Management Guide

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ABSTRACT

PREFACE

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1. MANAGEMENT OVERVIEW

1.1. R&D RESPONSIBILITIES

1. R&D function is to develop strategies and products using inputs from all possible sources: Marketing, Manufacturing, customers, competitors, and technologies.

2. Strategy should lead product development, but room must always be reserved for the 'new' idea.

3. R&D strategy must fit with Division goals.

4. Concentrate on a few areas with potential for large return.

   * NEW

   * BETTER

   * CHEAPER

   * EMBARRASS THE COMPETITION

   * DISTINGUISHED FROM OTHER PRODUCTS IN THE FIELD

5. Products should be a source of pride for everyone and should provide lasting value to our customers.

6. Product quality is a lab function and can never be delegated.

1.2. MANAGER RESPONSIBILITIES

1. Be a problem solver - not just a problem identifier.
2. Work with other groups, both inside and outside the lab, in a responsible way.
3. Keep looking for ways to make this a better place to work.
4. Take responsibility for your own decisions. Get input from every place but be responsible for making the final decision.
5. Create a positive, productive environment.
6. View products from a customer point of view:
   * Do you like it?
   * Would you buy it?
   * Would you recommend that a friend buy it?
7. Think larger than your own organization.
8. Know the territory.
   * Competition
   * Technology
   * Customer Needs
9. Learn to anticipate.
10. Don't be satisfied until the customer is.
11. Do something instead of be something.
12. Listen intently to what your group is telling you.
    * What they want to do next
    * What is wrong, etc.
13. Keep your group informed of:
    * Project Goals
    * Section Goals
    * Lab Goals
    * Division Goals
14. Explain why a decision was made.
15. Tell the truth - not what you think people want to hear.
16. Know and report real status.

1.3. PEOPLE MANAGEMENT

1. Do on-time, fair salary administration.

   * Make sure the best performers are paid at the top of the pay curve.

2. Give honest and timely evaluation of work completed.

   * Informally, on an as-needed basis

   * Formally, with performance evaluations

3. Recognize good results.

   * Personally

   * Make accomplishments visible

   * Encourage papers and presentations

   * Conference attendance

   * Seek advice from best people

4. Train and coach to help each individual do a better job.

5. Help your people succeed.

1.4. FACTORS FOR EVALUATION

1. Cooperate, both inside and outside the Lab.

2. Set and meet schedules.

3. Keep management informed of both good news and bad news.

4. Assume responsibility for getting the product into a satisfied customer's hands.

5. Deliver the product that was promised.

6. Ensure that the product satisfies the user's needs - both internal and external.

7. Know the products that we compete against.

8. Make proposals and recommendations.

9. Make a product come true after the direction has been determined.

10. Help to ensure that others who are in the product chain can do their jobs.

1.5. VALID REASONS FOR WANTING TO BE IN MANAGEMENT

1. You have an idea, a plan, or a strategy that is bigger than you can do by yourself.

2. You like to define direction instead of waiting to be told what to do.

3. You like working with people, but as a leader, not as the administrator for whatever they decide to do.

4. You like to help people succeed and grow in responsibility.

5. You want to make decisions instead of just letting them happen.

6. You are impatient with things as they are and want to do things a better way.

7. You want to do something instead of be something.

1.6. INVALID REASONS FOR WANTING TO BE IN MANAGEMENT

1. You like to play politics.

2. You want a position.

3. You want to be something.

4. You want to get out of technical work and handle administration.

5. You would just like to try it for awhile to see if you like it.

1.7. TIME

TIME
SPENT
IN
EACH
ACTIVITY
        implementation

                             consultation
                             review
                             feasibility
                             technical aid to others
                             task force

TIME IN PROFESSION

1.8. INDIVIDUAL RESPONSIBILITIES

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product related
design
implement
review

people related
recruiting
strategy
counseling
coaching
coordination

| engineer | project manager | section manager | lab manager |

The length of a day is the same for an Engineer as it is for a
Lab Manager. How you spend your time is up to you.

1.9. IN SEARCH OF EXCELLENCE, PETERS & WATERMAN

1.10. DOMINANT BELIEFS, PETERS & WATERMAN PG. 285

1. A belief in being the "best"

2. A belief in the importance of the details of execution, the nuts and bolts of doing the job well

3. A belief in the importance of people as individuals

4. A belief in superior quality and service

5. A belief that most members of the organization should be innovators, and its corollary, the willingness to support failure

6. A belief in the importance of informality to enhance communication

7. Explicit belief in and recognition of the importance of economic growth and profits

1.11. SOME ATTRIBUTES OF MANAGEMENT SUCCESS AT ROLM

1. Identify and motivate key employees, but don't play favorites.

2. Set personally challenging and difficult goals; get people to stretch.

3. Get decisions made as close to the action as possible, and don't second guess them unless you have good communicable reasons.

4. Promote from within whenever feasible; take some calculated chances with ROLM employees if they want promotion.

5. Level with subordinates. Communicate the real reasons people aren't promoted; don't use excuses such as college degrees as blocks to advancement.

6. Assure that employees are paid correctly considering outside supply and demand, internal equity, and individual worth to the corporation; then give merit increases only.

7. Treat each employee as an individual.

8. Avoid bureaucracy; keep practices simple but make sure they are effective, communicated, and understood.

9. Maintain an informal, yet productive atmosphere.

10. Help employees to build their self-image.

11. Focus on the important issues; let the inconsequential slip.

12. Assure subordinates understand performance expectations, and then encourage their individual initiative to expand.

13. Use written communications only when it makes sense to do so.

14. Encourage individual contributors to build their technical skills for career advancement.

15. Recognize employee accomplishments in or out of your immediate work sphere. Praise in public; criticize in private.

16. Communicate group praise to subordinates in the group; buffer them from group criticism (but make sure they are aware of any real shortcomings).

17. Don't cover your ass, or look for fault in others; solve problems; for instance don't get "on the record" to prove someone wrong, help make it right.

18. Focus on substance; it's always more important than form.

19. Maintain equal opportunity practices which meet the spirit as well as the letter of the law by enabling individuals to compete and succeed on the basis of merit.

20. Encourage employees to freely communicate their ideas and suggestions without fear of reprisal.

21. Take a large view of your job, do whatever it takes to make your tasks succeed whether or not it is part of your job.

22. Use written PPG's to document practices, policies, and guidelines for routine tasks that are critical for the smooth functioning of the organization and which will allow new employees to be productive sooner; if PPG's don't reflect reality, rewrite them.

23. Avoid "finger-pointing" stalemates. When you see one, encourage discussion to get the problem solved.

24. Discourage rumors by communicating facts upwards, downwards, and sideways through the company.

25. Follow important projects and take continual corrective action, if necessary, to keep them on track.

26. We fix problems as we grow; we don't fix things that aren't broken, but we try to anticipate things that may become broken.

1.12. SOME THOUGHTS ON BEING A GROUP MANAGER

"An open letter from an HP Project Manager."

After becoming a Project Manager, I realized that there were a number of things about Project Management that I did not know. Many of these have been learned through experience, the hard way. Others I have observed in the managers around me and have not had to make the mistakes myself. I have tried to collect together some of the things that I wish I had been told when I first took the position, but did not find out until much later. I have left out some of the more obvious things that should be done, such as just getting the work done, but have tried to include as much as possible to give a feel for some of the things that may be overlooked.

The first thing to realize as a project manager is that you are responsible for the projects under you. Their success or failure is dependent upon your doing a good job. If those beneath you don't get their work done, you are responsible in addition to them. A project manager must stay technically close to the work under him. It is his responsibility to know at all times exactly what those under him are doing and what progress is being made. As soon as the projects are slipping he should know, and either decide to let them slip or take corrective action. The technical people are responsible to the project manager for their actions; the project manager is responsible to his manager for both his actions and those of his people. He can find out what is going on by getting involved and helping his people get their work done. It is his job to remove the obstacles that keep the people working for him from getting their job done. He provides the interface between the people who are doing the work and the company which needs the product they are producing.

A project manager should support his people. Since their productivity reflects on him, he is hurting himself as well when he is overly critical. By supporting and defending them he builds a better image of them in his own mind and they have confidence that he is genuinely interested in their success. As a result they do a better job. All workers have some good points. Try to concentrate on these and work around the weak areas while strengthening them. The job of the manager is to get his people to do better, not to complain when they don't. Half of all people are performing below average; after all, that is what is average means. He should recognize this and allow them to contribute at the level they are capable.

Along these same lines, people make a project succeed. A project manager must care about the people who work for him as fellow

human beings. Sarcastic comments and slicing remarks are never appropriate, even in jest. Perhaps I should say especially in jest. Say things to encourage people. This is not just for those working for you, but for all those around you. Nobody likes to be humiliated; everybody likes to be praised.

A project manager should be available to his people as much as possible. The second most important thing he can do is to be there when they have need of him. (The first most important is to be there when his boss needs him.) Frequently, this will take the form of a casual conversation but on occasion it may involve a more formal lengthy discussion. If conversation is impractical when a project member needs it, schedule a time as early as possible when it is convenient. It is the responsibility of the project manager to determine when his people need to talk to him as much as it is theirs. If there has been a lack of communication for a long period of time, the manager should initiate the interaction, not wait for the person working for him to decide that there is a need. The longer that this interaction is put off, the harder it becomes to have it at all. Many things that could have been handled as small brush fires have grown to be much larger situations that require much more time to deal with and develop hard feelings when none need to have have been encountered.

To this end, one important thing to remember is not to hold things against your people working for you. Always be open and above board with your feelings. If you think someone is not doing a good job, let him know. The only thing that can happen by keeping silent is for a bad situation to get worse. Although it is difficult to speak to someone when there are hard feelings, it is even more so when these have been allowed to fester and grow over a period of time. Deal with problems while they are still small and manageable before they are blown out of proportion. Be sure that your expectations of people are realistic and communicated. If you expect more from them than they are capable of giving, there will inevitably be problems. This is much easier to do if you have communicated well with them. Come to a mutual agreement of realistic expectations and then hold them responsible for meeting commitments they have made. Before becoming angry with someone for not meeting expectations, be sure that you have all of the facts. There may be some extenuating circumstances that you are not aware of.

Think before acting. There is a good reason that man was given two ears and only one mouth. Before establishing a new method of doing things, listen to people to see what they have to say. Find someone to use as a sounding board for your ideas. Listen to feedback on your approach to problem solving. When you feel confident that you have given enough thought to the situation, give it a little more thought. Then embark on a new program.

Short lived programs that are not well organized tend to cause people to lose confidence and to be unwilling to support other programs. When using people for a sounding board, don't expect then to give you good advice. Just explaining something to another person will help you get it straight in your own mind. Frequently in emotional issues it is helpful just to sort through your own feelings.

Develop patience for the mistakes of the project team. Even you, their manager, are not perfect (Really!) Work with the underachievers more to help them do a better job. Don't get angry when you have just explained something that seems perfectly clear to you for the third time and they still don't understand. Go ahead and explain it four times and this time try to explain it in a simpler manner. Communication involves two people. Perhaps the difficulty lies on the sending end as well as the receiving end. Sometimes having the other person explain to you what they heard you say give a great deal of insight into your method of sending ideas. This is an excellent technique to ensure that your ideas have gotten across as well.

Don't keep secrets from the project team. They know a lot more than you think about what is going on and it only frustrates them when they are left out. In effect, you are saying that you do not think they are as capable as you to handle the information. Secrets are an indirect put-down and they cause problems when they are eventually disclosed (which they almost always are). On the contrary, share things with the project team off the record. Let them know how you perceive things to be going, directions you think events may take in the future. Discuss trends and get feedback on the feeling of the project team. Do it truthfully and they will appreciate your candidness.

As a project manager, don't be afraid to do useful work. If there are things that need to be done and you have time, get in with the project team and help out. Even if you don't have time, make some. It is much too easy to lose touch with the people who are doing the work; getting in to work with them helps keep you from doing it. One caution in doing this: it is very easy to compare the way someone else is doing things to the way you used to do it when you had the job. Resist the temptation. Let them do it differently, even if it is a little less efficient than the way you usually do it. Who knows, they might surprise you with a creative new way you had never thought of.

No one is perfect. Be careful when using other project managers or section managers as models. Even though things seem to be going well for them, there are many things that you do not know that would cause problems should you try to imitate them. Develop your own style of management that suits you.

Finally, remember that you can't please all of the people all of the time. Give it your best shot. Be sensitive, be open, be helpful.

II. Technical
Management

2. TECHNICAL MANAGEMENT

2.1. PRODUCT LIFE CYCLE

1. Orderly approach to product development

2. Structured method to help you think about everything that needs to be done

3. Main communication vehicle about product intentions and specifications

2.2. PRODUCT LIFE CYCLE PHASES

ACTION   OUTCOME

Investigation   Product Requirements

Development   External Specification

Code & Debug   Breadboard   Internal Specification
                      Lab Prototype
                      Production Prototype
                      Pilot Run

Testing   Test Reports

Release to Manufacturing   Review and Approve

Ship to Customers

2.3. PRODUCT LIFE CYCLE ELEMENTS

1. A detailed project definition of the project

2. Schedules and milestones

3. People and dollar commitments

4. Product development plans

5. An evaluation of progress relative to milestones

6. An identification of tasks that can be done in parallel

2.4. PURPOSE OF DOCUMENTATION

1. To insure that you thoroughly understand what to build and how to build it.

   *   Examples of use

   *   Error Conditions

   *   Explanation of how product solves a customer problem

2. To communicate to others what the product is.

   *   Lab users

   *   Marketing and Manufacturing

           Manuals

           Class preparation

           Support function

           Manufacturing

2.5. DESIGN CONSIDERATIONS

1. View the product in its operating environment.

   *   Know the level of person using the product

   *   Errors are going to occur; what are you going to do?

2. Develop examples of use and see if it is still consistent and understandable.

   *   Would you like to use the product?

3. Leave your ego at home and listen to what people are saying.

4. Cover all conditions before implementation starts.   Don't hurry the implementation.

5. Get closure early so a completeness model can be developed.

6. Take responsibility for performance cost and schedules.

7. Take responsibility for quality.

8. Design for maintenance and enhancements. The only product that doesn't get changed is one that doesn't get used.

2.6. PURPOSE OF SCHEDULES

1. Think through the project from beginning to end.

2. Provide information to others who depend on your product.

3. Convert from a serial to a parallel operation so product development can be accelerated.

4. See where to put additional help if a project runs into trouble.

5. Evaluate your own progress.

6. Improve your scheduling abilities.

   *   Why did you meet or miss a milestone?

7. Estimate how to do a project.

8. Define how many people, how much equipment, and how much time is required to do a project.

9. Get others committed.

2.7. HOW TO SET SCHEDULES

1. Start from the highest level.

2. Break into smaller and smaller pieces until you have a feel for each piece then build it back up to get total time.

3. Identify the order of things that must be implemented.

4. Identify functions that can be implemented in parallel.

5. Identify functions that are easy.

6. Identify functions that may be very difficult to implement.

7. Put together an overall planning chart showing the sequence of implementation and estimated time for each function.

8. Take into account who is doing the job.

9. Don't use motivational schedules.

10. Leave time for vacations, sick leave, and consultation in your estimates.

11. Make schedules as realistic as you can but don't pad.

2.8. TESTING

1. Think through and document how to test the product.

2. Define any special hardware or software test equipment required.

3. Define the product limits so it can be tested to that limit. E.g., maximum number of open files, voltage variation, etc.

4. Define and develop tests that can be repeated and used to do regression testing.

5. Assure product quality; it is a lab function.

6. Develop a product with the idea of support in mind. What are the SEs and CEs going to do when the product fails?

7. Specify the boundary conditions so they can always be tested.

2.9. PERFORMANCE SPECIFICATIONS

1. Start from the highest level and develop a block diagram.

2. Keep breaking the project into smaller pieces and try to understand the relationship of the major pieces.

3. Make time estimates for each major element and estimate the performance, assuming that all services requested are zero (0) time.

   * This is the best possible performance and should be used to see if that level of performance is adequate.

   * If not, it is back to the drawing board.

4. Don't get lost in the details, try to understand the major contributors to performance.

5. Specify how to measure performance.

III. Project Mgmt.
Checklist

PROJECT MANAGEMENT CHECK LISTS   RS 7/27/83

1. Is it our business?
    o   Engineering expertise?
    o   Manufacturing capabilities?
    o   Marketing savvy?

2. Impact on current products
    o   Expand them?
    o   Enhance them?
    o   Complicate them?
    o   Obsolete them?

3. Need in the market
    o   New product
                Who will buy it?
                Why?
                How is customer coping?
                Business, legal and regulatory implications?

    o   Not new product
                Who is producing it?
                How is it received?
                Why us too?
                Excess capacity in industry?
                Product differentiation?

4. Profit expectations
    o   How many engineers?
    o   How long?
    o   What's total cost?
    o   How many can we sell?
    o   Get investment back?
    o   Make profit?
    o   For how long?

5. Follow-up products
    o   Likely?
    o   Proposed product upgradable?
    o   How costly?
    o   How troublesome?

1. Functionality
    o   Customer Benefits?
    o   End user benefits?
    o   Service crew benefits?
    o   Radical change of user habits?

2. Requirements
    o   Deliverables
            power
            shelf space
            memory
            real time traffic, etc.

    o   Standards
            industry
            ROLM
            others

3. Team Building
    o   Assemble knowledgeable players
            engineering
            marketing
            product support
            production

    o   Estimate man-months

1. Philosophy
   o   modular design
   o   top-down approach
   o   standardized interface
   o   coding standards
   o   adaptability and expandability

2. Enforcement
   o   examine alternatives
   o   hold reviews
   o   maintain design notes
   o   start project notebook(log)
   o   regular project meeting
   o   appoint project/program manager

3. Design Viability
   o   user-friendly?
   o   easy to learn?
   o   simple to use?
   o   deficiencies in feature set?
   o   failsafe from user abuse?
             from machine interface?
             from abnormal conditions such as power failure,
             component removal?
             robust recovery mechanisms?
             high volume traffic OK?
             reasonable response time?
   o   backward compatible/Cost effective upgrade path?
   o   volume manufacturing OK/Sole source components?

4. Planning
   o   schedule and milestones
   o   critical path analysis
   o   concerns and risks and means of coping
   o   resource estimates
             need new people?
             new services?
             new equipment?
             when?
             prototype and pilot run quantities?

5. Documentation
   o   completion of ERS, IRS, Test Plan

6. Support
   o   develop support strategy
   o   size training and publication tasks

1. Task division
    o   divide tasks among team based on strength and experience
    o   have back-up expertise

2. Order of completion
    o   work out dependencies
    o   timely ordering of new parts
    o   test equipment, etc.

3. Tracking
    o   on schedule?
    o   on target?

4. Design changes
    o   why?
    o   impacts and tradeoffs?
    o   approved and documented?

5. Risk assessment
    o   technical risks?
    o   origin?
    o   probability?
    o   cost of removal?
    o   contingency plans?

6. Verification
    o   functional unit OK?
    o   performance up to spec?
    o   requirements conformed?
    o   regression test result satisfactory?
    o   stress tests result satisfactory?

7. Support
    o   publication and training in action?

1. How
    o   trade show?
    o   special forum?
    o   format of presentation?

2. When
    o   working prototype ready and demonstratable?

3. Cost
    o $$$
    o   impact on development schedule?

1. Prerequisites
   o   functionality complete?
   o   system stable?
   o   stress tests OK?

2. Site selection
   o   manageable line size
   o   "friendly" user community
   o   phased addition of user possible?

3. Publication
   o   preliminary user manual
   o   system administrator manual
   o   installation and service manuals

4. Training
   o   site validation
   o   installation
   o   configuration
   o   system administration
   o   end user application

5. Acceptance
   o   establish clear criteria of acceptance

6. Engineering support
   o   quick response to problem
   o   maintain problem log

7. Contingency plans
   o   back-up systems
   o   parallel systems

8 Feedback
   o   user interface OK?
   o   system administrator interface OK?
   o   suggestions for improvement?

1. Prerequisites
   o   successful completion of ROLM trial

2. Site selection
   o   satisfied customer?
   o   friendly management?
   o   good ROCO support?
   o   good mix of applications?
   o   proximity?
   o   cost of trial?

3. Publication
   o   user manual
   o   system administrator manual
   o   installation and service manuals complete

4. Training
   o   site validation
   o   installation
   o   configuration
   o   system administration
   o   user application
   o   sales training

5. Public relation
   o   customer site visit
   o   justify product position and product direction
   o   listen to the customer

6. Acceptance
   o   establish clear criteria of acceptance

7. Engineering support
   o   quick response to problem
   o   maintain problem log

8. Contingency plans
   o   back-up systems
   o   parallel systems

9. Feedback
   o   user interface OK?
   o   system administrator interface OK?
   o   suggestions for improvement?

10. Supportability
   o   support strategy correct?
   o   support organization OK?

AFTER FIRST CUSTOMER SHIP 7/27/83

1. Continuation support
    o   problem reporting
    o   tracking
    o   resolving and documenting

2. Change control
    o   for hardware, software, manuals documentation and proce-
        dural changes

3. EVALUATION GUIDELINES

3.1. RANKING POINTS

Per-centile	Weighted Points				Definition	
	10%	15%	20%	50%		
	10	15	20	50		
90%	9	13	18	45	Exceptional	Consistently Far Exceeds
80%	8	12	16	46		
70%	7	11	14	35	Very good	Consistently Exceeds
60%	6	9	12	30		Expectations
50%	5	8	10	25	Good	Meets Expectations
40%	4	6	8	20		
30%	3	5	6	15	Acceptable	Usually Meets Expectations
20%	2	3	4	10		
10%	1	1	2	5	Unacceptable	Is Below Minimal Acceptable Level
	0	0	0	0		

Not everyone gets all acceptable.

Acceptable employee is neutral, does what is asked, average quality, misses a few milestones.

3.2. MTS RESPONSIBILITIES

1. Don't blindly accept directions. Make sure you understand and question. But also make sure you are not just trying to have it your way.
2. Be innovative. You are the life blood of the Company. Magnify ideas. Do not just implement them. We are an engineering and technology company; it is up to you to keep it that way.
3. Product decisions on what is to be built come from Engineering and Marketing.
4. Be a responsible citizen.
   * Be cooperative.
   * Your attitude does make a difference.
   * Don't be afraid to voice an unpopular view.
   * Ask questions.
   * Don't let us get into trouble.
   * Make this a better place to work.
   * Look at a product from a customer point of view.
   * Develop a can-do attitude.
   * Learn to look as broadly as possible; see other points of view.
   * Keep people informed of changes.
   * Freedom means responsibility.
5. Know the territory: competition, customer needs, engineering technologies, etc.
6. It takes everyone to successfully complete a product: Product Assurance, Marketing, Manufacturing, other members of the Lab, and customers
7. Plan, Plan, Plan: critical areas, equipment, time, testing, etc.
8. Closure on products--invention must stop sometime.
9. You are the salesperson for your ideas; you must help others understand new concepts.
10. Know why you are doing your part and where it fits into the project, section, lab, and division. Seek information; don't just accept it. Help improve our strategies and make sure that we get our products completed in a timely fashion.
11. You are responsible for all phases of a product: Definition, design, implementation, testing, and release for customer use.

3.3. MTS PERFORMANCE CRITERIA

10% Technical Knowledge
Knows CS fundamentals solid
Keeps abreast of the relevant research
Follows the industry & competition
Knows ROLM systems
A recognized expert; quick comprehension

20% Judgment & Design
Can delineate problems & design relevant solutions
Balances theory & experiment, features & timeliness
Pragmatic, can identify what not to do
Understands the user & customer
Open minded; objective analysis
Designs stand without change
Products reflect a quality design
Sees the big picture

15% Creativity & Innovation
Inventive & effective techniques & solutions
Fresh, unique viewpoints and ideas
Ability to brainstorm
Vision, ideas for ROLM's future success

10% Organization & Implementation
Little supervision required
Organized, planned approach
Can set milestones & schedules
Maintains design notes & documentation
Reliable quality products
Best performing products
Maintainable & extensible products
Keeps others posted as necessary
Technical writing abilities

20% Dependability
Meets milestones--fulfills assignments
Perseverance & carry through
Can be relied on
Versatile

10% Initiative
Tackles difficult assignments & tight schedules
Willingness to stretch
Makes things happen

15% Teamwork
Helpful; can be interrupted
Identify with teams, ego-less
Good inter-personal skills
Good oral communications & presentations
Contribution to others
Works effectively with other projects & areas
Enthusiasm

3.4. MTS PERFORMANCE CRITERIA GUIDELINES

Criterium	Unacceptable	Acceptable	Good	Very Good	Exceptional
TECHNICAL					
CS fundamentals	Deficient	Basics	Speciality	Internal expert	External expert
Keeps abreast		Informed	Knowledgeable	Internal contributor	External contributor
Follows industry		Informed	Firsthand knowledge	Demonstrated insights	Innovator
Knows ROLM systems		Their part only	Their entire system	Other systems in ROLM	Sought out
Recognized expert		Their project	Their entire system	Field in general	Recognized expert

I would like better words

Criterium	Unacceptable	Acceptable	Good	Very Good	Exceptional
JUDGEMENT					
Delineates problems	Lacks interest	Usually	Consistently	Habitually	Surprise formulations
Balances theory		Assisted	Unassisted	Purposefully	Ingeniously
Pragmatic	Avoids seeking	Uses what's avail.	Uses variety	Selects most approp.	Researches
Understands user	Unknowledgeable	Limited knowledge	Accurate knowledge	Demonstrated insight	Consistently insightful
Open minded	Rejects ideas	With coercion	Accepting	Competitive cooperation	Value-centered
Designs stand	Rarely	Sometimes	Most of the time	Always	Generalized by others
Quality designs	Does not meet spec.	Usually meets spec.	Meets specifications	Always meets spec.	Sets standards
Big picture		If explained	Tactician	Strategist	Signal giver
CREATIVITY AND INNOVATION					
Inventive solutions	Rarely	Sometimes	Most of the time	Always	Sets trends
Fresh viewpoint	Rarely	Sometimes	Most of the time	Always	Generalized by others
Brainstorms	Rejecting	Participant	Active participant	Leader	Enriches
Vision	Lacking	Project	System	ROLM	Business world
ORGANIZATION AND IMPLEMENTATION					
Supervision	Requires lots	Comes to mgr.	Self-starter	Leads others	
Organized	Needs const. review	Need regular review	Seldom needs review	Values organization	
Sets milestones	Immediate	Short range	Personal long range	Team oriented	Purposeful planning
Design notes	None	Exist	Organized	Clear	Exemplar
Reliable products	Fails	Work to spec.	Bug free	Bug free thru review	
Best performing	Rarely to spec.	Usually to spec.	Almost always to spec	Always to spec.	Exceeds specification
Maintainable Product	With difficulty	With ordinary trng.	With some training	With little training	Without training
Keeps others posted	Resists	If asked	Consistently	Purposefully	Enriches
Technical writing	Lacking	Relevant info.	Organized, concise		Set standards
DEPENDABILITY					
Meets milestones	80% late	50% on time	80% on time	Always on time	Often early
Perseveres	Rejects	If asked	Accepting	Commitment	Seeks out
Can be relied on	Rarely	With coercion	With some reminding	Without reminding	Without asking
Versatile	Rejects switching	Can if asked	Accepting	Does what it takes	Effortlessness
INITIATIVE					
Tackles	Lack of interest	With prodding	With ease	Becomes challenge	Originates
Stretches	Rejects	With prodding	With ease	On own	Takes risks
Makes things happen	Does not	In team	In division	In ROLM	In business
TEAMWORK					
Helpful		If asked	Volunteers in team	Volunteers in division	Sees opportunities
Identifies w/ team			Supportive	Egoless	Builds spirit
Interpersonal skills	Disruptive	Compatible	Dependable	Sensitive	Reconciliator
Oral communication		Factual	Understandable	Concise and simple	Entertaining, stimulating
Contrib. to other		Facts	Concepts	Ideas	Educator
Works w/ others	?	Passively	Actively	?	?
Enthusiasm	Rarely	Occasionally	Almost always	Always	Rubs off

No space →

	Unacceptable	Acceptable	Good	Very Good	Exceptional
CS Fundamentals	Deficiency	Basics	Speciality	Internal expert	External Expert
Keeps abreast		Informed	Knowledgeable	Internal contributor	Ext. Contributor
Follows industry		Informed	Firsthand knowledge	Demonstrated insights	Innovation
Knows ROLM systems		Their part only	Their entire system	Other systems in company	Sought out
Recognized expert		Their project	Their entire system	Field in general	Recognized ext.
Delineates problems	Lacks interest	Usually	Consistently	Habitually	Surprise formulations
Balances theory		Assisted	Unassisted	Purposefully	Ingeniously
Pragmatic	Avoids seeking	Uses whats available	Uses variety	Selects most appropriate	Researches
Understands user	Unknowledgeable	Limited knowledge	Accurate knowledge	Demonstrated insights	Insights
Open minded	Rejects	With coercion	Accepting	Competitive co-operation	Value-centered
Designs stand	Rarely	Sometimes	Most of the time	Always	Generalized by others
Quality designs		Usually meets specs	Meets specifications	Always meets specs	Sets standards
Big picture		If Explained	Tactician	Strategist	Signal giver
Inventive solutions					Sets trends
Fresh viewpoint	Rarely	Sometimes	Most of the time	Always	Generalized by others
Brainstorms	Rejects	Participation	Active participation	Leads	Enriches
Vision	Lacking	Project	System	ROLM	Business world
Supervision	Requires lots	Comes to you	Self-starter	Leads others	
Organized	Needs constant review	Needs reg.review		Seldom needs review	Values organization
Sets milestones	Immediate	Short range	Personal long range	Team-oriented	Purposeful planning
Design notes		Exists	Organized	Clear	Exemplear
Reliable products	Fails	Works to sped	Bug free	Bug free thru reviewing	
Best performing	Rarely meets spec	Usually meets spec	Almost always meets spec.		Always meets spec Exceeds
Maintainable products	With difficulty	With ordinary trng.	With some trng.	With little trng.	Without training
Keeps others posted	Resists	If asked	Consistently	Purposefully	Enriches
Technical writing	Lacking	Relevant info.		Organized, concise	Sets standards
Meets milestones	80% Late	50% on time	80% on time	Always on time	Often early
Perserveres	Rejects	If asked	Accepting	Commitment	Seeks out
Can be relied on	Rarely	With coercion	With some reminding	Without reminding	Without asking
Versatile	Rejects switching	Can switch if asked	Accepts switching	Does what it takes	Effortlessness
Tackles	Lack of interest	With prodding	With ease	Becomes challenge	Originates
Stretches	Rejects	With prodding	With ease	On own	Takes risks
Makes things happen	Does not	In team	In division	In company	In business
Helpful		If asked	Volunteers in team	Volunteers in division	Sees opportunities
Identifies w/team				Egoless	Builds spirit
Independent skills	Disruptive	Compatible	Dependable	Sensitive	Reconciliator
Oral communication		Factual	Understandable	Concise & simple	Entertaining & stimulating
Contribution to others					
Works w/others					
Enthusiasm	Rarely	Occasionally	Almost always	Always	Rubs off

3.5. GROUP MANAGER RESPONSIBILITIES

1. Use the Product Life Cycle for all project development; any deviation must be justified.

2. Either conduct or insure that walk throughs are used for design and code.

3. Read the code of each individual to insure that the code is well structured, commented, and maintainable.

4. Arrange and conduct the review and sign-off meetings at each phase of the development cycle. Each meeting should be a tutorial on what, why, and how by the entire product team.

5. Be the technical leader for design and direction for the project. You should be able to explain how the product works.

