



Situational Leadership

Will and Skill

Use this checklist to assess the competence and willingness of a PhD student regarding a certain task.

Step 1: Description of the task:

Step 2A: Skill Checklist

How do you rate the skill of the PhD student (low – high), consider the following:

- Experience relevant to the task
- Professional knowledge relevant to the task
- Analytical ability
- Monitor progress and quality of the result
- Time efficiency

Level of Skill

Step 2B: Will Checklist

How do you rate the will of your PhD student (low – high), keep the following in mind:

- The willingness to be responsible for this task
- The willingness to carry out this task better and more efficiently
- Perseverance in the execution of this task
- Enjoyment in the execution of this task
- The need to work on this task independently

Level of Will



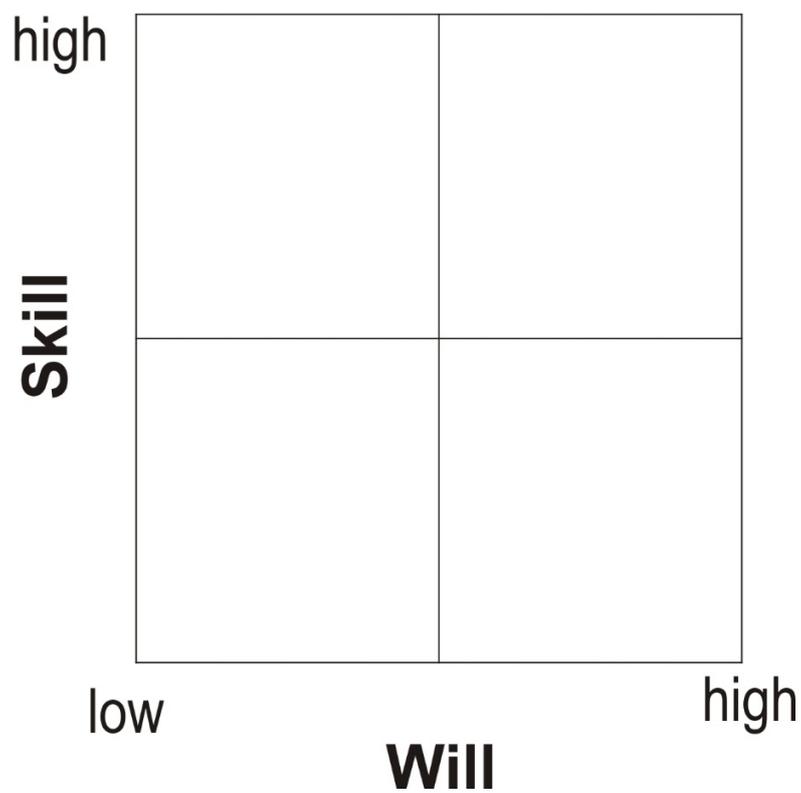
Will – skill matrix

On this page you note the results of your PhD student in the will-skill matrix.

Step 3:

You mark a point on the X-axis for the level of motivation. Do the same for the level of competence on the Y-axis.

The intersection is the graphical representation of the task maturity of the PhD student.





Your supervision style

Use these checklists to determine the level of task oriented and person oriented supervision you provided with regards to the relevant task of the PhD student. These styles are also sometimes called direction and support.

Step 4A: Checklist Task Oriented Supervision / Direction

To what extent did you provide task oriented supervision:

- Setting targets for the PhD student to meet
- Arranging the work environment for the PhD student
- Prescribing work times
- Providing specific directives regarding the task execution
- Requesting regular and specified progress reports

Level of Task Oriented Supervision / Direction

Step 4B: Checklist Person Oriented Supervision / Support

To what extent did you provide person oriented supervision through:

- Providing encouragement and showing involvement
- Discussing execution of the task
- Acting as an intermediary and supporting the PhD student in contact with others
- Demonstrating that you find the opinion of the PhD student relevant (listening, asking for input)
- Showing how pleased or displeased you were by the final outcome of the task execution

