Leadership-Followership and Communications in CRM

ASCI 516
Module 3 Presentation

Leadership/Followership and CRM

- At the heart of CRM is effective leadership and followership dynamics

- Each member of the crew must recognize that he or she has a role and responsibility that is important to effective decision making

- No matter which position you occupy in the crew you must learn to become a leader in that position

Review: Trans-Cockpit Authority (TAG)

Refers to the fact that captains must establish an optimal working relationship with other crew members, with the captain's role and authority neither over - nor underemphasized

Edwards (1975)

Captain's Authority

- Exert managerial control over the crew, cockpit, or situation

- Declare and exercise emergency authority

- Direct crew member actions

- Assign duties and responsibilities

Effective Leaders

- Establish competence
  - Technical
  - Social
  - Managerial

- Disavow perfection

- Engage the crew

Leader-Follower Behavior

- Leadership is a reciprocal process

- There are behaviors that both a leader and a follower must apply to ensure effective performance
  - A leader's behavior might be to provide direction for carrying out a task
  - The follower behavior might be to provide feedback on performance of the task

- Leader behaviors are less effective without complementary follower behaviors

What Makes A Leader?

- A leader is a person whose ideas and actions influence the thought and the behavior of others

- Leadership is the behavior of an individual when he or she is directing the activities of a team toward a shared goal
  - It is the influential increment over and above mechanical compliance with routine directives

- The leader becomes a catalyst for change and a master of influence

Leadership is a Dynamic Process

- Leadership skills should be developed throughout a career
- Leadership facilitates teamwork, and the quality of a leader depends on the success of the leader's relationship with the team
- Leadership is needed to effectively understand and cope with a variety of situations
- Personality or attitude clashes within a crew complicate the task of a leader and can have an influence on both safety and efficiency
- Accident investigations have demonstrated that personality differences can influence the behavior and performance of crew members
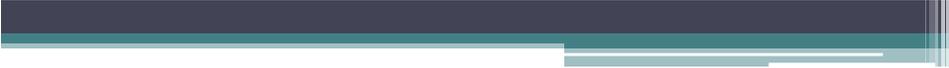
Leadership Skills

- Regulating the flow of information
  - The leader must regulate, manage and direct the flow of information, ideas and suggestions within the crew members and outside resources

Regulating the Flow of Information

- Communicating flight information
- Asking for opinions, suggestions
- Giving opinions, suggestions
- Clarifying communication
- Providing feedback
- Regulating participation

Building a Team Shell

Captain creates a *shared mental model*:

- models behavior regarding the tasks
- establishes boundary definitions
- transmits implicit and explicit norms
- uses appropriate type of authority and communications style
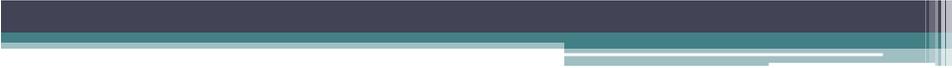
Directing and Coordinating Crew Activities

- The leader must function as crew manager to provide orientation, coordination and direction for team performance
  - Directing and coordinating crew activities
  - Monitoring and assessing crew performance
  - Providing planning and orientation
  - Setting priorities

Decision Making Review

- The principles of CRM recognize that the captain retains the authority and responsibility for the decisions made during flight operations
- However, the synergy created by considering all resources in the decision making process heightens the quality of decisions made by the captain
- Decisions made in isolation will most likely be of lesser quality
- In emergencies, some decisions obviously must be made under an extreme time pressure with very little time for input and analytical decision making
- The intuitive decision making process is based on gut reaction, past experience, and training
- Luckily, these emergency situations are rare
- A good leader will have the support of the team in critical situations, bearing in mind that the CRM principle still applies in the intuitive decision making process

Review of Decision Making Process

- The leader is ultimately responsible for decisions
  - Assuming responsibility for decision making
  - Gathering and evaluating information
  - Formulating decisions
  - Implementing decisions
  - Providing feedback on actions

Motivating Crew Members

- The leader must maintain a positive climate to encourage good crew member relations and to invite full participation in crew activities
  - Creating proper climate
  - Maintaining an open cockpit atmosphere
  - Resolving/preventing angry conflict
  - Maintain positive relations
  - Providing non-punitive critique and feedback to the team

Are there problems with command erosion? If so, how and why does it occur?