6. Make Marketing a part of the team.

7. Help each individual set schedules and monitor progress toward that schedule.

8. Conduct post-MR meetings with the product team to review the status of the product on a regular basis.

9. Each project should have weekly milestones that are reviewed, with recognition to those who met the milestones.

3.6. GROUP MANAGERS PERFORMANCE CRITERIA

15% Planning & Judgment
   Well laid out plans for current and future products
   Understands lab goals & how group's goals fit
   Solid tools for communicating plans, oral & written
   Sees the big picture
   Can delineate problems and influence solutions
   Has well thought out reasons to back decisions
   Open minded, constructive in decision making
   Makes good decisions
15% Organization & Dependability (Tactical)
   Sets and meets milestones
   Executes product life cycle
   Knows status and next steps of projects & products
   Solid tools for communicating plans, oral and written
   Carries through
20% People Skills, People Development & Communication
   Communication with managers, peers, employees, ...
   Contagious enthusiasm
   Proficiency at resolving personnel problems
   Supports people: goals, strengths, accomplishments
   Solid on time performance evaluations consistent with pay
   Works at developing his/her people
   Affirmative Action
   Can replace themselves
   Insures adequate training
   Group clearly knows responsibilities and execution
10% Recruiting & Hiring
   Finds and attracts good people
   Affirmative Action
   New techniques introduced
15% Technical Skills
   Knows the territory
   Understands the implementation of his/her projects
   Can evaluate and explain alternatives
   Has broad technical skills that covers all projects
   Keeps up with the industry and research activity
10% Innovation & Creativity
   New techniques & procedures introduced
   Vision
   Encourages inventive solutions
   Helps evolve the product development process
15% Initiative & Leadership
   Makes things happen
   Tackles difficult assignments
   Follows through & perseveres
   Influences others
   Solves Problems

3.7. GROUP MANAGER PERFORMANCE CRITERIA GUIDELINES

Group Manager

	Unacceptable	Acceptable	Good	Very Good	Exceptional
Plans	Missing	Has them	W/o asking	Efficient	Sophisticated
Understands goals	Limited	When interested	Regularly displayed	Consistently	Excites others
Communicates plans	Rarely, poorly	When asked	W/o asking, normal	Notices extra need	Enriches division
Sees "big" picture	Muddled	Current project	Group	Division	Business
Influence solutions	Rarely	When assigned	When interested	Habitually	Discusses challenges
Reasoned decisions	Uninformed	Knows alternatives	Practically oriented	Team oriented	Simple, complete
Open minded	Negative, destructive	Mixed	Constructive	Egoless	Value-centered
Milestones	Misses regularly	Misses rarely	Self initiates	Self-disciplined	Creative and ahead
Product life cycle	Fails	Accepts and follows	Accurately	Anticipates problems	Modifies for superior
Project status	Uninformed	Usually	Regularly	Anticipates problems	results
Carries through	With difficulty	Without prodding	Easily on track	Becomes a challenge	Effortlessly
Interface					Exuberance
Enthusiasm	Authoritive	Material, cooperative	Supportive, dependable	Integrative, high stds.	Values work, model
Personnel problems	Reluctantly	When necessary	Easily	W/transcendence	Toward values
Supports people		Organizationally	Motivationally	Gains committment easily	Inspires them
On-time evaluations	Obedience	Security	Performance	Self-esteem	Value
Develops people	Authority	Rewards	Support	Integration	Signal giver
Affirmative action	Rejects	Accepts	Given opportunity	Exerts energy	Corporate import
Replace themselves	Could not	w/ 50% Good	w/ 50% very good	One candidate	Multiple Candidate
Adequate training				80% very good	100% Very Good
Clear responsibilties		Adequately	Performance Commitment	Team Commitment	Value Commitment
Knows territory					
Understands projects		Organizational	Active participation	Assumes responsibility	Demonstrates values
Explains alternatives	Poorly	With Some Bias	Accurately	Without Ego	Value Oriented
Technical Skills	Compliance	Task	Skill	Product	Business
Keeps up	Rarely	Minimally	Regularly	Enjoys	Discovers new challenges
Procedures introduced			Performance oriented	Team	Value
Vision	Missing	Project	Group	Division	Wholeness, unity
Inventive solutions			Performance		Perfection
Makes things happen	Fails	Project	Product	Divison	Business
Tackles assignments	Rejects	With coercion	Accepts	Views as purposeful	Does independently
Perserveres	Rejects	If Asked	Accepts	Commitment	Seeks Out

3.8. GROUP MANAGER CRITERIA EXPECTATIONS

1. Bug-free code is expected.

2. Setting and meeting schedules is expected.

3. Saying a product/project is "done" means that you cannot make it fail, not that you cannot make it work.

4. Quality is not an add-on; it is expected.

5. Knowing the competition is expected.

6. Improving the product development process is expected.

7. Coaching your people on good design and implementation practices is expected.

3.9. GROUP MANAGER TANGIBLE PERFORMANCE MEASURES

1. Solid tools for communicating plans, oral and written; contagious enthusiasm, understands the implementation of his products.

   *   Simple, clear, understandable charts, tables, and diagrams.

   *   Enthusiastic, self-confident presentation style.

2. Well laid out plans for current and future products; solid understanding of lab goals and how group goals fit; sees the big picture.

   *   Two year product program including releases, features, resource requirements, COGS, Product support, competitive advantage.

   *   Detailed project plans including major tasks, integration steps, test plans, trial plans. Covers all aspects of product: hardware, software, operating system, tools.

   *   Detailed individual task assignments for the next two months, each less than two weeks long and with full commitment from individuals including those in other groups.

   *   Objectives for one year, each quarter, next month, next week.

   *   Internal reference specifications diagrams in order.

3. Sets and meets milestones; knows status and steps on project, carries through.

   *   Tasks and milestones defined and updated weekly. Status reports show regular milestone achievement.

4. Execution of product life cycle.

   *   Has accurate data sheets.

   *   Has accurate POR.

   *   Has accurate ERS.

   *   Has trial criteria and test plans.

5. Knows and supports people: goals, strengths, accomplishments; works at developing people; can replace themselves; insures adequate training; group has clear idea of its responsibilities and how they are to be executed.

   * Has written individual development plan.

   * Has written individual training plan.

   * Individuals report that they know their tasks, know their group plans, have a mentor, work in a supportive atmosphere.

6. Solid on time performance evaluations, consistent with pay.

   * On time ECN and reviews.

7. Can delineate problems and influence solutions; has well-thought out reasons to back decisions; open minded and constructive in decision making; makes good decisions; solves problems; can evaluate and explain alternatives; influences others.

   * At weekly staff meetings present problems, alternative solutions, risks, and recommendations.

   * In status reports presents problems, solutions considered, risks, corrective action taken.

8. Knows the territory; keeps up with the industry and research activities.

   * Working, hands-on knowledge of all major competitive products.

   * Personal, first hand knowledge of customers.

9. Finds good people; attracts good people; affirmative action; new techniques introduced.

   * Above average statistics in college recruiting program.

   * Modifications introduced to college recruiting program.

10. Communication with managers, peers, employees; makes things happen; follows through; influences others.

    * Initiates meetings with or gives presentations to Marketing, Product Support, other engineering groups, Documentation and Training.

11. Breadth of technical skills that covers all projects; new procedures introduced; vision; encourages inventive solutions; contributes to the evolution of the product development process.

   * Changes to the management guide, writing guide. Introduction of development procedures for architecture, design reviews, coding, and testing.

   * Published papers, protocols, or standards.

3.10. SECTION MANAGER RESPONSIBILITIES

1. Make sure projects fit together in a well though out way.

2. Develop your people to see the larger view.

3. Have a solid, broad view of a major part of our strategy; be constantly. proposing where we should be going next and the best way for getting there.

4. Keep looking at ways to make this a better place to work.

5. Delegate as much as you possibly can in a responsible fashion.

6. Try to get as much free time as possible.

7. Be visible and available.

8. Work closely with other managers.

3.11. SECTION MANAGER PERFORMANCE CRITERIA

10% Competitive Knowledge

Awareness of who the competitors are, the price and features of the products, and why the customers buy them. The strengths and weaknesses of the products and the future direction of those products.

10% Strategies

The development of the short-term and long-term product directions and why those directions are chosen. The set of customer problems to be solved, and who the customers are for those products; the product timing and + staffing. Unique opportunities, difficulties, dependencies required for the success of the strategy.

10% Co-ordination with other Groups

Explanation, negotiating, and reporting with others.

50% Developing Project Managers

Explaining and following the Product Life Cycle, coaching/counselling on people skills, scheduling, delegation, testing, quality, customer satisfaction, and overall responsibilities. Actively participating in the overall product process, reviews, helping be a role model. Teaching Group Managers how to make the transition from MTS to GM.

10% Improving Management Techniques

Adhering to good management practice and developing new methods to improve the management of people and projects.

10% Other

The endless set of task forces, new ideas, leadership, recruiting and listening, that each manager must do to make things successful.

3.12. SECTION MANAGER PERFORMANCE CRITERIA GUIDELINES

Section Manager

	Unacceptable	Acceptable	Good	Very Good	Exceptional
Competitive knowledge	Lack of Interest	Some prodding	With ease	Becomes challenge	Originates
Strategies	Immediate	Short Range	Longer Range	Sets Long Range	Purposeful Planning
Co-ordination	Compliance	Satisfaction	Motivation	Team Commitment	Value Commitment
Personal Development	Low	Rarely	When Interested	Habitually	Discovers Challenges
Management Techniques	Authority	Material Rewards	Support	Integration	Signal Giver Integration
Other	Rejects	With Coercion	Accepts	As Purposeful	Does Independently

3.13. LAB MANAGER RESPONSIBILITIES

1. Making sure we find top-notch people for our growing organization by:
   Taking an active part in the college recruiting process
   Insuring that the entire lab feels a commitment to making the recruiting process work
2. Developing project and section managers by involving them in:
   Targeting and expense reviews
   Strategy development and product development techniques
   People development processes
3. Participating in Division R&D strategy and developing detailed lab strategies.
4. Developing your successor
5. Nurturing an atmosphere of innovation, curiosity, concern and productivity
6. Being visible and approachable to the Lab
7. Developing a partnership with Marketing and Manufacturing so that everyone can contribute to producing great products.
8. Keeping people informed of their own progress through timely formal and informal evaluations.
9. Maintaining honest and open communications throughout the Lab. Making sure that everyone knows where the Lab is going.
10. Making a special effort to see that your managers get the formal training they need.
11. Helping your people experience success by making sure products are introduced to the market in a timely fashion. Creeping elegance keeps people from experiencing success.
12. Providing encouragement to your people and putting them in situations where they can be recognized for their contributions.
13. Doing all you can to make the Lab a place where people want to work.
14. Learning from the Lab by listening intently to the people in the Lab, then providing the leadership that is needed.

3.14. SECRETARY PERFORMANCE CRITERIA

20% Policies, Procedures and Organization

Prepare and process standard forms
Keeps office supplies in order
Basic knowledge of policies and procedures
Handles time cards

10% Mail and Correspondence

Sort and distribute mail

20% Transcription and Typing

Type finished copy
Reproduce and distribute documents

10% Appointments and Business Calendar

Maintain calendar
Answer telephone
Greet visitors
Take messages

10% Files

Maintain files
Establish and purge files as directed

10% Travel

Make arrangements as directed

20% Teamwork

Helpful, covers for others
Accepts work when others have overload
Enthusiasm

3.15. SENIOR SECRETARY PERFORMANCE CRITERIA

10% Policies, Procedures, & Organization
Assist in organization and preparation of administrative reports, working knowledge of company policy and practices
Prepare personnel documents
Operate business machines and text editing systems
Keep office supplies in order
Handle time cards
Check and process expense reports, invoices, and other forms used within the section.

10% Mail and Correspondence
Route and distribute mail
Prepare replies independently
Maintain follow-up system
Reproduce and distribute documents

20% Transcription and Typing
Transcribe, edit, and proof
Prepare charts and graphs
Layout from oral instructions

10% Appointments and Business Contacts
Schedule appointments without prior clearance
Remind and inform principals
Answer telephone calls and handle if appropriate
Greet Visitors

10% Meeting & Scheduling
Arrange meetings
Assemble background material
If requested, attend and prepare minutes

10% Files
Organize files
Maintain files
Update notebooks and bulletin boards

10% Travel
Make arrangements and accommodations on own initiative
Prepare necessary forms

20% Teamwork
Helpful, can be interrupted, covers for others
Seeks help when overloaded
Accepts work when others are overloaded
Works effectively in team assignments
Enthusiasm

3.16. ADMINISTRATIVE SECRETARY PERFORMANCE CRITERIA

20% Policies, Procedures, and Organization
Independently performs administrative assignments on an ongoing basis
Thorough, specific knowledge of policy and procedures
Assists in organization of form and record processing
Maintain organization spending vs budget
Assist in budget preparation
Prepare personnel documents
Communicate with all levels of management to gather or convey information

10% Mail and Correspondence
Screen mail and assemble data for reply
Compose replies on own initiative
Determine need for reply in principal's absence
Maintain follow-up system
Route and distribute mail

20% Transcription and Typing
Transcribe highly confidential documents
Prepare statistical data from records

10% Appointments and Business Contacts
Make and refuse principals appointments on own initiative
Screen visitors and phone calls
Remind and inform principals

10% Meeting Schedules
Inform participants of topics
Provide background materials
Prepare detailed accounts of proceedings

10% Files
Set up, maintain, and revise filing systems

10% Travel
Make arrangements and accommodations on own initiative

20% Initiative and Leadership
Makes things happen
Tackles difficult assignments
Follows through
Influences others
Solves problems
Enthusiasm

VI Evaluation
Forms

APPENDIX A. EVALUATION FORMS

1. Draft the review.

   * Use pencil.

   * Do not imply or attribute intention. E.g., he does not seem to be interested in work.

   * Do be factual and report observable events and outcomes. E.g., he missed 10 of 30 teams meetings without giving prior warning.

   * Do not use vague and ambiguous statements. E.g., he works hard and the quality of his work is high.

   * Do give concrete examples for everything. E.g., he completed the project two weeks early; the group praised the simplicity of his design at the code review.

   * Do not use buzz words only understood by your group.

   * Do write in clear, understandable terms for unknown future readers.

   * Focus on responsibilities and outcomes more than process.

2. Review with supervisor.

3. Review with employee.

4. Have neatly typed by the department secretary. Make the personnel folders a professional product of which both you and the employee are proud.

APPENDIX A.1. MTS CRITERIA WORKSHEET

```
Total_____
10% Technical Knowledge_____
  Knows CS
  Keeps abreast
  Follows industry
  Knows ROLM systems
  Recognized expert_____
20% Judgment & Design_____
  Delineate & designs
  Balances theory
  Pragmatic
  Understands user
  Open minded
  Designs stand
  Quality products
  Big picture_____
15% Creativity & Innovation_____
  Inventive solutions
  Fresh, Brainstorms
  Vision_____
10% Organization & Implementation____
  Little supervision
  Organized
  Sets milestones
  Design notes
  Reliable products
  Best performing products
  Maintainable products
  Keeps others posted
  Technical writing_____
20% Dependability_____
  Meets milestones
  Perseverance
  Can be relied on
  Versatile_____
10% Initiative_____
  Tackles
  Stretches
  Makes things happen_____
15% Teamwork_____
  Helpful, Ego-less
  Good inter-personal skills
  Oral communications
  Contribution to others
  Works with others
  Enthusiasm
```

APPENDIX A.2. MTS PERFORMANCE EVALUATION

Name_____

Date of Evaluation_____

Date Evaluation Due_____

Return for Next Evaluation_____

Evaluating Supervisor_____

Second Level Supervisor_____

Accomplishments and Progress Toward Objectives

*   Specific accomplishments since last review

*   Progress toward personal objectives set in last review

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Strengths and Weaknesses

Performance Ratings:

Exceptional	Consistently Far Exceeds Expectations
Very good	Consistently Exceeds Expectations
Good	Meets Expectations
Acceptable	Usually Meets Expectations
Unacceptable	Is Below Minimal Acceptable Level

1. 10% Technical Knowledge

    Knows CS fundamentals solid
    Keeps abreast of the relevant research
    Follows the industry & competition
    Knows ROLM systems
    A recognized expert; quick comprehension

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

2. 20% Judgment & Design

    Can delineate problems & design relevant solutions
    Can balance theory & experiment features & timeliness
    Pragmatic, can identify what not to do
    Understands the user & customer
    Open minded; objective analysis
    Designs stand without change
    Products reflect a quality design
    Sees the big picture

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

3. 15% Creativity and Innovation

        Inventive & effective techniques & solutions
        Fresh, unique viewpoints and ideas
        Ability to brainstorm
        Vision, ideas for ROLM's future success

    Exceptional   Very Good   Good   Acceptable   Unacceptable

    _____

    _____

    _____

    _____

    _____

    _____

4. 10% Organization & Implementation

        Little supervision required
        Organized, planned approach
        Can set milestones & schedules
        Maintains design notes & documentation
        Reliable quality products
        Best performing products
        Maintainable & extensible products
        Keeps others posted as necessary
        Technical writing abilities

    Exceptional   Very Good   Good   Acceptable   Unacceptable

    _____

    _____

    _____

    _____

    _____

    _____

5. 20% Dependability

     Meets milestones--fulfills assignments
     Perseverance & carry through
     Can be relied on
     Versatile

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

_____

6. 10% Initiative

     .
     Eager to tackle difficult assignments & tight
     schedules
     Willingness to stretch
     Makes things happen

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

7. 15% Teamwork

    Helpful; can be interrupted
    Identify with teams, ego-less
    Good inter-personal skills
    Good oral communications & presentations
    Contribution to others
    Works effectively w/other projects & functional areas
    Enthusiasm

Exceptional   Very Good   Good   Acceptable   Unacceptable

----

8. Development Plan

    Employee's goals
    Discussion of areas needing strengthening
    Methods and means to improve
    Short term development actions
    Specific goals and objectives for next year

_____

_____

_____

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_____

_____

_____

_____

I have read and discussed this evaluations with my manager
and my signature merely attests to this fact.

_____   _____

Employee's Signature   Date

9. Optional Employee Comments

_____

_____

_____

_____

APPENDIX A.3. GROUP MANAGER CRITERIA WORKSHEET

```
Total_____
15% Planning/Judgment _____
    Well laid out plans
    Understands goals
    Communicates plans
    Sees big picture
    Influences solutions
    Reasoned decisions
    Open minded
    Makes good decisions_____
15% Organization & Dependability___
    Sets and meets milestones
    Executes product life cycle
    Knows status
    Communicates plans
    Carries through_____
20% People Skills_____
    Interface
    Contagious enthusiasm
    Personnel problems
    Supports people
    On-time evaluations
    Develops people
    Affirmative Action
    Can replace themselves
    Adequate training
    Clear responsibilities_____
10% Recruiting/Hiring_____
    Finds & Attracts
    Affirmative Action
    New techniques _____
15% Technical Skills_____
    Knows the territory
    Understands projects
    Explains alternatives
    Technical skills; keeps up_____
10% Innovation/Creativity_____
    New techniques
    Vision
    Inventive
    Evolution_____
15% Initiative/Leadership_____
    Makes things happen
    Tackles, Perseveres
    Influences others
    Solves problems
```

APPENDIX A.4. GROUP MANAGER PERFORMANCE EVALUATION

Name_____

Date of Evaluation_____

Date Evaluation Due_____

Return for Next Evaluation_____

Evaluating Supervisor_____

Second Level Supervisor_____

Accomplishments and Progress Toward Objectives

* Specific accomplishments since last review

* Progress toward personal objectives set in last review

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Strengths and Weaknesses

Performance Ratings:

Exceptional	Consistently Far Exceeds Expectations
Very good	Consistently Exceeds Expectations
Good	Meets Expectations
Acceptable	Usually Meets Expectations
Unacceptable	Is Below Minimal Acceptable Level

1. 15% Planning and Judgement

> Well laid out plans for current and future products
> Understanding lab goals and how group's goals fit
> Solid tools for communicating plans, oral & written
> Sees the big picture
> Can delineate problems and influence solutions
> Has well thought out reasons to back decisions
> Open minded, constructive in decision making
> Makes good decisions

Exceptional   Very Good   Good   Acceptable   Unacceptable

----

2. 15% Organization & Dependability (Tactical)

> Sets and meets milestones
> Executes product life cycle
> Knows status and next steps of projects & products
> Solid tools for communicating plans, oral and written
> Carries through

Exceptional   Very Good   Good   Acceptable   Unacceptable

----

3. 20% People Skills People Development & Communication

    Communication with managers, peers, employees ...
    Contagious enthusiasm
    Proficiency at resolving personnel problems
    Supports people: goals, strengths, accomplishments
    Solid on time performance evaluations consistent with
    pay
    Works at developing his/her people
    Affirmative action
    Can replace themselves
    Insures adequate training
    Group knows its responsibilities and execution

    Exceptional   Very Good   Good   Acceptable   Unacceptable

    _____

    _____

    _____

    _____

4. 10% Recruiting & Hiring

    Finds & attracts good people
    Attracts good people
    Affirmative Action
    New techniques introduced

    Exceptional   Very Good   Good   Acceptable   Unacceptable

    _____

    _____

    _____

    _____

5. 15% Technical Skills

        Knows the territory
        Understands the implementation of his/her projects
        Can evaluate and explain alternatives
        Breadth of technical skills cover all projects
        Keeps up with the industry and research activity

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

6. 10% Innovation & Creativity

        New techniques & procedures introduced
        Vision
        Encourages inventive solutions
        Helps evolve the product development process

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

7. 15% Initiative & Leadership

    Makes things happen
    Tackles difficult assignments
    Follows through/perseverance
    Influences others
    Solves Problems
    Solid tools for communicating plans, oral and written
    Carries through

Exceptional   Very Good   Good   Acceptable   Unacceptable

_____

_____

_____

_____

8. Development Plan

      Employee's goals
      Discussion of areas needing strengthening
      Methods and means to improve
      Short term development actions
      Specific goals and objectives for next year

_____

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_____

I have read and discussed this evaluations with my manager and my signature merely attests to this fact.

_____   _____
Employee's Signature   Date

9. Optional Employee Comments

_____

_____

_____

_____

APPENDIX A.5. SALARY REVIEW DATA

Name_____

Date_____

Current Salary_____

Proposed New Salary_____

Amount of Increase_____

Percentage Increase_____

Division Stacking Percentile_____

Years at ROIM_____

Years Relevant Experience_____

Amount of last increase_____

Date of Last Increase_____

Comments:

LEVELING AT ROOM

LEVELING AT ROLM

WHAT LEVELING MEANS AT ROLM

As applied to interpersonal relationships, the definition of "leveling" is widely accepted as meaning "open, honest, and candid communications." A less formal definition of leveling would be "telling it like it is," or "laying it on the line."

At ROLM, the term leveling has more specific applications. It means an honest appraisal of the conditions of employment with respect to employees. It means a frank presentation of what is expected of employees, the results demanded, and the rewards to be anticipated.

Leveling means being honest with employees about their performance, function, goals, good points and bad, where they are going, what they can expect, what they can do with their capabilities, what they should do to improve these capabilities. It means making sure employees are in tune with their abilities, strengths, and weaknesses. It means giving employees support, improving their performance. Leveling includes constructive criticism.

At ROLM, leveling means making all information known to employees. It means reviewing company developmments in light of their impact on employees.

Leveling at ROLM has also been defined as getting at the truth *as it is perceived*. Leveling does not necessarily mean some kind of negotiated agreement, although that may result from the leveling process. Leveling, or getting at the truth, is the achieving of the best and most effective kind of communications. This may mean agreeing to disagree, which is all right so long as the working relationship is not affected.

Finally, leveling means preparation. An effective leveling session requires a lot of thought. In order to be honest with employees, in order to say the right thing, it is sometimes necessary to plan and rehearse a "scenario" before the actual event. This is hard to do, especially in the case of a "problem" employee.

Good leveling is not easy to do well. But at ROLM, it is part of managerial responsibility.

1

HOW DO YOU START THE LEVELING PROCESS?

General Leveling

There is no one "good" procedure for starting the leveling process. Every manager must exercise his or her own style, taking into consideration the nature of the problem, its length, whether inherited or not, the personality of the employee, and the depth to which the manager understands the facts behind the problem.

Most ROLM managers would insist, however, that the leveling process is an on-going affair and it is both positive and negative. It is just as important in effective leveling to praise when praise is due as it is to reprimand when that is due. When you use the positive and negative approach, you are opening the daily channels of communication. You are creating an environment of trust. The employees come to relize that leveling is not just a one-time thing with you. And they know that when something "big" comes along, you are the same straightforward person you have been on a daily basis.

If something happens, good or bad, that deserves "leveling," the process should take place immediately after the event. Ideally, leveling should be a series of constant, short meetings, containing no surprises for the employee.

This means that leveling doesn't have to be a formal arrangement; it should be implicit in the process of developing a proper manager/employee relationship. Specifically, trouble spots should be identified and brought to the attention of the employees. What this means is that a formal review, which is something prescribed by the company, should have no surprises. Pre-review experience should have prepared the employee for what is formalized in the review itself.

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In some instances, it is possible to initiate the leveling process with the acceptance of the employee as the architect of his or her own career at ROLM. The goals of the job can be set down. The methods to accomplish the job can be delineated. The employee knows what is expected, and that he or she has participated in the overall game plan for the job.

After that there comes the managerial task of monitoring the employee, of seeing that the job is being done, of helping, of correcting, of telling the good and the bad about the performance observed.

The Formal Review

When a formal leveling session (i.e., review) is scheduled, the groundwork for it should have been laid by the day-to-day leveling described above.

The employee should know what to expect. There should be no surprises. There is no need to deliver a "blast."

After the environment has been made comfortable and secure and you have the employee's attention, begin with your *perception* of the subject matter under discussion (if you have chosen the "I perceive" technique). Use facts. Proceed slowly with total candor. After you have laid out the issue, give the employee the opportunity to present the other side of the issue in the same environment. Listen carefully. Don't interrupt.

You should have all the facts on hand. You should make the meeting totally private in a private office. There should be a minimum of interruptions. The person should be told that he/she is going to get your full attention and that you are going to be honest. It is also important to assure the person that what is said will go no farther; no one else will know what is said, not even your own supervisor.

2

THE USE OF TACT

Leveling is speaking the truth. But the truth must be made palatable. It must be leavened, flavored, made acceptable to the person. Truth in leveling is important, but it cannot be presented in such a manner as to destroy a person's ego and feelings. The broadside approach is not effective. The person takes umbrage, rightfully, and in all probability doesn't hear the real meaning of the message you are trying to get across. In this case, the manager has closed the communications channel, which is exactly the opposite of what leveling seeks to achieve.

"Tactful" Words

In getting at the truth for effective leveling, the proper selection of words is important. Words like "you might consider this" or "this might be a problem," are helpful. "We have a problem" is also a good approach.

This shows employees that the manager is on their side. It is proof the manager is ready to communicate and it opens the channels for constructive communications. However, one of the most important fallouts from the "we have a problem" orientation is that it allows employees to know that the manager is ready to concede that he/she might be wrong; that, maybe, it is the manager who has the problem, not the employee.

Another effective opening remark is an "offer to help" employees. This is a constructive approach that takes, time, effort, and a little soul searching. Managers have to be honest, and also to have thought the matter through, coming up with options to be presented. They must prepare themselves, often writing down and going over what they intend to say and developing suggestions as to how to help the employees. In using this technique it is important to always keep in mind the happiness and well-being of the employees. This helps when managers are trying to solve a problem or present options. Maybe a manager will have to ask employees (bad or marginal so far as performance is concerned) whether they really want to do the kind of work assigned. Whether they would be better off doing something else. More often than not, employees have considered the same question, and arrived at the same conclusion.

CAN YOU LEVEL WITH ALL PEOPLE?

ROLM believes that all employees should and can be leveled with. However, the approaches taken in leveling must vary. People are different, and the leveling process must be matched to people and to the circumstances of their jobs. Their reactions will differ; managers must anticipate this.

Managers must know themselves and must know the people they are dealing with. In some cases a concise presentation of hard facts will do the job; in other cases a more roundabout approach is in order.

It is often necessary to reduce the leveling process to fundamentals. An example would be to remind disgruntled employees the basic reason we are working for ROLM. All employees are working to make a living. There are certain job requirements they must perform. By meeting these requirements and performing, ROLM, the ultimate "manager," is able to make a profit, grow, etc., and pay the employees for working.

But no matter what approach is used, it must be emphasized that not all people can be satisfied through leveling. Remember that what you are doing through the leveling process is not solving a problem in the absolute sense, that is, in the sense that the problem will go away forever. Leveling consists of discussing options with the person.

THE "I PERCEIVE TECHNIQUE"

Many ROLM managers use the "I perceive" technique to conduct the leveling process. With this method you must let the person know that what you are about to say is a *personal* perception. In other words, you tell the person this is how he or she is coming across to you. However, in taking this approach, it is important not to make the mistake of adding, "This is how I see you, but of course I could be wrong." This defensive position weakens the very point you are trying to make, namely, that what you are about to say is indeed how you view the person.

What you must be concerned with is that you state your perception honestly. Naturally, there is always the possibility that you are not perceiving as *others* do. That is precisely why the forthright, honest, and open approach to leveling is the most effective. The leveling process is a two-way street. You must let the people being leveled with know how they strike you. This paves the way for meaningful communication. It is imperative, therefore, that you be completely honest in what you think, and then in what you say. Without honesty on your part, the "I perceive" method does not work.

The greatest advantage of the "I perceive" technique is that it doesn't matter whether or not the manager is "right" or "wrong." The point is that, by using the "I perceive" technique, the manager keeps, so far as possible, emotion out of the leveling process. Whether employees have a problem or are perceived as having a problem (perhaps correctly) doesn't matter at this stage; people *believe* they have a problem and therefore they are not as effective as they could be. The *perceptions* have to be overcome, right or wrong. By joining forces with employees to overcome problems, the manager hopefully starts the employees on the path of analyzing whether the perception is correct or not. The manager is telling the employees that, despite what they think, this is how others are perceiving them. This gives the employees an opportunity to stand back and take a look at themselves. They don't have to really admit a wrong, just accept the fact that they are coming across to others in a certain way.

Once the employees have accepted this "image" that is projected, they can start working on changing the image to another — without ever having to admit a wrong or flaw.

The need for the "I perceive" technique is lessened when managers have access to facts that prove their point. When hard documentation is available, it makes little sense to say "John (or Mary), my perception is that you are doing a bad job," rather than, "John (or Mary), the record shows you are doing a bad job and here are the facts to back up that statement."

If managers have had the opportunity to conduct the leveling process on a day-to-day basis, the need for the "I perceive" technique is also decreased.

CAN LEVELING BACKFIRE ON YOU? . . .

Yes it can. If employees want to make the leveling process all-out shouting matches there is little you can do about it except listen — at least for awhile.

But during the tirade make sure you are truly *listening*. It is important to get through the inflammatory words into what is really being said. You may never get the opportunity again.

When it finally becomes apparent that the confrontation is leading nowhere, there are several paths to take.

One is to use a very obvious "silent treatment." If you have presented the facts and the employee interrupts you, fall silent. And remain silent. Make no attempt to respond to the harangue. Eventually, the person will realize what is happening and tone down. When this happens, give your perception of the facts once again.

Another alternative is to ask the employee to go away and think it over for a few days and then return. If, at subsequent meetings there is no progress, it might be advisable to call it quits altogether. There is only so much you can do in these cases. If people will not calm down and listen to the facts, they must be considered to have forfeited their rights and benefits under the ROLM leveling procedure.

However, the best way to prevent leveling from backfiring is to eliminate the causes. Deal first with the person's feelings, using such words as "I'm sorry you're upset," if indeed the person is upset. Recognize the emotional aspect of the leveling process and try to handle it first. Then, calmly, present the facts. If there is an emotional aura of the meeting, the presentation of facts tends to dissipate it. Not always, of course.

