Course Number: SOWO 790
Course Title: The Facilitative Leader*
Semester: Spring 2010
Time and Location: Tuesdays, 2:00 – 4:50, TTK Room 500
Instructor: Kathleen Rounds, PhD, MPH, MSW
            324J School of Social Work
            962.6429 karounds@email.unc.edu
Credit Hours: 1.5

OFFICE HOURS: Mondays 12-1:30 and by appointment

Course Description:
In this highly interactive course, participants will learn how to use facilitative skills in their roles as leaders and members of groups/teams to help these groups become more effective.

Course Objectives:
Upon completing this course you will be able to:
1. Demonstrate your understanding of key characteristics of The Facilitative Leadership approach such as core values and how these fit with social work values.
2. Identify different facilitative roles and when it is appropriate to serve in each one.
3. Understand underlying ground rules of this approach by articulating their purpose, how they are related to the core values, when to use each one, and how to intervene when using a specific ground rule.
4. Identify behavior inconsistent with the ground rules and how to redesign behavior to be consistent with the ground rules.
5. Identify the intervention steps of the diagnosis-intervention cycle and understand the factors that affect whether and how to intervene.
6. Intervene on behavior in real-time within the appropriate facilitative role using the core values, ground rules, and the diagnosis-intervention cycle.
7. Develop next steps for using these skills in your work.
8. Critically reflect on what you have learned in the course and how you would use this approach in working with diverse populations and in a range of practice settings.

Expanded Description

The Facilitative Leadership approach is based on the theoretical contributions of Chris Argyris and Don Schön as further developed by Roger Schwarz. The underlying premise of the approach is that our behavior is not random but designed by us and that we are often unaware of the values and assumptions that lead us to design our behavior. The theory that we as individuals generate to guide our behavior, and which we are typically unaware of, is known as our theory-in-use. The research shows that under difficult conditions (i.e., potential psychological threat, embarrassment, or high stakes), almost all of us operate from a theory-in-use known as unilateral control. Under unilateral control, we seek to win conflicts, minimize the expression of negative feelings, and assume that those whose views differ from ours do not understand the situation, are wrong, and may
have questionable motives. We also assume that we are not contributing to the problem and that our own behavior is justified. As a result, we produce behaviors that help create the very outcomes that we are trying to avoid, e.g., increased defensiveness, reduced learning, lower quality decisions, and ineffective working relationships.

Theory-in-use cannot be directly observed. It can only be inferred from observing behavior and validating these inferences with the person producing the behavior. In addition to our theory-in-use, each of us has an espoused theory. This is the theory that we tell others is guiding our behavior. Under difficult conditions, there is typically a gap between our espoused theory and our theory-in-use of which we are normally unaware. This has profound implications for learning to increase our effectiveness. Given that our behavior is a function of our theory-in-use, and given that we are usually unaware of our theory-in-use, we cannot create fundamentally different results without becoming aware of and changing our theory-in-use. Under difficult conditions, our efforts to simply change our behavior will only create different forms of unilateral control, which will generate the same negative outcomes.

A facilitative leader is anyone who uses a specific set of core values and assumptions to guide his or her behavior to create more effective results and working relationships. The Facilitative Leader approach is based on the mutual learning theory-in-use. Its core values are transparency, curiosity, accountability, informed choice, and compassion. Its core assumptions are that: 1) I have some information, others have different information; 2) each of us may see things that the others do not; 3) differences are opportunities for learning; 4) I may be contributing to the situation; 5) people may disagree with me and still have pure motives. Facilitative leaders operate from this set of values and assumptions to behave in certain ways including testing their assumptions, explaining their reasoning, asking genuine questions, and jointly designing next steps. As a result, facilitative leaders create higher quality decisions, decisions that people are more committed to implementing effectively, improved working relationships, improved personal satisfaction, and increased learning.

In this course, you will learn how the unilateral control and mutual learning models operate, including the values, assumptions, behaviors, and results associated with each of the models. You will learn how to identify your own behavior and the behavior of others in respect to these models and will learn how to shift your mind set from unilateral control to mutual learning and to produce the behaviors associated with mutual learning. This is a highly interactive class that involves role play, skill practice, and reflection using participants’ real situations. It requires full participation and a willingness to take risks and be vulnerable to increase significant learning about how you think and how your thinking leads you to interact with others. This course is especially relevant for anyone who is a formal or an informal leader, team member, or anyone who works with or within an organization or community group.

Other readings will be available on the course BlackBoard site.

OVERVIEW OF ASSIGNMENTS

ASSIGNMENT 1: WRITING A LEFT-HAND COLUMN CASE (DUE: Session 2)

1. In one paragraph or less, describe an important conversation that you had with a colleague, co-worker, or peer that did not go as well as you wanted. The conversation should be one that you: 1) wished you had handled more effectively, and; 2) are willing to discuss in your small group in class. In addition, the conversation should involve people or a person with whom you want to improve your working relationship. If you need to change the names, positions, or any other information about the people involved in order to feel comfortable discussing the case, please do so.

