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SYLLABUS

M-238 PERSONAL GROWTH AND TRAINING DEVELOPMENT

UNIT I

Personality: Meaning and Concept, Personality Patterns, Symbol of Self, Mouldings the Personality Pattern, Persistence and Change.

Personality and Personal Effectiveness: Psychometric Theories – Cattell and Big Five, Psychodynamic Theories – Carl Jung and MBTI, Transactional Analysis, Johari – Window, Personal Effectiveness.

UNIT II

Personality Determinants: An Overview of Personality determinants.

Evaluation of Personality: Sick Personalities and Health Personalities.

UNIT III

Training: Concept, Role, Need and Importance of Training, Types of Training, Understanding Process of Learning, Developing and Integrated Approach of Learning in Training Programme.

UNIT IV

Training Need Assessment: Determination of Training Needs, Approaches to Training Needs Assessment, TNA Cycle of Events.

Designing Training Programmes, Methods of conducting Training, Evaluation of Training Programmes.

UNIT 1 PERSONALITY

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★ STRUCTURE ★

- 1.0 Learning Objectives
- 1.1 Introduction
- 1.2 Definition of Personality
- 1.3 Determinants of Personality
- 1.4 Personality Patterns
- 1.5 The Trait Psychology of Gordon W. Allport
- 1.6 The Trait Psychology of Raymond B. Cattell
- 1.7 The Trait Psychology of Hans J. Eysenck
- 1.8 Psychodynamic Theory
- 1.9 Key Concepts of Freuds Psychodynamic Theory
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- 1.14 Johari Window
- 1.15 Johari Window Model—Explanation of the Four Regions
- 1.16 Manage What?
- 1.17 Personal Effectiveness: The Foundation of Great Management
 - Summary
 - Review Questions
 - Further Readings

1.0 LEARNING OBJECTIVES

After studying this unit, you will be able to:

- explain meaning and concept of personality and personality patterns.
- describe personality and personal effectiveness and psychodynamic theories.

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1.1 INTRODUCTION

Personality is the complex set of various factors. The general meaning of personality is the external appearance. However, mere external appearance does not determine the personality of an individual. A host of factors determines individuals' personality. Interestingly personality is not developed spontaneously. It is developed over a period of time. A man is born with certain physical and mental qualities and the environment further shapes his or her personality. Several personality theories have been developed to provide an understanding of the personality of an individual. In this unit, you will learn the definition and determinants of personality, the personality traits and types, theories of personality and the nature of man. It also explains the attributes that influence personality. You will further learn the concept and the applications of emotions in the organisation.

1.2 DEFINITION OF PERSONALITY

Personality is an important aspect in understanding the human beings that are the most important resources of an organisation. They provide life to other resources for the accomplishment of goals and objectives. Human energy makes all the difference in organisations. Personality determines the human energy. It provides an opportunity to understand the individuals, properly direct their energy and motivate them in a proper manner. Personality is the study of the characteristic traits of an individual, the inter relations between them and the way in which a person responds and adjust to other people and situations. Gordon Allport defined personality as the dynamic organisation within the individual of those psychophysical systems that determine his unique adjustments to his environment. Kolasa defined personality as a broad, amorphous designation relating to fundamental approaches of persons to others and themselves. It is the study of the characteristic traits of an individual, relationships between these traits, and the way in which a person adjust to other people and situations. Stephen P. Robbins has defined personality as the sum total of ways in which an individual reacts and interacts with others.

These definitions reveal that the personality has the following characteristics.

- Personality refers to both physical and psychological qualities of an individual.
- It is unique in the sense that no two individuals are same in terms of their personality.

- Personality is the manner of adjustment of individual to the organisation, environment and the group.
- It is a qualitative aspect. Certain techniques exist to quantify it indirectly.
- Personality is dynamic. It changes with the time and situation.
- Personality is a system. It has input, processing and output mechanisms.
- Personality influences goal achievement and performance of an individual.

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1.3 DETERMINANTS OF PERSONALITY

Personality is an intangible concept. It is complex as it is related to the cognitive and psychological process. It is believed that a man is born with certain physical and mental qualities but the environment in which he is brought up shapes his personality. A number of factors determine the personality of individual *i.e.*, biological factors, family factors, environmental factors and situational factors. Let us learn them in detail.

Biological Factors: Biological factors are related to human body. Three factors: heredity, brain and physical features are considered as relevant. They are explained below.

1. **Heredity:** Heredity refers to those qualities transmitted by the parents to the next generation. These factors are determined at conception. Certain factors of personality inherited are: physical stature, facial attractiveness, gender, colour of skin, hair and eye balls, temperament, muscle composition, sensitivity, skills and abilities, intelligence, energy level and biological rhythms.
2. **Brain:** Brain is influenced by biological factors. Structure and composition of brain plays an important role in shaping personality. There are few empirical findings to state that the brain influences the personality.
3. **Physical Features:** The physical features and rate of maturation influence personality. The rate of maturity is related to the physical stature. It is believed that an individual's external appearance has a tremendous effect on personality. For instance height, colour, facial attraction, muscle strength influences ones' selfconcept.

Family Factors: The family factors are also important in determining personality of an individual. Three major factors: viz., the socialisation process, identification process and birth order influence the personality.

1. **Socialisation Process:** Socialisation is a process of acquiring wide range of behaviour by an infant from the enormously wide range of behavioural potentialities that are open to him at birth. Those behaviour patterns are customary and acceptable according to the standards of his family and

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social groups. Members of the family compel the infant to conform to certain acceptable behaviour.

2. **Identification Process:** Shaping of personality starts from the time the identification process commences. Identification Process occurs when a person tries to identify himself with some person whom he feels ideal in the family. Normally a child tries to behave as his father or mother.
3. **Birth Order:** Birth order is another significant variable influencing the personality of an individual. For instance first born are likely to be more dependent, more rational, ambitious, hardworking, cooperative, and more prone to guilt, anxiety and are less aggressive.

Environmental Factors: Environmental factors are those, which exists in and around the individual. They are social and cultural factors. Culture determines human decision-making, attitudes, independence: dependence, soberness: aggression, competition, co-operation and shyness. There are two vital aspects of culture. Firstly, conformity by the individual and secondly, acceptance by the larger group. Culture establishes norms, values and attitudes, which are enforced by different social groups. Individuals are compelled to behave in conformity to the culture established by the society. Thus, culture and society exert greater influence in shaping the personality of an individual.

Situational Factors: In recent years, the influence of situational factors on personality is increasingly recognised. Generally an individual's personality is stable and consistent, it changes in different situations. A study conducted by Milgram suggested that actions of an individual are determined by the situation. He states that situation exerts an important influence on the individual. It exercises constraints and may provide push to the individual. Thus it is clear from the above discussion that hosts of factors exert influence in shaping the personality of an individual. Therefore, one has to understand personality as a holistic system.

1.4 PERSONALITY PATTERNS

In this unit we consider traits as units of personality. Traits describe broad regularities or consistencies in the functioning of people. We commonly use such traits to portray the personalities of others and of ourselves. Are such concepts also useful to us as personality scientists? Many personality researchers think so and have accumulated an impressive amount of evidence in support of traits as basic units of personality. However, other personality psychologists suggest that personality is too complex and variable to be captured by such basic units. In this chapter we consider the evidence in

support of traits as basic units of personality as well as the questions raised by critics of the trait concept.

We begin our study of the units of personality with the concept of a trait. **Traits** are descriptors we use to characterize someone's personality. They include terms such as outgoing, friendly, reserved, hostile, competitive, generous, and so on. We find these terms to be useful summary descriptions whether we have just met someone or know that person well, whether we have seen him or her in a wide range of situations or just in one setting.

Before considering some of the more recent research on the trait concept, let us briefly review the theories and procedures of investigation of three important figures in its history.

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1.5 THE TRAIT PSYCHOLOGY OF GORDON W. ALLPORT

Gordon Allport (1897–1967) viewed traits as the basic structural elements of personality. He considered a trait to be a *predisposition to respond* in a particular way. A trait led to consistency in response because it rendered many stimuli “functionally equivalent” and brought together many forms of adaptive and expressive behavior. For example, sociable people are friendly and outgoing because many situations are viewed by them as opportunities to relate to people and because relating to others is part of their style of functioning in the world. In other words, traits represent a readiness to respond in a particular way because, on the input side, various situations are treated as similar and, on the output side, the person has an expressive and adaptive style.

Do traits actually exist or are they merely useful descriptors of behavioral generalities? Allport believed that traits actually existed in that they were based in the “neuropsychic systems” of people. Although they could not be observed and measured at the time, Allport believed that traits were based in biological and physical differences among people. At the same time, it was in the “observable stream of behavior” that traits were to be seen.

Allport suggested many different categories of traits. One distinction had to do with whether traits could be used to describe people in general or just a single individual—this is known as the *nomothetic-idiographic* issue. Allport believed that it was important to develop trait units that applied to all people—the **nomothetic** emphasis. However, he also insisted upon the importance of the individual and suggested that there were traits that could be unique to the individual—the **idiographic** emphasis. A second distinction had to do with how central and broadly descriptive a trait was. Here Allport distinguished among *cardinal traits*, *central traits*, and *secondary dispositions*.

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A **cardinal trait** expresses a disposition that is so pervasive in a person's life that virtually every act is traceable to its influence. For example, we speak of the Machiavellian person, named after Machiavelli's portrayal of the successful Renaissance ruler; of the sadistic person, named after the Marquis de Sade; and of the authoritarian personality, who sees virtually everything in black-and-white stereotyped ways. Generally, people have few such cardinal traits. **Central traits** (e.g., honesty, kindness, assertiveness) express dispositions that cover a more limited range of situations than cardinal traits but still represent broad consistencies in behavior. Finally, **secondary dispositions** represent tendencies that are the least conspicuous, generalized, and consistent.

In other words, people possess traits with varying degrees of significance and generality. Different traits may be cardinal, central, or secondary dispositions in different people. Allport did not make use of the method of factor analysis to determine trait units or categories. In fact, from his earliest writings he rejected factor analysis on the ground that it so emphasized the average that the individual got lost in the process. He suggested that factor analysis treats the person as composed of independent elements rather than as a unified system of interdependent substructures. Again, he was concerned with the total, organized, patterned aspects of individual functioning more than with what he viewed as abstract units that might not relate to individuals in a meaningful way.

Although critical of factor analysis, Allport did make a noteworthy effort to develop a taxonomy of trait terms (Allport & Odbert, 1936). What he did was develop a list of such terms found in an English dictionary, add some additional slang terms, and then classify the almost 18,000 terms into categories. The categories consisted of stable and enduring characteristics, temporary mood states and activities, social evaluations, and a mixed category of physical characteristics and talents or abilities. The first category, stable and enduring characteristics, is the one that is most closely related to the trait concept as it is generally used. Although somewhat unsystematic in the way that categories were formed, the research was important in its use of ordinary language as a basis for developing a taxonomy of trait terms.

A few additional points are noteworthy in relation to Allport as a trait theorist. First, he was critical of psychologists who focused on measures of individual differences to the neglect of the organization of the individual as a whole. This fit with his rejection of factor analysis as a method for studying personality. Allport suggested that it might be more important to know about traits unique to the person, and about the organization of traits within the person, than to know where the person stands relative to others on some

common traits. More generally, he emphasized the importance of idiographic research that involved the in-depth study of pattern and organization in individual functioning, relative to nomothetic research or the study of individual differences on a few standard personality measures. For Allport any legitimate theory of personality had to be capable of capturing the uniqueness of the individual.

Second, Allport was very much aware of the variability and complexity of behavior, but he did believe that people behave consistently and that thus the trait concept was useful. At the same time, he recognized that people are influenced by situations and that most behaviors express the influence of multiple traits. In addition, he suggested that every person has conflicts that can be expressed in antagonistic dispositions. Thus, consistency was a matter of degree and "perfect and rigid self-consistency is not to be expected" (Allport, 1937, p. 332). Finally, Allport struggled with the issue of the relation of the motive concept to the trait concept. We will return to this issue when we consider the concept of motive and the relation of traits to motives. However, it is important to recognize here that Allport was concerned with what activated the organism as well as with what guided its response to stimuli, the distinction he made between motivation and style of response (Allport, 1937, p. 323). At times he viewed the person in motivational terms.

At the same time, he rejected then-traditional views of needs and motives as too limited depictions of personality. These traditional views were seen as suggesting that all motivation could be reduced to the operation of but a few motives (e.g., sex and aggression) and that all behavior was in the service of tension reduction. Could such a view do justice to the varied functioning of the person? He thought not. Thus, Allport rejected the conventional view of motives and attempted to include motives within the domain of traits. At the same time, he suggested that not all motives were traits and not all traits were motives. What, then, was the relation between the two? This was a question that he never resolved to a satisfactory degree (Pervin, 1993a). Allport was a personality psychologist of considerable wisdom. His writings can still be read with profit today. However, for the most part his work is of historical interest rather than being noteworthy for its impact on current trait theory. This likely is because of Allport's emphasis on the idiographic relative to the nomothetic, on pattern and organization within the individual relative to differences between individuals, and to his criticism of factor analysis. Although Allport considered the units discovered through factor analysis to "resemble sausage meat that has failed to pass the pure food and health inspection" (1958, p. 251), subsequent trait psychologists have relied on factor analysis as a major tool in the discovery of the basic units of personality.

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1.6 THE TRAIT PSYCHOLOGY OF RAYMOND B. CATTELL

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Raymond B. Cattell is one of the great figures in the history of trait psychology. His interests and contributions are incredibly wide ranging and include not only the application of factor analysis to personality traits and personality assessment, but also contributions in the areas of intelligence and the inheritance of personality, among others. Cattell's college major was in chemistry and, when he turned to a career in psychology, his goal was to develop a taxonomy of personality traits comparable to chemistry's periodic table of the elements. Trained in England, he was influenced by Spearman's work with factor analysis. Thus, factor analysis was seen as the method of choice for determining the basic units of personality. His early research involved using many of the trait terms already employed by Allport (Allport & Odbert, 1936), but in addition using factor analysis to determine groups of terms that seemed to go together. In this research (Cattell, 1943) he had adults rated on traits by acquaintances or judges and then used factor-analytic techniques to determine which groups of traits were highly correlated. He concluded that 15 factors appeared to account for most of personality.

Not content with analyses of trait terms as used in everyday language, Cattell set out to determine if the same groups of trait terms (factors) could be found in questionnaires. This research was to serve as a check on the earlier research and also as the basis for the development of a questionnaire to measure individual differences in the basic elements of personality. Thousands of questionnaire items were written and administered to large numbers of subjects. Factor analyses were used to determine which questionnaire items went together. In analyzing these data Cattell concluded that there were 16 factors or groups of items, and on this basis developed the **Sixteen Personality Factor (16 P.F.) Questionnaire** to measure individual differences on the relevant trait dimensions (Cattell & Eber, 1962). Some of these trait dimensions were Reserved-Outgoing, Stable-Emotional, Expedient-Conscientious, and Conservative-Experimenting. How well did these factors agree with those obtained from the earlier research involving ratings based on trait terms used in everyday language? Cattell concluded that 12 showed considerable correspondence, whereas 4 appeared to be unique to the questionnaires. Continuing with this line of investigation, he set out to determine whether the same factors would be obtained from using objective test data. Once more many subjects were tested, in this case on laboratory-type tests, to determine which performances went together to form trait factors. The factor analysis of the behavioral test data resulted in the finding of 21 trait factors. How well did these correspond with the factors obtained in ratings and questionnaires? Although there was considerable overlap, there was no simple "point-to-point" correspondence (Skinner & Howarth, 1973).

It may be hard to appreciate the magnitude of Cattell's efforts to determine the basic structure of personality. To do so, it is important to recognize that today factor analyses are done completely on a computer—the data are entered along with the factoranalytic program and the output indicates how many factors there are and which trait terms go together on each factor. However, in the 1940s, when Cattell was doing this research, computers were not available and he had to do these analyses by hand (John, 1990)! Beyond this, Cattell was not content with data of one kind alone—ratings, questionnaire responses, or laboratory-type tests. Rather, he dared to determine whether the same basic elements came up in all three realms of data, as he suggested should be the case. To this day such a monumental effort has not been replicated. As we shall see, subsequent investigators have been content to use one type of data or, at best, to check on the relations between ratings and questionnaire data.

Now we just briefly touch upon two additional contributions by Cattell to trait theory and research. First, Cattell was interested in the determinants and the development of traits. To study the former, he developed a method to determine how much heredity and environment influence the development of different traits. Although the relative influences of heredity and environment were found to vary considerably, overall personality was estimated to be two thirds determined by environment and one third by heredity (Hundleby, Pawlik, & Cattell, 1965). As we shall see, research in this area, now known as *behavior genetics research*, has advanced considerably since these studies by Cattell. However, his research in this area is noteworthy, particularly in that it occurred at a time when most psychologists in the United States were taking an almost exclusively environmentalist position.

In addition to this interest in the determinants of traits, Cattell explored the progression of trait development over time. Thus, he was interested in questions such as whether the same traits were relevant to personality at all ages and whether trait scores were stable over time. Much of this research suggested that the same basic trait factors could be found in children, adolescents, and adults (Coan, 1966). On the other hand, a study of nursery school children indicated that only about one third of the traits found in adults could be found in children age 4 or younger (Damarin & Cattell, 1968). Cattell also found evidence of a fair amount of stability on a trait, particularly as the individual becomes older (Cattell, 1965).

The second contribution is Cattell's concern with the dynamic aspects of personality as well as its structural aspects—with the fluid, changing aspects of personality as well as its stable aspects. Thus, Cattell clearly did not see the person as a static entity who behaved the same way in all situations. He recognized that how a person behaves at any one time depends on many

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motivational and situational factors. Thus, he also used factor-analytic techniques to derive a taxonomy of motives and attempted to develop a formula to predict behavior based on the relevant trait and situational variables.

We have considered the work of Cattell at some length both because of its historical significance and because it highlights a number of issues that will concern us later in the chapter—the basic trait units, the comparability of traits from different data domains, the determinants of traits, and trait stability and change over time. Although not previously discussed, we can add here his research on whether the same traits show up in different cultures. Taken together, his work represents a remarkable record of accomplishment.

1.7 THE TRAIT PSYCHOLOGY OF HANS J. EYSENCK

Many of Hans Eysenck's contributions have paralleled those of Cattell, and he also made extensive use of factor analysis. In addition, Eysenck, like Cattell, was incredibly wide ranging in his interests—discovery of basic trait units, development of personality questionnaires, and investigation of the genetic determinants and the biological bases of personality (Eysenck, 1990) and the determinants of creativity (Eysenck, 1993). However, he differs from Cattell in two fundamental ways. First, he emphasized fewer trait dimensions than did Cattell, preferring to operate at the level of **types** that underlie the factors or traits emphasized by Cattell. Second, he made a greater attempt to relate individual differences in traits to differences in biological functioning. Let us consider these differences in greater detail. As noted, like Cattell, Eysenck made use of factor analysis to determine the

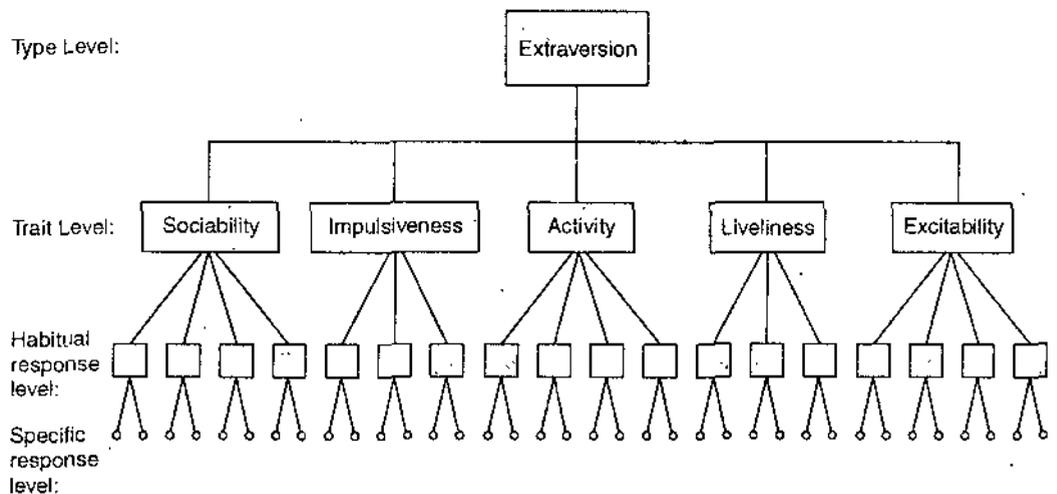


Fig. 1.1. Diagrammatic representation of hierarchical organization of personality.

basic dimensions of personality. Like Cattell, Eysenck emphasized traits as habitual responses that tend to go together. At a higher level of organization, however, Eysenck described types (Eysenck, 1970; Figure 1.1). Although the term *type* is used, it is important to recognize that in fact it represents a dimension with a low end and a high end, and people may fall along various points between the two extremes.

Eysenck emphasized three basic dimensions of personality—*Introversion-Extraversion*, *Neuroticism*, and *Psychoticism* (Figures 1.2, 1.3, 1.4; Eysenck, 1990, p. 246). The initials E (Extraversion), N (Neuroticism), and P (Psychoticism) are used to denote these three type dimensions, and the acronym **PEN** is used to refer to the threedimensional model of personality. The Eysenck Personality Questionnaire (EPQ) has been developed as a measure of individual differences on these three basic trait dimensions (Eysenck & Eysenck, 1975; Table 1.1).

Before considering each of these dimensions in greater detail, it may be noted that the first two dimensions (E,N) are similar to what is found if the 16 factors suggested by Cattell are subjected to further factor analysis. In other words, a further condensing or grouping of Cattell's traits, derived from questionnaires, leads to second-order factors that are similar to Eysenck's Introversion-Extraversion and Neuroticism dimensions. As we shall see, these two factors or dimensions show up as important in virtually every factor-analytic trait study. The third dimension, Psychoticism, turns out to be much more controversial.

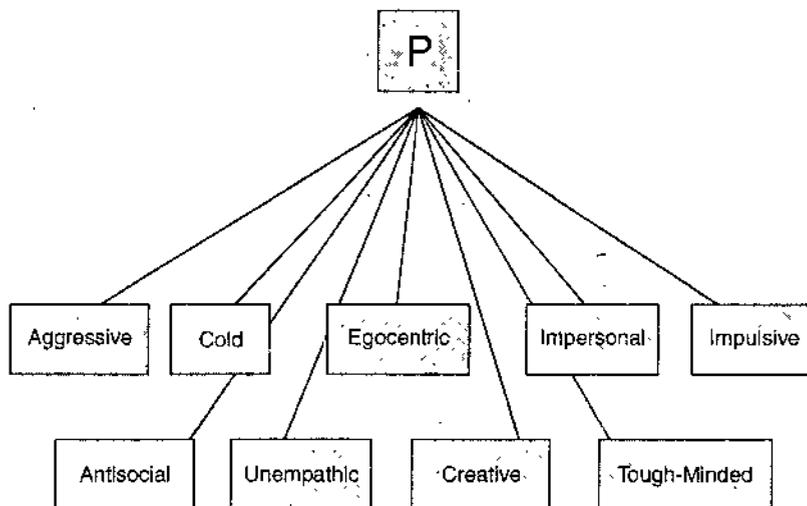


Fig. 1.2. *The hierarchical structure of psychoticism (P).*

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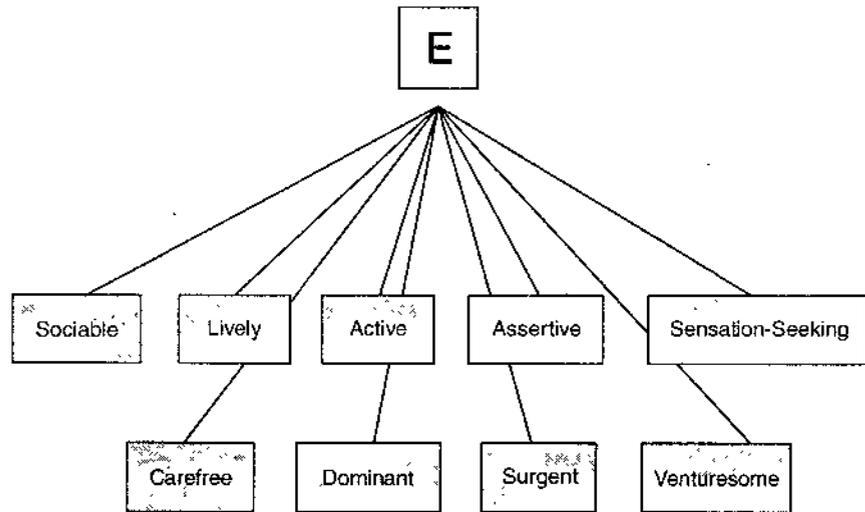


Fig. 1.3. The hierarchical structure of extraversion-introversion (E).

Briefly considered, the Introversion-Extraversion dimension relates to differences in sociability and impulsiveness. The typical extravert is sociable, likes parties, has many friends, craves excitement, and acts on the spur of the moment. The introvert tends to be quiet, introspective, reserved, reflective, and distrustful of impulsive decisions and prefers a well-ordered life to one filled with chance and risk. A wide variety of studies indicate fundamental differences in the functioning of introverts and extraverts: Introverts are more sensitive to pain, are more easily fatigued, find that excitement decreases performance, do better in school, prefer more solitary vocations, are less suggestible, and are less sexually active both in terms of frequency and variety of partners than are extraverts (Eysenck, 1990; G. Wilson, 1978; Zuckerman, 1991). As we have noted, Eysenck suggested that individual variations in personality reflect differences in biological functioning. In relation to E, he suggested that introverts are more easily aroused by events and more easily learn social prohibitions than do extraverts. As a result,

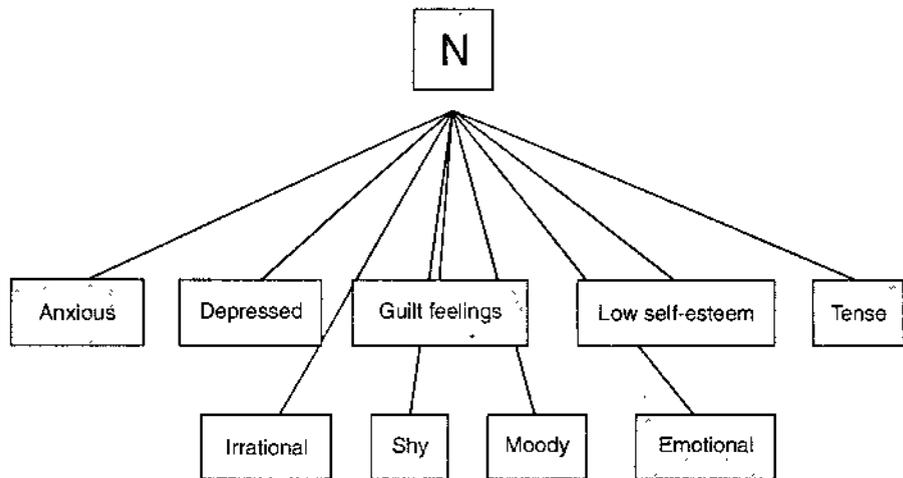


Fig. 1.4. The hierarchical structure of neuroticism (N).

introverts are more restrained and inhibited. There also is evidence that introverts are more influenced by punishments in learning whereas extraverts are more influenced by rewards (Eysenck, 1990).

In relation to Neuroticism, people high on N tend to be emotionally labile and frequently complain of worry and anxiety as well as of bodily aches (e.g., headaches, stomach difficulties, dizzy spells). As noted, the exact nature of the Psychoticism dimension is less clear but for the most part relates to a tendency to be aggressive, cold, egocentric, impersonal, unsocialized, and unconventional. In some ways the term is unfortunate, since it makes people think that what is being measured is the psychopathology known as psychosis. Although the trait may predispose people to psychosis, individual differences on it follow a normal distribution that to some degree is independent of the clinical state of psychosis. Also, although many of these trait characteristics have negative social value, Eysenck (1993) suggested a link between high scores on this dimension and creativity. Presumably the essential link here is the ability to think in unconventional ways that is essential to creativity, although obviously it is not the only prerequisite for such accomplishment.

Turning to the biological aspects of these trait dimensions, it can be noted that Eysenck's emphasis on establishing the biological foundations for the existence of each trait preceded by some time the current popularity of this area of research. This also is true of his emphasis on the evolutionary significance of traits:

I feel that the major, most fundamental dimensions of personality are likely to be those on which variation has had evolutionary significance, and that this evolutionary history is likely to manifest itself in strong genetic determination of individual differences along these dimensions. (Eysenck, 1977, pp. 407-408)

Table 1.1. Illustrative Items for Extraversion, Neuroticism, and Psychoticism from the Eysenck Personality Questionnaire—Revised

		Yes	No
1.	Do you usually take the initiative in making new friends?	—	—
2.	Does your mood often go up and down?	—	—
3.	Do you prefer to go your own way rather than act by the rules?	—	—
4.	Are you mostly quiet when you are with other people?	—	—
5.	Are your feeling easily hurt?	—	—
6.	Do you take much notice of what people think?	—	—
7.	Can you easily get some life into a rather dull party?	—	—
8.	Are you a worrier?	—	—
9.	Would you like other people to be afraid of you?	—	—

Note: These item would be scored in the following way: Extraversion: 1 Yes, 4 No, 7 Yes; Neuroticism: 2 Yes, 5 Yes, 8 Yes; Psychoticism: 3 Yes, 6 No, 9 Yes.

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Whereas deriving trait categories from ratings and questionnaires is useful descriptively, Eysenck noted the need for a causal analysis of why these trait dimensions appear. As evidence that biological factors play an important role in the development of P, E, and N, Eysenck (1990) cited the presence of the factors cross-culturally and the strong genetic (inherited) component to them. In addition, there is evidence that the factor analysis of the behavior of monkeys leads to factors similar to E (play), N (fearful, withdrawal), and P (aggression) (Zuckerman, 1991, p. 42).

Discussion of the biological roots of P, E, and N is complicated by the need for a sophisticated understanding of the biological functioning of the body and measures of such functioning. In addition, many of the studies in this area lead to inconclusive or inconsistent results, depending on the population studied, measures used, and conditions of testing. To date the most consistent results seem to suggest that the E dimension relates to the regulation of sensory input (Eysenck, 1990). On the whole the data suggest that extraverts are normally at a lower level of arousal and are less easily aroused than are introverts. The same level of stimulation thus leads to greater arousal in introverts.

Conversely, extraverts need more stimulation to reach the same level of arousal as introverts. This accounts for the strong tendency for extraverts to become bored with low levels of stimulation and to seek higher levels of stimulation than is true for introverts. Less work has been done on the N and P dimensions than on E, and there is less to report concerning their biological roots at this time (Eysenck, 1990). This area, however, is one of growing importance and we will return to it when other, more recent, trait models are considered. One authority in the field suggests that "Eysenck can rightly claim that his system rests on a body of psychobiological research not even approached by advocates of other dimensional models" (Zuckerman, 1991, p. 11).

THE FIVE-FACTOR MODEL (FFM)

Although the major concepts of Allport, Cattell, and Eysenck had been developed by the 1960s, a common view or trait taxonomy had not been achieved. Since then other three-factor models have been developed, some based on factor analysis and others based on individual differences in the functioning of physiological systems (Cloninger, 1987; Gray, 1987; Pickering & Gray, 1999; Tellegen, 1993). Some of these models, particularly those emphasizing individual differences in the functioning of biological systems, are similar to Eysenck's three factors, although they are not identical to them or to one another. In addition, there are other trait models that emphasize seven factors.

Over the course of the years, many factor-analytic studies were performed by a variety of investigators, without unanimity concerning the basic trait units. However, today a consensus that is emerging around what has been called the **Big Five** (Goldberg, 1981, 1993) or the **five-factor model (FFM)** of personality (McCrae & Costa, 1999): Much of what psychologists mean by the term personality is summarized by the FFM. (McCrae & Costa, 1999, p. 139) The FFM has become one of the most accepted models in contemporary psychology. (McCrae, 2001, p. 108) As we will see, these quotations may be an overstatement of the degree of consensus reached concerning the basic units of personality. However, it certainly is the case that the FFM has generated an enormous amount of research and that there is wide support and enthusiasm for the model.

What is the five-factor model and what is the evidence in support of it? Although slightly different terms have been used for the Big Five factors, we use the terms *Neuroticism*, *Extraversion*, *Openness to Experience*, *Agreeableness*, and *Conscientiousness* (Table 1.2) because they, and an associated questionnaire, have provided the basis for a good deal of recent research. In addition, a rearrangement of the beginning letters of each term provides an easy way of remembering them—**OCEAN** (John, 1990, p. 96). The questionnaire associated with the five-factor model is the **NEO-PI Five-Factor Inventory** (Costa & McCrae, 1992). The NEO-PI consists of 300 items for which subjects indicate, on a 5-point scale (from strongly agree to strongly disagree), the extent to which the statement is characteristic or representative of them. In addition to scores on the five factors, individuals receive scores on six subscales or facets associated with each of the five factors. These facets offer greater differentiation concerning behavior within each of the five broad factors (Table 1.2). The authors argue strongly for the use of questionnaires to assess personality and are critical of the use of projective tests and clinical interviews (McCrae & Costa, 1990).

Table 1.2. *The Big Five Trait Factors and Illustrative Scales*

Characteristics of the High Scorer	Trait Scales	Characteristics of the Low Scorer
Neuroticism (N) Worrying, nervous, emotional, insecure, inadequate, hypochondriacal	Assesses adjustment vs. emotional instability. Identifies individuals prone to psychological distress, unrealistic ideas, excessive cravings or urges, and maladaptive coping responses.	Calm, relaxed, unemotional, hardy, secure, self-satisfied

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<p>Extraversion (E) Sociable, active, talkative, person-oriented, optimistic, fun-loving, affectionate</p>	<p>Assesses quantity and intensity of interpersonal interaction; activity level; need for stimulation; and capacity for joy.</p>	<p>Reserved, sober, unexuberant, aloof, task-oriented, retiring, quiet.</p>
<p>Openness to Experience (O) Curious, broad interests, creative, original imaginative, untraditional</p>	<p>Assesses proactive seeking and appreciation of experience for its own sake; toleration for and exploration of the unfamiliar.</p>	<p>Conventional, down-to-earth, narrow interest, unartistic, unanalytical.</p>
<p>Agreeableness (A) Soft-hearted, good-natured, trusting, helpful, forgiving, gullible, straightforward</p>	<p>Assesses the quality of one's interpersonal orientation along a continuum from compassion to antagonism in thought, feelings and actions.</p>	<p>Cynical, rude, suspicious, uncooperative, vengeful, ruthless irritable, manipulative.</p>
<p>Conscientiousness (C) Organized, reliable, hard-working, self-disciplined, punctual, scrupulous, neat, ambitious, preserving</p>	<p>Assesses the individual's degree of organization, persistence, and motivation in goal-directed behaviour. Contracts dependable, fastidious people with those who are lackadaisical and sloppy.</p>	<p>Aimless, unreliable, lazy, careless, lax, negligent, weak-willed, hedonistic.</p>

1.8 PSYCHODYNAMIC THEORY

Psychodynamic psychotherapy is derived from psychoanalysis and is based on a number of key analytical concepts. These include Freud's ideas about psychosexual development, defence mechanisms, free association as the method of recall, and the therapeutic techniques of interpretation, including that of transference, defences and dreams. Such therapy usually involves once-weekly 50-minute sessions, the length of treatment varying between 3 months and 2 years. The long-term aim of such therapy is twofold: symptom relief and personality change.

Psychodynamic psychotherapy is classically indicated in the treatment of unresolved conflicts in early life, as might be found in non-psychotic and personality disorders, but to date there is a lack of convincing evidence concerning its superiority over other forms of treatment. Psychodynamic Theory is based on the premise that human behavior and relationships are shaped by conscious and unconscious influences. Psychodynamic therapies, which are sometimes used to treat depressed persons, focus on resolving the

patient's conflicted feelings. These therapies are often reserved until the depressive symptoms are significantly improved.

Psychodynamic counseling places more emphasis on the influence of past experience on the development of current behaviour, mediated in part through unconscious processes. It is influenced by object relations theory, that is, by the idea that previous relationships leave lasting traces which affect self-esteem and may result in maladaptive patterns of behaviour.

In psychodynamic therapy, the patient (as opposed to the client in other types of therapy) talks, and the therapist makes interpretations about the patient's words and behaviors. Dream interpretation may be a part of psychodynamic therapy. As with other types of therapy, some psychodynamic therapists may utilize other methods of therapy such as cognitive-behavioral techniques for specific problems.

1.9 KEY CONCEPTS OF FREUDS PSYCHODYNAMIC THEORY

1. Primarily concerned with internal psychological processes
2. Importance of early childhood experiences
3. Existence of unconscious motivation
4. Existence of ego (rationality) and superego (morality)
5. Existence of defense mechanisms

1.10 THE PSYCHODYNAMIC PERSPECTIVE

The term psychodynamic refers to a wide group of theories that emphasize the overriding influence of instinctive drives and forces, and the importance of developmental experiences in shaping personality. Early in their development, these theories focused solely on the influence of unconscious drives and forces, but they received much criticism and subsequent revision. Most recent psychodynamic theory places greater emphasis on conscious experience and its interaction with the unconscious, in addition to the role that social factors play in development.

Psychodynamic theories are in basic agreement that the study of human behaviour should include factors such as internal processes, personality, motivation and drives, and the importance of childhood experiences. Classic theories about the role of the unconscious sexual and aggressive drives have

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been re-evaluated to focus on conscious experience, resulting in, for example, the birth of ego psychology.

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1.11 INTRODUCTION TO THE THEORY OF CARL JUNG

Freud said that the goal of therapy was to make the unconscious conscious. He certainly made that the goal of his work as a theorist. And yet he makes the unconscious sound very unpleasant, to say the least. It is a cauldron of seething desires, a bottomless pit of perverse and incestuous cravings, a burial ground for frightening experiences which nevertheless come back to haunt us. Frankly, it doesn't sound like anything I'd like to make conscious.

A younger colleague of his, Carl Jung, was to make the exploration of this "inner space" his life's work. He went equipped with a background in Freudian theory, of course, and with an apparently inexhaustible knowledge of mythology, religion, and philosophy. Jung was especially knowledgeable in the symbolism of complex mystical traditions such as Gnosticism, Alchemy, Kabala, and similar traditions in Hinduism and Buddhism. If anyone could make sense of the unconscious and its habit of revealing itself only in symbolic form, it would be Carl Jung.

He had, in addition, a capacity for very lucid dreaming and occasional visions. In the fall of 1913, he had a vision of a "monstrous flood" engulfing most of Europe and lapping at the mountains of his native Switzerland. He saw thousands of people drowning and civilization crumbling. Then, the waters turned into blood. This vision was followed, in the next few weeks, by dreams of eternal winters and rivers of blood. He was afraid that he was becoming psychotic. But on August 1 of that year, World War I began. Jung felt that there had been a connection, somehow, between himself as an individual and humanity in general that could not be explained away. From then until 1928, he was to go through a rather painful process of self-exploration that formed the basis of all of his later theorizing.

He carefully recorded his dreams, fantasies, and visions, and drew, painted, and sculpted them as well. He found that his experiences tended to form themselves into persons, beginning with a wise old man and his companion, a little girl. The wise old man evolved, over a number of dreams, into a sort of spiritual guru. The little girl became "anima," the feminine soul, who served as his main medium of communication with the deeper aspects of his unconscious. A leathery brown dwarf would show up guarding the entrance to the unconscious. He was "the shadow," a primitive companion for Jung's ego. Jung dreamt that he and the dwarf killed a beautiful blond youth, whom he called Siegfried. For Jung, this represented a warning about the dangers of the worship of glory and heroism which would soon cause so much

sorrow all over Europe — and a warning about the dangers of some of his own tendencies towards hero-worship, of Sigmund Freud.

Jung dreamt a great deal about the dead, the land of the dead, and the rising of the dead. These represented the unconscious itself — not the “little” personal unconscious that Freud made such a big deal out of, but a new collective unconscious of humanity itself, an unconscious that could contain all the dead, not just our personal ghosts. Jung began to see the mentally ill as people who are haunted by these ghosts, in an age where no-one is supposed to even believe in them. If we could only recapture our mythologies, we would understand these ghosts, become comfortable with the dead, and heal our mental illnesses.

Critics have suggested that Jung was, very simply, ill himself when all this happened. But Jung felt that, if you want to understand the jungle, you can't be content just to sail back and forth near the shore. *You've got to get into it, no matter how strange and frightening it might seem.*

Theory of JUNG

Jung's theory divides the psyche into three parts. The first is the ego, which Jung identifies with the conscious mind. Closely related is the personal unconscious, which includes anything which is not presently conscious, but can be. The personal unconscious is like most people's understanding of the unconscious in that it includes both memories that are easily brought to mind and those that have been suppressed for some reason. But it does not include the instincts that Freud would have it include.

But then Jung adds the part of the psyche that makes his theory stand out from all others: the collective unconscious. You could call it your “psychic inheritance.” It is the reservoir of our experiences as a species, a kind of knowledge we are all born with. And yet we can never be directly conscious of it. It influences all of our experiences and behaviors, most especially the emotional ones, but we only know about it indirectly, by looking at those influences.

There are some experiences that show the effects of the collective unconscious more clearly than others: *The experiences of love at first sight, of deja vu* (the feeling that you've been here before), and the immediate recognition of certain symbols and the meanings of certain myths, could all be understood as the sudden conjunction of our outer reality and the inner reality of the collective unconscious. Grander examples are the creative experiences shared by artists and musicians all over the world and in all times, or the spiritual experiences of mystics of all religions, or the parallels in dreams, fantasies, mythologies, fairy tales, and literature.

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A nice example that has been greatly discussed recently is the near-death experience. It seems that many people, of many different cultural backgrounds, find that they have very similar recollections when they are brought back from a close encounter with death. They speak of leaving their bodies, seeing their bodies and the events surrounding them clearly, of being pulled through a long tunnel towards a bright light, of seeing deceased relatives or religious figures waiting for them, and of their disappointment at having to leave this happy scene to return to their bodies. Perhaps we are all "built" to experience death in this fashion.

