CHAIR LEADERSHIP DEVELOPMENT
PROGRAM

DAY TWO

APRIL 24, 2019
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Interpersonal Mastery

One of the most pressing challenges in higher education is the need to communicate effectively especially in difficult conversations. Given the complexity of CUNY today, leaders cannot afford simply to impose their point of view using traditional autocratic methods. The leadership challenge today is to engage a diverse body of stakeholders in communication, to learn from them, and especially from those who are different, and to develop relationships and networks of relationships based on common meaning and trust. Relationships and networks based on trust are the social capital through which leaders influence others and accomplish organizational goals.

Social capital is developed through communication and dialogue. The word “communication” is derived from the Latin root, *commune* which means to have in common. Communication may be viewed as a learning process in which two or more people engage each other in a search for common meaning and understanding. Dialogue is personal communication in which people exchange ideas and opinions and seek to understand each other at a deeper level through constructing common meaning around their needs, interests, values, and behavior. Effective dialogue can lead to new knowledge, stronger relationships, increased motivation, and improved teamwork. Ongoing dialogue as part of a learning process can lead to *esprit de corps* and a greater sense of community.

This day of the program examines the concept of dialogue and identifies the defensive behaviors that inhibit or undermine the search for common meaning and understanding. It also provides a tool-kit and practice for using difficult conversations to elevate thinking and creativity. The outcome will be an improved understanding of how leaders can communicate more effectively, especially in dealing with conflict and negotiating agreements while at the same time developing stronger relationships and building social capital.

**Learning Objectives:**
1. Identify the positive effects of conflict in a workplace.
2. Analyze your personal conflict style.
3. Apply techniques that can effectively diffuse angry people.
4. Acquire strategies to influence others and lead change.
5. Differentiate between an interest and a position.
6. List the elements of an effective mediation.
7. Propose multiple options for resolving disagreement.
8. Formulate strategies to build effective coalitions and allies.
Day 2 – Developing Your Faculty: Coaching and Appraising

9:00 a.m. Review Lessons from Day 1 and Agenda for Day 2
Review Homework Assignment: Managing Personal Time

9:15 a.m. Using Dialogue and Interest Based Negotiation to Coach and Mentor Faculty and Resolve Conflict
Case Study Applications: Managing Difficult Faculty – The Case of Xavier

10:30 a.m. Break

10:45 Tools and Techniques for Handling Faculty and Student Complaints

Noon Lunch

1:00 p.m. Exercise on Implicit Bias: Privilege Walk – Assessing Diversity, Inclusion and Micro-Aggression

1:30 Developing Emotional Intelligence
Implicit Bias and Micro-Aggression Case Study: Meet Me at Starbucks

Succession Planning: Grooming the Next Chair

3:00 p.m. Break

3:15 p.m. Conducting Performance Appraisal and Succession Planning
The Case of the Faculty Bully

Chair Scholarship Productivity Group Discussion

4:30 p.m. Closing Comments
Homework Assignment: Developing a Strategic Plan

5:00 p.m. Evaluation and Adjournment

Homework
1. Address a difficult conversation
2. Coaching team meetings
3. Working the learning plan
Thomas-Kilmann Conflict Modes

The *Thomas-Kilmann Conflict Mode Instrument* (TKI) is designed to assess an individual’s behavior in conflict situations - that is, situations in which the concerns of two people appear to be incompatible. In such situations, we can describe a person’s behavior along two basic dimensions: (1) assertiveness (advocacy), the extent to which the individual attempts to advocate and satisfy his or her own concerns, and (2) cooperativeness (inquiry), the extent to which the individual attempts to inquire about and satisfy the other person’s concerns. These two basic dimensions of behavior can be used to define five specific methods of dealing with conflicts. These five "conflict-handling modes" are shown below.

**ADVOCACY**

1. **Competing** is assertive and uncooperative, a power-oriented mode.
2. **Accommodating** is unassertive and cooperative - the opposite of competing.
3. **Avoiding** is unassertive and uncooperative.
4. **Collaborating** is both assertive and cooperative - the opposite of avoiding.
5. **Compromising** is intermediate in both assertiveness and cooperativeness.
Principles for Successful Negotiation and Conflict Resolution

1. Understand that successful negotiation is not an adversarial process, but one that establishes a collaborative framework for learning and resolving conflict.

2. Recognize that the needs and interests of conflicting parties must be addressed if there is to be a long-term solution.

3. Understand that negotiation is an ongoing process of dialogue and learning, and that the outcome of the negotiation will affect the long-term relationship and future between the parties.

4. Relationships characterized by presence, mutuality, responsiveness, flexibility, open discourse and learning lead to mutually satisfying outcomes.

5. The goal of the negotiation is to find mutually acceptable hopes and options for moving forward.

6. The best solutions to issues are generated from the needs and concerns the parties bring to the table, not their positions.

7. Each person’s interests are respectfully supported by the views of others.

8. It is the responsibility of all parties to work toward a mutually satisfying outcome.
Leader As Designer, Shaper Architect

There are two aspects to leading strategic change:

1. Setting strategic direction, and
2. Building the organizations ability to adapt and change in moving towards the new direction.

The traditional view of leaders is of special people who address the first aspect by setting the direction, making key decisions and energizing the troops to move forward. At the center of this traditional view, is the assumption of people’s powerlessness, their lack of personal vision and inability to master the forces of change – deficits which can be remedied only by a few great leaders.

In an adaptive, learning organization, leaders act more as designers. They focus more on the second aspect of managing change by building the organization’s ability to learn, change, and adapt, and building a culture where people continually expand their capabilities to understand complexity, clarify vision, perform at a high levels, and improve shared understandings.

The functions of design are rarely visible, yet no one has a more sweeping influence than the designer. The organization’s policies, strategies and ‘systems’ are key areas of design, but leadership goes beyond this. The first task entails designing the governing ideas – the purpose, vision and core values by which people should live. Building a shared vision is crucial early on as it ‘fosters a long-term orientation and an imperative for learning. In essence, ‘the leaders’ task is designing the learning processes whereby people throughout the organization can deal productively with the critical issues they face.
Organizational Cultures

Chris Argyris: Overcoming Organizational Defenses

1. Model 1: The Defensive Organization
   Most organizations foster attitudes that are:
   - Controlling – they act and manage the environment unilaterally
   - Competitive – maximize winning and losing
   - Protective – of themselves and others
   - Withholding – of feelings and information
   - Attributive and blaming – of others
   - Adverse to conflict – at all costs

   **Consequences:** Learning and change stop

2. Model II: The Learning Organization
   Learning organizations foster attitudes that are:
   - Data Seeking – exploring new and risky ideas
   - Collaborative – people are supportive and helpful
   - Empowering – autonomy and value-sharing are prized
   - Open – actions and assumptions are confronted and tested
   - Commitment – people are engaged and take responsibility for their actions
   - Feedback – is valued

   **Changes in motivation:** From controlling to learning

   **Consequences:** Learning and change are encouraged
Moving From Model I to Model II

Four core competencies:

- **Personal Mastery**: The ability to know oneself and learn from experience.
- **Interpersonal Mastery**: The ability to communicate and work well with others particularly in difficult and conflict-related situations.
- **Team Mastery**: The ability to develop and lead groups of individuals towards common goals while learning from experience.
- **Systems Mastery**: The ability to think systemically and lead an organization through a strategic change process in a way that develops commitment and learning.
Leader As Designer

As designers, your responsibility is to:

- Give the organization life, meaning, form.
- Explore the organization’s environment to find threats and opportunities
- Explore those opportunities to see what can be
- Create and bear the organization’s vision and guiding values
- Design and support the system in living that vision.