2. In a second paragraph, describe the goals and strategy that you used during the conversation. Include: 1) what outcomes you wanted from the conversation; 2) how you planned to have the conversation to achieve those outcomes; and 3) specifically what it was about the conversation that led you to describe it as difficult.

3. Next, divide the page into two columns. In the right-hand column type exactly what you said to the person(s), how he/she/they responded, and what you said next. In short, type the verbatim dialogue you had. Do not write a general description or summary of the dialogue because you will not be able to use it during the class. In the left-hand column write down all the thoughts or feelings you had, whether or not you communicated them to the other person. The more thoughts and feelings you write, the better. Write this dialogue for at least two typewritten pages. Do not worry if you cannot remember the exact conversation or your thoughts and feelings -- type it as best as you remember it and fill in the gaps with what you think you would have said, thought, or felt. You will need your left-hand column case for different parts of the class.

Posted on our Blackboard site is the “TFL LHC Case” that is already set up in the correct format. Simply write your case using this file. Rename the file “Your First and Last Name TFL LHC Case” and email it as an attachment to karounds@email.unc.edu by XXX. Bring six copies of your original to class. You will be using your left-hand column case throughout the class.

ASSIGNMENT 2: KEEPING A JOURNAL (Due: every week)

You will be given specific instructions on what to journal about each week. The purpose of this assignment is to focus your observation on specific behaviors that you engage in and that you see others engage in and to reflect on the impact of these behaviors.

ASSIGNMENT 3: CODING AND ANALYZING BEHAVIOR (Due: Session 3 & 4)

In this assignment you will use the mutual learning model and the unilateral control model to code and analyze behavior, either of a one-on-one interaction or of a group interaction. Ideally, you will code behavior from an actual meeting or interaction that you have audio recorded. Another option would be to code and analyze behavior from a video that is available to the entire class.

ASSIGNMENT 4: RE-DESIGNING YOUR LEFT-HAND COLUMN CASE (Due: Session 4)

ASSIGNMENT 5: VIGNETTE FOR ROLE PLAY (DUE: Session 5 or 6)

ASSIGNMENT 6: FINAL PAPER ON THE IMPACT OF THIS APPROACH IN YOUR ORGANIZATION (Due: one week after the last class session)
APA and Written Assignments

The School of Social Work faculty has adopted APA style as the preferred format for papers and publications. The best reference is the *Publication Manual of the American Psychological Association, Sixth Edition (2009)* that is available at most bookstores. The following web sites provide additional information:


The UNC School of Social Work Style Guide: A Writing Manual for Social Work Students ([http://ssw.unc.edu/currentStudent/index.html](http://ssw.unc.edu/currentStudent/index.html)) also contains basic APA information and a section on how to avoid misuse of the words and ideas of others in your written work. **Students are strongly encouraged to review the section on plagiarism carefully.** All instances of academic dishonesty will result in disciplinary measures pre-established by the School of Social Work and the University.

Honor Code

The Student Honor Code is always in effect in this course. The *Instrument of Student Judicial Governance* ([http://instrument.unc.edu/](http://instrument.unc.edu/)) requires that you vouch for your compliance on all your written work. You must write the following pledge in full on each document title page: “I have neither given nor received any unauthorized assistance on this assignment.” Sign and date your statement.

Grading System

The School of Social Work uses an evaluation system of Honors (H), Pass (P), Low Pass (L), and Fail (F). For this class, the numerical value of an H ranges from 94 - 100; a P is 80 - 93; an L is 70 - 79. A grade of P is considered entirely satisfactory. On a traditional grading scale, a P would range from B- to A-. The grade of Honors signifies that the work is clearly excellent in all respects. A student receiving nine or more Low Passing credits is ineligible to continue in graduate school. The final grading breakdown is:

**Assignment Percentage**

<table>
<thead>
<tr>
<th>Assignment</th>
<th>Percentage</th>
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</thead>
<tbody>
<tr>
<td>Class participation</td>
<td>10%</td>
</tr>
<tr>
<td>Journal</td>
<td>20%</td>
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<tr>
<td>Left-hand column case assignment</td>
<td>10%</td>
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<tr>
<td>Coding and analyzing behavior assignment</td>
<td>10%</td>
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<tr>
<td>Re-design of left-hand column case</td>
<td>15%</td>
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<tr>
<td>Vignette</td>
<td>15%</td>
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<tr>
<td>Final Paper</td>
<td>20%</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>100%</strong></td>
</tr>
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Attendance and Participation

Attendance at all class sessions is expected and is critical; it is important to be on time so as not to disrupt class. Class time will primarily be spent learning and practicing skills. If you are ill or have an emergency and will not be able to attend a class, let the instructor know via email or voice mail prior to class. Students with more than one absence will receive an “L” unless they have made prior arrangements with the instructor. In order to
fully participate in and benefit from each class session, you must complete required readings and assignments and come to class prepared.

