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VIDEODISC INTERPERSONAL SKILLS TRAINING AND ASSESSMENT (VISTA):
TOPICS ANALYSIS AND SCENARIO DEVELOPMENT, VOLUME 2

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item 20. Abstract (continuation)

Previous research indicated that a videodisc system could successfully train soldier skills even when only a fraction of the capabilities of the medium were used. Such a system could be used to supplement the current role playing and, hence, reduce the number of support personnel required.

The research effort included topic analysis, hardware selection, software development, scenario writing, studio production, editing, and videodisc mastering. Final evaluation of the videodiscs produced included the administration of two tests, a test designed to measure the acquisition of leadership skills and a subjective preference test designed to measure user acceptance.

Nine highly interactive videodisc training scenarios covering 20 leadership problems were produced. Overall evaluation results indicated a VISTA superiority followed by role playing and programmed text, with the majority of students indicating that a combination of videodisc and role playing would be optimal for leadership training. Results also indicate that although VISTA products were designed for the Infantry Officer's Basic Course, the problems addressed are probably common to other Army branches and should therefore be investigated for possible application in other training centers. *Key word*

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VIDEODISC INTERPERSONAL SKILLS TRAINING AND ASSESSMENT (VISTA)

EXECUTIVE SUMMARY

Introduction:

The U.S. Army's VISTA (Videodisc Interpersonal Skills Training and Assessment) project was initiated to determine whether leadership and counseling skills could be trained using current computer-assisted instruction/. videodisc technology. The target audience was Army junior officers (Second Lieutenants in the Infantry Officer's Basic Course at Fort Benning, Georgia). Five government agencies and two contractors were involved in this effort that included a front-end topic analysis, hardware selection, software development, scenario writing, studio production, editing, videodisc mastering, and final evaluation. The final evaluation compared the VISTA products with a programmed text containing the same information and role playing using the same topic themes. All seven VISTA videodiscs (nine scenarios) were tested.

Procedure:

The first stage of the project involved a front-end topic analysis, hardware and software selection, and design of the instruction. In the topic analysis, 57 candidate interpersonal problem situation topics were generated and rated by 58 subject matter experts for difficulty, importance, and frequency. Situations involving the highest composite scores for the three dimensions were subsequently addressed in the training scenarios. Twenty problem situations were covered in the 9 scenarios produced to date. The hardware system selected comprised an Apple 2+ computer, a DiscoVision videodisc player, a Sony monitor and other assorted peripherals. The software language chosen was Pascal. Two instructional modes of presentation were designed. The Experiential mode simulates a roleplaying situation. There is no textual feedback and the students can go several steps off the "best path". In the Pedagogical mode, extensive textual feedback is presented and the student is never allowed to go more than one step off the best path.

The second major stage of the project involved the scenario writing and the software development. A scenario authoring aid was developed. Guidance for the determination of appropriate alternatives was derived from the two U.S. Army field manuals dealing with leadership and counseling, subject matter experts, and various theoretical approaches for counseling and leadership. The software was developed to complement the instructional design. In addition, software was developed to allow relatively simple entry of textual information and videodisc frame numbers to expedite future videodisc development efforts.

The final stage involved the evaluation of the seven videodiscs (9 scenarios). An experimental evaluation conducted on all training products measured both learning of leadership principles and the student's acceptance of the new instructional technology.

Findings:

The overall results of the evaluation indicated a VISTA superiority followed by role playing and programmed text, respectively, on a test designed to measure the acquisition of leadership principles. Also, both role playing and videodisc were rated high on a subjective preference scale used to measure user acceptance. Role playing was slightly but significantly higher than videodisc and both videodisc and role playing were much higher than the programmed text. The great majority of the students indicated that a combination of videodisc and role playing would be optimal for leadership training.

Products completed:

- Nine scenarios which address 20 problem areas have been produced and evaluated. Overall results indicated a significant superiority of VISTA products over both role playing and programmed text.
- Two instructional approaches designed to optimize the training impact of the new technology.
- Scenario authoring workbook to aid future scenario writing.
- Generic software that will control any of the videodiscs developed played by either of two popular videodisc players, with or without maintenance of detailed student records, and with choice of two instructional modes.

Utilization:

- The VISTA products were implemented in the Counseling Laboratory of the IOBC in June, 1983.

The following is recommended:

- Due to the success of the VISTA project and other videodisc training projects, the U.S. Army should continue to investigate other possible areas for application of computer-assisted instruction/videodisc training.
- Develop standards in both hardware and courseware structure.
- The VISTA products should serve as a supplement to current leadership training approaches rather than a replacement of those approaches.
- The IOBC Counseling Laboratory is currently taught in two periods, one at the beginning of IOBC and one toward the end. Because of the standardized format, role playing should be conducted in the second laboratory as a performance test and the VISTA products should be utilized in the early laboratory (while students are at an early stage in their learning of leadership).
- Although the VISTA products were developed for the Infantry Officer's Basic Course, the problems addressed are probably common to the other branches. Therefore, the VISTA products should be investigated for possible application in other training centers.

ACKNOWLEDGEMENTS

This study was originated by Dr. Frederick N. Dyer at the U.S. Army Research Institute, Fort Benning Field Unit. A total of five government agencies and two contractors were eventually involved. All seven organizations contributed to the success of the project.

Litton Mellonics was the primary contractor responsible for the great majority of the work effort. The original team was headed by Dr. James E. Schroeder who coordinated the overall effort and designed the instruction and evaluation. Dr. Paul Czerny was responsible for the hardware and software selection and the software development. Mr. Daniel P. Gillotti was the Leadership/Counseling subject matter expert responsible for the development of the scenario content. Dr. Edward W. Youngling was the Program Manager of the Litton Mellonics effort for the entire duration of the contract. Over the months, a number of other Litton employees were involved and made significant contributions: (alphabetically) Dr. Gary C. Bayer; Mr. W. Alfred Cook, Jr; Mr. Harry A. Lucker; Dr. Mary N. Perkins; Dr. Mike S. Perkins; Dr. Robert Pleban; Mr. David W. Reiss; and Dr. Gary P. Williams.

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A special acknowledgement is given to the many individuals who volunteered to serve as actors for the six programs. For the most part, these were active duty soldiers who voluntarily arranged their own work schedules to accommodate the VISTA production schedule. Also, some of the actors were volunteers from Litton Mellonics and ARI at Fort Benning.

Fort Benning's Training Audiovisual Support Center (TASC) provided the facilities and expertise for the production of five of the six programs and editing of all six programs. Special credit is extended to Mr. Rubin Webster, Mr. Randy Amos, and Mr. Bennett Yeilding and their staff. The TASC at Fort Gordon provided the actors, facilities, and expertise for the production of the "Performance Counseling" program. Special credit is given to MAJ Doug Dooley, Mr. Gaylord Cavallaro and their staff.

The Training Development Institute (TDI) at Fort Monroe, VA provided funds for the topic analysis, instructional design, software development, scenario development, and evaluation. Acknowledgement is given to COL F. A. Nerone, COL Edmund J. Glabus, Ms. Janet Lamb, Ms. Jean Rose, Mr. Donald A. Kimberlin, and Mr. Frank E. Giunti for their valuable guidance and comments.

The Army Communicative Technology Field Office (ACTO) provided the hardware for the development as well as the funds for the videodisc mastering which was completed by Discovision (later Pioneer Video). Special thanks are extended to COL John A. Goetz, Mr. Bob Reynolds, Mr. Pete Benden, and CPT John Thompson from ACTO for their valuable coordination and assistance.

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APPENDIX A
TOPIC ANALYSIS

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APPENDIX A

TOPIC ANALYSIS

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APPENDIX A

Part 1

Interpersonal Skills Interview*

The purpose of this interview is to determine the most critical topics in the area of Interpersonal Situations you as a leader encounter during your daily activities. The information you furnish will be used to refine the present Leadership and Interpersonal Relations skills presently being taught to new leaders.

I will now suggest some classifications of situations I feel leaders normally encounter. After I mention a particular classification, I'll pause and give you an opportunity to respond with topics you feel are critical. Please feel free to express yourself.

Are there any questions before we begin? (Pause to answer questions or make clarification.)

The first classification is "Leader to Subordinate" topics. (Pause for response.)

* The following 3 pages duplicate verbatim the interview schedule used to collect information to identify 87 leadership problem situations.

The next classification is "Leader to Group" topics. (Pause for response.)

The next classification is "Subordinate to Leader" topics. (Pause for response.)

Are there any major topics of concern to you that we have not covered? If there are, I would like to hear about them.
(Pause for response.)

(After response, proceed to closing statement.)

CLOSING STATEMENT: At this time I would like to thank you
for sharing your knowledge and experience
with me. Your contribution will have
an effect on the Army's overall goal to
refine Counseling and Interpersonal
Relations skills being taught new leaders.

APPENDIX A

Part 2

List of 87 Problem Situations*

SECTION 1: GENERAL TOPIC SITUATIONS

Subsection A: Junior Officer to NCO Relationships.

Situation 1: A junior officer understanding the role and responsibilities of the NCO.

Situation 2: A junior officer counseling an NCO about job performance.

Situation 3: A junior officer counseling an NCO about personal problems.

Subsection B: Junior Officer to Enlisted Soldier Relationships.

Situation 1: A junior officer counseling an enlisted soldier about job performance.

Situation 2: A junior officer counseling an enlisted soldier about personal problems.

Subsection C: A Junior Officer's Awareness of Common NCO and Enlisted Personal Problems.

Situation 1: A junior officer's awareness of financial problems.

Situation 2: A junior officer's awareness of marital problems.

Situation 3: A junior officer's awareness of behavioral problems.

Situation 4: A junior officer's awareness of drug and alcohol problems.

Situation 5: A junior officer's awareness of the pitfalls of fraternization versus isolation.

SECTION 2: JUNIOR OFFICER TO NCO RELATIONSHIPS

Subsection A: Counseling NCO's about Job Performance.

Situation 1: A junior officer counseling a sergeant who has failed a series of inspections, e.g., common areas, weapons, vehicles, troops, personal appearance, etc.

Situation 2: A junior officer counseling a sergeant whose platoon has failed to pass a training exercise, e.g., over 50% of platoon members could not qualify with their basis or crew served weapons, NBC proficiency test, higher than normal rate of SQT failures, a poor showing on a Battalion ARTEP, etc.

Situation 3: A junior officer counseling a sergeant who has failed to have his men and equipment report on time for a support requirement at the Infantry School.

* Preliminary list of 87 candidate problem areas.

- Situation 4: A junior officer counseling a sergeant who shows up late for work, or who disappears for unusually long periods of time during duty hours.
- Situation 5: A junior officer counseling a sergeant who hangs around the 1st SG's office or CO's office excessively, ignoring his duties.
- Situation 6: A junior officer counseling a sergeant who verbally abuses and belittles soldiers in front of other platoon or squad members.
- Situation 7: A junior officer counseling a sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly or will not participate in the exercises.
- Situation 8: A junior officer counseling a sergeant whose personal appearance is starting to slip below standards, e.g., dirty uniform, improper or missing insignia, rips, tears, missing buttons, hair too long, dirty boots, etc.
- Situation 9: A junior officer counseling a sergeant who has shown up for work hungover on numerous occasions or who has returned from lunch unable to perform because of drinking his lunch.
- Situation 10: A junior officer counseling a sergeant who will not accept responsibility for his men and/or his equipment.

Subsection B: Counseling NCO's About Personal Problems.

- Situation 1: A junior officer counseling an NCO about his inability to provide adequate support for his family while on an extended field exercise or an overseas tour.
- Situation 2: A junior officer counseling an NCO about bad checks or writing checks on a closed account.
- Situation 3: A junior officer counseling an NCO about letters of indebtedness.
- Situation 4: A junior officer counseling an NCO about gambling with his peers or subordinates.
- Situation 5: A junior officer counseling an NCO about his excessive drinking and/or use of drugs.
- Situation 6: A junior officer counseling an NCO about fraternizing with his subordinates, e.g., drinking, gambling.
- Situation 7: A junior officer counseling an NCO about domestic disturbances, e.g., child abuse, spouse abuse.

- Situation 8: A junior officer counseling an NCO about marital problems, e.g., wife not adjusting to Army life, husband gone for long periods, working late and on weekends, CQ, SDNCO, SOG.
- Situation 9: A junior officer counseling an NCO about general money management, e.g., not having enough money to feed the family at the end of the month, some bills going unpaid, not enough gas money to get to work.
- Situation 10: A junior officer counseling an NCO about taking responsibility for his dependents, e.g., making hospital appointments, kids causing trouble--shoplifting, drugs, fighting, vandalizing, etc.--wife constantly calling husband at work.

Subsection C: Understanding the Role of the NCO.

- Situation 1: The NCO will prepare subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.
- Situation 2: The NCO will be held accountable for the location and actions of subordinates while in a duty status.
- Situation 3: The NCO will insure that the individual arms and equipment of subordinates, and all other government property issued to the unit is properly maintained and accounted for at all times.
- Situation 4: The NCO will insure that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.
- Situation 5: The NCO will supervise the care and maintenance of enlisted personnel billets and billet areas, and unit work areas.

SECTION 3: JUNIOR OFFICER TO ENLISTED SOLDIER RELATIONSHIPS

Subsection A: A Junior officer Counseling Enlisted Soldiers about Job Performance.

- Situation 1: A junior officer counseling an enlisted soldier who has repeatedly failed inspections on his weapon or vehicle.
- Situation 2: A junior officer counseling an enlisted soldier whose poor performance on a recent training exercise was easily recognizable.
- Situation 3: A junior officer counseling an enlisted soldier who has failed to verify his SQT.
- Situation 4: A junior officer counseling an enlisted soldier who has done an outstanding job on a training exercise.

- Situation 5: A junior officer counseling an enlisted soldier about his E.E.R.
- Situation 6: A junior officer counseling an enlisted soldier who has repeatedly failed to show up for work on time.
- Situation 7: A junior officer counseling an enlisted soldier who disappears during duty hours.
- Situation 8: A junior officer counseling an enlisted soldier who is insubordinate.
- Situation 9: A junior officer counseling an enlisted soldier who cannot keep up with the platoon during physical training.
- Situation 10: A junior officer counseling an enlisted soldier whose personal appearance is falling below standards.

Subsection B: A Junior Officer Counseling Enlisted Soldiers About Personal Problems.

- Situation 1: A junior officer counseling an enlisted soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.
- Situation 2: A junior officer counseling an enlisted soldier about writing bad checks.
- Situation 3: A junior officer counseling an enlisted soldier about letters of indebtedness.
- Situation 4: A junior officer counseling an enlisted soldier about gambling with his peers.
- Situation 5: A junior officer counseling an enlisted soldier about abusing drugs and alcohol.
- Situation 6: A junior officer counseling an enlisted soldier about fighting with peers.
- Situation 7: A junior officer counseling an enlisted soldier about domestic disturbances, child abuse or spouse abuse.
- Situation 8: A junior officer counseling an enlisted soldier about marital problems.
- Situation 9: A junior officer counseling an enlisted soldier about general money management.
- Situation 10: A junior officer counseling an enlisted soldier about being responsible for his dependents.

SECTION 4: AWARENESS OF COMMON NCO AND ENLISTED PERSONAL PROBLEMS

Subsection A: Financial Problems.

A-1. Mismanagement of Money.

- Situation 1: A soldier unable to balance a checkbook or who writes bad checks.
- Situation 2: A soldier who receives letters of indebtedness because bills are not paid on time or neglected completely.
- Situation 3: A soldier who is a chronic gambler.
- Situation 4: A soldier who has been asked to cosign a loan.
- Situation 5: A soldier who has no money for bio-subsistence needs for his family at the end of the month.
- Situation 6: A soldier who runs up large phone bills because he is homesick or lonely.
- Situation 7: A soldier who does not understand the implications of taking an advance pay.

