

SEAL



Manual 2

Communication and Skills Development

SSAL

Social Standard Exchange of Experience
In Southeast Asia and practical Learning

inWent

Internationale Weiterbildung
und Entwicklung gGmbH

Capacity Building
International, Germany



This programme is financed
By the German Federal
Ministry Of Economic
Cooperation and Development

About SEAL



Southeast Asian Initiative to Social Responsibility

SEAL is a Southeast Asian initiative to promote social responsibility. It facilitates capability building through training and mentoring activities that target small and medium enterprises (SMEs) and trainers in the industry, leading to the institutionalization of the initiation, development, implementation and maintenance of a Social Management System.

Formally launched in 2003, SEAL, now on its second phase of implementation, is a three-year program of Germany's InWEnt gGmbH (Capacity Building International, Germany) and financed by the German Federal Ministry of Economic Cooperation and Development. Focusing on advancing SMS, the project activities include revision of workbooks to incorporate the lessons learned from previous activities and new best practices and development in SMS, capability building of partner institutions, and provision of technical assistance for SMS alignment and general awareness. These continuing interventions are geared to reach out to more SMEs all over Asia, thus increasing the project impact.

New SEAL Instruments

SMEs in Indonesia, Philippines, and Vietnam will be selected for SMS general awareness and alignment. The following improved, updated and compressed workbooks will be the primary instruments to facilitate SMS learning.

Workbook 1 – Background on Social Management System

- (1) Introduction to Social Standards
- (2) Social Management System (SMS) Requirements
- (3) SMS Legal Requirements
- (4) Documenting an SMS
- (5) Implementing an SMS
- (6) SMS Internal Audit / Social Performance Review

Workbook 2 – Communication and Skills Development

- (1) Effective Communication
- (2) Supervisory Skills Development
- (3) Negotiation
- (4) Conflict Management
- (5) Stress Management, and

Workbook 3 – Training and Consulting Techniques

- (1) Consulting for a Social Management System.
- (2) Training the Trainer: How to Promote an SMS in an Organization

Other SEAL instruments also include:

- Brochures and marketing collaterals:
 - **4-page brochure on SEAL and 4-page SMS business case for companies**
 - **Quick reference cards**
 - **SEAL promotional poster for generating awareness and SEAL comprehensive poster for SME participants**
- E-Learning tools
 - **Web-based Training**



Expected Results

The target groups are companies that are engaged in international business or companies interested in preparing themselves to internationalize business operations focusing particularly to new demands for business partnerships in Europe, North America and the Asian region.

SMS alignment, or the establishment of a certifiable social management system, will create the following impacts:

- Qualification of companies for a Social Management System certification (or an alignment to SMS);
- Improvement in the quality of the products and services delivered by the companies; improvements in overall operational efficiency; higher productivity; and improved global competitiveness; and.
- Creation of a pool of Indonesian, Philippine, and Vietnamese firms ready for business cooperation with similarly SMS certified potential international partners.

The training and mentoring programs are aimed at upgrading the managerial and technical efficiency of the managers, technical staff, and other relevant employees of target companies. In this manner, the quality levels of the overall social performance of the companies are raised to international standards certifiable under a Social Management System.



Acknowledgments

ECC International wishes to acknowledge the following for their assistance and support in the completion of this project:

- InWEnt gGmbH (Capacity Building International, Germany), Regional Office, Philippines,
- TUV Rheinland, Vietnam,
- Philippine Trade Training Center, Department of Trade and Industry, Philippines,
- Philippine Exporters Confederation, Inc.,
- Indonesian Export Training Center,
- Vietnamese Chamber of Commerce and Industries,
- Employers Confederation of the Philippines,
- European Chamber of Commerce of the Philippines,
- International Programme on the Elimination of Child Labor, ILO Philippines,
- Occupational Safety and Health Desk, Department of Labor and Employment, Philippines,
- Mind Tap Studios, and
- Individuals and organizations who will remain nameless but whose tireless and untainted advocacy to improve labor conditions of the world provides for endless inspiration, which will carve an eternal memory in the hearts of the generations to come.

Workbook created by ECC International
Makati, Philippines

About this Workbook



This Workbook supplements the progressive, modular training programs of the Social Standards Exchange of Experience in Southeast Asia and Practical Learning (SEAL) Program.

It is uniquely designed so that the participant, during the training on BACKGROUND ON SOCIAL MANAGEMENT SYSTEMS is provided with:

- Details on BACKGROUND ON SOCIAL MANAGEMENT SYSTEMS and supplementary learning aid during the training program;
 - Discussion/s to facilitate transfer of experience and informal social dialogue, benchmark and identification of best practices, where applicable;
 - Workshop/s and/or Interactive Activity/s that are simple, effective, and instructional, as well as, “ice breaker” activities;
 - Notes Section in every page for easy notations by the participant;
 - References and Suggested Additional Readings to supplement COMMUNICATION AND SKILLS DEVELOPMENT that may be of specific interest to the trainee especially in reference to specific country of origin, business sector, organizational set-up, among others;
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-
- This Workbook on COMMUNICATION AND SKILLS DEVELOPMENT may also be used for reference purposes.

 - This Workbook supports a one-day session on COMMUNICATION AND SKILLS DEVELOPMENT.

About this Workbook



Workbook Outline

1. Effective Communication
2. Supervisory Skills Development
3. Negotiation
4. Conflict Management
5. Stress Management

Introduction to Social Standards

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About Workbook II



Workbook Outline

1. Effective Communication
2. Supervisory Skills Development
3. Negotiation
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Effective Communication

Objectives:

- Identify and understand globalization: identify problems, substantial causes, effects, recommended solutions and best recommendations;
- Identify, narrate, and relate to both theoretical and didactic definitions of social standards;
- Identify, compare, measure and evaluate the two main approaches on the content, scope, and substance to social standards;
- Compare the forms of social standards;
- List and compare the reasons for the emergence of social standards; and
- Identify key factors that molded the direction of social standards



Outline:

-
- A graphic consisting of three overlapping rectangular boxes, resembling a stack of papers. The top box is the smallest and is mostly hidden. The middle box is larger and contains the outline text. The bottom box is the largest and has a wavy, torn-edge bottom. The boxes are outlined in black and are positioned in the upper left quadrant of the page.
- 1. Introduction**
 - 2. Forms and Characteristics of Communication**
 - 3. Understanding your Communication Style**
 - 4. The Seven Challenges of Effective Communication**

Introduction to Effective Communication



1. Introduction to Effective Communication

1.1 Communication – What it is? Its Importance

1.2 Communication Process

1.3 Barriers to Effective Communication



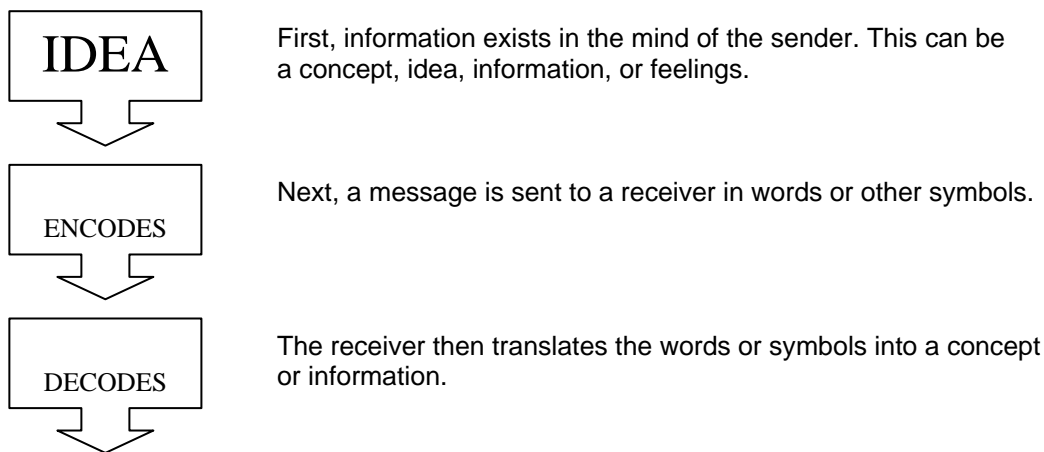
1.1 What is communication? Why is it important?

Many of the problems that occur in an organization are the direct result of people failing to communicate. It leads to confusion and can cause a good plan to fail. Communication is the exchange and flow of information and ideas from one person to another. It involves a sender transmitting an idea to a receiver. Effective communication occurs only if the receiver understands the exact information or idea that the sender intended to transmit.

1.2 Communication as a process

Studying the communication process is important because you coach, coordinate, counsel, evaluate, and supervise through this process. It is the chain of understanding that integrates the members of an organization from top to bottom, bottom to top, and side to side.

1.2.1 What are involved in the communication process?



During the transmitting of the message, two processes will be received by the receiver - content and context.

1.2.2 What are content and context?

- Content is the actual words or symbols of the message, which is known as language – spoken and written words combined into phrases that, make grammatical and semantic sense. We all use and interpret the meanings of words differently, so even simple messages can be misunderstood. And many words have different meanings to confuse the issue even more.
- Context is the way the message is delivered and is known as Paralanguage – tone of voice, the look in the sender's eye's, body language, hand gestures, state of emotion (anger, fear, uncertainty, confidence, etc.). Paralanguage causes messages to be misunderstood as people believe more in what they than what they hear; the accuracy of nonverbal behaviors is trusted more than verbal behaviors. – update definition of context : similar situation or conditional applicability of a group of words or content.

Many leaders think they have communicated once they told someone to do something, "I don't know why it did not get done... I told Jim to do it." More likely, Jim misunderstood the message. A message has NOT been communicated unless the receiver understands it. How does one know that it has been properly received? By two-way communication or feedback will tell the sender that the receiver understood the message, its level of importance, and what must be done. Communication is an exchange of ideas, and not just a unidirectional sending of information.



1.3 What are barriers to effective communication?

Anything that prevents understanding of the message is a barrier to communication. Many physical and psychological barriers exist.

- **Culture, background, and bias**
 - People allow past experiences to change the meaning of the message. Their culture, background, and bias can be good as they allow the use of past experiences to understand something new, it is when they change the meaning of the message then they interfere with the communication process.
- **Noise**
 - Equipment or environmental noise impedes clear communication. The sender and the receiver must both be able to concentrate on the messages being sent to each other.
- **Ourselves**
 - Focusing on ones self, rather than the other person can lead to confusion and conflict. The “Me generation” is out when it comes to effective communication. Some of the factors that cause this are defensiveness (we feel someone is attacking us), superiority (we feel we know more than the other does), and ego (we feel we are the center of the activity).
- **Perception**
 - A person that talks too fast, not fluently, and does not articulate clearly, etc., may be easily dismissed. Also preconceived attitudes affect the ability to listen. Often times, people listen uncritically to persons of high status and dismiss those of low status.
- **Message**
 - Distractions happen when focus is given to the facts rather than the idea. Educational institutions reinforce this with tests and questions. Semantic distractions occur when a word is used differently than you prefer. For example, the word chairman instead of chairperson may cause focus on the word and not the message.
- **Environmental**
 - Bright lights; an attractive person, unusual sights, or any other stimulus provides a potential distraction.
- **Smothering**
 - The impulse to send useful information, being automatic, is often times taken for granted. Not true! Too often the belief that certain information has no value to others or they are already aware of the facts.
- **Stress**
 - People do not see things the same way when under stress. Psychological frames of references – beliefs, value, knowledge, experience, and goals influence what is seen and believed at a given moment.

These barriers can be thought of as filters, that is, the message leaves the sender, goes through the above filters, and is then heard by the receiver. These filters muffle the message and the way to overcome filters through active listening and feedback.

Forms & Characteristics of Communication



2. Forms & Characters of Communication

- 2.1 What is active listening?
- 2.2 What is feedback?
- 2.3 What are non-verbal behaviors of communication?
- 2.4 Effective Speaking Hints



2.1 What is active listening?

Hearing and listening are not the same thing. Hearing is the act of perceiving sound. It is involuntary and simply refers to the reception of aural stimuli. Listening is a selective activity, which involves the reception and the interpretation of aural stimuli. It involves decoding the sound into meaning.

Listening is divided into two main categories: Passive and Active. Passive listening is little more than hearing. It occurs when the receiver or the message has little motivation to listen carefully, such as music, story telling, television, or being polite.

People speak at 100 to 175 words per minute, but they can listen intelligently at 600 to 800 words per minute (WPM). Since only a part of our mind is paying attention, it is easy to go into mind drift – thinking about other things while listening to someone. The cure for this is active listening – which involves listening with a purpose. It may be to gain information, obtain directions, understand others, solve problems, share interest, see how another person feels, show support, etc. It requires that the listener attend to the words and the feelings of the sender for understanding. It takes the same amount or more energy than speaking. It requires the receiver to hear the various messages, understand the meaning, and then verify the meaning by offering feedback.

2.1.1 What are traits of active listeners?

Spends more time listening than talking

- Does not finish the sentence of others.
- Does not answer questions with questions.
- Are aware of biases. We all have them ... we need to control them.
- Never daydreams or become preoccupied with their own thoughts when others talk.
- Let the other speaker talk. Does not dominate the conversation.
- Plans responses after the other person has finished speaking ... NOT while they are speaking.
- Provides feedback, but does not interrupt incessantly.
- Analyzes by looking at all the relevant factors and asking open-ended questions. Walks the person through your analysis (summarize).
- Keeps the conversation on what the speaker says ... NOT on what interests them.
- Takes brief notes. This forces them to concentrate on what is being said.

2.2 What is feedback?

The purpose of feedback is to change and alter messages so the second communicator understands the intention of the original communicator. It includes verbal and nonverbal responses to another person's message.

Providing feedback is accomplished by paraphrasing words of the sender. Restate the sender's feelings or ideas in your own words, rather than repeating their words. Words should be saying, "This is what I understand your feelings to be, am I correct?" It does not only includes verbal responses, but also nonverbal ones. Nodding the head or squeezing their hand to show agreement, dipping eyebrows show that the meaning of the last phrase is not quite understood, or sucking air in deeply and blowing it hard shows exasperation with the situation.



2.2.1 What are the 5 main categories of feedback?

There are five main categories of feedback. They are listed in the order in which they occur most frequently in daily conversations. Notice that judgments are made more often than people try to understand:

Evaluative

Making a judgment about the worth, goodness, or appropriateness of the other person's statement.

Interpretive

Paraphrasing – attempting to explain what the other person's statement means.

Supportive

Attempting to assist or bolster the other communicator.

Probing

Attempting to gain additional information, continue the discussion or clarify a point.

Understanding

Attempting to discover completely what the other communicator means by her statements.

Imagine how much better daily communications would be if listeners tried to understand first, before they tried to evaluate what someone is saying.

2.3 What are non-verbal behaviors of communication?

To deliver the full impact of a message, use nonverbal behaviors to raise the channel of interpersonal communication:

Eye contact

This helps to regulate the flow of communication. It signals interest in others and increases the speaker's credibility. People who make eye contact open the flow of communication and convey interest, concern, warmth, and credibility.

Facial expressions

Smiling is a powerful cue that transmits happiness, friendliness, warmth, and liking. So, if a smile is done frequently a person will be perceived as more likable, friendly, warm and approachable. Smiling is often contagious and people will react favorably. They will be more comfortable and will want to listen more.

Gestures

If a gesture is not done while speaking, a person may be perceived as boring and stiff. A lively speaking style captures the listener's attention, makes the conversation more interesting, and facilitates understanding.

Posture and body orientation

The way a person talks and moves communicates numerous messages. Standing erect and leaning forward communicates to listeners that one is approachable, receptive and friendly. Interpersonal closeness results when the speaker and the listener face each other. Speaking with the back turned or looking at the floor or ceiling should be avoided as it communicates disinterest.

Proximity

Cultural norms dictate a comfortable distance for interaction with others. Look for signals of discomfort caused by invading the other person's space. Some of these are rocking, leg swinging, tapping, and gaze aversion.



Vocal

Speaking can signal nonverbal communication when such vocal elements as tone, pitch, rhythm, timbre, loudness, and inflection are included. For maximum teaching effectiveness, learn to vary these six elements of your voice. One of the major criticisms of many speakers is that they speak in a monotone voice. Listeners perceive this type of speaker as boring and dull.

2.4 Effective Speaking Hints

- When speaking or trying to explain something, ask the listeners if they can follow.
- Ensure the receiver has a chance to comment or ask questions.
- Try to put yourself in the other person's shoes – Consider the feelings of the receiver.
- Be clear about what is said.
- Look at the receiver.
- Make sure words match the tone and body language (Nonverbal Behaviors)
- Vary tone and pace.
- Do not be vague, but on the other hand, do not complicate what is being said with too much detail.
- Do not ignore signs of confusion.

Understanding your Communication Style



3. Understanding Communication Style

- 3.1 Basic Communication Style
- 3.2 Elements of Aggressive Style
- 3.3 Elements of Passive Style
- 3.4 Elements of Assertive Style



Good communication skills require a high level of self-awareness. Understanding the personal style of communication will go a long way toward helping create good and lasting impressions on others. By becoming more aware of how others perceive you, you can adapt more readily to their styles of communicating. This does not mean you have to be a chameleon, changing with every personality you meet. Instead, you can make another person more comfortable with you by selecting and emphasizing certain behaviors that fit within your personality and resonate with another.

3.1 Basic communication styles:

- Aggressive
- Passive
- Assertive

Discovering which style best fits you can be done in a number of ways including personality tests such as the Myers-Briggs Type indicator (MBTI), psychological assessments, and self-assessments. However, to get a general idea of your communication style, the following descriptions of the three basic types can help.

3.2 Elements of the Aggressive Style

- **Mottoes and Beliefs**
 - “Everyone should be like me.”
 - “I am never wrong.”
 - “I’ve got rights, but you don’t.”
- **Communication Style**
 - Close minded
 - Poor listener
 - Has difficulty seeing the other person’s point of view
 - Interrupts
 - Monopolizing
- **Characteristics**
 - Achieves goals, often at others’ expense
 - Domineering, bullying
 - Patronizing
 - Condescending, sarcastic
- **Behavior**
 - Puts others down
 - Doesn’t ever think they are wrong
 - Bossy
 - Moves into people’s space, overpowers
 - Jumps on others, pushes people around
 - Know-it-all attitude
 - Doesn’t show appreciation
- **Nonverbal Cues**
 - Points, shakes finger
 - Frowns
 - Squints eyes critically
 - Glares
 - Stares
 - Rigid Posture
 - Critical, loud, yelling tone of voice



- **Verbal Cues**
 - “You must (should, ought better).”
 - “Don’t ask why. Just do it.”
 - Verbal abuse
- **Confrontation and Problem Solving**
 - Must win arguments, threatens, attacks
 - Operates from win/lose position
- **Feelings Felt**
 - Anger
 - Hostility
 - Frustration
 - Impatience
- **Effects**
 - Provokes counter aggression, alienation from others, Ill health
 - Wastes time and energy over-supervising others
 - Pays high price in human relationships
 - Fosters resistance, defiance, sabotaging, striking back, forming alliances, lying, covering up
 - Forces compliance with resentment

3.3 Elements of the Passive Style

- **Mottoes and Beliefs**
 - “Don’t express your true feelings.”
 - “Don’t make waves.”
 - “Don’t disagree.”
 - “Others have more rights than I do.”
- **Communication Style**
 - Indirect
 - Always agrees
 - Doesn’t speak up
 - Hesitant
- **Characteristics**
 - Apologetic, Self-conscious
 - Trusts others, but not self
 - Doesn’t express own wants and feelings
 - Allows others to make decisions for self
 - Doesn’t get what he or she wants
- **Behaviors**
 - Sighs a lot
 - Tries to sit on both sides of the fence to avoid conflict
 - Clams up when feeling treated unfairly
 - Asks permission unnecessarily
 - Complains instead of taking action
 - Lets others make choices
 - Has difficulty implementing plans
 - Self-effacing



- **Non-verbal cues**
 - Fidgets
 - Nods head often; comes across as pleading
 - Lack of facial animation
 - Smiles and nods in agreement
 - Downcast eyes
 - Slumped posture
 - Low volume, meek
 - Up talk
 - Fast, when anxious; slow, hesitant, when doubtful

- **Verbal Cues**
 - “You should do it.”
 - “You have more experience than I do.”
 - “I can’t ...”
 - “This is probably wrong, but ...”
 - “I’ll try ...”
 - Monotone, low energy

- **Confrontation and Problem Solving**
 - Avoids, ignores, leaves, postpones
 - Withdraws, is sullen and silent
 - Agrees externally, while disagreeing internally
 - Expend energy to avoid conflicts that are anxiety provoking
 - Spends too much time asking for advice, supervision
 - Agrees too often

- **Feelings Felt**
 - Powerlessness
 - Wonders why doesn’t receive credit for good work
 - Chalks lack of recognition to others’ inabilities

- **Effects**
 - Gives up being him or herself
 - Builds dependency or relationships
 - Doesn’t know where he or she stands
 - Slowly loses self-esteem
 - Promotes others’ causes
 - Is not well-liked

3.4 Elements of Assertive Style

- **Mottoes and Beliefs**
 - Believes self and others are valuable
 - Knowing that assertiveness doesn’t mean you always win, but that you handled the situation as effectively as possible
 - “I have rights and so do others.”