Archetypes

The contents of the collective unconscious are called archetypes. Jung also called them dominants, imagos, mythological or primordial images, and a few other names, but archetypes seems to have won out over these. An archetype is an unlearned tendency to experience things in a certain way. The archetype has no form of its own, but it acts as an "organizing principle" on the things we see or do. It works the way that instincts work in Freud's theory: At first, the baby just wants something to eat, without knowing what it wants. It has a rather indefinite yearning which, nevertheless, can be satisfied by some things and not by others. Later, with experience, the child begins to yearn for something more specific when it is hungry — a bottle, a cookie, a broiled lobster, a slice of New York style pizza. The archetype is like a black hole in space: You only know its there by how it draws matter and light to itself.

The Mother Archetype

The mother archetype is a particularly good example. All of our ancestors had mothers. We have evolved in an environment that included a mother or mother-substitute. We would never have survived without our connection with a nurturing-one during our times as helpless infants. It stands to reason that we are "built" in a way that reflects that evolutionary environment: We come into this world ready to want mother, to seek her, to recognize her, to deal with her.

So the mother archetype is our built-in ability to recognize a certain relationship, that of "mothering." Jung says that this is rather abstract, and we are likely to project the archetype out into the world and onto a particular person, usually our own mothers. Even when an archetype doesn't have a particular real person available, we tend to personify the archetype, that is, turn it into a mythological "story-book" character. This character symbolizes the archetype. The mother archetype is symbolized by the primordial mother or "earth mother" of mythology, by Eve and Mary in western traditions, and by less personal symbols such as the church, the nation, a forest, or the

ocean. According to Jung, someone whose own mother failed to satisfy the demands of the archetype may well be one that spends his or her life seeking comfort in the church, or in identification with "the motherland," or in meditating upon the figure of Mary, or in a life at sea.

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You must understand that these archetypes are not really biological things, like Freud's instincts. They are more spiritual demands. For example, if you dreamt about long things, Freud might suggest these things represent the phallus and ultimately sex. But Jung might have a very different interpretation. Even dreaming quite specifically about a penis might not have much to do with some unfulfilled need for sex. It is curious that in primitive societies, phallic symbols do not usually refer to sex at all. They usually symbolize mana, or spiritual power. These symbols would be displayed on occasions when the spirits are being called upon to increase the yield of corn, or fish, or to heal someone. The connection between the penis and strength, between semen and seed, between fertilization and fertility are understood by most cultures.

The Shadow

Sex and the life instincts in general are, of course, represented somewhere in Jung's system. They are a part of an archetype called the shadow. It derives from our prehuman, animal past, when our concerns were limited to survival and reproduction, and when we weren't self-conscious. It is the "dark side" of the ego, and the evil that we are capable of is often stored there. Actually, the shadow is amoral — neither good nor bad, just like animals. An animal is capable of tender care for its young and vicious killing for food, but it doesn't choose to do either. It just does what it does. It is "innocent." But from our human perspective, the animal world looks rather brutal, inhuman, so the shadow becomes something of a garbage can for the parts of ourselves that we can't quite admit to.

Symbols of the shadow include the snake (as in the garden of Eden), the dragon, monsters, and demons. It often guards the entrance to a cave or a pool of water, which is the collective unconscious. Next time you dream about wrestling with the devil, it may only be yourself you are wrestling with.

The Persona

The persona represents your public image. The word is, obviously, related to the word person and personality, and comes from a Latin word for mask. So the persona is the mask you put on before you show yourself to the outside world. Although it begins as an archetype, by the time we are finished

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realizing it, it is the part of us most distant from the collective unconscious. At its best, it is just the "good impression" we all wish to present as we fill the roles society requires of us. But, of course, it can also be the "false impression" we use to manipulate people's opinions and behaviors. And, at its worst, it can be mistaken, even by ourselves, for our true nature: Sometimes we believe we really are what we pretend to be.

Anima and Animus

A part of our persona is the role of male or female we must play. For most people that role is determined by their physical gender. But Jung, like Freud and Adler and others, felt that we are all really bisexual in nature. When we begin our lives as fetuses, we have undifferentiated sex organs that only gradually, under the influence of hormones, become male or female. Likewise, when we begin our social lives as infants, we are neither male nor female in the social sense. Almost immediately — as soon as those pink or blue booties go on — we come under the influence of society, which gradually molds us into men and women.

In all societies, the expectations placed on men and women differ, usually based on our different roles in reproduction, but often involving many details that are purely traditional. In our society today, we still have many remnants of these traditional expectations. Women are still expected to be more nurturant and less aggressive; men are still expected to be strong and to ignore the emotional side of life. But Jung felt these expectations meant that we had developed only half of our potential. The anima is the female aspect present in the collective unconscious of men, and the animus is the male aspect present in the collective unconscious of women. Together, they are referred to as syzygy. The anima may be personified as a young girl, very spontaneous and intuitive, or as a witch, or as the earth mother. It is likely to be associated with deep emotionality and the force of life itself. The animus may be personified as a wise old man, a sorcerer, or often a number of males, and tends to be logical, often rationalistic, even argumentative. The anima or animus is the archetype through which you communicate with the collective unconscious generally, and it is important to get into touch with it. It is also the archetype that is responsible for much of our love life: We are, as an ancient Greek myth suggests, always looking for our other half, the half that the Gods took from us, in members of the opposite sex. When we fall in love at first sight, then we have found someone that "fills" our anima or animus archetype particularly well.

Other Archetypes

Jung said that there is no fixed number of archetypes which we could simply list and memorize. They overlap and easily melt into each other as needed,

and their logic is not the usual kind. But here are some he mentions: Besides mother, there are other family archetypes. Obviously, there is father, who is often symbolized by a guide or an authority figure. There is also the archetype family, which represents the idea of blood relationship and ties that run deeper than those based on conscious reasons. There is also the child, represented in mythology and art by children, infants most especially, as well as other small creatures. The Christ child celebrated at Christmas is a manifestation of the child archetype, and represents the future, becoming, rebirth, and salvation. Curiously, Christmas falls during the winter solstice, which in northern primitive cultures also represents the future and rebirth. People used to light bonfires and perform ceremonies to encourage the sun's return to them. The child archetype often blends with other archetypes to form the child-god, or the child-hero.

Many archetypes are story characters. The hero is one of the main ones. He is the *mana* personality and the defeater of evil dragons. Basically, he represents the ego — we do tend to identify with the hero of the story — and is often engaged in fighting the shadow, in the form of dragons and other monsters. The hero is, however, often dumb as a post. He is, after all, ignorant of the ways of the collective unconscious. Luke Skywalker, in the Star Wars films, is the perfect example of a hero. The hero is often out to rescue the maiden. She represents purity, innocence, and, in all likelihood, naivete. In the beginning of the Star Wars story, Princess Leia is the maiden. But, as the story progresses, she becomes the *anima*, discovering the powers of the force — the collective unconscious — and becoming an equal partner with Luke, who turns out to be her brother.

The hero is guided by the wise old man. He is a form of the *animus*, and reveals to the hero the nature of the collective unconscious. In Star Wars, he is played by Obi Wan Kenobi and, later, Yoda. Notice that they teach Luke about the force and, as Luke matures, they die and become a part of him. You might be curious as to the archetype represented by Darth Vader, the "dark father." He is the shadow and the master of the dark side of the force. He also turns out to be Luke and Leia's father. When he dies, he becomes one of the wise old men. There is also an animal archetype, representing humanity's relationships with the animal world. The hero's faithful horse would be an example. Snakes are often symbolic of the animal archetype, and are thought to be particularly wise. Animals, after all, are more in touch with their natures than we are. Perhaps loyal little robots and reliable old spaceships — the Falcon — are also symbols of animal. And there is the trickster, often represented by a clown or a magician. The trickster's role is to hamper the hero's progress and to generally make trouble. In Norse mythology, many of the gods' adventures originate in some trick or another played on their majesties by the half-god Loki. There are other archetypes

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that are a little more difficult to talk about. One is the original man, represented in western religion by Adam. Another is the God archetype, representing our need to comprehend the universe, to give a meaning to all that happens, to see it all as having some purpose and direction. The hermaphrodite, both male and female, represents the union of opposites, an important idea in Jung's theory. In some religious art, Jesus is presented as a rather feminine man. Likewise, in China, the character Kuan Yin began as a male saint (the bodhisattva Avalokiteshwara), but was portrayed in such a feminine manner that he is more often thought of as the female goddess of compassion. The most important archetype of all is the self. The self is the ultimate unity of the personality and is symbolized by the circle, the cross, and the mandala figures that Jung was fond of painting. A mandala is a drawing that is used in meditation because it tends to draw your focus back to the center, and it can be as simple as a geometric figure or as complicated as a stained glass window. The personifications that best represent self are Christ and Buddha, two people who many believe achieved perfection. But Jung felt that perfection of the personality is only truly achieved in death.

The Dynamics of the Psyche

So much for the content of the psyche. Now let's turn to the principles of its operation. Jung gives us three principles, beginning with the principle of opposites. Every wish immediately suggests its opposite. If I have a good thought, for example, I cannot help but have in me somewhere the opposite bad thought. In fact, it is a very basic point: In order to have a concept of good, you must have a concept of bad, just like you can't have up without down or black without white.

This idea came home to me when I was about eleven. I occasionally tried to help poor innocent woodland creatures who had been hurt in some way — often, I'm afraid, killing them in the process. Once I tried to nurse a baby robin back to health. But when I picked it up, I was so struck by how light it was that the thought came to me that I could easily crush it in my hand. Mind you, I didn't like the idea, but it was undeniably there. According to Jung, it is the opposition that creates the power (*orlibi do*) of the psyche. It is like the two poles of a battery, or the splitting of an atom. It is the contrast that gives energy, so that a strong contrast gives strong energy, and a weak contrast gives weak energy.

The second principle is the principle of equivalence. The energy created from the opposition is "given" to both sides equally. So, when I held that baby bird in my hand, there was energy to go ahead and try to help it. But there is an equal amount of energy to go ahead and crush it. I tried to help the bird, so that energy went into the various behaviors involved in helping it. But what

happens to the other energy? Well, that depends on your attitude towards the wish that you didn't fulfill. If you acknowledge it, face it, keep it available to the conscious mind, then the energy goes towards a general improvement of your psyche. You grow, in other words. But if you pretend that you never had that evil wish, if you deny and suppress it, the energy will go towards the development of a complex. A complex is a pattern of suppressed thoughts and feelings that cluster — constellate — around a theme provided by some archetype. If you deny ever having thought about crushing the little bird, you might put that idea into the form offered by the shadow (your "dark side"). Or if a man denies his emotional side, his emotionality might find its way into the anima archetype. And so on.

Here's where the problem comes: If you pretend all your life that you are only good, that you don't even have the capacity to lie and cheat and steal and kill, then all the times when you do good, that other side of you goes into a complex around the shadow. That complex will begin to develop a life of its own, and it will haunt you. You might find yourself having nightmares in which you go around stomping on little baby birds.

If it goes on long enough, the complex may take over, may "possess" you, and you might wind up with a multiple personality. In the movie *The Three Faces of Eve*, Joanne Woodward portrayed a meek, mild woman who eventually discovered that she went out and partied like crazy on Saturday nights. She didn't smoke, but found cigarettes in her purse, didn't drink, but woke up with hangovers, didn't fool around, but found herself in sexy outfits. Although multiple personality is rare, it does tend to involve these kinds of black-and-white extremes. The final principle is the principle of entropy. This is the tendency for oppositions to come together, and so for energy to decrease, over a person's lifetime. Jung borrowed the idea from physics, where entropy refers to the tendency of all physical systems to "run down," that is, for all energy to become evenly distributed. If you have, for example, a heat source in one corner of the room, the whole room will eventually be heated.

When we are young, the opposites will tend to be extreme, and so we tend to have lots of energy. For example, adolescents tend to exaggerate male-female differences, with boys trying hard to be macho and girls trying equally hard to be feminine. And so their sexual activity is invested with great amounts of energy! Plus, adolescents often swing from one extreme to another, being wild and crazy one minute and finding religion the next.

As we get older, most of us come to be more comfortable with our different facets. We are a bit less naively idealistic and recognize that we are all mixtures of good and bad. We are less threatened by the opposite sex within us and become more androgynous. Even physically, in old age, men and women become more alike. This process of rising above our opposites, of seeing both sides of who we are, is called transcendence.

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The Self

The goal of life is to realize the self. The self is an archetype that represents the transcendence of all opposites, so that every aspect of your personality is expressed equally. You are then neither and both male and female, neither and both ego and shadow, neither and both good and bad, neither and both conscious and unconscious, neither and both an individual and the whole of creation. And yet, with no oppositions, there is no energy, and you cease to act. Of course, you no longer need to act. To keep it from getting too mystical, think of it as a new center, a more balanced position, for your psyche. When you are young, you focus on the ego and worry about the trivialities of the persona. When you are older (assuming you have been developing as you should), you focus a little deeper, on the self, and become closer to all people, all life, even the universe itself. The self-realized person is actually less selfish.

Synchronicity

Personality theorists have argued for many years about whether psychological processes function in terms of mechanism or teleology. Mechanism is the idea that things work in through cause and effect: One thing leads to another which leads to another, and so on, so that the past determines the present. Teleology is the idea that we are lead on by our ideas about a future state, by things like purposes, meanings, values, and so on. Mechanism is linked with determinism and with the natural sciences. Teleology is linked with free will and has become rather rare. It is still common among moral, legal, and religious philosophers, and, of course, among personality theorists. Among the people discussed in this book, Freudians and behaviorists tend to be mechanists, while the neo-Freudians, humanists, and existentialists tend to be teleologists. Jung believes that both play a part. But he adds a third alternative called synchronicity. Synchronicity is the occurrence of two events that are neither linked causally, nor linked teleologically, yet are meaningfully related. Once, a client was describing a dream involving a scarab beetle when, at that very instant, a very similar beetle flew into the window. Often, people dream about something, like the death of a loved one, and find the next morning that their loved one did, in fact, die at about that time.

Sometimes people pick up the phone to call a friend, only to find that their friend is already on the line. Most psychologists would call these things coincidences, or try to show how they are more likely to occur than we think. Jung believed they were indications of how we are connected, with our fellow humans and with nature in general, through the collective unconscious. Jung was never clear about his own religious beliefs. But this unusual idea of synchronicity is easily explained by the Hindu view of reality. In the Hindu view, our individual egos are like islands in a sea. We look out at the world

and each other and think we are separate entities. What we don't see is that we are connected to each other by means of the ocean floor beneath the waters. The outer world is called *dmaya*, meaning illusion, and is thought of as God's dream or God's dance. That is, God creates it, but it has no reality of its own. Our individual egos they call *jivatman*, which means individual souls. But they, too, are something of an illusion. We are all actually extensions of the one and only *Atman*, or God, who allows bits of himself to forget his identity, to become apparently separate and independent, to become us. But we never truly are separate. When we die, we wake up and realize who we were from the beginning: God. When we dream or meditate, we sink into our personal unconscious, coming closer and closer to our true selves, the collective unconscious. It is in states like this that we are especially open to "communications" from other egos. Synchronicity makes Jung's theory one of the rare ones that is not only compatible with para psychological phenomena, but actually tries to explain them.

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Introversion and Extroversion

Jung developed a personality typology that has become so popular that some people don't realize he did anything else! It begins with the distinction between introversion and extroversion. Introverts are people who prefer their internal world of thoughts, feelings, fantasies, dreams, and so on, while extroverts prefer the external world of things and people and activities.

The words have become confused with ideas like shyness and sociability, partially because introverts tend to be shy and extroverts tend to be sociable. But Jung intended for them to refer more to whether you ("ego") more often faced toward the persona and outer reality, or toward the collective unconscious and its archetypes. In that sense, the introvert is somewhat more mature than the extrovert. Our culture, of course, values the extrovert much more. And Jung warned that we all tend to value our own type most. We now find the introvert-extravert dimension in several theories, notably Hans Eysenck's, although often hidden under alternative names such as "sociability" and "surgency."

The Functions

Whether we are introverts or extroverts, we need to deal with the world, inner and outer. And each of us has our preferred ways of dealing with it, ways we are comfortable with and good at. Jung suggests there are four basic ways, or functions:

The first is sensing. Sensing means what it says: getting information by means of the senses. A sensing person is good at looking and listening and generally getting to know the world. Jung called this one of the irrational functions, meaning that it involved perception rather than judging of

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information. The second is thinking. Thinking means evaluating information or ideas rationally, logically. Jung called this a rational function, meaning that it involves decision making or judging, rather than simple intake of information. The third is intuiting. Intuiting is a kind of perception that works outside of the usual conscious processes. It is irrational or perceptual, like sensing, but comes from the complex integration of large amounts of information, rather than simple seeing or hearing. Jung said it was like seeing around corners.

The fourth is feeling. Feeling, like thinking, is a matter of evaluating information, this time by weighing one's overall, emotional response. Jung calls it rational, obviously not in the usual sense of the word.

We all have these functions. We just have them in different proportions, you might say. Each of us has a superior function, which we prefer and which is best developed in us, a secondary function, which we are aware of and use in support of our superior function, a tertiary function, which is only slightly less developed but not terribly conscious, and an inferior function, which is poorly developed and so unconscious that we might deny its existence in ourselves. Most of us develop only one or two of the functions, but our goal should be to develop all four. Once again, Jung sees the transcendence of opposites as the ideal.

Assessment

Katharine Briggs and her daughter Isabel Briggs Myers found Jung's types and functions so revealing of people's personalities that they decided to develop a paper-and-pencil test. It came to be called the Myers-Briggs Type Indicator, and is one of the most popular, and most studied, tests around. On the basis of your answers on about 125 questions, you are placed in one of sixteen types, with the understanding that some people might find themselves somewhere between two or three types. What type you are says quite a bit about you — your likes and dislikes, your likely career choices, your compatibility with others, and so on. People tend to like it quite a bit. It has the unusual quality among personality tests of not being too judgmental: None of the types is terribly negative, nor are any overly positive. Rather than assessing how "crazy" you are, the "Myers-Briggs" simply opens up your personality for exploration.

The test has four scales. Extroversion - Introversion (E-I) is the most important. Test researchers have found that about 75 % of the population is extroverted. The next one is Sensing - Intuiting (S-N), with about 75 % of the population sensing. The next is Thinking - Feeling (T-F). Although these are distributed evenly through the population, researchers have found that two-thirds of men are thinkers, while two-thirds of women are feelers. This

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might seem like stereotyping, but keep in mind that feeling and thinking are both valued equally by Jungians, and that one-third of men are feelers and one-third of women are thinkers. Note, though, that society does value thinking and feeling differently, and that feeling men and thinking women often have difficulties dealing with people's stereotyped expectations. The last is Judging - Perceiving (J-P), not one of Jung's original dimensions. Myers and Briggs included this one in order to help determine which of a person's functions is superior. Generally, judging people are more careful, perhaps inhibited, in their lives. Perceiving people tend to be more spontaneous, sometimes careless. If you are an extrovert and a "J," you are a thinker or feeler, whichever is stronger. Extroverted and "P" means you are a senser or intuiter. On the other hand, an introvert with a high "J" score will be a senser or intuiter, while an introvert with a high "P" score will be a thinker or feeler. J and P are equally distributed in the population.

Each type is identified by four letters, such as ENFJ. These have proven so popular, you can even find them on people's license plates.

ENFJ (Extroverted feeling with intuiting): These people are easy speakers. They tend to idealize their friends. They make good parents, but have a tendency to allow themselves to be used. They make good therapists, teachers, executives, and salespeople.

ENFP (Extroverted intuiting with feeling): These people love novelty and surprises. They are big on emotions and expression. They are susceptible to muscle tension and tend to be hyper alert. They tend to feel self-conscious. They are good at sales, advertising, politics, and acting.

ENTJ (Extroverted thinking with intuiting): In charge at home, they expect a lot from spouses and kids. They like organization and structure and tend to make good executives and administrators.

ENTP (Extroverted intuiting with thinking): These are lively people, not humdrum or orderly. As mates, they are a little dangerous, especially economically. They are good at analysis and make good entrepreneurs. They do tend to play at one up manship.

ESFJ (Extroverted feeling with sensing): These people like harmony. They tend to have strong shoulds and should-nots. They may be dependent, first on parents and later on spouses. They wear their hearts on their sleeves and excel in service occupations involving personal contact.

ESFP (Extroverted sensing with feeling): Very generous and impulsive, they have a low tolerance for anxiety. They make good performers, they like public relations, and they love the phone. They should avoid scholarly pursuits, especially science.

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ESTJ (Extroverted thinking with sensing): These are responsible mates and parents and are loyal to the workplace. They are realistic, down-to-earth, orderly, and love tradition. They often find themselves joining civic clubs.

ESTP (Extroverted sensing with thinking): These are action-oriented people, often sophisticated, sometimes ruthless — our “James Bonds.” As mates, they are exciting and charming, but they have trouble with commitment. They make good promoters, entrepreneurs, and con artists.

INFJ (Introverted intuiting with feeling): These are serious students and workers who really want to contribute. They are private and easily hurt. They make good spouses, but tend to be physically reserved. People often think they are psychic. They make good therapists, general practitioners, ministers, and so on.

INFP (Introverted feeling with intuiting): These people are idealistic, self-sacrificing, and somewhat cool or reserved. They are very family and home oriented, but don't relax well. You find them in psychology, architecture, and religion, but never in business. Both Jung and I admire this type. Of course, both Jung and I are this type.

INTJ (Introverted intuiting with thinking): These are the most independent of all types. They love logic and ideas and are drawn to scientific research. They can be rather single-minded, though.

INTP (Introverted thinking with intuiting): Faithful, preoccupied, and forgetful, these are the bookworms. They tend to be very precise in their use of language. They are good at logic and math and make good philosophers and theoretical scientists, but not writers or salespeople.

ISFJ (Introverted sensing with feeling): These people are service and work oriented. They may suffer from fatigue and tend to be attracted to troublemakers. They are good nurses, teachers, secretaries, general practitioners, librarians, middle managers, and housekeepers.

ISFP (Introverted feeling with sensing): They are shy and retiring, are not talkative, but like sensuous action. They like painting, drawing, sculpting, composing, dancing — the arts generally — and they like nature. They are not big on commitment.

ISTJ (Introverted sensing with thinking): These are dependable pillars of strength. They often try to reform their mates and other people. They make good bank examiners, auditors, accountants, tax examiners, supervisors in libraries and hospitals, business, home ec., and phys. ed. teachers, and boy or girl scouts.

ISTP (Introverted thinking with sensing): These people are action-oriented and fearless, and crave excitement. They are impulsive and dangerous

to stop. They often like tools, instruments, and weapons, and often become technical experts. They are not interested in communications and are often incorrectly diagnosed as dyslexic or hyperactive. They tend to do badly in school.

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1.12 ERIC BERNE'S TRANSACTIONAL ANALYSIS - EARLY TA HISTORY AND THEORY

Transactional Analysis is one of the most accessible theories of modern psychology. Transactional Analysis was founded by Eric Berne, and the famous 'parent adult child' theory is still being developed today. Transactional Analysis has wide applications in clinical, therapeutic, organizational and personal development, encompassing communications, management, personality, relationships and behaviour. Whether you're in business, a parent, a social worker or interested in personal development, Eric Berne's Transactional Analysis theories, and those of his followers, will enrich your dealings with people, and your understanding of yourself. This section covers the background to Transactional Analysis, and Transactional Analysis underpinning theory.

1.13 ROOTS OF TRANSACTIONAL ANALYSIS

Throughout history, and from all standpoints: philosophy, medical science, religion; people have believed that each man and woman has a multiple nature. In the early 20th century, Sigmund Freud first established that the human psyche is multi-faceted, and that each of us has warring factions in our subconscious. Since then, new theories continue to be put forward, all concentrating on the essential conviction that each one of us has parts of our personality which surface and affect our behaviour according to different circumstances.

In 1951 Dr Wilder Penfield began a series of scientific experiments. Penfield proved, using conscious human subjects, by touching a part of the brain (the temporal cortex) with a weak electrical probe, that the brain could be caused to 'play back' certain past experiences, and the feelings associated with them. The patients 'replayed' these events and their feelings despite not normally being able to recall them using their conventional memories.

Penfield's experiments went on over several years, and resulted in wide acceptance of the following conclusions:

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The human brain acts like a tape recorder, and whilst we may 'forget' experiences, the brain still has them recorded. Along with events the brain also records the associated feelings, and both feelings and events stay locked together. It is possible for a person to exist in two states simultaneously (because patients replaying hidden events and feelings could talk about them objectively at the same time). Hidden experiences when replayed are vivid, and affect how we feel at the time of replaying. There is a certain connection between mind and body, *i.e.*, the link between the biological and the psychological, *e.g.*, a psychological fear of spiders and a biological feeling of nausea.

Early Transactional Analysis Theory and Model

In the 1950's Eric Berne began to develop his theories of Transactional Analysis. He said that verbal communication, particularly face to face, is at the centre of human social relationships and psychoanalysis. His starting-point was that when two people encounter each other, one of them will speak to the other. This he called the Transaction Stimulus. The reaction from the other person he called the Transaction Response. The person sending the Stimulus is called the Agent. The person who responds is called the Respondent. Transactional Analysis became the method of examining the transaction wherein: 'I do something to you, and you do something back'. Berne also said that each person is made up of three alter ego states:

- Parent
- Adult
- Child

These terms have different definitions than in normal language.

Parent

This is our ingrained voice of authority, absorbed conditioning, learning and attitudes from when we were young. We were conditioned by our real parents, teachers, older people, next door neighbours, aunts and uncles, Father Christmas and Jack Frost. Our Parent is made up of a huge number of hidden and overt recorded playbacks. Typically embodied by phrases and attitudes starting with 'how to', 'under no circumstances', 'always' and 'never forget', 'don't lie, cheat, steal', etc. Our parent is formed by external events and influences upon us as we grow through early childhood. We can change it, but this is easier said than done.

Child

Our internal reaction and feelings to external events form the 'Child'. This is the seeing, hearing, feeling, and emotional body of data within each of us.

When anger or despair dominates reason, the Child is in control. Like our Parent we can change it, but it is no easier.

Adult

Our 'Adult' is our ability to think and determine action for ourselves, based on received data. The adult in us begins to form at around ten months old, and is the means by which we keep our Parent and Child under control. If we are to change our Parent or Child we must do so through our adult.

In other words:

- Parent is our 'Taught' concept of life
- Adult is our 'Thought' concept of life
- Child is our 'Felt' concept of life

When we communicate we are doing so from one of our own alter ego states, our Parent, Adult or Child. Our feelings at the time determine which one we use, and at any time something can trigger a shift from one state to another. When we respond, we are also doing this from one of the three states, and it is in the analysis of these stimuli and responses that the essence of Transactional Analysis lies.

At the core of Berne's theory is the rule that effective transactions (ie successful communications) must be complementary. They must go back from the receiving ego state to the sending ego state. For example, if the stimulus is Parent to Child, the response must be Child to Parent, or the transaction is 'crossed', and there will be a problem between sender and receiver.

If a crossed transaction occurs, there is an ineffective communication. Worse still either or both parties will be upset. In order for the relationship to continue smoothly the agent or the respondent must rescue the situation with a complementary transaction.

In serious break-downs, there is no chance of immediately resuming a discussion about the original subject matter. Attention is focused on the relationship. The discussion can only continue constructively when and if the relationship is mended. Here are some simple clues as to the ego state sending the signal. You will be able to see these clearly in others, and in yourself:

1. Parent

- Physical - angry or impatient body-language and expressions, finger-pointing, patronising gestures,
- Verbal - always, never, for once and for all, judgmental words, critical words, patronising language, posturing language.

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- N.B. beware of cultural differences in body-language or emphases that appear 'Parental'.

2. Child

- Physical - emotionally sad expressions, despair, temper tantrums, whining voice, rolling eyes, shrugging shoulders, teasing, delight, laughter, speaking behind hand, raising hand to speak, squirming and giggling.
- Verbal - baby talk, I wish, I dunno, I want, I'm gonna, I don't care, oh no, not again, things never go right for me, worst day of my life, bigger, biggest, best, many superlatives, words to impress.

3. Adult

- Physical-attentive, interested, straight-forward; tilted head, non-threatening and non-threatened.
- Verbal-why, what, how, who, where and when, how much, in what way, comparative expressions, reasoned statements, true, false, probably, possibly, I think, I realise, I see, I believe, in my opinion.

And remember, when you are trying to identify ego states: words are only part of the story. To analyse a transaction you need to see and feel what is being said as well.

- Only 7% of meaning is in the words spoken.
- 38% of meaning is paralinguistic (the way that the words are said).
- 55% is in facial expression.

There is no general rule as to the effectiveness of any ego state in any given situation (some people get results by being dictatorial (Parent to Child), or by having temper tantrums, (Child to Parent), but for a balanced approach to life, Adult to Adult is generally recommended.

Transactional Analysis is effectively a language within a language; a language of true meaning, feeling and motive. It can help you in every situation, firstly through being able to understand more clearly what is going on, and secondly, by virtue of this knowledge, we give ourselves choices of what ego states to adopt, which signals to send, and where to send them. This enables us to make the most of all our communications and therefore create, develop and maintain better relationships.

Modern Transactional Analysis Theory

Transactional Analysis is a theory which operates as each of the following:

- a theory of personality
- a model of communication
- a study of repetitive patterns of behaviour

Transactional Analysis developed significantly beyond these Berne's early theories, by Berne himself until his death in 1970, and since then by his followers and many current writers and experts. Transactional Analysis has been explored and enriched in many different ways by these people, including: Ian Stewart and Ann Joines (their book 'TA Today' is widely regarded as a definitive modern interpretation); John Dusay, Aaron and Jacqui Schiff, Robert and Mary Goulding, Pat Crossman, Taibi Kahler, Abe Wagner, Ken Mellor and Eric Sigmund, Richard Erskine and Marityn Zalzman, Muriel James, Pam Levin, Anita Mountain and Julie Hay (specialists in organizational applications), Susannah Temple, Claude Steiner, Franklin Ernst, S Woollams and M Brown, Fanita English, P Clarkson, M M Holloway, Stephen Karpman and others.

Significantly, the original three Parent Adult Child components were subdivided to form a new seven element model, principally during the 1980's by Wagner, Joines and Mountain. This established Controlling and Nurturing aspects of the Parent mode, each with positive and negative aspects; and the Adapted and Free aspects of the Child mode, again each with positive and negative aspects, which essentially gives us the model to which most TA practitioners refer today:

1. **Parent:** Parent is now commonly represented as a circle with four quadrants:
 - **Nurturing** - *Nurturing* (positive) and *Spoiling* (negative).
 - **Controlling** - *Structuring* (positive) and *Critical* (negative).
2. **Adult:** Adult remains as a single entity, representing an 'accounting' function or mode, which can draw on the resources of both Parent and Child.
3. **Child:** Child is now commonly represented as circle with four quadrants:
 - **Adapted** - *Co-operative* (positive) and *Compliant/Resistant* (negative).
 - **Free** - *Spontaneous* (positive) and *Immature* (negative).

Where previously Transactional Analysis suggested that effective communications were complementary (response echoing the path of the stimulus), and better still complementary adult to adult, the modern interpretation suggests that effective communications and relationships are based on complementary transactions to and from positive quadrants, and also, still, adult to adult. Stimuli and responses can come from any (or some) of these seven ego states, to any or some of the respondent's seven ego states.

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1.14 JOHARI WINDOW

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The Johari Window model is a simple and useful tool for illustrating and improving self-awareness, and mutual understanding between individuals within a group. The Johari Window model can also be used to assess and improve a group's relationship with other groups. The Johari Window model was devised by American psychologists Joseph Luft and Harry Ingham in 1955, while researching group dynamics at the University of California Los Angeles. The model was first published in the Proceedings of the Western Training Laboratory in Group Development by UCLA Extension Office in 1955, and was later expanded by Joseph Luft. Today the Johari Window model is especially relevant due to modern emphasis on, and influence of, 'soft' skills, behaviour, empathy, cooperation, inter-group development and interpersonal development.

The Johari Window concept is particularly helpful to understanding employee/ employer relationships within the Psychological Contract.

Over the years, alternative Johari Window terminology has been developed and adapted by other people - particularly leading to different descriptions of the four regions, hence the use of different terms in this explanation. Don't let it all confuse you - the Johari Window model is really very simple indeed.

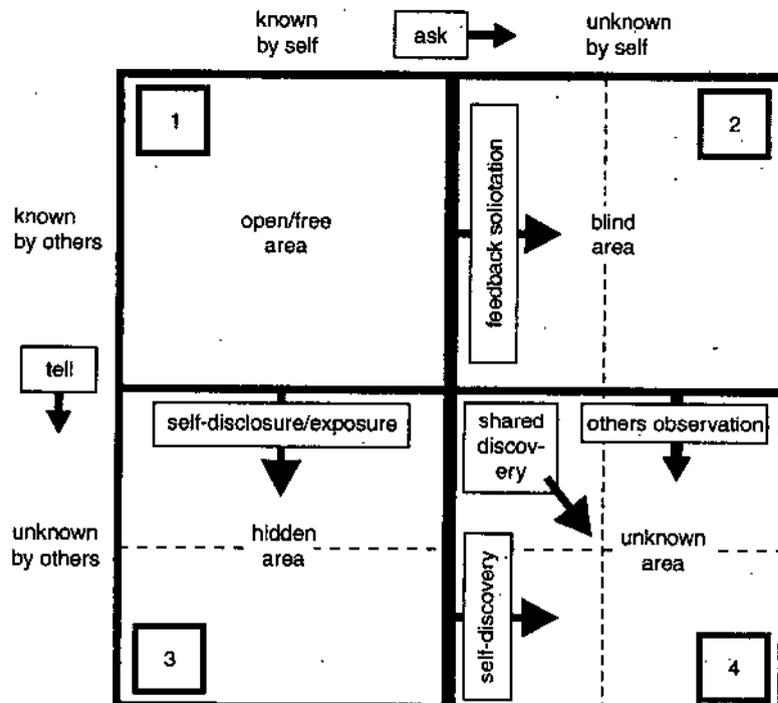


Figure 1.5 Johari Window Model.

Luft and Ingham called their Johari Window model 'Johari' after combining their first names, Joe and Harry. In early publications the word appears as 'Johari'. The Johari Window soon became a widely used model for understanding and training self-awareness, personal development, improving communications, interpersonal relationships, group dynamics, team development and inter-group relationships.

The Johari Window model is also referred to as a 'disclosure/feedback model of self awareness', and by some people an 'information processing tool'. The Johari Window actually represents information - feelings, experience, views, attitudes, skills, intentions, motivation, etc - within or about a person - in relation to their group, from four perspectives, which are described below. The Johari Window model can also be used to represent the same information for a group in relation to other groups. Johari Window terminology refers to 'self' and 'others': 'self' means oneself, *i.e.*, the person subject to the Johari Window analysis. 'Others' means other people in the person's group or team.

N.B. When the Johari Window model is used to assess and develop groups in relation to other groups, the 'self' would be the group, and 'others' would be other groups. However, for ease of explanation and understanding of the Johari Window and examples in this article, think of the model applying to an individual within a group, rather than a group relating to other groups.

The four Johari Window perspectives are called 'regions' or 'areas' or 'quadrants'. Each of these regions contains and represents the information - feelings, motivation, etc - known about the person, in terms of whether the information is known or unknown by the person, and whether the information is known or unknown by others in the group.

The Johari Window's four regions, (areas, quadrants, or perspectives) are as follows, showing the quadrant numbers and commonly used names:

Johari window four regions

1. what is known by the person about him/herself and is also known by others—open area, open self, free area, free self, or 'the arena'
2. what is unknown by the person about him/herself but which others know—blind area, blind self, or 'blindspot'
3. what the person knows about him/herself that others do not know—hidden area, hidden self, avoided area, avoided self or 'facade'
4. what is unknown by the person about him/herself and is also unknown by others—unknown area or unknown self.

Johari window four regions—model diagram

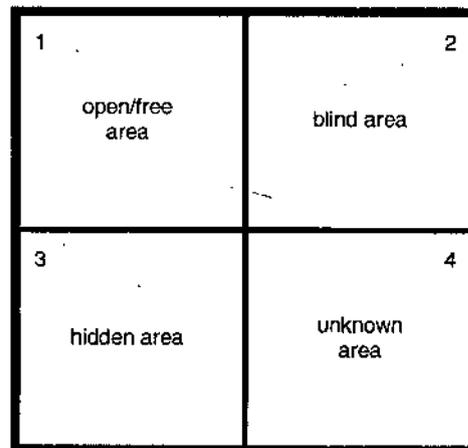
Like some other behavioural models (*e.g.*, Tuckman, Hersey/Blanchard), the Johari Window is based on a four-square grid - the Johari Window is like

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a window with four 'panes'. Here's how the Johari Window is normally shown, with its four regions.

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This is the standard representation of the Johari Window model, showing each quadrant the same size. The Johari Window 'panes' can be changed in size to reflect the relevant proportions of each type of 'knowledge' of/about a particular person in a given group or team situation. In new groups or teams the open free space for any team member is small because shared awareness is relatively small. As the team member becomes better established and known, so the size of the team member's open free area quadrant increases.



1.15 JOHARI WINDOW MODEL—EXPLANATION OF THE FOUR REGIONS

Johari quadrant 1 - 'open self/area' or 'free area' or 'public area', or 'arena' Johari region 1 is also known as the 'area of free activity'. This is the information about the person - behaviour, attitude, feelings, emotion, knowledge, experience, skills, views, etc - known by the person ('the self') and known by the group ('others').

The aim in any group should always be to develop the 'open area' for every person, because when we work in this area with others we are at our most effective and productive, and the group is at its most productive too. The open free area, or 'the arena', can be seen as the space where good communications and cooperation occur, free from distractions, mistrust, confusion, conflict and misunderstanding.

Established team members logically tend to have larger open areas than new team members. New team members start with relatively small open

areas because relatively little knowledge about the new team member is shared. The size of the open area can be expanded horizontally into the blind space, by seeking and actively listening to feedback from other group members. This process is known as 'feedback solicitation'. Also, other group members can help a team member expand their open area by offering feedback, sensitively of course. The size of the open area can also be expanded vertically downwards into the hidden or avoided space by the person's disclosure of information, feelings, etc. about him/herself to the group and group members. Also, group members can help a person expand their open area into the hidden area by asking the person about him/herself. Managers and team leaders can play an important role in facilitating feedback and disclosure among group members, and in directly giving feedback to individuals about their own blind areas. Leaders also have a big responsibility to promote a culture and expectation for open, honest, positive, helpful, constructive, sensitive communications, and the sharing of knowledge throughout their organization. Top performing groups, departments, companies and organizations always tend to have a culture of open positive communication, so encouraging the positive development of the 'open area' or 'open self' for everyone is a simple yet fundamental aspect of effective leadership.

Johari quadrant 2 - 'blind self' or 'blind area' or 'blindspot', Johari region 2 is what is **known** about a person by others in the group, but is **unknown** by the person him/herself. By seeking or soliciting feedback from others, the aim should be to reduce this area and thereby to increase the open area, *i.e.*, to increase self-awareness. This blind area is not an effective or productive space for individuals or groups. This blind area could also be referred to as *ignorance* about oneself, or issues in which one is deluded. A blind area could also include issues that others are deliberately withholding from a person. We all know how difficult it is to work well when kept in the dark. No-one works well when subject to 'mushroom management'. People who are 'thick-skinned' tend to have a large 'blind area'.

Group members and managers can take some responsibility for helping an individual to reduce their blind area - in turn increasing the open area - by giving sensitive feedback and encouraging disclosure. Managers should promote a climate of non-judgemental feedback, and group response to individual disclosure, which reduces fear and therefore encourages both processes to happen. The extent to which an individual seeks feedback, and the issues on which feedback is sought, must always be at the individual's own discretion. Some people are more resilient than others - care needs to be taken to avoid causing emotional upset.

Johari quadrant 3 - 'hidden self' or 'hidden area' or 'avoided self/area' or 'facade' Johari region 3 is what is **known** to ourselves but kept hidden from,

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and therefore **unknown**, to others. This hidden or avoided self represents information, feelings, etc, anything that a person knows about him/self, but which is not revealed or is kept hidden from others. The hidden area could also include sensitivities, fears, hidden agendas, manipulative intentions, secrets - anything that a person knows but does not reveal, for whatever reason. It's natural for very personal and private information and feelings to remain hidden, indeed, certain information, feelings and experiences have no bearing on work, and so can and should remain hidden. However, typically, a lot of hidden information is not very personal, it is work- or performance-related, and so is better positioned in the open area.

Relevant hidden information and feelings, etc, should be moved into the open area through the process of 'disclosure'. The aim should be to disclose and expose relevant information and feelings - hence the Johari Window terminology 'self-disclosure' and 'exposure process', thereby increasing the open area. By telling others how we feel and other information about ourselves we reduce the hidden area, and increase the open area, which enables better understanding, cooperation, trust, team-working effectiveness and productivity. Reducing hidden areas also reduces the potential for confusion, misunderstanding, poor communication, etc, which all distract from and undermine team effectiveness.

Organizational culture and working atmosphere have a major influence on group members' preparedness to disclose their hidden selves. Most people fear judgement or vulnerability and therefore hold back hidden information and feelings, etc, that if moved into the open area, *i.e.*, known by the group as well, would enhance mutual understanding, and thereby improve group awareness, enabling better individual performance and group effectiveness.

The extent to which an individual discloses personal feelings and information, and the issues which are disclosed, and to whom, must always be at the individual's own discretion. Some people are more keen and able than others to disclose. People should disclose at a pace and depth that they find personally comfortable. As with feedback, some people are more resilient than others - care needs to be taken to avoid causing emotional upset.

Johari quadrant 4 - 'unknown self' or 'area of unknown activity' or 'unknown area' Johari region 4 contains information, feelings, latent abilities, aptitudes, experiences etc, that are **unknown** to the person him/herself and **unknown** to others in the group. These unknown issues take a variety of forms: they can be feelings, behaviours, attitudes, capabilities, aptitudes, which can be quite close to the surface, and which can be positive and useful, or they can be deeper aspects of a person's personality, influencing his/her behaviour to various degrees. Large unknown areas would typically be expected in younger people, and people who lack experience or self-belief.

Examples of unknown factors are as follows, and the first example is particularly relevant and common, especially in typical organizations and teams:

- an ability that is under-estimated or un-tried through lack of opportunity, encouragement, confidence or training
- a natural ability or aptitude that a person doesn't realise they possess
- a fear or aversion that a person does not know they have
- an unknown illness
- repressed or subconscious feelings
- conditioned behaviour or attitudes from childhood

The processes by which this information and knowledge can be uncovered are various, and can be prompted through self-discovery or observation by others, or in certain situations through collective or mutual discovery, of the sort of discovery experienced on outward bound courses or other deep or *intensive group work*. Counselling can also uncover unknown issues, but this would then be known to the person and by one other, rather than by a group.

