. There has been a tremendous effort to develop a science of management over the past 75 years or so, and much of what has been learned has been humbling in the sense that models and methods concerning employee performance rarely prove to be as valid and effective as their designers expected. It is common for a model to be formulated with high hopes, and then to prove far more complex and confusing in testing, perhaps to be modified or extended, or even to be discarded after considerable efforts to prove it through controlled research. The upshot of this growing body of research ought to be a growing realization that human behavior is highly complex and difficult to understand or influence. Yet it is easy to fall into deceptively simple generalizations when it comes time to train leaders in how to manage human performance in their workplaces.

To avoid this risk as much as possible, the Assessment was built through a reexamination of every assumption and the model was constructed through careful reference to a long stream of research and development of models of similar form. Although new in a number of ways, the Assessment is essentially a conservative model, designed with the goal of representing in a practical way for managers only what is fairly well established as generally useful and valid. The following provides an overview of our research on the model and the extensive earlier research by others that we considered in the design and development of the Strategic Leader model.

### Summarizing Ten Years of Original Leadership Research

In 1992, I published the results of a study of Conference Board member companies undertaking a rigorous reinvention under the banner of total quality management (Hiam, *Closing the Quality Gap: Lessons from America's Leading Companies*, Prentice-Hall 1992; see especially Chapter 9, "Leadership"). At that time and in that group of companies, management was being redefined to involve a more proactive, transformational leadership role, to engage employees more fully in communications and decision-making, to develop new employee skills and capabilities, and to manage motivation by focusing on important transformational goals and redefining individual employee tasks based on those new goals. In my in-depth case studies, a common theme emerged. Each successful transformation involved extensive rethinking of the leadership role.

And in each case, leaders were being retrained and re-motivated to see their roles differently. Their behavior toward employees changed. They became more involved in the “hard” aspects of individual employee’s and work group’s task design—providing job enrichment, feedback, and support as work processes were reengineered and individual tasks defined in more efficient, effective, and clear ways.

Also in these case studies, leaders were becoming more actively involved in the “soft” aspects of management—using communication and facilitation techniques to help, engage, and motivate their employees. The combination of more and better practices on both the task and people dimensions was central to this stepped-up role for leadership and made many breakthroughs possible in the organizations we studied. Later quantitative studies of Conference Board member companies allowed us to construct a path model and determine that, of all the factors affecting bottom-line outcomes from quality or reengineering efforts, leadership was often the most important causal factor (results summarized on p. 302 of Hiam, *Motivating & Rewarding Employees*, Adams Media, 1999).

Which leadership behaviors are most important, when? This is a natural question to ask since today’s leaders need to be given as much guidance as possible—but not unhelpful or misleading guidance. In 1998, I collaborated with Richard J. Petronio, Ph.D., of Surcon International (Chicago) to seek a definitive answer to this question. Surcon’s internal database contains statistical results from millions of employee surveys and from thousands of business unit’s financial results, gathered in the process of providing consulting and survey work for clients in many industries. Surcon (unlike most survey research firms) builds models of performance from linked data sets for each of its clients so that it is statistically able to provide a model of the causal links from hard-to-measure variables such as employee perceptions of their leaders, on the one hand, and variations in hard measures of output on the other hand. (For instance, Surcon often compares different facilities within a company to show how productivity or profitability is affected by variations in management behavior.)

Our goal was to probe the combined data from many such engagements to seek broader patterns that could safely be generalized to all companies. (There are many such efforts to do so in the research literature on management and leadership, of course, and I will review many of the most relevant ones in later sections, but we felt it imperative to make an independent effort to link leader behavior with performance results in modern workplaces through this more extensive and practical database of case histories.)

I reported on the findings of this study (in Hiam 1999, pp. 304–310), and in particular on the universal importance of two dimensions of leadership behavior that had a determining impact on profits or other performance measures in every case studied (quoted from p. 306):

1. *Initiation of job structure.* When supervisors are good at organizing and structuring work, identifying who does what, managing and teaching the technical aspects of the work, and generally providing appropriate structure and roles for each employee, then employee motivation is higher. A concern for task structure and definition is key.
2. *Consideration.* When supervisors are considerate of employees, are good at listening, communicate well, make themselves available, and are considerate of employees’ feelings, then employee motivation is higher.

Initiation of job structure and consideration are the two key variables that cross company and industry boundaries in the Surcon database. No matter what company or industry...these are important to management style and have considerable power over the bottom line....If you track these variables for two or three years, you generally find that motivation and profits rise with them.

The Surcon study reported in Hiam 1999 also concluded that “from 40 to 50 percent of profit margin fluctuations at companies are predictable based on employee feelings and opinions,” in particular measures of employee perceptions of their managers on the two variables described above (the other 50 to 60 percent of profit fluctuations are outside of the model, and are often driven by economic factors, competition, and so forth.)

In Hiam, *The 24 Hour MBA* (Adams 2000), I showed one approach to providing leadership training in a modern workplace focused on how to manage these two key variables. Leaders (as this practical treatment illustrates) can be taught techniques for effectively focusing on the tasks to develop increasing competence and raise the quality of the work (see Chapter 5, Leading to Build Commitment), to build employee motivation, and strengthen their desire to succeed at the work. They can be taught a different set of skills to develop increasing competence and raise the quality of the work (as in Chapter 6, Leading to Build Competence), and these two sets of skills can be dove-tailed in practice to provide a high-performance work environment, as in Chapter 7 of Hiam 2000 or in other ways to reflect more specific management issues and needs, as in Hiam, “The New Leadership Essentials,” Chapter 12 in Meredith, Schewe et al., *Managing by Defining Moments*, New York: Hungry Minds, Inc., (John Wiley & Sons) 2002, where “task orientation” and “people orientation” are the terms used to describe the same two variables identified in the Surcon study.

These two variables were further analyzed through a theme analysis of research on leadership and management as it relates to human and organizational performance, and were found to be central to many earlier studies. This analysis was extended by integrating more specific and detailed studies of relevance to one or the other of the variables in order to deepen or extend our findings as to how they can be effectively implemented in workplace leadership. The examination of prior research starts with findings from the 1950s and 1960s.

### Early Origins of the Core Dimensions

Remis Likert (*New Patterns of Management*, McGraw-Hill, 1961) identified two general classes of supervisory behavior: employee-oriented behavior (which focused on meeting the social and emotional needs of employees) and job-oriented behavior (which focused on careful supervision of work methods and task results).

Edwin Fleishman and associates at Ohio State, who used factor analysis to identify the key variables in supervisory behavior based on employee surveys, obtained similar results at almost the same time. In R. M. Stodgill and A. E. Coons, *Leader Behavior: Its Description and Measurement* (Ohio State University, Bureau of Business Research, 1957), these variables were defined as *consideration* and *initiating structure*. Consideration involves leadership behavior directed toward the social or emotional needs of the employees—such as being helpful and kind and sharing the reasons for decisions. Initiating structure involves leadership behaviors directed at achieving results through the accomplishment of tasks, such as telling employees what they are expected to do, making sure employees follow procedures, monitoring work to make sure it meets standards, or setting performance goals.

Similarly, Robert Kahn and Daniel Katz’s *Leadership Practices in Relation to Productivity and Morale* (1962) examined the influence of supervision (especially how closely tasks were supervised) and also of supportive behavior toward the employee on the part of managers—thus isolating two key variables that also emerged in other studies of leadership style and form the foundations of the Assessment’s leadership strategies grid.

