More Leadership Fundamentals

Course No: K08-002
Credit: 8 PDH

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Course Overview

This course builds on the skills presented in our ***Leadership Fundamentals*** course about

- *Motivating Employees*
- *Establishing Measurable Performance Goals*
- *Conducting Meaningful and Stress-Free Performance Assessments*
- *Effective Coaching To Sustain Performance*

This course will teach you about:

- Dealing with Employee Conflict (and how to spot the clues that tell you how serious it is becoming)
- Identify causes of employee conflict
- Reduce causes of employee conflict
- Take steps to minimize conflict
- Select an appropriate strategy to handle conflict

Counseling Employees on Work Performance Issues

- Initiate a counseling session with an employee
- Identify what is keeping an employee from doing what you expect
- Document your meeting to the satisfaction of the "ORPman"

Developing an Effective work Team

- Increase work production and quality in your department through increased teamwork
- Identify and develop future leaders from among existing departmental employees
- Increase employee participation in the decision making process
- Reduce some of your workload by distributing it among strong team leaders

Problem Solving with Employees

- Isolate the cause of a problem.
- “Fish bone” when looking for all the possible causes of a problem.
- Use “what is/is not” questions when trying to isolate the cause of a problem
- Present a problem and recommend a solution to senior management.

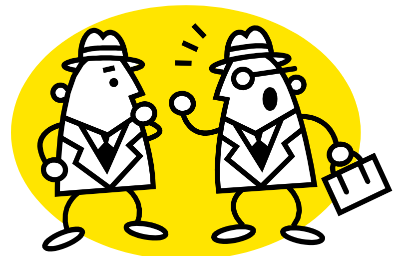
Persuading and Influencing to Achieve Desired Results

- Determine someone’s initial feelings about a situation by asking open-ended questions.
- Determine features and benefits associated with an idea and present them to an employee in a way that encourages their agreement.
- Welcome resistance to an idea because it helps you find a way around it.

DEALING WITH EMPLOYEE CONFLICTS

These are some common beliefs about conflict: what do you think about these?

"The presence of conflict is the sign of a poor leader!"

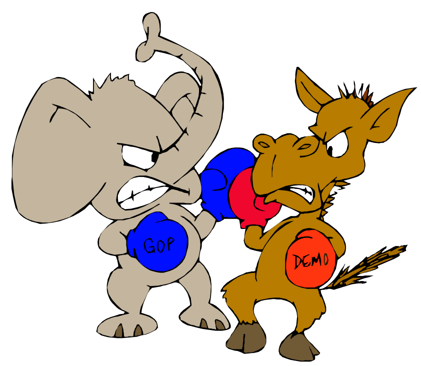


"Conflict" used in a competitive way to generate new ideas or increase productivity to meet an earlier deadline can be a good thing and the sign of a wise leader.

"Anger is always negative and destructive."

Anger *can become* negative and destructive if allowed to develop and grow.

"Conflict, if left alone, will take care of itself."



Not necessarily. We believe leaders should always *be aware* of conflict within their groups but *not always involved*. Sometimes it can take care of itself.

"Conflict must be resolved immediately."

Once again, not necessarily. This is like the one above that *can become* a problem but is not automatically one requiring the leader's intervention.

A wise leader will observe and see if the participants can work out their own differences. After all, the leader will not always be there to act as a referee.

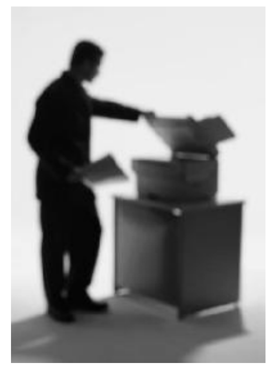
Three Stages of Conflict

STAGE ONE

Irritating Daily Events

Characteristics of Stage One

You MUST LISTEN FOR these clues:



- Comments are focused on "non-human" topics (machinery, weather, traffic, the "system [computers, the organizational culture, procedures]" etc.)
- Words are in the present tense *("This copier is out of paper".)*
- More focus on a solution than the problem *("This copier is out of paper: where is the supply so I can refill it?")*

Ways to Handle Stage One Conflict

Initiate a response that examines the situation. (*"It looks like the copier is out of paper. Do you know where the stock of it is?)*

Ask if the reaction is proportional to the situation. (Is anyone carrying "baggage" from previous situations? How would you know? Hint: What tense are they using to describe their position? *"You know, all it needs is new paper. Why not save your drama for the big problems and just put in some new paper?"*)

Identify points of agreement and work from these points first and then identify the points of disagreement. *("I agree with you that it seems like no one else restocks the copier but you. But at least we can rely on you.")*

STAGE TWO

Challenges Requiring "Win-Lose" Results

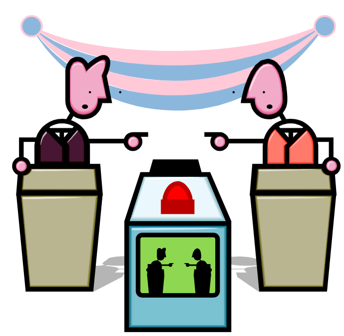
Characteristics of Stage Two

You must LISTEN FOR these clues:

- Words are in the past tense or indicate a trend(*"This copier never has paper in it! It's always empty!")*
- Comments are focused on "human" (personalized) topics (machinery maintenance person, weather man, traffic – a particular driver, the "system [computer service technician, the organizational culture - a particular person within it, procedures – a particular person who doesn't follow them]" etc. *"I hate people who can't even restock a copier run they run it out of paper!")*
- More focus on who caused the problem – or allowed it to happen - than a solution *("The copier on this floor needs paper. Who is supposed to keep it full?")*

Important considerations for Stage Two:

Coping strategies DO NOT WORK because ***people are the problem*** and the conflicts do not go away. Self-interest is very important. "CYA" *('Cover Your Assets')* is a survival strategy.



People take sides, take notes, and keep score. Alliances and cliques may form. An "us" vs. "them" mentality develops. Discussion of issues and answers are futile because ***participants and the problem have become too closely entangled.*** (Similar to a heated political discussion.)

Participants deal in terms that are more general. You will hear about the phantom **"them"** and comments as "**everyone** thinks…", "**always**…" and "**never"** increase in frequency. Each side is reluctant to provide facts without asking, "How will you use this information?" **TRUST IS VERY LOW!**

Ways to Handle Stage Two Conflict

Create a safe environment to discuss the situation which includes:

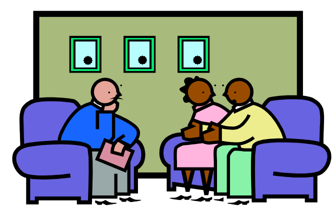
- Make the setting informal
- Establish neutral turf
- Have an agenda so there is focus on an outcome

A generic agenda would be one in which both sides agree to take some of the responsibility for reducing the conflict. An easy way to do this is to get each side to "trade" something. (Note: Never say, **"GIVE UP"** something because that implies losing!)

"Sam, maybe we can work a way to resolve this. Would you be willing to ***trade*** *proof-reading of your work before you give it to Sue if she will stop making comments about your work quality?"*

This way, neither side thinks the other won something and you, the leader, still get the peace and harmony you want.

Be hard on facts, soft on people. Take time to get every detail. Clarify generalizations. Who, by name, are "they"? Are you sure that "always" or "never" is accurate?



Do not let the participants sit across from each other. Arrange to get them sitting beside each other across from you. (Sitting across from each other so they make eye contact can start it all again.)

Do the work as a team sharing in the responsibility of finding an alternative everyone can live with. Stress the necessity of equal responsibility in finding resolution. *Why should you not carry this load for the participants?* (Because then it becomes **your** solution for them and they have nothing invested in making it work.)

Focus on points of agreement to find a middle ground. Do not suggest that each side "concedes" something because that implies "giving in".

*"Do you agree that this bickering is becoming an aggravation for the two of you? If so, maybe we can work a way to resolve this. Sam, would you be willing to **trade** proof-reading of your work before you give it to Sue if she will stop making comments about your work quality?"*

Take as much time as necessary to reach agreement without forcing concessions or issues.

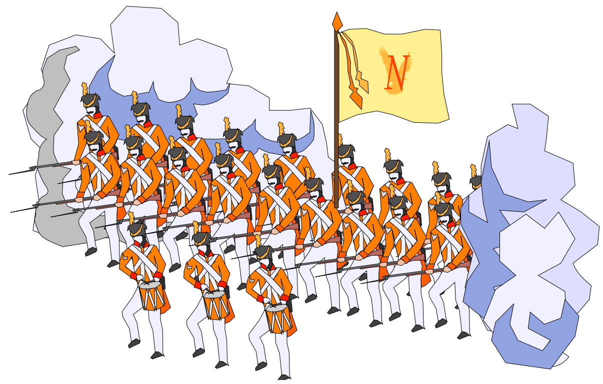
Avoid voting to resolve issues because that leads to a "win – lose" result. (The only way to avoid having hurt feelings by voting is if you are assured of a unanimous decision before you begin!)

What Stage 1 or 2 conflicts are underway in your department?

What strategy can you use to deal with them effectively?

STAGE THREE

ELIMINATING "THE ENEMY"

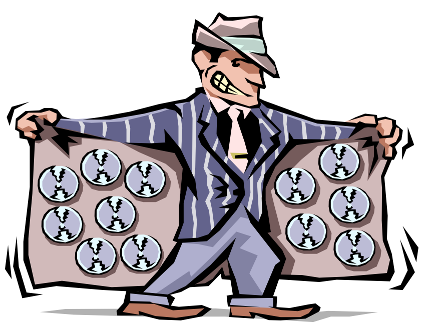


Characteristics of Stage 3

The motivation is to "get rid" of the opponent, not just win. Being right and punishing wrong become consuming goals.

