

SUBCOURSE CD03-C  
PERSONAL AND PERFORMANCE COUNSELING  
(8 CREDIT HOURS)

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SELF-PACED LESSON

US ARMY SERGEANTS MAJOR ACADEMY

FORT BLISS, TEXAS 79918

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PERSONAL AND PERFORMANCE COUNSELING

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STUDENT INFORMATION SHEET

INTRODUCTION

This self-paced lesson is on counseling; it is also about helping people. It is essential that you examine your leadership efforts in terms of goals and outcomes as you take into account the human element which makes counseling a unique experience. During this lesson you will be taking a look at personal and performance counseling. It is imperative for a leader to be aware of the importance of counseling, the benefits of counseling, and some of the techniques used in counseling.

PURPOSE

This lesson presents a framework for developing the basic counseling skills which will assist the senior noncommissioned officer to help others to solve practical problems, both on the job and in day-to-day living. By so doing, the senior noncommissioned officer more adequately fulfills his/her role within the unit and complements the effectiveness of the organization.

COURSE PROCEDURES

First, check and ensure you have received all material listed under "Resource Materials." All items are required to complete this subcourse. Next, work the modules in order, I through III. Read the learning objective, complete the module and the exercise at the end of each module. Complete the faculty-graded lesson exercise and return it to the Academy for evaluation.

RESOURCE MATERIALS

- a. Three lesson modules.
- b. One faculty-graded lesson exercise.
- c. Supplemental Reading 1, "Guide to Personal Counseling for Noncommissioned Officers."
- d. Supplemental Reading 2, "The Supervisor as Counselor."
- e. Supplemental Reading 3, "Guide to Performance Counseling for Noncommissioned Officers."

THE MODULES

Each module follows a similar format and includes:

- a. Enabling Learning Objectives.
- b. Module Reading.
- c. Module Exercise.
- d. Module Solution/Discussion Sheet.

Work one module at a time, beginning with Module 1. If you feel that you can perform as required by the objective, you may turn to the exercise without completing the module reading.

TERMINAL LEARNING OBJECTIVE

TLO: To develop and use effective counseling skills as required for personal counseling and job performance appraisal.

ENABLING LEARNING OBJECTIVES

- a. Define the purpose of counseling.
- b. Define the role of the supervisor in the counseling process.
- c. Identify and describe the four elements that are a part of preparing the environment for a counseling session.
- d. Describe the purpose of personal counseling.
- e. Describe the skills of paraphrasing, reflection, and summarization.
- f. Given a situation, select the most appropriate active listening response.
- g. Identify the necessary steps which should be taken when a counselor is aware that he/she has reached the limit of his/her competency.
- h. Describe the purpose of performance counseling.
- i. Identify and describe three possible approaches which a counselor may use in a performance appraisal session.

STANDARDS

The student must answer at least 75% (9) of the twelve questions correctly on the faculty-graded lesson exercise to receive a "GO."

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PERSONAL AND PERFORMANCE COUNSELING

MODULE I

THE COUNSELING PROCESS AND THE SUPERVISOR

1. Enabling Learning Objectives.

- a. Define the purpose of counseling.
- b. Define the role of the supervisor in the counseling process.
- c. Identify and describe the four elements that are a part of preparing the environment for a counseling session.

2. Student Assignment. First of all, study the objectives above. Then, study and read Section 1 of Supplemental Reading 1 and all of Supplemental Reading 2. Turn to the Module Exercise and do the exercises. Once you have completed the exercises, check your answers with the enclosed Module Solution/Discussion Sheet. This is a self-graded exercise. Based on any incorrect responses, review, reevaluate, and proceed to the next module. If at any time during this process you are not sure of your knowledge of this subject, stop and work through the module readings until you feel qualified to complete the module exercise.

PERSONAL AND PERFORMANCE COUNSELING

MODULE EXERCISE I  
(Self-Graded)

Answer the following questions based on your reading for this module. Retain this exercise for your information.

1. The purpose of counseling in general can best be described as: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. The role of the supervisor in the counseling process can best be defined as: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Match the description in the second column with the appropriate element of preparing the counseling environment in the first column.

<u>Elements</u>	<u>Descriptions</u>
3. <u>A</u> Advance notification	a. Whenever possible, both the counselee and counselor should be notified in advance of the interview.
4. <u>D</u> Allotment of time	b. While a detailed plan of action is not advisable for personal counseling, a supervisor should develop a general plan of action in conducting performance counseling.
5. <u>B</u> Planning	c. The place where counseling is conducted, its environment, and its physical arrangement are all extremely important.
6. <u>C</u> Physical setting	d. Sufficient time should be allotted for the interview so that neither the counselor nor the counselee feel rushed.

PERSONAL AND PERFORMANCE COUNSELING

MODULE 1

SOLUTION/DISCUSSION  
(Self-Graded)

EXERCISE 1

STANDARD: Your response should indicate an understanding of the definition presented below to receive a "GO."

Supplemental Reading 1, Section 1, para 2, defines counseling as an interpersonal relationship in which the principal objectives are the development of the counselee, the improvement of their welfare, and the resolution of their problem.

EXERCISE 2

STANDARD: Your response should indicate an understanding of the definition presented below to receive a "GO."

According to the summary of Supplemental Reading 2, page SR-2-4, the helper/receiver concept is a more realistic way of looking at the supervisor and subordinate relationship. The supervisor's role is to help a subordinate to willingly agree to a change of behavior that will benefit the organization without injuring the receiver's self-esteem or the working relationship.

EXERCISES 3 thru 6

STANDARD: To receive a "GO" you should correctly match all four elements for preparing the counseling environment as discussed in Supplemental Reading 1.

3. a. (SR 1, page SR-1-5)

4. d. (SR 1, page SR-1-5)

5. b. (SR 1, page SR-1-5)

6. c. (SR 1, page SR-1-5)

PERSONAL AND PERFORMANCE COUNSELING

MODULE 11

PERSONAL COUNSELING AND REFERRAL

1. Enabling Learning Objectives.

- a. Describe the purpose of personal counseling.
- b. Describe the skills of paraphrasing, reflection, and summarization.
- c. Given a situation, select the most appropriate active listening response.
- d. Identify the necessary steps which should be taken when a counselor is aware that he/she has reached the limit of his/her competency.

2. Student Assignment. First, study the objectives above. Then, study and read Sections II and III of SR 1. Turn to Module Exercise 11 and do the exercises. Once you have completed the exercises, check your answers with the enclosed Module Solution/Discussion Sheet. This is a self-graded exercise. Based on any incorrect responses, review, reevaluate, and proceed to the next module. If at any time during this process, you are not sure of your knowledge of this subject, stop and work through the module readings until you feel qualified to complete the module exercise.

PERSONAL AND PERFORMANCE COUNSELING

MODULE EXERCISE II  
(Self-Graded)

Answer the following questions based on your reading for this module. Retain this exercise for your information.

1. The purpose of personal counseling can best be described as: \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

Match the skill/response listed below with its appropriate description.

<u>Skill/Response</u>	<u>Description</u>
2. <u>C</u> Paraphrasing	a. This response is used to address the central theme when a counselee makes several statements or an unusually long statement.
3. <u>B</u> Reflection	b. Rather than addressing content, this type of skill addresses the feelings behind the counselee's statements.
4. <u>A</u> Summarization	c. When used correctly, this response lets the counselee know that the counselor is understanding the meaning of his ideas and thoughts.

For each situation given below, select the most appropriate response which demonstrates that the counselor is actively listening.

5. Well, Sarge, I'm just not sure what to do. I got a problem that I'm not sure about and I don't know whether to get a loan or whether I'm just not planning well enough. I don't know. Well, I thought maybe you could tell me what to do.

(1) Let me get some paper. OK, now, tell me exactly what the problem is.

(2) Well, I hope that I can help. It's the kind of thing we want to be able to do for all of our men . . . help them straighten out their problems.

(3) You can't seem to make sense out of this problem. Is that it?

3 Answer

6. I just don't understand. Why should I work my butt off? I spent two years in the mud in Korea . . . I get back here and who cares? I really feel let down. And my girl, well . . . .

(1) You feel that it wasn't really worthwhile and that you aren't really appreciated.

(2) Yeah, I know what you mean. I feel the same way myself sometimes. I guess it's only natural.

(3) What's your girl got to do with it? Something happened while you were away?

1 Answer

7. I got a call from Doreen the other night and it's been bugging me ever since. She's pressing me to get married and I don't know what to do. I planned to go to college when I got out of the Army next month, and I just don't have the money right now to be able to afford school and marriage too. But Doreen says that if we don't get married, now, she just can't wait any longer. I don't know what to do. I love her, but if she loved me would she say that we've got to get married now or she's going to leave me? I just can't seem to answer that question.

(1) If you have any doubts, you might want to consider the consequences of a poor decision.

(2) You're still young. These things have a way of working themselves out in time.

(3) You're wondering if she really loved you would she put this kind of pressure on, but, at the same time, it hurts to think she might leave you.