In 1964 (and in later publications), Robert Blake and Jane Mouton presented a leadership grid that was based on attitudinal (as opposed to behavioral) variables—but aside from this difference in how the dimensions are viewed and measured by the researchers, the grid is quite similar to that still used in many leadership training and assessment protocols, and in the Assessment. Blake and Mouton called their two dimensions “concern from production,” which corresponds to the task-orientation side of other managerial grids, and “concern for people,” which corresponds to a supportive or people-oriented dimension. (They used the following names for the four combinations in their grid: high-production/low-people = Authority-Compliance; high-production/ high-people = Team Management; low-production/high-people = Country Club Management; low/low = Impoverished Management.) Details of this model are explored in R. R. Blake and A. A. McCauley, *Leadership Dimensions—Grid Solutions*, Gulf Publishing Co., 1991. It is extended to the sales function by adapting the dimensions to be concern for sale and concern for customer in Blake and Mouton, *The Grid for Sales Excellence* (2<sup>nd</sup> Ed.), Scientific Methods, Inc., 1970.

### Single-Style versus Multi-Style Prescriptions for Leaders

While the Blake and Mouton leadership and sales grids use comparable dimensions and look similar to the managerial grids arising from the Ohio State studies, there is a fundamental difference of interpretation or use of the grids. Blake and Mouton have stated that there is one best approach in all managerial situations—to use the maximum concern for both production and people—their “Team Management” style of leadership in which work is accomplished by “committed people” who have a “common stake” in the organization and its goals and who relate to one another based on trust and respect.

In Strategic Leadership, this finding is rejected on the grounds that, as John Wagner and John Hollenbeck conclude in a review of the literature, “a good deal of research argues against the notion that there is any ‘one best way’ of leading, regardless of followers and situations” (*Management of Organizational Behavior*, 2<sup>nd</sup> Edition, Prentice-Hall, 1995, p. 385). This is not a rejection of Blake’s findings concerning the efficacy of management that generates commitment, trust, and shared goals—those do seem to be virtually universal in their desirability. However, they do not necessarily flow directly from one combination of the two underlying dimensions of task and people—and nor are they impossible results from the other combinations. For example, when an employee has a lot of skill, experience, and professionalism, she may feel more committed and goal-oriented if the leader delegates to her—using low levels of emphasis on supervising the task or supporting the person—than she would if she were feeling “over-managed” and therefore distrusted by a leader who insisted on coaching every detail of her performance.

Perhaps at least part of the difference of viewpoint between Blake and others is explained by the difference in how Blake and his associates define the dimensions of their grid: based on “concern” for production and people—a basic attitude on the part of the manager. Other managerial grids take a behavioral (not attitudinal) approach. Behaviors can and should vary depending on the situation. But perhaps as important an underlying attitude as concern should not. How effective could any leader be without concern for both the people and the work to be done? In the Strategic Leader Assessment model, it is assumed that the task and the people are important and that the leaders ought to be consistent in their interest and concern for them—but that their behavior ought to vary in order to best express their concerns in different contexts.

## Expanding on the Ohio State Model

Paul Hersey and Kenneth H. Blanchard's "Life Cycle Theory of Leadership" (*Training and Development Journal*, ASTD, 1969) built on the Ohio State studies and Blake and Mouton's similar managerial grid. In reviewing and noting the similarities between the Ohio State model (with its initiating-structure and consideration dimensions) and the Blake/Mouton grid (with its concern for production and concern for people), Hersey and Blanchard concluded that "there is no normative (best) style of leadership" and that "successful leaders are those who can adapt their leader behavior to meet the needs of their followers and the particular situation" (hence their later use of the name Situational Leadership to describe their approach).

Hersey and Blanchard argue (in the same 1969 paper) that Blake and Mouton's Managerial Grid is not incompatible with the Ohio State leadership studies, even though the Managerial Grid studies pointed to one optimal leadership style (high concern for both production and people) while other findings pointed toward a need for leader flexibility. Specifically, Hersey and Blanchard point out that "behavioral assumptions have often been drawn from analysis of the attitudinal dimensions of the Managerial Grid" and "it is assumptions about behavior drawn from the Managerial Grid and not the Grid itself that are inconsistent with the Leader Effectiveness Model."

## The Style-Modification Paradox and the Strategic Resolution of It

Hersey and Blanchard present a behavioral grid model very similar to the Ohio State one, in which the two dimensions of leader behavior are labeled as "task" and "relationships"; in later publications, they clarify these dimensions by defining them more fully as "task orientation" and "relationship orientation." Individual leaders' styles vary on these two dimensions. Effectiveness is seen as varying based on the combination of leader style and the situation. Leaders are seen as needing to learn to modify their style to fit the situation, but Hersey and Blanchard cite numerous studies of problems arising from efforts to change leader style. They caution that unpredictability on the part of leaders can hurt employee attitudes and performance, and also that aspects of leader style are linked to relatively inflexible aspects of personality and may be slow and difficult to change.

Thus the (1969 Hersey and Blanchard) paper seems to present a paradox. Ideally, leaders will be flexible in their style to meet varying needs. Yet style is risky and difficult to change. In the Assessment, we back off of the notion of style in the sense it is often used in psychology (as related to fundamental aspects of personality). Instead, we address the task and people orientations more on the strategic than the style level, following the insight provided in his review of the leadership literature by Peter J. Dean ("Leadership, Leaders, and Leading: Part Three," *Performance Improvement Quarterly* 15(3), 2002). He wraps up his review with the conclusion, "the most to be expected from leadership theory is general guidelines and branching scenarios that can be expected to unfold under shifting and often unpredictable circumstances."

A strategy is a general plan or technique for achieving some end (according to dictionary definitions). Strategies provide the general guidelines for action, but unfold in various ways as circumstances shift or more experience or information is acquired through action. Tactical-level actions can branch in different directions in spite of their having a single, constant strategic guide at a higher level of leadership conceptualization.

Leaders formulate strategies of many kinds—often having to do with external objectives for their organizations. For instance, they might adopt a growth strategy involving an effort to gain market share by outselling key competitors. Such a strategy then leads them (and others in their organization) to focus on selling more than a competitor does. They may do this in many different ways. They may give their employees freedom to pursue the strategic objective creatively, so long as any tactics adopted are indeed oriented toward the objective. Thus, strategies are fixed in their basic purpose and orientation, but very open-ended behaviorally. They permit alternate tactics. In the Assessment, any specific, purposeful orientation toward a combination of task and person is viewed in this same manner—as a strategy that focuses the leader’s intent and inspires one or more appropriate tactics. The leader’s personal style and many other situational variables may have an impact on the types of tactics considered and adopted and whether they are effective or not. Style thus becomes a secondary, although still important, aspect of the leader’s behavior. The basic orientation dictated by the task/person grid is interpreted on a more strategic leadership level.

### Further Explorations of the Core Dimensions

In 1970, Fred Fiedler published his research on leadership in “The Contingency Model: A Theory of Leadership Effectiveness (*Problems in Social Psychology*, Second Edition, McGraw-Hill 1970), in which he used a three-dimensional model that included “affective leader-member relations”—corresponding roughly to the people dimension of the Ohio State studies, and “Task structure”—corresponding to initiating structure. Fiedler then added a third dimension, “Leadership position power,” which is not included in the Assessment.

In his article, he pointed out that “Tasks can...be structured to a greater or lesser extent by giving very specific and detailed, or vague and general instructions...” He also found that leaders did best by providing much of the structure in an autocratic manner when there was a high need for structure in the task, whereas when there was no clear idea of how to get a task done a more democratic, open process worked better for leaders. This seems to get into some aspects of style that are external to the management grid underlying the Assessment and that are best thought of as affecting how a leader might implement a specific style or strategy. For instance, during a crisis a leader can be expected to use any of the managerial styles from the grid differently from how s/he might use the same style during routine operations. Fiedler thus opens up a broad set of secondary (but nonetheless important) questions about implementation patterns and approaches for leaders. Considerations as diverse as the positional power of the leader and the nature of the current challenge or goal may need to be considered in selecting the best leadership behavior in any context. However, in spite of the added complexities of additional concerns or influences, the two core dimensions of task and people orientation continued to be important in this contingency model (and are viewed as foundational in the Assessment as well).