The competing parties identify "insiders" and "outsiders". "You are either with me or against me!" Leaders emerge from the group to act as representatives. You equate your position as doing *"what's good for the organization!* **["I have to fire you for the good of the organization".]"**

Specific causes of the problem get lost in the emotion. Many newly recruited team members may not know the origins of the conflict.



TRUST IS NON-EXISTANT!!

Ways to Handle Stage Three Conflict

- An outside intervention agent or team (a neutral person or department) is required as a mediator so neither side feels this third party favors the other.
- Details are critical to a thorough understanding of the situation by the mediator.
- You must allow sufficient time to get a true picture of both sides of the case.
- The mediator can ask each side to present their case (without comment from the other) and identify the results they would like to achieve in this process.
- The mediator puts the responsibility on the two teams to find areas of common agreement or trade in search for an agreement.
- Not every participant on both teams may be at Stage 3. Try to break off members at lower stages and redirect their energies away from this situation.

WARNING!!

Successful resolution at this level frequently means that something or someone must go! Do not be surprised if that is the "price" for a team to grant concessions.

CONFLICT ASSESSMENT CHECKLISTS

Stage One Conflict		YES	NO
Are the individuals willing to meet and discuss facts?			
Is there a sense of optimism?			
Is there a cooperative spirit?			
Does a “live and let live” attitude typify the atmosphere?			
Can participants discuss issues without involving personalities?			
Can the participants remain in the present tense?			
Is the language specific?			
Do solutions dominate the efforts?			
What else?			
Stage Two Conflict		YES	NO
Is there a competitive attitude?			
Is there an emphasis on winners and losers?			
Is it hard to talk about problems without including people?			
Is the language in generalities?			
Can you identify these statements in their conversations:	“They…”		
	“Everyone is…”		
	“You always (or never)…”		
	“He always (or never)…”		
Is there a cautious nature when issues are discussed?			
Can you detect a “CYA” attitude among participants?			
Does either party make an effort to “look good” or play a political game?			
Stage Three Conflict		YES	NO
Are attempts being made to get rid of others?			
Is there an intention to hurt someone?			
Have obvious leaders or spokespersons emerged?			
Is there a choosing of sides?			
Has corporate good become identified with a set of special interests?			
Is there a sense of ‘holy mission” on the part of certain participants?			
Is there a sense that things will never stop?			
Has there been a loss of middle ground allowing only “right or wrong”, “either / or”, or “totally black and white” options?			
WHAT ELSE?			

PERSONAL CAUSES FOR EMPLOYEE CONFLICT

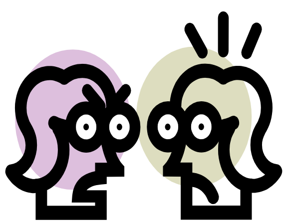
(These are excellent topics for discussion within a department if there seems to be some conflict and the leader wants to stimulate some discussion about it.)

Differences in Values

What are some reasons why employees within a department may have different values?

(There could be differences in age, backgrounds, economic conditions, education, and work ethics. Remember, different <u>does not</u> mean better or worse!)

Assumptions



"I thought you were going to finish that project for me! Now you've made me miss the deadline!"

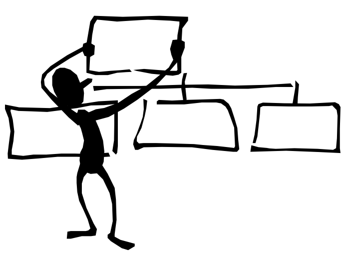
(What assumptions have you made recently that did or could have led to problems?)

Competing For Scarce Resources

"Fred and I are both competing for the promotion. I wonder how we'll get along after one of us doesn't get it!"

(People compete for scarce resources such as time with the boss, access to a copier or printer, parking spots, or anything of perceived value.)

The Inability to Handle Change



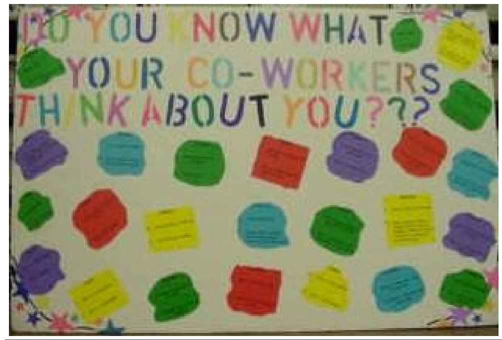
"I'm not doing the work on that new machine! I've done just fine doing it by hand for the past 20 years!"

(What conflicts have you ever had when someone –or you – has been resistant to change?)

How could you use an example like this to reduce conflict in your department?

……

(From a department manager in a bank operations division)
"I provided every employee with a piece of paper that listed a co-worker's name and told them to list <u>two positive characteristics</u> about that employee on the paper.



The sign says, *"Do You Know What Your Co-workers Think About You?"*

Then we collected all the papers and I read each person's name and the positive characteristics in front of everyone at the meeting.

We also worked with a department employee to create a poster board that said*, "Do You Know What Your Co-Workers Think about You?"*

That poster also listed everyone's name and what their teammates had said about them. Comments were like*, "Angela has a nice smile". "Mary always has time to help others."*

I can think of five people who would have never volunteered to do extra duties in the department that have recently approached their supervisor asking if there were extra duties needing attention.
In addition, I have noticed some simple things such as a few employees that have had past bad attitudes that are actually smiling at work!"

ENVIRONMENTAL CAUSES FOR EMPLOYEE CONFLICT

Stress from Vague Expectations, Directions, and Procedures

What is the difference between “work pressure” and “stress”?

(Think back to when you did reports for a teacher in school. When you *clearly knew the expectations*, you were able to work confidently even though you were under pressure to complete it. But, when it was turned in, you were relieved and could forget about it *because you knew you met the expectations.* This situation would be **work pressure**.

However, *when you were not sure of the expectations*, you constantly worried whether you were doing it correctly. When you finally turned it in, *the worry probably stayed because you were not sure whether it was correct*. This inability to have confidence in your performance or to get closure when you finished is an example of **work stress**.)

Examples of **PRESSURE** in your work place	Examples of **STRESS** in your work place

How can measurable goals using references to **quality, quantity, and time** reduce stress in your personal and work life?

What would goals like that do for your self-confidence? Why?

What would that do for your work performance? Why?

REASONS WHY EMPLOYEES MAY TRY TO AVOID RESOLVING CONFLICT

ACTION ANXIETY

"If I do something, I could get in trouble. I'll play it safe and do nothing."

NEGATIVE FANTASIES

The fear of something-terrible happening is usually much worse than the actual conflict itself. A person may "worst-case" himself or herself into inactivity.

REAL RISK

There is a real risk that the other person may get violent or abuse his/her power to cause problems for me.

FEAR OF SEPARATION

A fear that "you won't like me" if I stand up for my position

FEAR OF CONFLICT

If you never saw *constructive* conflict as a child growing up, you have never learned how to manage it and may fear that *any* conflict *always* results in physical and/or emotional abuse.

The Basic Steps to Minimize Conflict

Here are some basic steps to keep in mind when you are attempting to minimize conflict between co-workers.

- Both parties must be aware there is a conflict and admit the situation could be better!
- They must be willing to focus on ***facts and behaviors***, not ***opinions and feelings***.
- They must be willing to ***identify and share their real needs*** and objectives.
- You, as the facilitator trying to find a resolution, must encourage them to "trade" positions or interests with each other but **never ask them to concede something**. "Concede" implies that someone is giving in to the other while "trading" implies the items have value to each person and, therefore, no one ends up in a perceived lesser position.
- They must ***search for commonalties*** instead of focusing on differences. ("What can you agree on first before we talk about the differences?")
- They must agree that being ***different in beliefs*** does not mean being right, wrong, better, or worse.
- They must be willing to look for alternate or unconventional solutions that will meet the needs of both parties. Focus on the outcome, not on how you get there. As long as it's legal and ethical, there should not be much resistance if they are really interested in settling the issue.
- They must keep any commitments they made as part of the agreement process.

Strategies for Handling Conflict

The "COMPETITOR "Style

"I win and you lose!"

Usually the winner is the one with the greatest power (the boss). "Do it this way because I'm the boss!"

ADVANTAGES	DISADVANTAGES
Some immediate action is taken.	Employees never learn to make decisions – always wait for the boss.
Problems can be handled quickly – especially in an emergency.	Problems receive little attention absent an emergency unless the boss is standing over the employees.
No ***overt*** arguments.	Employees grumble to each other and may sabotage work or equipment.
Things get done!	Employees withhold information from boss and celebrate when things go wrong.

The "ACCOMODATOR "Style

"You win and I lose!"

A person is more concerned about preserving the relationship than trying to clarify and resolve issues.

ADVANTAGES	**DISADVANTAGES**
Apparent good will and harmony. Little ***outward*** conflict.	Increased ***internal*** resentment by the one who accommodates because his/her needs are not being met.
May be effective when an issue is more important to one than the other.	May create an unintentional expectation in the other assuming you will always accommodate. Conflict is not actually resolved and may worsen.

The "AVOIDER "Style

"I don't want to talk about it!"
A person fears damage to the relationship or facing unpleasant consequences if they confront the issue.

ADVANTAGES	DISADVANTAGES
May initially feel more comfortable to both sides.	Low situational satisfaction on the part of the people involved.
You can avoid personal involvement.	No opportunity to <u>learn</u> how to handle conflicts.
Reduces loud and disruptive fights.	Necessary decisions are not made in a timely fashion.
At times, it may be wise to avoid a confrontation (highly charged emotions, drugs, alcohol, etc.)	The conflict usually gets worse and may explode at an inappropriate time and place.