A better way to avoid emotionalism is through the on-going approach to leveling. This goes back to establishing, through a prior agreement, what is expected of the employee. If you have followed the leveling process on a periodic basis, you have done a lot to take the emotion out of leveling. You are presenting facts to the employee: facts that relate to the good, as well as the bad, and are difficult to deny.

If guidelines are established, if they are known to employees, and if the manager is constantly and consistently applying them to employees, there are few employees that cannot anticipate, and accept, negative leveling, and react with much less emotion than otherwise.

... CAN IT BLOW UP IN YOUR FACE?

Leveling can do that too. Specifically, an employee, as a direct result of the leveling process, can walk off the job. Quit. On the spot, or a few weeks later.

There are at least three ways to take this.

(1) The Positive View

One way is to accept the fact that leveling can have unpleasant results. This is a risk managers must take. A few people just cannot take criticism, no matter how tactfully it is presented or how constructive it might be.

An *honest* rationalization of such an event is that, if you have tried to establish a good relationship with the employee to set the scene for leveling sessions, and if you have used experience with leveling along with effective techniques, and if you still can't bring off constructive leveling with the employee, then you must consider the employee immature and a difficult management problem.

Leveling consists of positive and negative elements, and constructive leveling is an attitude. If you have done your part in the equation, and, for whatever reason the employee is unable or unwilling to cooperate, it is apparent that the environment is not to his/her suiting, and he/she should be better off leaving said environment.

Under the "acceptance of the inevitable" attitude, managers are justified in believing that, when a person quits, after a bona fide attempt to level, it will eventually prove to have been a positive act. For the person. For ROLM. And for the manager. This is not to say that if a person quits after a bum rap it is a good thing. There must have been the *leveling in good faith* by the supervisor. But good faith is not always sufficient.

There are instances (the reasoning goes) where it is impossible to achieve leveling. Maybe a supervisor cannot level with a particular employee. Maybe the employee is uncooperative and cannot or will not accept options. In these cases it is better for the employee to move to another position within the company, or if that is infeasible, to move out all together. When this happens, stress is removed from the individual and the organization(s). And the removal of excessive stress is always a positive thing.

5

(2) The Personal Failure View

If an employee quits as the result of leveling, some ROLM managers feel they have failed in the leveling process. They don't subscribe to the theory that a person's quitting is, in the final analysis, the best solution to a problem. They don't agree that the quitting was inevitable. They think this is a rationalization. A cop out.

As one ROLM manager put it:

> *The reason I say this is that I have seen, and know, many ROLM people now doing excellent jobs for the Company who could have been written off a long time ago. Their quitting would have been a loss to ROLM. If my supervisor, years ago, had not taken the time to level with me, I would not have developed as I have. However, the first time through the process it came close to backfiring -- no one had ever told me I wasn't doing a good job. I felt like quitting. The point was not that I was doing a bad job, but rather I could do better and I could grow. Had I quit, both ROLM and I would have lost. My boss would have written me off, but he didn't. Had I left it would have been because of my immaturity, but more importantly, my boss would have failed at successful leveling.*

(3) The Acceptance of Reality

Under this approach managers use the leveling process to lay out the future of an employee who threatens to quit as a result of leveling.

Example:

An employee is doing a bad job but has a good attitude. In another position the employee might succeed. In this case the manager can tell the person that the job performance is bad but that the manager will support the employee's trying to get another position within ROLM.

Where the employee's job performance is bad, and where the attitude is also bad, the manager can tell the employee that he/she is free to find another position within ROLM but that the manager's support will not be there.

6

LEVELING AT ROLM IS A TWO-WAY STREET

Essentially, leveling consists of asking a lot of questions — and getting answers to the questions. We have mentioned open, honest communication. It takes two to communicate.

Leveling works both ways. Managers need the feedback of employees in order to gather *all* the facts. In order to make objective decisions, they must have the input of employees. And employees should be told of the need for their input and feedback.

HOW TO BRING EMPLOYEES INTO THE LEVELING PROCESS

If leveling is a two-way street at ROLM, and if, as a manager, you need open communications with your employees to bring about effective leveling, how do you go about getting their cooperation?

There are a number of ways.

One is by using patience. Often it takes time to prove you are truly leveling. But if you are, *truly are*, the message will get across. In this connection, it is important to create an environment that is conducive to the leveling procedure. Use a private office, look at the person, cut off all phone calls, don't allow anyone to interrupt. Focus your full attention on the matter at hand. These skills and techniques go far in convincing the person being leveled with that you are indeed serious about the process.

Another way is by "reading" an employee. This is possible only if there has been daily contact with the person, and you have observed attitudes, spoken to the person often, gotten to know him or her very well.

A third method of bringing employees into the leveling process is to use third parties. In turn, this practice can be used two ways.

In one, the third party can be used as an example of how you view an employee. This gives the person being leveled with and you a common basis for understanding. For example, if you describe a third party, or even yourself, as having a shortcoming common with the person you're trying to deal with, then that person doesn't seem to take the criticism so personally. Third parties of course, can be asked to help persuade the reluctant employee to level with you, or they can be asked for their opinion of the employee in question. In both cases, the third parties should be made known to the employee and should be respected by the employee.

Another way of "opening up" an employee is to ask for a self-evaluation. When this is done, you and the employee have developed another forum or platform for dialogue. When this platform is used, there are opportunities given to you as manager to offer constructive and positive criticism. This process can be risky but up front it tells you whether the person is in tune with the environment or whether the person is defensive.

The recommendation and use of other sources will often help establish communication between you, the manager, and your employees. By this is meant Employee Relations, Training, other management support organizations, and highly respected managers. It is mandatory that the employee know about, and agree to, the agencies and people selected.

Probably the best way to open, and keep open, communication between a manager and employees is to encourage employees to participate in setting department and job goals. In this case, employees are usually anxious to cooperate in the leveling process. This holds true even where there is a personality conflict between the manager and an employee. If employees know what their jobs entail, and if they have had an opportunity to formulate the parameters of their jobs, they are much more likely to assist in the leveling process than otherwise.

7

CAN YOU PERFECT YOUR LEVELING CAPABILITIES?

You probably can't perfect them, but you certainly can improve them. This is certainly true at ROLM, where leveling is the accepted and desirable mode of operation. At some other companies the rule is often to live with an unpleasant, nonproductive situation for political or other reasons. Here at ROLM you are encouraged to bring things to a head and resolve issues. Our way is much healthier.

The more experience you get, the better "leveler" you will become. Over time your leveling techniques will improve. You will become more adept at reading personalities from your vantage point of manager. You will gradually find areas where you can measure rather than judge.

The principal benefit of experience will be a growing self-confidence. If you have consistently made the right decisions regarding employees, you will become more comfortable in conducting the leveling process in formal reviews and on a daily basis. You will find it a lot easier to conduct the process, you will be reasonably assured that what you do next will have a high probability of being correct. However, and this is important to take into consideration, you must, all along, have been giving a lot of thought to what you were doing. Practice, *successful* practice, will make your leveling as "perfect" as you can expect.

This will be enough for ROLM.

QUOTES TO LEVEL BY

It is appropriate to end our discussion of leveling at ROLM with quotations from current ROLM managers. These people are on the managerial line right now. They have experienced the same leveling problems and opportunities as you, the new ROLM manager, supervisor, or lead.

> *My principal area for improvement lies within myself. I cannot over-emphasize that effective leveling with an employee begins with effective and honest leveling within yourself. When I begin an interview with an employee, I should know just what I perceive of this employee, and I should have the words in mind I want to use to describe my perceptions. In addition, I never want to ask an employee to perform, change, modify, or delete an action or attitude I would not in the same perceived situation. If I don't project this, I cannot level with the employee, and the employee would find it very difficult to level with me.*

<p align="center">★ ★ ★ ★</p>

> *There is no one way to level. No set way. No school book approach. Good leveling comes through trial and error, always taking into account the personalities and circumstances involved. The main objective of leveling is to do it. Don't close your eyes to a situation that could be improved through leveling, even though the leveling may be somewhat painful to those concerned.*

<p style="text-align:center">* * * *</p>

Communication is the operative word. Tell people what the objectives of the organization are; let them know what is going on; tell them of the successes and failures; inform them of the good things and the bad things --communicate. In addition, make an open commitment to communications. Hold staff meetings, conduct surveys to determine if communications are wanting. Finally, build an environment of trust by delegating important tasks to others, even those tasks that may have been "fun" to you and which you would like to keep. Along with the delegation, give recognition. All of this facilitates the leveling process we seek at ROLM.

<p style="text-align:center">* * * *</p>

Leveling is an on-going relationship that requires tact and a constant adherence to principles that will benefit the employee. In conducting the leveling process, managers should strive to be spontaneous and give the appearance of not expending a lot of unnecessary energy. However, I'm convinced that the only way to arrive at this capability is to have spent much time in preparation. It seems to be a matter of knowing yourself and then knowing your people.

<p style="text-align:center">* * * *</p>

First, I want to stress that the manager must be honest with him or herself. This question must always be asked in preparing to undertake the leveling process, "What is the person doing vis-a-vis the job?" The question should never be, "What is the person doing to me, the manager?" Second, I'd like to stress that leveling makes managers efficient. Good leveling removes stress that can adversely affect production. Put another way, if managers want to be good, they should use the leveling process — if only for their own sake.

<p style="text-align:center">* * * *</p>

Don't be afraid to make friends, I mean real friends, with your employees. But first be sure you have the right personality to handle such relationships. Some people, I am not one of them, can be compromised by making friends of employees. Employees begin taking advantage of them. This has never happened to me.

<p style="text-align:center">* * * *</p>

Leveling and honesty are engendered in a work environment based on trust. They are not desirable objectives that can be achieved overnight. They take time to burgeon and must never be considered one-time affairs. Just as a work performance review should not be an annual event, but rather an ongoing, day-to-day relationship, so should the work environment be a consistent thread of mutual trust.

* * * *

Leveling is very dependent on getting yourself in perspective, getting your group in perspective, and then conducting a never-ending introspective process. Every manager thinks he/she is good and that his/her group is the best. This is not necessarily the case. You must accept that as a premise.

* * * *

I believe there is no single best way to manage. You have to be flexible. You can't consider yourself a "hardboiled" manager or a "democratic" manager, or any kind of a stereotype manager. You must adjust to the individuals and the environment in which you find yourself and be the kind of manager you think is appropriate. On the other hand, implicit in effective leveling are certain basic principles. These include sincerity, a basic respect for people, and the creation of an environment of trust.

* * * *

Leveling is a very strong tool for building confidence in yourself about yourself and in your employees about themselves and about you. Leveling can provide an environment where the air is clear and where reality can be separated from myth. Leveling requires courage, guts, if you will. It is not easy to face uncomfortable situations. Situations that you know will be unpleasant for yourself and for the person.

* * * *

It is important to remember that, even in the best of circumstances, and even with the best of employees, it is not always possible for a manager to be liked. However, it is important for the manager to be respected. This respect can be earned through leveling. Effective leveling is good not only for the employee, it is good for the manager. Managers who can level effectively with employees are more efficient managers in the long run.

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When a formal leveling session (i.e., review) is scheduled, the groundwork for it should have been laid by the day-to-day leveling described above.

The employee should know what to expect. There should be no surprises. There is no need to deliver a "blast."

After the environment has been made comfortable and secure and you have the employee's attention, begin with your *perception* of the subject matter under discussion (if you have chosen the "I perceive" technique). Use facts. Proceed slowly with total candor. After you have laid out the issue, give the employee the opportunity to present the other side of the issue in the same environment. Listen carefully. Don't interrupt.

You should have all the facts on hand. You should make the meeting totally private in a private office. There should be a minimum of interruptions. The person should be told that he/she is going to get your full attention and that you are going to be honest. It is also important to assure the person that what is said will go no farther; no one else will know what is said, not even your own supervisor.

THE USE OF TACT

Leveling is speaking the truth. But the truth must be made palatable. It must be leavened, flavored, made acceptable to the person. Truth in leveling is important, but it cannot be presented in such a manner as to destroy a person's ego and feelings. The broadside approach is not effective. The person takes umbrage, rightfully, and in all probability doesn't hear the real meaning of the message you are trying to get across. In this case, the manager has closed the communications channel, which is exactly the opposite of what leveling seeks to achieve.

"Tactful" Words

In getting at the truth for effective leveling, the proper selection of words is important. Words like "you might consider this" or "this might be a problem," are helpful. "We have a problem" is also a good approach.

This shows employees that the manager is on their side. It is proof the manager is ready to communicate and it opens the channels for constructive communications. However, one of the most important fallouts from the "we have a problem" orientation is that it allows employees to know that the manager is ready to concede that he/she might be wrong; that, maybe, it is the manager who has the problem, not the employee.

Another effective opening remark is an "offer to help" employees. This is a constructive approach that takes, time, effort, and a little soul searching. Managers have to be honest, and also to have thought the matter through, coming up with options to be presented. They must prepare themselves, often writing down and going over what they intend to say and developing suggestions as to how to help the employees. In using this technique it is important to always keep in mind the happiness and well-being of the employees. This helps when managers are trying to solve a problem or present options. Maybe a manager will have to ask employees (bad or marginal so far as performance is concerned) whether they really want to do the kind of work assigned. Whether they would be better off doing something else. More often than not, employees have considered the same question, and arrived at the same conclusion.

CAN YOU LEVEL WITH ALL PEOPLE?

ROLM believes that all employees should and can be leveled with. However, the approaches taken in leveling must vary. People are different, and the leveling process must be matched to people and to the circumstances of their jobs. Their reactions will differ; managers must anticipate this.

Managers must know themselves and must know the people they are dealing with. In some cases a concise presentation of hard facts will do the job; in other cases a more roundabout approach is in order.

It is often necessary to reduce the leveling process to fundamentals. An example would be to remind disgruntled employees the basic reason we are working for ROLM. All employees are working to make a living. There are certain job requirements they must perform. By meeting these requirements and performing, ROLM, the ultimate "manager," is able to make a profit, grow, etc., and pay the employees for working.

But no matter what approach is used, it must be emphasized that not all people can be satisfied through leveling. Remember that what you are doing through the leveling process is not solving a problem in the absolute sense, that is, in the sense that the problem will go away forever. Leveling consists of discussing options with the person.

THE "I PERCEIVE TECHNIQUE"

Many ROLM managers use the "I perceive" technique to conduct the leveling process. With this method you must let the person know that what you are about to say is a *personal* perception. In other words, you tell the person this is how he or she is coming across to you. However, in taking this approach, it is important not to make the mistake of adding, "This is how I see you, but of course I could be wrong." This defensive position weakens the very point you are trying to make, namely, that what you are about to say is indeed how you view the person.

What you must be concerned with is that you state your perception honestly. Naturally, there is always the possibility that you are not perceiving as *others* do. That is precisely why the forthright, honest, and open approach to leveling is the most effective. The leveling process is a two-way street. You must let the people being leveled with know how they strike you. This paves the way for meaningful communication. It is imperative, therefore, that you be completely honest in what you think, and then in what you say. Without honesty on your part, the "I perceive" method does not work.

The greatest advantage of the "I perceive" technique is that it doesn't matter whether or not the manager is "right" or "wrong." The point is that, by using the "I perceive" technique, the manager keeps, so far as possible, emotion out of the leveling process. Whether employees have a problem or are perceived as having a problem (perhaps correctly) doesn't matter at this stage; people *believe* they have a problem and therefore they are not as effective as they could be. The *perceptions* have to be overcome, right or wrong. By joining forces with employees to overcome problems, the manager hopefully starts the employees on the path of analyzing whether the perception is correct or not. The manager is telling the employees that, despite what they think, this is how others are perceiving them. This gives the employees an opportunity to stand back and take a look at themselves. They don't have to really admit a wrong, just accept the fact that they are coming across to others in a certain way.

Once the employees have accepted this "image" that is projected, they can start working on changing the image to another -- without ever having to admit a wrong or flaw.

The need for the "I perceive" technique is lessened when managers have access to facts that prove their point. When hard documentation is available, it makes little sense to say "John (or Mary), my perception is that you are doing a bad job," rather than, "John (or Mary), the record shows you are doing a bad job and here are the facts to back up that statement."

If managers have had the opportunity to conduct the leveling process on a day-to-day basis, the need for the "I perceive" technique is also decreased.

CAN LEVELING BACKFIRE ON YOU? . . .

Yes it can. If employees want to make the leveling process all-out shouting matches there is little you can do about it except listen -- at least for awhile.

But during the tirade make sure you are truly *listening*. It is important to get through the inflammatory words into what is really being said. You may never get the opportunity again.

When it finally becomes apparent that the confrontation is leading nowhere, there are several paths to take.

One is to use a very obvious "silent treatment." If you have presented the facts and the employee interrupts you, fall silent. And remain silent. Make no attempt to respond to the harangue. Eventually, the person will realize what is happening and tone down. When this happens, give your perception of the facts once again.

Another alternative is to ask the employee to go away and think it over for a few days and then return. If, at subsequent meetings there is no progress, it might be advisable to call it quits altogether. There is only so much you can do in these cases. If people will not calm down and listen to the facts, they must be considered to have forfeited their rights and benefits under the ROLM leveling procedure.

However, the best way to prevent leveling from backfiring is to eliminate the causes. Deal first with the person's feelings, using such words as "I'm sorry you're upset," if indeed the person is upset. Recognize the emotional aspect of the leveling process and try to handle it first. Then, calmly, present the facts. If there is an emotional aura of the meeting, the presentation of facts tends to dissipate it. Not always, of course.

A better way to avoid emotionalism is through the on-going approach to leveling. This goes back to establishing, through a prior agreement, what is expected of the employee. If you have followed the leveling process on a periodic basis, you have done a lot to take the emotion out of leveling. You are presenting facts to the employee: facts that relate to the good, as well as the bad, and are difficult to deny.

If guidelines are established, if they are known to employees, and if the manager is constantly and consistently applying them to employees, there are few employees that cannot anticipate, and accept, negative leveling, and react with much less emotion than otherwise.

. . . CAN IT BLOW UP IN YOUR FACE?

Leveling can do that too. Specifically, an employee, as a direct result of the leveling process, can walk off the job. Quit. On the spot, or a few weeks later.

There are at least three ways to take this.

(1) The Positive View

One way is to accept the fact that leveling can have unpleasant results. This is a risk managers must take. A few people just cannot take criticism, no matter how tactfully it is presented or how constructive it might be.

An *honest* rationalization of such an event is that, if you have tried to establish a good relationship with the employee to set the scene for leveling sessions, and if you have used experience with leveling along with effective techniques, and if you still can't bring off constructive leveling with the employee, then you must consider the employee immature and a difficult management problem.

Leveling consists of positive and negative elements, and constructive leveling is an attitude. If you have done your part in the equation, and, for whatever reason the employee is unable or unwilling to cooperate, it is apparent that the environment is not to his/her suiting, and he/she should be better off leaving said environment.

Under the "acceptance of the inevitable" attitude, managers are justified in believing that, when a person quits, after a bona fide attempt to level, it will eventually prove to have been a positive act. For the person. For ROLM. And for the manager. This is not to say that if a person quits after a bum rap it is a good thing. There must have been the *leveling in good faith* by the supervisor. But good faith is not always sufficient.

There are instances (the reasoning goes) where it is impossible to achieve leveling. Maybe a supervisor cannot level with a particular employee. Maybe the employee is uncooperative and cannot or will not accept options. In these cases it is better for the employee to move to another position within the company, or if that is infeasible, to move out all together. When this happens, stress is removed from the individual and the organization(s). And the removal of excessive stress is always a postive thing.

(2) The Personal Failure View

If an employee quits as the result of leveling, some ROLM managers feel they have failed in the leveling process. They don't subscribe to the theory that a person's quitting is, in the final analysis, the best solution to a problem. They don't agree that the quitting was inevitable. They think this is a rationalization. A cop out.

As one ROLM manager put it:

> *The reason I say this is that I have seen, and know, many ROLM people now doing excellent jobs for the Company who could have been written off a long time ago. Their quitting would have been a loss to ROLM. If my supervisor, years ago, had not taken the time to level with me, I would not have developed as I have. However, the first time through the process it came close to backfiring — no one had ever told me I wasn't doing a good job. I felt like quitting. The point was not that I was doing a bad job, but rather I could do better and I could grow. Had I quit, both ROLM and I would have lost. My boss would have written me off, but he didn't. Had I left it would have been because of my immaturity, but more importantly, my boss would have failed at successful leveling.*

(3) The Acceptance of Reality

Under this approach managers use the leveling process to lay out the future of an employee who threatens to quit as a result of leveling.

Example:

An employee is doing a bad job but has a good attitude. In another position the employee might succeed. In this case the manager can tell the person that the job performance is bad but that the manager will support the employee's trying to get another position within ROLM.

Where the employee's job performance is bad, and where the attitude is also bad, the manager can tell the employee that he/she is free to find another position within ROLM but that the manager's support will not be there.

LEVELING AT ROLM IS A TWO-WAY STREET

Essentially, leveling consists of asking a lot of questions – and getting answers to the questions. We have mentioned open, honest communication. It takes two to communicate.

Leveling works both ways. Managers need the feedback of employees in order to gather *all* the facts. In order to make objective decisions, they must have the input of employees. And employees should be told of the need for their input and feedback.

HOW TO BRING EMPLOYEES INTO THE LEVELING PROCESS

If leveling is a two-way street at ROLM, and if, as a manager, you need open communications with your employees to bring about effective leveling, how do you go about getting their cooperation?

There are a number of ways.

One is by using patience. Often it takes time to prove you are truly leveling. But if you are, *truly are*, the message will get across. In this connection, it is important to create an environment that is conducive to the leveling procedure. Use a private office, look at the person, cut off all phone calls, don't allow anyone to interrupt. Focus your full attention on the matter at hand. These skills and techniques go far in convincing the person being leveled with that you are indeed serious about the process.

Another way is by "reading" an employee. This is possible only if there has been daily contact with the person, and you have observed attitudes, spoken to the person often, gotten to know him or her very well.

A third method of bringing employees into the leveling process is to use third parties. In turn, this practice can be used two ways.

In one, the third party can be used as an example of how you view an employee. This gives the person being leveled with and you a common basis for understanding. For example, if you describe a third party, or even yourself, as having a shortcoming common with the person you're trying to deal with, then that person doesn't seem to take the criticism so personally. Third parties of course, can be asked to help persuade the reluctant employee to level with you, or they can be asked for their opinion of the employee in question. In both cases, the third parties should be made known to the employee and should be respected by the employee.

Another way of "opening up" an employee is to ask for a self-evaluation. When this is done, you and the employee have developed another forum or platform for dialogue. When this platform is used, there are opportunities given to you as manager to offer constructive and positive criticism. This process can be risky but up front it tells you whether the person is in tune with the environment or whether the person is defensive.

The recommendation and use of other sources will often help establish communication between you, the manager, and your employees. By this is meant Employee Relations, Training, other management support organizations, and highly respected managers. It is mandatory that the employee know about, and agree to, the agencies and people selected.

Probably the best way to open, and keep open, communication between a manager and employees is to encourage employees to participate in setting department and job goals. In this case, employees are usually anxious to cooperate in the leveling process. This holds true even where there is a personality conflict between the manager and an employee. If employees know what their jobs entail, and if they have had an opportunity to formulate the parameters of their jobs, they are much more likely to assist in the leveling process than otherwise.

CAN YOU PERFECT YOUR LEVELING CAPABILITIES?

You probably can't perfect them, but you certainly can improve them. This is certainly true at ROLM, where leveling is the accepted and desirable mode of operation. At some other companies the rule is often to live with an unpleasant, nonproductive situation for political or other reasons. Here at ROLM you are encouraged to bring things to a head and resolve issues. Our way is much healthier.

The more experience you get, the better "leveler" you will become. Over time your leveling techniques will improve. You will become more adept at reading personalities from your vantage point of manager. You will gradually find areas where you can measure rather than judge.

The principal benefit of experience will be a growing self-confidence. If you have consistently made the right decisions regarding employees, you will become more comfortable in conducting the leveling process in formal reviews and on a daily basis. You will find it a lot easier to conduct the process, you will be reasonably assured that what you do next will have a high probability of being correct. However, and this is important to take into consideration, you must, all along, have been giving a lot of thought to what you were doing. Practice, *successful* practice, will make your leveling as "perfect" as you can expect.

This will be enough for ROLM.

QUOTES TO LEVEL BY

It is appropriate to end our discussion of leveling at ROLM with quotations from current ROLM managers. These people are on the managerial line right now. They have experienced the same leveling problems and opportunities as you, the new ROLM manager, supervisor, or lead.

> *My principal area for improvement lies within myself. I cannot over-emphasize that effective leveling with an employee begins with effective and honest leveling within yourself. When I begin an interview with an employee, I should know just what I perceive of this employee, and I should have the words in mind I want to use to describe my perceptions. In addition, I never want to ask an employee to perform, change, modify, or delete an action or attitude I would not in the same perceived situation. If I don't project this, I cannot level with the employee, and the employee would find it very difficult to level with me.*

★ ★ ★ ★

> *There is no one way to level. No set way. No school book approach. Good leveling comes through trial and error, always taking into account the personalities and circumstances involved. The main objective of leveling is to do it. Don't close your eyes to a situation that could be improved through leveling, even though the leveling may be somewhat painful to those concerned.*

* * * *

Communication is the operative word. Tell people what the objectives of the organization are; let them know what is going on; tell them of the successes and failures; inform them of the good things and the bad things --communicate. In addition, make an open commitment to communications. Hold staff meetings, conduct surveys to determine if communications are wanting. Finally, build an environment of trust by delegating important tasks to others, even those tasks that may have been "fun" to you and which you would like to keep. Along with the delegation, give recognition. All of this facilitates the leveling process we seek at ROLM.

* * * *

Leveling is an on-going relationship that requires tact and a constant adherence to principles that will benefit the employee. In conducting the leveling process, managers should strive to be spontaneous and give the appearance of not expending a lot of unnecessary energy. However, I'm convinced that the only way to arrive at this capability is to have spent much time in preparation. It seems to be a matter of knowing yourself and then knowing your people.

* * * *

First, I want to stress that the manager must be honest with him or herself. This question must always be asked in preparing to undertake the leveling process, "What is the person doing vis-a-vis the job?" The question should never be, "What is the person doing to me, the manager?" Second, I'd like to stress that leveling makes managers efficient. Good leveling removes stress that can adversely affect production. Put another way, if managers want to be good, they should use the leveling process -- if only for their own sake.

* * * *

Don't be afraid to make friends, I mean real friends, with your employees. But first be sure you have the right personality to handle such relationships. Some people, I am not one of them, can be compromised by making friends of employees. Employees begin taking advantage of them. This has never happened to me.

* * * *

Leveling and honesty are engendered in a work environment based on trust. They are not desirable objectives that can be achieved overnight. They take time to burgeon and must never be considered one-time affairs. Just as a work performance review should not be an annual event, but rather an on-going, day-to-day relationship, so should the work environment be a consistent thread of mutual trust.

* * * *

Leveling is very dependent on getting yourself in perspective, getting your group in perspective, and then conducting a never-ending introspective process. Every manager thinks he/she is good and that his/her group is the best. This is not necessarily the case. You must accept that as a premise.

* * * *

I believe there is no single best way to manage. You have to be flexible. You can't consider yourself a "hardboiled" manager or a "democratic" manager, or any kind of a stereotype manager. You must adjust to the individuals and the environment in which you find yourself and be the kind of manager you think is appropriate. On the other hand, implicit in effective leveling are certain basic principles. These include sincerity, a basic respect for people, and the creation of an environment of trust.

* * * *

Leveling is a very strong tool for building confidence in yourself about yourself and in your employees about themselves and about you. Leveling can provide an environment where the air is clear and where reality can be separated from myth. Leveling requires courage, guts, if you will. It is not easy to face uncomfortable situations. Situations that you know will be unpleasant for yourself and for the person.

* * * *

It is important to remember that, even in the best of circumstances, and even with the best of employees, it is not always possible for a manager to be liked. However, it is important for the manager to be respected. This respect can be earned through leveling. Effective leveling is good not only for the employee, it is good for the manager. Managers who can level effectively with employees are more efficient managers in the long run.

MANAGING TASKS
THROUGH PEOPLE

Interactive Skills

Models for Explaining Behavior
(CONTENTS)

Interactive Skills Program

Section 1

INITIATING, REACTING, CLARIFYING
BALANCE MODELS

Models for Explaining Behavior

INTRODUCTION

When groups of people work together they exhibit certain patterns of behavior that can be identified and recorded by an observer. In the process called "behavior analysis," these behaviors are sorted into descriptive categories, and the frequency with which they occur is noted. Later, in feedback sessions, the group members are made aware of how often and when these ways of behaving appear in their interaction with others. The goal, of course, is to give them some insight into the behavior patterns which lead to effectiveness, in both groups and one-to-one situations.

OBJECTIVES

This section is designed to

- show the relationships between behavior frequency and job effectiveness in a variety of situations.

- provide models to illustrate the interrelationships of individual behavior categories.

- help participants of the training program to relate their behavior to research models of effective job performance.

BACKGROUND INFORMATION

In the late 1960s, large-scale research was carried out in an attempt to develop a truly descriptive and useful system for classifying behavior. This was a long and tedious process because the number of potential behavior categories is almost infinite. The researchers finally concluded that a meaningful list of categories could be produced if each of the selected behaviors categories met five basic criteria:

1. It could be measured accurately.

2. It was easy to understand.

3. It was distinct from other categories.

4. People could change how often they used it.

5. It could be related to effectiveness of performance.

The result of this investigation was a set of General Interaction Categories consisting of eleven items:

Proposing
Building
Supporting
Disagreeing
Defending/Attacking
Testing understanding

Summarizing

Seeking information

Giving information

Bringing in

Shutting out

The General Interaction Categories are particularly appropriate for our use because (1) the categories are relevant to a variety of common managerial situations, and (2) they provide a means for useful feedback to participants on both an individual and a group level.

THE OVERALL GROUP MODEL

After the General Interaction Categories were developed, a large-scale study was undertaken to see how they applied in task-oriented situations. The results showed that there were three main classes of behavior important to any group that undertakes to solve a problem or complete a task. They are:

INITIATING — behaviors which put forward ideas, concepts, suggestions, or courses of action.

REACTING — behaviors which constitute an evaluation of other people's contributions.

CLARIFYING — behaviors which exchange information, facts, opinions, and offer clarification.

RELATIONSHIP TO GENERAL INTERACTION CATEGORIES

How do these main classes of behavior relate to the eleven behavior categories which we have outlined?