Level of Person Oriented Supervision / Support



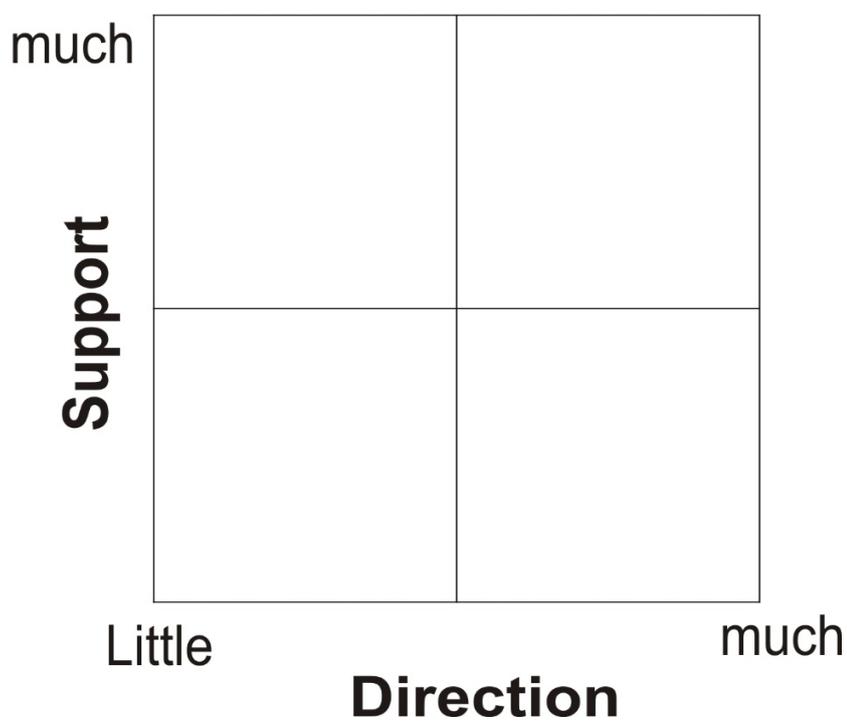
Style matrix

On this page you note the results of your supervision style.

Step 5:

You mark a point on the X-axis for the level of direction. Do the same for the measure of support on the Y-axis.

The intersection is the graphical representation of your supervision style.





Checklist Influence Techniques

Prescriptive technique

- I often use words such as 'must' and 'should'.
- I clearly state to others what I expect from them.
- When I judge someone's input to be negative or positive, I tell that person.
- I do not hesitate to use my authority.
- I tend to let others know my wishes and desires very quickly.
- I formulate standards that I feel others should meet.
- I let people know when they are not meeting my requirements.
- I let others know exactly what I expect from them.
- I tell others what they should and shouldn't do.
- I use appreciation selectively to bring about change or performance improvement in others.

Logical technique

- I convey my opinion with logically constructed arguments.
- When I want to convince others I bring as many arguments as possible to bear.
- When there is an issue, I make logical suggestions for a solution.
- I try to provide business-like arguments for all my suggestions.
- I make suggestions I believe are valuable, even when they may not be popular.
- I use logic and solid arguments to support suggestions.
- When others don't agree with me, I look for new arguments.
- I am turned off by a story if it has no structure or coherence.
- I try to stay as rational as possible in all situations.
- Any suggestion is as good as its arguments.



Motivational technique

- I look for work objectives that everyone can relate to.
- When others become discouraged I try to help them feel motivated again.
- I encourage the feeling that we are all in it together.
- I always try to show others the exciting aspects of a situation.
- My optimism and enthusiasm are infectious.
I can make people enthusiastic about what we can get done together.
- I become enthusiastic myself quickly.
- I like to work with an inspiring vision of the future.
- I always try to get as many people as possible on board for my ideas.
- When I go for something I am good at getting others to also become enthusiastic.

Relational technique

- When people have not been able to resolve an issue, I can be understanding about that and show it.
- I listen and show understanding if someone becomes emotional.
- I empathically ask for the opinions and suggestions of others.
- I listen attentively when people voice opinions that are different from mine.
- I study whether I have understood what other people have said.
- I am open to the problems and worries of others.
- If someone is not participating I try to get him/her involved.
- I show my reaction when others are having a hard time.
- I am candid about my intentions and motives.
- I am a good listener.



Literature overview - Supervising PhD's

Blanchard, Kenneth and Spencer Johnson (1981) *The one minute manager*. Hazell Watson & Viney Limited, Aylesbury, Bucks. (111 pag.)

Short and simple introduction to general management. A must read.