3 Answer

In the event where a counselor feels that he can no longer be of help to the counselee, or when the counselee appears to be undergoing emotional disturbances, the counselor should consider referring his counselee to appropriate professional help. The steps which he should follow in making referral are:

8. First:

9. Second:

10. Third:

PERSONAL AND PERFORMANCE COUNSELING

MODULE 11

SOLUTION/DISCUSSION  
(Self-Graded)

EXERCISE 1

STANDARD: Your response should indicate an understanding of the definition presented below to receive a "GO."

Personal counseling can best be described as an attempt to provide a helping relationship which assists the soldier in developing initiative and know-how in solving his own problems. (See SR 1, page SR-1-6)

EXERCISES 2 through 4

STANDARD: The student must correctly match all three skills with its appropriate description in order to receive a "GO."

2. Paraphrasing: c. When used correctly, this response lets the counselee know that the counselee is understanding the meaning of his ideas. (See SR 1, page SR-1-8)

3. Reflection: b. Rather than addressing content, this type of skill addresses the feelings behind the counselee's statements. (See SR 1, page SR-1-9)

4. Summarization: a. This response is used to address the central theme when a counselee makes several statements or an unusually long statement. (See SR 1, page SR-1-10)

EXERCISES 5 through 7

STANDARD: The student must answer all three questions correctly in order to receive a "GO."

Situation 5: 3. There are no strong feelings indicated. They are confused, but there is probably more to the problem. A paraphrase response gives them an opportunity to elaborate more on the problem.

Situation 6: 1. Strong emotions are indicated. A reflective response should be made, which will encourage them to ventilate these feelings.

Situation 7: 3. This response summarizes what was said. It acknowledges that their feelings are mixed on the issue and offers them an opportunity to talk more.

EXERCISES 8 through 10

STANDARD: The student must identify all three steps used in making a referral, and they must appear in order to receive a "GO." (See SR 1, page SR-1-11)

8. Inform the counselees that this is beyond their competence and that they (counselor) are going to refer them (counselee) to someone else.

9. Make contact with the person or agency to whom they will refer the counselee.

10. Follow-up the counselee's situation even though they are being counseled by someone else.

PERSONAL AND PERFORMANCE COUNSELING

MODULE III

PERFORMANCE COUNSELING

1. Enabling Learning Objectives.

- a. Describe the purpose of performance counseling.
- b. Identify and describe three possible approaches which a counselor may use in a performance appraisal session.

2. Student Assignment. First, study the objectives above. Then, study and read Supplemental Reading 3. Turn to the module exercise and do the exercises. Once you have completed the exercises, check your answers with the enclosed Module Solution/Discussion Sheet. This is a self-graded exercise. Based on any incorrect responses, review, reevaluate, and proceed to the next module. If at any time during this process you are not sure of your knowledge of this subject, stop and work through the module readings until you feel qualified to complete the module exercise.

PERSONAL AND PERFORMANCE COUNSELING

MODULE EXERCISE III  
(Self-Graded)

Answer the following questions based on your reading for this module. Retain this exercise for your information.

1. The purpose of performance counseling can best be described as: \_\_\_\_\_

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Identify the three possible approaches a counselor may use in a performance appraisal session, and write a brief description of each.

2. Approach I:
3. Approach II:
4. Approach III:

PERSONAL AND PERFORMANCE COUNSELING

MODULE III

SOLUTION/DISCUSSION  
(Self-Graded)

EXERCISE 1

STANDARD: Your response should indicate an understanding of the definition presented below to receive a "GO."

According to Supplemental Reading 3, page SR-3-2, Section I, para 2.a., performance counseling attempts to improve performance or to maintain an already existing level of performance.

EXERCISES 2 through 4

STANDARD: Your response should correctly identify all three approaches and indicate an understanding of the definition presented below to receive a "GO."

2. The Tell and Sell Method. The goal is to tell subordinates how they are doing, gain their acceptance of the evaluation, and to motivated them to follow the leader's plans for improvement. (See SR 3, para V 2, page SR-3-11)
3. The Tell and Listen Method. First, the leader covers the strong and weak points of his subordinate's duty performance as in the tell and sell. The reader then explores his subordinate's reaction to the evaluation. (See SR 3, para V 2, page SR-3-13)
4. The Problem Solving Method. This method provides the counselor a low risk means of resolving conflicts by facilitating a mutual search for solutions that will be acceptable to both superior and subordinate. (See SR 3, para V 3, page SR-3-14)

PERSONAL AND PERFORMANCE COUNSELING

SUPPLEMENTAL READING 1

"Guide to Personal Counseling for Noncommissioned Officers"

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I. COUNSELING IN GENERAL		
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Purpose of Counseling in General .....	2	SR-1-2
Qualities of a Good Counselor .....	3	SR-1-2
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III. REFERRAL		
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US Army Sergeants Major Academy gratefully acknowledges the US Army Organizational Effectiveness Training Center, Fort Ord, California, for the material contained herein on Paraphrasing and Active Listening.

## I. COUNSELING IN GENERAL

### 1. Definition of Counseling in General.

Counseling can be best described as a face-to-face relationship between two people whereby the counselor provides a learning situation in which the counselee is helped to: understand his abilities, needs, strengths, and weaknesses; acquire information; clarify options or alternatives available to them; and plan and take a course of action on his own responsibility.

### 2. Purpose of Counseling in General.

Counseling often becomes an interpersonal relationship in which the principal objectives are the development of the counselee, the improvement of his welfare, and the resolution of his problems.

### 3. Qualities of a Good Counselor. A good counselor:

- a. Realizes the counseling session is to help the counselee.
- b. Wants to help the counselee.
- c. Is honest and sincere.
- d. Regards the counselee as a valuable human being.
- e. Does not place himself in a position above the counselee.
- f. Makes the counselees feel at ease so as to gain their trust.
- g. Is confidential. If he has to break confidence for the sake of the unit or the safety of another, he should inform the counselee that he has to do this, even if the counselee has not given his permission.
- h. Does not probe unnecessarily.
- i. Does not condemn.
- j. Has empathy.
- k. Acts himself.
- l. Listens and tries to understand.
- m. Is prepared for the session.

### 4. Counseling Pointers.

The following pointers are to assist the individual NCOs in counseling their subordinates in general. Most apply to both personal and performance counseling. Some would require modification in performance counseling. These pointers or techniques are emphasized in SR-3.

- a. Be at ease and try to overcome self-consciousness on the part of the counselee.
- b. Use words suitable to the level of experience of the counselee; adapt your conversation to the counselee.
- c. Phrase questions so that they can be easily understood.
- d. Extend a friendly greeting; use the counselee's name occasionally when you speak to him.
- e. Encourage the counselee to give detailed answers.
- f. Be sincere.
- g. Always be calm and undisturbed during the session.
- h. Don't ask for information you already know unless you want to check answers or behavior.
- i. Give your undivided attention.
- j. Be courteous and businesslike; keep the atmosphere informal, though, in the case of personal counseling. For obvious reasons, performance counseling would generally be more formal.
- k. Be sure you understand each statement of the counselee as you go along.
- l. Keep appointments promptly.
- m. Follow up clues given by the counselees in their statements.
- n. Make the interview or session a two-way affair.
- o. Never argue.
- p. Review information about the counselee prior to the session.
- q. Do not hurry or rush; better to reschedule than to rush a counseling session.
- r. Do not imply answers to your questions.
- s. Be as frank as possible.
- t. Let the counselee tell his story.
- u. Stop! Look! Listen! Remember that everything that the counselees do can tell something about how they are receiving what you say.\*
- v. Don't jump from subject to subject. Wait until each has been fully covered.

w. Grant the counselees strict confidence, if possible, in reference to any thing they should reveal about themselves. If you have to break confidence for the sake of the unit or in case of danger to another individual, make sure you notify the counselees that you must do this--even if they don't give permission. But this should be only in dire circumstances.

x. Record all relevant information at the earliest opportunity, if required, but don't write during the session unless absolutely necessary.

y. Don't leave the counselees hanging in air at the end of the session. Tell them definitely what your next step is going to be (e.g., referral, follow up, etc.).

z. Do not "preach" in the session; don't be afraid to use your sense of humor when appropriate.

\* Observe whether the counselees display undue apprehension or emotion when they discuss an area of performance or personal issue. This may tell you where they are having problems.

#### 5. 15 Hints to Improve Counseling.

The major reminders or hints that should be emphasized in order for counselors to continually improve their counseling abilities:

a. Avoid drawing conclusions which you think seem to follow from a statement by the counselee.

b. Try to understand what the counselee is saying and feeling.

c. When you ask questions, be sure you really need the information.

d. Keep the conversation open-ended. Don't cut off or interrupt the counselee.

e. Don't feel you have to save people from hurting.

f. Don't be judgmental.

g. Encourage the counselees to take the initiative and say what they want to say.

h. Do not interrogate.

i. Keep your own personal experiences out of the counseling situation unless you believe they will really help.

j. Don't do all the talking; remember, it is the counselee who has the problem.

k. If necessary, get a commitment for another session.