The "COLLABORATOR "Style

"We work together to attack *the problem, not each other!"*!"

Identifies what each needs and wants. Then focus on each side getting essential needs and willing to give up wants for sake of agreement.

ADVANTAGES	DISADVANTAGES
Real, not just apparent, good will and harmony.	Time consuming to identify individual needs and wants.
Little ***outward*** or ***inward*** conflict remains.	Requires trust between each participant or a 3rd party that each trusts.
Both sides retain self-respect and strengthen their relationship.	Neither has the satisfaction of a "complete victory".
Solution is likely to last longer and require less "maintenance".	Must be willing to face some level of conflict while keeping eyes on the ultimate goal of a mutually acceptable outcome.

Counseling Employees On Work Performance Issues

Separating the Person's Behavior from their Nature

List here some things that ***someone (not an employee) you care for very much*** has done which bothers you:

If what they did bothers you, how can you still care for them?

How can this situation you have described above apply to your employees?

What behavior of one of your employees bothers you? Why does it bother you?

Why People Do Not Always Do What They Are Told

The Reason….	**How you can tell if this is the reason….**	**What you can do about it.**
They just <u>did not know</u> that was expected.	Say, “Please help me understand why you are not doing X” and listen to their answer.	Clarify your expectations in a *quality, quantity, and time* format. Develop <u>a comprehensive departmental orientation program.</u> (We will talk more about this later in this course.)
They <u>do know what is expected</u> but something is keeping them from doing it.	Say, “Please help me understand why you are not doing X” and listen to their answer.	Remove the obstacle. Review the flow chart you will find later in this module to identify any other possible causes of the problem.
They <u>do know what is expected</u> but do not care to do it.	Say, “Please help me understand why you are not doing X” and listen to their answer.	Initiate disciplinary procedures appropriate to the situation. (We will talk more about this later in the course.)
They do not know why they do what they do.	Say, “Please help me understand why you are not doing X” and listen to their answer.	Call Human Resources. Maybe they need help from a professional counseling resource.

Reason #1

They just did not know that was expected.

Review the job description for that employee's job and make sure it contains specifics about what is required for different performance levels. Make sure elements of ***quality, quantity¸and time*** are present. (Go back and review the Leadership Fundamentals course topic called "Goal Setting".)

Then meet with the employee to review the job description and make sure they can explain to you what they think is required in their job. (You would want to hear it from them, in their own words, to make sure they do understand the expectations.)

Learn how to design an effective training program for new hires. (***This author can provide aguideline on designing an effective training program. Contact him through the owner of this website.)*** This way, you will have a high degree of confidence that every new employee hears the same information and can achieve full productivity as quickly as possible.

This is what a class like that can teach your departmental orientation/training person:

- Provide new hires with a ***clear understanding*** (based upon measurables) of what the employer expects of them and what they can expect from the employer.

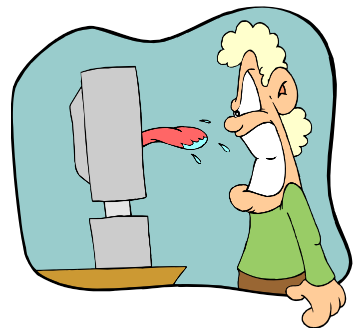
- Provide a method to *document objectively through testing* whether the new hire understands what is expected.

- Provide a method to *measure objectively* whether the new hire is making satisfactory performance progress so that termination, if necessary, could be supported by the ORPman.

- Provide your department's trainer with a *systematic, objective, and fair process* to meld new people smoothly into a fully functioning department with a high degree of confidence.

Reason #2

Something That Management Controls is Preventing It



How does this statement credited to Albert Einstein, *"You cannot do things the way you always have and expect different results"* apply to getting people to change performance?

Can you recall trying to do something the same way over and over and expecting different results? How does this situation apply to your workplace or your personal life?

Einstein would have asked, "**What may have led your employee to the wrong performance?"** because he *knew that outcomes flow from inputs.* (This section is based upon *Analyzing Performance Problems*[1] and *Why Employees Don't Do What They're Supposed To Do*[2])

You cannot begin to coach for a **change in behavior** without first addressing the **CAUSE OF THE PROBLEM**. Otherwise, the problem will never be resolved!

REMEMBER, YOU MUST *DO SOMETHING DIFFERENTLY* IF YOU WANT A DIFFERENT OUTCOME!

[1] Analyzing Performance Problems or *You Really Oughta Wanna*, Mager and Pipe, 3rd Edition, 1997
[2] Why Employees Don't Do What They're Supposed To Do *and What To Do About It*, Fournies, 1988

Performance Problem Flowchart

This flowchart will prove to you that 90% of the reasons for employee performance problems have their roots in systems controlled by management. Work your way through these ten steps and you will see what we mean.

Before you begin
Ask yourself, "Is this issue worth pursuing?"

Question: How do you know if it is worth pursuing?"

(If it interferes with work, it is worth pursuing! If it is only a nuisance or aggravation, but does not interfere with work, it may be best to leave it alone.)

If it is worth pursuing, go to STEP #1. If not, you are done!

Remember, you can stop anytime the problem is ***"sufficiently solved."*** (This means it is not worth the time, effort, or expense to "fix it better".)

STEP #1
Ask yourself, "Are my expectations clear?"

Question: What do you ask your employee here?

(I want to make sure I did a good job of explaining. Please tell me what you think I expect you to do.)

If clear, go on to the next step. If not, CLARIFT THEM USING TERMS OF <u>QUALITY, QUANTITY, and TIME</u>.

STEP #2
Ask yourself, "Are the resources adequate?"

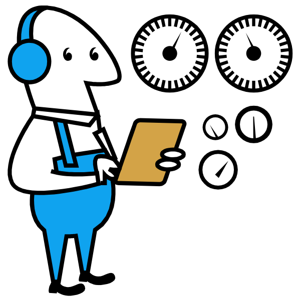
Question: What do you ask your employee here?

(Do you have everything you need to do what I expect?)

If you are satisfied they are adequate, go on to the next step.

If not, what should you do?

STEP #3
Ask yourself, "Do they get fast and frequent feedback on their performance?"



Question: What do you ask your employee here?

(*How do you know how you are doing?)*

If you are satisfied they get fast and frequent performance feedback, go on to the next step. If not, what should you do?

STEP #4

Ask yourself, "Does the desired performance seem punishing?" (Hint: What do you usually do if they finish early and **others have not finished yet?)**

Question: What do you ask your employee (or yourself about the situation) here?

(If their "reward" for finishing early is you give them the work the slower people have not finished, you will soon have <u>no one</u> finishing early. You must praise the ones who finish early, let them know you documented their file that they finished ahead of the others, and ask if they will help the slower ones. This way they do not feel the slackers are getting away with anything)

If it does, what should you do?

If not, go on to the next step.

STEP #5
Ask yourself, "Is poor performance rewarded somehow?" (Hint: What do you usually do if **they have not finished yet** but others have?)

Question:
What do you ask your employee (or yourself about the situation) here?

(This is the opposite of above. If they are behind, let them know you documented their file that they were behind and you asked a faster worker to help pick up their slack.

This way, they realize they are not getting away with anything.)

If this could be happening, what should you do?

If it isn't happening, go on to the next step.

STEP #6
Ask yourself, "Is there any penalty for not doing it right?"

Question: What do you ask your employee (or yourself about the situation) here?

("Is there any penalty for not doing it right?" If there were no penalty, why would they stop doing it?)

If there are clear penalties, go on to the next step.

If not, what should you do?

STEP #7

Ask yourself, "Is their non-performance a genuine skill deficiency?"

Question:
What do you ask your employee (or yourself about the situation) here?

(Can they <u>not</u> do it or can they do it but just do not want to?)

If so, go on to the next step.

If not sure, ask yourself this.

Question:

Have they ever done this in the past?

(If so, give them practice to refresh their skills)
If not, continue to the next step.

STEP #8
Ask yourself, "Can the task be made easier?"

Question:
What do you ask your employee here?

(Can you think of any easier way you can do this?)

If it can be made easier, do it.

If not, go to the next step.

STEP #9
Ask yourself, "Are there any other obstacles keeping you from meeting our performance expectations of you?"

Question:
What do you ask your employee here?

("Can you think of anything keeping you from doing this?")

If there are, remove them.

If not, go to the next step.

STEP #10

Ask yourself, "Does the person have the desire to change?"

Question: What do you ask your employee here?

(Do you have any plans to change your behavior?)

If they are willing to change their behavior, train them to the desired skill level!

If they are not willing to change their behavior, then **REPLACE THEM!**

Have you noticed that every step, except #10, is a factor controlled by management?

This means there is a 90% probability that an employee's performance problem is caused by something controlled by management! Look there first with performance issues to save yourself some embarrassment later.

Reason #3

They DO KNOW what is expected but do not care to do it!

Stay calm! Do NOT let your emotions bury your objectivity and **possibly your career!** This is a general guideline toward your eventual goal which is ***objective documentation of the situation that would satisfy the "ORPman"***.

"Who is the ORPman (or ORPwoman)?", you ask.

This is the hypothetical **O**rdinary, **R**easonable, **P**rudent man or woman who *did not witness the event in which you were involved but would be making a decison about your behavior*.

He or she could be the Human Resources representative in your organization who reads a disciplinary report you wrote about an employee and must judge if you handled it in a way that an "ordinary, reasonable, and prudent" person would expect. Or did you act like a bully and intimidate them? Were your actions discriminatory or reasonable? Are you acting in good faith or do you have a private agenda?