A-2. Emergency or Special Situations.

- Situation 1: A soldier who needs to go on emergency leave because of injury, serious illness, or death in his immediate family.
- Situation 2: A soldier who relocates his family to his new duty station, which is his first assignment.
- Situation 3: A soldier whose home has been involved in a theft, fire, or a natural disaster resulting in his family being deprived of the bio-subsistence needs.

Subsection B: Marital Problems

- Situation 1: No money for bio-subsistence needs because the soldier's priorities are not in order, i.e., big car, stereos, jewelry, before bio-subsistence needs.
- Situation 2: The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.
- Situation 3: The wife who cannot accept, or does not understand, Army life.
- Situation 4: The foreign wife with a language problem.

Subsection C: Behavior Problems.

- Situation 1: The soldier who normally is very social with his peers and superiors and suddenly becomes very withdrawn, extremely quiet and depressed.
- Situation 2: A soldier who breaks out in sudden fits of uncontrollable rage.
- Situation 3: A normally contented soldier who begins to complain more and more each day.
- Situation 4: The soldier who begins to pick fights on an increasing scale.
- Situation 5: The soldier who openly begins to disobey any order given him.
- Situation 6: A soldier mumbling about suicide.
- Situation 7: A soldier with "Delusions of Grandeur."
- Situation 8: A soldier with "Delusions of Persecution."
- Situation 9: A soldier who begins yelling about going AWOL.
- Situation 10: A soldier whose sick call visits are starting to increase.

Subsection D: Drug and Alcohol Problems.

- Situation 1: A junior officer notices SP4 Jones daydreaming every day between 0800 and 1200 hours.
- Situation 2: A junior officer notices PFC Smith's behavior has turned highly excitable, extremely boastful, and he tends to overemphasize every little detail.
- Situation 3: A junior officer receives a call from the wife of one of his squad leaders complaining about her husband coming home drunk on an ever increasing rate.
- Situation 4: A junior officer notices that PFC White, who is normally even tempered, suddenly begins to be argumentative and overly aggressive, challenging anyone of authority.
- Situation 5: A junior officer notices that SP4 Green disappears to the latrine about every 15-20 minutes. When asked about his actions, he becomes very defensive.
- Situation 6: A junior officer notices that when he talks to PFC Gray, he cannot hold his attention for longer than 5 seconds, and PFC Gray's responses are usually inappropriate.

Situation 7: A junior officer observes that SP4 Blue talks and rambles on continuously for long periods of time.

Situation 8: A junior officer notices that SGT Wilson is extremely anxious and disoriented late in the afternoon, constantly watching the clock and mumbling about "happy hour."

APPENDIX A

Part 3

IOAC Questionnaire *

LEADERSHIP and INTERPERSONAL SKILLS INTERVIEW

US ARMY RESEARCH INSTITUTE

and

LITTON-MELLONICS

FORT BENNING, GEORGIA

* The following pages duplicate verbatim the IOAC Interview used to determine Difficulty, Importance, and Frequency of the 57 different interpersonal situations.

Leadership and Interpersonal Skills Interview

The objective of this interview is to determine the most critical situations in the areas of Leadership and Interpersonal Skills that new leaders encounter when dealing with their subordinates on a day to day basis. The information you furnish will be used to develop materials that will supplement the program on Leadership and Interpersonal Skills training which is currently in use.

Following your responses to each sub-section, you will be asked to identify situations not previously listed that you feel are important. Space will be provided at the end of each sub-section for your comments. We are very interested in what you have to contribute to this interview.

THIS IS NOT A TEST. IT IS A STRUCTURED OPINION INTERVIEW.

You will be asked to rate each situation in the interview on three dimensions:
Frequency(how often does this occur). Importance(how important is it that the problem be handled well), and Difficulty(how difficult is it to handle the problem). Circle the number on that part of the scale which best represents your response.

Example: A Platoon Leader counseling a Private who has just returned from AWOL.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Section 1: Junior Officer to NCO Relationships.

Subsection A: Counseling NCO's About Job Performance.

1. Situation 1: A Lieutenant counseling a Sergeant who has failed a series of unannounced inspections.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

2. Situation 2: A Platoon Leader counseling a Sergeant whose platoon has failed to pass a training exercise.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

3. Situation 3: A Lieutenant counseling a Sergeant who has failed to have his men and equipment report on time for a support requirement.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

4. Situation 4: A Platoon Leader counseling a Sergeant who hangs around the ISG's or CO's office excessively, ignoring his duties.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

5. Situation 5: A Platoon Leader counseling a Sergeant who verbally abuses and belittles soldiers in front of other platoon or squad members.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

6. Situation 6: A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g. dropping out of the daily run repeatedly.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

7. Situation 7: A Lieutenant counseling a Sergeant whose personal appearance is starting to slip below standards.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

8. Situation 8: A Platoon Leader counseling a Squad Leader who will not accept responsibility for his men and or his equipment.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

9. Situation 9: A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Are there any other situations you have encountered in the area of Job Performance which you feel are important? Write your comments here:

Section 1: Junior Officer to NCO Relationships.

Subsection B: Counseling NCO's About Personal Problems.

10. Situation 1: A Platoon Leader counseling an NCO about his unwillingness to provide adequate support for his family while on an extended field exercise or an overseas tour.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

11. Situation 2: A Platoon Leader counseling a Squad Leader about gambling with his subordinates.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

12. Situation 3: A Platoon Leader counseling a Squad Leader about over fraternizing with his subordinates.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

13. Situation 4: A Lieutenant counseling an NCO about domestic disturbances, e.g. child abuse, spouse abuse.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

14. Situation 5: A Lieutenant counseling an NCO about taking responsibility for his dependents, e.g. insuring they make hospital appointments, kids causing trouble - shoplifting, drugs, fighting, vandalizing etc.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

15. Situation 6: A Lieutenant counseling an NCO about being too isolated from his subordinates.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Are there any other situations you have encountered in the area of Personal Problems which you feel are important? Write your comments here:

Section 2: Junior Officer to Enlisted Soldier Relationships.

Subsection A: A Junior Officer counseling Enlisted Soldiers about job performance.

16. Situation 1: A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed inspections on his weapon or vehicle.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

17. Situation 2: A Platoon Leader counseling an Enlisted Soldier whose poor performance on a recent training exercise was easily recognizable.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

18. Situation 3: A Platoon Leader counseling an Enlisted Soldier who has failed to verify his SQT.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

19. Situation 4: A Platoon Leader counseling an Enlisted Soldier who has done an outstanding job on a training exercise.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

20. Situation 5: A Platoon Leader counseling an Enlisted Soldier about his E.E.R.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

21. Situation 6: A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed to show up for work on time.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

22. Situation 7: A Platoon Leader counseling an Enlisted Soldier who disappears during duty hours.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

23. Situation 8: A Lieutenant counseling an Enlisted Soldier who is insubordinate.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

24. Situation 9: A Platoon Leader counseling an Enlisted Soldier who cannot keep up with the platoon during physical training.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

25. Situation 10: A Platoon Leader counseling an Enlisted Soldier whose personal appearance is falling below standards.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Are there any other situations you have encountered in the area of job performance which you feel are important? Write your comments here:

Section 2: Junior Officer to Enlisted Soldier Relationships.

Subsection B: A Junior Officer counseling Enlisted Soldiers about personal problems.

26. Situation 1: A Lieutenant counseling an Enlisted Soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

27. Situation 2: A Lieutenant counseling an Enlisted Soldier about being responsible for his dependents, e.g.; insuring they make hospital appointments, etc.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

Are there any other situations you have encountered in the area of personal problems which are important? Write your comments here:

Section 3: Awareness of common NCO and Enlisted personal problems.

For each situation below, indicate by circling the appropriate response for the Frequency at which you feel these situations occur, the Importance of handling the situation well, and the Difficulty experienced in handling the situation? Additionally, indicate by circling the appropriate response if you would, or would not refer. If you choose to refer, indicate the agency you would refer to.

Subsection A: Financial Problems.

A.1. Mismanagement of money.

28. Situation 1: A soldier unable to balance a checkbook, or who writes bad checks.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

29. Situation 2: A soldier who receives letters of indebtedness because bills are not paid on time or neglected completely.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

30. Situation 3: A soldier who is a chronic gambler.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

31. Situation 4: A soldier who has been asked to cosign a loan.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

32. Situation 5: A soldier who runs up large phone bills because he is homesick or lonely.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

A.2. Emergency or Special Financial situations.

33. Situation 1: A soldier who needs to go on emergency leave.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

34. Situation 2: A soldier with insufficient funds who relocates his family to his first duty station.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

35. Situation 3: A soldier whose home has been involved in a theft, fire, or a natural disaster.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

Are there any other situations in the area of Financial problems which you feel are important? Write your comments here:

Subsection B: Marital Problems.

36. Situation 1: No money for bio-subsistence needs because the soldier's priorities are not in order i.e., big car, stereos, jewelry before bio-subsistence needs.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

37. Situation 2: The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

38. Situation 3: The wife who cannot accept, or does not understand Army life.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

Are there any other situations in the area of Marital problems which you feel are important? Write your comments here:

Subsection C: Behavior Problems.

39. Situation 1: The soldier who normally is very social with his peers and superiors, and suddenly becomes very withdrawn, extremely quiet, and depressed.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

40. Situation 2: A soldier who breaks out in sudden fits of uncontrollable rage.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

41. Situation 3: A normally contented soldier who begins to complain more and more each day.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

42. Situation 4: The soldier who begins to pick fights on an increasing scale.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

43. Situation 5: The soldier who openly begins to disobey any order given him.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

44. Situation 6: A soldier mumbling about suicide.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

45. Situation 7: A soldier whose sick call visits are starting to increase.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

Are there any other situations in the area of Behavior Problems that you feel are important? Write your comments here:

Subsection D: Drug and Alcohol Problems.

46. Situation 1: A Platoon Leader notices SP4 Jones daydreaming every day between 0800 - 1200 hours.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

47. Situation 2: A Platoon Leader notices PFC Smith's behavior has turned highly excitable, extremely boastful, and shows a tendency to overemphasize every little detail.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

48. Situation 3: A Platoon Leader receives a call from the wife of one of his Squad Leaders complaining about her husband coming home drunk at an ever increasing rate.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

49. Situation 4: A Lieutenant notices that SP4 Green disappears to the latrine about every 15 - 20 minutes. When asked about his actions he becomes very defensive.

	not frequent						very frequent
Frequency:	1	2	3	4	5	6	7
	not important						very important
Importance:	1	2	3	4	5	6	7
	not difficult						very difficult
Difficulty:	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

50. Situation 5: A Platoon Leader notices that when he talks to PFC Gray, he cannot hold his attention for longer than 5 seconds, and PFC Gray's responses are usually inappropriate.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

51. Situation 6: A Lieutenant observes that SP4 Blue talks and rambles on continuously for long periods of time.

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

52. Situation 7: A Platoon Leader notices that Sgt Wilson is extremely anxious and disoriented in the afternoon, constantly watching the clock, and mumbling about "happy hour."

Frequency:	not frequent						very frequent
	1	2	3	4	5	6	7
Importance:	not important						very important
	1	2	3	4	5	6	7
Difficulty:	not difficult						very difficult
	1	2	3	4	5	6	7

Would you refer? yes no. To what agency would you refer? _____

Are there any other situations in the area of Drug and Alcohol Problems which you feel are important? Write your comments here:

Section 4: Junior Officer to NCO Relationships.

Subsection A: Understanding the Role of the NCO.

Listed below are some traditionally accepted NCO roles. How Frequently are these roles misunderstood, how Important is it that these roles be understood, and how Difficult are these roles for the Junior Officer to understand?

53. Situation 1: The NCO is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.

	not frequent					very frequent	
Frequency of Misunderstanding:	1	2	3	4	5	6	7
	not important					very important	
Importance:	1	2	3	4	5	6	7
	not difficult					very difficult	
Difficulty:	1	2	3	4	5	6	7

54. Situation 2: The NCO will be held accountable for the location and actions of subordinates while in a duty status.

	not frequent					very frequent	
Frequency of Misunderstanding:	1	2	3	4	5	6	7
	not important					very important	
Importance:	1	2	3	4	5	6	7
	not difficult					very difficult	
Difficulty:	1	2	3	4	5	6	7

55. Situation 3: The NCO will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all times.

	not frequent					very frequent	
Frequency of Misunderstanding:	1	2	3	4	5	6	7
	not important					very important	
Importance:	1	2	3	4	5	6	7
	not difficult					very difficult	
Difficulty:	1	2	3	4	5	6	7

56.

Situation 4: The NCO is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesies.

		not frequent					very frequent	
Frequency								
of Misunderstanding:		1	2	3	4	5	6	7
		not important					very important	
Importance:		1	2	3	4	5	6	7
		not difficult					very difficult	
Difficulty:		1	2	3	4	5	6	7

57.

Situation 5: The NCO will supervise the care and maintenance of enlisted personnel billets and unit work areas.

		not frequent					very frequent	
Frequency								
of Misunderstanding:		1	2	3	4	5	6	7
		not important					very important	
Importance:		1	2	3	4	5	6	7
		not difficult					very difficult	
Difficulty:		1	2	3	4	5	6	7

Please provide any other situations concerning the understanding of the role of the NCO. Write your comments below:

APPENDIX A

Part 4

Table 10

IOAC Demographic Data*

RANK:

1LT's	18	31%
CPT's	41	69%

Source of Commission:

ROTC	33	56%
USMA	13	22%
OCS	11	19%
Direct	2	3%
Prior Service	19	32%
No Prior Service	40	68%
PLT Leader Duty:	55	93%
No PLT Leader Duty:	4	7%
Command Time	24	41%
No Command Time	35	59%

Average T.I.S:

1LT	51.3 months
CPT	72.6 months

* These data represent a demographic breakdown of the IOAC Interview participants (see Appendix A, Part 3).

APPENDIX A

Part 5

Descriptive Statistical Results of Topic Analysis

Using Part 5

On the following pages, the rank orders of "Difficulty" are given for all 57 situations followed by the actual 25 most significant problem areas. In subsequent sections, analogous information is presented for Importance, Frequency, Difficulty+Importance, and Difficulty+Importance+Frequency. For a given rank, the item number (see Appendix A, Part 3), and mean are given.