Do not suck up the details of the day-to-day functioning. When you do, you become burdened by complexity and then designing is not a possibility for you.

Empower your middles. Make them responsible for the day-to-day running of the organization – both running their areas as well as integrating across functions.

Create a vision, guiding values, and governing ideas.

Move around the system, communicate the governing ideas, and make yourself accessible.

Support others with training, resources, systems.
**Left Hand Column Exercise**

<table>
<thead>
<tr>
<th>What you were really thinking</th>
<th>What was actually said</th>
</tr>
</thead>
</table>

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1 From Chris Argyris, *Overcoming Organizational Defensive Routines*
Left Hand Column Exercise Continued …

1. Why didn’t you share what was in your left hand column?
2. What were you afraid would happen?
3. What was the cost of hiding your thoughts – to the task, learning, relationship, or yourself?
4. What was the cost of revealing your thoughts (if you did) – to the task, relationship, or yourself?
5. What would you guess was the other person’s left hand column?

Common unconstructive ways of dealing with difficult conversations:

- **Silence** – avoid or withdraw
- **Violence** – control or attack

**How we think and communicate together is the highest point of leverage for creating an agile, adaptive, learning organization.**

*Conflict is often an opportunity for growth.*
We get into trouble because

- We are governed by tacit patterns of thought (*our mental models*)
- Where much is held privately and not tested publicly, and
- 80% of what we say is advocating our views, and
- We mistake beliefs for reality.
- As a result, our beliefs become self-fulfilling prophecies – we screen data for what we already believe.

How do we unhook ourselves from this?

How do we be honest without being a jerk?

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2 From Chris Argyris, *Overcoming Organizational Defensive Routines*
Dialogue

1. **Definition:** A conversation where people balance advocacy with inquiry to openly explore issues in a way that promotes learning.

   ![Advocacy vs Inquiry Diagram](image)

   **Advocacy:** how to state my position without making others defensive
   **Inquiry:** how to inquire into other’s while genuinely listening

2. **Keys**
   - Adopt a learning attitude
   - Show that you care
   - Treat the other person as a person and not as an object
   - Use non-blaming language
     - Example: “You don’t care enough to keep others informed!” VS “When people don’t know where you are on the project, they get nervous. Do you see that?”
   - Acknowledge feelings and emotions – often at the heart of the matter and leak through anyway – describe but don’t vent!

3. **Advocacy – Walk up your ladder of inference (reveal your ‘story’)**
   - State your view – don’t present as truth, abandon blame
   - Reveal the thinking and feeling (your mental models) that leads you to that view
   - Illustrate with examples and describe impact on self, task, and relationship
   - Invite others to explore your mental model
   - Refrain from defensiveness when questioned

   **Some phrases for advocacy**
   - Here’s what I think and how I got there …
   - I assumed that ….
   - What do you think about what I just said …
   - Please help me think through this …

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3 Adapted from Peter Senge, *The Fifth Discipline Fieldbook*
Dialogue Continued

4. Inquiry – Walk others down their ladder of inference (learn – check out their ‘story’)
   - Explore the other’s view – reveal their mental models
   - Gently question assumptions and data
   - Suspend judgment and listen without resistance
   - Draw out their thinking and feelings
   - Test by asking broader contexts and examples

   **Some phrases for inquiry**
   - What leads you to conclude that …
   - Can you help me understand your thinking …
   - How does this relate to …
   - Am I correct that you are saying …

5. Create a shared pool of understanding

6. Explore solutions together
Dialogue Continued

7. **When you disagree**
   - Continue to probe their thinking
   - Invite further exploration of your thinking

   **Some phrases for when you disagree**
   - How did you arrive at that view …
   - If I understand you correctly, you are saying that …
   - Have you considered …
   - When you say such and such, I worry that …
   - I have a hard time seeing that because of the following …

8. **When at an impasse**
   - Agree on what you know in common
   - Explore what other information is needed
   - Go to a third party for mediation or influence

   **Some phrases for when there is an impasse**
   - What do we know for a fact …
   - What is unknowable …
   - What do we agree and disagree upon …
   - Are we using different assumptions …

9. **Other alternatives to an impasse: draw on other sources of power**
   - Positional authority
   - Performance review
   - Threats or rewards

10. **Your attitude is key to success: from controlling to learning**

11. **Applications**
   - Problem-solving and Decision-making
   - Feedback
   - Conflict
   - Negotiation
   - Coaching
Protocol For a Successful Dialogue

1. **Check attitude – enter a mutual learning mode**
   - What am I feeling, and can I control my emotions?
   - Am I willing to understand the other person’s perspective (mental models)?
   - Am I there to learn or to tell? Can I move from certainty to curiosity?
   - Can I be open, non-defensive, supportive, non-judgmental, and inviting?

2. **Prepare**
   - Is it worth it, and does it matter?
   - Can I be descriptive and not blaming or judgmental?
   - Role reversal: What might the other person’s story be?
   - Independent observer: How may I have contributed?
   - What is my bottom line – in terms of the task at hand, the relationship, and myself?

3. **State your story with humility and with positive intent (use advocacy strategies):**
   - Avoid easing in – speak to the heart of the matter.
   - Describe the issue as you understand it, and its impact on the task, you, or the other person: **Assume a third party perspective – like an observer or mediator** – don’t be locked inside your own story.
   - Describe the data observed and the thinking that led to your view (mental model).
   - Be direct but gentle: **Follow the Situation—Behavior—Impact Model**
     “Here is the situation ____ the behavior I observed ____ and the impact on me (others) _____. What do you think?”
   - Hold your view as a hypothesis; don’t state it as a truth.

4. **Ask for the other person’s story (use inquiry strategies):**
   - Actively listen – inquire, paraphrase, acknowledge feelings – take an interest!
   - Probe to understand – look for their interests in the matter (their mental model).
   - Disentangle intent from impact – don’t assume they mean it.

5. **Encourage testing of one another’s understanding (balance advocacy with inquiry)**
   - Develop a shared pool of understanding.
   - Some defensiveness is inevitable.

6. **Problem solve together (balance advocacy with inquiry)**
   - Reframe – what is most important here?
   - Offer suggestions – ask for suggestions.