- **Communication Style**
 - Effective, active listener
 - States limits, expectations
 - States observations, no labels or judgments
 - Expresses self directly, honestly, and as soon as possible about feelings and wants
 - Checks on other’s feelings



- **Characteristics**
 - Non-judgmental
 - Observes behavior rather than labeling it
 - Trusts self and others
 - Confident
 - Self-aware
 - Open, flexible, versatile
 - Playful, sense of humor
 - Decisive
 - Proactive, initiating
- **Behaviors**
 - Operates from choice
 - Knows what it is needed and develops a plan to get it
 - Action-minded
 - Firm
 - Realistic in her expectations
 - Fair, just
 - Consistent
 - Takes appropriate action toward getting what she wants without denying rights of others
- **Non-verbal cues**
 - Open, natural gestures
 - Attentive, interested facial expression
 - Direct eye contact
 - Confident or relaxed posture
 - Vocal Volume appropriate, expressive
 - Varied rate of speech
- **Verbal Cues**
 - “I choose to ...”
 - “What are my options?”
 - “What alternatives do we have?”
- **Confrontation and Problem Solving**
 - Negotiates, bargains, trades off, comprises
 - Confronts problems at the time they happen
 - Doesn't let negative feelings build up
 - **Feelings Felt**
 - Enthusiasm
 - Well-being
 - Even-tempered
- **Effects**
 - Increased self-esteem and self-confidence
 - Increased self-esteem of others
 - Feels motivated and understood
 - Others know where they stand



Clearly, the assertive style is the one to strive for. Keep in mind that very few people are all one or another style. In fact, the aggressive style is essential at certain times such as:

- When a decision has to be made quickly;
- During emergencies;
- When you know you're right and that fact is crucial;
- Stimulating creativity by designing competitions destined for use in training or to increase productivity.

Passiveness also has its critical applications:

- When an issue is minor;
- When the problems caused by the conflict are greater than the conflict itself;
- When emotions are running high and it makes sense to take a break in order to calm down and regain perspective;
- When your power is much lower than the other party's;
- When the other's position is impossible to change for all practical purposes (i.e. government policies, etc.)

Remaining aware of your own communication style and fine-tuning it as time goes by gives you the best chance of success in business and life.

The 7 Challenges of Effective Communication

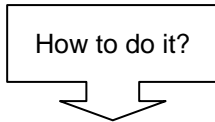


4. The 7 Challenges of Effective Communication

- 4.1 Challenge 1: Listening more Carefully & Responsively
- 4.2 Challenge 2: Explaining my conversational intent and Inviting consent
- 4.3 Challenge 3: Expressing myself more clearly and more completely
- 4.4 Challenge 4: Translating my criticisms and complaints into requests
- 4.5 Challenge 5: Asking questions more open-mindedly and more creatively
- 4.6 Expressing more Appreciation, Gratitude, Encouragement and Delight
- 4.7 Adopting the perspective:



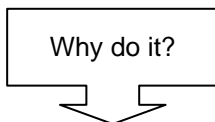
4.1 Challenge One: Listening more carefully and responsively



4.1.1 Listen and then acknowledge

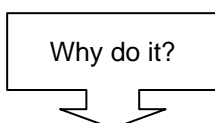
Listen first, and acknowledge what you hear, even if you don't agree with it, before expressing your experience or point of view.

In order to get more of your conversation partner's attention in tense situations, pay attention first: listen and give a brief restatement of what you have heard (especially feelings) before you express your own needs or position. The kind of listening recommended here separates acknowledging from approving or agreeing. Acknowledging another person's thoughts and feelings does not have to mean that you approve of or agree with that person's actions or way of experiencing, or that you will do whatever someone asks.



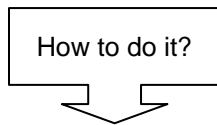
By listening and then repeating back in your own words the essence and feeling of what you have just heard, from the speaker's point of view, you allow the speaker to feel the satisfaction of being understood, (a major human need). Listening responsively is always worthwhile as of letting people know that you care about them. Our conversation partners do not automatically know how well we have understood them, and they may not be very good at asking for confirmation. When a conversation is tense or difficult it is even more important to listen first and acknowledge what you hear. Otherwise, your chances of being heard by the other person may be very poor.

4.1.1 Listening to others helps others to listen



In learning to better coordinate our life activities with the life activities of others, we would do well to resist two very popular (but terrible) models of communication: arguing a case in court and debating. In courts and debates, each side tries to make its own points and listens to the other side only to tear down the other side's points. Since the debaters and attorneys rarely have to reach agreement or get anything done together, it doesn't seem to matter how much ill will their conversational style generates. But most people are in very different situations. Some probably spend most of their lives trying to arrange agreement and cooperative action, so they need to be concerned about engaging people, not defeating them. In business (and in family life, too) the person defeated today will probably be the person whose cooperation will be needed tomorrow!

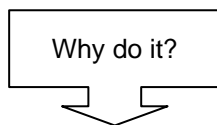
4.1.2 The power of simple acknowledging



The practice of responsive listening described here separates acknowledging the thoughts and feelings that a person expresses from approving, agreeing, advising, or persuading. Acknowledging another person's thoughts and feelings:

- *leaves you the option of agreeing or disagreeing with that person's point of view, actions or way of experiencing.*
- *leaves you with the option of saying yes or no to a request.*
- *leaves you with the option of saying more about the matter being discussed.*

One recurring problem in conflict situations is that many people don't separate acknowledging from agreeing. They are joined together in people's minds, somewhat like a two-boxes-of-soap "package deal" in a supermarket. The effect of this is, for instance, that John feels that any acknowledgment of Fred's experience implies agreement and approval, therefore John will not acknowledge any of Fred's experience. Fred tries harder to be heard and John tries harder not to hear. Of course, this is a recipe for stalemate (if not disaster).



People want both: to be understood and acknowledged on the one hand, and to be approved and agreed with, on the other. With practice, you can learn to respond first with a simple acknowledgment. As you do this, you may find that, figuratively speaking, you can give your conversation partners half of what they want, even if you can't give them all of what they want. In many conflict situations that will be a giant step forward. Your conversation partners will also be more likely to acknowledge your position and experience, even if they don't sympathize with you. This mutual acknowledgment can create an emotional atmosphere in which it is easier to work toward agreement or more gracefully accommodate disagreements. Here are three examples of acknowledgments that do not imply agreement:

In each case a person's listening to and acknowledgment of his or her conversation partner's experience or position increases that chance that the conversation partner will be willing to listen in turn. The examples given above are all a bit long and include a declaration of the listener's position or decision. In many conversations you may simply want to reassure your conversation partner with a word or two that you have heard and understood whatever they are experiencing. For example, saying, "*You sound really happy (or sad) about that,*" etc.

4.1.3 Other suggestions about listening more responsively

- As a general rule, do not just repeat another person's exact words. Summarize their experience in your own words. But in cases where people actually scream or shout something, sometimes you may want to repeat a few of their exact words in a quiet tone of voice to let them know that you have heard it just as they said it.
- If the emotion is unclear, make a tentative guess; as in "*So it sounds like maybe you were a little unhappy about all that...*" The speaker will usually correct your guess if it needs correcting.
- Listening is an art and there are very few fixed rules. Pay attention to whether the person speaking accepts your summary by saying things such as "*yeah!*" "*you got it,*" "*that's right,*" and similar responses.



- If you can identify with what the other person is experiencing, then in your tone of voice (as you summarize what another person is going through), express a little of the feeling that your conversation partner is expressing. (Emotionally flat summaries feel strange and distant.)
- Such compassionate listening is a powerful resource for navigating through life, and it also makes significant demands on people as listeners. One may need to learn how to hold his own ground while someone else's position is restated. That takes practice. Listen to people's criticisms or complaints without becoming disoriented or totally losing a sense of self-worth is also necessary. That requires cultivating a deeper sense of self worth, which is no small project. In spite of these, difficulties, the results of compassionate, responsive listening is rewarding and is worth all the effort required.

4.2 Challenge Two: Explaining my conversational intent and inviting consent

4.2.1 Summary

This chapter describes the process of starting conversations by declaring conversational intent and inviting the conscious consent of your prospective conversation partners. The basic idea is that you can help your conversation partners cooperate with you and reduce possible misunderstandings by starting important conversations with a stated invitation to join you in the specific kind of conversation you want to have. The more the conversation is going to mean to you, the more important it is for your conversation partner to understand the big picture. Most conversations express one or another of about thirty basic intentions, which imply different kinds of cooperation from your conversation partners. They can play their role in specific conversations much better if you clarify for yourself, and then identify for them, the role you are asking for, rather than leaving them to guess what you might be wanting.

When you need to have a long, complex, or emotion-laden conversation with someone, it can make a GIANT difference if you briefly explain your conversational intention first and then invite his or her consent.

4.2.2 Why explain?

Some conversations require a lot more time, effort and involvement than others do. If you want to have a conversation that will require a significant amount of effort from the other person, it will go better if that person understands what he or she is getting into and consents to participate. Of course, in giving up the varying amounts of coercion and surprise that are at work when we just launch into whatever we want to talk about, we are more vulnerable to being turned down. But, when people agree to talk, they will be more present in the conversation and more able to either meet needs or explain why they can't (and perhaps suggest alternatives we had not thought of).

Many communicate this explaining intent / inviting consent without giving it any thought. They start important conversations by saying things such as:

"Hi Steve. I need to ask for your help on my project. Got a minute to talk about it?"

"Uh ...Maria, do you have a minute? Right now I'd like to talk to you about ... Is that ok?"

"Well, sit down for a minute and let me tell you what happened..."

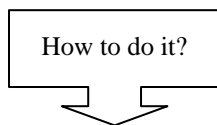
"Hello there Mr. Sanchez. Say, uh...I'm not completely comfortable about this job. Can we talk about it for a few minutes?"

"Hi Jerry, this is Mike. How ya doin'? I want to talk to you about Fred. He's in jail again. Is this a good time to talk?"

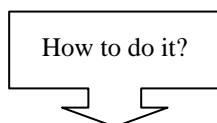
When such combined explanation-of-intent and invitations-to-consent is offered conversations can be helped along in four important ways:

- First, give listeners a chance to consent to or decline the offer of a specific conversation. A person who has agreed to participate will participate more fully.
- Second, help listeners to understand the “big picture”, the overall goal of the conversation-to-come. (Many scholars in linguistics and communication studies now agree that understanding a person’s overall conversational intention is crucial for understanding that person’s message in words and gestures.)
- Third, allow listeners to get ready for what is coming, especially if the topic is emotionally charged. (If we surprise people by launching into emotional conversations, they may respond by avoiding further conversations with us or by being permanently on guard.)
- And fourth, help listeners understand the role that they have to play in the conversation: fellow problem solver, employee receiving instructions, giver of emotional support, and so on. These are very different roles to play. Conversations will go better if people are asked to play only one conversational role at a time.

4.2.3 Getting Explicit



Often people conduct this “negotiation about conversation” through body language and tone of voice during the first few seconds of interaction. But since conversations often occur with people whose body language and tone of voice patterns may be different, asking people to have conversations in an explicit and direct manner may be needed. The more important the conversation is to you, the more important it is to have your partner’s consent and conscious participation. On the other hand, just saying, “Hi!” or talking about the weather does not require this kind of preparation, because very little being required of the other person, and people can easily indicate with their tone of voice whether or not they are interested in chatting.



To be invited into a conversation is an act of respect. A consciously consenting participant is much more likely to pay attention and cooperate than someone who feels pushed into an undefined conversation by the force of another person’s talking. It’s not universal but to assume without asking that a person is available to talk may be interpreted by many people as lack of respect. When a conversation is begun by respecting the wishes of the other person, some of the goodwill (trust that their wishes will be considered) needed for creative problem solving will be generated. The empathy obtained will be more genuine and the agreements reached will be more reliable if people are given a choice about talking.

As you become consciously familiar with various kinds of conversational intentions, you will find it easier to:

- Invite someone to have one of a wide range of conversations, depending on your wants or needs
- Agree to someone’s conversational invitation
- Say, “no”. Decline or re-negotiate a conversational invitation from someone

- When in doubt, gently prompt a person to clarify what kind of conversation she or he is trying to have with you
- Avoid conversations that are negative, self-defeating or self-destructive.

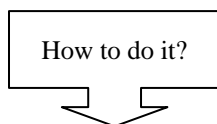
4.3 Challenge Three: Expressing myself more clearly and more completely

4.3.1 Summary

Slow down and give listeners more information about what you are experiencing by using a wide range of “I-statements.” You are likely to get more of your listener’s empathy if you express more of what you are seeing and hearing, feeling, interpreting, wanting, and envisioning. In the pages that follow we will explore each of these aspects of experience and how to express them more clearly.

Anytime one person sincerely listens to another, a very creative process is going on in which the listener mentally reconstructs the speaker’s experience. The more facets or dimensions of your experience you share with easy-to-grasp “I statements”, the easier it will be for your conversation partner to reconstruct your experience accurately and understand what you are thinking, feeling and wanting. This is worthwhile whether you are trying to solve a problem with someone or trying to express appreciation for him or her. Expressing yourself this carefully might appear to take longer than your usual quick style of communication. But if you include all the time it takes to unscramble everyday misunderstandings, and to work through the feelings that usually accompany not being understood, expressing yourself more completely can actually take a lot less time.

4.3.2 Filling in the missing information



If you observe people in conversation carefully, you will begin to notice that human communication works by leaving many things unsaid and depending on the listener to fill in the missing-but-implies information. For example, a receptionist may say to a counselor, “*Your two o’clock is here*”, and a sentence, which, on the face of it, makes no sense at all. She means “*Your client who made an appointment for two o’clock has arrived in the waiting room,*” and the counselor knows that. It’s amazing how much of the time this abbreviating and implying process works just fine.

But, in situations of change, ambiguity, conflict, or great emotional need, our “shorthand” way of speaking may not work at all for at least three possible reasons.

- First, listeners may fill in a completely different set of details than one we intended.
- Second, listeners may not understand the significance of what is being said (they get only some of the details, so miss the big picture).
- And finally, without actually intending to mislead anyone, important parts of experiences may be left out, evoking a hostile reaction. *The more serious the consequences of misunderstanding would be, the more both understanding own experiences better and helping listeners by giving them a more complete picture or experience in a language that does not attack them are needed.*

According to various communicating researchers, there are five main dimensions of experience that your conversation partners can use to recreate your experience inside their minds. The more elements you provide the higher the probability that your listener’s re-creation will match your experience. In this Workbook, these elements or dimensions of experience are referred to as “the five messages.”



The example in the table below outlines a five-part way of saying more of what are experienced. The shorthand version of the message below would be something like, “Stop that racing!” Here are the details of the five messages that are left out in the shorthand version.

The Five Messages	Express:	Example (in a hospital, nurse to young patient):
Seeing, hearing...	1. What are you seeing, hearing, or otherwise sensing? (facts only)	<i>“John, when I see you racing your wheelchair down the hall...”</i>
And feeling...	2. What emotions are you feeling?	<i>... I feel really upset ...</i>
Because I...	3. What interpretations, wants, needs, memories or anticipations of your support of those feelings?	<i>... because I imagine that you are going to hurt yourself and someone else, too...</i>
And now I want ...	4. What action, information or commitment do you want now?	<i>...so I want you to promise me right now that you will slow down...</i>
so that ...	5. What positive results will that action, information or commitment lead to in the future? (no threats)	<i>...so that you can get out of here in one piece and I can stop worrying about a collision.”</i>

In the table that starts below, you will find eight examples of statements that would give a listener a full range of information about ones experience. Notice how a person’s feelings can change according to the needs and interpretations they bring to a situation.

1. When I saw / heard	2. I felt...	3. because I... (need, interpret, associate, etc.)	4. and now I want (then I wanted)	5. so that (in order to)...
When I saw the bear in the woods with her three cubs...	... I felt overjoyed!... 1	...because I needed a picture of bears for my wildlife class...	...and I wanted the bear to stand perfectly still...	...so I could focus my camera.
When I saw the bear in the woods with her three cubs...	... I felt terrified!...	... because I remembered that bears with cubs are very aggressive...	...and I wanted to get out of there fast so that the bear would not pick up my scent.



More examples of the 5 Messages in Action

1. When I saw / heard ...	2. I felt ...	3. because I ... (need, want, interpret, associate, etc.)	4. and now I want (then I wanted)...	5. so that (in order to)...
When I saw the dishes in the sink...	... I felt happy...	... because I guessed that you had come back from your trip to Mexico...	...and I want you to tell me all about the Aztec ruins you saw...	...so that I can liven up some scenes in the short story I'm writing...
When I saw the dishes in the sink...	...I felt irritated...	...because I want to start cooking dinner right away...	...and I want to ask you to help me do the dishes right now...	...so that dinner will be ready by the time our guests arrive.
When I saw the flying saucer on your roof...	...felt more excited than I have ever been in my life...	...because I imagined the saucer people would give you the anti-gravity formula...	...and I wanted you to promise that you would share it with meso that we would both get rich and famous.
When I saw the flying saucer on your roof...	...I felt more afraid more than I have ever been in my life...	...because I imagined the saucer people were going to kidnap you...	...and I wanted to run for your life...	...so that you would not get abducted and maybe turned into a zombie.
When I saw the grant application in the office mall...	...I felt delighted...	...because I think our program is good enough to win a large grant...	...and I want to ask you to help me with the budget pages...	...so that we can get the application in before the deadline.
When I saw the grant application in the office mall...	...I felt depressed...	...because I can't see clients when I'm filling out forms...	...and I want you to help me with the budget pages...	...so that I can keep up my case work over the next three weeks.



4.4 Challenge Four: Translating my criticisms and complaints into requests

4.4.1 Summary

Translate your (and other people's) complaints and criticisms into specific requests, and explain your requests. In order to get more cooperation from others, whenever possible ask for what you want by using specific, action-oriented, positive language rather than by using generalizations, "whys," "don'ts" or "somebody shoulds." Help your listeners comply by explaining your requests with a "so that..." "it would help me to...if you would..." or "in order to..." Also, when you are receiving criticism and complaints from others, translate and restate the complaints as action requests.

4.4.2 Why many people have a hard time making requests

It often feels easier to say, "You're wrong." than it is to say, "I need your help." Making requests to leave people much more vulnerable in relation to their conversation partners than making criticisms or complaints. So people have a tendency to complain rather than to request. If a request is made, the other person could turn it down or make fun of it, and the risk of disappointment and loss of face is hard to bear. If complaints are made, on the other hand, one may stand on the emotional high ground and the listener is usually on the defensive. However, to improve the chances of getting cooperation from another person, what is needed is to ask for what one wants and risk being turned down. With practice people can each learn to bear those risks more skillfully and gracefully.

4.4.3 Why criticisms usually don't get the positive result we want

Whenever people are placed on the defensive, their capacity to listen goes down. Their attention and energy will often go up into some combination of defending their position, saving face and counter-attacking. Only when they feel safe are they likely to listen and consider how they might meet our needs. The truth of the complaint is not the issue. Because mutual imitation or emotional "echoing" is so much a part of ordinary conversation, a criticism from the other, bogging the pair down in a spiral of accusations. To avoid, this trap, you can approach the other person not as a problem maker and adversary in a debate but as a problem-solving partner. **By translating your complaint into a request, you "transform" the role you are asking the other person to play.**

Specific action requests help to focus your listener's attention on the present situation. Focus on the actions you want to take and the actions you want others to take in the present and future. (For example, use verbs and adverbs, such as "meet our deadlines regularly.") Avoid proposing changes in a person's supposed character traits (nouns and adjectives, such as "slow worker" or "bad team player"). "How can we solve this problem quickly?" will generally produce much better results than, "Why are you such an awful slow-poke?" In the latter kind of statement, what is suggested to the conversation partner is that the behavior that should be changed is a fixed and perhaps unchangeable part of their personality, thus undermining one's own goals and needs.