Whether unknown 'discovered' knowledge moves into the hidden, blind or open area depends on who discovers it and what they do with the knowledge, notably whether it is then given as feedback, or disclosed. As with the processes of soliciting feedback and disclosure, striving to discover information and feelings in the unknown is related to the process of 'self-actualization' described in Maslow's Hierarchy of Needs development and motivation model.

Again as with disclosure and soliciting feedback, the process of self discovery is a sensitive one. The extent and depth to which an individual is able to seek out discover their unknown feelings must always be at the individual's own discretion. Some people are more keen and able than others to do this.

Uncovering 'hidden talents' - that is unknown aptitudes and skills, not to be confused with developing the Johari 'hidden area' - is another aspect of developing the unknown area, and is not so sensitive as unknown feelings. Providing people with the opportunity to try new things, with no great pressure to succeed, is often a useful way to discover unknown abilities, and thereby reduce the unknown area.

Managers and leaders can help by creating an environment that encourages self-discovery, and to promote the processes of self discovery, constructive observation and feedback among team members. It is a widely accepted industrial fact that the majority of staff in any organization are at any time working well within their potential. Creating a culture, climate and expectation for self-discovery helps people to fulfil more of their potential and thereby to achieve more, and to contribute more to organizational performance.

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1.16 MANAGE WHAT?

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- 1. Making a Personal Improvement:** You have been in your first job for two years and are itching to get promoted as quickly as possible. In your last performance review, however, your boss identified time management as a weakness. You have never felt that your time management was superb, but you did not know that weakness might affect your career advancement. In any case, you are now committed to improving your management of time. However, realizing that old habits die hard and that accomplishing personal change is very difficult, you know you will have to do more than just "hope" to change. So how would you most intelligently proceed to improve yourself? What would you do first? What strategies would give you the best chance of actually improving your time management skills significantly?
- 2. Describing Yourself and Your Style: Expanding Your Self-Awareness** "Tell us about yourself" is the first question asked in your introductory meeting with the four people who will be reporting to you in your new managerial job. You naturally struggle with where to start. You have been a great individual contributor for four years, but everyone has told you that managing people is a very different responsibility. And the thing that really scares you is you have heard sarcastic joking around the firm about a colleague who got promoted to manager and how with that promotion the firm "lost a great analyst and found a terrible manager." So what should you tell the group about who you are and how you will manage? What would be most relevant and useful? Based on your own self-assessment, what particular characteristics would you highlight? What should you be doing to know yourself even better so you can answer this question more confidently in the future? What would it be like to be managed by you?
- 3. Getting a Priority Done under Stress:** You have been in a management role for two years and find yourself absolutely overwhelmed. While you feel as if you are working hard most every hour of the day, you are frustrated with your inability to get all your priority work done. You have begun to work much longer hours and are experiencing a great deal of stress and a loss of balance in your life. There are so many distractions during the day that you generally find it difficult to get started on bigger projects. Now you have a really important project due and have already missed one deadline. You feel guilty about missing that deadline, but you feel so tired and stressed you aren't sure how you're going to keep from

slipping further behind in your most important work. How would you define the problem here? How might you deal with the many time robbers and distractions that keep you from working on the big project? What specific strategies might you use? Are there common traps to avoid? What should you do right away?

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1.17 PERSONAL EFFECTIVENESS: THE FOUNDATION OF GREAT MANAGEMENT

Effective management starts from the inside. Indeed, when people are asked to describe great managers, it is remarkable how often they give personal, rather than interpersonal, or organizational, descriptions. Put simply, only those who can first manage themselves will ultimately be able to effectively manage others. Personal effectiveness is the foundation of great management, and the skills presented in the chapters that follow this one all stem from a base of personal excellence.

Although many elements comprise personal effectiveness, our focus is on *actionable* knowledge and behaviors—things you can actively learn and do to improve your personal competence. No one is born a great manager, nor becomes one overnight. So the most fundamental aspect of personal competence is to know yourself and to have a clear understanding of how you learn new skills and motivate yourself to improve your capability. We start with models of learning and self-management. The remaining sections of the chapter are devoted to self-awareness and stress and time management. Note that these very skill sets are the ones most likely to challenge young managers and are often where the greatest deficiencies are observed. Great management is often as much about not acting on misconceptions, and avoiding what not to do, as it is about expertly pursuing a course of action. With that in mind, Myths 5.1 contains five of the more persistent myths of personal effectiveness.

Learning How to Learn

Much has been written about the high failure rates of people trying to learn and change. For example, a tiny percentage of people actually keep their New Year's resolutions. The vast majority of people who set out to "get in shape" are back to being overweight in a couple of months. Most of those who say, "this is the year I am going to get organized," find that it ultimately was, in fact, not the year. The problem with most personal improvement attempts is they are mostly wishful thinking with far too little understanding

of how personal improvement really happens. That is, most everyone *hopes* to improve, or *wishes* they could enhance their effectiveness. However, far too few actually know and discipline themselves to do what is necessary to learn new skills.

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Management learning comes with age and experience. Unfortunately, that simply is not true. Learning is hard work and comes from a conscious and persistent desire to attend to effective models, learn and retain what they do, and practice new behaviors consistently.

We know ourselves. In fact, a number of revealing research studies have shown that the gap between how we perceive ourselves and how others perceive us is often significant. These gaps, many of which we are blind to, frequently lead to management problems or failure.³ True self-awareness is the foundation of personal effectiveness.

Growth opportunities lie solely in our weaknesses. We succeed because of what we do well. However, it is common to become so focused on improving our weak areas and gaps that we neglect our strengths. Personal development of new skills is important, but you should also spend time clarifying what it is you do well and then try to position yourself in situations where you can leverage your strengths to excel.

It's not me, it's them! If you learn one management "truth" it should be this: You can never fully control the behaviour of others, but you do have control over your own behaviour. The best way to change others is to first change yourself.

The best managers are hyper-organized and workaholics. Effective time management is not primarily about efficiency or being a time, but rather enabling us to reduce stress, achieve balance, and do the things we really want to do. The goal is to work smarter not harder.

MYTHS 5.1: *Myths of personal effectiveness*

The most powerful and useful framework for thinking about personal improvement in management skills comes from the work of Albert Bandura, and his **social learning theory**. Bandura's theory suggests that learning of any new behavior is the result of three main factors—the person, the environment, and the behavior—and they all influence each other. Behavior is not simply the result of the environment and the person, just as the environment is not simply the result of the person and the behavior. This mutual influence is referred to as **reciprocal determinism** and is at the root of social learning theory. This is because the environment provides important models of behavior from which we learn. A model of social learning theory can be seen in Figure 1.6.

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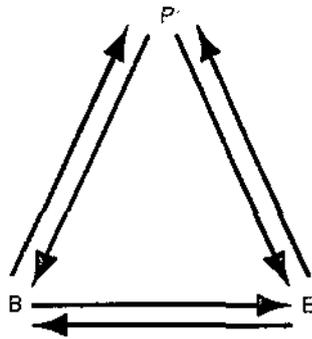


Fig. 1.6. Social Learning Theory

Although this concept may sound a little abstract, the principles of social learning theory are exceptionally practical and have been applied to help foster personal change in a wide variety of settings including counseling, acting, addictive behaviours, and athletics. One reason social learning has been so influential is it refutes widely held notions that people only learn through their own personal experience of rewards and consequences. For example, traditional conceptions of learning suggest you would learn that a stove burns you only by *actually touching* that stove yourself. Bandura suggests that, in fact, most learning is actually done through observation and **modeling** of the behaviors of others. That is, most people learn the stove burns by watching the behaviour of others (perhaps seeing them burned or actively avoiding it). This simple phenomenon helps explain why so many people who work for ineffective managers often become poor managers themselves; we often manage the way in which we were managed.

A second reason social learning notions are particularly appropriate for management skills is because there is such a big disconnect between knowing and doing. For most management skills, the conceptual rules are relatively easy to know and understand. Most teenagers could be taught to pass a test on the general rules or guidelines of the skills that comprise great management. But the real challenge is to *actually execute them*.

Fortunately, one of the most encouraging elements of management skills is that it is possible to improve your execution of such skills—but not simply via intuition or common sense. Rather, improvement requires conscious, persistent effort and practice. Bandura outlines four critical components required to learn through observation, and these are the key building blocks of the most successful management training methods used in organizations today. These components are attention, retention, reproduction, and motivation.

In Table 1.3, we present a common example of breakdowns in learning, using the example of improving interviewing skills.

Table 1.3: *What's keeping max from learning to interview better?*

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Max, who is soon graduating from college, has a strong record of achievement (high grades and a good extracurricular profile) but is struggling with the recruiting process. After several interviews, he has failed to make it to the next round a single time, and, feeling discouraged, he has asked some of his interviewers for comments. The three who were willing to respond all essentially said he did not "interview well". So Max hopes to improve his interviewing skills. Overlaying the principles of social learning and self-management can help illuminate Max's challenge and common traps that occur.

Attention. Max needs to address at least two issues to be consistent with effective social learning. First, he needs to set aside time to practice his interviewing skills in the midst of many competing time demands. He is likely to feel his classes, part-time job, and social life take precedence and thus may well not devote enough time to improve his interviewing skills—a classic case where hoping will supercede a real learning strategy.

Second, Max needs to understand more specifically what he is doing or not doing in his interviews that is leading to poor outcomes. Without some specific understanding of his weakness (and relative strengths), he is destined to flounder in trying to determine how to improve. Unfortunately, that information may well be hard to come by in this case and he may need some mock interviews to tease it out.

Retention. Max needs to build an understanding of what makes for an impressive interview performance. Learning how to illustrate his background and accomplishments using the STAR model would likely be a good step.

Max would also benefit from observing models recognizable excellence in what he is trying to improve. In these cases, we often see people make the mistake of attempting to learn from friends or relying on anecdotal evidence from well-intentioned, but non-expert, sources.

Reproduction. Max needs practice accompanied by feedback on that practice. Practice should be treated like an actual interview. The more elements Max can re-create, the better his learning will be. A great deal of time needs to be spent dedicated to rehearsal, feedback, and more rehearsal. Mock interviews would seem to be essential here but are often awkward or difficult to arrange and therefore not utilized.

Motivation. Max needs to decide how important improving his interview skills are to him and if he is willing to dedicate the time to changing. He needs the discipline to avoid taking shortcuts and saying "good enough to really make a long-term, lasting change. He should find ways to reinforce himself for devoting the time and should certainly celebrate any success on the interview front.

A Model of Self-Management

Using Bandura's work as a base, Charles Manz and his colleagues have created a simple and practical framework for self-management. They define

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self-management as a process of modifying one's own behavior by systematically altering how we arrange different cues in our world, how we think about what we hope to change, and how we attach behavioral consequences to our actions. The framework takes into account that personal change is rarely a discrete, single event but rather a process with multiple influences. The underlying theme is we all have the ability to change our immediate worlds in ways that will help us learn new things and behave in desirable ways.

The framework provides a means of avoiding some of the most common "hope vs. action" traps and of putting Bandura's principles in practice. It includes strategies we directly impose on ourselves to influence our own behavior and those whereby we attempt to alter our external world to help affect our behavioral change. While Manz and colleagues have presented their model in a variety of ways and with different labels (for example, selfmanagement, self-leadership, super leadership), we have condensed it here to the five essential elements most effective in facilitating personal improvement (see Table 1.4).

Note that this self-management framework has been successfully applied in many different contexts including drug therapy, weight loss, health care, theater, and athletics. For example, all successful golf training is based on the elements of this framework. As you progress further in this book, you will see that the effective behaviors of self-management are also entirely consistent with what great managers do when it comes to coaching and motivating *others*. This should not be surprising because, as we note above, effective people managers are first successful in managing themselves.

Table 1.4. *Five behavior-focused strategies to improve self-management*

1. **Self-observation/Exploration:** Observe and collect information about the specific behaviors you have targeted for change.
2. **Self-Set Goals:** Determine what more effective behaviour is (often by observing effective models) and set specific goals for your own behaviours.
3. **Management of Cues:** Organize your work environment to assist you in performing the behaviors you want to change.
4. **Positive Self-Talk and Rehearsal:** Go over the behaviour in your head and imagine successful application. Actually practice the new behaviour at available opportunities and seek feedback.
5. **Self-Reward and punishment:** Provide yourself with personally valued rewards that are linked to performing desirable behaviours or with punishments linked to undesirable behaviors.

Managing Time

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One of the most important ways of handling stress is through effective time management. By managing time better, most of us can prevent many of the problems that stress causes by not putting ourselves in stressful situations in the first place.

The inability to manage time is among the greatest sources of stress and can doom the most talented, motivated, and conscientious of managers. While most everyone would agree that time management and organization are among the most critical elements of personal effectiveness, a person trying to enhance his or her time management is often told to exercise willpower, try harder, resist temptation, or seek divine guidance. Although well intentioned, this advice offers little in terms of actionable strategies or skills to help an individual undertake the process of development. Remember, it's the execution of personal effectiveness skills that remains your biggest challenge. So learn the fundamentals of time management, but remember that it is the discipline to apply them that is your ultimate objective.

Today there are thousands of books on time management and a staggering number of training programs and "systems" on the market. Close inspection of this bewildering volume of material, however, reveals a few simple but powerful principles. Below we discuss and illustrate four principles that, although called by various names and labels, are consistently present in the research and writing of time management experts.

First Be Effective, Then Be Efficient

Managing time with an effectiveness approach means you actually pay attention to your goals and regularly revisit what is important to you—and avoid just diligently working on whatever comes up or is urgent or in front of you. As management guru Peter Drucker has famously noted, *doing the right things* should come before *doing things right*.

Start with Written Goals

Most people have an intuitive sense that goals are an important organizing mechanism. Stephen Covey, author of *The 7 Habits of Highly Effective People*, calls this "starting with the end in mind." The notion is simple. A set of long-term, lifetime goals can help you discover what you really want to do, help motivate you to do it, and give meaning to the way you spend your time. It can help you feel in control of your destiny and provide a measuring stick to gauge your success. It can help you choose and decide among many different aspects of your life.

For some reason, however, a surprisingly small percentage of people actually write down and frequently review and update their goals, both long and short term. This is unfortunate because studies have shown that those with written goals have actually achieved higher levels of life success. There is

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nothing cosmic or mystical about writing personal goals, and though perhaps not explicitly aware of it, you have probably been thinking about your lifetime goals almost as long as you have been alive. However, thinking about your goals is quite different from writing them down. Unwritten goals often remain vague or utopian dreams such as "get a great job" or "become wealthy." Writing down goals tends to make them more concrete and specific and helps you probe beneath the surface. So always start with goals and revisit them regularly. And don't limit them to financial or career progression goals. What personal, social, or spiritual aspirations do you have?

Follow the 80/20 Rule

Often referred to as Pareto's Law, the **80/20 rule** holds that only 20 percent of the work produces 80 percent of the value, 80 percent of sales come from 20 percent of customers, 80 percent of file usage is in 20 percent of the files, and so on. Sometimes that ratio may be a little more, and sometimes a little less, but the rule generally holds true. In the context of time management, then, if all tasks on a list were arranged in order of value, 80 percent of the value would come from 20 percent of the items, while the remaining 20 percent of the value would come from 80 percent of the items. Therefore, it is important to analyze which tasks make up the most important 20 percent and spend the bulk of your time on those.

Use the Time Management Matrix

Expanding on the 80/20 principle, several time management experts have pointed out the usefulness of a "time management matrix," in which your activities can be categorized in terms of their relative importance and urgency (Table 1.5). Important activities are those that are tied to your goals and produce a desired result. They accomplish a valued end or achieve a meaningful purpose.

Urgent activities are those that demand immediate attention. They are associated with a need expressed by someone else or relate to an uncomfortable problem or situation that requires a solution as soon as possible. Of course, one of the most difficult decisions you must make is determining what is important and what is urgent. There are no easy rules, and life's events and demands do not come with important or urgent tags. In fact, every problem or time demand is likely important to someone. However, if you let others determine what is and is not important, then you certainly will never effectively manage your time. Perhaps the most important objective is to manage your time in a way that reduces the number of things you do on an urgent basis and allows you to devote your attention to those things of true importance to your life and work.

TABLE 1.5: Time Management Matrix

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	Urgent	Not Urgent
Important	<p>Quadrant I</p> <ul style="list-style-type: none"> • Crises • Pressing problems • Deadline-driven projects 	<p>Quadrant II</p> <ul style="list-style-type: none"> • Prevention • Relationship building • Recognizing new opportunities • Planning • Recreation
Not Important	<p>Quadrant III</p> <ul style="list-style-type: none"> • Interruptions • Some calls • Some mail • Some reports • Some meetings • Popular activities 	<p>Quadrant IV</p> <ul style="list-style-type: none"> • Trivia • Busy work • Some mail • Some phone calls • Time wasters • Pleasant activities

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Just Don't Do It: Learn to Say No

One of the most powerful words in your time management vocabulary should be the word *no*. In fact, a good axiom for your time management improvement might well be a reversal of Nike's popular *Just do it!* slogan to *Just don't do it!* Of course, that approach is a lot easier to talk about than to actually use when we are confronted with demands or attractive offers from others. Many of us have an inherent desire to please and to accommodate or fear we may miss out on some apparent opportunity. However, as noted above, effective time management is largely learning to devote yourself fully to your most important tasks.

That means what you choose *not* to do can be as important as what you do. So learn how to say no. Three effective ways to say no are:

- "I'm sorry. That's not a priority for me right now."
- "I have made so many commitments to others, it would be unfair to them and you if I took on anything more at this point."
- "No."

Plan the Work, Then Work the Plan

Make Good Lists for Effective Prioritization

The time management matrix is essentially about prioritization, and virtually every time management expert focuses on the importance of prioritizing and scheduling, usually in the form of a daily or weekly "to-do" list, a "next-action" listing, or a defect tally checklist. The basics of good lists are simple: create and review them every day, ideally at the same consistent time; keep them visible; and use them as a guide to action. One of the important rules is to write all your to-do items on a master list or lists kept together, rather than jotting them down on miscellaneous scraps of paper. You may want to keep your list in a separate planner or electronically in your PDA (personal digital assistant) or laptop computer. Perhaps the more difficult challenge is to determine what goes on the list and how to prioritize it. David Allen, author of the best seller, *Getting Things Done*, argues that what he calls "collection" is the foundation of productive time management.

He suggests you need to collect everything that commands your attention and do so in some place other than in your head. Contrary to some traditional time management advice, you do not want things on the top of your mind, unless you are working on them. Some people, students in particular, often try to just keep their to-do list in their heads. That rarely works well. Effective time managers collect and organize their tasks where they can be reviewed and serve as a reminder, but then do not have to be stored in their minds.

Once you've collected your to-do list, most experts recommend you review not just routine items but everything that has high priority today or might not get done without special attention. Alan Lakein further suggests you use what he calls the **ABC method**: assigning an A to a high-priority item, a B to an item of medium priority, and a C to low-priority items. To use the ABC system effectively, you should ensure you are incorporating not just short-term but long-term items, derived from your lifetime goals. Most importantly, always start with As, not with Cs, even when you have just a few minutes of free time. The essence of effective time management is to direct your efforts to high priorities. That is easily stated but exceedingly hard to do.

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Ask "What's The Next Action?"

The most critical question for any to-do item you have collected is: What is the next action? Consideration of that step is one of the most powerful mind-sets of effective time management. Many people think they have determined the next action when they write it down or note something like "set meeting." But in this instance, "set meeting" is not the next action because it does not describe a physical behavior. What is the first step to actually setting a meeting? It could be making a phone call or sending an e-mail, but to whom? Decide. If you don't, you simply postpone the decision and create inefficiency in your process because you will have to revisit the issue and will have it hanging over you. The next action is truly the next physical visible activity that needs to be engaged in to move toward completion. This is not just a listing of the item or demand but specifically the next action step.

Know Yourself and Your Time Use

Consistent with the section above on self-awareness, a principle that is included in almost every good time management discussion is that you have to know yourself and your style. While we would not recommend you monitor *every* minute of your time, some documented record of how you currently spend your time is certainly a useful exercise. One good strategy is to record your time selectively, keeping track of particular problem items you feel are consuming an inordinate amount of time.

Each of us has both external and internal prime time. Internal prime time is that time of the day when we typically work best—morning, afternoon, or evening. External prime time is the best time to attend to other people—those you have to deal with in classes, at work, or at home.

Internal prime time is the time when you concentrate best. If you had to pick the two hours of the day when you think most clearly, which would you pick? The two hours you select are probably your internal prime time and you should aim to save all your internal prime time for prime high-priority projects. Interestingly, studies have shown that most business people pick the first couple hours at work as their internal prime time, yet this is usually the time they read the newspaper, answer routine mail, get yesterday's unanswered e-mails and voice mails, and talk to colleagues and employees. It would be much better to save such routine tasks for non-prime hours.

Fight Procrastination

It is hardly provocative to point out that procrastination is a major stumbling block everyone faces in trying to achieve both long- and short-term goals. Procrastination is that familiar situation when you have written down and prioritized a critical A task and just can't seem to get started on it. Instead, we may resort to doing a bunch of C priority tasks, like straightening the

desk, checking our e-mail, or reading a magazine, to avoid focusing on the A task. One strategy to address this common human scenario is what Alan Lakein calls the **Swiss Cheese Method**. The Swiss Cheese Method refers to poking small holes in the A project and those holes are what Lakein calls instant tasks. An instant task requires 5 minutes or less of your time and makes some sort of hole in your high-priority task. So in the 10 minutes before you head off to class, you have time for two instant tasks. To find out what they should be, (1) make a list of possible instant tasks and (2) set priorities. The only rule for generating instant tasks is that they can be started quickly and easily and are in some way connected to your overwhelming A project. Perhaps the nicest thing about the Swiss Cheese Method is it does not really matter what instant tasks you ultimately select. How much of a contribution a particular instant task will make to getting your A project done is far less important than to do something, anything, on that project. Whatever you choose, at least you will have begun.

The 2-Minute Rule

One of the great shared traditions of many families with young children is the "5-second rule." The 5-second rule holds that if a piece of food accidentally ends up on the ground it can still be eaten safely, provided it was retrieved in less than 5 seconds. While the 5-second rule is actually nonsense, the 2-minute rule is a functional and rational approach to time management. The 2-minute rule suggests that any time demand that will take less than 2 minutes should be done *now*. The logic is it will take more time to categorize and return to it than it will to simply do it immediately. In other words, it is *right at the efficiency cutoff*.

If the thing to be done is not important, throw it away. If you are going to do it sometime, do it now. Getting in the habit of following the 2-minute rule can be magic in helping you avoid procrastination. Do it now if you are ever going to do it at all.

SUMMARY

- Personality is the study of the characteristic traits of an individual, the inter relations between them and the way in which a person responds and adjust to other people and situations. Gordon Allport defined personality as the dynamic organisation within the individual of those psychophysical systems that determine his unique adjustments to his environment.
- Personality is an intangible concept. It is complex as it is related to the cognitive and psychological process. It is believed that a man is born with certain physical and mental qualities but the environment in which he is brought up shapes his personality.

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- **Traits** are descriptors we use to characterize someone's personality.
- Psychodynamic psychotherapy is classically indicated in the treatment of unresolved conflicts in early life, as might be found in non-psychotic and personality disorders, but to date there is a lack of convincing evidence concerning its superiority over other forms of treatment.
- **Psychodynamic counseling** places more emphasis on the influence of past experience on the development of current behaviour, mediated in part through unconscious processes.

REVIEW QUESTIONS

1. Define personality. 'Individual personality is wholistic'. A host of factors determine it' Discuss.
2. Distinguish between rational economic man model and organisational man model.
3. What are the propositions of Trait theories? Explain Cattell's Trait theory.
4. 'Every individual is a social man and he possess self actualizing motive'. Explain.
5. 'Personality is shaped by the physical structure of the body'. Elucidate.
6. What are emotions? Explain the applications of emotions.
7. 'Emotions are essential determinants of behaviour. They are variedly applied in understanding organisational behaviour' Discuss.
8. Critically examine the psychoanalytic theory and self theory of personality.
9. How does social learning theory help in shaping of personality.
10. 'Personality development takes place in various stages and a host of factors influence the development' Discuss.
11. How is the trait concept used to describe the basic units of personality?
12. How have different trait psychologists studied the trait concept and how similar have their findings been?
13. Are there a few basic trait units that represent the fundamental building blocks of personality? What is the evidence in support of such a view?
14. If traits represent broad consistencies in behavior over time and across situations, how are we to account for the variability of behavior in response to the demands of particular situations?
15. What is Psychodynamic theory of personality?
16. Discuss the theory of Jung.
17. Write short notes on
 - Archetypes
 - Mana

- The shadow
- The persona
- Anima and animus

18. What is the concept of self?
19. What is Introversion and extroversion?
20. What are different types of personality by Jung?
21. What is transactional analysis of personality?
22. What are the roots of transactional analysis?
23. What is Early transactional analysis theory and model?
24. Explain Modern transactional analysis theory.
25. What is Johari Window model?
26. What do you understand by personality effectiveness?
27. What do you understand by Self-management?
28. What do you understand by Time management?

NOTES

FURTHER READINGS

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UNIT 2 PERSONALITY EVALUATION AND ASSESSMENT

NOTES

★ STRUCTURE ★

- 2.0 Learning Objectives
- 2.1 Introduction
- 2.2 Evaluation of Personality
- 2.3 Theories of Personality and Performance
- 2.4 Extraversion—Introversion and Performance
- 2.5 Trait Anxiety, Neuroticism and Performance
- 2.6 Sick and Healthy Personalities
- 2.7 Principles of Trait Assessment
- 2.8 Determinants of Personality
- 2.9 Biological Factors
- 2.10 Environment
- 2.11 Situation
 - *Summary*
 - *Review Questions*
 - *Further Readings*

2.0 LEARNING OBJECTIVES

After studying this unit, you will be able to:

- illustrate personality developments
- explain evaluation of personality

2.1 INTRODUCTION

Studies of human performance provide one of the prime methods for investigating associations between traits and objective indices of behaviour.

In the laboratory, we can design tasks that assess basic cognitive functions such as speed of reaction, short-term and long-term memory, and focused attention. We can then test whether personality traits predict speed, accuracy or qualitative style of performance on such tasks. Studies of this kind contribute broadly to construct validation, by showing that traits relate to *behavioural measures* that are conceptually linked to the trait. For example, a scale for impulsivity should predict a pattern of fast, inaccurate responding on speeded tasks – although we may have to design the task carefully to show the expected result. Demonstrations of this kind make a major contribution to showing that questionnaire measures of traits are assessing some genuine ‘core’ psychological quality, and not just some superficial response bias.

Performance research is also of considerable applied relevance, in that trait measures may be used to predict a person’s competence in a particular job or activity. For example, personality may predict accidents in transportation and industrial settings. Most of us would be reluctant to fly in an aeroplane piloted by an individual with abnormally high sensation-seeking or psychopathic tendencies, and, in fact, some airlines use the MMPI in pilot selection, to screen out applicants who may be vulnerable to mental illness (see Dolgin and Gibb, 1989). At ground level, extraversion appears to relate to motor vehicle accident risk, perhaps because extraversion is related to impulsivity (Loo, 1979). Furnham (1992) reviewed the literature on accidents in occupational settings, and concluded that traits related to both E and N predict accident likelihood. The Big Five model is becoming increasingly popular as a framework guiding selection and assessment in occupational studies of personality’ (Matthews, 1997a). The present chapter focuses primarily on theoretical accounts of personality and performance.

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2.2 EVALUATION OF PERSONALITY

Beyond general demonstrations that traits predict behaviour, performance studies are important both for developing the theory of personality traits, and for translating theory into practical applications. The starting point for theory is that behaviour is controlled by a large collection of distinct neural and psychological processes. Personality traits reflect individual differences in these processes, and performance studies can help us to isolate those processes that are critical for a particular trait.

Consider impulsive behaviour in a real-world situation such as vehicle driving; e.g., joining a busy multi-lane motorway from a slip-road (ramp). The driver must decide whether to continue driving, merging with oncoming traffic, or whether to stop and wait for a gap in the traffic. Impulsive drivers might merge when it was safer to stop, forcing other vehicles to brake or change

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lane. Decision-making here depends on at least two distinct processing stages. First, the driver forms some mental representation of the oncoming traffic, that specifies the position and trajectory of approaching vehicles. Second, the driver makes a judgement as to whether or not it is safe to begin a merging manoeuvre. Impulsivity in merging might be a consequence of either (or both) stages. Impulsivity might reflect lack of care in the initial evaluation and 'sizing-up' of the situation. Perhaps the impulsive driver only attends to the nearest vehicles, or attends to the location but not the speed of oncoming vehicles. Conversely, the impulsive driver might thoroughly evaluate the situation, but misjudge the consequences of failing to stop. The driver might realise that merging will force other vehicles to brake, but doesn't believe that there is a risk involved. In other words, impulsive personality might reflect either a tendency towards incomplete stimulus analysis, or a tendency to disregard the potential adverse consequences of rapid responses. Laboratory studies help us to test these different hypotheses against one another. Broadly, we can set up tasks on which performance reflects either thoroughness of stimulus evaluation, or judgements of risk (but not both), and test whether impulsivity as a personality trait relates to stimulus processing or risk assessment. For example, Dickman and Meyer (1988) ran a study of impulsivity and reaction time that linked impulsivity to stimulus analysis (comparing stimulus features), but not to riskiness of response execution. We might also add a neurological dimension to such studies by, for example, using imaging techniques to test for individual differences in activity of the different areas of the brain during performance.

The attentive reader will notice that we have started to make some causal assumptions here, *i.e.*, that personality influences processing functions, which in turn influence behaviour. Of course, we need to be cautious in assuming that an observed correlation between personality and performance reflects some direct causal effect of personality on processing. The interactionist perspective highlights the possible role of situational factors in shaping personality. Perhaps impulsive driving reflects not so much personality, but the kinds of training and on-road experiences the person has had. However – remembering that people actively choose and shape the situations to which they are exposed (Caspi and Bem, 1990) – we cannot entirely separate situational from personal influences. Drivers exercise choice over the traffic conditions which they experience. Some people avoid night-driving or freeway driving, whereas sensation-seekers may actively seek out risky experiences (Jonah, 1997).

Moderator Factors: Context-sensitivity and Task-dependence

As the preceding discussion indicates, the simple demonstration of some correlation between a trait and performance is of rather limited value theoretically. Typically, any such correlation is open to a variety of different

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interpretations. A satisfactory theory needs to make predictions about *moderator factors* that influence whether or not a personality–performance correlation is observed. A moderator is a third variable that influences the association between two variables.) For example, suppose we have a theory of impulsivity that links the trait to incomplete stimulus analysis (cf. Dickman and Meyer, 1988). We might then predict that impulsivity will correlate with fast, inaccurate performance if we present the subject with a display containing many stimuli, or with a few complex stimuli, but not if the subject is required to respond to a single, simple stimulus that requires little analysis. The approach of using an explicit theory to predict the circumstances under which the trait will and will not relate to performance is much more powerful than simply formulating predictions on an ad hoc, intuitive basis.

Two kinds of moderator factor have been investigated in empirical studies. First, associations between traits and performance often depend on environmental factors such as the amount of stimulation or threat present during testing. A particular trait may be an advantage in some settings but a disadvantage in others. For example, both introverts and high neuroticism individuals tend to perform poorly on certain tasks only when the environment is arousing or stressful (Eysenck and Eysenck, 1985). Such *context-sensitivity* is an important focus for theory, and indicates the necessity of adopting an interactionist perspective. Context-sensitivity may sometimes indicate that situational learning is influencing individual differences, where ‘context’ refers to specific real-world settings. For example, if a trait measure is predictive of impulsivity only in the context of driving, we might suspect it assesses some index of beliefs and skills acquired during exposure to the driving task. By contrast, measures such as Zuckerman’s (1977) sensation-seeking scale predict risk-taking in a variety of situations, including vehicle driving, dangerous sports and social situations, implying that some more fundamental processes are involved. A second type of moderator factor is the nature of the task itself. Typically, traits relate to a fairly complex patterning of performance, as we will now explain. Only certain tasks are sensitive to the trait, and a particular trait may have both beneficial and damaging effects on performance, depending on the task. Hence, *task-dependence* of associations between traits and performance is one of the major empirical findings which trait theory should explain.

Key Traits in Performance Research

Many different traits, both broad and narrow, have been studied in relation to performance. Although the five factor model is becoming increasingly dominant in occupational psychology, the most systematic research has been conducted on traits from Eysenck’s (e.g., 1967, 1997) personality theory. One important strand of research relates to extraversion and impulsivity, whereas a second focus concerns neuroticism and anxiety. Much of this unit will be

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concerned with reviewing the effects of these traits on performance. We will contrast two theoretical approaches to understanding performance consequences of personality and their moderation by contextual and task factors. The first approach is psychobiological, exemplified by Eysenck's arousal theory. Perhaps performance differences between extraverts and introverts, for example, reflect individual differences in cortical arousal. The second, more recent approach is based on cognitive psychology. Personality effects may represent not so much generalised arousal, but, more likely, individual differences in specific information-processing functions, such as the capacity of working memory or the selectivity of attention. It is important also to look at what adaptive functions these individual differences may serve; for example, language skills, resistance to distraction, and high speed of response may support sociability, one of the primary characteristics of extraversion (Matthews, 1999).

We note briefly that space considerations prevent us reviewing other important traits. The third Eysenckian factor, psychoticism, is associated with a range of abnormalities in performance broadly similar to those found in schizophrenic patients (see Eysenck, 1992b, for a review). However, some of these effects seem to be more reliably related to measures of the schizotypal personality than to P itself. For example, Beech and Claridge (1987) used a 'negative priming' paradigm to show that schizotypy was associated with weakened inhibition in selective attention, but there were no significant effects of P in their study. Subsequent studies have fairly consistently found associations between schizotypy and reduced cognitive inhibition, which may contribute to the occurrence of 'positive symptoms' of schizophrenia, such as hallucinations (Beech and Williams, 1997). We may also expect to see increased interest in performance correlates of the remaining Big Five factors.

Conscientiousness is of interest as a predictor of better job performance, and investigators are beginning to run laboratory studies linking C to processes such as motivation to learn (Colquitt and Simmering, 1998). Finally, we cannot review performance without at least a brief look at the relationship of personality to intelligence, *i.e.*, general mental ability. Intelligence, as measured by conventional 'IQ' tests, is generally a more robust predictor of performance than personality. More intelligent individuals appear to have a general advantage in performance, although the magnitude of the advantage depends on the task. Contextual factors are of minor importance only. There is some overlap between personality and intelligence measures, although correlations are typically rather weak. Openness is probably the trait most strongly related to general intelligence measures (Ackerman and Heggstad, 1997). Personality and intelligence relate to rather separate spheres of differential psychology, but the limited overlap may be informative about how the person uses their cognitive capabilities in real-life settings.

2.3 THEORIES OF PERSONALITY AND PERFORMANCE

Psychobiological Theories

We laid out a rationale for treating personality traits as expressions of brain systems. Eysenck (1967, 1981), for example, linked extraversion to arousability of a cortico-reticular circuit, and neuroticism to arousability of the limbic system said to control emotion. We can build on this basic logic to make predictions about performance, provided that we can link individual differences in brain function to individual differences in performance. Thus, if we wish to use Eysenck's theory to predict performance, we need to know how *cortical arousal relates to performance*. According to the so-called Yerkes-Dodson Law (Yerkes and Dodson, 1908; Broadhurst, 1957) there is an inverted-U relationship between cortical arousal and performance, such that there is an optimal, moderate level of arousal for performance. That is, extremes of arousal, both high and low, tend to be associated with performance impairment. In addition, the optimum or ideal level is inversely related to task difficulty. Performance of easy tasks is best when arousal is relatively high, whereas a moderately low level of arousal is most favourable for difficult tasks. For example, we might need peace and quiet for reading a difficult journal article, but performing a routine clerical task might benefit from background music or other noise of moderate intensity.

If Eysenck (1967) was correct that extraverts tend to be low in cortical arousal, compared with introverts, we can make some predictions. In fact, the theory predicts context-sensitivity of trait effects, *i.e.*, that relationships between extraversion and performance will vary with the 'context' of whether people are generally high or low in arousal (see figure 2.1). Environmental factors, such as level of noise influence the person's arousal level, and, in turn, the most favourable baseline level of arousal for performance. For example, according to the Yerkes-Dodson Law, persons who are initially low in arousal will tend to perform better in noise, because they are less likely to become over-aroused. Hence, because extraverts tend to have chronically low arousal, they will tend to out-perform introverts in stimulating environments: introverts are more vulnerable than extraverts to becoming over-aroused, exceeding the optimal level. Conversely, extraverts will be disadvantaged in non-stimulating or de-arousing environments, being vulnerable to under-arousal. The Yerkes-Dodson Law also allows us to predict moderator effects related to task dependence, given that the optimum level of arousal varies with task difficulty, as shown in figure 2.1. In general, difficult tasks, that have a low optimum level of arousal, should favour extraverts, especially when the environment is stimulating so that introverts are highly overaroused. Conversely, extraverts should be most prone to performance impairments on easy tasks in de-arousing situations, because of their tendency to be underaroused. In addition, arousal theory also makes

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various predictions concerning relationships between traits and basic psychological functions such as perception and conditioning that are considered to be minimally influenced by cognition. The tests of the theory have in some instances been successful, although there are also instances of predictive failure.

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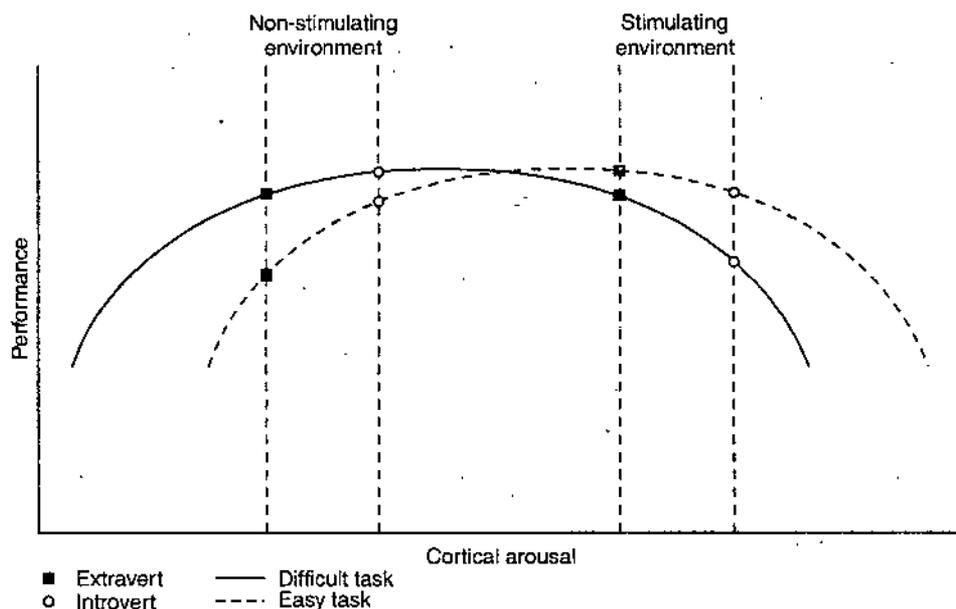


Fig. 2.1. *The Yerkes-Dodson Law as an explanation for dependence of extraversion effects on task difficulty and level of environmental stimulation.*

For example, Shigehisa and Symons (1973) showed that visual stimulation lowers auditory thresholds in extraverts, but increases thresholds in introverts. There is also considerable evidence that introverts show more rapid associative conditioning than extraverts, provided that stimuli are not so strong that they elicit the protective 'transmarginal inhibition'.

Arousal theory is not the only basis for predicting performance from psychobiological models. As Gray's Reinforcement Sensitivity Theory (RST) links traits not so much to arousal but to motivational systems, with a punishment system supporting anxiety (the Behavioural Inhibition System or BIS), and a reward system supporting impulsivity (the Behavioural Activation System or BAS). Gray's theory is firmly based on animal studies that demonstrate the role of BIS and BAS in studies of conditioning to punishment and/or reward systems. This psychobiological orientation often makes it difficult to predict individual differences in human performance from the theory. Activation of the mainly subcortical structures involved in the BIS and BAS is known to generate cortical arousal, but it is unclear whether such activation has much effect on the more specific cortical circuits that support information-processing and higher-level cognition.

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Where RST is strongest is in predicting personality effects on simple learning and conditioning tasks, assumed to be controlled by similar brain structures to those supporting animal learning (Matthews and Gilliland, 1999). A prediction that is often made is that impulsives (and extraverts) should show stronger conditioning to signals of reward than low impulsives (and introverts). Also, high anxiety individuals (and high N persons) should show enhanced conditioning to signals of punishment.

Cognitive Psychological Alternatives

At this point, we need to introduce the rather different view of individual differences in performance provided by cognitive psychology (see Matthews, Davies et al., 2000). This branch of psychology sees the person as resembling a very advanced robot, controlled by a digital computer. If we can discover the 'robot's' programs, then we can explain its behaviour. The person is thus seen as an information processor. Sensory information is encoded in some abstract, symbolic form, such as a series of codes representing the meaning of a sentence. Computations are performed on these symbols that analyse their relevance, and may generate instructions that are sent to muscles to produce some response. The sequence of computations is controlled by some internal program. However, there is one critical difference between the brain and the typical desktop computer. Most computers have a single processor that implements program instructions on a serial, one-at-a-time, basis.

However, the brain comprises multiple processors, sometimes called *components* or *modules*, operating independently and in parallel, although communicating with one another. This gives us a view of task performance as controlled by a large number of distinct information-processing functions, such as short-term recall and selective attention processes, that may reflect not just different 'programs' but also different brain subsystems. Hence, it is entirely possible that a personality trait might be linked to some modules (subsystems) but not others, and so relate to performance of some tasks but not others. Thus, at their simplest, cognitive psychological studies of traits aim to provide descriptive information on which tasks are sensitive to the trait of interest. If we have a cognitive model of how the task is performed, then we can make inferences about which underlying processing components are associated with the trait. For example, a trait might be found to relate to memory but not to attentional processes.

