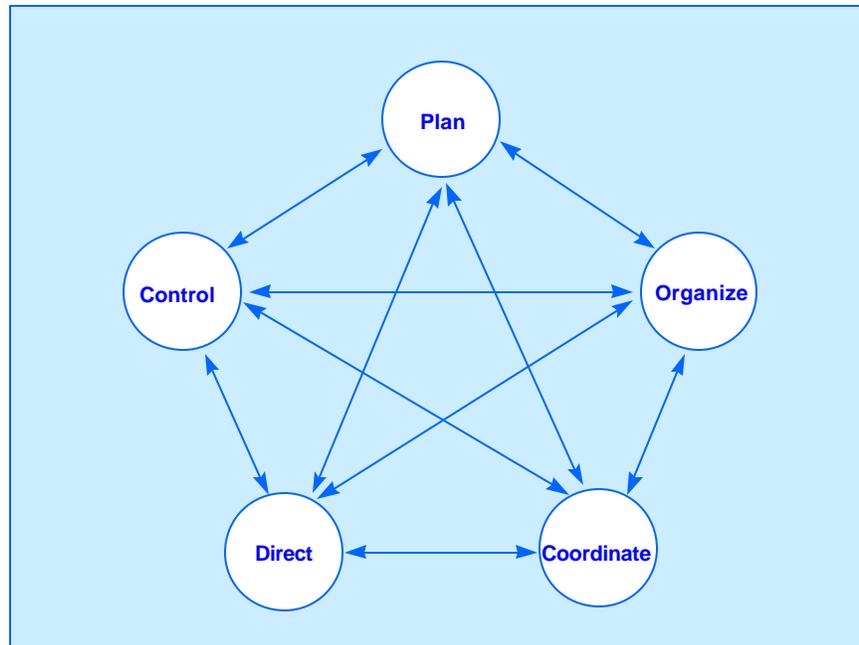


Managing and Leading



**Presented by The United States Army
Training and Doctrine Command**

Subcourse ST 5001, *Managing and Leading*

Student Assistance

Introduction

Student services counselors at the Army Institute for Professional Development (AIPD) and the author will respond promptly to *administrative* inquiries or those concerning subcourse *content*.

Administrative inquiries



Examples: Requests for

- enrollment extension.
- enrollment cancellation.
- reissue of subcourse materials.
- change of address, unit, rank.

Examples: Problems with

- examination response sheet.
- enrollment.
- social security number (SSN).
- retirement-year-ending (RYE) date.

Making an administrative inquiry

E-mail	Send inquiry to Team B: Address: teamb@atsc.army.mil
Telephone	DSN: 927-5715/2079 or 757-878-5715/2079
Mail	Use pre-addressed TRADOC Form 313 R to submit a written inquiry by mail. Form is found at the back of this text. Note: Form not available as a downloadable document.

Content related inquiries



Examples: Errors in lesson or exam:

- Doctrine.
- Procedure.
- Incorrect or obsolete references.
- Typo or grammatical errors.

Examples: Confusing information:

- Contradiction.
- Redundancy.
- Too much or too little information.
- Too simple or too difficult.

Making an inquiry about content

E-Mail	Send inquiry to Civilian Leader Training: Address: attgil@monroe.army.mil
Telephone	DSN: 680-5684/5655 or 757-728-5684/5655
FAX	FAX TRADOC Form <u>314</u> -R (found at the back of this text). DSN: 680-5690 or 757-728-5690
Mail	Use pre-addressed TRADOC Form <u>314</u> R to submit a written inquiry by mail. Form is found at the back of this text.

Note: Form not available as a downloadable document.

Subcourse ST 5001, *Managing and Leading*— Contents at a Glance

Front Matter

Student Assistance	Inside Front Cover
Subcourse Overview	x
Organization and Format	xii
Instructions	xiii

Module I—Management Principles and Techniques

Lesson 1—Introduction to Management	1-1
Lesson 2—Planning	2-1
Lesson 3—Organizing	3-1
Lesson 4—Coordinating	4-1
Lesson 5—Directing	5-1
Lesson 6—Controlling	6-1

Module II—Delegation

Lesson 7—Basic Concepts of Delegation	7-1
Lesson 8—Overcoming Barriers and Delegating Effectively	8-1

Module III—Personal Effectiveness

Lesson 9—Solving Problems and Making Decisions	9-1
Lesson 10—Managing Meetings and Creating Ideas	10-1
Lesson 11—Listening and Observing	11-1
Lesson 12—Ethics	12-1

Back Matter

Final Examination	FE-1
Student Administrative Inquiry Form (TRADOC Form 313 R)	Next to Last Page
Student Subcourse Content Inquiry Form (TRADOC Form 314 R)	Last Page

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Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents

Front Matter

Student Assistance.....	Inside Front Cover
Subcourse Overview.....	x
Organization and Format.....	xii
Instructions.....	xiii

Module I—Management Principles and Techniques

Lesson 1—Introduction to Management

Section A: Main Topics	
Overview.....	1-1
Systems Approach to Management.....	1-2
System Integrity.....	1-3
General Systems Theory: Additional Principles.....	1-4
Subsystems.....	1-5
The Five Functions of Management.....	1-7
Integration.....	1-8
Qualities and Skills for Managing.....	1-9
Section B: Back Matter	
Overview.....	1-10
Endnotes.....	1-10
Lesson Summary.....	1-11
End-of-Lesson Exercises.....	1-12
Answer Key and Feedback.....	1-14

Lesson 2—Planning

Section A: Main Topics	
Overview.....	2-1
Planning Concepts.....	2-2
Essential Elements.....	2-3
Task Analysis.....	2-4
Planning, Time, and Priorities.....	2-5
Planning Checklist.....	2-6
Gantt Chart.....	2-7
Section B: Back Matter	
Overview.....	2-8
Endnotes.....	2-8
Lesson Summary.....	2-9
End-of-Lesson-Exercises.....	2-11
Answer Key and Feedback.....	2-12

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module I—Management Principles and Techniques, Continued

Lesson 3—Organizing

Section A: Main Topics

Overview	3-1
The Organizing Function.....	3-2
Organizing Steps	3-3
Organizing Guidelines	3-4
Responsibility Chart.....	3-5
The Informal Organization.....	3-6
Efficiency and Effectiveness	3-7
Effectiveness—Its Importance	3-8
Getting Organized.....	3-9
Covey’s Seven Habits of Highly Effective People	3-10

Section B: Back Matter

Overview	3-11
Endnotes.....	3-11
Lesson Summary.....	3-12
End-of-Lesson-Exercises	3-13
Answer Key and Feedback.....	3-14

Lesson 4—Coordinating

Section A: Main Topics

Overview	4-1
The Coordinating Function.....	4-2
Establishing a Base	4-3
Information Management Processes.....	4-4
Informal Coordination.....	4-5
Formal Coordination	4-6
Initiative	4-7
Maintaining Control.....	4-8

Section B: Back Matter

Overview	4-9
Endnotes.....	4-9
Lesson Summary.....	4-10
End-of-Lesson-Exercises	4-11
Answer Key and Feedback.....	4-12

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module I—Management Principles and Techniques, Continued

Lesson 5—Directing

Section A: Main Topics

Overview	5-1
Managing and Leading.....	5-2
Managing and Leading at the Same Time	5-3
Confusion of Roles	5-4
Leading.....	5-5
Following	5-6
Situational Leadership.....	5-7
Guidance and Directions	5-8
Motivation and Work	5-10
Managing Your Boss.....	5-11

Section B: Back Matter

Overview	5-12
Lesson Summary.....	5-13
Endnotes.....	5-14
End-of-Lesson-Exercises	5-15
Answer Key and Feedback.....	5-16

Lesson 6—Controlling

Section A: Main Topics

Overview	6-1
The Control Function.....	6-2
Methods of Control.....	6-3
Early Warning Predictors.....	6-5
Personal Control	6-6
Control Phases.....	6-7
Management by Exception.....	6-8
Managing Suspense Dates	6-9

Section B: Back Matter

Overview	6-10
Endnotes.....	6-10
Lesson Summary.....	6-11
End-of-Lesson-Exercises	6-13
Answer Key and Feedback.....	6-14

Continued on next page

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module II—Delegation

Lesson 7—Basic Concepts of Delegation

Section A: Main Topics	
Overview	7-1
<i>Delegation of Authority</i> Defined.....	7-2
Balance.....	7-3
Misuse of Authority.....	7-4
Advantages of Delegation.....	7-5
Myths about Delegation.....	7-6
Section B: Back Matter	
Overview	7-7
Endnotes	7-7
Lesson Summary	7-8
End-of-Lesson Exercises.....	7-9
Answer Key and Feedback	7-10

Lesson 8—Overcoming Barriers and Delegating Effectively

Section A: How to overcome barriers	
Overview	8-1
Reluctance to Delegate	8-2
Symptoms of Poor Management	8-3
Misplaced Motivation	8-4
Evasive Tactics.....	8-5
Avoiding Reverse Delegation.....	8-6
Overcoming Resistance.....	8-7
Section B: How to delegate authority	
Overview	8-8
What to Delegate	8-9
What <i>Not</i> to Delegate	8-11
How to Delegate.....	8-12
Management Tools.....	8-13
Section C: Back Matter	
Overview	8-14
Endnotes	8-14
Lesson Summary	8-15
End-of-Lesson Exercises.....	8-17
Answer Key and Feedback	8-18

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module III—Personal Effectiveness

Lesson 9—Solving Problems and Making Decisions

Section A: Main Topics	
Overview	9-1
Problem-Solving Steps	9-2
Step 1: Define the Problem.....	9-3
Step 2: Gather Information.....	9-4
Step 3: Develop Alternatives.....	9-6
Step 4: Weigh Alternatives.....	9-8
Step 5: Select the Best Alternative	9-9
Step 6: Obtain Approval and Implement the Decision.....	9-9
Adaptive Decision Making.....	9-10
Problems, Decisions, and Managers	9-12
Gaining Power to Make Decisions.....	9-13
Section B: Back Matter	
Overview	9-14
Lesson Summary	9-15
Endnotes	9-17
End-of-Lesson Exercises.....	9-18
Answer Key and Feedback	9-20

Lesson 10—Managing Meetings and Creating Ideas

Section A: Managing Meetings	
Overview	10-1
Planning a Meeting.....	10-2
Preparing an Agenda.....	10-3
Opening a Meeting.....	10-4
Guiding Discussion.....	10-5
Getting People to Contribute	10-6
Controlling Disruptive Behavior	10-7
Concluding a Meeting.....	10-8
Interactive Meetings.....	10-10
Interactive Roles.....	10-11
Section B: Creating Ideas	
Overview	10-13
Brainstorming	10-14
Mind Mapping.....	10-15
Modified Delphi Technique	10-16

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module III—Personal Effectiveness, Continued

Lesson 10—Managing Meetings and Creating Ideas, Continued

Section C: Back Matter

Overview	10-17
Lesson Summary.....	10-17
Endnotes.....	10-19
End-of-Lesson-Exercises	10-21
Answer Key and Feedback.....	10-24

Lesson 11—Listening and Observing

Section A: Main Topics

Overview	11-1
The Grapevine.....	11-2
External Listening Barriers	11-3
Personal Listening Barriers.....	11-4
Overcoming Barriers	11-5
Active Listening.....	11-6
Overcoming Opposition.....	11-8
Body Language	11-9
Examples of Body Language.....	11-10
Bad News.....	11-11

Section B: Back Matter

Overview	11-13
Lesson Summary.....	11-14
Endnotes.....	11-15
End-of-Lesson Exercises.....	11-16
Answer Key and Feedback.....	11-18

Lesson 12—Ethics

Section A: Main Topics

Overview	12-1
Ethics.....	12-2
Values.....	12-3
Army Values	12-4
Ethical Responsibilities.....	12-5
Code of Ethics for Government Service	12-6
Threats to Core Values.....	12-7

Subcourse ST 5001, *Managing and Leading*— Detailed Table of Contents, Continued

Module III—Personal Effectiveness, Continued

Lesson 12—Ethics, Continued

Section A: Main Topics, Continued	
Protecting Core Values.....	12-8
Pressure to Produce Results	12-9
Ethical Decision Making	12-10
Standards of Conduct.....	12-12
Section B: Back Matter	
Overview	12-13
Lesson Summary.....	12-14
Endnotes.....	12-16
End-of-Lesson Exercises.....	12-17
Answer Key and Feedback.....	12-20

Back Matter

Final Examination	FE-1
Student Administrative Inquiry Form (TRADOC Form 313 R)	Next to Last Page
Student Subcourse Content Inquiry Form (TRADOC Form 314 R)	Last Page

Note: These forms are not available in the downloaded version of this subcourse.

Subcourse ST 5001, *Managing and Leading*— Subcourse Overview

Introduction This map provides general information about this subcourse.

Purpose To provide basic skills in managing work and leading people.

Edition/date Edition A, December 1998.

Supervisor Development Course (SDC) (131 F21) This subcourse is one of two comprising the *Supervisor Development Course* (SDC):

- Subcourse ST 5001, *Managing and Leading*.
- Subcourse ST 5002, *Human Resources Management*.

Note: These two subcourses replace SDC, ST 5000, which is now obsolete.

Requirement



To satisfy requirements for completion of the new SDC, you must complete both subcourses. Normally, both will be sent to you as a set when you enroll.

Exception: If you wish, you may enroll in a single subcourse, but you'll receive credit for that subcourse only.

Credit hours



The Army Institute for Professional Development (AIPD) awards 21 credit hours for successful completion of this subcourse. Credit hours awarded are based on estimated time it takes to complete requirements.

Credit hours are a basis for awarding military promotion and retirement points.

Proponent



Headquarters, US Army Training and Doctrine Command
Deputy Chief of Staff for Training
ATTN: ATTG-ILC
Fort Monroe, VA 23651-5000

Subcourse ST 5001, *Managing and Leading*— Subcourse Overview, Continued

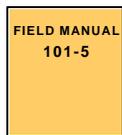
Target Audience



Mandatory Enrollment: AR 690-400, Chapter 410 requires new (first time) supervisors who supervise *DA civilian employees* to complete this subcourse and its companion, ST 5002, *Human Resources Management*. This includes military supervisors who have civilian subordinates.

Open Enrollment: However, this subcourse isn't limited to supervisors. It's open to any federal employee and military members of all services.

Doctrine



Content drawn from

- US Army and joint service doctrine.
 - formal and informal procedures used at major Army or joint commands.
 - sources cited at endnotes.
-

Exceptions



Here, we suggest techniques generally practiced throughout our Army and other institutions. However, some will argue, "That's not how we do it where I work."

Exceptions occur because organizations are shaped by their mission, functions, local customs, or the commander's personality. When in doubt follow official publications and SOP.

Copyright notice

The *Gantt Chart* appearing on page 2-7 and the statement, "Let's Get Rid of Management" on page 5-4 are copyrighted works. The copyright holders have granted us permission to use them in this text only. Any use beyond this text would require permission of the copyright holders.

Subcourse ST 5001, *Managing and Leading*— Organization and Format

Introduction This map explains how we've organized and formatted the text.

Modules This text consists of 12 lessons grouped into three modules. Modules contain lessons that are linked or reflect a common theme.

Module	Title	Lessons
I	Management Principles and Techniques	1 through 6
II	Delegation	7 and 8
III	Personal Effectiveness	9 through 12

Maps



To guide you on a clear learning path, we've used Information Mapping techniques and graphics to design a visually appealing and readable text:

- Lessons are formatted as *information maps*, with each treating a single topic.
 - In most cases map content doesn't exceed one page.
 - Map titles appear in bold print at the top of each page.
 - Definitions or other emphasized words are underlined or *italicized*.
 - Graphics serve as visual metaphors to reinforce learning.
-

Blocks



Maps contain *information blocks*.

- Chunks of information directly tied to the main topic.
 - Blocks have bold titles at the left margin of the page.
 - Horizontal lines (ceilings and floors) mark the top and bottom of each block.
-

Lesson content



Each lesson contains

- table of contents.
 - information maps.
 - summary.
 - endnotes or references.
 - self-graded exercises.
 - answer key with feedback.
-

Gender



For simplicity and ease of presentation, we use masculine genders of singular pronouns to refer to both sexes.

Likewise, graphic illustrations are generic. We use them to promote interest and aid comprehension for visual learners.

Subcourse ST 5001, *Managing and Leading*— Instructions

Introduction This map provides instructions and study tips.

Objective Terminal learning objective (action, condition, and standard):

Action 	You'll use techniques to enable you to <ul style="list-style-type: none"> • manage work. • lead people. • increase personal effectiveness.
Condition 	You'll use this text, which contains explanations, examples, and self-graded exercises. You may seek assistance from your supervisor and staff experts.
Standard	To earn credit you must score at least 70 percent on the final exam.

Instructions Please follow instructions outlined below:

Lessons & exercises	This text contains 12 lessons with self-graded exercises. To gain maximum benefit, study all lessons and complete the exercises.
Endnotes and other references	This text contains all the information needed to complete the exercises and final examination. Use sources cited at endnotes and references for further study.

Study tips To get the most from the text, follow these tips:

Step	Action
1	Scan the table of contents to familiarize yourself with the text.
2	Start each lesson by reviewing its objectives and table of contents.
3	Read the lesson summary.
4	Study the entire lesson.
5	Review appendices when lessons refer to them.
6	Work the exercises and check your answers.

Recognition Soldiers and DA civilians:



Use your training accomplishment to gain recognition. List the Supervisor Development Course as a performance objective on your support form. After completing it, remind your boss to note it on your evaluation report.

Reminder



Reminder for DA civilians:

After receiving your certificate of completion, contact your training coordinator for procedures on documenting your training and having it credited to your records.

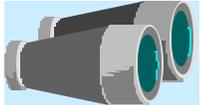
Module I—Management Principles and Techniques

Overview

Introduction

This maxp provides an overview of the six lessons in this module.

Scope



This module contains six interrelated lessons. Lesson 1 explains how to apply basic organizational and management principles to your work.

The remaining five lessons explain the five functions of management in detail.

In this module

This module contains six lessons:

Lesson #	Title	See Page
1	Introduction to Management	1-1
2	Planning	2-1
3	Organizing	3-1
4	Coordinating	4-1
5	Directing	5-1
6	Controlling	6-1

Module I—Management Principles and Techniques

Lesson 1—Introduction to Management

Overview

Introduction

This lesson explains how to apply basic organizational and management principles to your work.

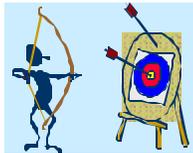
Rationale



Supervisors work in complex organizations and play several roles. They interact with managers and leaders at all levels.

They must know how organizations function and what supervisors, managers, and leaders do.

Objectives



- Describe a system and its parts.
- Identify criteria required for an organization's survival.
- Identify six subsystems existing within an organizational system.
- Define *management* and its five functions.
- Explain why management functions must be integrated.
- Describe qualities and skills required for effective management.

In this lesson

This lesson contains two sections, as shown below:

Section A:

Main topics

Topic	See Page
Systems Approach to Management	1-2
System Integrity	1-3
General Systems Theory: Additional Principles	1-4
Subsystems	1-5
The Five Functions of Management	1-7
Integration	1-8
Qualities and Skills for Managing	1-9

Section B:

Back matter

Topic	See Page
Overview	1-10
Endnotes	1-10
Lesson Summary	1-11
End-of-Lesson Exercises	1-12
Answer Key and Feedback	1-14

Systems Approach to Management

Introduction This map describes a system and its parts.

Definition



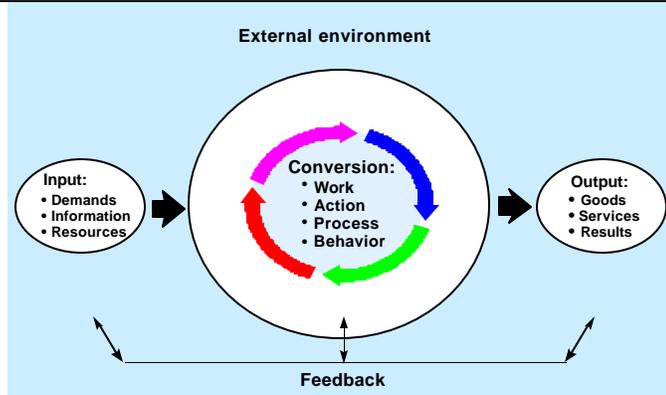
The systems approach is the application of General Systems Theory to explain how organizations operate. This approach views an organization as a group of interrelated parts brought together for a common purpose.

Parts



This model depicts a system's parts:

- Environment.
- Input.
- Conversion.
- Output.
- Feedback.



Description

This table describes a system's parts:

Part	Description
Environment	The setting in which a system exists; it gives inputs to the system, uses its outputs, and imposes constraints. The environment has two facets: <u>External environment</u> : Outside influences such as higher headquarters, society, or economic system. <u>Task environment</u> : A subset of the larger environment—the internal setting, such as working conditions.
Input	Energy that flows from the environment to the system: <ul style="list-style-type: none"> • Demands from customers or outsiders. • Information, including feedback. • Resources enabling the system to produce outputs.
Conversion	Processes to transform inputs into outputs.
Output	Products resulting from inputs and conversion.
Feedback	Timely information needed to <ul style="list-style-type: none"> • respond to the environment's demands. • adjust conversion processes. • maintain equilibrium. • produce desired outputs.¹

System Integrity

Introduction

This map explains how a system must operate to ensure its survival.

Linkages



Each part of the system must link:

- Activities in one part affect all other parts.
 - If we examine one part, it must be in the context of all the other parts.
 - No one part can function in isolation, nor can we treat it separately.
-

Integrity



To maintain its integrity and thrive, a system must meet these criteria:

- A worthy purpose.
 - Demand for its products.
 - Access to resources.
 - Efficient processes.
 - Timely feedback.
 - Acceptance of its products.
-

Disintegration



If a system produces outputs the environment wants and accepts, it should thrive. If it doesn't, it may survive for a time. But it will stagnate and eventually die, even if it has a worthy purpose, adequate resources, and efficient operations.

Example



For decades, American auto makers didn't fully consider pressures from their environment. They ignored foreign competition and impact of the energy crisis. They marketed cars without really knowing what customers wanted, nor did they attempt to find out. Customers then turned to the better quality and designs of foreign-made cars.

Finally, American auto makers examined their environment, studied the competition, and listened to customers. They started to make quality cars that withstood competition and lured customers back to their showrooms.

Advantages



A systems approach helps you

- distinguish between symptoms and causes of problems.
 - know which parts of the system your task involves.
 - coordinate with the right people.
 - apply efforts where they count most.
 - realize the impact of your actions on the organization.
 - make best use of time and other resources.
 - keep focused on customers' demands and quality of outputs.
-

General Systems Theory: Additional Principles

Introduction

This map highlights additional principles from General Systems Theory and other schools of management thought that apply to system processes.

Synergy

The whole is greater than the sum of its parts.

$$1+1=3$$

Example: People working as a team achieve more than they do working separately.

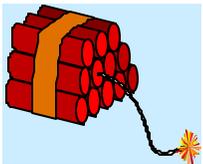
Flexibility



Since there's usually more than one way to do something well, we need not waste effort seeking *the one best way*.

Remember, perfect is the enemy of good.

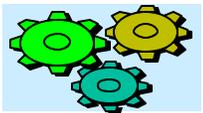
Contingency



The situation determines what works best. Something that works in one situation will fail in another because of time, place, or circumstance.

Note: This principle has an exception. It doesn't apply to decisions with ethical implications. Were we to apply it to these situations, it could threaten ethical values in the name of practicality.

Efficiency



Doing things right:

- The first time.
 - With minimum errors and waste.
 - In a timely manner.
-

Effectiveness

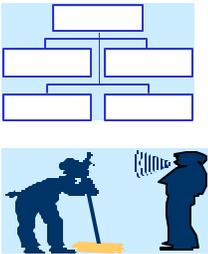
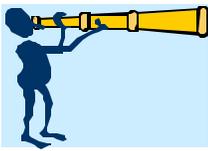


Doing the right things: Focusing on key goals and priorities to accomplish the mission.²

Note: Efficiency and effectiveness are interdependent, but effectiveness is more important. While we should strive to do things right, we must ensure they're the right things to do.

Subsystems

Introduction This map describes the six subsystems existing within an organizational system:

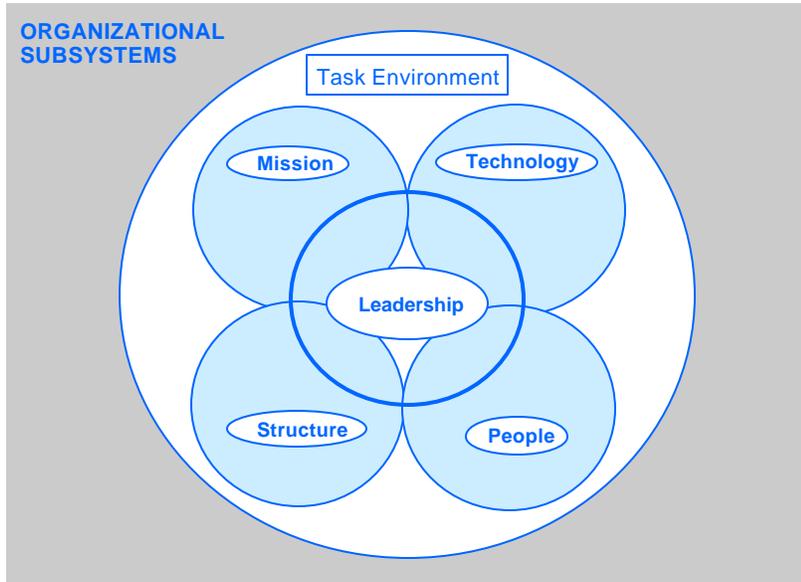
Subsystem	Description
<p>Mission</p> 	<p>A mission gives an organization a basis for defining</p> <ul style="list-style-type: none"> • goals, objectives, and tasks. • structure. • standards.
<p>People</p> 	<p>People make things work by playing various roles as</p> <ul style="list-style-type: none"> • leaders and followers. • team members. • stake holders and customers.
<p>Structure</p> 	<p>Organizations have both formal and informal structures.</p> <p><u>Formal structure</u>: An organization's deliberate and official formation—what you see on an organizational chart. It formally defines division of labor and authority relationships.</p> <p><u>Informal structure</u>: An organization's unofficial formation—can't see it on an organizational chart. It's the sum of informal relationships existing within the formal structure.</p>
<p>Technology</p> 	<p>Physical assets enabling an organization to function, such as</p> <ul style="list-style-type: none"> • equipment and tools. • facilities. • skills. • information systems.
<p>Leadership</p> 	<p>Leaders bind the subsystems together and sustain it with</p> <ul style="list-style-type: none"> • clear vision. • shared values. • high standards. • inspirational leadership.
<p>Task environment</p> 	<p>The immediate setting affecting an organization, such as</p> <ul style="list-style-type: none"> • working conditions. • policies and rules. • ethical climate. • pressures from the community. <p>The task environment also links to larger influences of the external environment, such as</p> <ul style="list-style-type: none"> • American society. • private industry. • the global economy.

Continued on next page

Subsystems, Continued

Illustration

This graphic illustrates the six subsystems just described.



The Five Functions of Management

Introduction This map defines management and its five functions.

Definition



Management is the process of performing and integrating these five functions:

- Planning.
- Organizing.
- Coordinating.
- Directing.
- Controlling.

Henri Fayol, early pioneer in management theory, defined these terms in 1914. This definition still forms the basis of modern management thought.³

Rationale



Whenever we bring people, resources, and events together for a common purpose, management plays a part. We use its functions to create organizations and achieve goals in an orderly way.

A scout leader, church deacon, or the CEO of General Motors are all managers. Each performs management functions like organizing or coordinating.

Definitions of functions

We define the five management functions with these questions:

Function	Question
Planning 	Who, what, where, when, why, and how will we proceed? <u>Note.</u> To encourage initiative and flexibility, planners often leave the <i>how</i> to those carrying out the plan.
Organizing 	<ul style="list-style-type: none"> • Who is involved and how? • Who needs resources and when? • What are the relationships among people, places, things?
Coordinating 	Who <ul style="list-style-type: none"> • informs whom about what? • integrates details and events? • ensures coherent action?
Directing 	Who <ul style="list-style-type: none"> • takes charge? • leads? • inspires?
Controlling 	Who <ul style="list-style-type: none"> • monitors events? • fixes things when they go wrong? • judges results?

Integration

Introduction

This map explains why the five functions of management must work together, if they're to work at all.

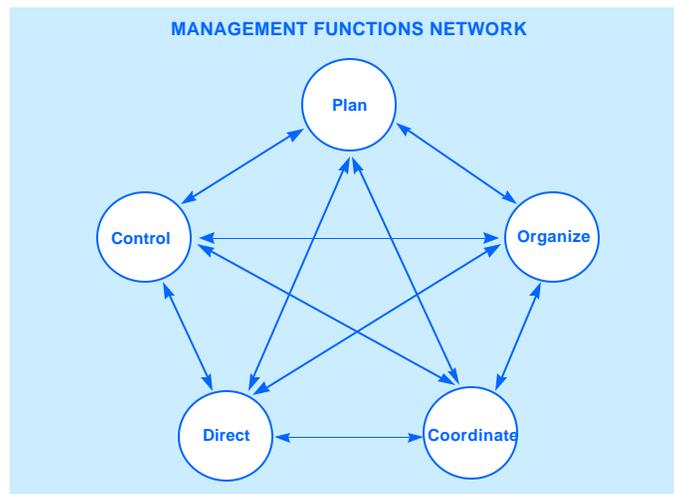
Characteristics

This table describes the characteristics of the five management functions in terms of what they are and what they are not.

Management functions are <u>not</u>	Management functions are
separate and distinct.	interdependent and overlapping.
always applied in sequence.	applied in no fixed order.
meant to operate in isolation.	meant to operate in concert.

Integrated network

This graphic depicts the five management functions working in concert in an integrated network.



Necessity

If all five functions fail to work in harmony, you'll fail to achieve desired results.



Examples:

- Unless vigorously carried out, a well-written plan will fail.
- Without structure and relationships, coordination is impossible.
- If no one follows up, clear directions don't count.

Qualities and Skills for Managing

Introduction This map outlines those qualities and skills required to manage effectively.

Personal qualities Among other things, those who want to lead people and manage events must bring with them a set of qualities that can't always be taught but can be acquired:

Quality	Description
Will	Desire to make a difference, influence others, and gain satisfaction from doing so. In sum, the "will to manage." ⁴
Power	Healthy desire for power. Enjoy it but don't abuse it.
Empathy	Able to understand feelings and roles of others.

Skills Managers at all levels need three types of skills:

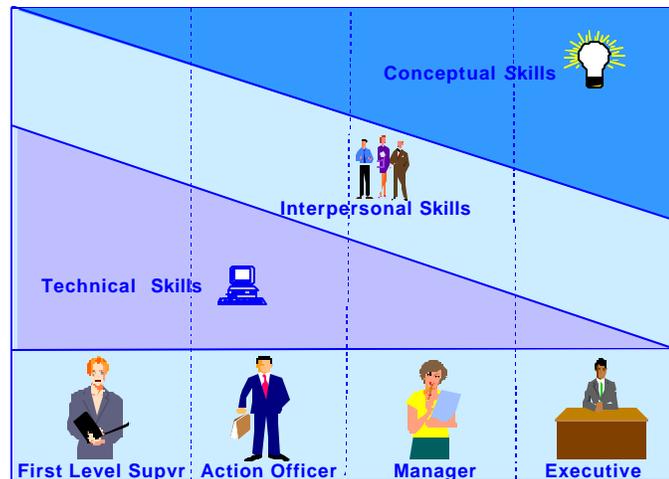
Skill	Description
Technical	Use techniques, knowledge, or expertise.
Interpersonal	Get people to cooperate singly or in groups.
Conceptual	Grasp ambiguous problems and provide purpose.

Skill mix



Managers at all levels apply these three skills but in varying degrees.

From this graphic we can infer that the need for technical and conceptual skills vary among management levels, but the need for interpersonal skills remains constant.⁵



Implications



Most managers are technically competent—that's probably why they were hired.

However, we suspect when managers fail, it's not for lack of technical or conceptual skills but for the inability to get along with people.⁶

Gaining skill



Besides gaining these skills through study and experience, the best way to become an effective manager is to watch and work with good managers.⁷

Section B—Back Matter

Overview

Introduction

This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	1-10
Lesson Summary	1-11
End-of-Lesson-Exercises	1-12
Answer Key and Feedback	1-14

Endnotes

Introduction To write this lesson we drew from these sources:

¹*Army Command and Management: Theory and Practice*, 19th ed. (Carlisle Barracks, PA: US Army War College, June 1994) Chapters 2 and 3.

²Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, 1974) 45-46.

³Henri Fayol, *General and Industrial Management*, trans. Constance Storrs, (New York: Pitman, 1949) 5-6, 43-110.

⁴Sterling Livingston, "Myth of the Well Educated Manager," *Harvard Business Review* 48 (1971) 85.

⁵Robert L. Katz, "Skills of an Effective Administrator," *Harvard Business Review* 52 (1974) 90-102.

⁶George S. Odiorne, *The Human Side of Management: Management by Integration and Self-Control* (Lexington MA: Heath, 1984) 21.

⁷James A.F. Stoner and R. Edward Freeman, *Management*, 4th ed. (Englewood Cliffs, NJ: Prentice-Hall, 1989) 25.

Lesson Summary

Key points		This table summarizes key points of lesson maps or information blocks:			
Topic	Summary		Page		
Objectives	<ul style="list-style-type: none"> • Describe a system and its parts. • Identify criteria required for an organization's survival. • Identify six subsystems existing within an organizational system. • Define <i>management</i> and its five functions. • Explain why management functions must be integrated. • Describe qualities and skills required for effective management. 				
Systems approach to management	<p>A system is a group of interrelated parts brought together for a purpose. Actions in one part affect all others. Parts:</p> <ul style="list-style-type: none"> • Environment. • Input. • Conversion. • Output. • Feedback. 		1-2		
System integrity	<p>To survive, a system must have</p> <ul style="list-style-type: none"> • a worthy purpose. • demand for its products. • access to resources. • efficient processes. • timely feedback. • acceptance of its products. 		1-3		
Additional principles	<ul style="list-style-type: none"> • Synergy—whole is greater than the sum of its parts. • Flexibility—do a job well; don't waste time seeking <i>one best way</i>. • Contingency—situation determines what works best. • Efficiency—doing things right. • Effectiveness—doing the right things. 		1-4		
Subsystems	<ul style="list-style-type: none"> • Mission. • People. • Structures. • Technology. • Leadership. • Task environment. 		1-5 and 1-6		
The five functions of management	<ul style="list-style-type: none"> • Planning. • Organizing. • Coordinating. • Directing. • Controlling. 		1-7		
Integration	<p>All five management functions must work together in an integrated network. If they don't, desired results won't be forthcoming.</p>		1-8		
Qualities and skills for managing	<p>Managers must have certain personal qualities and skills. They apply skills in varying degrees, according to their position and level of responsibility.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><u>Quality:</u></p> <ul style="list-style-type: none"> • Will. • Power. • Empathy. </td> <td style="width: 50%; vertical-align: top;"> <p><u>Type of Skills:</u></p> <ul style="list-style-type: none"> • Technical. • Interpersonal. • Conceptual. </td> </tr> </table>		<p><u>Quality:</u></p> <ul style="list-style-type: none"> • Will. • Power. • Empathy. 	<p><u>Type of Skills:</u></p> <ul style="list-style-type: none"> • Technical. • Interpersonal. • Conceptual. 	1-9
<p><u>Quality:</u></p> <ul style="list-style-type: none"> • Will. • Power. • Empathy. 	<p><u>Type of Skills:</u></p> <ul style="list-style-type: none"> • Technical. • Interpersonal. • Conceptual. 				

Lesson 1—End-of-Lesson Exercises

Instructions Select best answer or answers.

List three types of input the environment provides to the system.

1.
 - a. Results.
 - b. Demands.
 - c. Information.
 - d. Resources.
-

2. Please read the scenario and answer the question below.

For decades, American auto makers didn't fully consider pressures from their environment. They ignored foreign competition and impact of the energy crisis. They marketed cars without really knowing what customers wanted nor attempting to find out. Customers then turned to the better quality and designs of foreign-made cars.

Finally, American auto makers examined their environment, studied the competition, and listened to customers. They started to make quality cars that withstood competition and lured customers back to their showrooms.

Which three parts of the system did American auto makers fail to consider?

- a. Environment—foreign competition and energy crisis.
 - b. Input—demands of customers.
 - c. Conversion.
 - d. Output.
 - e. Feedback—failure to listen to customers.
-
3. Your boss asked you to recommend a solution to a problem. You arrived at three equally feasible alternatives. Which management principle should you follow?
 - a. Synergy.
 - b. Efficiency.
 - c. Flexibility.
 - d. Effectiveness.
-

Continued on next page

Lesson 1—End-of-Lesson Exercises, Continued

Which is a part of an organizational subsystem?