Table 11

Difficulty

Rank	Item #	Mean	Rank	Item #	Mean
1	13	5.121	30	41	3.526
2	14	4.544	31	42	3.526
3	10	4.500	32	50	3.509
4	55	4.439	33	4	3.466
5	1	4.431	34	49	3.421
6	53	4.421	35	28	3.397
7	38	4.386	36	29	3.379
8	54	4.339	37	30	3.368
9	48	4.286	38	20	3.154
10	37	4.263	39	32	3.138
11	9	4.263	40	7	3.088
12	2	4.259	41	43	3.035
13	39	4.222	42	47	3.018
14	44	4.179	43	51	3.018
15	56	4.070	44	45	3.000
16	57	4.070	45	21	2.931
17	35	3.912	46	23	2.828
18	40	3.877	47	17	2.793
19	36	3.857	48	33	2.789
20	26	3.828	49	11	2.772
21	34	3.772	50	22	2.724
22	52	3.702	51	18	2.719
23	6	3.690	52	46	2.714
24	3	3.672	53	16	2.707
25	12	3.632	54	31	2.526
26	5	3.603	55	25	2.362
27	8	3.586	56	24	2.276
28	15	3.561	57	19	1.966
29	27	3.534			

Table 12

25 Most Difficult Interpersonal Situations

Rank		Item #
1	A Lieutenant counseling an NCO about domestic disturbances, e.g., child abuse, spouse abuse.	13
2	A Lieutenant counseling an NCO about taking responsibility for his dependents, e.g., insuring they make hospital appointments, kids causing trouble - shoplifting, drugs, fighting, vandalizing, etc.	14
3	A Platoon Leader counseling an NCO about his unwillingness to provide adequate support for his family while on an extended field exercise or an overseas tour.	10
4	The <u>NCO</u> will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all times.	55
5	A Lieutenant counseling a Sergeant who has failed a series of unannounced inspections.	1
6	The <u>NCO</u> is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.	53
7	The wife who cannot accept, or does not understand Army life.	38
8	The <u>NCO</u> will be held accountable for the location and actions of subordinates while in a duty status.	54
9	A Platoon Leader receives a call from the wife of one of his Squad Leaders complaining about her husband coming home drunk at an ever increasing rate.	48
10	The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.	37
11	A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.	9
12	A Platoon Leader counseling a Sergeant whose platoon has failed to pass a training exercise.	2
13	The soldier who normally is very social with his peers and superiors, and suddenly becomes very withdrawn, extremely quiet, and depressed.	39
14	A soldier mumbling about suicide.	44
15	The <u>NCO</u> is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.	56

25 Most Difficult (Continued)

Rank		Item #
16	The <u>NCO</u> will supervise the care and maintenance of enlisted personnel billets and unit work areas.	57
17	A soldier whose home has been involved in a theft, fire, or a natural disaster.	35
18	A soldier who breaks out in sudden fits of uncontrollable rage.	40
19	No money for bio-subsistence needs because the soldier's priorities are not in order (e.g., big car, stereos, jewelry), before bio-subsistence needs.	36
20	A Lieutenant counseling an Enlisted Soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.	26
21	A soldier with insufficient funds who relocates his family to his first duty station.	34
22	A Platoon Leader notices that Sgt Wilson is extremely anxious and disoriented in the afternoon, constantly watching the clock, and mumbling about "happy hour."	52
23	A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly.	6
24	A Lieutenant counseling a Sergeant who has failed to have his men and equipment report on time for a support requirement.	3
25	A Platoon Leader counseling a Squad Leader about over fraternizing with his subordinates.	12

Table 13

Importance

Rank	Item #	Mean	Rank	Item #	Mean
1	23	6.707	30	37	6.000
2	43	6.632	31	2	5.983
3	19	6.603	32	16	5.966
4	9	6.526	33	38	5.947
5	35	6.456	34	3	5.931
6	8	6.448	35	25	5.931
7	1	6.379	36	48	5.929
8	22	6.379	37	12	5.879
9	53	6.368	38	5	5.862
10	21	6.345	39	42	5.825
11	33	6.333	40	41	5.825
12	44	6.304	41	20	5.811
13	34	6.246	42	45	5.807
14	55	6.228	43	27	5.741
15	56	6.175	44	50	5.727
16	54	6.158	45	4	5.707
17	13	6.155	46	17	5.655
18	6	6.155	47	11	5.632
19	26	6.138	48	14	5.621
20	7	6.123	49	30	5.414
21	10	6.121	50	32	5.362
22	24	6.086	51	15	5.328
23	40	6.071	52	52	5.281
24	36	6.071	53	49	5.250
25	29	6.069	54	31	5.121
26	18	6.053	55	46	5.071
27	57	6.018	56	47	4.807
28	39	6.000	57	51	4.526
29	28	6.000			

Table 14

Rank	25 Most <u>Important</u> Interpersonal Situations	Item #
1	A Lieutenant counseling an Enlisted Soldier who is insubordinate.	23
2	The soldier who openly begins to disobey any order given him.	43
3	A Platoon Leader counseling an Enlisted Soldier who has done an outstanding job on a training exercise.	19
4	A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.	9
5	A soldier whose home has been involved in a theft, fire, or a natural disaster.	35
6	A Platoon Leader counseling a Squad Leader who will not accept responsibility for his men and/or his equipment.	8
7	A Lieutenant counseling a Sergeant who has failed a series of unannounced inspections.	1
8	A Platoon Leader counseling an Enlisted Soldier who disappears during duty hours.	22
9	The <u>NCO</u> is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.	53
10	A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed to show up for work on time.	21
11	A soldier who needs to go on emergency leave.	33
12	A soldier mumbling about suicide.	44
13	A soldier with insufficient funds who relocates his family to his first duty station.	34
14	The <u>NCO</u> will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all times.	55
15	The <u>NCO</u> is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.	56
16	The <u>NCO</u> will be held accountable for the location and actions of subordinates while in a duty status.	54
17	A Lieutenant counseling an NCO about domestic disturbances, e.g., child abuse, spouse abuse.	13

25 Most Important (Continued)

Rank		Item #
18	A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly.	6
19	A Lieutenant counseling an Enlisted Soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.	26
20	A Lieutenant counseling a Sergeant whose personal appearance is starting to slip below standards.	7
21	A Platoon Leader counseling an NCO about his unwillingness to provide adequate support for his family while on an extended field exercise or an overseas tour.	10
22	A Platoon Leader counseling an Enlisted Soldier who cannot keep up with the platoon during physical training.	24
23	A soldier who breaks out in sudden fits of uncontrollable rage.	40
24	No money for bio-subsistence needs because the soldier's priorities are not in order (e.g., big car, stereos, jewelry), before bio-subsistence needs.	36
25	A soldier who receives letters of indebtedness because bills are not paid on time or neglected completely.	29

Table 15

Frequency

Rank	Item #	Mean	Rank	Item #	Mean
1	20	4.778	30	2	3.474
2	29	4.724	31	26	3.466
3	33	4.526	32	1	3.414
4	28	4.414	33	27	3.298
5	55	4.386	34	7	3.276
6	54	4.333	35	52	3.228
7	21	4.293	36	4	3.211
8	18	4.281	37	32	3.207
9	56	4.281	38	39	3.109
10	53	4.246	39	5	3.103
11	57	4.193	40	50	3.089
12	36	4.143	41	46	3.054
13	22	4.086	42	47	3.018
14	3	4.017	43	42	2.930
15	25	3.948	44	48	2.927
16	16	3.948	45	43	2.860
17	9	3.879	46	31	2.845
18	38	3.877	47	10	2.810
19	37	3.842	48	30	2.741
20	24	3.807	49	51	2.702
21	45	3.789	50	13	2.655
22	6	3.759	51	40	2.649
23	34	3.754	52	35	2.632
24	19	3.724	53	15	2.569
25	12	3.707	54	14	2.569
26	23	3.690	55	44	2.518
27	8	3.621	56	11	2.500
28	17	3.603	57	49	2.421
29	41	3.569			

Table 16

25 Most <u>Frequent</u> Interpersonal Situations		
Rank		Item #
1	A Platoon Leader counseling an Enlisted Soldier about his E.E.R.	20
2	A soldier who receives letters of indebtedness because bills are not paid on time or neglected completely.	29
3	A soldier who needs to go on emergency leave.	33
4	A soldier unable to balance a checkbook, or who writes bad checks.	28
5	The <u>NCO</u> will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all times.	55
6	The <u>NCO</u> will be held accountable for the location and actions of subordinates while in a duty status.	54
7	A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed to show up for work on time.	21
8	A Platoon Leader counseling an Enlisted Soldier who has failed to verify his SQT.	18
9	The <u>NCO</u> is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.	56
10	The <u>NCO</u> is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.	53
11	The <u>NCO</u> will supervise the care and maintenance of enlisted personnel billets and unit work areas.	57
12	No money for bio-subsistence needs because the soldier's priorities are not in order, (e.g., big car, stereos, jewelry), before bio-subsistence needs.	36
13	A Platoon Leader counseling an Enlisted Soldier who disappears during duty hours.	22
14	A Lieutenant counseling a Sergeant who has failed to have his men and equipment report on time for a support requirement.	3
15	A Platoon Leader counseling an Enlisted Soldier whose personal appearance is falling below standards.	25
16	A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed inspections on his weapon or vehicle.	16

25 Most Frequent (Continued)

Rank		Item #
17	A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.	9
18	The wife who cannot accept, or does not understand Army life.	38
19	The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.	37
20	A Platoon Leader counseling an Enlisted Soldier who cannot keep up with the platoon during physical training.	24
21	A soldier whose sick call visits are starting to increase.	45
22	A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly.	6
23	A soldier with insufficient funds who relocates his family to his first duty station.	34
24	A Platoon Leader counseling an Enlisted Soldier who has done an outstanding job on a training exercise.	19
25	A Platoon Leader counseling a Squad Leader about over fraternizing with his subordinates.	12

Table 17

Difficulty + Importance

Rank	Item #	Mean	Rank	Item #	Mean
1	13	11.276	30	28	9.421
2	1	10.810	31	42	9.351
3	9	10.789	32	41	9.351
4	53	10.789	33	50	9.236
5	55	10.667	34	21	9.276
6	10	10.621	35	27	9.276
7	54	10.536	36	7	9.211
8	44	10.482	37	4	9.172
9	35	10.368	38	33	9.123
10	38	10.333	39	22	9.103
11	37	10.263	40	52	8.982
12	2	10.241	41	15	8.965
13	56	10.246	42	20	8.962
14	39	10.222	43	30	8.860
15	48	10.214	44	45	8.807
16	14	10.193	45	18	8.772
17	57	10.088	46	49	8.679
18	8	10.034	47	16	8.672
19	34	10.018	48	19	8.569
20	40	9.982	49	32	8.500
21	26	9.966	50	17	8.448
22	36	9.929	51	11	8.404
23	6	9.845	52	24	8.362
24	43	9.667	53	25	8.293
25	3	9.603	54	47	7.821
26	23	9.534	55	46	7.786
27	12	9.509	56	31	7.719
28	5	9.466	57	51	7.544
29	29	9.448			

Table 18

Rank	25 Most <u>Difficult + Important</u> Interpersonal Situations	Item #
1	A Lieutenant counseling an NCO about domestic disturbances, e.g., child abuse, spouse abuse.	13
2	A Lieutenant counseling a Sergeant who has failed a series of unannounced inspections.	1
3	A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.	9
4	The <u>NCO</u> is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.	53
5	The <u>NCO</u> will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all time.	55
6	A Platoon Leader counseling an NCO about his unwillingness to provide adequate support for his family while on an extended field exercise or an overseas tour.	10
7	The <u>NCO</u> will be held accountable for the location and actions of subordinates while in a duty status.	54
8	A soldier mumbling about suicide.	44
9	A soldier whose home has been involved in a theft, fire, or a natural disaster.	35
10	The wife who cannot accept, or does not understand Army life.	38
11	The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.	37
12	A Platoon Leader counseling a Sergeant whose platoon has failed to pass a training exercise.	2
13	The <u>NCO</u> is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.	56
14	The soldier who normally is very social with his peers and superiors, and suddenly becomes very withdrawn, extremely quiet, and depressed.	39
15	A Platoon Leader receives a call from the wife of one of his Squad Leaders complaining about her husband coming home drunk at an ever increasing rate.	48

25 Most Difficult+Important (Continued)

Rank		Item #
16	A Lieutenant counseling an NCO about taking responsibility for his dependents, e.g., insuring they make hospital appointments, kids causing trouble - shoplifting, drugs, fighting, vandalizing, etc.	14
17	The NCO will supervise the care and maintenance of enlisted personnel billets and unit work areas.	57
18	A Platoon Leader counseling an Enlisted Soldier who has failed to verify his SQT.	18
19	A soldier with insufficient funds who relocates his family to his first duty station.	34
20	A soldier who breaks out in sudden fits of uncontrollable rage.	40
21	A Lieutenant counseling an Enlisted Soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.	26
22	No money for bio-subsistence needs because the soldier's priorities are not in order (e.g., big car, stereos, jewelry), before bio-subsistence needs.	36
23	A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly.	6
24	The soldier who openly begins to disobey any order given him.	43
25	A Lieutenant counseling a Sergeant who has failed to have his men and equipment report on time for a support requirement.	3

Table 19

Difficulty + Importance + Frequency

Rank	Item #	Mean	Rank	Item #	Mean
1	55	15.053	30	35	13.000
2	53	15.035	31	44	13.000
3	54	14.857	32	41	12.947
4	9	14.667	33	14	12.702
5	56	14.526	34	40	12.643
6	57	14.281	35	16	12.621
7	1	14.224	36	45	12.596
8	38	14.211	37	27	12.579
9	29	14.172	38	5	12.569
10	37	14.105	39	7	12.456
11	36	14.071	40	4	12.386
12	13	13.931	41	50	12.345
13	28	13.789	42	19	12.293
14	34	13.772	43	42	12.281
15	2	13.754	44	43	12.256
16	20	13.712	45	25	12.241
17	8	13.655	46	52	12.211
18	33	13.649	47	24	12.140
19	3	13.621	48	17	12.052
20	6	13.603	49	32	11.707
21	21	13.569	50	15	11.561
22	10	13.431	51	30	11.544
23	26	13.431	52	49	11.125
24	39	13.352	53	11	10.930
25	12	13.246	54	46	10.839
26	23	13.224	55	47	10.768
27	22	13.190	56	31	10.596
28	48	13.145	57	51	10.246
29	18	13.053			

Table 20

25 Most <u>Difficult + Important + Frequent</u> Interpersonal Situations		
Rank		Item #
1	The <u>NCO</u> will insure that the individual arms and equipment of subordinates, and all other government property issued to the Platoon is properly maintained and accounted for at all times.	55
2	The <u>NCO</u> is responsible for preparing subordinates to accomplish assigned missions by training subordinates in basic skills and attributes of a soldier.	53
3	The <u>NCO</u> will be held accountable for the location and actions of subordinates while in a duty status.	54
4	A Platoon Leader giving his new Platoon Sergeant an initial briefing on how he expects the platoon to function.	9
5	The <u>NCO</u> is responsible for insuring that subordinates maintain established standards of personal appearance and hygiene, proper wearing of the uniform, and of military courtesy.	56
6	The <u>NCO</u> will supervise the care and maintenance of enlisted personnel billets and unit work areas.	57
7	A Lieutenant counseling a Sergeant who has failed a series of unannounced inspections.	1
8	The wife who cannot accept, or does not understand Army life.	38
9	A soldier who receives letters of indebtedness because bills are not paid on time or neglected completely.	29
10	The wife who is lonely or homesick because the husband is gone on training exercises frequently, works late, or pulls a lot of roster type duties.	37
11	No money for bio-subsistence needs because the soldier's priorities are not in order (e.g., big car, stereos, jewelry) before bio-subsistence needs.	36
12	A Lieutenant counseling an NCO about domestic disturbances, e.g., child abuse, spouse abuse.	13
13	A soldier unable to balance a checkbook, or who writes bad checks.	28
14	A soldier with insufficient funds who relocates his family to his first duty station.	34
15	A Platoon Leader counseling a Sergeant whose platoon has failed to pass a training exercise.	2
16	A Platoon Leader counseling an Enlisted Soldier about his E.E.R.	20

25 Most Difficult+Important+Frequent (Continued)

Rank		Item #
17	A Platoon Leader counseling a Squad Leader who will not accept responsibility for his men and/or his equipment.	8
18	A soldier who needs to go on emergency leave.	33
19	A Lieutenant counseling a Sergeant who has failed to have his men and equipment report on time for a support requirement.	3
20	A Platoon Leader counseling a Sergeant who cannot keep up with the platoon during physical training, e.g., dropping out of the daily run repeatedly.	6
21	A Platoon Leader counseling an Enlisted Soldier who has repeatedly failed to show up for work on time.	21
22	A Platoon Leader counseling an NCO about his unwillingness to provide adequate support for his family while on an extended field exercise or an overseas tour.	10
23	A Lieutenant counseling an Enlisted Soldier for failing to provide adequate support for his family either while on an extended field exercise or an overseas tour.	26
24	The soldier who normally is very social with his peers and superiors, and suddenly becomes very withdrawn, extremely quiet, and depressed.	39
25	A Platoon Leader counseling a Squad Leader about over fraternizing with his subordinates.	12

APPENDIX B
COUNSELING THEORIES: AN OVERVIEW

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APPENDIX B

THEORIES OF COUNSELING

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Introduction

The following is a brief review of several theories of counseling. It is beyond the scope of this paper to give a comprehensive account of these theories; rather, a brief introduction to each theory is attempted in order to give the reader a very limited overview of each theory. Upon reading this section, it will become evident that there are glaring contradictions in philosophical presuppositions and therapeutic techniques that no amount of "theoretical gymnastics" can reconcile. A natural question will arise as to which theory is right. Given the state of the art at this time, it is presently impossible to answer that question. It would be more appropriate to reframe such questions to "Which theory works best, with what type of clients, with which type of problems, under what kind of conditions with which type of counselor." Only when these variables are specified, can one begin to have an appreciation for the relative merits of each theory. Listed below are several excellent sources that provide a more exhaustive comparative analysis of the different psychological theories.