A list of processing components is incomplete as a model of cognitive functioning. We also want to know how components are linked together into some overall, structured processing framework, referred to as a *cognitive architecture*. Such a framework aspires to be a kind of circuit diagram of the mind, showing how information flows between different processors, and how that flow is controlled so as to best meet the demands imposed by the task

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at hand. Of course, the complete architecture is alarmingly complex, and, currently, is not well understood. There are many competing candidate human cognitive architectures: Dawson (1998) listed twenty-four that 'attracted vibrant debates concerning the merits of each proposal'. However, cognitive psychologists have attempted to state some general principles that indicate how the multiplicity of processors may be organised so as to produce some coherent output. An influential idea is the distinction between upper and lower levels of control of processing (Norman and Shallice, 1985; Matthews, Davies et al., 2000). The lower level supports well-learned, routine mental operations that can be executed with little conscious attention. It is driven primarily by external stimuli, in a reflexive and 'automatic' fashion. The lower level is often conceptualised as a network (or set of networks) of interconnected units, processing information in parallel. The upper level operates as a supervisory executive that intervenes on a 'troubleshooting' basis when the task is novel or difficult. Processing sequences initiated and regulated by the upper level are sometimes referred to as controlled processing (Schneider, Dumais and Shiffrin, 1984). Controlled processing may require attentional resources or capacity, conceptualised here as a source of energisation for processing; insufficient resources leads to impairment of controlled processing.

Two features of this picture of the mind as an internally structured information processing device are especially relevant in the performance context. First, performance is seen as controlled by both general- and special-purpose processing components. Driving a car might require both some specialised psychomotor skills for steering, together with general attentional capacity that could be diverted to other tasks such as talking to a passenger. A further example is provided by the important construct of working memory, which refers to the simultaneous storage and manipulation of information, such as remembering intermediate solutions when doing a mental arithmetic problem (Baddeley, 1986). (In contrast, short-term memory (STM) refers to retention with minimal additional processing.) We can assess working memory both as an integrated system or, alternatively, in terms of multiple components, such as the short-term retention facility provided by subvocal rehearsal of material (known as the phonological loop). Researchers have aimed to relate personality traits to both special- and general-purpose aspects of cognition.

However, given that traits reflect rather general characteristics of the person, affecting a variety of behaviours, models that link traits to general components such as attentional resources or working memory tend to be more powerful and influential (e.g., Humphreys and Revelle, 1984). A second feature of the information-processing metaphor is that it distinguishes involuntary and voluntary control of behaviour. By contrast, arousal theory encourages a rather passive view of the performer, and neglects the role of

voluntarily selected strategies in controlling performance. Processing may be automatic to the extent that it is triggered without deliberate intent by incoming stimuli. Quite complex social behaviours may be influenced in this way.

Voluntary behaviour is controlled by strategies or plans that are driven by some explicit goal. Often, processing of this kind is experienced as requiring mental effort. Personality may relate to both voluntary and involuntary aspects of performance. If we find some correlation between personality and performance, it might reflect either some 'in-built' bias in processing routines, or some deliberate strategic choice. Careful experimentation is required to distinguish these possibilities.

Cognitive Neuroscience Approaches

Arousal theory, as traditionally formulated, tends to neglect the cognitive level of description and the diversity of cognitive functions potentially sensitive to personality. Increasingly, researchers are employing methods based on cognitive neuroscience to link personality traits to more specific processes, that may be understood in both neurological and cognitive psychological terms. There is not, of course, any fundamental incompatibility between biological and cognitive models and, within a hierarchical model of the mind, information-processing may be seen as supported by neural activity. Cognitive psychology is becoming increasingly integrated with neuroscience, as researchers seek to localise specific processing components, and to specify how information-processing is supported by neural functioning. Personality studies have yet to fully capitalise on these advances, but there are some promising developments. For example, it is claimed that focusing attention narrowly is supported by left hemisphere structures, such as left posterior cingulate cortex, whereas right hemisphere involvement produces a more expansive focus. Tucker and Derryberry (1992) hypothesised that trait anxiety is associated with the left-hemisphere attentional focusing process. Consistent with this proposal, trait anxious individuals appear to show enhanced left-lateralisation of evoked potentials in response to visual stimuli (Dien, 1999).

Second, some researchers are using tasks that are believed to index specific brain systems. For example, Derryberry and Reed (1988) investigated *attentional focusing in anxiety using a task believed to discriminate mechanisms for narrowing and broadening attention, described also as 'local' and 'global' mechanisms for attention.* Stimuli are large letters composed of small letters, such as a large 'H' made up of small 'T's. Subjects in their study were required to respond to target letters as quickly as possible. When the target letter was large, there was no effect of trait anxiety on response time. However, when the target was one of the small letters making up the larger letter, anxious subjects were faster to respond. This effect was stronger when stimuli were presented to the right visual field, so that they were

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processed initially in the left hemisphere of the brain. Hence, these behavioural data are consistent with the neuropsychological data linking anxiety to the left hemisphere attentional narrowing mechanism. The work of Derryberry and Reed provides a nice convergence between neuroscience and cognitive psychological approaches to understanding trait anxiety.

Third, there is interest in linking personality to individual differences in the operation of neural networks (Matthews, Derryberry et al., 2000). We can set up models of how a set of interconnected neuron-like units behaves once units representing some stimulus input become activated. Such models may be used to explore how individual differences in the spread of activation between units might underpin the effects of personality on performance (Matthews and Harley, 1993). Perhaps individual differences in response speed reflect whether information is transmitted rapidly or sluggishly, taking into account the functioning of the network as a whole. Similarly, Siegle (1999) suggested that the tendency of depressed and anxious persons to worry about problems reflects feedback between separate neural nets representing emotional and non-emotional aspects of information. Siegle (1999; Siegle and Ingram, 1997) showed that a simulation of this network model predicted real experimental data: *e.g.*, how fast depressed individuals decide whether a word has positive or negative content. Siegle (1999) linked his simulated feedback processes to interaction between the limbic system and frontal lobes demonstrated neurophysiologically. Hence, such models may help to elucidate how neural processes support information-processing.

2.4 EXTRAVERSION-INTROVERSION AND PERFORMANCE

The Cognitive Patterning of Extraversion

Which type of person is the better performer: an extravert or an introvert? The answer is 'it depends': sometimes extraverts do better and sometimes introverts, depending on a whole range of task and contextual variables. A typical study is that of Eysenck and Eysenck (1979). They used a task popular with cognitive psychologists, the Sternberg memory scanning task, in which subjects search the contents of short-term memory to decide whether a probe stimulus matches a list of items memorised previously. Manipulations of the task stimuli allow different aspects of information-processing to be investigated. In one condition, subjects were required to search for an exact match between the probe and one of the memorised items. In a second condition, subjects searched for a semantic match, such that the probe was an instance of one of a memorised list of categories (*e.g.*, 'carrot' is an instance of 'vegetable'). In a third, dual-task condition, subjects were told to find an instance of either type of match, so that both the exact identity of the word and its meaning had to be processed. Extraversion effects were found mainly

in this dual-task condition: introverts tended to be slower to respond than extraverts. From the variation of the effect of E across task conditions, Eysenck and Eysenck inferred that E has no general effect on memory search, but extraverts are superior at parallel processing or divided attention. This study also demonstrates how it is often convenient to treat extraverts and introverts as distinct 'types', although E-I is, of course, a continuous variable.

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Table 2.1: *Cognitive patterning of extraversion-introversion effects on performance*

Cognitive Function	Example study	Task	Result
<i>Extraverts (Es) are better at</i>			
Dividend attention	Eysenek and Eysenck (1979)	Sternberg memory search	Is better at attention search
Short term memory	Mangan and Hookway (1988)	Free recall of video sequences	Is better at immediate recall
Retrieval from semantic memory	Eyesenck (1974)	Retrieve semantic category instances	Is faster at retrieving low dominance ('unusual') instances
Speech production	Dewaele and Furnham (2000)	Learning a second language	Is more fluent in production
<i>Introverts (Is) are better at</i>			
Visual vigilance	Harkins and Geen (1975)	Detection of line stimulus	Is show higher detection rate
long-term memory	Howarth and Eysenck 1968	Paired associate learning	Is better at delayed recall (thirty minutes, one day)
Problem-solving	Kumar and Kapila (1987)	Five 'insightful' problem-solving tasks	Is faster and more accurate

Table 2.1 illustrates the task-dependence of extraversion effects on performance, demonstrated in multiple studies (see Matthews, 1997b, for a review). Extraverts tend to show superior performance to introverts on some tasks, particularly relatively demanding tasks requiring divided attention, resistance to distraction or resistance to interference (Eysenck, 1982). For example, extraverts are less easily distracted than introverts by music, especially when it is complex, and presumably more attentionally demanding to process (Furnham and Allass, 1999). Extraverts may also have advantages in verbal information-processing that support their sociability. For example, extraverts are more fluent in speech production (Dewaele and Furnham, 1999), and more effective in constructive verbal communication (LePine and Van Dyne, 2001). Conversely, there are some tasks on which introverts perform better, such as vigilance, and certain kinds of problem solving.

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Still other tasks, such as reaction-time tasks, do not appear to show any consistent effect of extraversion (Amelang and Ullwer, 1991). Extraversion may affect task strategy as well as performance efficiency; extraverts' lower response criterion (Koelega, 1992) and preference for speed over accuracy (Eysenck, 1967) suggest a risky, impulsive style of response. Brebner and Cooper (1985) characterize extraverts as 'geared to respond', and introverts as 'geared to inspect'. Responsiveness may also have a motor component, in that extraversion consistently correlates with speed of movement in executing simple responses during reaction time studies (Doucet and Stelmack, 2000; Wickett and Vernon, 2000). The effects listed appear to generalise across a variety of environmental conditions. For example, Eysenck and Eysenck (1979) showed that the superiority of extraverts at parallel processing was unaffected by whether or not white noise was delivered during performance, so it was not arousal-dependent.

These effects may generalise to applied contexts; relative to introverts, extraverted locomotive drivers show better detection of railway signal stimuli (Singh, 1989), extraverted post office trainees perform better on a demanding speeded mail-coding task (Matthews, Jones and Chamberlain, 1992), and extraverted subjects show better short-term recall of TV news broadcasts (Gunter and Furnham, 1986).

Studies of the context-sensitivity of relationships between E and performance have focused primarily on manipulations thought to influence arousal. Matthews (1992a) reviewed a series of studies showing that extraverts outperform introverts in stimulating or stressful conditions, but introverts perform better under de-arousing conditions, such as sleep deprivation. These effects can be quite dramatic, in that stressors may have qualitatively different effects in groups differing in E-I. Corcoran (1962, 1972) had subjects perform a tracking task on three successive days of sleep deprivation. Sleep deprivation is considered one of the stronger arousal-reducing manipulations available to the researcher. However, as figure 2.2 shows, its effects are strikingly different in extraverted and introverted subjects, with extraverts showing a progressive deterioration in performance, whereas introverts' performance actually improves with increasing deprivation. The effect of sleep deprivation seems to generalise also to tasks requiring high-level cognition, such as logical reasoning (Blagrove and Akehurst, 2001). Conversely, arousing agents such as loud noise may have the reverse effect. Loud traffic noise (88 db (A)) actually improves mental arithmetic in extraverts, while impairing performance in introverts (Belojevic, Slepcevic and Jakovljevic, 2001). Context-sensitivity too may have applied relevance. In a study of vehicle driving, Fagerstrom and Lisper (1979) found that extraverts' attention derived more benefit than introverts' from arousing manipulations, ingestion of caffeine and use of the car radio. Conversely,

extraverts appear to be more sensitive to harmful effects of drowsiness while driving (Verwey and Zaidel, 2000).

Thus, to predict how (and whether) extraverts and introverts will differ in performance, we have to take into account both task demands and the level of stimulation provided by the environment. Extraversion effects may also be moderated by motivational factors, such as whether performance influences rewards or punishments, although reliable results are hard to obtain (Matthews and Gilliland, 1999). The complexity of extraversion effects suggests that there may be several independent mechanisms that are influenced by this personality trait.

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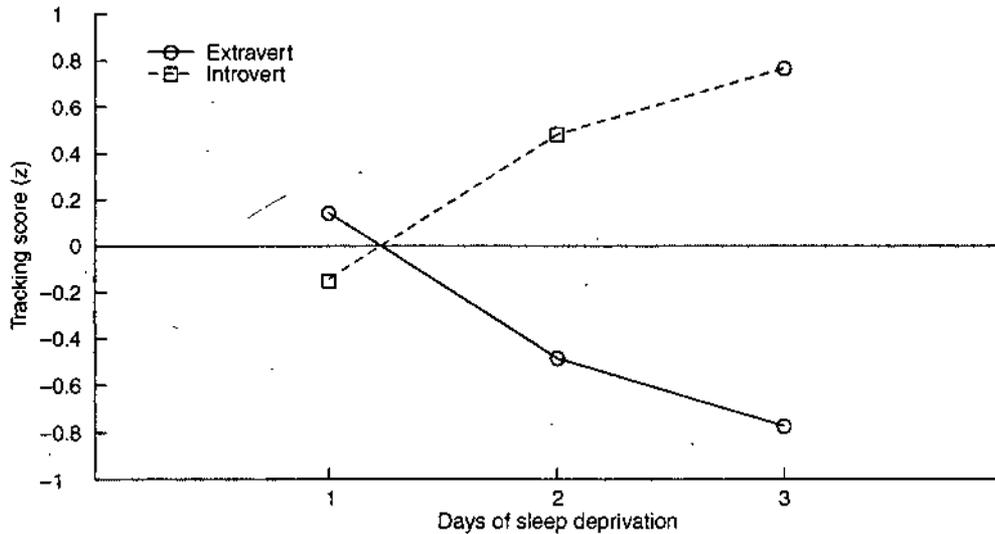


Fig. 2.2. Interactive effects of extraversion–introversion and sleep deprivation on tracking performance

Psychobiological Explanations for Cognitive Patterning

Arousal theory seeks to explain these performance differences between extraverts and introverts as follows. Extraverts are superior at demanding attention and memory tasks because the difficulty of these tasks lowers the optimal level of cortical arousal for performance, and extraverts tend to be low in arousal. Extraverts’ greater willingness to respond during performance may be a different kind of effect; a strategic attempt to raise arousal to the optimum by frequent responding (Eysenck, 1967). However, when scrutinised in detail, arousal explanations are often unsatisfactory; extraversion and task difficulty frequently fail to interact as predicted (Matthews, 1992a). Another problem is that some extraversion–introversion differences predicted from arousal theory are not obtained. Most arousing stressors tend to narrow the focus of attention (Hockey, 1984); *i.e.*, attention becomes more selective and focused on the highest-priority stimuli. However, extraversion has no systematic effects on selectivity of attention (Matthews, 1992a), suggesting that extraverts do not behave like persons low in arousal.

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At first glance, the tendency for extraverts to perform better than introverts in stimulating conditions is exactly as predicted by arousal theory. However, here too there are difficulties. First, studies measuring all three relevant constructs (extraversion, arousal and performance) fail to support the hypothesis that extraversion effects on performance are directly mediated by individual differences in arousal (e.g., Matthews, 1985, 1997b). The Eysenck and Eysenck (1985) theory predicts that subjects whose levels of cortical arousal are the same should show the same levels of performance. However, Matthews and Amelang (1993) showed that the relatively low arousal alpha state apparent in EEG recordings is associated with good performance in introverts but poor performance in extraverts. In other words, the same brain state has different consequences for performance in introverts and extraverts, a finding which is incompatible with conventional arousal theory, and a state-trait theory in which arousal/alpha state is the only causal influence on performance. Instead, it appears that the association between arousal and performance is qualitatively different in extraverted and introverted subjects. Matthews and Amelang (1993) suggest that there may be a positive association between arousal and performance in extraverts, but a negative arousal-performance association in introverts.

Second, the interaction between extraversion and arousal reverses in the evening; at this time of day, it is introverts rather than extraverts who tend to perform better under high arousal (Revelle et al., 1980; Matthews, 1985). Gray (1981, p. 258) colourfully described this finding as a 'dagger that goes to the heart of Eysenckian theory'. Revelle et al. (1980) suggested that the association between extraversion and arousal may vary with time of day, although Eysenck and Folkard (1980) questioned this hypothesis. Third, context-dependent effects are also taskdependent: extraversion and arousal do not show their characteristic interactive effect on all tasks. Matthews (1997b) characterised tasks sensitive to the interaction as those in which performance is influenced by simple, routine encoding operations which are somewhat 'automatic' in nature, and require little effortful deployment of attention. It is unclear how arousal theory can account for the restriction of the extraversion effect to tasks of this type. In general, individual differences in arousal may be related to performance, but in a more subtle and limited way than traditional arousal theory claims.

Cognitive Explanations

Cognitive psychology tends to focus on the minutiae tasks and performance indices, so that it is best suited to explaining personality effects within specific paradigms, rather than offering the broad sweep provided by arousal theory. Several such 'mini-theories' of extraversion effects have been proposed. Eysenck (1982) proposed that extraverts typically have more attentional resources or capacity available than introverts, so they perform better on

difficult tasks. This hypothesis explains extraverts' superiority on divided attention tasks, their ability to resist distraction, and, possibly, their advantage on difficult STM tasks. The resource hypothesis seems inconsistent with the poorer vigilance of extraverts.

However, Matthews (1992a) pointed out that extraverts' performance superiority is most evident on verbal tasks, and they are most disadvantaged on visual vigilance tasks, whose demands tend to derive from low perceptual discriminability. Extraverts also tend to show poorer performance on visual

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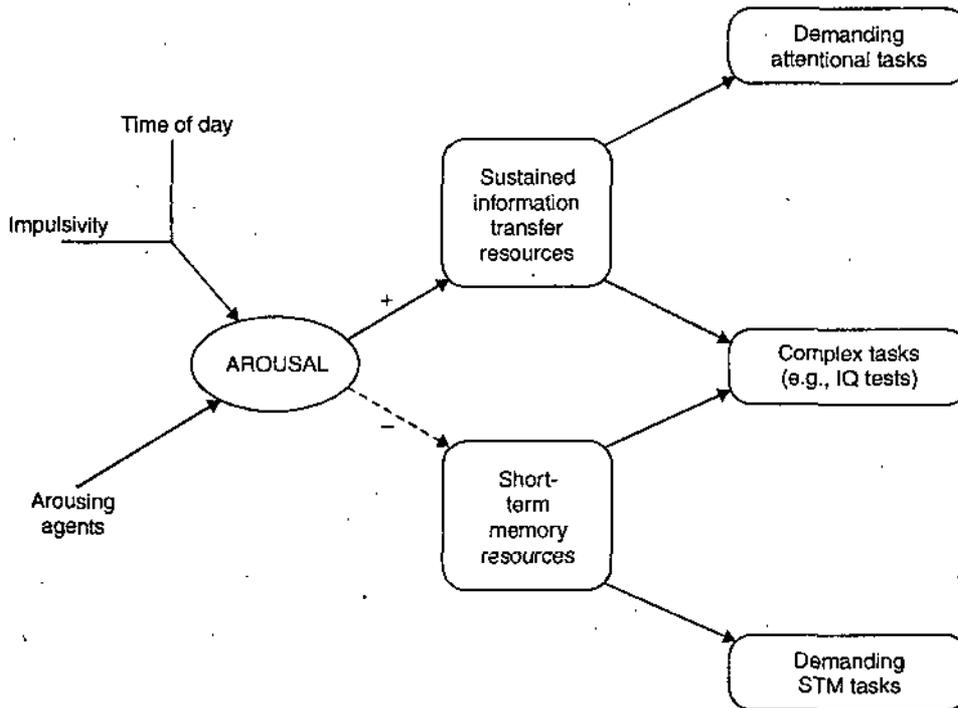


Fig. 2.3. Part of Humphreys and Revelle's (1984) model of personality effect on performance

perception tasks (Eysenck and Eysenck, 1985). Hence, extraverts may have more capacity specifically for processing verbal stimuli, but not for other types of task. Other researchers have addressed differences between extraverts and introverts in task strategy. Weinman (1987) presented data suggesting that extraverts are disadvantaged at complex problem-solving because they tend to adopt an 'impulsive exit strategy', curtailing processing of the problem prematurely. Similarly, extraverts are more likely to give up on a problem when it is difficult and frustrating (Cooper and Taylor, 1999).

The best-known cognitive theory of interactions between E and stress manipulations was put forward by Humphreys and Revelle (1984). Their theory is an ambitious attempt to explain effects of a variety of personality and environmental factors on attention and memory, and its details are beyond the scope of this unit. In brief, they saw effects of E as driven

primarily by impulsivity, one of the relatively narrow traits associated with the broad E factor. Impulsivity interacts with time of day to influence level of cortical arousal, as shown in figure 2.3.

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Arousal is also affected by arousing agents such as stimulant drugs and some environmental stressors. Arousal, in turn, tends to increase the availability of resources for attention-demanding tasks (sustained information transfer resources), but decreases resources for short-term retention. Hence, impulsivity (or extraversion) effects are mediated by tradeoffs in the availability of the two types of resource. For example, in the morning high impulsives/extraverts are low in arousal. This means they have plenty of STM resources, but few attentional resources. Increasing the arousal of these individuals tends to shift the balance towards greater attentional capacity, and improves their performance on tasks requiring attention.

High impulsives/extraverts are expected to perform badly on attentional tasks such as vigilance, but their performance will be improved by arousing agents such as caffeine. The prediction that arousal should enhance performance of demanding attentional tasks has been supported in several studies (Matthews and Davies, 1998, 2001; Revelle, 1993), although other predictions derived from the model have been less successful (Matthews, 1992a), suggesting that it is in need of some revision.

Matthews (*e.g.*, Matthews, Jones and Chamberlain, 1989) conducted a series of studies which systematically manipulated demands made by attentional tasks. Contrary to the Humphreys and Revelle (1984) theory, tasks making few demands on resources were more sensitive to interactive effects of extraversion and arousal than tasks believed to require many resources. Matthews and Harley (1993) proposed an alternative mechanism, that time of day, extraversion and arousal interactively affect the spread of activation in a semantic network. The spread of activation between semantically associated words such as 'doctor' and 'nurse' may be assessed by investigating semantic priming of lexical decision. On this task, the person must decide whether strings of letters are valid English words or non-words. Consistent with the spreading activation hypothesis, Matthews and Harley showed that extraversion and arousal influence semantic priming, *i.e.*, the speeding of lexical processing resulting from prior presentation of a semantically related word. The mechanism concerned was investigated further by simulating the priming process, using a connectionist model based on a low-level array of interconnected elementary processing units. The simulation data suggested that extraversion and arousal might influence levels of random 'noise' or fluctuation in activation within the network. Matthews and Harley (1993) suggested that a variety of tasks requiring relatively routine 'bottom-up' data encoding may be sensitive to levels of random noise, but tasks requiring voluntary, 'top-down' control of performance may be more dependent on

attentional resources and strategy, and so are insensitive to extraversion \times arousal interactions.

Extraversion and Performance: Conclusions

The data reviewed suggest that arousal theory may provide a rough basis for predicting the task- and context-sensitivity of extraversion effects on performance. However, its predictions often breakdown in specific task paradigms, and it may be criticised on conceptual and methodological grounds. Possibly, improvements in methodology and in understanding of neural bases for cortical arousal may provide stronger support for the theory in the future. It may also be the case that arousal theory works better within subjects than between subjects (Anderson, 1994).

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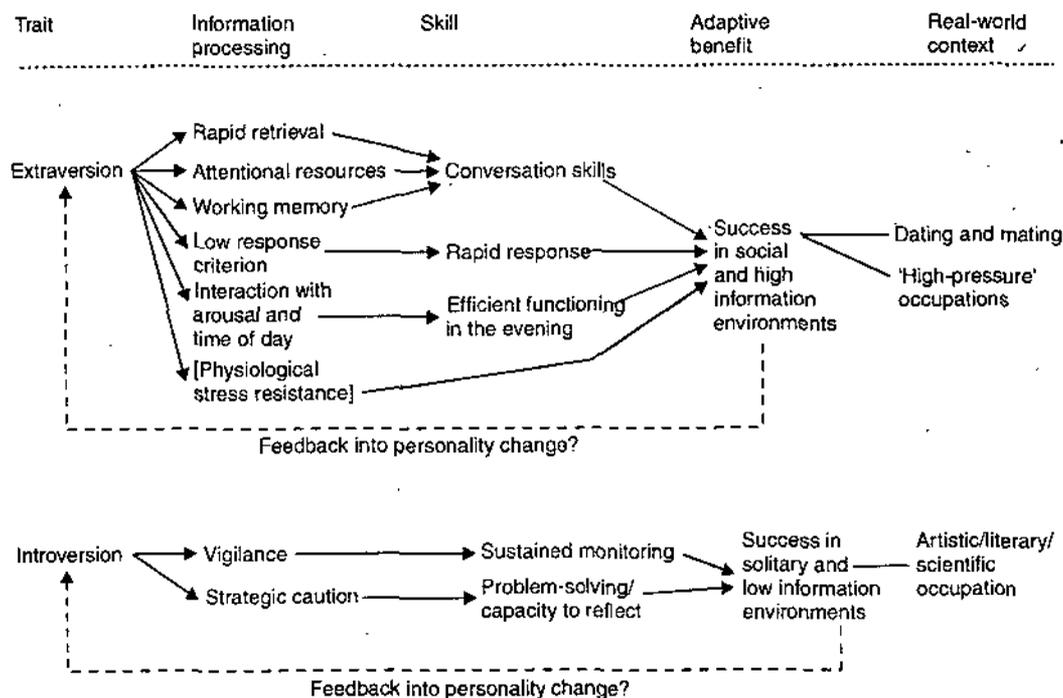


Fig. 2.4. Possible adaptive functions of the information-processing correlates of extraversion-introversion

Cognitively oriented researchers have made considerable progress in relating specific extraversion effects to constructs in common use in cognitive psychology, such as attentional resources and semantic networks. Connectionist models (Matthews and Harley, 1993) may eventually bridge the gap between neural and cognitive levels of description of personality effects. However, it is likely that there is no single information-processing mechanism which underlies all the various performance differences between extraverts and introverts which contribute to the overall cognitive patterning associated with the trait. Furthermore, it is hard to see why extraversion should relate to some of these mechanisms. For example, impulsiveness in

performance seems broadly consonant with the general characteristics of the extravert, but it seems rather arbitrary and quirky that extraverts should benefit from high arousal in the morning, but not in the evening.

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2.5 TRAIT ANXIETY, NEUROTICISM AND PERFORMANCE

Basic Empirical Findings

In this section, we consider performance correlates of trait anxiety and of neuroticism together, because of the high correlation between the two constructs. We also review work on test anxiety, which is only moderately correlated with N/trait anxiety. However, it is likely that it influences performance via the same mechanisms as the broader trait. Much of the initial work on anxiety was concerned with identifying which anxiety measures were most detrimental to performance. State anxiety is generally more harmful than trait anxiety (Spielberger, 1972), and worry is more damaging than emotionality (Morris et al., 1981), anxiety has both cognitive and emotional aspects. Task-dependence of anxiety effects was also demonstrated, with anxiety tending to improve performance on easy paired-associate learning tasks, but impairing performance when the task was difficult (Saltz and Hoehn, 1957; Eysenck, 1982; Zeidner, 1998).

Context-sensitivity has been shown in studies of both general anxiety and test anxiety. Manipulations which increase the subjects' feeling of evaluation, such as failure feedback or being informed that the task measures intelligence, tend to accentuate performance decrement in anxious individuals (Eysenck, 1982; Mueller, 1992). These results are particularly robust for test anxiety; under reassuring conditions, high test anxious subjects may actually do better than those low in test anxiety (Zeidner, 1998). An intriguing possibility is that some instances of task dependence should actually be seen as context-sensitivity. Anxiety may impair difficult tasks not just because anxiety specifically impairs the processing which makes the task difficult, but because failure is more likely on difficult tasks, and failure increases state anxiety in high trait anxious subjects, leading to performance impairment (see Weiner and Schneider, 1971).

Eysenckian personality theory attributes effects of N (and, by implication, other related anxiety traits) to the Yerkes-Dodson Law. The emotional or 'visceral' arousal generated in high N subjects under stressful conditions also leads to increased cortical arousal. The tendency for high N/anxious subjects to perform relatively badly on difficult tasks, but (less reliably) well on easy tasks is exactly the task-dependence predicted by the Yerkes-Dodson Law. Humphreys and Revelle (1984) attribute detrimental effects of anxiety on STM to the loss of resources for this kind of task resulting from high arousal. However, arousal theory has had limited impact as an explanation

for N/anxiety effects, for two reasons. First, it is the cognitive elements of anxiety, such as worry and cognitive interference, which relate to performance impairment. Second, while the arousal theorist can find some support from psychophysiological studies that extraversion relates to lower arousal or arousability, psychophysiological studies of anxiety and N consistently fail to show any reliable link (Fahrenberg et al., 1983). Test anxiety is unrelated to autonomic nervous system arousal even under evaluative conditions (Holroyd and Appel, 1980). Hence, in this section, we are concerned with cognitive psychological studies of anxiety. We will focus on two aspects of the 'cognitive patterning' of anxiety: performance impairment on cognitively demanding tasks, and bias in selective attention towards threatening stimuli. We examine the evidence on task-dependence of effects which helps to choose between 'mini-theories' of specific phenomena, and we also consider the wider implications of this performance research. Some of the performance correlates of anxiety are beyond the scope of this chapter. Anxiety may, under different circumstances, relate to both caution and impulsivity in response (see Wallace, Newman and Bachorowski, 1991). Sports psychologists have carried out extensive research on the anxiety effects on the motor and cognitive-motor skills required for sports (see Tenenbaum and Bar-Eli, 1995).

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Anxiety and Performance Impairment

In principle, it should be possible to examine anxiety effects across a range of difficult tasks varying in their exact information-processing demands. The nature of the tasks sensitive to the anxiety would then provide clues to the particular processes sensitive to impairment by anxiety. In fact, efforts of this kind have stimulated rather different theoretical views. Eysenck (1992) proposed that active, working memory is one of the cognitive functions most sensitive to anxiety; worry-related processing uses up working memory capacity. There are a variety of studies suggesting that the magnitude of anxiety-related performance deficits increases with the complexity of short-term retention tasks (*e.g.*, Darke, 1988), or when a dual-task manipulation is used to increase demands on working memory (Ashcraft and Kirk, 2001). Worry associated with anxiety may especially impair the integrated short-term storage and processing functions central to the working memory concept. The weakness of this hypothesis is that anxiety also seems to impair tasks making few demands on working memory, such as visual signal detection tasks (Geen, 1985).

Alternatively, anxiety may divert attentional resources from the task at hand to worry-related processing, leading to an insufficiency of resources for the task at hand (Sarason et al., 1995). Consistent with the transactional model of stress, Sarason et al. (1995) claimed that anxious subjects worry because they appraise themselves as incompetent. Figure 2.5 illustrates Sarason's model. This hypothesis, of course, explains anxiety deficits on

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attentional tasks, such as slower reaction time (RT) to probe stimuli presented during performance of some other, primary task (Eysenck, 1992, p. 141), and the greater distractibility of anxious subjects (Eysenck, 1988). Relating anxiety to lack of attentional resources has the converse problem to the working memory hypothesis; *i.e.*, it has difficulty explaining dependence of anxiety effects on high working memory demands (*e.g.*, Darke, 1988). It might be supposed that working memory tasks are also attentionally demanding, so that anxious subjects cannot attend to the task effectively when working memory is overloaded. Attentional hypotheses have also been advanced to explain effects of other negative affect variables correlated with N. For example, depression impairs tasks requiring controlled processing, which is resource-limited, but has little effect on tasks requiring automatic processing, which requires few resources (Hartlage et al., 1993). Finally, anxiety and depression are associated with reluctance to adopt active, effortful strategies (Mueller, 1992). One attractive explanation for these diverse findings is that anxiety produces some general disruption of central executive functioning (Ashcraft and Kirk, 2001), whose exact effects on performance depend on the task and the person's choice of strategy.

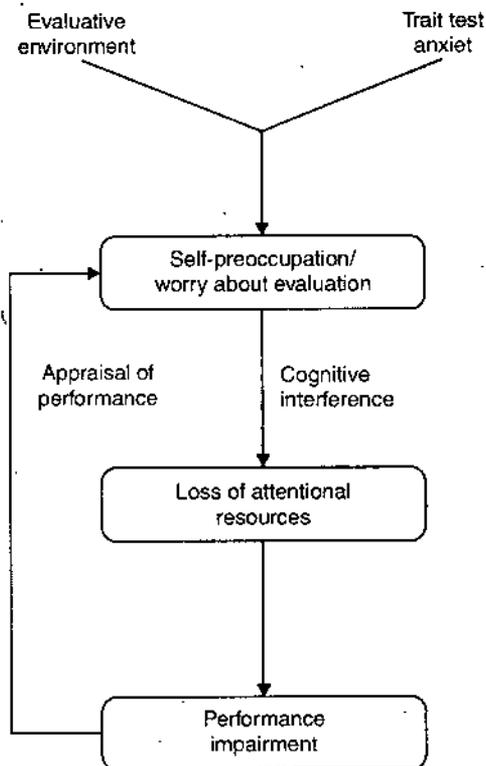


Fig. 2.5. An outline of Sarason's model of test anxiety effects on performance.

Anxiety and Attentional Bias

Trait anxious individuals show a bias towards attending to threatening stimuli. The most robust evidence for attentional bias is provided by studies

of the emotional Stroop test. By analogy with the conventional colour-word Stroop, subjects are required to name the ink colours of emotion-related words. The words may be printed in a list on large cards, or they may be singly presented on a VDU. In a pioneering study, Watts et al. (1986) presented spider phobics with several appropriately matched word-lists to colour-name. They included a list of neutral words, a list of general emotional words, and a list of words associated with spiders, such as 'web' and 'tarantula'. The spider phobics were as fast as controls on the first two lists, but their colour-naming of the spider-related words was slowed. It appeared that their selective attention was biased towards processing the meaning of the spider words, even though they were instructed to focus attention on the colour of the word, not on its semantic content. In a whole range of affective disorders, attention is biased towards words which match the patients' personal concerns (Matthews and Harley, 1996). Emotional Stroop effects have also been demonstrated in non-clinical samples of trait anxious or neurotic individuals, who tend to be slow to name anxiety-related words when in anxious states (Richards et al., 1992; Egloff and Hock, 2001).

Various other paradigms also demonstrate anxiety-related biases. In general, bias is more reliable when the task has an element of attentional selection, rather than simply requiring stimulus encoding (MacLeod, 1999). One technique for investigating selective attention is to present a pair of words, one threatening and one non-threatening, followed by a 'dot-probe' stimulus in the same position as one of the two words. Speed of response to the dot-probe indicates which of the two words was being attended. MacLeod and Mathews (1988) found that high trait anxiety students tend to focus their attention on the threatening word, especially in the week before an important examination. Another technique is to have subjects listen to homophones, words which when spoken have two alternative spellings or meanings (e.g., 'poll' and 'pole'). Eysenck, MacLeod and Mathews (1987) had subjects write down homophones, forcing them to select one of the alternatives. When one alternative was threatening (e.g., 'die' vs 'dye'), trait anxious individuals tended to write down the threatening word. Selective attention is controlled by various, distinct mechanisms. Recent work in this area has tried to tease apart some of the different processing components that might be especially sensitive to anxiety. We give one example here. One issue is whether anxiety affects the shifting of attention towards threatening stimuli, as they appear in the visual field, or, alternatively, whether anxiety influences the *disengagement* or withdrawal of attention from a threat stimulus, following attentional focusing. These two mechanisms are distinguished neuropsychologically (Derryberry and Reed, 1997). Fox et al. (2001) used an attentional cueing paradigm to test whether these two processes were differentially sensitive to anxiety. In one condition, they found that anxiety did not influence how effectively a threatening word drew attention to a

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location on a VDUscreen. In a second condition, they found that anxious subjects were slow to disengage attention from a threat stimulus, when they were required to move the focus of attention to another stimulus presented at a different location. This and other studies suggest that anxiety is associated not so much with the initial focus of attention on threatening stimuli, but with a tendency to 'lock onto' threatening stimuli after they have been focused upon (Derryberry and Reed, 1997).

There has also been interest in demonstrating differences between the processing biases associated with anxiety and depression, both constructs closely related to N. It has been argued that selection biases in attention are restricted to anxiety, and are not found in depressed individuals (Williams et al., 1988). Conversely, moodcongruent biases in memory, in which distressed individuals show better recall of negative material, appear to be more robust in depressed subjects than anxious subjects. However, much of the evidence concerns clinical patient groups, and studies of non-clinical samples provide conflicting evidence (Wells and Matthews, 1994). Counter-examples to the Williams et al. hypothesis are demonstrations of the emotional Stroop effect in students with mild trait depression (Gotlib and McCann, 1984), and enhanced recall for negative self-referent trait descriptors in socially anxious subjects (Claeys, 1989). Neuroticism is associated with a similar memory bias (Martin, Ward and Clark, 1983).

Differing explanations for anxiety-related bias have been advanced by processing stage theory (Williams et al., 1988), hypervigilance theory (Eysenck, 1992) and Self-Referent Executive Function (SREF) theory (Wells and Matthews, 1994). Williams et al. (1988) proposed that anxiety affects early stages of processing associated with the automatic, unconscious encoding of information, whereas depression biases later stages during which consciously recognised stimuli are elaborated. Hence, anxiety tends to influence selective attention, whereas depression influences memory tasks dependent upon an elaborated memory trace, such as explicit recall. The most striking success of the theory comes from studies showing anxiety-related bias on Stroop stimuli so heavily masked the subject cannot consciously perceive them (Bradley et al., 1995). Wells and Matthews (1994) provided a critique of the theory which discusses evidence that anxiety influences voluntary rather than involuntary control of attention. They also question the methodological adequacy of masked Stroop studies; it is remarkably difficult to ensure that there is no 'leakage' of information from subliminal stimuli into consciousness. It is possible also that there are anxiety-related biases in both voluntary and involuntary attentional processes: Mathews and Mackintosh (1998) have presented a sophisticated theory of threat-sensitivity along these lines.

The other two theories suggest that there are qualitative differences in information-processing in high and low anxiety individuals. Eysenck's (1992) hypervigilance theory proposed that trait anxious subjects, particularly when high in state anxiety, tend to scan the environment for threat to an excessive degree. When a threat is detected, they tend to 'lock onto' the threat stimulus, and narrow the focus of attention. In contrast to Williams et al. (1988), Eysenck emphasized the role of voluntary control processes, in addition to pre-attentive bias; hypervigilance is driven in part by the person's secondary appraisal of personal threat vulnerability. However, the theory does not distinguish in detail involuntary and voluntary mechanisms for bias.

The final theory (Wells and Matthews, 1994; Matthews and Wells, 1999) identified emotional distress with a cognitive-attentional syndrome generated by a 'Self Referent Executive Function' (SREF). This is a mode of controlled processing in which attention is self-focused, and processing effort is diverted to worry and ruminative emotion-focused coping. The syndrome includes the activation of strategies for allocation of attention which prioritise processing of threat-related stimuli, *i.e.*, the person monitors for threats congruent with their personal concerns. The spider phobic is vigilant for spiders, people with social anxiety focus on the impression they are making on others, and so forth. Hence, attentional bias reflects the anxious or distressed person's choice of coping strategies for dealing with threat. One of the distinctive features of the theory is that it sees anxiety-related bias as driven by the person's voluntary choice of coping strategy (Matthews and Wells, 1996). Matthews and Harley (1996) presented a connectionist model of the emotional Stroop effect which demonstrates in detail how strategic mechanisms might function to bias response to this task.

Anxiety and Performance: Conclusions

As in the case of extraversion, cognitively oriented research has contributed much to providing an integrated perspective on how anxiety and neuroticism affect performance. Research is moving on from linking anxiety to rather general aspects of performance such as working memory and selective attention, to discriminating specific mechanisms that may be especially sensitive to anxiety, such as disengagement from threat. Increasingly, work of this kind is also linking processing functions to brain subsystems (Matthews, Derryberry and Siegle, 2000). Finegrained description of the cognitive patterning of anxiety is essential, but leaves open the question of why anxiety should relate to some processing functions but not others. One view is that high trait anxiety is essentially a disorder that may be generated by maladaptive biases in key processes for handling threatening events.

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Eysenck (1992) suggested that the attentional bias associated with anxiety renders the individual susceptible to clinical anxiety disorders. Matthews and Dorn (1995) proposed an alternative view, that anxiety and N relate to an adaptive tradeoff (see figure 2.6). There may be advantages to being high in neuroticism when the environment is threatening but the threat stimuli are subtle or disguised, so that active monitoring for threat is required. Vigilance for threats may also serve to maintain motivation in the absence of any immediate threat. However, high N also has clear adaptive costs, with respect to impaired performance on demanding tasks in stressful environments. Conversely, the low N person is particularly well suited to maintaining task-directed attention and performance under stress.

2.6 SICK AND HEALTHY PERSONALITIES

It is only because of a recently conceived research field that a book on personality must consider the relationships between personality and intelligence. These two pillars of differential psychology have long stood

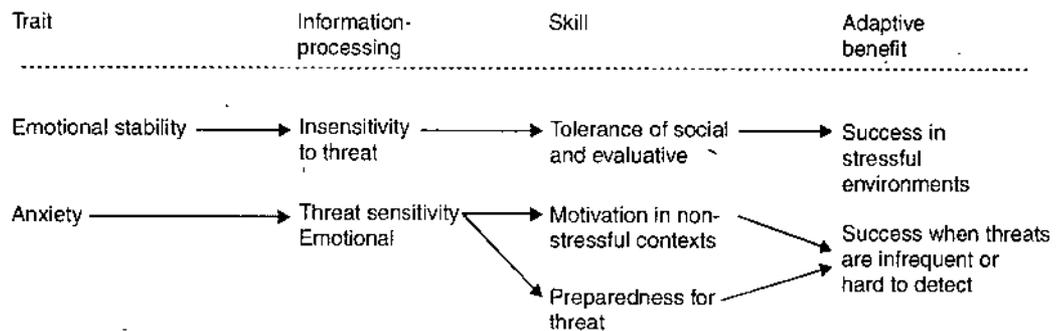


Fig. 2.6. Possible adaptive benefits of emotional stability and anxiety.

separately but, with the increased interest in interactionist models of behaviour, it has occurred to trait theorists and others that the two concepts might usefully be studied in tandem to see whether there are associations and interactions that account for shared or supplementary variance, respectively, when they are used to predict human behaviour.