At least one study of employee attitudes and performance attempted to test the impact of varying leadership styles arising from the basic dimensions of the managerial grid (see G. I. Graeff, “The Situational Leadership Theory: A Critical Review,” *Academy of Management Review* 7, 1983). In this study, employees who were low in “maturity,” defined as low in both ability and willingness to perform a task, performed better when managed with a directive style than with other styles tested. This possibly reflects the influence of an unmeasured variable, the extent to which the managerial style was coercive and based on extrinsic motivators, versus inspirational and relying on intrinsic motivations. People who are not motivated to perform a task and don’t know how are not going to perform well unless the leader either changes their underlying condition (by teaching them and/or motivating them), or the leader supplies the motivation and know-

how by making them do the right things. (In the Strategic Leader Assessment model, the former is presumed to be desirable.)

The specific definitions of each leadership style as studied by Graeff are based on Hersey and Blanchard's model of Situational Leadership, and a close reading of situational leadership style descriptions suggests that they may complicate the basic task and people dimensions of the managerial grid with another issue of leadership style—one that was first formulated in terms of an authoritarianism scale, and then seems to have been picked up or at least paralleled in studies of employee motivation (in particular in the distinctions between leading with an emphasis on intrinsic versus extrinsic motivation). The core concept is that leaders can either *make* or *let* their employees perform well (see Kenneth W. Thomas, *Intrinsic Motivation at Work*, Berrett Koehler 2000, for an overview of contemporary thinking on motivational leadership; his approach adds another dimension to the management grid in that in each of its quadrants the leader might implement with a more controlling/extrinsic style or a more inspiring/intrinsic one).

One of the roots of the motivational-style issue is found in “How to Choose a Leadership Pattern” (Robert Tannenbaum and Warren Schmidt, *Harvard Business Review*, 1958), where the distinction between an authoritarian style of leadership and a democratic one is established. The authoritarian one is directive and not very concerned with the people and how they feel or what they think. Its main interest is in getting the task done and the goal accomplished by telling people what to do. It has a rough correspondence to a high-task, low-person orientation such as is represented by the Instruct strategy in the Assessment model—especially if the leader tends to use this strategy in a directive manner rather than encouraging a participative give-and-take about task-oriented questions such as how to set goals or create feedback about performance. The correspondence between the two styles—democratic and authoritarian—and contemporary ideas about leadership style or strategy based on the managerial grids, is imperfect. Some authors (such as Hersey and Blanchard) have tended to equate authoritarian style with the high-task/low-person orientation, and democratic (or, to use a more current term, participative) leadership with a high-task/high-person orientation. But it can logically be true that someone might implement either of these orientations differently depending on how authoritarian or democratic their style tends to be. There is certainly room for variation and personal expression in the implementation of any of the basic orientations in the task/person orientation grid.

The core model—in which leader behavior is defined by extent of orientation toward or attention given task structure on the one hand and the people doing the task on the other—has received additional research support in a study by G. Graen, R. Linden, and W. Hoel (“Role of Leadership in the Employee Withdrawal Process,” *Journal of Applied Psychology* 67, 1982). They observed that the traditional research approach to these two dimensions involves administering a survey to employees and then averaging employee ratings of their leaders. (Thus each leader receives two average scores, one for each dimension.) Yet managers do not treat all employees the same (and nor should they according to the Ohio State and Situational Leadership models). To refine the research methodology, Graen et al. compiled so-called dyadic scores, which examine results across pairs of leaders and employees instead of across averaged data. Their method reduces the confounding effects of differential treatment. And it shows stronger performance-related results from dyadic variations in leadership behavior on the two core dimensions.

Specifically, Graen, et al. concluded that leaders who treated employees more considerately were more likely to have satisfied employees, and that leaders who provided more initiating structure were more likely to have employees who were clear on their roles (knew what to do). These leader orientations were shown to correlate with potentially important aspects of employee attitude and task understanding.

## Prescriptions for Leadership Effectiveness

In addition, Graen’s finding that dyadic measures correlate more highly than average group ratings is evidence that leaders naturally do vary their emphasis along these two dimensions depending on which employee they are interacting with. In other words, leaders seem to already use a form of situational leadership, even without receiving specific training. They are certainly capable of treating different employees to different levels of task and people orientations, since Graen shows that many leaders already do so. Whether they do so in the most effective possible manner is another issue. It appears that most managers do not optimize their behavior toward specific employees without training in how to do so. The need to focus leaders’ attentions on the effectiveness of their use of these two orientations is behind Hersey and Blanchard’s introduction of what they call an “effectiveness dimension” to the basic grid. Hersey and Blanchard (in *Leader Behavior*, Management Education & Development, Inc., 1967), state that their model adds an effectiveness dimension to the Ohio State model. They reiterate this point in “Life Cycle Theory of Leadership,” saying, “...By adding an effectiveness dimension to the Ohio State model, a three-dimensional model is created.”

Blanchard later published a series of training materials based on the grid, modifying its presentation in certain ways. In *The Color Model: A Situational Approach to Managing People* (Blanchard Training and Development, Inc., 1985) he labels the axes “directive behavior” and “supportive behavior.” He defines effectiveness in terms of appropriateness of the amount of directive and/or supportive behavior the leader provides, given the needs of the follower as defined by “the competence and commitment (Development Level) that a follower exhibits in performing a specific task.” Blanchard uses somewhat different terms and definitions of the four leadership styles in his grid as well. It is perhaps simplest to present both the original terms and definitions from Hersey and Blanchard, and the newer ones from Blanchard, at the same time for the sake of comparison:

ASSESSMENT STRATEGIES	COMPARATIVE HERSEY STYLES	COMPARATIVE BLANCHARD STYLES
<i>Instruct</i> by focusing on the performance.	Telling. High task, low relationship. Provide specific instructions and closely supervise performance.	Directing. High directive/low supportive behavior: Leader provides specific instructions (roles and goals) for follower(s) and closely supervises task accomplishment.
<i>Coach</i> by focusing on both the performance and the performer.	Selling. High task, high relationship. Explain your decisions and provide opportunity for clarification.	Coaching. High directive/high supportive behavior. Leader explains decisions and solicits suggestions from follower(s) but continues to direct task accomplishment.
<i>Relate</i> by focusing on the performer.	Participating. High relationship, low task. Share ideas and facilitate in making decisions.	Supporting. High supportive/low directive behavior: Leader makes decisions together with the follower(s) and supports efforts toward task accomplishment.

## Strategic Leader

<i>Delegate</i> by focusing on the employee's need for independence.	Delegating. Low relationship, low task. Turn over responsibility for decisions and implementation.	Delegating. Low supportive/low directive behavior: Leader turns over decisions and responsibility for implementation to follower(s).
	Source: Paul Hersey, <i>The Situational Leader</i> , Center for Leadership Studies, 1984, p. 63.	Source: <i>The Color Model: A Situational Approach to Managing People</i> , Blanchard Training and Development, Inc., 1985.

### Leadership and Employee Development

M. L. Kohn (in "Job Complexity and Adult Personality," in N.J. Smelser and E. H. Erikson, Eds. *Themes of Work and Love in Adulthood*, Harvard University Press, 1980) reports on two important findings. First, the tasks people actually do when they work—and how intellectually complex and demanding those tasks are—have a bigger impact on them in many cases than more obvious variables such as how much they earn or where they work. The complexity of work is closely tied to intellectual growth and flexibility and the mastery of complex tasks contributes positively to sense of self, adding to personal feelings of competence (Diane Papalia and Sally Wendkos Olds, *Human Development* 4<sup>th</sup> Edition, McGraw-Hill Book Co., 1989, p. 498). And second, it seems clear that "intellectual flexibility continues to be responsive to experience well into midcareer" (Kohn 1980, p. 202). Employees are capable of developing and growing in their work, and they can benefit personally from this development.