Nine of our eleven General Interaction Categories are directly associated with these classifications. We can include all of the behaviors (except for BRINGING IN and SHUTTING OUT, which are special process categories) in these three main classes:

INITIATING

Proposing

Building

CLARIFYING

Testing Understanding

Summarizing

Seeking Information

Giving Information

REACTING

Supporting

Disagreeing

Defending/Attacking

So, as our first model for explaining the behavior of working groups we can say:

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                    ┌─────────────────────────┐
                    │   TASK GROUP BEHAVIOR   │
                    └─────────────────────────┘
                                 │
                                 ▼
              IS MADE UP OF 3 COMPONENTS
                                 │
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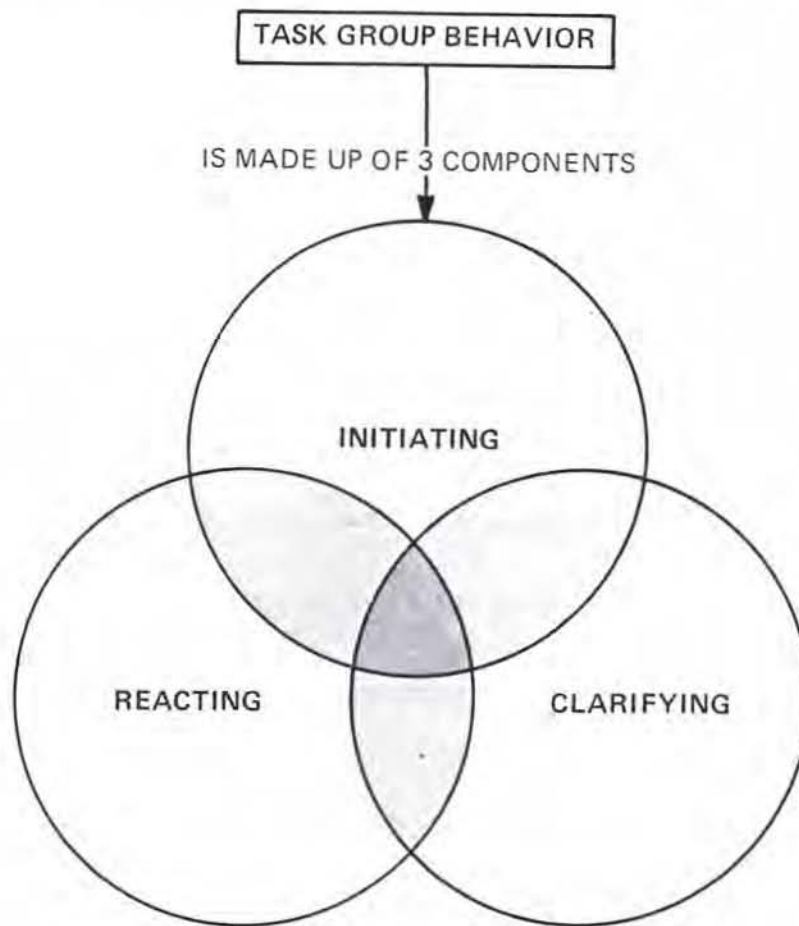

There is no universal perfect proportion for the three main classes. The right amount of clarifying in a contract negotiation meeting, for example, is likely to be higher than in a meeting called for informal discussion of a problem. However, data about the proportions of *Initiating, Reacting,* and *Clarifying* can be used as a guide to diagnose the broad balance of group activity. Feedback of these proportions can help groups to examine their own behavior and to assess the need for behavior change.

In effective groups, all three main behavior classes are present in a balanced way. Once a group becomes locked into using just one or two of these major classes and ignoring the remaining class, the results from the group become progressively more unbalanced. The following brief case studies help to demonstrate this.

Case 1 — HIGH INITIATING

Subject Group — Research team in the chemical industry.

Problem — On the surface, the group seemed to be a very creative team. In discussing problems, the group members had no difficulty in generating innumerable alternative methods and potential solutions. They had been asked by Management to find a method for reducing a severe dust problem in one of the company's chemical plants. During the first working session, they produced 14 viable methods for reducing the dust levels. Because the problem was urgent, they made a preliminary report to Management outlining each of the possible solutions. The Production Director asked them to recommend the solution which they thought best. After five subsequent meetings, the group had still not arrived at a recommended method. Instead, they had generated six new possible methods—much to the displeasure of the Production Director.

Comments — This group just was not interested in REACTING and CLARIFYING behaviors. Their satisfaction came from the INITIATING category alone. As a result, their output was failing to meet Management needs.

Case 2 — HIGH REACTING

Subject Group — Shop stewards (trade union) group in the tobacco industry.

Problem — A group of shop stewards was experiencing a change in company climate. A more participative approach was being adopted by Management, and the group was now consulted in advance about potential changes and problems. Previously, the stewards had negotiated with management by REACTING to proposals put to them over wages and conditions. Now, when they were being invited to put forward ideas of their own, they had great difficulty. Their dependence and heavy use of REACTING behaviors meant that

1) they left the INITIATING to Management.

2) their low use of CLARIFYING behaviors frequently led to misunderstanding because they failed to check things out.

Comments — A classic case of reacting first and finding out afterward if you're wrong. An interesting finding was that the amount of INITIATING and CLARIFYING in this group was low even when they weren't meeting with Management. The result was stormy, emotional, and poorly thought through policies with very few original proposals.

Case 3 — HIGH CLARIFYING

Subject Group — Task Force in British Civil Service.

Problem — This group was mostly occupied by meaning and the meaning of meaning. Over 90 percent of the group's behavior during meetings was CLARIFYING. Because there was so little INITIATING, the group was mostly discussing minor points of detail rather than proposals or ideas. The lack of REACTING meant that points were endlessly repeated because the group had failed to obtain support or disagreement.

Comments — Typical of meetings which get into a CLARIFYING loop is an enormous consumption of time with no tangible result. It was impossible to detect any sign of forward motion in these meetings.

Case 4 — LOW INITIATING

Subject Group — Production Control Committee in the engineering industry.

Problem — The Committee consisted of representatives from Production, Quality Control, Maintenance, Industrial Engineering, and Production Planning areas. Many members of the Committee had jobs which overlapped. When any problem arose, there was considerable dispute about who was responsible. This led to a disproportionate amount of REACTING (mostly negative) and CLARIFYING as the members struggled to untangle the responsibilities for each new situation. This resulted in very low INITIATING. Sometimes there were whole meetings of the Committee where only one or two INITIATING behaviors occurred.

Comments — Typical of meetings where INITIATING is very low but the other two factors are high. Such meetings tend to be backward-looking, searching the past for reasons and justifications instead of looking for solutions to problems. As one of the more perceptive Committee members put it, "We seem to be very good at dissecting situations and finding who's to blame. Perhaps we should be spending some time on finding ways to prevent these things from happening in the first place."

Case 5 — LOW REACTING

Subject Group — Systems analysts presenting proposals to a group of staff managers.

Problem — The systems analysts came to the meeting with lots of proposals for change. As a result, they used a great deal of INITIATING behavior. The staff managers were nervous about these changes and possibly overwhelmed by the technical expertise and the jargon of the systems analysts. Consequently, they used mostly CLARIFYING behavior, asking lots of detailed questions about the proposals which had been put to them. They were, however, unprepared to commit themselves and, as a result, showed no REACTING behavior. The

lack of responsiveness caused the systems analysts to plunge into very detailed justifications of their proposals. The managers were soon sinking under the weight of information. Several meetings later, the confusion was still continuing.

Comments — This is a typical situation in many of the interchanges between specialists and decision makers. Most managers can remember the problems they have encountered in presenting material to decision makers who are unwilling to react.

Case 6 — LOW CLARIFYING

Subject Group — Executives in a New York advertising agency.

Problem — An extremely active and dynamic group. When they set to work on a client brief, everybody talked at once. There was no shortage of ideas; in fact, the very opposite. INITIATING behavior was extremely high, and this generated a lot of excitement and enthusiasm. REACTING behavior was also very high. Every proposal was greeted with a chorus of approval or disapproval. But because CLARIFYING behavior was low, the meeting tended to be chaotic and confused with many of the ideas being lost.

Comments — At the end of the meeting, each of the executives was asked to write down what had been agreed. No two versions were the same. This is a typical outcome of a LOW CLARIFYING meeting. When it is important for the participants of a meeting to have a clear and agreed understanding of the outcome, then a low CLARIFYING meeting is particularly dangerous.

CASE STUDY CONCLUSIONS

What can we derive from these simple case studies?

1. That each of the three major behavior classes of INITIATING, REACTING, and CLARIFYING must be present in a successful meeting.

2. That a disproportionate excess or scarcity of any class can have a detrimental effect on the meeting.

3. That different meetings have very different needs in behavioral terms so that the balance appropriate to any meeting may not be the best for another.

4. Some job situations, such as meetings held to generate ideas, are often intended to be high on one of the main classes of behavior (in generating ideas this would be INITIATING). This can cause problems if no REACTING or CLARIFYING is present since it could lead to misunderstandings about the ideas generated.

   Problems could also exist if all behavior fell into the main class of CLARIFYING behavior or REACTING behavior.

5. That the model of INITIATING, REACTING, and CLARIFYING can be used as a simple diagnostic method to detect whether or not a meeting is "balanced" for an efficient task outcome.

SUMMARY OF INITIATING, REACTING, CLARIFYING MODEL

When a meeting is unusually	Characteristic Problems are
High on INITIATING	• too many ideas and alternatives to handle • lack of attention to detail • "up in the clouds" feeling
Low on INITIATING	• meeting becomes backward-looking • lack of enthusiasm and excitement • undue attention to detailed analysis
High on REACTING	• meeting becomes emotional • misunderstandings become more frequent • people take sides and issues become entrenched
Low on REACTING	• tendency for repetition • people withhold important information • meeting is awkward and forced
High on CLARIFYING	• very time-consuming • obsession with minor issues • "swimming in syrup" impression
Low on CLARIFYING	• meeting becomes disorganized • hasty decisions are made • people cannot agree afterwards on what has been decided

8

Interactive Skills Program

Section 2

DEFINITIONS AND TESTS

Models for Explaining Behavior

TASK GROUP BEHAVIOR

IS MADE UP OF 3 COMPONENTS

INITIATING

REACTING

CLARIFYING

BALANCE MODEL

INITIATING

PROPOSING
BUILDING

CLARIFYING

REACTING

TESTING UNDERSTANDING
SUMMARIZING
SEEKING INFORMATION
GIVING INFORMATION

SUPPORTING
DISAGREEING
DEFENDING/
ATTACKING
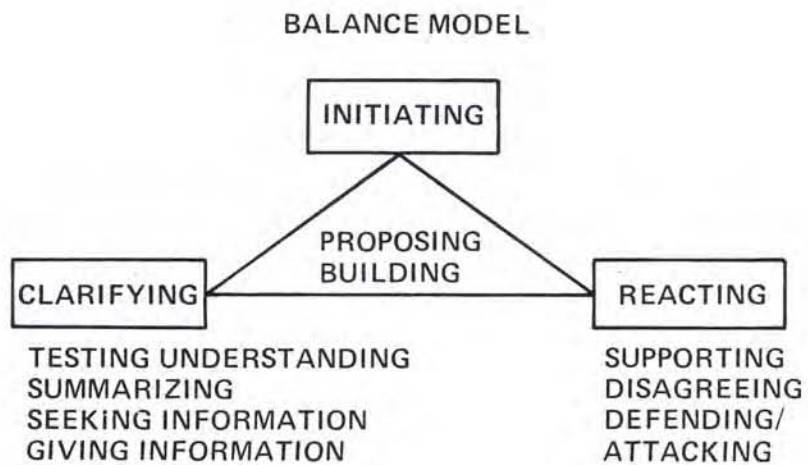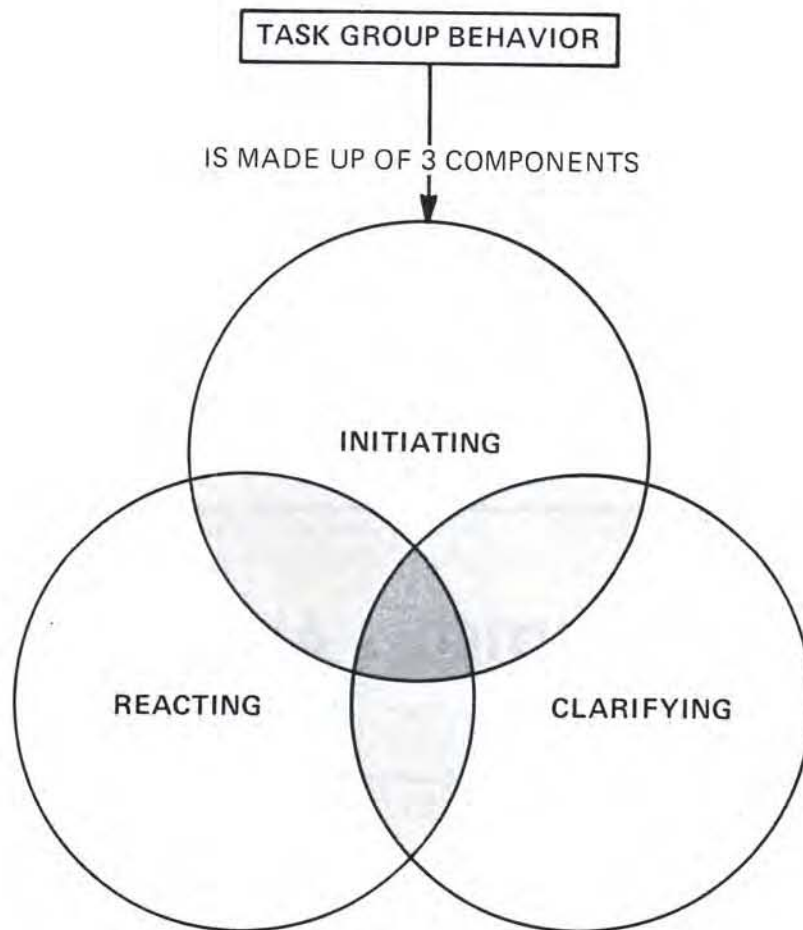
GENERAL INTERACTION CATEGORIES
DEFINITIONS AND EXAMPLES

CATEGORY	DEFINITION	EXAMPLES
PROPOSING	A behavior which puts forward a new suggestion, proposal, or course of action.	"Let's deal with that one tomorrow." "I suggest that we reduce the number of security guards by 15 percent."
BUILDING	A behavior which usually takes the form of a proposal, which extends or develops a proposal made by another person.	". . . and your plan would be even better if we added a second reporting stage." "You suggest that we should try to raise money to buy now. Let me make some suggestions about how we might raise that money." "If I can take that further, we could also use the system to give us better cost control."
SUPPORTING	A behavior which makes a conscious and direct declaration of agreement or support for another person or for their concepts.	"Yes, I go along with that." "Sounds OK by me." "Fine." "I accept that."
DISAGREEING	A behavior which states a direct disagreement or which raises obstacles and objections to another person's concepts.	"No, I don't agree with that." "I don't like the idea one bit." "Your third point just isn't true." "What you're suggesting just won't work."
DEFENDING/ATTACKING	A behavior which attacks another person, either directly or by defensiveness. Defending/attacking behaviors usually involve value judgments and often contain emotional overtones. They are usually about *people*, not issues.	"That's stupid." ". . . and your third point is either incompetence or a lie designed to damage and denigrate!" "Don't blame me, it's not *my* fault; it's *his* responsibility.
TESTING UNDER-STANDING	A behavior which seeks to establish whether or not an earlier contribution has been understood.	"Can I just check to be sure we're talking about the same thing here?" "Can I take it that we all now agree on this?"

CATEGORY	DEFINITION	EXAMPLES
SUMMARIZING	A behavior which summarizes or otherwise restates, in a compact form, the content of previous discussions or events.	"So far, we have agreed (a) to take legal action (b) to take it before May (c) to issue a writ in the chairman's name."
SEEKING INFORMATION	A behavior which seeks facts, opinions, or clarification from another person.	"What's the time?" "Can anyone tell me which page this is on?" "Have you checked that thoroughly?"
GIVING INFORMATION	A behavior which offers facts, opinions, or clarification to other people.	"I remember a case like that last year." "There are at least three down there."
BRINGING IN	A behavior which directly attempts to involve another person or to increase their opportunity to contribute.	"Jane, have you anything to say on this one?" "Karl has been very quiet. I wonder whether he has anything he would like to say here."
SHUTTING OUT	A behavior which excludes another person or reduces their opportunity to contribute.	John: "What does Bob feel?" Karl: "What *I* feel is . . ." Karl is here shutting out John. Interrupting is the most common form of shutting out.

DECISION RULES

In use, *decision rules* must be established to help determine the boundary between categories which are easily confused. The most commonly needed decision rules are:

1. PROPOSING — GIVING INFORMATION. Sometimes PROPOSING is put in a form resembling GIVING INFORMATION, for example: "We could cut it in half." If such a statement is *new* to the discussion and is *actionable*, then it is a proposal.

2. PROPOSING — SEEKING INFORMATION. Proposals commonly take the form: "Why don't we...," "How about doing...," etc. Again, these would be classed as proposals if new and actionable.

3. DISAGREEING — DEFENDING/ATTACKING. If a negative evaluation is about the *issue*, it is classed as DISAGREEING. If it is directed at the *person*, it is DEFENDING/ATTACKING. The exception is an emotional disagreement such as: "The whole idea is so stupid that it can't work!" Although this does not attack a person directly, it would still be classed as DEFENDING/ATTACKING.

4. TESTING UNDERSTANDING — SUMMARIZING. Sometimes, in order to test understanding, a speaker restates or summarizes a previous point; for example: "Am I right that (a) we meet at dawn, (b) we fight with pistols, (c) the loser is buried on the spot?" This would be classed as TESTING UNDERSTANDING, *not* SUMMARIZING.

5. TESTING UNDERSTANDING — SEEKING INFORMATION. If a question asks about the *external* world, it is SEEKING INFORMATION. If it asks about the *internal* world, about how what exists in one person's mind *matches* the understanding which another person has, it is TESTING UNDERSTANDING. Normally, TESTING UNDERSTANDING is *retrospective*, checking on previous points.

6. SEEKING INFORMATION — BRINGING IN. BRINGING IN must involve, or attempt to involve, a specific individual. Therefore, "would anyone here like to add to this?" is SEEKING INFORMATION, while, "John, would *you* like to add to this?" is BRINGING IN.

BEHAVIOR CATEGORY RECOGNITION TEST

Listed below are some statements made by people during a meeting.

To check your understanding of the behavior analysis categories, please read each statement and check the category which you think fits that statement best.

1. I suggest that we begin by explaining our position on the overtime issue.

☐	BUILDING
☐	PROPOSING
☐	GIVING INFORMATION
☐	TESTING UNDERSTANDING

2. So now it's *my* fault, is it? Well, let me say that *your* damned...

☐	DISAGREEING
☐	SEEKING INFORMATION
☐	DEFENDING/ATTACKING
☐	GIVING INFORMATION

3. Can I just check that I've got this right? Are you saying that you must have a *full* reply by Monday? Just now I thought you said that you only needed a reply to point three.

☐	SEEKING INFORMATION
☐	PROPOSING
☐	BRINGING IN
☐	TESTING UNDERSTANDING

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4. Just to recap on that, you are objecting to three things: the manning levels, the work study proposals, and the overtime reduction.

SUMMARIZING
GIVING INFORMATION
PROPOSING
DISAGREEING

5. Yes, that's a good idea and I go along with it.

BUILDING
GIVING INFORMATION
BRINGING IN
SUPPORTING

6. I think Fred's idea would be even more useful if we included an additional access in the central area.

BUILDING
SUPPORTING
PROPOSING
GIVING INFORMATION

7. How many machines would be affected if we accept?

TESTING UNDERSTANDING
DISAGREEING
SEEKING INFORMATION
BRINGING IN

8. The employees in E plant were earning an average bonus of 18.5 percent during January. This report suggests that the average bonus was only 12 percent, which is a substantial discrepancy.

	DISAGREEING
	DEFENDING/ATTACKING
	GIVING INFORMATION
	SUMMARIZING

9. You've been very quiet, Mr. Avery. Is there anything you would like to add to the discussion?

	TESTING UNDERSTANDING
	BRINGING IN
	SEEKING INFORMATION
	SUPPORTING

10. I am completely opposed to your suggestion about interim payment.

	DISAGREEING
	GIVING INFORMATION
	DEFENDING/ATTACKING
	PROPOSING

11. That's just typical of the incompetent way your Department sets about things.

	GIVING INFORMATION
	DISAGREEING
	DEFENDING/ATTACKING
	SUMMARIZING

12. Let's offer her a job with our Northeast Division.

	GIVING INFORMATION
	BUILDING
	TESTING UNDERSTANDING
	PROPOSING

Interactive Skills Program

Section 3

FILTER MEETINGS
AND
AMPLIFIER MEETINGS

Models for Explaining Behavior

MODELS FOR INITIATING BEHAVIOR

PROPOSING and BUILDING are both INITIATING behaviors. They are both concerned with putting forward ideas or actionable concepts. Their definitions are:

PROPOSING — A behavior which puts forward a new suggestion, proposal, or course of action.

BUILDING — A behavior, usually in the form of a proposal, which extends or develops a proposal made by another person.

The difference between them is that in PROPOSING, a person puts forward an *independent* idea of his own. In BUILDING, he puts forward an idea explicitly *dependent* on someone else's proposal.

This section considers research on the effectiveness of different types of INITIATING behavior. It puts forward a model which shows how the relative proportions of PROPOSING and BUILDING can influence the outcome of team and group meetings.

The first question asked about INITIATING behavior concerned the quantity: "How much is there? Is it enough or is there too much? Is it in balance with REACTING and CLARIFYING behavior?" But this is only a preliminary question. We also have to look at the *quality* or INITIATING. "What *sort* of INITIATING is going on? Could it be more effective?"

A RESEARCH STUDY

Twenty-three working teams were studied to discover whether there was any connection between their job performance and their INITIATING behavior. These teams were mostly research and project groups. Three criteria for effectiveness were established, and the output from each team was measured against them. They were:

1. The *number* of ideas which they brought to the attention of Management. (This is a *quantity* measure.)

2. The number of ideas which were *accepted* for implementation. (This is partly a measure of *quality* but would also depend on political and persuasive influence.)

3. The estimated commercial *payoff* from implementation. (This is a *quality* measure.)

The results of this investigation indicated that the overall performance of the teams on all three criteria was significantly related to the ratio of PROPOSING behavior to BUILDING behavior. The more BUILDING, the better the performance.

The simple conclusion from this study seems to be "BUILDING IS A GOOD THING." Like so many simple conclusions, that would only partly be true.
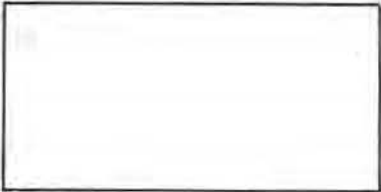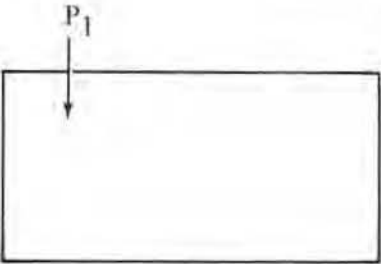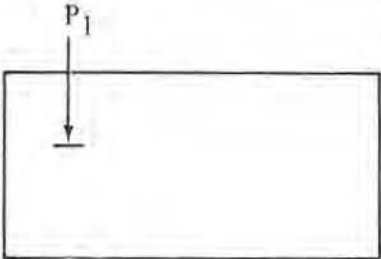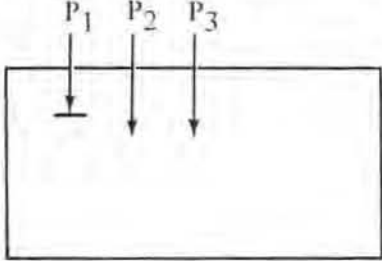
Studies of other groups turned up many that were remarkably efficient and effective although they used no BUILDING behavior at all. Why should it prove a strong predictor of performance in some situations but not in others?

The answer seems to lie in the way a working group *deals with ideas.* The group can take one of two very distinct approaches, emphasizing either PROPOSING or BUILDING behavior in its deliberations.

| Dealing With Ideas — THE FILTER MEETING |

Let us first consider a group which is high on PROPOSING but uses very little BUILDING behavior. We can illustrate a typical meeting with the help of some simple diagrams.

HOW A TYPICAL FILTER MEETING DEVELOPS

1. The meeting begins. As yet, no proposal has been put forward.

2. P_1
    The first speaker puts forward a proposal (P_1) for the others to consider.

3. P_1
    Others object to the proposal and it is rejected or withdrawn.

4. P_1 P_2 P_3
    A new topic is introduced. Somebody puts forward a proposal (P_2) and another group member introduces a counter-proposal (P_3).

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5.

$P_1 \quad P_2 \quad P_3$
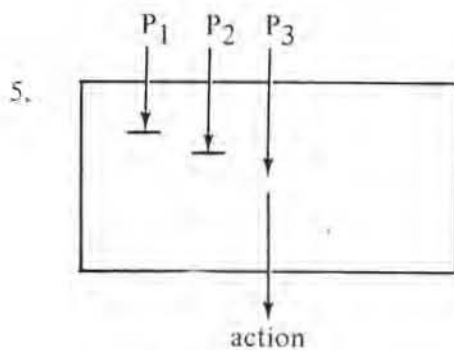
action

The alternative proposals are discussed. The group favors P_3 and this is accepted, while P_2 is rejected.

6.

$P_1 \quad P_2 \quad P_3 \quad P_4$
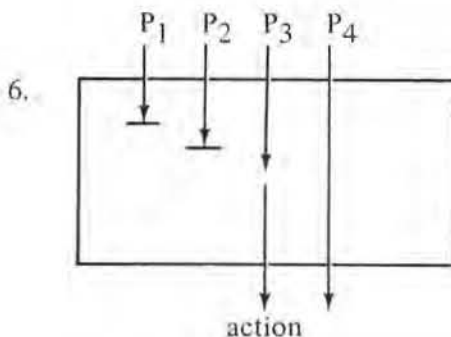
action

A change of topic. Someone puts forward a proposal (P_4) which is immediately accepted and passed for action.

7.

$P_1 \quad P_2 \quad P_3 \quad P_4 \quad P_5$

action
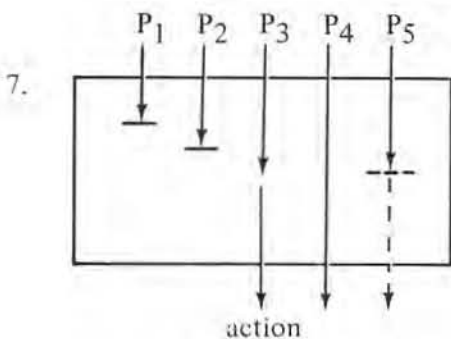
The next proposal is put forward. This time, the group lets *part* of it go through. (For example, it may be a suggestion to buy eight machines, and the group only gives approval for five.) This proposal (P_5) is therefore *reduced* although not entirely rejected.

The most noticeable feature about the way this group is handling its INITIATING behavior is that the meeting *filters* or *reduces* the number of proposals. As a consequence, this is termed a FILTER meeting.

Because of the low level of building, proposals are not being developed by others. A proposal is either accepted or rejected. The only variant on the accept/reject treatment is illustrated in the proposal P_5. Here the proposal is changed by *reducing* or cutting parts from it. This is the central characteristic of a FILTER meeting. Ideas are not developed, they are reduced.

Superficially, this reduction might seem a bad thing. Many people dislike FILTER meetings because they feel that the *development* of ideas is essential to *any* meeting. However, for certain situations, FILTER meetings are remarkably efficient and effective. Management often faces the problem of having too many alternatives to handle, and the process of reducing these alternatives to a manageable number can be performed efficiently by FILTER meetings.

CONSEQUENCES OF FILTER MEETINGS

Although FILTER meetings can prove a remarkably efficient method for reducing alternatives, they have certain characteristic consequences. Not all are desirable.

1. OWNERSHIP AND THE WIN—LOSE PROBLEM

In a FILTER meeting, ideas are used competitively. Proposal is met with counter-proposal. One idea wins, the other loses. When relationships between people are good, this competition can provide a stimulus. Much more frequently, however, it results in

    a)   defensive clinging to one's own ideas,

    b)   failure to listen sympathetically (or even to listen at all) to the ideas of others, or

    c)   political and strategic games playing before, during, and after the meeting.

2. LACK OF INTEGRATION

Inevitably, because of the absence of BUILDING, proposals are not combined or integrated. Instead of extracting the best elements of each option, the loudest, most persuasive, or politically strongest option is likely to go through unchanged. This can adversely affect the *quality* of the group's decisions.

3. LACK OF COMMITMENT AND MOTIVATION

FILTER meetings are excellent for the winners—those whose proposals go through for action. For those whose proposals are rejected, it's a different story. Measures of people's commitment to meeting decisions revealed that, for FILTER meetings, those whose proposals had been rejected often showed disturbingly low commitment to the final decisions.

4. PROBLEM OF SELF—REINFORCEMENT

When a group of people meets fairly regularly, FILTER meetings tend to lead to even more extreme subsequent FILTER meetings. As time goes on, what little residual BUILDING behavior remains easily gets stamped out.

Case Study — FILTER MEETINGS

Each of the above consequences is illustrated by this case study.

John J. was a newly-appointed member of the Management Committee in a chemical company. He was a young, capable plant manager with a lot of ideas, although these were not always well worked out. His appointment to the Management Committee came in the same week as the appointment of a new General Manager who was to become Committee Chairman.

The new General Manager was anxious to bring about changes which were long overdue. He invited all Committee members, including John J., to make proposals about changes they would like to see in the factory organization. John J. looked forward to the first meeting of the new Committee with enthusiasm.

Meeting 1

John J. put forward six proposals. None were accepted. His junior status, inexperience, and failure to think through the details meant that although many of his ideas were potentially worthwhile, they were rejected by the more senior members. However, 11 occasions were recorded when he built on proposals put forward by other Committee members. This constituted over half of the total amount of BUILDING behavior recorded during the meeting.

Meeting 2

After his failure to influence the first meeting, John J. decided that he should prepare more carefully. He put much more advance thinking into each of his proposals. During the meeting, he put forward three main proposals. Two were rejected, and the third was finally postponed for further consideration at the next meeting. Because of his preoccupation with the progress of his own proposals, in which he had invested so much effort, he paid little attention to other people's ideas. Where 11 BUILDING behaviors were recorded in meeting one, in the second meeting only three were recorded.

Meeting 3

John J. prepared a detailed written justification of his earlier proposal and put forward an additional seven proposals. Although two of his new proposals were accepted, his main proposal was finally turned down. John J. was noticeably upset. No BUILDING behavior was recorded from him in this or in the three subsequent meetings.

Meeting 4

No PROPOSING or BUILDING behavior from John J. who, by this time, had lost all interest in INITIATING. The only real energy he showed was in his attempts to stop the proposals of others. One of the outcomes of this meeting was the requirement that each participant would prepare a list of supervisors eligible for promotion or further training. Everybody except John J., who had a reputation for taking great interest in his supervisors, produced the list.

Meeting 5

John J. was recovering. He made three proposals, although he exhibited no BUILDING behavior. He still spent considerable time finding fault with the proposals of others.
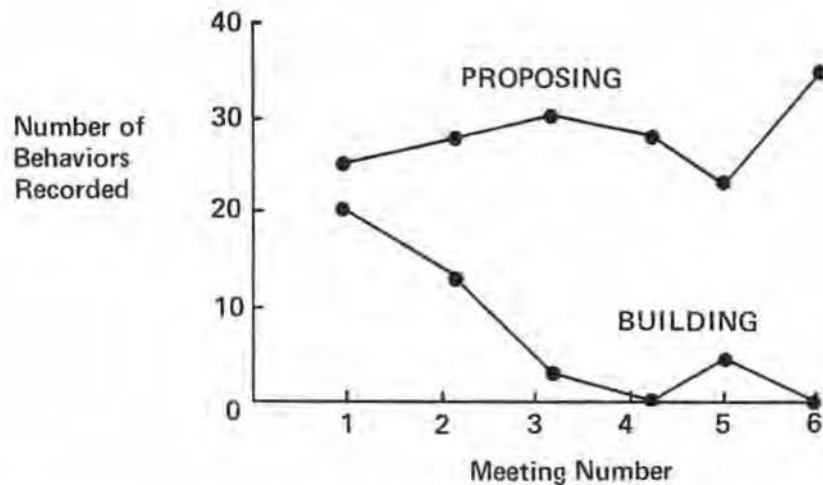
Meeting 6

John J. made two proposals, several unfavorable comments about other people's ideas, and left the meeting early because of "pressure of work."

If we examine the overall number of PROPOSING and BUILDING behaviors shown by all participants at the meeting, we find a steady decline in BUILDING while the amount of PROPOSING remains fairly constant.