4.
 - a. Customers.
 - b. Task environment.
 - c. External environment.
 - d. The global economy.
-

You wrote a good plan but couldn't implement it because those affected knew nothing about it and

5. strenuously objected. Which management function did you overlook?
 - a. Planning.
 - b. Organizing.
 - c. Coordinating.
 - d. Controlling.
-

The five functions of management

6.
 - a. are separate and distinct.
 - b. always operate in sequence.
 - c. are intended to operate in isolation.
 - d. are linked in a unified network.
-

7. Which statement is false?

- a. Need for interpersonal skills remains constant at all levels of management.
 - b. Senior executives use mainly conceptual skills.
 - c. Supervisors use mainly technical skills.
 - d. As managers move up the ladder, their need for interpersonal skills diminishes.
-

Lesson 1—Answer Key and Feedback

Instructions Correct choices are highlighted.

List three types of input the environment provides to the system.

1. a. Results.
- b. Demands.**
- c. Information.**
- d. Resources.**

*Demands, information, and resources are inputs from the environment. Choice **a** is incorrect because results are a form of output.* (Page 1-2)

Please read the scenario and answer the question below.

2.

For decades, American auto makers didn't fully consider pressures from their environment. They ignored foreign competition and impact of the energy crisis. They marketed cars without really knowing what customers wanted nor attempting to find out. Customers then turned to the better quality and designs of foreign-made cars.

Finally, American auto makers examined their environment, studied the competition, and listened to customers. They started to make quality cars that withstood competition and lured customers back to their showrooms.

Which three parts of the system did American auto makers fail to consider?

- a. Environment—foreign competition and energy crisis.**
 - b. Input—demands of customers.**
 - c. Conversion.
 - d. Output.
 - e. Feedback—failure to listen to customers.** (Page 1-3)
-

3. Your boss asked you to recommend a solution to a problem. You arrived at three equally feasible alternatives. Which management principle should you follow?

- a. Synergy.
- b. Efficiency.
- c. Flexibility.**
- d. Effectiveness.

If all alternatives are equally feasible, don't waste time striving to find the one best way. Pick an alternative and recommend it to your boss. (Page 1-4)

Continued on next page

Lesson 1—Answer Key and Feedback, Continued

4. Which is a part of an organizational subsystem?
- a. Customers.
 - b. Task environment.**
 - c. External environment.
 - d. The global economy.

(Page 1-5)

5. You wrote a good plan but couldn't implement it because those affected knew nothing about it and strenuously objected. Which management function did you overlook?
- a. Planning.
 - b. Organizing.
 - c. Coordinating.**
 - d. Controlling.

You failed to coordinate. (Page 1-7)

6. The five functions of management
- a. are separate and distinct.
 - b. always operate in sequence.
 - c. are intended to operate in isolation.
 - d. are linked in a unified network.**

(Page 1-8)

7. Which statement is false?
- a. Need for interpersonal skills remains constant at all levels of management.
 - b. Senior executives use mainly conceptual skills.
 - c. Supervisors use mainly technical skills.
 - d. As managers move up the ladder, their need for interpersonal skills diminishes.**

(Page 1-9)

Module I - Management Principles and Techniques

Lesson 2 - Planning

Overview

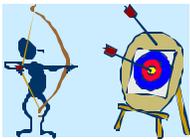
Introduction This lesson describes a few simple ways to plan effectively.¹

Rationale



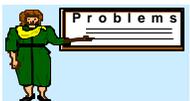
Those who lead people and manage events have no alternative but to plan. Supervisors caught up in daily routine complain they don't have time to plan. The irony is, if they set priorities and planned regularly, they would avoid many of the problems claiming their time.

Objectives



- Define fundamental planning concepts.
- Identify essential elements of a plan.
- Explain why task analysis is essential to planning success.
- Integrate time and priorities into planning efforts.
- Use a Gantt Chart to plan and control work.

Tip



Problem solving and decision making are an essential part of the planning process. To get the most from this lesson, study it in conjunction with Lesson 9, *Solving Problems and Making Decisions*.

In this lesson This lesson contains two sections, as shown below:

Section A: Main topics

Topic	See Page
Planning Concepts	2-2
Essential Elements	2-3
Task Analysis	2-4
Planning, Time, and Priorities	2-5
Planning Checklist	2-6
Gantt Chart	2-7

Section B: Back matter

Topic	See Page
Overview	2-8
Endnotes	2-8
Lesson Summary	2-9
End-of-Lesson-Exercises	2-11
Answer Key and Feedback	2-12

Planning Concepts

Introduction

This map describes fundamental planning concepts.

Definition



Planning is the initiating function in management. It's the means to set purpose, provide direction, and prescribe a method of execution.

Questions



When something must be done, the planning function answers these questions:

- *Who?*
 - *When?*
 - *What?*
 - *Why?*
 - *Where?*
 - *How?*
-

How?



To promote initiative and innovation, the plan should emphasize *what* rather than *how*. But this requires a balanced approach: vagueness causes confusion, while excessive detail stifles initiative. The plan should contain enough detail so people can act with clear intent.

Advantages



A well-crafted plan

- makes actions easier to defend.
 - frees time to work on priorities.
 - discloses unforeseen problems.
 - buys time to react if things go wrong or changes occur.
 - lessens need for direct supervision.
 - promotes teamwork, if you involve others in the process.
-

Teamwork



Involving others in your planning efforts

- gives team members a clearer picture of their place in the organization.
 - improves communications.
 - unleashes motivation.
 - builds cohesion.
-

Action



A plan signifies an intent to act. But until executed, it simply remains as a good intention. Inaction or timid execution will negate a well-laid plan.

Example: General George B. McClellan, a brilliant planner, repeatedly failed to bring victory to the Union forces. His obsession with “getting ready” and the consequent delay robbed him of his will to execute and prolonged the Civil War.

Essential Elements

Introduction
Worksheet

This map outlines essential elements that comprise a plan.
Use this simple worksheet to guide you in your planning efforts. Notice that the planning function embodies the other four functions of management.

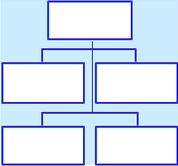
Objective



Stated in measurable terms, to include target date and standards.

Example: Reduce vacancy turn-around time five days, by end of quarter, within budget.

Organization



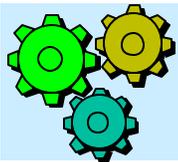
Tasks.
People.
Relationships.
Responsibilities.
Resource allocation.

Execution



Authority relationships.
Sequence of actions.
Directives or instructions.

Coordination



Information sharing.
Communication links.
Roles of outside players.

Control



Reporting requirements.
Feedback mechanisms.
Deadlines.
Evaluation procedures.

Task Analysis

Introduction

This map explains why task analysis is essential to planning success.

Rationale

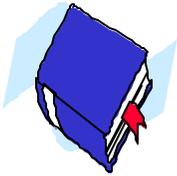


Task analysis is necessary to determine the precise number and types of tasks that comprise the overall task—the objective. Then you can determine time and other planning requirements.

If you attack the task head on without thoroughly analyzing it, you risk

- doing the wrong thing and having it rejected.
 - asking for more time because you must start over.
-

Definitions



This table defines two categories of tasks involved in the planning process:

Specified tasks	Implied tasks
Clearly stipulated tasks announced in directives or assigned by your boss. <u>Ex:</u> Conduct a decision briefing.	Tasks not explicitly stated but derived from specified tasks and necessary for their completion. <u>Ex:</u> Prepare briefing slides.

Essential tasks

Essential tasks are the combined total of *specified* and *implied* tasks that are absolutely necessary in achieving the objective.

Advantages



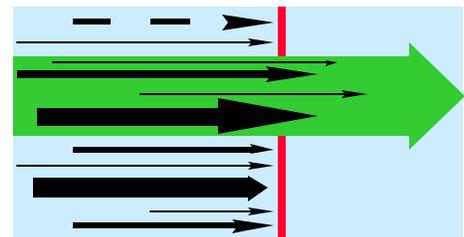
Task analysis helps one

- gain insight on the full dimensions of the overall task.
 - identify resources required and ask for them in time.
 - determine time needed to cover all essential tasks.
 - identify changing relationships or new players who become involved.
 - discover emerging or previously unknown problems.
 - uncover important considerations you may have initially overlooked.
 - adjust normal task organization to unique task requirements.
-

Priority

Analyze tasks to identify those that are

- essential and should be given maximum priority.
- non essential and should be given minimum priority.



Planning, Time, and Priorities

Introduction

This map explains how to integrate time and priorities into planning efforts.

Time management



In most cases, *time* is the governing factor and primary constraint in planning.

- Remember Murphy's Law—there's never enough time to do everything, and everything takes longer than expected.
 - Allow a fair margin of time to cover unexpected delays.
 - If you need more time, ask for it.
 - When time is short, accept less than optimum products. Don't squander time trying to make something good into something perfect.
-

Sharing time



The more time you spend planning, the less time people have to react and plan their own actions.

Allot one-third of available planning time for yourself and two-thirds to people at the next level down. This gives them time to react.

Planning and time

To allocate time when making a plan, follow these steps.

Step	Action
1	Clarify the requirement—the objective or task.
2	Determine how much time is available to achieve the objective.
3	Identify specified and implied tasks necessary to reach the objective.
4	Arrange tasks by priority and sequence.
5	Estimate time required to complete each task.
6	Schedule the tasks to fit the time allotted.

Daily plan

To put time to best use, make a daily plan that focuses on priorities.

Step	Action
1	Make a list of tasks to accomplish that day.
2	Assign each task a priority: <i>Must do</i> —essential (mission related, key objectives). <i>Should do</i> —near essential. <i>Nice to do</i> —non essential.
3	Start with the most important task in the <i>must do</i> category.
4	After completing this task, start the second and continue on.
5	Review the list at day's end.
6	Move the unfinished tasks to the next day's plan.

Planning Checklist

Introduction

Use this checklist to ensure you've covered the major elements of the plan.

√	Item
	Addresses critical facts and assumptions.
	Conveys authoritative tone—leaves no doubt of decision maker's intent.
	Expressed in positive terms (avoids negative directions like <i>will not</i>).
	Avoids unqualified expressions like <i>as soon as possible</i> .
	Delegates authority to lowest level consistent with flexibility and risk.
	Reduces all essential elements to simplest form—no misunderstanding.
	Written in concise, clear, and brief language.
	Provides necessary information for execution.
	Establishes relationships and fixes responsibilities.
	Provides controls yet allows for initiative.
	Provides the flexibility to react to unexpected developments.
	Identifies and provides for mutual support requirements.
	Provides for direct coordination among subordinates.
	Makes full use of existing resources and available systems.
	Ensures required resources are available for the duration of the operation.
	Identifies control measures for timely feedback and corrections.

Gantt Chart

Introduction

This map explains how to use a Gantt Chart to plan and control work.

Definition



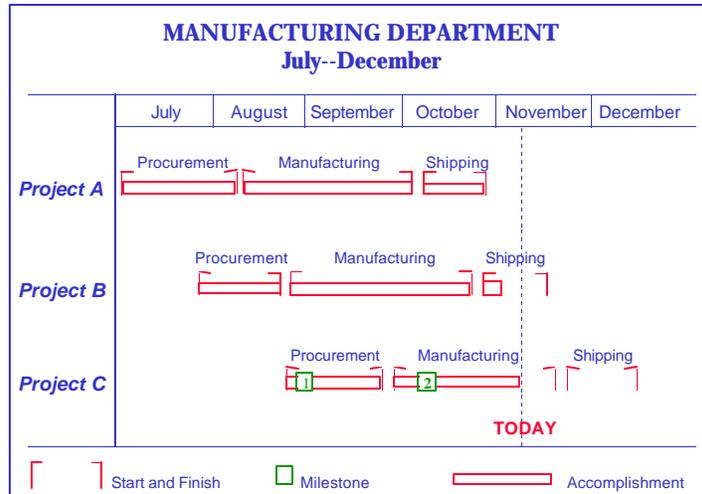
A Gantt Chart is a graphic means of planning and controlling that allows a decision maker to track a project's progress over time.

Description

By plotting estimates of time required and planned completion dates and milestones, one can monitor progress of several projects and quickly note problems.

In this case, the chart reveals that Project

- A is completed.
- B is lagging.
- C is on schedule.



Source: Reprinted by permission from *Management*, 5th ed., p. 153, by James A. F. Stoner and R. Edward Freeman. Copyright © 1989 by Prentice Hall.

Utility



By breaking down a project into phases with specific starting and finishing dates, the manager can adjust timelines and allocate resources where they're most needed. If the chart reveals one project is ahead of schedule and another is falling behind, the manager can shift resources accordingly.

Milestones



Milestones are dates that mark a significant event in a project's life. They add to the Gantt Chart's utility by making it more explicit.

In the example above, the first milestone might indicate when final procurement orders were submitted. The second milestone might indicate when all manufacturing processes were put in place.

Limitations



A Gantt Chart simply reflects the status of separate, unrelated projects. For more complex and interrelated projects, one must use sophisticated network analysis techniques such as the critical path method (CPM).²

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	2-8
Lesson Summary	2-9
End-of-Lesson-Exercises	2-11
Answer Key and Feedback	2-12

Endnotes

¹Except where noted below, a large portion of the lesson material was adapted from doctrine in U.S. Army Field Manual 101-5, *Staff Organization and Operations*, May 1997.

²James A. F. Stoner and R. Edward Freeman, *Management*, 4th ed. (Englewood Cliffs, NJ: Prentice Hall, 1989) 153-154.

Lesson Summary

Key Points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> • Define fundamental planning concepts. • Identify essential elements of a plan. • Explain why task analysis is essential to planning success. • Integrate time and priorities into planning efforts. • Use a Gantt Chart to plan and control work. 	
Planning concepts	<p>Planning is the means to set purpose, provide direction, and prescribe a method of execution.</p> <p>To promote initiative and innovation, the plan should emphasize <i>what</i> rather than <i>how</i>.</p> <p>Until executed, a plan simply remains as a good intention. Inaction or timid execution will negate a well-laid plan.</p>	2-2
Essential elements	<p>Essential planning elements:</p> <ul style="list-style-type: none"> • Objective. • Organization. • Execution. • Coordination. • Control. 	2-3
Task analysis	<p><u>Specified tasks</u> are clearly stipulated tasks announced in directives or assigned by your boss.</p> <p><u>Implied tasks</u> are not explicitly stated but derived from specified tasks and necessary for their completion.</p> <p><u>Essential tasks</u> are the combined total of <i>specified</i> and <i>implied</i> tasks that we <i>must</i> accomplish to achieve the objective.</p>	2-4
Planning, time, and priorities	<p>Time is usually the governing factor and primary constraint in planning.</p> <p>Allot one-third of available planning time for yourself and two-thirds to people at the next level down.</p> <p>To make best use of time when planning, start with the objective, identify tasks, and allot available time to tasks.</p> <p>Make a daily plan and complete tasks in priority order.</p>	2-5
Checklist	<p>Use a checklist to ensure you've covered major elements of the plan.</p>	2-6
Gantt Chart	<p>A <u>Gantt Chart</u> is a graphic means of planning and controlling that allows a decision maker to track a project's progress over time.</p> <p><u>Milestones</u> are dates that mark a significant event in a project's life. They add to the Gantt Chart's utility by making it more explicit.</p>	2-7

Lesson 2—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

- _____ 1. To encourage initiative, the plan should stress *what* rather than *how*.
 - _____ 2. A well-crafted plan makes actions difficult to defend.
 - _____ 3. Planning is unrelated to the other four functions of management.
 - _____ 4. A specified task is derived from implied tasks.
 - _____ 5. A specified task is an essential task.
 - _____ 6. *Time* is usually a primary planning constraint.
 - _____ 7. To make the best use of time, work on non-essential tasks first.
 - _____ 8. A plan should reflect a conciliatory tone.
 - _____ 9. A Gantt Chart measures progress over the life of a project.
 - _____ 10. Milestones add to a Gantt Chart's utility.
-

Lesson 2—Answer Key and Feedback

Instructions

Correct answers and page references cited below.

TRUE

1. To encourage initiative, the plan should stress *what* rather than *how*. (Page 2-2)

FALSE

2. A well-crafted plan makes actions difficult to defend. (Page 2-2)

FALSE

3. Planning is unrelated to the other four functions of management. (Page 2-3)

FALSE

4. A specified task is derived from implied tasks. (Page 2-4)

TRUE

5. A specified task is an essential task. (Page 2-4)

TRUE

6. *Time* is usually a primary planning constraint. (Page 2-5)

FALSE

7. To make the best use of time, work on non-essential tasks first. (Page 2-5)

FALSE

8. A plan should reflect a conciliatory tone. (Page 2-6)

TRUE

9. A Gantt Chart measures progress over the life of a project. (Page 2-7)

TRUE

10. Milestones add to a Gantt Chart's utility. (Page 2-7)

Module I - Management Principles and Techniques

Lesson 3 - Organizing

Overview

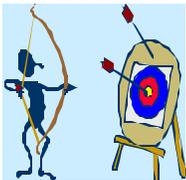
Introduction This lesson describes a few simple ways to organize work and organize yourself.

Rationale Supervisors must organize efficiently to achieve effective results.



They live in a world of resource constraints and must make the most of their resources and their people's talents.

Objectives



- Briefly define the term, *organizing*.
 - Identify five organizing steps.
 - Explain how to use a responsibility chart.
 - Explain why leaders need the informal organization.
 - Apply the principles of *efficiency* and *effectiveness* to organizing efforts.
 - Identify ways to get organized and stay that way.
-

In this lesson This lesson contains two sections, as shown below:

Section A: Main topics	Topic	See Page
	The Organizing Function	3-2
	Organizing Steps	3-3
	Organizing Guidelines	3-4
	Responsibility Chart	3-5
	The Informal Organization	3-6
	Efficiency and Effectiveness	3-7
	Effectiveness—Its Importance	3-8
	Getting Organized	3-9
	Covey's Seven Habits of Highly Effective People	3-10

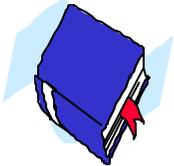
Section B: Back matter	Topic	See Page
	Overview	3-11
	Endnotes	3-11
	Lesson Summary	3-12
	End-of-Lesson-Exercises	3-13
	Answer Key and Feedback	3-14

The Organizing Function

Introduction

This map explains the organizing function in the management process.

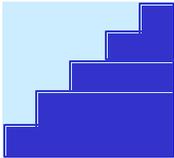
Definition



Organizing is the process of building relationships among functions, materiel, and people for a common purpose. It answers these questions:

- Who's involved and how?
 - Who needs resources and when?
 - What are the relationships among people, places, and things?
-

Steps



The organizing process consists of these five steps:

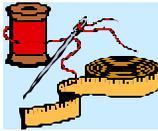
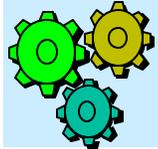
- Identify tasks.
- Establish structure.
- Fit people to tasks.
- Establish relationships.
- Allocate resources.

The next map describes these steps in more detail.

Organizing Steps

Introduction This map describes the organizing steps in detail.

Procedure To organize effectively, follow these steps:

Step	Action
<p>1</p> 	<p>Identify tasks. Describe what people must do to reach objectives. Focus on this and you'll pick the right tasks and avoid</p> <ul style="list-style-type: none"> • doing the wrong things. • accepting impossible tasks because of a misdirected "can-do" attitude. • accepting inappropriate tasks because of inability to say "No!"
<p>2</p> 	<p>Establish structure. Use formal organizational documents to align tasks with functions, resources, and people.</p> <p><u>Examples:</u></p> <ul style="list-style-type: none"> • Organization charts. • Manpower authorization documents. • Position descriptions. <p>Draw up a responsibility chart and assign people to cover all functions, objectives, and tasks.</p>
<p>3</p> 	<p>Fit people to tasks.</p> <ul style="list-style-type: none"> • Assign the right person to the right task. • Consider position descriptions but be flexible. • If they don't fit the tasks, re-write them.
<p>4</p> 	<p>Establish relationships. People are the key to success in organizing. Use three tools to insure they operate effectively:</p> <p><u>Authority</u>—empower people to do their job.</p> <p><u>Responsibility</u>—ensure they accept responsibility.</p> <p><u>Accountability</u>—hold them answerable for results.</p>
<p>5</p> 	<p>Allocate resources:</p> <ul style="list-style-type: none"> • Direct most resources to major efforts. • Apply minimum resources to secondary efforts. • Give people enough resources—this builds trust when you deliver.

Organizing Guidelines

Introduction This map offers guidelines for organizing tasks and people.

Guidelines To match tasks with people, follow these guidelines:

Guideline	Description
Match 	Ensure job descriptions and performance plans relate to specific tasks required to achieve objectives.
Talents 	Structure tasks to capitalize on people's talents, motivation, and capacity for growth.
Flexibility 	Write job descriptions in terms broad enough so people can cross-train, serve as team leaders, and accept responsibility without doing work that requires job reclassification.
Coverage 	Leave no doubt about who does what. Never let yourself get into the position where an employee denies responsibility for a task because "It's not in my job description."
Teamwork 	While matching people to tasks, consider advantages of assigning collective tasks to people who work well together. This enhances bonding, teamwork, and productivity.

Responsibility Chart

Introduction

This map describes a useful organizing tool—the responsibility chart.

Purpose



Use a responsibility chart to organize work and put the right person in the right job.

A responsibility chart reveals

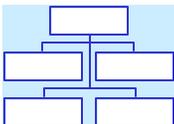
- who's doing what.
- who's overworked and who's not.
- where you're applying main efforts.
- if you're doing the right things.
- which tasks you haven't covered.
- if you're wasting resources on trivial tasks.
- that you care about what people are doing.

Example

A responsibility chart is simply a matrix that outlines responsibilities.

FUNCTIONS & TASKS	MANNY	MOE	JACK	JILL	JANE
FUNCTION A _____ _____ _____	L	A		A	
FUNCTION B _____ _____ _____	L			A	
FUNCTION C _____ _____	A			L	
FUNCTION D _____					
FUNCTION E _____ _____	A	L			
LEGEND: L--LEAD A--ASSISTS		NOTES: <ul style="list-style-type: none"> • Function D not covered. • Function E not fully covered. • Manny overworked? • Jack TDY for two months. • Jane has nothing to do. 			

Authority



One can also use a responsibility chart to show levels of authority.

For example, when working a task one member might have authority to begin an action, someone else might review it, and the team leader might approve or modify it.

The Informal Organization

Introduction

This map describes the purpose and functions of the informal organization.

Definitions

An organization is a blend of formal and informal relationships:



The formal organization is what appears on an organization chart. It defines official relationships among its members.

The informal organization has no chart, nor is one necessary. It's the sum of personal relationships among its members, regardless of official position.

Informal interactions



Besides formal interactions, people interact informally and form personal bonds that reinforce official relationships, both in and out of the work place:

- The CG and an NCO are close friends—they once served together in combat.
 - Two division chiefs are members of the same fraternal lodge.
 - Secretaries from two divisions ride in the same car pool.
-

Reasons



People seek membership in informal organizations to

- win acceptance.
 - build friendships.
 - advance their aims.
 - share information.
 - acquire resources.
 - influence official policies.
-

Influence



In these informal associations natural leaders lacking formal power can still influence others through their

- control of resources.
 - personal magnetism.
 - access to information.
 - institutional memory.
 - reputation.
 - proximity to decision makers.
-

Examples



The informal organization can influence the formal organization in these ways:

- Attack tough jobs enthusiastically.
 - Cut red tape.
 - Support or resist change.
 - Discipline members who violate official or unofficial standards.
 - Ostracize unworthy members.
-

Integration



To promote unity, good leaders integrate people's needs with organizational goals.

They use the informal organization to create harmony and help themselves stay *organized*. For example, before instituting an unpopular policy, an astute leader will check with informal leaders first to gauge its potential impact.

Efficiency and Effectiveness

Introduction

This map defines two important concepts essential to sound organizing efforts: *efficiency* and *effectiveness*.

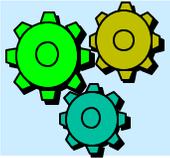
Rationale



What separates outstanding leaders and managers from the mediocre is ability to focus on essentials. Though busy, they husband their time and direct it to things that count for success in their organizations and in their personal lives.

In short, these folks use *efficient* means to achieve *effective* results. They do things right but also do the right things. Ability to distinguish between the two is critical to organizing efforts.

Definition



Efficiency means doing things right. We use its tools to achieve effectiveness.

It disciplines the pursuit of effectiveness, so the price paid isn't too high. Efficiency emphasizes form and process. It addresses how well we accomplished something but not necessarily its substance.

Examples:

- Clearly defined procedures.
 - Streamlined operations.
 - Timely and accurate information.
 - Well-maintained equipment.
-

Definition

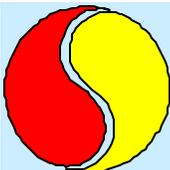


Effectiveness means doing the right things. It stresses substance of the outcome.

Examples:

- A worthy mission.
 - Challenging objectives that support the mission.
 - Focus on priorities.
 - Quality products that customers want and accept.
-

Relationship



Efficiency and effectiveness go hand-in-hand. Effectiveness is difficult to achieve without efficient ways of managing, and efficiency is irrelevant unless applied to worthwhile pursuits.

Examples:

- Killing flies with a sledgehammer may be effective, but it's not very efficient.
 - Timely and accurate reports may indicate efficiency, but if unnecessary they contribute nothing to effectiveness.
-

Effectiveness—Its Importance

Introduction

This map argues that effectiveness is ultimately more important than efficiency.

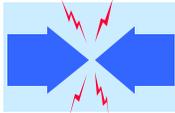
Rationale



Of the two, effectiveness is paramount, but why? The answer is simple: It's senseless to do things right if they're not the right things.

Those who pursue efficiency for its own sake betray lack of vision and perspective. They live in a world of parochial views and immature solutions—deficiencies that visionary leaders cannot tolerate.

Conflict



If efficiency becomes an end in itself, it can replace effectiveness as the ultimate goal. The two may become antagonistic rather than complementary. If they conflict, they can tear at the moral fabric of organizations.¹

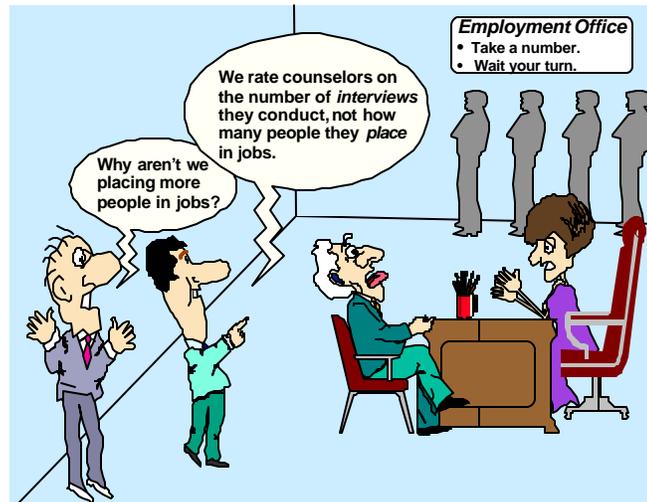
Activity trap



Lacking a focus on effectiveness, people may work hard yet achieve little. They'll drift into the so-called *activity trap*.² This occurs when an organization lacks a worthy mission, or its leadership fails to clarify goals or demonstrate commitment to achieving them.

Example

This graphic depicts an organization snared in this trap. While it may be very busy and very efficient in its internal processes, it's producing nothing worthwhile.



Conclusion

The pertinent question is not how to do things right, but how to find the right things to do, and to concentrate resources and efforts on them.

—Peter F. Drucker

Getting Organized

Introduction

To get organized and stay that way, follow these tips:

Area	Activity
Goals 	<ul style="list-style-type: none"> • Set realistic goals. • Put 'em where you can see 'em. • Review 'em once a month.
Decisions 	<ul style="list-style-type: none"> • Know when to say "No!" • Know when to stop a task. • <u>Don't</u> involve unnecessary people in a task. • Relax and smile at the decision you've just made. • Reward yourself when having done well.
Time 	<ul style="list-style-type: none"> • Ask, "What's the best use of my time right now?" • Set aside large chunks of time for tasks requiring steady concentration.
Daily work 	<ul style="list-style-type: none"> • Keep a calendar of specific things to do each day. • Work on <i>things I really must do</i> list. • Carry 3x5 cards to write things down. • Except for the task at hand, keep your desk cleared. • Get rid of busywork: it's not how much you do that counts but how much you get done. • Throw away unneeded things. • Ask why you're avoiding things you must do.
Meetings 	<p>When holding a meeting</p> <ul style="list-style-type: none"> • have a purpose. • set a time limit. • invite only the right people. • meet just before lunch or quitting time. • try <i>stand-up</i> meetings (no chairs): they end on time.
Paperwork 	<ul style="list-style-type: none"> • Create as little paperwork as possible. • Write <i>short</i> memos or make <i>quick</i> calls. • Use simple charts or diagrams—<u>not</u> lengthy text. • Handle incoming paperwork only once.
Tips 	<p><u>Don't</u> let papers pile up, so you must sort them over and over:</p> <ul style="list-style-type: none"> • Act on them at once. • Note them for future action. • If they require no action, toss 'em. <p><u>Don't</u> accumulate papers thinking you might need them again. If able to get them again, don't keep copies lying around.³</p>

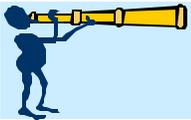
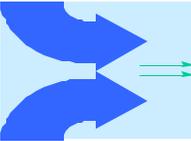
Covey's Seven Habits of Highly Effective People

Introduction

This map highlights seven habits to help one stay organized.

Description

Stephen Covey's seven habits summarized below:

Habit	Description
Initiative 	Seize the initiative! Bold leaders don't sit around and wait or ask what to do. Without being told <ul style="list-style-type: none"> • they look into a problem. • develop alternatives. • recommend or choose a course of action.
Vision 	Begin with the end. In other words have a plan and visualize how it will unfold. Also use vision to define values, set standards, and provide clarity.
Priorities 	Put first things first. Activities are either urgent or not urgent and important or not important: <ul style="list-style-type: none"> • Learn to do the important work, even when it's not urgent. • Don't let all urgent items (telephone calls and other interruptions) set your priorities. • Select only some of the urgent items to act on. • Delegate or postpone the rest.
Collaboration 	Instead of sitting on the opposite side of the table and viewing your client as an opponent, sit along side as partners. Think <i>win-win</i> . Mutual gain gets the cooperation and coordination needed to accomplish the mission.
Listening 	Seek first to understand, then to be understood. Listen to others first, especially if they represent the opposition. After you learn their language and perspective, help them understand yours.
Synergy $1+1=3$	The whole is greater than the sum of its parts. Leverage the efforts of many through collaboration and technology. Integrate your work with others.
Rest 	<ul style="list-style-type: none"> • Don't overwork! • Remember to rest, refresh, train, and maintain your health. • Take time to <i>sharpen the saw</i>.⁴

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	3-11
Lesson Summary	3-12
End-of-Lesson-Exercises	3-13
Answer Key and Feedback	3-14

Endnotes

Introduction To write this lesson we drew from these sources:

¹U.S. Army Field Manual 22-103, *Leadership and Command at Senior Levels* (June 1987) 42.

²George S. Odiorne, *The Human Side of Management: Management by Integration and Self-Control* (Lexington, MA: Heath, 1987) 55-60.

³Adapted from a classic work on time management: Alan Lakein, *How to Get Control of Your Time and Your Life* (New York: New American Library, 1973) *passim*.

⁴Adapted from Stephen R. Covey, *The Seven Habits of Highly Effective People* (New York: Simon & Schuster, 1989).

Lesson Summary

Key Points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page								
Objectives	<ul style="list-style-type: none"> Briefly define the term, <i>organizing</i>. Identify five organizing steps. Explain how to use a responsibility chart. Explain why leaders need the informal organization. Apply principles of <i>efficiency & effectiveness</i> to organizing efforts. Identify ways to get organized and stay that way. 									
Organizing function	<u>Organizing</u> is the process of building relationships among functions, materiel, and people for a common purpose.	3-2								
Organizing steps	<ul style="list-style-type: none"> Identify tasks. Establish structure. Fit people to tasks. Establish relationships. Allocate resources. 	3-3								
Organizing guidelines	<p><u>Match</u> job descriptions and performance plans to tasks and objectives.</p> <p><u>Talents</u>: Structure tasks to capitalize on people’s talents.</p> <p><u>Flexibility</u>: Write job descriptions broadly enough so work doesn’t require job reclassification.</p> <p><u>Coverage</u>: Leave no doubt about who does what.</p> <p><u>Teamwork</u>: Assign collective tasks to promote bonding, productivity.</p>	3-4								
Responsibility chart	Use a responsibility chart to show who’s doing what and levels of authority.	3-5								
Informal organization	The <u>informal organization</u> is the sum of personal relationships among its members, regardless of official position.	3-6								
Efficiency & effectiveness	<p><u>Efficiency</u>—doing things right.</p> <p><u>Effectiveness</u>—doing the right things.</p>	3-7								
Effectiveness—its importance	It’s senseless to do things right if they’re not the right things. Lacking a focus on effectiveness, people may work hard yet achieve little. They’ll drift into the so-called <i>activity trap</i> .	3-8								
Getting organized	<p><u>Goals</u>: Set realistic goals and review them once a month.</p> <p><u>Decisions</u>: Know when to say “No!”</p> <p><u>Time</u>: Set aside large chunks for tasks requiring concentration.</p> <p><u>Daily work</u>: Keep a calendar of things to do each day.</p> <p><u>Meetings</u>: Have a purpose and invite the right people.</p> <p><u>Paperwork</u>: Create as little as possible. Act on at once, note for future action, and toss that which requires no action.</p>	3-9								
Covey’s seven habits	<table> <tr> <td>Initiative—no sitting around.</td> <td>Listening—seek first to understand.</td> </tr> <tr> <td>Vision—begin with end.</td> <td>Synergy—leverage efforts of others.</td> </tr> <tr> <td>Priorities—put first things first.</td> <td>Rest—sharpen the saw.</td> </tr> <tr> <td>Collaboration—think <i>win-win</i>.</td> <td></td> </tr> </table>	Initiative—no sitting around.	Listening—seek first to understand.	Vision—begin with end.	Synergy—leverage efforts of others.	Priorities—put first things first.	Rest—sharpen the saw.	Collaboration—think <i>win-win</i> .		3-10
Initiative—no sitting around.	Listening—seek first to understand.									
Vision—begin with end.	Synergy—leverage efforts of others.									
Priorities—put first things first.	Rest—sharpen the saw.									
Collaboration—think <i>win-win</i> .										

Lesson 3—End-of-Lesson Exercises

Instructions

Answer TRUE or FALSE.

- _____ 1. *Organizing* answers the question, “Who’s involved and how.”
 - _____ 2. An organization chart helps to establish a baseline for organizing tasks.
 - _____ 3. Once you write a job description, avoid changing it.
 - _____ 4. Accountability means answering for results.
 - _____ 5. Write job descriptions in narrow, specific terms.
 - _____ 6. A responsibility chart should tell you if you're doing the right things.
 - _____ 7. The informal organization wields little or no influence.
 - _____ 8. *Efficiency* means doing the right things.
 - _____ 9. Effectiveness is ultimately more important than efficiency.
 - _____ 10. A good time to schedule a meeting is just before lunch or quitting time.
 - _____ 11. To get organized, accumulate documents in case you might need them.
 - _____ 12. One should focus on important activities, even if they’re not urgent.
-

Lesson 3—Answer Key and Feedback

Instructions Correct answers and page references cited below.

- TRUE 1. *Organizing* answers the question, “Who’s involved and how.” (Page 3-2)
- TRUE 2. An organization chart helps to establish a baseline for organizing tasks. (Page 3-3)
- FALSE 3. Once you write a job description, avoid changing it. (Page 3-3)
- TRUE 4. Accountability means answering for results. (Page 3-3)
- FALSE 5. Write job descriptions in narrow, specific terms. (Page 3-4)
- TRUE 6. A responsibility chart should tell you if you're doing the right things. (Page 3-5)
- FALSE 7. The informal organization wields little or no influence. (Page 3-6)
- FALSE 8. *Efficiency* means doing the right things. (Page 3-7)
- TRUE 9. Effectiveness is ultimately more important than efficiency. (Page 3-8)
- TRUE 10. A good time to schedule a meeting is just before lunch or quitting time. (Page 3-9)
- FALSE 11. To get organized, accumulate documents in case you might need them. (Page 3-9)
- TRUE 12. One should focus on important activities, even if they’re not urgent. (Page 3-10)
-

Module I—Management Principles and Techniques

Lesson 4—Coordinating

Overview

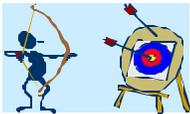
Introduction This lesson describes the coordinating function in management, including the formal staffing of actions to gain concurrence.

Rationale Practically every aspect of a supervisor’s day involves some form of coordination, either directly or through his staff.



Supervisors must be able to coordinate their actions smoothly. While they should delegate most coordinating activities, they must know what it involves, so they can coach their subordinates in those skills.