A group of experts (2007 CRM Vectors Conference) felt that there has been an erosion of command authority of the Captain.

Some contributing factors:

- Leadership is not assigned; it is earned.

- Values must be determined in one's self, and then compared to the company's values to see if they match.

- A horizontal organizational gradient can also lead to command erosion. A vertical authority structure is important with a flight crew, as well as organizational-wide.

What can be done to correct this erosion of leadership problem?

- To solve these issues, limits of authority should be made clear to all individuals making decisions concerning a flight, both on the ground and in the air.

- The Captain's authority must be made clear to all individuals. CRM works well on all levels.

- While weak leadership pulls down all crew interactions, strong leadership will raise the performance of all individuals.

The Leadership-Followership Dichotomy

- Implied in leadership is followership. Team skills of:
  - Support
  - Anticipation
  - Listening
  - Communicating
  - Working together towards common goals while respecting the chain of command

Followership

- Followership involves
  - The subordination of personal interests
  - The social capacity to work well with others
  - The commitment and competence required to accomplish group goals

Essential Follower Qualities

- They manage themselves well

- They are committed to the organization and to a purpose, principle, or person outside themselves

- They build their competence and focus their efforts for maximum impact

- They are courageous, honest, and credible

Emotional Traits Shared in the Aviation Community

- Have higher control needs
  - Success oriented
  - Tend to avoid feelings
  - Frequently the first born
- Systematic and Methodical
  - Task oriented
  - Tasks put into separate compartments
  - Use of checklists
  - Ensure there are no surprises
  - Ritual
- Ego Involved
  - Works to protect ego
  - Likes to be looked up to
  - Seeks little help

Followership

- Followership is not only a skill, but an attitude

  - Attitude may be defined as an internal state that affects an individual's choice of personal action toward some object, person, or event

  - Attitudes are determined by others (and learned by the individual) over long periods of time

Attitudes

Key to effective crew coordination is the relationship between the attitudes of crew members and their performance in the cockpit.

It is this relationship that determines the actions a crew member will take during routine as well as emergency situations.

Five Hazardous Attitudes

- Five hazardous attitudes that affect judgment:
  - Anti-Authority
  - Impulsiveness
  - Invulnerability
  - Macho
  - Resignation
    - Source: FAA AC-60-22 (12/13/1991) Ch. 3

Anti-Authority

"No one tells me what to do."

Antidote

Follow the rules. They are usually right!

Impulsiveness

"Do something quickly."

Antidote

Not so fast. Think first!

Invulnerability

"It won't happen to me."

Antidote

Consider the possibility that it could happen to you!

Macho

"I can do it."

Antidote

Safety is smart! Taking chances is foolish!

Resignation

"What's the use."

Antidote

I'm not helpless. I can make a difference!
Always assume time is available.

Tools to Help Manage Attitudes

- CRM Training
- Organization Culture
- Standard Operating Instructions
- Accountability
- Recognition

In the Cockpit

- A cockpit with a clear leader and follower is certainly more desirable than one without leadership and followership (the cockpit is not a democracy!)

- Followers have a responsibility to *advocate* their points of view through *inquiry* under the Effective Assertion Model

Effective Inquiry/Advocacy

- Expressing concern
- Stating the problem
- Proposing a solution
- Achieving agreement

About Advocacy

- CRM emphasizes clear and frequent communications on the flight deck about flight operations, but there is a point where there may be too much information being advocated
- A good leader will deal with information brought forward in such a way that the follower will understand that followers are responsible to bring information and the leader will deal with it
- If a leader fails to lead or a follower fails to follow, it will create a distraction in the cockpit
- Distraction is one of the RED FLAGS of situational awareness

Communication and Flight Safety

- Communication is an interactive process
  - different personal styles, roles, and tasks requires diligence to achieve mutual understanding
- Communication processes vary within and between teams
  - some links involve participants within a team or subteam, while other links involve participants from other interfacing teams in the system
- Communications may serve many functions simultaneously
  - variations exist because communication not only conveys particular pieces of flight info but is an instrument for accomplishing many other tasks (both interpersonal and technical) at the same time

Communication and Flight Safety

- Communications vary because situations change dynamically over time
  - over course of a flight, task conditions change and different phases are marked by different goals (e.g., the com context is different for pilots at cruise under normal conditions in contrast to pilots on short final under difficult weather conditions and a mechanical malfunction