He or she could also be an auditor reviewing some of your documents. Maybe an official from the government investigating a complaint. Regardless of who employs them or what they are investigating, your documentation must focus on objective behaviors, not subjective opinions.

What danger does the "ORP-person" hold for a leader who is unable to separate the objective description of behavior from any subjective impression he may have?

What could be wrong with this statement from the ORPman's viewpoint: **"He just doesn't take pride in his work!"**

Some questions the ORPperson could ask are:

1. *What do you mean by "pride?" How do you know it is not there?*
2. *Can you show me his job description where it specifies employees must "take pride in their work?"*
3. *How many other employees have you disciplined for lack of "pride in their work?"*
4. *Please define "pride in work" for me. Can you show me when you communicated that definition to the employee?*

Instead of using the *subjective opinion* that the employee does not take pride in his work, <u>focus on observed behaviors that would lead a reasonable person to that same opinion.</u>

For example, you could say things like this:

1. **"His report had six errors"**. *(You could show the ORPman what the correct data is and allow him to compare it to the report the employee did. The ORPman will agree that the data is wrong.)*

2. **"His report was late"**. *(You can show the date stamp when the report was received and any documentation that would show when it was due. The ORPman would agree that the employee failed to meet the deadline.)*

3. **"His report did not follow the required format"**. *(Show the ORPman the expected report format and copies of when the employee did it correctly in the past.)*

All of these are objective (factual) examples of the behavior of the employee. It will be evident to the ORPman that your complaint against the employee is based on factual evidence: not personal feelings.

If you are compelled to comment on the 'pride-in-work' issue, you could say, *"based on these factors* (the three listed above)*, it is evident that John does not take pride in his work".* This way, your opinion is based on <u>objective behavior</u> and the ORPman would probably agree with you.

You can prepare to face the ORPperson's possible questions if you put yourself in his/her place and ask yourself questions like this mentally as you progress through the situation:

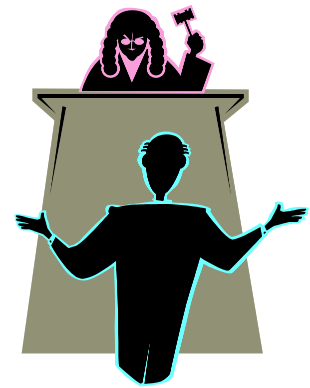
"How do you, the Supervisor, know for certain the employee knew what he/she was expected to do?"

Suppose the cousin of that employee you wanted to terminate happened to be the most tenacious and flamboyant lawyer you could imagine. Think about what questions their cousin would ask and how you would answer in these situations. Here are some typical situations and suggested documentation.

REASON FOR TERMINATION	**PROBABLE QUESTIONS FROM THE LAWYER**	**YOUR ANSWERS SHOULD BE SOMETHING LIKE THIS**
Excessive Tardiness	1. How do you know she knew when to report? 2. How much is "excessive"? 3. What accommodations are you willing to make so she is not tardy? 4. Why are you picking on her?	1. Here is a copy of the Orientation sheet we gave her when she started working. It has her name, date, job expectations including work schedule *with her signature at the bottom.* 2. Our policy defines "excessive" as more than 40 minutes within any four-week rolling period. This was included in her orientation. *3.* We are not willing to make accommodations. Here is a copy of the work schedule she signed when she was hired just under the line that says, *"I will be able to meet this work schedule".* 4. We are not picking on her. Here are the time cards of all the other employees in the department for the same time. No one else has been tardy.
Failure to produce on the job	1. How do you know she could do the job? 2. How is she supposed to know how many you expect her to make? 3. How can she know she is running behind? 4. Why are you picking on her?	1. Here is a copy of the new hire-training program she completed and her test scores. When she completed training, she was producing at or above the expected level. *2.* This is the goal-setting worksheet that she and her leader prepared for this quarter. There is her signature below the statement that says, *"I agree to these standards for this quarter."* 3. The machine produces a daily report for the operator at the end of the shift. These are the reports she sent with production amounts below her goals for this period. 4. These are the production sheets for the other employees. They all are meeting their goals. Even these two employees who have not been here as long as she has.

The fundamental lesson we are teaching is to develop objective documentation of your employee treatment practices so the ORPman never thinks your disciplinary actions are due to personal conflicts!

Two Broad Reasons for Discharge



> "These examples are provided to help you understand general concepts of proper employee counseling. If an actual counseling situation arises which you feel could lead to termination, contact your Human Resources Department as quickly as possible for guidance."

What questions do you think the ORPman would have if you want to fire someone for ***"Lack of Ability"*** and "***For Behavior"?***

1. Issues for "Discharge for Lack of Ability"

- How did you determine *objectively* that the employee lacked the required ability?
- What warnings did you give the employee that they were not meeting your expectations?
- How can you prove that other employees were able to meet your expectations when they were in this employee's situation? (As a new hire, new promotion, working on new equipment, etc.)
- How can you prove that you gave this person a fair chance to perform at expected standards?

2. Issues for "Discharge for Cause"

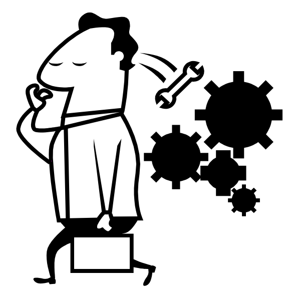
- How did you determine *objectively* that the employee *can meet* the requirements but does not?
- How do you know it was *willful disregard* of policies and not just ignorance?
- How do you know it was *insubordination* and not just a typical behavior?
- How do you know it is lack of interest and not just lack of ability? (They can do the job but just don't!) Hint: If you can document they met your standards *at least once*, you will have proof they can do it!

Tips on successful employee counseling strategies

Focus on a "helping" rather than a punishing approach to a counseling situation. *("If you will help me understand why you are doing this, perhaps I can help you do the things we are paying you to do.")*

Focus on the behavior that could be *seen on a security camera without sound* because that behavior will interest the ORPman. ("Seen without sound" only conveys behavior that you want to focus on. 'Sound' can lead to subjective opinion such as, "He had a rude tone". Unless you can define 'rude' to the satisfaction of the ORPman, you are risking being seen as allowing personal feelings to enter the situation.

You could define rude behavior using objective observations first: *"He kept interrupting the customer; walked away while the customer was still talking; and shook his fist in the customer's face. That kind of rude behavior will not be tolerated."* All of that could be seen – but not heard – on a security camera.)



Voice tone or emotions that may not appear on the video will be less relevant to the ORPman**. Why?**

Use words in describing the situation that will reduce the probability of the employee becoming defensive. **"We have a problem here…"** is better than **"You have a problem!"** Remember, if the employee is not meeting expectations, that is your problem, too!

Here are common employee-relations topics that can cause problems if the department's management and employees do not fully understand them:

Tardiness policy (How late and how often?), ***Attendance policy*****,** ***FMLA (Family Medical Leave Act)*** *, and* ***The Employee Assistance Plan*** *(if you have one)*

Does every supervisor in your department understand these topics? Can each of them explain them clearly? How do you know?

Get the employee to confirm there is a problem by asking them to describe what they are paid to do and comparing that to what they have been actually doing. (Getting them to confirm they do know what they are paid to do is essential to effective counseling. You will not get them to change behavior if they do not admit there is a reason to change!)

You: *"What is the department's standard for doing that work?"*

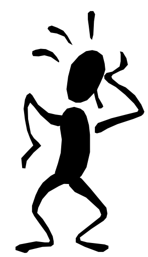
Employee: *"It is X items per hour at Y quality level."*

You: *"And what quality level have you been reaching tonight?"*

Employee: *"According to the report, I've been at 90% of Y".*

You: *"So if you know that we pay you to achieve Y quality and you are at 90% of Y, what do you plan to do about it?"*

Employee: (WHAT ARE SOME OF THE THINGS THE EMPLOYEE MAY SAY NEXT?)



If the employee comes up with a reasonable plan for improvement, make sure you ask them, *"How can I help you be successful with your plan?"*

Why is it important for you to say that? (It reinforces the position that they are paid to do the work. The leader can help to remove obstacles but the employee is responsible for meeting the expectations for which they are being paid.)

If the employee says, *"I guess I'll have to try harder"*, what would you answer? (Hint: "*How do you define "try harder?"* Ask them for specific behaviors such as working faster, coming in on time, starting sooner, setting the machine speed higher, talk less with coworkers, and spending less time hanging around the coffee pot.)

Explain "what's-in-it-for-them" as the first reason to do what you require, not *just "It's policy", "It's the rules", or "Because I'm the boss and you're not!"* *("You know, the more times you meet your production goals, the better your chances of getting off probation!"* Or getting the time off they wanted.

Make sure they understand there is a direct and consistent connection between their productivity and praise or punishment. They control what they receive by their productivity. You can always fall back *on "That's what we pay you to do!"* as a last resort if the W-I-I-F-T approach does not work.)

Do a role reversal asking them to look at the situation from your point of view. *"Suppose you were the supervisor and had an employee tell you they knew they were not working at acceptable levels; what would you do?"*
The employee may come up with a solution or take a less confrontational position.

YOU ARE PENALIZING YOUR BEST PEOPLE WHEN YOU CHOOSE TO IGNORE EMPLOYEES WHO REFUSE TO DO THEIR JOBS! Why?
(Hint: Who will you expect to pick up the work the slackers don't do?)

If problems with 20% of your employees take 80% of your time, how can you spend any time with your "top performers", the people upon whom you depend for your success?