- Objectives**
- Define coordination and explain its purpose.
 - Describe how to establish a coordinating base.
 - Identify basic information management processes.
 - Use informal and formal means to coordinate an action.
 - Apply initiative and control to coordination efforts.



In this lesson This lesson contains two sections, as shown below:

Section A:	Topic	See Page
Main topics	The Coordinating Function	4-2
	Establishing a Base	4-3
	Information Management Processes	4-4
	Informal Coordination	4-5
	Formal Coordination	4-6
	Initiative	4-7
	Maintaining Control	4-8

Section B:	Topic	See Page
Back matter	Overview	4-9
	Endnotes	4-9
	Lesson Summary	4-10
	End-of-Lesson-Exercises	4-11
	Answer Key and Feedback	4-12

The Coordinating Function

Introduction

This map describes the coordinating function in management.

Definition

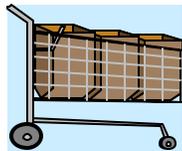
Coordination is



- a systematic way of communicating.
- the integrating function in management.
- the lubricant of a smooth running operation.
- a path to consensus.
- an organized way of asking: *Who informs whom about what?*

Coordination is vital to any planned activity. If no one coordinates, no one communicates, and the outcome is chaos.

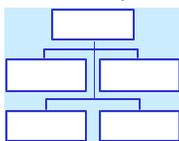
Purpose



The purpose of coordination is to

- acquire and provide information.
 - ensure complete and coherent action.
 - avoid conflict and duplications.
 - uncover blind spots and omissions.
 - consider all aspects of an issue.
 - know when to consult others and what parts of an issue to discuss.
-

Necessity



Our Army is a hierarchy, whose leaders make decisions within a chain of command. However, they rarely make them by decree. Before acting, leaders want assurance that people whom an action affects were able to comment on its merits. They'll make better decisions if secure in knowing this.

Thorough coordination makes for good decisions. Before submitting a recommendation for approval, test its soundness with key players involved.

Benefits



One who acquires coordination skills also acquires

- communication skills.
 - confidence.
 - ability to learn lessons on the spot.
 - a sense of teamwork.
 - credibility and trust.
-

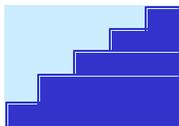
Establishing a Base

Introduction

This map describes how to establish a coordinating base.

Initial steps

Both you and your staff must know



- *what's* happening.
- *who's* making it happen.
- *how* it could affect you.

Documents

To find out what's happening, study these documents:

Document	Explanation
Mission statement	Identify mission, goals, and priorities to determine what's worth coordinating.
Organization chart and organization and functions manual	Identify functions, positions, and responsibilities. Then find out where you fit in.
Office files	Review for background and precedents on actions for which you're responsible.
Issue papers	Learn positions taken on issues to anticipate areas requiring coordination.
Significant activities (SIGACTS) report	To keep informed, read this weekly report and other types of updates.

Networking

To find out who's making it happen, build a network. Meet people who control information and have access to decision makers. To build influence with them



- find who can give you information or needs it from you.
- build your reputation through competence.
- do favors and get them in return.
- deliver on promises.
- treat others courteously, especially secretaries, clerks, and librarians.
- when people say *no*, thank them anyway—may need their help another day.

Habitual relationships

Coordination is easier if you're aware of *habitual relationships*—those people and organizations who typically interact on a common set of functions and issues.



Cementing relationships with these people builds trust and makes it easier to reach consensus when staffing actions involving them.

Information Management Processes

Introduction

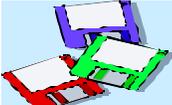
This map describes how we manage and provide information.

Rationale

Accurate information is essential to coordinating efforts. To make sound decisions, leaders need timely and accurate information. They rely on their staffs to manage information and provide it in usable form.



Information management processes described below:

Process	Description
Gathering 	Devising a collection plan to maintain a data base sufficient to support current and future estimates. <u>Caution:</u> <ul style="list-style-type: none"> • <u>Do</u> ensure requests for information are necessary. • <u>Don't</u> burden other staffs or subordinate commanders with requests for unnecessary information.
Analyzing 	Sorting, sifting, and assessing information for its <ul style="list-style-type: none"> • significance. • completeness. • reliability.
Condensing 	Keeping only essential information and shaping it so it's <ul style="list-style-type: none"> • usable for making decisions. • quickly retrievable. • formatted for rapid update.
Exchanging 	Giving folks what they need and getting what you need by trading information through <ul style="list-style-type: none"> • personal conversations. • meetings. • messages.
Formatting 	Using the most practical means and considering the decision maker's preferences: <ul style="list-style-type: none"> • Hand-written 3x5 card. • Fact sheet. • Decision package.
Informing 	Providing the right information to the right people by <ul style="list-style-type: none"> • keeping key players updated. • promptly informing higher, lower, and adjacent staffs. • giving out just enough information and <u>not</u> overloading folks, especially the commander.

Informal Coordination

Introduction	This map describes informal ways of coordinating.
Purpose	Informal coordination lays the groundwork for more formal means of coordinating. Coordinate informally to inform those involved and build consensus. This makes it easier to gain concurrence (agreement) on a proposal.
	
Benefits	To avoid the delays of formal correspondence when exchanging information or seeking concurrence on your proposal, coordinate informally. This saves time, expands your network, and cements relationships.
	

Personal contact If feasible, coordinate through close personal contact.

Choices	Description
First choice 	Go on foot and coordinate face to face. <u>Examples</u> : <ul style="list-style-type: none"> • Exchanging information in a hallway. • Visiting an office to explain your position and gain support. • Back briefing your boss after a meeting.
Second choice 	Gather everybody around a table. <u>Caution</u> : Don't hold a meeting if seeing people one-on-one will accomplish the same results in less time.
Third choice 	Use the phone to exchange limited information if time allows and only a few people are involved. Otherwise, use e-mail.

Guidelines To coordinate by telephone, follow these guidelines:

Guideline	Description
Minor actions	Use the telephone to gain concurrence on minor actions.
Major actions	Avoid using the phone to gain concurrence on major actions. If you can't wait and must coordinate by telephone, ensure the agency follows up with written confirmation.
Number of people	If dealing with dozens of people, call only the key players <i>inside</i> the action. Deal with the rest by other means.
Concurrence and non-concurrence	<u>When calling for a concurrence</u> , always disclose who has nonconcurred and why. <u>When an agency calls you for a concurrence</u> , always ask who has nonconcurred and why. Maybe they're asking you to accept a flawed proposal. You're entitled to the whole story.

Formal Coordination

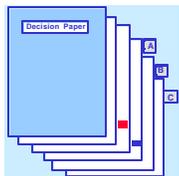
Introduction This map briefly describes the formal coordinating process.

Definition An action is a task usually requiring coordination and the tasking authority's approval in its final form. It could be a simple task taking five minutes or major project taking several months. Examples:



- Request for information.
 - Memorandum announcing a new policy.
 - Decision briefing.
-

Staffing an action



Coordinating or staffing an action.

We use formal means to obtain concurrence on a proposal. This ensures that those affected have a chance to review a proposal before the decision maker acts on it. We refer to this process as *coordinating* or *staffing* the action.

Typically the proposed action is formatted as a decision paper, which is routed to offices for their review, comments, and concurrence.

A decision paper (also known as a summary sheet) is a one-page document with supporting tabs summarizing a recommendation and reasoning behind it.

Responses



Agencies reviewing the action will formally respond in one of two ways:

Concurrence: If they accept the proposal, they'll *concur* or *chop* on the action by signing or initialing it. They may also add comments.

Nonconcurrence: If they reject the proposal they'll *nonconcur* but explain why in a statement of nonconcurrence.

Note: A nonconcurrence must be taken seriously. If possible, try to resolve differences before sending it forward. If not possible, prepare a rebuttal in a *Consideration of Nonconcurrence* statement and attach it to the nonconcurrence.

Internal coordination



If feasible, coordinate actions within your office and headquarters staff before sending them to subordinate commands or outsiders:

- Reassures people that your headquarters sanctions the action.
- Provides an opportunity to settle internal disagreements before going outside.

Note: Though it's better to coordinate internally first, time may force you to staff an action with everyone simultaneously (shotgun coordination).

Initiative

Introduction This map explains how to apply initiative to coordination efforts.

Using initiative



Aggressively (but tactfully) use initiative to coordinate:

- Seek out those affected and touch base with them.
 - Ask questions but don't blindly accept answers.
 - Push and pull information; it doesn't flow naturally.
 - Check and recheck to ensure information is accurate.
 - Use multiple sources to confirm facts.
-

Visibility



Take initiative to move an action if it loses visibility or someone is sitting on it:

- Enlist people to support the action (missionary work).
 - Maintain frequent contact with those involved.
 - Use information management channels to report the action's status.
 - Use meetings, memos, calls, and visits to keep the action visible.
-

Overcoming opposition



Take initiative to overcome opposition and build consensus. A proposal rarely speaks for itself. Someone will usually oppose it or remain indifferent. Your plan could be unworkable, and others may suggest a better way.

Considering their views may avoid a hurdle when the action goes forward for decision. Submitting a proposal filled with nonconcurrences will reflect more on you than on those who nonconcurred.

Persuasion



Before sending a nonconcurrency forward, try persuasion. It may convince someone who objects but doesn't want to make an issue of it.

Make concessions that won't change the action's substance but will satisfy the opposing party.

Advantages



Using persuasion to overcome opposition

- forces logical thinking.
 - clarifies intent.
 - helps gain new knowledge.
 - overcomes hostility.
 - promotes cooperation.
 - builds commitment.¹
-

Coordinating upward



Though often difficult, keep senior leaders updated.

Otherwise, if you must refer a coordination problem to them, the decision you get may not be the one you hoped for.²

Maintaining Control

Introduction This map suggests ways to control an action when working it through the system.

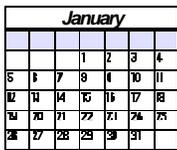
SOP



Use an SOP and checklists to keep track of details. Using these tools avoids having to relearn procedures for recurring tasks.

However, don't rely solely on these tools. They can limit flexibility and imagination by locking you into a single course of action.

Timing



To avoid major revisions at the last minute, give agencies time to respond. Then they can review the action thoroughly and provide quality responses. A fair margin of time also allows you to review their responses thoroughly.

If not given enough time, agencies will simply give lip-service to the action and concur only to meet the requirement. A superficial review of something important may lead to a bad decision.

Tips

To maintain control of the action, follow these tips:

Tip	Description
Visit 	<p>Try to visit offices to get concurrence in person. If you can hand-carry the action, don't use the message center.</p> <p>However, don't simply drop an action into someone's in-box and forget it. This is a sure way to lose it or miss the suspense date.</p>
Signature 	<p>Be sure to get the right signature. Otherwise, some unauthorized underling may sign off, and you'll have to go back to get the right signature.</p>
Heads up 	<p>When sending out an action, alert the recipients. Call key players to confirm understanding and offer assistance.</p> <p>Always know where your action is.</p>
Follow up 	<p><u>Don't</u> assume people will automatically respond on or before the suspense date.</p> <ul style="list-style-type: none"> Follow up with a personal visit, phone call, or e-mail. Gently nudge people to move the action—your boss, executive officer, or decision maker's secretary.
Time 	<p>If who sees it first isn't important or there's little time, circulate multiple copies when several offices must <i>chop</i> on the action.</p> <p>Don't circulate the original or allow people to write on it.</p>

Section B—Back Matter

Overview

Introduction

This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	4-9
Lesson Summary	4-10
End-of-Lesson-Exercises	4-11
Answer Key and Feedback	4-12

Endnotes

Introduction

To write this lesson we drew from these sources:

¹U.S. Army Field Manual 22-103, *Leadership and Command at Senior Levels* (June 1987) 37.

²Derek Pugh, "Effective Coordination in Organizations," *Advanced Management Journal* (Winter 1979). Reprinted in *Fundamentals of Management: Selected Readings*, 4th ed. James H. Donnelly Jr., et al. (Plano, TX: Business Publ., 1981) 94-95.

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> Define coordination and explain its purpose. Describe how to establish a coordinating base. Identify basic information management processes. Use informal and formal means to coordinate an action. Apply initiative and control to coordination efforts. 	
Coordinating function	<u>Coordination</u> is a systematic way of communicating. It answers the question: <i>Who informs whom about what?</i>	4-2
Purpose	Acquire and provide information; ensure complete and coherent action; avoid conflict and duplications; uncover blind spots.	4-2
Establishing a base	Know <i>what's</i> happening, <i>who's</i> making it happen, and <i>how</i> it could affect you. Build a network to exchange information and establish habitual relationships.	4-3
Information management processes	<ul style="list-style-type: none"> Gathering. Analyzing. Condensing. Exchanging. Formatting. Informing. 	4-4
Informal coordination	Use informal means first. Personal visits, meetings, and telephone calls. First choice: personal visit.	4-5
Formal coordination	<i>Staffing</i> the action and getting it <i>chopped</i> . Routing a decision for comments and concurrence. Decision paper summarizes recommendation and reasoning on one page.	4-6
Internal coordination	Try to coordinate actions with your office and headquarters first: <ul style="list-style-type: none"> Reassures outsiders that your headquarters sanctions the action. Can settle internal disagreements before going outside. 	4-6
Initiative	Use initiative to push and pull information. Check and recheck for accuracy. Use multiple sources.	4-7
Overcoming opposition	<u>Don't</u> expect everyone to concur—your plan could be unworkable. Others may suggest a better way. Submitting a flawed product will reflect more on you than on those who nonconcurred.	4-7
Persuasion	Before sending an action forward, try persuasion. Make concessions that won't change the action's substance.	4-7
Maintaining control	Use SOP and checklists but don't totally rely on them—can limit imagination.	4-8
Timing	Avoid major revisions at the last minute. When you receive action begin coordinating. Give people time to respond.	4-8
Tips	<ul style="list-style-type: none"> Hand-carry actions. Go to the right people. Give a <i>heads up</i>. <u>Don't</u> assume they'll reply on or before the suspense date. Keep the original copy clean. 	4-8

Lesson 4—End-of-Lesson Exercises

Instructions

Answer TRUE or FALSE.

- _____ 1. A purpose of coordination is to uncover blind spots and omissions.
 - _____ 2. One who acquires coordination skills also acquires confidence.
 - _____ 3. Habitual relationships should play no role in coordinating efforts.
 - _____ 4. Provide the commander with more than enough information.
 - _____ 5. Use the telephone to gain concurrence on minor actions.
 - _____ 6. When calling for a concurrence, always disclose who's nonconcurrent.
 - _____ 7. An *action* is a task usually requiring coordination.
 - _____ 8. If an agency nonconcurr with a proposal, they must explain why.
 - _____ 9. If necessary, make major concessions to gain concurrence.
 - _____ 10. Before attempting to persuade the opposition, debate the issue first.
 - _____ 11. The act of persuading forces logical thinking.
 - _____ 12. Always assume people will respond on or before the suspense date.
-

Lesson 4—Answer Key and Feedback

Instructions Correct answers and page references cited below.

- TRUE 1. A purpose of coordination is to uncover blind spots and omissions. (Page 4-2)
- TRUE 2. One who acquires coordination skills also acquires confidence. (Page 4-2)
- FALSE 3. Habitual relationships should play no role in coordinating efforts. (Page 4-3)
- FALSE 4. Provide the commander with more than enough information. (Page 4-4)
- TRUE 5. Use the telephone to gain concurrence on minor actions. (Page 4-5)
- TRUE 6. When calling for a concurrence, always disclose who's nonconcurred. (Page 4-5)
- TRUE 7. An *action* is a task usually requiring coordination. (Page 4-6)
- TRUE 8. If an agency nonconcur with a proposal, they must explain why. (Page 4-6)
- FALSE 9. If necessary, make major concessions to gain concurrence. (Page 4-7)
- FALSE 10. Before attempting to persuade the opposition, debate the issue first. (Page 4-7)
- TRUE 11. The act of persuading forces logical thinking. (Page 4-7)
- FALSE 12. Always assume people will respond on or before the suspense date. (Page 4-8)
-

Module I - Management Principles and Techniques

Lesson 5 - Directing

Overview

Introduction This lesson describes how to provide direction through leadership.

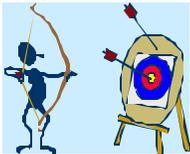
Rationale



Getting the right results depends on how clearly you give directions and how readily people accept them.

This requires leadership ability, for directing is managing while in a leadership role.

Objectives



- Apply leadership principles to managing.
 - Lead and groom followers.
 - Provide guidance and direction.
 - Apply motivational techniques to work assignments.
 - Manage the relationship with your boss.
-

In this lesson This lesson contains two sections, as shown below:

Section A:

Main topics

Topic	See Page
Managing and Leading	5-2
Managing and Leading at the Same Time	5-3
Confusion of Roles	5-4
Leading	5-5
Following	5-6
Situational Leadership	5-7
Guidance and Directions	5-8
Motivation and Work	5-10
Managing Your Boss	5-11

Section B:

Back matter

Topic	See Page
Overview	5-12
Lesson Summary	5-13
Endnotes	5-14
End-of-Lesson-Exercises	5-15
Answer Key and Feedback	5-16

Managing and Leading

Introduction

This map explains relationships between managing and leading.

Definitions



For simplicity, we define *managing* and *leading* in these terms:

Managing is getting things done through people.

Leading is inspiring people to want to get things done.

Directing means leading



Supervisors are both managers and leaders at the same time. Directing is a management function, but its main purpose is to provide leadership to make it possible to manage.

Both functions are necessary and should reinforce each other. Leading is the human side of managing. It infuses work with spirit, purpose, and direction.

It inspires people to be all they can be while accomplishing the mission.

Distinctions

Though perhaps distorted, this table contrasts managing and leading endeavors:

Managers	Leaders
handle things.	inspire people.
maintain stability.	force change.
define procedures.	create vision.
solve today's problems.	seek tomorrow's opportunities.
use their heads.	listen to their hearts.
do things right.	do the right things.
get people to do things.	get people <i>to want</i> to do things.
count beans.	win wars. ¹

Art versus science

Another way to distinguish between leading and managing is to look at leadership as an art that transcends the limitations of science:

... leadership is the art of accomplishing more than the science of management says is possible.

—General Colin Powell, *My American Journey*, 255.

Application

While managing and leading are distinct, they're not mutually exclusive:

Managers use leadership to	Leaders use management to
add a human dimension to managing.	discipline their enthusiasm.
win enthusiastic support for decisions.	use resources prudently.

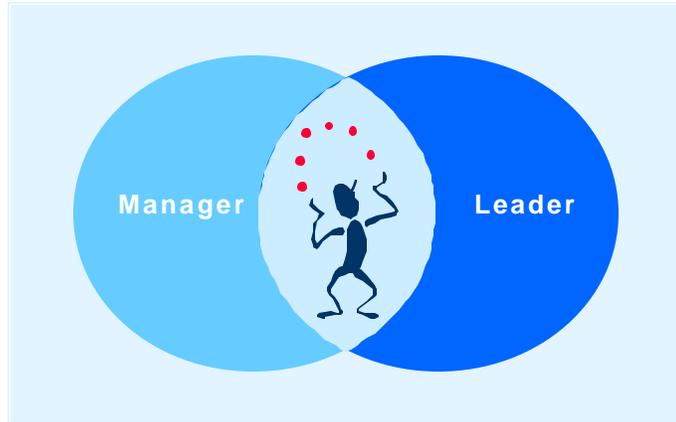
Managing and Leading at the Same Time

Introduction

This map explains why we must manage and lead at the same time.

Doing both

One must be able to manage and lead at the same time.

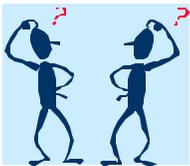


Examples

These are examples of managing and leading at the same time:

Activity	Managing	Leading
Run a meeting.	Follow the agenda.	Build consensus.
Sell a proposal.	Persuade with logic.	Create enthusiasm.
Devise a plan.	Issue instructions.	Give people ownership.

Failure to do both



Managers deficient in leadership skills will fail to infuse people with the enthusiasm and passion often required to overcome obstacles and achieve extraordinary accomplishments.

Leaders lacking management acumen will waste resources by inspiring people to do the wrong things or do the right things only through exhausting effort and excessive cost.

Need for both

People who rely on others for results must assume both roles.

I think the Army would make a serious mistake if we made a distinction and said, 'You are a manager, and you are a leader'. . . . to think we could be one and not the other.²

—General John A. Wickham, Jr.

Confusion of Roles

Introduction

This map attempts to clarify the debate over management and leadership roles.

Debate



Debate continues over which role is more important in a military environment:

- Some leaders feel that bureaucrats won't let them lead.
- Some managers feel that unless controlled, reckless leaders will squander resources.

Although Army culture favors the leader, both roles are equally important. Good leaders realize they need management skills to meet goals.

Confusion



If confusion arises over these roles it's because people

- adopt the wrong role for the situation.
- emphasize one role and ignore the other.
- lack either leadership or management skills.
- fail to integrate the processes of both roles.

Examples



Examples of failure to integrate manager and leader roles:

- Focusing only on what's quantifiable—statistics, reports, and data.
- Treating people as just another resource to manage.
- Exhorting people to *do more with less*, when it's impossible.
- Committing to a course of action but ignoring resource constraints.

Things and people

A bit one-sided, this statement reminds us that we manage *things* but *lead* people.

Let's Get

Rid of
Management

People
don't want
to be
managed.
They want
to be led.
Whoever heard
of a world
manager?
World leader,
yes.
Educational leader.
Political leader.
Religious leader.
Scout leader.
Community leader.
Labor leader.
Business leader.
They lead.

They don't manage.
The carrot
always wins
over the stick.
Ask your horse.
You can *lead* your
horse to water,
but you can't
manage him
to drink.
If you want to
manage somebody,
manage yourself.
Do that well
and you'll
be ready to
stop managing
and start leading.

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Leading

Introduction

This map describes why the directing function requires leadership ability.

Empowerment



Directing empowers you to lead. Although they use written instructions, supervisors usually provide direction through close personal contact. This is challenging but made possible through competent leadership.

Definition



Leadership is the process of influencing people by providing purpose, direction, and motivation to accomplish the mission and improve the organization.³

Significance



Leadership is what makes managing exciting and fulfilling. It adds passion and meaning to what otherwise could be uninspired work. Leaders provide vision and direction, embrace values and ethics, set goals and objectives, and win acceptance and commitment from those they lead.

Principles of leadership

Field Manual 22-100 lays out 11 principles of Army leadership. Adopted as doctrine in 1951, these basic truths have stood the test of time. These principles are likewise valid for civilian leaders.

#	Principle
1	Know yourself and seek self-improvement.
2	Be technically and tactically proficient.
3	Seek responsibility and take responsibility for your actions.
4	Make sound and timely decisions.
5	Set the example. (Most important of all!)
6	Know your soldiers (subordinates) and look out for their well being.
7	Keep your subordinates informed.
8	Develop a sense of responsibility in your subordinates.
9	Ensure the task is understood, supervised, and accomplished.
10	Build the team.
11	Employ your unit in accordance with its capabilities. ⁴

Will to lead



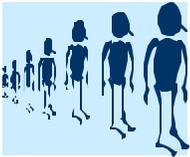
Leaders want to lead for the same reason managers want to manage—they want to make a difference. As managers must be imbued with the “will to manage,” so too must leaders be imbued with “the will to lead.”⁵ They should want to lead, more than anything else!

Following

Introduction

This map briefly explains why leaders must also be followers.

Leading and following



Our Army stresses leadership, as well it should. But we can't ignore followers.

Good leaders

- are also followers! They take orders from bosses and directions from others.
 - spend as much time following as they do leading.
 - are expected to impart follower skills by example and training.
 - must learn to follow before being chosen to lead.
 - are responsible for grooming followers to become future leaders.
-

Myths



Myths about following:

- Followers are mere hired hands and order takers.
 - Following simply means doing as told.
 - Leading and following are mutually exclusive.
 - Leaders are more important than followers.
 - Anyone can follow.
-

Role changes



Leaders and followers change roles. Leaders will fail if they won't gracefully assume a follower's role when called for—especially when working with bosses and peers. Generous leaders know when to defer to authority or share it with others. Likewise, good followers take the lead when leaders aren't around.

Grooming



Leaders groom followers to

- take risks.
 - control their own work.
 - think independently.
 - assert their views.
 - be self-starters.
 - work without close supervision.
 - step in when others drop the ball.
-

Teamwork



Leaders also groom followers through team building. This eliminates rivalry and enhances cooperation. Team members build cohesion, regulate themselves, and don't always need a formal leader.

Leading



If given chances to lead, followers grow to appreciate the dimensions of the effort and gain insight on their leadership attributes. They may also find they lack the temperament for leading and can reconcile their role as followers.⁶

Situational Leadership

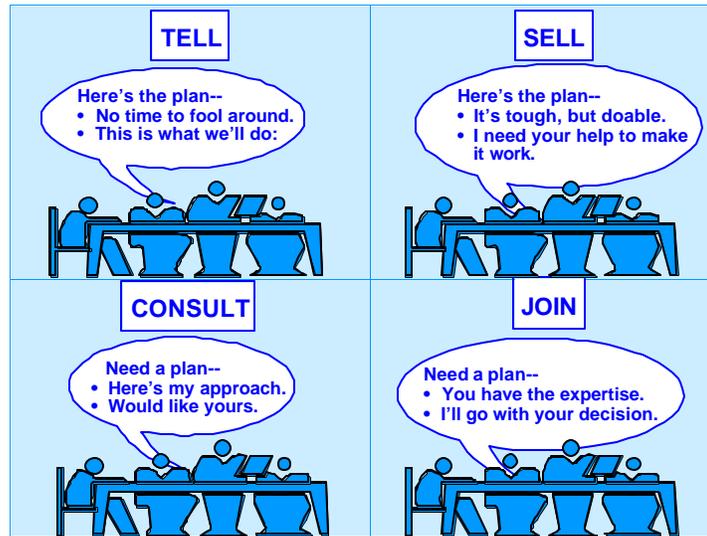
Introduction

This map explains how to adopt a leadership style to fit the situation.

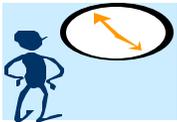
Leadership style

To establish credibility with a group, send a clear signal of your expectations.

To send a clear signal, choose a leadership style to fit the situation.



Choosing

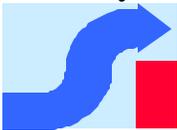


The style chosen depends on

- time and priorities.
- the group's collective expertise.
- complexity of the task.
- the group's cohesion.
- range of your authority.
- your personality.

Note: The influence of these factors constantly shifts. The most important in one situation may matter little in another.

Flexibility



Your personality will influence the style you tend to use. However, be flexible; don't use the same style for all situations. At times you'll be highly directive; other times you'll be more accommodating. Always be aware of the situation and the style it calls for. As the situation changes, change your style accordingly.

Style matrix

Use this simple decision matrix to choose a leadership style to meet the situation:

When	Then	Style
running behind	take charge.	Tell
they're skeptical	convince them.	Sell
you need their advice	ask for it.	Consult
you're not the expert	sit back and listen.	Join

Guidance and Directions

Introduction

This map explains how to furnish guidance and directions when assigning tasks.

Definition



Guidance is information or advice a decision maker provides when assigning tasks. It's a broad form of direction encouraging self-reliance and initiative.

Rationale. Most decision makers appreciate someone who can work without detailed instructions and close supervision. Rather than giving details on how they want something done, they issue guidelines for what they want done.

Freedom



Proper guidance removes constraints of detailed instructions and close supervision. This sets people free to pursue innovative solutions. Moreover, the decision maker avoids micro managing and can focus on larger issues. Remember this when you assign tasks!

Amount



The amount of guidance one seeks, is provided, or furnishes depends on

- information and other resources available.
- complexity of the task.
- decision maker's management style.

Examples



Areas where a decision maker might provide guidance:

- People to contact.
- Conditions a solution must satisfy.
- Acceptable alternatives.
- Resource constraints.
- Political or protocol considerations.
- Sources of contention.

Advantages



Working under broad guidance

- gives the subordinate flexibility.
- encourages initiative.
- builds morale and self-confidence.
- unleashes creativity.

Seeking

Seek guidance in these circumstances. Tell your subordinates likewise.

When you must	When the decision maker has
clarify the requirement.	important information.
resolve conflicting priorities.	strong views about the issue.
reconcile deviations from policy.	committed to a course of action.
complete the task in little time.	expertise on the subject. ⁸

Continued on next page

Guidance and Directions, Continued

Directions



Give directions orally if possible—it builds trust. People accept oral instructions as a vote of confidence.

Oral instructions also promote understanding, acceptance, and commitment.

Expectations



The way you treat people and the expectations you hold for them will influence how well they perform. When providing guidance and directions treat people with dignity and hold high expectations for their success. Then they're likely to perform well.

Remember Eliza Doolittle's observation:

... the difference between a lady and a flower girl is not how she behaves but how she's treated.

Pygmalion, George Bernard Shaw

Rules

When giving directions follow these rules:

Don't	Do
use an offhanded or casual approach.	know what you want and jot the main points on a card.
pull rank.	avoid extraneous information.
over rely on a cooperative subordinate or pick on someone.	select the right person and tailor instructions accordingly.
provide too much or too little information.	use simple, specific, and positive language.
issue conflicting instructions.	check for understanding, acceptance, and commitment.
issue too many instructions.	fix accountability and evaluate results.

Motivation and Work

Introduction

This map suggests ways to help people satisfy their needs through their work.

Growth needs



We're more likely to spark motivation by providing an environment that encourages people to satisfy their growth needs through their work.

Examples of growth needs:

- Achievement.
 - Recognition.
 - Responsibility.
 - Advancement.
 - Freedom.
-

Unleashing motivation



We can help people unleash their motivation and channel it constructively to satisfy growth needs by providing

- example.
 - inspiration.
 - encouragement.
 - removal of barriers.
 - meaningful work.
 - incentives.
-

Enlargement



One approach is job enlargement. This means adding tasks to the job to add variety and develop skills. This has limited value as a motivator.

If the person gains no power or freedom by doing additional tasks, he's likely to view "enlargement" as a ploy to get him to do more work.⁹

Enrichment



A better approach that seems to work with most people is job enrichment. This means structuring the job so people can satisfy their needs while achieving organizational objectives. This increases personal satisfaction and commitment.

Examples



Frederick Herzberg suggests that work itself can be fulfilling, that people will do a *good* job if the job is made *good* through enrichment. Examples:

- upward challenges.
- timely feedback.
- self-regulation.
- freedom to innovate.
- control of resources.
- access to key people.

Keep in mind that some jobs are inherently enriched, so don't tamper with them. Others can't be enriched, so don't try.¹⁰

Managing Your Boss

Introduction

This map suggests that you'll give and take directions more effectively by managing the relationship with your boss.

Questions



Do you get along with everyone except your boss, feel you lack influence, or believe your boss is a poor communicator?

Relationship



Perhaps it's a personality conflict, though not very likely. More likely, problems arise because either of you have failed to manage the relationship.

As a subordinate, you have less power and more to lose if the relationship fails. Because it's in your best interest, take the lead to make the relationship work.

Assumptions about you



Don't delude yourself by assuming you

- don't need your boss.
- *really* know your boss's priorities.
- give your boss more than enough information.
- can always take literally what your boss says.

Assumptions about your boss



Don't get into the doghouse by assuming your boss

- doesn't need you.
- will give you resources without being asked.
- must be satisfied with your work if nothing's said about it.
- is more concerned about your results than your style.
- has a stake in your career development.
- is solely responsible for the relationship's success.

Guidelines

To build a better working relationship with your boss, follow these guidelines:

Guideline	Description
Clarity	If your boss is vague, fill voids with questions. If possible, get answers from your boss or those close to him.
Preferences	Learn how your boss prefers to receive information.
Interaction	Interact at social events but don't just talk about work.
Priorities	Always clarify your boss's priorities, for they're ever changing.
Empathy	Walk a mile in your boss's shoes.
Perspective	Read your boss's <i>tea leaves</i> (what lies in store for both of you).
Information	Keep your boss informed—both good news and bad. ¹¹

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Lesson Summary	5-13
Endnotes	5-14
End-of-Lesson-Exercises	5-15
Answer Key and Feedback	5-16

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> • Apply leadership principles to managing. • Lead and groom followers. • Provide guidance and direction. • Apply motivational techniques to work assignments. • Manage the relationship with your boss. 	
Managing and leading	<p><u>Managing</u> is getting things done through people.</p> <p><u>Leading</u> is inspiring people to want to get things done.</p> <p><u>Directing</u> is a management function, but its main purpose is to provide leadership to make it possible to manage.</p> <p>Managers handle things, leaders inspire people.</p>	5-2
Managing and leading at the same time	<p>We must manage and lead at the same time.</p> <p><u>Managers</u> lacking leadership skills will fail to inspire people.</p> <p><u>Leaders</u> lacking management acumen will waste resources by inspiring people to do the wrong things.</p>	5-3
Confusion of roles	<p>Confusion arises over these roles because people adopt the wrong role for the situation or fail to integrate the processes of both roles.</p> <p>We manage <i>things</i> but <i>lead</i> people.</p>	5-4
Leading	<p><u>Leadership</u> is the process of influencing others to accomplish the mission by providing purpose, direction, and motivation.</p> <p>Leaders must be imbued with “the will to lead.”</p>	5-5
Following	<p>Leaders are also followers! They take orders and directions from others.</p> <p>One must learn to follow before being chosen to lead.</p> <p>Good followers take the lead when leaders aren’t around.</p>	5-6
Situational leadership	<p>Use a leadership style to fit the situation: Tell, Sell, Consult, Join.</p> <p>Don’t use the same style for all situations.</p>	5-7
Guidance and directions	<p><u>Guidance</u> is information a decision maker provides when assigning tasks. It’s a broad form of direction encouraging initiative.</p> <p>Give directions orally if possible—it builds trust.</p>	5-9
Motivation and work	<p>Spark motivation by providing an environment that encourages people to satisfy their growth needs through their work.</p> <p>Enrich the job: upward challenges, freedom, self-regulation.</p>	5-10
Managing your boss	<p>Take the lead to manage the relationship with your boss. You have more to lose if you don’t. Walk a mile in your boss’s shoes.</p>	5-11

Endnotes

Introduction

To write this lesson we drew from these sources:

¹James M. Kouzes and Barry Z. Posner, *The Leadership Challenge: How to Get Extraordinary Things Done in Organizations* (San Francisco: Jossey-Bass, 1987) 27-33.

²U.S. Army Field Manual 22-103, *Leadership and Command at Senior Levels*, June 1987, 43.

³Drawn from the current revision of U.S. Army Field Manual 22-100, *Army Leadership*, scheduled for publication in 1998.

⁴FM 22-100.

⁵Sterling Livingston, "Myth of the Well Educated Manager," *Harvard Business Review* 48 (1971) 85.

⁶Robert C. Kelly, "In Praise of Followers," *Harvard Business Review* 66 (1988) 142-148.

⁷Mary Ann Allison and Eric W. Allison, *Managing Up, Managing Down* (New York: Simon & Schuster, 1984) 143-155.

⁸Perry M. Smith (Major General, USAF, Ret.), *Assignment: Pentagon: The Insider's Guide to the Potomac Puzzle Palace*, 2nd ed. (Washington, DC: Brassey's [US], 1993) 94.

⁹Abraham H. Maslow, *Motivation and Personality*, 2nd ed. (New York: Harper & Row, 1970) 80-106.

¹⁰Frederick Herzberg, "One More Time: How Do You Motivate Employees?" *Harvard Business Review*. Reprinted as HBR Classic, 65 (1987) 109-120. Originally published 1968.

¹¹John J. Gabarro and John P. Kotter, "Managing your Boss," *Harvard Business Review* 58 (1980) 92-100.

Lesson 5—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

- _____ 1. Leading means getting things done through people.
 - _____ 2. Directing is another word for leading.
 - _____ 3. One can lead or manage but not do both at the same time.
 - _____ 4. Army culture favors leaders, but leaders realize they need management skills.
 - _____ 5. Good leaders don't need management skills.
 - _____ 6. Those in charge should regard people as a resource to be managed.
 - _____ 7. *Setting the example* is important but not vital to leadership success.
 - _____ 8. To be a leader, it isn't necessary to want it more than anything else.
 - _____ 9. Good followers assert their views, not simply do as told.
 - _____ 10. Be consistent: Use the same leadership style for all situations.
 - _____ 11. Guidance means giving details on how to complete a task.
 - _____ 12. *Job enlargement* has limited value as a motivational technique
 - _____ 13. Giving subordinates access to key people is a form of job enrichment.
 - _____ 14. The boss should take the lead in building the relationship with you.
-

Lesson 5—Answer Key and Feedback

Instructions Correct answers and page references cited below:

- FALSE 1. Leading means getting things done through people. (Page 5-2)
- TRUE 2. Directing is another word for leading. (Page 5-2)
- FALSE 3. One can lead or manage but not do both at the same time. (Page 5-3)
- TRUE 4. Army culture favors leaders, but leaders realize they need management skills. (Page 5-4)
- FALSE 5. Good leaders don't need management skills. (Page 5-4)
- FALSE 6. Those in charge should regard people as a resource to be managed. (Page 5-4)
- FALSE 7. *Setting the example* is important but not vital to leadership success. (Page 5-5)
- FALSE 8. To be a leader, it isn't necessary to want it more than anything else. (Page 5-5)
- TRUE 9. Good followers assert their views, not simply do as told. (Page 5-6)
- FALSE 10. Be consistent: Use the same leadership style for all situations. (Page 5-7)
- FALSE 11. Guidance means giving details on how to complete a task. (Page 5-8)
- TRUE 12. *Job enlargement* has limited value as a motivational technique. (Page 5-10)
- TRUE 13. Giving subordinates access to key people is a form of job enrichment. (Page 5-10)
- FALSE 14. The boss should take the lead in building the relationship with you. (Page 5-11)
-

Lesson 6 - Controlling

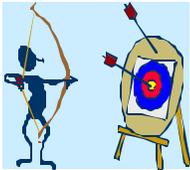
Overview

Introduction This lesson describes the control process in management activities.