Three books are partly or entirely devoted to this field of enquiry (Van Heck et al., 1993; Sternberg and Ruzgis, 1994; Saklofske and Zeidner, 1995). There are several types of relationship between personality traits and intelligence that may be of interest. First, personality may influence performance of intelligence tests, through its effects on attentional and memory functions. It is sometimes said that intelligence tests reflect how well a person can perform (maximal performance), whereas personality measures indicate how a person typically performs, in a given context, which may fall short of their

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intellectual potential (Ackerman and Heggstad, 1997). For example, anxiety may depress test scores through distracting attention from the task at hand, as discussed above. The sensitivity of intelligence tests to interactive effects of extraversion and arousal (e.g., Revelle et al., 1980) may also represent the effects of these variables on attention. Hence, personality and intelligence may influence behaviours interactively: optimal performance may depend on both underlying intellectual aptitude, and personality factors that allow that aptitude to be translated into effective behaviour. Eysenck (1994a, 1995) has urged researchers to follow up some of the more interesting possibilities for the empirical interaction of personality and intelligence: that personality variables can affect performance indicators on cognitive tests; that personality might affect cognitive performance and achievement differently at different stages of childhood; that introversion–extraversion might affect cognitive style; and that neuroticism has an effect when tests are done under stress.

Second, personality may be (modestly) related to underlying intellectual *competence*; perhaps certain traits facilitate or interfere with the acquisition of intellectual aptitudes. Block and Kremen (1996) developed a scale for ego-resiliency, a trait representing the capacity to exercise self-control effectively. More effective self-regulation would be expected to correlate with more effective acquisition of intellectual skills, and the ego-resiliency scale does indeed correlate with IQ. The role of self-regulation was demonstrated in a series of studies summarised by

Chiu, Hong and Dweck (1994). Equally bright groups of children who were either mastery-oriented (seeing problems as a challenge and persisting through difficulty) or helpless (tending to self-denigration, negative affect and giving up in difficulty) showed clear differences in problem-solving performance after failure. During 'impossible' problems mastery-oriented children resolved to concentrate better and come up with new strategies for solution, whereas helpless children doubted their own ability, became bored and engaged in irrelevant thoughts.

Third, traits may relate not so much to general intelligence as to more specific aspects of cognitive function that straddle the ability and personality domains. Personality may affect styles of cognition and learning (Furnham and Heaven, 1999). For example, the cognitive style of field-dependence is defined by sensitivity to contextual factors when making perceptual judgements. Crozier (1997) reported that field-dependence is related to agreeableness (warmth and affection), whereas field-independent individuals tend to be independent and manipulative. We have already discussed how traits may influence information-processing functions, such as focused attention, that may play some modest role in intelligence test performance. Hence, in the remainder of this section, we will look, first, at the psychometric

overlap between personality and ability traits, and, second, at creativity, as a somewhat specialised cognitive ability that may relate to both personality and intelligence.

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2.7 PRINCIPLES OF TRAIT ASSESSMENT

In this section, we consider some of the challenges facing the practitioner working on personality-related issues. The outline here draws upon several more comprehensive accounts of personality assessment (Kline, 1993; Anastasi and Urbina, 1997; Lanyon and Goodstein, 1997). We assume what is called in clinical psychology the scientist-practitioner model. This means that, as well as practical skills, the applied psychologist has sufficient basic science training to formulate and test hypotheses, or to evaluate how well published studies conform to good scientific practice. Such a person may be called upon to deal with three related issues:

1. *Choice of questionnaire(s)*. There is a bewildering array of published trait questionnaires that are potentially relevant to applied problems. How does the practitioner choose and evaluate the most useful instrument for his or her purposes? Personality questionnaires range from those that aim to assess general qualities, such as measures of the Big Five, to those that measure more narrowly drawn traits that may be critical in certain situations. There are no definite rules for choosing between the different questionnaires, but we will set out some of the issues involved.
2. *Evaluation of questionnaires*. Having chosen some questionnaires to evaluate, there are some well-established benchmarks that may be used for comparing instruments. The first of these is reliability, referring to whether repeated measurements will give similar questionnaire scores (see chapter 1). However, a questionnaire may be reliable for the wrong reasons. In particular, it may assess some trivial response bias, such as a tendency to always answer 'Yes' to questions, than some genuine trait. The practitioner must be confident that scores are not seriously contaminated by biases of this kind. Finally, the questionnaire must assess some meaningful and relevant psychological construct: it must be valid. We will explore the evaluation of validity in more detail.
3. *Practical issues*. Even if the questionnaire is reliable, valid and relevant, using the trait information available for practical purposes is still a non-trivial task. We will consider two applied topics: use of questionnaire scores for practical decision-making, and ethical and legal issues in personality trait assessment.

Choice of Questionnaire

Naturally, the practitioner needs an instrument relevant to the applied problem. For example, the personnel manager may need to assess a trait that influences job performance, or the clinician may be interested in assessing traits that will help with diagnosis of mental disorders. Beyond informal judgements of which traits seem most relevant to the problem, there are several choices to be made. Comprehensive or targeted assessment? The first decision is whether to assess some major domain of personality, or whether to target some more specific traits of particular relevance. The former case suggests use of a general instrument like the NEO-PI-R, 16PF or CPI, or questionnaires that aim to provide comprehensive assessment in some particular field. Clinicians may use the MMPI or MMPI-2, for example, to measure abnormal traits, and questionnaires such as the OPQ are geared towards traits relevant to the workplace. The advantage of comprehensive assessment is that it samples a full range of constructs, and so it is especially useful in exploratory research. The disadvantage is that it may be uneconomic, in measuring constructs that may not be relevant. It may be more cost-effective to target a small number of critical traits for assessment, provided that previous research has established which traits are relevant, and which are irrelevant.

General or contextualised measurement? A further decision is whether to measure general attributes of personality, or attributes that refer to typical feelings and behaviour within some specified context. For example, sensation seeking can be measured either as a general trait, or using questionnaires that ask about enjoyment of danger in specific situations, such as vehicle driving. How narrowly the 'context' is to be defined is a further issue. We have seen in previous chapters that anxiety may be assessed as a general trait, or as anxiety proneness in broadly defined threatening contexts such as social and physical threat (Endler and Kocovski, 2001), or in more narrowly defined contexts such as being tested, solving maths problems or working with computers (e.g., Zeidner, 1998). The advantage of general trait measures is that they allow findings to be integrated with the large bodies of relevant data and theory. The disadvantage is that contextualised measures may be more predictive of criteria. However, the more specialised the scale, the more difficult it may be to interpret outcomes of studies within some more general theoretical framework.

Broad or narrow traits. A related choice concerns whether it is better to assess broad traits such as the Big Five, or narrower, 'midlevel' traits. Again, use of broad traits facilitates interpretation of data, and comparisons with other studies, but narrower traits may sometimes be more predictive. Of

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course, instruments like the NEO-PI-R, 16PF and OPQ provide both levels of analysis, although it is unlikely that any single instrument provides complete coverage of lower-level traits. When midlevel traits are preferred, it is desirable that something is known about their overlap with broader traits. For example, with traits related to stress vulnerability, it is often unclear how much their predictive validity derives from the overlap with the broad trait of neuroticism, and how much is unique to the particular trait.

Evaluation of Questionnaires

It is essential that the questionnaire possesses good reliability, stability and validity. If it has subscales, their differentiation should be supported by factor analysis. Evaluation of internal consistency (*i.e.*, reliability) and stability over time is straightforward: table 2.2 summarises definitions and techniques for calculating reliability. Generally, researchers take a reliability value of 0.7 as the minimum for research use, although 0.8 or more is preferable. Individual assessment requires a reliability of 0.9 or better. Determining factor structure may raise technical issues such as the nature of the factor structure to be used, although, if the factor structure is robust, choice of analytic method should have minor effects only.

Assessment of validity may be a little more complex, as we will now discuss. Table 2.3 unpacks some different aspects of validity. As previously discussed, the key element of validity is criterion validity – the ability of the questionnaire to predict meaningful criteria such as emotional states, abnormal behaviours and job performance. We may distinguish concurrent (present) and predictive (future) validity as two different aspects of criterion validity. Both may be useful: the clinician may want an index of current behavioural disturbance, while the personnel manager needs to predict future job performance, following training. In any case, the validity coefficient expresses how strongly the trait predicts the criterion. As we discuss below, the trait may not be of much practical use if the coefficient is too low. It is also important to establish whether the validity coefficient generalizes across different contexts; it is dangerous to assume that a single study establishes validity, even if the coefficient is high.

Face validity is the least important of the remaining aspects of validity, although lack of face validity may sometimes alienate respondents. Content validity is especially important in the early stages of research, before the development of a detailed nomological network that demonstrates the meaning of the construct from its relationships to other indices and behavioural outcomes.

Table 2.2. Definitions of reliability and stability

General definition of reliability

The accuracy with which the test measures whatever it is that the test is measuring, so that measurements are repeatable.

Parallel form reliability

The correlation between two alternate or parallel forms of the test.

Split-half reliability

The correlation between the sums of the odd-and even-numbered items on the test.

Internal consistency

Estimate of reliability derived from inter-correlations of test items. Cronbach's alpha (α) is a common statistic used for this purpose.

Stability

The consistency of test scores over time: also called test-retest reliability. Time interval may be varied from 'immediate' to many years. Trait measures should show stability across periods of months and years.

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Convergent and divergent validity are usually considered together. For example, an extraversion-introversion scale should correlate moderately highly with related constructs such as sociability and assertiveness (convergent validity): if it fails to do so, the scale is probably not measuring extraversion. It should also show only small correlations with other constructs that are known to be distinct from extraversion, such as neuroticism and intelligence (divergent validity). Establishing divergent validity is especially important in developing scales for new constructs, which, all too often, turn out to be similar to existing ones. Incremental validity is related to divergent validity. It refers to tests of whether the scale predicts criteria if other constructs correlated with both the scale and the criterion are statistically controlled, typically using partial correlation or multiple regression. If we had a new scale for stress vulnerability, incremental validity would be demonstrated if the scale predicted anxiety symptoms with neuroticism and extraversion controlled.

Table 2.3. Definitions of validity

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General definition of validity

The extent to which the test measures some meaningful construct: *i.e.*, the extent to which test scores are scientifically informative or practically useful.

Criterion validity. The extent to which the test correlates with some independent index believed to be related to the construct.

Concurrent validity. Criterion validity with respect to an index measured at the same time as the test is administered.

Predictive validity. Criterion validity with respect to an index measured at same future time, following test administration.

Validity coefficient. Size of the correlation between test and criterion (may be corrected for statistical artifacts).

Validity generalisation. The extent to which validity coefficient remain similar in different samples and situations.

Face validity. The extent to which test items superficially correspond to the construct.

Content validity. The extent to which test items are representative samplings of the construct.

Convergent validity. The extent to which the test correlates with other related scales.

Divergent validity. The extent to which the test is independent from other unrelated scales.

Incremental validity. The extent to which the test predicts criteria with other relevant constructs controlled.

Construct validity. The extent to which the test measures some scientifically meaningful construct – a somewhat ill-defined quality dependent on progressive research efforts.

Table 2.4. Some common response styles

Response style	Description	Countermeasures
Acquiescence	Tendency to answer questions positively, whatever the content	Balance items relating positively and negatively to the construct.
Deviance	Unusual, atypical responses	Avoid items highly skewed response distributions. Indices of deviance may be indicators of psychopathology.
Extreme responding	Tendency to pick extreme response categories (<i>e.g.</i> , 'strongly agree')	Correct using mathematical models.

Finally construct validity refers to the often elusive theoretical basis for the trait, and its psychological meaning. The relevance of theory to the

practitioner varies according to the nature of the practical problem. Sometimes, prediction proceeds on an *actuarial* basis. That is, if we know that a battery of scales predicts performance on some job (with good validity generalisation), we can use the scales for personnel selection without too much concern about theory. However, this approach is often negated by the existence of *moderator* variables, that is, additional variables that influence the association between the trait scale and the criterion. For example, as we will discuss, correlations between traits and job performance depend critically on factors such as the nature of the work, the stressfulness of the work environment, and the level of stimulation or arousal it affords. Although we can try to map out the influence of moderator variables empirically, prediction is enhanced when we can use theory to determine when a trait is or is not likely to be predictive.

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Response Bias

A general problem with personality questionnaires is that response may be influenced by various biases that do not relate to the construct the questionnaire aims to measure. Here, we will divide these biases into three types. *Response styles* describe biases in using the multiple-choice scales on the questionnaire that are unrelated to the actual content of items, such as tending to endorse items rather than reject them. *Impression management* describes deliberate attempts to present oneself as possessing, or not possessing, particular qualities, either by outright lying (*faking*) or by a more benign massaging of the truth. *Self-deception* refers to largely unconscious biasing of response to present a (usually) more favourable self-impression, for example by picking more socially desirable response alternatives.

Response styles. Table 2.4 summarises some common response styles, such as acquiescence (tending to answer 'yes') and extreme responding (tending to answer 'definitely' rather than 'somewhat'). On the whole, response styles are considered as a relatively minor nuisance, and, as the table shows, careful questionnaire design can minimise distortion of trait scores. However, in some cases confounding of trait scores with response style can lead to spurious correlations: in these cases, mathematical modelling may contribute to debiasing measurement of traits (Matthews and Oddy, 1997; Austin et al., 1998).

Impression management. In the formative years of personality assessment research, social desirability was conceptualised as a response set, and hence something of a nuisance. The tendency for individuals to present themselves favourably was detected empirically by using social desirability scales that appeared to measure stable dispositions (e.g., Crowne and Marlowe, 1960). Eysenck (e.g., 1967) introduced the 'Lie' scale that aimed to catch the liar out in refusing to admit to common faults, such as failing to keep promises.

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The researcher could then obtain a more valid estimate of other traits by statistically controlling for social desirability. Paulhus (1986) pointed out that self-presentation is partly deliberate and conscious, and partly unconscious, and these two aspects of social desirability should be distinguished.

He suggests that deliberate manipulation of self-image, including lying, should be described as 'impression management', and distinguished from 'selfdeception'. In a factor-analytic study, he found that traditional social desirability measures loaded on a self-deception factor, whereas scales linked more directly to deceit defined an 'impression management' factor. Dissimulation is an aspect of lack of integrity, which may relate to Conscientiousness (Ones, Viswesvaran and Schmidt, 1993). We should not be too surprised that respondents indulge in impression management, given the social psychological literature that describes how people are motivated to maintain and communicate a consistent self-image.

In occupational settings, impression management is directed towards presentation of the traits the job applicant thinks are required for the job. For example, an applicant for a sales position is unlikely to want to appear introverted, or a prospective marine timid. The extent to which impression management is a problem in practice may be investigated through experimental manipulations, such as instructing subjects to 'fake good', *i.e.*, to present themselves as well as possible. Such instructions do have an effect. A meta-analytic review (Stanush, 1996) concluded that faking instructions change personality scores, especially Conscientiousness.

However, trait scores also become more highly correlated with lie scales or social desirability measures, suggesting a test for the occurrence of faking in the sample as a whole. Other studies have explored the critical issue of whether impression management actually influences validity. In fact, although deliberate faking lowers validity in experimental studies, it appears to have relatively modest effects in real-life employment settings (Barrick and Mount, 1996; Stanush, 1996; Arthur, Woehr and Graziano, 2001), perhaps because the respondent fears being detected as a liar. Nevertheless, faking remains a concern, especially as fakers are liable to obtain especially high scores on desirable traits, and will thus be selected first for employment (Arthur et al., 2001).

Practical solutions include requiring additional corroborative evidence for high scorers (*e.g.*, from interview) and/or concurrent measurement of social desirability, although the latter technique may penalise job applicants who are exceptionally ethical and genuinely have few faults (Arthur et al., 2001). Another technique sometimes used is forced-choice response, where items require the respondent to choose between equally attractive or unattractive, alternatives, *e.g.*, 'My most important quality is being (a) confident or

(b) honest.' Unfortunately, forced-choice questionnaires introduce statistical dependence between scales, because acceptance of one set of qualities implies rejection of others. Items similar to the example would lead to an artifactual negative correlation between confidence and honesty.

This undesirable statistical property leads to many problems in applied use (Bartram, 1996; Matthews and Oddy, 1997), although some practitioners feel that the advantages of forced choice may sometimes outweigh the

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Table 2.5. *Two kinds of self-favouring bias identified by Paulhus and John (1998)*

Type of bias	Value	Motive	Self-deceptive mechanism	Self-favouring bias on
Exaggeration of self-worth	Agency	need for power	Egoistic bias	Extraversion openness
Conformity to social norms	Communion	need for Approval	Moralistic bias	Agreeableness conscientiousness

disadvantages (Baron, 1996). Saville and Holdsworth, for example, publish a forced-choice version of the OPQ, for use in situations where pressures to dissimulate are high.

In clinical contexts, the opposite problem applies. People may be motivated to fake disorders, for example to avoid criminal responsibility or to avoid military service. Again, there is evidence that normal individuals can at least sometimes succeed in faking disorders (Lanyon and Goodstein, 1997). Thus, questionnaires often include scales that aim to detect deliberate malingering or faking of psychiatric symptoms. These scales, included in both MMPI and NEO-PI-R, are quite successful in differentiating genuine clinical patients from normal subjects instructed to fake pathology (Berry et al., 2001; Bagby et al., 2002).

Self-deception. People are also prone to 'self-deception': attributing to themselves desirable characteristics they do not actually possess, like being invariably honest. People may also be defensive, in denying that they possess unattractive qualities. Moderate self-deception may even be healthy in promoting a positive self-image. However, narcissistic individuals appear to have a highly exaggerated sense of self-worth, that grades into personality disorder (Paulhus and John, 1998). These authors argue that self-deceptive traits are best treated as substantive personality traits that may be investigated in their own right as possible predictors of applied criteria. They may also partially overlap with the Big Five; narcissistic people tend to be disagreeable extraverts, for example. The Self-Deceptive Enhancement Scale (Paulhus, 1998) aims to measure the unconscious bias towards favourable self-promotion. It partitions bias into two subscales, one for self-

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enhancement, and one relating to denial of faults. Paulhus and John (1998; Paulhus, 2002) also claim that deliberate impression management also breaks down into factors related to accentuating the positive (*e.g.*, bragging) and minimising the negative (*e.g.*, defence of one's good name). Paulhus (1998) developed an Impression Management scale that measures such purposive self-distortions. Conscious and unconscious distortion may then relate to two basic motives or values, as represented in table 2.5.

Paulhus (2002) provides the most sophisticated account of self-deception yet proposed, but so far it has inspired limited empirical research. More work has been done on *repression*. Subjects with high social desirability but low trait anxiety are sometimes characterised as 'repressors', who may be unconsciously suppressing anxiety and negative self-beliefs (Weinberger, Schwartz and Davidson, 1979). Various studies (*e.g.*, Derakshan and Eysenck, 2001) support the notion that repressors, although generally low in state anxiety, display physiological and behavioural signs of anxiety in some threatening situations. However, such traits do raise measurement problems: the usual assessment of repressors in terms of two scales (social desirability, trait anxiety) designed for other purposes is inelegant, to say the least. Other work has focused on the measurement of defence mechanisms through projective tests, such as the TAT: such measures seem to have at least some validity as predictors of emotion and adjustment (Cramer, 2002). It remains to be seen whether unconscious styles of defence can be successfully measured by questionnaire.

2.8 DETERMINANTS OF PERSONALITY

Personality is the outcome of a continuous personal quality development process. The role of personality becomes clear in a particular situation. Personality is recognised in a situation. It is the result of personal quality interaction in a particular condition. The major determinants of personality of an individual are given below:

2.9 BIOLOGICAL FACTORS

Heredity: Heredity refers to those factors that were determined at conception. Physical stature, facial attractiveness, sex, temperament, muscle composition and reflexes, energy level, and biological rhythms are characteristics that are generally considered to be either completely or substantially influenced by who your parents were; that is, by their biological, physiological, and inherent psychological makeup. The contribution of

heredity to personality development is vividly clear for developing external appearance, behaviour, social stimuli, self inner awareness, organising traits, etc.

Brain: Brain has a great impact on personality. The psychologists are unable to prove empirically the contribution of human brain in influencing personality. Father and children generally adopt the same type of brain stimulation. The differences are caused by environment. Electrical stimulation of brain (ESB) and split brain psychology (SBP) are the outcome of genetic transmission. They are helpful in moulding employee's behaviour. ESB is used for motivating employees towards better performances. Managers are trained to use SBP for mobilising employees for proper behaviour.

Physical Features: Perhaps the most outstanding factor that contributes to personality is the physical stature of an individual. An individual's external appearance is proved to be having a tremendous effect on personality. For example, the fact that a person is short or tall, fat or thin, handsome or ugly, black or whitish will undoubtedly influence the person's effect on others and in turn will affect the self-concept. A person's physical characteristics may be related to his approach to the social environment, to the expectancies of others, and to their reactions, to him. These in turn may have impact on personality development.

2.10 ENVIRONMENT

Cultural Factors: The accepted norms of social behaviour are known as culture. Culture was traditionally considered as the major determinant of an individual's personality. The way in which people behave with others and the driving force of such functions are considered significant components of culture. The ideology of the culture is imitated by the following generations. The personality attributes of independence, aggression, competition and cooperation are the outcomes of cultural interaction.

Religion: Religion plays a significant role in shaping one's personality. Hindus have different personalities from those of Sikhs and Muslims. Children in Hindu societies learn from the very beginning about hard work and god-fearing attitudes. Christians are open, independent, and cooperative.

Family: Children learn from their parents, sisters and brothers. Family is the first factor affecting personality development, after hereditary characteristics are endowed. Rich people have different personalities from those of poor. Children nurtured under a warm, loving environment are positive and active as compared to children neglected by their parents.

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Parental Influences: The positive and negative personalities of children are dependent on their parents characteristics and mutual behaviour. Children develop negative personalities if their parents don't have good relationship. Proper parental guidance to children makes them active and efficient.

2.11 SITUATION

Situation further influences the effects of heredity and environment on personality. A individual's personality, while generally stable and consistent, does change in different situations. Different demands in different situations call forth different aspects of one's personality.

It has been observed that many arrogant and indisciplined employees become humble and disciplined in a particular situation. Those having a criminal background may become powerful and strong administrators, dominant politicians, etc.

SUMMARY

- Performance research is also of considerable applied relevance, in that trait measures may be used to predict a person's competence in a particular job or activity.
- Cognitive psychology tends to focus on the minutiae tasks and performance indices, so that it is best suited to explaining personality effects within specific paradigms, rather than offering the broad sweep provided by arousal theory.
- In occupational settings, impression management is directed towards presentation of the traits the job applicant thinks are required for the job.

REVIEW QUESTIONS

1. What is the personality assessment?
2. What is performance studies and trait theory?
3. What are different theories of personality and performance?
4. What are the principles of trait assessment?
5. What are the different determinants of personality?

FURTHER READINGS

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UNIT 3 TRAINING

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★ STRUCTURE ★

- 3.0 Learning Objectives
- 3.1 Introduction
- 3.2 Role, Need and Importance
- 3.3 Developing an Integrated Approach of Learning
- 3.4 Process of Learning
- 3.5 Types of Training
- 3.6 Learning Principles and Conditions
- 3.7 Sequencing the Training Material
- 3.8 Readiness of the Learner
- 3.9 Ways of Learning
 - *Summary*
 - *Review Questions*
 - *Further Readings*

3.0 LEARNING OBJECTIVES

After studying this unit, you will be able to:

- describe the concept, role, need and importance of training.
- explain developing an integrated approach of learning in Training Programme.

3.1 INTRODUCTION

Training is, the most important function that directly contributes to the development of human resources. This also happens to be a neglected function in most of the organisations. Recent surveys on the investments made by Indian organisations on training indicate that a large number of organisations do not even spend 0.1 per cent of their budget on training. Many organisations do not even have a training department. If human resources have to be

developed, the organisation should create conditions in which people acquire new knowledge and skills and develop healthy patterns of behaviour and styles. One of the main mechanisms of achieving this environment is institutional training.

Training is essential because technology is developing continuously and at a fast rate. Systems and practices get outdated soon due to new discoveries in technology, including technical, managerial and behavioural aspects. Organisations that do not develop mechanisms to catch up with and use the growing technology soon become stale. However, developing individuals in the organisation can contribute to its effectiveness of the organisation.

Such development, however, should be monitored so as to be purposeful. Without proper monitoring, development is likely to increase the frustration of employees if when, once their skills are developed, and expectations raised, they are not given opportunities for the application of such skills. A good training sub-system would help greatly in monitoring the directions in which employees should develop in the best interest of the organisation. A good training system also ensures that employees develop in directions congruent with their career plans.

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3.2 ROLE, NEED AND IMPORTANCE

Improvement of training in organisations requires paying attention to some critical dimensions. The role of training for development of people and organisations has been discussed separately in detail, including pre-training work, curriculum development, selection of methods, building a training establishment and post-training support and follow-up (Lynton and Pareek, 2000). However, a few important dimensions which require special attention in organisations are discussed here.

1. Learning

The main function of training is to facilitate learning. The most effective learning is self-initiated and self-managed learning. Training should help in developing a culture of self-managed learning. In general, learning by discovery is more internalised and is longer-lasting than didactic learning from others. Below are suggested 15 different conditions to make learning effective. For this purpose, learning has been defined as "the process of acquiring, assimilating, and internalising cognitive, motor or behavioural inputs for their effective and varied use when required, and leading to enhanced capability of further self-monitored learning".

1. Authentic and open system of training institution or the place of learning.
2. Non-threatening climate.

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3. Challenging learning tasks.
4. Collaborative arrangements for mutual support of learners.
5. Organisation of graduated experiences of challenging successes.
6. Mechanisms for supportive and quick feedback.
7. Opportunities to practise the skills learnt.
8. Opportunities to apply learning.
9. Opportunities for and encouragement to self-learning.
10. Opportunities for and support to experimentation.
11. Emphasis on learning through discovery.
12. Indirect and liberating influence by trainer/teacher through minimum guidance.
13. Trainer's/teacher's human values and faith in man.
14. Trainer's/teacher's high expectations from learners, and openness to examine own needs.
15. Trainer's/teacher's competence.

2. Pre-training Work

Unless attention is paid to the following pre-training work, training cannot succeed in developing people, groups, and organisations: proper identification of training needs; developing a strategy of development of people through training, including the rationale and criteria of who (which role occupants) should be sent for training, how many at a time and, in what sequence; the process of helping people to volunteer, and the departments to ask for training; pre-training workshop in some cases to raise the level of motivation of participants and finalise the curriculum; building expectations of prospective participants from training, etc.

3. Post-training Work

Equally important is what is done after the training is over. The training section needs to help the concerned managers to plan to utilise the participants' training, and provide the needed support to them. Post-training work helps in building linkages between the training section and the line departments. Follow-up work by the training section is critical.

4. Expanding the Training Concept

The concept of training has to be widened and training should include not only programmes involving face-to-face classroom work, but should also include other ways of providing information and giving necessary skills to

people in an organisation. In fact, getting people together in a group for giving information which can be given in some other form is a waste of resources. Moreover, the organisation cannot afford to provide the necessary information and skills on all aspects to all those who need it, by using the classroom model of training. Self-instructional packages and manuals of various kinds can be very rich and useful resources of training, even without collecting people at one site.

For example, all those who join the organisation should know about the budgetary processes and the concept of transfer price. If a self-instructional book is prepared on this subject, this can be given to anyone who joins the organisation so that he gets familiar with this concept and can understand the whole process of all the negotiations taking place in the company. It may, therefore, be recommended that a list of areas in which such self-instructional material can be prepared should be developed. This may include the new sales tax rules, new environmental changes, basic financial problems, calculating contribution, etc. Similarly, manuals of simple office procedures, leave rules, various personnel practices, etc., may also be prepared. However, the immediate superior officer may help the employees by calling them for dialogue and further clarifications after the employees have learnt through such self-instructional books.

5. Preparation of Training Materials

There is a great need to develop more training materials. Unfortunately, most of the training programmes use only the lecture method. While the lecture method itself needs improvement through use of small group discussions, etc., new training materials need to be developed. These will include simulation exercises and games, role play cases and material, cases and incidents, practical work manuals, tests and instruments, and self-instructional materials. Preparation of such material involves large investment of money, time and energy. But it is still worthwhile, and will have much higher pay-off than the cost of the investment. In some cases an Organisation can get help from outside experts in the preparation of such material, especially simulation exercises and games, role plays, cases, and self-instructional material.

3.3 DEVELOPING AN INTEGRATED APPROACH OF LEARNING

Training is not fulfilling its proper role in various organisations. There are, at least, the following five reasons for the plight in which training is at present.

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1. Call-girl Role

The training unit organises training events on the initiation or suggestion of the persons who matter in the organisation. Training plays a reactive rather than a proactive role. Instead of being a partner in the process of development of the organisation, it merely responds to requests made to it. This essentially reduces its effectiveness. This plight is largely shared by the outside consultants and trainers who are invited to do a particular training programme, or even to give one or more talks on specific topics. But this is also true of the in-company training function. While talking to persons in charge of training in various organisations, one gets the impression that they do not have enough opportunity in the organisation to innovate and suggest ways of developing it.

So far training has been treated either as a feudal wife or as a call-girl rather than a modern housewife. The role of the wife in the feudal society was to decorate the home and bear children, but not necessarily be a life partner in enjoying life, or sharing problems. A call-girl is invited when she is needed and she also does not participate in the vital decisions of a man's life. Similarly, taking either analogy, training is not able to fulfil the obligation of being really effective in an organisation. Training has to become comparable to a real housewife, by not only responding to the needs of the organisation, but by determining these needs and being a partner in the process of development. Unless training is treated as a partner in decision making, it cannot play the role of contributing to organisational effectiveness.

2. Expectancy of Peripherality

By and large there seems to be a general feeling in the organisation that training is a peripheral activity rather than a central one. In many organisations training is more decorative than functional. Some organisations start a training department in order to look modern, while in some organisations training performs the role of the family priest. This role is enjoyed by the training sub-system also. The family priest mainly helps in the performance of religious rituals appropriate to the caste of the family. He also gives pious advice, often to be merely heard and not necessarily acted upon. He, however, is not involved in any vital decisions taken by the family. Training therefore is often regarded as a useful but not a very essential activity in the organisation. Other functions such as production, marketing, personnel, and finance are very central and important, and compared to these functions training is only of secondary importance. This concept of training as a non-essential or a peripheral activity produces several effects in the organisation. It produces a different sense of priority for training in the organisation. The personnel connected with the training activity have a low self-image, and cannot operate with confidence.

3. Low Status

Since training is regarded as peripheral, and since it is treated as a service department, only responding to the various demands of the organisation, it is unfortunately given rather a low status. This is a vicious circle. No activity can become central in an organisation unless the organisation expects that activity to be important and gives it high enough status. On the other hand, the status is also a function of the activity being central. The low status of training is reflected in the level at which the TM is being recruited in the organisation. In most organisations he is at such a low level that it becomes difficult for him to assert himself and to be heard with respect. Unfortunately, in Indian organisations status and grade play an important part in deciding how much say a person would have in the organisation. Low status of training, therefore, limits its effectiveness considerably.

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4. Non-professional Image

Training is becoming a profession. Although it has not been completely professionalised, it has developed its own techniques, and is fast emerging as a profession. However, organisations in India still do not treat training as a profession; in fact, they do not take it seriously. Training is seen as a function which can be managed by anyone who is good in the main activity of the organisation. As a result, people appointed to manage training may not have the necessary professional skills which TMs would be required to have. In some cases those who are found to be less efficient and effective in other functions are transferred to the training function. Such practices reflect the attitude of the management towards training. The example is cited of one organisation in which the training system is fairly large. Discussions with persons in various parts of the organisation revealed that they were recommending or nominating those persons for appointment as trainers whom they did not find very useful. In some cases the transfers of people to the training units and back to operations were very frequent. Those who were not trainers were not given any orientation or training before being made to take up their new roles as trainers.

5. Slow Professionalisation

One factor for which we, those who are in the field of training, are responsible is the slow speed with which we are professionalising training in India. Each profession has its own system of preparation of those persons who want to join it. It develops its own skills of working, its own techniques, and its own standards of ethics. It develops a strong pressure group to ensure that the minimum standards of pre-professional and in-professional training are

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maintained. The establishment of the Indian Institute of Management and the Indian Society for Training and Development has helped in developing training as a profession. However, the aspirations of training personnel are so low, and their behaviour so different, that they project a weak image of training. They only respond to the needs of the organisation, rather than thinking of ways of transforming their role into a more central one. We need to do a great deal in developing training as a profession.

Because of these and some other factors the role of training has remained rather peripheral. It is necessary that it is transformed into a more active and effective tool for helping the organisation solve some of its problems. Training has to become more proactive.

3.4 PROCESS OF LEARNING

Turnaround in thinking on training is already evident - that it must move from periphery to the centre, from being a service function to partnership in the main task of the organisation. In a recent study of HR reengineering at 34 large US companies 69% respondents mentioned "repositioning of HR as a strategic business partner with the management" as a re-engineering goal. The same is true of training.

Training is concerned with increasing organisational effectiveness. So far the approach of training has been to offer/organise training for specific competencies. The movement is in the direction of training becoming more proactive, and contribute to strategic thinking of the organisation. This swing is sometime seen as abandoning the previous position and taking a new one. Repositioning does not mean taking an "either or" position. Repositioning involves expanding the role and emphasising the strategic role, of training. While the strategic role is important, the other roles are not to be neglected.

Training should attend both to the current as well as the future needs. The current perspective is more operational, while the futuristic perspective is strategic. The other dimension relevant for the role of training is that of content vs process. While the former emphasises the development of specific competencies, the latter is concerned with developing learning and empowering capability. If we combine these two dimensions, we get four training modes as shown in Exhibit 3.1.

		PERSPECTIVE	
		OPERATIONAL	STRATEGIC
CONTENT	Concerns	TRAINING	RESEARCH
PROCESS		CONSULTING	CHANGE MANAGEMENT

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Exhibit 3.1. Training Modes.

All the four modes of training are important. However, increasingly training must move towards transformational and strategic roles. Exhibit 3.2 shows the foci, objectives, and postures, for these four training modes. We shall briefly discuss these, taking the four main roles of training.

		TRAINING	RESEARCH
Content	Focus	Current Role	Multiple Roles
	Objective	<u>Role Effectiveness</u>	Org. Effectiveness
	Posture	Implement	Provide input
Concern			
		CONSULTING	CHANGE MANAGEMENT
Process	Focus	Teams	Leadership
	Objective	<u>Synergy</u> (Team Building)	<u>Transformation</u>
	Posture	Help	Partner

Exhibit 3.2. Training Modes in Details.

Training Role: Training system should develop needed competencies for various role occupant. The emphasis is on making the current roles in the organisation more effective by equipping people occupying these roles with the needed competencies. Training takes current strategy and implements it in terms of development of needed competencies. The trainers should deliver good training. And to do this they themselves must have the relevant technical competencies.

Research Role: In order to move in the strategic direction, trainers need to search what competencies are needed and will be needed in the organisation. Training then assumes two more functions: searching future competencies, and developing them. Since the narrow boundaries of roles are breaking down, a person should develop flexibility to perform various roles. Multi-skilled workers is a good example of such effort. This becomes the first

essential step for developing autonomous work groups and self-managed teams. The trainers, who function as researchers, need to develop their deep insight into organisational needs and process. Trainers should develop research competencies, especially those of action research.

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Consulting Role: Greater emphasis on organisational effectiveness, rather than only on individual role effectiveness, will require more group process-orientation of trainers. Development of effective teams influence both the effectiveness of the individual team members as well as organisational effectiveness. The emphasis is synergy building, thereby enhancing effectiveness of each member. This can be done if the trainers advance with their research competencies into a consulting role - - analyse problems, develop and use interventions involving concerned line people to deal with the problems, help in implementing the agreed action plan, and support it to stabilise the decisions. This is one step further in contributing to the strategic process. Training is then seen as a useful function for developing organisational strategy. Trainers should develop both sharper understanding of the organisational strategy, and consulting competencies to play this role effectively. Training function should be used more frequently for international consulting. Trainers then will also develop more hand-on experience, which will make training more realistic and relevant.

Change Management Role: This is the real strategic partnership role. The focus of training is to develop leadership at all levels in the organisation - the ability of strategic thinking, taking responsibility, creativity to find alternative solutions, and empowering others. The objective is to transform the organisation, to make paradigm shift if needed. Training then becomes a true strategic partner. This is not possible without involvement of the trainers in the main business of the organisation, and gaining relevant business knowledge.

Translating Business Strategy into Training Terms

Successful implementation of the business strategy of an organisation will require some competencies. Business strategy indicates the broad direction for the future movement of an organisation, and preferred ways of doing so. For successful implementation, the organisational tasks must be translated into various functional terms: marketing, financial, technology, human resources, training etc. This helps to make strategy formulation and implementation participative.

The overall organisational or "business" strategy should provide the framework for developing the training strategy to facilitate effective implementation of the strategy. It will include detailed approach to be adopted, competencies to be developed (in what thrust, evaluation etc. Training strategy thus prepared may be reviewed by all the functional leaders preparing the

strategies which must be integrated into the main strategy for better synergy.

Another way to translate business strategy into training terms may be to develop strategies for key decisions taken by the organisation. For example, if cost reduction is one of the elements in the business strategy, training may develop ways of advancing this concern and achieving concrete results. In a study of 34 large US companies, for example, 78% HR professionals listed "cost reduction" as a top goal.

Training goals get closely linked with business goals. By maintaining an independent strategy, training may send a signal that is not connected with the other functions. Regarding HR, one participant in the study said "If I had to do it again, I'd build HR strategies directly into business strategies and make them seamless".

Working More Closely with Line Managers

People dealing with training should work more closely with line people. They are already working with line people in the areas of coaching, counseling, training, strategy planning for the departments etc. When cross-functional task forces and implementation teams are set up, training people should join these. Similarly, when teams are set up to discuss training issues etc., line people should be invited as members. Such close working together may help in integrating training with the various business groups, and making training a strategic partner.

Rosow and Zager have made some recommendations to forge stronger links between training and business strategy (Exhibits 8. 4 & 5). The partnership in training should be based on value-added partnership of the trainers and training system. As strategic partners training people should raise serious discussion on how organisational strategy should be developed, and how it can implemented faster. Effective partnership comes out of professional competence and credibility.

3.5 TYPES OF TRAINING

Induction Training

Induction training is important as it enables a new recruit to become productive as quickly as possible. It can avoid costly mistakes by recruits not knowing the procedures or techniques of their new jobs. The length of induction training will vary from job to job and will depend on the complexity of the job, the size of the business and the level or position of the job within the business. The following areas may be included in induction training:

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- Learning about the duties of the job.
- Meeting new colleagues.
- Seeing the layout the premises.
- Learning the values and aims of the business.
- Learning about the internal workings and policies of the business.

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On-the-job Training

On the job training occurs when workers pick up skills whilst working along side experienced workers at their place of work. For example this could be the actual assembly line or offices where the employee works. New workers may simply “**shadow**” or observe fellow employees to begin with and are often given instruction manuals or interactive training programmes to work through.

Off-the-job Training

This occurs when workers are **taken away from their place of work** to be trained. This may take place at training agency or local college, although many larger firms also have their own training centres. Training can take the form of lectures or self-study and can be used to develop more general skills and knowledge that can be used in a variety of situations, *e.g.*, management skills programme.

The respective advantages of on-the-job and off-the-job training are summarised below:

On-the-Job Training	Off-the-Job Training
<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Cheaper to carry out. <input checked="" type="checkbox"/> Training is very relevant and practical dealing with day to day requirements of job. <input checked="" type="checkbox"/> Workers not taken away from jobs so can still be productive. <input checked="" type="checkbox"/> Employees who are new to a job role become productive as quickly as possible. 	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Learn from specialists in that area of work who can provide more in-depth study. <input checked="" type="checkbox"/> Can more easily deal with groups of workers at the same time. <input checked="" type="checkbox"/> Employees respond better when taken away from pressures of working environment. <input checked="" type="checkbox"/> Workers may be able to obtain qualifications or certificates.

3.6 LEARNING PRINCIPLES AND CONDITIONS

At the heart of training is the learning process. In choosing or developing instructional methods and media and in arranging training programmes, the trainer must be intimately concerned with the impact that they will have on the ease with which the target population acquires new knowledge and skills. If trainers are going to be able to arrange the training environment in a form which is conducive to learning then they need more than a superficial and a passing acquaintance with the principles and conditions of learning. The purpose of this chapter is to provide, to an extent, for this need. A brief overview and introduction to the topics and issues that will be covered is set out below:

- **Sequencing the training material:** An obvious but often neglected consideration when a training programme is being designed is the sequence in which the training material should be covered. The ordering of certain kinds of training content will make a critical difference to the ease of learning. Some sequences of material result in more effective learning than others.
- **Readiness of the learner:** A number of factors influence the learner's readiness to learn. Their basic capacity for learning in general and their specific aptitudes or trainability in respect of certain forms of training content undoubtedly will be critical. Equally important will be the trainees' initial and on-going levels of motivation. These may be affected by their needs, previous background and experiences and current emotional and physical states.
- **Learning conditions:** The trainer needs to be aware of the ways in which people learn and how conditions of learning can be arranged to aid the learning process. In particular the trainer must know how the organization of the learning material and actions by the trainer and the trainee will influence positively the attainment of different forms of training content. In addition, the conditions that facilitate transfer of learning and prevent or reduce forgetting and skill loss also must be identified.
- **Influence of the material to be learned:** Closely linked with learning conditions is the influence that the material to be learned should have on the arrangement and organization of the learning conditions.
- **Individual differences:** There are a number of individual differences that have an important impact on the processes of learning. Apart from certain obvious differences such as intelligence, aptitudes, age and previous

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learning experiences, in recent years other differences have been seen to have an important bearing on the ease of learning. These include personality factors and individual learning styles.

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3.7 SEQUENCING THE TRAINING MATERIAL

A basic consideration in the design of training is concerned with the sequencing of the subject matter. Appropriate sequencing contributes to the ease and enhancement of learning. The 'laws' of sequence (*i.e.*, progressing from easy to difficult, simple to complex, known to unknown etc) have general application in this area. In addition, ensuring that the learning material follows some logical and rational order also will aid subsequent recall.

However, to identify a suitable sequence in any specific situation may require further careful analyses and observations of performances which distinguish between expert and naive performers, together with empirical testing and consequent revision of sequences. The relevant forms of analyses needed to undertake this kind of exercise have been introduced already. For example, hierarchical analysis and algorithms should provide information for sequencing procedural tasks. In the cognitive domain (*i.e.*, areas of knowledge, comprehension and intellectual skills), topic analysis should help the trainer to develop learning hierarchies which identify learning prerequisites and hence the sequence in which they need to be learned. An analysis of a complex motor or physical skill may reveal prerequisite part-skills that could or should be learned separately which subsequently must be combined in some 'natural' and rational order.