Talking about specifics will help to keep the current conversation from becoming one more episode in whatever unresolved conflicts might be in the background of your conversations. Your listener may sometimes be in the grip of feelings of embarrassments, resentment or self-doubt, unrelated to the present situation. The more vague and open-ended a criticism is, the easier it is for your listener to hear it as part of those other conflicts. Instead of saying something like "Why does it always take you so long to get things done?" try saying things like "I would like you to fix the faucet in Apartment #4 by five o'clock, so the tenants can use the kitchen sink when they get home tonight?" Of course, your tone of voice is important here. It's important that you yourself are not carrying forward old complaints. Life is lived best one day at a time.



“We criticize people for not giving us what we ourselves are afraid to ask for.”

Marshall Rosenberg

4.4.4 Explanatory clauses can move people to cooperate

Research in social psychology has revealed that many people respond more positively explained requests than to unexplained requests, even when the supposed explanation is obvious or doesn't actually explain much of anything. Notice the difference between the following two ways of expressing requests:

“Will you please open the window?”

“May I please have a glass of water?”

and

“Will you please open the window so that we can get more fresh air in here?” *“May I please have a glass of water? I'm really thirsty.”*

For many people the second form of the requests is much more inspiring. Why this is so is not certain. By explaining the reason, the speaker is treating the listener as a social equal, worthy of being persuaded and informed as to why a request is being made. The listener is invited to comply with a request to accomplish the stated goal rather than simply to submit to the will of the speaker. Another possibility is that since many requests are linguistically ambiguous and could easily be taken as orders, the explanation emphasizes that the statement is a real request. Whatever the reason, explaining your requests makes it more likely that your listener will cooperate.

4.4.5 Explanatory clauses allow your conversation partners to imagine new solutions

While any sort of explanatory clause seems to help, a real explanation of your goal allows your conversation partners to understand the context and purpose of your request. When for some reason they cannot meet your needs in the way you have asked; they may be able to meet your needs in some way that you had not thought of. (For an inspiring discussion of this topic, see *Getting to Yes*, by Fisher, Ury and Patton. They suggest that if you explain your overall goals rather than sticking to a very specific bargaining position, your negotiating adversaries may be able to propose mutually beneficial solutions that satisfy more of the needs of all parties. One main idea of the book is to turn your adversaries into problem-solving partners).



4.5 Challenge Five: Asking questions more “open-endedly” and more creatively

4.5.1 Part I: Asking questions more “open-endedly”

Summary

In order to coordinate life and work with the lives and work of other people, people need to know more of what other people are feeling and thinking, wanting and planning. But the usual “yes/no” questions actually tend to shut people up rather than opening them up. You can encourage your conversation partners to share more of their thoughts and feelings by asking “open-ended” rather than “yes/no” questions. Open-ended questions allow for a wide range of responses. For example, asking “How did you like that food/movie/speech/doctor, etc?” will evoke a more detailed response than “Did you like it?” (which could be answered with a simple “yes” or “no”).

Consider the difference between two versions of the same question, as each might occur in a conversation between two people in a close relationship:

“Well, honey, do you want to go ahead and rent that apartment we saw yesterday?”

“Well, honey, how do you feel about us renting that apartment we saw yesterday?”

The first version suggests a “yes” or “no” answer favors “yes” and does not invite much discussion. A person hearing such a question may feel pressured to reach decision, and may not make the best decision.

Both versions imply a suggestion to rent the apartment, but the second question is much more inviting of a wide range of responses. Even if the goal is to persuade, one can’t do a good job of that unless the listener’s concerns are addressed. Those concerns would not be understood unless questions are asked to invite discussion.

When you are under time pressure, it is tempting to push people to make “yes-no” decisions. But pressuring forward without addressing people’s concerns has played a key role in many on-the-job accidents and catastrophes (such as the Challenger Space Shuttle explosion).

Below you will find some examples of open-ended questions that could be helpful in:

- Solving problems in a way that meets more of everyone’s needs,
- Getting to know and understand the people around you better, and
- Simply creating richer and more satisfying conversations.

Examples of Open-ended Questions:

“How comfortable are you with Plan B?”

“How could I modify this proposal to meet more of your requirements?”

“What kind of information do you need in order to go forward?”

“How did you like that movie?”

“What do you think about ... moving the office to Boston?” (rather than “Is it ok with you if we...?”)

“How are you feeling about all of this?”

“How ready are you to ...?” (rather than “Are you ready to...?”)

4.5.2 Part 2: Asking questions more creatively

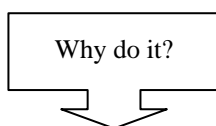
Summary

What sort of questions is truly worth asking? When questions are asked a powerful language tool to focus conversational attention and guide interaction with others is used. But many of the questions people have learned to ask are totally fruitless and self-defeating (such as, parents to pregnant teen, “Why? Why have you done this to us?” In general it will be more fruitful to ask, “how” questions about the future rather than “why” questions we might ask, not all are equally fruitful or illuminating; not all are equally helpful in solving problems together. In this section we will explore asking powerfully creative questions (with the help of researchers in many fields).

Please note: Some of the questions discussed below, if asked without any preparation, may be experienced by others as demanding or as invading one’s privacy. Start by asking questions of yourself first. Before asking them of others, practice the “introductions to a conversation”.

- **Question-asking happens in everyday life**

As people wrestle with each new challenge in life, they ask others and themselves a continuous stream of questions. Question-asking is one of the main ways that people try to get a grip on whatever is going on, but are usually not very conscious of the quality of questions asked.



Or

“Why are you always such a jerk?”

“How could we work together to solve this problem?”

As noted above, not all questions are of equal value. Many are a waste of effort but a few can be amazingly helpful. Learning to ask conscious, fruitful questions of others, of oneself, and about one’s situation or task at hand, is an important part of the training of many professionals: psychotherapists, engineers, architects, mathematicians, doctors and others. All of these groups ask deeply penetrating questions. They do so in order to apply a body of knowledge to solve problems in a way that respects the unique elements of each new situation, person, piece of land, broken leg, canyon to be bridged, and so on. (A structured kind of self-questioning is also part of the communal life of the Quakers, as I have observed in attending various Quaker meetings, and part of the Jesuit religious practice, as a Jesuit friend shared with me.)

Or...

“How could I have been so stupid?”

“What could I learn from this experience?”

- **It is a tool for everyone.**

Asking conscious, creative and exploratory questions is not just for professionals; it is for everyone. All are engaged in the process of trying to build a better life, a better family, a better workplace, a better world, just as if they are trying to build the world’s tallest building. One can apply in their own lives some of the styles of creative questioning that engineers use to build better bridges, psychotherapists use to help their clients and negotiators use to reach agreements.

Or...

“How am I going to nail that cheater?”

“What would be best for me in this situation?”

The many examples of exploratory questions given by Donald Schön in *The Reflective Practitioner* suggest that using questions to make a kind of ‘space’ in minds for things that are not known yet (in the sense of understand), or have not decided yet, or have not invented yet, or have not discovered yet. “Hmmm,” an architect might think, “how could we arrange this building so that it follows the contour of the land?”



The answer will involve a complex mix of discovering, inventing, understanding, and deciding, all pulled together partly by the creative power of the question. This thinking process is easier to imagine when visual examples are used, such as designing a house to blend into a hillside (but not cause a landslide!). But these same elements are present in all cooperative problem-solving activities. Asking questions can allow one to start thinking about the unknown, because questions focus the attention, and provide them a continued exploration. Questions are like the mountain climber's hook-on-the-end-of-a-rope: throw the hook into the unknown, and pull yourself into the future. But how and where to throw must be learned, so that one can pull himself into a better future.

How can I do this without anybody finding out?

Or...

If I do what I am thinking about doing, what kind of person will that help to make me?

There is no straightforward set of rules about how to ask questions that are more helpful or more tuned to the needs of a particular situation. But you can get an intuitive sense of how to do it by studying a wide range of creative questions ever asked.

- **Questions of power**

In many situations you may not have the emotional, social or political power to ask creative questions. Political power often works to narrow the range of permissible questions and narrow the range of who is allowed to ask them. For example, it is difficult to get US decision-makers to consider the question "Now that the Cold War is over, why is the United States spending more money than ever on nuclear weapons?" Totalitarian governments, modern advertising agencies and abusive families all want us to obey in unthinking silence rather than to question and explore possibilities. Learning to ask creative questions, in a compassionate and conciliatory way, can be a large step forward in reclaiming your lost power as a person, a family member, a citizen and a problem-solver.

4.6 Challenge Six: Expressing More Appreciation, Gratitude, Encouragement and Delight

4.6.1 Summary

In order to build more satisfying relationships with the people around you, express more appreciation, delight, affirmation, encouragement and gratitude.

Because life continually requires us to attend to problems and breakdowns, it gets very easy to see in life only what is broken and needs fixing. But satisfying relationships (and a happy life) require us to notice and respond to what is delightful, excellent, enjoyable, to work well done, to food well cooked, etc.

It is appreciation that makes a relationship strong enough to accommodate differences and disagreements. Thinkers and researchers in many different fields have reached similar conclusions: healthy relationships need a core of mutual appreciation.

To express gratitude in a meaningful way, a person needs to actually feel grateful, and that often involves looking at a person or situation from a new angle. Expressing appreciation thus involves both an expressive action and an inner attitude. So this chapter includes both exercises in how to express appreciation and also a lot of background information to help you explore your attitudes about gratefulness. The purpose of this chapter is to help put "Explore and Express More Appreciation" on your lifetime Do List. Unfortunately, there is no button in our brains that we can push to make ourselves instantly more grateful and appreciative. But there are countless opportunities each day to grow in that direction.



4.6.2 Exploring the Personal side of Gratefulness

- **Gratitude as a way of seeing**

The only problem with all these great discoveries in favor of gratitude is that appreciation and gratitude are not like mental faucets that we can just turn on at will. Gratefulness has two sides. Expressing gratitude is partly a conscious action, like opening a door or telling a story. It is also a result of deep attitudes: the way we look at our lives and the way we turn the events of our lives into meaningful stories. Parents teach their children to say “thank you”, the action part, in the hope that their children will grow into the attitude part. For adults, I believe, the path toward gratitude includes an exploration of both.

- **Stories, suffering and gratitude**

Human beings need to make sense out of what can be a bewildering variety of life experiences. Life is not particularly consistent. Joy comes one day, sorrow the next. Success alternates with failure. Sometimes our efforts matter a lot and sometimes it is a matter of luck, good or bad. One of the main ways we bring coherence to this mind-boggling variety is to develop our own personal organizing “themes” such as “my life of adventure” or “my struggle with alcohol.” Since no one theme can hold all the events in our lives, we pick out and emphasize the experiences that illustrate our main theme and let all the other events fade into the background.

- **Most people do not consciously pick their themes**

More often, this is borrowed from parents, or is pushed by powerful events in lives such as love, war, abuse, success or failure.

The important thing to remember about themes is that although they may be deeply true, they are never all of the truth about a person’s life or about life in general. Life is always larger than all our stories, and the events of a person’s life can be arranged, with effort, to illustrate many different themes, not just one. This fact can open a path toward gratitude, even for people who have endured great suffering and deprivation.



4.7 Challenge Seven: Adopting the Perspective: Seeing Every Conversation as an Opportunity to Grow - - Making Better Communication an Important Part of Everyday Living

4.7.1 Developing Faith in Your Own Development

This chapter stresses the possibilities of practice and the horizons of personal development. That probably sounds about as exciting as washing dishes. But better listening and better self-expression are very similar to better basketball playing, better guitar playing and better everything else. They all develop through attention, practice and faith. People everywhere plant and tend the vegetables in their gardens with the faith that there will be a harvest. Musicians practice every day with the faith that their skills will improve.

In order to invest the necessary time and effort required to become radiantly successful communicators, it is vital to develop a faith in the possibilities of our own development (and in the development of our families, and of all the teams of which we are members). At their best, parents and coaches believe so that one can learn to believe in himself. As your coach via the printed page, information in this chapter (and readings) will support you in believing in yourself more deeply, so that you will practice enough to discover your own many capacities for skillfulness and excellence.

Practice Matter More Than Talent!

A recent statistical analysis of Olympic gold medal winners produced a result that is both startling and reassuring. The single most important factor in winning a gold medal was having practiced longer than one's competitors. The analysis showed that the winners had consistently started to practice their skills earlier in life than everyone else in the contests. The evidence strongly suggests that gold medal winners are not necessarily more talented than everybody else. They just work much harder and much longer at being athletes than everyone else does. What this implies is that, with practice, most skills are within the reach of most people.



4.7.2 Over-learning

There is an important psychological principle at work in all skill development and that principle is called over-learning. If something is learned just well enough to do it once successfully, one will not actually remember how to do it for very long. To master a skill, one has to practice it a lot more than would seem necessary. In order to remember better communication skills in the middle of arguments and tense negotiations, a person needs to feel very competent and comfortable in using those skills, just as an accomplished musician can play musical scales without even thinking about it. (Even the greatest musicians still practice many hours a week.) The reward for practicing your communication skills is that you will feel better about yourself and your connections to the people around you, and be able to face conflict situations more confidently. You will probably also be to get more of what you want - - by being skillful enough to help your partners in living and working get more of what they want, too.

4.7.3 Doing what comes naturally

It might seem as though people ought to be able to get through life by just “doing what comes naturally,” that one should not have to try so hard. But if you stop to reflect concerned, people are born knowing how to cry, how to grunt, and how to learn the result of intense learning all through their lives. As natural as it may feel to use sarcasm or ask self-defeating questions, these are actions learned by copying fact, learning new skills is the most natural thing in the world. It is what people are designed to do as creatures with big brains and multipurpose hands.

Exercises



1. What are the different forms of communication? Define each.

2. Describe the seven challenges in effective communication.

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Supervisory Skills Development



Objectives:

- Identify, in general, the purpose of supervisory skills;
- Identify the 5 essential responsibilities of supervisors;
- Identify the methods of supervisory competencies;
- Deal with ambiguity;
- Identify task and practices of supervisors;
- Identify, narrate and prepare training course;
- Identify, narrate and prepare policies, setting objectives, business models, and guidelines; and
- Identify the different operational logistics and program management control;



Outline:

-
- 1. Role of Supervisors**
 - 2. Dimensions of Supervisory Competencies**
 - 3. An Orientation Framework for New Supervisors**
 - 4. Course Design, Content and Selection**
 - 5. Program Planning & Design**
 - 6. Program Management & Control**

The Role of Supervisors



1. Role of Supervisors

1.1 Introduction

1.2 Traditional Role Concepts

1.3 Definition of the Supervisor's Role

1.4 Changing Scope of Supervisory Responsibilities

1.5 Supervisors' Own Definition of their Roles

1.6 Segmenting Supervisor's Responsibilities



1.1 Introduction

The design and conduct of supervisory-training programs derive from the analysis of

1. the traditional concepts of the supervisor's role in the organization,
2. the competencies needed to fulfill that role, and
3. the knowledge, skills, and attitudes that supervisors bring to their assignments. First, consider the influence of the supervisor's role.

Fifty years ago, the production-line supervisor on the shop floor of a manufacturing plant was probably accepted as a good model for the typical supervisor. Fifteen years ago, the role model was more nearly a clerical supervisor in a service organization—a bank, an insurance company, or in public administration. Today, the concept of a laid-back, participative supervisor of knowledge workers is a popular, if not entirely realistic, model. The fact of the matter is that none of these stereotypes has ever been realistic. And the concept of a clearly defined, universal model is even less likely today.

What roles do supervisors play in an organization?

The behaviorists state that **"a role concerns a social relationship between occupants of positions, with mutually understood expectations about behavior that should characterize this relationship."** Thus, the supervisor must view his or her role in relation to superiors, subordinates, and peers in line or staff departments. This role, however, is inevitably constrained by the norms of the particular-organization.

Again, the behaviorists advise that **"norms are patterns of shared understanding concerning the behavior appropriate to a member of an organization ... and include work activities, beliefs, and attitudes."** Hence, a supervisor's role is defined, not only by his or her relationships with other members of the organization, but also by what the organization expects from that supervisor in the way of performance and attitudes.

Given the limitless number of combinations of positions, functional specialties, corporate missions, and organizational structures, it should not surprise human resources professionals that there are significant and practical differences among supervisory roles. Accordingly, trainers should be wary of generalizations and foregone conclusions in this area. A good grasp of possible role models, together with an insight into some major contributing variables, should precede the search for specific skill competencies required of supervisors in the target organization.

1.2 Traditional Role Concepts

- "People in the middle," the hard place between genuine managers and rank-and-file employees.
- "Keystone in the organizational arch," the supporting structural member between management and the work force.
- Supervisors more pragmatically are the "link-pins" between the upper and lower planes of an organizational structure; supervisors act as a series of flexible couplings, transmitting orders and instructions from above while absorbing shocks and disturbances from below.
- Supervisors to be legally "part of management." This specifically prohibits supervisors from joining unions of production or clerical workers, although they may form a union composed exclusively of supervisors.
- A supervisor's role is "facilitation." Making resources and information available to subordinates while allowing them to plan and implement their own work. Such "goal-oriented" supervisors (see figure 1.3) intervene to exercise control only when necessary.



1.3 Definition of the Supervisor's Role

Supervisors carry many titles: "supervisor," "department head," "section chief," "assistant department head," "office manager," even "foreman" or "forewoman". The federal government, in one of its publications, provides a simple; understandable definition of a supervisor's role:

A first-line supervisor is the member of the management team who is in actual and constant contact with the non-supervisory workforce, who is responsible for their production output and who plans, assigns, and evaluates their work in accordance with directions given by the supervisor's superiors. To the overwhelming majority of workers, the first-line supervisor is their primary, if not their only, link with management. It follows, then, that the way supervisors manage their people, the department's materials and machinery-but especially the people-will determine whether or not that segment of the whole organization will be productive and effective, and will contribute to the desirable growth of the organization. An ineffective supervisor may well vitiate the plans and efforts of top management.'

While there are many other popularly accepted definitions of the widely - used title of "supervisor," a simple one seems to serve best. It was developed by the International Labor Office after considerable study of the literature:

Supervisors are usually first-line managers whose major function is working with and through non-management employees to meet the objectives of the organization and needs of the employers.

A modification of this definition is proposed by the Opinion Research Corporation, which suggests that within the limits of the definition, another distinction can be made:

There are first-level supervisors, who manage only non-managerial employees; and there are also second-level supervisors, who manage other supervisors in addition to non-managerial employees.

1.4 Changing Scope of Supervisory Responsibilities

- In earlier years, supervisors were chosen for their technical skills or craftsmanship. The superior mechanic or typist was rewarded by being promoted to foreman/forewoman or chief clerk. In many uncomplicated situations, this method worked quite well. The journeyman/journeywoman or highly capable office employee, proud of his or her skills and knowledge, was naturally looked up to and respected as the most expert in the department.
- As time progressed, however, business and institutional activities have become more complicated. Divisions of organizations have become more specialized. Machines and computers have increasingly taken over the work formerly done by people. In this milieu, the supervisor's job requires, in general, less comprehensive technical knowledge. Instead, it calls for **supervisors to possess a wider variety of skills, particularly those for dealing with people effectively and for planning, organizing, and directing operations**. Breadth of skills, not necessarily depth in a specific craft, has begun to take precedence in the supervisory world. In addition, **skills in motivating and leading people** increasingly constitute the "make-or-break" area of supervisory responsibility.
- Modern supervisors are responsible for the achievement of some sort of end product, this end product may be on paper, in the form of accounts, written material, diagrams, pictures, and so on; it may consist of certain types of services rendered; or it may consist of concrete items of manufacture. Whatever it is, **supervisors must see that their workers produce it in the number and quality, and utilizing the method, required by organizational specifications, at the place and time stipulated**. If supervisors do not get the production out, they are not doing their jobs: this is the be-all and end-all. In order to get out the production, they must see that their workers produce. Since supervisors can no longer be martinet-and force subordinates to produce, they must instead motivate and stimulate people to produce. This is accomplished by ingenuity and leadership. We can therefore conclude that supervisors' production is a function of their leadership abilities.



Leadership is the activity of influencing people to cooperate toward some common goal. It is a process that satisfies the needs and purposes of the organization it serves and at the same time allows for creativity and satisfies the fundamental human needs of the people in that organization. Most authorities agree that the qualities and skills of leadership can be learned. Identification and improvement of these leadership skills (communicating, motivating, personal problem solving, counseling, and so forth), are now necessary considerations in the design of supervisory development programs.