Rationale Stated simply, those in charge must exercise control to ensure they achieve goals in an orderly way and in keeping with their intent.



- Objectives**
- Identify control methods and cite their limitations.
 - Give examples of five types of early warning predictors.
 - Distinguish between self-control and supervisory control.
 - Identify three phases of control.
 - Explain why *Management by Exception* helps achieve control.
 - Identify techniques for managing actions with a suspense date.
-



In this lesson This lesson contains two sections, as shown below:

Section A:	Topic	See Page
Main topics	The Control Function	6-2
	Methods of Control	6-3
	Early Warning Predictors	6-5
	Personal Control	6-6
	Control Phases	6-7
	Management by Exception	6-8
	Managing Suspense Dates	6-9

Section B:	Topic	See Page
Back matter	Overview	6-10
	Endnotes	6-10
	Lesson Summary	6-11
	End-of-Lesson-Exercises	6-13
	Answer Key and Feedback	6-14

The Control Function

Introduction

This map discusses the control function in management.

Definition



Control is the means used to keep the plan on track and judge results.

It gives cohesion to the entire management process. It's the glue binding together the other four functions of management.



Necessity



Supervisors exercise control in various forms to ensure

- they stay on top of events.
- operations flow smoothly.
- events occur in a coherent pattern.
- they recognize and reward success.

Standards



We use the control function to

- set standards.
- measure performance against standards.
- identify deviations from standards before it's too late.
- restore performance to standards.¹

Effectiveness



Effective control doesn't occur in isolation. It also depends on

- how well one *plans*.
- how efficiently one *organizes*.
- how smoothly one *coordinates*.
- how vigorously one *directs*.

Lost control



Poor planning, inefficient organizing, lack of coordination, and vague directions all contribute to loss of control.

When this occurs it's usually very visible and results in loss of credibility and respect for those responsible.

Methods of Control

Introduction This map describes various methods used to maintain control.

Documents



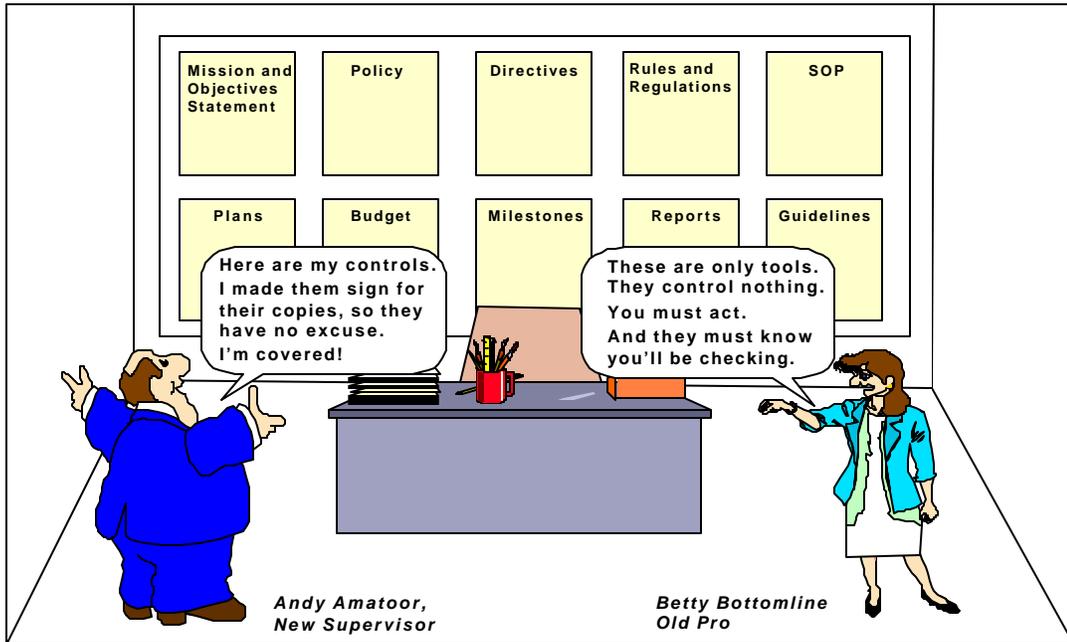
Managers use several tools to control events, such as plans, budgets, standards, indicators, reports, deadlines, and evaluations. These controls take the form of procedures frequently spelled out in documents.

Limitations



Some managers wrongfully assume everything will go smoothly, because they have documentation that requires people to comply.

Document-based controls are simply tools that have no meaning until someone acts. To control effectively, managers should infuse life into documents through personal assertion.



Keeping score



<i>Control Chart</i>	
Shipped	20
Backlog	10
Rejects	15
Damaged	12
Returned	18

Gathering figures for their own sake is not control—it's simply keeping score.

Unless something constructive results, the mere gathering of figures is wasted effort.

Methods of Control, Continued

Fool-proof controls



Gain control by reducing as many activities to exact procedures everyone can understand. Examples:

- Standing operating procedures (SOP).
- Decision logic tables.
- *Go* or *no-go* commands (Example: traffic light).
- Fail/safe devices (Example: pressure release valve).

SOP

Use SOPs for recurring and routine events that require detailed instructions and coordination. Examples include administrative operations, briefings, and VIP visits.

Advantages:

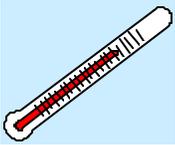
- Avoids having to relearn the same task over again.
- Helps new arrivals or inexperienced members learn faster.
- Achieves consistent results.

Decision logic tables

Use decision logic tables when prescribed actions must occur under certain conditions. Examples:

When	Then
inventory is at a ten-day level	replenish stock.
the clock strikes ten	turn out the lights.

Indicators



Indicators are sample measures of progress that give clues about how well things are working. For example, to evaluate the effectiveness of a safety program, one might monitor the number of accident-free days over a certain time.

Use indicators cautiously, for they simply give a "snapshot" of progress. Clever subordinates may manipulate figures to give a misleading picture to cover themselves. Managers obsessed with indicators fall prey to the "numbers game," and people find all kinds of ways to "beat the numbers."

Drawbacks



Indicators may

- obscure underlying problems.
- lead to neglect of other important activities.
- give only a partial picture.
- result in misplaced emphasis.
- cause fudging and cover ups.

Early Warning Predictors

Introduction This map explains the use of early warning predictors and feedback in maintaining control.

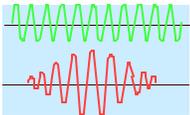
Advantages Early warning predictors help to head off trouble and minimize damage in a timely fashion.



Examples These are examples of early warning predictors.

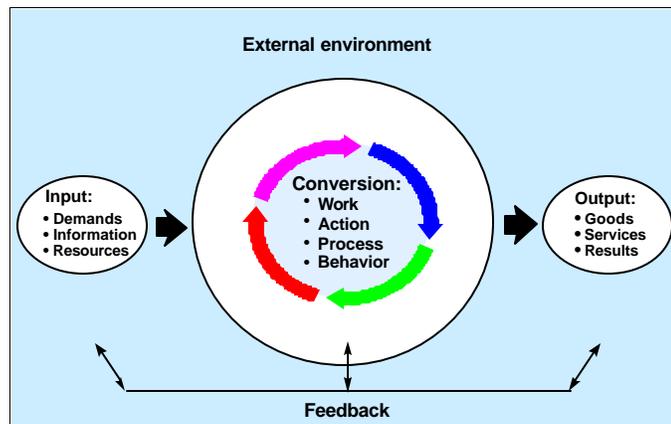
Predictor	Description
Inputs	Measure, check rates, volume, etc. <u>Examples:</u> <ul style="list-style-type: none"> • Changes in number of clients. • Late receipt of supplies.
Early results	Monitor progress in early phases to note trends. <u>Examples:</u> <ul style="list-style-type: none"> • Less than expected demands. • Shifts in preferences.
Indicators	Look for hints or cues to underlying problems. <u>Examples:</u> <ul style="list-style-type: none"> • Late reports. • Increase in rejects.
Changes in assumptions	Consider unpredictable changes, assumptions proved false, new developments.
Past results	Use past results to compare current progress. The past provides insight and perspective to the present. ²

Feedback



We use predictors to gain feedback, which we use to anticipate events or quickly correct unintended results.

Feedback works best when it measures activities in real time. This enables us to correct mistakes before too much damage is done.



Personal Control

Introduction

This map describes three forms of personal control.

Self-control



Most of us function without close supervision. We behave as expected without being watched. We get to work on time, send our kids to school, and pay taxes out of a sense of personal responsibility.

Self-control is also a good way to control the work we do. Bosses delegate because they have faith in the sense of responsibility people bring to work.

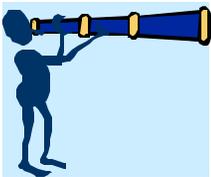
The objective



To operate under self-control, one must

- know the objective.
 - determine if he's achieving it.
 - adjust performance accordingly.
-

Supervisory control



Supervising means controlling the work at hand by making your presence subtly felt.

Examples:

- Observing from a distance.
 - Walking around.
 - Asking questions.
 - Encouraging.
 - Following up.
-

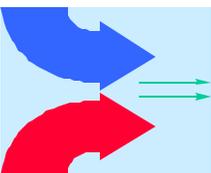
Accountability



Accountability is a key element of supervisory control. It means more than simply holding people responsible for tasks: they must also answer or "account" for how well they performed them.

Lack of accountability lets people off the hook; poor morale and loss of control are the consequences. Remember! If no one is held accountable, then no one can be blamed if things go wrong.

Mutual control



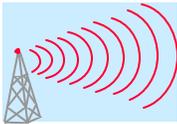
A fine line exists between active supervision and outright meddling. People resent unsolicited "help," for they lose face. Preferably, the supervisor should control the work through delegation of authority.

The supervisor concentrates on results and exceptions, and the subordinate controls procedures. Both control the task from different vantage points.³

Control Phases

Introduction This map describes the three phases of control.

Phase I: Planning A plan announces intent to control, but this isn't enough. Take these steps to control before the plan gets off the ground:



- Eliminate trouble spots.
- War-game the plan, noting things that must not go wrong.
- Set up an early warning system.

Phase II: Execution This phase is critical, because it's where the work gets done and where the operator contributes most. Through self-regulation, the operator



- corrects his mistakes.
- asks for help if needed.
- reports exceptions.

Phase III: Evaluation Though after the fact, the evaluation phase still helps the supervisor



- assess results.
- identify strong and weak areas of operations.
- gather lessons learned.
- assess personal performance.
- develop input for the next plan.

Requirements Each phase of control should meet these requirements:

	<p>Control through planning requires</p> <ul style="list-style-type: none"> • precise objectives, standards, and measures. • complete grasp of details and sequence of events. • adequate analysis and effort.
	<p>Control through execution requires</p> <ul style="list-style-type: none"> • leadership and interpersonal skills. • ability and willingness to delegate. • mature subordinates capable of self-supervision. • self-discipline to refrain from over controlling.
	<p>Control through evaluation requires</p> <ul style="list-style-type: none"> • the will to apply lessons learned. • adaptation to change. • courage to appraise performance. • commitment to subordinates' personal growth.⁴

Management by Exception

Introduction This map describes how *management by exception* widens your span of control.

Definition



Management by exception is a simple but valuable principle for maintaining control without micro managing. Stated simply, it means that only important *exceptions* need be reported to the supervisor.

Rationale



Subordinates need not continuously consult the supervisor on all problems surrounding an operation, if they can solve them themselves.

Instead, they handle routine problems and refer those beyond their control, the *exceptions*, upward. By avoiding immersion in routine problems, the supervisor gains time to focus on exceptions and other important issues.

Examples



Examples of *exceptions* requiring your personal intervention:

- Emerging problems beyond the subordinate's control.
 - Unacceptable delays.
 - Interference.
 - Changes in plans.
 - Lack of cooperation.
-

Tools



Use these tools to help you "manage by exception" and still retain control:

- Standing Operating Procedures.
 - Delegation of authority.
 - A list of critical events that can't go wrong.
 - Periodic but timely observation.
-

Timing



Management by exception works best when someone detects a deviation and reports it in time. Otherwise, it means little if failures occur before one can apply a remedy. It's like locking the barn door after the horse has escaped.

Balance



Don't permit excessive latitude in defining problems that people should alert you about. For you risk major problems developing without your awareness.

Likewise, don't define too narrow a latitude, for subordinates will bring every problem to you to solve. This defeats the purpose of management by exception.⁵

Managing Suspense Dates

Introduction

This map explains how to achieve control through efficient management of suspense dates.

Definition



Suspense dates are deadlines one both assigns and responds to.

Bosses judge you, fairly or not, on ability to manage deadlines.

Don't let this happen to you:



Assigning



Assigning a suspense date is easy; getting people to react is more challenging. Always monitor actions due in and nudge those who are slow to respond. If they don't respond, your boss is likely to blame you, not them. If you suspect they might not reply on time, remind them of the requirement several days ahead.

Caution



You don't have authority to impose a suspense date on a higher headquarters or outside agency. So tactfully encourage them to respond.

Example: *We're trying to get responses in by the tenth; if you can get it back by then, I'd really appreciate it.*

Responding



If given a reasonable suspense, respond on time. If you need more time

- don't wait until the last minute.
 - ask for an extension right away—more likely to get it.
 - provide an interim reply and estimated completion date.
-

Challenging



Challenge unreasonably short suspense dates, especially on low-priority actions.

Someone may be trying to clear his desk before going on vacation. Or he may have sat on an action and is trying to compensate for the delay.

If this happens, you or your boss should ask for a restart of the suspense clock.

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	6-10
Lesson Summary	6-11
End-of-Lesson-Exercises	6-13
Answer Key and Feedback	6-14

Endnotes

Introduction To write this lesson we drew from these sources:

¹James A. F. Stoner and R. Richard Freeman, *Management*, 4th ed. (Englewood Cliffs: Prentice Hall, 1989) 13.

²Stoner and Freeman, 565-566.

³J. M. Juran, *Managerial Breakthrough* (New York: McGraw-Hill, 1964) 188-193.

⁴James M. Jenks and John M. Kelly, *Don't Do. Delegate!* (New York: Frankli Watts, 1985) 172-191.

⁵Jenks and Kelly, 191-194.

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> • Identify control methods and cite their limitations. • Give examples of five types of early warning predictors. • Distinguish between self-control and supervisory control. • Identify three phases of control. • Explain why <i>Management by Exception</i> helps achieve control. • Identify techniques for managing actions with a suspense date. 	
The control function	Use the control function to <ul style="list-style-type: none"> • set standards. • measure performance against standards. • identify deviations from standards before it's too late. • restore performance to standards. 	6-2
Methods of control	<u>Documents</u> : Plans, budgets, standards, indicators, reports, deadlines. These have no meaning until someone acts on them. <u>Fool-proof controls</u> : Reduce activities to exact procedures. <u>Indicators</u> : Sample measures that give a “snapshot” of progress. Can be misleading and misused.	6-3 and 6-4
Early warning predictors	<ul style="list-style-type: none"> <li style="width: 50%;">• Inputs. <li style="width: 50%;">• Changes in assumptions. <li style="width: 50%;">• Early results. <li style="width: 50%;">• Past results. <li style="width: 50%;">• Indicators. <li style="width: 50%;">• Feedback. 	6-5
Personal control	<u>Self-control</u> : Personal responsibility and self-regulation. <u>Supervisory control</u> : Observing from a distance and following up. <u>Mutual control</u> : Supervisor and subordinate controlling from different vantage points.	6-6
Control phases	<u>Phase I: Planning</u> : Defining precise objectives and standards. <u>Phase II: Execution</u> : Exercising leadership and delegating. <u>Phase III: Evaluation</u> : Applying lessons learned and appraising performance.	6-7
Management by exception	Subordinates handle routine problems and refer those beyond their control, the <i>exceptions</i> , to the supervisor. This works best when someone detects a deviation and reports it in time.	6-8
Managing suspense dates	Bosses judge you, fairly or not, on ability to manage deadlines. Monitor actions due in and nudge those who are slow to respond. If they don't respond, your boss is likely to blame you, not them. Challenge unreasonably short suspense dates.	6-9

Lesson 6—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

- _____ 1. Standards are an element of control.
 - _____ 2. Control applies primarily to planning.
 - _____ 3. Proper documentation means nothing until someone acts.
 - _____ 4. An SOP is an example of a "fool proofing" control.
 - _____ 5. Indicators are complete measures of progress.
 - _____ 6. An input could be an early warning predictor.
 - _____ 7. Past results are of little use as an early warning predictor.
 - _____ 8. Self-control requires close supervision.
 - _____ 9. The supervisor should maintain total control of a task.
 - _____ 10. The operator contributes most during the planning phase.
 - _____ 11. Performance appraisal is an aspect of control.
 - _____ 12. *Management by exception* means exceptions are reported upward.
-

Lesson 6—Answer Key and Feedback

Instructions Correct answers and page references cited below.

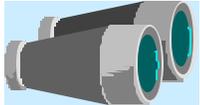
- TRUE 1. Standards are an element of control. (Page 6-2)
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- FALSE 9. The supervisor should maintain total control of a task. (Page 6-6)
- FALSE 10. The operator contributes most during the planning phase. (Page 6-7)
- TRUE 11. Performance appraisal is an aspect of control. (Page 6-7)
- TRUE 12. *Management by exception* means exceptions are reported upward. (Page 6-8)
-

Module II—Delegation

Overview

Introduction This map provides an overview of the two lessons in this module.

Scope



This module contains two interrelated lessons. Lesson 7 defines *Delegation of Authority* and explains its value as a management tool.

Lesson 8 explains how to overcome barriers and delegate a task properly.

In this module This module contains two lessons:

Lesson #	Title	See Page
7	Basic Concepts of Delegation	7-1
8	Overcoming Barriers and Delegating Effectively	8-1

Module II—Delegation

Lesson 7—Basic Concepts of Delegation

Overview

Introduction This lesson presents basic concepts of delegation.

Rationale



When you weren't in charge, your main concern was personal achievement. Now that you're in charge, all that changes.

Now your main job is to use your authority to get results from people you depend on.

Objectives



- Define *delegation of authority* and its related terms.
 - Explain why a properly delegated task must be balanced.
 - Identify symptoms of too much or too little supervision.
 - Cite four advantages of delegation.
 - Dispel certain myths about delegation.
-

In this lesson This lesson contains two sections, as shown below:

Section A:	Topic	See Page
Main topics	<i>Delegation of Authority</i> Defined	7-2
	Balance	7-3
	Misuse of Authority	7-4
	Advantages of Delegation	7-5
	Myths about Delegation	7-6

Section B:	Topic	See Page
Back matter	Overview	7-7
	Endnotes	7-7
	Lesson Summary	7-8
	End-of-Lesson Exercises	7-9
	Answer Key and Feedback	7-10

Delegation of Authority Defined

Introduction This map defines *delegation of authority* and explains why it's necessary.

Definitions This table defines *delegation of authority* and related terms:

Term	Definition
Delegation of authority	The transfer or sharing of authority that enables one to discharge responsibility and answer for results.
Authority	Power to discharge responsibility and maintain accountability.
Responsibility	The obligation to <ul style="list-style-type: none">• perform the duties of one's position.• meet objectives within standards.
Accountability	The obligation to answer for how well one has <ul style="list-style-type: none">• discharged responsibility.• managed the authority delegated.

Caution



One can delegate authority but not responsibility or accountability. Though he can hold people responsible and accountable within their areas, the supervisor is still ultimately responsible for their performance. Any boss who shifts personal responsibility or accountability onto others is guilty of abdication.

Necessity



Employees are not mere hired hands or order takers. They must be delegated enough authority to exercise judgment and make decisions about their work.

If supervisors don't delegate, they'll stay fully involved in their employees' work or will end up doing it themselves. They must share authority through delegation. This is the most powerful tool in the supervisor's toolbox.

Working hard



Bosses who don't delegate usually work hard but achieve little. They measure success by effort exerted and hours spent—working hard but not smart.¹

The main reason they fail is that they won't delegate.²

Success



Bosses who delegate measure their success by the results their employees produce. By empowering them they're treating people as adults. They're confident they'll act responsibly without constant checking.³

Delegation raises peoples' stature from hired hands to valued team members.

Balance

Introduction This map explains why a delegated task must contain a balanced blend of authority, responsibility, and accountability.

Balanced blend A delegated task requires a balanced blend of authority, responsibility, and accountability:

Description	Example
Enough <u>authority</u> to <ul style="list-style-type: none"> discharge responsibility. produce desired results. 	Power to <ul style="list-style-type: none"> make decisions. assign tasks.
Enough <u>responsibility</u> to <ul style="list-style-type: none"> use one's talents. make the job challenging. 	Manageable workload: <ul style="list-style-type: none"> Can do the job without being exhausted. Not set up to fail.
Enough <u>accountability</u> to <ul style="list-style-type: none"> be held answerable. meet standards. 	Realistic, worthy, and attainable standards: <ul style="list-style-type: none"> Poor performance not tolerated. Excellent performance rewarded.

Illustration This graphic illustrates the balanced blend of authority, responsibility, and accountability in a properly delegated task.



Imbalance If you don't consider all three elements in a balanced proportion, delegation probably won't work. Examples:

If the supervisor	The employee
delegates too much authority	may get out of control.
doesn't delegate enough authority	may work to exhaustion and still fail.
assigns too much responsibility	will fail to accomplish everything.
assigns too little responsibility	won't perform to full capacity.
demands impossible results	will fail.
doesn't demand accountability	will get away with poor performance.

Misuse of Authority

Introduction This map describes three ways bosses can misuse their authority. It also provides examples of sound delegating practices.

Symptoms



Bosses who misuse their authority by supervising too much or too little:

- Hovering, meddling, or providing unsolicited *help*.
- No accountability—people become *loose cannons*.
- Overloading and exhausting people—they can't get everything done.
- People have little or nothing to do.
- Poor performance condoned or even rewarded.
- Outstanding performance unrecognized or even penalized.

Hoarding



Bosses who hoard authority

- do everything themselves.
- stay fully immersed in their subordinates' work.
- don't let anyone do it if they can do it better.
- forbid people to act until they receive detailed instructions.
- permit no deviation from orders.

Supervising this way reduces people to mere order-takers.⁴

Micro managing

Micro managing is a prime example of hoarding authority:

A micro manager	A delegator
issues detailed directions.	provides broad guidance.
allows no deviation.	encourages innovation.
corrects people's mistakes.	lets people correct their mistakes.
focuses on work processes.	focuses on results.
takes over if things go wrong.	is there to assist if asked.
quarterbacks.	coaches.
stays fully involved.	observes from a distance.

Abdicating



Bosses who abdicate are misusing authority in the worst way:

- Assign tasks but furnish no guidance or resources.
- Delegate then disappear.
- Dump responsibilities onto others or—
- Let people do whatever they want.
- Take the credit and pass the blame.
- Lose control and then panic in trying to regain it.

Advantages of Delegation

Introduction This map describes four advantages of delegating authority.

Options



You can

- do it yourself.
 - spend time making sure others do it.
 - delegate authority to those who can do it.
-

Better decisions



Involvement: Involve people in plans and decisions, especially those affecting them. This increases quality of input to these efforts.

Ownership: If you make all the plans, you can't be sure others will support you. You'll be depending on others to make your plan work, so it's better to make it "our" plan rather than "mine."⁵

Proximity: Those close to the action have a clearer grasp of facts, so you're likely to make better decisions by consulting them.

Leverage



Sharing authority

- enhances efficiency.
 - increases productivity.
 - widens your range of authority—when you're not there work still goes on.
-

Growth



When empowered, people get a chance to

- face problems.
 - exercise judgment.
 - gain competence.
 - profit from mistakes.
 - satisfy needs.
 - grow in commitment.
-

Time saved



Less need for detailed instructions or close supervision.

More time to interact with peers and meet the boss's demands.

Able to take on larger, more responsible tasks.

If nothing else, you'll simply gain time to keep your wits.



Myths about Delegation

Introduction This map dispels commonly held myths about delegation.

Myths Nine myths about delegation are described below:

Myth	Description
1	You can't trust employees to be responsible. If this were true, no one would trust you—you're an employee too! It's easier to trust people when you have coached them to a high level.
2	When you delegate, you lose control of a task and its outcome. While you relinquish total control, you still maintain control through the subordinate's self-control and well-defined standards.
3	You are the only one who has all the answers. Actually, your employees often know more about a situation than you. They are doing the <i>hands-on</i> work every day. By blending your big picture perspective with their technical expertise, you can ensure that your organization has answers your customers need.
4	You can do the work faster yourself. May be true the first time you delegate a task. But long term you increase your effectiveness by developing the capabilities of others. Your organization gets more work done than you do individually.
5	Delegation dilutes your authority. No, it extends your authority, because your employees act for you.
6	Your employees will be recognized for good work but you won't. Sure they will—you'll see to that! You will also achieve recognition when your organization consistently achieves its goals. It's a win-win situation.
7	Delegation decreases flexibility. On the contrary. Delegation increases time available to deal with unforeseen situations or strategic issues.
8	Your employees are too busy. People increase effectiveness if they manage the whole task. Let them finish jobs by delegating them the authority to do so.
9	Your employees don't see the big picture. They won't until you share it with them. Coach them in key skills, then watch them achieve the results you intended. ⁶

Remember



To succeed as a supervisor, you must delegate:

- Take risks.
 - Build trust.
 - Empower people to act as bosses of their own jobs.
-

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	7-7
Lesson Summary	7-8
End-of-Lesson-Exercises	7-9
Answer Key and Feedback	7-10

Endnotes

Introduction To write this lesson we drew from these sources:

¹Dale D. McConkey, *No-Nonsense Delegation*, (New York: AMACOM, 1974) 31.

²Harold Koontz and Cyril O'Donnell, *Essentials of Management*, 2nd ed. (New York: McGraw Hill, 1978) 241.

³J. M. Juran, *Managerial Breakthrough: A New Concept of the Manager's Job*, (New York: McGraw-Hill, 1964) 189-192.

⁴McConkey, 2.

⁵McConkey, 17.

⁶Bob Nelson and Peter Economy, *Managing for Dummies*, (Foster City, CA: IDG Books, 1996) 49-54.

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> • Define <i>delegation of authority</i> and its related terms. • Explain why a properly delegated task must be balanced. • Identify symptoms of too much or too little supervision. • Cite four advantages of delegation. • Dispel certain myths about delegation. 	
Delegation of authority defined	<p><u>Delegation of Authority</u>: Transfer or sharing of authority.</p> <p><u>Authority</u>: Power to discharge responsibility.</p> <p><u>Responsibility</u>: Obligation to perform duties of position.</p> <p><u>Accountability</u>: Obligation to answer for results.</p> <p>One can delegate authority but not responsibility.</p>	7-2
Balance	<p>A delegated task must contain a balanced blend of authority, responsibility, and accountability.</p> <p><u>Examples</u>:</p> <ul style="list-style-type: none"> • Power to make decisions, neither too much nor too little. • Manageable workload, not set up to fail. • Realistic standards, poor performance not tolerated. 	7-3
Misuse of authority	<p>Supervising too much or too little is a misuse of authority.</p> <ul style="list-style-type: none"> • Hoarding authority (micro managing) reduces people to mere order-takers. • Abdicating authority represents misuse in the worst way. 	7-4
Advantages of delegation	<ul style="list-style-type: none"> • Better decisions through involvement, ownership, and proximity. • Widened range of authority for supervisor. • Commitment and growth flowing from empowerment. • Time saved. 	7-5
Myths about delegation	<p>Dispelling myths:</p> <ul style="list-style-type: none"> • People can be trusted. • Can maintain control through well-defined standards. • Employees often know more than the supervisor does. <p>Supervisor must take risks and empower people to act as bosses of their own jobs.</p>	7-6

Lesson 7—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

- _____ 1. Accountability is the obligation to perform the duties of one's position.
 - _____ 2. Responsibility can be delegated.
 - _____ 3. The main reason supervisors fail is because they won't delegate.
 - _____ 4. Supervisors measure success by effort exerted and hours spent.
 - _____ 5. For an assignment to be properly delegated, it must contain a balanced blend of authority, responsibility and accountability.
 - _____ 6. It's possible to hold a person responsible but not accountable.
 - _____ 7. Bosses who do everything themselves are hoarding their authority.
 - _____ 8. A delegator should act like a quarterback.
 - _____ 9. To help people do their work, a boss should stay fully involved in it.
 - _____ 10. Sharing authority widens your range of authority.
 - _____ 11. Delegation requires close supervision.
 - _____ 12. Delegation gives a supervisor less time to interact with peers.
 - _____ 13. When delegating, the supervisor maintains control through the subordinate's self-control and high standards.
 - _____ 14. Delegation dilutes a supervisor's authority.
-

Lesson 7—Answer Key and Feedback

Instructions Correct answers and page references cited below.

- FALSE 1. Accountability is the obligation to perform the duties of one's position. (Page 7-2)
- FALSE 2. Responsibility can be delegated. (Page 7-2)
- TRUE 3. The main reason supervisors fail is because they won't delegate. (Page 7-2)
- FALSE 4. Supervisors should measure success by effort exerted and hours spent. (Page 7-2)
- TRUE 5. For an assignment to be properly delegated, it must contain a balanced blend of authority, responsibility and accountability. (Page 7-3)
- TRUE 6. It's possible to hold a person responsible but not accountable. (Page 7-3)
- TRUE 7. Bosses who do everything themselves are hoarding their authority. (Page 7-4)
- FALSE 8. A delegator should act like a quarterback. (Page 7-4)
- FALSE 9. To help people do their work, a boss should stay fully involved in it. (Page 7-4)
- TRUE 10. Sharing authority widens your range of authority. (Page 7-5)
- FALSE 11. Delegation requires close supervision. (Page 7-5)
- FALSE 12. Delegation gives a supervisor less time to interact with peers. (Page 7-5)
- TRUE 13. When delegating, the supervisor maintains control through the subordinate's self-control and high standards. (Page 7-6)
- FALSE 14. Delegation dilutes a supervisor's authority. (Page 7-6)

Module II—Delegation

Lesson 8—Overcoming Barriers and Delegating Effectively

Overview

Introduction This lesson describes how to overcome barriers to delegating and suggests techniques for delegating effectively.

Rationale



To lead effectively, supervisors must delegate.

To delegate effectively, they must overcome barriers and use proper methods.

Objectives



- Identify barriers to delegation and ways to overcome them.
 - Describe ways to avoid reverse delegation.
 - Identify forms of resistance to delegation and ways to overcome it.
 - Identify types of tasks to delegate and not delegate.
 - Use a seven-step procedure to delegate a task.
-

In this lesson This lesson contains three sections, as shown below:

**Section A:
How to
overcome
barriers**

Topic	See Page
Reluctance to Delegate	8-2
Symptoms of Poor Management	8-3
Misplaced Motivation	8-4
Evasive Tactics	8-5
Avoiding Reverse Delegation	8-6
Overcoming Resistance	8-7

**Section B:
How to
delegate
authority**

Topic	See Page
Overview	8-8
What to Delegate	8-9
What Not to Delegate	8-11
How to Delegate	8-12
Management Tools	8-13

**Section C:
Back
matter**

Topic	See Page
Overview	8-14
Endnotes	8-14
Lesson Summary	8-15
End-of-Lesson Exercises	8-17
Answer Key and Feedback	8-18

Reluctance to Delegate

Introduction This map explains why some supervisors are reluctant to delegate.

Causes Reluctance to delegate stems from several interrelated causes below:

Doesn't know how	Poorly trained, inexperienced, and not prepared to manage. Delegating would risk losing what little control he retains.
Can't communicate	Unsure of what he wants or how to express it. Information stays inside his head, and it simply takes too long to get it out. So he does the job himself. ¹
Ego	Skilled at the task and won't delegate it. No one else can do it better, and he gains satisfaction from personally excelling at it.
Power	Hoards authority and information as tools to wield influence and to protect self-interest.
Poor work habits	Lacks vision and sense of priorities. Works on the wrong things and manages time poorly.
Insecurity	Afraid to make demands, doesn't trust others, or has an exaggerated sense of his own worth.

Open-door policy An unrestricted open-door policy may restrict a supervisor's ability to delegate.



The open door invites *drop-ins* who monopolize time, want answers to questions, and solutions to their problems. This supervisor risks becoming a desk-bound micro manager.



Risks When a new supervisor starts making demands on people to accept more responsibility, he may encounter the following risks:

Risk	Stems from
Antagonism	a boss who may look bad if the supervisor suggests bold new approaches to old problems.
Resistance	resistance, possible failure, and drastic consequences.
Challenge	those who may question a supervisor's decision and expose weaknesses in judgment.
Credibility	former peers, who may challenge a supervisor's new authority. May worry about what they will think if he makes demands.
Rejection	fear and anxiety related to the above outcomes.

Symptoms of Poor Management

Introduction

This map lists bad habits that inhibit supervisors from delegating effectively.

Checklist



At one time or another we've all done these things. However, if you habitually behave in these ways, it's likely due to underlying causes that trigger anxiety and negative coping behavior.

$\bar{0}$	Self-Assessment Checklist
	Forfeit unused annual leave.
	Work evenings and weekends.
	Nothing gets done when I'm not there.
	Employees quickly refer all problems to me.
	Spend most of my time with my employees.
	My boss micro manages and so do I.
	My employees do as told and nothing more.
	Often re-do or finish employees' work.
	People drop-in my office at any time so I can solve their problems.
	Frequently involved in crisis management.
	Don't like to make demands.
	Routinely pitch-in to <i>help</i> others with their work.
	Feel "If I want it done right, I gotta do it myself."
	Frequently search for things I've misplaced.
	Give equal attention to all tasks.
	Handle jobs on a <i>first-come, first-served</i> basis.
	Read everything coming across my desk.
	Put off things I don't like doing.
	Don't tolerate mistakes.
	Don't like surprises.
	Find it hard to say <i>no</i> to unreasonable requests.
	Still like to keep my hand in my old job.
	Use my open-door policy to entertain drop-in visitors.
	Take calls, regardless of what I'm doing.
	Like to get little jobs out of the way before attacking big ones.
	Prefer to do the entire job myself, so I can get all the credit.
	Strive for perfection in everything I do.

Misplaced Motivation

Introduction

This map explains how misplaced motivation hinders one's ability to delegate.

Needs



We act in certain ways from motivation to satisfy needs. Usually we try to satisfy them in useful ways. However, some folks become so obsessed with fulfilling their needs, they resort to negative behavior to satisfy them.

In particular, needs for *affiliation*, *achievement*, and *power* often motivate people to excel, but some people do the wrong things to satisfy them.

Affiliation



A supervisor obsessed with the need for affiliation

- wants to be liked, especially by subordinates.
 - is reluctant to make demands or hold people accountable.
 - gives in to whims to avoid rejection.
 - neglects responsibilities to *help* others.
 - reverses decisions for appeasement.
-

Achievement



A supervisor driven by achievement

- wants all work to be perfect.
 - does it himself to gain feedback and visibility.
 - puts his stamp on everything and bottlenecks work.
 - neglects subordinates to achieve personal success.
 - becomes indispensable and works to exhaustion.
-

Power



A supervisor seized with the need for power

- spends time acquiring it—usually at the organization's expense.
 - uses power as a weapon or reward.
 - micro-manages to maintain control.
 - hoards information for self-protection.
 - schemes to gain more power.²
-

Balance



Secure and confident supervisors

- channel these powerful needs for the good of the organization.
 - measure their achievements through the results of their subordinates.
 - seek reasonable affiliation with peers and mentors.
 - don't ingratiate themselves with subordinates.
 - use their power to empower their subordinates through delegation.
-

Evasive Tactics

Introduction

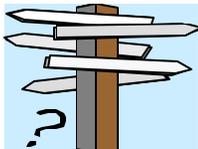
This map describes evasive tactics people use to avoid making demands.

Uncertainty



When uncertain who's responsible, a supervisor may take on the task. Employees may deny ownership when responsibility is unclear. They'll let the boss handle it, especially if he has already started the project.