Blanchard, Ken, Patricia Zigarmi and Drea Zigarmi *Leadership and the one minute manager*. (2009) vijftiende druk. Business Contact. Amsterdam/Antwerpen. (110 pag.)

Short and very useful resume of the theory of situational leadership.

Bruin, J. de en B. Hertz. *Project management for PhD's*. Boom (2009).

Our own book. Especially written for PhD's and their supervisors working at Dutch universities.

Covey, Stephen R. (1989) *The seven habits of highly effective people*. Simon & Schuster, Inc., New York

Not directly targeted to the supervision of PhD's, but one of the must reads for people who want to develop their leadership skills. Tone of voice has a high level of 'yes we can'.

Bloise, Wendy, Curtis W. Cook en Philip L. Hunsaker (2006) *Management and organisational behaviour*. Berkshire: Mc Graw Hill Education. (816 pag.)

All relevant management theories, like situational leadership (short version: see Blanchard in this list) are explained in this tome. Other relevant themes are: managing groups and teams, organisational behaviour and organisation development.

Delamont, Sara, Paul Atkinson en Odette Parry (2001) *Supervising the PhD. A guide to success*. Buckingham/Philadelphia: Open University Press. (194 pag.)

A promising title and the only book we've found about this subject. Unfortunately it is really disappointing since it is not applicable to the Dutch situation. Moreover you learn nothing from this book. We advice not to buy it.

Fisher, Roger, William Ury en Bruce Patton (1991) *Getting to yes. Negotiation agreement without giving in*. Houghton Mifflin Harcourt, New York. (200 pag.)

This is THE standard work about negotiating. Well written and applicable in the academic situation.

Hertz, Brigitte (2005) *Presenteren van onderzoek*. Amsterdam: Boom Onderwijs. (143 pag.)

Useful book. Especially written for academic researchers. Only available in Dutch



Landsberg, Max (2002) *The Tao of coaching*. Profile Books LTD, London. (126 pag.)

Landsberg, Max (2002) *The Tao of motivation*. Profile Books LTD, London. (146 pag.)

Landsberg, Max (2002) *The Tools of Leadership*. Profile Books LTD, London. (175 pag.)

All three books are very practical and useful as an introduction to the heavier stuff. They both use tangible case descriptions.

Ofman, Daniel D. (2001) *Core Qualities, a gateway to human resources*. Scriptum, Schiedam. (183 pag.)

Ofman is the founder of the 'Core Quadrants' that are explained in this book. Furthermore he shows a fresh view on dealing with values within organisations.



Conflict Management

Assignment

Read the short descriptions of the four styles of conflict management below.

1. Which one (or two) of the four descriptions applies best to your own reaction in conflict situations?
2. Can you think of a situation you've been in and reacted accordingly?
3. Discuss:
 - a. What are advantages and disadvantages of this style?
 - b. On what situations applies this style best?



Negotiation

Results and relationships

Different people have different objectives and they try to overcome these differences through negotiation. This occurs everywhere: in business as well as in government, in the family, in social clubs, among friends etc. Everyone enters into a negotiation of some sort at least once a day.

The question always seems to be whether the negotiation should be soft or hard. The hard negotiator always wants to win, turns the negotiation into a competition, invites hard responses to his hard actions and ends up in a deadlock. If this type of negotiator has the better arguments, he may lose a valuable relationship. The soft negotiator avoids personal conflict; he makes concessions to maintain the relationship, but in the end feels unsatisfied with the results achieved.

1. When is negotiating possible?

- When both parties wish to achieve a positive result;
- When both parties have something to exchange: to negotiate is to barter;
- When there is a relationship of dependency.

2. Four starting points

- Success is more important than winning.
Aim at win/win situations. It is not important whether a party is the winner or the loser. The objective is to explore all possibilities together in a creative way and to find a solution for a seemingly insurmountable difference; a solution which will be profitable for both parties. Both in terms of contents and on a relational level, this type of negotiation may prove successful.
- Be inventive.
Make a distinction between searching for possible solutions and judging these solutions; in other words between being inventive and being critical. For instance, by means of brainstorming, with or without the other party.
- Concentrate on interests, not on opinions.
Interests cause the problem. Human behaviour is motivated not by opinions, but by needs, desires, cares and fears. In order to find solutions, it is necessary to reconcile differences in interest rather than differences in opinion.
- Distinguish between the problem and the people involved.