In the social interpersonal domain, certain basic skills may need to be acquired concurrently, *e.g.*, listening, questioning and complimentary non-verbal behaviour. Accumulative experience and collective wisdom also suggests that the learning of more intimate and sensitive social skills, such as those associated with counselling, should follow rather than precede the acquisition of the foundation or basic skills.

3.8 READINESS OF THE LEARNER

The readiness of a trainee to acquire new knowledge and skills can be examined from several different perspectives: intellectual, motivational, emotional, attitudinal or physical. Although these components of readiness

will be dealt with separately, in reality they often interact, resulting in either positive or negative consequences for the trainee and for the trainer.

From the intellectual perspective the trainer already should have assessed the trainees' level of prerequisite knowledge and skill, general potential capability or special aptitudes relating to the intended training content. This will have been done through a review of the trainees' educational and occupational background or through the application of diagnostic or psychological tests. For example, engineering trainees might have been expected to demonstrate mechanical and spatial aptitudes to a reasonable level before embarking on their training, whereas for commercial apprentices verbal, clerical and numerical aptitudes might have been seen as more appropriate.

However, intellectually, the trainees bring more to the training situation than simply their general or specific abilities to learn the material presented. Past training and educational experiences may have assisted them to learn how to learn, that is, to acquire learning strategies that enable them to assimilate new subject matter and develop skills more readily. Several researchers in the training field have investigated how to improve the process of learning. Downs and Perry (1982, 1984) have established short training courses to help trainees to improve their capacity to learn how to learn.

In one of their programmes young trainees were introduced to exercises which were designed to improve generally their ability in memorization, in understanding and in doing things. In another training workshop for supervisors, who were responsible for carrying out training, a checklist of some of the dos and don'ts for improving learning to learn skills was developed and it is reproduced in Figure 3.1 to give a flavour of what Downs and Perry are advocating.

By and large, learners who acquire 'learning to learn skills' become more active learners who are prepared to take a greater responsibility for their learning, who develop habits of learning and concentration and an openness to novel experiences that make them more flexible in their approach to new training challenges. In addition Mumford (1986) has suggested that, in relation to managers, there are a number of specific benefits of learning to learn.

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Don't Show that all your trainees have a contribution to make	By Making sure that you take notice of their views
Don't Make things too easy	By Doing the difficult parts for the trainees
Do Make them seek help when they need it	By Not rushing in with help too soon
Don't Do it for them when they ask for help but encourage them to work it out for themselves	By Giving them clues or hints
Do Encourage trainees to identify and correct their own mistakes	By Providing models and guiding them with questions
Don't Make the learning too easy	By Breaking it into small parts. Get them to break it up for themselves
Do Allow them time to work something out for themselves	By Giving them pondering time. If they feel pushed for time, they may become stressed
Don't Give unrealistic feedback	By Giving undue praise or overcritical comment
Do Develop the trainees' interest in learning to do things for themselves	By Discussing with them how they intend to go about learning something
Don't Belittle your trainees' attempts at learning	By Laughing at them or comparing them unkindly with others
Do Develop the trainees' awareness of how to assess what they have done	By Getting them to check their own work and assess it for quality
Don't Give tasks which are too easy or too hard	By Selecting a task which is inappropriate to their previous experience
Do Make your trainees realize that practising is necessary for both consolidating learning and gaining skill	By Encouraging them to do things a number of times giving careful attention to any mistakes they make

Fig. 3.1. *Some dos and don'ts for developing learning skills.*

These include:

- an increase in the capacity of individuals to learn;
- a reduction in the frustration of being exposed to inefficient learning processes;
- an increase in motivation to learn;

- a recognition that unwillingness to learn from one particular activity cannot be generalized as an unwillingness to learn from anything;
- the reduction of dependence on a tutor;
- the provision of processes which carry through beyond formal programmes into on-the-job learning.

An additional benefit highlighted by Perry and Downs (1985) is that individuals who initially are poor learners can learn to use effectively those strategies employed by better, more efficient learners. Another feature of the readiness of the learner which is closely linked to learning to learn has been emphasized by Stuart and Holmes (1982) in the context of discussing successful trainer styles. They put forward the view that the trainer has to adjust his or her style, *i.e.*, trainer directive and relationship behaviours, to 'the maturity a learner displays/demonstrates in the context of a particular learning situation'. Learner maturity is defined by them in terms of:

- capacity to set high but attainable learning goals;
- willingness and ability to take responsibility for their learning;
- educational and/or previous experiences.

The latter would be influenced strongly by the methods and approaches adopted and how successful or unsuccessful these activities had been for the individuals concerned. These, in turn, influence their attitudes towards, and expectations of, the forthcoming learning event. According to Stuart and Holmes, if learner maturity is low then a more directive or trainer-centred style might be appropriate. However, as the learner becomes more mature then the trainer directive and relationship behaviours also should be changed (see Figure 3.2).

It can be seen that the learning to learn approach and strategies referred to above are a way of changing the learner situational maturity from low towards moderate and to high levels. This suggests that if a trainer introduces trainees at the outset to some form of learning to learn programme then, for subsequent training tasks, the trainees' learner situational maturity may start at a higher level and the trainer must be sensitive to such a possibility and react accordingly. Another vital influence that will affect the readiness of trainees to learn is their motivational level on entry to the training programme. Motivation of trainees during the course of a programme will be examined in the next section.

There is abundant anecdotal and research evidence to support the notion that learning is inhibited seriously if a trainee has no desire or is not motivated to learn. Motivation can be defined here as that which energizes, directs and sustains behaviour or performance. There are a number of factors that will influence whether or not this 'active, purposive and goal-directed behaviour'

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is forthcoming. To assist with the identification of the most important of these factors and to aid the general discussion on motivation in the training context, reference will be made to a model of motivation illustrated in Figure 3.3. The first feature of this model that must concern the trainer relates to the trainees' needs. Such needs can be classified under the following headings:

- **Physical:** sexual, nutritional
- **Safety :** support, security

Trainer directive behaviour	Learner situational maturity	Trainer relationship behaviour
Directing, order, tell the way		Distance, maintain remoteness
Setting, persuade, 'get on board'	Low	Recognizing, acknowledge accord, notice
Guiding, advise, show the way		Supporting, prope up, carry the weight
Prompting, incite, prime		Sustaining, nourish, keep from falling
Consulting, seek information and advice	Moderate	Responding, show sensitivity to
Helping, assist, aid		Encouraging, urge, make bold
Releasing, set free, 'make over to'		Withdrawing, pull back from, discontinue giving
Resourcing, a stock to be drawn on	High	Respecting, having regard/esteem for
Participating, have a share in		Warmth, show affection/liking for
Collaborating, work in combination with		Mutuality, bear the same relations to other

Fig. 3.2. The qualitative range of trainer directive and relationship behaviour.

- **Emotional: individual:** control, independence, achievement, self-confidence, challenge, autonomy, approval

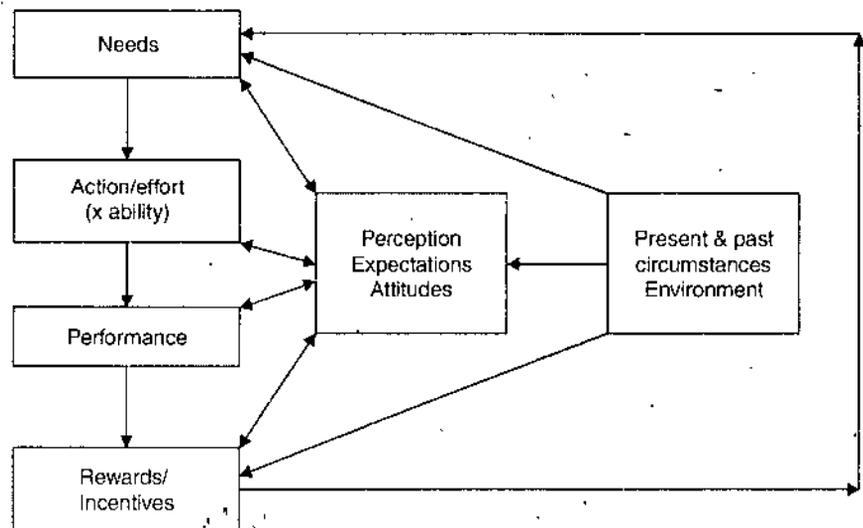


Fig. 3.3. Model of motivation.

- **Emotional: social** : acceptance, recognition, respect, status, appreciation, belonging
- **Intellectual** : curiosity, variety, stimulation
- **Self-actualization** : self-development, meaning, sense of purpose

In most situations it is very unlikely that the trainer will have to be too concerned with the physical needs of trainees, although nutritional deprivation could prove a problem in some circumstances. The other needs listed may be more or less important depending upon the psychological make-up of individual trainees and, in the case of security, the nature of the training. In addition, trainees may differ as to whether they are likely to be 'perfectly intrinsically motivated', 'perfectly extrinsically motivated' or 'imperfectly intrinsically motivated' (Mawhinney, 1979). McCormick and Ilgen (1985) define these terms as follows:

1. *Perfectly intrinsically motivated* People who really enjoy the activity and will work at it for the whole time period without needing any extrinsic reward to keep at it.
2. *Perfectly extrinsically motivated* Those for whom the task holds no interest and who will work on it only if forced to do so through the promise of extrinsic rewards.
3. *Imperfectly intrinsically motivated* Persons who enjoy the task for a while but not for the whole time that is allocated to it. Therefore, they work only up to a point, after which they will have to receive extrinsic rewards for working on it any longer.

Intrinsic rewards are related to the task to be learned; the trainee sees the task as interesting and meaningful and will gain intrinsic satisfaction from acquiring skill in performing it. On the other hand extrinsic rewards or incentives are independent of the task and include things such as money, promotion and career prospects, etc:

No matter what the circumstances, it would be unusual for any trainee to be 'perfectly intrinsically motivated' or, assuming that there has been some choice exercised in the selection of the target population, to be 'perfectly extrinsically motivated'. Therefore, in most training contexts, the trainer will need to evoke both intrinsic and extrinsic motivation in order to stimulate interest and effort. The trainer should highlight the potential short and long term, and intrinsic and extrinsic rewards or incentives that may be on offer, given satisfactory performance by the trainees. This in turn might help to satisfy the likely needs of the trainees.

The initial introduction to training will have an important bearing on the subsequent perception and attitudes of the trainees in a positive or negative direction and on their expectations of the current training. The trainees' past

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educational, occupational or instructional experience may have had an adverse effect on their outlook, which the trainer will need to counteract. For example, an unrewarding educational career may affect not only a trainee's attitude towards what he or she thinks they will get out of the training, but may also affect their self-confidence and self-perception. This in turn may create barriers to motivation and consequently to learning.

3.9 WAYS OF LEARNING

Essentially in this chapter two questions are being addressed: 'Why do people learn?' and 'How do people learn?'. The latter question is answered partially by considering the physical and mental activities in which human beings engage to bring about relatively permanent changes in their ways of behaving. In line broadly with the views of Bass and Vaughan (1966) it is suggested here that there are basically at least five such activities, which are associated with the human processes of seeing, listening, thinking and motor responses. These are explained briefly below.

Trial and Error

This is probably the simplest form of learning. The learner acts or behaves with the intention of achieving some result or end state. Each action that is perceived as leading towards this desired outcome is reinforced and, all things being equal, will be repeated on subsequent occasions. If a particular action or behaviour meets with a lack of success, or even punishing consequences, it is unlikely to be repeated and the learner then 'searches' for an appropriate alternative. By a series of trials, approximations and errors the learner may eventually discover the correct sequence of action.

Perceptual Organization

The learner perceives the total stimulus situation – cues, conditions, rewards, etc – and then organizes it or 'maps it out' into a comprehensible or understandable pattern that guides or directs his or her behaviour.

Behaviour Modelling

A great deal of human learning is a result of first observing how others have behaved, and have been rewarded or punished in particular situations, and then by attempting to imitate the correct or most appropriate performance or series of behaviours.

Mediation

Language, in oral or written form, is an intermediary or mediational process through which human beings acquire a great deal of what they learn during

their lifetime. The communication or language code may not only be in words but also in the form of symbols, diagrams or figures.

Reflection

This way of learning is closely associated with perceptual organization and may, in many cases, follow on from trial and error, behaviour modelling or mediation. It is, as Boot and Boxer (1980) point out, 'a process of thinking back on, reworking, searching for meanings in experience' or, as Boud, Keogh and Walker (1985) suggest, 'an active process of exploration and discovery' which involves 'thinking quietly, mulling over and making sense of experience'. Training in industry, commerce and the public sector employ all these forms of learning. And what has been learned in a particular context is unlikely to have come about because the trainee was engaged solely in one type of learning. The above forms of learning may tend to interact and combine to produce changes in knowledge, understanding, skill and attitudes. However, as will be seen later on, certain ways of learning will be more productive depending on the content of what has to be learned and on the inclinations, abilities and past experiences of the trainees.

SUMMARY

- Training is essential because technology is developing continuously and at a fast rate. *Systems and practices get outdated soon due to new discoveries in technology, including technical, managerial and behavioural aspects.*
- Business strategy indicates the broad direction for the future movement of an organisation, and preferred ways of doing so.
- Induction training is important as it enables a new recruit to become productive as quickly as possible. It can avoid costly mistakes by recruits not knowing the procedures or techniques of their new jobs. The length of induction training will vary from job to job and will depend on the complexity of the job, the size of the business and the level or position of the job within the business.
- The readiness of a trainee to acquire new knowledge and skills can be examined from several different perspectives: intellectual, motivational, emotional, attitudinal or physical. Although these components of readiness will be dealt with separately, in reality they often interact, resulting in either positive or negative consequences for the trainee and for the trainer.

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REVIEW QUESTIONS

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1. What is training?
2. What is the identification of training needs?
3. Discuss about the organising Training Programmes .
4. Give the overview of Evaluation of Training.
5. What are the different types of training?
6. What are the different learning principles and conditions in a training?
7. Write the short notes on
 - Sequencing the training material.
 - Readiness of the learner
8. What are different ways of learning?
9. What are different conditions of learning?

FURTHER READINGS

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UNIT 4 TRAINING NEEDS ASSESSMENT

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★ STRUCTURE ★

- 4.0 Learning Objectives
- 4.1 Introduction
- 4.2 Doing Needs Assessments
- 4.3 Approaches for Training Needs Assessment
- 4.4 A Training and Development Needs Assessment Model: TNA Cycle of Events
- 4.5 Training Design
- 4.6 What is a Training Design?
- 4.7 Implications of Training Models for Preparation of the Training Design
- 4.8 Steps in Preparing a Training Design
- 4.9 Conducting Training Programmes
- 4.10 Role of the Trainer as a Facilitator
- 4.11 Tasks of the Trainer in Conducting Structured Experiences
- 4.12 Evaluation and Monitoring of Training Programmes
- 4.13 Concept of Evaluation
- 4.14 Characteristics of Participatory Evaluation
- 4.15 What to Evaluate?
- 4.16 When to Evaluate?
- 4.17 How to Evaluate Training Programmes?
- 4.18 Monitoring
 - *Summary*
 - *Review Questions*
 - *Further Readings*

4.0 LEARNING OBJECTIVES

After studying this unit, you will be able to:

- explain determination of Training Needs.
- describe methods of conducting training and evaluation of training programmes.

4.1 INTRODUCTION

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Before training design issues are considered, a careful needs analysis is required to develop a systematic understanding of where training is needed, what needs to be taught or trained, and who will be trained. Unless such a needs assessment has been adequately performed it may be difficult to rationally justify providing training. Such a needs assessment should enable an explanation to be given on why the training activities should be done, and also show that training is, in fact, the best solution for the performance problem or development need.

A needs assessment can be an important tool for any trainer or organisation planning a programme or course. Accurate needs assessment can help develop a programme or course based on the real needs of the people that it is serving. As time is often limited in training programmes, courses which take learners' needs into account can ensure that what is most useful for learners is covered.

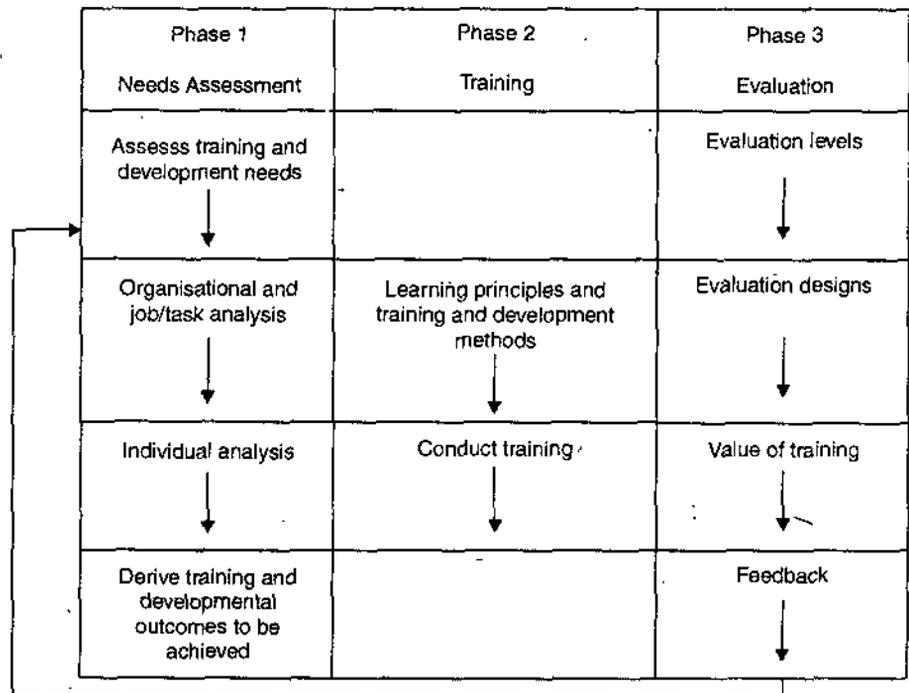


Fig. 4.1. General system model for people development.

A training needs assessment can be defined as determining the gap between what an employee must be able to do and what he or she can or is currently doing. A training needs assessment (also called a "training needs analysis") therefore identifies the gap between what the job expects an employee to do, on the one hand, and what the employee is actually doing, on the other. A training needs analysis discovers whether there is a discrepancy or conflict between what an employee ought to be doing and that which he or she can do.

How the job ought to be properly done

The gap

How the employee is doing or can do the job now

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“Ought to be properly done” indicates what someone is expected to do (the standard or level of performance). “Is doing/can do” is the way in which someone is doing some job now (currently). If the way in which I am filing or budgeting is not on the level that it is supposed to be, then a gap is formed. The gap is the difference between what I am doing now, while working, and what is expected of me, that is, the way in which a good public servant ought to be working.

Any job requires a person to meet certain standards. Standards are levels of expertise or skills one has to comply with to do a job properly. Whenever one does not meet the required standards, the need for training arises. Training based on such a need (or needs) will then aim to address that need, and by eliminating it, will supply the employee with the skills to do the job properly (*i.e.*, according to the standards set for that job).

What kinds of needs are there?

The individual needs may be personal, performance-related or career-related, and will include needs, amongst others for:

- updating knowledge, skills and job-related competences;
- increasing job satisfaction and the fulfillment of personal goals;
- making decisions about career choices and career progression;
- identifying personal strengths and weaknesses;
- identifying and achieving work values and work targets;
- developing communication, personal effectiveness and life skills;
- improving qualifications;
- individual learning and self-development;
- building self-awareness, self-confidence and motivation.

What perceptions do people have of these needs?

Education and training needs, as opposed to a basic needs such as the need for food, are often difficult and complex things to understand – for example, looking at the list above, think how complex a set of needs are present in a person wanting to build self-awareness, self-confidence and motivation! A further complication is that people may not be aware that they are in need.

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Hence trainers often talk of four different types of educational and developmental needs:

- felt
- expressed
- normative
- comparative.

Felt needs are the needs that people perceive themselves. Felt needs are often defined as being what people really want and that they consciously feel. However, felt needs are often likely to be constrained by what people perceive as being possible and available. Employees are more likely to buy into training programmes if they are seen as meeting felt needs.

Expressed needs are felt needs that are outwardly and publicly expressed or demanded. Sometimes, however, needs are expressed in less obvious ways, for example, if an employee feels his or her needs are not being met he or she may resign or ask to be transferred without clearly expressing or demanding the meeting of the needs in the current job situation. People may also express needs without really feeling that they are essential.

Normative needs are those seen as desirable against an external standard proposed by the organization or institution and are sometimes expressed in formal standards. Such standards represents a minimum level of adequacy (as defined by the employer or authority). If employees are found below this standard they can be defined as being in need.

Comparative needs are when individuals and organisations are compared with others. Those found to be lacking are then defined as being in need. This is similar to normative needs in that the needs are defined by employers or experts 'from above'.

The existence of these different types of needs raises important questions about who determines or ascertains training needs. Some of these questions include:

- What role does the trainer play in determining the needs?
- Do employees know what their needs are?
- Do employees know what their needs are but are unable to articulate them?
- Whose needs are most important?

If needs are accurately identified, does this mean that the trainer must meet them? One can immediately see what potential conflicts may arise in relation to needs. There may be conflicts between:

- the needs of different individuals;

- different institutional needs;
- individual and institutional needs.

In the public service, resolving such conflicts will be influenced by institutional priorities, budgetary constraints, national priorities for transformation, national priorities for education and training in the public service, local circumstances and strategic planning priorities. Clearly, decisions taken about meeting needs should be transparent and based on consultation with training committees, staff, unions and other relevant stakeholders.

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Personal Development Plans

The introduction of a personal development plan system will help to ensure that the principle of access and entitlement of all staff to meaningful training and education opportunities becomes a practical reality. In particular it helps allow needs to be expressed and made visible. Personal development plans will seek to identify in particular:

- the current competencies of staff (which will help to form the basis for an effective skills audit which will show which competencies need to be developed to enable staff to meet work and career targets);
- the work values of staff (*e.g.*, career progression, helping others, creativity, being skilled and respected in one's work);
- the work and career targets of staff.

On this basis individually tailored programmes of staff development, training, education and support (including internships, apprenticeships and learnerships where appropriate) designed to enable staff to acquire the relevant competences and meet their work targets and personal and career objectives.

Personal development plans can be drawn up in a negotiated way between the line manager/supervisor and the individual staff member, regularly reviewed, and formally appraised and updated on an annual basis.

Generally, supervisors who draw up personal development plans will require training and ongoing advice and support, in particular from the organisation's human resources specialists, who will also be responsible, together with *training committees*, for monitoring and evaluating the general operation and effectiveness of the personal development plan system.

4.2 DOING NEEDS ASSESSMENTS

A training needs assessment typically involves a three-step process that includes organisational, task and person analysis. However there are many ways of doing such a needs assessment/analysis. Lists of steps to follow and

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handy techniques for the assessor abound! Though such checklists are useful (and I will present some) I believe that what is more valuable is the attitude of the assessor, the way he or she asks questions and how well he or she really listens to what people are saying.

The approach you take in a particular situation will to some extent be dictated by the constraints and possibilities of that situation. For example, the method of collecting information in questionnaires clearly will be useful in some situations but not in others.

In this section, therefore, I will not start by giving you a set of steps to follow but rather what I believe are some important general guidelines for doing a needs assessment.

Some Guidelines on doing Needs Assessment

The following are seven basic guidelines:

1. Assess whether training needs (rather than other needs) are a priority.
2. Determine whose needs are being expressed.
3. Collect your information from as many sources, from as wide a base, and in as many and varied ways as possible.
4. Be careful about putting words into employees' mouths.
5. Check (and recheck) your understanding with the employees.
6. Don't stop at a superficial understanding of needs. What are employees telling you? Probe and question why they feel they need something.
7. Determine who can reasonably be expected to meet the needs (if indeed they can be met). Tell employees whether you can or cannot meet their needs.

Is the training need a priority? Trainers often assume that training need is the priority (Well they would wouldn't they!). When doing a needs analysis it is easy to capture the needs expressed by the most vocal of the group being consulted. If you are doing a needs assessment in a workplace unfamiliar to you it is easy to listen to the needs expressed by the person or people who are most 'public' and most accessible (and who may appear to be the 'leaders'). It is not so easy to find out the needs of the quietest person in a group or of those who are less visible. You need to make sure that all the potential trainees in a group are able to express their needs - not just the assertive 'high-talkers'!

Collect your information from many sources - a widespread base - and in a number of ways. Among those who can be consulted during a needs analysis are:

- the target group that is going to be trained is usually the main focus of the exercise - with the provision that the target group is not assumed to be homogeneous. It may will be made up of many different sub-groups.

- the training provider must also define the needs as they see or experience them. But be careful of their vested interest in discovering training needs!
- key individuals in the workplace, including those in management and supervisory positions, should be consulted.
- outside 'experts', that is people who have knowledge of the training service that is being provided, could be consulted. Other departments or divisions with similar aims and objectives may well provide useful input.

If you get your information in one particular way it is important to check it against other sources as well. For example if you obtain your information through discussion with a group of employees it may be useful to balance it with observation and written documentation. Employees may express a lack of skills in a particular area, but observation, for example, may show that the lack is not as bad as they think.

Social science researchers often speak about the principle of triangulation. This term originally comes from navigation and surveying in which positions and distances can be found using the known properties of triangles. If you know the length of the base of a triangle and the two base angles you can find the position of the third point of the triangle and the length of the other two sides. Social scientists use this term to mean simply that if you gather your information from several different sources you are more likely to ensure that the information is accurate.

It is also important, when collecting data, to look for what doesn't fit the pattern that you have established. Look for this divergent data (data that differs from what you have already got). This can help ensure that your information is representative of all the members of the target group and prevents you from seeing them or their needs in a superficial way.

Also pay particular attention to data that seems to go against the interests of those who provided it or against the popular wisdom on a particular problem. Such data may be of immense value.

There are many methods which can be used to collect information about needs. A distinction is often made between quantitative and qualitative methods. Quantitative methods collect data that can be counted or measured - it may be specific statements, figures and numbers. Questionnaires and surveys are examples of methods often used to gather quantitative information. Qualitative methods tend to be more context-bound and descriptive in nature. They collect data that is less easily counted or measured and often has a smaller area of focus. The perceptions and feelings of the people being interviewed often have an important place in qualitative methods and data. Informal interviews and observation are examples of qualitative methods.

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Simplistic distinctions are sometimes made between the two groups of methods. Quantitative methods are sometimes called objective, value-free, number-centred, and 'hard' versus the subjective, people-centred and 'soft' qualitative methods! The two methods, however, are not exclusive; you could use a combination of the methods according to your purpose.

However, whatever methods you choose should be chosen because they are the most appropriate. A method should never be chosen because it seems 'easier'. Many people make the serious mistake of assuming that qualitative methods are 'easier' because they do not (seem to) require numerical or statistical skills. In practice good qualitative research requires an extremely high level of skill and sensitivity.

Table 4.1: Some methods of needs assessment

Method	Description	Advantages	Disadvantages
Talking and listening to various people	Individual interviews	Can lead to openness; achieving a sense of individual needs; more detailed information can be obtained; all voices can be heard.	Emphasis on personal rather than general needs: can lead to over high expectations that individual needs will be met: takes time.
	Group interviews/discussion	Save time; allows for rapid response	Some people may dominate discussion and other may remain silent
Formal interview	Preplanned interview, usually done with an interview schedule	A lot of information may be gained	Person being interviewed may be inhibited; takes time
Questionnaire	Formal survey questionnaire filled in by the respondent. May be distributed by mail or e-mail.	May save time for the assessor; standardisation useful in large-scale surveys	Off-putting to many people; time-consuming to fill in; coding responses for open-ended questionnaires may be time consuming and difficult; unusable for illiterates or the poorly educated; mailed questionnaires often have a low return rate
Workshop	Designed (educational) event at which needs are assessed	Can allow for a detailed and thoughtful response	Time consuming; attendance may be unrepresentative; needs good planning skills

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Meeting	Usually a meeting called to discuss some problem facing the workgroup	May be possible to gain endorsement for a survey or programme	Attendance may be or unrepresentative; some people may be reluctant to participate and some people may dominate
Observation	Observation of the workgroup, target group, the provider in action	Information gained may be checked through other methods	Time consuming; what is observed may be difficult to interpret
Literature study	Read previous scholar research and literature on this particular need or situation. Look at indicators relating to that area or issue, for example relevant research or statistics to help understand the target group's needs more.	Can provide useful background information and make the assessor aware of other needs that he or she was not previously aware of	The needs of the educator's own learners may be different from those described in the literature; may reflect the ideological bias of academic researchers
Documentation study	Read documents (e.g., reports, minutes, etc.) to help understand the type of work that is being done and the community that is being served.	May provide valuable information and a good source of questions	The most important information may not have been documented; documents are created by literate people and they may not contain the views of the poorly educated

4.3 APPROACHES FOR TRAINING NEEDS ASSESSMENT

Needs assessment can be done at different levels as shown in the table below, though trainers typically are involved in needs analysis at the micro-level.

Table 4.2: Training needs Assessment

Level	Type of analyses	Details
Macro-level	Sectoral analyses	Identification of key skills shortage and assessment of relative importance of identified shortages in the sector.
Mesco-level	Organisational analyses	Examines company-wide goals and problems to determine where training is needed

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Micro-level	Task (job) analyses	Examines tasks performed and the knowledge, skills, attitudes and other behavioural aspects required to determine what employees must do to perform successfully.
	Person analyses	Examine tasks performed and the knowledge, skills, attitudes and other behavioural aspects required to determine what employees must do to perform successfully

Sectoral Level Needs Assessment

This involves the identification of key skills shortages and the assessment of the relative importance of the identified shortages to the sector. Skills shortages may seriously endanger the successful operation of an important economic/social activity, and are then regarded as training priorities for that sector.

Organisational Needs Assessment

This examines organisational goals, available resources, and the organisational environment to determine where training should be directed. This analysis identifies the training needs of different departments or subunits. Organisational training needs analysis also involves systematically assessing manager, peer, and technological support for transfer of training or workplace application of training. Supervisor and peer support for training helps to motivate employees entering training and increases the likelihood that they will transfer newly acquired knowledge, skills, attitudes and other behaviours to the job. For example, if an employee is welcomed back after a training programme by a manager who says, "Now that you've got that out of your system, I hope you're ready to get back to work", the employee is not likely to be highly motivated to use the newly learned skills back on the job. Thus, it is critical to conduct an organisational analysis before developing a training programme so that appropriate support for training exists.

Task Analysis

Task analysis examines what employees must do to perform the job properly. A job analysis identifies and describes all the tasks performed by employees in a particular job and the knowledge, skills, attitudes and other behaviours needed for successful job performance. If available, the results of a job analysis are very helpful in determining training needs.

Person Analysis

This identifies which individuals within an organisation should receive training and what kind of instruction they need. Employee needs can be assessed using a variety of methods that identify weaknesses that training

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and development can address. For example, assessments of employee knowledge, skills and attitudes can be obtained from the performance evaluation system or from a 360-degree feedback system that provides input for training and development activities. Objective data on accidents and job performance are often examined as part of the needs analysis, and written tests are used to assess employees' current job knowledge. Assessments of learner personality, ability, and prior learning experience are increasingly being used as part of the needs assessment process.

DOING A TASK ANALYSIS

A typical process of task analysis involves the following steps:

1. Identifying each task.
2. Developing a task statement that accurately describes that task.
3. Clustering groups of similar tasks (these clusters are usually more usable and manageable than myriads of individual task statements).
4. Identifying the more general knowledge, skills, attitudes and other behaviours required for the job.
5. Developing training that is enhances critical knowledge skills and attitudes derived from the task clusters.

Below is an example of the results of a task analysis done on train drivers:

Table 4.3: Task Clusters for Train Operators

1. Preoperation responsibilities	Preparing for operating the train for a given shift. This includes reporting for duty in a state of preparedness with proper equipment, and getting information from the bulletin board and/or dispatcher.
2. Preoperation equipment inspection	Checking the train for defects and safety, including checking brake system, gauges, and track under the train.
3. Train operations	The actual operation of a train in a safe and timely manner. This includes controlling the train in the yard or on the road, consideration of conditions such as weather, curves and grades, speed restrictions, and interpretation of warnings/signals.
4. Maintaining schedule	Activities associated with timely operations, including adhering to the time table and communication with personnel to prevent disruption of service.
5. Emergency situation activities	Identifying and reacting to emergency situations, keeping customers safe, communicating with the control centre, and troubleshooting mechanical difficulties.

4.4 A TRAINING AND DEVELOPMENT NEEDS ASSESSMENT MODEL: TNA CYCLE OF EVENTS

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A training and development needs assessment model needs to make explicit the:

- training programmes required and, to a large extent, their contents;
- training priorities;
- assumptions behind the choices and priorities;
- resources required;
- timing and implementation; and
- expected rate of progress and returns.

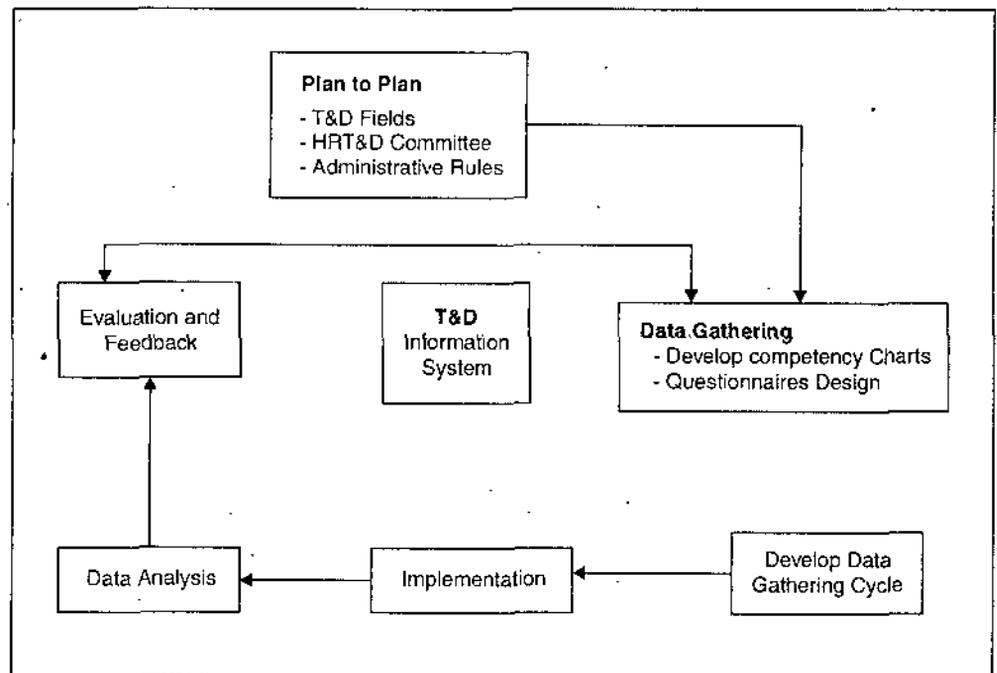


Fig. 4.2. Training and Development Needs Assessment.

The above model includes the following main elements:

- **Plan to plan.** This includes all preparatory activities required in order to establish the Training and Development Needs Assessment system.
- **Data gathering methods and procedures.** Includes the development of tools and techniques for the collection of data and information pertaining to the training needs.
- **Develop data gathering cycle.** This reflects the start of the steps by which the process is going to be implemented. It involves the Human Resources Development department and all other departments.

- **Implementation.** This is the actual execution of the needs assessment process, which include, among other things, the allocation of resources, timing and scheduling.
- **Data analysis and plan development.** This activity relates to the use of suitable data analysis techniques that facilitate data interpretation and drawing conclusions. It also includes the development of a training and development plan for the department.
- **Evaluation and feedback.** The assessment process should explicitly indicate how the outcomes are being evaluated in terms of whether the actual training and developmental needs and not wants have been identified. It also includes the proper feedback activities required for information dissemination within the system.

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Now we will look at the elements in model in more detail

Develop Training Needs Assessment Cycle (TNA Cycle)

Once the questionnaires are finalised, or during questionnaire development, the department, in cooperation with the HRD department and the Training and Development committee, should start developing an effective training needs assessment cycle.

Figure 3.3 below depicts a simple process that starts with the Human Resources development (HRD) department initiating the activity by sending the questionnaires to the Human Resources Training and Development (HRT and DC) members. In the second step these members administer the questionnaires, preferably through structured interviews. The questionnaires are then returned to the HRD department for analysis. The results are discussed with the HRT and DC members and a tentative list of programmes that covers the training needs of the various departments is developed. This tentative list is sent to the HRD department for study and prioritisation according to the workplace skills plan of each department. The list is then forwarded to the HRD department for final plan preparation and approval.

The HRD department should coordinate with both the training unit and the HRT and DC members to implement the training assessment process. The responsibilities of each of the parties involved in the process is shown in Figure 3.3.

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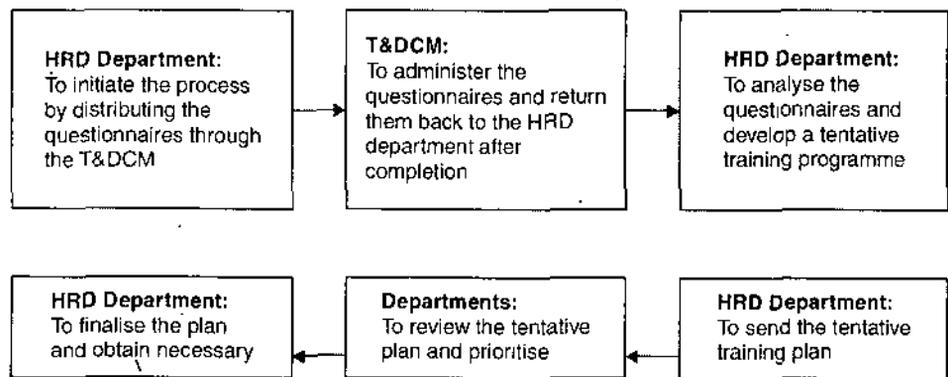


Fig. 4.3. Example of a training and development needs assessment cycle.

4.5 TRAINING DESIGN

You already know that training is an intervention that leads to change and development. At present, gender training is being increasingly used to guide the process of change and to prepare women (and men) for meeting the challenges and rising expectations. In order to perform this role effectively, the training needs to be carefully planned. The changes to be brought about in the goal; the specific participants; approach; the most promising training strategy in the setting and the methods that can actually be used are the key ingredients for any training programme. Clarifying training needs, defining training objectives, choosing a particular strategy, allocating resources, listing criteria for evaluating the effectiveness of training are the important inputs that have major implications for the success of any training programme. The opportunities and constraints need to be put to best use to strengthen the training programme. The primary objective of this Unit is to give you enough information and knowledge for doing this job *i.e.*, to plan your training programme effectively.

In order to do this, you need to know the key components *i.e.*, the programme objectives and priorities, training strategies and methods; participants' expectations; available resources and time, onward support etc. Training design attempts to ensure the best possible relationship and linkages between these various key components so that the programme runs smoothly.

4.6 WHAT IS A TRAINING DESIGN?

A 'design' of a training programme is a blueprint to show the entire programme at a glance and help us in thorough preparation. Designing is a crucial part of the training programme and an important responsibility of the trainer.

Traditionally the designing of a training programme was not considered an important job requiring much skill and time. It was equivalent to fixing up course content and syllabus and scheduling who teaches what and when.

Alternatively the course content was charted out in readymade modules and trainers only needed to mechanically select a module and identify appropriate resource persons. None of these approaches displayed any concern for the specific needs or expectations of a group of learners or the available resources, time, etc. Some trainers take this initial step very lightly because they feel they have considerable experience in conducting training programmes. However meeting the learning objectives of a group of learners is one of the most creative and challenging first steps in any training effort.

A training design attempts to relate identified measures in the policy and in its training strategy. It enables all to get a feel of the actions to take. It allocates responsibilities so that people are aware of what is expected of them and sets specific targets, aims and objectives. It also sets deadlines for the completion of objectives and specifies how and by whom each part would be measured and assessed. *The shape it takes is determined by the nature of training, size of the training group and its location.* It maps out a realistic timetable for completing various actions and stages. In fact, design of a training programme becomes a basis for its actual conduct. Ideally a design should contain training objectives; contents and their sequence; training methods; time plan for each session; identification of requisite learning materials and their resources; ongoing monitoring during the programme; post-programme evaluation and a broad plan for follow-up. You have to keep them all firmly in view from the very beginning and at each stage. Each of these components also requires choosing and detailing as well.

Proper design is crucial for the success of a training programme. Lack of thorough planning and careful administration can obstruct the most dynamic and potentially effective training programme. Even problems with administrative arrangements (such as inadequate stationery supplies, poor lunch facilities, faulty electronic equipment such as OHP) can adversely affect the training process and the overall participant response. The training environment is also of great significance and needs careful attention. Preparing a training design is the best way to meet training needs and avoid many potential pitfalls. More specifically, a training design would enable a trainer to:

- establish and formulate objectives of the training programme;
- determine the content/topics to be included in the training programme;
- choose the most appropriate training methods;
- decide the training/learning materials required;

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- determine the time duration required for each session and for the entire training programme; and
- assess if the set objectives have been achieved.

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4.7 IMPLICATIONS OF TRAINING MODELS FOR PREPARATION OF THE TRAINING DESIGN

The appropriateness of the training design and the relevance of the content would depend on the training model you choose. If the focus of the training is capacity building, the thrust of the training would be the individual self. However, if the thrust of the training is to prepare individuals for collective action, the training would proceed from individual self to the community. In the following discussion, the implications of the various models for the training design and sequencing of various events in a training programme have been described.

Self-to-Self

When the purpose of training is to develop competence of learners for performing their various roles skillfully, the individual self becomes of key importance. You may like to develop certain skills to increase their income generation capacity or improve their existing work patterns or change their prevailing attitudes. In such a model, the objective is to increase the levels of knowledge, awareness, skills so as to enable learners to be better informed, efficient and productive. The training design might thus intend to reach the individual learners according to the time and place convenient to them. The work procedures would be more individualized. Monitoring at regular intervals and feedback to participants to keep their personal motivation high would be the strategic features of such a training design.