Mixed messages



Lack of commitment: When carrying out unpopular decisions of superiors, the supervisor may imply that he's merely following orders and would be happy if employees sabotaged the effort.

Excuses: May also imply that a good excuse is almost as good as getting the job done. Then he makes excuses to the boss. Later, does it himself.

Vagueness: May avoid tough decisions with vague assignments such as "reduce backlog." With vagueness he justifies marginal results as success.

Escape Clause: Assigns work but leaves a loop hole: "This is an important job—I'd like you to take care of it when you get a chance." A few weeks later, the job is still not done, and he does it himself.

Joint ownership



Stays fully involved with a subordinate in working a problem. Wants to *help* but may also be signaling that "you're not really capable." The employee fails to take initiative, and two people end up doing the work of one.

Example: Employee approaches the supervisor: "Boss, we have a problem." This invites a joint ownership approach and full involvement of two people.

Take backs



Convinces himself employees are overworked. So he takes back work or gives in to their complaints. Example: An employee complains of not being able to do the job. Supervisor replies, "Let me take a look at it." By giving in to the employee's whining, he takes back the task and lets the employee off the hook.

Stalling



May inherit a task by default. Example:

- **Delegates the task in writing.**
 - **Employee sends it back for more information.**
 - **Memo languishes in the supervisor's in-box.**
 - The longer it sits, the more remote it becomes for the employee. Also sets up an alibi: "You sat on it, now I don't have enough time to do it."
-

Avoiding Reverse Delegation

Introduction

This map explains how to keep employees from delegating tasks back to you.

Responsibility

Don't get stuck with a task because you're not sure who's responsible:



- Know your mission and objectives.
 - Know your staff's capabilities and workload.
 - Assign responsibility for all tasks.
-

No monkeys

Discuss problems in orderly manner, on your terms. Don't discuss them in a rush, or allow people to ambush you in a hallway. If caught by surprise, you're liable to react with a "I'll get back to you later" response.



This puts the monkey on your back. Instead, tell the employee to arrange a time to discuss the issue. This keeps the monkey with the employee.

Oral instructions

Use oral instructions: Preferably, in the employee's presence:



- Promotes understanding.
- Builds commitment.
- Avoids follow-up explanations to clarify written decisions.

Avoid memos: Unless you must have it in writing, don't ask someone to send you a memo about a problem. This throws the ball back into your court.

Initiative

No waiting around: Don't let people work at low levels of initiative—waiting around for your instructions or asking what to do.



No sitting on the action: Unless they can wait, don't let tasks sit in your in-box, while people wait for you to take initiative and decide what to do with them. Transfer the initiative by delegating the task to the right person.

No dumping problems: When they bring you problems, insist that they also have taken the initiative to bring alternatives and recommended solutions.

No take backs

Never take back work or redo poor work. Ensure the employee



- understands the requirement.
- has enough resources.
- accepts responsibility.

When he leaves your office, make sure the task leaves with him.

Overcoming Resistance

Introduction

This table lists excuses employees may use to resist the additional responsibility that delegation requires and suggests techniques to overcome that resistance.

If an employees says		Then
it's easier to be told what to do or ask what to do		<ul style="list-style-type: none"> • set clear objectives. • build commitment. • use tasks to satisfy needs. • hold 'em accountable. • reward initiative.
I'm afraid I'll make a mistake		<ul style="list-style-type: none"> • provide guidance. • train and coach. • give feedback. • reward small successes. • catch 'em doing something right.
already got too much to do		<ul style="list-style-type: none"> • assess time management habits. • validate workload. • get 'em out of their comfort zone. <p>Most people can do more than they think they can or you think they can.</p>
don't think I'm good enough		<ul style="list-style-type: none"> • start with modest objectives. • gradually <i>stretch</i> the person. • give positive feedback. • give 'em a chance to succeed.
what's in it for me?		<ul style="list-style-type: none"> • assign tasks to satisfy needs. • provide a wide range of experiences. • assist in long-term development. • use the awards system.
it's not my job		<ul style="list-style-type: none"> • hold 'em accountable. • add task to job description. • if appropriate, reclassify position. • consult CPAC advisor.

Trust



Most people want to do the right thing. They respond to competent supervision and inspirational leadership that builds trust. To build trust

- set the example with consistent ethical behavior.
- ask for input and accept feasible recommendations.
- don't pass the blame when the boss blames you.
- pass the credit downward when the boss praises you.³

Section B—How to Delegate Authority

Overview

Introduction This section suggests ways for delegating effectively.

In this section This section contains topics listed below:

Topic	See Page
What to Delegate	8-9
What not to Delegate	8-11
How to Delegate	8-12
Management Tools	8-13

What to Delegate

Introduction This map describes types of tasks to delegate.

What to delegate Delegate everything you need not do personally. To do this, learn everyone's responsibilities, especially your own.

Types



Types of tasks to delegate:

- Enrichment tasks.
 - Routine decisions.
 - Details.
 - Duties of your old job.
 - Jobs that don't require perfection.
 - One-time tasks.
 - Jobs that others do better.
 - Tasks to change behavior.
 - Jobs to improve performance.
 - Problems.
-

Enrichment



Enrichment enables people to do a good job because the job has been made *good*. This doesn't mean simply giving them more work to do. It means making their work more meaningful by giving them more responsibility, authority, and control over it. One way to enrich the job is to combine separate tasks into whole projects. People will commit to success if given ownership of the project.

Example



Besides asking someone to gather facts for you to analyze, let him also analyze them and recommend alternatives. This enriches the task and makes it whole. As he gains experience, consider enriching the task further by permitting him to choose the alternative and carry out the decision.

Routine



Reduce as many decisions to routine as possible:

- Clarify your intent so people can routinely decide without consulting you.
 - Use job aids and SOPs so anyone can complete the task.
 - Use *management by exception* to identify decisions they must refer to you.
 - Tell them to make the rest.
-

Details



Concentrate on priorities and delegate time-consuming jobs such as

- reading mail.
 - routing correspondence.
 - reviewing routine reports.
-

Continued on next page

What to Delegate, Continued

Your old job



Though you were good at your old job and had fun doing it, it's time to let go.

Stop rowing and start steering!

No perfection required



You can maintain high standards without perfection. Remember, perfect is the enemy of good. Unless they demand perfection, delegate jobs if someone can do them 80 percent as well as you.

Example: If someone's memo meets writing standards and readers will understand it, send it out. Don't waste time and alienate the writer by re-writing it to your standards of perfection.

One-timers



As the person gains experience, delegate an unfamiliar, one-time task. Handling new ambiguous tasks "stretches" one's abilities and broadens experience.

What others do better



Acknowledge things you don't do as well as others.

Share authority with those who know more than you about getting a job done.

Change



For example, if a subordinate has been careless about security procedures, delegate him to update the security SOP or brief your staff on security awareness.

Improvement



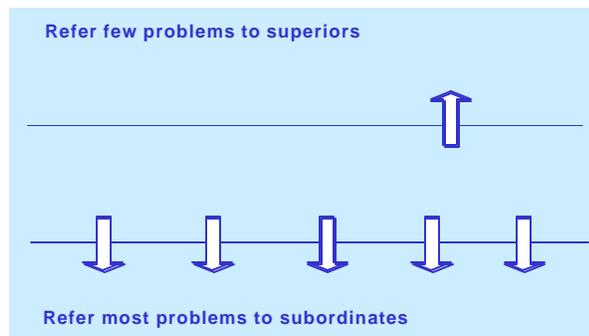
Delegate a demanding project to a talented subordinate who's been performing marginally for lack of challenging assignments in the past.

Problems



Everyone expects the supervisor to be the leading problem solver. But others can do this as well.

Pushing power down avoids the delay that occurs when people must come to you first for information or permission.⁴



What *Not* to Delegate

Introduction

This map describes types of tasks that shouldn't be delegated.

Supervisory duties



Don't delegate key supervisory duties.

Examples:

- Hiring.
- Discipline.
- Awards.
- Counseling.

If you do this you're abusing authority and evading responsibility. You could also cause grievances.

Don't pass the buck or dump your responsibilities on subordinates in the name of delegation. Remember, whether you delegate or not, you're still responsible.

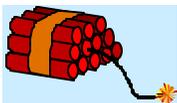
Personal matters



Don't delegate personal matters an employee brings to you in confidence. If he has family or financial problems, offer what help you can.

Preferably, you should refer him to appropriate counselors.

Emergencies



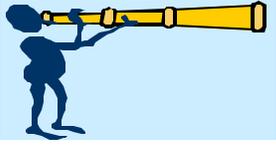
When a crisis erupts, you won't have time to leisurely delegate tasks. Most likely, you'll shift into an authoritarian mode to get the job done. People usually understand and cooperate.

Sensitive issues

Don't delegate a task that's sensitive, confidential, or embarrassing to the organization.

How to Delegate

Introduction This map explains how to delegate a task in seven steps.

Step	Action	Description
1	Select the task 	<ul style="list-style-type: none"> • Fit the task to the person. • Make it challenging but doable. • Try to delegate the whole task to provide enrichment and avoid confusion.
2	Select the person 	<ul style="list-style-type: none"> • Fit the person to the task. • Ensure he can handle it. • Explain why you selected him. • If it's a developmental task, tell him so.
3	Clarify the task 	<ul style="list-style-type: none"> • Define the requirement. • Check for understanding. • Ask for input. • Confirm acceptance of the task. • Gain commitment—most important point! <p><u>Note:</u> Checking for understanding helps to fix accountability. It eliminates the excuse, "I couldn't do it because I didn't understand what you wanted."</p>
4	Organize the task 	<ul style="list-style-type: none"> • Provide guidance, suggestions, and options. • Arrange for resources. • Define the person's range of authority. • Assist in developing a plan.
5	Set 'em free 	<p>Set the person free to be the boss of his own job. Be patient when he encounters problems.</p> <p>Although it's easier to provide solutions, it's better to help the person find one on his own.</p>
6	Maintain control 	<ul style="list-style-type: none"> • Watch from a distance. • Don't meddle. • Share information. • Ask questions. • Check periodically.
7	Evaluate results 	<ul style="list-style-type: none"> • How well results met standards. • Areas needing improvement. • Things done well. • Lessons learned. • Recognition for a job well done.

Management Tools

Introduction This map provides two tools to use when delegating authority.

Checklist Use this checklist to ensure you've covered all essentials:

ö	Delegation Checklist
	Task is <u>not</u> one of my key supervisory responsibilities.
	Person is capable of accomplishing task.
	Person needs (doesn't need) training before undertaking the task.
	Risk involved is affordable.
	Task will enhance professional growth.
	Person understands the requirement.
	Person has submitted input for completing the task.
	Person has accepted and committed to completing task to standards.
	Required resources are available.
	Guidance and options provided for person to consider.
	Boundaries of authority defined.
	Controls identified.
	Performance evaluated and feedback provided.

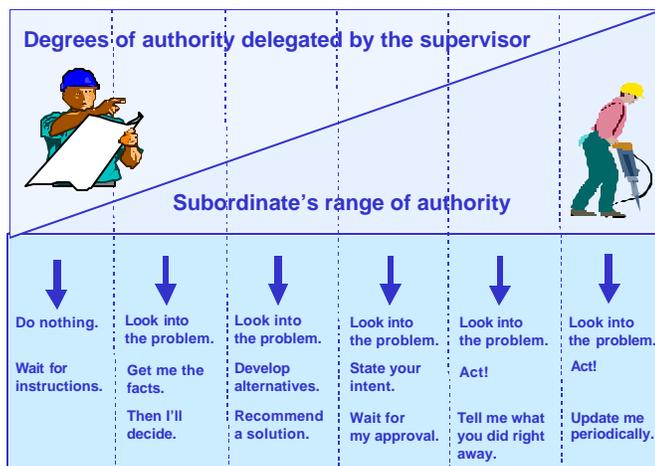
Range of authority

Ensure the subordinate understands the range of authority delegated.

Examples:

- Access to resources.
- Spending limits.
- Tasking authority.

As he gains experience, increase the range. Use this chart as a guide.



Source: W. H. Nesbitt, cited in Harvey Sherman, *It All Depends: A Pragmatic Approach to Organization* (University, AL: U. of Alabama Press, 1966) 83-84.

Section C—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Endnotes	8-14
Lesson Summary	8-15
End-of-Lesson-Exercises	8-17
Answer Key and Feedback	8-18

Endnotes

Introduction To write this lesson we drew from these sources:

¹Henry Mintzberg, “The Manager’s Job: Folklore and Fact,” *Harvard Business Review* 68 (1990) 166. Reprinted as HBR Classic, originally published 1975.

²David C. McClelland and David H. Burnham, “Power is the Great Motivator,” *Harvard Business Review* 54 (1976) 100-110.

³Major portions of content on pages 8-2 through 8-7 derived from three sources cited below:

Ronald N. Ashkenas and Robert H. Schaffer, “Managers Can Avoid Wasting Time,” *Harvard Business Review* 60 (1982) 98-104.

William Oncken, Jr. And Donald L Wass, “Management Time: Who’s Got the Monkey?” *Harvard Business Review* 52 (1974) 91-98.

Robert H. Schaffer, “Demand Better Results and Get Them,” *Harvard Business Review* 54 (1976) 100-110.

⁴James A.F. Stoner and R. Edward Freeman, *Management*, 4th ed. (Englewood Cliffs, NJ: Prentice-Hall, 1989) 173.

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none"> Identify barriers to delegation and ways to overcome them. Describe ways to avoid reverse delegation. Identify forms of resistance to delegation and ways to overcome it. Identify types of tasks to delegate and not delegate. Use a seven-step procedure to delegate a task. 	
Reluctance to delegate	Stems from interrelated causes. <u>Examples</u> : <ul style="list-style-type: none"> Lack of skills, inability to communicate, and poor work habits. Unrestricted open-door policy. Fear of taking risks, anxiety, and possible rejection. 	8-2
Symptoms . . .	Use self-assessment checklist to note habitual negative coping behavior that inhibits one from delegating effectively.	8-3
Misplaced motivation	<u>Affiliation</u> : wants to be liked, especially by subordinates. <u>Achievement</u> : neglects subordinates to achieve personal success. <u>Power</u> : micro manages to maintain control.	8-4
Evasive tactics	To avoid making demands people will <ul style="list-style-type: none"> send mixed messages—excuses, vagueness, escape clauses. stay fully involved in a task, take back work, or inherit it by default. 	8-5
Avoiding reverse delegation	To keep employees from delegating tasks back to you <ul style="list-style-type: none"> assign responsibility for all tasks. keep the monkey with the employee. never take back work. 	8-6
Overcoming resistance	To overcome employee resistance <ul style="list-style-type: none"> set clear objectives. provide guidance. validate workload. give ‘em a chance to succeed. assign tasks to satisfy needs. hold ‘em accountable. 	8-7
What to delegate	<u>Examples</u> of types of tasks to delegate: <ul style="list-style-type: none"> Enrichment tasks. Routine decisions. Details. Tasks to change behavior. Jobs to improve performance. Problems. 	8-9 and 8-10
What <i>not</i> to delegate	<ul style="list-style-type: none"> key supervisory duties. personal matters. emergencies. sensitive issues. 	8-11
How to delegate	Steps: <ul style="list-style-type: none"> Select the task. Select the person. Clarify the task. Organize the task. Set ‘em free. Maintain control. Evaluate results. 	8-12
Management tools	When delegating use checklist to ensure you’ve covered all essentials. Use the chart to guide you in defining range of authority delegated.	8-13

Lesson 8—End-of-Lesson Exercises

Instructions Answer TRUE or FALSE.

- _____ 1. If a supervisor can't communicate, he's likely to do the job himself.
 - _____ 2. An open-door policy could restrict one's ability to delegate.
 - _____ 3. Giving equal attention to all tasks is a good management technique.
 - _____ 4. A supervisor driven by achievement will find it difficult to delegate.
 - _____ 5. Secure supervisors ingratiate themselves with subordinates.
 - _____ 6. When uncertain who's responsible, a supervisor may take on the task.
 - _____ 7. If an employee does poor work, the supervisor should redo it.
 - _____ 8. An employee may resist delegation because he lacks confidence.
 - _____ 9. "Enrichment" simply means giving people more work to do.
 - _____ 10. Delegate one-time tasks to challenge people.
 - _____ 11. Don't delegate problems—that's the supervisor's job.
 - _____ 12. Delegation relieves the supervisor of responsibility.
 - _____ 13. Most important point in explaining a task is gaining commitment.
 - _____ 14. It's better to provide a solution than it is to let a person find his own.
 - _____ 15. As people gain experience in making decisions, delegate them more authority.
-

Lesson 8—Answer Key and Feedback

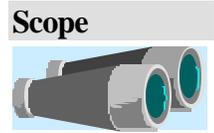
Instructions Correct answers and page references cited below.

- TRUE 1. If a supervisor can't communicate, he's likely to do the job himself. (Page 8-2)
- TRUE 2. An open-door policy could restrict one's ability to delegate. (Page 8-2)
- FALSE 3. Giving equal attention to all tasks is a good management technique. (Page 8-3)
- TRUE 4. A supervisor driven by achievement will find it difficult to delegate. (Page 8-4)
- FALSE 5. Secure supervisors ingratiate themselves with subordinates. (Page 8-4)
- TRUE 6. When uncertain who's responsible, a supervisor may take on the task. (Page 8-5)
- FALSE 7. If an employee does poor work, the supervisor should redo it. (Page 8-6)
- TRUE 8. An employee may resist delegation because he lacks confidence. (Page 8-7)
- FALSE 9. "Enrichment" simply means giving people more work to do. (Page 8-9)
- TRUE 10. Delegate one-time tasks to challenge people. (Page 8-10)
- FALSE 11. Don't delegate problems—that's the supervisor's job. (Page 8-10)
- FALSE 12. Delegation relieves the supervisor of responsibility. (Page 8-11)
- TRUE 13. Most important point in explaining a task is gaining commitment. (Page 8-12)
- FALSE 14. It's better to provide a solution than it is to let a person find his own. (Page 8-12)
- TRUE 15. As people gain experience in making decisions, delegate them more authority.
(Page 8-13)

Module III—Personal Effectiveness

Overview

Introduction This map provides an overview of the four lessons in this module.



Scope This module contains four stand-alone lessons that describe various ways to increase personal effectiveness.

In this module This module contains four lessons:

Lesson #	Title	See Page
9	Solving Problems and Making Decisions	9-1
10	Managing Meetings and Creating Ideas	10-1
11	Listening and Observing	11-1
12	Ethics	12-1

Module III—Personal Effectiveness

Lesson 9—Solving Problems and Making Decisions

Overview

Introduction This lesson describes techniques for solving problems and making decisions.

Rationale



We solve problems and make decisions every day, both at home and at work. These skills are especially important in the workplace. We must solve problems and recommend decisions our bosses can accept in confidence.

Objectives



- Use a six-step procedure for solving problems.
 - Apply adaptive techniques to make decisions.
 - Explain why effective managers should not be problem solvers.
 - Gain power to make decisions.
-

In this lesson This lesson contains two sections, as shown below:

Section A:	Topic	See Page
Main topics	Problem-Solving Steps	9-2
	Step 1: Define the Problem	9-3
	Step 2: Gather Information	9-4
	Step 3: Develop Alternatives	9-6
	Step 4: Weigh Alternatives	9-8
	Step 5: Select the Best Alternative	9-9
	Step 6: Obtain Approval and Implement the Decision	9-9
	Adaptive Decision Making	9-10
	Problems, Decisions, and Managers	9-12
	Gaining Power to Make Decisions	9-13

Section B:	Topic	See Page
Back matter	Overview	9-14
	Lesson Summary	9-15
	Endnotes	9-17
	End-of-Lesson Exercises	9-18
	Answer Key and Feedback	9-20

Problem-Solving Steps

Introduction This map introduces a six-step procedure for solving problems.

Problem-solving steps To solve a problem, follow these steps:

Step	Action
1	Define the problem.
2	Gather information.
3	Develop alternatives.
4	Weigh alternatives.
5	Select the best alternative.
6	Obtain approval and implement the solution.

Flexibility



This procedure looks as if one moves neatly from step to step. This isn't the case; these six steps simply provide a structure for working the problem.

They overlap, and you may have to return to earlier steps or continue to work them simultaneously until you solve the problem.

Examples



Examples of flexibility in the problem-solving steps:

- Information gathering occurs in all steps—from recognition of the problem to implementation of its solution.
 - New information may force a return to Step 1.
 - Alternatives may be unworkable, and you'll have to find new ones.
 - Some steps may be combined or abbreviated.
-

Caution



In all cases, consider each step before proceeding to the next—if only in passing.

Otherwise, you may fail to achieve the objective or achieve it only with greater effort and expenditure of resources.

Job aid



Use the map, *Guiding Discussion* in Lesson 10 as a job aid.

It lists questions and statements to guide you through each phase of a problem-solving session.

Step 1: Define the Problem

Introduction This map explains how to recognize and define a problem.

Definition



A problem is

- a question raised for inquiry, consideration, or solution.
- an unsettled question.
- a source of perplexity—what stands between us and some goal.

Difficulty



Recognizing a problem is often difficult:

- May lack information to define it.
- Can confuse symptoms with underlying causes.

Questions

To define the problem, ask questions:

√	Problem Definition Checklist
	What is the problem?
	Is this the real problem or merely a symptom of a larger one?
	Is it my problem?
	Can I solve it?
	Is it worth solving?
	Does it need an immediate solution, or can it wait?
	Is it likely to go away by itself?
	Can I risk ignoring it?
	Does the problem have ethical dimensions?
	What conditions must the solution satisfy?
	Will the solution affect conditions that must remain unchanged?
	If this is an old problem, what's wrong with the previous solution?

Problem statement

Define the problem by stating it in one of these forms:

Form	Example
Infinitive phrase.	"To find ways to . . . "
Statement of need.	"We need to . . ."
Question.	"How can we . . . ?"

Vagueness



A decision maker may state the problem in broad terms. The exact problem may not be obvious. For clarity, use one of the above formats to write a statement of the problem. Then send it forward for confirmation.

Step 2: Gather Information

Introduction

This map explains how to gather information and search for a solution.

Brainstorm



Before beginning intensive research, *brainstorm* to form ideas and visualize potential solutions.

Note: Review *Brainstorming* in Lesson 10, Section B, *Creating Ideas*.

Focus



Early in your research possible solutions may emerge. Focus information-gathering efforts on them. If you collect information without tying it to possible solutions, much of it will prove irrelevant, and you'll only have to discard it later.

Organize



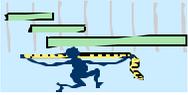
Organize information into these categories:

Assumptions	Ideas or predictions accepted without proof (discussed in more detail on page 9-5).										
Constraints	Limitations bearing on the problem and difficult to change: <ul style="list-style-type: none"> • Lack of funds, manpower, time, or other resources. • Biases of the decision maker or other powerful interests. 										
Criteria	Standards to be met or conditions a solution must satisfy. See Step 3, page 9-6.										
Facts	Observed events, past or present, either personally observed or reported. Sources of facts: <table border="1" style="margin-left: 20px;"> <thead> <tr> <th>Source</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Reading </td> <td>Gathering knowledge and analyzing other people's experiences.</td> </tr> <tr> <td>Observing </td> <td>Gaining perception of the situation and its relation to the problem.</td> </tr> <tr> <td>Questioning </td> <td>Acquiring knowledge and different views of the problem.</td> </tr> <tr> <td>Testing </td> <td>Validating or rejecting possible solutions as new information becomes available.</td> </tr> </tbody> </table>	Source	Description	Reading 	Gathering knowledge and analyzing other people's experiences.	Observing 	Gaining perception of the situation and its relation to the problem.	Questioning 	Acquiring knowledge and different views of the problem.	Testing 	Validating or rejecting possible solutions as new information becomes available.
Source	Description										
Reading 	Gathering knowledge and analyzing other people's experiences.										
Observing 	Gaining perception of the situation and its relation to the problem.										
Questioning 	Acquiring knowledge and different views of the problem.										
Testing 	Validating or rejecting possible solutions as new information becomes available.										
Opinions	Personal judgments. To be acceptable, they must be informed and bias free. Off-the-cuff opinions are usually of little value.										
Definitions	Explanations of terms or procedures for unfamiliar readers.										

Continued on next page

Step 2: Gather Information, Continued

Criteria and facts



While all data sources are important, criteria and facts are most important:

- Criteria are standards a solution must meet. If it meets all or most criteria, it's likely to be a good solution.
 - Facts represent truths that uphold a solution.
-

Impact of constraints



While criteria and facts are the most important data sources, constraints could overshadow them. If severe, constraints could be the most important consideration.

If a solution is surrounded by too many constraints, it's likely to be a poor solution.

Definition: assumptions



Assumptions are

- suppositions on current and future events taken to be true but unproved.
 - educated guesses stating what's likely to occur in view of experience and information at hand.
 - statements of conditions that must exist to reach a solution.
-

When to use



You'll never get all the facts, so use assumptions to

- forecast contingencies.
 - define limiting factors.
 - provide a substitute for missing facts.
 - enable you to begin planning.
-

Examples



Examples of assumption statements:

- Existing resources will (won't) support the solution.
 - Additional resources will (won't) be available.
 - Mission will (won't) remain unchanged.
 - Project will (won't) be given top priority.
 - Risk is (isn't) affordable.
-

Caution



Don't use too many assumptions—you'll assume away the problem.

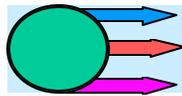
Do discard assumptions when facts overtake them or if proved invalid.

Step 3: Develop Alternatives

Introduction

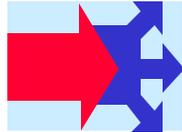
This map explains how to develop alternatives.

List



When reaching this step, you should have enough data to support one or more possible alternatives. List as many alternatives as facts and assumptions will support. You will eventually weigh these alternatives against criteria.

Analyze



Use information gathered to analyze alternatives:

- Reject the unsuitable.
- Retain the promising.
- Identify those needing more information.
- Note those likely to meet strong opposition.

Apply criteria

Use these criteria to accept or reject possible alternatives:

Criteria	Description
Suitable	Fitting solution to the problem. Meets necessary conditions.
Feasible	Practical but ethical. Resources are available.
Acceptable	Worth cost or risk. People affected can live with it.

Review



Ask if the alternative is suitable, feasible, and acceptable. A suitable solution is one that solves the problem.

However, it may not be feasible because resources aren't available, people won't accept it, or it may cause new problems.

Screen

Before completing research, take these steps:

Step	Action
1	Screen out unsuitable alternatives.
2	Then screen remaining alternatives for feasibility and acceptability.
3	Identify alternatives that may be the source of nonconcurrences.
4	Direct further research toward facts needed to <ul style="list-style-type: none"> • review remaining feasible and acceptable alternatives. • replace assumptions. • evaluate potential nonconcurrences.

Continued on next page

Step 3: Develop Alternatives, Continued

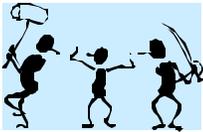
Rate

Use this simple decision matrix to rate alternatives against criteria:

ALTERNATIVES				
CRITERIA:	A	B	C	D
Suitable				
Feasible				
Acceptable				
Additional criteria				

Legend:
✓ -- Meets criteria.
0 -- Does not meet criteria.

Note disagreement



When developing alternatives, identify areas of potential disagreement. Dealing with this now helps eliminate or reduce possible nonconcurrences. If a proposal affects other people's agendas, they'll vigorously oppose it.

As a practical and ethical matter, however, always consider opposing viewpoints—it's part of the staffing process. Honest dissenters may expose weaknesses in your thinking and suggest a better solution.

Try to settle



Before choosing an unpopular alternative, try to reach a settlement informally. If you can't, at least you will have given the opposition a hearing, and they can still formally nonconcur, if they wish.

Caution



Don't consider compromise until you have a full grasp of the problem. If you compromise too soon, you may give away the best solution.¹

Step 4: Weigh Alternatives

Introduction

This map explains how to weigh each alternative and choose the best.

Weigh

Consider all reasonable alternatives possible solutions. An obviously best solution is rare.



The best possible solution is the one that has the most flexibility and meets all or *most* of the criteria.

Steps

To weigh each alternative and eventually choose the best, use Thomas Saaty's analytical hierarchy matrix.

Step	Action						
1	List alternatives in columns and rows as depicted in matrix below.						
2	Starting with Alternative A, go across columns in the matrix and rate each alternative against all the others. <table border="1" style="margin: 10px auto;"> <thead> <tr> <th>When</th> <th>Then</th> </tr> </thead> <tbody> <tr> <td>the alternative under consideration has more value than the others</td> <td>give the more valuable alternative a score of <u>1</u>.</td> </tr> <tr> <td>the alternative has less value than the others</td> <td>give the less valuable alternative a score of <u>0</u>.</td> </tr> </tbody> </table>	When	Then	the alternative under consideration has more value than the others	give the more valuable alternative a score of <u>1</u> .	the alternative has less value than the others	give the less valuable alternative a score of <u>0</u> .
When	Then						
the alternative under consideration has more value than the others	give the more valuable alternative a score of <u>1</u> .						
the alternative has less value than the others	give the less valuable alternative a score of <u>0</u> .						
3	Tally scores for each row. Highest score is the best choice. In the matrix below, alternative C scores highest, so it's the best choice.						

ANALYTICAL HIERARCHY MATRIX						
	Alternatives				Row Sum	Rank
	A	B	C	D		
Alternative A	/	0	0	0	0	4th
Alternative B	1	/	0	1	2	2nd
Alternative C	1	1	/	1	3	1st
Alternative D	1	0	0	/	1	3rd

Step 5: Select the Best Alternative

Introduction

This map explains Steps 5 and 6 in the problem-solving process.

Select best alternative



After weighing alternatives, one or two should stand above the rest. Pick the best one, coordinate the action, and send it forward for approval. Consider each alternative carefully, but don't waste time trying to pick the perfect solution.

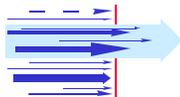
Remember the Principle of Flexibility discussed in Lesson 1.

. . . a good plan violently executed *now* is better than a perfect plan next week.

—General George S. Patton, Jr., *War as I Knew It*.

Step 6: Obtain Approval and Implement the Decision

Follow up



Your job doesn't end with the recommendation winning approval. Until it's acted on, the decision simply remains as a good intention. Follow up aggressively, or the decision will fail for lack of resolve or timid execution.

Means



Use these means to follow up on a decision:

- A memorandum for record (MFR) to record who does what.
 - *Hotwash* (meeting among action officers to discuss taskings).
 - A complete plan ready for execution (or an outline plan if appropriate).
-

Outline plan



An outline plan is a skeleton plan that contains enough information for detailed planning to begin. If assured your recommendation will be adopted, prepare a complete plan. If unsure, prepare outline plans for feasible alternatives.

Advantages



An outline plan enables a planner to

- provide information to the decision maker.
- seek allocation of resources.
- obtain recommendations from those involved or affected.
- initiate and expedite planning at lower levels.

Keep outline plans updated, for the adopted alternative may later be abandoned and replaced with another.

Adaptive Decision Making

Introduction

This map explains how to apply adaptive techniques to decision making.

Definition:



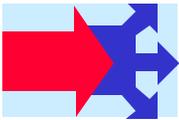
Adaptive techniques are a combination of logic and common sense. While not precise, they usually produce satisfactory if not ideal solutions. Use these techniques when you have little time, don't need exhaustive analysis, and can accept affordable risks.

Reasons



Purely rational decisions often take time and exhaustive research. This is not always possible or necessary. Adaptive techniques allow us to proceed with incomplete knowledge but with caution and agility. In many cases these techniques allow us to make reversible decisions.

Techniques



We can use these adaptive techniques to make decisions:

- Intuition.
- Delay.
- Hedging.
- Rules of thumb.
- Staggering.
- Exploration.

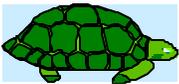
Intuition



Have you ever seen something that looked in order, but somehow you knew it just wasn't right? That was intuition working. It's a form of truth, based on emotions, values, and experience—your gut feelings and your heart!

While often able to arrive at the truth through intuition, don't rely on it exclusively. It can trigger snap judgments and rash decisions. Use logic first, then your intuition to make the decision "feel" right.

Delay



If an immediate decision isn't necessary and there's time to develop options, go slow or let it wait. Sometimes doing nothing is the best decision; the problem either goes away, or events overcome it.

Hedging



Avoid decisions that lock you into a single choice. Hedging is a decision with built-in safeguards and flexibility. Examples:

- When investing, don't "put all your eggs in one basket." Spread risks with a balanced portfolio of stocks, bonds, and cash.
- Before purchasing an automated inventory system, consider a lease-option.²

Continued on next page

Adaptive Decision Making, Continued

Rules of thumb



A rule of thumb is a rule based on practical experience and habit. Examples:

- When ahead in the count (0-2), a pitcher will *waste* the next pitch.
- Lenders limit mortgages to three times a borrower's annual income.
- Leasing firms replace rental cars at sixty-thousand miles.

Rules of thumb have both advantages and disadvantages:

Advantages	Disadvantages
<ul style="list-style-type: none"> • They usually work. • Make life simpler. • Save time. 	<ul style="list-style-type: none"> • They have exceptions. • Are sometimes biased. • Can cloud judgment.³

Decision staggering



Make incremental decisions to achieve an objective and avoid up-front commitment to an irreversible decision.

Example: Before installing air-conditioning, try screens, shades, and fans. These alone may do the job. If not, these improvements will still have helped cool the building and increase air-conditioning efficiency if later installed.

Exploration



Use information available to probe for a solution. Exploring is a modified trial-and-error strategy to manage risk. Unlike a throw of dice, however, it requires a firm sense of purpose and direction.

Use this technique to move cautiously in small steps toward a solution.

Example

Physicians avoid committing to a single, incomplete diagnosis. Through tentative but precise exploration, they determine the cause of an illness and its cure. To make a disciplined exploration, they follow these steps:

Step	Action
1	Assess patient's condition.
2	Isolate symptoms.
3	Cautiously begin treatment.
4	Reassess patient's condition: If the patient <ul style="list-style-type: none"> • improves, stay with treatment. • fails to improve, switch treatment.⁴

Advantages



Exploration enables physicians to avoid making two bad decisions:

- Diagnosing a well person as sick.⁵
- Diagnosing a sick person as well.

Problems, Decisions, and Managers

Introduction

This map explains why managers should look beyond today's problems and focus on tomorrow's opportunities.

Problems



Managers solve problems, but that's not their main job. If they stay wedded to problems (usually everyday problems), they become mediocre managers:

- As they solve problems, people bring them more; the more they solve, the more people bring.
- Immersion in problems denies these managers opportunities to make quality decisions to avert these problems in the first place.
- In solving today's problems, mediocre managers simply restore the status quo and await more problems.

Decisions

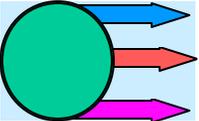


Effective managers, while not ignoring problems don't become immersed in them. Instead, they delegate them to their rightful owners.

This frees them for more worthy endeavors:

- Making decisions to avert tomorrow's problems.
- Focusing on the future.

Opportunities and options



Focusing on the future enables us to uncover hidden opportunities. The future also provides time to develop options. With options, we make better decisions. Without them, decisions become forced choices and likely poor choices.

By finding tomorrow's opportunities and developing options, effective managers can make enduring, quality decisions.

Effectiveness



Managers should not be the chief problem solvers, but people who work for them should.

However, as we've just seen, ability to solve problems is not the sole measure of effectiveness.

Vision



When people become formal managers and leaders, they must summon their vision to look beyond today's problems.

This is what astute managers and bold leaders do to achieve effectiveness.⁶

Gaining Power to Make Decisions

Introduction This map describes ways to increase your power to make decisions.

Indecision Some decisions invite risk, fear, and anxiety. To escape this unpleasantness and seek comfort, some people resort to negative coping behavior—described below.

Stalling



- Refusing to face the issue.
 - Obsessive gathering of endless facts.
-

Overreacting



- Shooting from the hip with mindless decisions.
 - Wasting resources to make rash decisions work.
-

Vacillating



- Unable to pick the best course of action.
 - Reversing decisions.
-

Half measures



- Muddling through.
 - Making the *safest* decision to avoid controversy.⁷
-

Barriers



The same psychological barriers that cause time wasting and failure to delegate also cause indecision. To recognize and overcome these barriers, review Lessons 7 and 8 in Module II.

Tools

Use these tools to increase range and impact of your decisions:



Delegation of authority: Increase leverage by empowering people to make decisions on your behalf.

Plans: Use plans to make decisions—empowers you to act and makes decisions easier to defend.

Intent: Clearly state your intent, so people can decide without asking you for instructions or permission to act.

Management by exception: Identify those matters that must be referred to you, and let others make decisions on the rest, without unnecessarily involving you.