- l. Do not take sides.
- m. Do not confirm the counselees in their prejudices, etc.
- n. Keep your mind alert.
- o. Help the counselees to help themselves. NOTE: Near the beginning of the counseling session, the counselor should determine exactly what the counselees have done to resolve their own problems or improve their performance.

## 6. Preparing For The Counseling Environment.

a. Advance Notification. Whenever possible, the counselee should be notified in advance of the interview. This permits him to think about his performance or problems and to be prepared to discuss it. It also gives counselors time to prepare and to arrange their schedule. Advance notification is a two-way street.

b. Allotment of Time. Sufficient time should be allotted for the interview so that neither the counselor nor the counselee will feel rushed. While it is recognized that a large number of personnel to be counseled may place restrictions on the amount of time allotted, every effort should be made to allow plenty of time. No session can be completely successful if the participants feel rushed. Also, you have to consider the impact on the counselee of scheduling the time for the session after duty hours, as is sometimes done.

c. Planning. A general plan of action for conduct of the performance counseling should be developed. However, since flexibility is imperative in personal counseling, a highly detailed plan is not advised. For performance counseling, the counselor should review all background information, with particular emphasis upon the performance appraisal. Then, they can develop a general plan for conducting the interview. This will mainly involve deciding upon the sequence of the items they wish to discuss and the points they wish to make about each item.

d. Physical Setting. The place where the counseling is to be conducted is extremely important. An uncomfortable or disturbing physical setting causes distractions and reduces the motivation of the counselee to actively participate in the interview. At a minimum, there should be sufficient space for the counselor and the counselee to sit comfortably. Lighting should be sufficient, but not so bright that the counselees feel they are being subjected to a "third degree." Ideally, the room should be free from noise. Care should be taken so that there will be no interruptions during the course of the interview. Privacy is essential to prevent distractions and to maintain the atmosphere of confidentiality. In addition, the placement of the desk between the counselor and the counselee may give the impression of a more formal and authoritative atmosphere than the counselor wants in, say, a personal counseling situation.

7. Observer's Checklist. These are questions that one can ask oneself when evaluating a counseling session--their own or another counselor's.

- a. How did the counselors open the interview?
- b. How did they close it?
- c. Were these two persons trying to help each other, or were they opposing each other?
- d. What kind of relationship did the counselor try to establish in the interview?
- e. Did the atmosphere of the interview change at any point?
- f. Did it become more or less comfortable or strained? Why?
- g. What feeling could you detect in the counselor?
- h. What feeling could you detect in the counselee?
- i. Did the counselor try to satisfy the needs of the counselee or the needs of the counselor?
- j. Did the counselor make the counselee feel relaxed and comfortable?
- k. Did the counselor really listen?
- l. Did the counselor really try to understand what the counselee said and how the counselee felt?
- m. If you had been the counselee, how would you have responded to the counselor's behavior?
- n. Did the counselor reveal any bias or prejudice?
- o. Did the counselor respect the right of the counselee to be himself?
- p. Did the counselor present any information?
- q. Who did the most talking, the counselor or counselee?
- r. Did the two agree on any future relationship?

## II. PERSONAL COUNSELING SKILLS

### 1. Definition and Purpose of Personal Counseling.

The purpose of personal counseling can best be described as an attempt to provide a helping relationship which assists the soldier in developing initiative and know-how in solving his own problems.

## 2. Active Listening.

If supervisors are to be effective helpers, they must be effective listeners. In the Effective Listening block of instruction, the most productive way of accomplishing one-to-one communication was identified as active listening. This means more than simply concentrating on what the other person is saying. It includes letting the other person know you have heard him. We frequently assume we know what the other person means by his words, that we understand what he intended by his remarks. This may be the case, but often we may be missing an important element in his communication to us. It is useful to check to see if we have heard what he really intended to communicate.

### Steps in Active Listening.

- Step 1: Bill: (SENDER SENDS MESSAGE) "I don't want to go to the play tonight."
- Step 2: Mary: (LISTENER PARAPHRASES) "You are not interested in seeing this play?"
- Step 3: Bill: (SENDER REVISES) "No, I'd like to see this play sometime. It's that I'm worried about the work I need to get done for tomorrow."
- Step 4: Mary: (LISTENER PARAPHRASES AGAIN) "You'd like to see the play, but you're worried about not being prepared for tomorrow and you'd like to spend tonight getting ready."
- Step 5: Bill: (SENDER CONFIRMS MESSAGE RECEIVED) "Yes, that's what I mean."
- Step 6: Mary: (LISTENER RESPONDS TO MESSAGE) "Well, I can understand that you'd not enjoy the play with all that on your mind. Maybe we can go at another time."

### Important Elements of the Active Listening Process.

Through active listening, the counselor can improve communication with the counselee in several ways. First, active listening allows the counselor to check the accuracy of what he thought he heard. Secondly, he can let the counselee know he is really listening. And thirdly, he can assist the counselee in clarifying his problem and the possible solutions. There are three basic skills which comprise active listening. They can be used singularly or in combination to enhance communication.

### a. Paraphrasing.

Paraphrasing is a basic communication skill. It is a way of checking to make sure that you understand the other person's ideas, information, or suggestions as he intended them. Paraphrasing is any means of showing the other person what his ideas means to you.

Paraphrasing may respond to two dimensions of a communication: the information or content in the communication, and what the person feels about the information or content. Sometimes the feeling level will be the real message, and at other times almost no feeling at all will be involved. Effective paraphrasing will seek to pick up what the person is really intending.

Jim: "I am not sure if now is really the best time to retire, or not."

Gene: "It's hard to determine what's really right for you?"

#### Learning to Paraphrase:

People sometimes think of paraphrasing as merely putting the other person's ideas in another way. They try to say the same thing with different words. Such word swapping may merely result in the illusion of mutual understanding, when there is none. It can become a kind of parroting that is meaningless.

Effective paraphrasing is not a trick or a verbal gimmick. It comes from an attitude, a desire to know what the other means. And to satisfy this desire you reveal the meaning he intended to convey.

To paraphrase is not to make a judgment about the other person. He is the only one who knows what he really meant. It may not be in the form of a question, but even then a question mark is always implied. Paraphrasing does not mean approving or agreeing with what a person says. Nor is it seeking to reassure or to prove or to argue. It is simply letting the other person know he has been heard.

Obviously, paraphrasing is not your only response in a lively conversation, but it is often a neglected element. This kind of active listening can greatly facilitate good communication. There are added benefits from paraphrasing. It lets the other person know you are really interested in what he is saying. It shows you want to know what he means. And if the other feels you can understand his point of view, he is more likely to want to hear your point of view. Also, paraphrasing can be useful to the other person in helping to clarify his own thoughts or feelings by seeing them more objectively or in a different perspective.

Practice Situations in Paraphrasing. (Notice the most useful paraphrase in each case.)

1. Jim should never have become a teacher, he has such expensive tastes.
  - a. You mean teaching isn't the right job for him.
  - b. Not every one can be a teacher.
  - c. You mean he should have gone into a field with a higher standard of living.
  
2. I really get fed up with the work I'm doing. It just seems pointless and I'm wasting my time.
  - a. I know just how you feel!
  - b. You really would like to make your time count for something?
  - c. I know the work may be boring but there may be more value there than you think just now.

b. Reflection of Feeling.

Paraphrase is most often used to restate the content of the message whereas reflection is used to acknowledge the feeling behind the message. When the counselor is actively listening, he can identify the feelings associated with the message. The counselee's manners, tone, and physical position are all clues to his current feelings. If one has trouble identifying the feelings, he can think to himself, "How does this person feel?"

Learning to Reflect Feelings.

How do the people feel in the following three messages?

Counselee 1: I'm really ready to sock him in the face the next time he mouths off.

Perhaps you described these feelings as angry, irritated, or mad.

Counselee 2: Why do I always have to get picked on? I'm always having to justify why I do something.

Imagine how this person feels. Did you imagine puzzled, defensive, irritated--maybe some of all three.

Counselee 3: You can imagine how I felt when I discovered my wife was going out on me. What should I do--leave--confront her--beat her?

This person probably feels angry, upset, resentful, and confused.

Practice Situations in Reflection of Feelings.

1. "It doesn't make any sense. I work my butt off around here. But do you think anyone notices? Hell no!"

- a. Yeah. I know what you mean.
- b. You really feel unappreciated for all the work you do, right?
- c. Listen. Folks do really care about what you do; they just don't show it.

2. "Well, I'm due to get out of the service next month. The job-market sure doesn't look promising for a guy with my skills."

- a. Have faith. You'll find a job somewhere.
  - b. Have you talked this over with anyone?
  - c. Are you afraid that you will not be able to land a job?
- c. Summarization.

After a counselee has expressed several messages, his messages will suggest certain patterns that can be referred to as themes. These themes are topics which the counselee continually refers to in some way. The counselor can identify these themes by listening to what the counselee repeats over and over. The counselee is trying to tell the counselor what he needs to focus on in this counseling session. The primary purpose of summarization is to tie together these common ideas. Summarization can serve as a good feedback tool for the counselor by creating meaning from vague and ambiguous messages.