Robert R.Blake and Jane S. Mouton have repeatedly asserted that the manager's role has two important dimensions-a concern for people (the leadership aspects) and a concern for production. Based on their own research, Blake' and Mouton identified two attitudinal dimensions, to be distinguished from the behavioral dimensions identified in the research originating at Ohio State University. They visualize these roles as being complementary and illustrate this relationship on a grid, or matrix. More recently, they have prepared a special version of their widely accepted Managerial Grid for supervisory roles. This is illustrated in figure 1.1. If nothing else, the grid concept helps to establish the potential dichotomy in the roles that supervisors must perform.

<p>1.9 <i>Comfortable and Pleasant</i></p> <p>Attempts are made to promote harmony and good will. Issues, which may cause disruption, are smoothed over with the hope that things will continue to go well in the work situation.</p>	<p>9.9 <i>Quality Achievement</i></p> <p>People work together to get top-notch results and are willing to measure their accomplishments against the highest possible standard. All involved support and hold one another accountable for actions influencing the results.</p>
<p>1.1 <i>Do-Nothing Neutrality</i></p> <p>An approach associated with low concern, "passing the buck," and skillfully camouflaged "doing little or nothing".</p>	<p>5.5 <i>Accommodation and Compromise</i></p> <p>With this go-along-to-get-along, "don't-rock-the-boat" approach, progress may be made, but only within the company's rules and regulations.</p>
<p>9.1 <i>Produce or Perish</i></p> <p>Results may be achieved for a short time. Used over the long time, it motivates people to "beat the system" or, at the very least, decreases their willingness to contribute.</p>	

Figure 1.1 The Supervisory Grid (Source: Reprinted with permission from Robert R. Blake and Jane Srygley Mouton, The New Grid for Supervisory Effectiveness)



1.5 Supervisors Own Definition of Their Role

In a National Survey of Supervisory Management Practices involving over eighty-five hundred supervisors, these conclusions were drawn about the role of supervisors:

- They see themselves as the boss, often operating independently on their own best instincts and judgment rather than according to policy. Their alignment with management is tentative at best. Only 40 percent say they "feel a part -of company management"; 19 percent say they "feel closer to my employees than to company management." Another 17 percent "feel closer to other supervisors," and still another 18 percent say, "I feel that I am on my own as a manager most of the time." Some 6 percent say, "I feel that my boss and I are the company management."
- Their thinking is in line with the traditional values of hard work and experience leading to achievement. The seniority principle, according to which service is rewarded by promotion and security, appears to be "a good idea" to more than three-quarters of them. Performance appraisals as "effective guides to motivation and discipline" get the same degree of approval.
- They are ambivalent about employee motivation. On the one hand, 93 percent' of all supervisors say that "most employees want to do a good job," and 83 percent say that "most employees willingly accept responsibility for their own work." On the other hand, 66 percent say that "the main interest of most employees is to get enough money to do the things they want to do," while 61 percent say that "employees require close supervision," and 41 percent say that "most employees have to be pushed to produce."
- All in all, however, supervisors are a vital, rather happy group. They are almost unanimous (95 percent) in saying that "what happens in my company or organization is really important to me." Only 24 percent say that "money is what's most important about my work." Eight out of ten (82 percent) say, "Generally speaking I am satisfied with my job."
- Many supervisors and middle managers feel abandoned by senior management. They believe that they have been left to "run the shop" while management decides what it wants to do, how it wants to do it, and when all this will happen, with little input from those closest to the operation. This perceived lack of involvement is particularly insidious where communications are poor and managers are not trained effectively. Furthermore, our profiles of middle and lower managers' attitudes indicate that their thinking, understanding, and commitment in such an environment mirrors that of their subordinates rather than that of their superiors.'

1.6 Segmenting Supervisory Responsibilities, For Training Analysis

Generalizations about supervisors-and the training they will need-become more meaningful when their responsibilities are segmented into certain basic classifications. A major research study,¹⁰ for example, shows significant differences in demographic dimensions, problems, and attitudes when supervisors are classified according to

- the jobs they are asked to perform,
- the extent to which they supervise other supervisors as well as rank-and-file employees, and
- their educational level, as illustrated in the accompanying box. Supervisors who fit into column A, for example, tend to be alike in many ways.



They differ significantly in many ways, however, from those who fall into column B, although those in column B exhibit similar characteristics among themselves. When supervisors' are grouped by demographic factors, in this manner, it becomes clear that they are different kinds of people doing different kinds of work.

Not only do supervisors differ categorically in their. personal dimensions and in the jobs they perform; they also differ-as a result of variations in their demographic traits-in the way they look at their jobs and in the way they feel about important aspects of their work. This is dramatically illustrated by data showing categorical variations in the attention paid by supervisors to a number of key job activities. For example:

Table 1.1 Three Major Ways of Categorizing Supervisors

Three Major Ways of Categorizing Supervisors	
Column A	Column B
Job Function and Setting	
<ul style="list-style-type: none"> • Blue-collar employees • Unionized employees • Production-oriented functions • Manufacturing, construction and/or mining industries 	<ul style="list-style-type: none"> • White-collar employees • Nonunionized employees • Clerical-oriented functions • Banking, insurance, service, institutional, and/or government/military establishments
Level of Supervision	
<ul style="list-style-type: none"> • First-level: supervise only rank and-file hourly or salaried employees 	<ul style="list-style-type: none"> • Second-level: supervise other supervisors as well as rank-and-file employees
Educational Level Attained	
<ul style="list-style-type: none"> • No higher than high school diploma 	<ul style="list-style-type: none"> • College degree or higher

Job function and setting. The key distinguishing factor in this category is whether the employees supervised are blue-collar or white-collar. White-collar supervisors, for example, devote considerably more time and attention than do blue-collar supervisors to interviewing' and placing employees, consulting with staff people, attending departmental meetings, and improving methods and procedures. Blue-collar supervisors spend significantly more time than do white-collar ones in planning production schedules, making job assignments, and coping with 'safety, production, and quality-control problems. Other related factors-such as whether or not the supervised employees are union members, the degree of production-oriented responsibilities, and whether the establishment provides a product or a service-reinforce even more the blue-collar/white-collar distinctions.

Level of supervision. Nearly half of, all those surveyed said they supervise other supervisors in addition to nonexempt personnel. These are second level supervisors, and there is clearly a difference between their job requirements and those of first-level supervisors, who manage only nonexempt employees. Many serious surveys, including Opinion Research Corporation's in 1970," have recognized this distinction between levels, but their reports have failed to show how this affects the nature of supervisory problems and attitudes. The National Survey of Supervisory Management Practices, however, reveals significant differences all along the line. For example, second-level supervisors- are far more concerned than first-level supervisors with production planning and control, discussing employee personal and performance problems, devising improved methods and procedures, and solving cost-related problems.



Educational attainment. Among supervisors in this study, differences in educational attainment are associated with dramatic variances in demographic dimensions, such as pay and age. This might be expected. Not expected was the fact that supervisors' assessment of problem intensity and attitudes was, in some cases, even more dramatically affected by educational achievement. More highly educated supervisors, for example, - are far more jaundiced in their estimates of the effectiveness of cost reduction and appraisal programs. They are also distinctly negative about the seniority principle. And somewhat surprisingly, they are much more likely to perceive minorities as being singled out for favoritism. Some 20 percent of the most highly educated supervisors thought blacks were given special treatment, 13 percent for Hispanics, and 14 percent for women. These figures compare with 12 percent, 6 percent, and 8 percent respectively among the least-educated supervisory group.

Analysis with a Four-Cell Matrix

Differences observed according to the three categories outlined above are, of course, more a matter of degree than absolute. There is a good deal of blurring of the lines between classifications. Nevertheless, before drawing any conclusions about supervisors, it is extremely helpful to first try classifying them according to the four-cell matrix illustrated in figure 2-5. Survey data support the matrix's presumption that there are-at the very least-four significantly different groups of supervisors: (1) blue-collar/first-level, (2) white-collar/ first-level, (3) blue-collar/second-level, and (4) white-collar/second-level. Using survey data, it was possible to develop characterizing profiles of each segment, as shown in the figure. These differences and others will impinge heavily on the design of supervisory training and development programs. For example, further analysis of the National Survey of Supervisory Management Practices data showed significant, differences according to the operating areas in which supervisors were employed:

Purchasing supervisors placed greater-than-average job emphasis on meetings with their bosses about work-related problems, solving scheduling problems, and dealing with customer-related problems. Purchasing supervisors, however, appeared to be much more confident than other supervisors regarding computer-related matters."

Marketing supervisors said they experience greater pressures than do other supervisors with respect to discussing employee performance, keeping costs in line, and obtaining the required output of work. They were less concerned with work inaccuracies and labor and material shortages. They did, though, report an alarmingly high concern with the extent to which they were asked to do things that are contrary to their moral beliefs regarding what is right and wrong.

Engineering supervisors appeared to be unusually uncomfortable with the interpersonal aspects of their responsibilities, although they claim to engage more broadly in participative-management styles. They tend to expect more in the way of a support structure from their parent organizations, and they are not especially persuaded of the effectiveness of performance appraisals, suggestion systems, or cost-reduction programs. They rely more heavily than do other supervisors on the grapevine for vital information. And they, more than other supervisors, view their organization's treatment of minorities as preferential.'

It is not unlikely that such in-depth surveys and analyses of supervisors in most organizations would reveal similar, significant differences among supervisory role perceptions according to industry and/or function.

Dimensions of Supervisor Competencies



2. Dimensions of Supervisor Competencies

- 2.1 Five Essential Responsibilities
- 2.2 Critical Dimensions of Competencies
- 2.3 Methods for identifying competencies



Introduction

Probably the most significant philosophical advancement in training made in the last twenty-five years has been the concept of competency-based training. Stated simply, competency-based training attempts to provide the skills needed to perform a particular task and. In some ways, it is a complete turnabout from the traditional craft, or journeyman- training, where it was expected that the apprenticeship would eventually enable the individual to perform a complete range of skills, whether or not these were ever required of the worker on a particular job.

Competency-based training got its impetus after World War II when Dutch consultants were brought into the Arabian oil fields to train relatively unskilled, unlettered employees. The consultants concluded that it would save time and money if the workers were trained only in a narrow, or selective, spectrum of skills required for the particular work involved. The workers trained according to this philosophy were deemed to be more than satisfactory by their employers. Their range of skills, however, was limited and often not transferable to other employers. The Dutch consultants called this selective approach to skills training "accelerated training."

This focused approach to specialized training, with its emphasis on company-specific rather than craft-specific skills, was slow to be accepted in the United States. Trade unions, understandably, were opposed to it. So, too, however, were trainers, who viewed it as a step backward in human resources development. Nevertheless, the basic idea was grudgingly acknowledged to be in tune with parallel advances in specialized technology. In fact, a closer study of supervisory-training programs in particular led many authorities to wonder whether or not many of the skills being taught might be off target. And many were. Supervisory skills training could be faulted, on the one hand, for offering developmental courses in skills that were not relevant and would never be used and, on the other hand, for failing to offer improvement in the vital supervisory skills needed to perform effectively on the job. The latter shortcoming is, of course, the most damaging.

It should be noted that competency-based training is related to, but different from, training needs analysis (which will be treated separately in chapter 6). Needs analysis can take place only after the required competencies of a position have been determined. Competency-based training 'examines the' position; needs analysis looks at the individuals filling this position.

Supervisory-training programs, then, should spring from a clear knowledge of the competencies employers require of their supervisors. Generalizations about competency are not nearly so good as specific definitions gathered by each organization through- observation and research. Nevertheless, authorities have formulated many helpful hypotheses about necessary supervisory competencies.

2.1 Five Essential Responsibilities

2.1.1 Responsibility to higher management.

The supervisor must:

- Plan the work of the department
- Coordinate the department's work with that of other departments
- Select and train employees when needed
- Make work assignments
- Interpret and implement management policies
- Understand and communicate to employees all aspects of company operations
- Make production decisions (for example, start jobs, stop jobs, authorize changes, take unsafe tools out of production)



- Maintain both morale and discipline
- Keep control of costs
- Send recommendations for change upward
- Motivate department members

2.1.2 Responsibility to employees.

The supervisor must:

- Develop good morale
- Stand up for employees when they are being treated arbitrarily from above
- Establish a warm and trusting working climate within the department
- Handle employee problems promptly
- Be fair in all departmental matters
- Explain to employees all matters connected with their jobs
- Train employees when needed
- Assume the role of counselor, on occasion
- Distribute all departmental amenities fairly
- Discuss proposed changes before change takes place -
- Maintain a safe and clean work area
- Provide sound policies for employee personnel problems (when not provided by higher management)
- Explain fringe-benefit plans and pay systems
- Orient new workers
- Coordinate and plan work so that work loads are as stable and predictable as possible

2.1.3 Responsibilities to coworkers.

The supervisor must:

- Coordinate whatever work flows or paperwork needs to be exchanged among supervisors
- Communicate with other departments about mutual needs and problems
- Give them support as members of the same management team
- Coordinate policy interpretations with other departments to assure consistency and uniformity



2.1.4 Responsibilities to staff departments.

The supervisor must:

- Comply with reasonable requests for information from staff managers
- Utilize whatever standardized reporting forms are necessary per the judgment of staff managers
- Listen to the counsel of staff managers pertaining to matters that fall into their areas of expertise
- Consult with appropriate staff managers to utilize their special expertise on problems

2.1.5 Responsibility in labor matters.

If the company is unionized, then the supervisor must also:

- Become knowledgeable about every aspect of the labor agreement
- Attempt to maintain a conciliatory atmosphere in the relationship with the union
- Respect the terms of the agreement, even though the supervisor may personally disagree with it
- Effectively administer the grievance machinery of the labor contract
- Treat all employees fairly, including union members
- Represent management, for that is where a supervisor's first loyalty lies

2.2 Critical Dimensions of Competency

A number of authorities and concerned enterprises have compiled comprehensive lists of supervisory attributes, or dimensions. The lists are often long, and many include personal qualities as well as actual proficiencies related to specific job performance. There is, however, a useful consensus among most competency- lists.

2.2.1 Assessment-Center Dimensions

The dimensions of supervisory competence often measured in assessment centers include:

- Impact
- Creativity
- stress tolerance
- leadership
- sales ability
- sensitivity
- initiative
- independence
- problem analysis
- planning and organization
- judgment
- decisiveness of delegation
- flexibility
- tenacity



Research findings have validated the use of these criteria (under professionally supervised assessment-center conditions) to be in compliance with the Equal Employment Opportunity Act as a means of identifying management potential.'

2.2.2 AMA Competencies Model

Table 2.1 Model of Competencies of a Successful Manager

Model of Competencies of a Successful Manager (Developed by the American Management Association)	
Knowledge Competencies	
1.	This is a threshold requirement. All successful managers must have a certain amount, but a lot more knowledge alone will not make a superior manager.
Entrepreneurial Competencies	
2.	Efficiency orientation: a continuing interest in doing things better and finding the best combination of resources.
3.	Proactivity: the urge to initiate action, write a report, call on a customer, start something going.
Intellectual Competencies	
4.	Logical thought: a dedication to placing events in a causal sequence.
5.	Conceptualization: the ability to assemble information and seemingly unrelated ideas and events into a pattern.
6.	Diagnostic skills: the ability to apply concepts and theories to real-life situations.
Socioemotional Competencies.	
7.	Self-control: the ability to -place organizational needs above personal reactions.
8.	Spontaneity: the ability to express ideas freely and easily, even if not effectively.
9.	Perceptual objectivity: the ability to understand and/or present contrasting points of view skillfully, especially in conflict situations.
10.	Accurate self-assessment: an awareness of own strengths and weaknesses.
11.	Stamina and adaptability: high energy levels and the ability to function effectively under pressure.
Interpersonal Competencies	
12.	Self-confidence: a compelling faith in own ability to attain goals.
13.	Developing others: a conviction about his or her responsibility to help others, to seek and develop disciples, to coach and counsel.
14.	Concern about impact: awareness of the way in which what he or she does and says will affect the organization and subordinates.
15.	Unilateral power: the personal ability to get others to go along with prescribed directions, commands, policies, and procedures.
16.	Socialized power: the ability to build a network of alliances and support within and outside the organization.
17.	Oral communications: the ability to speak so that others can understand; the successful manager uses parables, develops anecdotes, and provides illustrations that people can grasp quickly.
18.	Positive regard: a deeply rooted belief in the ability of others in the organization to perform effectively when given a reasonable chance.
19.	Managing group processes: the ability to inspire teamwork; the successful manager praises cooperation and direct coordination in a way that promotes identity and morale in a work group.



2.2.3 Company-Specific Dimensions

Honeywell has for years employed a validated testing program for the identification of supervisory potential. The criteria, or standards, are described as "performance standards statements for first-line supervisors." For each of the thirteen standards listed below, there are also a dozen or more "critical-incident" illustrations to support the identification of the particular competence:

1. **Ability to plan for the accomplishment of goals.** Includes determining subgoals to support company goals, anticipating possible problems, gathering relevant information, setting priorities, and implementing plans.
2. **Ability to administer rules and policies fairly and consistently.** Includes knowledge of company rules and policies;; and ability to interpret and explain the purpose of policies.
3. **Interdepartmental relations.** Includes the ability to develop and maintain harmonious relations with other departments for the good of the company.
4. **Ability to train and develop subordinates.** Includes proper orientation of subordinates to company, department, and job; motivation of subordinates; performance counseling; and other developmental methods such as rotation of job assignments.
5. **Initiative.** Includes the ability to seek out solutions, make decisions, take action, and meet deadlines.
6. **Member of management.** Involves the ability to consider and express himself or herself as part of management and to work accordingly. Includes knowing what is expected and disseminating company policy despite personal ,feelings.
7. **Technical competence.** Includes familiarity with technology, principles, and processes of the area supervised and the ability to suggest and effect improvements in the quality and quantity of work supervised.
8. **Human relations skills.** Involves the ability to get along well with others, communicate facts clearly and completely -in a tactful manner, and get work done without adverse feelings.
9. **Safety and housekeeping.** Involves knowing and enforcing safe practices and procedures.
10. **Communications.** Includes providing feedback to superiors on the status of projects, proper preparation, timely submission of required reports, and prompt and complete problem reporting.
11. **Willingness to accept responsibility.** Includes attending to assigned duties, following up on details, and meeting commitments.
12. **Integrity, trustworthiness, and honesty.**
13. **Department administration.** Includes forecasting, budgeting, cost control, cost improvement, record keeping, report preparation, inventory control, and justification of capital expenditures.'



Table 2.2 Comparative Importance Ranking of Competencies

Competency	Importance for:	
	Managers	Technicians
1. Command of basic facts	Medium	High
2. Relevant professional knowledge	Medium	High
3. Continuing sensitivity to events	High	Medium
4. Problem-solving, analytical, decision/judgment making skills and	High	High
5. Social skills and abilities	High	Low
6. Emotional resilience	High	Low
7. Proactivity and inclination to respond purposefully to events	High	High
8. Creativity	Medium	High
9. Mental agility	Medium	Medium
10. Balanced learning habits and skills	Medium	Medium
11. Self-knowledge	High	Low

Public Employment Dimensions

Culbertson and Thompson surveyed 314 supervisors in public employment (Kentucky) and developed the following ranking of required supervisory competencies:

1. Motivating
2. Developing employees
3. Communications
4. Leadership
5. Planning/organizing
6. Human relations
7. Performance appraisal
8. Disciplining
9. Decision making
10. Handling complaints and grievances
11. Management methods such as MBO
12. Written reporting systems
13. Counseling
14. Functioning in the organization
15. Time management
16. Delegation
17. Affirmative action
18. Safety
19. Termination procedures
20. Interviewing
21. Hiring procedures
22. Budgeting



AT&T's Master Competencies

In probably the most exhaustive research ever conducted into the identification of competencies, AT&T isolated and ranked fourteen principal tasks of supervision, as illustrated in table 2.3. The research (described later in the chapter) began with the identification of a number of supervisors judged as "masters" in view of their outstanding performance and appraisals. Their competencies eventually became the basis for the list provided in table 2.3. AT&T's analysis identified not only the fourteen basic duties but also the major tasks, decision points, skills, and related knowledge areas associated with each..