This is characteristic of FILTER meetings where, in each successive meeting, participants feel less and less motivated to build on each other's ideas. Proposals come to be used competitively — sometimes destructively.

CASE STUDY: FALL-OFF IN BUILDING BEHAVIOR DURING A TYPICAL SERIES OF FILTER MEETINGS

Number of Behaviors Recorded

PROPOSING

BUILDING

Meeting Number

As the graph shows, John J. was not the only person in the meeting whose BUILDING behavior was reduced. Research with the group was completed after six meetings and, because of this, there is no quantitative evidence of whether BUILDING behavior ever recovered. Experience with similar progressions indicates that this would be unlikely.

This case illustrates why there are so many FILTER meetings in commercial and industrial life and so few meetings where BUILDING behavior is high.

The alternative way in which a meeting can handle its INITIATING through a high level of BUILDING behavior is considered in the next section.

Dealing With Ideas — THE AMPLIFIER MEETING

The absolute FILTER meeting, where the INITIATING is all PROPOSING and no BUILDING, represents an extreme method by which a group can deal with ideas.
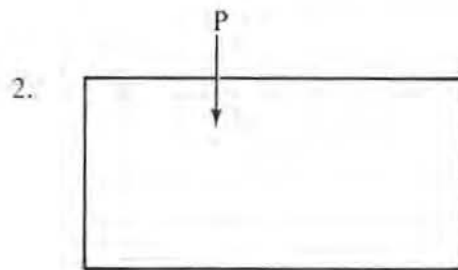
Its opposite is the meeting which is high on BUILDING and low on PROPOSING. This alternative way to deal with INITIATING has very different characteristics.
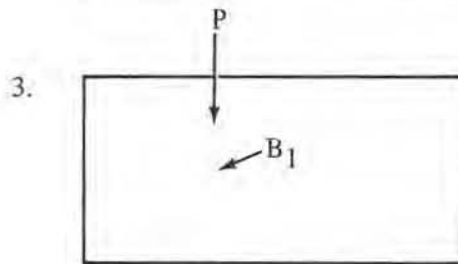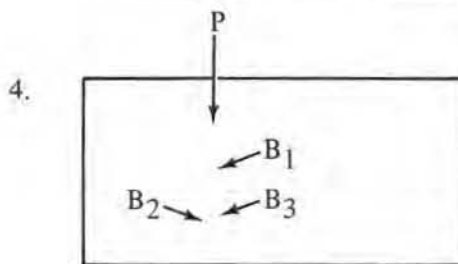
HOW A TYPICAL AMPLIFIER MEETING DEVELOPS

1.
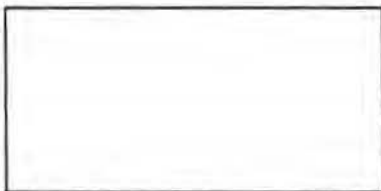
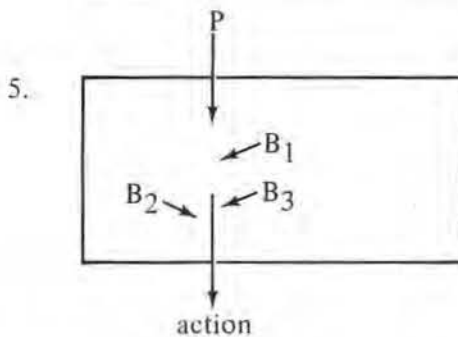The meeting begins; as yet, no proposals have been put forward.

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2.

P

The first speaker puts forward a proposal (P) for the others to consider.

3.

P

B_1

Another member develops the proposal by BUILDING on it (B_1).

4.

P

B_1

B_2 B_3

Further BUILDING takes place as other people add to, develop and extend the idea. (B_2 & B_3).

5.

P

B_1

B_2 B_3

action

The action finally agreed upon has INITIATING contributions from several people.

This type of meeting, where several people contribute to the final idea by BUILDING on it, is called an AMPLIFIER meeting. Unlike the FILTER meeting, which eliminates or *reduces* ideas, the AMPLIFIER meeting *extends* or develops ideas. As a result, what comes out is larger, or more complete, than the initial proposal which was submitted.

CONSEQUENCES OF AMPLIFIER MEETINGS

AMPLIFIER MEETINGS, like FILTER meetings, have certain characteristic consequences. Among them are the following:

1. GENERATION OF EXCITEMENT

In a FILTER meeting, the range of possibilities has frequently been determined in advance. The function of the meeting is to reduce the available options. Generally, as the John J. case shows, the intellectual excitement of a FILTER meeting lies in the pre-meeting preparation and not in the meeting itself. The outcome of the meeting is relatively predictable.

By contrast, in an AMPLIFIER meeting, the outcome is frequently quite unexpected. The way in which an idea develops is a dynamic process, with one person's concepts acting as a stimulus to others. Because of this, people tend to rate AMPLIFIER meetings as more exciting, satisfying, and creative than FILTER meetings.

One member of a team which was exceptionally high on BUILDING behavior described how he felt about working with the team. His description catches some of the typical feelings which people express about AMPLIFIER meetings.

> The main difference between this set of people and the previous team I worked in is an odd one. My last team was in X University, working on low-temperature physics. My special area was on the engineering side. They were very bright and had lots of ideas—lots more than I did. But their ideas seemed *private* somehow. They never let their thoughts out for anyone to see until they were finished and polished. In the (high BUILDING, *AMPLIFIER* style) team that I'm in now, things are different. Ideas are very *public*. You can see the thinking process at work—and join in too, if you like. It's not that our ideas are necessarily better. Often I'll say something really far out—the sort of thing which the University group would tear to pieces—but the atmosphere here is one where people don't look down on you if you come up with half thought out concepts. I feel that here we show our ideas earlier in the creative process. Ideas here are fluid. In the low-temperature unit, the ideas got frozen along with the apparatus. This new group is freer. It feels better and more stimulating.

2. INCREASED COMMITMENT

When people's commitment to the group decision was measured after both FILTER and AMPLIFIER meetings, there was a significantly greater commitment to decisions agreed upon in an AMPLIFIER meeting. The sense of sharing in the creation of ideas partially accounts for this. Another factor is the avoidance of win/lose conflicts which are inherent in the competitive use of proposals during FILTER meetings.

3. INCREASED QUALITY

Participants in AMPLIFIER meetings rate the *quality* of the final ideas higher than do participants in FILTER meetings. To some extent, this may be misleading. Even if ideas are poor, they are likely to seem better if people have participated in their formation. (We must also ask what we mean by a "good" or "high quality" idea. If we measure ideas in terms of their successful implementation, then perhaps a "good" idea is more dependent on people's commitment to it than on any inherent "quality.")

As a means of testing whether solutions from AMPLIFIER meetings were really of higher quality, researchers took a random selection of 40 agreed solutions to problems from FILTER meetings and 40 from AMPLIFIER meetings.

Next, a number of independent judges, who didn't know which sort of meeting the ideas had come from, graded them for quality. As the table shows, the AMPLIFIER meeting solutions were rated as high quality more often than solutions from FILTER meetings. Thus it seems probable that participants' own ratings of quality are not entirely the result of participator prejudice.

QUALITY OF SOLUTIONS FROM FILTER AND AMPLIFIER MEETINGS

	JUDGES RATING OF QUALITY		
	HIGH	AVERAGE	LOW
SOLUTIONS FROM FILTER MEETINGS	7	26	7
SOLUTIONS FROM AMPLIFIER MEETINGS	16	18	6

4. INCREASED TIME

In the initial stages at least, AMPLIFIER meetings take more time to reach decisions than do FILTER meetings. This is especially true where a large number of pre-existing options are to be considered. In such a case, the time spent BUILDING on available options may extend and complicate decisions.

5. LACK OF STRUCTURE

AMPLIFIER meetings tend to be less organized and procedurally precise than the FILTER meetings. This lack of structure, although common, may not be necessarily characteristic of AMPLIFIER meetings, however. It is possible, for example, that those people who favor structure are more likely to work out their ideas in advance and are, therefore, predisposed to running FILTER meetings. It is possible that the win/lose conflicts frequent in FILTER meetings generate an enthusiasm where structure is easily forgotten. Whatever the reason, there is often a relatively low degree of structure in AMPLIFIER meetings.

Case Study — AMPLIFIER MEETINGS

An outline of how AMPLIFIER meetings can be developed and maintained can be seen in this case study taken from the airline industry.

Erik P. had been appointed Reservations Manager in charge of a telephone sales office. Traditionally, reservation offices in many airlines have been run in a relatively autocratic style.

Erik P., who had never worked in reservations before, wanted to operate his unit as a participative team. He decided to run a series of meetings with his supervisors. His memo setting up the first of these meetings specified their purpose as follows:

"...the reason for this meeting is

a)   to try to share each others' ideas about how to get the best from the unit;

b)   to make sure that we are pulling together, not pulling apart;

c)   to explore and develop ways for communicating better between us all."

Meeting 1

This turned out to be a disappointing event. The supervisors, unsure about participative situations and cautious of their new manager, were very hesitant to put ideas forward. This hesitation was made worse because relationships between the supervisors were poor and individual supervisors were unwilling to expose their ideas to the antagonism of their peers. However, several proposals for changes eventually were recorded, although there was no BUILDING behavior. Erik P. set up another meeting for the following week.

Meeting 2

After meeting 1, Erik saw each of his supervisors individually. He reminded them of the purpose of the meetings and urged each of them to come to the next meeting ready to put forward some ideas.

This they did. They put forth 35 proposals, ranging from trivial alterations in the coffee break time to major suggestions for reorganizing the call monitoring system. Again, however, there was no BUILDING behavior. Instead, there was considerable disagreement and heated argument. By the end of the meeting, ill-feeling between the participants had become very evident. As Erik put it, "I think we're now further away from the purpose of this exercise than we were at the start."

The supervisors were asked to rate this meeting in terms of whether they had found it useful, creative, satisfying, exciting, and participative. On all five of these dimensions, the meeting received very low ratings indeed.

Interlude

After this meeting, Erik was discouraged. Aware of many behavioral science concepts, including the FILTER/AMPLIFIER model, he decided he wanted to run AMPLIFIER meetings but, as he put it, "We've got a FILTER style of ideas set up here. It's so tough to break down that I don't think anything short of high explosives could change things."

After some thought, he worked out a strategy for dealing with his team. He wrote:

"I'll encourage them to BUILD by:

a)   *choosing an issue where nobody has fixed preconceptions.* In this way the supervisors should find it easier to build because nobody has committed himself to an entrenched position in advance.

b) *giving no advance agenda or warning of the issue* so that people come with open minds without any pre-work on their own proposals.

c) *stopping the meeting after the first proposal* and asking each supervisor to identify good points or things he likes. Above all, prevent rival counterproposals from being put forward at this stage.

d) *encouraging BUILDING* by asking each supervisor if he can *develop* the proposal further.

e) *dealing* with criticizing by saying, "You've spotted a flaw in this proposal. Instead of using that flaw to knock it down, can you think of a way to improve or build on the proposal so that the flaw is corrected or overcome?"

f) *not moving on too soon* to the next topic. There are bound to be some awkward silences while people try to adjust to unfamiliar ways of working. I shall not move on to the next proposal until I am convinced that the potential of the previous proposal has been exhausted."

Meeting 3

The issue which Erik chose for his first attempt at developing BUILDING behavior was a real one, forced on him by airline economics. Because of the increase of calls during the summer, when business reached a peak, the unit usually increased its staff by about 20 percent. Normally, levels reduced again during the subsequent winter. Erik had been informed that this year, when he was already undermanned, he would have to cope with the summer rush without additional staff.

The problem he put to his team was how to achieve this without a significant drop in call wait and service standards. He chaired the meeting strictly in accordance with his pre-arranged plan. The result was dramatic.

1. Thirty-seven BUILDING behaviors were recorded.

2. The meeting, timed to take half a day, continued all day and into the evening.

3. After the meeting, when his supervisors rated their feelings about it, most saw the meeting as useful, creative, satisfying, exciting and participative.

4. The issue was resolved with high commitment from all parties.

5. The agreed-upon plan, which involved a complete reorganization of the incoming call system and a redistribution of responsibility among supervisors and reservation agents, was implemented very successfully.

6. Other reservation offices of the airline later adopted the plan as a model for organizing their units.

PRECEPTUAL STUDIES

Simple measures can be used to discover differences in people's perceptions of FILTER and AMPLIFIER meetings. Using a seven point scale, and asking for ratings immediately after each meeting had finished, researchers have found that the following dimensions significantly differentiated between the two types of meeting:

	AVERAGE RATING (Maximum = 7)	
	FILTER MEETINGS (N=35)	AMPLIFIER MEETINGS (N=19)
WAS THE MEETING:		
EFFICIENT	5.1	3.6
CREATIVE	1.9	4.0
COMPETITIVE	4.8	2.6
ORGANIZED	4.8	3.2
EXCITING	2.1	4.1
PARTICIPATIVE	3.0	4.8
USEFUL	3.5	5.4
AS A RESULT OF THE MEETING, WHAT IS YOUR ESTIMATE OF:		
YOUR COMMITMENT TO THE OUTCOME	3.0	5.3
THE QUALITY OF DECISIONS	3.8	5.7

Participants were asked to list the decisions made during the meeting and to specify who had put forward the proposal from which the decision had resulted.

In FILTER meetings — 75 percent of decisions had individual identified proposers.

In AMPLIFIER meetings — 41 percent of decisions had individual identified proposers.

In other words, in a FILTER meeting it was easy to tell whose idea had been adopted. This was much less easy to identify in AMPLIFIER MEETINGS.

INDIVIDUAL DIFFERENCES IN PROPOSING AND BUILDING BEHAVIOR

So far we have discussed the differences between the amount of PROPOSING and BUILDING behavior on a group or meeting level. However, within the meeting, individuals may show very different proportions of each behavior. How do we interpret and feed back these differences?

One method is to draw a graph showing the relative proportions of each behavior shown by each person and to compare the result of their perceptions of the meeting and the individuals in it.

CASE STUDY: INDIVIDUAL DIFFERENCES IN INITIATING BEHAVIOR

1. The group holding the meeting was a Commercial Development Team in the plastics industry.

2. During the meeting, the quantity of each behavior was measured by an observer who was using the full eleven-category General Interaction Behavior Analysis.

3. At the end of the meeting, each person present filled in a questionnaire about each of the other individuals. The portion of the questionnaire relevant to INITIATING behavior was:
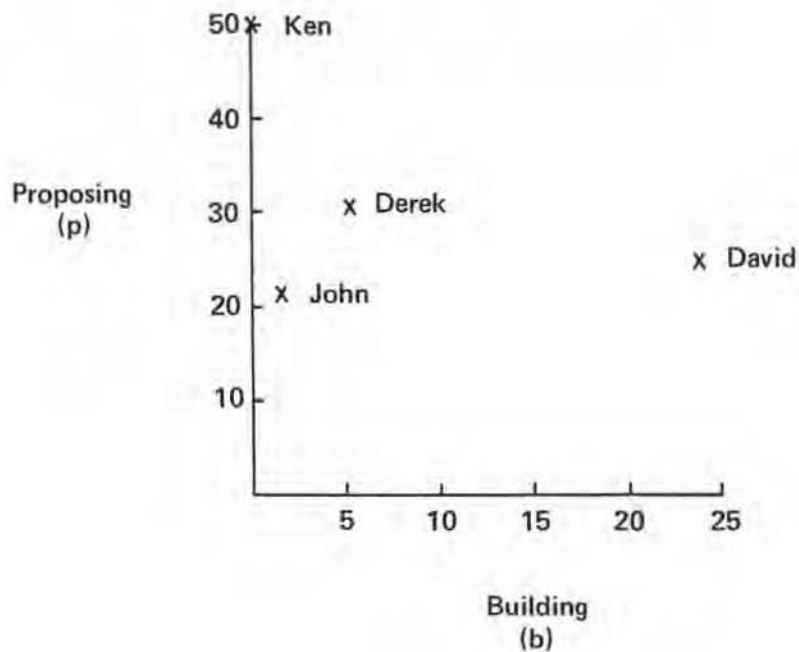
DO YOU RATE_____ AS

AN "IDEA" MAN	└─┴─┴─┴─┴─┘	NOT AN "IDEA" MAN
CO-OPERATIVE	└─┴─┴─┴─┴─┘	COMPETITIVE
MAINLY INTER-ESTED IN HIS OWN IDEAS	└─┴─┴─┴─┴─┘	MAINLY INTER-ESTED IN THE IDEAS OF OTHERS

| UNSTIMULATING | └─┴─┴─┴─┴─┘ | STIMULATING |

Other studies using this questionnaire found that:

1. **HIGH INITIATORS**, whether through PROPOSING or BUILDING behavior, were rated high as idea men and as stimulating, but high builders were more likely to receive very high ratings for being stimulating than were high proposers.

2. **HIGH PROPOSERS** were rated high on competitiveness, low on interest in the ideas of others.

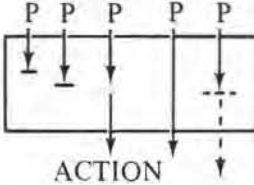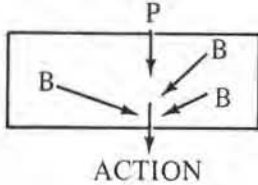3. **HIGH BUILDERS** were rated high on both co-operativeness and interest in the ideas of others.

The ratings which each received were as follows:

KEN   (High Proposer 48p 0b) was rated highest for competitiveness, lowest for interest in other people's ideas, and fairly high for being stimulating. He was rated high as an idea man. This is a typical HIGH PROPOSER picture. Ken's reaction to this was a typical high proposer's reaction. He was surprised at the low rating he received for interest in other people's ideas and initially consoled himself by saying, "Well, they didn't really have many ideas to be interested in."

DEREK (Average Proposer, Average Builder, 28p 7b) was rated as average on all four scales.

JOHN   (Average Proposer, Low Builder 24p 1b) was rated average on ideas, low for interest in other people's ideas, and low for being stimulating. He was rated average for competitiveness.

DAVID (High Builder 26p 25b) was rated highest for being stimulating, high as an idea man, high on co-operating, and highest for interest in the idea of others.

SUMMARY OF DIFFERENCES BETWEEN FILTER AND AMPLIFIER MEETINGS

Both types of Meetings are Alternative Methods for dealing with Initiating Behavior

	FILTER MEETINGS	AMPLIFIER MEETINGS
THE MODELS	P P P P P High Proposing Low Building ACTION	P High Building B B B Low Proposing ACTION
TECHNICAL DEFINITION	MORE THAN 4 PROPOSALS TO 1 BUILDING BEHAVIOR	LESS THAN 2 PROPOSALS TO 1 BUILDING BEHAVIOR
APPROPRIATE FOR MEETINGS WHICH	1. Need to *reduce* several available choices of action 2. Have tight time constraints 3. Do not require commitment of all individuals for successful implementation	1. Need to create solutions where no predetermined alternatives exist 2. Need commitment for successful implementation 3. Need high quality solutions
HOW PEOPLE SEE THEM	• EFFICIENT • UNEXCITING • UNCREATIVE • AVERAGE QUALITY OF SOLUTION • NON-PARTICIPATIVE • LOW COMMITMENT TO OUTCOME • EASY TO TELL WHOSE IDEAS WON OUT (WIN/LOSE FEELING)	• TIME-CONSUMING • EXCITING • CREATIVE • HIGH QUALITY OF SOLUTION • PARTICIPATIVE • HIGH COMMITMENT TO OUTCOME • DIFFICULT TO TELL WHOSE IDEAS WON OUT (WIN/WIN FEELING)

Interactive Skills Program

Section 4

REACTING MODELS

Models for Explaining Behavior

TASK GROUP BEHAVIOR

IS MADE UP OF 3 COMPONENTS

INITIATING

REACTING   CLARIFYING

BALANCE MODEL

INITIATING

PROPOSING
BUILDING

CLARIFYING   REACTING

TESTING UNDERSTANDING   SUPPORTING
SUMMARIZING   DISAGREEING
SEEKING INFORMATION   DEFENDING/
GIVING INFORMATION   ATTACKING
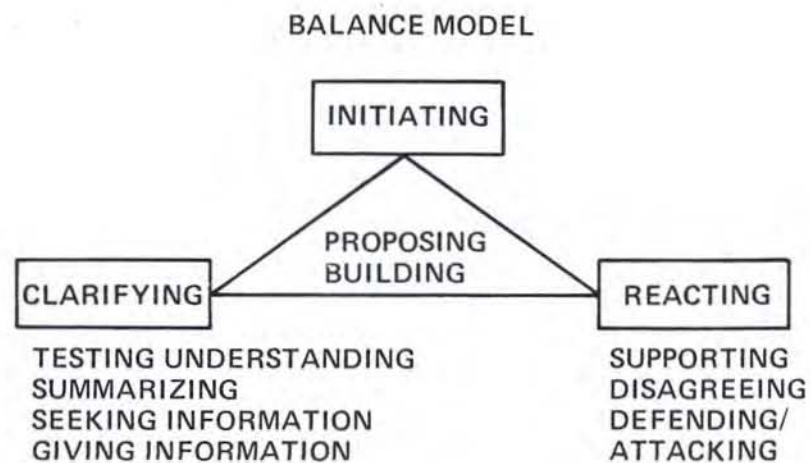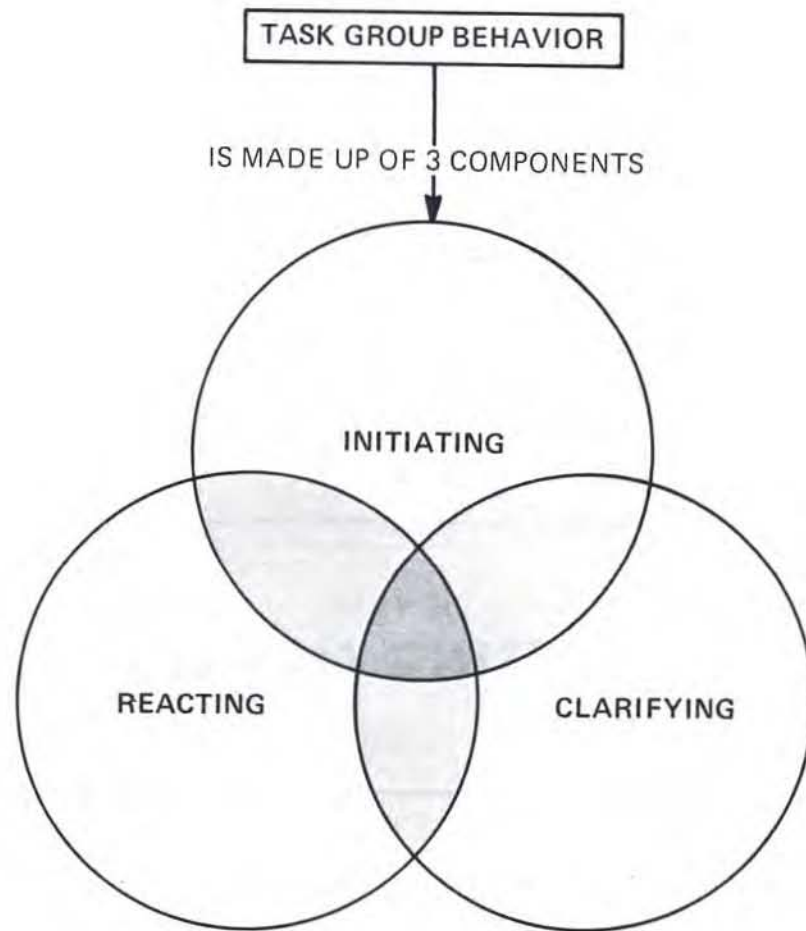
MODELS FOR REACTING BEHAVIOR

REACTING behaviors are those which put forward an evaluation of other people's contributions.

In this section we consider two questions about REACTING behavior:

1. How important is the *type* of reaction?

2. How important is the *level* or *quality* of reaction?

1. TYPE OF REACTION

The three behavior categories which measure the frequency of REACTING behavior are SUPPORTING, DISAGREEING, and DEFENDING/ATTACKING.

On the surface, these labels seem self-explanatory, but it is worth considering the definition of each category.

SUPPORTING   – a behavior which makes a conscious and direct declaration of agreement or support for another person or his concepts. SUPPORTING varies from the simple, non-verbal nod to the articulate statement of agreement.

DISAGREEING   – a behavior which states a direct disagreement or which raises obstacles and objections to another person's concepts.

DEFENDING/ ATTACKING   – a behavior which attacks another person, either directly or by defensiveness. DEFENDING/ATTACKING behaviors usually involve value judgments and contain emotional overtones.

A primary difference between DISAGREEING and DEFENDING/ATTACKING is that DISAGREEING is about *issues*, while DEFENDING/ATTACKING tends to be aimed at *people*.

EFFECT OF SUPPORTING BEHAVIOR

What can we conclude about the effect SUPPORTING behavior has on a group?

1. People feel happier in groups where there is a lot of SUPPORTING behavior.

2. There is more SUPPORTING in groups whose members know each other well than in groups of strangers.

3. Individuals are more likely to support people who have previously supported them.

4. There is more SUPPORTING in groups facing an external threat (such as a meeting called within a department to consider the actions of a rival department, or an operating company group considering requests from the head office).

These conclusions are very straightforward. It is more difficult to judge the effect of the *level* of SUPPORTING behavior—how much of it there needs to be for efficient group performance. The evidence here is ambiguous and seems to depend on the type of issues under discussion.

EFFECT OF DISAGREEING BEHAVIOR

The results of DISAGREEING behavior on a group are slightly less obvious than for SUPPORTING. For example:

1. In a group high on SUPPORTING, people feel happier. However, when a group is high on DISAGREEING, group members do *not*, as a whole, feel less happy.

2. High DISAGREEING is strongly correlated with people's perceived involvement in the group's activity.

3. Groups where there is no DISAGREEING should, logically, make decisions more quickly than groups which disagree. The opposite is true. Research indicates that groups take *longer* to make decisions when the level of disagreement is very low. (However, this is correlated overall with low reaction levels, as the section on Low Reactors explains.)

EFFECT OF DEFENDING/ATTACKING BEHAVIOR

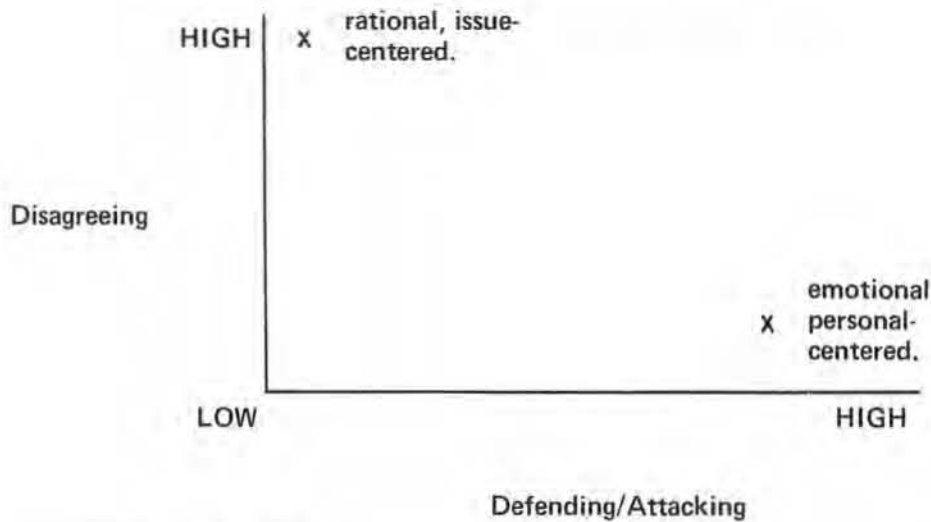DEFENDING/ATTACKING is a behavior which has an extreme effect on a group. For example:

1. DEFENDING/ATTACKING behavior from one group member usually leads to DEFENDING/ATTACKING behavior from others. This results in a *DEFEND/ATTACK SPIRAL* where tempers become frayed. DEFEND/ATTACK spirals are easy to start but hard to stop.

2. DEFENDING/ATTACKING behavior moves a group further away from the issues under discussion. As a result, decisions tend to take longer and, when made, are often more arbitrary.

3. Group members rate their satisfaction with meetings which are high in DEFENDING/ATTACKING as very low. This contrasts with DISAGREEING, where the amount of DISAGREEING behavior seems not to affect people's perceptions of satisfaction.

4. DEFENDING/ATTACKING behavior tends to *reduce* initiating behaviors. People are not prepared to PROPOSE or BUILD in an aggressive or defensive meeting.

5. People remember DEFENDING/ATTACKING behavior long after they have forgotten the other things that happened during the meeting. DEFEND/ATTACKING may, therefore, have long-lasting undesirable after effects.

NEGATIVE REACTIONS

DISAGREEING and DEFENDING/ATTACKING have an element in common. They are both expressions of disapproval—showing an unfavorable reaction to the views of another speaker. However, the similarity ends there. The *effects* of DISAGREEING and DEFENDING/ATTACKING are very different.

The High Disagreer is perceived by others as rational, and behavior is seen to center on the issue and not on the individual. By contrast, the person high on DEFENDING/ATTACKING behavior is seen as making personal attacks, moving away from the issues and becoming emotional.

EXPRESSING NEGATIVE REACTIONS

HIGH | x   rational, issue-
         centered.

Disagreeing

                          emotional
                    x   personal-
                          centered.

LOW   HIGH
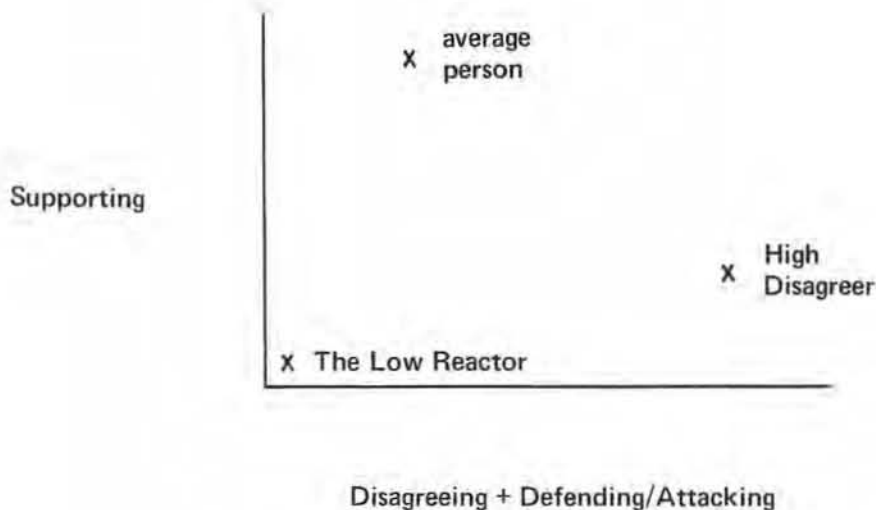
Defending/Attacking

2.   LEVEL OF REACTION

It is not only the *type* of reaction which affects people's perceptions and behavior; it is also the *level* or *quantity*. People unusually high or low in reaction level present characteristic problems.

THE LOW REACTOR

In the material you read that dealt with the balance of INITIATING, REACTING, and CLARIFYING behavior, *Case Study* 5 described a group where the overall level of REACTING behavior was very low. This is frequent in inter-functional groups and those where there is reason for members to exercise caution with each other.

                    average
               x   person

Supporting

                              High
                        x   Disagreer

     x The Low Reactor

Disagreeing + Defending/Attacking

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As the diagram shows, the Low Reactor not only uses less SUPPORTING behavior than an average person, he uses less DISAGREEING and DEFENDING/ATTACKING as well.

In both his verbal and his non-verbal behavior, he shows very little reaction to others.