Examples of Summarization Responses.

1. Soldier: Sometimes I would really like to get out of the Army and go to college. But it would sure be hard to provide for my family. And it has been a long time since I was in school. It's hard to know what to do.

Summarization Response: You feel torn. Sometimes you want to go to school. Other times, you're not sure if it would really work out.

2. Soldier: I know drinking really doesn't help me in the long run. And it sure doesn't help my family. My wife keeps threatening to leave. I know all this. It's hard to stay away from booze. Having a drink makes me feel relieved.

Summarization Response: You're aware of some of the ways that drinking is not very helpful to you, yet you feel better after a drink.

### III. REFERRAL

#### 1. Limits of Competence.

In the course of any counseling, supervisors may encounter individuals who appear to be undergoing serious personal problems and/or emotional disturbances. Such matters are usually outside the competence of the counselor to handle. Although the counselor should be alert for signs of serious disturbances, he should resist the temptations to delve into personal and emotional problems. The necessary steps should be taken to refer the individuals to appropriate sources where they can obtain professional assistance:

a. Inform the counsees that this is beyond your competence and that you are going to refer them to someone else.

b. Make contact with the person or agency to whom you are referring the counselee.

c. Follow-up the counsees' situation even though they are not being counseled by you any longer.

#### 2. Agencies for Referral. Some referral agencies are listed below:

a. Army Community Service

b. Army Emergency Relief

c. Alanon, Alcoholics Anonymous

d. Alateen, Alcoholics Anonymous

e. Alcoholics Anonymous

f. Chaplain

g. Child Advocacy Council

h. HELP

i. HOTLINE

j. Human Relations and Equal Opportunity

k. Legal Assistance

l. Mental Hygiene

m. Red Cross

n. Salvation Army

o. State Department of Welfare

p. USDA Food Stamp Center

### 3. Danger Signs.

In some cases, an individual who has gone to a unit leader for counseling help may need professional help and, thus, he should be referred to a professional. The following material describes behavior of individuals that may indicate that they may need help of some kind. In some cases a unit leader could provide counseling and in other cases the individual should be referred to professionals for help.

There are eight (8) separate and distinct indicators of possible personal problems which you should be alert for and be sensitive to when you observe them in those with whom you are associated.

1. The first, and probably one with which you are very familiar, is a sudden decline in duty performance. This is a person who is a conscientious soldier, who is on time, and usually does his job, but suddenly becomes uncooperative and unwilling to perform.

2. Second are changes in the person of the soldier. This would include the inability to sleep at night; a loss of appetite and loss of weight; a gain in weight; and a sharp change in personal appearance. These things are frequently signals of something powerful going on.

3. The third danger sign is withdrawal from contact with other people.

4. The fourth is inappropriate moods. By this is meant that in a situation someone who, when you would expect them to laugh, they cry instead; or where they would be expected to be angry, they laugh. In other words their behavior is almost opposite of what would normally be expected for the situation.

5. The fifth danger sign is grossly inappropriate behavior patterns. By this is meant a soldier whose behavior bears very little relationship to the situation. An example might be a soldier who urinates in his plate in the mess hall.

6. The sixth danger sign that you should be aware of is the recurrence of some personal trauma, some large event in the life of your subordinates. This is highly subjective. By that, I mean what may appear to you to be something inconsequential can be something very overwhelming in the life of one of the soldiers with whom you are associated. You should avoid making your judgment about what is or what is not traumatic and be alert to accept the judgment of the soldier.

7. The seventh danger sign, and one with which, I am sure, you are somewhat familiar, is the excessive use of alcohol or a sudden increase in the use of alcohol.

8. Eight is quite like seven, the use of drugs.

What do you do if you observe any of these things going on? It is not for you to decide that counseling should take place. The non-directive approach is usually best. To seek counseling is a counselee's decision. However, it is appropriate for you to establish the possibility that counseling can take place by some kind of outreach in the direction of this person in whom you have observed one or more of the signs that are discussed. The outreach itself should not be in the form of a direct comment such as: "your personal appearance has declined lately, and therefore, I think you may be depressed." But it should be something to the effect, "You seem to be feeling down. Would you like to talk about it?" This provides the counselee with the opportunity to say: "Yes, I am down. And this is the reason why ..."

Sometimes you may make an attempt and your attempt will be rebuffed or not acted upon, but that's OK. The counselor must accept that it is a counselee's decision whether or not a counseling relationship will be formed. At some later point in time counseling may begin as a result of some initial contact that you have made.

PERSONAL AND PERFORMANCE COUNSELING

SUPPLEMENTAL READING 2

"The Supervisor as Counselor"

As Fred Fiedler reminded us in a Psychology Today article (1973), ship captains once could actually whip sailors who didn't obey orders; managers could fire people on the spot for slacking off; students could be expelled from school for talking back to teachers. Today, all that has changed. Sailors are permitted to grow sideburns; unions protect workers from being fired outright for anything other than major transgression of the rules; students are asked for their suggestions and even for their opinions.

The person in charge used to have unquestioned authority to command and compel. Today, supervisors must focus on persuading rather than ordering workers to perform. They must learn how to convince workers to achieve their objectives or change their behavior.

How can the supervisor do this effectively? One of the best ways is through counseling.

The word counselor has been abused lately. Counselors run the gamut from well-trained professionals to amateurs who deal in such unscientific areas as loan counseling and even funeral counseling. The "true" counselor is a trained expert who understands the application of behavioral science concepts to human relations. Supervisors cannot hope to become "professional" counselors without extensive training and certification, but they can improve their counseling skills to the point where they can use them to effectively persuade subordinates to be more productive.

**ROLE CONFLICT.**

Of all the roles that supervisors may fill in their daily life (father or mother, son or daughter, husband or wife, disciplinarian, leader, etc), the role of the counselor may be the most difficult for them to understand. One reason for this is that some supervisors find their role as counselor in conflict with their role as disciplinarian. This is often the result of poor or inadequate management training and a lack of understanding about how to shift from one to another.

**CHANGE YOUR PERCEPTIONS.**

To simplify this problem of role conflict, think of the counseling role in terms of a helper/receiver relationship rather than a counselor/client one. Both helper and receiver must understand that the helper is trying to influence and change the behavior of the receiver in a way that will be useful to both of them.

In the helper/receiver relationship, both parties have needs, values, and feelings that influence their behavior in the relationship. In the old days, the supervisor could tell the receiver what was best for him without any interaction or without considering the subordinate's needs, values, and feelings--unless the supervisor was extraordinarily sensitive. The receiver--either through fear of losing his job or respect for the supervisor or both--often carried out the supervisor's prescriptions. But the supervisor was sharing the responsibility for the outcome of his recommendation. If the receiver carried out the supervisor's recommendation and it failed, the receiver could always blame the supervisor for having given poor advice.

### SELF-CONCEPT.

Before supervisors can even begin to counsel a subordinate, they should understand what is likely to go on in a particular subordinate's mind while he is being counseled. To get anywhere close to the mark, they must know as much as possible about the subordinate's personality, feelings, and attitudes.

Each of us has created an image of ourself--an image variously tagged by behavior scientists as the "self-image," the "self-structure," or the "self-concept." Regardless of the label used, each of us has a system of ideas and beliefs about ourselves accumulated through many life experiences.

Here are some important things to remember about subordinates' self-concept that will directly affect your counseling relationship with them: (1) It is a pattern of beliefs developed over a long period of time; (2) they have a deep-seated need to preserve this system of ideas about themselves; and (3) in most cases, they will not only want to preserve it, but also to enhance or improve it.

Behavioral researchers have found that people cope with a threat to their self-concept by exhibiting defensive behavior or by changing their self-concept and, possibly, their actions. The greater the threat to the person, the more negative his reaction will be to counseling efforts.

### PRESENT ALTERNATIVES

If most people react this way when they are threatened, how can you hope to counsel subordinates without injuring their self-esteem, provoking defensive behavior, or incurring their wrath toward you? One approach proven to be helpful is presenting the subordinate with several alternatives. The process is known as maximizing alternatives.

If both people in the helping relationship agree that there is a problem and that the receiver's behavior is unacceptable, then you have a foundation for beginning to explore alternative kinds of actions you can both take.

If the helper can get the receiver to understand and explore the various courses of action available, the helper has taken a positive step toward solving the problem or getting the subordinate to modify his behavior.

The key to effective counseling is giving the receivers the freedom to choose the course of action that they feel is best for them under the circumstances. The receiver will be much more likely to carry out a course of action that they themselves have identified--because it is their decision and they are responsible for the outcome.

The helpers can do their part by using the counseling relationship to let the receivers know exactly what is expected of them. This may include joint goal-setting, better peer relations, increased promptness, greater efficiency in performing his job. If supervisors have tried to help the receiver explore alternatives and arrive at a personal decision, they can be more certain that his counseling will achieve the desired change.