If you find yourself in this situation, (20% of the employees getting 80% of your attention), you must:

- Make sure every part of the employee's job expectations involves measurements and the employees know what they are
- Strengthen your counseling skills
- Make it clear that staying employed here is *their choice!*
- They will either meet your objective requirements (detailed in measurements) and stay or will not meet them and give their job back so you can offer it to someone who wants it.
- Be willing to enforce your own rules!
- Be willing to risk being "not popular" with the employees who are causing you the most problems. (Question: Why would you expect to be popular with the employees who are causing you problems? If they liked you, they would not cause you problems!)

Developing An Effective Work Team

WHAT IS A "TEAM?"

What do <u>individuals</u> need?

What are some of the traits of the best group with whom you ever worked? (Paid or volunteer does not matter. How were you treated? How did you act with each other?)

- ____
- ____
- ____

What impact did that treatment have on you and your work?

Impact on you?	Impact on your work – quality and quantity?

"Why would we ask these two questions at this point in talking about effective work teams?"

(The good memories we have of past teams help us know what to look for with future or current teams.)

Preparation for Effective Work Team Development

Effective work teams do not just happen miraculously; they are the result of careful planning and preparation. Even if you do plan and prepare carefully, there is no guarantee they will develop or last. However, there **is a guarantee** that if you do not plan and prepare carefully, you will never achieve it!

We will cover these preparation areas in this course:

PREPARING THE WORK ENVIRONMENT

PREPARING YOU – THEIR LEADER

PREPARING THE TEAM MEMBERS

Degrees of Team Development

Low level of teamwork ⟷ **High level of teamwork**

Where would you put your current work team along this line?

Manager makes all decisions and tells employees what, how, and when to do the assignment.

Manager seeks employee input as much as possible for decision-making and plan implementation.

Preparing the Work Environment

Use this as a checklist to prepare your department to **work as an effective team.** (You cannot build a successful work team until this foundation has been completed.)

1. Identify your Department's purpose (some call it a "Mission Statement") that clearly explains what your department, *as a whole,* is supposed to do.

   (The Document Management department on a project's may be*, "Our purpose is to make it easy for our users to find, sign for, and return the project documents they need with as little wasted effort as possible".)*

Write your department's mission statement here in 15 words or less.

2. Each employee in your department has clearly defined job tasks with defined performance levels. *("This is what performance levels of 1.0, 2.0, 3.0, 4.0, and 5.0 look like including terms of quality, quantity, and time.")*

3. You are certain that every leader at every level in your department demonstrates daily:
   a. The skills taught in our *Leadership Fundamentals* course
   b. Practice of the "Report Card" model of work performance assessment.

4. Make sure your department *<u>does not have</u>*:
    a. A lack of delegation but a lot of "rubber stamping" where the leader closely monitors everything each employee does and has to put a "stamp of approval" on everything they do – even the most trivial activity.
    b. Jobs that are so precisely defined that there is little or no chance for creativity, innovation, or decision-making by the employee.
    c. A long chain of command with many layers of management requiring multiple approvals for nearly everything.
    d. Little emphasis on employee training and development at all levels.

Preparing You – Their Leader

1. Make sure all new people have completed a ***measurable and documented*** orientation and basic training program to help them become as effective as possible in their new job within your department. (Do you remember the ORPman's questions? The author of this course can help you develop an effective program customized for your organization. Contact him through this website.)

2. Make sure you have had this communication with each of your employees (direct reports to you):
    a. You can identify at least <u>two work-related strengths</u> and <u>performance improvement needs</u> of each of your employees and have communicated that to them.

    b. You can identify at least <u>three non-budgetary rewards</u> that could have value for each of your employees. (The easiest way to find out is to ask them, *"What are the top two or three things I could give to you – that are within my ability – as rewards that would be meaningful?"* You may get such low-cost answers as leave early one day, recognition when I do good things, a chance to learn some new things, or a chance for some professional development.)

c. You and each of them are in ***regular*** (you set a schedule for review) agreement on the priority (rank order) of **the top three things they are paid to do**. (This is important because things come up in daily work life as temporary situations that have a way of becoming permanent. Checking with them on a regular basis will help you and them stay aligned on the current priorities.)

3. You have **identified potential team leaders** and identified additional training or experience opportunities that should help them in their development.

4. You have identified to your satisfaction the limits of authority and responsibility you would be willing to shift from you to your direct reports and their work teams.

5. You have had discussions with your potential team leaders to help them see the world through your eyes. (Suppose you have an employee who is tardy often. Ask your team leaders how they would deal with the situation. Give them feedback on their responses so they begin to see the situation from a higher perspective.)

6. You have developed a **"Team Code of Conduct"** in conjunction with your potential team leaders that will be observed when you begin the creation of work teams. (Work with your employees to develop and post 'The (dept. name) Code of Conduct'.

   Ask them**, "How do we want to treat each other as a way to become an effective team and a place where we want to come to work?"**
   You will probably get answers like:

   - *Do not gossip.*
   - *Offer to help someone else when you have finished.*
   - *Do not be a slacker. Pull your share of the load.*
   - *Be reliable so people can count on you.*
   - *Ask for help if you need it. We are all in this together.*
   - *Share your knowledge. None of us is as smart as all of us!*

   If you post this prominently in the department so new hires can see it, and existing members are reminded, you will have established a social code that will go a long way to guiding behavior and require very little intervention by the leader. Using this, the leader can say to a tardy employee, *"Being late makes it hard for the others to count on you".* This is much less confrontational – and just as effective – than being scolded by the department supervisor.

Preparing the Team Members

Make sure that as many team members as possible receive training in skills like these (as a minimum):

- **Communication -** oral and written (Better communications skills will make it easier to work with each other, their leaders, and their customers.)
- **Problem Solving With Employees** (Part of this course)
- **Conducting Effective Meetings** (Teaching them how to conduct effective meetings and then allowing them to take turns leading departmental meetings is a great way to develop their confidence and skills, take some work load off their leader; and spot future talent.)
- **Any kind of training** to help them increase their value to the organization.

A Strategic Planning Model for Work Teams

This outline can help a department develop their strategy with maximum employee participation.

....

This example is an auto license department trying to come up with a way to improve the way they issue tags.

Writing the purpose of this project at the top helps participants stay focused.

"CHANGING THE WAY WE ISSUE AUTO LICENSE TAGS"

(An explanation of each section follows this template.)

	Factors that will assure success		**Factors that will assure failure**
1	Communicate with all internal vendors and customers	A	Equipment does not work
2	Employee training on new equipment and procedures	B	No teamwork or support from internal vendors, customers or department employees
3	Public support	C	System problems
4	No problems with equipment	D	Creates problems – public complains
5	Production increases in same amount of time	E	

Tactics we can use to encourage success and avoid failure	**1**	**2**	**3**	**4**	**5**	**A**	**B**	**C**	**D**	**E**
Have informative meetings with all areas with minutes provided to all.	X	X	X				X			
Maximum employee input regarding practices, policies, training, and implementation.	X	X		X		X	X	X	X	
Conduct dry runs with "customers" from other departments		X	X	X	X	X	X	X	X	
Proper testing frequently	X	X		X		X			X	
Back-up plans if system fails				X		X		X		
Team development celebration & support activities	X	X		X	X	X	X	X		
(What else?)										

Factors that will assume success or failure -This section is to brainstorm and collect the *significant few* (verses the trivial many) factors that, <u>if they occur</u>, will spell success or failure for our project.

Tips to keep in mind here are:

- You <u>do not</u> need to have an equal number of failure and success factors
- You <u>do need</u> to make sure one group is numbered and the other with letters. It does not matter which is which. The reason will be evident soon.

SUCCESS AND FAILURE FACTORS DO NOT HAVE TO BE LISTED AS OPPOSITES IN EACH COLUMN.
"PUBLIC SUPPORT", SUCCESS FACTOR #3, DOES NOT HAVE TO BE REPEATED IN THE 'FAILURE' COLUMN AS <u>"NO</u> PUBLIC SUPPORT". ONE LISTING IS SUFFICIENT.

Tactics we can use to encourage…. are <u>broad</u> action ideas. They can be assigned to subcommittees for more detailing and action later in the process. Put an "X" in the column under each number or letter (the success or failure factors they represent) that the tactic addresses.

For example, the tactic "*Have informative meetings with all areas with minutes provided to all"* addresses success factors 1, 2, and 3 plus failure factor "B".

Continue adding tactics until all of the success and failure factors have been addressed sufficiently *<u>to get started safely</u>.* This tool will help you get off to a safe start by making sure you have not missed addressing and success or failure factors: just look in the column under each factor. If there is not an "X", it has been missed.

It is up to the team to determine whether they feel one tactic is sufficient for a safe start or they would feel safer with two or three more.

WORK SHEET: Use these templates in your department.

Factors that will assure success		**Factors that will assure failure**	
1		A	
2		B	
3		C	
4		D	
5		E	

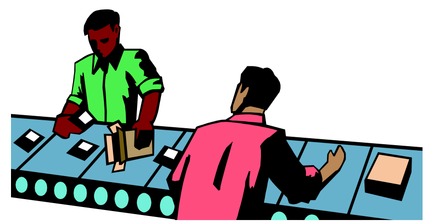
Tactics we can use to encourage success and avoid failure	1	2	3	4	5	A	B	C	D	E

PROBLEM SOLVING WITH EMPLOYEES

The ***greatest underutilized workflow-problem-solving resource*** available in an organization is a workforce that:

- Believes it has a stake in making things better (i.e., good morale because of high job satisfaction)
- Has been trained in spotting problems
- Is confident that management will listen to its findings

The production line employees are in the best position to understand the interrelated connections between events 'upstream' and 'downstream' from their workstations and work with each other to eliminate interferences because they see and touch the work daily.