Table 2.3 AT&T's Competencies For Master Supervisors

Rank Order	Process	Percentage Time Spent on the Process	Frequency of Performance
1	Controlling the work	17	Every day
2	Problem solving	13	Every day
3	Planning the work	12	Every day
4	Informal oral communication	12	Every day
5	Communication	12	Every day
6	Providing performance feedback	10	Every day
7	Coaching a subordinate	10	Every day
8	Written communication/documentation	7	Every day
9	Create/maintain motivative atmosphere	6	Every day
10	Time management	4	Every day
11	Meetings	4	Twice monthly
12	Self-development	2	Weekly
13	Career counseling a subordinate	2	Bi-monthly
14	Representing the company	1	Monthly

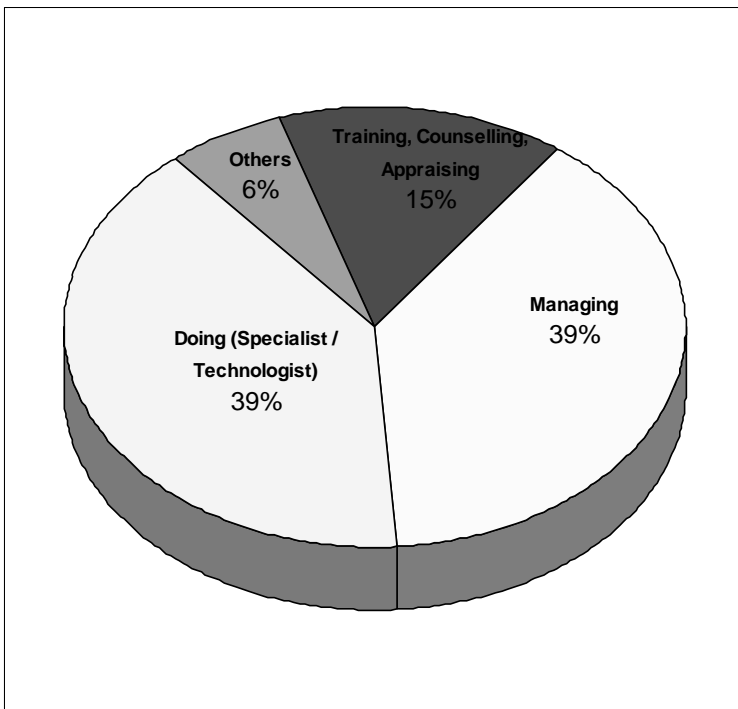


Figure 2.2 How Supervisors Distribute Their Time Among Various Roles (Source: Adapted from Philip Marvin, Executive Time Management (New York: AMACOM, 1980))



2.2.7 Important Competency-Related Variables

When the analyst's focus shifts to the activity of compiling lists, it is all too easy to lose sight of the main purpose of competency identification. Long lists of competencies often obscure important variables. There is the question of priorities and time demands, for example.

The AT&T list is prioritized, although each of the fourteen items is given almost the same weight, and provides an estimate of the relative time spent on each activity.

Baker and Holmberg analyzed data gathered by the American Management Association and derived the supervisory time distribution chart shown in figure 3-1. They also found that supervisory time devoted to managerial functions can be ranked from most to least in this order: implementing, planning, organizing, delegating, evaluating, innovating, and staffing."

2.2.8 An eye on the bottom line

It is well to keep in mind that supervisory performance will generally be judged by universal measures: (1) how well the supervisor manages the various resources made available to the department and (2) the value of the results accomplished. (See figure 2-2.)

2.2.9 Managing Resources

It is expected that a supervisor will manage the following things effectively:

- **Facilities and equipment**, such as a certain amount of floor space, desks, benches, tools, production machinery, computer terminals, and microfiche readers. The supervisor's job is to keep these operating productively and to prevent their abuse.
- **Energy, power, and utilities**, such as heat, light, air-conditioning, electricity, steam, water, and compressed air. Conservation is the principal measure of effectiveness here.
- **Materials and supplies**, such as raw materials, parts, and assemblies used to make a product as well as operating supplies, such as lubricants, stationery, cassette holders, paper clips, and masking tape. Getting the most from every scrap of material and holding waste to a minimum are prime measures here.
- **Human resources**, such as the work force in general and the supervisor's employees in particular. Since supervisors do little or nothing with their hands, their biggest job is to see that these people are productively engaged at all times.
- **Information**, such as that made available by staff departments or found in operating manuals, specification sheets, and blueprints. Supervisory success often depends on how well the supervisor can utilize the data and know-how made available to him or her through these sources.
- **Money**. All the above can be measured by how much they cost, although the actual cash will rarely flow through the supervisor's hands. Nevertheless, supervisors are expected to be prudent in decisions that affect expenditures and may have to justify these in terms of savings or other benefits.



2.2.10 Attaining Results

It follows (in managerial logic, at any rate) that when resources are managed properly; desirable, productive results will be forthcoming. In most organizations, the emphasis will be on the following:

Output, or production. Specifically, the supervisor's department will be expected to turn out a certain amount of work per day, per week, and per month. It will be expected that this will be done on time and that the department will meet delivery schedules and project deadlines.

- Quality and workmanship. Output volume alone is not enough. Supervisors will also be judged by the quality of the work their employees perform, whether it be measured in terms of the number of product defects, service errors, or customer complaints.
- Costs and budget control. Departmental output and quality efforts will always be limited by the amount of money supervisors can spend to carry them out. Universally, supervisors attest to the difficulty of living up to cost and budget constraints.

2.3 Methods for Identifying Competencies

If the human resources development professional wishes to go beyond the selection of logical competencies from one of the established lists, such as those provided above, there are three fundamental ways to proceed.

2.3.1 Traditional Job Analysis

Using the job-analysis approach, the analyst gathers data about the tasks and competencies required of supervisors in a particular organization by any of three methods:

1. Interviewing supervisors and their superiors to obtain a list of
 - a. tasks supervisors perform,
 - b. related responsibilities as well as performance standards and measures, and
 - c. opinions from these individuals and from staff specialists about the skills needed to perform the tasks and discharge the responsibilities indicated.
2. Surveying supervisors and their superiors (seeking similar information) using one of the established lists of competencies, with or without a request for some sort of ranking of importance (from 1 to 10, for example) and time allotments (in percentage of time spent, hours per day or week, or whatever).
3. Studying existing job descriptions and specifications to obtain such data.

Once the data have been gathered, they can be sifted, ranked, and consolidated by further interviews and/or surveys and/or group meetings of supervisors. Another approach is to assign the interviews and survey studies to a task force, with final refinement verified by consultation with incumbent supervisors..

2.3.3 Statistically Verified Research

Few organizations could afford to, or would wish to, pursue the kind of extensive supervisory competency research conducted by AT&T in the late 1970s and early 1980s. Nevertheless, the process that the AT&T study teams followed is worth keeping in mind while searching for your own organization's supervisory competencies. In **phase 1**, AT&T simply reviewed all the relevant data the corporation had accumulated in its years of research. The result was the identification of four generic duties:



1. Organizing and planning;
2. Directing, controlling, and delegating;
3. Supervisor / Subordinate relationships; and (41 communications and coordination.

Phase 2 involved the development of an interview checklist based on the four generic duties, along with five related tasks for each. Supervisors and their superiors were asked to

1. rank duties and assign frequencies to them and
2. rank tasks. Important open-ended questions asked during this phase included:
 - o "What about frequency? How is each performed?"
 - o "Look at each output separately. What does each look like? What form does it take? Who gets it? How?"
 - o "What does each contribute to achieving the company's purpose?"

A mastery model was developed from these interviews. (Refer back to table 3-2.) Next, survey participants were asked to rate the mastery model items according to their relative level of-difficulty and the need for related training. Levels of difficulty were ranked as follows:

- o **High-complexity processes:** planning the work, controlling the work.
- o **Moderate-complexity processes:** problem solving, providing performance feedback, coaching a subordinate, creating/maintaining a motivating atmosphere, time management, communication, informal oral communication, career counseling.
- o **Low-complexity processes:** self-development, representing the company, meetings.

The final element in the mastery model was the preparation of an analysis of the 14 principal duties, identifying for each:

The number of tasks

- The number of decision points (from 1, coaching a subordinates, to 6, planning work and controlling work).

Figure 2.3 portion of the flowchart used by at&t to prepare. Its mastery model for planning tasks and decision points

- The specific skills for each (from 1, communication, t4 A, performance feedback) and the knowledge areas (from 3, representing the company 4i 60, performance feedback).

In all, the complete model contains 187 major tasks, 42 decision (contingency) points, 196 skills, and 383 knowledge areas, for a total of 808 items

Each of the 14 duties is represented in the mastery model report with,, a flowchart (see figure 2.3); a set of performance standards indicating outputs expected and methods of measurement; a step-by-step manual indicating tasks, decision points, and skills and/or knowledge needed at each point; and a diagnostic test for determining the specific training needs for incumbent Pr candidate supervisors for that duty.



2.3.3 Psychological Testing

Honeywell, General Electric, AT&T, and others use standardized tests in validating their competency criteria and/or in selecting supervisory candidates according to these criteria. Legally acceptable validity testing must be checked against successful performance in the supervisory position. Many standardized tests are used, however, for selecting candidates. Examples include tests for general mental ability, personality and motivational inventories, and the Thematic Aperception Test, along with business games, simulations, and in-basket exercises.

Studies conducted over the years at AT&T have shown that middle-level "non-promotable" managers are most likely to manifest deficiencies in the following competencies: leadership skills (82 percent), administrative skills (73 percent), achievement motivation (45 percent), managing interpersonal conflicts (45 percent), and intellectual ability (32 percent)."

Orientation Framework for New Supervisors



3. Orientation Framework for New Supervisors

- 3.1 Guiding the Transition
- 3.2 Assisting with Structured Frameworks
- 3.3 Clarifying Conceptual Difficulties

There are many formal programs for preparing fledgling supervisors to adjust to their new position, both pre-supervisory training and basic supervision courses intended for newly promoted supervisors. There are also programs that provide new supervisors with an orderly, structured introduction to their responsibilities and environment, as illustrated by the model program in Chapter 10 (see the section headed "Program Configuration by Levels of Experience"). Actually, much more should be done for the new supervisor. The transition stage from a non-supervisory position to one with genuine managerial responsibilities can be damagingly traumatic. Special attention should be given to this transition, quite aside from the formally planned and conducted training program.

3.1 Guiding the Transition

The sudden shift in relationships and environment brings about a culture shock for many new supervisors. For a major portion of their working lives, they have had a purely bottom-upward view of the organization. Their initiative has been limited, and the impetus and direction for action have come from above. The main job concern was to look out for one's self and to take charge of one's own work. Now, quite suddenly, the new supervisor must acquire a radically different viewpoint.

3.1.1 Dealing with Ambiguity

New supervisors are now in a position to push rather than be pushed, and they must concern themselves not only with their own work but also with that of several other people. On the other hand, confusingly enough, they must still maintain a bottom-upward view of the management organization that continues to tower above them. It is not surprising that individuals who are troubled by ambiguity have difficulty accommodating themselves to this new role. Accordingly, they will benefit greatly from the guidance that often only a trained professional human resources person can provide. And in turn, they will become avid supporters of the formal training that follows.



Figure 3.1 Transition In Point Of View And Environment (Source: Reprinted with permission from Lester R. Bittel, *What Every Supervisor Should Know*, 5th ed. (New York: McGraw-Hill Book Company, 1984))

This crossover, or step-upward, dilemma can be portrayed in two ways. Figure 5-1 emphasizes the "step-upward" aspect, where one leaves behind his or her long-time associates and the easygoing ways of the rank and file. New supervisors then move into a stratum that is, at first, seemingly unfriendly and more formal. A second view of this critical stage of development is more complex. Here, the transition to supervisor implies an ambiguous change of function and technical role. The supervisor retains a portion of the operative role while attaining only a portion of the managerial role. Either way, new supervisors can be expected to flounder until they fully determine what their roles will be in their particular organization and adjust accordingly.



3.1.2 A Broader Environment

The work environment at the supervisory level is often significantly different from that at the operating level. The trappings and status of office may be slight, but they do have their effect—a shirt and tie rather than a T-shirt; a desk and telephone, or an office, rather than a group work area; lunch in the cafeteria rather than from a brown bag. The more dramatic environmental changes, however, will come from concepts, not objects—costs, budgets, variances, overhead, inventory levels, backorders, authority, motivation, conflict, and the like. Work that used to have a narrow, clear-cut focus on a particular machine, product, or service may now involve broad and complex new concerns.

There is also a shift in the degree of emphasis given technical, human, and administrative matters, as shown in figure 5-2. The reduced reliance on technical proficiency for power and influence makes itself felt.

During this brief, but critical, period of stress, training professionals can help newly appointed supervisors by:

1. *Reassuring them that the initial difficulties they are experiencing are not unusual.*
2. *Making informal counseling sessions readily available;* the need for this will diminish rapidly as adjustments are made.
3. *Directing them to specialized sources of information and support,* such as the information systems, industrial engineering, production and inventory control, and purchasing department staffs.
4. Guiding them toward short-range goals that will build their confidence when mastered, such as accomplishing a certain task or solving a particular problem "by the end of the month"—selecting only one or two targets at a time rather than trying to absorb and accomplish everything immediately.
5. Helping to gain acceptance for them by the other members of the management group. As with everyone else, supervisors' morale is lifted when they know that they are accepted and recognized as part of their new group—in this case, the real management group. The satisfaction that results from such relationships has a direct and dynamic effect on new supervisors. Higherlevel managers can offer such personal incentives as a friendly manner, formal and informal commendations, or special assignments to build sound relationships with their subordinates. Inclusion of new supervisors in staff meetings with an opportunity to participate is a sound method for expanding their grasp of management problems and possible solutions. Many organizations write a carefully worded letter to new supervisors welcoming them into the management group. All such activities will stimulate personal growth and a sense of responsibility in new supervisors.

3.2 Assisting With Structured Frameworks

Stress is often most quickly relieved by hard physical work. New supervisors tend to be concerned at first with the mental and psychological aspects of their jobs rather than the physical ones. Yet mental and social accomplishments are hard to recognize and measure. The attainment of physical goals, however, is more readily observed and acknowledged. For example, it is easier to measure a supervisor's performance by counting the day's output of products made or client services rendered than by determining whether an interpersonal problem between two employees has been resolved. Accordingly, during the orientation period for new supervisors, a couple of straightforward pen-and-pencil devices can be offered that will enable them to assess the physical dimensions of their operations. After the first few weeks, these devices may diminish in usefulness and may not be necessary, but they can be invaluable—in the beginning.



3.2.1 Planning the Long Day's Journey

The newcomer's first few days as a supervisor may be bewildering. An unspoken question in the supervisor's mind is often, "What do I do besides sharpen pencils and walk around looking important?" The philosophical answer is that the job will come to him or her. Problems will arise with alarming frequency. There will be little time for incidental chores or meaningless strutting. The "kitchen" will become quite hot, and if the supervisor stays in it for very long, he or she will soon learn how to get the meals out. Nevertheless, it does help for the new supervisor to prepare at the start a specific, procedural answer to the question "What do I do?" The box on the facing page provides a list of a number of typical steps to be performed each day. They are arranged roughly in sequence, with an estimate of the time to be allotted to each cluster of activities. The example given here is for a production supervisor. It can easily be modified to fit the tasks of a clerical, service, retailing, shipping, payroll, or any other kind of supervisor.

3.2.2 Mapping the department's territory

Another rather easy way to focus the attention of new supervisors on tangibles is to have them compile a data sheet like those in the box on page 65, listing the essential operating information about their new department. As the salesman in the show *The Music Man* advised the newcomer, "You've got to know the territory." When newly appointed supervisors map their operations, they've made measurable progress in understanding an important aspect of their work—its physical dimension and scope.

3.2.3 Clarifying Conceptual Difficulties

A clear grasp of the full responsibilities associated with a new job and a reliable knowledge of the limits of one's authority are usually slow in coming. So, too, is an awareness of relevant policies and practices, which affects the supervisor's confidence in taking action, issuing directions, and responding to requests. Uncertainties about one's responsibility and authority, as well as about policy matters, add to stress and may cause tentative planning, directing, and decision making. When it comes to allotting a new supervisor's time, attention, and energies, the checklists presented in the next two subsections provide guidelines that may help to simplify and clarify these issues.

Daily Sequence of Work Activities for a Production Supervisor

Do before the Shift Begins (15-30 Minutes)

- Check production schedule and/or work orders for the day.
- Check equipment to be used.
- Check supply of materials for the day.
- Check tools needed for the day.
- Line up equipment, materials, and tools for the day.
- Line up firm work schedule for the day.



Do at Beginning of the Shift (15-30 Minutes)

- Check attendance and assign employees to work stations.
- If necessary because of absences, balance the work force by rearranging assignments or by securing additional help from other departments.
- Assign production and/or work orders.
- Stress critical quality areas to watch.
- Specify when the work should be completed.

Do during Each Day (6-7 Hours)

- Check workmanship with each employee. Approve, correct, instruct, or train as needed.
- Check work progress with each employee. Add help, allow more time, or assign additional work as appropriate.
- Check on-housekeeping. See that it is satisfactory at all times. Good work cannot be done in an untidy place.
- Check back when production or quality appears unsatisfactory, especially with new employees.
- Stay on the floor supervising and/or available for questions, assistance, and instruction most of the time.
- Be on the floor immediately before and after breaks and for a full 15 minutes before quitting time.
- Inspect critical quality areas as work progresses. Correct problems as soon as they are detected.
- Perform final inspection of parts, sub-assemblies, and so on, before they move to next department.
- Report recurring quality problems.
- Check periodically to see that materials and supplies are on hand.
- Check periodically to see that tools and equipment are in proper operating condition.
- Report materials shortages or recurring defects.
- Report and/or request maintenance, repair, or replacement of defective tools or equipment.
- Check for accident hazards. Be sure employees are following safe practices and wearing proper protective clothing and equipment.
- Prepare time cards, work-distribution sheets, work orders, material distributions, and other routine reports.

Do Once a Day (15-30 Minutes)

- Observe one employee or work station continuously for 15 minutes. Look for time wasted, dull or improper tools, need for work-positioning jigs and fixtures, interferences, delays and bottlenecks, and expenditure of excessive time to get parts and materials. Try to find ways to cut costs or make improvements in any of these.

- Make a list of unsolved problems that came up during the day. Consider ways to handle them.
- Think about jobs that have to be done the following day: (a) check production and/or work orders; (b) check materials; (c) check tools.
- Complete all paperwork. Avoid holding any paperwork for the following day.
- Make a list of jobs that must be done the next day. Take it home with you and read it before coming to work.

3.2.4 Tasks and Constraints

Just as a training professional may have difficulty in defining the tasks and competencies of the supervisors in a particular organization, so also will the new supervisor. The job's responsibilities may seem clear enough at first. Yet it will take only a very short time for the newcomer to learn of the constraints that limit his or her action. To provide a degree of relief from this initial uncertainty, it helps a new supervisor to complete the checklist. It lists many of the specific tasks and responsibilities commonly associated with supervisory competencies. It also provides a set of columns for verifying the supervisor's authority, where appropriate. An uncompleted checklist can be given to the new supervisor as an open-ended guide to what to look for. Or it can be presented to the new supervisor with the blanks completed in advance, by the supervisor's immediate superior.

Table 3.1 Sample Departmental Operations Data Sheets

Sample Departmental Operations Data Sheets					
EXAMPLE A			EXAMPLE B		
Clerical Processes Department			Production Processes Department		
Overall department size		sq.. ft.	Overall department size		sq.. ft.
No. of desks/work stations			Overhead height		ft.
No. of minicomputers			Storage area		cu. ft.
• Make/model			No. of overhead cranes		
• Capacity rating			• Capacity		tons
No. of personal computers			No. of work stations		
• Make/model			No. of type A machines		
• Capacity rating			• Make/model		
• No. of modems			• Capacity rating		
No. of word processors			No. of type B machines		
• Make/model			• Make/model		
• Capacity rating			• Capacity rating		
No. of copy machines			No. of type C machines		
• Make/model			• Make/model		

• Capacity rating					• Capacity rating			
No. of telephones					No. of computerized work stations			
• Names/extension numbers								
					• Process controlled			
Mainframe Connection					No. of powered trucks			
• Access times					• Make/model			
• Entry passwords					• Capacity			
					No. of work benches			
No. of employees					• Size			
Skill class		salary/wk.			Lighting levels			
Skill class		salary/wk			No. of power outlets			
Skill class		salary/wk			• 110 volts			
					• 220 volts			
					• 240 volts			
					No. of employees			
					Skill class.		wage/hr.	
					Skill class.		wage/hr.	
					Skill class.		wage/hr.	

Responsibility/Authority Limits Checklist for Newly Appointed Supervisors

Class 1: Complete authority. Supervisors can take action without consulting their superior or staff departments.

Class 2: Limited authority. Supervisors can take action they feel is appropriate so long as their superior is advised of the action afterward.

Class 3: No immediate authority. Supervisors can take no action until they have checked first with their superior or appropriate staff department.