#### COUNSELING GUIDELINES.

If you want to be a more effective counselor, here are some guidelines to help you get the most out of the helper/receiver relationship:

1. Don't argue. Subordinate will try to preserve their self-concept by meeting your arguments with resistance. If you increase your argumentative position or continue to "pound away" at them, you will achieve even more resistance and denial.

2. Be prepared to listen. You must understand the subordinates' point of view before you can begin to jointly explore alternatives. Understanding subordinates' point of view, however, does not mean that you must agree with or support their position. There's a difference between empathy and sympathy.

Let the subordinates do more than half the talking. It may be easy for you, because of your experience as a supervisor, to get trapped in a prescribing or lecturing role. But a "know-it-all" position may threaten receivers so much that they mentally leaves the scene or acts more defensively than they would if you were more receptive.

3. Direct your comments to behavior that the subordinate can change. By giving people unfavorable feedback about actions over which they have little or no control, you only increase their feelings of frustration and their need to defend themselves.

4. Give timely feedback. Feedback is most helpful to a subordinate when it is given at the earliest opportunity after an event or interaction has occurred.

Research in this area indicates that people may have a certain tolerance level for accepting unfavorable feedback. When this level is approached or surpassed, no further learning takes place. For this reason, you should give feedback often and in small quantities. Feedback limited to a comprehensive, once-a-year performance review with subordinates will not help them develop on the job. It may even hinder their growth. Small changes effected over a long period of time will be better for the subordinate and better for you.

5. Look at subordinates as subjects--not objects that make up your personal resource. They are human beings with feelings, needs, and values of their own. Try to see the world from their point of view.

6. Reflect the feelings of the worker. If you can focus on reflecting back the feelings and attitudes of the workers instead of giving advice, the workers will be better able to find their own solution.

When the supervisor bounces back the feelings that the subordinate gives off, the worker can continue to talk about them. Frequent use of "uh-huh," "I see," and "Is that so?" will help bounce the conversational ball back over the net and give the subordinate a chance to elaborate.

7. Ask skilled questions. The skillful counselor should avoid questions that can be answered with a simple yes or no. By starting questions with "How do you feel about. . .?" or "What do you think about. . .?" you give the workers a better chance to let their feelings and attitudes emerge along with a multitude of irrelevant facts, details, and excuses. Since the purpose of the session is to solve a problem, past facts are far less important than present feelings and attitudes.

8. Be on the lookout for signals that the subordinate is willing to commit himself to change or ownership in the outcome of the helper/receiver relationship. Once subordinates assume responsibility for overcoming their own shortcomings, your task as a counselor is almost complete.

Robert A. Zawacki  
Peter E. LaSota

Reproduced from The 1975 Annual Handbook for Group Facilitators, John E. Jones and J. William Pfeiffer, Editors. La Jolla, CA., University Associates, Inc., 1975.

In summary, it can be concluded from the above article that the helper/receiver concept is a more realistic way of looking at the supervisor and subordinate relationship. The helper in this case is trying to influence and assist the receiver in making behavioral changes that will be useful to the both of them. The supervisor's role is to help a subordinate to willingly agree to a change of behavior that will benefit the organization without injuring the receivers self-esteem or the working relationship.

PERSONAL AND PERFORMANCE COUNSELING

SUPPLEMENTAL READING 3

"Guide to Performance Counseling for Noncommissioned Officers"

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US Army Sergeants Major Academy gratefully acknowledges the US Army Infantry School for the material contained herein.

## I. INTRODUCTION

### 1. Purpose of Guide.

a. This guide presents fundamental information and basic techniques for the conduct of performance counseling.

b. It is recognized that, in actual practice, restrictions in time, space, and trained personnel may impose less than ideal conditions for desired performance counseling. However, in this guide, techniques for obtaining the best results will be described in order that the reader may compare his practices with optimal techniques and can strive toward improvement as conditions permit.

### 2. Definition and Purpose of Performance Counseling.

a. Performance counseling is counseling on an individual or group level based on either satisfactory or unsatisfactory performance of duty. The purpose of performance counseling is to improve or to maintain an already existing level of performance. This purpose is fulfilled by the performance appraisal and the counseling interview.

b. For best results, every action of the counselor in appraising performance and in counseling should be governed by the above purpose. Especially during the counseling interview, everything the counselor does should be calculated to help counselees obtain an accurate understanding of their performance, and to motivate them to achieve or maintain a satisfactory level of performance. The key word here is "motivation." The counselor wants the soldiers to improve or maintain their performance, for their own self-esteem and for the good of the unit's mission. Counselors must be as positive as possible. If they concentrate only on the negative performance, they could lose the soldier, our greatest asset.

### 3. Requirements for Learning.

a. Military training involves learning and usually requires performance evaluation. For learning to occur, an individual needs a high level of motivation, should be of normal intelligence, and should possess the background knowledge related to his subject.

b. Both motivation and knowledge are partly the result of personal characteristics of individual soldier. However, both are, in large part, also the results of conditions created by the counselor. With regard to those conditions under the control of the counselor, among the main requirements for motivation and knowledge are:

(1) Accurate appraisal of performance. Praise the soldier if possible (and if it fits).

(2) Clear and understandable communication of the appraisal to the counselee.

(3) Mutual agreement of performance areas where problems exist. Even here, one can be positive and constructive.

(4) Concrete suggestions for improving performance.

c. The first requirement is fulfilled through the Performance Appraisal. The second, third, and fourth requirements are accomplished through the Counseling Interview.

d. These activities are discussed in the following sections of this guide.

## II. PERFORMANCE APPRAISAL

### 1. Definition and Purpose of Performance Appraisal.

a. Performance Appraisal is an analytical evaluation of the behavior or ways an individual or group executes a task, assignment, mission, etc., in comparison with some objective and/or standard of proficiency.

b. It should be emphasized that performance appraisal is concerned with evaluation of the behavior or actions of individuals or groups and not with diagnosis of their character, suspected attitudes, or other personal attributes. Actions can be observed and evaluated. It is almost impossible for the average individual to accurately assess the character of another person in any meaningful way. Furthermore, discussion of personal traits with an individual usually generates defensive hostility. Accordingly, performance appraisal and the subsequent counseling interview should be restricted to evaluation and discussion of observed actions.

### 2. Suggested Sequence of Appraisal.

The following is a suggested sequence to follow in performance appraisal:

a. Review the relevant performance objectives and standards for the task to be observed.

b. With respect to each element, try to note and recall as many specific instances as possible, avoiding generalized impressions.

c. Evaluate the counselees against the performance objectives and standards, not against other people. Determine whether they meet, exceed, or fall short of the performance standards on each element.

d. Develop a list of those items where performance is satisfactory or better and a list of items on which performance is unsatisfactory.

e. From the two lists and your knowledge of the situation, try to understand why counselees performed as they did.

f. Develop concrete suggestions concerning how the counselees can go about improving weak areas of performance for presentation in the counseling interview. What specifically can they do to improve?

g. Bring the piecemeal analysis into final focus by means of a summary statement about the counselee's performance level.

### III. THE COUNSELING INTERVIEW

#### 1. Definition and Purpose of the Performance Counseling Interview.

The performance counseling interview is a communication process between a counselor and a counselee in which the counselor uses the process in an orderly fashion to communicate the results of a performance appraisal to the counselee in such a way as to influence the future performance of the counselee. Thus, the purpose of the interview is to communicate the results of an appraisal in such a way that the counsees will know how he performed and how they may improve their performance, and motivate the counsees to maintain good performance and to improve where needed.

#### 2. Objective of Counselor.

The objective of the counselor should be to communicate with understanding. He should convey the results of the appraisal to the counselee so that the counsees achieves maximum understanding of the nature of their performance and how it can be improved. Every action of the counselor during the course of the interview should be carried out with this objective in mind.

#### 3. Performance Counseling Techniques.

The following techniques are suggested as possible ways to conduct a Performance Counseling Interview:

- a. Know what is involved in the soldier's job.
- b. Begin by discussing the job performance before you discuss the man or any other details. Include in this a discussion of the performance objectives and standards established previously.
- c. Determine what they think about the job.
  - (1) Is it an important job?
  - (2) Is it difficult?
  - (3) Do you both agree on what the soldier's job is?
- d. Try to determine what they think their job performance is like.
- e. Don't do all the talking. Listen to what they say, but supplement it if you think they have misunderstood something.
- f. If you must criticize, try to criticize performance and not the soldier.
- g. Be sure to consider the difficulty of the job and any other influencing factors.

- h. Remember, it is as important to praise soldiers for good performance as it is to criticize poor performance.
- i. Do not do performance counseling too soon after "chewing" the person out.
- j. Don't get sidetracked into unrelated issues when doing performance counseling.
- k. Give the soldiers a clear picture of themselves and where they stand in the organization.
- l. Be honest; be fair.
- m. Be yourself.
- n. Be sure of your facts. Do not be too easily satisfied; be sure your questions are completely answered.
- o. Help the soldier in every way possible.
- p. Be sure the soldier understands your expectations or any new performance objectives and standards.
- q. Give soldiers an opportunity to express their feelings, ideas, etc., at end of the interview. Close the interview on a positive, rather than a negative note.
- r. Follow up.