**LATE ASSIGNMENTS**

Because you will be using your completed assignments in class, not completing an assignment on time is very problematic! Coming to class with an incomplete assignment might prevent you from participating in some of the class activity. If due to unusual circumstances you need to obtain permission to submit an assignment after the deadline, you must seek approval from the instructor **before** the day that the product is due. **If permission for late submission is not granted before breaking a deadline, the grade will automatically be reduced 10%, and another 10% reduction will occur each day, including weekends.** In case of an emergency, a late assignment may be accepted without penalty at the discretion of the instructor. Avoid having last minute computer failures prevent you from completing your work on time. Plan ahead! Keep backups; don’t rely on having computers, printers, servers, and email programs working perfectly a half-hour before class.

**CELL PHONE POLICY**

Cell phones are a disruption to the learning process. PLEASE turn off or mute your cell phone during class.

**POLICY ON ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES**

Students with disabilities that affect their participation in the course and who wish to have special accommodations should contact the University’s Disabilities Services and provide documentation of their disability. Disabilities Services will notify the instructor that the student has a documented disability and may require accommodations. Students should discuss the specific accommodations they require (e.g. changes in instructional format, examination format) directly with the instructor.

**COURSE OUTLINE**

**Session 1**

**Welcome:**  
- Introductions
- Overview
- Working together

The facilitative leader approach:  
- Five facilitative roles
- Exercise: comparing unilateral control and the facilitative leader approach
- Core values of a facilitative leader

**Theory-in-use**  
- Behaviors begin with thinking
- Unilateral control model
- Mutual learning model
- Mutual learning and decision making
- Exercise using a case
De-brief and discuss assignments for the week.

For next week:
Reading: Does your leadership reduce learning (on the website)
Chapt. 4 understanding what guides your behavior

Left hand column case

Journal assignment: Identify situations under which you acted using the unilateral control model and the mutual learning model.

Session 2
Check-in and de-brief assignments
Ground rules for effective groups (Intro and using the ground rules)
  • Ground Rule 1: State your views and ask genuine questions
  • Exercise: Identifying genuine and false questioning
  • Exercise: Combining stating views and asking genuine questions
De-brief and discuss assignments for the week.

For next week:
Ground rules for effective groups --- article that they sell
Chap. 23 --- opening lines
Coding & Analyzing Behavior Assignment: Code your left-hand column case based on Ground Rules 1

Journal assignment: Practice ground rule #1 and keep notes on what you did and how it worked out --- what worked well and where you got stuck. Observe a conversation, note ground rule one.

Session 3
Check-in and de-brief assignments
  • Ground Rules 2-4 with exercise:
    o Share all relevant information
    o Use specific examples and agree on what important words mean
    o Explain reasoning and intent
De-brief and discuss assignments for the week

For next week:
Read:
Coding Behavior Assignment: Code your left-hand column case based on Ground Rules 2-4

Journal assignment: Practice ground rules 2-4 and keep notes on what you did and how it worked out --- what worked well and where you got stuck.

Session 4
Check-in and de-brief assignments

Ground Rule 5: Test assumptions and inferences
   Exercise: Noticing high level inferences and walking down the ladder
   Exercise: Testing your inferences: The Mutual Learning Cycle

Ground Rule 6: Jointly design next step
   Exercise: Jointly designing the start of a conversation

Debrief and discuss assignments for the week
Reading: chapt. 16
Journal assignment:

**Session 5**
Check-in and debrief assignments

Ground Rule 7: Focus on interests, not positions
   o Exercise

Ground Rule 8: Discuss un-discussable issues

Ground Rule 9: Use a decision-making rule that generates the level of commitment needed

Debrief and assignments for the week
Reading: chapt. 20 --- send an email
Journal assignment:
Scenario Assignment: Write-up a real scenario to practice in class sessions 6 or 7 (a scenario that didn’t go well, or a meeting / conversation that you need to have and are not quite sure as to how to handle it). Write this scenario as a left-hand column case and analyze it and then redesign it based on what you have learned.

**Session 6**
Check-in and debrief assignments

Facilitative leader skill practice (role plays in small groups- each person gets 30 minutes for his/her scenario)
Role plays 1-3

De-brief and assignments for the week:

Reading: chapt. 15 --- Sue McKinney
Chapt 21 ways to practice
Journal assignment: If you did your skilled practice during class, write about your experience. Write about key learning that you took away from either participating in the role plays or observing them. What was effective and what was ineffective?

**Session 7**
Check-in and debrief assignments

Facilitative leader skill practice (role plays in small groups- each person gets 30 minutes for his/her scenario)
Role plays 4-5

Continuing to develop your skills --- writing a learning plan
Looking back and looking forward --- reflecting on your learning and next steps

Course evaluation and closing comments

Journal assignment: If you did your skilled practice during class, write about your experience. Write about key learning that you took away from either participating in the role plays or observing them. What was effective and what was ineffective?

Chapt. 35 --- introducing the chapter at work
Chapt 41 and 42
**Final Assignment DUE NEXT WEEK (date & time)**
Final paper (5 pages). *The implications of using this approach in your organization at the individual, group, and organizational levels.*

*This course will be primarily based on The Facilitative Leader workshop designed by Roger Schwarz & Associates, Inc.*

Rewrite case using mutual learning model----coded case, redesigned case ---- and code this; plan and what is going to change for you as the result of using this ---- and the relationships you have in work/class…what will help you do this. What will get in the way.