	Yes	No	Don't Know	CLASS AUTHORITY APPLICABLE)			OF (IF
				1	2	3	
Do you feel it is your responsibility to							
A. Select and train employees?							
1. Request that additional employees be hired as needed?							
2. Approve new employees assigned to you?							
3. Explain benefit plans to employees?							
4. Tell employees about upgrading and pay ranges?							
5. Make sure employees know rules of conduct and safety regulations?							
6. Train an understudy?							
7. Hold regular safety meetings?							
B. Make work assignments and maintain discipline?							
8. Prepare employee work schedules?							
9. Assign specific duties to workers?							
10. Assign responsibilities to assistants or group leaders?							
11. Delegate authority?							
12. Discipline employees?							
13. Discharge employees?							
14. Specify the kind and number of employees to do a job?							
15. Determine the amount of work to be done by each employee in your group?							
16. Authorize overtime?							
17. Enforce safety rules?							
18. Transfer employees within your department?							
C. Handle employee problems involving provisions of the union contract?							
19. Interpret the union contract?							
20. Process grievances with shop stewards?							
21. Prepare vacation schedules?							
22. Recommend changes in the contract?							
23. Lay off employees for lack of work?							
24. Grant leaves of absence?							
D. Understand and administer pay and incentive systems?							

25. Explain to employees how their pay is calculated?						
26. Determine allowances for faulty material or interruptions?						
27. Approve piece rates or standards before they become effective?						
28. Answer employees' questions regarding time studies or allowances?						
E. Make these operating decisions?						
29. Start jobs in process?						
30. Stop jobs in process?						
31. Authorize setup changes?						
32. Approve material substitutions?						
33. Requisition supplies to keep your department running?						
34. Determine whether material should be scrapped or reworked?						
36. Take unsafe tools out of service?						
37. Correct unsafe working conditions?						
F. Tie in with other departments?						
38. Know how an order flows through the company from start to finish?						
39. Understand what the staff departments do? Understand your relationship to them?						
40. Authorize maintenance and repair jobs?						
41. Requisition tools?						
42. Investigate accidents?						
G. Be concerned with the way the job gets done?						
43. Make suggestions for improvements in operating procedures in your department?						
44. Recommend changes in department layout?						
45. Suggest material-handling methods to be used in your department?						
46. Discuss with staff members the operating problems caused by proposed design changes?						
H. Consider how much things cost?						
47. Cut down on waste of materials and supplies?						
48. Keep adequate production records for checking output per machine and per worker-hour?						
49. Participate in setting up your departmental budget?						
50. Investigate potentially unwarranted charges against your budget?						



3.2.5 Policies and Practices

Knowledge of policies and practices is harder for the new supervisor to come by. Large, mature organizations typically have policy and procedure manuals to cover just about everything. It would be unrealistic, however, to assume that the supervisor will assimilate that information immediately or comprehend its implications overnight. In smaller, less formal organizations, policy may be more a matter of established practices than stated principles. Knowledge of policy in such organizations may reside mainly in the minds of experienced supervisors or in the know-how of various staff departments. The distinction between policies and procedures versus rules and regulations is also a difficult one for a new supervisor to make. For all these reasons, new supervisors in large or small, formal or informal companies will benefit from an early, systematic exploration of established practices. It is left open-ended because it serves mainly as a guide to awareness rather than as a detailed reference.

Course Design, Content and Selection



4. Course Design, Content and Selection

4.1 Course Design

4.2 Course Content

4.3 Specialty Courses and Workshops

4.4 Course Selection



Typical course content for supervisory training can be inferred by examining established competencies and needs-analysis inventory lists. Beyond the nominal subject matter, however, it is important for the training coordinator to determine beforehand the exact focus and general context of each course or topic. Specifically, almost any subject or course may be approached with an objective of conveying knowledge, imparting or improving skills, or reinforcing or shaping attitudes. Many subjects, of course, lend themselves readily to these categories; but the larger context of learning should not be overlooked, since it will have a significant impact upon the effectiveness of course material and subsequent evaluation of the training by participants and their sponsors.

4.1 Course Design

The more complete the rationale, objectives, content, and instructional plan, the greater the chances, for successful course implementation and effective transfer of skills to the supervisory participants. Each course should have an underlying educational rationale, a demonstrable purpose of changing or improving supervisory performance-in terms of either a particular skill, such as computer procedures, or a broad functional area, such as human relations. There is a temptation to offer some courses simply because they are popular. This practice should be avoided unless there is a strong conviction that the course is needed to demonstrate the organization's awareness of current trends. In every case, however, the underlying rationale should be clearly spelled out, not necessarily for the participants but surely for those who sponsor and/or conduct the course.

It should go without saying that course objectives-clearly stated in terms of expected knowledge, skills, or performance improvement-are an absolute necessity. If a course is performance-oriented, then these objectives should be phrased in terms of what a supervisor will be able to do upon completion of the course. For example, if the course were on how to handle a performance review, one of its objectives might be stated like this: "Be able to conduct a face-to-face performance interview in such a manner that the discussion focuses on factual conditions of the employee's performance and on what the employee must do to bring performance up to standard."

The instructional plan should be as detailed as possible, specifying content, methods and sequence of instruction, time schedules, visual aids, handouts, procedures for follow-up, and so on. The box on the facing page shows an instructional plan for a course (job instruction training) to be presented in three units of two to three-hour sessions with an expected enrollment of from fifteen to twenty.

4.1.1 Course-Design Components

While preparation of a truly thorough course design may seem like too large a task to attempt as a preliminary to instruction, the greater the number of elements the training professional can consider in the design, the smoother and more fault-free will be the ultimate implementation. A comprehensive design allows the course to be conducted by a greater variety of instructors, ranging from those on the corporate training staff, to line or staff people in the organization, to contract instructors from local colleges and universities or consulting firms. Consequently, it is strongly recommended that a comprehensive design be prepared in writing and that it contain as many of the elements listed below as possible:

1. **Synopsis.** A brief, narrative overview of the nature and scope of the course and its major objective.
2. **Target participants.** A description of the appropriate audience, in terms of the knowledge and experience they should bring with them; specifically:
 - a. Absolute prerequisites, such as supervisory or management status; length of time in specified positions; and where essential, successful completion of a particular preparatory course.
 - b. Preferred prerequisites, such as knowledge of algebra before enrolling in a statistics or quantitative methods course, or knowledge of grammar and spelling prior to taking a course in improving writing skills.



- c. Precourse preparation, such as identifying a relevant and specific problem area on the participant's job or gathering enough data about the work situation to enable working on a particular project during the seminar.
3. **Assumptions.** A description of the typical capabilities and aptitudes of the expected participants relevant to the course.
4. **Objectives.** The specific instructional objectives of the course should not be merely to impart knowledge but also to change behavior or improve performance. Phrase the objectives as active statements, describing what the participants will know or be able to do in a work situation following the course. For example, "After completing the course, participants will be able to discipline employees more constructively, reduce employee absences by more empathetic counseling, suggest effective ways for improving paperwork flow." Objectives should be developed along three basic lines:
 - a. Cognition-knowledge or comprehension
 - b. Performance, in--terms of basic application
 - c. Performance, in terms of analysis and interpretation
5. **Key concepts.** Precise statements of major principles or practice guidelines that will be emphasized in the course. A maximum of six for a one-day course or ten for a two-day course is recommended.
6. **Key terms.** Precise definitions of terms ~that participants must understand and be able to use in order to fulfill performance objectives.
7. **Outline of subject matter and recommended time allotments,** including:
 - a. Introduction and overview that call attention to unique aspects of the course.
 - b. Preparation or selection of a precourse (or entry) instrument to assess participants' knowledge of the subject (for the instructor's guidance only).
 - c. Suggestions for timing in the use of visual aids, case studies, role-play, feedback sessions, and so on.
 - d. Suggestions for preparation of a "take-home-action plan" assignment for participants.
 - e. Preparation or selection of an instrument to assess participants' comprehension upon completion of the course (to be compared by the instructor with the precourse assessment).
8. **Preferred methods of instruction.** Recommendations regarding the selective and proportional use of lecture, discussion, buzz sessions, case study, role-play, behavioral-modeling sessions, problem solving, participant reports, feedback sessions, project exercises, interactive exercises, or other training techniques.
9. **Suggested visual aids and instructional materials.** Identification and sources, including:
 - a. Films and filmstrips
 - b. Case studies
 - c. Cassettes
 - d. Transparency masters
 - e. Charts, posters, displays, and so on



- f. Simulations and games
- g. Three-dimensional models, devices, and the like

10. **Facilities and equipment**, including:

- a. Preferred location (on- or off-site)
- b. Optimum room size
- c. Preferred seating facilities
- d. Equipment, such as VCRs, computer modems and video display terminals, and audiovisual recording and projection equipment

11. **Bibliography, references, and suggested readings.**

Instructional Plan for a Course in Job Instruction Training

Unit 1: Preparation and Planning - 120 minutes

Introduction to Unit 1

1. Opening the unit; welcome address; getting acquainted; overview of course and objectives of first unit.
2. Introduction of guest speaker.

Method of presentation

The first portion of this unit is presented as a lecture, preferably given by a top executive within the activity. Buzz groups are formed after the lecture to discuss key points presented by the speaker. Following group discussion of the subject, the group develops techniques to be used in planning to meet training needs by means of a training timetable and the task analysis. The main divisions of this unit are:

1. The importance of training (lecture).
2. Doctrine with regard to training in government in general and in the Department of the Army specifically (lecture).
3. Objectives of skills training (lecture).
4. The training cycle (lecture).
5. Determining training needs (lecture).
6. Reports by buzz groups.
7. Planning to meet training needs (lecture and group discussion).
 - Training timetable.
 - The task analysis.
 - Summary by course leader.
 - Assignment for next unit.



Unit 2: Teaching - 160 minutes

1. Discussion and critique of the task analysis (conference and demonstration).
2. The supervisor as an instructor-training methods. (Film: Accent on Learning, MF 21-8424-30 minutes for film viewing and discussion.)
 - How people learn.
 - Selecting a method.
3. The "four-step method" of skills instruction (discussion, demonstration, role-playing, and group critique). (Film: Instructing the New Worker on the Job, MF 61-7765-14 minutes.)
4. Summary by course leader. (Film: The Follow Through, MF 61-9045a-8 minutes.)
5. Assignment for next unit.

Model of a Certificate in Professional Development Course Outline

Course No. 101: The Nature of Supervisory Work 1 day

1. Course synopsis

An introductory course for recently appointed supervisors and all other supervisors who wish to acquire a basic understanding of the nature and scope of the supervisory management position and its responsibilities so as to better prepare themselves for developing the specific knowledge, attitudes, and skills needed to make their efforts productive.

2. Target participants

- a. Absolute requirements. Individuals must be currently employed as supervisors in state or local government, with less than five year's experience at the management level.
- b. Preferred requirements. No other prerequisites, except that individuals not currently employed as supervisors must have attended a Human Relations in Business seminar.
- c. Procures preparation. Participants are to prepare a table of the resources they manage, to include:
 - facilities, equipment, and machinery-and an estimate of their replacement costs;
 - utilities and/or energy expenses per year;
 - materials and supplies typically on hand, as well as their amount and cost;
 - total monthly or annual budget for their operations;
 - kinds of instruction or procedures manuals, directives, and so on they are guided by; and
 - number and titles of people working for them and total payroll cost.



3. Assumptions about participants

Even experienced supervisors rarely think about the basic nature or purpose of their responsibilities and their work. Nor do they give systematic thought to the specific performance required of them. Moreover, they tend to believe that the power needed to attain departmental objectives is derived more from status and organizational authority than from their own empathy for others.

4. Course objectives

Overall; to comprehend the nature and scope of the supervisory management job and the demands it places upon those who hold that 1 position, in order that course participants may better prepare themselves to accept the irresponsibilities more knowledgeably and discharge them more effectively.

Specifically, participants who complete this course can be expected to:

- a. More fully comprehend and accept a managerial point of view that entails a responsibility for results that are accomplished mainly through the efforts of others.
- b. Be able to make an informed assessment of the specific performance expected of them in their current supervisory assignments.
- c. Sense the degree of personal empathy and interpersonal skills needed by their employees, peers, and other's in order to attain productive results from a work situation.
- d. Make a judgment as to which knowledge, attitudes, and skills they must develop in the future in order to provide an effective balance between their various technical, human relations, and administrative roles.

5. Key terms

employee	work
supervisor	goals (personal and organizational)
manager	interpersonal relationships management empathy
results	productive and counterproductive

6. Key concepts

- a. Management requires the ability on the part of supervisors to accept responsibility for the attainment of organizational goals, which are reached largely through the efforts of the employees assigned to them. To be successful at their work, supervisors must be willing to subordinate their own interests and goals and learn to work harmoniously and effectively with individuals and groups.
- b. In order for supervisors' performance to be judged as proficient, they must know what their superiors expect from them in terms of managing the basic resources assigned to them and precisely what is expected in the way of measurable results from their operations, especially output or productivity, quality and craftsmanship, and cost or expense controls.
- c. Different people respond differently to the demands of the work situation because they have different capabilities, preparation, interests, and goals. As a consequence, supervisors must lay the groundwork for harmonious and productive interpersonal relationships by developing an empathy with (or sensitivity to) the unique feelings and behaviors of others.
- d. Supervisory work requires that an individual perform three kinds of managerial roles: technical, human relations, and administrative.

Looking toward their futures, supervisors should, as early as possible, determine which specific kinds of knowledge, attitudes, and skills they must develop in order to carry on these roles productively.



7. Course outline and timetable

Introductions and overview ½ hour

Review objectives, emphasizing the importance of

- a. grasping the concept of management-mindedness,
- b. bearing up under the pressure to obtain results through the work of others, and
- c. understanding the breadth of the supervisor's job functions and responsibilities as well as,
- d. how essential empathy, is for results and
- e. the ever-present need to balance a number of managerial roles.

Pre-course Assessment

II. Objective 1: Crossing over to management 1 ½ hours

- a. What management is in terms of general objectives and basic process, rather than discussing the various functions.
- b. Supervisors' position in the management structure; various views, such as middle person, keystone, link-pin, and so on.
- c. Legal aspects of the supervisory position.
- d. Relationships and responsibilities toward others in the organization (higher-level managers, peers, and employees) as well as toward the general public.
- e. Typical crossing-over problems.

CASE STUDY illustrating crossing-over difficulties; emphasis upon how to handle each situation.

FILM (optional) illustrating the nature and scope of supervisory management.

III. Objective 2: Performance requirements 1 ½ hours

- a. Explanation of simplified management process, especially the responsibility for converting organizational resources into valuable results.
- b. Resource management and care-facilities and equipment, energy and utilities, materials and supplies, finances, information, and people.
- c. Attainment of results-output and productivity, quality of service and craftsmanship, expense and waste control.

TAKE-HOME PROJECT. Suggestion: Participants are to find out exactly what their performance requirements are in each of the resource-management and result areas, and how they will be judged by their superiors.



IV. Objective 3 The need for empathy 1 ½ hours

- a. What work is.
- b. How people feel about and react to their work.
- c. The nature of individual goals.
- d. The nature of organizational goals.
- e. CASE STUDY illustrating conflict between individual and organizational goals and the supervisor's role in resolving such conflicts.
- f. What empathy is; why is it important and how to develop it.

CASE STUDY illustrating conflict between individual and organizational goals and the supervisor's role in resolving such conflicts.

- a. What empathy is; why is it important and how to develop it.

FILM (optional) illustrating supervisors' human relations responsibilities.

V. FEEDBACK SESSION ½ hour

Suggestion: Break participants into buzz groups--one group to summarize five important problems of crossing over, a second groups to list typical resources available to supervisors at their job sites, a third group to come up with six ways in which supervisors can turn resources into the three key results, and a fourth group to list ten ways in which employees, might aid or block attainment of operational goals.

VI. Objective 4: Balancing supervisory roles ¾ hour

- a. The concept of responsibilities, duties, functions, and activities as managerial roles.
- b. Technical roles.
- c. Human relations roles.
- d. Administrative roles.

Suggestion: Ask the group to furnish ideas for a listing of activities that occur in each role.

- e. Need for balance and for acquiring proficiency in each role.

EXERCISE. Suggestion: Participants are to prepare a list of at least ten activities required of them in each role; then make a list' of five knowledge, attitude, or skill areas they wish to acquire or develop in the future.

VII. Course summary ¼ hour

Repeat objectives, related terminology, and key concepts, recalling for each concept at least one observation or conclusion that the group has developed. Remind participants of their commitment to, the take-home action plan and the way in which they should fulfill that commitment to their best advantage.



Post-course Assessment

8. Preferred methods of instruction

Instructors should be prepared to make a major informational input into this course; thus, lecture and induced discussion will prevail, especially in objectives 1, 2, and 4. Objective 1, which requires self-examination, will profit from a behavioral-modeling approach, case study, and/ or role-play. Objective 3, which requires perception about the nature of empathy, will benefit greatly from case study, role-play, or sensitivity experience.

9. Facilities and equipment

- a. Either on- or off-site.
- b. Quiet conference room with space for projection equipment, chart boards, and a coffee table.
- c. Comfortable seating for from fifteen to twenty supervisors around a single table.
- d. Movie screen and projector, two easels and chart boards, one overhead projector.

Commonly Offered Courses

Typical supervisory-training courses mirror designated supervisory competencies and assessed training needs, as they should. This list was compiled by the International Labor Office (ILO) and includes nearly all the perennial subjects. Most comprehensive supervisory-training courses are selected from lists like this and from whatever needs areas are currently highlighted in the field.

THE ILO MODULAR CONCEPT

ILO envisioned the thirty-five courses in its list as modules that could be put together in sequences or clusters according to the needs and objectives of a particular organization. Module design was premised upon allocating program time to the various training methods in the following proportions:

<i>Training Methods</i>	<i>Percentage Of Time</i>
Lecturing	10-20
Films, group discussion, role-play -	35-45
Case studies, projects, problems	25-35
Homework, self-development	10-20

Comprehensive Lang of Basic Supervision

Courses: A Basic Modular Program for Supervisory Training

Course nos.	Course titles
I. Supervision	
1	The Organization and the Supervisor
2	Principles of Supervision
II. Supervisory Techniques	
3	Planning, and Scheduling
4	Work Study and Organization
5	Directing and Coordinating Work
6	Controlling Work
7	Quality Control
8	Finance and Cost Control
9	Decision Making and Problem Solving

10	Role Analysis
11	Introducing Changes
12	Communications and Records
III. The Main Supervisory Areas	
13	Utilization of Equipment and Facilities
14	Maintenance Supervision
15	Material Handling
16	Energy Utilities and Auxiliary Services
17	Management of Time
18	Office Supervision
19	Purchasing
20	Marketing
IV. Supervising People	
21	Leadership
22	Informal Organizations and Groups
23	Individual and Group Discussions
24	Staffing
25	Motivating Workers
26	Job Evaluation
27	Performance Appraisal
28	Salary Administration
29	Training and Development
30	Interpersonal Relations and Behavior in Supervision
31	Industrial Relations
32	Safety, Health, Security
33	Maintaining Discipline and Morale
34	Complaints and Grievances
35	Supervising Special Groups

Each ILO module consists of five essential parts:

1. Overall learning objectives and table of contents
2. Basic overview of the subject or function, including key definitions, its importance to supervisors, and the supervisors' role and duties
3. Methods and techniques used to implement, or master, the function
4. Action exercises and case-study application
5. Summary

Within each part of the module, there is always a set of learning objectives for that part and a variety of self-administered progress-review questions. These questions are mostly objective in nature, although some are open-ended and require discussion.

Module content emphasizes what to do and how to do it. Module design strives for the most effective balance between theory and practical application, depending on the nature of the subject matter.



4.1.2 Side-By-Side Format Design

A unique aspect of the ILO module design is that for each page of learner instruction, there is a corresponding page of guidance for the trainer. The right-hand page of the module is designed for the supervisor; the left-hand page provides guidance for the trainer. Comments and answers for problems, tests, and cases are presented in the same side-by-side fashion.

This format enables trainers to use the modules three ways:

1. Trainer provides supervisors with guided instruction, based on the left hand-pages; supervisors use the right-hand pages as a resource text and for class and homework assignments.
2. Supervisors use the right-hand pages as a self-study manual, pacing their own work, checking their own progress; the trainer's role is mainly that of a resource person.
3. Some combination of approach 1 and approach 2. The trainer might choose to follow approach 2 for more complex material so that each trainee may progress at his or her own best learning rate. Or the trainer might choose to do just the reverse: self-study for the simpler material and guided instruction for the more complex material. The choice would depend, of course, on the trainer, the supervisors, the subject matter, and organizational and environmental factors.

Detailed instructional modules are available from the International Labor Office in Washington, D.C.

The Conference Board once surveyed large corporations engaged in extensive supervisory training to identify commonly offered subjects. The results are illuminating (see below), even though the data are now somewhat outdated.