#### 4. Conduct of the Interview.

##### a. Establish rapport.

(1) The counselors' manner is as important as their appearance. It is through their manner that they first give counselees an impression of their competence. Thus, the counselors will want to cultivate an air of confidence, while avoiding an attitude of overconfidence or "cockiness." They will try to appear to be objective in approach while steering clear of appearing to be either indifferent or unduly emotional. In general, the counselor should seem calm, alert, flexible, and friendly.

(2) The counselor should endeavor to create an informal atmosphere. The counselee should be allowed to sit, smoke and freely discuss the items with the counselor. High levels of formality are not conducive to positive motivation during the interview.

(3) Counselors should attempt to relieve any tensions and make the counselee feel at ease. They can do this by showing acceptance of the counselees and their inexperience, letting them feel that their views are important and that the counselor is interested in hearing and discussing them.

(4) Counselors should explain the objectives of the interview. They should invite the counsees to raise questions and to introduce their own problems. Counselors might point out that their interest is in helping the counsees to perform better or to maintain a satisfactory level of performance.

b. Establish the facts.

(1) The counselors should be open-minded to the opinions and facts presented by the counsee. The counselors do not have to accept them unless they have validity, but they should be willing to listen to them.

(2) The counselor should listen attentively as well as politely. He should listen to sift the important points from the details, separate facts from opinions, identify information, know when information is presented as such, and when it is being used by the counsee to persuade or influence the counselor toward the counsee's own purpose.

(3) The counselors should observe the counsee's reactions during the interview. They will assist in determining whether the counsee understands what is being told to them, whether they accept what is being told to them, what parts are not clear, etc. Information about these things will help the counselor to know what points to elaborate, what to follow up, and what to emphasize.

(4) The counselor should be able to communicate clearly, concisely, and without beating around the bush. Elaborate words are not necessary.

(5) Throughout the discussion of performance, the counselor should guide the interview; however, the guiding should be done inconspicuously. For example, the counselor could guide the counsee back from detours, escape fruitless conversations, etc., by the use of brief questions.

(6) The counselor should cite specific instances and examples wherever possible.

(7) Favorable points of performance should be told first. This creates a more positive motivation with the counsees and makes them less resistant to the later points for improvement, if applicable.

c. Establish solutions.

(1) In critiquing performance, it is more useful to present solutions and points for improvements than to labor on deficiencies or what was wrong.

(2) In attempting to motivate the counsees and to get them to improve their performance, the counselor is, in effect, attempting to influence the counsees. Influence attempts may take many forms and, in the course of an interview, a counselor may need to use several or all of the forms depending upon the course taken by the interview and by the behavior of the counsee during the interview.

(a) Mapping alternatives. The counselor suggests a number of alternative actions that counselee might take. The decision as to which alternative should be chosen is left entirely to the counselee.

(b) Recommending. The counselor recommends a certain course of action. Whether the counselee takes the recommended action is still left to them.

(c) Advising. This is a somewhat stronger form than "recommending." Here, the counselor advises the counselee that it is in their best interests to take a given course of action. However, there is still no suggestion of command or threat involved.

(d) Persuading. The counselor attempts to persuade the counselee that a given course of action is in the counselee's best interests. The counselor attempts to "sell" the counselee on taking a certain course of action.

(e) Urging. This is the strongest form of persuasion without resorting to authority. The counselor exerts every effort to convince the counselee that they should take a given course of action. However, there is still no suggestion of a command or threat.

(f) Commanding. The counselor orders the counselee to take a given course of action. No threat is made; however, there is no possibility of the counselee misunderstanding that a command is involved.

(g) Threatening. This is a command with the consequences for disobedience clearly spelled out. This is an "either/or" situation. The counselor commands the counselee to carry out a given course of action and promises a specific consequence if the order is not carried out.

(3) Which form of influence should be used will be determined by the amount of impact judged to be desirable by the counselor within the particular circumstances of the interview.

## 5. Termination of the Interview.

a. The interview should be closed when all points in the appraisal have been covered, the counselee has had ample time to understand the appraisal, suggestions for improvements have been discussed, and the conversation is at a natural stopping point, or when the counselor has exhausted their resources for the counseling interview.

b. The counselor should then summarize the appraisal in a general statement.

c. Motivation of the counselee is a continuous process throughout the counseling interview, but a special effort should be made at the termination of the interview to maintain or improve the counselee's will to perform. This may, in fact, be accomplished during the appraisal summary.

d. If any action is to be taken by the counselor, such as a report submitted, records made, etc., the counselee should be so informed.

e. If time is critical and the counselee appears to want to continue general discussion of their situation, the counselor should suggest that perhaps they can talk further at a mutually convenient later time.

f. If the counseling interview was based on unsatisfactory performance of duty, the counselor will probably take follow-up action in the form of further observation and possible recounseling.

## 6. Suggestions for Handling Various Reactions.

Some specific suggestions for handling various reactions to the counseling interview are given below:

a. The counselee accepts the counselor's appraisal and indicates a willingness to improve.

With the average counselee, the reaction described above will be the most common one. It will occur more often than all the other reactions mentioned hereafter. The counsees may express genuine surprise at some parts of the appraisal, but their response will be positive. The average counselee, when being counseled about his performance, is likely to ask for elaboration of any constructive criticisms. This gives the counselor a chance to discuss the detailed points of performance, although it appears to the counsees that the information is in response to their own request.

b. The counsees can't agree with the counselor's appraisal or the constructive criticism; however, they disagree constructively and unemotionally.

The counselor should be prepared to expect some disagreement based upon differences in personality and in perception of the situation. Such disagreement should not handicap communication between the counselor and the counselee. No one completely agrees with any person. Full agreement is impossible and unnecessary. The counselor should listen carefully to learn why the counselee does not agree. The counselors should check their facts and their critique. If counselors are convinced that their appraisal has been correct and that they have communicated it to the counselee correctly, they can then state calmly and without emotion that this is their (the counselors') evaluation of the situation and that they are giving it to the counselee because he believes the counselee will want to know about it.

c. The counsees agrees completely and almost too easily. The counselor suspects the counselee does not understand or is reserving their objections.

The counselor should restate the points for improvement, or, if deemed necessary, get the counselee to restate them. It is wise to insure that the counselee's agreement is a true agreement, that it is not a device for complimenting the counselor and thereby avoiding criticism. Some people use a device of easy agreement when criticized. The counselors should emphasize suggestions for improvement. They should get the counsees who appear to have accepted their evaluation to commit themselves strongly about doing something regarding the improvement.

d. The counsees avoid blame which is definitely theirs, shifts the criticism to others--to associates, to the counselor, or official policy.

At the outset, the counselors should listen to the counsees rather than halting their recital. Counselors should speak and act so as to create the impression that they are impartial and fair-minded and want the counsees to take only that responsibility which is theirs. Above all, the counselor should take care that counselee's irrational conduct does not upset and annoy him. At any rate, the counselors should not let their words and actions convey their annoyance if they feel it.

e. The counselee wants to quit. He appears to be a good soldier and the counselor would like to see him continue.

The counselor should find out why counsees wish to quit. They may not be too clear on this themselves. Perhaps the emotional release they get in reviewing their reasons will make the counsees less anxious to quit. The counselors should not be reluctant to reassure the soldiers of their abilities. The counselor should steer the conversation so that the counsees do not commit themselves definitely to quitting and so that the counsees do not make statements so harsh that they will feel that they cannot back down if they later desire to do so.

f. The counselee loses his temper. He becomes emotional, angry or abusive.

The counselors should listen. They should not argue. At least in the beginning, they should not show disapproval. It may be that the soldier is under strain and will recover rapidly from this emotional display. If the counsees continues with their outburst, the counselor will then have to take the appropriate action as dictated by official policy.

g. The counselee seems determined to argue. He denies most of the counselor's appraisal, evidence and opinions.

The counselor should let the counsees talk freely. While they are talking, the counselor should try to find out what is really bothering the counsees. The counselor should thank the counsees for giving their point of view. The counselor should avoid being drawn into an emotional argument that might block or seriously delay an understanding. However, the counselor should not retreat. He should be certain that the counselee understands his point of view and his insistence upon it. The counselor should do this calmly, moderately, and with out arguing. The counselor should close the interview tactfully.

h. The counselee is obviously nervous and sensitive.

Apparently the counselor did not put the counselee at ease. The counselor should explain the purpose and constructive value of the counseling interview. While doing this, counselors should talk in a friendly fashion and allow the counsees any opportunity to talk casually so that they may relieve some of their tension. The counselor should not talk about the counselee as a person--instead the conversation should be about the counselee's performance and/or their situation. The counselor should begin by referring to performance which the counselee has done well.

i. The counselee is obviously failing in his performance.