The problem is often tangled up with the relationships of the parties involved. A common mistake is either to make unsatisfactory concessions to maintain a good relationship or to take a more uncompromising stance, because the relationship is already troubled. Be firm over matters concerning the problem, but always remain friendly when dealing with the other party.



3. Negotiation Steps

1. Preparation
 - What exactly do I hope to achieve? What are my interests?
 - What might be the objectives of the other party?
 - Come up with as many different solutions as possible.
2. Discussion
 - Explain what you hope to achieve.
 - Try to establish the other party's objectives.
 - Ask many questions.
 - Try to determine what interests lie behind the other party's opinions.
3. Make proposals
 - Make proposals using the 'if-then' format.
4. Get down to business
 - Indicate what you are prepared to concede in exchange for meeting your conditions.
 - Make a counterproposal if a proposal is not acceptable.
5. Conclusion
 - Make clear agreements and summarize the main points.
 - Confirm the agreements on paper or by e-mail.



Negotiation Assignment

What are your interests?

What is the best that you can get out of this negotiation?

What is the least you want to get out of this negotiation?

What would be the other's interests?

Think of as many alternatives (be creative) to reach a 'win-win' situation



Additional Research Case Study

PhD Student

Your professor has asked you to carry out additional research. The research is not directly related to your own project, but it sounds interesting. It could mean the opportunity to publish in a prestigious journal and might yield some extra money.

However, you would have trouble finding the time to carry out the research.

The fact is that on top of your own research, you are busy with teaching in this period, not to mention that it would put this year's long-awaited holiday at risk.



Additional Research Case Study

Supervisor

Your professor has requested you to carry out research for a ministry, which is also prepared to pay. However, they are stipulating that the research must be completed within six months. You simply do not have the time to carry out the research yourself. Neither is the payment that the ministry has promised sufficient to recruit someone for the task. You nonetheless want to have the research carried out, because it would be good for the research group to make a name for itself in the research area concerned, and you would welcome the opportunity to keep the contact with the ministry warm, if not even to extend it.

An international congress that you would like to attend is scheduled for three months time in Australia, and you could well use the (provisional) research findings for a paper and presentation.

You have asked one of PhD students whether they would be willing to carry out the research. It is an interesting research topic and it would be an opportunity for the student to do something outside the rigidly defined doctoral thesis subject. If necessary, it would be possible for the PhD student to be given more time for the thesis.



Supervising PhD students

Negotiations: a new PhD student

Professor

You have been working for five years as professor and have built up a new university research group that furthermore consists of an assistant professor, two postdocs and eight PhD students. You are conducting groundbreaking research. You are about to hire a new PhD student. The assistant professor with whom you built up the research group will be the daily supervisor and co-promotor and you, of course, will be the promotor. You want to start a new line of research with this PhD student and therefore have outspoken ideas about the direction the research should take. You also hope to present the first results at a prestigious conference in Cambridge in about a year's time.

You will be very busy in the coming year, so it is important that the assistant professor takes on most of the supervision tasks. You are leaving in three months to carry out research in another country. You also want the assistant professor to deputise for you temporarily as head of the department during that period.

You have an appointment with the assistant professor to ask him/her to take on the supervision of the PhD student and to head the department temporarily.



Supervision of PhD students

Negotiations: a new PhD student

Daily supervisor / assistant professor

You have been working for five years as assistant professor in a new university research group that furthermore consists of a professor, two postdocs and eight PhD students. Thanks to some recent breakthroughs, it is now one of the most cited groups within its field.

Your group is about to hire a new PhD student. You want to use this student on a new line of research that is slightly different from the current program, because you are working on a request for a NWO grant that needs to be submitted six months from now. If you are awarded the grant this give you the opportunity to begin your own line of research with two PhD students. You would like to have the commitment and support of your professor. You would also like to ask him for an additional research assistant. You also want to start spending less time on the supervision of a few PhD students, to make time available for writing the request and to invest in the new line of research.

You would prefer to stay with this research group, if you are given enough space for your own development. The professor has invited you to talk about the supervision of the new PhD student.



PhD Planning Project Assignment

Step 1

Take a flip-over sheet and divide it into 4 years.

Divide each year into 12 months.

Plan a PhD project by positioning cards on various parts of the sheet.