7. **Prepare a follow-up plan**

To an untrained eye, it looks like two people having a conversation

- No awkwardness or rigidity
- No feeling of being manipulated
- Authentic
An Angry Faculty Member

Situation
Xavier has been a faculty member in your department for more than five years. He has six staff positions in his lab. He is a rising star in the department; he is smart and quite controlling of his people. He feels he knows his stuff and with all that experience feels at the top of his field. He is decisive, and occasionally loud and belligerent on matters that affect his area. He also is outspoken, brusque, occasionally rude, and tends to deny, rationalize, and justify his own behaviors.

Several of his lab staff have come to you in confidence and said he is occasionally abusive and threatening to people who may disagree with him. Also, he talks as if he is collaborative and participative when, in fact, he is dictatorial, close-minded, and highly manipulative when trying to get his own way. Recently, he had a flare up with one of his staff, Fran, in which he openly belittled her by calling her an “idiot who lacks the brainpower to tie her own shoes” in front of the entire staff. Fran was so upset that she left the lab in tears and filed a grievance with Human Resources.

You have set aside some time for a meeting with Xavier to discuss this incident with him.

Exercise:

1. In pairs, take 10 minutes to develop a plan for how you will resolve the issue with Xavier. Be specific in relation to the process you will use, the tone, and your intended behaviors.
   a) How would you approach this senior faculty member?

   b) How would you avoid putting him on the defensive and being put on the defensive yourself?

   c) Develop a plan for conducting a negotiation with this person.

   d) What would you say to this person?

2. In new groups of 3 – 1 as supervisor, 1 as Xavier, 1 as observer – role play your plan, and then process it in 15 minutes. Switch roles until everyone has had a turn to play each role. Consider the following:

   a) What was worked well, i.e., was helpful?

   b) What could have been done differently?
Conflict Assessment Questions

1. Describe the conflict situation as a third-person observer:

2. Who does this conflict affect, and how?

3. What do you want from it?

4. What does the other party want from it?

5. How important is this issue to you? Why?

6. How important do you think this issue is to the other party? Why?

7. What is at stake? How serious is this conflict? Is it healthy for the organization?

8. What barriers previously prevented the conflict from being brought into the open?

9. What is your past experience with the other party? Is there a pattern of conflict?

10. What are the triggering events, underlying issues, behavior patterns, and consequences of prior conflict with this party?

11. What is the other party’s preferred conflict style?

12. What desirable outcomes might result from this conflict?

13. What undesirable outcomes might result from this conflict?

14. List at least three alternative courses of action and the probable consequences of each.
Conflict Resolution Skills

**Attending:** Showing interest and concern through body language, e.g., eye contact, tone of voice, posture, etc.

**Active Listening:** Reflecting back understanding through paraphrasing, nodding, etc.

**Valuing the Person:** Giving benefit of the doubt, appreciating feelings and position of employee, etc.

**Questioning:** Using open questions to ascertain employee's viewpoint and position, and closed questions to develop and clarify information.

**Disagreeing:** Stating your own position based on your opinion or feelings.

**Confronting:** Presenting documentation of inappropriate behavior or sub-standard performance.

**Contracting:** Attaining agreement on a plan of action for improvement or future expectations.
## Inquiry Approach To Resolving Conflict

<table>
<thead>
<tr>
<th>Objective</th>
<th>Action</th>
<th>Questions</th>
</tr>
</thead>
</table>
| 1. Identify the problem or conflict situation | Let person know reason for the discussion and have documentation of facts ready. | • How do you feel about this situation?  
• Are you having any problems/frustrations? |
| 2. Attain acceptance that a problem exists | Agree that on the basis of your data, changes must be made and accept mutual responsibility for finding a solution to the problem or conflict. | • Why do you think this is a concern/problem? What are the causes?  
• How does this affect you, me, the organization, others?  
• What is your feeling about working with me on solving this problem? |
| 3. Develop a plan of action **together** | Get suggestions from the person and provide suggestions; be open to new ideas; use employee solutions whenever possible and give credit for suggestions. | • How do you think we can resolve this situation, i.e., solve this problem or conflict?  
• What do you think of this idea? |
| 4. Obtain commitment | Summarize the agreed-upon solution or plan of action. | • So that we’re sure we understand each other, let’s summarize how we are going to solve this problem? |
| 5. Establish a follow-up procedure | Determine a way to check on progress and indicate what will happen next. | • How do you think we should follow up on this situation? |
| 6. Reinforce behavior | Restate your expectations and confidence in employee and thank employee for cooperation. | • Do you have any questions or issues?  
• When can we meet again to assess progress? |
Advocacy Method of Conflict Resolution

1. I know _______________ (give benefit of doubt)

2. I appreciate _______________ (value person).

3. But I feel _______________ (your own feeling).

4. When _____________ (situation or behavior causing feeling).

5. I would like _______________ (specific results or behavior expected).

6. When can we meet to review progress ____________.

Example: A person who constantly criticizes the ideas of colleagues during meetings.

I know you are a critical thinker, and I appreciate how important critical thinking is to our task. I’m concerned, however, over the length of time we’re spending at our meetings criticizing each other’s ideas. It is affecting our ability to function as a department and sending the wrong message to the campus. To avoid long and drawn out debates at future meetings, I would like to get your views before the meeting. In this way we can identify common ground and work together to move the agenda forward. How do you feel about working with me on this? When would be a good time to meet to discuss your ideas?
Conflict Resolution Model

1. **SET A POSITIVE TONE.** *ASSUME THE BEST (GIVE BENEFIT OF THE DOUBT).* We often build our biases, or experiences and our own wants and needs into a dark lens through which we look at others. The result is that we approach others with caution, as though we believe that they will do us harm. We tend to assume the worst and this assumption gets in the way of trust. Without trust, relationships are limited to contractual agreements, association based on project responsibilities, or proximity of workspaces.

2. **DESCRIBE THE SPECIFIC ISSUE THAT NEEDS TO BE DISCUSSED.** Use neutral examples of the issue. “We have to discuss the tenure track opening we’ve been authorized to fill for next year. There are a number of different points of view about the specific research focus the junior member should bring to the table.”

3. **ASK THE OTHER PERSON TO TELL THEIR STORY.** Have them talk about their interests related to the issue. You need to describe your interests once the other person has done so, if you have not already described them in your statement of the issue. Note that interests are not solutions to the issue, but rather fears, needs, concerns that give us more information about the issue.

4. **DESCRIBE THE IMPACT OF THE ISSUE ON YOUR WORK, YOUR WORK TOGETHER, AND ON THE ORGANIZATION.** This is where you get to talk about your interests as an individual, AND as an agent of the institution.

5. **WORK TOGETHER TO DEVELOP OPTIONS TO HELP ADDRESS ALL THE INTERESTS.** Think up as many ways to meet each other’s interests as possible. Use any of the brainstorming methodologies available, but be sure to brainstorm systematically to cover the interests.

6. **AGREE ON CRITERIA AND DECIDE RESOLUTION**
   a. Develop criteria: once you’ve brainstormed options, you need to decide among them, or among packages of them. You need objective criteria to keep the decision-making from turning into (or back into) a fight.

   b. Decide resolution. Which options can you employ to meet the interests?

7. **ASSIGN ACCOUNTABILITIES.** Do or revise project plan.