Number of companies offering a particular Kind of supervisory training

128	Leadership, human relations, behavior, motivation
114	Course Design, Content, and Selection
62	Management theory, process
47	Company policies
42	Labor relations
41	Company organization
41	Problem solving and decision making
28	Safety, OSHA
27	Company paperwork
25	EEO
10	Goal setting and MBO
10	Work simplification
6	Economics (how America's business system operates)

4.1.3 Classification by Course Level

The most common classification of course material has been according to level of experience of the participants rather than according to course topic. Course content, emphasis, and technique may vary, but the great majority of supervisory topics might be taught at any level of experience, as suggested by the ILO list shown earlier.

Many in-service programs and a great many institutional supervisory training programs are classified, in terms of their target audience, as

1. presupervisory,
2. for entering supervisors, with one to five years experience, or
3. for experienced supervisors, with more than five years experience.

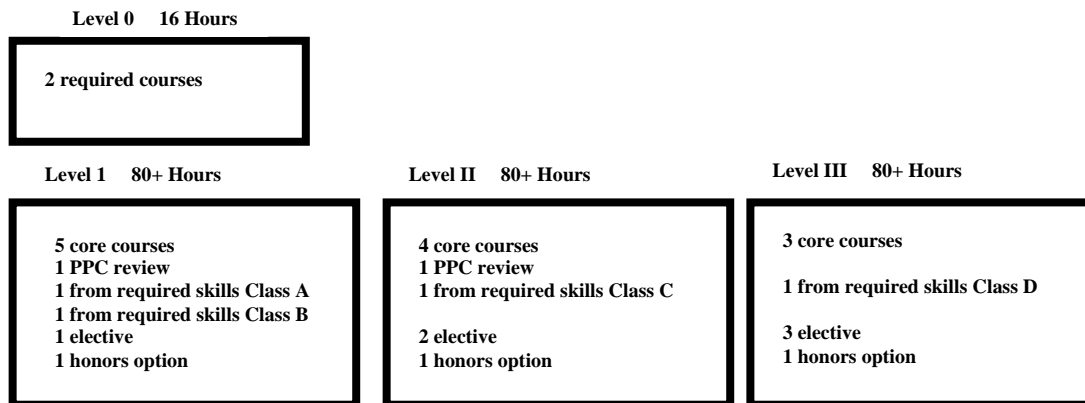


4.2 Course Content

4.2.1 Basic Supervision Courses

A great many organizations-ranging from manufacturing companies to banks and hospitals, from professional management associations to community colleges and university management development centers, and from the military to state governments--choose to present certain courses only, or principally, to entering or relatively inexperienced supervisors. Typical course descriptions in this category include:

- **Nature of supervisory work.** Management-mindedness; people as implementers; responsibility for others; self-awareness; sensitivity assessment; balancing work and people concerns.
- **Managing the supervisory job.** Planning, goals, and schedules; organizing/ distributing work and accountability; assignment and instruction; control, correction, and improvement; the need for problem solving and decision making.



CPC = Certificate of Professional Development offered to public-administration supervisors
 PPC = Personnel Policies and Practices of the Commonwealth
 Required Skills: Class A = Organization development
 Class B = Information management
 Class C = Planning and productivity
 Class D = Public-service management

Figure 4.1 Synopsis of CPD curricula Structure.

- Understanding human behavior at work. Human behavior and motivation; interpersonal relations-with individuals and with groups; attitudes and morale; goal conflicts between individual and organization.
- Helping employees to meet organization standards and goals. Leadership; authority and responsibility; communications-organizational and interpersonal; induction, orientation, and training.
- Preventing and resolving counterproductive situations. Coping with. change and conflict; grievances; performance deficiencies-absenteeism, alcoholism, and drug abuse; discipline and counseling.
- Employee training. Learning process; four-step method; job breakdowns; key points.

4.2.2 Selected Examples of Programs in Basic Supervision

The professional trainer can perhaps get a firmer grasp of course content by reviewing the courses offered in a number of successful, long-standing supervisory development programs, as illustrated by the following examples.



Civilian Personnel of the Department of the Army.

Each course consists of three sessions of from two to three hours each:

1. Role of supervisor
2. Selection and utilization of personnel
3. Job instruction training
4. Position and pay management
5. Performance appraisal
6. Communications
7. Discipline
8. Health and sick leave
9. Safety
10. Career management
11. Grievances
12. Relationship with unions
13. EEO

Open-Enrollment Program of the American Management Association.

This program is targeted "for men and women with less than two years' experience in a supervisory position." It runs for three days and is valued at 2.2 Continuing Education Units (CEUs). Topics include:

- How to establish yourself as a supervisor; the difference between the worker and the manager.
- How to get your ideas across clearly and forcefully,
- .Planning, organizing, delegating, follow-through, control, goal setting, time management.
- How to develop the "results-oriented" employee: coaching, the job instruction training method, evaluating and improving the individual's performance, employee counseling.
- Decision making and problem solving.
- How to build team spirit and assure good employee relations: knowing your staff as individuals, dealing with grievances and discipline problems supervising the union/nonunion employee, motivational techniques that work.
- Your legal responsibilities as a supervisor; how to protect yourself and your company: EEO and affirmative action; protected groups; attitudes and resistance-from the work force/from the organization.
- How to establish high productivity in your department: coordination of group efforts, technical versus managerial skills, differences between coordination and cooperation.
- How you can assure continued promotability for yourself: how to make your good ideas known to management-and be sure you get credit for them; ways to respond when you're asked for suggestions on solving management problems; how to adapt successful management strategies to your own needs.



On-Site Program for Manufacturing Supervisors.

A major manufacturing corporation offers this program of "workshops" companywide,

Courses run two hours each and are spaced over a period of from six to ten weeks. The ten sessions are as follows:

1. Supervisor's job
2. Understanding the individual
3. Attitudes/morale/communications
4. Leadership
5. Motivation
6. Training
7. Labor relations
8. Accident prevention
9. Managing your job
10. Planning your career

Open Enrollment at a Midwestern University.

The University of Kentucky calls this a "grass-roots" course for new and prospective supervisors. It is held at university locations and lasts only one day.

1. What supervisors do
 - o The role of the supervisor
 - o How supervisors spend their time
 - o The difference between working and managing
 - o Identifying with management's goals-the big picture
2. Leadership by example
 - o Goal direction
 - o Setting priorities
 - o Consistency
3. A practical approach to motivation
 - o The how and why of human behavior
 - o Techniques for motivation
 - o Setting up consequences for job behavior



4. Communicating for results
 - Saying what you mean
 - Listening with understanding
 - How to get the feedback you need
5. How to solve problems and make decisions
 - Identifying and defining problems
 - The problem-solving process
 - Relating your decision to your objectives
6. The typical qualities of an effective supervisor
 - Knowing what you want
 - Appropriate attitudes
 - Effective work habits
 - Interpersonal skills

Basic Program for Public Supervisors.

This program is designed, in particular, for employees of the U.S. Department of Agriculture but is open to the public. It lasts forty hours and conforms to requirements of the U.S. Office of Personnel Management.

1. Motivation
2. Employee development
3. Self-confrontation
4. Team leadership
5. Problem solving
6. Decision making
7. Performance assessment
8. Analysis of efficiency
9. Consultation skills
10. Communications
11. Organization theory



Supervisory Management Course in a Rural Setting.

James Madiso University has presented this course for more than twelve years to superviso and potential supervisors from a wide range of employers, both private a public-in such fields as banking, agriculture, manufacturing, retailing, a wholesaling. Courses take two hours each, and the program runs for twenty (20) consecutive weeks.

1. The supervisor's job
2. Communicating
3. Leadership and authority
4. Motivating employees
5. Employee disciplining and counseling
6. Performance appraisal
7. Employee training and development
8. Cost control
9. Job improvement
10. Planning and scheduling
11. Self-development
12. Tying it all together

Subjects Required for Certification Program.

The Institute of Certified Professional Managers requires that candidates demonstrate (through certification examinations) satisfactory knowledge in three broad subject areas, as shown below. Courses are guided through manuals provided by the institute or through standard textbooks and are conducted by private companies and public institutions at dozens of sites each year.

1. Personal skills
 - a. Needs and roles of managers
 - b. Self-knowledge and self-development
 - c. Communications
 - d. Creativity
 - e. Time
 - f. Ethics
 - g. OOHS, EEO, and so on



2. Administrative skills
 - a. Planning process
 - b. Forecasts and budgets
 - c. Problem analysis and decision making
 - d. Organization and delegation
 - e. Personnel planning
 - f. Safety
 - g. Control: production/financial/management
 - h. Information systems/computers
3. Human relations skills
 - a. Leadership
 - b. Groups
 - c. Labor-management relations
 - d. Motivation: theory and approaches
 - e. Change/facilitating

4.2.3 Advanced Supervision Courses

Those organizations that divide their courses according to their suitability for inexperienced or experienced supervisors often find it difficult to clearly distinguish (in course title, at least) between basic and advanced subjects. In many instances, course content differs mainly in depth of coverage and in sophistication of the situations presented. One organization tries to describe the difference between levels of coverage by publishing the following objectives that are particular to its advanced courses:

To provide opportunities for experienced supervisors to refresh and/or refine their self-awareness and their knowledge of supervisory goals and responsibilities; to acquire or further develop techniques for improving the effectiveness of their leadership; to examine techniques for establishing and maintaining a departmental climate that encourages productive employee behavior; to acquire new techniques for planning, controlling, and improving the productivity of departmental operations.

Typical courses offered by a great many organizations in the advanced supervision category would include the following:

- New perspectives in supervision. The changing work environment; changing expectations of the work force; changing goals and standards in the system; impact upon supervisory responsibilities, approaches, relationships, and stress.
- Techniques for making leadership more effective. Participate, or shared, leadership; techniques for encouraging employee initiative and self-discipline; mutual goal setting and methods-determination in groups.
- Techniques for improving interpersonal relationships. Modifying and improving employee behavior; special behavior problems; counseling; active listening; positive approaches to discipline.



- Techniques for improving employee performance and productivity. Work-standards review with employees; performance counseling; mutual goal setting for improvement; job training for improved performance; coaching and reinforcement.
- Techniques for improving departmental productivity. Establishing performance standards for quantity and quality of work; work-flow analysis; work-distribution analysis; work-simplification techniques; employee suggestions and participation in work-improvement efforts.
- Techniques for improving plans, schedules, and results. Looking ahead, system limitations; anticipating work-load peaks and valleys; assessing and acquiring resources; planning for staffing and training needs; schedule design; establishing operating procedures; measuring and assuring results.
- Problem solving and-decision making. Management as problem solving and decision making; interrelation of problem solving and decision making; problem and opportunity identification; problem solution, prevention, and improvement techniques; decision-making techniques; need for initiative, creativity, and decisiveness.

Selected Examples of Programs in Advanced Supervision

A comparison between programs offered for basic supervision and those offered by the same organizations for advanced supervision illustrates the repetition inherent in the classification and programming process. Such redundancy is not necessarily bad; in fact, many training professionals strongly believe that almost all subjects covered in the basic program benefit from a second exposure at the advanced level.

Advanced Pry far Public Supervisors.

This program, offered by the U.S. Department of Agriculture, takes only forty hours, as does the basic program, but many of the subjects are doubled up or integrated with related topics:

1. Supervision and management awareness
2. Behavior analysis
3. Interpersonal relations
4. Self-confrontation
5. Creativity'
6. Employee development and performance appraisal
7. Performance standards
8. Incentives and recognition
9. Authority, strategies, and decision making
10. Managing time
11. Delegation
12. Equal employment
13. Labor-management relations
14. Adverse actions



15. Information sharing and communications
16. Conflict resolution
17. Planning an organization system
18. Synthesis of management concepts
19. Practical problem solving
20. Self-development

Middle-Manager Review in a Rural Setting.

The James Madison University advanced course is designed mainly for second-level supervisors. Its twelve two-hour sessions are scheduled weekly. The principal differences from the basic program are an emphasis on the managerial functions and the addition of the budgeting, finance, and legal aspects of supervision.

1. Role of the manager
2. Planning
3. Organization and motivation
4. Leadership and authority
5. Communication
6. Budgeting and finance
7. Controlling
8. Decision making
9. Job appraisal and employee training
10. Current legal topics
11. Self-development
12. The manager as integrator

4.2.4 Specialty Courses And Workshops

There are a number of courses that might be classified as either basic or advanced, or they might fall outside a particular organization's concept of what should be included in either. Typical of these "non-required" (or perhaps nonessential") courses are the following:

Information management. Principles of data processing; computer operations; insights into computer language; record keeping.

- Budgeting and expense control. How budgets are built; relationship to departmental operations and limitations.
- Team building. Developing morale and initiative in small groups; participative leadership.



- Job and work design. Developing morale by focusing on the work elements rather than on people.
- Understanding statistics and quantitative methods. An overview stressing concepts, applications, interpretation.
- Scheduling techniques. Straight-line; parallel; Gantt-type; overview of PERT (program evaluation and review technique) and CPM (critical-path method); short-interval scheduling.
- Work-sampling workshop. Methodology; applications; limitations; project experience.
- Paperwork-so on workshop. Systems and procedures methodology; 'simplification in the office; paper-flow analysis; project experience.
- Counseling workshop. Nondirective interviewing; active listening; special problems-family, physical, emotional, absences, lateness, bizarre behavior, alcohol, drugs, and so-forth; referral procedures.
- Organization development techniques. An overview; intervention; group development (team building); performance-factor analysis; reward-system analysis; force-field analysis; conflict resolution.

4.3 Course Selection

4.3.1 Focus Clusters

It is popular in the in-service field to offer short courses containing clusters of related topics focusing on a particular skill or knowledge area. Many such courses are designed around selected chapters in a particular text or reference book. For example, the following focus clusters are commonly used in conjunction with one popular book in the field: -

- Interpersonal relations. Work-group behavior; conflict and cooperation; appraisal of employee performance; the art of leadership; effective oral and written communications; giving orders and instructions; counseling troubled employees; handling complaints and grievances; how and when to discipline.
- Management process. The supervisor's management job; supervision and the management process; making plans and carrying out policy; exercising control over people and processes; problem solving and decision making; organizing an effective department; staffing with human relations.
- Productivity and quality improvement. Supervision and the management process; training and development of employees; job design and enrichment; job assignments and work schedules; improving productivity and controlling costs; advancing toward a higher quality of workmanship.
- Building personal skills. Problem solving and decision making; taking charge of your career; managing time and handling stress; putting your best foot forward in the organization.

4.3.2 Special-Interest Courses

There are always a number of topic areas that enjoy a brief popularity and are relevant to current problems. Other courses hold high value periodically for any organization. Among both kinds of special-interest subject areas, these seem to retain perennial value: performance appraisal, equal employment opportunity, job instruction training, productivity improvement, time management, stress management, grievance handling, leadership, communications, transactional analysis, problem solving, and most recently, innovation and entrepreneurship.

Program Planning and Design



5. Program Planning and Design

- 5.1 Objective Setting
- 5.2 Establishing Policy
- 5.3 Program Design Factors
- 5.4 Training Manuals
- 5.5 Planning Models
- 5.6 Planning Guidelines



Once data on all the variables of competency, selection, needs assessment, course content, and method have been assembled and reviewed, the trainer faces the major task of determining and implementing the supervisory-training strategy. In the planning and design phase, the trainer must set program objectives and policies and consider a number of important factors, including, for example: the cost, format, participant selection, and basic configuration of the program. The trainer must also decide between traditional and modular approaches and between packaged and custom-designed programs; and he or she must then prepare the appropriate program and course manuals. Finally, the planning process itself warrants an audit to check it against common guidelines and proven models.

5.1 Setting Objectives

It is essential that you clearly define and write down the program objectives. You must also secure agreement on those objectives beforehand-in fact from the principal line managers and by inference from the supervisors themselves. Express the objectives in terms of incremental improvements in knowledge, skills, or attitudes directly related to the acknowledged supervisory competencies and the assessment of developmental needs. The more quantitatively these goals can be defined, the better, although certain objectives must be expressed in qualitative terms. Some examples of program or course objectives are:

- *Basic objectives of supervisory training:*
- To give participants essential knowledge of their responsibilities so that they may make decisions that are compatible with company goals and policies.
- To give, participants a, vital to good management practices so that this knowledge may guide day-to-day management decisions.
- To provide participants with the skills needed to direct the work of their departments and people in d positive and productive manner.
- *Introduction to supervision.* To . provide inexperienced supervisors with a basic understanding of management functions and of their specific responsibilities in carrying them out in their organization.
- *Advanced supervision.* To provide experienced supervisors with a review of job-related, fundamental management practices and to introduce them to a selected variety of important new concepts and techniques directly applicable to their work.
- *Time management.* To instill in supervisors an awareness of the degree to which personal time may be controlled and, along with this, to provide them with a number of specific tools and techniques for increasing the productive use of their time on the job.

Whenever possible, objectives should also include a statement of how the acquired learning will be evaluated. These evaluation measures can include a number of methods, such as:

1. Before-and-after comprehension testing
2. Self-evaluation feedback from supervisors after returning to their jobs
3. Evaluation of critical incidents by superiors
4. Routine performance-appraisal criteria
5. Measurement of performance-related data from the supervisors' departments, such as absence and turnover rates, grievances lodged, productivity and quality. measures
6. Identifiable achievements, such as reports prepared, problems solved, and conflicts resolved



5.2 Establishing Policy

It is essential that policy guidelines be established in order to assure that program planning moves along a broad but focused channel toward the program's objectives. The difficulty at this stage from a professional trainer's point of view is which comes first—on the one hand, a review of the organization's constraints or, on the other hand, the establishment of policy to be modified later by a recognition of constraining factors affecting program design. Policy will be considered first, in order to provide a context for discussion in the next section of factors that may limit policy choice.

The major elements of supervisory-training policy usually cover such matters as:

1. Participant selection
2. The role of the professional training staff
3. The roles of line and staff managers whose supervisors are enrolled in the program
4. The roles and responsibilities of the supervisory participants
5. Hours of the day, and days of the Week, that training sessions will be conducted
6. Participants' pay while attending, training sessions, during or after working hours
7. Selection of instructors and their remuneration (if they are company personnel not employed as members of the training staff)
8. Use of tests
9. Choice of training sites
10. Use of outside consultants or proprietary programs
11. Extent of participant travel and reimbursement
12. Tuition reimbursement for voluntary attendance at outside seminars or courses related to, but not required in, the program
13. Attendance
14. Maintaining records of program completion, including the award of Continuing Education Units (CEUs), for the purpose of recognition
15. Conformance with legal requirements and established company policies The box below illustrates a rather comprehensive policy statement for a program conducted by a state agency.

POLICY GUIDELINES FOR A CERTIFICATE PROGRAM

Participant Requirements and Preparation

1. An individual may enter any program level without first having completed successfully a lower-level program, although a progression from Levels 0 or I sequentially through Level II to Level III would be most productive in developing individual competencies.
2. There will be no aptitude, acceptance, or proficiency testing of participants or potential participants—neither to determine their preprogram or course qualifications to judge their competency at the conclusion of a program or course. (See course outline format for evaluation instruments to be used by instructors to measure instructional effectiveness as a guide to course improvement.)



3. Course participants will represent a mixture of individuals from different agencies (state and local) and with differing functional responsibilities; thus, a certain degree of generality in course content will prevail.
4. Participants may be required to find up to two hours of specified preparation at their job sites before a course begins.

Course Design and Structure

5. Program and course designs should, of necessity and practicality, target on improving supervisory problem areas rather than merely providing a broad spectrum of typical offerings on supervision subjects; thus, there will be a highly selective, albeit narrow, curriculum at each program level.
6. As a consequence of No. 5, each course will attempt to cover only a relatively few, but critical objectives, in order to assure maximum time for participants to acquire competency in each objective area.
7. The learning process in most courses will stress participant involvement ("active" versus "passive" learning) and will allow time for purposeful case analysis, role-play, and individual problem solving.
8. Courses will not be structured so as to qualify them for CEU registration, although they may be modified for that purpose at a later time.
9. Courses required in the certificate program will, in the main, be unique to the program and will not be assumed to be equivalent to other courses - offered by the state under similar listings.
10. Certain courses within a program may require that participants first take and complete another course (prerequisite) within the program.
11. Courses may range from one-half day to three days in duration. A one-half day course will be the equivalent of four contact hours, a one-day course the equivalent of eight contact hours, and so forth.
12. Required courses will be offered with enough frequency to assure that a program participant can complete a particular program within any consecutive twelve-month period.
13. For each program level, a basic reference text for participants will be prescribed from a list of recommended texts.
14. A supplemental text or workbook may be prescribed for a particular course, dependent upon the degree of specialization and approval of an instructor's request for such a text or workbook.
15. Visual and instructional aids specified for a particular course will be limited to those already on hand or available at a participating institution, or as obtainable through the program's operating budget.