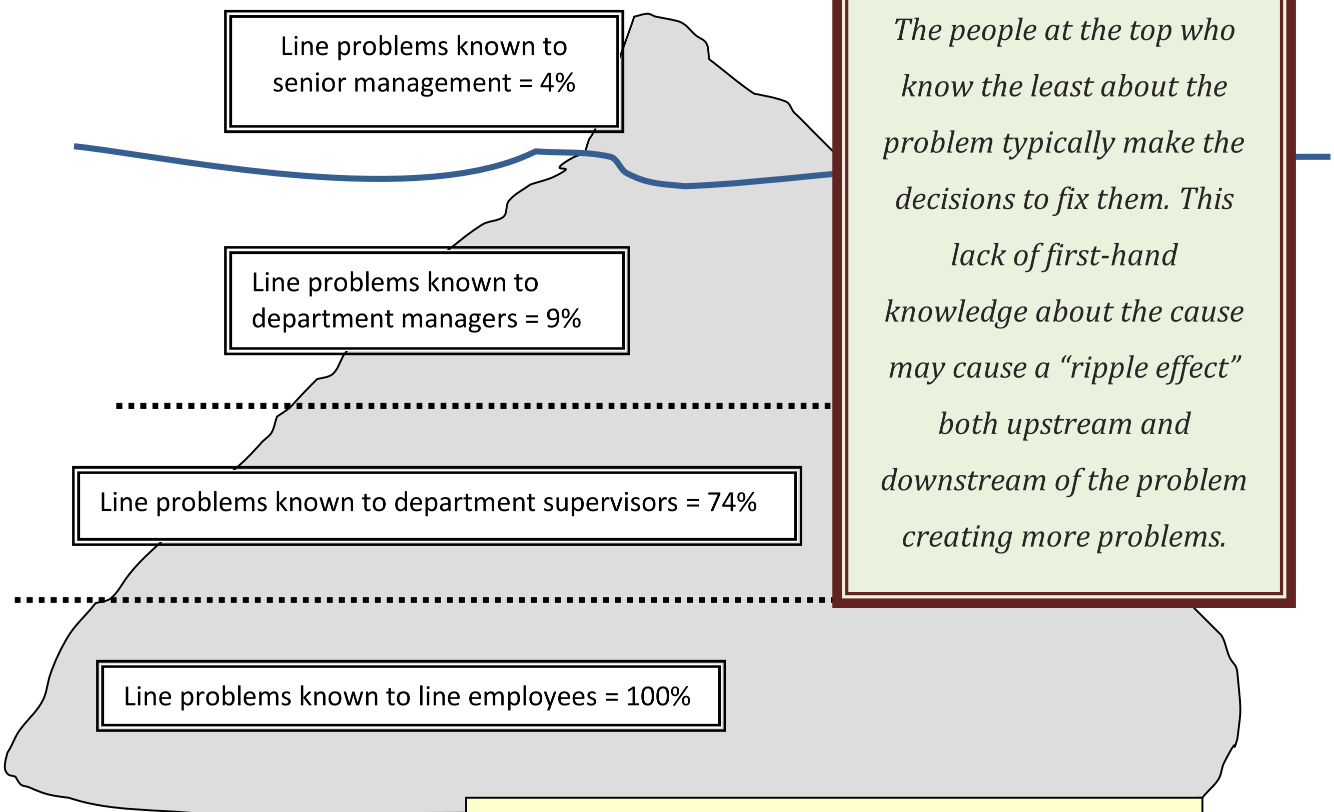


They are in the best position to notice when little things are beginning to buildup that can lead to problems with production. Then, depending on their relationship with their leaders, they can choose to speak up before things become critical or turn a blind eye to things until they 'blow up' and everything grinds to a halt. Then watch as the leaders run around in panic mode and become a source of entertainment for them.

The diagram on the next page will explain why. (We are defining 'line problems' as typical interferences that slow, disrupt, or cause rework with production lines.) Please note we do not mean that managers higher up the organization do not know what is going on, *it is not their jobs to know* as intimately as their direct supervisors should. What we do point out is that the "fix" for the perceived problem usually comes from far above the production line *without any input from the people closest to the problem.*

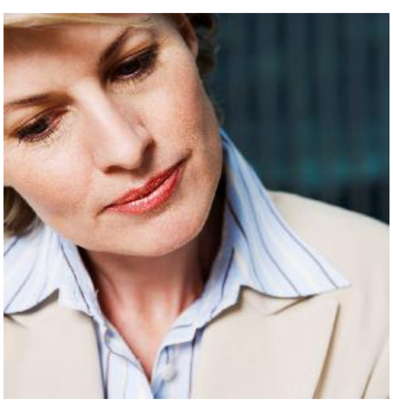
Since the line employees have nothing vested in the "fix", it is rarely as effective and long lasting as it could be.

The "Ignorance Iceberg"



The people at the top who know the least about the problem typically make the decisions to fix them. This lack of first-hand knowledge about the cause may cause a "ripple effect" both upstream and downstream of the problem creating more problems.

Adapted from "Quality Improvement and TQC Management at Calsonic in Japan and Overseas"
-Sydney Yoshida



Think about this……

- What developing problems exist today in your department that the manager may not know about?
- What keeps employees from speaking up and trying to do something about it?
- What could management do differently that would encourage line employees to get involved?

ADVANTAGES OF USING A VISIBLE PROCESS IN PROBLEM SOLVING

We feel there are significant advantages in using a visible problem solving process. We will describe a simple, yet very powerful one in this course.

- Problem solving in your mind does not let others help you by pointing out omissions, faulty assumptions, or errors.

- Visibility allows you to review what you have done so far and learn from mistakes.

- Writing it down allows you to stay focused on the whole problem, not just the part bothering you now.

- Part of your job as a leader is to help your people learn to solve problems by <u>doing it</u>: they cannot read your mind!

- A visible process makes it easy to involve the employees doing the work in the problem-solving process.

ISOLATING POTENTIAL CAUSES OF PROBLEMS

The causes for work problems will be for one of two reasons:

- They are “people related” meaning something is preventing the employee from meeting work expectations. Review the Performance Problem Flowchart on page 25 to see if this is the cause.

- They are “process related” meaning something about the nature of the work or way the work flows is causing interference. We will examine a simple method of analyzing the workflow called “fish boning”.

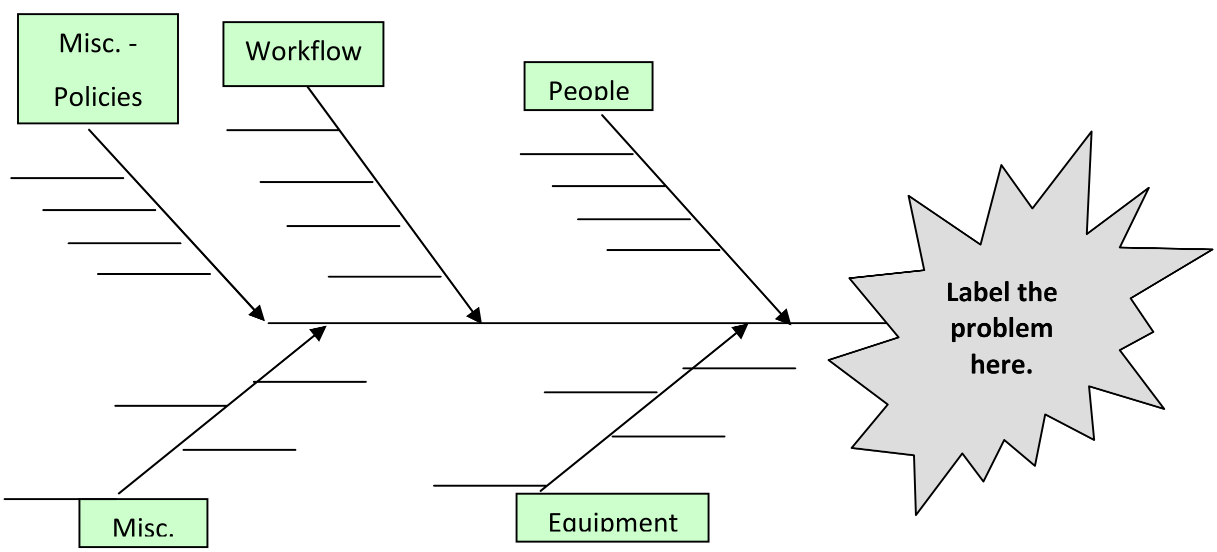
"FISHBONING"

This cause-effect analysis tool evolved from the Total Quality Management movement. Its usefulness comes from several factors:

- It can collect and organize input from a group with ease
- It helps those unfamiliar with a process understand the "big picture"
- It makes it easy to focus attention on isolated segments
- It can be as simple or as complex as the situation requires (and the participants can comprehend).

Draw a fish bone diagram (see below) where you identify all upstream elements that result in the product (or situation) containing the problem. Do not try to guess at this stage whether they may actually have an impact (such as couriers in our example). You are just trying to include every element to start with; we will decide later if they really have an impact.

Group the elements into broad generic categories involved in the process being examined such as "people', "equipment", and "miscellaneous". *You may have multiple miscellaneous categories but avoid the temptation of being too detailed in this initial stage.*



Work process problems are rarely tied to a single event or segment of the workflow. ***Usually problems result from an accumulation of little things***.

Much like an increase of barnacles on the hull of a ship slows its movement; a collection of small interferences along a workflow can slow or disrupt a process.