This does not necessarily mean that the Low Reactor is a quiet person. He may, for example, use a great deal of INITIATING or CLARIFYING behavior. The only categories of behavior he avoids are those which would reveal his reaction in some way.

Throughout this section, most of the conclusions about levels of DISAGREEING apply equally to levels of DEFENDING/ATTACKING behavior. Rather than keep using the cumbersome phrase "DISAGREEING and DEFENDING/ATTACKING," we shall just refer to "DISAGREEING."

WHY THE LOW REACTOR IS A PROBLEM

He gives very little feedback about whether he approves or disapproves of points which are presented to him. Because of the lack of feedback, people tend to feel uneasy with Low Reactors and to handle them badly. Even experienced persuaders such as salespeople find it difficult to put a case convincingly when they are faced with somebody whose lack of response makes it hard to judge the effect they are having.

One salesperson summed up the difference between the Low Reactor and the High Disagreer by saying, "You know where you stand with someone who is prepared to disagree. What makes the Low Reactor difficult is that he doesn't even disagree." An example of how the Low Reactor can be more difficult than the High Disagreer can be seen in a research study carried out in Rank Xerox. These results show that although customers high on DISAGREEING and RAISING OBJECTIONS (the common sales term for DISAGREEING behavior) are harder to sell to than average customers, it is the Low Reacting customer who is hardest of all.

SELLING TO LOW REACTORS IN RANK XEROX

	PROPORTION OF SALES TO NON-SALES*	
	SALES	NON-SALES
AVERAGE OF ALL CUSTOMERS	11	9
CUSTOMER HIGH ON DISAGREEING	8	12
LOW REACTING CUSTOMERS	3	17

*A sale is defined as a call which progresses to a further stage or to a signed order.

PROBLEMS IN DEALING WITH LOW REACTORS

There are five common traps which people fall into when trying to persuade a Low Reactor.

1. LOSING CONTROL OVER SPEAKING PACE

Because Low Reactors give no feedback, people easily lose confidence when talking to them. This leads to either

A. **TALKING FASTER** – in the hope of coming to something which will interest them

B. **RUNNING OUT OF THINGS TO SAY** – because of the lack of reaction.

An example of the way in which people can lose control over the speed with which they speak can be seen in a research study of sales reps from Rank Xerox.

VARIATIONS IN SALES REP'S SPEECH RATE WHEN SELLING TO LOW REACTORS

	SALES REP IN CONVERSATION WITH	
	LOW-REACTING *CUSTOMER*	AVERAGE *CUSTOMER*
AVERAGE RATE OF SPEECH BY SALES REP (words per talking minute, excluding pauses about 1 second)	138	119
NUMBER OF PAUSES BY SALES REP (of over 2 seconds duration per 10 min. data sample)	7.0	3.2

There is also a significant increase in the use of redundant words and phrases which contribute nothing to the content of the conversation, such as, "Well, you see," "I mean to say...,"etc.

This trap does not only occur in selling. The most common situation in which people lose control over speaking pace is the selection interview. Because the interviewers do not wish to influence the candidates' answers, they remain neutral. They usually achieve this neutrality by cutting down on SUPPORTING and DISAGREEING behavior. In other words, they become Low Reactors. The candidates frequently respond to this lack of feedback by alternately babbling out answers and drying up completely.

Loss of control over speaking pace is a trap which is particularly common for inexperienced people. However, of the five traps listed here, it seems the easiest for people to overcome.

2. **LOSING SEQUENCE DURING PRESENTATIONS**

Managers, salespeople, consultants, and those in many other kinds of jobs often need to make a verbal presentation or report.

If the decision maker to whom this report is presented happens to be a Low Reactor, the presenter often jumps about, leaving some areas out and mixing up the intended sequence of the presentation.

An example of how easily sequence can be lost when presenting to a Low Reactor can be seen in the next table which shows how far the behavior of the person to whom a case is presented can influence the continuity of the presentation.

LOSS OF CONTINUITY DURING VERBAL PRESENTATION OF REPORTS

An analysis of 23 managers presenting verbal reports to assessors during a training program yielded the following results:

BEHAVIOR OF MANAGER	LOW REACTING ASSESSOR	AVERAGE REACTING ASSESSOR
BACK-TRACKING TO EARLIER OR OMITTED POINTS (average per 10 minute data sample)	5.1	3.1
JUMPING-THE-GUN TO POINTS NOT YET APPROPRIATE TO SEQUENCE (per 10 minute data sample)	2.8	0.3
TOTAL SEQUENCE BREAKS per 10 minute data sample	7.9	3.4

3. **OVER-REACTING**

One of the most dangerous traps with Low Reactors is a tendency for people to overreact and make untrue, exaggerated, or abusive statements.

Because the Low Reactor appears unresponsive, it is easy to make the mistake of trying to get a response by overstating. Results from a study of 28 management and trade union negotiators in the chemical and engineering industries demonstrate this.

The negotiators were observed during actual on-the-job negotiations, and a frequency count taken of the number of words they used which were emotionally charged or contained a high value-loading. The findings show a significantly higher percentage of these over-reacting words during negotiations with Low Reactors.

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OVER-REACTING BY INDUSTRIAL RELATIONS NEGOTIATORS

	BEHAVIOR OF OTHER SIDE DURING NEGOTIATION	
	LOW REACTING	AVERAGE REACTING
PERCENTAGE USE OF EMOTIONALLY CHARGED OR VALUE-LOADED WORDS BY NEGOTIATOR	9.3%	4.8%

A similar technique was used to analyze statements made by Rank Xerox salespeople about their own products and the products of their competitors. Every statement recorded by an observer was rated by a number of independent judges to assess whether it was factually correct, slightly overstated, definitely overstated, or clearly untrue.

The percentage of overstated and untrue statements was significantly greater to Low Reacting customers than to Average or High Reacting customers.

OVERREACTING TO CUSTOMERS BY SALES REPS

PERCENTAGE OF STATEMENTS MADE BY SALES REPS ABOUT OWN AND COMPETITORS' PRODUCTS RATED BY INDEPENDENT JUDGES AS	STATEMENTS MADE TO	
	LOW REACTING CUSTOMERS	AVERAGE CUSTOMERS
FACTUAL	64%	79%
SLIGHTLY OVERSTATED	20%	16%
OVERSTATED	13%	4%
UNTRUE	3%	1%

The tendency to overstate is not confined to salespeople. Similar studies show a significant likelihood for managers to exaggerate when trying to convince Low Reactor colleagues.

4. ASKING FEWER QUESTIONS THAN USUAL

Most people will suggest that the best way to deal with Low Reactors is to ask lots of questions. They are right. Research shows that the most effective strategy for dealing with Low Reactors is to ask questions, particularly ones which invite a reacting response such as, "How do you feel about this point?" or, "Would you accept this?".

Unfortunately, although nearly 80 percent of people *say* that they deal with a Low Reactor by asking more questions, less than 30 percent actually *do*.

This is illustrated by another Rank Xerox study which shows, from a sample of 196 salespeople, the lower rate of SEEKING behavior when selling to Low Reacting customers.

ASKING FEWER QUESTIONS TO LOW REACTORS

	LOW REACTING CUSTOMERS	OTHER CUSTOMERS
AVERAGE NUMBER OF QUESTIONS PER CALL	11.2	16.8

5. **GIVING TOO MUCH INFORMATION**

Because the Low Reactor shows little response, most people feel that in some way they have failed to communicate. As a result, they tend to repeat previous points, using tell-tale phrases like "to put it another way," or, "what I'm really trying to say is...."

A study of 56 managers presenting verbal cases to managers more senior than themselves shows how the tendency for repetition is greater when the case is being presented to a Low Reactor.

REPEATING POINTS TO LOW REACTORS

	SENIOR MANAGERS WHO BEHAVED AS	
	LOW REACTORS	AVERAGE REACTORS
NUMBER OF POINTS REPEATED OR REPHRASED (per 10 min. data sample)	6.4	2.9

Another consequence of giving too much information to the Low Reactor is that people often give more than they intend. In selection interviews, law courts, and other places where a low level of reaction is normal, people often come away having given a great deal of information which they would rather have concealed.

A specific case of giving too much information is the salesperson's tendency to give *feature statements* about products rather than *benefit statements* when selling to a Low Reactor.

INFLUENCE OF LOW REACTORS ON SALES REP'S BEHAVIOR

	LOW REACTING CUSTOMERS	OTHER CUSTOMERS
PERCENTAGE OF SALES REP'S BEHAVIOR WHICH IS:		
GIVING INFORMATION ABOUT FEATURES (describing characteristics of the product)	41.4%	27.8%
GIVING INFORMATION ABOUT BENEFITS (describing how product features meet an expressed customer need)	0.6%	4.1%

HOW MANY PEOPLE HAVE PROBLEMS WITH LOW REACTORS?

Many variables influence the frequency and the severity of the problems people encounter in dealing with Low Reactors.

Although it would be misleading to attempt precise figures, an indication of the number of people who fall into each of the five traps which have been described can be seen in the summary of the Rank Xerox research:

PERCENTAGE OF RANK XEROX SALESPEOPLE FALLING INTO TRAPS IN DEALING WITH LOW REACTORS

TRAP	PERCENT OF SALES REPS
1. LOSING CONTROL OVER SPEAKING PACE	10-15%
2. LOSING SEQUENCE DURING PRESENTATIONS	25-30%
3. OVER-REACTING AND OVER-STATING	55-60%
4. ASKING FEWER QUESTIONS THAN USUAL	75-80%
5. GIVING TOO MUCH INFORMATION BY REPEATING AND LISTING FEATURES	75-80%

HOW MANY LOW REACTORS ARE THERE?

It is difficult, and perhaps not very meaningful, to set an exact figure on the number of people who are likely to behave as Low Reactors. The behavior patterns which are associated with the Low Reactor, an absence of SUPPORTING and DISAGREEING, can be adopted at will. Selection interviewers, for example, are likely to be Low Reactors when conducting interviews, but that gives little guidance about how they may behave in other situations. Similarly, professional buyers are more likely to be Low Reactors than the less experienced buyers but we cannot predict from that whether they will behave as Low Reactors elsewhere. Senior managers are significantly more likely to adopt behavior patterns low in SUPPORTING and DISAGREE-ING when interacting with other people in their organizations than are middle or junior managers. Again, this does not enable us to make predictions about how they will behave outside.

A curious example of how far the level of a person's reaction is determined by specific job circumstances comes from the Rank Xerox sales study where the level of a customer's reaction is correlated with the size of the machine being sold.

PERCENTAGE OF RANK XEROX CUSTOMERS WHO ARE LOW REACTORS

	PERCENTAGE
660 (SMALL MACHINE) PROSPECTS	18%
4000 (MIDDLE MACHINE) PROSPECTS	31%
3600/7000 (LARGE MACHINE) PROSPECTS	46%

The association between reaction level and machine size is best explained by dividing customers into two types:

PRIMARY CUSTOMERS	buying for their own use or for use under their control:	16%	ARE LOW REACTORS
SECONDARY CUSTOMERS	buying on behalf of the end user:	47%	ARE LOW REACTORS

It is not important that level of reaction is variable so that a person may be a Low Reactor on one occasion and not on another. What *is* important is that the Low Reacting style of behavior is difficult to handle. Most people recognize the problems of handling those high on DIS-AGREEING behavior and develop strategies to help them cope better with such individuals. With the Low Reactor, the problem is more difficult. Few people ever consciously recognize the Low Reactor.

It is common for a salesperson or manager to come out of a Low Reactor's office feeling ashamed of a poor performance. In contrast, after trying to convince a High Disagreer, most people can at least feel they were up against a tough customer and derive some comfort from knowing that success would be hard to achieve. The Low Reactor, although the hardest of all to persuade, usually leaves people blaming themselves for poor communication.

THE HIGH REACTOR

Unlike Low Reactors, people have no difficulty in getting feedback from High Reactors. They are characteristically quick to SUPPORT or DISAGREE over issues.

Whereas Low Reactors create a problem for *other people*, High Reactors are more frequently a problem for *themselves*. In particular, they show a tendency to react too soon. They back an issue or attack a person when, by waiting, or with a few more questions, they might have discovered information which would have resulted in a different reaction.

High Reactors, therefore, take a risk. Unless they are also particularly high on SEEKING INFORMATION and TESTING UNDERSTANDING, which are behaviors that explore the views and contributions of others, they are likely to risk a wrong reaction. This often affects their status within the group. Individuals high in REACTING and low in SEEKING behavior are frequently rated as unthinking, hasty, and distorting the views of others. Their support may be seen as worth comparatively little.

# SUMMARY OF MODELS FOR EXPLAINING REACTION BEHAVIOR

1. REACTING behaviors put forward an evaluation of other people's contributions.

2. There are three component behaviors:

   SUPPORTING   DISAGREEING   DEFENDING/ATTACKING

3. SUPPORTING expresses favorable or positive reactions. DISAGREEING and DEFENDING/ATTACKING express unfavorable or negative reactions.

4. EXPRESSING NEGATIVE REACTIONS
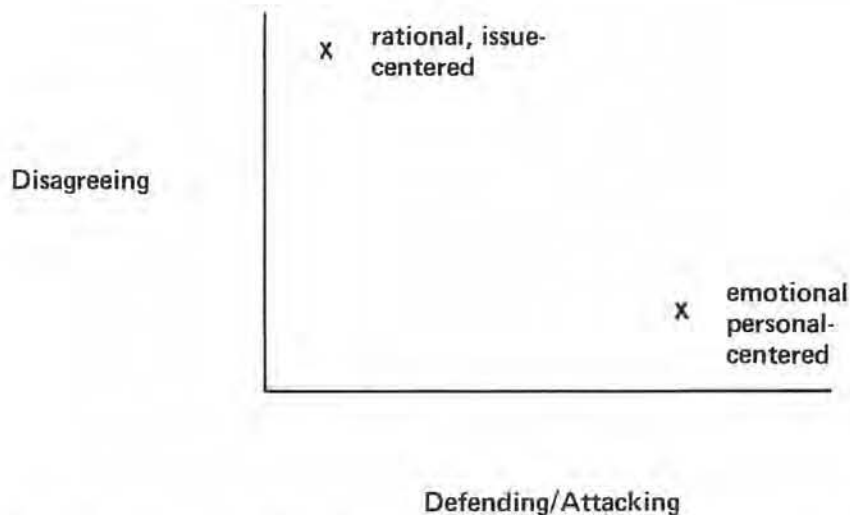
5. Low Reactors show very little reaction, positive or negative, to other people's contributions.

   Traps in dealing with Low Reactors

   - Losing control over speaking pace.

   - Losing sequence during presentations.

   - Over-reacting and over-stating.

   - Asking fewer questions than usual.

   - Giving too much information by repeating and listing features.

6. High Reactors exert a large proportion of their behavior in evaluating other people's contributions. They tend to react too soon and jump to conclusions.

7. Level of reaction is determined by specific job situations. For example, senior managers, selection interviewers and professional buyers are all likely to act as Low Reactors. People's level of reaction changes according to the roles they are performing.
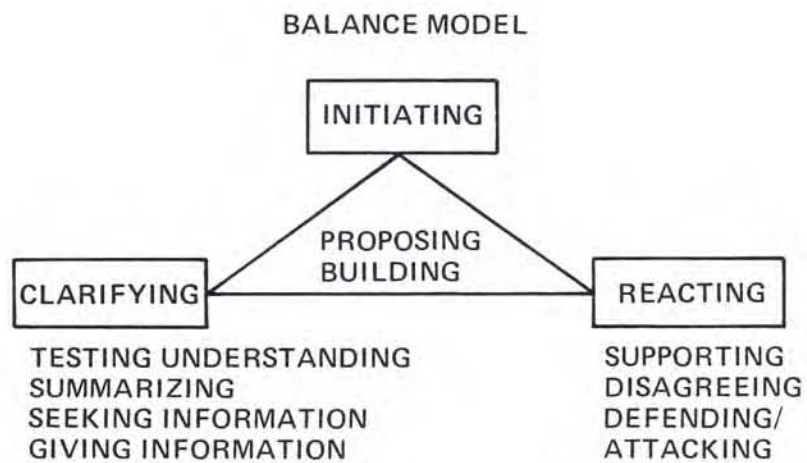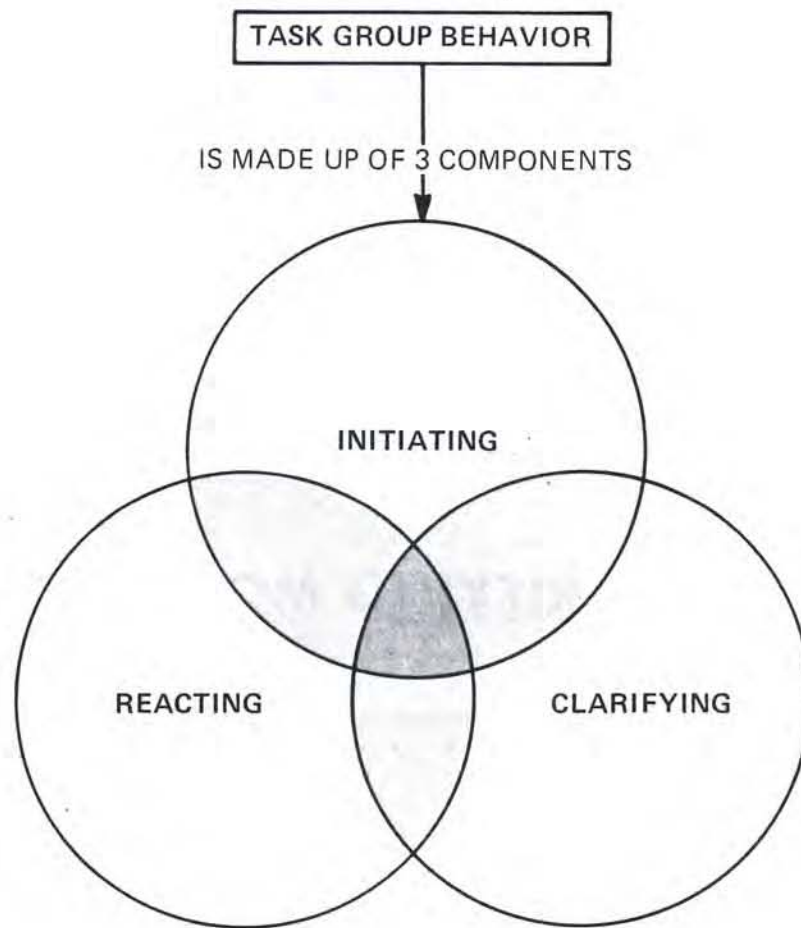
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Interactive Skills Program

Section 5

CLARIFYING MODELS

Models for Explaining Behavior

TASK GROUP BEHAVIOR

IS MADE UP OF 3 COMPONENTS

INITIATING

REACTING

CLARIFYING

BALANCE MODEL

INITIATING

PROPOSING
BUILDING

CLARIFYING

REACTING

TESTING UNDERSTANDING
SUMMARIZING
SEEKING INFORMATION
GIVING INFORMATION

SUPPORTING
DISAGREEING
DEFENDING/
ATTACKING

MODELS FOR CLARIFYING BEHAVIOR

Clarifying behaviors are those which exchange information, facts, opinions, and clarification. There are four component behavior categories:

TESTING UNDERSTANDING   — a behavior which seeks to establish whether or not an earlier contribution has been understood.

SUMMARIZING   — a behavior which restates, in a compact form, the content of previous discussions or events.

SEEKING INFORMATION   — a behavior which seeks facts, opinions, or clarification from others.

GIVING INFORMATION   — a behavior which offers facts, opinions, or clarification *to* others.

As with the other major classes of behavior, the balance of these four component behaviors can be used to construct and test models for judging the effect of CLARIFYING on groups.

OVERALL BALANCE

Case Study 6 in Section 1 of this Unit, illustrates some of the problems of a group which is low in CLARIFYING behavior. However, in most areas of commercial life, groups like the one described are rare. For every group which is particularly low on CLARIFYING, there are a dozen which are nearer to Case Study 3, where clarifying has become almost the sole activity of the group.

One of the reasons why groups take so long to achieve so little is an excess of CLARIFYING behavior. Reducing redundant clarification can have dramatic effects on a group's efficiency.

EFFECT OF INDIVIDUAL CLARIFYING CATEGORIES

As with the other behavior classes, the total volume of CLARIFYING only provides part of the picture. It is important to know the type of CLARIFYING behavior, whether GIVING or SEEKING INFORMATION, TESTING UNDERSTANDING, or SUMMARIZING, in order to make valid judgments about its effectiveness.

GIVING INFORMATION

This is usually the most common behavior of all the 11 categories. In some cases, the amount of information giving can exceed 50 percent of an individual's or a group's behavior.

Meetings characterized by high level of GIVING INFORMATION are frequently:

1. **TIME WASTING**

   Meetings which are rated by participants as wasting time are strongly correlated with the amount of information giving. The most common form of time consumption is for each person in the meeting to add details, anecdotes, views, and experiences which are non-contributory to the decision-making process.

2. **CONFUSING AND DIVERGENT**

   Especially where TESTING UNDERSTANDING and SUMMARIZING are low, the meeting high in GIVING INFORMATION is likely to have a "swimming in syrup" feeling to it. Points become disconnected, the meeting meanders, and group members become confused. When they attempt to resolve their confusion by even more information giving, the result can be disastrous.

3. **SELF-CENTERED**

   High information givers are frequently seen as less interested in the views of others than in putting forward their own points. (This is partly the result of a correlation between high GIVING INFORMATION and high PROPOSING.) When a whole group is high on information giving, it sometimes sounds as if each person is running a private meeting that has no connection with the activities of anybody else present.

SEEKING INFORMATION

The amount of SEEKING INFORMATION in a meeting very rarely exceeds the amount of GIVING INFORMATION. It is frequently well below half the volume of giving. Meetings having a high level of SEEKING INFORMATION are perceived by participants as:

1. **FOSTERING INTEREST IN THE VIEWS OF OTHERS**

   Participants rate meetings high on SEEKING INFORMATION as stimulating interest in the views of others. The exact nature of this interest is seen more clearly by the contrasts with TESTING UNDERSTANDING later in this section.

2. **CONVERGENT AND FOCUSED**

   When a meeting is high on GIVING INFORMATION, there is no guarantee that any two successive contributions will have any relation to each other. This can lead to divergent wanderings. When SEEKING INFORMATION is high, the connection between successive contributions tends to be clearer. This is because SEEKING INFORMATION *either explores a point already made, which therefore connects it to a previous contribution,* or asks about a new point, in which case the respondent is likely to connect it with the next point. Meetings high on SEEKING INFORMATION thus are seen as more focused: there is a greater likelihood that successive speakers will be talking about the same thing.

In the rare cases where the level of SEEKING INFORMATION is very high indeed, especially where reaction behaviors are low, there may be over-attention to detail and an inability to move forward to new issues.

3. **TIME-SAVING**

It would seem likely that a meeting with lots of questions would take longer to resolve issues than a meeting with very few questions. Interestingly, this is not the case. There is a positive correlation between people's perception of whether a meeting saved time and the volume of SEEKING INFORMATION.

TESTING UNDERSTANDING

TESTING UNDERSTANDING behavior explores understanding of previous contributions. It ties down and clarifies points which may be unclear or ambiguous. It also checks whether people are seeing things in the same way.

A high level of TESTING UNDERSTANDING is associated with perceptions of a meeting as:

1. **FAIR**

People judge that they have had a fair hearing in meetings where the level of TESTING UNDERSTANDING is high.

2. **CLEAR**

The clarity of the meeting is rated high when there is a lot of TESTING UNDER-STANDING behavior present. In this respect, there is a close parallel between TESTING UNDERSTANDING and SUMMARIZING.

3. **RATIONAL**

Meetings which are high in TESTING UNDERSTANDING are rated as *rational*. Supporting evidence for this is a significant negative correlation between the amount of DEFENDING/ATTACKING and the amount of TESTING UNDERSTANDING in meetings. When TESTING UNDERSTANDING is high, irrational and emotional behavior such as defending/attacking tends to be low.

SUMMARIZING

SUMMARIZING is a compact restatement. When we record it, we are very careful to exclude two types of behavior which superficially appear to be SUMMARIZING but are not.

These are:

1. *The Extended Repetition* — where a speaker, intending to summarize, repeats the content of previous discussion at even greater length than the original. Because the speaker has not condensed the content in any way, this is *not* a summary.

2. *Introduction of New Material* — where a speaker, while purporting to summarize, actually just introduces more new ideas.

A high level of SUMMARIZING behavior in a meeting is likely to result in perceptions of:

1. **STRUCTURE**

   SUMMARIZING gives a form or structure to material in a meeting which might otherwise be very disorganized. In SUMMARIZING, a speaker takes previous material and organizes it in an intelligible way. As a result, meetings high in SUMMARIZING are perceived as more organized and structured than meetings low on SUMMARIZING.

2. **CLARITY**

   In common with TESTING UNDERSTANDING, meetings with high SUMMARIZING are seen as clear. This association of TESTING UNDERSTANDING and SUMMARIZING as a determinant of the clarity of a meeting will be considered again later.

3. **CONTROL**

   SUMMARIZING is a behavior which is usually the responsibility of a leader, if the meeting has one. It is associated with the leader's role because it is a control behavior. It can be used to control and organize both the content and the pace of the meeting. Partly because meetings with high SUMMARIZING frequently have a leader, they are perceived as highly controlled. However, this perception of control is still significantly related to the level of SUMMARIZING, even in informal meetings where no identified leader is present.

INFORMATION EXCHANGE

The balance between GIVING and SEEKING INFORMATION tells us how a group deals with the process of exchanging information.

INFORMATION EXCHANGE — GIVING/SEEKING

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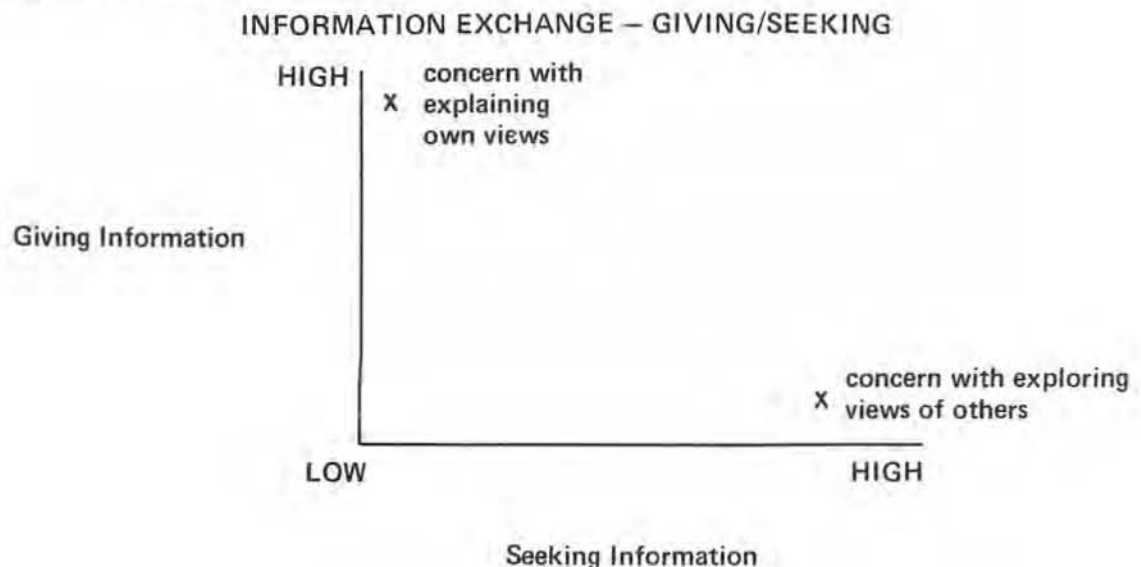
As a broad guideline, we can say that groups or individuals very high on GIVING INFOR-MATION are primarily concerned with explaining their own views and opinions. Their low level of SEEKING INFORMATION denotes a comparatively minor interest in exploring the views of others.

Some indication of how the giving/seeking balance can be used for feedback can be seen in the following case studies.

GIVING/SEEKING CASE STUDIES

| Case 1 — LACK OF INTEREST IN THE VIEWS OF OTHERS |

SUBJECT GROUP — Product development team in an organization specializing in chemical synthetics.

PROBLEM — The group had been meeting to discuss the implications of some recent advances in silicone chemistry. Each of the five members was an expert in some area of either silicone or rubber technology.

Observation of the balance of GIVING INFORMATION to SEEKING INFORMATION produced the following graph:

GIVING/SEEKING BALANCE

Seeking Information
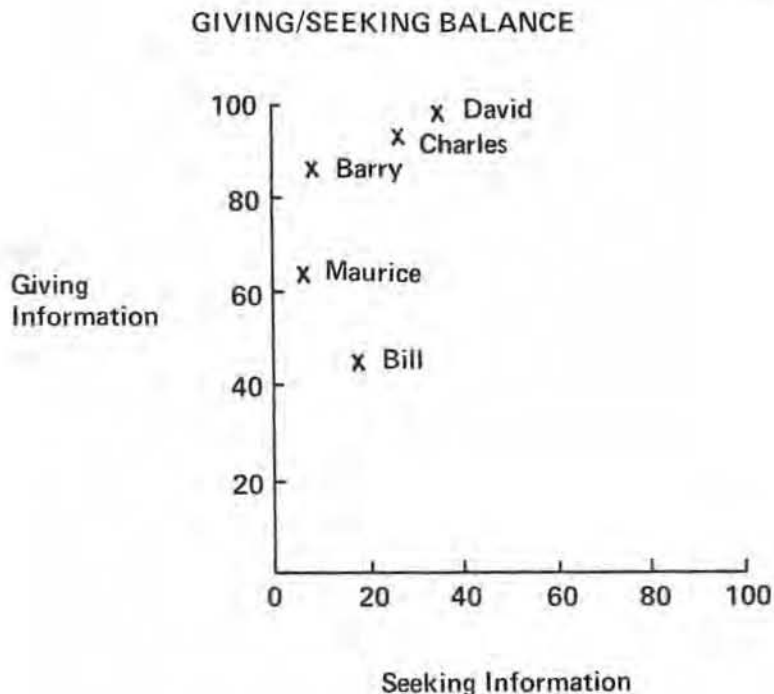
Overall, the group was using an average of 6.4 giving to each seeking behavior. Individuals were readily putting forward their own views but were showing no inclination to explore points put forward by others.

At the end of the meeting, participants were asked to write down the main points which they had made and the main points made by others. Naturally, as in most groups, people remembered their own points most easily. Here are the results:

1. The average *number* of points recorded for others was lower than the average recorded by participants for their own contributions (5.7 against 8.2).

2. When people were asked to judge the *importance* of the points made, points from other members were rated lower in importance than their own points.

3. People were then asked to think about each point and rate whether they had enough *information* to decide on its acceptability. Less than half of the points (42%) were rated as providing sufficient information on which to make a decision.

4. Group members were asked what questions they needed to have answered in order to make a valid decision. Figures cannot be compared because two individuals wrote "too many questions to list here." Yet during the meeting itself, very few questions were asked.

5. Group members rated each other as showing very low interest in any ideas except their own.

ACTION — The group was shown the graph and the summary of their ratings. After discussion, they accepted that their present way of working was counterproductive. For the next meeting, they set an objective *increasing* the amount of SEEKING INFORMATION and *decreasing* GIVING INFORMATION. They achieved this, reducing the ratio of giving to seeking from 6.4:1 to 2.1:1. Their perception of the meeting also changed. They remembered more of other people's points, showing an increased interest in each others' views and having fewer unanswered questions at the end.