Corey, G. Theory and practice of counseling and psychotherapy (2nd ed.). Monterey, Calif.: Brooks/Cole, 1982.

Corsini, R. (Ed.). Current psychotherapies (2nd ed.). Itasca, Ill.: F. E. Peacock, 1979.

Hall, C. & Lindzey, G. Theories of personality (3rd ed.). New York: Wiley, 1978.

Maddi, S. Personality theories: A comparative analysis (2nd ed.). Homewood, Ill.: Dorsey Press, 1972.

Rychlak, J. F. Introduction to personality and psychotherapy (2nd ed.). Boston: Houghton Mifflin, 1981.

Psychoanalysis

Key Person: Sigmund Freud

Basic Tenet: Since behavior is the result of conscious and unconscious motivations and most of the motivations are unconscious, the goal of therapy is to make the unconscious conscious -- insight.

Philosophical Presuppositions:

The philosophy behind psychoanalysis is: human behavior is the result of inner motivations and drives, and most of these drives are beyond a person's awareness, i.e., they are unconscious. Consequently, a person may be engaging

in maladaptive behavior and realizing neither what he is doing nor why he is doing it. Further, psychoanalytic theory maintains that, as a person develops, he goes through certain critical periods or stages. Extraordinary deprivation or gratification at any of these stages would result in problems which could manifest themselves later in life and in particular types of deficits in character development.

Major Concepts:

Personality is perceived as having three levels of awareness: conscious, thoughts which are immediately available to the person; preconscious, those thoughts which are potentially available to the conscious mind; and unconscious, drives and motivations which are unavailable to the conscious mind. In addition, there are three constructs of the personality which are hypothesized.

1. The id - the seat of all motivations and drives (instincts). The id operates only at unconscious levels and seeks to discharge its impulses immediately. The two primary drives are sexual (eros) and aggressive (thanatos). The unconscious can never be known directly by the individual; it is inferred from behavior and dream analysis.
2. The superego - the superego is the conscience and the ego ideal, i.e., the moral sense of personality. It is concerned with being good or bad, right or wrong. It stems from the values of parents used to control the child so the child could function in society. The superego curbs the impulses of the id and it strives for perfection. The superego operates at all three levels of awareness.
3. The ego - the ego is the seat of consciousness and is the part of the personality that has contact with the external world. Its function is to regulate the impulses of the id and the demands of the superego within the constraints of reality. The ego also has conscious, preconscious, and unconscious elements.

When there is a balance among the forces of the id, ego, and superego, there is a relative harmony within the person. Maladaptive behavior can occur when the impulses of the id become too active and begin to break into consciousness or the demands of the superego become so excessive that the ego cannot cope with them. When this imbalance occurs, anxiety is produced and in order to cope with the negative, painful, or threatening feelings, the ego uses "defense mechanisms" to keep the awareness of these feelings from consciousness. Defense mechanisms are generally adaptive, because they allow the individual to function in the world. For example, being able to fly comfortably in an airplane can only be done when the terror of dying in a plane crash is kept from one's consciousness. On the other hand, defenses can be used in an unhealthy manner, whereby a person attempts to deny reality. For example, a person who steals from another attempts to justify his actions to avoid his feelings of guilt by saying to himself, "the other person is rich and he can afford the loss".

Several types of defenses have been identified (A. Freud, 1946), the most prominent being repression. Other defenses are suppression, denial, projection, intellectualization, rationalization, reaction formation, sublimation, undoing, etc.

Therapeutic Technique

To be able to study the unconscious, Freud developed the free association technique which is a method to maximize unconscious manifestations. Freud believed if the therapist would remove himself as much as possible and have the patient say whatever came to mind, eventually unconscious thoughts would become evident. In order to do this, in classical psychoanalysis, the patient lies on a couch and is instructed to say whatever comes to mind. The therapist sits behind the patient in order not to interrupt or interfere with the patient's flow of thoughts. Since there is basically nothing to react to in the therapy session, all of what is said by the patient must be in response to unconscious stimulation of past experiences. This reveals how a person is unconsciously organizing his present experience on the basis of his past. Psychoanalytic theory states that this process of organizing the present based on the past occurs continually, via transference. By fostering the "transference neurosis", the therapist helps the client see for himself how he is reacting to his current environment based on his previous experience.

Inevitably, in the process of therapy, the patient begins to avoid some highly threatening material from coming into consciousness. Anything which interrupts the goal of therapy, (i.e., the accumulation of insight into the unconscious), is termed "resistance". Resistance is an unconscious defense against anxiety and it is the task of the analyst to point out to the patient when resistance is operative. Once the patient becomes aware of how he is avoiding something, he must understand how it affects his current behavior and learn to overcome his feelings of anxiety. This process is called "working through".

Goal of Treatment

The goal of treatment is to provide insight for the client so he can better understand himself and the forces that work within him. In the analytic system, there is never a final resolution of the various forces within the person. The best one could hope for is to have a lessening of the demands of the superego and a more relaxed control over the impulses of the id.

Suggested Readings

- Blum, G. Psychoanalytic theories of personality. New York: McGraw-Hill, 1953.
- Blum, G. Psychodynamics: The science of unconscious mental forces. Monterey, Calif.: Brooks/Cole, 1966.
- Brenner, C. An elementary textbook of psychoanalysis. (Revised Edition). Garden City, New York: Anchor Press, 1974.
- Cameron, N. Personality development and psychopathology: A dynamic approach. Boston: Houghton Mifflin, 1963.
- Fenichel, O. Psychoanalytic theory of neurosis. New York: Norton, 1945.
- Freud, A. The ego and the mechanisms of defense. New York: International University Press, 1946.
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- Hall, C. A primer of Freudian psychology. New York: New American Library (Mentor), 1954.
- Nye, R. Three psychologies: Perspectives from Freud, Skinner, and Rogers. (2nd Ed.). Brooks/Cole, 1981.
- Wolf, A., Schwartz, E. K., McCarty, G. J. & Goldberg, I.A. Beyond the couch: Dialogues in teaching and learning psychoanalysis in groups. New York: Science House, 1970.

Existential Therapy

Key Person: There is no one founder of existential therapy, rather existential therapy is an outgrowth of the writings of the existential philosophers, Kierkegaard, Kant, and Heidegger. The names which are most associated with Existential Therapy are Ludwig Binswanger, Medard Boss, Victor Frankl, and Rollo May.

Basic Tenet: To achieve an authentic existence in the face of the uncertainty of life.

Philosophical Presuppositions:

Existential therapy is a reaction against psychoanalysis and behaviorism. Both of these latter approaches are deterministic, reductionistic, and mechanistic in their view of the nature of man. Existentialists acknowledge the restrictions of the environment. The "thrownness of life" is a term used by existentialists to refer to factors which are fixed in a person's environment (i.e., there are some things which cannot be changed), but they maintain that man is essentially free and can choose his destiny. This theoretical orientation has come to be known as the "third force" or "humanistic" therapy and is evident in Existential, Client-Centered, Gestalt, and Logotherapy Theories.

Existential and phenomenological therapies have their roots in the writings of Kant and Kierkegaard. These philosophers divided the world into two spheres: the objective world (noumena) and the sensory knowledge of the objective world (phenomena). We never really know the world directly because we can only perceive the world through our senses. Consequently, our subjective reality is our "objective" reality. Any attempts to break down our objective reality into smaller parts by analyzing the separate parts of a person (e.g., id, ego, superego) violates our subjective experience and reality. Existentialists point out that dividing man and his nature into smaller units is not done for empirical reasons, or for the sake of reality, rather it is purely artificial because it is done for the sake of "scientific" convenience. They maintain it is unnatural to do this because we violate man's nature and create pseudo problems for simplicity's sake. Therefore, to truly understand and help a client, one has to comprehend the client from the client's viewpoint. Since each individual is unique, existential therapists resist elaborate theories about clients because this would put everyone into the same mold and thus, the client would lose his uniqueness.

Existential therapy concerns itself with ontology, the study of being. How does a person achieve an authentic existence (meaning and purpose) in a life filled with uncertainty? Existential Therapy stresses that people become whom they have chosen to be. Most people do not actively address themselves to the questions of who they really are and what they want from life. Rather, people allow themselves to be defined by the expectations of others and

attempt to live up to those expectations. To do this is a failure to take responsibility for one's life and hence, one gives the control to others. It is very frightening to have a truly authentic existence; one must strive to constantly achieve one's potential. This is a continual process of painful soul searching in the face of doubt and loneliness. A client must be able to muster the courage to recognize this existential dilemma of life (being born into a meaningless and absurd world), make choices in the face of it, and then take full responsibility for the choices made. After these three things are done, the client can be considered as functioning in a healthy manner. Faulty development is viewed as the failure to continue to actualize one's potential in the face of existential anxiety. Most people shrink from this responsibility and therefore, lead inauthentic lives; they have chosen not to choose. Consequently, they experience anxiety, uncertainty, and meaninglessness.

Therapeutic Techniques

Existential Therapy is an experiential approach to counseling that stresses the here and now interaction of the client and therapist. The focus of treatment is to have the client gain a greater self-understanding and self-awareness which, in turn, leads to freedom and a greater willingness to assume responsibility for shaping one's destiny.

The therapist's task is to grasp the internal and subjective meanings of the client's thoughts, words, and actions, and to attempt to establish an authentic relationship with him. Emphasis is placed on the human-to-human encounter and the authenticity of the therapist. For example, in a crisis situation, a therapist may go to the client's home. In the therapeutic relationship, the client discovers his own uniqueness and thus is increasingly able to accept the freedom and responsibility of shaping his or her own future awareness.

Logotherapy

Logotherapy as developed by Victor Frankl, is an offshoot of existential therapy that is frequently identified with existential therapy and often erroneously considered as being one and the same. Much of this confusion is due to the fact that two different German words, Dasein (the word Boss and Binswanger use) and Existenz (the word Frankl uses), are both translated into English as "existential". Two different "existential" schools have developed from these words. Although the two systems share many common attributes, they are not identical because there is a definite shift in emphasis on the critical point of how to attain an authentic existence in the world.

According to Boss and Binswanger, the key to authentic existence is to take responsibility for one's own destiny in an essentially meaningless world. This is what is usually thought of with the term existential. On the other hand, Frankl emphasizes the fact that a person must "find" meaning in something outside himself to have an authentic existence. The meaning one finds for himself varies from person to person, but it is essential for an individual to find something around which to organize his life and give

meaning to it. This could be religion, family, country, art, music, or anything which has elements of altruism and can cause a person to actualize his potential.

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Client-Centered Therapy
or
Self Theory

Key Person: Carl Rogers

Basic Tenet: To allow the self to actualize

Philosophical presupposition:

The client-centered approach is similar to existential theories in that the therapist believes it is essential to understand the client from the client's point of view. Rogers posits there is an innate tendency for all organisms to grow and fulfill their potential. Unlike the psychoanalytic system, this tendency toward growth is not at the expense of society. Given the right circumstances, a person will develop with proper regard for others and society.

Another important construct for Rogers is the Organismic Valuing System (OVS). It is important to understand this system because it explains why Rogers believes affects can be superior to cognitions in the therapeutic process. Rogers speculates there is a phenomenal field that unites mind and body. The phenomenal field contains the symbolization of all the psychological, physiological, and biological processes that are operative within a person. Only a portion of a person's processes are ever symbolized in his phenomenal field. For example, one does not feel the firing of neurons or the excretion of digestive chemicals, but one can feel a stomachache. So too, with psychological processes, only a part of a person's total psychological process is ever present in his phenomenal field. And only a part of the total phenomenal field is ever symbolized to the point that it becomes available to a person's intellect. On the other hand, Rogers hypothesizes there is an innate organismic valuing system that continually assesses the totality of a person's psychological phenomenological field. By tuning into the OVS, i.e., analyzing how one feels about his situation; the person will discover the answers to his unique life problems and further his own symbolization process. Therefore, a client should rely on his feelings because affects represent a broader sample of the total phenomenal field than cognitions.

Rogers further believes that as a person grows, he develops a self-concept. When the individual acts/feels in ways which are incongruent with his self concept, the person may attempt to deal with his discrepancies by denying or distorting his feelings or experiences in an effort to protect his self-concept. Unfortunately, this defensiveness causes blocks and interferes with the innate growth process because it produces distorted symbolization or blocks the symbolization process entirely.

Finally, Rogers has the strong belief that the client is fully capable of working through his own problems and understanding himself, given a safe environment. If the therapist can provide such a safe and non-threatening environment, the client will not feel the need to be defensive. Therefore, the client can explore his feelings, work through these blocks, and will continue to grow.

Technique

Since the cause of much of the client's problems have been various factors which have caused him to be defensive, the therapist attempts to produce a climate of warmth and support wherein the patient can explore himself in a non-threatening environment. Rogers identified three factors which are necessary for this process to occur. The first factor is known as unconditional positive regard, which is a nonjudgmental attitude that fully respects the client's feelings and attitudes while establishing a nonpossessive warmth. The second factor is accurate empathy, which is the ability of the therapist to understand the ever-changing thoughts, moods, and feelings of the client "as if" they were his own, but without ever losing the "as if" quality. The "as if" quality is the ever-present awareness by the therapist that the thoughts, moods, and feelings discussed in the session stem from the client and not the therapist. In an emotionally-charged counseling session, it is easy to become too identified with the client's problems because the therapist is attempting to fully participate and understand the counselee's emotional experience. However, if the "as if" quality is lost, then identification or sympathy would result. This is not beneficial because the therapist becomes too caught up with the client's problems, and loses his objectivity and his attitude or expectation that the client is strong enough to solve his own problems. Finally, the third factor involves the genuineness or congruence of the therapist. A genuineness or congruence on the part of the therapist is necessary in order for positive regard and empathy to have any meaning to the client. The therapist must be fully human in his interactions and relationships with the client.

It is the contention of Rogers that the client knows himself better than anybody else and, therefore, interpretations by the therapist of the client's feelings or behavior should be avoided. The major techniques of therapy are good listening skills and reflecting back to the client his feelings. These two techniques help the client to clarify and understand his emotions. Because this is done in a non-threatening environment, the client does not have to be defensive and, therefore, can symbolize his own inner feelings which in turn, furthers the client's process of growth.