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Lesson Summary	9-15
Endnotes	9-17
End-of-Lesson-Exercises	9-18
Answer Key and Feedback	9-20

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page														
Objectives	<ul style="list-style-type: none"> • Use a six-step procedure to solve problems. • Apply adaptive techniques to make decisions. • Explain why effective managers should not be problem solvers. • Gain power to make decisions. 															
Problem solving steps	<table border="1" data-bbox="383 516 1190 810"> <thead> <tr> <th data-bbox="383 516 516 554">Step</th> <th data-bbox="516 516 1190 554">Action</th> </tr> </thead> <tbody> <tr> <td data-bbox="383 554 516 592">1</td> <td data-bbox="516 554 1190 592">Define the problem.</td> </tr> <tr> <td data-bbox="383 592 516 630">2</td> <td data-bbox="516 592 1190 630">Gather information.</td> </tr> <tr> <td data-bbox="383 630 516 667">3</td> <td data-bbox="516 630 1190 667">Develop alternatives.</td> </tr> <tr> <td data-bbox="383 667 516 705">4</td> <td data-bbox="516 667 1190 705">Weigh alternatives.</td> </tr> <tr> <td data-bbox="383 705 516 743">5</td> <td data-bbox="516 705 1190 743">Select the best alternative.</td> </tr> <tr> <td data-bbox="383 743 516 810">6</td> <td data-bbox="516 743 1190 810">Obtain approval and implement the solution.</td> </tr> </tbody> </table> <p data-bbox="347 831 1190 867">Steps are flexible, overlap, and provide structure to work the problem.</p>	Step	Action	1	Define the problem.	2	Gather information.	3	Develop alternatives.	4	Weigh alternatives.	5	Select the best alternative.	6	Obtain approval and implement the solution.	9-2
Step	Action															
1	Define the problem.															
2	Gather information.															
3	Develop alternatives.															
4	Weigh alternatives.															
5	Select the best alternative.															
6	Obtain approval and implement the solution.															
Step 1	Define the problem by stating it in one of these forms: <ul style="list-style-type: none"> • Infinitive phrase. • Statement of need. • Question. Submit statement to decision maker to confirm agreement.	9-3														
Step 2	Focus information gathering on early solutions. Or much of what was gathered will prove irrelevant.	9-4														
Organize	<ul style="list-style-type: none"> • Assumptions. • Constraints. • Criteria. • Facts. • Opinions. • Definitions. 	9-4														
Assumptions	<ul style="list-style-type: none"> • Suppositions on events taken to be true but unproved. • Serve as a substitute for facts when unavailable. • Discard assumptions if facts overtake them or if proved invalid. • Don't use too many assumptions—you'll assume away the problem. 	9-5														
Step 3	Use information gathered to analyze alternatives: <ul style="list-style-type: none"> • Reject the unsuitable. • Retain the promising. • Identify those needing more information. • Note those likely to meet strong opposition. 	9-6														
Criteria	Use these criteria to accept or reject alternatives: <ul style="list-style-type: none"> • Suitable. • Feasible. • Acceptable. 	9-6														

Continued on next page

Lesson Summary, Continued

Key points (continued)

Topic	Summary	Page														
Screen	<ul style="list-style-type: none"> • Screen out unsuitable alternatives. • Screen remaining alternatives for feasibility and acceptability. • Identify potential nonconcurrences. <p>Direct further research to</p> <ul style="list-style-type: none"> • review remaining alternatives. • replace assumptions. • evaluate potential nonconcurrences. <p>Before completing research and choosing an alternative, seek out potential disagreement and try to resolve it informally.</p>	9-6 and 9-7														
Step 4	Use Saaty's analytical hierarchy matrix to weigh alternatives.	9-8														
Step 5	After analyzing alternatives, pick the best one; coordinate it, and submit it to the decision maker for approval. <u>Don't</u> waste time trying to pick the perfect solution.	9-9														
Step 6	Follow up aggressively or decision will fail for lack of resolve or timid execution. Prepare an MFR and implementing documents.	9-9														
Adaptive decision making	<p>Use when you have little time and don't need exhaustive analysis.</p> <table border="1" data-bbox="381 976 1209 1270"> <thead> <tr> <th data-bbox="381 976 722 1018">Adaptive Technique</th> <th data-bbox="722 976 1209 1018">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="381 1018 722 1060">Intuition.</td> <td data-bbox="722 1018 1209 1060">Truth based on gut feelings.</td> </tr> <tr> <td data-bbox="381 1060 722 1102">Delay.</td> <td data-bbox="722 1060 1209 1102">Intentional procrastination.</td> </tr> <tr> <td data-bbox="381 1102 722 1144">Hedging.</td> <td data-bbox="722 1102 1209 1144">Decisions with built-in safeguards.</td> </tr> <tr> <td data-bbox="381 1144 722 1186">Rules of thumb.</td> <td data-bbox="722 1144 1209 1186">Pragmatic rules that usually work.</td> </tr> <tr> <td data-bbox="381 1186 722 1228">Staggering.</td> <td data-bbox="722 1186 1209 1228">Incremental decisions.</td> </tr> <tr> <td data-bbox="381 1228 722 1270">Exploration.</td> <td data-bbox="722 1228 1209 1270">Modified trial and error.</td> </tr> </tbody> </table>	Adaptive Technique	Description	Intuition.	Truth based on gut feelings.	Delay.	Intentional procrastination.	Hedging.	Decisions with built-in safeguards.	Rules of thumb.	Pragmatic rules that usually work.	Staggering.	Incremental decisions.	Exploration.	Modified trial and error.	9-10 and 9-11
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Exploration.	Modified trial and error.															
Problems, decisions, managers	In solving today's problems, mediocre managers simply restore the status quo. Effective managers delegate problems. This frees them to discover opportunities, develop options, and make quality decisions.	9-12														
Gaining power to make decisions	<p>Gain power by eliminating negative coping behavior to avoid decisions:</p> <table border="1" data-bbox="365 1428 1209 1627"> <thead> <tr> <th data-bbox="365 1428 738 1470">Behavior</th> <th data-bbox="738 1428 1209 1470">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="365 1470 738 1512">Stalling.</td> <td data-bbox="738 1470 1209 1512">Refusing to face the issue.</td> </tr> <tr> <td data-bbox="365 1512 738 1554">Overreacting.</td> <td data-bbox="738 1512 1209 1554">Shooting from the hip.</td> </tr> <tr> <td data-bbox="365 1554 738 1596">Vacillating.</td> <td data-bbox="738 1554 1209 1596">Reversing decisions.</td> </tr> <tr> <td data-bbox="365 1596 738 1627">Half-measures.</td> <td data-bbox="738 1596 1209 1627">Muddling through.</td> </tr> </tbody> </table> <p>Increase range and impact of your decisions through</p> <ul style="list-style-type: none"> • delegation of authority. • plans. • intent. • management by exception. 	Behavior	Description	Stalling.	Refusing to face the issue.	Overreacting.	Shooting from the hip.	Vacillating.	Reversing decisions.	Half-measures.	Muddling through.	9-13				
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Vacillating.	Reversing decisions.															
Half-measures.	Muddling through.															

Endnotes

Introduction To write this lesson we drew from these sources:

Acknowledgment: Except where noted below, content on pages 9-2 through 9-9 has been drawn largely from doctrine and instructional materials from the U.S. Army Command and General Staff College and the Combined Arms and Services Staff School, Fort Leavenworth, KS.

¹Peter F. Drucker, *The Effective Executive* (New York: Harper & Row, 1966) 130-134.

²Ami Etzioni, "Humble Decision Making," *Harvard Business Review* 67 (1989) 125-126.

³James A. F. Stoner and R. Edward Freeman, *Management*, 4th ed. (Englewood Cliffs, NJ: Prentice Hall, 1989) 177-181.

⁴Etzioni, 125-126.

⁵Seven Kerr, "On the Folly of Rewarding A, While Hoping for B," *Academy of Management Journal* 18 (1975) 769-783.

⁶Peter F. Drucker, *The Effective Executive* (New York: Harper & Row, 1966) 108-112.

⁷Etzioni, 122-123.

Lesson 9—End-of-Lesson Exercises

Instructions Select the best answer or answers.

1. If assigned a vaguely worded problem, what should you do?
 - a. Write an implementation plan for addressing the problem.
 - b. Write a statement of the problem and send it to the decision maker for confirmation.
 - c. Start working on the problem as you understand it.
 - d. Send it back to the decision maker and request clarification.

2. What will happen if you collect information that can't be tied to a possible solution?
 - a. Much of it will prove to be irrelevant, and you'll have to discard it.
 - b. You can retain it for future reference—might need it later.
 - c. You'll increase chances of finding an early solution.
 - d. You'll gain additional knowledge.

3. What two sources of information are most important?
 - a. Facts.
 - b. Opinions.
 - c. Criteria.
 - d. Definitions.

4. In which two cases should you discard assumptions?
 - a. When facts overtake them.
 - b. If they prove invalid.
 - c. When there's time to search for facts.
 - d. When time is limited.

5. When developing alternative solutions, why identify areas of potential disagreement?
 - a. May lead to new alternatives.
 - b. Will alert you to bypass the opposition.
 - c. Dealing with disagreement early reduces chances of formal nonconcurrence.
 - d. Will enable you to override the nonconcurrence.

Lesson 9—End-of-Lesson Exercises, Continued

6. Review Saaty's analytical hierarchy matrix pictured here.

Which is the best alternative and why?

- Alternative A—lowest score.
- Alternative B—highest score.

		ANALYTICAL HIERARCHY MATRIX			
		Alternatives			
		A	B	C	D
Alternative A			0	0	0
Alternative B	1		1	1	
Alternative C	1	1		0	
Alternative D	1	0	0		

Select two reasons for developing outline plans.

- Enables a planner to initiate and expedite planning at lower levels.
 - Eliminates need to develop complete plans.
 - Provides a course of action if an adopted alternative is later replaced with another.
 - Enables a planner to avoid testing a course of action before beginning detailed planning.
-

- Rules of thumb
 - are foolproof guides for making decisions.
 - are generally unreliable.
 - can be biased.
 - add complexity to decisions.
-

- Managers should
 - be the chief problem solvers in their organization.
 - focus on tomorrow's problems.
 - focus on today's problems.
 - measure their success by the number of problems they solve.
-

- Which tool increases the range and impact of your decisions?
 - Delegating.
 - Managing by crisis.
 - Close supervision.
 - Making all decisions.
-

Lesson 9—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. If assigned a vaguely worded problem, what should you do?
 - a. Write an implementation plan for addressing the problem.
 - b. Write a statement of the problem and send it to the decision maker for confirmation.**
 - c. Start working on the problem as you understand it.
 - d. Send it back to the decision maker and request clarification.

Correct choice is b. Puts you both on the same sheet of music. (Page 9-3)

2. What will happen if you collect information that can't be tied to a possible solution?
 - a. Much of it will prove to be irrelevant, and you'll have to discard it.**
 - b. You can retain it for future reference—might need it later.
 - c. You'll increase chances of finding an early solution.
 - d. You'll gain additional knowledge.

Link information to possible solutions. (Page 9-4)

3. Which two sources of information are most important?
 - a. Facts.**
 - b. Opinions.
 - c. Criteria.**
 - d. Definitions.

Unless informed and objective, opinions generally have little value. (Page 9-5)

4. In which two cases should you discard assumptions?
 - a. When facts overtake them.**
 - b. If they prove invalid.**
 - c. When there's time to search for facts.
 - d. When time is limited.

Get rid of assumptions when they've served their purpose. (Page 9-5)

5. When developing alternative solutions, why identify areas of potential disagreement?
 - a. May lead to new alternatives.**
 - b. Will alert you to bypass the opposition.
 - c. Dealing with disagreement early reduces chances of formal nonconcurrence.**
 - d. Will enable you to override the nonconcurrence.

Knowing who disagrees and why enables you to negotiate differences. (Page 9-7)

Lesson 9—Answer Key and Feedback, Continued

6. Review Saaty's analytical hierarchy matrix pictured here.

Which is the best alternative and why?

- a. Alternative A—lowest score.
b. Alternative B—highest score.

Correct choice is b. It's the best choice, because it scores highest when rated against each alternative. (Page 9-8)

ANALYTICAL HIERARCHY MATRIX				
Alternatives				
	A	B	C	D
Alternative A		0	0	0
Alternative B	1		1	1
Alternative C	1	1		0
Alternative D	1	0	0	

7. Select two reasons for developing outline plans.
- a. **Enables a planner to initiate and expedite planning at lower levels.**
b. Eliminates need to develop complete plans.
c. **Provides a course of action if an adopted alternative is later replaced with another.**
d. Enables a planner to avoid testing a course of action before beginning detailed planning.

Outline plans give you time to react. (Page 9-9)

8. Rules of thumb
- a. are foolproof guides for making decisions.
b. are generally unreliable.
c. **can be biased. (Page 9-11)**
d. add complexity to decisions.

9. Managers should
- a. be the chief problem solvers in their organization.
b. **focus on tomorrow's problems. (Page 9-12)**
c. focus on today's problems.
d. measure their success by the number of problems they solve

10. Which tool increases the range and impact of your decisions?
- a. **Delegating. (Page 9-13)**
b. Managing by crisis.
c. Close supervision.
d. Making all decisions

Module III - Personal Effectiveness

Lesson 10 - Managing Meetings and Creating Ideas

Overview

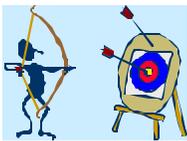
Introduction This lesson explains how to manage meetings and create ideas.

Rationale



Those who rely on others for results must know how to manage meetings and create ideas.

Objectives



- Plan a meeting.
 - Prepare an agenda.
 - Manage a meeting in all its phases.
 - Define the four roles played in an interactive meeting.
 - Create ideas through the group's collective mind.
-

In this lesson This lesson contains three sections, as shown below:

Section A:	Topic	See Page
Managing meetings	Planning a Meeting	10-2
	Preparing an Agenda	10-3
	Opening a Meeting	10-4
	Guiding Discussion	10-5
	Getting People to Contribute	10-6
	Controlling Disruptive Behavior	10-7
	Concluding a Meeting	10-8
	Interactive Meetings	10-10
	Interactive Roles	10-11

Section B:	Topic	See Page
Creating ideas	Overview	10-13
	Brainstorming	10-14
	Mind Mapping	10-15
	Modified Delphi Technique	10-16

Section C:	Topic	See Page
Back matter	Overview	10-17
	Lesson Summary	10-17
	Endnotes	10-19
	End-of-Lesson-Exercises	10-21
	Answer Key and Feedback	10-24

Planning a Meeting

Introduction

This map explains how to plan a meeting.

Rule of thumb



Before holding a meeting, ask if one is necessary.

Don't hold one if seeing people individually will get the same results in less time.

Purpose

The purpose of a meeting is to accomplish any or all of these objectives:

Objective	Description
Information	Impart or trade information that needs no decision or action.
Discussion	Exchange ideas, opinions, and suggestions.
Decision	Solve problems, make decisions, or devise plans.

Caution



Ensure participants know the objective. If unsure, they may waste time trying to reach a decision when the issue is simply up for discussion.

Limits



Limit the scope to topics with a common theme. Don't jam in unrelated topics.

Limit information: Don't announce routine information easily sent by message.

Impart information only to emphasize it personally, clarify a complex subject, or transmit serious news.

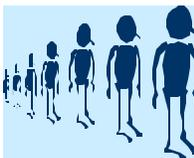
Membership



Select people who

- are informed on topics.
 - are affected by the issue.
 - can contribute to the desired outcome.
 - can speak for their bosses.
-

Number



Limit number of participants to about seven. Otherwise, you'll either lose track or waste time refereeing disputes. However, size is relative:

If working with a

- cohesive group, you might easily accommodate more than seven.
 - contentious group and contentious issues, seven may be too many.
-

Tips



Tip 1: If you must involve a large group, consider splitting it and holding two meetings to cover different segments of the issue.

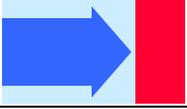
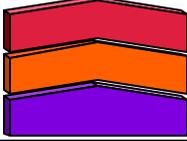
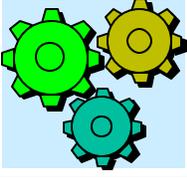
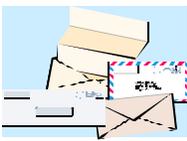
Tip 2: Tactfully tell strap hangers why you can't fit them in: "Harry, the agenda doesn't involve your area. If something comes up, I'll let you know."

Preparing an Agenda

Introduction This map explains how to prepare an agenda.

Purpose Use an agenda to allot time, set focus, and restore control if people digress.

Guidelines To prepare an agenda, follow these guidelines:

Guideline	Description
Topics 	Arrange topics according to objectives: <ul style="list-style-type: none"> • Information. • Discussion. • Decision.
Limits 	Make topics specific and limited. If too ambitious, the group <ul style="list-style-type: none"> • will waste time defining topics. • won't get to all topics. • may not give topics time they deserve.
Sequence 	Set sequence so discussion <ul style="list-style-type: none"> • flows logically. • makes smooth transitions. • progresses from the easy to the difficult. • builds on each topic and creates momentum.
Time 	To allocate time <ul style="list-style-type: none"> • set specific beginning and ending time for each topic. • take breaks between topics, not in the middle. • limit meeting's length to a maximum of 90 minutes. • meet right before lunch or quitting time. • try stand-up meetings (no-chairs): they end on time.
Coordination 	Coordinate to <ul style="list-style-type: none"> • learn views on contentious issues—avoids being ambushed in the meeting arena. • clarify meeting's purpose and members' roles. • determine if key players are preparing. • detect hidden agendas.
Notification 	Send the agenda out a few days before the scheduled date. <u>Don't</u> send it out too soon: <ul style="list-style-type: none"> • Intervening developments may require a change in plans, and you'll have to get word out again. • People will forget it or lose it and show up unprepared.
Flexibility 	If meeting frequently with a cohesive group, a published agenda may not always be necessary. Simply outline the agenda on a chart and kick off the meeting.

Opening a Meeting

Introduction

This map explains how to open a meeting and get off to a good start.

Make a final check

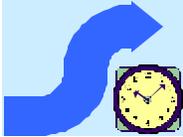


Use a checklist to note things that must be available and in working order.

On the day of the meeting double check for these items. Examples:

- Easel, chart paper, and markers.
 - Lighting and ventilation.
 - Seating arrangements.
-

Start on time



Starting on time

- shows you mean business.
 - displays courtesy to people with busy schedules.
 - encourages the punctual to stay that way.
 - signals to latecomers that things can go on without them.
-

Set the tone



- Set the tone by creating an open, friendly atmosphere.
- Break the ice—share some good news or a humorous remark.
- Introduce members if necessary.
- Make administrative announcements.

Note: Administrative announcements and handouts are important for attendees from out of town. Knowing the location of telephones, rest rooms, snack bar, and the like makes people feel secure in a strange environment.

Set purpose



Ensure the group knows why it's there. Then briefly review the agenda:

- Short overview of topics.
- What you wish to achieve with each topic.

Examples:

- “First topic we'll throw up for discussion—all I want today are your ideas.”
 - “On the last item we must reach a decision and assign tasks.”
-

Confirm acceptance



Confirm that the group accepts the agenda, but don't be arbitrary. Someone may have a better idea how to handle topics. This helps build commitment to the meeting's success.

Tip: Be flexible with the agenda. If discussion of a topic exceeds allotted time but is bearing fruit, consider scratching another topic and pressing on.

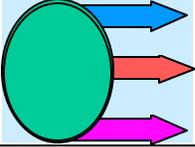
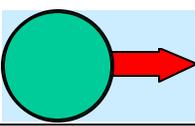
Guiding Discussion

Introduction

This map explains how to guide discussion and keep a meeting on schedule.

Guiding discussion

To guide discussion and keep on schedule, use an agenda and a clock. Also use these questions and statements to move a meeting through all its phases:

Discussion Phase	Questions and Statements
Define the problem. 	What is really the problem? What's the cause of this problem? What's the biggest source of trouble? How did this happen?
Gather information. 	Let's get the facts. What's the background on this? Who's involved? What's been done so far? Tell me how this works.
Develop alternatives. 	What do you want? How would you like things to be? What are some ways to do that? What else might work?
Weigh alternatives. 	What are some problems with doing that? What makes that better? How does that relate to the problem? How will this affect our organization?
Select best alternative. 	Which solution will work best? Which one do you like? Can you describe the most likely answer? It's time to make a decision.
Make a plan. 	What are the next steps? How do we get that done? Who's got to do what? What else must happen? What could go wrong?
Implement the plan. 	Are we all on the same sheet of music? If there're no other concerns, let's go! Now it's time to act. Okay, let's go with it! We'll meet Friday to see how it's going. ¹

Getting People to Contribute

Introduction

This map suggests ways to encourage people to contribute and control those who wander off the subject or talk too much.

Drawing out



Some participants will have a lot to say, and others will say nothing unless asked. They may hesitate to contribute, because they're shy or fear aggressive members.

To draw out the silent and protect them from intimidation

- ask questions that tap their expertise.
 - openly praise their good ideas.
 - note their remarks, and let the group see you write them down.
 - bring up their ideas again later in the meeting.
-

Last is first



To encourage full participation, call on the junior member first and senior member last.

If done in reverse, the junior may defer to the rank and opinion of the senior.

Curbing



To control the wandering or long winded, who drift off the subject or ramble on

- look at your watch and say, "There's no time to talk about that now, how about after the meeting?"
 - point to the agenda and ask, "How does that relate to the topic?"
 - if the issue merits discussion, put it on a future agenda.
 - tactfully interrupt and say, "That's interesting, but we've got to move on."
-

Interrupting



While it's usually impolite to interrupt, sometimes it's necessary to promote dialogue or regain control if discussion gets out of hand.

Interrupt to

- signify to one who's been talking at length that you've been listening.
 - rescue a speaker who's confused—he'll be thankful for the interruption.
 - get discussion back on track if people digress or all talk at once.
 - call *time out* if the discussion becomes heated.
-

Controlling Disruptive Behavior

Introduction

This map suggests ways to control disruptive behavior that could arise when holding a meeting.

Well-run meetings



Well-run meetings enable people to achieve more than they can by themselves, for they

- acquire collective expertise.
- expose biases and oversights.
- create new ideas.
- shorten lines of communication.
- broaden their viewpoints.
- promote consensus.
- create synergy.
- save time.

However, these achievements aren't possible if disruptive behavior is tolerated.

Disruption



A meeting is more likely to succeed if all members willingly contribute, bring no hidden agendas, and channel energies toward achieving the meeting's goals.

However, some members may try to satisfy individual needs through negative behavior that hinders progress. If not confronted, they can ruin a meeting.

Controlling disruption



This table lists types of disruption and ways to control it.

Behavior	Means of Control
<p>Domineering:</p> <ul style="list-style-type: none"> • Asserts authority. • Gives directions. • Talks at length. • Interrupts. • Demands attention. 	<p>To control the domineering</p> <ul style="list-style-type: none"> • keep within strict time limits. • cut off interruptions. • follow formal rules of order (parliamentary procedure).
<p>Disagreeable:</p> <ul style="list-style-type: none"> • Stubborn. • Offers few positive views. • Resists ideas of others. 	<p>To discourage the persistently disagreeable, ask the member to</p> <ul style="list-style-type: none"> • clarify remarks. • be specific.
<p>Indecisive:</p> <ul style="list-style-type: none"> • Injects technicalities. • Diverts or stalls. • Acts too cautious. • Shifts responsibility onto others. 	<p>To overcome indecisive tactics</p> <ul style="list-style-type: none"> • acknowledge member's views. • solicit other opinions. • make the decision.

Concluding a Meeting

Introduction

This map explains how to end discussion and reach a decision.

Winding up



If not making progress, wind up discussion when

- there's not enough time or information to explore the issue.
- people with needed expertise aren't present.
- events are likely to overcome any decision.
- one or two members can resolve the matter outside the meeting.

Voting



Vote only when you must reach a decision, and the group is split:

Advantages	Disadvantages
<ul style="list-style-type: none"> • Ensures a decision. • Can be done quickly. 	<ul style="list-style-type: none"> • Creates winners and losers. • Losers may try to get even. • Losers may withdraw support.

Consensus



Consensus is general agreement among all or most members of a group. Some may honestly disagree with a proposal, in whole or part.

However, they put aside differences and agree to support the final decision.

Building



To build consensus

- involve everyone in discussion.
- consider their views.
- negotiate where possible.

Advantages	Disadvantages
<ul style="list-style-type: none"> • Leads to better decisions. • Minority more likely to support decision if their views are heard. • Group achieves harmony in spite of disagreements. 	<ul style="list-style-type: none"> • Won't work without team cohesion. • Is very hard to achieve. • Takes time.

Concluding



To conclude the meeting

- restate important contributions made.
- sum up strengths and weaknesses of viewpoints.
- end on a high note; emphasize accomplishments, not failures.
- if time allows, go *round the table* for any final comments.
- schedule the next meeting while the group is still intact.

Concluding a Meeting, Continued

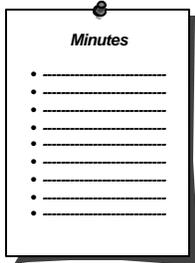
Minutes



Take notes throughout the meeting. Better yet, since you'll be busy, assign a recorder to take notes and prepare minutes.

Publish the minutes shortly after the meeting, while events are still fresh.

Contents



Note the following:

- Date, time, and place of meeting.
 - Issues discussed.
 - Decisions.
 - Taskings.
 - Time meeting ended.
 - Date, time, place of next meeting.
 - Attendance.
-

Attendance



For a group meeting regularly, recording attendance may

- indicate who's committed and who's not.
 - encourage attendance and commitment in the future.
 - remind people they were absent when important decisions were made.²
-

Interactive Meetings

Introduction This map briefly describes the structure and functions of an interactive meeting.

Rationale Running a meeting by yourself can be a demanding, exhausting, and unproductive experience. A better way is to use the interactive method.



This method is especially useful when meeting with a large group and discussing contentious issues.

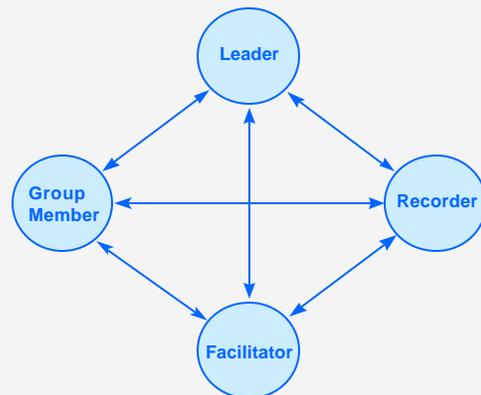
Definition The interactive method is a system of roles and relationships involving the whole group in the meeting's dynamics.



This relieves the leader of burdensome tasks and encourages group participation:

- The leader delegates procedural tasks and gains time to focus on issues and decision making.
 - Other members play specific roles, which spreads the workload and builds teamwork.
-

Roles In an interactive meeting, members play these four roles.



Importance These roles are equally important, and each contributes to group effectiveness. The leader remains as final authority but is also a part of the group. No one person is *boss* or held accountable for the group's success.



Instead, all members interact and hold each other accountable.

Interactive Roles

Introduction This map explains the four interactive roles in more detail.

Leader



The leader's main responsibility is to demonstrate commitment to the group's success in achieving the objective. Though actively participating, he delegates management of the proceedings to the facilitator and recorder.

If not satisfied with progress, the leader can regain control. But he doesn't talk at length or impose his views without discussing alternatives.

Discretion



An astute leader avoids the appearance of monopolizing discussion or exerting pressure. He may work behind the scenes before the meeting begins by enlisting a colleague to raise questions on his behalf. This lowers the leader's profile, yet it ensures his views get aired.

Facilitator



The facilitator is a neutral servant who neither evaluates nor contributes ideas. Instead, he helps the group focus its energies by serving as referee:

- Keeps the meeting on track.
- Suggests procedures for resolving issues under discussion.
- Protects group members from personal attacks.
- Ensures everyone has a chance to participate.

The facilitator may also arrange pre-meeting and post-meeting logistics.

He may come from within the group, and members may rotate from one meeting to the next. In some cases, an outsider may serve in this role.

Control



The facilitator orchestrates the flow of events:

- Enforces ground rules.
 - Suggests approaches to solving the problem.
 - Turns back questions onto group members.
 - Asks for clarification of terms and acronyms.
 - Avoids repetition.
 - Encourages the silent and curbs the garrulous.
-

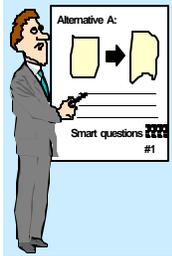
No bullying



The facilitator should neither manipulate nor bully members. Nor should he evaluate their ideas. The group may remove a facilitator who uses these tactics.

Interactive Roles, Continued

Recorder



The recorder is also a neutral servant of the group. He stands in plain view and records members' comments for all to see. This

- helps members visually keep track of *who said what*.
- captures the meeting's mood.
- provides a summary on which to base decisions.
- serves as written documentation for record.

Note: If the recorder at any time has important information to contribute, he should ask permission to step out of his role to present it.

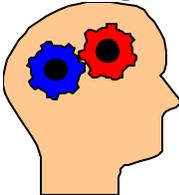
Process



The recorder

- records members' comments but doesn't edit them.
 - may highlight or annotate words for emphasis or reinforcement.
 - listens for key words, records ideas, or captures their essence.
 - uses symbols, quick sketches, or outlines to add interest and aid memory.
-

Advantages



Using a recorder

- helps members relax and contribute freely.
 - creates a group memory accessible to all and in plain view.
 - confirms views have been heard and preserved.
 - notes progress made toward objectives.
 - facilitates quick review without losing focus—allows latecomers to catch up.
-

Group members



Group members can make or break a meeting. They

- make procedural suggestions.
 - offer expertise and opinions.
 - listen with open minds.
 - promote dialogue.
 - act as devils' advocates.
 - exert peer pressure to control disruptive behavior.
-

Conclusion



The interactive method is similar to an automatic pilot on an airplane. If the meeting strays off course, the system of roles and relationships automatically corrects itself. It's a system of checks and balances—a simple but extremely effective way to conduct meetings.³

Section B—Creating Ideas

Overview

Introduction



This section explains three ways to harness a group's collective mind to create ideas:

- Brainstorming.
- Mind Mapping.
- Modified Delphi Technique.

Note: You can also use the first two techniques to create ideas when working by yourself.

When to use



Generally, people working together create better ideas than when working alone.

Use these three techniques in discussions and problem-solving sessions to create ideas and imaginative solutions.

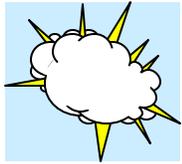
In this section

Topic	See Page
Brainstorming	10-14
Mind Mapping	10-15
Modified Delphi Technique	10-16

Brainstorming

Introduction This map describes how to create ideas through brainstorming.

Definition Brainstorming is the use of imagination and intuition to create ideas spontaneously. When thinking about a problem, you just let something pop into your mind without reflecting on it.



A subconscious thought may emerge that wouldn't have, had you solely relied on your intellect.

Hitchhiking Brainstorming also enables members to *hitchhike* ideas. An idea emerges; then someone else thinks of something to build on it. This may spark a chain reaction of ideas from group members.



Guidelines When holding a brainstorming session, follow these guidelines:

Guideline	Explanation		
When to use	<table border="0"> <tr> <td style="vertical-align: top;"> <u>When the problem is</u> <ul style="list-style-type: none"> limited. specific. </td> <td style="vertical-align: top;"> <u>And the group</u> <ul style="list-style-type: none"> knows something about it. has reached an impasse. needs its imagination awakened. </td> </tr> </table>	<u>When the problem is</u> <ul style="list-style-type: none"> limited. specific. 	<u>And the group</u> <ul style="list-style-type: none"> knows something about it. has reached an impasse. needs its imagination awakened.
<u>When the problem is</u> <ul style="list-style-type: none"> limited. specific. 	<u>And the group</u> <ul style="list-style-type: none"> knows something about it. has reached an impasse. needs its imagination awakened. 		
Setting	<ul style="list-style-type: none"> Limit number of people to about seven. Use a round table. Use a chart or board and place it so all can see. Appoint someone to record <i>all</i> ideas on the chart. 		
Pace	<ul style="list-style-type: none"> Fast paced. <u>Don't</u> reflect—let ideas flow from your imagination. Avoid time limits—they inhibit creativity. Once ideas are flowing, let the group build steam. Wait out lulls—best ideas often come after them. 		
Freewheeling	Accept any idea, no matter how absurd or irrelevant. The most outlandish may later prove the most valid.		
Quantity	Aim for quantity, for quality flows from quantity. Most ideas won't work, but a large quantity increases chances that a few will.		
Randomness	Surround topic with random ideas. <u>Don't</u> make lists—they foster a linear pattern of "1, 2, 3" This can lock you on a path leading nowhere.		
Objective	To encourage free expression, <u>don't</u> evaluate or belittle ideas. Instead, evaluate them in a follow-on session. ⁴		

Mind Mapping

Introduction This map describes how to organize random ideas through mind mapping.⁵

When to use Use mind mapping after a brainstorming session to



- identify relationships of ideas.
- evaluate them.
- give them structure.

Procedure To create a mind map of ideas, follow these steps:

Step	Action	
1	<p><u>Identify relationships:</u></p> <ul style="list-style-type: none"> • Look for main ideas first. • Use different geometric shapes and colors to classify ideas. • Mark related supporting ideas with the same shape and color. 	
2	<p><u>Evaluate:</u> Which items stray too far from the theme? If they don't fit, cross them off.</p>	
3	<p><u>Outline:</u> Using relationships identified, outline the topic.</p>	

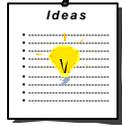
Modified Delphi Technique

Introduction This map explains how to use the Modified Delphi Technique to conduct a brainstorming session *silently*.

Definition The Modified Delphi Technique is a silent form of brainstorming. Unlike conventional brainstorming, ideas are created individually and silently—no group interaction. A group of experts creates ideas in this manner and then submits them to a group of decision makers for discussion.



Process



- Each member submits a written list of ideas to a neutral moderator.
- Moderator consolidates input and returns it to the group for further analysis.
- Members narrow-down the best ideas through a process of elimination.

Advantages



- Eliminates arguments, special pleading, and other disruptive tactics.
- Encourages input from *loners* who do their best work without interaction.
- Minimizes influence solely because of members' rank or status.
- Promotes free expression without fear of belittlement or coercion.
- Doesn't require physical presence of participants—can fax or mail input.

Drawbacks



- Can be tedious and time-consuming.
- May lead to acceptance of bad ideas, for lack of group discussion or dissent.
- Denies opportunity for group members to *hitchhike* ideas.

Procedure

To employ the Modified Delphi Technique, follow these steps:

Step	Action	Description
1	Create individual ideas.	Define problem to the group. Ask members to <ul style="list-style-type: none"> • surround the problem with ideas. • record ideas on a sheet of paper.
2	Consolidate ideas.	Collect sheets, eliminate duplicates, consolidate.
3	Select the five best ideas.	Members screen revised list and circle the five best ideas but <u>don't</u> rank them by priority.
4	Select the three best ideas.	Repeat Steps 2 and 3. This time ask the group to select the three best ideas.
5	Select the best one or two ideas.	Repeat Steps 2 and 3. For the final time, ask members to select the one or two best ideas.
6	Refer ideas.	Refer ideas to decision makers for discussion. ⁶

Section C—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Lesson Summary	10-17
Endnotes	10-19
End-of-Lesson-Exercises	10-21
Answer Key and Feedback	10-24

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page
Objectives	<ul style="list-style-type: none">Plan a meeting.Prepare an agenda.Manage a meeting in all its phases.Define the four roles played in an interactive meeting.Create ideas through the group's collective mind.	
Planning a meeting	Rule of thumb: <u>Don't</u> hold a meeting if seeing people individually will achieve the same results in less time.	10-2
Purpose	Define purpose: information, discussion, or decision.	10-2
Limit scope, information	<u>Don't</u> jam in unrelated topics. <u>Don't</u> waste time announcing routine information.	10-2
Select people	Select people who are informed, can contribute, accept responsibility.	10-2
Membership	Limit to around seven. If the group is too large, you'll lose track or waste time refereeing disputes.	10-2
Preparing an agenda: guidelines	<ul style="list-style-type: none">Arrange topics.Make topics specific.Set sequence.Allocate time.Coordinate.Send out agenda.	10-3

Continued on next page

Lesson Summary, Continued

Key points (continued)												
Topic	Summary	Page										
Opening a meeting: Steps	<ul style="list-style-type: none"> • Check for equipment. • Start on time. • State purpose. • Confirm understanding. • Stick to agenda but be flexible. 	10-4										
Guiding discussion	Use an agenda, clock, and prepared questions and statements to keep on schedule.	10-5										
Getting people to contribute	<ul style="list-style-type: none"> • Draw out the silent. • Curb wanderers and long-winded. • Interrupt when appropriate. 	10-6										
Controlling disruptive behavior	Control the domineering, disagreeable, or indecisive: <ul style="list-style-type: none"> • Keep within strict time limits. • Cut off interruptions. • Solicit opinions, then decide. 	10-7										
Concluding a meeting	End discussion when <ul style="list-style-type: none"> • there's not enough information or time. • experts aren't present. • events likely to overcome decision. 	10-8										
Voting	Vote to reach a decision with a split group. Disadvantage: Creates winners and losers.	10-8										
Consensus	Consensus makes both sides winners but difficult to achieve.	10-8										
Concluding	<ul style="list-style-type: none"> • Restate contributions. • Sum up points of view. • End on a high note. • Schedule next meeting. 	10-8										
Minutes	Assign recorder to publish minutes shortly after meeting ends.	10-9										
Interactive meetings — Interactive roles	In an interactive meeting members play these equally important roles: <table border="1" data-bbox="410 1192 1286 1444"> <thead> <tr> <th>Role</th> <th>Responsibility</th> </tr> </thead> <tbody> <tr> <td>Leader</td> <td>Demonstrates commitment to group's success but delegates proceedings.</td> </tr> <tr> <td>Facilitator</td> <td>A neutral servant and referee.</td> </tr> <tr> <td>Recorder</td> <td>Keeps track of <i>who said what</i>.</td> </tr> <tr> <td>Group member</td> <td>Offer expertise and opinions.</td> </tr> </tbody> </table>	Role	Responsibility	Leader	Demonstrates commitment to group's success but delegates proceedings.	Facilitator	A neutral servant and referee.	Recorder	Keeps track of <i>who said what</i> .	Group member	Offer expertise and opinions.	10-10 thru 10-12
Role	Responsibility											
Leader	Demonstrates commitment to group's success but delegates proceedings.											
Facilitator	A neutral servant and referee.											
Recorder	Keeps track of <i>who said what</i> .											
Group member	Offer expertise and opinions.											
Brainstorm guidelines	<ul style="list-style-type: none"> • Fast-paced. • Freewheeling. • Focus on quantity of ideas, not quality. • Withhold judgment. 	10-14										
Mind Mapping	Technique to organize random ideas created in a brainstorming session. Group uses symbols to identify relationships of ideas. Then they evaluate and outline the relationships to give them structure.	10-15										
Modified Delphi Technique	Silent form of brainstorming. Ideas created individually—no group interaction. Ideas collected, sorted, and referred to decision makers for consideration.	10-16										

Endnotes

Introduction To write this lesson we drew from these sources:

¹U.S. Army Field Manual 22-101, *Leadership Counseling* (June 1985) 34-35.