The counselor should talk frankly and directly about the counselee's performance. It may be some shock to the counselee at first, but getting them to face the facts realistically may result in improvement and, if not, it may make their failure easier. If there is evidence that the counselee is not perfectly clear about their failures, they should be reviewed. Counsees should leave the interview with complete understanding of what will be necessary in order for them to improve.

j. The counselee has been counseled on his performance several times previously, but he continues to be deficient in the same areas as before.

This case may require special effort and individual attention by the counselor. If the counselee has other promising attributes and if it is hoped that they can be salvaged, it is imperative that the causes of his difficulties be identified. If the counselee remains deficient after previous repeated counseling, the reason may be that the previously noted deficiencies were not accurately analyzed in the earlier counseling sessions. They may be deficient because of mental limitations, physical limitations, deficiencies in motivation, or because they are not clear either about what is required or about the techniques to be used in carrying out the performance. Mental limitations are the most difficult to identify; however, until definite proof exists to the contrary, it can be assumed that the process by which the counselee was selected is sufficiently accurate and that mental limitations are not likely to be the cause. In performance tasks requiring dexterity, strength, endurance, or coordination, physical limitation may well be the cause. If this is suspected, such a possibility should be discussed with the counselee and, if possible, confirmed with medical personnel. It may be that the counselee does not possess the physical attributes necessary to satisfactorily complete the training. With regard to motivation, the counselor should carefully observe the counselee both during the counselee's performance and during the counseling interview. The counselor should be able to note some clues concerning the counselee's motivation. If the counselor becomes convinced that motivation is deficient, they should try to learn the cause. If the cause is legitimate, the counselor may be able to help the counselee overcome it and thus raise their motivation. On the other hand, the counselor will encounter a few individuals whose motivations are low because they do not like the training or because they never really desired to succeed from the beginning. Since these individuals have been counseled on their performance before, now may be the time for them to be informed that they must either produce or fail. Finally, if motivation appears to be high, the counselor should once again review performance objectives, standards, and techniques with the counselee to insure that the counselee understands what is required and how it should be accomplished. The major point is that there may be numerous reasons why a counselee is consistently deficient. To salvage a counselee who may otherwise be promising, careful exploration of potential causes is required.

## IV. SPECIAL RESPONSIBILITIES OF A LEADER

1. Responsibility to Inform the Subordinates About Their Performance.

a. Occasionally, leaders may feel reluctant to critique the performance of their men. It is helpful to recognize that performance appraisal is a matter of mutual rights and obligations on the part of both leader and subordinate.

(1) By virtue of their position, the leaders:

(a) Have a "right" and the authority to appraise performance.

(b) Have an obligation to inform subordinates of appraisals and to discuss the results with them.

(2) Subordinates:

(a) Have a "right" to know how they are performing.

(b) Have an obligation to try to profit from an appraisal of their performance.

2. Responsibility to recognize the Potentialities of Interviewing Techniques.

Because of the authoritative position occupied by the counselor, the counselee is at a disadvantage during the interview. If interviewing techniques are used maliciously, with the intention of tricking or trapping the counselees, or for the purpose of exerting pressure upon them, they can be exceedingly destructive to their motivation and, with some individuals, to their emotional balance. Accordingly, interviewing techniques should be used with care and professional responsibility.

## V. A COMPARISON OF THREE METHODS OF PERFORMANCE COUNSELING

1. The Tell and Sell Method.

The primary objective of this method is to communicate to subordinates the leader's evaluation of their performance. The goal is to tell subordinates how they are doing, gain their acceptance of the evaluation, and to motivate them to follow the leader's plans for improvement. If subordinates want to correct their faults, if they accept the evaluations, and if they possess the ability to change, then this method may be satisfactory.

## a. Skill Requirements.

Leaders need to be able to persuade subordinates to change in the desired direction, as well as to be able to motivate them. Just as salesmen must know their clients if they are to sell their products, the selling of evaluations requires similar skills.

b. Reactions.

It is not unusual, however, for subordinates to judge their leader's expectations as unfair, their criticisms as unjustified, and the plans for improvement as incorrect or unacceptable. In many cases, subordinates cannot improve simply because they want to. Events occur which are outside of their ability to control.

If subordinates fail to respond to the leader's good intentions or resist their advice, the leader is put on the defensive and relations become strained to the point where hostility builds. Such a result is not planned, yet happens despite anything the leader can do. The subordinates usually notice their leader's increased defensiveness and back down. Moreover, they often do not dare to question the evaluation. This silence on the subordinate's part may be mistaken as acceptance by the leader. Thus, subordinates fail to communicate their true feelings to the leader. One consequence is that the leader feels obligated to talk more, thereby dominating the conversation.

c. Results.

Defensive feelings are a natural result of this method of counseling; mainly because the leader takes on the role of judge and solution-generator. Subordinates often try to conceal their weaknesses; however, if criticism becomes too severe or praise too faint, they must protest to protect themselves. Any questioning of the leader's evaluation may well bring about a "face-saving" situation. Unless the leader has extreme patience, the relationship deteriorates. However, with the leader in command, the subordinates invariably learn to give in and lose face. Often, many subordinates develop insensitivity and learn to ignore or rationalize any criticism, begin to conceal performance shortfalls and attempt other methods to avoid unpleasant evaluation. The leader may soon be unaware of the true conditions of the subordinate's unit or area of responsibility, and the subordinate may be thoroughly dissatisfied with the leader's attempt at counseling as there has been neither solutions to problems nor increased subordinate self-reliance.

Furthermore, a selling situation presents two possibilities: The product is either accepted by the subordinate or it is not. Frequently, subordinates accept the evaluation (or make their superior believe they do), only to escape the situation.

If used, the Tell and Sell method is best suited for situations in which previous performance counseling experiences between the subordinate and leaders have proven satisfactory, the leader has firmly established themselves with that particular subordinate, and knows that the subordinate's self-reliance will not be degraded by these procedures. This method is efficient if it works. An evaluation can be presented in about 15 minutes. Undesirable or harmful effects may exceed gains. For example, unfair appraisal may cause a subordinate to feel rejected or angry. The leader may lose the loyalty of that subordinate because mutual interests are no longer apparent.

If losing face results, a strain will be placed on everyday relationships and job satisfaction. Both sides will perceive counseling sessions as uncomfortable and will tend to avoid them in the future. The greatest risk appears when subordinates accept the evaluation and try to please their superior, rather than giving them the benefit of their opinions and innovative ideas. Thus, they have learned to become yes-men, and the leader is soon surrounded by yes-men. At the same time, they are required to appear to be independent and self-starters. Weaker subordinates will try to discover what the leader wants and then do it that way. Upward communication soon becomes nonexistent.

## 2. The Tell and Listen Method.

This method is often viewed with skepticism since the role of the leader tends to appear ambiguous with respect to authority. First, the leader covers the strong and weak points of the subordinate's performance. Although the leaders still play the role of judge, they try not to refute any statements made by a subordinate. In fact, they encourage diverse comments to release the subordinate's frustrated feelings aroused by the evaluation.

Compared to the Tell and Sell, this method is different only in its handling of disagreement and resistance. The leader does not dominate the discussion; rather, they encourages subordinates to open up. It is primarily effective as an initial performance counseling, to develop upward communication, and is well suited for informal performance counseling situations.

### a. Skill Requirements.

Necessary skills include: active listening, accepting, and trying to understand the subordinate's attitudes and feelings; effectively using silence-encouraging the subordinates to assume more responsibility for talking; and summarizing feelings and other means of subordinates' attempts to communicate-indicating progress and showing understanding. The leader should try not to agree or disagree. Rather, they strive for understanding of the subordinate's point of view. The leader risks the possibility of a subordinate feeling that part or all of his evaluation is unfair.

### b. Reactions.

Usually, face-saving issues are not forced, and the leader avoids a defense-provoking confrontation. The leader does not necessarily expect subordinates to agree with their entire evaluation, so he is in an advantageous position to understand and respect feelings and opinions.

### c. Results.

A continuation of good relationships between leader and subordinates usually results using the Tell and Listen Method. Subordinates are likely to regard the meeting as worthwhile and gain a feeling of importance. The superior learns about the subordinates' needs and aspirations and learns to accept and respect them through better understanding. Both leader and subordinate may discover new ways to improve duty performance. Change can occur if subordinates can influence their leader's views on supervisory method, duty assignments, or perfor-

mance requirements. A leader who listens and learns will indeed encourage upward communication, and will probably find that much of their evaluation is accepted, simply because they did not attempt to preach. The leader proved their willingness to listen.

### 3. Problem Solving Method.

In this method, the leader refrains from being a judge and becomes a helper. Although leaders may wish to help in the above two methods, they force them to become a judge. One cannot evaluate without judging. Since the development of subordinates is the primary objective of performance counseling, passing rigid judgement becomes counterproductive. The leader suggesting all solutions is similarly ineffectual.