EFFECT OF CHANGING GIVING/SEEKING RATIO

	INITIAL MEETING	AFTER GIVING/ SEEKING RATIO FEEDBACK
TOTAL GIVING INFORMATION BEHAVIORS	376	361
TOTAL SEEKING INFORMATION BEHAVIORS	59	172
RATIO	6.4:1	2.1:1

	INITIAL MEETING	AFTER GIVING/ SEEKING RATIO FEEDBACK
INTEREST IN VIEWS OF OTHERS (MAX INTEREST = 7)	2.2	4.1
NUMBER OF POINTS RECALLED		
● OWN	8.2	7.5
● OTHERS'	5.7	9.3
PERCENT OF POINTS WITH SUFFICIENT INFO. FOR DECISION	42%	61%

Case 2 — INDIVIDUAL DIFFERENCES IN GIVING/SEEKING RATIO

SUBJECT GROUP — Buying committee in the petrochemical industry.

SITUATION — A meeting of the six-man buying committee showed the following balance of GIVING INFORMATION to SEEKING INFORMATION.

GIVING/SEEKING RATIOS

Seeking Information
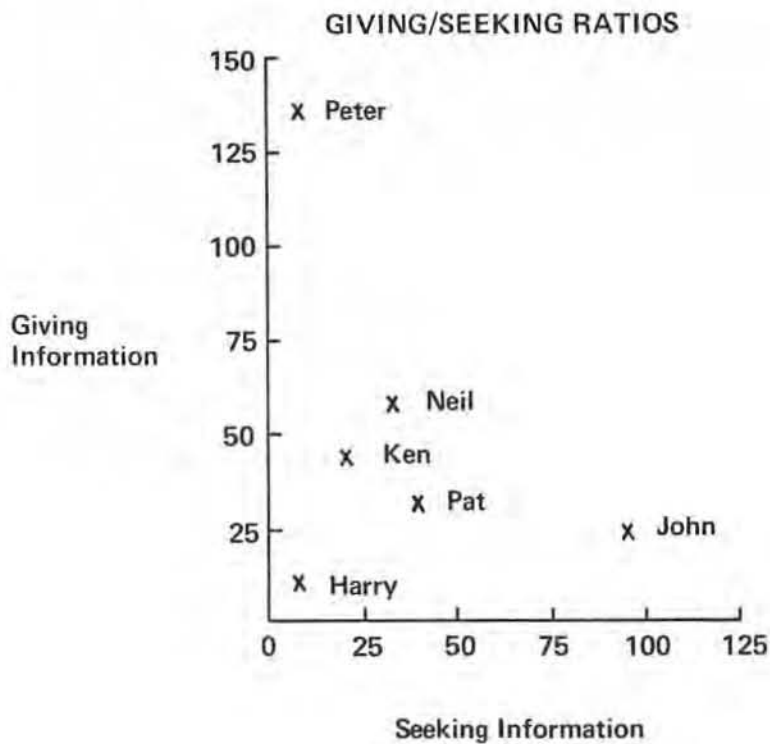
As the graph shows, John and Peter displayed an unusual balance of GIVING INFORMATION to SEEKING INFORMATION. Peter gave information more than 16 times as often as he sought it. John, on the other hand, was asking almost five questions for every giving behavior. Were the behaviors of Peter and John appropriate? Should Peter seek more? Should John seek less?

It would be dangerous to draw such conclusions. The appropriateness of an individual's behavior is dependent upon the particular situation in which they are placed. The meeting had been called to hear a report from Peter about the advantages and disadvantages of changing to a new supplier. Peter's role was, therefore, one where high information giving was called for. John was the leader of the meeting and, as part of the leader's role, was questioning Peter about the details of his report.

This example illustrates that an individual's behavior must be judged according to its appropriateness to a specific situation. If, for example, Harry had been presenting the report and the bulk of GIVING INFORMATION had come from Peter, that would have been inappropriate.

A BEHAVIORAL HABIT

Certain behavior patterns are habit-forming. We tend to adopt behaviors in particular situations, and we develop habits which are hard to break, even when the behavior is no longer appropriate.

An example of this can be seen in the behavior of many people in expert or specialist functions. In research carried out in a tobacco manufacturing firm, researchers found a peculiar and significant correlation between the way people behaved during training groups and their work background.

BEHAVIOR OF INDIVIDUALS IN TRAINING GROUPS	BACKGROUND OF PARTICIPANTS	
	TECHNICAL/ SPECIALIST (N=52)	NON-SPECIALIST (N=90)
PERCENT OF GIVING INFORMATION	38.2	31.0
PERCENT OF SEEKING INFORMATION	9.7	14.3
GIVING/SEEKING RATIO	3.9:1	2.2:1

As the table shows, those with technical, scientific, or specialist backgrounds were much more likely to *give* information and less likely to *seek* information than those from non-technical

backgrounds. The contents of the training group discussions were completely non-technical, so the obvious explanation that this difference resulted from familiarity with the subject matter was ruled out.

The hypothesis, confirmed by sample interviews with participants from both backgrounds, is that this difference arises from a behavioral habit pattern. The specialist normally builds up experience with meetings in a characteristic way. One of the tobacco chemists described his meetings career as follows:
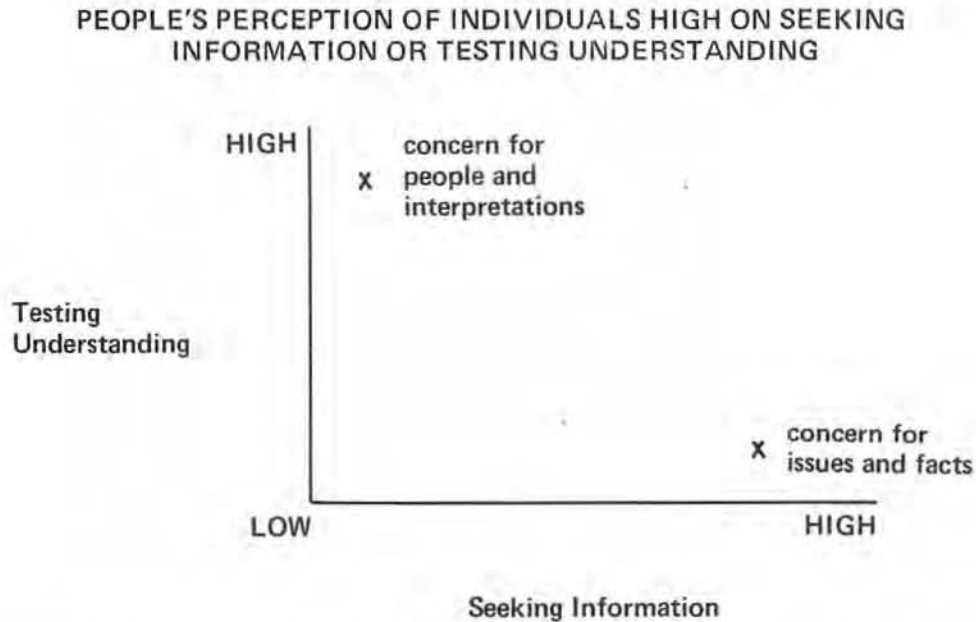
> The first half-dozen or so meetings I went to, I was clearly the most junior person there. I'd been brought there because I had information they might need. I just waited and tried to answer any questions they put to me. In those days, I wouldn't have dared to make any suggestions or anything like that—and I certainly wouldn't have asked *them* questions. I was just walking information, on tap as required. I suppose I built up the habit then. To me, meetings were places you went to pass information on. It didn't really strike me that I might have some function in questioning other people. You see, I was always the expert; people asked *me* the questions. I feel that I've carried this over to my present job. I'm often running the meeting now, and I really have to force myself not to go on playing the expert. I'm just not used to exploring what other people have to say. But it's not a lack of interest in my case; more a lack of practice.

BALANCE OF SEEKING INFORMATION AND TESTING UNDERSTANDING

SEEKING INFORMATION and TESTING UNDERSTANDING are both ways of inquiring about the contributions of others. The difference is that while SEEKING INFORMATION explores the issues themselves, TESTING UNDERSTANDING explores differences in people's perception, interpretation, and understanding of these issues. We have already seen that meetings high in SEEKING INFORMATION and those high in TESTING UNDERSTANDING are perceived somewhat differently.

PEOPLE'S PERCEPTION OF MEETINGS HIGH IN	
TESTING UNDERSTANDING	SEEKING INFORMATION
INTEREST IN VIEWS OF OTHERS	INTEREST IN VIEWS OF OTHERS
HIGH FAIRNESS TO OTHERS	CONVERGENT AND FOCUSED
HIGH CLARITY	TIME-SAVING
HIGH RATIONALITY	

This difference can be seen in the following graph, where people high on TESTING UNDERSTANDING are rated as having greater concern for other people and their interpretations. High seekers of information are rated as having interest in issues and facts.
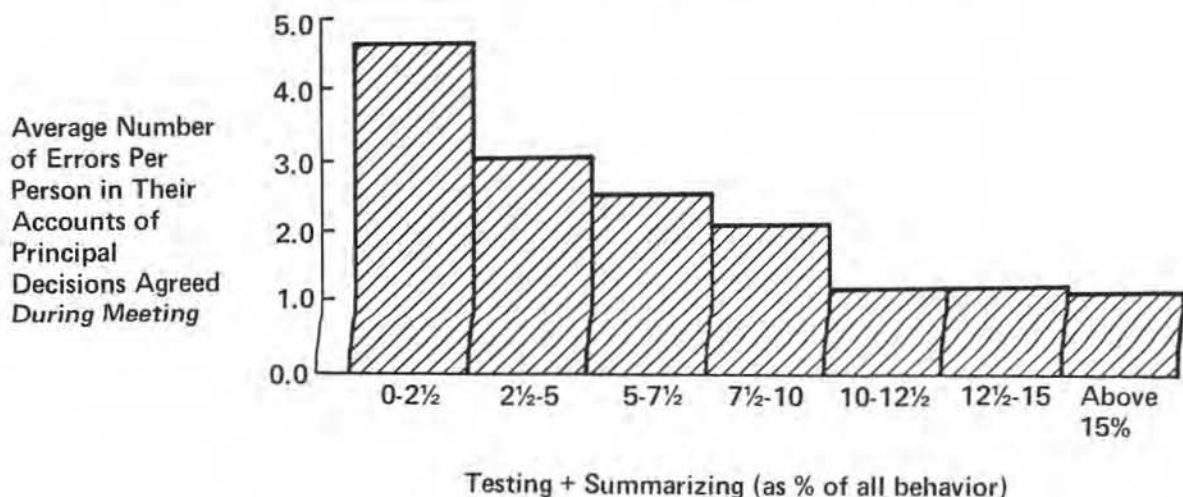
PEOPLE'S PERCEPTION OF INDIVIDUALS HIGH ON SEEKING INFORMATION OR TESTING UNDERSTANDING

HIGH

x concern for people and interpretations

Testing Understanding

x concern for issues and facts

LOW   HIGH

Seeking Information

BALANCE OF TESTING UNDERSTANDING AND SUMMARIZING

TESTING UNDERSTANDING and SUMMARIZING have many elements in common. They both clarify and organize understanding of previous contributions. Because of this, the meetings rated highest for *clarity* are those highest on TESTING UNDERSTANDING and SUMMARIZING.

Research was carried out to correlate the number of misunderstandings and misinterpretations that occurred *after* a meeting with the amount of TESTING UNDERSTANDING and SUMMARIZING *during* the meeting.

ANALYSIS OF 49 MEETINGS SHOWING TESTING + SUMMARIZING RELATIONSHIP WITH ERRORS AND MISUNDERSTANDINGS

Average Number of Errors Per Person in Their Accounts of Principal Decisions Agreed *During Meeting*

	5.0	4.0	3.0	2.0	1.0	0.0

0-2½   2½-5   5-7½   7½-10   10-12½   12½-15   Above 15%

Testing + Summarizing (as % of all behavior)

60

The analysis of 49 meetings, involving ratings from 297 participants, shows that meetings which are low in TESTING UNDERSTANDING and SUMMARIZING behaviors are significantly more likely to produce *errors and omissions* in people's accounts of the principal decisions agreed to in the meeting. Because meetings vary in length and pace, the overall *number* of TESTING UNDERSTANDING and SUMMARIZING behaviors is an insufficient guide to their effect on the meeting. The investigators took as their criterion TESTING UNDERSTANDING and SUMMARIZING behavior as a *percentage* of the total meeting behavior. For example, if, in a meeting, a total of 200 contributions was recorded, three of which were TESTING UNDERSTANDING and seven of which were SUMMARIZING, the combined percentage of TESTING UNDERSTANDING plus SUMMARIZING would be

$$\frac{3 + 7}{200} \times 100\% = 5\%$$

As the analysis above shows, meetings with less than 2½ percent TESTING UNDERSTANDING plus SUMMARIZING produced an average of 4.3 errors and omissions. However, once the volume of TESTING UNDERSTANDING plus SUMMARIZING exceeded 10 percent of the total contributions, there was no significant change in the error rate of 1.2 errors per person.

We can therefore conclude that if it is important for people to have a clear understanding of the decisions which have been reached in a meeting, then roughly one behavior in every 10 needs to be either TESTING UNDERSTANDING or SUMMARIZING.

SUMMARY OF MODELS FOR EXPLAINING CLARIFYING BEHAVIOR

1. CLARIFYING behaviors exchange information, facts, opinions, and clarification.

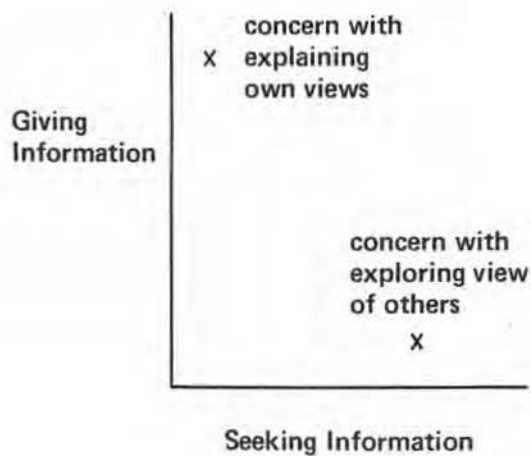2. There are four component behaviors:

   TESTING UNDERSTANDING   SUMMARIZING   SEEKING INFORMATION
   GIVING INFORMATION

3. TESTING UNDERSTANDING and SEEKING INFORMATION are normally put in the form of *questions*. SUMMARIZING and GIVING INFORMATION normally take the form of *statements*.
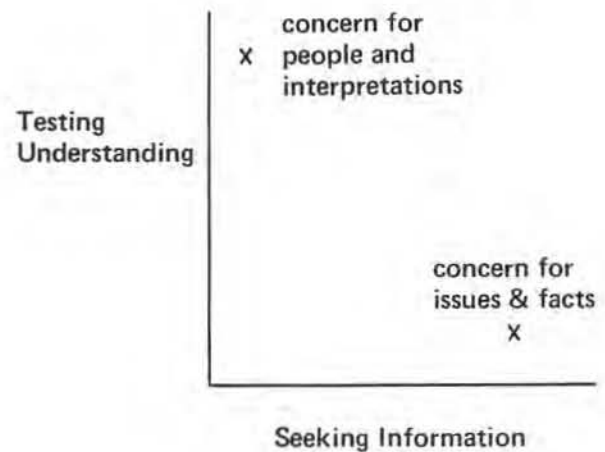
4. PERCEPTION OF MEETINGS HIGH IN CLARIFYING BEHAVIORS

	MEETINGS UNUSALLY HIGH ON			
	TESTING UND'G	SUMMARIZ-ING	SEEKING INFO.	GIVING INFO.
ARE LIKELY TO BE SEEN BY PARTICIPANTS AS	Interested in views of others	Structured	Interested in views of others	Time wasting
	Clear	Clear	Time saving	Confusing & divergent
	Rational	Controlled	Convergent & focused	Self-centered
	Fair			

GIVING/SEEKING BALANCE

Giving Information

X concern with explaining own views

concern with exploring view of others
X

Seeking Information

SEEKING/TESTING BALANCE

Testing Understanding

X concern for people and interpretations

concern for issues & facts
X

Seeking Information

5. TESTING UNDERSTANDING and summarizing need to constitute 10 percent of all behavior if the meeting is to avoid significant errors and omissions in people's perception of decisions.

Interactive Skills Program

Section 6

PARTICIPATION CONTROL MODEL

Models for Explaining Behavior

BRINGING IN AND SHUTTING OUT

BRINGING IN and SHUTTING OUT are *process* behaviors.

BRINGING IN   – A behavior which directly attempts to involve another individual or to increase the individual's opportunity to contribute to the discussion.

SHUTTING OUT   – A behavior which excludes another individual or reduces the individual's opportunity to contribute to the discussion.

Unlike the INITIATING, REACTING, and CLARIFYING behaviors, BRINGING IN and SHUTTING OUT do not have *content*. They occur in conjunction with other behaviors.

For example, if persons use SHUTTING OUT behaviors, they normally do so in order to use one of the other categories as well. They do not just interrupt—they interrupt by PROPOSING, by DISAGREEING, or by GIVING INFORMATION.

Because of this, BRINGING IN and SHUTTING OUT are not recorded in isolation. They may or may not be present whatever the balance of the other categories.

LEVEL OF SHUTTING OUT

People rate meetings very high in SHUTTING OUT as:

- disorganized.
- active.
- showing lack of consideration.

Individuals high on SHUTTING OUT receive similar ratings.

The most common form of SHUTTING OUT is interrupting. It is most unusual, and probably undesirable, for participants in meetings to avoid SHUTTING OUT entirely. Meetings where SHUTTING OUT is absent are likely to take longer than is really necessary.
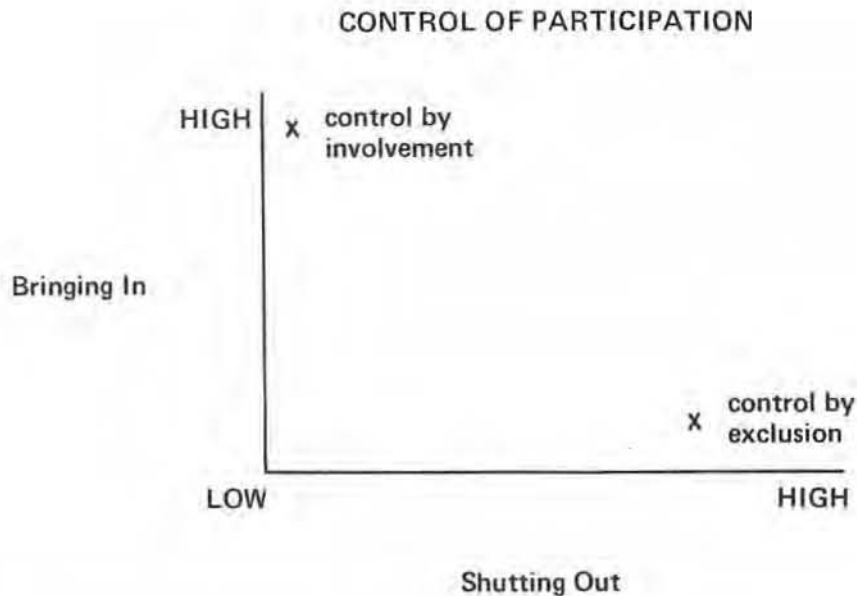
LEVEL OF BRINGING IN

People rate meetings high in BRINGING IN as:

- participative.
- evidencing interest in the views of others.
- *evidencing consideration.*

Individuals high on BRINGING IN are likely to receive favorable ratings from other participants in terms of their overall contribution to the progress and success of the meeting. Note that the opposite does not apply. Those high on SHUTTING OUT behavior do not necessarily receive unfavorable ratings.

A MODEL FOR BRINGING IN AND SHUTTING OUT

BRINGING IN and SHUTTING OUT have an element in common. They both control the participation of other individuals. SHUTTING OUT controls participation by excluding people and preventing them from making or completing their contributions. BRINGING IN controls by involving people who would not otherwise have made a contribution to the discussion. In each case, as a result of the behavior, the pattern of other people's participation has been altered.

CONTROL OF PARTICIPATION

It is of course, comparatively rare to see either of these extremes. There is one common situation, however, in which individuals frequently show themselves to be unusually high or low on these behaviors: that is when they find themselves in the role of meeting Leader.

WHEN TO USE BRINGING IN AND SHUTTING OUT

A high level of BRINGING IN is appropriate for meetings where:

1. The Leader is the most senior person present. If a senior person is running a meeting and is using a high level of SHUTTING OUT (control by exclusion), then junior people become hesitant about making contributions to the discussion.

2. The meeting is to be run as an AMPLIFIER MEETING. A high level of BRINGING IN encourages BUILDING, especially when it is done selectively.

3. Participants are hesitant to contribute. Frequently, in meetings where participants do not know each other well, participants are reluctant to use INITIATING or REACTING behavior. In extreme cases, they may be reluctant to use CLARIFYING behaviors, but this is rare. The use of BRINGING IN is one of the simplest strategies to encourage INITIATING or REACTING contributions from hesitant people.

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A high level of SHUTTING OUT is appropriate for meetings where:

1. Tight time constraints exist. Although an *extremely* high level of SHUTTING OUT is counterproductive in almost all circumstances, a *moderately* high level can be useful where there are many issues to deal with in insufficient time.

2. The meeting is to be run as a FILTER MEETING. Because a FILTER MEETING is going through a *reduction* activity, time can be saved if SHUTTING OUT behavior is used to prevent such things as:

   ● the re-opening of lost causes, where attempts are made to bring up issues already decided.

   ● the repetition of unnecessary detail.

   ● extended declarations of alignment and support.

3. Participants attempt to dominate. Often, SHUTTING OUT proves the simplest and most efficient way to prevent individuals from dominating the group's discussions.

Interactive Skills Program

Section 7

DIAGNOSTIC CHECK-LIST

Models for Explaining Behavior

DIAGNOSTIC CHECK-LIST

HOW TO USE THIS CHECK-LIST

On the left hand side of the following pages are 20 questions. Your group can use these questions to pinpoint problems which may be influencing the group's effectiveness. When the answer to any question is YES, then the next column gives the appropriate behavior categories, ratios, and levels so that you can use behavior analysis to check these questions out in a more precise way. The column on the right gives some appropriate actions to overcome the problem.

DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
1. Is the group failing to reach an agreed decision efficiently?	*Check* overall balance of INITIATING, REACTING, and CLARIFYING. Are all three classes sufficiently present? (See Section 1 for more details.)	If one of the major classes of behavior is missing, tell the meeting which one and ask them to help you create it. For example: Low on INITIATING- "We seem to be lacking any good ideas, which I think is preventing us from reaching a decision. I would like us to stop reacting to the ideas we already have and suggest some more alternative solutions to the problem we are dealing with. I am sure this will help us—do you agree?"
IF THE GROUP IS FAILING TO REACH DECISIONS EFFICIENTLY, IS THIS BECAUSE OF:		
2. going round in circles?	*Check* INITIATING, REACTING, CLARIFYING balance. Has the group gotten into a closed loop in one of the three classes? In particular, is GIVING INFORMATION very high? If above is 45-50 percent of all behavior then the problem is likely to be here. (See Section 1 for more details.)	If GIVING INFORMATION is very high, give this feedback to the meeting by saying something like: "We seem to have too much information to handle; let's consider how we can use this information or let's hear people's reaction to it so far." Restate the purpose of the meeting and keep a tight control on the use of time from now on.
3. too many alternatives?	*Check* INITIATING behavior level. If the level of INITIATING exceeds 20 percent of all contributions, then it may be a justified conclusion. Otherwise, it is more likely that the group is making poor use of REACTION and CLARIFYING behaviors. (See Section 1 for more details.)	Feed back to the meeting that there is a sufficient number of ideas and that what needs to be done now is to link the ideas together (using BUILDING behavior) or that they need to react to the ideas which already exist. REACTING to them will probably reduce them.
	Check: Is REACTING very low— under 15 percent of all behavior? If so, the group may be generating ideas to compensate for failure to react. Deal with the reaction problem first.	Again, here the group must be asked to react. Try to prevent further INITIATING behaviors, especially proposals, because when INITIATING becomes a very highly used behavior, it is often perceived as a means of DISAGREEING.

DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
3. (cont'd)	*Check*: Is CLARIFYING mostly in the form of GIVING rather than SEEKING? If GIVING exceeds SEEKING by over 3:1, then there may be problems with *listening* and a low level of interest in other people's ideas.	(See 2 above)
4. too little creativity?	*Check* PROPOSING/BUILDING balance. Is the meeting Filter or Amplifier? If Filter, then encourage BUILDING. (See section 3 for more details.)	Ask people to consider the ideas that already exist and add to them. One way is to ask them to state "what they like about the existing ideas." This often helps people to begin BUILDING.
5. win/lose (competitive) use of ideas?	*Check*: Is it a Filter Meeting? Is this appropriate to the purpose of the meeting? (See Section 3 for more details.)	(See 4 above if you want to change the meeting to an Amplifier Meeting.)
6. lack of support for each others' ideas?	*Check* SUPPORTING behavior. IF SUPPORTING is *lower* than PROPOSING behavior, then this diagnosis is probably correct. (See Section 4 for more details.)	The first strategy is to ask the group to try and build on each others' ideas. This is a very positive move since BUILDING is perceived as a means of SUPPORTING. The second strategy is to watch for members who are SUPPORTING and use BRINGING IN to involve them more.
7. conflict within the group?	*Check*: Do DISAGREEING and DEFENDING/ATTACKING behaviors outnumber SUPPORTING behaviors? If so,	If DISAGREEING is very high, this will not necessarily damage the group's working relationship, especially if it occurs over one particular issue. You should ask the group to identify the things they like about a proposed issue as well as the things they dislike.
8. emotional, irrational, and personal issues intruding into the discussion?	*Check* DISAGREEING/DEFENDING/ATTACKING balance for type of conflict.	If DEFENDING/ATTACKING is very high, it is worth bringing the group to a stop and resolving the conflict which exists. When the group gets going again,

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DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
8. (cont'd)	(See Section 4 for more details.)	encourage PROPOSING and BUILDING. These are about the only two behaviors which will break the DEFENDING and ATTACKING "spiral." You should also encourage SEEKING behavior.
9. lack of connection and continuity between each person's contributions?	*Check:* Is GIVING INFORMATION more than three times the combined levels of SEEKING INFORMATION, TESTING UNDERSTANDING, and SUMMARIZING? If so, an increase in these three behaviors would resolve the problem. Otherwise, (See Section 5 for more details.)	If you are managing this meeting, increase your level of SUMMARIZING and ensure that you set an example to others of understanding everybody's contribution. Use TESTING UNDERSTANDING to do this. Encourage other members to ask questions more often.
	Check the ratio of PROPOSING to BUILDING. If above 4:1, then this is a Filter meeting.	Refer to 4 above, should you wish to move from Filter to Amplifier meeting.
10. lack of interest in the views of others?	*Check* level of SEEKING INFORMATION. If less than one-quarter of the total CLARIFYING behaviors, then the diagnosis is almost certainly confirmed. (See Section 5 for more detail.)	Encourage SEEKING and keep a tighter control of time.
11. crossed-wires and misunderstandings?	*Check* TESTING UNDERSTANDING and SUMMARIZING. If less than five percent of all behavior, then diagnosis is confirmed. An especially severe combination is low TESTING and SUMMARIZING combined with high levels of REACTING (over 30 percent of all behavior). (See Section 5 for more details.)	In cases such as these, work either to reduce REACTING or to increase TESTING UNDERSTANDING and SUMMARIZING. You should aim to increase TESTING UNDERSTANDING and SUMMARIZING up to a level of about 10-12 percent of all other behaviors. It does not matter who in the group does this, so you may wish to set an example by doing it yourself.

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DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
12. people dropping out of the discussions?	*Check* overall totals of behavior for each person present. If the *lowest* total is less than one-half of the group average, you may have a dropout. *Note:* This approximation does not apply to groups with eight or more members. Having established a dropout, the *cause* needs to be established also. (See Section 6 for more details.)	If the cause of dropping out is not a serious one but more a question of the individual being either quiet or not too articulate, etc., use BRINGING IN behavior to increase this individual's involvement. Should the reason for dropping out be more serious—for example, low commitment, low motivation, etc. delegate responsibility and tasks to the individual concerned during or after the meeting.
13. individuals trying to dominate the meeting?	*Check* overall totals of behavior for each person present. Any person with over three times the group average is, consciously or otherwise, exerting a dominating effect on the group. Check which categories are responsible and, in particular, *Check* the level of SHUTTING OUT, which is correlated with people's perceptions of attempts to dominate. (See Section 6 for more details.)	If the individual concerned is just contributing too much in total, use SHUTTING OUT behavior to prevent him or her, and BRINGING IN to involve, and therefore increase the contributions of others. If the individual has a high contribution level because of a lot of GIVING INFORMATION, cut short any long speeches. If the individual is using a lot of SHUTTING OUT behavior to dominate others, you should feed back to him or her either during or after the meeting (after the meeting is preferable if this is one of many meetings involving this person) how this SHUTTING OUT behavior is perceived by you and others.
14. lack of clarity?	*Check:* Do TESTING UNDERSTANDING and SUMMARIZING constitute at least 10 percent of group behavior? If not, this is the most probable cause of lack of clarity. (See Section 5 for more details.) *Check:* Is DEFENDING/ATTACKING present? If so, this may be a cause, even at low levels of five percent or less. (See Section 4 for more details.)	(Refer to 11 above.) (Refer to 8 above.)

DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
14. (cont'd)	*Check:* Is SEEKING behavior less than one-third of GIVING? If so, this will be a contributory factor. (See Section 5 for more details.)	Encourage SEEKING and TESTING UNDERSTANDING.
IS IT IMPORTANT FOR THE GROUP TO:		
15. reach a high quality solution?	*Check* PROPOSING to BUILDING ratio to discover whether the meeting is Filter or Amplifier. (See Section 3 for more details.)	Amplifier meetings usually produce better quality solutions. Therefore, if PROPOSING exceeds BUILDING by over 2:1, encourage BUILDING and build yourself. Ask members to state their "likes" for a proposal. This will help them to build.
16. have high commitment to decisions reached?	Check whether the meeting is Filter or Amplifier. (See Section 3 for more details.)	Commitment is lower from Filter meetings. If this is one of many meetings with similar participants each time, plan the next meeting to 1) choose an issue where nobody has fixed perceptions about that issue; 2) give no advanced agenda of what the issue is; 3) stop the meeting after the first proposal and ask members what they like about it; 4) prevent counter-proposals; 5) deal with criticism by asking for BUILDING behavior to overcome the criticism; 6) take the meeting slowly.
	Check whether TESTING UNDER-STANDING and SUMMARIZING percentages are sufficient to prevent misunderstanding of decisions.	(Refer to 11 above.)

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DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
16. (cont'd)	*Check* whether the level of REACTING behavior is sufficient to bring out and resolve any differences in people's evaluation of issues.	(Refer to 3 above.)
17. participate in the making of decisions?	*Check* overall total contributions by each person. If the spread exceeds 5:1 between the highest and the lowest contributors, then commitment problems are likely.	(Refer to 12 and 13 above.)
	Check: Was it a Filter or Amplifier meeting?	Filter meetings are rated *low* for participation. (Refer to 16 above.)
	Check: Is BRINGING IN behavior used? If not, the meeting is likely to have lower ratings for commitment and participation. (See Section 6 for more details.)	Bring in the low contributors yourself. Encourage other people to do the same.
18. be able to remember the principle decisions of the meeting afterwards?	*Check:* Do TESTING UNDERSTANDING and SUMMARIZING reach 10 percent of all behavior? If *not*, then there are likely to be significant errors and omissions in people's memories of the meeting. (See Section 5 for more details.)	The two behaviors mentioned here are extremely important to post-meeting commitment. It does not matter who is doing the SUMMARIZING or TESTING. You should do it yourself and encourage others to follow your example.
FINALLY		
19. WAS THE MEETING JUST PLAIN BORING, EVEN THOUGH IT REACHED ITS OBJECTIVES?	*Check* PROPOSING/BUILDING balance. Filter meetings are rated as unexciting, Amplifier are exciting.	