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Gestalt Psychology

Key Person: Frederick (Fritz) Perls

Basic Tenet: Make client aware of exactly what he is feeling.

Philosophical presupposition:

This school of counseling is taken from existential philosophy and psychology. A basic assumption of Gestalt theory is that a unity of mind, body, and feelings is essential to good health. Therefore, the client must be made aware of his feelings and what he is doing to avoid them. The Gestaltists believe problems exist because the client has failed to become aware of his own feelings which are threatening or anxiety-producing and has failed to take responsibility for them. Consequently, the client has not integrated these parts of himself and he has a fragmented personality. The goal of treatment is to make the client aware of exactly what he is feeling at any given moment. By so doing, the client becomes aware of how he is being affected by his feelings, the true meaning of his feelings, and what he is doing to try to avoid them. Once the client does this, he is then able to reintegrate the parts of himself into a constructive whole.

The therapist must assist the client to experience more fully all the feelings that the client has. When the therapist does this, the client is able to make his own interpretations. Consequently, the therapist makes observations about the discrepancies and incongruencies between what the client may be saying and what he is feeling. There is a strong emphasis on body language and the way things are said, not just what is being said. In addition, the therapist uses techniques to magnify these feelings so the client can more easily understand himself.

Frequently, the therapy comes to an "impasse" where the patient feels he is stuck. To the Gestalt therapist, this means the client is avoiding some of his feelings. At this point, the therapist must provide a situation where the client can more fully experience his frustrations and the meaning for these frustrations.

Technique

The Gestalt therapists use a host of techniques which have been developed to help the client gain awareness of the here and now. For these techniques to have their most beneficial impact: (a) the therapist must use them judiciously, (b) clients should be prepared for these exercises, (c) the counselor must be sensitive to the timing when these exercises are introduced, (d) clients should be encouraged to use these exercises outside of the session itself, and (e) the counselor should not suggest techniques which are too advanced for his client. Some of the techniques which have been suggested are:

games of dialogue; making the rounds; unfinished business; "I take responsibility"; "I have a secret"; playing the projection; reversals; the rhythm of contact and withdraw; "rehearsal"; "exaggeration"; "May I feed you a sentence?"; marriage counseling games; and "Can you stay with this feeling?" In addition, there are many other techniques used to amplify the client's feelings.

One example of a technique used by the Gestaltist is the game of dialogue. Gestaltists are very aware of splits which may develop in a personality (i.e., when a person is experiencing two incongruent feelings at the same time). An example of such a split would be when a client says he is very angry about something and then laughs about it. The therapist could point out that angry people do not laugh and wonder why the client is finding it necessary to laugh. Another example would be when parts of one's personality may be very moralistic, authoritarian, righteous, and filled with "should's" and "should not's", and another aspect of the personality might be playing the role of victim by being defensive, helpless and weak, and by playing powerless. To further amplify these two opposing poles, a therapist may have a client sit in one chair and speak to the other chair fully from one position, e.g., moralistic, critical, demanding. Later, the client shifts to the other chair and becomes the victim, being very passive and helpless and making very many excuses. The dialogue continues between both sides of the client with the client switching chairs each time he shifts roles. In this way, his feelings can surface and the client can more fully experience the conflict he has within himself. The conflict can be eventually resolved by the client accepting and integrating both sides into his ego structure.

A second example of technique is the "I have a secret" procedure. In a group format, one of the members may be asked to fantasize a well-guarded personal secret and not share the secret but to imagine how it would feel if all the others in the group knew the secret. The group member would also be asked how the other members would react. By doing this exercise, the group member explores his feelings of revealing secret material and the feelings of shame and guilt about it. For more information regarding other Gestalt techniques, see Life Techniques in Gestalt Therapy (Fagan & Shepherd, 1970a) and Gestalt Approaches in Counseling (Passons, 1975).

Goal of Treatment

The goal of treatment is to gain a more integrated personality.

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Rational-Emotive Therapy

Key Figure: Albert Ellis

Basic Tenet: Dispelling irrational beliefs.

Philosophical Presuppositions

Rational Emotive Therapy (RET) maintains that cognitions interact with beliefs and emotions. It is not a particular event or experience that is destructive to a client, rather it is the beliefs of the client about the event which create the resulting emotion. If changes can be made in the person's interpretation of an event, then the resulting emotion would be changed.

Another basic tenet of RET is that clients maintain their maladaptive patterns because they repeat irrational or illogical sentences to themselves. They may exaggerate the consequences of an event, e.g., if I fail this test, it would be terrible.

At the core of a person's problems, he is either blaming himself or others for his condition. The goal of treatment is to help the client accept the world, minimize his self-defeating attitudes and accept a more tolerant view of life.

Process and Techniques of Therapy

RET considers counseling as re-educating the client. This proceeds through several steps. The first step is to demonstrate to the client how he has incorporated many irrational "shoulds, oughts, and musts" in his philosophical outlook on life. The therapist does this by acting as an antagonist and actively challenging the client's belief system; e.g., "What evidence do you have that justifies your belief that it would be the end of the world if you were to divorce?"

The second step is to have the client realize he is maintaining his misery by repeating self-defeating statements to himself which are illogical and unproductive. By so doing, the client continues to reindoctrinate himself to the effects of the past. This, in effect, keeps the influences of the past alive in his current experience. Consequently, RET therapists maintain that since the client is reindoctrinating himself, he is therefore responsible for his continued misery and maladaptive behaviors.

Finally, it is not enough to have the client realize he is defeating himself. The therapist must help the client to reformulate his irrational beliefs and feelings and to substitute rational ones.

The RET therapist uses a variety of techniques to promote change at the cognitive, emotive, and behavioral levels. At a cognitive level, the RET therapist is very directive and active. The therapist challenges the client's belief system by asking, "Why is it terrible if the world is not the way you want it to be? Where is it written that you cannot stand such a situation?"

At the emotive level, the client is taught the value of unconditional acceptance of himself. The client is taught that although some of his behavior may be difficult to accept, he still has intrinsic worth as a person.

At the behavioral level, RET therapists borrow heavily from the behaviorists and incorporate techniques such as persuasion, suggestion, confrontation, direct attack, challenging, touching, reading, listening to tapes, contracts, homework assignments, questioning, role playing, desensitization, counterconditioning, behavior rehearsal, modeling, hypnotherapy, operant conditioning, and assertion training.

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Reality Therapy

Key Person: William Glasser

Basic Tenet: Focus on present behavior and taking responsibility for it.

Philosophical presupposition:

Reality Therapy maintains that mental problems are a result of irresponsibility, except for biologically determined problems such as severe retardation and neurological abnormalities. Therefore, the therapist focuses on the present and attempts to demonstrate to the client how the client is avoiding his responsibilities.

Reality Therapy posits that there is a universal need for an identity, which is the basis for the dynamics of behavior. An individual can develop a "success identity" or a "failure identity". The foundation of a "success identity" is built upon: (a) the need to be loved and to love another; and (b) having a sense of worth. A sense of worth only occurs by accomplishing a task or achieving a goal.

Glasser & Zunin (1979) innumerate eight principles of therapeutic growth:

1. Counseling is personal and the therapist communicates that he cares about the client by the attention, warmth and understanding he gives to the client.
2. The focus of treatment is on present behavior rather than feelings. Feelings and behavior are perceived to be interrelated and mutually reinforcing. It is thought that it is easier to change behavior and have the feelings change later, than to change the feelings first, then have the behavior change later.
3. Reality Therapy focuses on the present. The past is fixed and nothing can be done about it. If the past is discussed, it is only in terms of how it affects the client's current behavior. It is not necessary for the client to understand his past.
4. Reality Therapy insists that the client critically evaluate his own behavior and make a value judgment as to whether or not his behavior is contributing to his failure. If the client decides he is being self-destructive, then he is more likely to make better decisions regarding his behavior because he would be able to see that he would get more out of life by doing so.
5. Reality Therapy places great emphasis on establishing specific, realistic plans of how to change failure behavior to success behavior.

6. A commitment to change is a cornerstone of reality therapy. Having an adequate plan to change is not enough, one needs to make a commitment to follow through on the plan. It is only from making and following through with plans that a person gains a sense of self-worth which, in turn, produces a "success identity".
7. Reality Therapy does not allow for excuses for why a plan failed. To do so would only reinforce a failure identity. When something goes wrong, the point of interest would be what needs to be modified in the plan to ensure success. If circumstances change, and a person's situation becomes more difficult, his responsibility has not decreased, but rather it has increased.
8. Reality Therapy eliminates the need for punishment. Punishment is an ineffective tool for behavioral change. This includes negative or deprecating remarks by the therapist, e.g., "See, you've done it again." All this does is reinforce the client's failure identity and harms the therapeutic relationship. Instead of punishment, Reality Therapy advocates allowing the client to experience the natural consequences of his behavior.

Therapeutic Techniques

The Reality Therapist provides an atmosphere where the client is ultimately confronted with his own behavior and made to see where he is not taking a responsible path. For successful treatment, it is essential that the client establish his own goals and make value judgments on his behavior. The Reality Therapist does not do this because this would be taking responsibility away from the client. The task of the therapist is to help the client realistically appraise his own behavior. Consequently, the therapist is very active in therapy. He may point out where the client appears to be avoiding some responsibility, help the client formulate realistic plans to achieve a goal, and help the client follow through with his plans.

One technique frequently employed by a reality therapist is "pinning down the patient". When a client states he has a general goal, the therapist would help the patient to crystalize his plans into very specific steps. For example, if a client stated he was going to look for a job, the therapist would ask: what day of the week he would start, what time of day, what type of job would he look for, where would he go to look for such a job, what would he dress like, or how should he act on the interview. At any point, the therapist may discuss the pro's or con's of any of the client's answers.

Goal of Treatment

The termination of treatment is when the client can realistically (not too harshly or leniently) evaluate his own behavior and formulate and follow through on his plans to achieving his goals.

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Behavior Therapy

Key Person: Behavior Therapy has no single founder or predominant theorist. Rather, a number of individuals have made various theoretical contributions and/or have developed specific techniques for the amelioration of specific types of problems. The major learning theorists, Watson, Hull, Spence, Skinner, Pavlov, were primarily researchers and not therapists. Key therapists are Wolpe, Stampfl, and Meichenbaum. Bandura has made both theoretical and therapeutic contributions. Dollard and Miller should also be mentioned because they were the first theorists to present a comprehensive analysis of psychotherapy based on the principles of learning.

Basic Tenet: Reduction of symptoms, decreasing faulty behaviors and increasing adaptive behaviors.

Philosophical Presuppositions:

The basic proposition of Behavior Therapy is all behaviors can be conceptualized in terms of learning theory. In addition, the current trend in Behavior Therapy is toward broadening the definition of behavior to include cognitions and affects as well as overt actions. Also, there is the view that the person is both the producer and the product of his environment. Finally, behaviorists reject the view that symptoms are signs of underlying problems which would create a new symptom to replace any symptom which is blocked or removed. To the behaviorist, the symptom is the problem.

It is beyond the scope of this paper to detail how learning theory interfaces with the specific behavioral techniques. Suffice it to say that there are four major learning paradigms which give most of the empirical justification for the techniques used: classical conditioning; instrumental conditioning; operant conditioning; and modeling.

Kazdin (1978) described the following characteristics that apply to behavior therapy:

1. The focus is on current influences on behavior as opposed to the historical determinants.
2. Emphasis is given to observing overt behavior-change as the main criterion by which treatment should be evaluated.
3. Treatment goals are specified in concrete and objective terms in order to make replication possible.
4. Reliance is on basic research as a source of hypotheses about treatment and specific therapy techniques.

5. Target problems in therapy are specifically defined, so that treatment and measurement are possible.

Therapeutic Techniques

The relationship between the therapist and client is considered important but is not emphasized. The therapist, who must be active and directive, often functions as a teacher or trainer in assisting the client to learn adaptive behaviors. The behavior therapist uses specific techniques to alleviate various symptoms.

Relaxation Training

Relaxation training is used to counter the effects of stress and anxiety. It is aimed at achieving muscular and mental relaxation. After the client learns the basic procedures, he practices these exercises daily to gain maximum results. This technique has been refined and modified and is used in combination with a number of other behavioral techniques. These include:

1. imaginal desensitization,
2. systematic desensitization,
3. assertion training,
4. self-management programs,
5. biofeedback-induced relaxation,
6. meditation,
7. autogenic training.

Systematic Desensitization

Systematic desensitization is one of the most widely-used of the techniques listed above. Briefly, a person who has a phobic response to something is first taught to relax. The therapist and client construct a list of situations that elicit increasing degrees of anxiety, usually 12-15 steps. A hierarchy is arranged in order from the most anxiety provoking situation the client can imagine to the situation that evokes the least anxiety. The client then imagines the least provoking situation. While he relaxes, this image is maintained until the image no longer elicits anxiety. When this occurs, the next higher anxiety provoking image is introduced and this image is held until the client is once again able to relax. After the client has been desensitized to 4-5 of the feared situations in the therapist's office, the client is encouraged to expose himself to these situations in vivo. At the same time, the client continues with the more advanced stages of his hierarchy.

This process continues until the client can imagine himself in the most anxious situation.

Flooding and Implosive Therapy

The techniques of flooding and implosive therapy involve presenting highly anxiety-producing material to a client and maintaining that material until the client becomes less anxious in the presence of the stimulus due to fatigue. This can be done in vivo or by having the client imagine he is in the situation, imaginal flooding. Implosive therapy not only utilizes imaginal flooding, but adds to it by having the client imagine the most dreadful and horrifying consequences of a situation in order to arouse anxiety of such a magnitude that the client cannot possibly maintain his fears due to fatigue.

Aversive Techniques

Aversive techniques are used to treat a wide range of behaviors such as alcoholism, cigarette smoking, overeating, maladaptive sexual attraction, and behavioral excess which may cause self-injury. Typically, an aversive stimulus is either paired with an activity (classical conditioning) or follows a particular behavior (instrumental or operant conditioning). This type of stimulus could include drugs which cause nausea and vomiting or electrical shock. Other aversive events are covert sensitization (visualizing unpleasant scenes), time out from positive reinforcement, over-correction, and negative punishment (removing a positive stimulus, e.g., money, television privileges, etc.).

Token Economies

The token economy is a behavioral approach based on the application of the principles of secondary reinforcement. Instead of using reinforcement directly, tokens are awarded to the client that can be exchanged later for a variety of material goods or privileges.

Modeling

The terms modeling, observational learning, imitation, social learning and vicarious learning, are all used interchangeably. They refer to the learning that takes place when a client observes someone else doing something and notes the resulting consequences. This technique is employed when the acquisition of new skills are of interest, e.g., assertive behavior. The therapist may act out a desired behavior and have the client rehearse it during the session.

Cognitive Trends In Behavior Therapy

As mentioned earlier, there are trends in Behavior Therapy toward an increased emphasis on cognitions. Thinking is viewed as "self-talk" which can be modified just as other behaviors can. The foundation for this trend has its roots in the writing of Albert Ellis's Rational-Emotive Therapy (RET).

Cognitive Restructuring

Cognitive restructuring is very similar to rational-emotive therapy. The therapist listens to what the client is saying to himself and assists the client in reformulating some of his "self-talk". By offering alternative interpretations to the client's current situation, he enables the client to begin to engage in more healthy "self-talk".

Cognitive-Behavior Modification

Cognitive restructuring plays a central part in cognitive behavior modification, however, the process is more detailed. First, the client is taught to carefully monitor himself. Secondly, he is taught to start a new internal dialogue. Finally, the third phase involves teaching the client more effective coping skills.