It is worthwhile to look more closely at this research concerning the links between the nature of work and the personal development of the worker. Kohn found specifically that, of 50 different variables describing aspects of the work experience (such as pace of work and relationships with co-workers and supervisors), "substantial complexity" of the work itself had the strongest impact on the worker. Substantial complexity was defined as "the degree to which the work, in its very substance, requires thought and independent judgment." (Kohn, 1980, p. 197.)

It is interesting to note the relationship of the complexity of work to the developmental goal in Hersey and Blanchard's life cycle theory of leadership. In a later commentary on the delegating style of leadership, Blanchard observes that delegation "produces more satisfied employees who are able to develop a broad range of skills and thus become qualified to be promoted," and that "since delegating helps both managers and their employees, it is a win-win activity." (Kenneth H. Blanchard, writing the Foreword to Robert H. Nelson, *Delegation: The Power of Letting Go*, Scott, Foresman and Company, 1988.) The Strategic Leader Assessment model incorporates this win-win goal of developing employees by working them toward tasks of increasingly substantial complexity. Delegation is seen as the end goal in a developmental leadership process. Leaders are encouraged to consider not only how to get the task performed or the work-objective accomplished, but also how to do so in ways that maximize development of the performers over time.

This concept of leading so as to develop the performer, instead of simply completing the task with no regard for the performer's development, has some of its roots in the life cycle model, which Hersey and Blanchard explain by reference to various developmental analogies, such as parenting or teaching. They point out that a parent at first initiates much of the structure for a young child, but gradually works toward independence (analogous to delegation) as the child matures. And (in Hersey and Blanchard 1969) they report that:

In a college setting, the Life Cycle Theory has been validated in studying the teacher-student relationship. Effective teaching of lower division students (freshmen and sophomores) has been characterized by structured behavior on the part of the teacher as he reinforces appropriate patterns in attendance and study habits, while more relationship behavior seems to be appropriate for working with upper division undergraduates and Master's students. And finally, the cycle seems to be completed as a teacher begins to work with mature Ph.D. candidates, who need very little guidance or socio-emotional support.

This quick overview of effective teaching styles ignores variations in the difficulty of the tasks assigned. It is possible for instance that the Ph.D. student may need considerable support and structure while tackling a complex experiment. But as a generalization, the quote does seem to illustrate the point that people grow over time in their capacity to perform and thus need and quite possibly want more independence and higher levels of challenge. Hersey and Blanchard see the same sort of sequence operating within businesses when they state that, "people occupying higher level jobs in an organization tend to be more 'mature' and therefore need less close supervision than people occupying lower level jobs." Implicit in these general examples is the idea that greater general maturity is achieved through the specific mastery of a sequence of increasingly complex or challenging tasks over time. The first-year college student or entry-level worker will not automatically become the Ph.D. candidate or potential chief executive. Such personal development depends at least in part on leaders providing developmental opportunities and through these opportunities helping the individual achieve growth and development on many levels, from specific task knowledge to broader cognitive and socio-emotional maturity

A contemporary application of this developmental approach to leadership is found in the Active Leadership Program taught to leaders at Canon Canada Inc. (based on corporate training materials attributed to Gilmore & Associates of Toronto and dated June 1997). The developmental approach culminating in delegation of the task is explained clearly as:

Whenever a Canon leader chooses to give an employee a task, the leader has to decide who owns what part of the responsibility for getting the task done. If you give a task to someone who's never done it before, you own the lion's share of the responsibility for getting the task done.... However, as that employee becomes more capable of doing the particular task, he or she owns more and more of the responsibility for getting the task done. (p. 1-17)

In the Canon version of developmental leadership, there are three leadership styles and their definitions are focused on this concept of shifting responsibility to the employee over time. The styles correspond fairly well to three of the Strategic Leadership strategies:

Strategic Leader Strategies	Canon Canada Active Leadership Style
<b>Instruct</b>	Teaching: Demonstrating how to do something, giving instructions, training
<b>Coach</b>	Sharing: Co-owning the Task with the employee, asking for their ideas, offering your own
<b>Relate</b>	(No match; the Canon model appears to emphasize tasks over relationships)
<b>Delegate</b>	Transferring: Turning over the responsibility for the Task, with little or no detailed instructions

### Corporate and Personal Benefits of Employee Development

The need to move employees toward ever higher levels of performance capacity and to encourage them to take increasingly more responsibility and initiative is based on the links between superior individual performances and superior organizational performance in the thinking of Gerald Kuschel, who observes that, “A company will get peak performances out of its work force only if it has either trained its people to be totally self-responsible or hired those who already are.” (Kuschel, *Reaching the Peak Performance Zone*, AMACOM, 1994, p. 87.) This objective of achieving a high-performing organization through developing its constituents is behind Blanchard’s statement that, “At the highest level of development...employees usually demonstrate high levels of both competence and commitment. Managers should delegate as much responsibility as possible to such workers—giving them increased autonomy to do the job in which they’ve demonstrated both competence and commitment.” (Blanchard, Schewe, Nelson, Hiam, *Exploring the World of Business*, Worth Publishers, 1996, p. 245.)

A benefit to the organization of this progress toward delegation is that span of control need not be a constant in an organization, but can broaden as maturity rises (according to Hersey and Blanchard 1969): “...span of control...should be a function of the maturity of the individuals being supervised. The more independent, able to take responsibility, and achievement-motivated one’s subordinates are, the more people a manager can supervise.”

### Moving Employees toward Delegation with the Life Cycle Model

The goal of developing mature employees who have the commitment and competence to take on more responsibility is best pursued, according to Hersey and Blanchard’s life cycle model, through a specific developmental sequence. As Peter J. Dean points out in his 2002 review of the model, “Situational leadership...claims that as task relevant maturity increases, leadership style should progress accordingly.”

However, exactly how leadership style should progress as maturity increases is not specified in detail in Hersey and Blanchard (1969), except that they state it involves gradual “change through the cycle from quadrant 1 to quadrant 2, 3 and then 4.” This is illustrated with examples from parenting and child development. In later works, both authors (together and independently)

describe a more rapid, flexible approach to style selection that is driven more narrowly by maturity on specific tasks. They define this task-related maturity somewhat differently too.

Specifically, in Hersey and Blanchard, *Management of Organizational Behavior: Utilizing Human Resources* 4<sup>th</sup> Ed., Prentice-Hall 1982, they define maturity as task-related combinations of follower ability and willingness and call it “task relevant maturity.” In contrast, they described a more general maturity in their 1969 article in terms of “relative independence, ability to take responsibility, and achievement-motivation of an individual or group.” Which is correct? Probably both are valid views of maturity on different levels of specificity. In a general way, managers may want employees to gain in independence, responsibility and achievement-motivation over a period of months or years. To achieve this development in the daily supervision of task performances, however, the manager may adapt his or her leadership style not only in response to such general differences in human maturity, but also (or even mostly) in response to how prepared an employee is to perform a specific task independently and well.

Thus, to actualize a trainable, implementable model of leadership based on maturity, Hersey and Blanchard avoided measuring broad personality characteristics (such as need for achievement), and instead created a method in which leaders look simply and logically at task-readiness of the individual. This task-level assessment of the employee is probably far easier for leaders to do well and it is more likely to yield a helpful understanding of the individual in a task context than would a more long-term, personality-based view of maturity. Nor does this shift in definition of maturity to task-specific measures of ability and willingness lose anything of significance. To the extent that general maturity affects an individual’s willingness or ability to tackle a specific challenge, it could be incorporated into the leader’s assessment of that individual’s ability and willingness.