²Except for page 10-5, subject matter on pages 10-2-through 10-9 has been adapted from these two sources:

Anthony Jay, "How to Run a Meeting," *Harvard Business Review* 54 (1976) 43-57.

James Ware, "How to Run a Meeting," reprinted in *Managing People and Organizations*, ed. John J. Gabarro (Boston: Harvard Business School Publications, 1992) 289-297.

³U.S. Army Training Circular 26-3, *Conducting Effective Meetings* (June 1984) 11-15.

⁴Julius E. Eittington, *The Winning Trainer*, 2nd ed. (Houston: Gulf Publishing Company, 1989) 165-166.

⁵Adapted from *Mind-Mapping*, Department of Curriculum Development, National Defense University, Armed Forces Staff College, Norfolk, VA.

⁶Eittington, 171-172.

Lesson 10—End-of-Lesson Exercises

Instructions Select best answer or answers.

1. Which rule of thumb will help you decide if a meeting is necessary?
 - a. Don't hold a meeting if seeing folks one-on-one will yield the same results in less time.
 - b. Make meetings your primary means to gather information.
 - c. Attend meetings but don't hold them.
 - d. Always avoid meetings.

2. Hold an information meeting to
 - a. announce routine information.
 - b. emphasize information personally.
 - c. transmit serious news.
 - d. clarify a complex subject.

3. If you invite too many people to a meeting, you will
 - a. lose track of what's going on.
 - b. build your network.
 - c. promote consensus.
 - d. waste time refereeing disputes.

4. If you send out the agenda too far in advance
 - a. new developments may require a change in plans, and you'll have to get word out again.
 - b. some people will either forget the agenda or lose it and show up unprepared.
 - c. participants will have additional time to prepare.
 - d. your boss will praise you for being on top of things.

5. List four ways to draw out the silent.
 - a. Ask questions that tap their expertise.
 - b. Openly praise their good ideas.
 - c. Tell them to loosen up and not be so quiet.
 - d. Note their remarks, and let the group see you write them down.
 - e. Bring up their ideas again later in the meeting.
 - f. Ask them why they're not contributing.

Lesson 10—End-of-Lesson Exercises, Continued

6. List three disadvantages of voting on a decision.
 - a. Takes too much time.
 - b. Creates winners and losers.
 - c. Losers may try to get even.
 - d. Losers may withdraw support.

7. In an interactive meeting the leader
 - a. serves as facilitator.
 - b. refrains from talking at length.
 - c. refrains from imposing views without discussing alternatives.
 - d. surrenders all authority.

8. In a brainstorming session, why is the quantity of ideas created more important than quality?
 - a. Most ideas won't work, but a large quantity increases chances that a few will.
 - b. Most ideas will work, so you'll only need a few.
 - c. Most ideas won't work, no matter how many are created.
 - d. About half the ideas created will be useful.

9. Use mind-mapping techniques
 - a. as a substitute for brainstorming.
 - b. before a brainstorming session.
 - c. during a brainstorming session.
 - d. after a brainstorming session.

10. The Modified Delphi Technique
 - a. combines conventional brainstorming and mind-mapping techniques.
 - b. relies on spirited group interaction.
 - c. enables participants to hitchhike their ideas.
 - d. is a silent form of brainstorming.

Lesson 10—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. Which rule of thumb will help you decide if a meeting is necessary?
- Don't hold a meeting if seeing folks one-on-one will yield the same results in less time.**
 - Make meetings your primary means to gather information.
 - Attend meetings but don't hold them.
 - Always avoid meetings.

Only hold (or attend) a meeting if necessary. (Page 10-2)

2. Hold an information meeting to
- announce routine information.
 - emphasize information personally.**
 - transmit serious news.**
 - clarify a complex subject.**

Don't waste time announcing routine information if it can easily be sent by message.
(Page 10-2)

3. If you invite too many people to a meeting, you will
- lose track of what's going on.**
 - build your network.
 - promote consensus.
 - waste time refereeing disputes.**

Involve as few people as possible in any task, including meetings. (Page 10-2)

4. If you send out the agenda too far in advance
- new developments may require a change in plans, and you'll have to get word out again.**
 - some people will either forget the agenda or lose it and show up unprepared.**
 - participants will have additional time to prepare.
 - your boss will praise you for being on top of things.

Give people time to react, but don't send out the agenda too soon. (Page 10-3)

Lesson 10—Answer Key and Feedback, Continued

5. List four ways to draw out the silent.
- Ask questions that tap their expertise.**
 - Openly praise their good ideas.**
 - Tell them to loosen up and not be so quiet.
 - Note their remarks, and let the group see you write them down.**
 - Bring up their ideas again later in the meeting.**
 - Ask them why they're not contributing.

Choices c and f are incorrect in that they border on being tactless. Confronting people in this manner may cause them to withdraw even more. (Page 10-6)

6. List three disadvantages of voting on a decision.
- Takes too much time.
 - Creates winners and losers.**
 - Losers may try to get even.**
 - Losers may withdraw support.**

Choice a is incorrect. An advantage of voting is that it can be done quickly. (Page 10-8)

7. In an interactive meeting the leader
- serves as facilitator.
 - refrains from talking at length.**
 - refrains from imposing views without discussing alternatives.**
 - surrenders all authority.

Choice a is incorrect. The facilitator plays a distinct role separate from the leader. Choice d. is incorrect. The leader remains as the final authority but his leadership presence is less visible. (Page 10-11)

8. In a brainstorming session, why is the quantity of ideas created more important than quality?
- Most ideas won't work, but a large quantity increases chances that a few will.**
 - Most ideas will work, so you'll only need a few.
 - Most ideas won't work, no matter how many are created.
 - About half the ideas created will be useful.

Quality flows from quantity. (Page 10-14)

Lesson 10—Answer Key and Feedback, Continued

9. Use mind-mapping techniques
- as a substitute for brainstorming.
 - before a brainstorming session.
 - during a brainstorming session.
 - after a brainstorming session.**

Use mind mapping after a brainstorming session to

- identify relationships of ideas.*
 - evaluate them.*
 - give them structure.* (Page 10-15)
-

10. The Modified Delphi Technique
- combines conventional brainstorming and mind-mapping techniques.
 - relies on spirited group interaction.
 - enables participants to hitchhike their ideas.
 - is a silent form of brainstorming.**

Lacks the advantage of conventional brainstorming but is appropriate when people aren't accessible. (Page 10-16)

Module III—Personal Effectiveness

Lesson 11—Listening and Observing

Overview

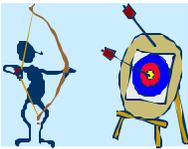
Introduction This lesson describes some elementary ways to communicate effectively, especially when interacting with another person, one-on-one.

Rationale In today's world of work, communication skills are a must—particularly for new supervisors.



That's why almost every lesson in this text treats some aspect of the subject.

Objectives



- Describe the grapevine's impact on the organization.
- Listen and respond effectively.
- Overcome opposition through attentive listening.
- Read body language.
- Deliver bad news tactfully.

In this lesson This lesson contains two sections, as shown below:

Section A:	Topic	See Page
Main topics	The Grapevine	11-2
	External Listening Barriers	11-3
	Personal Listening Barriers	11-4
	Overcoming Barriers	11-5
	Active Listening	11-6
	Overcoming Opposition	11-8
	Body Language	11-9
	Examples of Body Language	11-10
	Bad News	11-11

Section B:	Topic	See Page
Back matter	Overview	11-13
	Lesson Summary	11-14
	Endnotes	11-15
	End-of-Lesson Exercises	11-16
	Answer Key and Feedback	11-18

The Grapevine

Introduction

This map discusses a powerful communications network—the grapevine.

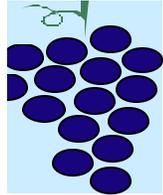
Definition



The grapevine is the unofficial communications network of the informal organization. Its members use this informal but powerful medium to exchange valuable *inside information* they wouldn't exchange officially.

The grapevine transcends rank, status, and position. Its members range from the mailroom clerk to the chief of the organization.

Examples



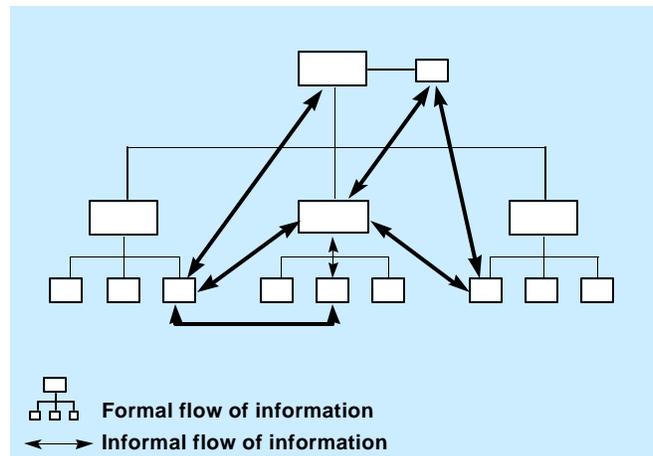
Examples of types of information that flow through the grapevine:

- News before it's officially released.
- Information unavailable elsewhere.
- Insight to management styles.
- What's happening behind the scenes.
- What people *really* think of each other.

Number of grapevines

An organization has one or more grapevines. They usually overlap but not always.

Some folks belong to several grapevines, while others belong to none.



Rules



When using the grapevine follow these rules:

Don't	Do
<ul style="list-style-type: none"> • transmit inaccurate information. • start rumors or spread gossip. • tell only one side of a story. • promote political intrigue. 	<ul style="list-style-type: none"> • filter information. • act ethically. • be discreet—the grapevine keeps no secrets.

External Listening Barriers

Introduction

This map describes barriers we encounter when trying to listen.

Benefits of listening

Listening is the highest compliment one can pay to another human being.

Listening attentively

- shows respect.
- builds trust.
- cements relationships.

However, it's hard to listen because of barriers we either encounter or erect.



External barriers

This map lists external barriers that prevent effective listening.

Barrier	Examples
Environment 	Poor physical conditions hinder concentration: <ul style="list-style-type: none"> • Extremes in temperature. • Lack of ventilation. • Dim lighting. • Distracting noise. • Awkward seating arrangements.
Speaker's image 	The audience won't listen if the speaker lacks credibility: <ul style="list-style-type: none"> • Poor grooming. • Inappropriate attire. • Unconvincing stage presence. • Clumsiness. • Poor use of gestures and eye contact.
Speaker's words 	The audience won't listen if the speaker uses <ul style="list-style-type: none"> • bad diction. • profanity. • jargon. • pompous expressions. • stilted language.

Personal Listening Barriers

Introduction This map describes listening barriers that we create.

Personal barriers Besides encountering listening barriers, we also create them.

Barrier	Description
<p>Thought speed</p> 	<p><u>Speaking and listening rates:</u> A listener takes in words faster than a speaker delivers them. Average rates for</p> <ul style="list-style-type: none"> • speaking—125 words per minute. • listening—500 words per minute. <p><u>Time lag</u> gives the listener extra time to</p> <ul style="list-style-type: none"> • turn thoughts elsewhere. • allow distractions. • only hear half the speaker's words.
<p>Bias</p> 	<p>Personal bias directed against the speaker's</p> <ul style="list-style-type: none"> • background, status, or accent. • point of view. • appearance—clothing, jewelry, hair style.
	<p>The listener stuffs his ears and</p> <ul style="list-style-type: none"> • refuses to hear the speaker out. • looks for flaws. • prepares rebuttals. • attacks the speaker.
<p>Bad habits</p> 	<p>Poor listening can be a result of</p> <ul style="list-style-type: none"> • taking too many notes and missing key points. • listening for facts only and failing to see the big picture. • daydreaming, which shows lack of commitment. • slouching, which reduces alertness. • pretending to listen, which stems from laziness.
<p>Emotions:</p> 	<p>People will stop listening if the speaker's remarks upset them. This leads to</p> <ul style="list-style-type: none"> • emotional reactions. • clouded judgment. • overreaction.

Concentrating You'll become a better listener if you practice concentrating by

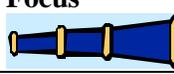


- watching serious TV programs.
- attending lectures.
- participating in a discussion group.

Overcoming Barriers

Introduction This map explains how to overcome listening barriers.

Overcoming barriers To overcome listening barriers follow these guidelines:

Guideline	Description
Patience 	<ul style="list-style-type: none"> • Bite your tongue and count to ten. • Listen with an open mind. • No yawning or rolling your eyes.
Main point 	Listen for the main point: <ul style="list-style-type: none"> • Focus on main ideas. • Take only a few notes.
Focus 	<ul style="list-style-type: none"> • Sit upright and look at the speaker. • Don't allow yourself to become distracted.
Thought speed 	Use time gained from thought speed to <ul style="list-style-type: none"> • read between the lines. • watch body language. • rephrase the speaker's words.

Using eyes To listen with your eyes use these techniques:



Technique	Rationale
Look at the speaker's whole face.	Avoids staring.
Watch the speaker's lips.	Enhances hearing.
Focus on one eye, then the other.	Increases attentiveness.
Occasionally shift eyes.	Relieves tension and avoids staring. ¹

Passive listening Watching TV or otherwise listening without responding is passive listening. Communication is one-way, with no exchange of feedback. Disadvantages:

The speaker sends	But the listener can't
a correct message	understand.
an incorrect message	seek clarification.
an unclear message	interpret accurately.

When to use Listen passively when a response isn't expected. Someone may just want to



- get something off his chest.
- use you as a sounding board.
- ask a rhetorical question (one that doesn't require a response).

Active Listening

Introduction

This map describes six ways of responding to promote active listening.

Definition



Active listening is two-way listening. People engage in dialogue by

- speaking.
- listening.
- watching body language.
- responding.

Responses



To listen *actively*, use these six types of responses to promote dialogue:

- Paraphrasing.
- Leading.
- Questioning.
- Summarizing.
- Interpreting.
- Informing.

Paraphrasing



Paraphrasing is a restatement of the speaker's words in your words.

Use paraphrases to	Examples
<ul style="list-style-type: none"> • avoid confusion. • bring out the speaker's intent. • confirm understanding. • see situation as speaker sees it. 	<ul style="list-style-type: none"> • It sounds like . . . • Let me see if I heard you right . . . • Are you saying that . . . • In other words, what you mean is . . .

Caution: Don't add new information—may cause confusion.

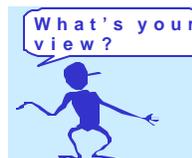
Leading



Leading statements draw out the person and encourage disclosure.

Use leading statements to	Examples
<ul style="list-style-type: none"> • keep the person talking. • clarify an explanation. • reveal feelings. 	<ul style="list-style-type: none"> • Tell me more. • Uh-huh, I see. • Please explain that further.

Questioning



When used properly, questions show interest and uncover new information.

Ask questions to	Examples
<ul style="list-style-type: none"> • show interest. • encourage more explanation. • guide discussion. • confirm understanding. 	<ul style="list-style-type: none"> • What would you like to see happen? • How did things get to be like this? • What do you think the problem is? • What do you recommend?

Continued on next page

Active Listening, Continued

No interrogation



- Don't ask questions
- in a steady stream.
 - for the wrong reasons.
 - that sound like you're interrogating someone.

Caution



- Use care with questions that ask *why*:
- They can be threatening.
 - The person may respond with excuses rather than reasons.

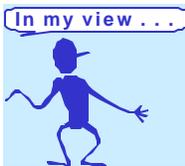
Summarizing



Summarizing controls the discussion's course.

Summarize when	Examples
<ul style="list-style-type: none"> • all points have been covered. • people start to ramble. • it's time to start planning. • you wish to check understanding. • the meeting is about to end. 	<ul style="list-style-type: none"> • At this point we've agreed that . . . • Okay, you've covered . . . • Let's recap what we've covered . . .

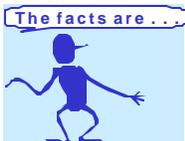
Interpreting



Similar to summarizing, interpreting statements view the subject in new ways.

Use interpreting remarks to	Examples
<ul style="list-style-type: none"> • state views on what's unfolding. • clarify understanding. • add perspective. 	<ul style="list-style-type: none"> • From where I stand, it appears . . . • What seems to be operating is . . . • I wonder if . . . • Another way to look at it is . . .

Informing



Informing responses provide information and fuel discussion.

Use informing responses to	Examples
<ul style="list-style-type: none"> • provide needed information. • resolve inconsistencies. 	<ul style="list-style-type: none"> • Don't forget that . . . • You just said . . . but now . . . • You have me confused.²

Caution



When responding with these various statements, don't repeatedly use the same response. The person will question your sincerity if all he hears is "I know where you're coming from."

Overcoming Opposition

Introduction

This map suggests ways to promote dialogue when negotiating with tough customers who oppose your position.

Relax



Relaxing

- builds confidence.
- reinforces self-control.
- makes listening easier when challenged.
- disarms the opposition.

Listen



Make your points, then keep quiet:

- Most powerful tool is silence.
- Can never hear too much.
- Can't put your foot in your mouth, if you're not talking.

Rules



To listen effectively in the face of strong opposition, follow these rules:

Don't	Do
give a knee-jerk response to the customer's objections.	keep quiet and listen (clarifying questions OK).
refute the customer's points.	Let the customer talk—it may
focus on defending your position.	• uncover hidden agendas.
launch a counterattack.	• reveal new information.
	• lead to new options.
	• defuse anger.

Give every man thy ear, but few thy voice.

Hamlet—Shakespeare

Responding

When responding to objections, follow these rules:

Don't	Because it
dwell on the negative	obscures the positive.
raise every conceivable objection that could arise and rebut it	raises doubt where none may exist.
repeatedly belabor points	harasses the person.
overpower the customer with logic	makes the customer look dumb.
explain everything in detail	bores the customer.
rebut all the customer's points	puts you on the defensive. ³

Body Language

Introduction

This map describes how we use body language to communicate.

Body language

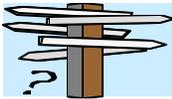
Besides words, we also communicate with posture, gestures, and movement.



This is body language, and it

- gives clues to inner feelings.
- confirms if spoken words reflect true feelings.
- reinforces impact of spoken words.

Mixed messages



Body language simply gives hints about one's feelings.

One can't be sure certain gestures accurately express certain feelings.

Examples of how gestures send mixed messages:

Gesture	May signal
Rubbing back of head 	<ul style="list-style-type: none"> • frustration. • suspicion. • an itchy scalp.
Folded arms 	<ul style="list-style-type: none"> • suspicion. • defensiveness. • an effort to get warm.
Tilted head 	<ul style="list-style-type: none"> • cooperation. • confusion. • an invitation to flirt.⁴

Rules

When reading body language follow these rules:

Don't	Do
rely on body language alone to judge a person's feelings.	interpret body language in total context, both gestures and words.
treat gestures as absolutes.	regard gestures as indicators.
automatically label one's mood.	realize one can send mixed signals.
judge a person from a single gesture.	remember, a gesture can have more than one meaning.

Examples of Body Language

Examples

This map shows examples of body language.

Category	Indicators
Frustration 	Rubbing hair or back of neck. Pointing index finger. Kicking ground. Wringing hands.
Suspicion 	Arms crossed. Sideways glance. Pointing shoulder. Body pointing toward exit.
Boredom 	Repeatedly glancing at watch. Slouching. Clicking ball-point pen. Drumming fingers on table.
Doubt 	Talking with hand over mouth. Rubbing eyes. Rubbing tip of nose. Moving back in seat.
Nerves 	Fidgeting. Interrupting gestures. Rubbing palms together. Clearing throat.
Insecurity 	Chewing on thumb or pencil. Biting fingernails. Thumb over thumb. Pinching flesh.
Openness 	Arms uncrossed. Hands open. Coat unbuttoned. Sitting on edge of chair.
Readiness 	Hands on hips. Arms grasping edge of table. Leaning forward. Sitting on edge of chair.
Confidence 	Leaning back, hands behind head. Hands joined to form steeple. Chin thrust upward. Standing tall. ⁵

Bad News

Introduction

This map explains how to prepare and deliver bad news.

Trust



Building a good relationship with your boss means building trust. One way to do that is to deliver news with candor and tact.

This is easy when the news is good but difficult when it's bad.

A good news only boss

Delivering bad news is hazardous if it involves a boss who doesn't like bad news.

This boss reacts to bad news by *killing the messenger*, guilty or not.



Informing



Working for a boss who doesn't like surprises doesn't entitle you to hold back. Always keep the boss informed, especially when it concerns bad news.

However, don't make matters worse by mishandling the situation.

Precautions



When dealing with a *good news only* boss, take these precautions:

Make the bad news impersonal and matter-of-fact—lessens chances of a boss taking it out on you.

Consider sending bad news through management information channels, especially if it's recurring.

If not responsible for the bad news but risk reprisal for bearing it, engage someone to deliver it who's immune from reprisal. However, if you're responsible, deliver the news personally.

Continued on next page

Bad News, Continued

Preparation

To prepare bad news for delivery take these steps:

Step	Action
1	Verify: <i>who, what, where, when, how, why.</i>
2	Alert those involved.
3	Activate damage-control measures.
4	Review alternatives.
5	Develop a recommendation.
6	Pick the right time to tell the news but <u>don't</u> stall.

Caution



This planning process requires judgment. If the news is grave and there's little time to react, forgo these steps. Inform the boss immediately, using what details you have.

Remember, your boss has a boss too; it's better to give partial details than to leave your boss exposed to hostile fire from above.

Delivery

To deliver bad news take these steps:

Step	Action
1	Disclose news without fanfare—tell it as it is.
2	Describe damage-control measures taken.
3	Present alternatives.
4	Offer a recommendation.
5	When discussion ends, depart promptly.

Rules



When delivering bad news, don't

- ever say: “I've got bad news!”
- exaggerate.
- downplay impact.
- shift blame.
- volunteer excuses.
- offer postmortems.
- bring up unrelated issues.
- linger.

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Lesson Summary	11-14
Endnotes	11-15
End-of-Lesson-Exercises	11-16
Answer Key and Feedback	11-18

Lesson Summary

Key points This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page														
Objectives	<ul style="list-style-type: none"> • Describe the grapevine’s impact on the organization. • Listen and respond effectively. • Promote dialogue. • Read body language. • Deliver bad news tactfully. 															
The grapevine	The grapevine is an unofficial information network. When using it, filter its information and be discreet, for it keeps no secrets.	11-2														
External listening barriers	<ul style="list-style-type: none"> • Environment. • Speaker's image. • Speaker's words. 	11-3														
Personal listening barriers	<ul style="list-style-type: none"> • Thought speed. • Bias. • Bad habits. • Emotions. 	11-4														
Overcoming barriers	<ul style="list-style-type: none"> • Bite your tongue: count to ten, listen with an open mind. • Listen for the main point: take only a few notes. • Resist distractions: sit upright and look at the speaker. • Use thought speed: read between lines, watch body language. 	11-5														
Listen with your eyes	<ul style="list-style-type: none"> • Look at the speaker's whole face. • Watch the speaker's lips. 	11-5														
Active listening	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th data-bbox="435 1192 651 1234">Response</th> <th data-bbox="651 1192 1284 1234">Description</th> </tr> </thead> <tbody> <tr> <td data-bbox="435 1234 651 1276">Paraphrasing</td> <td data-bbox="651 1234 1284 1276">Use your words to restate the speaker's.</td> </tr> <tr> <td data-bbox="435 1276 651 1318">Leading</td> <td data-bbox="651 1276 1284 1318">Draw out the person and encourage disclosure.</td> </tr> <tr> <td data-bbox="435 1318 651 1360">Questioning</td> <td data-bbox="651 1318 1284 1360">Fill voids or gather information.</td> </tr> <tr> <td data-bbox="435 1360 651 1402">Summarizing</td> <td data-bbox="651 1360 1284 1402">Control course of discussion.</td> </tr> <tr> <td data-bbox="435 1402 651 1444">Interpreting</td> <td data-bbox="651 1402 1284 1444">Look at things in new ways.</td> </tr> <tr> <td data-bbox="435 1444 651 1486">Informing</td> <td data-bbox="651 1444 1284 1486">Provide information and fuel discussion.</td> </tr> </tbody> </table>	Response	Description	Paraphrasing	Use your words to restate the speaker's.	Leading	Draw out the person and encourage disclosure.	Questioning	Fill voids or gather information.	Summarizing	Control course of discussion.	Interpreting	Look at things in new ways.	Informing	Provide information and fuel discussion.	11-6 and 11-7
	Response	Description														
	Paraphrasing	Use your words to restate the speaker's.														
	Leading	Draw out the person and encourage disclosure.														
	Questioning	Fill voids or gather information.														
	Summarizing	Control course of discussion.														
	Interpreting	Look at things in new ways.														
Informing	Provide information and fuel discussion.															
Promoting dialogue	When facing opposition, relax, make your points, and keep quiet. Don’t dwell on the negative or plan counterattacks.	11-8														
Body language	Gives clues to inner feelings. Adds to impact of speech. Isn't foolproof—easy to misinterpret.	11-9 thru 11-11														
Bad news	Tell it as it is without fanfare. Offer alternatives and recommendation. Never say, "I've got bad news!"	11-12 and 11-13														

Endnotes

Introduction To write this lesson we drew from these sources:

¹Diane A. Benton, *Lions Don't Need to Roar* (New York: Wagner Books, 1992) 34.

²U.S. Army Field Manual 22-101, *Leadership Counseling* (June 1985) 32-33.

³Thomas L. Quick, *Unconventional Wisdom: Irreverent Solutions for Tough Problems at Work* (San Francisco: Jossey Bass, 1989) 103-107.

⁴Benton, *Lions* 31.

⁵Robert L. Montgomery, *Listening Made Easy* (New York: AMACOM, 1981) 103-113.

Lesson 11—End-of-Lesson Exercises

Instructions Select the best answer.

1. Which statement concerning the *Grapevine* is true?
 - a. Membership is limited to higher ranking members.
 - b. It trades in *inside information*.
 - c. It transmits official news only.
 - d. Its purpose is to promote political intrigue.

2. Which statement concerning thought speed is true?
 - a. A listener takes in words faster than a speaker delivers them.
 - b. A speaker delivers words faster than a listener can take them in.
 - c. Speaking and listening rates are about the same.
 - d. Most speakers talk too fast.

3. To overcome listening barriers
 - a. look for chinks in the speaker's armor.
 - b. take detailed notes.
 - c. bite your tongue.
 - d. react immediately if you disagree.

4. Passive listening is appropriate when
 - a. you want to evade a tough question.
 - b. a rhetorical question is posed.
 - c. an answer is expected.
 - d. you wish to promote dialogue.

5. Why use caution with questions that ask *why*?
 - a. The respondent may not know *why*.
 - b. The respondent may answer with excuses rather than reasons.
 - c. *Why* questions encourage the respondent to talk too much.
 - d. *Why* questions are difficult to answer.

Lesson 11—End-of-Lesson Exercises, Continued

6. Summarize discussion to
- gather new information.
 - draw out the respondent.
 - view the subject in other ways.
 - control the course of discussion.
-

7. When negotiating with a tough customer
- let him talk.
 - overpower him with logic.
 - explain everything in detail.
 - rebut all his points.
-

8. Check each statement to indicate whether it's a *do* or *don't*.

Rules for Reading Body Language
a. Rely on body language alone to judge a person's feelings.
b. Regard gestures as indicators.
c. Realize one can send mixed signals.
d. Regard gestures as absolutes.
e. Automatically label one's mood.
f. Read body language in total context, both gestures and words.
g. Judge a person from a single gesture.

Do	Don't

9. When delivering bad news to a *good news only* boss
- be sure to place blame where it belongs.
 - begin by saying, "I've got bad news."
 - downplay its impact.
 - make it impersonal and matter-of-fact.
-

Lesson 11—Answer Key and Feedback

Instructions Correct choices are highlighted.

1. Which statement concerning the *Grapevine* is true?
 - a. Membership is limited to higher ranking members.
 - b. It trades in *inside information*. (Page 11-2)**
 - c. It transmits official news only.
 - d. Its purpose is to promote political intrigue.

 2. Which statement concerning thought speed is true?
 - a. Listener takes in words faster than a speaker delivers them. (Page 11-4)**
 - b. Speaker delivers words faster than a listener can take them in.
 - c. Speaking and listening rates are about the same.
 - d. Most speakers talk too fast.

A speaker delivers about 125 words per minute. A listener hears them at a rate of 500 words per minute.

 3. To overcome listening barriers
 - a. look for chinks in the speaker's armor.
 - b. take detailed notes.
 - c. bite your tongue. (Page 11-5)**
 - d. react immediately if you disagree.

 4. Passive listening is appropriate when
 - a. you want to evade a tough question.
 - b. a rhetorical question is posed. (Page 11-5)**
 - c. an answer is expected.
 - d. you wish to promote dialogue.

Passive listening is appropriate when a response is not expected or possible.

 5. Why use caution with questions that ask *why*?
 - a. The respondent may not know *why*.
 - b. The respondent may answer with excuses rather than reasons. (Page 11-7)**
 - c. *Why* questions encourage the respondent to talk too much.
 - d. *Why* questions are difficult to answer.
-

Lesson 11—Answer Key and Feedback, Continued

6. Summarize discussion to
- gather new information.
 - draw out the respondent.
 - view the subject in other ways.
 - control the course of discussion. (Page 11-7)**
-

7. When negotiating with a tough customer
- let him talk. (Page 11-8)**
 - overpower him with logic.
 - explain everything in detail.
 - rebut all his points.
-

8. Check each statement to indicate whether it's a *do* or *don't*.

(Page 11-9)

Rules for Reading Body Language	
a. Rely on body language alone to judge a person's feelings.	
b. Regard gestures as indicators.	
c. Realize one can send mixed signals.	
d. Regard gestures as absolutes.	
e. Automatically label one's mood.	
f. Read body language in total context, both gestures and words.	
g. Judge a person from a single gesture.	

Do	Don't
	✓
✓	
✓	
	✓
	✓
✓	
	✓

9. When delivering bad news to a *good news only* boss
- be sure to place blame where it belongs.
 - begin by saying, "I've got bad news."
 - downplay its impact.
 - make it impersonal and matter-of-fact. (Page 11-11)**
-

Module III—Personal Effectiveness

Lesson 12—Ethics

Overview

Introduction

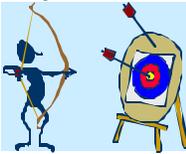
This lesson defines the core ethical values of America's Army and explains why we should embrace and uphold them.

Rationale



To manage events and lead people, one must set and uphold high standards of moral conduct based on a code of ethics.

Objectives



- Explain why our Army emphasizes certain values.
- Define Army core values and professional qualities.
- Describe ethical responsibilities of Army members.
- Recognize unethical behavior and correct it.
- Use guidelines and questions to make ethical decisions.

In this lesson

This lesson contains two sections, as shown below:

Section A: Main topics

Topic	See Page
Ethics	12-2
Values	12-3
Army Values	12-4
Ethical Responsibilities	12-5
Code of Ethics for Government Service	12-6
Threats to Core Values	12-7
Protecting Core Values	12-8
Pressure to Produce Results	12-9
Ethical Decision Making	12-10
Standards of Conduct	12-12

Section B: Back matter

Topic	See Page
Overview	12-13
Lesson Summary	12-14
Endnotes	12-16
End-of-Lesson Exercises	12-17
Answer Key and Feedback	12-20

Ethics

Introduction

This map explains why ethical behavior is essential to America's Army.

Ethics



Institutions and professions survive because their members are expected to uphold high standards based on a code of ethics. That's why we trust bankers with our money and doctors with our lives.

Members of America's Army are likewise expected to uphold high standards and abide by an ethical code.

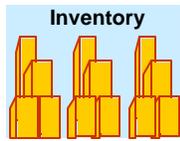
Definition



Ethics is a body of moral principles that set standards of behavior. These standards reflect shared values expressed in a code of ethics that members of a profession or organization agree to uphold.

America's Army also embraces a code of ethics, whose impact is even greater than ethical codes of other institutions. The consequences of unethical behavior in a military setting can be much graver than elsewhere.

Example



A clerk in an auto parts firm pilfers stock and covers shortages with phony inventory counts. Though harm occurs, it isn't life threatening, and the firm can recover its losses from insurance. Were this to occur at an Army depot during war, it could endanger troops on the battlefield and threaten national security.

Necessity



Everyone should act ethically, especially members of our Army. The American people have entrusted us with its blood and treasure to uphold the Constitution and defend our way of life. This charge demands no less than the worthiest values and the highest standards.

Standards



Why is America's Army a disciplined and robust force? Because its members, soldiers and civilians alike, share common values and uphold high standards. Though demanding, these standards are reasonable and attainable.

Trust



One who holds a position of authority or responsibility holds a position of trust.

Whether you're a supervisor or action officer, senior leaders

- expect you to possess high moral character.
 - rely on your integrity.
 - often base decisions on your word.
 - don't have time to doubt or double check, nor should that be necessary.
-

Values

Introduction This map explains how values form the foundation of one's behavior.

Definition



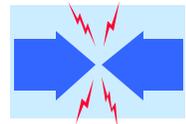
Values are

- beliefs about the worth of people, ideas, or things.
- the driving force behind behavior.
- the source of one's priorities—what one puts first or avoids most.

Example:

People who work hard and save hold different values than those who shun work and squander what money they have.

Conflict



People hold two sets of values: personal values and professional or organizational values. Often both sets are the same, but not always. If both sets work harmoniously, the organization is likely to maintain high ethical standards.

If values conflict, ethical dilemmas arise.

Example

An organization advocates service to customers yet punishes employees who can't meet vague or unrealistic standards.

To cope with this pressure and protect themselves, they may resort to unethical behavior.



Army Values

Introduction

This map defines the seven core values embraced by our Army.

Core values



Core values are key values an organization adopts to achieve its purpose and ensure its survival. They're so vital, that conduct which threatens or erodes them is considered unethical and a threat to the organization's ultimate survival.

When Army core values are ingrained, they promote mutual confidence among Army members and merit the special trust and confidence of our nation.

Army core values



The core values that guide us on a clear path and sustain our Army are

- Loyalty.
- Duty.
- Respect.
- Selfless Service.
- Honor.
- Integrity.
- Personal Courage.

LDRSHIP

When displayed in specific order, these values form the acronym, "LDRSHIP" (pronounced as "Leadership"). This table briefly defines each value:

Value	Description
Loyalty	Bear true faith and allegiance to the Constitution, the Army, your unit, and other soldiers and civilians.
Duty	Fulfill your obligations. Take responsibility and do what's right, no matter how tough it is, especially when no one is watching.
Respect	Treat people as they should be treated.
Selfless Service	Put the welfare of the nation, the Army, and your subordinates before your own.
Honor	Live up to all the Army values.
Integrity	Do what's right, legally and morally
Personal Courage	Face fear, danger, or adversity (physical or moral).