As crewmembers adapt their behaviors to take advantage of (or compensate for) changes, communication patterns may also require **adjustment**
  - cockpit design
  - equipment
  - levels of automation
  - other significant hardware and software differences
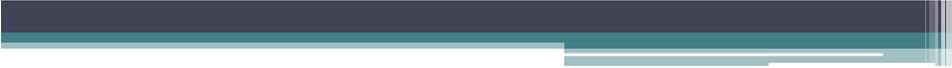
Communication and Flight Safety

- Communication is clearly the means by which air crews accomplish tasks
  - issue commands
  - state intentions
  - send/receive information

- Research has shown that crews that share similar communication patterns appear to perform better as a team

Communication Affects Crew Performance

COMMUNICATION:

- Provides information
- Establishes interpersonal relationships
- Establishes predictable behavior patterns
- Maintains attention to task and monitoring
- Is a management tool

Communication Barriers

- Volume of voice/message
- Too complex a message
- High workload
- Assumptions
- Expectations (wishful hearing)
- Complacency/lack of attention
- Preoccupation
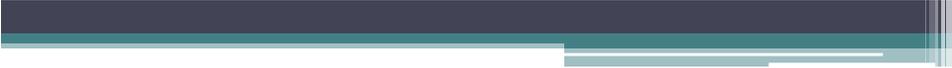
Improving Team Communication

- Be specific
- Be positive
- Speak for yourself
- Listen as much as you speak
- Be patient
- Manage your own behavior
- Be empathetic

- Admit errors
- Be logical
- Encourage feedback
- Paraphrase facts
- Summarize
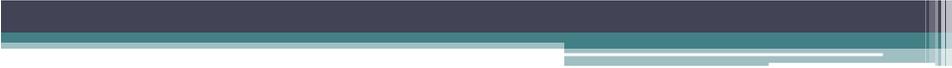
Effective Communication

- Inquire and solicit information, use precise, standard terminology
- Advocate positions and solicit feedback to confirm that position was heard
- Listen actively to conflicting opinions
- Actively describe and clarify incomplete and/or conflicting information or opinion
- Actively and outwardly review plans as they are carried out during the flight
- Do not let crew position differences affect mission safety
- Provide critique and feedback upon completion of a task or flight

Feedback is Destructive When...

- Guilt or shame someone
- Communicate unclear expectations
- Focus only on what is not working
- Humiliate in public or at the wrong time
- Make threats or are rigid
- Seek a win/lose or lose/win
- Ask accusing questions

Barriers to Accepting Feedback

- Pretending to accept but becoming defensive
- Denying there is any truth to the feedback
- Reacting with anger or other emotions
- Refusing to listen
- Retaliating
- Justifying your position

Giving Corrective Feedback

- Focus on the facts, not the person
- Avoid fault finding, focus on the problem
- Be very specific about what you want corrected
- Never correct in front of others
- Seek a win/win
- Mutually agree on future behavior
- Ask how to avoid the problem in the future

Inquiry/Advocacy

- Step 1: Ask 3 questions
  - What do I expect to happen?
  - What does the "other guy" expect?
  - Why do I expect what I expect?
- Step 2: Make 3 statements
  - Make an "I" statement
    - Avoids defensiveness
    - Raises the "red flag"
  - State the problem
    - Don't hint or send trial balloons
    - Clearly state your evidence
  - Propose a solution
    - Use "we" language
- Step 3: Listen
  - Stop talking and listen
    - Don't rehearse your rebuttal
  - Abandon your idea if the other is better
  - Be assertive if required
    - Get a decision

Effective Crew Performance

- Be standard

- Establish competency

- Social competency

  - Eye contact

  - First names

A 5-Step Assertion Model

1. Relay information
2. Link to concern
3. Make an assertive statement
4. Make an emergency statement
5. Take over

Definition of Conflict

When two or more people "SEE"
things differently.

Conflict: What is it?
Different Expectations

- When what you expect to happen to the operation for safety, legality, and schedule reliability is different from what is actually happening.

- Any uncertainty regarding the safety of ops must be questioned and satisfactorily resolved before that operation is conducted or continued.