8. **MEET AND MONITOR:** Schedule one or more follow up meetings to evaluate how the plan is working and make modifications to it as needed to keep things resolved and moving forward.
# Styles of Negotiation

<table>
<thead>
<tr>
<th>Positional Negotiation</th>
<th>Laissez Faire Negotiation</th>
<th>Interest-Based Negotiation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants are adversaries</td>
<td>Participants are friends</td>
<td>Participants are problem-solvers</td>
</tr>
<tr>
<td>Goal is victory</td>
<td>Goal is agreement</td>
<td>Goal is “wise outcome reached efficiently and amicably”</td>
</tr>
<tr>
<td>Demand concessions as a condition of relationship</td>
<td>Make concessions to cultivate the relationship</td>
<td>Separate the people from the problem</td>
</tr>
<tr>
<td>Distrust others</td>
<td>Trust others</td>
<td>Proceed independent of trust</td>
</tr>
<tr>
<td>Commit to your position</td>
<td>Change your position easily</td>
<td>Focus on interests, not positions</td>
</tr>
<tr>
<td>Make threats</td>
<td>Make offers</td>
<td>Explore interests</td>
</tr>
<tr>
<td>Mislead as to your bottom line</td>
<td>Disclose your bottom line</td>
<td>Avoid having a bottom line</td>
</tr>
<tr>
<td>Demand one-sided gains as price of agreement</td>
<td>Accept one-sided losses to reach agreement</td>
<td>Invent options for mutual gain</td>
</tr>
<tr>
<td>Search for the single answer: the one you will accept</td>
<td>Search for the single answer: the one they will accept</td>
<td>Develop multiple options to choose from; decide later</td>
</tr>
<tr>
<td>Insist on your position</td>
<td>Insist on agreement</td>
<td>Insist on using objective criteria</td>
</tr>
<tr>
<td>Try to win -- a contest of will</td>
<td>Try to avoid a contest of will</td>
<td>Try to reach a result based on standards independent of will</td>
</tr>
<tr>
<td>Apply pressure</td>
<td>Yield to pressure</td>
<td>Yield to principle, not pressure</td>
</tr>
</tbody>
</table>
Basics of Interest-Based Negotiation

A. Key Premises
   1. The understanding that successful negotiation is NOT an adversarial process, but one that establishes a collaborative framework.
   2. Most negotiations are not purely “win/win” or “win/lose”
   3. The recognition that the needs and interests of both negotiating parties must be addressed if there is to be a long-term solution.
   4. Bargaining over positions can have negative consequences.
   5. Life isn’t usually a “zero-sum” game.
   6. The understanding that negotiation is an ongoing process, and that today’s negotiation will affect the long-term relationship between the parties.

B. Process of Interest-Based Negotiations
   1. Separate the people from the problem.
   2. Focus on interests, not positions.
   3. Invent options for mutual gain.
   4. Insist on using objective criteria.

C. Methods to Facilitate Agreement
   1. Precedent and pattern
   2. Quid pro quo
   3. “Split the difference” rule
   4. Equity and effort
   5. Appeals to fairness
   6. Use of principle
   7. Third-party reference

D. BATNA and WATNA: Best and Worst Alternative To a Negotiated Agreement
   1. What will be your best consequence if you don’t reach agreement? Will what you have be better than what you get if you do reach agreement?
   2. What will be the worst that could happen if you don’t reach agreement? Will that be worse than what you would get if you do reach agreement?
Interest-Based Negotiation Process

1. What are your interests and needs in this situation?

2. Here are my interests and needs in this situation?

3. What ideas or options could satisfy both our interests and needs and result in a win-win situation for us?

4. What criteria or conditions must any solution or option meet to be acceptable? (Examples of important criteria or conditions include the following: “helps the department, improves the workplace climate, stimulates cross-functional work, furthers the mission and goals of the institution, etc.)

5. What are the consequences of not solving this problem or getting our needs met?
**Interest-Based Negotiation Planning**

1. **My interests and goals:** What do I want; what is my bargaining range?

2. **Other party’s interests and goals:** What do they want; what is their bargaining range?

3. **What information do I need:** what questions should I ask?

4. **My Options:** What options will I propose to satisfy mutual interests and goals?

5. **Their Options:** What options might the other party propose? Can I live with any of them?

6. **Standards and criteria:** What standards or criteria will I use?

7. **Their BATNA and WATNA:** What is their best and worse alternative to a negotiated agreement?

8. **My BATNA and WATNA:** What is my best and worst alternative to a negotiated agreement?
Mediation Agenda

(Date, Time, and Place of Mediation)

1. Introduction and Ground Rules – (5 minutes)

2. Review Framework for Agreement – (10 minutes)

3. Identify and Prioritize Interests and Needs – (20 minutes)

4. Present and Evaluate Proposals – (30 minutes)

5. Formalize Agreements and Next Steps (20 minutes)

6. Summarize and Close – (5 minutes)

Ground Rules

- Focus on interests and needs, not on positions.
- Seek mutual understanding.
- Invent options for mutual gain.
- Strive for objective criteria.
- Be respectful and civil.
- Speak your truth without blame or judgment!
- Commit agreement to writing (copy to third party).
- Confidentiality: agree not to discuss process or agreement without mutual consent.
## Mediation Worksheet

**Things I should be ready to put “on the table”**

<table>
<thead>
<tr>
<th>My interests/Needs</th>
<th>The other person’s interests/needs</th>
<th>Options</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>What I really care about. My wants, needs, concerns, hopes, and fears.</td>
<td>What I think the other person really cares about. Their wants, needs, concerns, hopes, and fears.</td>
<td>Possible agreements that we might reach in which both parties’ interests and needs are satisfied.</td>
<td>External standards or precedents that might convince one or both of us that a proposed agreement is fair.</td>
</tr>
</tbody>
</table>

1.  

2.  

3.  

4.  

5.  

28
Mediation Process

A. Describe the circumstances leading to the current impasse:

B. What are the interests and needs of the first party?

C. What are the interests and needs of the second party?

D. What ideas or options could satisfy both our interests and needs and result in a win-win situation for both parties?

E. What criteria or conditions must any solution or option meet to be acceptable? (e.g., helps the department, improves the workplace climate, stimulates cross-functional work, furthers the mission and goals of the organization, etc.)

F. What will be the consequences of not resolving the situation? What will party 1 and party 2 do if there is not a negotiated agreement?
Process For Managing Complaints

Chairs are the link to senior leadership. Faculty and staff view the chair as their advocate. They expect their chair to represent them honestly and effectively. Because they see and talk to their chair far more than other senior leaders, they are likely to feel more comfortable about sharing their concerns with their chair.

When the chair shows a member of the department that he or she listens and responds fairly and quickly to their concerns, the chair gains respect and credibility in their eyes. On the other hand when the chair ignores, avoids, or fails to follow up on their complaints, communications break down and the chair’s credibility suffers.