### Expanding the Definitions of Ability and Willingness

The Assessment defines employee ability (or capability) in terms of attitudes and abilities toward a specific task as well, although it expands the definitions of both of these dimensions to include consideration for factors external to the individual employee that may be important to their capacity to perform. (The intent is to avoid the pitfalls of the fundamental attribution error.)

For instance, an individual may have the knowledge to do a task, but lack specific information or other resources needed to do it—thus information and other resources need to be considered when a leader evaluates an employee’s task-related capability to perform. And this implies too that the leader may want to incorporate additional behaviors into his or her response to the employee’s capability. If the employee lacks a needed resource, then part of the leader’s task-related behavior ought to be aimed at securing this needed resource. In Strategic Leadership, the term *capability* is used to represent the employee’s ability to perform the task, inclusive of factors both internal and external to the employee that can affect ability to perform the task well.

Similarly, Strategic Leadership broadens the definition of willingness to include a range of both internal and external attitudinal influences, calling this broader dimension *employee desire to perform*. Employees may lack desire to perform a task for many reasons. Employee motivation is at best a highly complex subject. Sometimes information plays a role in raising desire to perform, for example, even if it is not needed for the sake of capability. Sometimes the leader needs to attend to stresses, anxieties, and other feelings—as the relatively recent application of research on empathy to management suggests (see the various authorities on emotional intelligence in the workplace for details). And just as with capabilities, desire can be influenced by factors external to the individual that may warrant leadership attention, such as the organizational climate, the influences of the physical environment on mood, and so forth. The Strategic Leader Assessment uses “desire” to capture the benefits of a broader definition of task-specific

motivation to perform, and to open the door to leadership instructions and actions that incorporate new insights from work on intrinsic motivation, job enrichment, participatory management, emotional intelligence, and other areas that seem relevant to or expand upon the original definition of consideration in the Ohio State studies and Hersey and Blanchard's definitions of willingness.

### Ambiguity Surrounding Sequence of Motivational States

The state of the employee as defined by specific task-related ability and willingness (in Hersey and Blanchard's training materials based on Situational Leadership) is not clearly linked to their 1969 article on the Life Cycle Theory of Leadership, and nor is it clear how it flows from the Ohio State studies. It may have derived from the case studies of child and student development cited by Hersey and Blanchard in the 1969 article. It is summarized by Dean (2002), who uses the codes M1 through M4 for the four levels of maturity taught in some commercial versions of Situational Leadership (quoted from Dean, p. 5):

M1 is low in both ability and willingness. Individual followers or groups at this level lack both competence and confidence.

M2 is low in ability but high in willingness. Followers or groups at this level are self-confident but lack needed skills to take responsibility.

M3 is high in ability but low in willingness. The problem is often a lack of motivation rather than a sense of insecurity.

M4 is high in both ability and willingness. Followers and groups at this level are both competent and confident to take responsibility.

Hersey (in *The Situational Leader*, 1992, p. 69) summarizes the progress of willingness through this four-step development sequence in the following diagram (which should be read from right to left):

#### FOLLOWER CONFIDENCE

R4	R3	R2	R1
Confident	Insecure	Confident	Insecure
<b>FOLLOWER DIRECTED</b>		<b>LEADER DIRECTED</b>	

As both Dean's summary and this diagram make clear, ability is seen as gradually increasing, but willingness is seen as oscillating. It is portrayed as starting out low, peaking, then dropping again, before finally peaking in consort with the peak of ability (thus permitting delegation to occur at M4).

Why does the development sequence start with unwilling employees? How does willingness go up after the leader uses directive, task-oriented behavior (as per the prescription of the Situational Leadership model to use a Telling style at maturity level 1)? Why does willingness then drop, in spite of the high emphasis on both supportive and task behavior at maturity level 2 by the leader (who is supposed to have switched to the Selling style at M2)?

The specifics of the developmental sequence as described by this task-focused version of the life cycle model are confusing and there are no references to studies or findings supporting or

verifying the model. In later literature on leadership styles and on employee motivation and performance in general, there seems to be no clear test or proof of this maturity model either.

Instead, the general consensus of studies seems to be that an employee’s task-related work motives are complex and varied and not reducible to any simplistic, sequential motivational model. Pinder in his exhaustive review of work motivation theory and findings concludes by identifying 58 separate points that “provide a set of principles that may be useful to those whose job it is to arouse or sustain the motivated effort of themselves or others” (Craig C. Pinder, *Work Motivation in Organizational Behavior*, Prentice-Hall, 1998, p. 466). Fifty-eight is a large number of points, reflecting the many and complex relationships between factors that might affect motivation and actual motivation or desire to perform in any specific context. Nowhere in Pinder’s extensive review does there appear to be support for the fixed two-peak model of willingness over the life cycle of task-related maturity posited in some versions of Situational Leadership. Instead, an almost infinitely complex set of possibilities seems to be more likely. Any individual employee may be less or more willing to do any specific task at any point in time based on the myriad influences of a diversity of factors, some of which the leader may control and others of which the leader may not control.

The low-high-low-high motivation sequence posited in the Situational Leadership model of employee development toward task mastery is further complicated by the inconsistency between Hersey and Blanchard (1982) and Hersey (1984) on the one hand (where that version of the willingness construct is presented), and Blanchard’s later training materials, in which a different version is presented. Blanchard (in *The Color Model*, 1985) describes and illustrates a significantly different version of the life cycle model as follows (where D stands for development level, analogous to M or maturity in the Hersey diagram above):

**DEVELOPMENT LEVEL**

HIGH	MODERATE		LOW
High Competence High Commitment	High Competence Variable Commitment	Some Competence Low Commitment	Low Competence High Commitment
D4	D3	D2	D1

In this version of the model, commitment starts out high at the first level of development, and then drops before rebuilding at the end. Contrast this to the low commitment assumed at the first level of maturity in earlier publications by Hersey and Blanchard as well as in later publications by Hersey. Does willingness to perform start high or low when a manager introduces an employee to a new task? Does it then fall or rise? And at the third step in the diagram, does motivation fall again or become variable?

The models only agree on one point—that desire to perform must eventually be raised to a high level in order to reach the end goal, an employee capable of taking initiative and succeeding when the task is delegated. How the employee gets to this stage is unclear. It might be worth attempting to ascertain which of the two versions of the model is more accurate, except that (as argued above) the bulk of the copious research on work motivation suggests that either might be true in certain circumstances but cannot be universally true because there is not a simple, single pathway to the end goal of self-motivated employees who are ready to take responsibility for self-managing their performance of important tasks.

Common sense tells us that in real life, different combinations of people, tasks, and contexts will produce different patterns of motivation over time. It is easy to imagine one employee approaching a tough new challenge with high motivation (even if competence is initially low) while another employee might view the same challenge with resentment and low motivation.

It is also easy to imagine that one employee might tackle a new task and achieve mastery quickly. Getting positive feedback about the work, this employee might quickly achieve high levels of self-motivation and competence, thus moving rapidly from a beginning state to a state of high mastery—short-cutting the journey toward delegation and independent responsibility.

Then again, it is also easy to imagine employees who linger at the beginning or somewhere in the middle of the development process, not achieving high levels of competence and desire to perform and thus not moving to a level where delegation would work for them. Many factors can and do conspire to hold some employees back. Perhaps there is a tradition or culture of labor-management conflict that makes employees view leadership efforts to “develop” them with skepticism. Or maybe a perceived inequity over pay or conditions leads to lingering resentment that contaminates attitudes toward specific tasks. The list could go on almost indefinitely—there are probably even more ways to demotivate someone than to motivate them.