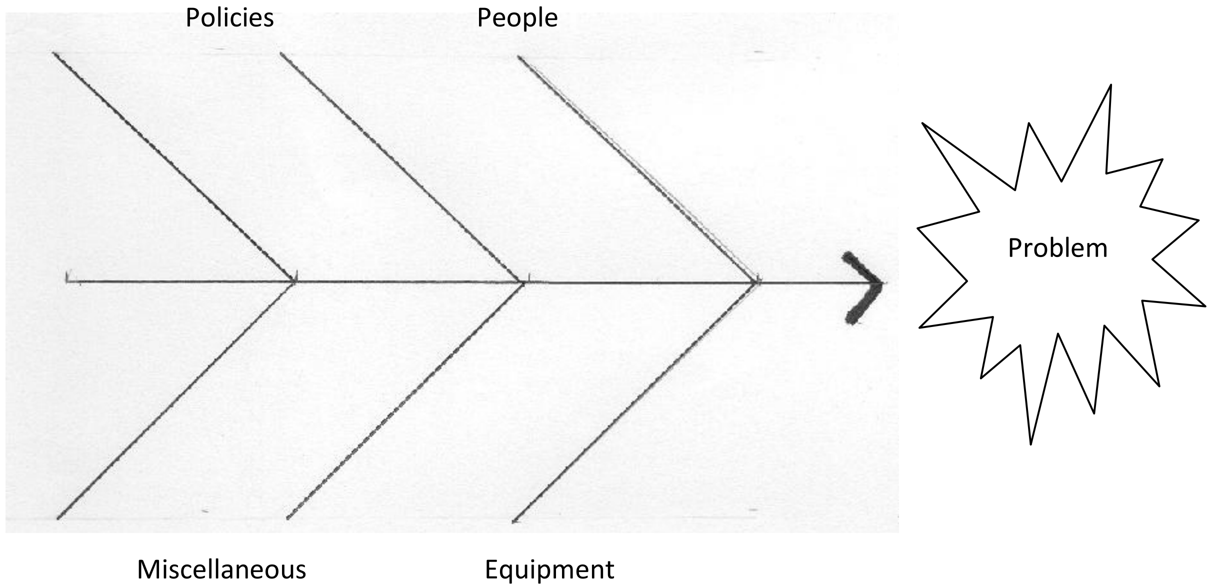
We will work through a situation using a large, commercial bank as an example. Since all of us write checks to some extent, this will be a good common reference. Before we start, a little background information is needed to understand the financial items processing scenario.

Automated machines sort and track thousands of checks daily as documents flow to the processing centers from the branches. The speed of the processing flow is tied directly to the sorters' ability to read each document electronically. The more items the sorter can read mean lower employee costs.

If documents are wrinkled, put in backwards or upside-down, data is smudged; or gem clips and rubber bands are included with the documents, the efficiency of the machines is lost. The sorter rejects that item and a person must handle it.

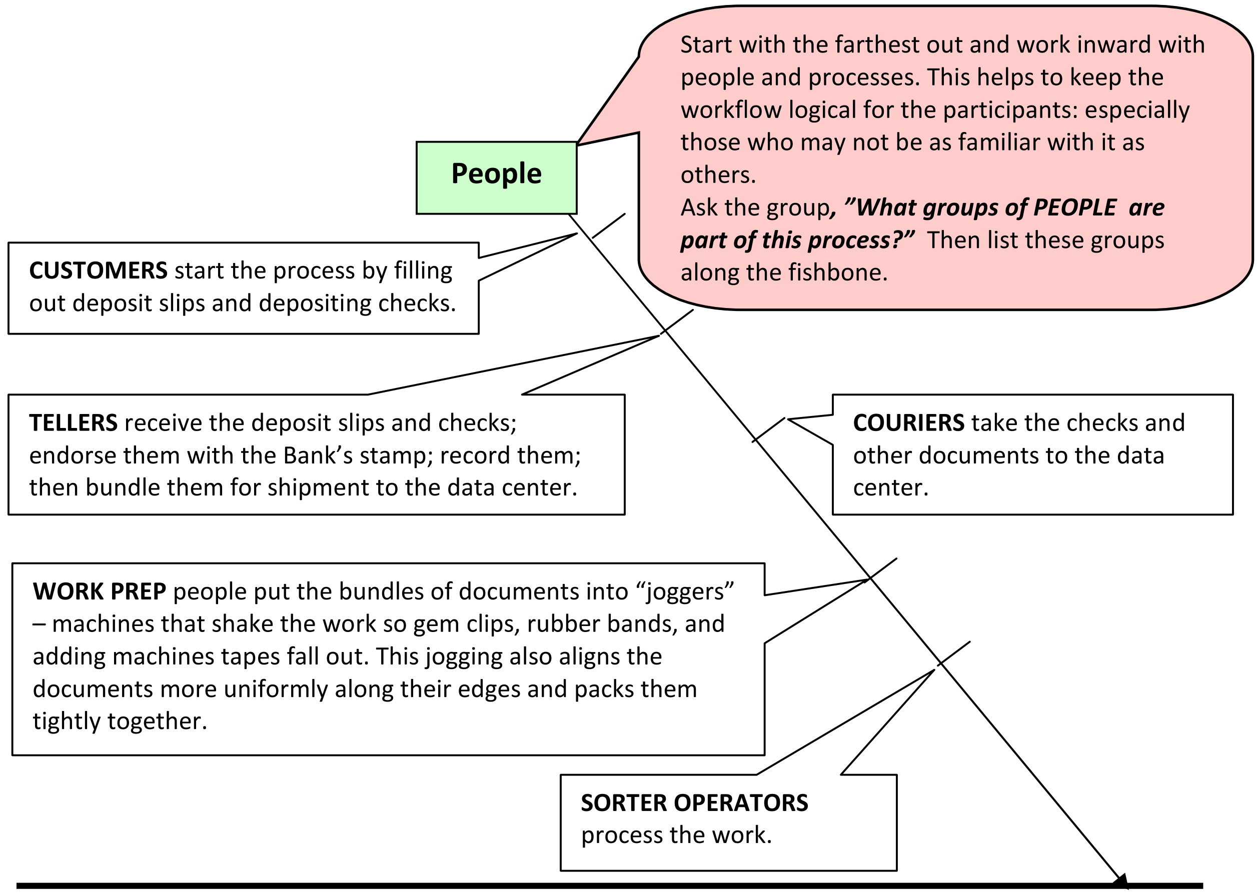
Therefore, an analysis of the workflow will be useful to determine where interferences may occur and to develop strategies to overcome them.

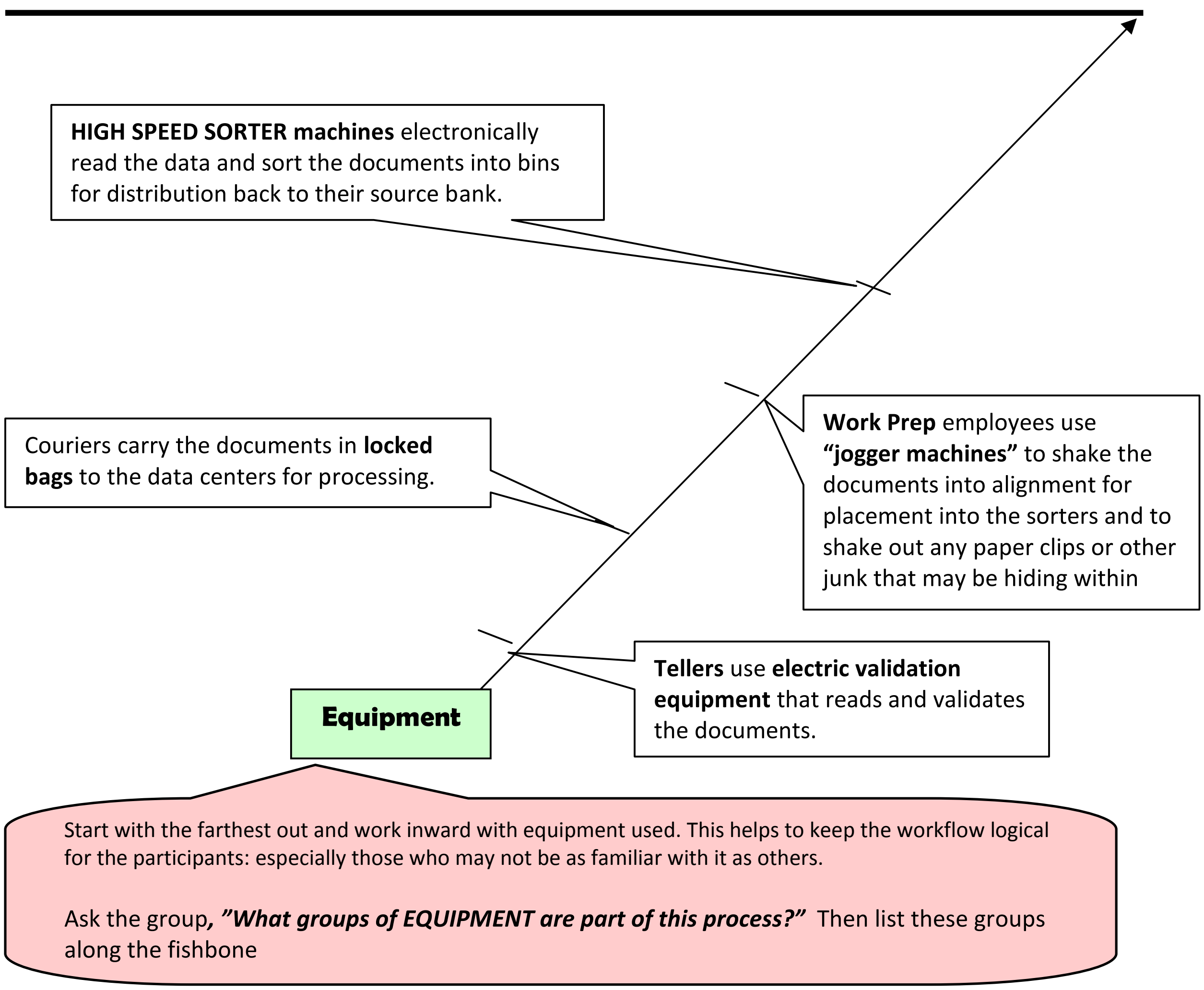
Step #1 – Setting Up the Fishbone



This is how we would set up a fishbone diagram to analyze the workflow with line employees to see if there are opportunities to identify and remove interferences to improve the read rate on the sorters.