There are six steps in handling complaints successfully:

1. **Listen.**
   - Make yourself available. Employees won't talk if your attitudes (and availability) discourage communications.
   - Listen for meanings instead of words. Dig beneath the complaint to discover the cause.
   - Don't do all the talking. Use questions - and listen sincerely.
   - Feed back to the employee the essentials of the complaint as you understand them. Get agreement that you've stated the critical points of the story.

2. **Make sure you understand the issue.**
   - Who wants what? - and on what grounds?
   - Is the issue based on an interpretation of policy?
   - Is it a claimed violation of a right (such as the right to work a fair amount of overtime)?
   - Is it a dispute between two or more employees claiming the same right (for example, seniority vs. ability in deciding the right to a promotion)?

3. **What remedy is sought?**
   - If a person has a complaint, he/she seeks a remedy. The chair should know what the remedy is. (Naturally, what the person wants may not be what he/she actually gets. But sometimes, what the person asks for may not even be what he/she wants.) If the chair knows what the employee really wants the investigation can be conducted more intelligently.
4. **Get the facts.**

   a) Who is involved... the claimant?... the manager?... another employee?
   
   b) Does the complaint involve or affect anyone else?
   
   c) If the complaint concerns a work assignment, who ordered the job done?... Was the claimant told to do it?... What did the claimant actually do?
   
   d) Was someone else ordered to do it?... What did s/he do?

5. **Give the answer.**

   • If you're wrong, make the correction promptly. If the person is mistaken, make a full and considerate explanation. If your 're right - maintain your decision - but explain it thoroughly. Check your answer against the following criteria:
   
   • Is my answer fair? Does it respect the rights of the person and protect the rights of the organization?
   
   • Does it answer the question? Some written replies to claims or complaints avoid the issue.
   
   • Is it grounded on the facts of the situation? If facts are omitted or dodged, your decision may likely be reversed.
   
   • Is it an objective answer? Answers that are biased, prejudiced, capricious, or based on quick guess-work can't stand the pressure of close examination.

6. **Follow-up.**

   • There are two main considerations here:
   
   • Check to be sure your plan of action was carried out.
   
   • Study the case to see if it suggests other preventive measures.
Leadership and Emotional Intelligence

"The most effective leaders are alike in one crucial way: they all have a high degree of what has come to be known as emotional intelligence . . . emotional intelligence is the sine qua non of leadership."

~Daniel Goleman

Emotional Intelligence is the differentiating factor in success

1. 90% of the difference between outstanding and average leaders is linked to EI

2. Since top professionals are typically in the top 10% of intelligence, IQ itself offers little competitive advantage

3. EI is two times as important as IQ and technical expertise combined

4. Number of times those made president displayed competency compared to those passed over:

<table>
<thead>
<tr>
<th>Emotional Competency</th>
<th>Frequency Shown</th>
</tr>
</thead>
<tbody>
<tr>
<td>Empathy</td>
<td>3X</td>
</tr>
<tr>
<td>Self-confidence</td>
<td>2X</td>
</tr>
<tr>
<td>Self-control</td>
<td>7X</td>
</tr>
<tr>
<td>Team work</td>
<td>2.5X</td>
</tr>
<tr>
<td>Drive/Self-motivation</td>
<td>2X</td>
</tr>
<tr>
<td>Analytical Thinking</td>
<td>1.2X</td>
</tr>
<tr>
<td>Conceptual Thinking</td>
<td>1.5X</td>
</tr>
</tbody>
</table>

Although those who made president showed cognitive competencies more frequently than those passed over, this difference was not significant.
The Five Components of Emotional Intelligence at Work

<table>
<thead>
<tr>
<th>Definition</th>
<th>Hallmarks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Self-Awareness</strong></td>
<td></td>
</tr>
<tr>
<td>the ability to recognize and understand your moods, emotions, and drives, as well as their effects</td>
<td>self-confidence</td>
</tr>
<tr>
<td></td>
<td>realistic self-assessment</td>
</tr>
<tr>
<td></td>
<td>self-deprecating sense of humor</td>
</tr>
<tr>
<td><strong>Self-Regulation</strong></td>
<td></td>
</tr>
<tr>
<td>the ability to control or redirect disruptive impulses and moods</td>
<td>trustworthiness and integrity</td>
</tr>
<tr>
<td></td>
<td>comfort with ambiguity</td>
</tr>
<tr>
<td>the propensity to suspend judgment – to think before acting</td>
<td>openness to change</td>
</tr>
<tr>
<td><strong>Motivation</strong></td>
<td></td>
</tr>
<tr>
<td>a passion to work for reasons that go beyond money or status</td>
<td>strong drive to achieve</td>
</tr>
<tr>
<td>a propensity to pursue goals with energy and persistence</td>
<td>optimism, even in the face of failure</td>
</tr>
<tr>
<td></td>
<td>organizational commitment</td>
</tr>
<tr>
<td><strong>Empathy</strong></td>
<td></td>
</tr>
<tr>
<td>the ability to understand the emotional makeup of other people</td>
<td>expertise in building and retaining talent</td>
</tr>
<tr>
<td>skill in treating people according to their emotional reactions</td>
<td>cross-cultural sensitivity</td>
</tr>
<tr>
<td></td>
<td>service to clients and customers</td>
</tr>
<tr>
<td><strong>Social Skill</strong></td>
<td></td>
</tr>
<tr>
<td>proficiency in managing relationships and building networks</td>
<td>effectiveness in leading change</td>
</tr>
<tr>
<td>an ability to find common ground and build rapport</td>
<td>persuasiveness</td>
</tr>
<tr>
<td></td>
<td>expertise in building and leading teams</td>
</tr>
</tbody>
</table>

The EQi-2 Emotional Competency Model

Five Composites: Self-perception; Self-expression; Interpersonal Relationships; Decision Making; Stress Management.

Fifteen Subscales:
- **Self-perception**: Self-regard, Self-actualization, Emotional Self-awareness
- **Self-expression**: Emotional expression, Assertiveness, Independence
- **Interpersonal Relationships**: Interpersonal relationships, Empathy, Social responsibility
- **Decision Making**: Impulse control, Reality testing, Problem Solving
- **Stress Management**: Flexibility, Stress tolerance, Optimism
EQI-02 Emotional Competency Model Detail

EQ-I 2.0 Model of Emotional Intelligence

**Self-Perception**
- **Self-Regard**: Respecting oneself while understanding and accepting one's strengths and weaknesses. Self-Regard is often associated with feelings of inner strength and self-confidence.
- **Self-Actualization**: The willingness to persistently try to improve oneself and engage in the pursuit of personally relevant and meaningful objectives that lead to a rich and enjoyable life. Emotional Self-Awareness involves recognizing and understanding one's own emotions. This includes the ability to differentiate between subtleties in one's own emotions while understanding the causes of these emotions and the impact they have on one's own thoughts and actions and those of others.

**Stress Management**
- **Flexibility**: Adapting emotions, thoughts, and behaviors to unfamiliar, unpredictable, and dynamic circumstances or ideas.
- **Stress Tolerance**: Involves coping with stressful or difficult situations and believing that one can manage or influence situations in a positive manner.
- **Optimism**: Is an indicator of one's positive attitude and outlook on life. It involves remaining hopeful and resilient, despite occasional setbacks.