Thought Stopping

Another form of cognitive behavior therapy is thought stopping, which is used to deal with irrational thoughts or ruminations about past events which cannot be changed. First, the client is instructed to think the ruminative thoughts, then suddenly the therapist yells, "Stop". This interrupts the thought sequence. This procedure is repeated until the client can tell himself to stop. At first, the client vocalizes the command; later, the client tells himself subvocally. Finally, the client is instructed to use this method as soon as he is aware of the obsessional sequence.

Goal of Treatment

Treatment ceases when there is a reduction in the intensity or frequency of target symptoms.

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Helping Skills

Key Persons: R. R. Carkhuff, C. B. Truax, B. G. Berenson.

Basic Tenet: High levels of "core dimensions" will produce change in clients.

Philosophical presuppositions:

The proponents of helping skills maintain effective counseling is the product of certain "core dimensions" of the psychotherapeutic relationship. If the therapist engages the client at minimal levels of these dimensions, there will be an improvement in the functioning level of the client. This would be true regardless of the theoretical orientation of the counselor.

The helping skills literature lacks a developed personality theory that gives justification for its techniques or an explanation of the dynamics of its constructs. Rather these researchers have focused on the processes of psychotherapeutic change. After extensive examination of therapists with different orientations, Carkhuff and Berenson (1967) concluded that good therapists from different theoretical orientations are more alike than are good and poor therapist from the same school. This lead Carkhuff and Berenson to believe there are common elements of good psychotherapy that are trans-theoretical.

Building on the work of Rogers, Carkhuff and Berenson identified four "core dimensions" that are necessary for effective psychotherapy. Indeed, the authors believe these dimensions are so basic that they call the dimensions "human nurishment" and suggested they are characteristic of all rewarding relationships, e.g., marriage partners, parent-child, and student-teacher. These four dimensions are empathy, respect, genuineness, and concreteness.

Empathy is the ability of the therapist to sense a client's feelings and to help the client clarify and deepen the understanding of his feelings. This goes beyond merely "reflecting feelings back to the client" as done in client-centered therapy. This type of empathy adds to the client's experience and understanding of his emotions.

Respect or positive regard is another core dimension that is necessary for change. Respect requires the counselor to suspend his judgments of the client as a person and to maintain a full appreciation of the fact that the client is a fellow human being experiencing difficulty in life. This means the counselor does not judge the client but treats the client and his situation with seriousness and maturity.

The third dimension is genuineness. Carhuff and Berenson maintain "the base for the entire therapeutic process is the establishment of a genuine relationship between the therapist and the client...The degree to which the therapist can be honest with himself and, thus, with the client, establishes this base" (1967, p. 29). The authors point out that a complete disclosure of

the therapists feelings about the client is not always facilitative. At times a full disclosure may be destructive, for example, negative feelings toward a fragile client would be inappropriate. Instead, genuineness is an authenticity on the part of the therapist. Sterile or "canned" statements by the therapist may be absolutely correct, but they lose their effectiveness because they are phony or contrived.

Concreteness or specificity is the final core dimension. This is largely under the direct control of the therapist. It is the ability of the therapist to help the client center on that material which is most personally relevant to the client. Thus, generalities are avoided because they are too vague and allow the client to drift. To effectively solve problems, the issues and the client's feelings must be clearly delineated.

The researchers also cite additional research that indicates "the clients of counselors offering the highest levels of these facilitative dimensions improve, while those of counselors offering the lowest levels deteriorate" (p. 23). Consequently, counseling can be helpful or detrimental to the counselee depending upon the skills of the counselor. It is a myth that counseling can only help; poor counseling has a negative impact.

Finally, besides identifying "core dimensions" of the counseling process and being able to elucidate them in operational terms, the helping literature has presented evidence that these dimensions can be effectively and efficiently taught to laymen and paraprofessionals (Archer, 1971; Archer & Kagan, 1973; Carkhuff & Berenson, 1967; Carkhuff & Truax, 1965; Dendy, 1971). If this is true, then with a minimal amount of training for counselors, effective counseling can be readily available to a much larger population and the harmful effects of poor counseling can be avoided.

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Transactional Analysis

Key Person: Eric Berne

Basic Tenet: For the client to identify and understand his ego state.

Philosophical Presuppositions:

The fundamental belief of Transactional Analysis (TA) is that it is imperative for an individual to be aware of the pattern of behavior in which he is engaging. Most people act without critically analyzing their immediate circumstances, thus they are destined to continue to engage in maladaptive interactions, which in turn, continues their personal misery. By making the person aware of his immediate "ego state" (the pattern of behavior he is in) the person becomes aware of his interactions with others and conscious of his implicit expectations. Consequently, he is then able to make a conscious decision to change his mode of behavior to a more adaptive orientation.

Eric Berne, the founder of TA, has identified three basic modes of interaction or ego states: Parent, Adult, and Child. The Parent mode consists of parental introjects (the values and beliefs of one's parents) and is filled with shoulds and oughts. The Parent can be further conceptualized as being either the "Nurturing Parent", the supportive, encouraging part of the self or the "Critical Parent", that part of a person which is negative, belittling, and discouraging. The Adult ego state is when a person is naturally processing information. This ego state is neither judgmental nor emotional, but mature in its interaction with others. The Child ego state is described as being playful, energetic, spontaneous, and manipulative. Three types of Child have been enumerated: The "Natural Child", which is the impulsive, undisciplined side of a person. The "Little Professor" is manipulative, creative, and it is the part of a person that relies on intuition and plays hunches. Finally the "Adaptive Child" modifies the desires of the Natural Child, in order to receive attention by parents and others. This modification of the Natural Child is the result of training the child has received or traumatic experiences.

Eric Berne has labeled the constructs in contemporary terms because the terms become much more intuitively meaningful to the layman. This is in keeping with another fundamental concept of TA: the therapeutic process is primarily cognitive and re-educative. By using common terms, the client's understanding of his interpersonal interactions is accelerated. For example, the constructs of Parent, Adult, and Child are much more readily understood than the Freudian concepts of superego, ego, and id.

It should also be noted that although Parent, Adult, and Child share some similar functions with Freud's superego, ego, and id, respectively, they are not the same. The psychoanalytic constructs are forces that operate concurrently within a person, whereas, Parent, Adult, and Child are particular ego states that describe interactions between persons which cannot function simultaneously (an individual can only be in one ego state at a time).

Contemporary TA writers, Goulding and Goulding (1978, 1979) have further developed TA theory. These authors suggest that as children grow up, they critically accept parental "injunctions" and make "early decisions" which carry into adulthood. According to Transactional Analysis, it is important for an individual to discover his "early decisions." The Gouldings list ten maladaptive injunctions that are frequently incorporated by children: don't, don't be, don't be close, don't be important, don't be a child, don't grow, don't succeed, don't be you, don't be sane, don't be well, and don't belong. Parents need not explicitly state these injunctions, rather, these are transmitted by parental attitudes and actions. In some cases, children may even misinterpret healthy adult interactions and still incorporate these negative injunctions. Based on these injunctions, some early decisions will eventually be made by the child to gain parental attention, approval, or "strokes" that follow the child into adulthood. For example:

Don't be a child: A message that older children often get is to be responsible and take care of the rest of the children. As they grow up, they may find it extremely difficult to allow themselves to have fun or to be a child.

Possible decisions: "I'll always be mature and won't do anything childish." "I'll take care of others, and I won't ask for anything for myself."

Don't grow: A series of parental messages may include these: "Don't grow beyond infancy." "Don't grow up and leave me." "Stay a child and don't become sexual." This injunction may be given by parents who are frightened that they cannot handle the fact that children are able to grow.

Possible decisions: "I won't be sexual, and in that way my father won't reject me." "I'll stay little and helpless, for then I'll get goodies from my parents." (Corey, 1982, p. 123).

Therapeutic Technique

TA can be done individually or in groups. Since there is a heavy emphasis on the analysis of various types of interactions, groups are frequently preferred because of the greater likelihood of divergent forms of Parent, Adult, or Child interactions which occur spontaneously in a group. These interactions can be pointed out by the therapist in the group so eventually the group members will begin to recognize the ego states when they appear without the aid of the therapist.

Another different aspect of TA is when a client first enters TA therapy, a contract is made between the counselor and client as to the desires and goals of the client. Broad contracts such as, "I want to be happy," are rejected. A contract is written in such a way that both the client and counselor will recognize a goal when it is achieved.

Secondly, the client is introduced to Transactional Analysis concepts of "ego states," "strokes," "games," "rackets," "life scripts," and "re-decisions." Once the client learns these concepts and how they interact, he is expected to begin to analyze his own behavior and understand his "life script."

Script analysis is another fundamental aspect of TA. It is this therapeutic process that demonstrates to the client his life pattern and the implicit assumptions the client has made about himself. It is believed that once the client becomes aware of how he has been engaging in dependent, archaic, maladaptive interactions, he will be in a better position to work through these patterns towards a more autonomous and responsible life style.

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APPENDIX C

LEADERSHIP THEORIES: AN OVERVIEW

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APPENDIX C
THEORIES OF LEADERSHIP

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APPENDIX C

Theories of Leadership

Trait Theory

The systematic study of leadership began with Galton's (1879) study of the hereditary background of distinguished men. Galton's work laid the foundation for the so called "great man" theory of leadership. The essence of this approach is that leaders are endowed with unique qualities that set them apart from the masses (Carlyle, 1910). Not surprisingly, leadership research in the 1920's, 1930's, and 1940's was characterized by attempts at identifying those personality traits which distinguished leaders from non-leaders. The assumption underlying this approach was that there were leader characteristics which could be identified, and would be successful in separating leaders from non-leaders.

Subsequent reviews report very little in the way of reliable or useable results. (Stogdill, 1948; Mann, 1959; Hollander and Julian, 1969). The results obtained were often contradictory. For example, leaders were found to be both younger and older, taller and shorter, heavier and lighter, attractive and unattractive, more stable and less stable, etc., than non-leaders.

The primary reason for the inconsistency in the data is that the trait approach did not take into account various aspects of the leadership situation such as subordinate characteristics, nature of the task, etc. The situation determines what leader characteristics or traits are essential for effective leadership. These essential traits are likely to vary from situation to situation (Stogdill, 1948; Wexley & Yukl, 1977).

In summary, the research findings highlighted two important points. First, leaders are not born uniquely different from non-leaders. Second, situational factors may moderate the relationship between leader characteristics and group performance.

Environmental Theories

Unlike the trait approach, environmental theories of leadership (e.g., Stogdill, 1948; Gouldner, 1950; Hemphill, 1949b) focused on situational rather than personality determinants. According to this approach, the emergence of a (great) leader is a result of time, place, and circumstances. Theoretically, given the appropriate situation, any member of a group can become a leader (Hemphill, 1949a). Research based on this approach centered on the characteristics of group situations and their relationship to leader emergence and leader behaviors.

The empirical evidence for this position is also contradictory (Henriksen, Jones, Hannaman, Wylie, Shriver, Hamill, and Sulzen, 1980). According to Henriksen et al., both the environmental and the trait approaches present a far too simplistic view of leadership. They argue that the leader and

situation represent different components in a continuing reciprocal process of social influence and exchange between group members and the leader. Leaders influence the situation and group members and are in turn, influenced by them.

As a result, researchers began to shift their interests to leader and group member behavior and the processes by which each influences the other.

The Empirical Approach

Ohio State Program. Difficulties in both the conceptualization and measurement of traits eventually forced researchers to shift their emphasis to the observation of behavior within groups as a means of investigating social influence processes. The Ohio State studies focused primarily on the behavior of the leader. More specifically, interest was directed at what the leader does as a function of the position he holds in the organization. (Jacobs, 1970).

Subsequent research revealed that there were four dimensions underlying effective leader behavior (Halpin & Winer, 1957). These were:

- 1) Consideration. This was the single largest dimension and included such leader behaviors as doing favors for subordinates, showing concern for the subordinates' personal welfare, explaining one's actions, treating subordinates as equals, being friendly and approachable, etc.
- 2) Initiating Structure. This was the second most important dimension, and is characterized by such leader behaviors as organizing and defining the relationships in the group, establishing well-defined patterns of communication, and ways of getting the job done (e.g., assigning people to particular tasks, emphasizing deadlines, etc.)
- 3) Production Emphasis. This dimension included such leader behaviors as encouraging overtime work, and encouraging better performance than competing groups.
- 4) Sensitivity (Social Awareness). This dimension included such leader behaviors as being willing to change ways of doing things, asking individual members to sacrifice for the good of the entire group, and being aware of conflicts within the group.

Since most of the variance in leader behavior was accounted for by the first two dimensions, the last two were dropped. The research which followed concentrated on Consideration and Initiating Structure.

Survey Research Center, University of Michigan. The University of Michigan research effort (e.g., Katz, 1963) began at approximately the same time as the Ohio State studies. Both groups were interested in understanding leadership effectiveness, but differed in their specific objectives and their methods of achieving these objectives. The Ohio State studies were concerned

with broad issues of organizational effectiveness and the impact of leader behavior and leader roles on organizational members. They were primarily interested in describing the critical dimensions of leader roles and leader behaviors (Jacobs, 1970).

In contrast, the Michigan research group was concerned with factors in small work groups (foreman behavior) leading to high levels of productivity. They used survey methodology to study the relationships between motivation, attitudes, and morale and objective measures of job performance (Jacobs, 1970).

The most significant findings of the Michigan research group have been the identification of four general factors relating to productivity (Kahn & Katz, 1960). These are:

- 1) Differentiation of Supervisory Role. Effective foremen engage in unique functions which only they can perform (coordinating tasks, planning) while leaving straight production work to their subordinates.
- 2) Closeness of Supervision. More effective foremen supervise less closely, and allow subordinates more autonomy in how they accomplish their job assignments.
- 3) Employee Orientation. More effective foremen show a greater interest in work group members as individual human beings, rather than as tools for accomplishment.
- 4) Group Relationships (Cohesion). Cohesion within the work group results in less turnover and unauthorized absence. It has a positive effect on productivity to the extent that the foreman is able to successfully influence the standards (i.e., implant high standards in the highly cohesive group).

As Jacobs (1970) points out, these findings fit very nicely into the Consideration - Initiating Structure classification scheme of leader behavior first described by the Ohio State research group.

The underlying objective of the Ohio State Studies was to identify specific leader behaviors that would be related to effective group performance as well as to member satisfaction so that leaders might be trained to engage in these behaviors (Henriksen et al., 1980). A review by Korman (1966) indicates that these original expectations have not been achieved. Henriksen et al. concluded that while there is general consensus that consideration and initiating structure describe important leader behaviors, so far these behaviors have not correlated consistently with group performance.

Jacobs (1970) provides one explanation for this conclusion. He presents evidence which indicates that situational variables influence the balance of leader behavior that will be most appropriate. Any given situation has its own particular demands. One situation may require high consideration and low initiating structure; another may require low consideration and high initiating structure; others may require high initiating structure; still others may

require high consideration and high initiating structure. To the extent the leader correctly adjusts his behavior to situational demands, then performance and group member satisfaction will be high. The key is for the leader to be able to engage in both of these general classes of behavior in the appropriate degree in accordance with the situational demands (Jacobs, 1970).

Humanistic Theories

During the 1950's and 1960's humanistic theories of leadership effectiveness were also given some attention. These theories were concerned with the development of effective and cohesive organizations. According to Stogdill (1974) humanistic theories assume three things. First, the organization is by nature structured and controlled. Second, the human being is by nature a motivated organism. Third, the function of leadership is to modify the organization in order to provide freedom for the individual to realize his own motivational potential for fulfillment of his own needs and at the same time contribute toward the accomplishment of organizational goals.