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DIAGNOSTIC QUESTIONS	PROBABLE CAUSES	ACTIONS
19. (cont'd)	*Check* REACTING levels. If these are below 10-15 percent of all behavior, then participants may be holding back controversial opinions. *Check* GIVING to SEEKING balance. If GIVING INFORMATION constitutes over two-thirds of all CLARIFYING behavior, then individuals are primarily concerned with putting their own ideas forward, which may be uninteresting for everybody else. *Check* contribution levels. Were just a few people dominating the meeting with the others switched off? *Check* BRINGING IN to SHUTTING OUT levels. Were both behaviors very low? If so, no attempt was made to control participants' contributions, which easily leads to boring meandering.	

Interactive Skills Program

Section 8

MANAGING MEETINGS

Models for Explaining Behavior

MANAGING MEETINGS

Most of the previous materials have been, directly or indirectly, about meetings. This section is, therefore, largely a summary. It pays special attention to the *control function*, to the behaviors which are relevant for the person who holds the responsibility for running the meeting and for reaching a successful outcome.

CHAIRPERSONS AND MANAGERS

In most practical business situations, the person responsible for the meeting has two competing roles.

1. **The Chairperson — Role 1**

   The ideal chairperson is an impartial individual solely concerned with the efficient and fair conduct of the meeting. The perfect chairperson is interested not in the *content*, but in the *process* by which the meeting operates.

2. **The Manager — Role 2**

   In most real-life situations, the person chairing the meeting is either the most senior manager present or the person who has called the meeting. In either case, he or she usually has a considerable interest in the *content*, and is rarely, if ever, neutral.

These two roles are not easily compatible. Managers, for example, have continuous incentive to manipulate the *process* of the meeting in order to influence the *content*. They are no longer neutral and impartial chairpersons. Even if they make a determined attempt at impartiality, their attention to the balance of content and process issues may be difficult to maintain. If they neglect content, others at the meeting may feel suspicious, expecting them to be committed and to provide leadership on content issues. Their neutrality may, therefore, be counterproductive. Let's look more closely at these competing expectations.

CHAIRED MEETINGS

In order to understand how the wider skills of managing meetings differ from the narrower skills of chairing, it is useful to consider, as a starting point, the basic behaviors which are important to the chairperson's role.

RESEARCH STUDY: The behavior of chairpersons

Sample — Thirty-one chairpersons chosen as skilled by these three criteria:

   1. People rated their meetings as *fair* and *efficient*.

   2. They spent a significant percentage of their time in chairing meetings and had at least five years' experience as chairpersons.

3. Finally, the 47 candidates who had met these criteria were each assessed by independent judges during one or more meetings and rated against a checklist of chairing functions.

Outcome – Researchers found that the behavior of skilled chairpersons differed significantly from the behavior of other people in the meeting. In each category, differences appeared as follows:

Proposing

Chairpersons differed only slightly from other people in the meeting in their total *volume* of PROPOSING. However, the type of proposal was very different.

	PERCENT OF PROPOSING BEHAVIOR BY	
	CHAIRPERSONS	OTHERS
CONTENT PROPOSALS	1.8%	11.1%
PROCEDURAL PROPOSALS	9.6%	2.4%
TOTAL PROPOSING BEH'R	11.4%	13.5%

The skilled chairpersons avoided proposals concerning the *content* or issues of the meeting, but were very high on *procedural* proposals, such as, "I suggest we only spend 10 minutes on this issue," or, "I propose that we take item six on the agenda next."

Building

The chairpersons were slightly higher on BUILDING behavior than the group members.

Chairpersons tended to use a particular form of BUILDING which *integrated* points from the group, such as, "John has suggested that we need to reduce the workload in Accounts. Bob says he wants to use his spare computer capacity. Couldn't we make them both happy by putting some of the ledger accounts onto the computer?"

Supporting

Chairpersons used approximately one-third of the volume of SUPPORTING behavior used by other people in the meeting.

The chairperson's neutrality would predictably require relatively low SUPPORTING, so this is hardly a surprising result.

In general, the chairpersons were more likely to give support to *people* than to *issues*. For example, "Louise is right to bring this matter up."

Disagreeing

Chairpersons were low on DISAGREEING. Again, this is predictable as a consequence of the chairperson's neutrality.

Defending/Attacking

The meetings in this research study, partly because of the influence of skilled chairpersons, were rational and generally confined to the issues, avoiding personal attacks. As a result, DEFENDING/ATTACKING was low.

Testing Understanding

One of the most significant differences between chairpersons and members was the very high level of TESTING UNDERSTANDING: 15.2 percent in the chairpersons, compared with 3.1 percent from group members. TESTING UNDERSTANDING, like SUMMARIZING, allows a retrospective control of what has been said. It organizes and ties down previous points and people's understanding of them.

Summarizing

The difference here (11.5 percent for chairpersons, 0.7 percent for meeting members) is the greatest for any category. This emphasizes how strongly associated SUMMARIZING is with the role of the chairperson. This association is so strong that if another member of the meeting attempts to SUMMARIZE, it is frequently seen as a personal challenge to the chairperson's authority. As we shall see, the wider concept of *meeting manager* would allow this behavior to be delegated. The traditional chairperson's role cannot permit this to happen.

Seeking Information

Chairpersons were significantly higher in their use of SEEKING INFORMATION. This difference is again a predictable outcome of the chair role.

SEEKING INFORMATION is a behavior which combines *neutrality* (or apparent neutrality, at least) with the capacity to remain involved and active in the discussion.

Giving Information

The chairperson's low level of GIVING INFORMATION (21.7 percent against 39.4 percent) is another consequence of the neutrality of the traditional chairing role. Much of the GIVING from members was *opinion*, and chairpersons were low in this.

BEHAVIOR PROFILE OF CHAIRPERSONS AND NON-CHAIRPERSONS

	PERCENT OF BEHAVIOR BY	
CATEGORY	CHAIRPERSONS	OTHERS
CONTENT PROPOSALS	1.8%	11.1%
PROCEDURAL PROPOSALS	9.6%	2.4%
BUILDING	33.2%	2.0%
SUPPORTING	5.8%	15.5%
DISAGREEING	2.0%	8.4%
DEFENDING/ATTACKING	0.1%	1.1%
TESTING UNDERSTANDING	15.2%	3.1%
SUMMARIZING	11.5%	0.7%
SEEKING INFORMATION	29.1%	16.3%
GIVING INFORMATION	21.7%	39.4%

BRINGING IN and SHUTTING OUT were categories which showed wide differences in use by the chairpersons. A special study of these categories is discussed later in this section.

HOW TO USE THE CHAIRPERSON PROFILE

Sometimes the skills of chairpersons need to be assessed, either on-the-job for evaluation or during training programs, for giving potential chairpersons feedback on their performance. Also, occasions may arise when you yourself are required to chair a meeting. In such cases, the percentage profile derived from the research can be a useful guide to a chairperson's strengths. Among the questions which can be answered with this profile are:

1. Is the chairperson neutral or partisan?

    Partisan chairpersons will be *higher* than the profile on one or more of the following categories:

    CONTENT PROPOSALS
    SUPPORTING
    DISAGREEING
    DEFENDING/ATTACKING
    GIVING INFORMATION

2. Is the chairperson controlling the direction of the meeting?

    Chairpersons who fail to control the direction of the meeting will run meetings where time is wasted in irrelevancies, several issues are being discussed at once, or the balance

of attention between competing issues is uneven. They will normally be *lower* than the profile on:

<div align="center">

PROCEDURAL PROPOSALS
SEEKING INFORMATION

</div>

3.   **Is the chairperson controlling the clarity and structure of the meeting?**

Chairpersons whose meetings become fuzzy and unclear are usually *lower* than the profile on:

<div align="center">

TESTING UNDERSTANDING
SUMMARIZING

</div>

The use of BRINGING IN and SHUTTING OUT gives important information on whether the chairperson is controlling the *participation* of people in the meeting.

The chairperson high on SHUTTING OUT and low on BRINGING IN will be seen as controlling by *exclusion*, while the chairperson high on BRINGING IN and low on SHUTTING OUT will be seen as controlling by *involvement*.

BIAS IN MEETINGS

In real meeting situations, the picture is less simple. A strong perception of bias is related to the levels of BRINGING IN and SHUTTING OUT shown by the chairperson. The following case studies investigate the relationship between control of participation and perceptions of chairperson bias.

Case Study — IMAGINARY BIAS

Four chairpersons were chosen from a sample of 31. The researchers asked each of them to run a normal on-the-job business meeting. They gave each one a random number table and agreed that the chair would SHUT OUT each participant in the meeting three times, according to the sequence of random numbers. The meeting proceeded until each chairperson had completed his schedule of SHUTTING OUT. The chairperson then stopped the meeting and called in the researchers who had been waiting outside. The chairperson explained that the researchers had been studying effective meetings and asked each participant to fill in an anonymous questionnaire rating feelings about the meeting. The key questions were:

Q5. WAS THE CHAIRPERSON

COMPLETELY
UNBIASED
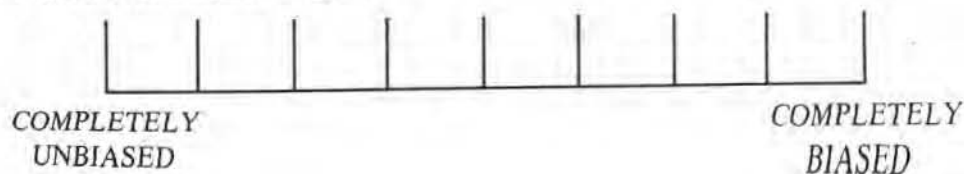
COMPLETELY
BIASED

Q6. IF YOU RATED THE CHAIRPERSON AS COMPLETELY UNBIASED,
GO ON TO Q7, OTHERWISE:

WAS THE CHAIRPERSON BIASED AGAINST

A) OTHER PEOPLE

STRONGLY   NOT AT ALL

B) YOU PERSONALLY

STRONGLY   NOT AT ALL

The researchers compared the results from these questionnaires with a control group from meetings where chairpersons had been asked to *avoid* SHUTTING OUT behavior. They found:

(a) High SHUTTING OUT chairpersons were perceived as significantly *more* biased (4.7 out of 7, compared with 2.8 in the control group).

(b) This bias was likely to be perceived as directed against the individual, not against other people in the meeting.

This corresponds with evidence from other meeting studies which suggests that people fail to notice when others are SHUT OUT, although when they are SHUT OUT themselves this is quickly perceived. An interesting exception to this is that people usually high on SHUTTING OUT behavior often fail to notice when they SHUT OUT or when others use this behavior toward them.

So we can conclude that even when chairpersons are genuinely unbiased, participants in the meeting are likely to

(a) see them as biased;

(b) see this bias to be directed against them personally.

Case Study – REAL BIAS GOES UNDETECTED

During these meeting studies, videotape was used to record the behavior of chairpersons and group leaders. There was some unusual behavior in chairpersons who were trying to influence the content of the meeting. When a speaker introduced an issue with which the chairperson privately disagreed, the chairperson no longer looked at the person talking but, instead, looked at other people in the meeting for signs of disagreement. The chairperson then used BRINGING

IN behavior to selectively involve these people. By so doing, without ever declaring a position, the chairperson was able to BRING IN people who supported the chair's own views.

This phenomenon was examined a little more formally in an organization in the oil industry. A group of very experienced chairpersons was selected and asked, confidentially, to specify in advance any issues likely to occur in the meeting which they would try to manipulate in a particular direction. These were called *loaded* issues. The chairpersons were also asked to specify any issues about which they felt genuinely neutral. During the meetings, the chairpersons' faces were recorded on close-up videotape so that the eye movements could be studied. It was found that:

FOR NEUTRAL ISSUES

a) Chairpersons looked at the speaker for over 70 percent of the talking time.

b) After the speaker had finished, chairpersons exerted little control over who spoke next. (Less than three percent of neutral speeches were followed by a BRINGING IN or SHUTTING OUT behavior from the chairperson.)

c) Participants perceived the chairperson as unbiased over these issues.

FOR LOADED ISSUES

a) Chairpersons looked at the speaker for less than 50 percent of his talking time.

b) After the speaker had finished, the chairperson was much more likely to attempt to control whoever participated next. Over 15 percent of *loaded* speeches were followed by BRINGING IN or SHUTTING OUT behavior from the chairperson. This substantial increase in participation control behavior was mostly accounted for by an increase in BRINGING IN, which rose from one percent to nine percent.

c) Most participants were unlikely to perceive the chairperson as biased, even over issues where to an outside observer he had clearly been manipulative, providing the chairperson had used a BRINGING IN and not a SHUTTING OUT strategy for achieving his ends.

MANAGING DIFFERENT MEETING SITUATIONS

THE MEETING MANAGER

Now, in contrast, consider the person responsible for the meeting as a *meeting manager*. Most of our concepts of the chairing function are derived from 19th century debating practice. A more productive way to consider the chairperson's role might be as a manager who is using the *resources* of the meeting to *achieve objectives*, and who monitors this process by the use of *controls*.

This concept opens up a number of interesting and flexible alternative methods for running meetings. The *meeting manager*, for example, can delegate some of the control functions, such as SUMMARIZING, to other members of the meeting. It would be most unusual for a chairperson to do this.

KEEPING THE BALANCE

In earlier sections, we have already seen how the efficiency of a meeting is affected by the balance of INITIATING, REACTING, and CLARIFYING behaviors. How does the meeting manager detect whether or not the meeting has an excess, or a deficiency, in these major areas? What does the manager do to change this balance if it appears to be inefficient?

The techniques here are relatively simple. The manager asks group members specifically for contributions from other behavioral classes and, where necessary, personally take the lead.

For example, take the case of a meeting *low* in CLARIFYING. The manager could correct this inbalance by:

(a) SEEKING INFORMATION which would bring out details of the proposals under discussion and encourage other group members to do the same.

(b) TESTING UNDERSTANDING and SUMMARIZING to ensure that the proper levels are achieved.

(c) BRINGING IN other group members and encouraging them to GIVE INFORMATION on the reasons for their INITIATING and REACTING behavior.

(d) SHUTTING OUT group members who attempted to overload the meeting with further INITIATING or REACTING behavior.

As in so many areas of behavior, the skills in managing meetings lie less in solving the problem than in defining it in the first place. Most meeting managers, once they have identified behavior classes which are excessive or insufficient for the purposes of the meeting, have little difficulty in correcting the balance.

MANAGING REACTIONS

The skillful meeting manager will control the amount of REACTING behavior in the group, not only in terms of its overall *quantity* but also in terms of *direction*.

QUANTITY OF REACTION

The meeting manager, in addition to maintaining the overall balance of REACTING behavior to INITIATING and CLARIFYING, must also be aware of the reactions of individuals within the group. In particular, the manager must look out for:

(a) **THE LOW REACTOR**   — and seek reaction from that person, being especially careful to recognize the Low Reactor correctly.

(b) **THE HIGH REACTOR** — and discourage that person from REACTING too soon. The easiest strategy for achieving this is to use BRINGING IN to invite reactions from other group members first. Unfortunately, the inexperienced meeting manager tends to do the very opposite, first BRINGING IN those people who are most anxious to react. This easily results in overreaction.

DEFENDING/ATTACKING

The skilled meeting manager controls the *type* and, therefore, the *direction*, of reaction. In particular, the manager tries to avoid an excess of DEFENDING/ATTACKING in the meeting. DEFENDING/ATTACKING behavior is usually preceded by early warning signs, such as tension in the group, which the skilled manager can detect. Many of these signs are non-verbal.

The most common verbal signal that DEFENDING/ATTACKING behavior is about to begin is the use of *irritators*. These are words which add nothing to the persuasiveness of an individual's arguments but which, intentionally or otherwise, serve to irritate other people in the meeting.

The following extract comes from the early part of a meeting just before DEFENDING/ATTACKING spirals began. Irritators are indicated in bold type.

CASE STUDY — IRRITATORS

Richard: I think we should move on to considering the objectives.

Alan: AT LAST we can get somewhere now.

Doris: Alan, WITH ALL DUE RESPECT, I think we've been getting quite a long way.

Alan: Well, I'm just glad that FINALLY you're prepared to settle these.

Doris: Alan, we've been very FAIR to you over this. I know time is pressing and we've BENT OVER BACKWARDS to be REASONABLE and to let you have your say.

Alan: OK, carry on over these terms IF YOU MUST, provided you've got something SENSIBLE to say.

Doris: Now just you look here...
(DEFEND/ATTACK spiral begins at this point.)

A skilled meeting manager would have detected from the *irritators* that tension was rising and that DEFENDING/ATTACKING was imminent. It could have been averted by:

● SHUTTING OUT the combatants.

● BRINGING IN others in the meeting.

- SEEKING INFORMATION and TESTING UNDERSTANDING from Alan and Doris in an attempt to clarify their differences.

- SUMMARIZING the alternatives faced by the group.

THE CLARIFYING ROLE

Probably the most significant contribution which the meeting manager makes is in CLARIFYING behavior. In particular, the manager controls the volume of TESTING UNDERSTANDING and SUMMARIZING so that there is enough of each to maintain clarity and prevent misunderstanding.

What should be done about a meeting where CLARIFYING is high and the other main classes of behavior are unusually low? The meeting manager here could increase the effectiveness of the meeting by:

(a) asking for specific *proposals*, such as, "So what are we going to do?" or "Is there any action to be taken about this?"

(b) having obtained proposals, asking for *reaction*; for example, "Does anybody object to that?" "Will you accept this?" or "How does that strike you?"

(c) BRINGING IN individuals who are reluctant to react and inviting SUPPORTING or DISAGREEING contributions from them.

Unlike the chairperson, the meeting manager is not compelled by role to TEST UNDERSTANDING and SUMMARIZE. The manager may delegate these behaviors to others in the group. This example, from the opening of a meeting of a research team, shows such delegation in action.

Fred: ...and since this is likely to be a complex issue, I think it would be useful to summarize the discussion every now and then, OK?

Mary: Yes, that's sensible.

Fred: Keith is probably the person who would do this best.

Keith: Again? I did it last time.

Mary: But you're good at it Keith.

Keith: Oh...all right then. Flattery will get you everywhere.

Fred: Mary, could you keep a particular lookout for whether we're getting our wires crossed? Make it your job to test understanding if you think there's any difference in interpretation or any confusion.

The meeting manager is also on the lookout for the most common inefficiency encountered by groups—the excessive wordiness associated with very high levels of GIVING INFORMATION.

Encouraging SEEKING INFORMATION, TESTING UNDERSTANDING and SUMMARIZING will reduce the volume of redundant information which besets many meetings. However, there are frequently individuals in the meeting who give long, tedious, and often irrelevant speeches. Such

people may be hard to deal with, particularly if they shut others out in order to speak, thus generating additional impatience.

Most managers, when an individual finally ends an interminable flow of INFORMATION GIVING, are so grateful that they pass quickly on to the next speaker. This is a poor tactic because the individual in question learns nothing from the experience and is likely to repeat the behavior at the next opportunity. A good, successful method for dealing with long and contentless speeches is

(a) to wait for the speech to end.

(b) to prevent other people from immediately responding to it.

(c) to invite the speaker to SUMMARIZE what they have said.

This technique normally results in a very significant drop in frequency and duration of long, rambling contributions to a meeting.

BRINGING IN AND SHUTTING OUT

The use of BRINGING IN and SHUTTING OUT as behaviors which control people's participation in a meeting provides the meeting manager with an essential control tool. By judicious use of these two tactics, the manager can greatly influence the outcome of a meeting. BRINGING IN and SHUTTING OUT are *process* behaviors.

BRINGING IN   —   A behavior which directly attempts to involve another individual or to increase the individual's opportunity to contribute to the discussion.

SHUTTING OUT   —   A behavior which excludes another individual or reduces the individual's opportunity to contribute to the discussion.

Unlike the INITIATING, REACTING, and CLARIFYING behaviors, BRINGING IN and SHUTTING OUT do not have *content*. They occur in conjunction with other behaviors.

For example, if persons use SHUTTING OUT behaviors, they normally do so in order to use one of the other categories as well. They do not just interrupt—they interrupt by PROPOSING, by DISAGREEING, or by GIVING INFORMATION.

Because of this, BRINGING IN and SHUTTING OUT are not recorded in isolation. They may or may not be present whatever the balance of the other categories.

LEVEL OF SHUTTING OUT

People rate meetings very high in SHUTTING OUT as:

● disorganized.

● active.

● showing lack of consideration.

Individuals high on SHUTTING OUT receive similar ratings.

The most common form of SHUTTING OUT is interrupting. It is most unusual, and probably undesirable, for participants in meetings to avoid SHUTTING OUT entirely. Meetings where SHUTTING OUT is absent are likely to take longer than is really necessary.
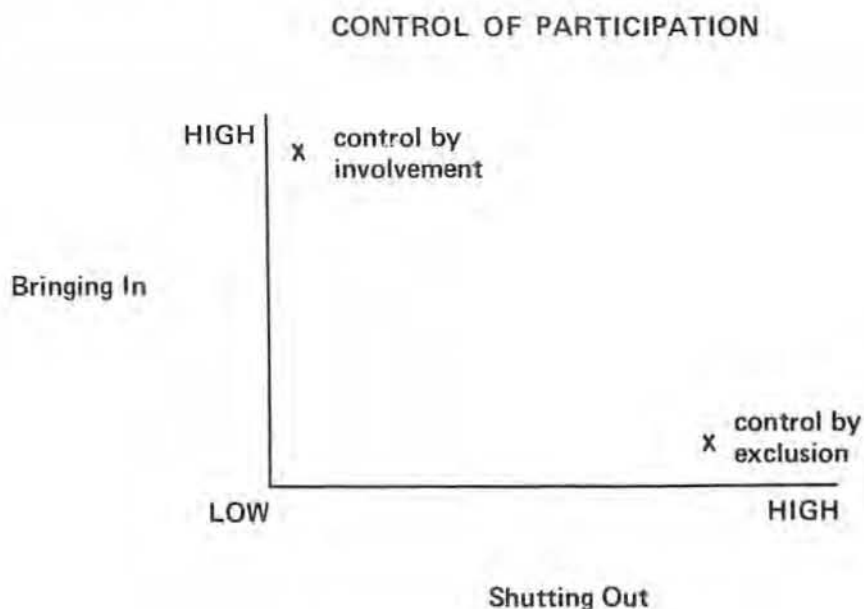
LEVEL OF BRINGING IN

People rate meetings high in BRINGING IN as:

- participative.
- evidencing interest in the views of others.
- evidencing consideration.

Individuals, and managers particularly, high on BRINGING IN are likely to receive favorable ratings from other participants in terms of their overall contribution to the progress and success of the meeting. Note that the opposite does not apply. Those high on SHUTTING OUT behavior do not necessarily receive unfavorable ratings.

A MODEL FOR BRINGING IN AND SHUTTING OUT

BRINGING IN and SHUTTING OUT have an element in common. They both control the participation of other individuals. SHUTTING OUT controls participation by excluding people and preventing them from making or completing their contributions. BRINGING IN controls by involving people who would not otherwise have made a contribution to the discussion. In each case, as a result of the behavior, the pattern of other people's participation has been altered.

CONTROL OF PARTICIPATION

Bringing In

HIGH   x control by
            involvement

                                x control by
                                   exclusion

LOW   HIGH

Shutting Out

WHEN TO USE BRINGING IN AND SHUTTING OUT

You will remember that Section Three of this Unit defined and discussed two kinds of meetings:

FILTER   —   characterized by more than four proposals to one building behavior;
MEETINGS

AMPLIFIER   —   characterized by fewer than two proposals to one building behavior.
MEETINGS

A high level of BRINGING IN is appropriate for meetings where:

1. The meeting is to be run as an Amplifier meeting. A high level of BRINGING IN encourages BUILDING, especially when it is done selectively.

2. The manager is the most senior person present. If a senior person is running a meeting and is using a high level of SHUTTING OUT (control by exclusion), then junior people become hesitant about making contributions to the discussion.

3. Participants are hesitant to contribute. Frequently, in meetings where participants do not know each other well, participants are reluctant to use INITIATING or RE-ACTING behavior. In extreme cases, they may be reluctant to use CLARIFYING behaviors, but this is rare. The use of BRINGING IN by a meeting manager is one of the simplest strategies to encourage INITIATING or REACTING contributions from hesitant people.

A high level of SHUTTING OUT is appropriate for meetings where:

1. The meeting is to be run as a Filter meeting. Because a Filter meeting is going through a *reduction* activity, time can be saved if SHUTTING OUT behavior is used to prevent such things as:

    •   the re-opening of lost causes, where attempts are made to bring up issues already decided.

    •   the repetition of unnecessary detail.

    •   extended declarations of alignment and support.

2. Tight time constraints exist. Although an *extremely* high level of SHUTTING OUT is counterproductive in almost all circumstances, a *moderately* high level can be useful where there are many issues to deal with in insufficient time.

3. Participants attempt to dominate. Often, SHUTTING OUT by the manager proves the simplest and most efficient way to prevent individuals from dominating the group's discussions.

MANAGING AMPLIFIER MEETINGS

Meetings with chairpersons are significantly more likely to be Filter meetings. Over three-quarters of the Filter meetings studied were led by chairpersons, but more than two-thirds of the Amplifier meetings were presided over by meeting managers. Apparently the traditional method

of chairing a meeting encourages independent proposals from the participants without giving sufficient encouragement to BUILDING behavior.

Obviously, if an Amplifier meeting is appropriate to the task, the skillful manager will attempt to direct a meeting in such a way that it becomes an Amplifier meeting, and still retain sufficient control and organization for efficiency. The crucial steps in accomplishing this objective are:

1. Choosing an issue where nobody has fixed preconceptions.

2. Discouraging pre-meeting preparation on the issue under discussion.

3. *Slowing the initial stages of the meeting by:*

    a. asking people, after the first *proposal*, to identify the things they liked about it;

    b. inviting BUILDING behavior from group members:

    c. not moving on until development of the existing proposal has been exhausted.

4. Throughout the meeting, when DISAGREEING occurs, inviting people to

    a. SUMMARIZE the parts they dislike or the inadequacy which they have detected in the proposal;

    b. BUILD on the proposal by developing it in such a way that the parts they dislike or the inadequacy is compensated for.

5. BRINGING IN those people who have contributed relatively little.

Again, note that this is a very different procedure for dealing with ideas than the traditional chairing method.

SIZE OF MEETING

The behaviors associated with effective meetings are dependent on meeting size. This applies also to the behavior of the meeting manager. A large meeting needs a very different degree of control than a small meeting.

A simple model of the relationship between meeting size and control is:
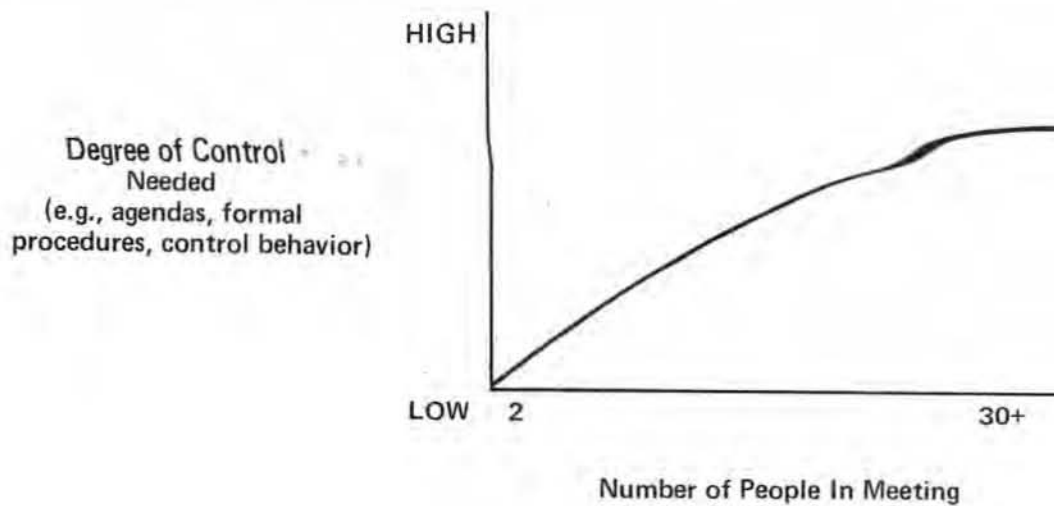
As the number of people grows, initially the need for control in a meeting grows too. However, after the meeting has reached a size of 20 people or more, the degree of control levels out.

CONTROL BEHAVIOR IN LARGE MEETINGS

For very large meetings, the *control behaviors* of BRINGING IN and SHUTTING OUT become essential for managing the meeting successfully. In a small group, people usually respect each other's right to speak; in a large group, this is less often the case. The manager must, therefore, control participation so that a small number of people are not allowed to dominate the proceedings disproportionately.
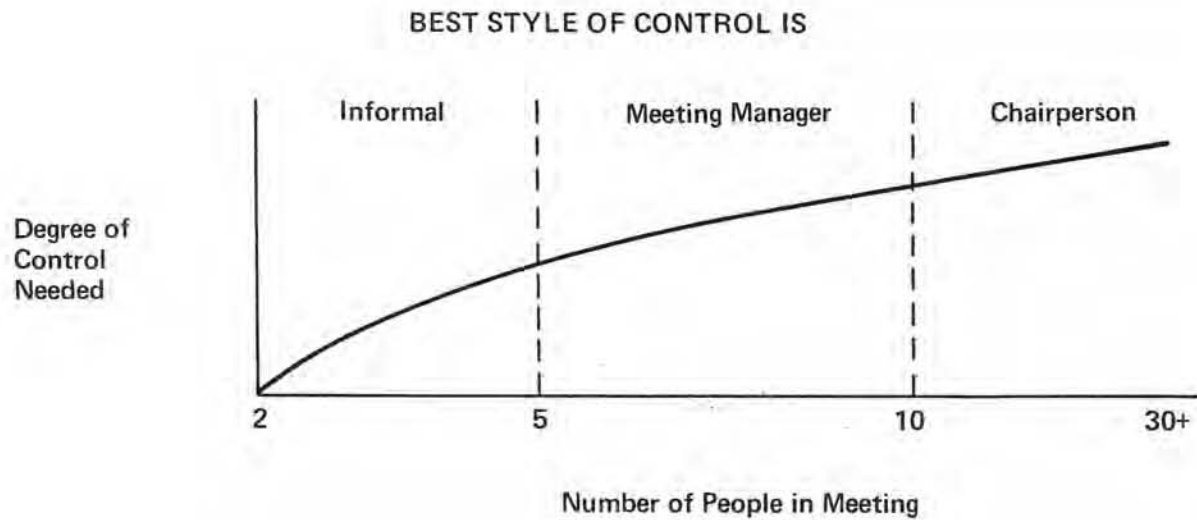
TESTING UNDERSTANDING and SUMMARIZING, which control clarity and prevent misunderstanding, are also dependent on meeting size. Because of the potentially greater disparity of views and the reduced opportunity to explore these in detail, large meetings require a higher level of TESTING UNDERSTANDING and SUMMARIZING to retain clarity of structure.

CHAIRPERSON OR MEETING MANAGER?

In large meetings of 10 people or more, the traditional chairing function constitutes an efficient procedure for managing the meeting.

In very small meetings of five or fewer people, relatively little control or management is needed unless conflict is present. Because of this, the traditional chairperson role seems heavy-handed and inefficient for these small meetings.

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In the intermediate range, between five and ten people, the degree of control needed makes it desirable for a meeting manager to be in charge.

BEST STYLE OF CONTROL IS

| Informal | Meeting Manager | Chairperson |

Degree of
Control
Needed

2   5   10   30+

Number of People in Meeting

It is in this middle range that the concept of a meeting manager is particularly attractive because of its combination of control with flexibility.