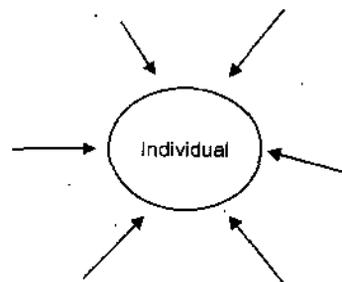


Fig. 4.3. *Self-to-Self Training Model.*

Self-to-Community

This model attempts to prepare individuals for social action and the training tries to follow the micro-to-macro model. In such a training programme,

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when the learners are familiar with each other, the training can start with issues and content areas related to the individual. After having dealt with the subjective elements first, the focus may gradually shift to the group, village and society in an objective manner. The analysis of the groups, community, work organization and society ought to be done with a view to focus on key issues and provide learners with a wider perspective. A training design which follows this strategy is alone expected to bring the required commitment and motivation for necessary action. Focussing on group processes, such a training design would focus on participatory training and learning.

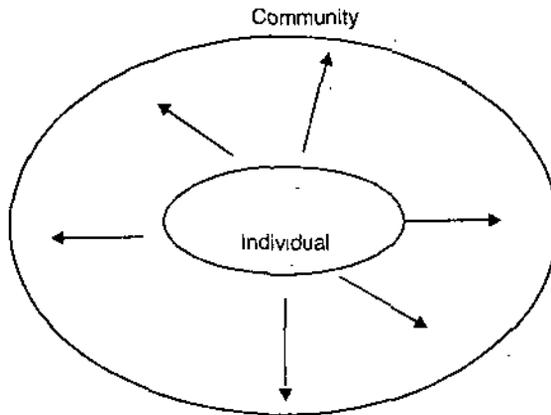


Fig. 4.4. *Self-to-Community Training Model.*

Community-to-Self

The 'Community-to-Self' macro-micro model is helpful in designing training programmes to generate awareness and promote self development of learners. When the members of the group are unfamiliar with each other, the best way to proceed is to deal with general macro issues first. Such a situation

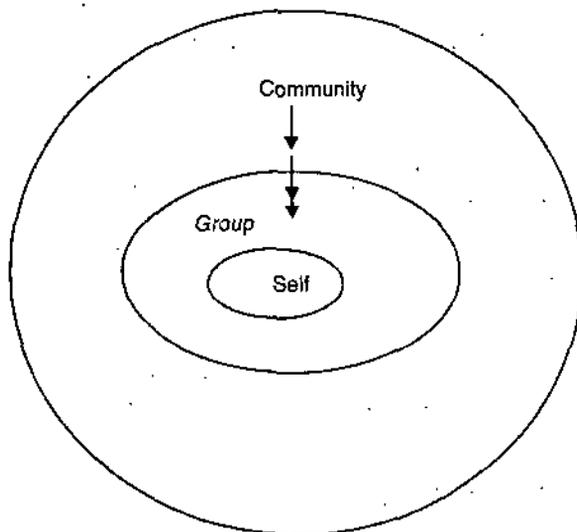


Fig. 4.5. *Community-to-Self Training Model.*

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is least threatening and provides learners time to feel comfortable with each other. The analysis from the larger, broad societal issues should narrow down to the village, then to the group and finally to the subjective personal issues of an individual's concern. The focus in this design is to make learners sensitive to their roles, make individuals responsive to societal expectations.

Community-to-Self-to-Community

If the purpose of training is to develop awareness as well as deal with social issues, the safest procedure is to start with a general discussion on society, carry on to look at the group and then issues of self and gradually back to the broader question. This macro-micro-macro model is useful when a group of learners use training programmes partly to improve themselves and partly to increase their contribution in social action programmes. Training design for such an approach would shift its focus from group ideologies to changing attitudes and building personal commitments.

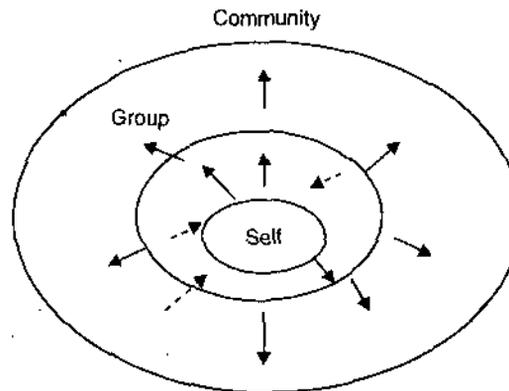


Fig. 4.6. Community-to-Self-to-Community.

4.8 STEPS IN PREPARING A TRAINING DESIGN

You have already learnt that the process of designing a training programme follows a series of steps. The first step is to identify the learning needs, which become the basis for the entire design of the training programme. Understanding the learner's needs helps us to formulate training objectives. These training objectives provide the basis for the selection of relevant content. The content area selected is then sequenced to determine various events for the entire duration of the programme. Appropriate training methods are selected. Keeping in view the available time and facilities, various sessions are scheduled. There are many factors that influence each step and many important things which one must remember while considering each step.

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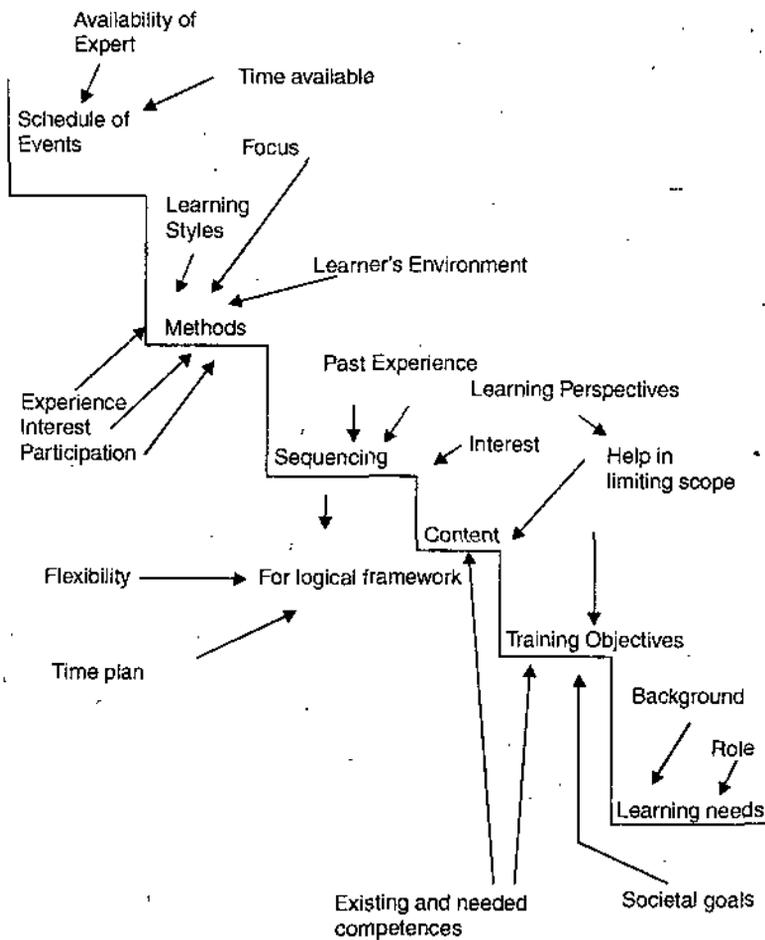


Fig. 4.7. Steps in Designing a Training Programme and Factors influencing each Step.

The details and guidelines for the various steps in the designing of the training programme are described in the following sub-section. You should, however, remember that effective design is learnt through constant practice *i.e.*, by actually trying out what works in the field.

Training Needs Assessment

The design of a training programme must emerge from training needs assessment. Let us discuss the features of training needs assessment.

Importance and Meaning

Learner's needs and problems are the starting point for any training intervention and the programme has to be specially designed to meet the unique needs of each group of learners. This crucial step is generally ignored as trainers tend to assume learning needs because of their vast experience in training or past familiarity with a type of learner group. But, it is an important input which helps us to get an accurate overview in the first place.

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All training is aimed at change and should enable participants to become more effective in dealing with their problems and change their reality. The future aspirations and the present issues facing learners are crucial in determining the direction of the training programme. If we neglect this step, there is a possibility that the entire training may be misdirected and fail to have any impact or we may find midway in the programme that the learners are not interested in the training. This exercise of finding out what learners need to learn has to be thus undertaken seriously and carefully.

In general terms training needs analysis is a simple means of measuring the gap between the knowledge, skills and attitudes available and the ones required in the learners and making recommendations to bridge the gap. The trainer may find out the gap between 'what is' (the entry behaviour) and 'what ought to be' (the exit behaviour) to ascertain the training needs.

Entry behaviour Where the learner is
Gap Training Need
Exit behaviourWhere the learner ought to be

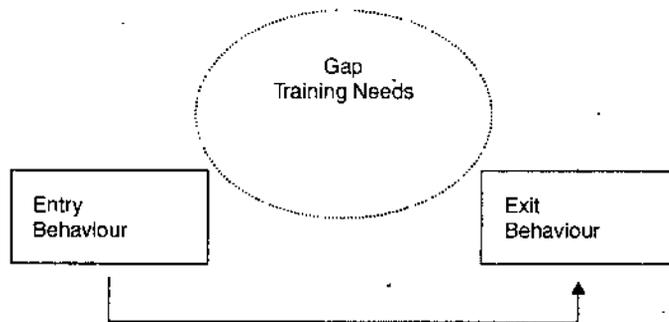


Fig. 4.8. Training Need Assessment.

Entry behaviour indicates the level of the learner's knowledge, awareness, and skills in the related area of training at the beginning of training. Generally the entry behaviour is assumed in terms of the available information about the learners. Exit behaviour is the desired behaviour which the trainer expects the learners to acquire after the completion of training. For example, in a gender training programme, knowledge about the key benefits of equality, awareness regarding prejudice and discrimination may form the exit behaviour set for the participants/ learners. The gap between the entry behaviour *i.e.*, the existing beliefs and attitudes etc., and the specified exit behaviour would clearly indicate areas of training for learners.

Sources of Information and Methods of Need Assessment

In order to assess learning needs accurately, it is important to obtain information from a wide range of sources. Learners themselves are the most direct source to know what they want to learn. The individuals and groups who regularly interact with learners are also useful sources of information

about the learning / training needs of learners. Remember, it is important to know:

- **Learners** : Their background, socio-cultural content, work or job in the field, experiences, felt needs, problems strengths, abilities and aspirations.
- **Community** : The nature of the community, people's common problems and their causes, people's attitude, traditions, resources — physical, human, economic concerns, place of the learners in the community, expectations.
- **Organization/Institution** : Its history, background, nature of work, focus, strategy, structure, growth and expectations.

Important tools for gathering this information include documents, meetings, focused group discussion, interviews and field observations. A common procedure is to look at the job or the work that learners have to perform. Surveys collecting information from participants as well as prepared questionnaires would help to determine learning needs when direct interaction with learners is not feasible.

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Table 4.4. Sources of Information and Tools/ Methods of Collecting Information

Sources of Information	Tools/Methods
<ul style="list-style-type: none"> • Learners - individual and groups • Persons associated with the learners like colleagues, community leaders, family members, organisation heads • Records, documents, post - training reports, progress reports, annual reports, performance reviews • Job analysis - Individual's role, job requirement and organization/ community role 	<ul style="list-style-type: none"> • Individual meeting, focus group discussion, survey, tests • Interview, questionnaire, critical incident analysis • Study • Field observatins in learner's context of work.

The data and information collected through various sources help to provide a proper perspective and is analyzed to assess learning/ training needs. The important learning needs are addressed first in the training programme. Assessment of learning/training needs is generally done before a training programme. However, at times learners may not initially be able to express clearly what they want and the focus may be on general concerns or problems. There is thus a possibility of redefining needs and your training design needs to have a provision for incorporating them.

Defining Training/Learning Objectives

In this sub-section we will discuss various aspects of defining training/ learning objectives.

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Importance

The crucial test of all training ultimately rests on outcomes. Objectives help us to do the proper designing of the training programme and influence our selection of content and methods. They become indicators of learner's achievement and provide measures of learner's achievement and provide measures of accountability. More specifically, objectives:

- help the trainer develop and conduct training that provides the learners with the knowledge and skills they need;
- provide the learners with a clear understanding of what they will be expected to do as a result of training; and
- help both the trainer and learner evaluate the learning that has taken place through training.

These objectives of training thus need to be shared with the learners at the start of the programme. It is hoped that learners would involve themselves more actively in training once they understand the proposed direction of change.

Formulating Objectives

The learning needs identified provide the basis for defining training objectives. Training objectives are statements about the goals that the trainer aims to attain during the programme. They indicate the general intention and provide the direction in which the trainer is to aim. They are set forth on the basis of significant needs identified. Trainers have often to use their experience and insight to identify the learning needs from the problems expressed by the learners. A useful way is to collect the entire learning needs of the group and categorize similar or related needs together to arrive at the broader set of needs. Often the trainers have to use their own understanding to define these broad objectives.

For example, in gender training, the training objectives may be to:

- develop critical awareness about the problems faced by women, and
- help evolve a plan of action and understand the roles of the trainer in implementing the plan. These objectives have different directions. However, they tend to define the goal in a broader perspective. Learning objectives, on the other hand, are those concrete and relevant changes that we expect in the learners by the end of the training programme. They enable the trainer to be explicit about what she/he is doing, enable learners to measure their learning and allow trainers to measure their performance. They are

very specific goals that tend to break down the broader training aims into outcomes, usually in the areas of skills, knowledge and attitudes. Each area, in turn, needs to be linked to evaluation techniques employed by the trainer to assess the effectiveness of the training. In developing learning objectives for a particular training programme, it is useful to follow these guidelines:

- State what the learner should be able to do as precisely and as unambiguously as possible for *e.g.*, desirable performance in skills, knowledge, attitudes, expertise etc. For example, an objective such as 'To enable the learner to explain the meaning of equal opportunities and apply it to the work' should be broken down and written in the following form. " At the end of the course, learners will be able to:
 - recognize prejudice and discrimination, both direct and indirect;
 - explain the key benefits of equality in the work place."
- Use action words such as describe, evaluate, identify, state, list, solve, formulate, explain etc. which are specific and provide clarity regarding evaluation procedures.
- General verbs like know, understand, realize etc. should be avoided as they are difficult to judge and evaluate.
- In the area of attitudes exploring prejudices and values, it is important to specify the specific ways to measure success.
- Objectives should be attainable. There is no point in having objectives that do not fit into the training programme or are so vague and ambiguous that they only serve to mislead. The duration of the course should lend itself to meeting the objectives decided. The context of the learner is also an important practical consideration in deciding on objectives.
- Objectives should be flexible. Should the circumstances demand, a trainer should be able to adapt the objectives or change them completely to ensure the success of the training programme.

Each training programme is necessarily a part of an overall training strategy. It is usually not feasible for a single training programme to fulfill all learning needs. A longer training strategy may be used instead, with a series of shared training programmes at different intervals. Different sets of learning needs can then be identified for each of these different programmes. The focus, time frame, objectives, level of learning and time are major considerations which help us to work out a clear training strategy.

Deciding Content Areas

In this sub-section we will examine two major aspects: selecting content and categorizing content.

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Selecting Content

The subject matter, themes, topics, ideas to be covered during the training and specific areas in which learners would have gained knowledge, awareness or skills constitute the content areas of training. The course content is derived directly from the training objectives. While the objectives indicate 'where to go', the course content answers 'how to go'.

How would you decide content areas?

- Training objectives of the programme are the starting point to draw the list of contents. You can start by thinking of every possible topic that relates to each training objective. For example, in a rural women's empowerment programme, the broad contents may be:

- socio-economic realities;
- development programmes for women; and
- skill training.

The major content areas need to be broken into sub-topics or sub-contents. For example, if the broad content is socio-economic realities, the subcontent may be:

- Indian social situation analysis;
 - Status of women in present day society; and
 - Consequences of gender oppression.
- Learners existing level of knowledge, understanding and competencies are also an important base for determining the content areas. The coverage of the topics, themes, ideas to be covered and their depth can be determined only on the basis of current level and background of learners. The size and relative homogeneity/ heterogeneity of the learner group also help to determine the scope of the content. For example, a gender training programme would have different content areas for uneducated women employed in factories, rural women, slum women and educated women. The depth of the content coverage would also vary with the size and composition of the learner group. In a training of village youth, where the learners have some years of working experience at the grassroot level, the content may be covered in greater depth. But if the same training group has some experienced youth, some youngsters with no experience and some local leaders, the scope of the content area would be considerably different for such a heterogenous composition.
 - The trainer's own frame of reference or ideology too tends to determine the content areas. For example, content areas related to an objective 'To increase awareness of unequal distribution of food to male and female children in the home' would be derived quite differently by two trainers, one of whom is a teacher and the other an activist working with

development workers. The teacher's important concerns would be:

- Importance of equal distribution of food to children;
- Disadvantages of undernourishment of the girl child;
- Strategies to convince people to stop unequal food distribution.

The activist, on the other hand, might be concerned with

- Economic necessity of feeding potential wage earners;
- Malnutrition and its effect on health and well being ;
- Importance of creative informed opinion on intra-household food distribution.

Categorizing the Content

Having listed content and sub-content areas, we often tend to give them the same weightage. However, not all content carries the same importance for learning and behavioural change. We also tend to frequently list more contents that can be taught or learnt in the available time. As a training designer, you must decide what to include or exclude. The omission should be the result of positive decision, not oversight.

You need to realistically assess the usefulness of the content. The content may be organized under one of the four categories *i.e.*, essential, helpful, peripheral and unrelated. The *essential category* includes the absolute minimal content that the curriculum must contain if the learning experience is to meet the previously stated objectives. The contents which cannot be omitted are placed in this category. If the answer to the question 'Can it be omitted?' is yes, the content may still be valid, but may be placed in a different category. The *helpful category* includes contents which supplement the essential. It is included where there is sufficient time and other resources and conditions are favourable. A way to identify the helpful content is to ask 'Could the performance change without this content?' The *peripheral category* includes content which also might supplement and help to clarify the essential. It is also tested on the similar ground 'whether the performance would change even if it is not included?' The *unrelated category* obviously includes those areas of content which are not directly related to the objectives. However usefulness of the content to some in the training group may call for its inclusion in this category.

It is important to remember that training is for a short duration and learners cannot possibly learn everything in detail. Adults do learn volitionally and selectively. The focus is only on what is of use. It is a waste of time and resources to burden them with excessive learning. Inclusion of more content areas which are dealt with superficially will not contribute to the achievement of the set strategic goals. The effort should be to stimulate the curiosity of learners and initiate the process of self learning. You have to be careful to

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exclude content areas that are not absolutely essential and may be carried over to the successive phases of training. Be cautious not to select content by your personal preference or convenience.

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Sequencing Content Areas

After selecting the contents, the next important thing is to sequence or decide the order in which the contents should be presented to the learners. Some content areas seem to naturally lead on or flow from one to the next, but some have no linkages at all. In the latter case, the learner is jerked out of one train of thought and suddenly confronted with something quite unrelated. In some training programmes, sessions are fixed according to the availability of the resource persons. Thus one topic may follow another in a purely ad-hoc manner.

Such an arrangement is not conducive to learning. It is often reported that learners at times are emotionally unprepared and resist certain topics strongly. It thus becomes important to carefully sequence content areas so as to establish linkages between them. This helps to prevent blocks to learning and ensures smooth delivery. Though there are no absolutes yet there are some generalizations that the designers must consider while sequencing content areas. The main principles to keep in mind while ordering content into a suitable sequence are to:

- create emotional and intellectual readiness for each succeeding content area; and
- avoid monotony, boredom and stress.

Creative Readiness

Developing a *logical framework*, with one idea or content area leading to the next content area, is crucial to create readiness in learners. Some of the content areas positioned earlier, can effectively set the stage for what follows. Should we first talk of gender disparities or suggest ways to stop discrimination against women? Should we discuss children's rights first or the extent of child labour? These and similar questions need to be answered while sequencing content areas. What logical order or sequence would make learners mentally receptive to successive learning content areas?

One approach is **general to specific**, where the learner is first introduced to the overview and the content is presented which moves from general towards the specific. This approach is based on the learner's focus on the total learning situation — the need to know the whole before getting into the specific. A contrary approach calls for sequencing from specific to general. This is based on the assumption that if the learning situation is appropriately structured, the learner will reach the end. This sequencing is important to have identical end performance.

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A second approach calls for moving from **concrete to abstract**. The learning is initiated with the known, observable and undisputed. The alternative approach, abstract to concrete, starts with generalizations which then lead to more specific components. Such an approach is useful in dealing with issues of philosophical nature based on broad generalizations. Similar dichotomies like known to unknown, particular to general, observation to reasoning and their reverse are the other possible variations in sequencing. The earlier decision regarding the appropriate model of training also facilitates sequencing of content areas. Selection of a particular model viz., self-to-self, self-to-community; community-to-self; community-to self-to-community helps us to order the content areas which are extremely personal and potentially threatening in relation to those dealing with issues of society at large at various stages which are comfortable for the learners and leads to objectivity.

Selecting Training Methods

You have already studied about various training methods and their usefulness for achievement of certain objectives for a particular group of learners in a specific context. The appropriateness of the method plays a crucial role in the attainment of training goals. The choice of teaching methods for a particular programme depends first of all on a series of these comparisons viz. learning objectives; learning process and its stage, and available skill, time and facilities. The three have to be interrelated in the final choice. Some of the important factors which influence the selection of a particular method are:

- The training objectives: What are the proposed training outcomes? Does one method ensure attaining the objectives better than other methods?
- Content: Depending on the subject matter, select the theoretically based or practically oriented, experience-based methods.
- The trainers: Do the trainers have the expertise to use the methods and materials selected?
- The learners: Does the method take into account group size, experience, levels of learning and other special characteristics of learners?
- Practical requirements: Is the method appropriate to physical environment, available time, materials and cost limitations?

Most often, the methods depend upon the type of behavioural outcome desired, such as knowledge, skill and attitudes. Suggested below are training methods and techniques suitable for a particular type of behavioural outcome.

Table 4.5. Suitability of Training Methods for Behavioural Outcomes

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Behavioural Outcome	Suggested Training Method/ Technique
Knowledge (Acquiring information, concepts, principles and forming generalizations)	Lecture, Panel discussions, symposia, reading assignments, interviews, motion pictures, case discussions, critical incident analysis etc.
Skills (Learning new ways of performing tasks)	Drill, coaching games, participatory exercises, observation, role-play, demonstration etc.
Emotional Control (Attitudes, values and interests)	Role-play, participatory exercises, case methods, motion picture, field visits, games, TV demonstrations, symposium, colloquy, games, etc.

After having selected a particular method, ask yourself the following questions:

- Does the method ensure that you hold the attention of the learners?
- Will the method ensure that the information would reach every learner?
- Will it make effective communication for achieving the objectives set for the session?
- Will it be suitable for the numbers of participants?
- Whether you/trainer has sufficient expertise to use the method?
- Will the method ensure active participation of learners?
- Are necessary facilities, arrangements and resources available?

An honest response to each of these questions would alone help you to make the right choice of a method.

Putting the Whole into a Time Frame

The next step is to use the specifications of different training methods in order to arrive at the total time and facilities required for meeting the objectives. This yields sub-totals, which can then also be added together to arrive at a rough total of time and facilities required by the programme as a whole. A realistic calculation needs to be made in order to cover various units comprehensively depending on the depth of the topic to be covered. Table 4.6 depicts this calculation for the training of women for the stated objectives and methods.

Table 4.6. Time Required for Specific Objectives and Methods in Training Women

Objective	Training Method	Time		
		Participants	Trainers	
1. To understand womens role in development	Discussion	6 hrs.	2 hrs.	
2. To develop skill in Street Theatre	Demonstration and Role Play	50 hrs.	10 hrs.	
Total		56 hrs.	12 hrs.	68 hrs

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In addition, you need to include time for breaks. Most importantly, structure time separately for participants to:

- know each other and be friendly and relaxed through “breaking the ice” games or other activities at the beginning of the programme;
- go through reading materials, perhaps even discuss it with others to gain clarity;
- familiarize themselves with norms or procedures before exercises, games, field trips, practice sessions needed;
- seek individual clarifications or counselling from trainers; and
- increase energy levels through short games, exercises etc.

The Whole Programme

The next step in designing is to dovetail different training events and methodologies into training sequences and finally into the programme as the whole. This is simply not a mechanical exercise of converting sixty half hour sessions into the requisite number of days for training. The programme needs to be phased keeping in view the learning process, prevailing expectations of the participants, repeating themes of innovation and interdependence so that all parts of the programme fit into the design that promotes the attainment of objectives by the learner. You would read more about the how of training sessions in the next Unit. But just remember, that all training situations, whether part of sessions or not should be designed to promote the training objectives.

Detailed Training Design for Conducting, Monitoring and Evaluating Training

Once you have sequenced the programme content and themes, you can work out the detailed syllabus. This is a creative task with various possibilities. Some of the important considerations are:

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- *Alternate stimulation and reflection:* Remember continuous activity may not be of value and may burden learners. Time left alone for personal study provides opportunity to participants to discuss their meanings for themselves and reflect on them. This process is essential for converting events into personal experience.
- *Alternate personal involvement and safe distance:* The intensive training using personal experience which may even be threatening ought to alternate with sessions for analytical and conceptual understanding of such experiences.
- *Alternate theory with practice.* Sometimes practice of a new skill in actual situations might be dangerous or too expensive. Try simulations instead here. Practice provides an understanding of theory as well as motivation to learn it. Continuous practice, on the other hand, may be mechanical and dry. So provide practice till improvement tapers off, sort out difficulties and then resume practice.
- *Alternate individual and group tasks.* Groups provide opportunities to individuals to learn from each other's experiences and ideas and check their learning. In an ideal programme, participants could be provided with group events for stimulation followed by individual tasks where individuals can learn to the limits of their personal capabilities followed by group capacities to affirm their efforts in the new direction, for setting goals, learning social skills etc.

A syllabus which alternates these four pairs provides variety and is conducive to learning rather than change of topics or trainers. Successful implementation of a well designed training programme also calls for consideration of the following aspects:

- Resource persons;
- Preparation of training materials; and
- The training environment

Resource Persons

Resource persons like the trainers play a key role and are expected to have the requisite knowledge, skills and attitudes. More specially, select a resource person who:

- has expertise and knowledge of the related content.
- is competent in dealing with human relations processes and facilitating change.
- has a high level of presentation skills.
- has a knowledge and appreciation of learning styles.
- has ability to analyze problems and learning needs and difficulties.

- is competent to develop material appropriate to participant's needs.
- has group work skills and an understanding of group dynamics.
- has an ability to convey knowledge and ideas to others.
- has an appreciation of the context of training.
- has some experience of conducting similar tasks.

Select the appropriate resource persons for particular sessions depending on the constraints of time and other feasibility factors.

Preparation of Training Materials

Training often involves a number of activities to be performed by the participants. One needs to systematically prepare and present requisite materials to support training. Some of the common materials which are generally required include:

- Background material related to various concepts;
- Individual handouts or booklets;
- Participants workbooks or sheets;
- Papers, pencils, crayons, markers, envelopes etc.;
- Portable writing surfaces;
- Flip charts;
- Audio-visual aids like projectors, screen recorders etc.;
- Name tags for participants; and
- Structured experience materials like blocks, cards, instruction sheets, worksheets etc.

Inadequate stationery supplies or faulty mechanical equipment such as broken video or overhead projector may adversely affect the training process. On the other hand, availability of well prepared materials tends to supplement trainer's roles and makes the learning more effective.

The Training Environment

The physical setting, arrangements for lunch, refreshments and other amenities for satisfaction of their physical needs are also an important input in a training programme. You may well remember that poor food, lack of beverages, uncomfortable seating, bad lighting, etc. affect the overall participant response. The training environment is quite significant and must be taken seriously. You must pay sufficient attention to such details and create a conducive environment for learning.

The venue selected should be within easy reach of the learners, a fairly quiet place which would permit concentration of looking within themselves without any distraction. The size of the training room should be proportionate to the

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size of the group and the activities planned. Distractions such as telephones, other noises and interruptions from the non-participants should be minimized or excluded from the training room. The participants should be seated comfortably and care must be taken to check all other arrangements for food, sanitation and other facilities much in advance.

Monitoring and Improving Training during the Programme

It is very important to build into the training programme some procedures for the concurrent monitoring of the programme as a whole and also individually towards specific training objectives. Such monitoring which is done throughout the course is a way to check to what extent the objectives are being achieved. It helps to assess both task and maintenance functions of the training groups and helps to make necessary changes wherever possible and work out practical ways to achieve the set targets. You can facilitate this process by:

- Measuring learner's progress at specific times during the programme; and
- Scheduling regular review sessions into the programme.

A useful strategy for this would be to ask small groups to meet at the end of each day to discuss the day's activities and report back to the trainers. This enables trainers to assess levels of learning and keeps the course pitched at the right level. It also alerts them to any difficulties in the group dynamics and helps them to make changes to the programme if needed. They can then decide with precision whether to add a session here or there, revise the sequence, try an alternate teaching method or provide extra practice for participants. At the same time it also allows participants some control over the process.

Evaluation

Training is an investment from which both learners and trainers expect returns proportional to the time, effort and money spent. Evaluation is an endeavour in this direction which helps us to assess whether the returns *i.e.*, accomplishment of training objectives are forthcoming or not. Evaluation helps in controlling and correcting training programmes. More specifically, the broad purposes for which evaluation is done are to:

- improve the training programme and
- check the efficacy of the training programme and to make decisions about the future of training and the resources to be allocated for it.

Feedback to improve the training programme is designed to elicit information about the design, content and presentation of the training programme itself. Evaluation forms for both the trainers and learners which elicit information on various related aspects viz. course coverage, presentation style, adequacy

of facilities, time allocation etc. should be pre-designed and administered at the end of the programme.

Feedback regarding efficacy of the training programme intends to elicit information about one of three basic outcomes viz:

Acceptance: The degree to which learners perceive the training to be of value.

Effectiveness: Whether learning has occurred and improved performance resulted?

Operational Objectives: Whether the training was worth the cost?

Acceptability in terms of perceived relevance and satisfaction with the training of participants are important data for the justification of any training programme. This feedback to determine acceptance is generally obtained from participants using interviews and questionnaires as tools. The feedback needs to be collected on conditions of anonymity or confidentiality of response so that the participants are motivated to tell the truth. Effectiveness of a training programme is judged by the degree to which learning objectives have been met. Most often the increased competence often accompanied by personal satisfaction is the ultimate learning objective. Specifying performance standards at the start of the training programme facilitates evaluation at this juncture. Interviews and questionnaires provide the subjective measures of the learner's perceptions of improvement of their competence. Checklists, product evaluations, rating scales, printed tests, performance measures are the most objective measures that can be used to collect evidence of learning.

Operational objectives and cost evaluation tend to explore all pertinent criteria and select those that best indicate important gains resulting from training. Participants reporting success in meeting the goals established during the training and the relative success with which they apply skills learned during the training to solve their problems are all indicators of the success of the training programme. The judgement of cost effectiveness is essential and should be based on observable facts *i.e.*, to what extent has training led to improved role performance of learners. This alone ensures that type, duration and content training selected are good choices in terms of both usefulness and cost.

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4.9 CONDUCTING TRAINING PROGRAMMES

Conducting training programmes is a very crucial area in which any trainer must develop expertise. The way in which a training programme is conducted has a lot of bearing on the extent to which it is able to meet its objectives and how much it benefits the members of the group. The role of the trainer is very significant in this regard.

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Training can be of many types and conducted with different objectives. Sometimes, trainers try to force the trainees to learn. They may use coercive methods for training. Once the trainer has finished the session, the learning may or may not have taken place. It may not necessarily bring about change in the learners. In participatory training, however, the trainer plays the role of a facilitator so that learning brings some permanent change in the learners. We shall discuss participatory training and how to conduct participatory training.

4.10 ROLE OF THE TRAINER AS A FACILITATOR

We cannot assume that if the training sessions are going on as per schedule, learning is taking place in the desired direction. The process has to be facilitated. Thus, when conducting a training programme, your role is that of a facilitator. You have to assist the learning process. In the case of women learners, there are some particular aspects that you, as a facilitator, would need to keep in mind (e.g., helping them gain confidence and overcoming their inhibition). You would appreciate this aspect more as you read on. First, let us understand what is facilitation.

What is Facilitation?

Facilitation is a conscious process of assisting learners to successfully achieve the task. For example, suppose the task of the group consisting of women, is to analyze the problems they face. Generally this is a topic very close to their heart. There are chances that the group may, instead of discussing various problems, get stuck with the very first problem that was taken up. The group may get divided in favour of and against some point. In such a situation, time for discussion may soon be over and no useful reflection may take place. One would need to intervene in a friendly but firm manner and ensure that the task is completed. How can we do that?

There are a number of ways of doing it. In order to facilitate this, it is important to understand *what is it that needs to be facilitated*. So let's look at this aspect first. We need to facilitate:

- *Effective performance of the task and maintenance functions*: By and large, a group does need to be assisted in working collectively towards successfully accomplishing the set-out task. All members need to cooperate for the continuation of the learning process. In the case of the above example, facilitating would involve making the group members aware that they are not allowing the learning to take place by sticking to one point only, and helping them progress further.

- *Processes like participation, communication, conflict resolution, decision making, problem solving and leadership:* Whenever you give some task to the learner group, the above mentioned processes to a greater or lesser extent, will take place in the group. What we can do is to guide the course of these processes towards successful completion of the task. For instance, when the group members meet for the first time, some members may predominate the discussion while others may be quiet and indecisive about whether or not to speak. In such a situation, we can facilitate participation by encouraging or coaxing members to speak, and ensuring the participation of all the members in the problem solving and decision making process. Also we may help them to resolve or avert conflicts and help in polishing their communication skills.
- *Effective resolution of issues like inclusion, influence, intimacy and performance:* As group members interact and work collectively, group dynamics is likely to occur in the natural course of events. We need to ensure that group dynamics such as inclusion, influence, intimacy and performance are channelized positively, and not allowed to hinder the accomplishment of the task.
- *Smooth transition of group learning from one stage to another:* Members of a group do not automatically and immediately form a rapport and smoothly proceed to accomplish the group task. Many stages are usually involved. You would need to help the group members proceed from one stage to another, so that they open up and frankly discuss, and the task is performed. In the example cited above, it would involve the group members unhesitatingly discussing the problems that women face.
- *Accomplishment of the task:* This is the culmination of all the above processes. In the case of the above example, it would mean that the members are able to understand, critically discuss and analyze women's problems.

Now let us examine these aspects:

- (a) How to facilitate
- (b) Being aware of your personality as a facilitator/trainer
- (c) Knowing how to facilitate

(a) How to Facilitate

Before we can effectively facilitate, we need to have clarity with regard to some basics. We need to:

- understand what is happening in the group;
- be aware of our own personality as a facilitator/ trainer;
- know how to facilitate;

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- take up these points individually; and
- understand what is happening in the group.

Remember, whatever the background of the learners, some dynamics do take place in each learner group. We must understand these dynamics. For example, one member may be trying to impress the group members by going on about the work which she has done. She is not only talking about what is irrelevant, but is also not allowing other members to express their views in the context of the group task.

Groups of learners vary in terms of the nature of their tasks, their composition and in the problems that come up. How you facilitate would depend upon your understanding of the situation. The process of understanding what is happening in the group may be called diagnosis. It is an essential skill to develop. You can proceed further to remove the problem only after you have diagnosed what it is that is going wrong. Diagnosis includes understanding the causes, after looking for clues within the group, for example communication patterns. Clues can also be found outside the group, for example in the past relationship between members. Let us look at a couple of examples to understand this aspect better.

(b) Being aware of your personality as a facilitator/trainer

Before we come to the training situation to carry out facilitation, we must look into our own personality, try to objectively assess how we come across. Attempting to be bossy will influence our success in building a partner relationship with the learner group which is so essential in participatory training. Thus, we'll need to tone down that attitude. In the case of women (and men for that matter), their own personality does influence how they behave and react, and this is true even when they are acting as trainers/facilitators. In order to be effective facilitators, we need to be aware of our strengths and weaknesses in order to optimally handle the dynamic learning situation and do our best to achieve the set objectives.

(c) Knowing how to facilitate

We, as trainers, must know how to behave in a particular learning situation, in order to promote learning. Depending on what we diagnose as the factor(s) preventing the group from progressing further, we may bring the group back to the task by intervening through any of the simple means of facilitation, which include:

- encouraging the learners;
- bringing the conversation to the point;
- mediating and peace keeping in case it is needed;
- maintaining order (not police order of course);

- helping the group to accomplish the task; and
- politely requesting the learners to be part of the larger group.

But then, in some cases, these simple means of facilitating alone are not enough. We have to look deeper and understand clearly the unconscious processes and the levels of awareness among the members of the group. For example, it may happen that two members, with their continued confrontation, are disrupting the proceedings and despite your requesting them repeatedly, are not ready to compromise and are not allowing the group task to be accomplished. As you just studied, this can happen because of many reasons. Depending upon your grasp of the situation, you may choose to adopt a particular style of facilitation.

Now let us try to understand the various styles of facilitation.

Styles of Facilitation

Style of facilitation, mode of facilitation means the way you intervene when learning is not taking place in the desired direction. Remember, as a trainer and facilitator, you need to adopt the style of facilitation depending upon your diagnosis *i.e.*, your understanding of the situation, the objective of the change (action/awareness) and the focus of the change (group/ individual).

In the context of participatory training, you will find that there are changes that take place in the individuals in a group and the changes that the group goes through as a whole. Further, changes essentially can occur at two levels — at the awareness level (among individuals of the group or the group as a whole) or at the action level (among individuals of the group or the group as a whole). We will now go on to discuss styles of facilitation in the context of the underlying change processes.

Let us begin by glancing at the summary picture:

- Action by an individual (in a group) –Interactive Style
- Action by a group as a whole– Inclusive Style
- Awareness of a group as a whole –Interpretative Style
- Awareness of an individual (in a group) –Intrusive Style

Individual		Groups
Action →	Interactive Style	Inclusive Style ← Action
Awareness →	Intrusive Style	Interpretative Style ← Awareness

Fig. 4.9. Foci of Intervention and the Corresponding Styles of Facilitation.

Interactive Style

If your diagnosis indicates that the problem is at the individual level, your facilitation would obviously be individual-centred. The interactive mode of

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facilitation focuses on the actions of the learner *i.e.*, the behaviour of the learner. Remember, it is basically educative, and change in the behaviour of the individual is sought to be brought by providing support and encouragement. For example, suppose that one woman is not taking part in any group learning. You find that she understands but hesitates to share because of her low self concept. Incidentally, this is a very common problem that is experienced, particularly in the case of women learners (in all likelihood due to the subjugated role that women generally occupy in our society). In this case, you may coax her to speak in small groups. Once she expresses herself in small groups, she is likely to develop more confidence. Once the progress starts, it builds momentum, and you will find that with encouragement, her participation has increased.

What did you observe in the above example? The facilitator's intervention focused on behavioural change in an individual member. In this mode, you as a facilitator would encourage the members to experiment with new behaviours by creating favourable conditions such as openness, support, confrontation, restatement, suggestion and request. When doing so, you have primarily played the role of a helper. You have directed interactions among members, supported expression of feelings and facilitated openness in the group. Remember, in such a situation you have to keep aside your own needs and feelings and play the helper's role. You would need to empathize with the individual's feelings and thoughts. Essentially you act as a mirror, which reflects the 'actual' feelings of the person, helping to clarify what is happening within her. This intervention demands a great deal of maturity on your part and is very effective in a group where there are norms of acceptance of each other, trust and support for each other. Then there is a 'policing' or disciplining role which you will play and will address itself to issues which are process related.

Examples of this are encouraging members to listen to each other, seek clarification from each other, and focus discussion on the issue; inviting participation from silent/ quiet members etc.

Inclusive Style

You, as a trainer, may find that some problems have cropped up in the group, and the focus has to change in action or behaviour of the group. In such a case, you as the facilitator would need to deliberately include yourself as a member of the group and provide model behaviour that the group could adopt. This is the inclusive style of facilitation. You need to be careful that you should not consciously include your own feelings. When you are facilitating and adopting this style, remember that you are doing it as an ordinary person with your own values, feelings, needs, opinions and also weaknesses. This openness will help you to establish the necessary rapport, *i.e.*, gain the members' acceptance and succeed in your task of facilitation.

Changes can occur in a group through new actions adopted by the group as a whole — the inclusive style of a group as a whole. You have to demonstrate the desired behaviour by setting yourself as an example. You will do this by considering yourself as a member of the group. You will provide a role model as an ideal group member through your responses and behaviour. This mode is possible when you are accepted by the group as a fully functional member of the large group of learners. It means that in the training sessions you express your opinions, biases, feelings — use of 'self as it is'. This helps the other group members also to open up naturally in the training situation.

An episode to illustrate the inclusive style

In a training programme, after a simulation on team building, intense discussion and analysis was going on between the members of the large group. This simulation brought to the surface the kinds of feelings that members of two settlements X and Y in the same village had: A group member from Settlement X (Let us name her Sita for better understanding): "The members of Settlement Y came to talk to us. In the beginning, because we were absorbed in ourselves, we did not pay much attention to them. Then we wondered why they had come? What interest do they have in us? They belong to another settlement. We do not have any work in common."

Another group member from Settlement X (Let us name her Mohini for better understanding): "Yes, how could we trust these other members? We did not know them. We did not have any contact with them." Facilitator: "What do you mean you had no faith in them and didn't (angry) know them? Don't tell me that you live in the same village and have nothing to do with each other. Even if they belong to a different settlement, I am not ready to accept it. You mean to say that it actually happens in the village! That is one thing that you do not get along well with each other, but certainly every one knows who belongs to the village!" Sita and Mohini withdrew into stunned silence following the outburst of the facilitator, who also acted as a learner in this exercise. Then another member of the group said: "I think the point being raised is not that people don't know each other, but since they are working or living life around their settlement only, they do not have rapport with each other."

The group realized the issue at hand. Sita too looked at what she had said and proceeded to examine the implications of such relationships. In this facilitation mode, the facilitator becomes a fully-functioning participant in the group, expressing feelings, prejudices, biases, needs, interests, etc. The humanistic side of the facilitator is expressed in the interest of the group. It also provides for other members of the group to do the facilitation. Thus the facilitator and group members become models for each other too. However, this style of facilitation can temporarily block some learners, who have not yet established equal and comfortable relationships with you as the facilitator

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and still relate to you with a position of authority. The risk taken in the above situation was that the task of the group could have got affected or an individual alienated. Essentially, the inclusive mode of facilitation rests on the premise of mutual learning between the trainers and learners.

Interpretative Style

As a facilitator you may feel that as a group the level of awareness is not as much as you expected. In that case you could play the role of an outsider. Analyze the problem objectively and then present your findings absolutely impersonally to the entire group. This style is known as the interpretative style of facilitation.