**Self-Expression**
- **Emotional Expression**: Is openly expressing one's feelings verbally and non-verbally.
- **Assertiveness**: Involves communicating feelings, beliefs, and thoughts openly and defending personal rights and values in a socially acceptable, non-offensive, and non-destructive manner.
- **Independence**: Is the ability to be self-directed and free from emotional dependency on others. Decision making, planning, and daily tasks are completed autonomously.

**Decision Making**
- **Problem Solving**: The ability to find solutions to problems in situations where emotions are involved. Problem solving includes the ability to understand how emotions impact decision making.
- **Reality Testing**: The capacity to remain objective by seeing things as they really are. This capacity involves recognizing when emotions or personal bias can cause one to be less objective.
- **Control of Impulse**: Control is the ability to resist or delay an impulsive, urges or temptation to act and involves avoiding rash behaviors and decision making.

**Interpersonal**
- **Interpersonal Relationships**: Refers to the skill of developing and maintaining mutually satisfying relationships that are characterized by trust and compassion.
- **Empathy**: Recognizing, understanding, and appreciating how other people feel. Empathy involves being able to articulate your understanding of another's perspective and behaving in a way that respects others' feelings.
- **Social Responsibility**: Refers to the willingness to contribute to one's social groups. and generally to the welfare of others. Social Responsibility involves making responsible, having social consciousness, and showing concern for the greater community.
# Sample Report Summary

## Overview of Results

<table>
<thead>
<tr>
<th>Composite</th>
<th>Score</th>
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<tbody>
<tr>
<td>Total EI</td>
<td>130</td>
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<tr>
<td><strong>Self-Perception Composite</strong></td>
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<tr>
<td>Self-Regard</td>
<td>125</td>
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<tr>
<td>Self-Actualization</td>
<td>110</td>
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<tr>
<td>Emotional Self-Awareness</td>
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<tr>
<td><strong>Self-Expression Composite</strong></td>
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<tr>
<td>Emotional Expression</td>
<td>116</td>
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<tr>
<td>Assertiveness</td>
<td>128</td>
</tr>
<tr>
<td>Independence</td>
<td>118</td>
</tr>
<tr>
<td><strong>Interpersonal Composite</strong></td>
<td></td>
</tr>
<tr>
<td>Interpersonal Relationships</td>
<td>116</td>
</tr>
<tr>
<td>Empathy</td>
<td>115</td>
</tr>
<tr>
<td>Social Responsibility</td>
<td>116</td>
</tr>
<tr>
<td><strong>Decision Making Composite</strong></td>
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<tr>
<td>Problem Solving</td>
<td>116</td>
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<tr>
<td>Reality Testing</td>
<td>124</td>
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<td>Impulse Control</td>
<td>120</td>
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<tr>
<td><strong>Stress Management Composite</strong></td>
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</tr>
<tr>
<td>Flexibility</td>
<td>125</td>
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<tr>
<td>Stress Tolerance</td>
<td>120</td>
</tr>
<tr>
<td>Optimism</td>
<td>123</td>
</tr>
</tbody>
</table>

*Copyright © 2011 Multi-Health Systems Inc. All rights reserved.*
A. **EQi Skills:** write down up to 3 emotional intelligence skills you would like to further develop (e.g. reflective listening to build empathy, or recognizing how my body responds to stress to raise emotional self-awareness).

1. 

2. 

3. 

B. **EQi Qualities:** Write down up to three overall qualities that you would like to have (e.g., integrity, providing clear leadership, team player, clear communicator). In some way the goals you outline in this action plan should help you achieve the overall qualities you identified.

1. 

2. 

3.
Some Unhealthy Responses to Life

Defensive Behaviors

1. ___ Feeling hurt or victimized: “No one likes me.” “They’re out to get me.”

2. ___ Blaming: “They don’t know what they are doing.”

3. ___ Denial: “I have no problems.” “They just don’t understand me.”

4. ___ Irritability: “Feeling agitated, overly aggressive or quick to criticize.”

5. ___ Vengeful behavior: “I don’t get mad, I get even.”


7. ___ Fantasizing: “I day dream about what I would say if I had the chance.”

8. ___ Avoiding/Withdrawing: “I don’t care anymore – it’s their problem.”

9. ___ Transferring feeling: “Taking out your problems on others.”

10. ___ Making excuses: “This is just the way I am – take it or leave it.”

11. ___ Gossiping: “Demeaning others.” “Spinning the rumor mill.”


Which apply to you?

What can you do to make better choices in how you respond?

---

4 Adapted from George Vaillant, Wisdom of the Ego, Cambridge, MA Harvard University Press, 1997
Healthy Coping Behaviors*

1. Setting priorities: “I’m disappointed but I will deal with it later.”
2. Humor: “I watch comedies when I’m down.”
3. Re-channeling: “I’m taking piano lessons to relax after work.”
4. Helping others: “I comfort my colleagues when they’re down.”
5. Planning & problem solving: “I solve my problems by planning.”

Defending and Coping Behaviors

A. Defending Behaviors:

- Aimed at feelings
- Unconscious reactions to situation
- Tend to be repeated
- Overly intense or exaggerated
- Usually boomerang

B. Coping Behaviors:

- Aimed at reality
- Conscious attempt to change
- Involve behaving, doing, acting
- Values self
- Usually help

DISCUSSION

Longitudinal studies of college graduates and identical twins covering 35 and 60 years respectively, found that defenses in categories 1, 2 and 3 were directly related to dissatisfaction with life, lack of job success, and premature illness. The mature defenses in category 4 were found to be strongly related to life satisfaction, job success, and personal health.¹

We have little control over our environment and others, but we always have the power to choose how we will respond. This ability to choose is what distinguishes us as human. Choose wisely.

Applying Emotional Intelligence

Describe a situation in which you demonstrated significant emotional intelligence? What were you thinking/feeling?

Describe a situation in which you demonstrated little emotional intelligence? What were you thinking/feeling?

Key Steps self-awareness, empathy, and self-expression:

1. What do I feel in this situation?

2. What do others feel in this situation?

3. How should I respond to my feelings?

4. What would be an affirmative response toward others?

5. What questions could I ask to show understanding and validate their feelings?

6. What healthier coping behavior will you choose in the future?
Implicit Bias and Micro-Aggression Case Study: Meet Me at Starbucks*

On April 12, 2018, at a Starbucks location in Philadelphia, two black men, Rashon Nelson and Donte Robinson, were waiting for a friend, Andrew Yaffe. Nelson and Robinson were entrepreneurs and were going to discuss business investment opportunities with Yaffe, a white real estate developer. As they waited, an employee asked if she could help them. They said “no,” that they were just waiting for a business meeting. Then a manager told Nelson that he couldn’t use the restroom because he was not a paying customer.