In following a problem solving method, the leader should not indicate the area of subordinate development, for this would constitute judgment. Therefore, the leaders must limit their influence to stimulating their subordinates' thinking in lieu of supplying solutions. Leaders accept for consideration any and all ideas that might possibly bear on helping subordinates improve their duty performance. Leaders accept subordinates as mature and responsible individuals. The leaders must develop the ability to "tune out" their own viewpoint and try to see the job as subordinates see it. If their ideas seem impractical, they should explore their views to learn more specifically what they intended. Often, ideas which are difficult to accept are ones that are most frequently misunderstood. Leaders are often so concerned with faults they observe, it is difficult for them to suppress "put downs" or instant solutions.

The problem solving method provides the counselor a low risk means of resolving conflicts by facilitating a mutual search for solutions that will be acceptable to both superior and subordinate. Thus, the necessity for the superior to use the power of their rank and position is eliminated. Further, the problem solving method provides a means of preventing conflicts between superiors and subordinates and a means of developing subordinate self-reliance.

Finally, in applying this method, one needs to learn only a single procedure. It can be used to improve anyone's performance. This is in contrast to trying to learn a list of solutions for every known problem. Actually, no cookbook best solution can be known ahead of time for all situations. This follows because each superior, each subordinate, and each problem is unique. Therefore, a unique solution developed by both the superior and the subordinates is truly the best solution; especially since it gets at real problems.

#### a. Skill Requirements.

Skills needed are similar to those in the Tell and Listen method in that active listening is necessary. The leader must be prepared to go beyond just being interested in subordinates' views or feelings. Leaders must be able to put those views to work in improving duty performance. Initially, they may find differences between their own and the subordinates' perception of performance standards. Such discoveries should begin to reduce misunderstanding.

By restating subordinates' ideas, the leaders test their own understanding and demonstrates acceptance of subordinates' ideas. Using stimulating questions will convey a sense of curiosity and interest as these ideas are explored. Asking for illustrations, examples, or further elaboration should not put subordinates on the defensive by indicating evaluation but should indicate a desire to understand completely.

Skills in summarizing are also useful in increasing communication and integration of ideas. If done on a chalkboard, summarizing assists in understanding because it permits checking and refining of ideas presented, reorganizing and restructuring to portray each idea in its proper relationship to the others.

b. Reactions.

If subordinates are free to analyze their duty assignments with the intent of having a part in making changes toward improvement, they will be motivated to think in productive rather than reactive and other counterproductive ways. Productive or positive thinking produces responsible and professional attitudes. Any changes derived are immediately accepted because they are the subordinates' solutions. In fact, by examining how to maximize the best features and to minimize the poor ones, subordinates frequently voluntarily suggest needed changes in their own behavior.

Duty assignment satisfaction is improved because the duty itself may be reorganized, enlarged, or rescheduled. Perceptions of duty performance are mutually agreed upon with more assistance from the leader relevant to what is needed. Two-way communication is guaranteed and confidence is established, whereby future problems can be solved more effectively. It is almost certain that some duty improvements can be derived by subordinates.

The self-development method maximizes mutual learning and communicating. Usually, one thinks of training and developing others as a one-way gain in that the superior gives knowledge and know-how while the subordinates receive them. This method, like the Tell and Listen method, offers the leader an opportunity to learn since it stimulates upward communication. It also creates a climate for quality decisions and changes since it pools the views and thinking of subordinates. Resistance to change is a common experience. When properly employed, this method does not merely remove sources of resistance, it stimulates change for the better.

PERSONAL AND PERFORMANCE COUNSELING

LESSON EXERCISE  
(Faculty-Graded)

Answer the following questions by selecting the one most correct answer. Use the MarkSense Answer Form with the same subcourse number as this subcourse. Using a soft, number 2 pencil, completely blacken the circles corresponding to your answers. You may refer to the module readings if you desire. When you complete the exercise, mail your MarkSense Answer Form to the Academy for evaluation.

There are a total of twelve questions. In order to receive a "GO" for this subcourse, you must answer at least 75% (9) of them correctly.

1. An interpersonal relationship in which the principal objectives are the development of the counselees, the improvement of their welfare, and the resolution of their problems is a good description of the purpose of:
  - a. Leadership
  - b. Performance counseling
  - c. Counseling in general
  - d. Career counseling
  
2. Perhaps the best way to think of the supervisor/subordinate relationship during the counseling process is:
  - a. leader/counselee
  - b. judge/defendant
  - c. instructor/student
  - d. helper/receiver
  
3. In preparing for a counseling session, a counselor should allot the proper amount of time, give advance notification to the counselee, arrange an appropriate physical setting, and:
  - a. develop a general plan
  - b. select a witness
  - c. prepare counseling statements for signature
  - d. notify their immediate superior of the coming session

4. In personal counseling, the counselor attempts:
- to get all the details about the problem
  - to get the counselee to admit that the problem is the result of their own actions
  - to get the counselee to follow a detailed plan that will solve the problem
  - to provide a helping relationship which assists the soldier in developing initiative in solving their own problems.

Select the statement that best describes the elements of active listening listed in the first column.

- |                           |   |
|---------------------------|---|
| 5. <u>A</u> paraphrasing  | a. An active listening response where the counselors attempts to indicate that they understand what the counselee is saying.            |
| 6. <u>D</u> reflection    | b. An active listening response used by the counselor to tell the counselee what they interpret the problem to be.                      |
| 7. <u>C</u> summarization | c. An active listening response which a counselor can use to identify a central theme when the counselee makes several long statements. |
|                           | d. An active listening response where the counselor attempts to indicate that they understand what the counselee is feeling.            |
|                           | e. An active listening response where the counselor shows empathy by telling the counselee how they have felt in similar situations.    |

8. When counselors decide to refer a counselee to another counselor/agency, they should inform the counselee that he will be referred, make contact with the counselor/agency to whom they will be making referral, and:

- Notify the counselee's immediate supervisor of his referral action.
- Follow-up the counselee's situation.
- Avoid further contact with the counselee so they do not interfere with the counseling plan of the new counselor.
- Ask the counselee's supervisor to follow-up with the counselee to see if their problem is resolved.

9. Counseling which intends to improve job performance or to maintain an already existing level of performance is:

- a. career counseling
- b. personal counseling
- c. efficiency counseling
- d. performance counseling

Select the statement that best describes the possible approaches to a performance counseling listed in the first column.

- |                              |  |
|------------------------------|--|
| 10. <u>D</u> Tell and Sell   | a. In this approach the supervisor covers the weak and strong points of a subordinate's duty performance and seeks the subordinate's reaction to the evaluation.   |
| 11. <u>A</u> Tell and Listen | b. In this approach the supervisor allows the subordinate to identify areas of improvement, and then the supervisor suggests possible actions to remedy these weaknesses.  |
| 12. <u>C</u> Problem Solving | c. In this approach the subordinate is encouraged to identify both weak areas of performance and methods of upgrading their performance in these areas.  |
|                              | d. In this method, the supervisors communicate their evaluation of duty performance and attempts to have the subordinate accept their evaluation and plans for improvements.                                       |
|                              | e. In this method, the supervisor uses detailed and repeated counseling statements to build a file on a subordinate's job performance so they have proper documentation to back up the job performance evaluation. |

SUBCOURSE QUESTIONNAIRE

Lesson NO. \_\_\_\_\_

\_\_\_\_\_  
(RANK/NAME/CLASS NUMBER)

The following questionnaire is designed to assist you in your studies and the Academy in refining or improving the course. As you complete the questionnaire, please answer each question frankly. If you have a comment or recommendation that is not asked for, feel free to add it. Your assistance will help build and maintain the best Academy possible. The completed questionnaire should be returned to us with your final graded requirement for this subcourse.

1. How long did you spend on this subcourse? Total Hours \_\_\_\_\_
2. How much previous experience did you have with the material covered in this subcourse? (Circle appropriate letter)
  - A. Above Average      B. Average      C. Below Average      D. None

Responses for Items 3 and 4.

- A - Strongly agree
- B - Agree
- C - Uncertain
- D - Strongly disagree
- E - Disagree

3. This subcourse was useful to me in my current duty assignment. (Circle appropriate letter)

A    B    C    D    E

4. The following listed parts of the subcourse provided sufficiently clear guidance and information to assist me in my preparation of this lesson. (Circle appropriate letter)

Stated Purpose - - - - -	A	B	C	D	E
Stated Objectives - - - - -	A	B	C	D	E
Student Requirements - - - - -	A	B	C	D	E
Practical Exercises - - - - -	A	B	C	D	E
Instructions - - - - -	A	B	C	D	E

Responses for question 5:

- A - Excellent
- B - Above average
- C - Average
- D - Below average
- E - Nonapplicable

5. With regards to reference material, indicate the adequacy of each of the following by circling the appropriate letter after each listing.

Supplemental Readings	- - - - -	A	B	C	D	E
Military Texts	- - - - -	A	B	C	D	E
Civilian Texts	- - - - -	A	B	C	D	E
Audio Tapes	- - - - -	A	B	C	D	E

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Which solutions/discussions to student requirements, if any, were not helpful in your preparation? Please explain.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. What additional subject(s) in the area of this lesson, if any, might be helpful to you?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Additional comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_