This mode of facilitation has been very effectively and exclusively used for group facilitation. It consists of intervention made by you as a facilitator at the group level. It may be in the form of some factual information provided. For instance, when the group is discussing a situation or a case-study, you may feel that the group members are not aware of, say, the legal rights of the women involved in the situation. In that case, you may choose to provide that information. However, basically, this style assumes that changes in the group will occur when members of a group are aware of what is happening to the group as a whole. What you have to do as a facilitator is to comment about the group level phenomenon, and reflect on the group processes with analytical objectivity. Remember not to make any references to any individual in the group. The group members are urged to explore, recognize and accept 'what is happening within the group as a whole, and feel challenged to do something about it.' Remember, it is possible that some members are already aware of what is happening. In that case, the facilitator validates their understanding. Do keep in mind that in this mode of facilitation, you as a facilitator are not to pass any judgment on the members of the group. You do not criticize the group. Also, you need not intend to manipulate the group. You would simply be bringing the issues to the group members' notice, and you would be doing it in a manner that the group can learn from it.

For example, read the following two responses of a facilitator for further understanding the style.

Response A-Facilitator: "Members A, B, C in the group are engaging in dysfunctional and disruptive behaviour."

Response B-Facilitator: "The tasks of the group are not getting accomplished. It seems that some members do not wish to take responsibility for their learning unless forced by the authority."

In this framework, Response A would not be considered an interpretative style of facilitation. It is accusing some members in the group. Such a response would anger the members and thus alienate them. Response B is a statement

about what is happening within the group, and provides space for the members to become aware of their behaviour and the impact of the same on the group, and this aspect could be picked up for discussion subsequently.

The interpretative style is very effective for dealing with issues of group dynamics and gender issues and can be effectively used in the early stages of group development to strengthen the group building processes. The group level focus does not, however, recognize or deal with individuals and individual differences in the group. Members tend to experience a sense of anonymity in the process. Since the facilitation style is merely interpretative, you as a facilitator do not make an attempt for experimentation with new behaviour by the members. This style does not leave the group members feeling threatened.

However, some members may feel irritated because they were so engrossed in the process. Some feel agitated because what was not visible is becoming visible. Others feel relieved, since the tension in the air is released finally. Did you notice that in this style of facilitation you did not play a supportive role for initiating any action or validating any action either? However, to ensure that paralysis in group action does not occur, other styles of facilitation would have to be used to address individual issues as well.

Intrusive Style

As a facilitator, you would adopt this style if you have diagnosed the problem to be with the individual, and the focus of the change is at the level of awareness. You have to be sure that the individual is interested in learning about oneself; that she wants to be aware of her true self. You would present the facts you have observed, and what they could possibly indicate about the particular individual. Remember that you have deliberately done it, so there should not be any hesitation about it. You have done this absolutely impersonally. This kind of facilitation is known as the intrusive style of facilitation.

The intrusive mode essentially believes in raising the awareness of an individual in a group as a basis for change. This style is characterized by the intentional intrusion of the facilitator into the life span of the learner to bring to her awareness the subconscious elements within her. Adults often need to unlearn, in order to learn something new. This 'unlearning' can be a very painful and difficult experience. Some adults may not be aware of the blocks that exist within them, which do not allow them to look at a phenomenon happening within them, critically. It is thus your responsibility as a facilitator to bring to the attention of the participant what is happening within her at a given moment of time in group interaction. Thus, by this intervention, you are articulating what the participant is feeling or thinking, and is not able to say or express.

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An episode to illustrate the intrusive style

In a group task, a member Rani was finding it difficult to agree with other members on what should be done in the context of the task given. A lot of anger, irritation and frustration had set in. Finally you, as a facilitator, intervened.

Rani to all the group members: "Some people have decided not to agree"

Facilitator to Rani "Are you upset?"

Rani: "I am angry with the whole process."

Facilitator: "Would you like to say why you are angry?"

Rani: "Some people just don't listen to the right way of doing things! Why can't they do what I am telling them to?"

Facilitator: "Don't you think you are trying to dominate the group? While what you are suggesting makes sense, others are also making valid points."

Rani: "I am confused. Let me see if the ideas can be combined."

Facilitator: "Are you still angry?"

Rani: "I am not angry with anyone now. I am sitting far away from the group. Let me sit close to the group."

A little while later, Rani says to the group: "Let's move ahead."

Intrusive intervention thus brings a 'revelation' to the individual. In this style, the reflection by the learners sometimes continues to take place even after the facilitation is over. Remember, the intrusive style can be irritating and painful to the learner at times. Several questions must have arisen in your mind.

- Won't the learner feel alienated?
- Won't the group develop negative feelings about the learner?
- Won't she feel humiliated by the facilitator?
- Doesn't this style of facilitation give you, as the facilitator, an opportunity to give vent to your negative feelings for a particular individual under the disguise of facilitation?

All these questions are very pertinent. But, always remember that the degree of intrusion will depend upon the situation, the learner and the issue. It may be gentle and light at times, very strong and powerful at other times. The most important thing that you must keep in mind is that it must be used for learning, and not for settling scores with the learner. If your intention is clear to the learner, the intervention becomes meaningful. Therefore, if you are using this style of facilitation you must build up sufficient rapport with the learners, and norms of trust, openness and mutual learning must be established between you and the learners. It is also important for you to see

that there must be some amount of group cohesion, sensitivity to deal with individuals and support for each other for learning, among the learners. Your intention is not to control an individual and make decisions for her; rather you pose a challenge to the learner to enable her to decide for herself. Of course you have taken a risk. The learner may feel snubbed and may not participate in further discussion, which you will have to then correct. Or it may happen that one learner may move ahead, but for others learning may be blocked. Therefore, you have to be sensitive and aware of each learner's personality in the group. Through this process there are chances of intruding into the learner's life space, and bringing about a lasting change. That is an achievement as facilitator.

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Skills of Facilitation

As you have just read, being able to successfully facilitate, including whenever needed, switching over from one style to another depending upon the situation, needs lots of practice. However, if you can sharpen some skills you will be able to do so. Given below is a list of skills that are normally considered necessary for effective facilitation. Make a conscious effort toward developing these. This will help you to be a good facilitator and thus, an effective trainer. You must develop skills of:

- *Listening:* You should listen carefully. Listen carefully to the verbal communication. Whenever you are listening, pick up both positive and negative aspects of situations. It will help you in diagnosing problems, difficulties and tensions, and thus, in facilitating the training process.
- *Observing:* Keep your eyes open to what is happening around you. Understand the non-verbal communication. Always remember that you are observing objectively in order to monitor the group's work.
- *Empathizing:* You must develop your skills to pick up implicit messages and you must try to put yourself in the learners' shoes whenever you are viewing a problem. Try to empathize with their feelings, ideas and values.
- *Diagnosing:* You must develop your diagnosing skills. That means you should be able to define the actual problem from diverse inputs you may be getting from the group about the problem. Based on your analysis, you should be able to select practical alternatives and intervene. When doing so, you should keep in mind that your actions are constantly being watched by the learners.
- *Supporting/encouraging:* Develop your ability to provide verbal and nonverbal messages of encouragement, appreciation, affirmation and caring. Try to assist learners in a joint search for solutions.
- *Challenging:* Pose challenging questions to the learners for defining or analysis of problems. Sometimes to probe further, you have to challenge

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them. Challenge their values, their norms. It is not easy. In this process you might have to say something to the learners which might hurt them. Develop your will to be able to say 'no' to learners. You might have to confront or disagree, or even stop a process. Do not hesitate to do so, but be polite and firm. Remember never to be rude to the learners. This hampers the learning process.

- *Openness*: Be open to the learners. Your ability to receive feedback and on it will definitely help you to be a good facilitator. You should be ready to examine your attitudes, values and ideas and change them, if necessary. You should be able to invite dialogues with learners.
- *Modelling*: What modeling means here is not to be a model of any advertisement. Rather, it means that you should be able to respond spontaneously without being idealistic. Never present yourself as an expert. In participatory training, all of us learn from each other.

In spite of your best efforts in trying to make the group harmonious and homogenous; you will always find some learners trying to dominate others. As a facilitator, you should make a conscious effort to use skills we have mentioned earlier and try to bring the learners onto the same platform or level of understanding

4.11 TASKS OF THE TRAINER IN CONDUCTING STRUCTURED EXPERIENCES

You are aware that when conducting participatory training sessions, groups are used as a vehicle of learning. In order to bring about a change in awareness of the learners, different methodologies are used like role play, case study, small group discussion, simulation, games and exercises.

However, these methods do not bring about any change in the learners unless the experiences which are generated by these methods are linked with, and the learning applied to, day-to-day life. Thus, to make the training effective, the experiences during training sessions are structured in such a manner that learning takes place. You, as a trainer, should be able to understand how structured experiences are actually a part of experiential learning. This is perhaps becoming a little difficult to understand. So before we talk more about structured experiences, let us first talk about what is experiential learning.

Structured Experiences as Part of Experiential

Learning Cycle

You have seen that participatory training draws largely from the tenets of adult learning, which hold that adults learn fast from and through experiences.

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These experiences are usually their own — from the past and present. Sometimes they learn from the experiences of others also. These experiences— whether one's own or those of others — are the fundamental source of learning for adults. However, remember that not all experiences lead to learning. For example, if an adult feels some emotions or some vague impression of an experience, it may not lead to learning. Learning takes place when the individual reflects upon the experience, analyzes it, understands the dynamics, gains insights, derives applicability of that particular experience and accordingly brings about change in behaviour.

You feel that most of the time, all through our lives, we go through these steps instinctively, rapidly, unknowingly or quickly. For example, when a person draws water from the well s/he has seen others doing it. May be they use a pulley to pull the bucket with a rope. The person does the same. What s/he has done? S/he has used the experience of others, reflected upon it, accepted it and brought change in the behaviour . Let us take this example again. But suppose the person first tries to draw water from the well without using the pulley. S/he finds that as the bucket comes closer and closer, it becomes harder and harder to pull the bucket. This is his or her own experience. S/he relooks upon and analyzes the situation. This may or may not bring some desired change in the behaviour. Suppose the second time s/he tries with the pulley, and then, reflects upon both the experiences. This may bring some desired change in the behaviour , as the person realizes that it is more convenient to draw water using the pulley. You have seen from both these examples that deep reflection is an important and crucial step. You will also agree that this is not always done consciously. The systematic examination of what is behind the experience and what is behind the reaction are also necessary steps. These, if put together, form a cycle as shown in Figure 4.10 as the experiential learning cycle. This cycle is deliberately used to equip learners, particularly adult learners with the strength to confront experiences and derive conscious learning from them.

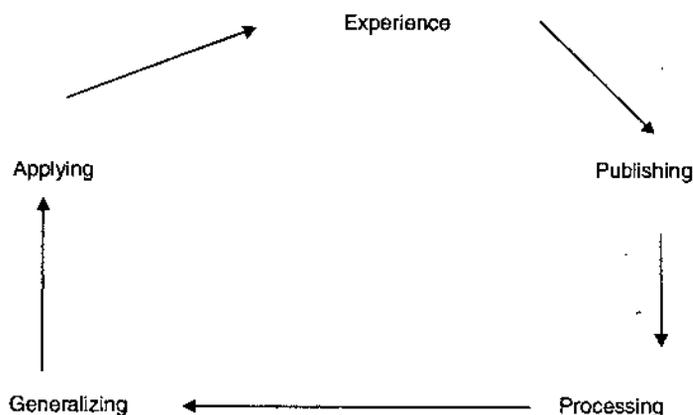


Fig. 4.10. *The Experiential Learning Cycle.*

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Let us take an example to understand each step of the experiential learning cycle. Suppose you want to make the learners understand how the decisions are being taken in the group and how the group members relate to a particular decision that has been taken by the group.

You have divided the learners into small groups, with four to five members in each group. You have given the same exercise to each group to discuss and finally take a decision. The group members will discuss among themselves and take some decision. You will observe different kinds of decision making processes taking place in the groups. This is called *Experiencing*. Now you make these small groups share their decision with the large group. It may happen that they have written down their decision on a piece of paper and read it out in front of the large group. It may also happen that you write it down for them on the black board or on a flip chart.

The sharing of decisions made, information or experience is called *Publishing*. 'Publish' does not mean that the experience you have had or others have had should be published in book form. What it means is that the learners share the reactions and observations with each other. At times, it happens that a few learners may not feel like sharing their reactions and observations with others. In that case, you as a trainer may not use the experience of those learners for learning. For those learners, you would be skipping this phase.

However, learning may take place by gaining from the other's experience. If the situation demands, you may not disclose the identity. For instance, the members may write down their experiences or observations, without writing their names. You may then collect all the papers, mix them up, and then read out each one for discussion. After sharing the reactions and observations, you as a facilitator and the learners reflect upon the implications. You may also like to discuss the pattern of occurrences and the dynamics. You may share with them anything significant that you observed during the experiencing phase of the cycle. Most probably the learners were not aware as to what processes were taking place when they were discussing. This helps in developing a better understanding of the situation. Remember, here you are analyzing the whole process. This part of the cycle is known as *Processing*.

Once the reflection is over, you come to generalizing that is, the group practically understands what has actually happened, and then generalizes it and takes decisions. Based on the data which has been generated and processed in the group discussion, various ways of taking decisions can be derived. To provide a clearer understanding, you as a trainer should add on to what has already been experienced by the learners. Their experiences should be considered by you as the base on which further inputs are added by you for facilitating learning. Perceiving common threads in the experiences of individual members falls in the domain of *Generalizing*.

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Now it is upto the learners who will decide how to use this new learning. As a trainer, you may assist individual learners in undertaking and deriving specific applications of the learning in their day-to-day life. If, in the above example, inputs were given on decision making, you may help the learners understand which decision making process makes the group take responsibility towards the decision. This is called *Applying*.

We are sure by now you have understood why this is called the experiential learning cycle. It is based on the learners' experience, which has been structured for a particular learning in that it is considered appropriate for inclusion in a particular training session designed to meet particular learning objectives. Figure 4.11 clarifies how the learner's own and others' experiences could be utilized for structured experiences and the experiential learning cycle.

When conducting a training programme, you would need to provide the learners with the requisite structured experiences, and guide them through the experiential learning cycle. Women learners are known to learn very

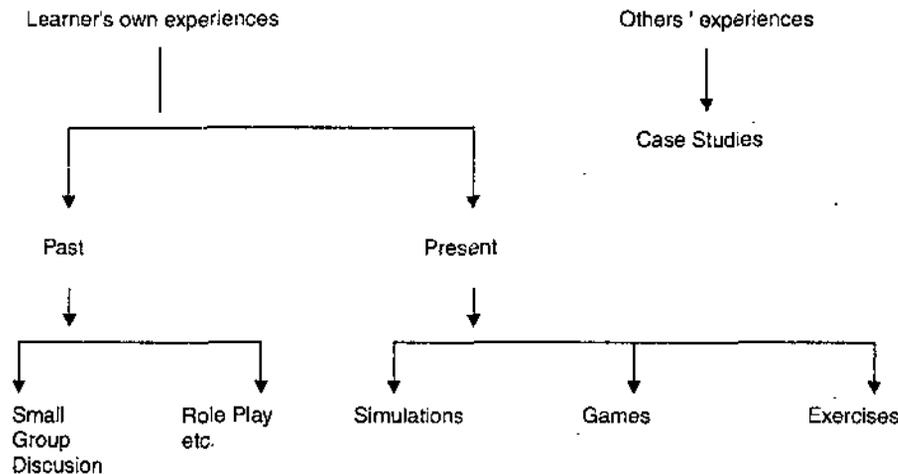


Fig. 4.11. Use of Structured Experiences.

effectively through this approach. Let us now look at some specific roles, responsibilities and tasks that you as a facilitator have to perform when you are conducting a session.

Choosing Appropriate Methods

When you feel or know that the learners have adequate experiences within themselves on the particular subject, and will not hesitate to share their experiences, you may use group discussion. For example, with women from a community who face a drinking water crisis, you can use their knowledge of the situation and their perspective of how to solve this problem. But if you feel that either the group members do not have adequate experience or that they may not be willing to share those experiences, then in that case you

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should use experiences of others, like case studies. Let us take an example. Suppose, with some village women, you want to discuss problems faced by women in starting their own economic activity. You may find that not all women have tried this and that they do not have sufficient knowledge and idea about it.

You may bring to the session a woman who would speak out clearly her own story about starting her own economic activity and subsequently not being able to continue because of various reasons. Have you used a live case study? This is very effective when you are training illiterate village women. If you feel that some experiences or feelings that need to be generated are inherent in a complex social situation, then a simulation could be used. For example, for a group of village women who are not ready to speak out about the injustices being done to them by landlords, a simulation will be an appropriate method. On the other hand, if the experiences or feelings that need to be generated are simple, you may use a game. For example, you may want to show how communication gets distorted by playing the whispering game. That is, let learners sit in a semi-circle. Give a simple message to the first learner of the semi-circle. Let the first one whisper to the second one, who is sitting adjacent to her, the message. In this way, let the message be whispered in the ear of the last learner of the semi-circle. Finally you ask her to speak out the message clearly and loudly. You will find that the message has been distorted in this process of communication. Thus, the methods chosen depend on the issues that have to be taken up.

Preparation

Once you have chosen the appropriate training method to communicate the content, you have to do some preparation and get the materials which are needed for the particular method, ready to use. Suppose it is an illiterate group of learners, and you have decided to use pictures. Now, when you are selecting the pictures you need to be careful, in that the learners should be able to relate themselves easily with the pictures. Mostly, what happens is that you may have some readymade pictures available with you, and to save time and resources, you may plan to use them. It will definitely have less impact. For instance, if in a training programme, the group comprising illiterate rural women of Haryana is shown some pictures of women of South Africa or women from Bengal where the dress styles are different, the correlation may not be so easy and quick. At the same time, drawing pictures for each training programme may not be feasible. One often has to make a compromise. Further, when drawing pictures or getting them made, we need to remember that they are not to be used to show the artistic ability, but to send some messages. We can draw simple pictures which send the same messages. You need to consider the resources available before taking a decision.

Similarly, when you have chosen role play as the training method, you have to identify the theme or the story for the script. In the case of a case study, it might mean identifying an appropriate case and getting copies made.

Briefing about the Task

Clearly state the task to the group members. If it is a group of illiterate learners, make them repeat what has been stated about the task. With a literate group you may write down the task on the black board or a chart or transparency clearly (it depends upon the teaching aid you are using during the training programme). The idea is that you have to make the group clearly understand what they have to share, notice, discuss and deliberate, and analyze. For example, if a decision-making exercise is being conducted, clearly specify that they have to take the decision regarding the specified task. The time limit is clearly specified. The time permitted depends upon the exercise. For example, for a decision-making exercise, half an hour is enough to come to a decision for a group. Necessary procedures of recording and reporting should be made clear, and remember, it should be the same for all the groups. For example, you have to clearly mention that each small group has to present the decision it has taken, and that the presentation can be oral or written, depending upon the level of learners.

Dividing into Groups

It may be necessary to divide the large group into smaller groups for more effective sharing and analysis. Depending upon the number of learners and the task, you have to decide the size and number of groups. There are various methods of dividing the large group into smaller groups. Suppose you have decided that a large group should be divided into four smaller groups. You may ask the learners to start counting from one side. So, starting from one end, the first learner would say 'one', the second learner sitting next should call out 'two', the third learner should say 'three' and the fourth one sitting count 'one' again, and so it goes on till the last learner has called a number.

Now if the large group can be divided by four then you will have an equal number of members in each group, but in case it is not divisible by four, you will have groups where the number may be one more than four. Practically one member extra in a group does not matter. Sometimes you may want to divide members into groups by name, keeping in mind the level of learners and the grasping power of the learners. This can be done only when you have a fairly good idea about the learners, by the third or fourth day of the programme. It is always better to use the count game and form groups during the first and second days of the programme. Another way is that you may ask the group members themselves to form groups as they desire. You, as a facilitator, have the responsibility to see that groups are formed. This

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method may be tried out once or twice in the training sessions, but frequent use of this method of group formation causes different kinds of group dynamics and hinders the learning process.

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Maintaining Control

Though this might sound authoritarian, the facilitator needs to maintain some degree of control over processes like simulations, role plays and games, in order to see that effective learning takes place.

Monitoring the Discussion

While small groups are engaged in discussion, you should keep a constant watch over them for such mundane matters like whether order is maintained and for more important things like whether the task is clear and whether the discussions are on track or not. In case you feel that the progress of group discussion is not on track, you may intervene — depending on the style of intervention you feel will be suitable. At the same time, remember that you should not intervene unless you feel that the group has not understood the task or there are obstacles created by some members.

Debriefing

Debriefing is the process of getting out from the groups or individuals the sum and substance of what they discussed or felt.

Consolidating/Summarizing

The various reports and debriefs should be summarized before the group and various patterns and trends drawn out to put the information into an intelligible framework, that is, a framework which is understood clearly. Most of the time you have to contribute something from your own experiences. This will automatically happen as you conduct more and more training programmes.

Your practical training experience will increasingly help you in consolidating the debriefing information to render it close to real life or real life situations. For example, in the training of women panches (women leaders elected from a village) the session on conflict resolution, after the debriefing, should be related to their day-to-day life, and finally more inputs from your side on conflict resolution, should be concluded. The debriefs, along with your inputs, lead to consolidation.

Providing Inputs

Your inputs should be built on what the learners have shared and published. Participatory training does not expect the trainer to be an expert or specialist

in the subject matter. However, it is also not mandatory that you as a trainer have to summarize on the basis of inputs you received from the learners themselves. As a trainer, it is your duty to provide the necessary information which the learners might not be knowing or be aware of.

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4.12 EVALUATION AND MONITORING OF TRAINING PROGRAMMES

As you have already understood after studying previous chapters, designing a training programme and planning training sessions are very important for conducting a training programme. You have also read that training will be more effective if you could play the role of a facilitator in a training programme. But the question is: how can you be sure that learners are learning? In order to ensure this, you need to evaluate and monitor the training programmes. Evaluation and monitoring are two areas which need constant reflection by the trainers during and after training.

This Unit will help you to reflect upon and consolidate the learning generated from the training programmes you are planning to conduct.

4.13 CONCEPT OF EVALUATION

Evaluation is a process of seeking feedback from learners and co-trainers during and after the training programme about the various aspects of the training programme. Now let us try to understand the concept of evaluation.

What is traditional evaluation?

In traditional evaluation learners involve themselves passively. They are asked questions that evaluate the content part only. The process part is neglected totally. In the traditional method the results of evaluation are usually not shared with the learners. This evaluation seems to help only the trainers, not the learners.

What is participatory evaluation?

Participatory evaluation is an effective learning tool for both the learners and trainers. In this we do not judge whether the training programme was good or bad. What we do in this process is that we discuss and try to bring out the strengths and weaknesses of the training programme. It is considered useful for both trainers and learners.

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4.14 CHARACTERISTICS OF PARTICIPATORY EVALUATION

Not all the methods of evaluation can be termed as participatory evaluation. It has certain characteristics which help to bring out the feedback from the participants and co-trainers effectively. Some of its characteristics are described in the following discussion.

Shared Control: The process of evaluation is controlled by both learners and trainers, not trainers alone.

Development Role: The process reveals the difficulties faced by learners and trainers. Thus it helps to facilitate appropriate action in the form of interventions in the training programme. The results of evaluation help to improve subsequent training programmes.

Awareness Raising : The sharing of information and experiences becomes the basis for awareness generation for both learners and trainers. This helps to spell out clearly what is happening at a given moment of time.

Empowering : The process of mutual information sharing and transparency means that learners are aware of the process and contribute to its outcome. This shared control helps it to become empowering for both learners and trainers.

Mobilization: Involvement of a high degree by the learners enables them to get motivated and mobilized for individual and collective action in improving the training programme.

Joint Problem Solving: In the process of evaluation whatever problem comes, learners and trainers both involve themselves in solving the problem.

4.15 WHAT TO EVALUATE?

In participatory evaluation you will be assessing the changes that have been brought about in the learners and also the effectiveness of the programme as a whole.

Assessment of Changes in the Learners

In order to measure what changes have taken place in the learners, it is important to understand the changes you want to bring about in the learners. You will agree that a participatory training programme cannot increase their height nor can it change the colour of the hair. What it can do is to achieve attitudinal changes within them, increase their knowledge or improve their skills and ultimately bring about changes in their behaviours. Hence what we can evaluate are the changes within the learners that are shown in their behaviours. Thus you will be able to evaluate the following after training:

- Attitudinal changes;
- Behavioural changes;
- Conceptual development/knowledge gain; and
- Performance changes.

Attitudinal Changes

You may evaluate if the training programme has brought about some changes in the attitudes and values of the learners. Does the learner perceive certain significant changes in his or her orientation towards gender relations, work, family, self, etc? Can the learner feel a change in her or his feeling of self worth or self esteem?

Behavioural Changes

After attending the training programme, learners may show some changes in their behaviour. Perhaps by the end of the training the changes would be more visible. You may like to evaluate this change.

Conceptual Development

Do you feel that training has increased the 'knowledge' of the trainees on the topics covered? Will that knowledge be useful in their day-to-day life? Your training programme might have exposed them to the areas about which they knew nothing before attending the training programme.

Performance Changes

You may like to evaluate the changes in the learners which have been brought about by the training programme and how these changes would help the learners to improve the performance of selected tasks. Is there improvement in skills? Perhaps there will be distinct changes in functioning of the individual learners in their day-to-day work.

Assessment of Training Programmes

You would also like to evaluate the training programme as a whole during or after the completion of the training programme. The following are yardsticks through which you can judge the overall effectiveness of the programme.

Training Objectives

You may evaluate the objectives of the training programme based on the following questions.

- (a) Were they realistic?
- (b) Are they achievable? What's the difference?
- (c) If yes — to what extent could the training programme achieve these objectives?

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Contents

You have to ensure that the contents match with the objectives. In order to evaluate whether the content matched with the objectives or not you may ask the learners to evaluate the contents on the following points:

- (a) Whether contents are adequately covered?
- (b) Whether contents are meaningful?
- (c) Which content area will be more useful to your work?
- (d) Which content area do you feel should not have been included in the programme?

Training Methods

As mentioned, in any training programme, you generally use a combination of different methods. They are chosen and planned before you commence the sessions. The following points may help you to evaluate the methods you chose to communicate.

- (a) Are the training methods appropriate to the content?
- (b) Do the training methods communicate the content in a simple way?
- (c) Are the training methods hampering or facilitating the learning process?

Group Processes

Group processes are the processes generally occurring in any group. You have understood the nature of these processes. These processes also contribute to learning. In order to evaluate whether the group processes have contributed to learning you may ask learners to think about the following two questions.

- (a) Are the groups functioning effectively? In case of small group formation, are they serving the purpose for which they were formed?
- (b) Do the group processes contribute to learning or do they interfere with it?

Learning Materials

You will appreciate that mere training sessions are not enough for learning. Whenever the session is concluded, some extra learning materials will be helpful for further reading. It does have more impact. Learning materials can supplement and complement the learning which has already taken place. The following points will help you to evaluate the learning materials:

- (a) Are the learning materials well organized?
- (b) Are the learning materials appropriate to the content?
- (c) Did the learners find the material relevant?
- (d) Are there grammatical or typographical errors in the learning material?
Is the text easily comprehensible?

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Physical Arrangements

No training can be complete unless the physical arrangements are taken care of. You will agree that if the learners are not comfortably seated they find it very difficult to concentrate on the content. A cold, damp classroom in winter or poorly ventilated training rooms in summer without proper physical arrangements can result in distracting the learners and preventing effective learning. A useful checklist for evaluating the physical arrangements includes the following points:

- (a) Are the training facilities comfortable?
- (b) Are the living arrangements all right?
- (c) Are the food arrangements satisfactory?
- (d) Does the physical environment facilitate or hamper the learning?

Physical Equipment

If you are using any equipment for the training programme, ensure that it works properly. Even the blackboard should be such that what you are writing can be easily seen and read by the learners. More sophisticated equipment needs more care in handling. The video film will not be effective if the picture is not seen or sound is not heard clearly. In order to evaluate how effective the equipment is, you may ask the following questions:

- (a) Is the equipment functioning properly?
- (b) Did the equipment add to the learning or did it interfere with it?

Assessment of Trainers

We have to remember that while trainers are important as individuals, they function as part of a training team. The training team is as important as the individual trainer. The ability to conduct a training programme as a trainers' team always enhances the learning. If trainers cannot function as a team and contradict each other, the learners get confused.

The Individual Trainer

For evaluation of the individual trainer, write the name of the trainer to identify him/her and after that you may note how the trainers train. In order to evaluate how effective a trainer has been as an individual trainer and as a team you could use the following checklists.

Trainer Team

- (a) How effective was/is the trainer team?
- (b) Is/was there good co-ordination among the members of the trainer team?
- (c) Is/was there any group process among the trainers enhancing or interfering with learning?

- (d) Are/were they complementary or supplementary to each other?
(e) Was/is there a visible leader in the training sessions?

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4.16 WHEN TO EVALUATE?

Evaluation of the training programme can be done during the training and also at the end of the training programme. During the training programme, evaluation could be daily or mid-term evaluation. When you evaluate the training programme, this helps you in monitoring the training programme. You can also evaluate the training programme at regular intervals. For example, at the end of each day or week or fortnight.

Evaluation

During the training programme		After the training programme	
Daily Evaluation	Mid term evaluation	Evaluation at the end of training	At regular intervals after the end of training

Daily Evaluation

Daily evaluation is very helpful in finding out the problems that come up during the training. They also help in solving such problems. You could adopt any one of the three methods mentioned in the following discussion. Perhaps after conducting a training programme you may come up with an innovative way of daily evaluation. Remember spying never helps. The more open you will be in your activities, the more effective a trainer you will be.

Method 1

Hang a blank chart in a strategic location which all the participants visit. You could hang the chart in the dining hall or in the training hall. Write the date on the top of the chart. It is always better if you divide the chart into two columns by drawing a line from the top and down the centre of the chart. At the top of the first column write 'Feedback on content' and in the second column write 'Feedback on logistics'. Content here means training content and logistics here means physical support you are providing. Request participants to give the feedback of that day's training programme. Always remember that no learning can take place if the learners are worried about their back-home train reservation or mosquito bites. On the other hand, food may be oily or there may be no water in the tap. At the end of the day collect this feedback. Replace the old chart with a new one every day. Try to correct or rectify the problems reported as soon as possible.

Method 2

On the very first day, after you have welcomed the participants and explained the training objectives and design, expectations and issues raised by the participants, you could form a steering committee by inviting two/ three/ four volunteers to be the members of the steering committee on the first day. Remember to specify the number of members before you invite them to be a member of the steering committee. You can decide the numbers according to the number of participants attending the training programme. It is always better if you invite one eighth of the participants as members of the steering committee. For example, if the total number of learners are thirty two, four members form the steering committee. Once the members have volunteered, specify the task they have to perform. You may mention that they have to get the feedback from the participants about both the aspects of the training programme that are academic or content-related as well as logistics as mentioned. Both are important for effective learning. Meet with the steering committee and jot down the feedback given by these members. Share the feedback with the large group the next day. New members will form the steering committee everyday.

Do not form the steering committee on the last and last but one day. By the end of the last training day, you will definitely seek a more elaborate and specific feed back as already mentioned.

Method 3

Discuss in the morning for some time (say fifteen to twenty minutes) the concerns learners want to share. Remember to note down the points shared by the learners. In this process those who are very vocal would participate. Others generally take a back seat. But you want others also to share their views. Remember whatever method you may choose you should be honest to the findings. Playing with the words or embarrassing individuals in a large group while giving feedback should not only be avoided by the trainers but you should also ensure that other learners do not do so. This process of daily evaluation helps you in many ways.

- Participants feel that they are also responsible for the learning taking place in the desired direction.
- Some of the participants who would not like to give their feedback direct to the trainers would feel comfortable in giving feedback to the fellow participants.
- Both learners and trainers give better attention to the training process – they feel the training programme needs to be viewed seriously.
- Learners may initially use this process to find out if the trainers have a genuine interest in the learners' concerns.
- 'Dialogue' between the trainers and learners takes place daily.

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- Different issues that would have interfered with the process of learning are spoken about frankly and problems are solved.
- Daily modifications can take place to keep the learning process smooth and effective.

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Mid-term Evaluation

In the middle of the training programme evaluation can be carried out. This may be quick –not very time consuming or it will interfere with the flow of the training. This is a vital stage of consolidating or putting together the present learning, “giving opportunity for catharsis to take place and ensuring the relevant direction for the remaining period of training.” The following methods are suggested:

Method I

Divide the learners into two or three groups. Let one trainer be the member of each small group. Discuss the training programme with the learners. Note down the feedback. Do not discourage or contradict the feedback. In a group, individual learners can share their feelings; what they feel concerned about; anything particularly important that they have learned; their reactions to the content and process of training, anything new they would like to learn, etc. A sense of where the group is can be gauged in this way.

Method II

Distribute a questionnaire and get the feedback.

Method III

Interview each individual. Although a very effective way, this is time consuming in nature. It is not always useful. It is very effective with an illiterate group.

Immediately after the Training

As soon as the training is completed, an evaluation is held to assess the impact of the training. Experiences are fresh in the minds of the learners and this information must be noted down or else it will get lost as it is forgotten by the learners and trainers both.

This evaluation can be done through an “oral sharing process in groups, through questionnaires, small group meetings and individual meetings. Suggestions for future training programmes can be sought at this stage.”

At Specified Intervals after the Training Programme

After the training programme is over, the learners return to their homes and communities. Through his/her practice, learners explore further and learn to apply the knowledge gained during training.

Remember, many times evaluation is conducted three or six months after the training programme. This can provide a realistic assessment of the learning and its relevance. The learners' assessment immediately after the training programme may be euphoric or rejecting. With the passage of time, this is less likely. The lasting impact of the training programme becomes clearer. However, based on your resources and the time available, it is desirable to evaluate training programmes at all four stages.

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4.17 HOW TO EVALUATE TRAINING PROGRAMMES?

In this section we will discuss the ways in which to evaluate training. We begin with a discussion on collecting information for evaluation.

Primary and Secondary Sources of Information

We must try to obtain valid and authentic information for evaluation from reliable sources. Individual learners have their own indicators and standards for evaluating. Therefore, evaluation feedback can be sought from them. In addition information should be sought from other sources also. These can be classified into two types of sources:

Primary Sources: The following list indicates three primary sources of information:

- *Learners* who will give first hand information.
- *Trainers* who have seen the learners very closely during the training period.
- *Colleagues* (People around the learners or at work) see whether there are any changes in the behaviour of learners:

Secondary Sources: Three secondary sources can be listed:

- *Diary* - If maintained by the learners and trainers during or after the training.
- *Records* - If previous or similar training programmes/ records are available.
- *Reports* - This can be in two forms: (a) Organizational reports like progress, performance or activity reports; (b) Report of a similar training programme conducted earlier.

Remember you should always verify the secondary data available for the training programme. Secondary information is always coloured with or influenced by the perceptions of the writer. Hence you must scrutinize some of the information before you build up the training programme. Your best source of information is you, your trainer teams and the learners. Bank upon

them or rely on them most for the feedback during or after the training programmes.

Techniques of Assessment

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In this sub-section we will discuss five techniques of assessment: Oral sharing; questionnaire; interviews; observation and records.

(A) Oral Sharing

This is a method where participants evaluate the training programme in pairs, groups of three individuals or more. They may have a set of criteria which can be used to evaluate the programme or a questionnaire given to them. Each pair or small group can have a reporter, or they can present one another's reactions. In a large group, the trainers may take notes.

Advantages of oral sharing

It is appropriate for any sort of learner group, especially illiterate learners. It can be used at any time. It reinforces the learner's sense of ownership and participation. Smaller groups might help shy learners to express their views. This does not need a lot of resources.

Disadvantages of oral sharing

Oral sharing can take a considerable duration of time. Some learners may share in detail without giving others a chance to speak. The data might be too superficial or too generalized because learners are not secure about sharing their true feelings. Feedback can reveal only impressions or they can be nonspecific. Learners can influence each other's expressions.

(B) Questionnaire

A questionnaire is a series of written questions on a given topic. These questions are open-ended or close-ended. The answers to questions are not categorized into specific pre-determined categories or choices. Giving the name of the learner is always optional.

Example 1: Question - How relevant was the topic A?

Close-ended questions provide a scale, category or choice from alternatives provided.

Example 2: Question - How relevant was the topic A ?

Fully relevant Partially relevant Not relevant at all.

[Put a tick mark on one of the above mentioned options].

Questionnaires are useful if we need data at different points of time. For example, you may get the feedback through a questionnaire at mid-term evaluation and also at the end of the training programme and perhaps three months and six months after the training programme. This will help you to

analyse at any one point of time or different points of time. Remember, questionnaires are easy to administer and can handle a number of questions. Cross checking is also possible in a questionnaire. The question comes: How can you do this? The best way of cross checking is to ask multiple questions on the same topic, in different forms.

Disadvantages of questionnaires

Questionnaires do not support an interactive process of evaluation. In the mass of data, emotional responses do not come through. They cannot be used with illiterate learners. The anonymous nature of a questionnaire can reduce the motivation of the respondent in providing useful information.

(C) Interview

Interviews are a "face-to-face" method of collecting information. In other words, we meet the learners personally, and gather information by asking them questions and noting down their answers. Interviewing can provide us with very specific information.

Advantages

Since interviews are conducted face-to-face, certain non-verbal cues can be easily picked up and some 'leads' can be followed through. It provides the opportunity to further explore and probe certain issues in detail. This method is more flexible than the questionnaire method. This is a good method to use with illiterate learners.

Disadvantages

The interview method is a time consuming process. Hence it is costly. Also, the interviewers should be trained. Only a good interviewer can create a rapport with the learner. If this is not ensured, interviews may not provide the desired information. The learner may hesitate to provide critical information in the interview if she/he is unsure about its confidentiality.

(D) Observation

Observation techniques are useful methods of collecting data quietly in a natural setting without making it obvious. Data about individual performance and group interactions can be collected by observation. A person observes and notes the necessary information.

Advantages

This data about real life situations can easily be collected. Learners are not subjected to any active interference. Detailed recording is possible. Some of the complex behaviour and processes could be understood better by you through observation. As you will notice, learners sometimes like to give a reply in the form of more socially desirable answers such as "I learnt a lot" or "the training programme was good". Such possibilities are avoided with this method.

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Disadvantages

An inherent disadvantage of the observational method is that it is subject to the biases of the observer. Therefore, data collected become heavily influenced by the perception of the observer and may not be reliable. The gathering of data is limited by the observational skills of the evaluator. Sometimes it may happen that you miss an opportunity to observe. Hence important data gets lost in the process.

(E) Records

Organizations keep several types of records. The nature and types of records kept is influenced by the various stages of an organization's performance and growth. Remember, records are second hand information.

Nevertheless records are valuable information for the evaluator. They provide the background information with which the evaluator can judge progress.

Advantages

The organizational data are easily available. It costs very little to obtain the data.

In most cases records have been maintained over a period of time and it is possible to follow the changes that have taken place over a period of time.

Disadvantages

Interpretation of records should be done with caution, since these records contain 'selected' information and may not be reliable. There are chances of untrue statistics being present in the information. Data may be tampered with to present an organization in a better light. Sometimes records do not contain all the needed information.

Obviously, no one single method of data collection is complete in itself. A combination of different methods provides much more valuable information than one method alone. The important thing you must remember is that you must obtain authentic and valid information from a variety of sources and methods. This provides an opportunity for cross-checking the information obtained. Also you must assess the budget you have available in your hand to gather valid information for evaluation. Based on the above mentioned points a trade-off is necessary. For this you are the best judge.

Consolidation of Feedback

Remember the information you have gathered needs to be consolidated so that you can understand what has happened. Was this the expected outcome? If not, the reasons can be analyzed. When you are doing daily evaluation and mid-term evaluation, remember you do not have to follow a lengthy procedure. When the trainer team feels competent to take corrective measures they

should do so, but at the end of the training programme when you get the feedback you have to write down the points as suggested and take action. An example of a useful format to consolidate the information is given in the following table.

Table 4.7. Concluding Qualitative Evaluation

Topic	Understanding			
	Very little	Average	Good	Excellent
List of contents 1. 2. 3. 4. 5. 6.				
Methods 1. 2. 3. 4. 5. 6.	Not Useful	Partially useful	Quite useful	Very useful
Objectives 1. 2. 3.	Not achieved	Partially achieved	Totally achieved	Quite well achieved

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4.18 MONITORING

Training is monitored based on the feedback you have collected. On the basis of this, corrective measures need to be taken. These corrective measures should follow the monitoring process. Monitoring is done to ensure that desired learning has taken place in learners. Remember, monitoring can be done only during the training programme.

You should systematically elicit and analyze feedback from the learners and co-trainers. Based on the analysis, corrective measures are taken. This will help in monitoring the ongoing training programme. It will also help you to evaluate the training during and after the training is over.

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Why Monitor?

Your future training programme will be built upon the learning from monitoring and evaluation of the previous training programmes. Hence do not think this evaluation is a concluding ceremony only.

The feedback gathered from the evaluation can be used both at the individual and group levels. Modifications can also be brought about in topics, pace of the training programme, re-orientation of sessions, etc. for the entire group of learners. If some individual learners are feeling low and disconnected, they can be supported and encouraged by co-learners and trainers. Remember you may be able to work on some forms of feedback for this training programme but some points may be such that you may not be able to work them out. Note down these points for future training programmes. You may be able to improve upon them in the next training programme. For example, you may have already chosen a training venue keeping in mind all the necessary precautions you should take. In spite of this you may get some negative feedback from the learners regarding the venue. Obviously you may try to change the venue if it is possible. But most of the time you will find that if the venue is changed after the training programme has started, you will find loss of learning time and disturbances in the process of learning. In these cases, it is best to utilize the present situation to the maximum possible extent without changing the venue. However, this point can be recorded and should be taken care of when you identify a training venue for the next programme. Remember, most of the learners understand the limitations of the monitoring process if you are open with them.

SUMMARY

- Before training design issues are considered, a careful needs analysis is required to develop a systematic understanding of where training is needed, what needs to be taught or trained, and who will be trained. Unless such a needs assessment has been adequately performed it may be difficult to rationally justify providing training.
- Personal development plans can be drawn up in a negotiated way between the line manager/supervisor and the individual staff member, regularly reviewed, and formally appraised and updated on an annual basis.
- A training needs assessment typically involves a three-step process that includes organisational, task and person analysis.
- The physical setting, arrangements for lunch, refreshments and other amenities for satisfaction of their physical needs are also an important input in a training programme.