Importance of Conflict Management and Resolution

- Understand Conflict
- Your Personal Conflict Style
- Your Crew Members Conflict Styles
- How Stress Affects the Conflict Characteristics of Your Crew

Skills To Be Utilized

- Confronting uncomfortable problems

- Stimulating others to meet performance standards

- Backing down when wrong, admitting mistakes

- Engaging in joint discussion of alternatives

- Openly seeking information

Approaching Conflict-Management

- It is HARD

- It is your responsibility

- <u>What's</u> Right, Not <u>Who's</u> Right
  - Don't place blame
  - Show respect and listen
  - Be unemotional

Conflict Resolution Styles
(source: Thomas-Kilman/Fisher-Ury)

- Avoidance (no communication)
- Competition (win-lose)
- Accommodation (lose-win)
- Compromise (both give a little)
- Collaboration (mutual gain)

Avoidance

Avoidance is the best style when emotions are high and a cooling off period is required, loss is eminent, or neither issues or relationships are significant.

- Best style when cooling off period is required
- Best style when loss is eminent
- Best style when neither issues or relationships are significant
- Loss of credibility if overused
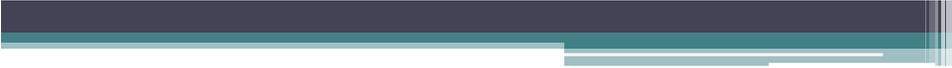
Competition

Competition is a win/lose approach in which there is always a winner and a loser, and the results are always detrimental to relationships. There are, however, situations in which the issues involved are of such importance, and the options for resolution are limited where competition is the best approach.

- Someone always wins
- Someone always loses
- Always damages relationships
- Usually overused
- Sometimes necessary

Accommodation

In like manner, there are situations in which relationship considerations outweigh the need for goal achievement and accommodation is the proper approach.

- When relationships are important
- When issues are not so important
- Risk of losing credibility if overused or used inappropriately
- Risk of compromising goals if used inappropriately

Compromise

Compromise is the best style when both issues and relationships are important, time is available, and "WIN/WIN" cannot be totally achieved.

- Best style when issues are of moderate importance, relationships are of moderate importance and collaboration is ineffective
- Best style, even when issues are important, when competition is not an option
- Risk of loss of credibility if overused

Collaboration

Collaboration is the best style when there is time to talk it out, issues and relationships are important, and the overall goals are of value.

- Best style when time allows
- Usually results in WIN/WIN
- Sometimes results in creative solutions
- Can jeopardize mission if overused
- Can result in loss of credibility if used inappropriately
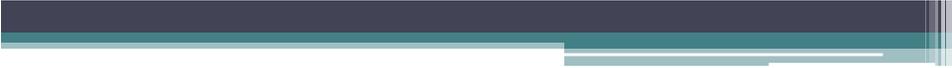
Pre-Flight Briefings

- Provide important operational information for all crew members

- Provide a means for the captain to establish an interpersonal tone with the rest of the crew

- Help to establish predictability, because crew members will know something about the captain's management style and expectations of them and of how they will work together

Why Do Them?

- Required by Flight Operations Manuals
  - "Formal mission briefings and debriefings will be accomplished for all flying operations and will involve...Flight Dispatcher, the Captain, and all crewmembers."

- Crews experience high workload and lack CRM feedback process

Briefings

- Clear, concise, organized
- Mission planning: State mission goals clearly, objectively and in a manner that can be quantified
- Thoroughly critique plans to identify potential problem areas
  - Orient towards defined objectives
  - Cover required information, includes contingency options

Briefings

- Provide specific information on what needs to be done
- Ensure understanding by other crew members, use feedback
- Brief and initiate strategies for handling distractions
- Divide planning tasks and responsibilities among the flight
- Explicitly ask for participation of crew members

Aircrew Debriefings

Why Do Them?

- Need for structured debriefings to determine:

  - What worked well

  - What needs improvement

  - Gain agreement and understanding for future action

What Is Included in Aircrew Debriefings?

→ Evaluate performance and/or ways they might improve
  → Mission requirement
  → ATS/AF Coordination
  → Aircrew Interaction
→ Analyze flight operational situations that confronted them, what they did to manage the situation, and why they did it.
→ Explore CRM areas and how they specifically affect line operations performance; analyze issues, factors, and outcomes in depth, going beyond simply what happened and what they did.

Example of CRM Integrated Into an Airmen Check Record

- Decision Making
- Team Management
- Conflict Management
- Effective Assertion
- Performance Feedback
- Situational Awareness
- Risk Management
  - Source FAA, Aviation Systems Standards