McGregor's (1960) Theory X and Theory Y. According to McGregor (1960) there are essentially two philosophies of how to manage (lead) effectively: Theory X and Theory Y. Theory X is based on the assumption that man is lazy, self-centered, gullible, indolent, not very intelligent, ineffective, and passively resistant to organizational needs. As a result, active and close supervision by management is necessary if organizational goals are to be achieved (Sgro, Pence, & Orban, 1979).

McGregor argues that Theory X is the traditional view of how to manage. He proposes an alternative strategy, Theory Y, which is based upon Maslow's (1954) work on human motivation. McGregor feels that Theory X management is ineffective because it does not allow for the fulfillment of human needs. According to McGregor, passively resistant behavior may be the worker's response to the failure of the organization to satisfy these needs. In order to increase worker effectiveness one must insure that the workers' needs are satisfied at all levels. Management must first understand the level of need which each worker possesses and then create a situation in which the satisfaction of these needs occur as a part of the worker's attempt at achieving organizational goals (Sgro, Pence, & Orban, 1979).

Thus, to the extent management practices are restricted and confined, worker needs will go unsatisfied, motivation will fall, and productivity will be low. An understanding of human motivation (Maslowian in nature) and less restrictive management (more subordinate input) should result in greater need satisfaction and higher productivity.

Empirical evidence in support of McGregor's notions has been sparse (e.g., Gerard, 1957; Herzberg, 1968). Sexton (1968), however, found that a Theory X leadership style as opposed to a Theory Y leadership style resulted in greater satisfaction of individual needs.

The Managerial Grid. The Managerial Grid (Blake, Mouton, & Bidwell, 1962) was developed with the expressed purpose of describing the relationship between various styles of leadership in management settings. (Sgro, Pence, & Orban, 1979). The Grid is simply a two dimensional graph with a vertical axis which represents a manager's concern for people (Consideration) and a horizontal axis which represents a managers concern for production (Initiating Structure).

Five basic styles of management are identified by the Grid. These are:

- 1) Country club management. This style is characterized by a low concern for productivity and a high concern for interpersonal harmony among the work group.
- 2) Impoverished management. This approach is characterized by a low concern for both productivity and people.
- 3) Task management. This style emphasizes high production with little concern for people.
- 4) Middle road management. This style is characterized by a concern for both people and production.
- 5) Team management. This approach is characterized by a high concern for both production and people.

According to Blake and Mouton, the team management style is the most effective approach in problem-solving situations but also the most difficult style to achieve. In order to operate successfully in this mode, the manager must be aware of the abilities and needs (motives) of each member of the work group and use this knowledge to involve each member in varying degrees in the planning, directing, and controlling of the production effort. Presumably, by utilizing the particular talents of each individual toward the achievement of the task-related goal, group cohesion and morale with respect to goal accomplishment will be high. This should result in greater productivity (Sgro, Pence & Orban, 1979).

The effective leader is one who is highly adept in human relations skills, and shows a high concern for both people and production. The Managerial Grid approach assumes that leaders can change their management styles with the appropriate training.

The major evidence cited in support of the Managerial Grid approach is by Blake, Mouton, Barnes, & Greiner (1964). However, Wexley & Yukl (1977) have questioned the validity of their findings since no control group was used and many measures were subjective and anecdotal. Bernardin & Alvarez (1976) found no support for the predictions generated by the theory. However, their conclusions were questioned by Blake & Mouton (1976) on methodological grounds.

Four Factor Theory. The Four Factor Theory of leadership (Bowers & Seashore, 1966) postulates that there are four factors or dimensions which are

relations oriented, and considerate of subordinates. A person with a low LPC score describes his least preferred co-worker in an unfavorable light. This person tends to be task oriented and is less concerned with human relations.

According to Fiedler, the relationship between leader LPC and subordinate performance depends on the favorability of the leadership situation. The favorability of the situation is determined by: 1) the degree of task structure, 2) the leader's position power, and 3) leader-member relations. The most favorable situation is one in which the task is structured, leader position power is high, and relations between the leader and his subordinates are good.

When the situation is either very favorable (as described above) or very unfavorable (e.g., low position power, unstructured task, poor leader-member relations), leaders with low LPC scores will be more effective than leaders with high LPC scores. When the situation is intermediate in favorability, leaders with high LPC scores will be more effective than leaders with low LPC scores.

Fiedler (1964) believes that a leader's standing on the LPC dimension is relatively permanent. Thus, the effective leader is one who is able to create a situation which is favorable to his/her leadership style.

The enormous amount of research generated from this model is too extensive to present in detail. A review article by Fiedler (1971) summarized a vast number of studies which provided support for the model. However, a number of reviews have severely questioned the methodological adequacy of the data interpreted by Fiedler as supportive of his model: Ashour (1973); Graen, Orris & Alvares (1971); and Graen, Alvares, Orris & Martella (1970). The controversy over Fiedler's model has yet to be resolved (Wexley & Yukl, 1977).

Path Goal Theory. Path Goal theory (Evans, 1970; House 1971; House & Dessler, 1974) is concerned primarily with the manner in which leader behavior affects subordinate motivation (Sgro, Pence, & Orban, 1979).

The major propositions of the theory are that a leader's behavior will increase subordinate motivation (and performance) to the extent that (1) the leader makes satisfaction of subordinate needs contingent on effective performance (Initiating Structure) and (2) the leader provides the necessary coaching, guidance, and support that would otherwise be lacking (Consideration). The effectiveness of these behaviors are moderated by two major classes of situational variables: subordinate characteristics (e.g., ability, personality), and environmental factors (e.g., task characteristics, position power) (Wexley & Yukl, 1977).

There are two basic aspects of the theory: the "path" and the "goal" (Sgro, Pence, & Orban, 1979). A goal is defined as something which a subordinate desires (e.g., pay, job security, self-esteem, etc.). A path is the means by which the subordinate may fulfill his/her personal goals (e.g., extra effort on the job, education, establishing friendships with co-workers, etc.).

The effective leader is one who (1) is able to evaluate personal goals of the subordinate, (2) knows what paths are available for the subordinate to follow in order to achieve these goals, (3) insures that the path followed by a subordinate leads to accomplishment of both personal and organizational goals, (4) removes barriers from the subordinate's path to make it easier for him to achieve these goals (e.g., clarifying ambiguous tasks, providing needed moral support when subordinate is faced with difficult or distasteful tasks, etc.), and (5) insures that satisfactory effort (performance) is followed by positive outcomes which are valued by the subordinate.

Wexley & Yukl (1977) note that the research conducted to test path goal leadership has focused on the interaction between situational variables and measures of leader consideration and initiating structure in a correlational research design (see House & Mitchell, 1974). The results from some of these studies on the contingent effectiveness of leader consideration and initiating structure are supportive of the theory. However, a number of studies have failed to provide positive evidence, and certain methodological weaknesses have been pointed out (Korman, 1973).

Social Exchange Theory. Jacobs (1974); Salter and Jacobs (1972) propose that leadership effectiveness can be understood in terms of social exchange theory (Homans, 1958; Blau, 1964). According to this theory, people interact because each person gains something from the interaction. These gains or benefits may take the form of compliments, help, money, etc. The more mutually beneficial such relationships are, the more valuable they are to the participants and the more permanent they tend to be.

Critical to the understanding of social exchange theory are the notions of cost and benefit. Cost refers to the resources, time, effort, etc., which each party puts into the relationship. Benefit refers to what each party gets from the exchange. It is assumed that each party will assess the equity of their exchange with another on the basis of the benefits received relative to the costs incurred. If a person sees his received benefits as exceeding his expended costs he will consider the exchange as positive and rewarding. If costs are seen as exceeding benefits, a negative attitude toward the exchange will develop. The exchange relationship will continue (and be productive for both parties) over time and the system will operate undisturbed as long as each participant is satisfied with his particular benefit/cost ratio.

According to Salter and Jacobs, the effective leader needs to monitor the various exchange relationships between himself and other members of the system and between these members and the organization. Furthermore, he must be able to influence the outcome of these exchanges in a direction which is favorable to the attainment of organizational goals.

In order to insure that organizational objectives are met, the leader must first determine the needs of subordinates and the benefits which are available to him which are capable of satisfying these needs. Then, he must make these benefits contingent upon the subordinate achieving the goals of the leader/organization. Presumably, this should result in heightened motivation as the subordinate realizes that he/she will receive an adequate return or benefit (satisfaction of needs) for his/her invested cost (high performance).

In addition to knowledge about subordinate needs and available benefits, the effective leader must possess good communication skills (Salter & Jacobs, 1972). Communication is required in order to find out what the subordinate values and to persuade him/her that there is a direct and reliable connection between doing what the leader wants and receiving desired benefits. Salter and Jacobs contend that convincing the subordinate that good performance will also be rewarding (i.e., will lead to satisfaction of needs) is a large part of the leadership task.

Finally, an effective leader should strive not only to provide benefits but also to reduce the costs involved for the subordinate in achieving organizational goals. This can be accomplished by careful organization, coordination, and planning of activities (high Initiating Structure) in a non-threatening climate, and providing appropriate training and education to the subordinate so he/she may perform his/her task more efficiently.

There is little doubt that a large portion of human behavior can be interpreted from an equity framework (Berscheid & Walster, 1978). However, as Sgro, Pence, & Orban (1979) note, there has been no research reported which directly tests specific predictions derived from Jacobs' theory.

Vroom's Decision-Making Model of Leadership. Vroom & Yetton (1973) have proposed a decision-making model of leadership that centers around the degree of participation of subordinates in the decision-making process. They present a normative model of decision-making which attempts to specify which decision procedures will be most effective in each of several specific decision situations.

The model is based on an analysis of how a leader's decision behavior affects decision quality and subordinate acceptance of the decision, which in turn jointly affects subordinate performance. Decision acceptance is the degree of subordinate commitment (motivation) to implement a decision effectively. Subordinate commitment will be high to the extent the particular decision procedure (autocratic, consultative, joint participation with leader) is consistent with the preferences of the subordinate (Wexley & Yukl, 1977).

Decision quality refers to the objective aspects of a decision that affect group performance aside from any effect on subordinate motivation. For example, task decisions which involve the determination of performance goals, priorities, work procedures, or assignment of tasks to subordinates may have a very potent impact (positive or negative) on performance depending on the appropriateness of the decision procedure to the situation (Wexley & Yukl, 1977).

The model distinguishes among six different decision procedures (two varieties of autocratic decision, two varieties of consultative, joint decision making, and delegation -- for a single subordinate only). According to Vroom & Yetton, the effectiveness of a decision procedure depends on at least five situational factors:

- 1) The importance of decision quality or acceptance;

- 2) The amount of relevant information possessed by the leader and by subordinates;
- 3) The probability that subordinates will cooperate in trying to make a good decision if allowed to participate;
- 4) The probability that subordinates will accept an autocratic decision;
- 5) The amount of disagreement among subordinates with respect to their preferred alternatives.

The model provides a set of rules for determining which decision procedure(s) should not be used in a given situation because decision quality or acceptance would be risked. To simplify the application of the rules, Vroom & Yetton have developed some decision process flow charts which allow one to systematically arrive at the "right" decision for a given situation.

There have been attempts at validating the model. Studies by Jago & Vroom (1976) and Vroom and Jago (1978) have been interpreted as providing support for the model. However, some critics (e.g., Schriesheim and Kerr, 1977), have questioned the methodology employed by Vroom and his associates. They claim that actual leader behavior is never really measured.

Another criticism of the model, as noted by Henriksen et al. (1980), is that only a narrow aspect of managerial behavior is considered -- the degree of subordinate participation in the decision-making process.

Situational (Life Cycle Theory). Hersey & Blanchard (1969, 1977) have proposed a theory which places primary emphasis upon the maturity of the individual subordinate or group of subordinates that is being led. Maturity refers to the capacity to set high but attainable goals, the ability and desire to take responsibility, and the education and/or experience of an individual or a group (Sgro, Pence, & Orban, 1979). The concept of maturity consists of two components: job maturity and psychological maturity. Job maturity refers to the ability and technical knowledge to do the job. Psychological maturity refers to feelings of self-confidence and self-respect. According to Hersey & Blanchard, the maturity level of the subordinate must be determined for the particular task at hand. The maturity level for the subordinate and the group will increase as on-the-job experience increases.

The effective leader is one who is able to adjust his/her behavior in a manner which is appropriate to the changing maturity requirements of the work group.

Hersey and Blanchard view the interaction between the leader and subordinate as analogous to that of parents and their children in which parents must change their style as their children mature. They introduce the concept "life-cycle" which they divide into four quadrants. The first quadrant represents the situation of a new and inexperienced group (individual). This quadrant requires a leadership style characterized by high initiating structure and low consideration. At this time, emphasis should be placed on teaching subordinates those skills necessary for task achievement. (Sgro, Pence, & Orban, 1979.)

When subordinates require some familiarity with the requirements of the task and have become more "task/mature" they may be viewed as occupying the second quadrant. This quadrant requires a leadership style which is high in both initiating structure and consideration. According to Hersey & Blanchard, increasing relationship-oriented behavior is necessary to motivate subordinates to continue learning the task and to facilitate communication. Good communication must be established in order for the subordinate to receive the type of feedback required to master the task (Sgro, Pence, & Orban, 1979).

When the subordinates display a complete understanding of their task and are able and willing to accept responsibility for their work, the subordinate is assumed to be in the third quadrant. Since the group is mature with respect to the task, the leader no longer need emphasize high initiating structure. He must, however, continue to emphasize high relationship-oriented behavior. This is necessary to facilitate a better work group atmosphere and greater group cohesion (Sgro, Pence, & Orban, 1979).

When the group is able to perform as a cohesive unit, the work group may be considered to be fully mature and positioned in the fourth quadrant. According to Hersey & Blanchard, the appropriate leadership style in this quadrant is characterized by low initiating structure and low consideration. Presumably this style is appropriate since the group is able to work independently, and therefore needs little structure or support (Sgro, Pence, & Orban, 1979).

Hersey and Blanchard state that the primary indicant of when leaders should alter their leadership style is when group performance changes. They also believe that the leader should be able to change his/her leadership style in a backward direction if a decrement in performance occurs.

Currently, no research has been reported which directly tests predictions of Life-Cycle Theory (Sgro, Pence, & Orban, 1979).

Behavioral Theory. The focus of Behavioral Theory (Yukl, 1971) is on how leader behavior, situational variables, and intermediate variables interact to determine subordinate productivity and satisfaction with the leader.

Yukl (1971) emphasizes three dimensions of leadership behavior: Consideration, Initiating Structure, and Decision Centralization. Decision Centralization refers to the degree to which subordinates are allowed to participate in the decision making process. For example, a leader who is high on this dimension would allow very little input in the decision making process.

Yukl proposes a discrepancy model to explain the relationship between leader behavior and subordinate satisfaction and a multiple linkage model to explain the relationship between leader behavior and group performance.

With regard to subordinate satisfaction, the discrepancy model postulates that satisfaction with the leader is a function of the degree of discrepancy between the subordinate's preferences for Consideration, Initiating Structure, and Decision Centralization and the amount of each of these dimensions that the subordinate perceives in the leader. A subordinate's preference for each

of these three dimensions is determined by both the personality of the subordinate and situational variables such as the importance of a particular decision to the subordinate. Thus, satisfaction will vary from one subordinate to another, since each subordinate will differ in the amount of importance that he/she places on the various dimensions (Sgro, Pence, & Orban, 1979).