And the task itself must be important. A highly complex and difficult-to-master task is going to be more likely to produce periodic lapses into insecurity (to use Hersey’s term) or variable commitment (to use Blanchard’s) than an easy-to-master task will. Managers may be able to influence the state of employee motivation over the development sequence too. For instance, by providing more rapid and accurate feedback about performance, the manager can transform a task from one that is difficult and frustrating to learn into one that is easier and more rewarding to learn—thus perhaps preventing an interim deterioration of work motives.

### **Avoiding Fixed-Sequence Assumptions about Motivation**

These arguments and findings lead to the decision in designing the Assessment that it would be deceptive and unhelpful to include any version of the life cycle model’s portrayal of employee motivation as a fixed sequence that is predictable over acquisition of task capacity. And there seems to be no real need for such a motivation model. The most practical way to implement the notion that employee motivation is important to leadership style is simply to point leaders toward the need to evaluate it and respond accordingly. If motivation is low and getting in the way, then it is logical to assume the leader needs to attend to the people and their feelings if he or she wishes to improve their performances. There is no real need to predict when motivation will be low or high, providing the leader can be taught to evaluate it and respond to observable conditions, whether they correspond to the predictions of a specific life cycle model or not.

The literature review above has pointed to strong evidence across a variety of studies over many years, in support of the importance of the task and people variables as descriptors of leadership behavior and as potentially valuable predictors of followers’ leadership needs. It is not necessary to posit or prove any single sequence of combinations of low and high willingness or ability in order to give leaders helpful advice. In the Strategic Leadership training materials, the emphasis is put on teaching leaders to think about these two fundamental dimensions of follower need and leader behavior, and to respond to assessed levels of both—without preconceived notions of whether they ought to be high or low since any such notions would be inaccurate in many cases.

Alfred North Whitehead advised, “Seek simplicity and distrust it.” Leadership models used in teaching may need to have an essential simplicity to them that academic models used for research may not. The more parsimonious a model is, the better, when it comes time to teach it to busy managers or supervisors. Yet in designing the Assessment, we have been very mindful of the risks of over-simplifying. The use of a two-factor model is of course a simplification to start with, since there are plenty of other factors that trainers could (and often do) teach leaders about. Yet the strong support for this model over time in the literature, combined with our independent verification of it in case study and database-driven research (as reviewed in the beginning of this analysis), seems to indicate it is a safe and useful simplification. The same cannot be said of the (two conflicting versions of) the life cycle model of employee motivation over the development process. It is apparently an inaccurate and potentially misleading simplification, one that is not needed and may not be helpful in the goal of sensitizing leaders to the two dimensions of the Ohio State management studies and their more modern applications. In Strategic Leadership, we therefore avoid firm predictions about when employees will be motivated or demotivated, and instead encourage managers to see for themselves and respond accordingly.

### Portraying Employee Needs on the Grid

Implicit in much of the style-based leadership training flowing from the Ohio State model is the idea that not only can the model describe leadership behavior, it can also prescribe leader behavior. To look at a contemporary example, Canon Canada’s Active Leadership training program prescribes a different style for each of three conditions (which correspond to some of the possible combinations of low/high task and people needs):

If employee has low ability and motivation	If employee has moderate ability and motivation	If employee has high ability and motivation
Lead by Teaching (demonstrating, instructing, training, etc.)	Lead by Sharing (asking for employee’s ideas, sharing your own)	Lead by Transferring (turning over responsibility)

In this linkage of leadership methods to specific combinations of motivation and ability, the Canon training program follows the general pattern used in Situational Leadership trainings and many related courses over the years since the Ohio State studies. There is some inconsistency in the details of how leadership styles or strategies are mapped to combinations of ability and willingness, but there is general agreement that this can and should be done as an aid to the leadership performances of managers. It should be noted, however, that modern research on motivation and management has focused on far more detailed and specific levels of treatment of employees than this broad model suggests. For example, many studies have shown the benefits to motivation and performance of giving employees clearer or more accurate knowledge of the results of their work. This is a specific element of task structure, one that could be taught as part of a general strategy aimed at the task side of the old Ohio State model—even though it was not specifically measured in the original research on the model.

Thus, we can say that as a generalization, the model’s two dimensions are useful in grouping two growing families of ideas, techniques, and findings concerning employee motivation and performance. But we cannot say that any narrow definition of management behavior on one or the other of these dimensions is going to produce optimal leadership in any specific context. Leadership is not that simple.

With this caveat in mind, the Assessment was designed to support a more open-ended approach to defining and implementing leadership strategies than earlier models appear to have been. In fact, the strategy-level depiction of leadership behavior itself is helpful in this effort to encourage leaders to think more deeply about their own behavior and how they may wish to vary it or incorporate additional ideas and techniques into it. A general strategy that says to support the performer (aiming at the people side of the model when attitudes are in the way of performance) allows for an open-ended approach to how the leader might best do so. A leader with interest in and knowledge of newer theories of intrinsic motivation might tackle the strategy of supporting the performer very differently from another leader whose viewpoint is more traditional, but both would be pursuing a similar strategy—and thus both would presumably be more likely to succeed than if they lacked an appreciation of the strategic need for supporting the performer in the current context.

Similarly, a leader with a commitment to job enrichment might tackle the strategy of supervising the performance in a different way from a leader who takes a more traditional approach. The job-enrichment approach to the task dimension might incorporate elements of task redesign, whereas a more traditional approach might confine itself to showing and telling and providing reinforcing feedback. Leaders probably should be given enough knowledge to be aware of such choices, but they also need to appreciate that they have choices they may be in the best position to make about how they tackle the challenges of implementing a task-focused strategy and increasing the employee's performance capabilities. Details of some of these options for leaders are explored in later sections.

The Strategic Leadership model remains true to the two simple but powerful dimensions of the original Ohio State studies, as there has been broad agreement with and support of them in later studies and models. But the Strategic Leadership model had to tackle the matching of leadership strategies to specific employee conditions in the context of some ambiguity and inconsistency in the literature on the subject (as reviewed above). A consequence of the inconsistencies in assumptions about how willingness/motivation vary over the life cycle is that different versions of Ohio State–derived models map leadership styles or strategies to underlying employee conditions or states in *different* ways. The Canon Canada version (shown above) is just one of many possibilities, and there are potential issues with it. Perhaps the most troubling issue is its prescription of Teaching, which is defined in a task-oriented manner (demonstrating, giving instructions), to the condition in which employees are low in both ability and motivation. The prescription to be directive with demotivated employees is troubling because it seems unlikely that employees who do not want to perform will do so just because someone shows them how to. Yet that is what the model tells leaders to do.

In this prescription, the Canon model is consistent with some versions of Situational Leadership, especially those published by Hersey. Because Hersey portrays the employee's starting state as being low in ability and willingness, his first style, Telling, is also matched to this low/low condition. And Telling seems to be defined and taught as if it is high in task orientation and low in people or support orientation.

### Exploring the Problem of Leading Demotivated People

In other words, multiple examples exist of Ohio State–derived leadership models that prescribe directive leadership for employees who don't know how to do a task and *are not motivated to do it*. The logic of this prescription is difficult to grasp. Common sense suggests that a directive task-focused leadership style is going to run into trouble if applied to employees with an attitude problem. Unless the leader implements this approach in a highly coercive manner, it is

unreasonable to expect the employees to do what they are told. Certainly, they will not eagerly attend to and learn from any demonstration if their motivation is low. In general, it is fair to say that nobody is going to learn much when they are not motivated. In fact, they are not going to do anything without motivation.

Motivation is one of the basic underlying causes of behavior, and employees cannot be expected to behave reliably in desired ways when they lack the motivation to do so. The practical question therefore is: What leadership strategy is most likely to solve the dual problems of low motivation and low capability?