Necessity



Soldiers imbued with these values fight with an indomitable will. It takes nothing less to uphold the Constitution, defend our way of life, and win on the battlefield.

These values apply to soldiers and civilians of all ranks and grades serving in America's Army.

Ethical Responsibilities

Introduction

This map discusses ethical responsibilities of leaders and followers and ways to model ethical behavior in either role.

Leaders and followers

Whether leader or follower, we model ethical behavior in either role. Leaders set standards of ethical behavior. Followers embrace those standards:



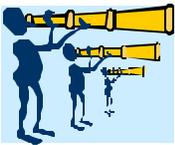
Leaders:

- define and affirm core values.
- provide clarity.
- act as standard bearers.

Followers:

- embrace core values.
- ask for direction when uncertain.
- meet standards.

Visibility



Ethical behavior goes with leadership. To lead effectively, one must visibly uphold high standards. You're always on display, and they're always watching.

Aware of it or not, you set an example, especially for subordinates, younger peers, new arrivals, customers, and the public.

Behavior is believable

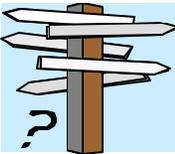


People quickly notice shortcomings. They observe and judge you by what you choose to confront, reward, or ignore.

They judge you least by what you say. Your behavior is the most believable thing about you. Sir Adrian Cadbury notes:

Our ethics are expressed in our actions, which is why they are usually clearer to others than to ourselves.²

No mixed messages



Be consistent in actions and always send clear messages. Otherwise you'll confuse people. They may react unethically to meet your expectations.

To consistently model ethical behavior

- avoid actions you can't justify.
- admit mistakes and correct them.
- use past successes to guide actions.
- stand by your good decisions.
- give people time to respond.
- act responsibly.³

Influence



Influence others by advocating ethical standards:

- Build teamwork by promoting shared values.
- Help others make ethical decisions.
- Display the *Code of Ethics for Government Service* poster at your work site.

Code of Ethics for Government Service

Introduction This is the code of ethics for federal employees:

Code of Ethics for Government Service (DoD 5500.7-R)

Any person in Government service should

Put loyalty to the highest moral principles and to country above loyalty to persons, party or Government department.

Uphold the Constitution, laws, and regulations of the United States and of all governments therein and never be a party to their evasion.

Give a full day's labor for a full day's pay; giving earnest effort and best thought to the performance of duties.

Seek to find and employ more efficient and economical ways of getting tasks accomplished.

Never discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not, and never accept, for himself or herself or for family members, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of governmental duties.

Make no private promises of any kind binding upon the duties of office, since a Government employee has no private word which can be binding on public duty.

Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of governmental duties.

Never use any information gained confidentially in the performance of governmental duties as a means of making private profit.

Expose corruption wherever discovered.

Uphold these principles, ever conscious that public office is a public trust.

Threats to Core Values

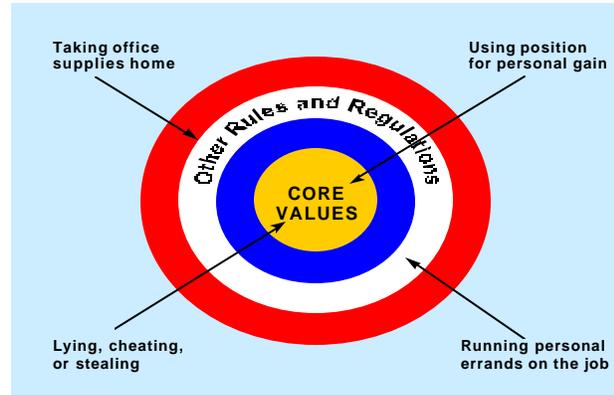
Introduction

This map explains how minor ethical violations can threaten core values.

Threats

This graphic depicts four unethical acts that violate regulations. Two acts are serious and threaten the organization's core values.

Though minor, the other two are a potential threat.



Bending rules



Nobody's perfect—sometimes we bend rules or abuse privilege. We may also be guilty of petty acts of dishonesty or minor breaches of conduct. But just because they're petty doesn't make it right. Besides, these acts are dangerous, because they can easily escalate or become the norm.

Escalation



Petty thieves move from stealing software to stealing computers. As small violations spread they

- erode core values.
- corrupt the organization.
- ultimately destroy it.

Bad rules



Another threat to core values is casual disregard of obsolete or unenforceable rules. We shouldn't do something dumb because of them, but that's only part of the answer. Bad rules invite contempt for authority and casual treatment of all rules: the bad drives out the good. The remedy lies not in ignoring bad rules but in eliminating them.

Rationalizing



Normally ethical people may resort to rationalizations to justify bad judgment and unethical behavior. This can also threaten core values:

Examples of rationalizations:

- Thought it was OK and wouldn't harm anyone.
- Did what was best, and *they* would expect nothing less.
- They wouldn't know the difference and would never catch me anyway.
- Was helping the organization, and felt they would gratefully back me up.⁴

Protecting Core Values

Introduction

This map describes ways to protect core values.

Perspective



The best way to protect core values is to behave ethically in all situations. However, this requires judgment, perspective, and risk. For example, we could discourage people from stealing office supplies by subjecting them to search and interrogation.

A more sensible approach would be to set standards and visibly uphold them.

Example



Most people obey rules if leaders affirm them and set the example.

If leaders don't act as standard bearers, unethical behavior will pervade the organization.

Excellence



Besides formal authority, one can also exert moral authority to influence others and make a difference. Whether leader or follower, build your own pocket of excellence through ethical behavior.

This sets an example, especially among peers and younger members. They may be uncertain and looking for guidance.

Confronting



Subordinates. Use your formal and moral authority to confront subordinates who violate ethical standards.

Peers. Use moral authority to influence peers. Maybe all they need is a tactful reminder of the standards. You may not succeed, but at least you will have

- brought the issue to the surface.
- affirmed your standards.
- avoided the unethical choice of doing nothing. Remember, ignoring unethical behavior is tantamount to condoning it.

Superiors and outsiders. Don't directly confront these folks. Instead, seek guidance from the Legal Officer or Inspector General. If you fear reprisal, request anonymity.

Pressure to Produce Results

Introduction

This map explains how pressure to produce results can cause unethical behavior.

Sources of pressure



People may feel pressured to produce certain results. Pressure stems from

- false assumptions about what's expected.
- vague or conflicting organizational goals.
- mixed signals implying approval—noncommittal response to a serious question.
- unstated preferences of superiors—slight nod of one's head, a closed door.
- slogans and exhortations.

Slogans and exhortations

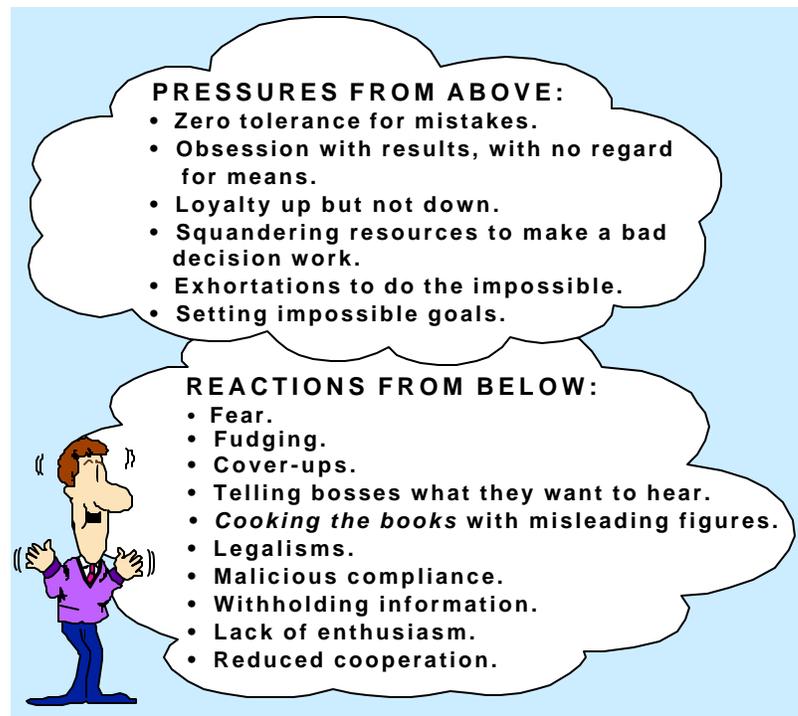


Some leaders will exert pressure through slogans or exhortations to do things when they just can't be done:

- *Can do!*
 - *Do more with less.*
 - *Zero defects.*
 - *Make it happen.*
 - *There's no excuse for failure.*
 - *I don't care how you do it; get it done!*
-

Pressures and reactions

On the surface, these slogans or exhortations seem to be challenging ways to energize people. However, when overzealous leaders use them to goad people toward impossible goals, they may act unethically to meet them. Unreasonable pressures may be unethical in themselves and may lead to unethical behavior.⁵



Ethical Decision Making

Introduction

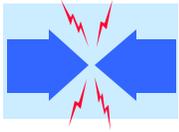
This map describes the ethical decision-making process.

Skill



Making ethical decisions is easy when issues are simple and right choices are clear. We make those decisions almost out-of-hand. However, solving tough ethical problems requires much more skill.

Dilemmas



Despite pressure to act unethically, you usually know in your heart what's right. Still, you may face situations where the right choice is unclear. For instance, you may be torn between loyalty to a friend and loyalty to our nation. This is an ethical dilemma, and it occurs when two or more deeply held values clash.

Attributes



When facing an ethical dilemma make the choice that seeks the highest moral good. This requires such attributes as intelligence and experience. However, these are grounded in the most critical attribute of all—character:

The manager who lacks . . . character—no matter how likable, helpful, or amiable, no matter even how competent or brilliant—is a menace and should be adjudged ‘unfit to be a manager’ . . .
—Peter F. Drucker⁶

Guidelines

When facing an ethical dilemma, follow these guidelines:

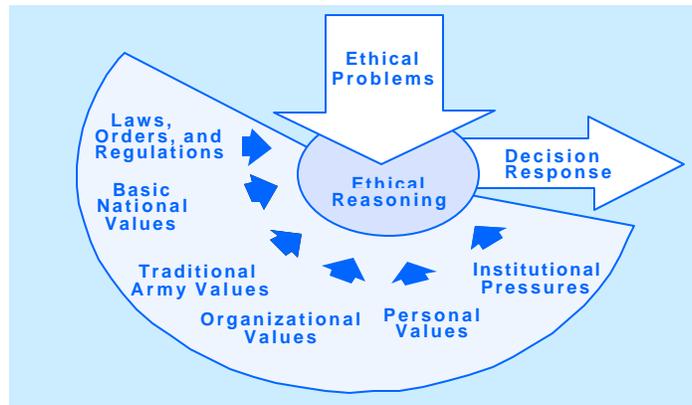
Guideline	Description
Laws, orders, and regulations	Formal standards defined in laws and regulations to guide behavior and decisions.
Basic national values	Established in the Constitution, Declaration of Independence, and American tradition.
Traditional Army values	Army core values established as standards for all soldiers and Army civilians.
Organizational values	Often the same as Army core values but not always. When actual practices conflict with core values, unethical behavior usually results.
Personal values	Sum of attitudes and beliefs forming your character and influencing your actions.
Institutional pressures	Internal and external policies and official and unofficial pressures influencing behavior.

Continued on next page

Ethical Decision Making, Continued

Decision model

Ethical guidelines displayed as a decision model.⁷



Questions

When weighing a decision with ethical implications, ask these questions:

Category	Question
Impact 	Could this matter jeopardize national security or our troops' safety on the battlefield?
Public trust 	Were this matter made public, could I proudly defend it, or would it violate the nation's trust?
Example 	What would happen to our Army if everyone followed my example?
Personal gain 	Is this a matter of ill-gotten financial gain?
Prudence 	Can I justify my action as one a prudent person would take in similar circumstances?

Compromise



Although not desirable, compromise is acceptable in decisions without ethical impacts. Constraints force us to accept less than ideal solutions. However, don't compromise integrity on decisions with serious ethical dimensions; you'll make a bad decision.

Standards of Conduct

Introduction

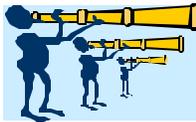
This map discusses standards of conduct defined in DoD Directive 5500.7-R, *Joint Ethics Regulation (JER)* and procedures for reporting violations.

Background



This lesson has simply been an overview of professional ethics; it doesn't discuss specific conduct prohibited by regulations. If you handle funds, travel, or deal with contractors, learn the rules. Check the JER, or you may unwittingly violate standards.

The public eye



In public service the mere appearance of wrongdoing invites suspicion. Though your actions may be both legal and ethical, outsiders may perceive them differently. Actions considered acceptable elsewhere invite censure if they occur in the government workplace.

Examples



These are examples of violations of the JER:

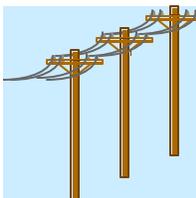
- Accepting unauthorized gifts.
 - Entering into an unauthorized contract.
 - Writing specifications to favor one vendor over another.
 - Providing insider information to a contractor.
-

Reporting violations



The JER provides guidance for reporting suspected incidents of fraud, waste, and abuse. Also seek assistance from the Ethics Counselor, Legal Officer, or Inspector General at your installation. These offices will protect your identity and maintain confidentiality.

DoD Hotline



You also have the option of reporting fraud, waste, and abuse anonymously to the Defense Hotline. Federal law protects you from reprisal.

Address:

Defense Hotline

The Pentagon

Washington, D.C. 20301-1900

Toll free number: 1-800-424-9098

Web site: <http://www.dodig.osd.mil>

If the matter involves either classified or Privacy Act information, seek legal counsel first.

Section B—Back Matter

Overview

Introduction This section contains commonly recurring topics found in each lesson.

In this section This section contains topics listed below:

Topic	See Page
Lesson Summary	12-14
Endnotes	12-16
End-of-Lesson-Exercises	12-17
Answer Key and Feedback	12-20

Lesson Summary

Key points

This table summarizes key points of lesson maps or information blocks:

Topic	Summary	Page								
Objectives	<ul style="list-style-type: none"> • Explain why our Army emphasizes certain values. • Define Army core values and professional qualities. • Describe ethical responsibilities of Army members. • Recognize unethical behavior and correct it. • Use guidelines and questions to make ethical decisions. 									
Ethics	<p><u>Ethics</u> is a body of moral principles that set standards of behavior. Standards reflect shared values members of an organization agree to uphold. America's Army embraces a code of ethics whose impact is greater than other ethical codes. Consequences of unethical behavior in a military setting can be much graver than elsewhere.</p>	12-2								
Values	<p>Values are beliefs about worth of people, ideas, things. They're the driving force behind behavior and source of one's priorities.</p>	12-3								
Army values (LDRSHIP)	<p>Army core values that guide us on a clear path:</p> <ul style="list-style-type: none"> • Loyalty. • Duty. • Respect. • Selfless Service. • Honor. • Integrity. • Personal Courage. 	12-4								
Ethical responsibilities	<table border="1" data-bbox="472 1115 1271 1276"> <thead> <tr> <th data-bbox="472 1115 870 1157">Leaders set the example</th> <th data-bbox="870 1115 1271 1157">Followers take the example</th> </tr> </thead> <tbody> <tr> <td data-bbox="472 1157 870 1199">• Affirm core values.</td> <td data-bbox="870 1157 1271 1199">• Embrace core values.</td> </tr> <tr> <td data-bbox="472 1199 870 1241">• Provide clarity.</td> <td data-bbox="870 1199 1271 1241">• Ask for direction.</td> </tr> <tr> <td data-bbox="472 1241 870 1276">• Act as standard bearers.</td> <td data-bbox="870 1241 1271 1276">• Meet standards.</td> </tr> </tbody> </table> <ul style="list-style-type: none"> • Ethical behavior goes with leadership. • You set an example—always on display. • Behavior is believable. • Others judge you by what you confront, reward, or ignore. 	Leaders set the example	Followers take the example	• Affirm core values.	• Embrace core values.	• Provide clarity.	• Ask for direction.	• Act as standard bearers.	• Meet standards.	12-5
Leaders set the example	Followers take the example									
• Affirm core values.	• Embrace core values.									
• Provide clarity.	• Ask for direction.									
• Act as standard bearers.	• Meet standards.									
No mixed messages	<p>Be consistent and send clear messages. <u>Don't</u> send mixed messages; people may react unethically to meet expectations.</p> <ul style="list-style-type: none"> • Avoid unjustifiable actions. • Admit mistakes and correct them. • Give people time to respond. • Act responsibly. 	12-5								

Continued on next page

Lesson Summary, Continued

Key points (continued)		
Topic	Summary	Page
Threats to core values	Bending rules, abusing privilege, and condoning petty dishonesty are threats to core values. As small violations spread they erode core values, corrupt the organization, and ultimately destroy it.	12-7
Bad rules	Disregard of obsolete or unenforceable rules invites contempt for authority and leads to casual treatment of all rules. Remedy is not to ignore bad rules but to eliminate them.	12-7
Rationalizing	People justify unethical behavior by rationalizing. <u>Examples:</u> <ul style="list-style-type: none"> • Thought it was OK and wouldn't harm anyone. • Did what was best for organization, and they expected it. 	12-7
Protecting core values	Behave ethically in all situations. Set standards and uphold them. Leaders must be standard bearers, or unethical behavior will pervade the organization.	12-8
Confronting	<ul style="list-style-type: none"> • Set the example—build your own pocket of excellence. • Confront unethical behavior. • Report violations. <p>Avoid the unethical choice of doing nothing.</p>	12-8
Pressure to produce results	<p>People may be pressured to produce results. Stems from</p> <ul style="list-style-type: none"> • false assumptions about what's expected. • vague or conflicting organizational goals. • mixed signals implying approval. • unstated preferences of superiors. <p>Some leaders pressure people to act unethically through slogans or exhortations such as <i>do more with less</i> or <i>make it happen!</i></p>	12-9
Ethical decision making	<p>Ethical dilemma occurs when two deeply held values clash. Make the choice that seeks the highest moral good. When facing an ethical dilemma, follow these guidelines:</p> <ul style="list-style-type: none"> • Laws, orders, regulations. • Personal values. • Basic national values. • Institutional pressures. • Traditional Army values. 	12-10 and 12-11
Standards of conduct	Check the <i>Joint Ethics Regulation</i> , or you may unwittingly violate standards. Seek guidance from the installation Ethics Counselor, Legal Officer, or Inspector General.	12-12
The public eye	<ul style="list-style-type: none"> • Mere appearance of wrongdoing invites suspicion. • Actions may be ethical, but others may see them differently. • Actions acceptable elsewhere invite censure in government. 	12-12
Reporting violations	Consult the JER to report suspected incidents of fraud, waste, or mismanagement. If you prefer anonymity, write or call the Defense Hotline.	12-12

Endnotes

Explanation of entries

Endnotes and additional reference are listed below.

Endnotes

To write this lesson we drew from these sources:

¹Drawn from emerging leadership doctrine in U.S. Army Field Manual 22-100, *Army Leadership*, scheduled for publication in 1998.

²Sir Adrian Cadbury, "Ethical Managers Make Their Own Rules," *Harvard Business Review* 65 (1987) 70.

³U.S. Army Field Manual 22-103, *Leadership and Command at Senior Levels*, June 1987, 24-25.

⁴Saul W. Gellerman, "Why 'good' Managers Make Bad Ethical Choices," *Harvard Business Review* 64 (1986) 88.

⁵U.S. Army Field Manual 22-100, *Military Leadership*, July 1990, 30.

⁶Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, 1973) 402.

⁷FM 22-100, 31.

Additional reference

This reference provides specific standards of conduct in areas of contracting, conflict of interest, gifts, etc.

DoD Directive 5500.7-R, *Joint Ethics Regulation (JER)*, August 1993.

Web sites

Besides the Defense Hotline Web site earlier referred to, these two sites offer extensive information, guidance, and training materials on ethical issues:

- United States Office of Government Ethics: <http://www.usoge.gov/>
 - U.S. Field Artillery Center, Fort Sill, OK: <http://sill-www.army.mil>
-

Lesson 12—End-of-Lesson Exercises

Instructions Select best answer or answers.

1. Why should members of our Army uphold the highest ethical standards?
 - a. They belong to a profession.
 - b. Makes it easier to achieve goals.
 - c. It takes the highest ethical standards to defend our way of life.
 - d. People are attracted to an organization that upholds high standards.

2. Select two reasons why supervisors and action officers must be trustworthy.
 - a. Bosses often base decisions on their word.
 - b. Bosses rely on their integrity and don't have time to doubt or double check.
 - c. It's part of their job description.
 - d. They must often work with others.

3. What is the relationship between values and priorities?
 - a. There is no relationship.
 - b. Values are the source of one's priorities—what you put first or avoid most.
 - c. Values are more important than priorities.
 - d. Priorities are the source of one's values.

4. Organizations adopt core values for these two reasons:
 - a. Achieve their purpose.
 - b. Emulate other organizations.
 - c. Be better than other organizations.
 - d. Ensure their survival.

5. Army core values apply to
 - a. officers.
 - b. officers and NCOs.
 - c. soldiers and civilians of all ranks and grades.
 - d. general officers.

Lesson 12—End-of-Lesson Exercises, Continued

6. Select three ways leaders set the ethical tone in an organization.
- Define and affirm core values.
 - Involve subordinates in decision making.
 - Provide clarity.
 - Act as standard bearers.
-
7. In the eyes of others, which part of you is the most believable?
- Actions.
 - Beliefs.
 - Values.
 - Words.
-
8. How can bad rules affect core values? (Select two.)
- If they're ignored, they don't affect core values.
 - If they're followed, they enhance core values.
 - They can threaten core values.
 - They can drive out good rules.
-
9. Select three ways to change unethical behavior in others.
- Set the example.
 - Confront the person involved.
 - Report violations.
 - Mind your own business.
-
10. If leaders use slogans to goad people toward impossible goals, they
- will be energized and accomplish the impossible.
 - will be more productive if pressured.
 - may act unethically to meet the goals.
 - will build their enthusiasm.
-
11. Which statement concerning *appearances* is false?
- Your actions may be ethical, but others may see them differently.
 - Actions considered acceptable elsewhere invite censure if they occur in government.
 - If you do what's right, appearances don't count.
 - In public service the mere appearance of wrongdoing invites suspicion.
-

Lesson 12—Answer Key and Feedback

Instructions Correct choices are highlighted.

-
1. Why should members of our Army uphold the highest ethical standards?
- They belong to a profession.
 - Makes it easier to achieve goals.
 - It takes the highest ethical standards to defend our way of life. (Page 12-2)**
 - People are attracted to an organization that upholds high standards.
-
2. Select two reasons why supervisors and action officers must be trustworthy.
- Bosses often base decisions on their word. (Page 12-2)**
 - Bosses rely on their integrity and don't have time to doubt or double check.**
 - It's part of their job description.
 - They must often work with others.
-
3. What is the relationship between values and priorities?
- There is no relationship.
 - Values are the source of one's priorities—what you put first or avoid most. (Page 12-3)**
 - Values are more important than priorities.
 - Priorities are the source of one's values.
-
4. Organizations adopt core values for these two reasons:
- Achieve their purpose. (Page 12-4)**
 - Emulate other organizations.
 - Be better than other organizations.
 - Ensure their survival.**
-
5. Army core values apply to
- officers.
 - officers and NCOs.
 - soldiers and civilians of all ranks and grades. (Page 12-4)**
 - general officers.
-

Lesson 12—Answer Key and Feedback, Continued

6. Select three ways leaders set the ethical tone in an organization.
- Define and affirm core values. (Page 12-5)**
 - Involve subordinates in decision making.
 - Provide clarity.**
 - Act as standard bearers.**
-

7. In the eyes of others, which part of you is the most believable?
- Actions. (Page 12-5)**
 - Beliefs.
 - Values.
 - Words

Remember, your behavior is the most believable thing about you.

8. How can bad rules affect core values? (Select two.)
- If they're ignored, they don't affect core values.
 - If they're followed, they enhance core values.
 - They can threaten core values. (Page 12-7)**
 - They can drive out good rules.**

Don't ignore bad rules—eliminate them.

9. Select three ways to change unethical behavior in others.
- Set the example. (Page 12-8)**
 - Confront the person involved.**
 - Report violations.**
 - Mind your own business.
-

10. If leaders use slogans to goad people toward impossible goals, they
- will be energized and accomplish the impossible.
 - will be more productive if pressured.
 - may act unethically to meet the goals. (Page 12-9)**
 - will build their enthusiasm.
-

11. Which statement concerning *appearances* is false?
- Your actions may be ethical, but others may see them differently.
 - Actions considered acceptable elsewhere invite censure if they occur in government.
 - If you do what's right, appearances don't count. (Page 12-12)**
 - In public service the mere appearance of wrongdoing invites suspicion.

Appearances count!

Final Examination

Introduction This map explains how to take the final examination.

Instructions The final examination begins on the next page. It contains 60 multiple-choice questions covering all 12 lessons.



This is an *open-book* exam—you may use the text to find answers.

Note: Please use a No. 2 pencil.

Steps



To take the examination, follow these steps:

Step	Action
1	Fill out administrative data at the top of ACCP Examination Response Sheet (ATSC Form 59).
2	Choose <u>one</u> answer for each question. <u>Tip:</u> To avoid erasures on the examination response sheet, circle answers on the examination first.
3	Transfer answers to ATSC Form 59. <u>Tip:</u> If you must make an erasure on the form, be sure to erase the error cleanly, leaving no smudges.
4	Completely darken lettered oval representing your choice: A, B, C, D.
5	Double-check your answers.
6	Mail completed ATSC Form 59 in return envelope.

Tip Make a copy of your marked-up examination and response sheet for your personal records.

Continued on the next page

Final Examination, Continued

Instructions Select the one best answer.

1. The parts that comprise a system
 - a. can't be isolated but must be examined in context of the others.
 - b. can function in isolation.
 - c. can be treated separately.
 - d. bear no relation to one another.

2. "The whole is greater than the sum of its parts" refers to the principle of
 - a. contingency.
 - b. effectiveness.
 - c. efficiency.
 - d. synergy.

3. You wrote a good plan but couldn't implement it because those affected knew nothing about it and strenuously objected. Which management function did you overlook?
 - a. Planning.
 - b. Organizing.
 - c. Coordinating.
 - d. Controlling.

4. The five functions of management
 - a. are linked in an integrated network.
 - b. are separate and distinct.
 - c. always operate in sequence.
 - d. are intended to operate in isolation.

5. Which statement is true?
 - a. Senior executives need fewer interpersonal skills than do first-level supervisors.
 - b. Senior executives rely primarily on technical skills to manage effectively.
 - c. First-level supervisors rely primarily on conceptual skills to manage effectively.
 - d. The need for interpersonal skills remains constant at all levels of management.

Final Examination, Continued

6. Planning
- embodies the other four functions of management.
 - is a stand-alone function in management.
 - is unrelated to the other four functions in management.
 - is the least important management function.
-
7. A specified task is
- implied.
 - clearly stipulated.
 - important but not essential.
 - derived from implied tasks.
-
8. Which statement is true?
- The more time you plan, the more time people have to react.
 - Complete non-essential tasks first.
 - Give all tasks equal priority.
 - Time is usually the governing factor in planning.
-
9. When writing a plan, use
- an authoritative tone.
 - negative terms.
 - conciliatory language.
 - unqualified expressions.
-
10. A Gantt Chart
- is the same as a milestone chart.
 - measures a project's progress over time.
 - is appropriate for sophisticated network analysis.
 - should not incorporate milestones.
-
11. The organizing function answers the question,
- who informs whom about what?
 - what are the relationships among people, places, and things?
 - who fixes things when they go wrong?
 - who judges results?
-

Final Examination, Continued

12. Astute leaders should
- separate people's needs from organizational goals.
 - avoid input from the informal organization.
 - rely on input from the informal organization.
 - work strictly within the formal organization.
-
13. *Effectiveness* means
- achieving the objective, no matter what the cost.
 - doing things right for their own sake.
 - doing the right things.
 - taking care of little things first.
-
14. Which statement is true?
- Efficiency is more important than effectiveness.
 - Efficiency and effectiveness are equally important.
 - Effectiveness is less important than efficiency.
 - Effectiveness is ultimately more important than efficiency.
-
15. Which practice does Covey recommend?
- Handle urgent items first.
 - When dealing with the opposition, seek a *win-win* solution.
 - When dealing with the opposition, seek an *I win, you lose* solution.
 - Avoid collaboration—best way to achieve is to do it yourself.
-
16. The coordinating function is an organized way of asking,
- who informs whom about what?
 - who fixes things when they go wrong?
 - who decides?
 - what resources are available and when?
-
17. Decision makers want proposals coordinated because they
- want to influence the coordination process.
 - will make better decisions if assured others have reviewed a proposal's merits.
 - can fix blame if the proposal turns out to be a bad decision.
 - make decisions by decree, and coordination provides them cover.
-

Final Examination, Continued

18. When establishing a coordinating base
- don't attempt to influence others.
 - avoid people who have access to decision makers.
 - become aware of habitual relationships.
 - practice self-reliance—don't depend on others for information.
-
19. Coordinating actions with your office first
- increases chances of success, since outsiders will not yet have seen the action.
 - will prompt outsiders to concur quickly.
 - reassures outsiders that your headquarters sanctions the action.
 - adds to delay and should be avoided.
-
20. When coordinating an action
- try to visit offices to gain concurrence.
 - use the message center rather than visiting offices in person.
 - rely exclusively on an sop and checklist to keep track of details.
 - assume people will respond on or before the suspense date.
-
21. *Managing* means
- getting things done.
 - getting things done through people.
 - inspiring people to want to get things done.
 - telling people what to do.
-
22. Which statement is true?
- Good leaders don't need management skills.
 - Good managers don't need leadership skills.
 - Managing and leading are equally important.
 - Managers should *manage* people.
-
23. Which statement is true?
- Following means simply doing as told.
 - Before being chosen to lead, one must be willing to follow.
 - Good followers need close supervision.
 - Followers should keep their views to themselves.
-

Final Examination, Continued

24. Which is an example of *job enrichment*?
- Increasing a person's workload to compensate for lack of manpower.
 - Adding tasks to a job to develop skills.
 - Encouraging innovation to get the job done.
 - Issuing detailed instructions.
-
25. What does the control function attempt to do?
- Provide resources.
 - Structure tasks.
 - Define the objective.
 - Measure performance against standards.
-
26. Feedback is most effective when it
- measures activities in real time.
 - is used to prepare after action reports.
 - measures results after the fact.
 - is used to collect data for future planning.
-
27. *Management by Exception* enables a supervisor to
- gain time.
 - stay fully involved in the task.
 - become immersed in details.
 - solve routine problems.
-
28. What advice would you give to a subordinate about managing suspense dates?
- Check on the action the day it's due.
 - Avoid interim replies.
 - Challenge unreasonable suspense dates.
 - Don't hesitate to impose a suspense date on a higher headquarters.
-
29. Which is an example of *accountability*?
- Power to make decisions.
 - Poor performance not tolerated.
 - Manageable workload.
 - Authority to task others for input.
-

Final Examination, Continued

30. Which is the preferred way to supervise?
- Do it yourself.
 - Spend time making sure others do it.
 - Delegate then disappear.
 - Delegate authority to those who can do it.
-
31. Which statement is true?
- When you delegate, you lose control of a task.
 - Delegation extends your authority.
 - Delegation dilutes your authority.
 - Don't delegate if you can do the work faster.
-
32. An unrestricted open-door policy
- facilitates efficient management.
 - enhances a supervisor's ability.
 - may restrict a supervisor's ability to delegate.
 - helps the supervisor save time.
-
33. One who neglects responsibilities to help others may have an inordinate need for
- power.
 - affiliation.
 - achievement.
 - security.
-
34. Secure and confident supervisors use their power
- to empower subordinates.
 - as a weapon.
 - as a reward.
 - for self-protection.
-
35. To avoid making demands, a supervisor may
- avoid full involvement in subordinates' work.
 - refuse to take back work when employees claim they can't do it.
 - take on a task when no one claims responsibility.
 - give explicit instructions when assigning a task.
-

Final Examination, Continued

36. Which is a good way to avoid reverse delegation?
- Put your instructions in writing.
 - If too busy to discuss a problem, tell them to send you a memo on it.
 - Tell people not to act until they get your instructions.
 - Assign tasks in the employee's presence.
-
37. If an employee tells you an assigned task is not his job, then
- give the task to someone else.
 - do it yourself.
 - hold him accountable if the task is part of his responsibility.
 - threaten him with a suspension if he doesn't comply.
-
38. Problem-solving steps
- simply provide a structure for working the problem.
 - must be completed in strict numerical sequence.
 - are separate and distinct with no overlap.
 - may not be combined or abbreviated.
-
39. If assigned a vaguely worded problem
- write an implementation plan for addressing the problem.
 - write a statement of the problem and send it to the decision maker for confirmation.
 - start working on the problem as you understand it.
 - send it back to the decision maker and request clarification.
-
40. When gathering information to solve a problem
- gather as much as possible; then shape it into alternatives.
 - ensure you've identified all alternatives first.
 - focus efforts on possible solutions discovered early in your research.
 - gather it for its own sake--don't tie it to any solutions.
-
41. Assumptions are
- suppositions on current and future events taken to be true but unproved.
 - proven statements.
 - false statements.
 - wild guesses.
-

Final Examination, Continued

42. The best solution
- is usually obvious.
 - must meet all criteria.
 - has the least flexibility.
 - should meet all or most criteria.
-
43. Which statement is true?
- Once your recommendation has been approved, your job is over.
 - An outline plan contains detailed and comprehensive information.
 - If unsure which alternative will be adopted, prepare complete plans for each.
 - If assured your recommendation will be adopted, prepare a complete plan.
-
44. Rules of thumb
- are foolproof guides for making decisions.
 - are generally unreliable.
 - can be biased.
 - add complexity to decisions.
-
45. Managers should
- be the chief problem solvers in their organization.
 - look beyond today's problems.
 - focus on today's problems.
 - measure their success by the number of problems they solve.
-
46. Which rule of thumb will help you decide if a meeting is necessary?
- Don't hold a meeting if seeing folks individually will yield the same results in less time.
 - Make meetings your primary means to gather information.
 - Attend meetings but don't hold them.
 - Always avoid meetings.
-
47. In an interactive meeting the leader
- serves as the facilitator.
 - serves as the recorder.
 - refrains from imposing views without discussing alternatives.
 - surrenders all authority to the group.
-

Final Examination, Continued

48. In a brainstorming session, why is the quantity of ideas created more important than quality?
- Most ideas won't work, but a large quantity increases chances that a few will.
 - Most ideas will work, so you'll only need a few.
 - Most ideas won't work, no matter how many are created.
 - About half the ideas created will be useful.
-

49. Use mind-mapping techniques
- as a substitute for brainstorming.
 - before a brainstorming session.
 - during a brainstorming session.
 - after a brainstorming session.
-

50. The *grapevine*
- is an official communications network.
 - is an unofficial communications network.
 - doesn't spread rumors.
 - always transmits accurate information.
-

51. Which statement about *listening* is true?
- If a speaker's message is interesting, his appearance doesn't count.
 - Poor gestures shouldn't influence how closely the audience listens.
 - Listening is the highest compliment one can pay to another human being.
 - To win your audience, don't hesitate to use jargon.
-

52. Which statement concerning *thought speed* is true?
- Listener takes in words faster than a speaker delivers them.
 - Speaker delivers words faster than a listener can take them in.
 - Speaking and listening rates are about the same.
 - Most speakers talk too fast.
-

53. Summarize discussion to
- gather new information.
 - draw out the respondent.
 - view the subject in other ways.
 - maintain control.
-

Final Examination, Continued

54. When delivering bad news to a *good news only* boss
- be sure to place blame where it belongs.
 - begin by saying, "I've got bad news."
 - downplay its impact.
 - make it impersonal and matter-of-fact.
-
55. America's Army is a disciplined and robust force because
- it has the latest technology.
 - it has the best equipment.
 - its soldiers have high morale.
 - its members, soldiers and civilians alike, share common values.
-
56. Values are
- feelings we have but don't act on.
 - beliefs about the worth of people, ideas, or things.
 - sentiments that have little influence over behavior.
 - beliefs about self-worth, but not the worth of others.
-
57. Army core values apply to
- officers.
 - officers and NCOs.
 - all soldiers and civilians serving in America's Army.
 - general officers.
-
58. Minor breaches of conduct
- are an imminent threat to an organization's core values.
 - are a potential threat to core values.
 - pose no threat to core values.
 - should be ignored.
-
59. Which statement is true?
- Only leaders can exert moral authority.
 - Leaders have little influence on an organization's ethical climate.
 - Followers cannot set an example of ethical behavior—only leaders can.
 - Most people obey rules if leaders affirm them.
-
60. If leaders use slogans to goad people toward impossible goals, they
- will be energized and accomplish the impossible.
 - will be more productive if pressured.
 - may act unethically to meet the goals.
 - will build their enthusiasm.
-