The multiple linkage model is based on the assumption that subordinate performance is unlikely to improve unless the leader can increase one or more of the following three intermediate variables: (1) subordinate task motivation (i.e., effort devoted to their tasks), (2) task role organization (i.e., efficient use of subordinate skills), and (3) subordinate task skills. According to Yukl (1971), Consideration, Initiating Structure, Decision Centralization, and various situational variables interact in their effects on these intermediate variables. The intermediate variables interact in turn to determine group performance. Although Yukl places primary emphasis on the leader's behavior, he does allow for the possibility that the impact of the leader's behavior on performance will be moderated by other variables (situational, intermediate).

The effective leader must be aware of these variables (mentioned above) and how they interact and be able to utilize this knowledge if he is to achieve a high level of productivity. For example, a leader who is low in Initiating Structure will have a positive impact on subordinate motivation and performance to the extent he is somewhere in the "middle" of the Consideration dimension (Yukl, 1971).

While a number of studies have been cited by Yukl as supportive of his theory, no study has directly tested predictions derived from his multiple linkage model (Sgro, Pence, & Orban, 1979).

Power Theory. McClelland (1975) has proposed a theory of leadership which centers around an individual's need for power (n - power). According to McClelland there are two distinct power motives. He labels these as personal power (p - power) and socialized power (s - power). Personal power is viewed as being more primitive in nature and is characterized by attempts to exert personal dominance and "win out" over adversaries. Socialized power is characterized by McClelland as being a more disciplined or controlled expression of power which is used for the benefit of others. (Sgro, Pence, & Orban, 1979). McClelland contends that individuals scoring higher on measures of s - power show a tendency to become organizational leaders (McClelland, Davis, Kalin, & Wanner, 1972).

McClelland states that the effective leader is one who displays three types of behavior in interacting with subordinates. First, the leader proposes a set of goals which are judged desirable by the subordinates. Second, the leader must clarify the means by which subordinates can obtain or achieve these goals. Finally, the leader makes subordinates feel strong and powerful, by allowing them to participate in goal planning (Sgro, Pence, & Orban, 1979). Thus, an effective leader is one who demonstrates high initiating structure and allows for subordinate input in the decision-making process.

McClelland also sees situational factors as being important in the study of leadership. He suggests that whether leaders are effective or ineffective depends upon the appropriateness of their power motivation to the leadership situation. For example, a leader who has high p - power may be more effective in combat situations than in non-combat situations (e.g., business situations). McClelland however, does not view n - power as an unalterable personality trait. He contends that individuals may be re-educated in their need for power. Thus, through the appropriate training, an individual's effectiveness (in organizational settings) as a leader may be enhanced by increasing his/her s - power. (Sgro, Pence, & Orban, 1979).

A study by McClelland, Rhinesmith, & Kristensen (1975) indicated that individuals' n - power can be altered, and that increasing s - power results in more effective leadership behavior.

The Vertical Dyad Linkage Approach. The Vertical Dyad Linkage Model (VDL) (Graen, Dansereau, and Mirami, 1972) places its primary emphasis on the nature of the vertical exchange (relationship) between the leader and a particular subordinate. The VDL model questions the core assumptions underlying most other theories of leadership that: (1) all group members are sufficiently similar on relevant dimensions and (2) that the leader interacts with each group member in the same way.

In contrast, the VDL model assumes that: (1) the behavior of a leader towards a subordinate depends upon the relationship of that particular subordinate and the leader, and (2) different group members will respond differently to the same leader behavior.

What is of central concern for the model is in explaining the development of the working relationship between the leader and subordinate. According to Dansereau, Graen, and Haga (1975), the relationship which develops between the leader and subordinate can take on one of two general forms: leadership or supervision. A leadership relationship is characterized by a lack of formal authority, mutual trust, job latitude, negotiation, greater subordinate job responsibility, and job freedom. As the subordinate demonstrates acceptable work performance, the leader responds by allowing more autonomy (Sgro, Pence, & Orban, 1979). Presumably, this increased latitude will lead to a better working relationship with the leader.

On the other hand, a supervisory relationship is characterized by the use of formal authority. In this type of relationship, the leader structures the job so that the role of each subordinate is made quite clear. Supervision is quite close in this relationship. When satisfactory work performance has been demonstrated, the leader rewards the subordinate with formal organizational rewards, such as pay and promotions (Sgro, Pence, & Orban, 1979).

The type of relationship that develops between the leader and subordinate depends on such factors as subordinate ability and personality. For example, if the leader feels that the subordinate is capable of success on the job (competent) a leadership relationship will emerge in which the subordinate will have a high degree of negotiating latitude (decision input, autonomy, etc.) (Sgro, Pence, & Orban, 1979).

Evidence from various studies suggests that subordinates afforded a high degree of negotiating latitude develop better working relationships with their leaders [Dansereau, Graen, & Haga (1975); Cashman, Dansereau, Graen, and Haga, (1976); Graen & Cashman (1975); and Graen and Schiemann, (1978)]. Cummings (1975), however, questions the plausibility of the model's assumptions and criticizes the conceptualization of key terms in the VDL model. It should also be pointed out that the primary focus for Graen et al. is not on outcomes (i.e., performance) but on how influence processes develop and change over time (Henriksen et al., 1980).

Developmental Model of Leadership. Sgro, Pence, and Orban (1979) have attempted to integrate various aspects of the preceding theories into one comprehensive model of leadership. At the heart of the model is the concept of organizational maturity. Sgro et al contended that effective leadership, like any other behavioral process, occurs over a period of time. Thus, it is important to consider not only the maturity level of the work group (Hersey & Blanchard, 1969, 1977) but of the leader as well in order to obtain a clearer understanding of the nature of effective leadership.

The organizational maturity of an individual is defined as including the following six skills:

- 1) Technical competence
- 2) Communication skills
- 3) Human relations skills
- 4) Knowledge of organizational structure
- 5) Understanding of different types of power and influence
- 6) Understanding of his/her role in the organization

An effective leader must be competent in all six of these skills. Sgro et al. argue that these dimensions (2-6) are interrelated. They go on to state that "...there is a rational order to the development of certain dimensions of organizational maturity, particularly with respect to a leader's organizational maturity" (p 124). Communication forms the foundation from which the other dimensions can develop. For example, communication skills must be developed before the individual is able to improve human relation skills.

The major assumption of the model is that the stage of organizational maturity of both the subordinates and the leader are critical variables moderating the optimal leader-member relationships. Thus, it is important that the leader know where he/she stands in organizational maturity in relation to the group. Once this is determined, a leadership style can then be developed which is appropriate to the situation.

The organizational maturity level of the group and leader can be characterized in one of four different ways:

- 1) High subordinate and high leader organizational maturity (Quadrant I). It is assumed that all groups are moving toward Quadrant I.
- 2) Low subordinate and high leader organizational maturity (Quadrant II).
- 3) Low subordinate and low leader organizational maturity (Quadrant III).
- 4) High subordinate and low leader organizational maturity (Quadrant IV).

Each quadrant emphasizes a different cluster and patterning of leader behaviors and skills that are necessary for effective leadership development to occur. For example, Quadrant II is characterized by the appropriate use of both Consideration and Initiating Structure (e.g., Hersery & Blanchard, 1969, 1977). Quadrant I is characterized by Low Decision Centralization (shared decision making), High Consideration, and Low Structure.

Sgro et al. view leadership as an organizational process in which the characteristics of the organization may place additional constraints on the manner in which the leadership process will develop.

Currently, no research has been reported which directly tests predictions derived from the model.

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APPENDIX D
SCENARIO DEVELOPMENT

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APPENDIX D
SCENARIO DEVELOPMENT

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Table 21
VISTA 1 Objectives
Verbal Abuse

1. Don't allow verbal abuse of the troops. Everyone should treat each other with mutual respect.
2. Give immediate feedback, but don't correct a NCO in front of his men.
3. Don't be too hard or too soft.
4. Learn how to prepare for a counseling session.
5. State your policies and enforce them.
6. Address performance problem first, then look for causes (e.g., personal problems).
7. Assess the severity of a personal problem and refer to expert if it is too difficult or too time consuming for you to address.
8. Know the appropriate and available counseling agencies.
9. Be willing to listen, but don't be surprised or offended if your men are reluctant to open up to you.
10. Always follow up a counseling session and a referral.

Table 22

VISTA 2 Objectives

Taking Charge: Meeting the Platoon Sergeant

1. Let the student know what to expect his first few days as a Platoon Leader.
2. Let the student know the appropriate way to schedule and conduct his initial meeting with the Platoon Sergeant, NCO's, and the entire Platoon.
3. Show the young lieutenant how to conduct himself when interacting with his Platoon Sergeant.
4. Let the lieutenant know about important topics he should ask about in his initial meeting with the Platoon Sergeant (e.g., areas of strength and weaknesses in the Platoon, morale in the Platoon, size of the Platoon, etc.).
5. Show the Platoon Sergeant respect and take the attitude that you are willing to work with him and value his advice.
6. Don't make any quick changes unless they are obviously necessary. Rather, take a couple of weeks to assess the situation.
7. Be honest with your men and give them straight feedback, positive or negative, about their performance.
8. Use your Platoon Sergeant's experience.

Table 23

VISTA 3 Objectives

Meeting the NCO's and the Platoon

1. Approach the NCO's with respect. Don't take too hard or too soft approach.
2. Things the NCO's want to hear:
 - that you will use the chain of command,
 - that you will respect and value their advice,
 - that you will support them and stand behind them,
 - details about your background.
3. Don't let any NCO or platoon member manipulate you into changes until you have had adequate time to fully assess the situation.
4. Remember the responsibilities of the NCO:
 - maintenance of billets,
 - maintenance of equipment,
 - location and accountability of the platoon members,
 - training,
 - personal appearance.
5. Try to stay out of the NCO's business unless they are negligent.
6. Don't betray confidentiality.
7. Familiarize yourself with company policies as soon as possible.

Table 24

VISTA 4 Objectives

Performance Counseling

1. Get relevant background information on an individual before counseling session (e.g., talk with the Platoon Sergeant, other NCO's, look at record, etc.).
2. Look for trends in performance and counsel accordingly.
3. Try to encourage and motivate the individual, even in a negative feedback counseling setting.
4. Compliment good performance whenever possible.
5. Do not let poor performance go by, you must take corrective action.
6. Plan the counseling session before the individual even arrives.
7. Be firm, prompt, confrontive, and specific in giving both positive and negative feedback. Don't be too hard or too soft.
8. Don't criticize someone for something that is completely beyond his/her control.
9. Use and have your men use, time management techniques (e.g., calendar, checklist, etc.).
10. Give assignments to insure that performance problems have been remedied.
11. Look for deeper reasons for performance problems, but only if strongly suggested.
12. Follow up counseling sessions.
13. Keep written records of all counseling sessions.

Table 25

VISTA 5 Objectives

Insubordination

1. On the basis of past history, NCO input, attitude, etc., be able to discriminate between the "salvageable" individual and the individual who deserves stonger punishment.
2. If insubordination is acute and moderate, try to determine the cause of the problem and provide corrective action.
3. Be sure to remind the counselee about the consequences of continued insubordination.
4. If insubordination is severe and/or chronic, take whatever action is necessary.
5. If legal action is implied, know the UCMJ, especially:
 - have a witness present,
 - get statements and accounts from all parties,
 - read the individual his/her rights,
 - state the offenses in a clear and concise manner,
 - realize that the Company Commander is the one who will handle the formal paperwork.
6. Support your NCO's and value their advice.
7. Keep clear records of all counseling sessions.

Table 26

VISTA 6 Objectives

Personal Crises

1. Know the appropriate procedures in case of emergency crises (e.g., emergency family problems, suicide threats, etc.).
2. Know about the various Army referral agencies available to you and know which referral agency is the most appropriate for various emergency situations.
3. Know appropriate role to play in handling emergencies:
 - remain calm,
 - show genuine concern,
 - try to be helpful,
 - be considerate,
 - try to empathize.
4. Have the counselee leave the office if potentially embarrassing information is to be discussed.
5. In the case of suicide threats, have someone stay with the individual until he can be seen by the appropriate referral agency (e.g., Community Mental Health).
6. Keep the NCO's and your Commander informed about all emergency crisis situations.
7. Follow up on all emergency crises and make sure that you and the Army has done all that is possible to help resolve the situation.

Appendix D

Part 2

Workbook for Interactive Videodisc Scenario Authoring

1. Consult with subject matter experts (SME's), doctrine, theories, and any other relevant information sources in order to determine what your primary instructional objectives are. List them below and periodically return to them to insure that they are being accomplished.

Secure approval from appropriate agency or person.

2. Setting

Describe the situation (place, time, people involved, etc.), where this problem is most likely to occur.

3. Background

Write down any background information that the student would have to know in order to complete the scenario.

4. Establish Correct Path

Determine correct sequence (path) alternating from students' response to consequence. Put each "X" and "Y" on a separate sheet of paper.

X1: Student Responds (verbal and/or actions).

Y1: Environment Reacts (resulting actions, verbalizations, etc.)

X2: Student Responds

Y2: Environment Reacts

X3: Student Responds

Y3: Environment Reacts

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5. Establish Correct Path Decision Points

Looking only at the students' responses (X's) determine those responses which are potentially critical decision points (e.g. where a new direction is taken or where there is a high potential for making a common mistake, etc.). These responses now represent the correct answers to Correct Path Decision Points. There should be approximately 8-20 such decision points. (These figures are estimates. The final numbers will depend on amount of off-track branching, the realism in the situation the desired lesson length, the students capabilities, etc.) Additional non-branching decision points should be added as needed (e.g. what would you do before _____, what would you do after _____, etc.)

6. Write Positive Feedback for Correct Path

Write clear and concise feedback explaining why a given response was probably the best alternative. Depending on the level of your audience and your instructional goals, elaborate and abstract theoretical explanations should probably be avoided. If insufficient explanation can be derived, the alternative, the choice point, or both should be reconsidered.

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7. Determine Incorrect Alternatives

For each decision point, construct one to four incorrect alternatives keeping the following points in mind:

1. Try to use common mistakes as alternatives.
2. Remember that you are going to have to justify why each alternative is wrong.
3. All alternatives should have face validity and appeal to some segment of the student population.
4. For economy, try to list a number of outcomes for the entire situation and route your wrong alternatives into those outcomes.

8. Write Negative Feedback for Incorrect Alternatives

Write clear and concise explanations about why a given alternative was less than optimal. In counseling scenarios, be careful about using absolutes like "right" or "wrong", because these are often very judgemental. Rather, use phrasing like "probably the best" or "judged to be less than optimal". Again, try to stay away from verbose, abstract, theoretical explanations unless that is part of your training objective. If insufficient explanation can be derived, reconsider that alternative.

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9. Determine Experiential Paths

a. Starting with the first incorrect choice at the first decision point, determine a path that leads to the most probable conclusion, given that choice.

b. Determine the critical choice points for this "second order" path using the guidelines in #5 above.

c. For each new choice point, determine the best response given the new situation. When possible, allow the student to get back to the original correct path.

d. Establish incorrect alternatives for the new choice points using the guidelines in #7 above.

e. Continue in this manner, but try to remain within three steps of the original correct path. For efficiency, try to route back to the correct path, route to a common ending, or terminate a sequence as soon as meaningfully possible.

10. Verify the Instructional Objectives

When you have finished, check to make sure that you have adequately addressed all of your original instructional objectives along with any that may have evolved during the writing process. You should work closely with SME's at all stages, but especially now. Remember that changes are not always simple; they can have a snowball effect. For example, a change in dialogue early in a scenario can possible have implications along a number of branching paths. Check all changes carefully.

Secure approval from appropriate agency or person.