Where necessary use blank cards and use them to write additional parts on.

Step 2

Make a list of unknown factors.

Make a list of risks that would cause delay.

Establish alternative scenarios to cover risk aspects.

Step 3

Explain the planning (to your neighbour).

Give each other feedback on the planning and on the reasoning behind it.

Step 4

Give feedback (to your neighbour) on the planning as well as on the explanation of the planning.



Rules for project management

- Plan from back to front, then you will know when things need to be done and finished.
- Set milestones and create intermediary deadlines.
- In your planning take annually repeating events into account, such as education schedules and conferences in your field of research.
- Make a risk analysis: where are the potential pitfalls that may cost a lot of time? Is there a plan B?
- Reserve days or time slots for your core activities, and keep your calendar clear for them, read no mails and switch your phone to voicemail.
- Don't mistake how much time you have; generally you only spend 60% of your work time on actual research.
- Take account of the time difference involved between the time it takes to carry out a certain activity and the total time involved in relation to that activity. For example writing an article.
- Start writing as soon as you can. Writing is a learning process, you need to alternate it with other activities. And when you save writing to the last, the task just looms larger.
- Keep some room in your planning; this gives you space for mistakes and fun opportunities. Golden rule: one hour per day and one day per week.
- Plan for your vacation too.
- Solve any inaccuracies in your planning and adjust your planning on a regular basis.



Active and empathetic listening

Verbal

Asking open-ended questions

Posing opening questions

Paraphrasing

Summarizing

Mirroring

Encouraging

Agreeing

Allowing for silences

Parroting technique

No own references

Do not offer solutions

Non-verbal communication

Nodding

Leaning forward

Eye contact

Copy posture



Counseling

1. Arrange a meeting
Find an enclosed space where you can talk in peace without being overheard. Make sure both parties have enough time and know this about each other.
2. Encourage talking
(Open-ended questions, interested attitude, listening cues, reassurance, take seriously, summarize)
3. Help thought process, do not judge, ask after options, determine facts and options.
4. Allow parties to find their own solutions
Accept the solution, let them make a plan of action and tell them the door is always open.



Providing feedback

Feedback is commentary regarding the product or behavior of another person, with the purpose of indicating your evaluation of that behavior (or product).

You can do this because you appreciate this particular behavior or product and want to acknowledge this to the other person. What's more, you may hope that this person will continue to display the same behavior in the future, or supply a product with the same level of quality. You could also be providing feedback because you are not happy with the product or behavior and want to see a specific improvement.

When

It's always best to respond to situations swiftly, as they occur. This ensures the subject of the feedback is as clear as possible to all parties involved. In other words you can provide feedback often, you don't have to wait for an official occasion.

In some situations, specifically when the feedback is intended to indicate changes you'd like to see, it is recommended to sit in a separate space with someone, and make a specific appointment to do so. You could also do this on a regular basis.

The annual job performance review is an official occasion at which you provide feedback on a number of topics that have occurred in the past year.

What

You can provide feedback on a range of topics. It may concern behavior, work/products, development, progress and prospects.

Behavior of your colleague or boss. You can use feedback to indicate what you appreciate when working together, and what you feel could be improved.

Work/product of a person, for example an annual report, a draft article for a science journal, or an education plan.

Development. At an official evaluation interview (for example the annual job performance review) it is important for supervisors to think about an employee's development process and provide feedback on this specifically. How does the employee relate to the competencies described in the job profile? Is any progress visible? With PhD graduates in particular, you can give them feedback on the progress of their PhD project. Where do they stand at this moment?

Future in the organization. In an official evaluation interview the supervisor will want to provide feedback on how well someone fits into the team, the organization, and what his or her prospects are within the organization.



Provide feedback

- Positive as well as negative (keep it balanced)
- Begin with the positive
- Be concrete, provide feedback on behavior (what did you hear, what did you see)
- Give some examples
- Indicate what effect the behavior has on you
- Suggest alternative behaviors

Example: I see you do this, that makes me feel that.... and I would like you to...

- Only provide feedback on behavior that can be improved upon
- Give the other a chance to respond

Receiving feedback

- Ask for explanation or examples
- Do not argue
- Do not respond by giving feedback in return
- If feedback is one-sided ask explicitly for positive or negative feedback
- Say thank you for the feedback