Because the two men had not purchased anything yet, a store manager called police, even though Robinson had been a customer at the store for almost a decade and both men had used the store location for business meetings before. At least six Philadelphia Police Department officers arrived. The police officers did not ask the men any questions; they just demanded that they leave immediately. They declined. The police officers then proceeded to arrest the men for trespassing. As the arrest occurred, Mr. Yaffe arrived. He said: “Why would they be asked to leave? Does anyone else thing this is ridiculous? It’s absolute discrimination.” The two men were taken out in handcuffs. They were taken to the police station, photographed, and fingerprinted. They were held for almost nine hours before being released from custody. Prosecutors decided that there was insufficient evidence to charge the men with a crime.

After a video of the arrest went viral, Starbucks CEO Kevin Johnson released a statement: “We apologize to the two individuals and our customers and are disappointed this led to an arrest. We take these matters seriously and clearly have more work to do when it comes to how we handle incidents in our stores. We are reviewing our policies and will continue to engage with the community and the police department to try to ensure these types of situations never happen in any of our stores.”

Johnson then announced that every company-owned Starbucks location in the nation would close on May 29, 2018, for “racial-bias education.” When one customer complained on Facebook that closing the stores because of just one incident seemed overkill, Starbucks responded: “There are countless examples of implicit bias resulting in discrimination against people of color, both in and outside our stores. Addressing bias is crucial in ensuring that all our customers feel safe and welcome in our stores.” A similar complaint about closing thousands of stores because of the actions of a handful of employees prompted this response from Starbucks: “Our goal is to make our stores a safe and welcoming place for everyone, and we have failed. This training is crucial in making sure we meet our goal.”

*Adapted and retrieved from McCombs School of Business, University of Texas at Austin, TX https://ethicsunwrapped.utexas.edu/video/implicit-bias
Discussion Questions

1. Do you think the manager of the Starbucks in Philadelphia thought of herself as racist?

2. Do you think that what happened to Nelson and Robinson would have happened had they been white?

3. What stereotypes were invoked in this case and by whom?

4. How did stereotyping influence and/or frame the situation for the manager? For the police? For bystanders?

5. What is your opinion about Starbucks’ response to the arrest of Nelson and Robinson?

6. Will Starbucks’ training session on implicit bias have a beneficial impact?
Responding to Micro-aggression and Implicit Bias

1. **Restate or paraphrase:** “I think I heard you saying (paraphrase their comments). Is that correct?”

2. **Ask for clarification or more information:** “Could you say more about what you mean by that?” “how have you come to think that?”

3. **Acknowledge the feelings behind the statement:** Express empathy and compassion. “It sounds like you’re really frustrated/nervous/angry…” “I can understand that you’re upset when you feel disrespected.”

4. **Separate intent from impact:** “I know you didn’t realize this, but when you (comment/behavior), it was hurtful/offensive because instead you could (different language or behavior).”

5. **Share your own process:** “I noticed that you (comment/behavior). I used to do/say that too, but then I learned _________.

6. **Express your feelings:** “when you (comment/behavior), I felt (feeling) and I would like you to __________.”

7. **Challenge the stereotype:** give information, share your own experience and/or offer alternative perspectives. “Actually, in my experience, I think that’s a stereotype. I’ve learned that another way to look at it is ________.”

8. **Appeal to values and principles:** “I know you really care about acting in this way really undermines those intentions.”

9. **Promote empathy:** Ask how they would feel if someone said something like that about their group, or their friend/partner/child. “I know you don’t like the stereotypes about (their group), how do you think he feels when he hears those things about his group?” “How would you feel if someone said that about/did that to your sister or girlfriend?”

10. **Tell them they’re too smart or too good to say things like that:** “come on. You’re too smart to say something so ignorant/offensive.”

11. **Pretend you don’t understand:** as people try to explain their comments, they often realize how silly they sound, “I don’t get it….,” “Why is that funny?”

12. **Use humor:** exaggerate comment, use gentle sarcasm, “she plays like a girl? You mean she plays like serena Williams or Mia Hamm?”

13. **Point out what they have in common with the other person:** “I’m tired of hearing your Muslim jokes. Do you know he’s also studying ______ and likes to ______? You may want to talk with him about that. You actually have a lot in common.”
14. **Identify what’s in it for them:** explain why diversity or that individual/group can be helpful/valuable. “I know you’re not comfortable with but they can help us reach out to/better serve other groups on campus/in the community.” “In the real world, we are going to have to work with all sorts of people, so might as well learn how to do it here.”

15. **Remind them of the rules or policies:** “that behavior is against our code of conduct and could really get you in trouble.”

Conducting Performance Evaluation and Succession

What is Succession Planning?

Succession planning ensures the continued effective performance of the campus by making provisions for the development and/or replacement of key positions and work activities over time.

The purpose of succession planning is to develop and prepare individuals in the organization in competencies and skill areas to meet the current and future challenges of the institution.

Succession planning is an on-going responsibility of the campus with ultimate accountability for implementation and evaluation of the plan residing with divisional leaders.

Foundational Questions for Performance Evaluation and Succession Planning

1. What key positions and pipelines should be included at your institution in the Succession Planning Process?
2. What attributes and competencies will be most critical for achieving your institution’s mission and CUNY’s mission now and in the future?
3. How will candidates for key roles and positions be identified and evaluated?
4. How will candidates be developed and transitioned to the right roles and positions?
5. How will the succession planning process be implemented and sustained?

Criteria for Identifying Candidates for Succession

- Alignment of role/position with institutional strategic plan, e.g., mission and values
- Time spent in current role
- Relevant competencies, skills and experiences
- Institutional knowledge and relationships
- Performance in current position
- Potential for growth and succession
- Turnover risk
- Recommendations from supervisor and senior managers

Career Growth Proposal

A. CAREER ASPIRATIONS AND GOALS (Line of Sight to Next Position):
(Describe your goals and the type of work you would be interested in doing in the near future [1-3 years] and in the long term [3-5 years]. Indicate the specific position you would like to be considered for in the short term and the timing.)

B. GREATEST STRENGTHS:
Establish a list of the dominant personal and professional strengths, competencies and skills on which you can build your career and achieve your aspirations.

C. IMPROVEMENT AND DEVELOPMENT NEEDS:
(Identify those experiences, characteristics, competencies, skills, etc., where further development may be needed.)

D. PROFESSIONAL DEVELOPMENT PLAN:
(Develop a plan to help you gain the experience, knowledge, skills, training needed to attain the position, including estimated target dates.)