Again, simple logic points to the original Ohio State grid's quadrant made up of the combination of a high leadership emphasis on consideration *and* task structure. When employees have both motivation (people) issues and capability (task) issues, then surely we need to teach leaders to attend to both sets of issues rather than to ignore one. It is in any case a relatively safe bet to prescribe this most involved and multi-dimensional leadership approach—the one that, incidentally, Blake and Mouton recommended for most leadership situations because of its attention to both dimensions of the performer's needs.

This logic seems to be reflected in versions of Situational Leadership published by Blanchard, in which the Coaching style is defined as “high directive/high supportive behavior” and prescribed for conditions of low-to-moderate competence and low commitment—the same conditions for which earlier versions of Situational Leadership prescribe only high directive behavior.

### **Constructing an Employee-Needs Version of the Ohio State Grid**

Resorting again to logic and inference since the literature on Situational Leadership and follow-up studies derived from the Ohio State work is apparently lacking in specific tests of the prescriptive elements of the model (with the helpful exception of the study cited earlier by G. Graen, R. Linden, and W. Hoel, “Role of Leadership in the Employee Withdrawal Process,” *Journal of Applied Psychology* 67, 1982), it would seem to make the most sense to posit that:

- a) When employees have task-related issues or problems on the attitudinal dimension of the model, then the leader should attend to this dimension by working on improving employee attitudes—or else the attitudes will hinder performance;
- b) When employees have task-related issues or problems with capability to perform (such as lack of knowledge), then the leader should attend to this dimension by working on improving the employee's capability to perform the task (either by modifying the employee's knowledge, experience and resources, or by changing the task to make it more doable or learnable);
- c) When employees have both task-related and attitude-related issues that have a negative impact on their ability to improve their performance, then the leader needs to attend to both of these factors and if the leader attends to only one then progress is unlikely;
- d) When employees have neither task-related nor attitude-related problems to affect performance, then the leader need not attend to either of these dimensions and can reasonably expect the employees to be ready to self-manage their performance on the task to a higher degree than in any of the other three conditions;

- e) When the employees are not performing well and the leader cannot be sure what issues may be involved, then the leader would do best by attending to both dimensions in case one, the other, or both are concerned.

If we construct a grid describing the employee’s performance context, using the same two dimensions and high/low combinations that the Ohio State study used for describing the leader’s behavior, we get a model that mirrors the managerial grids of the literature, but is from the employee’s perspective instead of the leader’s:

Employee’s <b>desire</b> to perform	Low	Employee needs work only on attitude/motivation	Employee needs work on both attitude/motivation and capability
	High	Employee does not need work on either capability or attitude	Employee needs work only on capability
		High	Low

Employee’s **capability** to perform

Why does this grid use axes that start high and range to low instead of the other way around? Because it follows the original logic of the Ohio State–derived grids of leadership behavior, in which leader’s task-oriented or support-oriented behaviors ranged from low to high. To mirror the leadership behavior model with one based on the employee’s need for specific leadership behaviors, it is easiest to invert the scale when describing employee condition. When the employee is low on a dimension, then the leader’s behavior needs to compensate by being high on that dimension. This is the basic logic of the prescriptive part of the Strategic Leadership model. And the logic seems sound and consistent with many studies cited on earlier pages, yet caution dictates that any leadership prescriptions require rigorous validation. Can the logic of this grid be supported by reference to additional research findings on employee motivation and performance?

Referring again to Pinder’s exhaustive review of the literature from *Work Motivation in Organizational Behavior* (pp. 463–466 in particular), we can find a number of statements of well-established principles from the research literature that bear on one or the other of the two dimensions of the prescriptive Strategic Leadership model:

- A. *In support of leading by focusing on teaching and structuring the **task** when it is an apparent issue or problem for the employee:*
  - “People pay particular attention to the feedback that is available from their environments as it relates to their successes and failures in goal-related activity.”
  - “Specific task goals result in higher levels of performance than do vague goals or instructions to ‘do your best.’”
  - “The need for achievement is most likely to motivate behavior when the person perceives a moderate (or 50:50) degree of chance of success at the task.”

These examples of generally accepted findings all address aspects of the task and the employee’s experience of it, which are things that the leader can influence through an emphasis on the task dimension of the management grid. In other words, it could clearly be productive for a leader to improve task-performance feedback, to provide specific goals, or to manage the level of challenge and resulting chances of success by modifying the task or the help provided for doing it. These are examples of actions leaders might take to improve

employee performance and move the employee toward higher levels of self-sufficiency through a leadership focus on the task dimension of the management grid. It also stands to reason (although the point may be too obvious to receive much research attention) that employee performance is limited by task-relevant knowledge, so teaching or informing an employee is also a clear example of task-focused leadership that can have a positive impact on performance.

Andrew J. DuBrin (of the Rochester Institute of Technology) provides a more extensive review of evidence concerning specific task-related leadership attitudes and behaviors, including adaptability to the situation, direction setting, high performance standards, risk taking and bias for action, ability to interpret conditions, frequent feedback, stability of performance, and strong customer orientation. (DuBrin, *Leadership: Research Findings, Practice, and Skills*. Houghton Mifflin Co., 1995, p. 83.)

B. *In support of leading by focusing on **attitudes** when they are an apparent issue or problem for the employee, Pinder includes the following validated findings:*

“The most effective means for changing volitional behavior is to alter people’s perceptions, and accordingly, their beliefs, attitudes, and—of most importance—their intentions.”

“Absenteeism, turnover, and psychological withdrawal are commonly observed among people who feel inequitably treated.”

“People’s level of confidence in their capacity to succeed at a task positively influences their motivation to engage in the task.”

“People with a strong capacity to understand and manage their own emotions as well as those of other people can have an advantage in the workplace.”

These examples of generally accepted findings all address aspects of the performer’s feelings that the leader can attempt to influence through an emphasis on the motivation side of the grid. In other words, it could clearly be productive to try to stimulate appropriate intentions to perform, to work on eliminating feelings of inequity, or to build up employee confidence—three examples of ways to influence task performance by focusing leadership attention on how the performer feels about the task.

It is easy to generate many other examples of benefits likely to flow from a leadership emphasis on one or the other of these two dimensions, but caution dictates that common-sense conclusions are insufficient unless tested carefully—human nature being far more complex than most popular beliefs make it out to be. Thus, it is worth the effort to establish a number of specific examples from the research literature (as done above) to check that the logic employed in building a prescriptive element in Strategic Leadership is indeed consistent with accepted findings.

### Thinking of the Dimensions as Emotional versus Cognitive

There is a parallel between the two dimensions of the Strategic Leader Assessment model and earlier leadership grids (feelings and abilities) and the classic division in psychology between human emotions on one hand and cognitive processes on the other. This parallel is apparent when we consider that much of what a leader attends to when focusing on the employee’s desire to perform is in the realm of feelings. Similarly, much of what the leader attends to when

focusing on the employee's capability to perform is in the realm of cognitive know-how. Thus in Strategic Leadership, the Instruct Strategy attends in large measure to issues concerning how the employee thinks about the task and what she knows about it, while the Relate Strategy attends in large part to what the employee feels about the task and how other feelings or attitudes affect the employee emotionally in ways of importance to task performance.