Step #2 – Labeling the Fishbone





Step #3 – Analyzing the Fishbone

We start with each segment and work inward along the line. We consider each topic and ask ourselves, *"What are ways in which this can contribute to the problem?"*

PEOPLE

Customers start the process by filling out deposit slips and depositing checks.

- *What kind of checks do they deposi*t? (Payrolls, business checks, or from friends and relatives)
- *Where do these checks come from?* (Bank check printers and home offices using existing software, paper, and printers available at office supply stores.)

- *Can these checks be part of the problem?* (Yes. Checks that are "homemade" may look real but they may not have the magnetic ink necessary for the sorters to read the data. Also, the lightweight paper of many homemade checks can easily jam the high-speed sorters.)
    - Can we do anything about customers using these non-standard checks? (We can consider assessing fees against them for the extra work their checks cause. We will have to talk with the Marketing Department about that.)

Tellers receive the deposit slips and checks; endorse them with the Bank's stamp; record them; then bundle them for shipment to the data center.

- *Are they trained to handle the documents properly to make sure there are no staples, gem clips, rubber bands, or adding machine tapes included in the work for the processing center?* (Look at Step #1 on page 25. "Do they know what you expect?")
- *Do they know how to perform maintenance on their machines to clean the printing heads, change the ink, or fix anything that may prevent a clear and sharp validation*?
- *Is there any penalty if they do not handle it correctly?* (Look step #6 on page 27)
- *How do they know if they are not doing it correctly?* (Step #3 in the performance flowchart.)
- *Does the desired performance seem punishing?* (Maybe doing what we want takes them away from doing something else we do not know about. We must talk to the Branch Manager to see if there is anything from the teller's viewpoint of which we are not aware that discourages them from doing what we want.)

Work prep people put the bundles of documents into joggers.

- *Are there any reasons in the Performance Problem Flowchart that may explain why they may not do things as we expect?*

Sorter operators process the work.

- *Do the operators know how to do maintenance on the machines to ensure maximum "readability" of the documents?* (Have we seen them do it or do we just think they can because they have the operator's manual somewhere?)

- *Do the operators know how to run the machines for optimum performance?* (Are we assuming they know how to run them or do we really know for sure?)

EQUIPMENT

Tellers validate the documents.

- *Is the equipment damaged or worn out so that it cannot make a clear and sharp validation?*

Couriers take the checks and other documents to the data center.

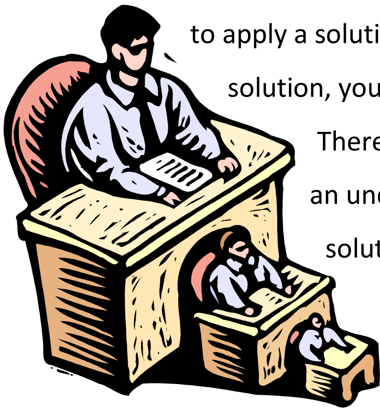
- *Is the couriers' bags waterproof so the documents do not get wet if it is raining during the transport phase?*

Work prep employees use "joggers" to shake the documents into alignment and cause paperclips or other debris to fall out.

- *Are the joggers working effectively enough to shake the undesirable material out?*
- *Are there enough joggers so we do not have to pack it so tightly into a few that the undesirable material cannot fall out?*

After reviewing these questions about each segment of the workflow, it is evident there may not be one glaring problem that hurts the workflow. Like barnacles on a hull of a ship, many small things can collectively contribute to slowing the work.

Presenting Your Problem - Recommending A Solution



After "fish boning" has helped you identify a problem, it may require money, time, and other resources to apply a solution. If your direct supervisor cannot provide everything necessary for a solution, you may have to present your case to higher levels of management. There is a strong possibility that higher management may not have as detailed an understanding of the problem nor an appreciation for your recommended solution as you do.

Therefore, it is necessary to understand how to present the problem and your recommended solution so the people who control the resources you require will make them available to you.

PERSUADING and INFLUENCING OTHERS

Learning to See the World through Someone Else's Eyes

Why would you care about seeing the world through someone else's eyes?
(If you need their cooperation, you will have to discover what is important to them. Then, if you can help them get what they need, you have a better chance of getting what you need.)

What does "W.I.I.F.M?" stand for? ("What's In It For Me?")

Why would your understanding "WIIFM" make it easy for you to be persuasive?
(For the same reason as the first question in this box.)

When has your ability to see the world through someone else's eyes helped you persuade them to do something?

The Persuasion Process

> Persuasion is not about winning or losing…
>
> It is about SATISFACTION!!

Step #1- Interests and Positions

Separate **"interests"** and **"positions"** in your own mind before you start any kind of negotiations.

"Interests" are what you want out of the deal.

Suppose you decide to buy a new car. Your interests may be:

- Reliable transportation around town (You don't care what brand it is.)
- Able to make our frequent four-hour trip to visit grandparents comfortably
- Room for 2 adults, 2 kids under 12, our dog and luggage
- Gas mileage minimum of 23 mpg
- Fit within our budget of $18-20K, monthly payment in the $300 range
- Service availability in our community
- Warranty of at least 5 years, 50 K

"Positions" are objective elements or facts particular to a particular action.

With the car, they may include:

- Must be red
- Must be a particular brand name
- Must not be more than $300/month
- Must not be more than $20K
- Must be the latest model

Obviously, too much focus on *positions* limits your flexibility in obtaining a satisfactory deal. If you must have a new, red, Ford SUV that cannot cost more than $20K nor have a monthly payment of more than $300, you have greatly limited your chances for satisfaction.

But, if you focus on *interests*, you may be able to get a light blue, top-of-the-line, two-year-old Chrysler SUV with a 100,000-mile warranty, a DVD player for the kids, leather interior, etc. for $21,500 and $307/month.

Although it is slightly more than you wanted to pay, you may decide the benefits outweigh the dollar amount. However, if you made so much about the fact that $20 K and $300 month were your positions, then it would have been difficult for you to accept this solution.

Interests allow you to focus on a "successful solution" to your problem while not caring how you get to it. It makes it easier for you to compromise, if necessary, because satisfaction for both sides is still possible.

"Positions", on the other hand, force you into a much more restrictive situation that makes compromise unlikely ("my way or the highway") and the chance of satisfaction for one side but not the other is very limited.

Do not talk about "winning" a negotiation because that implies the other side lost. Instead, focus on getting SATISFACTION and that will allow you to be flexible so the other party can be "satisfied", too.

Step #2 – The Other Guy's Viewpoint

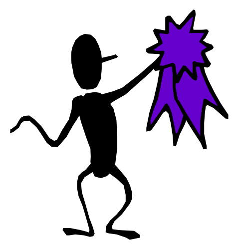
Use the same idea of "interests" to look at the deal from the other person's viewpoint. What interests would they have in working with you to arrive at a "satisfactory" outcome?

If you will focus on their interests, maybe even ask what they are while telling them about yours, you may be able to get what you need.

Your conversation with them may be something like this, *"You know, if you could help me find some reliable transportation that will meet my needs of … (you list your interests), maybe you could get another sale this month."*

This is a way of considering his interests and presenting them in a way that helps him understand **he can get what he wants by helping you get what you want.**

Step #3 – Features and Benefits



Determine in advance the major features & benefits of your idea.

"Features" are facts about the product or situation while "benefits" are what those features mean to the other person. For example, back to the SUV example.

Features	Benefits
A *feature* of this SUV is air conditioning. A *feature* of this SUV is a big V-8 engine.	*(It means)* you will ride cooler. (It is only a benefit if the buyer has a need for a big engine. If he is a fisherman, then it may be a benefit. If he is a conservationist with a "Save the Whales" bumper sticker, he may not think it is a good feature.

Step #4 – Persuading the Execs

We will pull fish boning and persuasion together by pretending that we found some work process improvements that can make our jobs easier.

However, since they will not be cheap, we will have to be very persuasive if we expect executive management to implement them.

First, identify the things would interest the executives. They are all variations on reducing expenses or increasing revenues such as:

- Increase efficiency
- Increase productivity
- Improve customer service
- Increase quality
- Reduce risk
- Reduce existing expenses
- Saving or avoiding future expenses
- Reduce work hours
- Reduce rework
- Save time

Then, you must present your change as a way of helping them realize their interests*: "You know, boss, we could increase productivity by X% and reduce overtime by Y% if we replaced the old model 1995 with a 2006 version. We would be able to recover our investment in Z months. Do you want to see how?"*

Obviously, specific data about measurables of "how much" will make your argument more credible. If you focus on the boss' WIIFM instead of complaining about how slow the machine is, how hard it is for you to maintain or anything else you do not like about it, you have a much greater chance to persuade him to do what you want.

Remember; make it easy for them to say "YES" by focusing on their interests, not yours.