E. NINE-BOX SUCCESSION PLANNING MODEL:

<table>
<thead>
<tr>
<th>Mastery</th>
<th>Growth</th>
<th>Transition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seasoned Professional</td>
<td>Exceptional Emerging Leader</td>
<td>Exceptional High Potential</td>
</tr>
<tr>
<td>- Very effective performance</td>
<td>- Very effective performance</td>
<td>- Very effective performance</td>
</tr>
<tr>
<td>- Potential to move may be limited to area of expertise</td>
<td>- Potential to move with coaching and development</td>
<td>- Desire and capability to move into larger, more complex role</td>
</tr>
<tr>
<td>- May be ready in near future, but within similar role only</td>
<td>- Ready in near future (12-24 months)</td>
<td>- Ready now</td>
</tr>
</tbody>
</table>

- Well Placed Performer
  - Effective performance
  - Potential to move may be limited to somewhat larger role within area of expertise
  - May be ready in future, but within similar role only

- Emerging Leader
  - Effective performance
  - Potential to move with coaching and development
  - Ready in future (2 or more years)

- High Potential
  - Effective performance
  - Desire and capability to move into larger, more complex role with some coaching and support
  - Ready in near future (12-24 months)

- Low Performer
  - Ineffective performance
  - Potential may be further limited by desire
  - Improve or remove

- Marginal Performer
  - Ineffective performance
  - May possess desire and potential to move over time but must improve in several key areas
  - Not seen as ready to move

- New to Role
  - Recently promoted or new to role; needs more time and experience to meet all performance requirements
  - Shows evidence of potential
  - Reassess in 6 months

A. Assessing Performance

1. Inconsistent Performance (Low)
Performed inconsistently against business goals and failed to demonstrate an acceptable level of performance in the leadership competencies required for the current role (or may be new to role and unable to evaluate). May not have received performance ratings or is below successful.

2. Fully Meets or Exceeds Expectations (Medium)
Individual has produced solid results against his or her business goals and has demonstrated a consistently acceptable level of performance in the leadership role.
competencies required for the current role. Typically, “exceeds fully successful” and “fully successful” performance ratings.

3. Exceptional Performance (High)
Produced significant results against business goals and demonstrated a consistently high level of performance in the leadership competencies required for the current role. Typically, “outstanding” and “exceeds fully successful” performance ratings.

B. Assessing Potential

1. Mastery (Low)
   - Possess technical strengths in competencies required for the role but lacks capability to expand leadership skills to the next level of responsibility
   - May not consistently display desire to take on new roles or additional responsibilities
   - Potential may be limited by level of personal career motivation or commitment

2. Growth (Medium)
   - Possesses strengths in a majority of the competencies required for performance at the next level of responsibility and is capable of growing into such a role with development and mentoring
   - Displays desire to move to a larger, more complex role
   - Displays commitment to longer term career growth

3. Transition (High)
   - Possesses strengths in a vast majority of the competencies required for performance at the next level of responsibility and is capable of making the transition
   - Consistently displays desire to move to a larger, more complex role
   - Consistently displays commitment to immediate career growth

C. Assessing Readiness

Defined by the time-period to be ready to move to a higher-level position:

1. Ready in Future (Low)
   Individual is capable of moving into a larger, more complex role with a greater level of responsibility some time beyond two years

2. Ready in Near Term (Medium)
   Individual is capable of moving into a larger, more complex role with a greater level of responsibility within the next 1 to 2 years

3. Ready Now (High)
   Individual is capable of moving into a larger, more complex role with a greater level of responsibility immediately or within the next year
D. Assessing Risk of Turnover

- Reflects the likelihood of the employee leaving within the next year. Ideally, this rating will be based on knowledge of the employee’s career objectives gleaned through regular conversations.

1. **Low**: Individual is not likely to leave for any reason within the next year
2. **Medium**: Individual may be likely to leave for any reason within the next year
3. **High**: Individual is very likely to leave for any reason within the next year

E. Succession Rating and Pipeline Worksheet

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<thead>
<tr>
<th>POSITION:</th>
<th>SUPERVISOR:</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees</td>
<td>Competency and Factor Ratings:</td>
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</tr>
<tr>
<td></td>
<td>Performance</td>
<td>Potential</td>
</tr>
<tr>
<td>B. Bond, Assoc. Dean</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>E. Edwards, Dept. Chair</td>
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</tr>
<tr>
<td>P. Kirk, Vice Provost, Research</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>J. Magee, Asst. Dean</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>New Candidate</td>
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F. Professional Development Plan

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<thead>
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<th>NAME</th>
<th>DEPARTMENT AND LOCATION</th>
<th>DATE</th>
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<tbody>
<tr>
<td>A</td>
<td>B</td>
<td>C</td>
<td>D</td>
</tr>
<tr>
<td>AREAS IN WHICH IMPROVEMENT IS MOST NEEDED</td>
<td>WHAT MUST BE DONE</td>
<td>PROPOSED METHOD – HOW DONE AND BY WHEN</td>
<td>DATE DONE</td>
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Case of A Faculty Bully*

You are the chair of large unit in which you have been a faculty member for many years. Until you became head, you were not fully aware of problems with one of your colleagues, Professor Cannon Sharp. Now you feel besieged with complaints from other faculty and staff members about his treatment of them.

You remember, over the years, having received Sharp’s periodic email messages – sent to the whole department – complaining about one matter or another, but since most of them didn’t affect you directly, you paid little attention to them. You also know that Sharp could be unpleasant at faculty meetings, but he didn’t attend very often, and most of his complaints were heard but not responded to by the previous chair.

Now, however, both the messages and behavior at faculty meetings have become your business. In his typical email messages, Sharp describes a problem, personalizes the fault to a single individual, and recommends a solution that usually involves humiliation, if not discipline, for that person. The people he targets are the same people that are complaining to you that they are being bullied by him and demanding that you take action. In addition, a few faculty members have asked you to do something about this because they don’t want to be bothered by any more of his messages.

At meetings, Professor Sharp uses the same general tactic, usually going after a particular person with strong language in a loud voice. Once he starts with a person he will not let up until he feels vindicated. In the last example, he continually berated a clerk personally and other people over an error in travel voucher for six weeks. This makes some people so uncomfortable that they have walked out of meetings when he enters the room.

1. How would you handle this situation with Professor Sharp? What would you say to him?

2. What would you do if his behavior continues to cause problems?

Chair Research Productivity Group Discussion*

Much of human knowledge is produced in the world’s university departments. There is little scientific evidence, however, about how those hundreds of thousands of departments are best organized and led. This study hand-collects longitudinal data on departmental chairpersons in 58 US universities over a 15-year period. There is one robust predictor of a department’s future research output (and it’s not the amount of resources). After adjustment for a range of personal and institutional characteristics, departmental research productivity improves when the incoming department chair’s publications are highly cited. A one SD increase in citations is associated with a 0.5 SD later rise in departmental productivity. By contrast, the quality-weighted publication record per se of the incoming Chair has no predictive power. Chairs with high scholarly productivity (citations) understand how to create the right incentives and work environment for other research-focused academics and lean toward management practices that are associated with high-impact papers that tolerate early failure, reward long-term success, and gives researchers a great deal of autonomy.

Question: What strategies, methods, ideas can help department chairs maintain and/or improve their scholarship during their tenure?

Listening

If we try to listen we find it extraordinarily difficult
Because we are always projecting our opinions and ideas
Our prejudices, our background, our inclinations, our impulses
When they dominate, we hardly listen at all to what is being said

In that state there is no value at all

One listens and therefore learns
Only in a state of attention, at state of silence
In which this whole background is in abeyance is quiet
Then it seems to me
It is possible to communicate

Krishnamurti
Selected References