Popular trainings and publications on the topic of "emotional intelligence" tend to present a view of human (and more particularly employee) behavior in which the emotions are hidden drivers of performance and thus mastery of emotions is a shiny new key for leaders to use when they wish to turn on good performances. If this were true, then there would be little need for the more cognitively oriented leadership strategies and tactics at all. Yet research on the roles of cognition and emotion show them as intertwined, with each capable of being dominant over the other depending upon circumstances. According to Daniel Goleman (in *Emotional Intelligence: Why It Can Matter More than IQ*, Bantam Books, 1994, p. 28), "In the dance of feeling and thought the emotional facility guides our moment-to-moment decisions, working hand-in-hand with the rational mind, enabling—or disabling—thought itself. Likewise, the thinking brain plays an executive role in our emotions—except in those moments when emotions surge out of control and the emotional brain runs rampant."

This varied combination of emotional and cognitive processes is also reported by Pinder (2002, p. 465) who finds that "There is mixed evidence on the matter of the primacy of emotions and cognitions. Sometimes one of these facets of human nature seems to rule the other, but the dominant role can vary from time to time."

In applying these findings to the Strategic Leadership model and in particular to the question of how to prescribe a cognitive task orientation versus an emotional feelings orientation, we seem to see additional support for maintaining the situational or context-based approach. Sometimes the employee is going to be behaving based predominantly on how he is feeling, in which case the leader will generally benefit from recognizing and responding to the employee's feelings rather than ignoring them. And sometimes the employee's thoughts and knowledge about the task will be determinant, in which case the leader can work with the employee on a cognitive level, for example by giving the employee information about the task or his performance of it.

What we do not find in any of the literature on performance and motivation reviewed so far is any suggestion that it might be beneficial to ignore employee feelings when they are dominating employee behavior. It is therefore puzzling that some versions of the Situational Leadership model prescribe a directive, task-focused leadership approach when employees have low motivation. The reason for this prescription could possibly be historical. Consider the traditional factory work environment, for example, in which "labor" is given very simple, narrowly defined tasks with a high degree of structure and supervision and is presumed (in accordance with Theory X) to dislike their work and only be willing to do the least necessary to hold the job and secure the paycheck. In this view of management, the employee is presumed to be naturally demotivated and to need firm extrinsic motivation from management. And when employees are treated according to these assumptions, they often fulfill the expectations of them, for someone who is distrusted and subjected to controlling supervision will often take advantage of any lapse of management attention to stop working and goof off.

If the original prescriptive formulation of the Telling style in Situational Leadership was created with reference to the above context, then it can be seen as a fairly accurate description of a common managerial response to low-skill, demotivated workers. Rather than figure out why the workers in a factory are demotivated clock-punchers who seem to do the least work possible, management might respond by increasing the use of directive supervision and extrinsic motivators. Work could go on in this manner for many years without the factory line shutting down or

anything catastrophic occurring to force a reexamination of leadership assumptions (although a union drive, high error rates, or excessive production costs could eventually create a catastrophe of sufficient magnitude to force leadership to reexamine its assumptions about employees).

The point is that in a traditional control-oriented low-skill work environment with little or no concern for employee development, management might consider it optimal to ignore negative attitudes and to address poor performance by increasing the use of task-oriented supervision. However, in most workplaces today, leaders have far higher expectations for themselves and their employees, and thus would be far more likely to favor an approach that addressed negative employee attitudes over one that ignored them. Engaging employees on both the emotional and cognitive levels is perhaps a more common and accepted goal for leaders today.

### Employee Development through Job Enrichment

Hersey and Blanchard (1969) point out that the life cycle model suggests “It is theoretically possible to supervise an infinite number of subordinates if everyone is completely mature and able to be responsible for his own job. This does not mean there is less control, but these subordinates are self-controlled rather than externally controlled by their superior.”

Note the parallel to work by Frederick Herzberg and others on intrinsic motivation; self-controlled workers would have to be intrinsically rather than extrinsically controlled. This might be achieved through a job enrichment approach, which focuses on redesigning tasks so as to give them more of the qualities needed to engage the performers and involve them in a developmental process based on high commitment and the meaningful application of skills. Herzberg’s two-factor theory of motivation emphasizes managerial use of intrinsic motivators (as opposed to hygiene factors) in the redesign of jobs and tasks (Herzberg, *Work and the Nature of Man*, World Publishing, 1966). Extensive and often conflicting studies have been conducted in efforts to prove or disprove the two-factor theory, and there is certainly no consensus on whether it is accurate or not (N. King, “Clarification and Evaluation of the Two-factor Theory of Job Satisfaction,” *Psychological Bulletin* 74, 1970). However, this debate has no direct impact on the Assessment or the application of job-enrichment tactics to the task dimension of its underlying model because, as Pinder (1998) points out, regardless of whether the specifics of the two-factor model are accepted or not, “There is support for many of the implications the theory has for enriching jobs to make them more motivating...building jobs to provide responsibility, achievement, recognition for achievement, and advancement will make them satisfying and motivating.” In other words, the *practices* Herzberg introduced for enriching jobs have been shown to be effective in many contexts, regardless of whether the specifics of his model of motivation are accepted or not.

Similar practices result from other models of job enrichment, such as the Job Characteristics Model (J. R. Hackman, G. Oldham, R. Janson and K. Purdy, “A New Strategy for Job Enrichment,” *California Management Review* 17, 1975). For instance, in one case keypunch operators at a Traveler’s Insurance office were given enriched jobs through changes based on the idea that individuals should handle specific accounts, should have more planning and responsibility in their work, should have direct client contact and more feedback about performance, and should have more authority to correct errors and plan their own work schedules. These changes had positive effects on performance (as measured by productivity) and on attitudes (as measured by absenteeism). Sufficient literature exists in support of the general concept of job enrichment to make it a “safe bet” to include in Strategic Leadership some of its more generally applicable prescriptions in what leaders are taught about task management, including the following tactical approaches to improving task performance through task redesign:

- Skill variety is important to performance and should be increased when feasible.
- Task significance is important and should be communicated (and increased) as much as possible.
- Autonomy is important and should be maximized as feasible.
- Feedback is important and should be as rich and informative and frequent as is possible to make it.

Such approaches to leading on the task dimension of the management grid are derived directly from job enrichment studies and add a useful level of options for managers wishing to do more than simply show and tell people what to do. (It is interesting to note the parallels between the high-responsibility style of job design in job enrichment and later job redesigns inspired by the total quality management movement. Although the underlying reasons and models may differ, the end results were often the same, with employees taking on more responsibility and showing more initiative in their work. See Hiam, *Closing the Quality Gap: Lessons from America's Leading Companies*, Prentice-Hall 1992 for a review of these practices and their implications for leadership that need not be repeated here.)

Hersey and Blanchard (1969) observe that, “the demands of the job may often be a limiting factor on the development of maturity in workers. For example, an assembly line operation in an automobile plant is so highly structured that it offers little opportunity for the maturing process to occur. With such monotonous tasks, workers are given minimal control over their environment and are often encouraged to be passive, dependent, and subordinate.” This recognition of the relationship between job design and employee development sets the stage for later integration of job enrichment methods into the application of the task-oriented leadership styles, as in Strategic Leadership.

### Concluding Comments

This summary and discussion of relevant research is intended to help explain and support the many and sometimes difficult decisions involved in the design of the Strategic Leader Assessment and the Strategic Leadership model and approach to measuring and developing leadership performance in a contemporary workplace setting. It does not explore the specifics of the design and testing of the assessment itself—a topic that is covered elsewhere. Nor does it fully explore issues of curriculum design and teaching that were considered in the development of practical and easy-to-use training and assessment tools and materials. There are many details and yet the most central ones (in terms of potential positive impact on leadership and organizational performance) are probably the ones addressed here in this review—those that concern the design of the descriptive and prescriptive elements of a practical performance model for leaders. We are respectful of the difficulties involved in describing and modeling human behavior in any complex workplace context, and yet we are pleased to be able to point to a large body of work, including work of our own and many decades of earlier research, to support the design decisions we have made in our effort to introduce a useful contemporary model for generalized application in managerial leadership.