Course Conduct

16. In courses dealing with employee performance and/or interpersonal relationships, maximum usage will be made of behavior-modeling techniques. For example, such courses will be structured with:
 - a. An emphasis on the behavior itself (what to do and what not to do, and how to do it effectively) rather than on personality or psychological analysis.
 - b. Provision of examples (models) that; ways of handling a particular situation (such as a reprimand), productivity.
 - c. Opportunities for participants to imitate the model (role-play) so as to get the feel of how to behave in an effective way themselves.



- d. Provision of social reinforcement by having the role-play take place under observation of their peers, who can help participants judge whether or not they will be effective in an actual job setting.
17. In all courses, the instructional process will utilize the principles of transfer training. That is, each course will provide:
- a. Specific, detailed instructions about how to proceed (in discussing off standard performance, for example) as well as general (big-picture) rationales for cause-and-effect (stimulus-response) relationships.
 - b. A high degree of over learning-in effect, as much practice (such as role-play or problem solving) as possible.
 - c. As much similarity as possible between seminar settings and actual job conditions. This will require a high degree of reality and believability in the selection of cases and examples presented for examination and experience.
 - d. Feedback that reinforces and approves satisfactory participant performance (or corrects and coaches unsatisfactory performance) at- the seminar (by peers and the instructor) and, very important, by superiors after participants return to the job setting.

Course Instructors

18. Course instructors will be expected to conform to all facets and conditions prescribed in the course outlines, but especially to course objectives, subject matter, pre- and post course comprehension evaluations, methodology guidelines, and take-home action-plan implementation.
19. Course instructors will be expected to select or develop case studies, examples, and problems that illustrate and offer experience- in the public sector (rather than in private industry) and to feature office-type activities and situations rather than factory functions and settings.
20. Course instructors will not be permitted to substitute their own similar sounding; "standard" courses for those specified in the program. This will require. special preparation on the part of each instructor to conform to course outline guides.

POLICY REGARDING REQUIREMENTS FOR COURSE COMPLETION

Attendance

All at least 80 percent attendance is required for course completion. Participants t for more than 20 percent of the classes will not be awarded credit. However, to fulfill completion requirements, those missed sessions may be - ; > the next scheduled offering of the program. Participants absent -for job-related reasons are required to discuss this with the instructor so that material missed can-be made up.

Instructor's Requirements

Each course has specific goals that the instructor is responsible for achieving. Participants are required to meet the standards that the instructor requires for satisfactory completion of the course. These standards may include participation in class, tests, reviews, readings, and projects.

Participants' Responsibility

Participants who fail to meet the requirements for course completion are responsible for making up what was missed. If there is any question about meeting either the attendance or instructor's requirements, participants should *discuss this with the instructor before the end of the course*. Participants will be expected to contact Personnel Training for dates of future programs in order to make up attendance.



5.3 Program-Design Factors

Policy and program design will both be affected by a number of factors. The most important and controversial of these are discussed below.

5.3.1 Costs, Benefits, and Budgets

Program design is most limited by

1. its cost (participant time, training salaries, facilities, travel, materials, and so on), as balanced against
2. the potential benefits resulting from the training. Intangible, unmeasurable benefits are always harder to justify than measurable ones like improvements in productivity, reduction in errors or defects, or a decline in absences.

Few organizations actually charge the time lost by supervisors attending training sessions against the training budget. Nevertheless, it is helpful to make some sort of comparison between the cost of this time (in terms of participants' salary) and the total cost of the training. A common measure of training cost is participant-learning-hours, or PLO. If, for example, a program cost \$2,800 and 14 supervisors attended for a total of 20 hours each, the PLO would be 280, and the cost per PLO would be \$10. Weinstein and Kasl have shown that the ratio of the cost of supervisory time lost to the cost of all other PLH is 150 percent.' The inverse of this figure (about 0.66) indicates that the cost of training is relatively small when compared with the value of the supervisor's time to the organization.

In- 1982, Weinstein and Kasl surveyed the cost of training and arrived at the following estimates in terms of average costs per PLO: instruction, \$3.30; instructional materials, \$1.00; facility usage, \$2.60 (often not assessed when performed on-site); administration and overhead, \$4.00; curriculum development, \$7.40; travel and per diem, when training was off-site, \$6.50 (although this came to less than \$1.00 when training took place in the local community). In another study, McKeon suggests that in 1981 it cost \$100 per supervisor to develop a training program and another \$119 to deliver it off-site in a two-day meeting (or sixteen hours); when the participant's salary, travel, and per diem were added, this cost another \$190. Thus, the basic cost per PLO came to \$14, and the ratio of the cost of participant time, travel, and per diem to this cost was 0.86.2

It is a foregone conclusion that expense budgets allocated to supervisory training will be directly influenced by the extent to which the organization sanctions and encourages a particular course or program. A recent survey showed that, on average, first-line supervisors in organizations staffed by training professionals receive 32.5 hours of training a year.' This varies, of course, from industry to industry and from company to company. Public administration supervisors, for example, were reported to receive an average of 37.5 hours. Nevertheless, it will be difficult to secure approval for supervisory-training programs that greatly exceed these averages.

5.3.2 Format Choices

Decisions must also be reached regarding to what extent programs should be conducted:

- On the job or off the job. The great proportion are held off the job in classroom room settings.
- On-site or off-site. Most full-scale programs are conducted on the premises.
- During working hours or after. Most programs are held during working hours, although this varies widely.
- Continuously or on intermit-tent schedules, such as two hours a day for two weeks or one day a week for ten weeks. Schedules vary widely, but the intermittent approach prevails.
- Using internal human resources development faculty, line faculty,' or outside organizations such as vocational-technical institutes, community colleges, university extensions, independent consultants, or professional societies.



5.3.3 Participant Selection

There are two almost unrelated but important questions here. First; should supervisors be chosen, or should they volunteer for the program? Ideally, selection should proceed from an indication, on an individual's performance appraisal, of either (1) an immediate competency shortcoming or (2) potential that can be developed for the good of the individual or the organization. In practice, supervisors may be nominated by their r - for the training for a variety of reasons. The choice may be viewed simply-as a reward to recognize long service. It may also be made as a veiled but threatening expression of dissatisfaction with the supervisor. Or it may represent-the superior's eagerness to go along with the current political climate in the organization and to indicate a willingness to conform. All of these reasons are likely to be bad ones. Few training professionals may hold the organizational power to challenge such selections directly. A better approach is to counsel the nominators on possible negative outcomes (at the least, boredom; at the worst, demotivation) and to mount an educational campaign stressing systematic and productive ways for making these selections.

Volunteers represent a special problem, as indicated earlier. Those with good potential who have somehow escaped the appraisal net should be welcomed and procedural obstacles to their enrollment cleared. The occasional insistence on participation by an obviously unqualified candidate requires sensitive handling in order to (1) verify such an assessment and (2) -make certain that all legal considerations have been taken into account in reaching the decision.

The second question is, should supervisors from one department be mixed with those from different departments and with middle- and upper-level managers? Most authorities agree that much is to be gained by placing line supervisors from different departments and divisions in the same training classes and including equivalent-level staff supervisors. The classroom interaction is likely to be democratic and vigorous, with valuable exchanges of on-the-job and course-related information and perspectives. Some courses are particularly appropriate for this exchange of viewpoints. In general, however there are risks involved in mixing participants from different levels of management. The learning experience can be threatening to lower-level supervisors and their degree of participation in discussions inhibited.

Some companies are also wary of sending their supervisors to outside seminars and courses (such as at a local community college). The fear is that their supervisors will be exposed to organizational policies and practices especially those involving compensation-different from their own. Some organizations whose employees are not represented by labor unions also believe that mixing their supervisors with supervisors from unionized companies may present a problem.

5.3.4 Selection of Instructors and Session Leaders

Opinions regarding the choice of trainers vary widely according to, the conditions of each particular training situation. Common practice seems to be to utilize training staffs for many of the basic managerial and human relations courses. Subject matter that has a significant technical or legal content is often delegated to line or staff specialists who have demonstrated an affinity for conference-type training. Chad dock, however, strongly recommends employing a company's managers to conduct as much of the supervisory training as possible. He says, "Putting training into the hands of line managers stems from my basic perception of the role of the manager as one who has a charter with his or her subordinates to improve their competence."⁴ Many others agree with the philosophy but observe that the realities of an organization's situation often dictate the use of professional trainers or contract instructors. Still others challenge the managers-as-trainers concept, saying that the techniques required for conference-style, participative training-as opposed to lectures-is a capability that few line managers possess.



5.3.5 Program Configuration by Levels of Experience

Generally speaking, supervisory-training programs fall into three levels of general progression and may be supplemented by any number of single-focus or modular courses. The typical categorization of programs is:

- *Presupervisory, introductory, or orientation programs.* These are designed for newly appointed supervisors or those with relatively little experience. Such programs are sometimes identified as "crossover" training, because they help supervisors deal with the abrupt change from employee to managerial status.' Participants in the National Survey of Supervisory Management Practices, however, tended to minimize this trauma. Of the 75 percent of all supervisors who were promoted from the ranks, only 39 percent of them recalled that the crossover was difficult, and just 7 percent said it was very difficult.' Nevertheless, progressive organizations routinely provide such orientation. Wickstrom gives an example of one such program in the box below.
- *Basics, or fundamentals, of supervision.* Whether or not an organization engages in presupervisory training, this basic program becomes the fundamental, or core, program for supervisory training. Its content, with variations, was presented earlier, in chapter 8. Such a "basic program" may be the only program an organization offers to either inexperienced or experienced supervisors. It may be designed to provide a solid foundation within 40 hours; or it may be presented in intermittent fashion over 120 hours and a period of from one to three years. It may be offered as a continuous program or as an intermittent one.
- *Advanced, or refresher, supervision.* If an organization chooses to differentiate between the level of content offered in its supervisory-training programs, then the advanced course for more experienced supervisors will be more sophisticated both in subject content and in approach. Many organizations are sensitive to the way in which training is regarded by experienced supervisors and are highly selective in what is directed toward them and the methods that the program incorporates.

Sample Orientation Program for New Supervisors	
<i>Total time: 40 hours Location: classroom, off the job</i>	
<i>Schedule: intermittent</i>	
Subject	Time Allotment
Orientation to supervisory management	½ day
introduction to management principles	½ day
Corporate personnel policies and practices	½ day
Wage and salary administration	½ day
Attendance, discipline, and related matters	½ day
Productivity and quality goals	½ day
Behavior in organizations	½ day
Motivation and job satisfaction	½ day
Employee instruction and training	½ day
Leadership	½ day



5.4 Relationship of Training to Management Development Program

It is also helpful for planning purposes to place the supervisory-training program into the greater context of management development, as illustrated by the model (see figure 10-1) originally designed for use by one eastern state in its Professional Development Certificate program for public supervisors and managers.

5.4.1 Traditional Versus Modular Format

Because the number of subjects that might be judged as essential aspects of supervisory development is so large, some authorities advocate a departure from the traditional approach to program design. They believe that training is made more effective and less costly by targeting selected elements in modular fashion. Each module is thus integrated into a comprehensive, long-range program for supervisory development. There is considerable justification for this approach, as illustrated by the example in table 10-1.

Table 5.1 Traditional versus modular approaches to supervisory training and development

	Traditional Management Development	Modular Management Development
Scheduling	Meetings are scheduled at the convenience of the instructor, usually same time each week (e.g., Tuesday mornings for eight weeks). Or, if many participants are required to travel, course may be held at hotel/conference center and run continuously (e.g., over one week).	Meetings are held as often as demand requires, at the convenience of participants. Thus, if 67 people sign up for "Time Management," it will be run four times (16-17 persons each time); a topic with 34 enrollees will be run twice. Offerings can be scattered throughout year.
Length of sessions	Each class meeting is same length as others. Some topics are "rushed" or "crammed" to cover all the content; others fit comfortably	Length of meeting is determined by content and intent. Half day, full day, two days with two weeks between, and so on.
Participants	Same people go through course cycle together. They become a group and function as such after the first meeting.	Different faces at each meeting. Composition of group is based on need to know and availability to attend.
Enrollment	Selection is usually done by Personnel or Training Depts. Participants are drafted, with the approval of their immediate supervisor. Such programs usually try not to mix too wide a spectrum of grade levels in any one group: senior managers attend first, then middle, then first level.	Selection is done by department heads, who fill out a "selection matrix" at start of year. They then confer with their subordinate managers (the participants) and enroll. A boss and subordinate can attend the same offering without disrupting their work flow or the group composition.

Supervisory Skills Development

Content	Over time, all members of the organization's management team get the same common core of concepts, skills, procedures, and policy. It becomes part of the "puberty rites" of passing into management in the organization. Once a manager has attended, there is often no further training within the organization.	Different managers take different selections, based on their needs (e.g., some supervise people, others manage projects; some do a lot of writing, or negotiating, or presenting, or running of meetings; others don't). Of course, some matrix offerings can be required of everyone (e.g., those dealing with policy and procedures, budgeting, etc.).
Instructor	The instructor carries the burden of responsibility for making the course a success. Usually the same person(s) teach all subjects and should speak with authority on all topics.	Different instructors can be used for different modules, so the most qualified person (from within or outside) can be made available for a given topic.
Follow-up	End-of-course activities are done on a group basis (e.g., graduation, post-course evaluation, joining of Supervisory Association, follow-up meeting to report on composite Action Plans). Usually there is little or no follow-up.	Follow-up is the responsibility of participant and immediate boss. There is more time to implement Action Plans after each module attended, and more commitment to do so. Better communication is possible between instructor and participant-and-boss, who can function more as a team.

5.4.2 Packaged Versus Custom-Designed

Almost all good packaged training programs are built on a framework of generally accepted, fundamental methodology. Usually, however, packaged programs add original features and proprietary learning aids that are sometimes hard for an in-house training organization to originate. Packaged programs suffer, of course, from their universality and the generalizations that result from it, although most of these programs do allow for some modification and customization.

Custom-designed programs, on the other hand, can be developed internally to provide a perfect fit to the organization's needs and culture. They can be as expensive to develop as those purchased from publishers or created by consultants, but their cost is often hidden in the ongoing salaries of the permanent training staff.

Program design is only one of the factors that contribute to effective supervisory training. The costs of a program's purchase or internal development should be totaled up realistically and weighed objectively against the benefits and learning it is expected to produce.

5.5 Training Manuals

It is a prudent practice to record supervisory-training policies and procedures in a training (or instruction) manual--!sometimes called a leader's guide. Such a manual may serve many purposes: as a written reference, as an operational guide for in-house or contract instructors, or as a basis for preparation of trainee (or participant) manuals or workbooks. Training manuals may contain a wide variety of materials and take many forms.

For example, a major federal agency of the United States provides instructors with a detailed, procedural sequence to be followed. On the lefthand side of each page, the manual presents a background or philosophical overview. On the right-hand side, it presents a script that can be read or paraphrased. In the section of the manual covering the opening session of the agency's basic supervisory program, typical headings are:



- Overview
- Introductory Remarks Course Content
- Manner of Course Presentation
- Clarifying Your Own Role
- Clarifying Participant Roles
- Distribution of Handouts
- Administrative Details
 - Hours of class sessions.
 - Phone number for emergency messages while in class. Coffee breaks.
 - Location of cafeteria and other lunch accommodations.
 - Rest rooms. Fire escapes, health unit location, etc.
 - Information on parking facilities.
 - Advise participants that they may keep notebooks and other materials for future reference.
- "Please fill out the tent card. Use the markers provided and put your name on both sides of the card. Write first name or nickname in large letters."
- "Please complete the registration form provided." Anticipating Participants' Expectations Presentation Outline

Another common use of training manuals is for program planning at branch locations of large companies. A western computer-program developer, for example, expects each branch plant or office to plan and operate its own supervisory program. To assure consistency, it furnishes each location with the checklist shown in the box below, together with a set of instructions for each course, following a similar format.

LEADER'S GUIDE FOR PLANNING-AND OPERATING A SUPERVISOR'S WORKSHOP PROGRAM

The Supervisor's Workshop will be as good as the leader's skill in planning, coordinating, evaluating, and follow-up. The checklist below should be used as a guide in presenting a complete program.	
I. Planning the Program	
A. Clarify objectives	Obtain management approval-relate to company goals.
B. Determine needs	Secure facilities, equipment, books, handouts.
C. Select leaders	Ensure competence--adequate preparation.
D. Establish schedule	Notify participants in advance.
E. Review lesson plans	Consider text, outline, handouts, other sources

F. Visual aids	Prepare charts, V-graphs, films, other media.
G. Physical	Establish location, seating, tables, lighting, arrangements
H. Orienting trainees	Review format, expectations, participation, evaluation
II. Coordinating the Program	
A. On-schedule	Set example.
B. Trainee-oriented	Focus on individual needs, interests
C. Handling problems	Keep all participants informed.
III. Evaluating the Program	
A. Reaction	Assess acceptance and adjust as necessary.
B. Learning	Trainees must be ready-see a need to know.
C. Behavior	Will follow enthusiasm of leader.
D. Results	Contingent upon leader skills and materials.
IV. Follow-Up	
A. Session leaders	Assess total experience, alter materials as needed.
B. Job application	Evaluate trainees, use of materials.
C. Refresher session	Hold review sessions annually.

Some companies also include course outlines in their manual, and these are updated periodically. One southern company follows a convenient left hand/right-hand format (see the next box), which indicates the presentation sequence in one column and the places where the various instructional aids are introduced in the other column.

An Ohio-based service company, which selects session leaders from within the company at its branch offices, provides this guideline in their manual:

Workshops should be presented by qualified and experienced training staff or by carefully selected senior management personnel. Outlines have been prepared with this in mind. Staff members with in-depth knowledge in computer operations, office automation, personnel policy, planning, and scheduling make ideal conference leaders; they contribute local experience and thus give added value to sessions. Additionally, their personal growth is enhanced as discussion leaders. Each leader should, however, be selected first for knowledge and experience, second for his or her willingness and potential to play the role of session leader. Results of any workshop are dependent on the knowledge, experience, ability, self-confidence, enthusiasm, and image of the leader.

5.6 Planning Models

The use of models, or flowcharts, illustrates the planning process schematically and helps to provide a unifying context. In principle, planning for supervisory training follows; with only slight modifications, the same process as for any other kind of sound training. A simple, fundamental planning model is illustrated in figure 10-2. A model that emphasizes a performancebased approach for supervisory program design is shown in figure 10-3. Still another model, linking supervisory training to career planning, is illustrated in figure 10-4.



5.7 Planning Guidelines

The trainer's use of analysis and models should not obscure the essentially human nature of the learning process. There is danger in too much abstraction. Broadwell, for example, cautions about a new generation of supervisors who 'are younger, better educated, and impatient with the, ponderous, didactic methods used in traditional supervisory training. e also calls attention to the increasing number of white-collar, knowledge-oriented supervisors whose expectations and life-styles differ from before the "baby boon-L-8 Fulmer advises that the focus of supervisory-training programs should not exclude the need to regularly familiarize supervisors with the internal workings of their own organizations.' And Short urges that program design allow supervisors to "unlearn" well-entrenched, ineffective habits. e observes that good design will entail discomfort or "disequilibrium," and its success will depend, in large measure, on the supervisor rather than exclusively on the trainer.

Byham also emphasizes how important it is that training actually change a supervisor's behavior-and performance. Accordingly, he offers these negative precepts for program design:

- Practice does not make perfect.
- Tenure does not make a good supervisor.
- Experience is a poor teacher.
- Learning by mistake is a waste of time.
- Systems can't change people.
- Self-study is not enough.
- Bosses are often poor models.

On the positive side of program design, Byham advises that:

- Adequate diagnosis of training and development needs is critical.
- The supervisor's immediate superior is vital in bringing about behavioral change.
- The individual's needs must be integrated into program design.
- Development plans must be put in writing.
- A follow-up procedure must be integrated into the program."



Finally, in order that no important aspect be overlooked in program design, a checklist for trainers is provided in the accompanying box.

Program-Planning Checklist	
Identify the Basis for Program Development	
<input type="checkbox"/>	Know the purpose of your organization, including present mission and future directions.
<input type="checkbox"/>	Identify a personal philosophy of program development for adults, including your beliefs about training in general, adults as learners, and the role of the trainer.
Compile a list of needs/ideas for training programs	
<input type="checkbox"/>	Conduct a formal needs assessment of present employees using a variety of techniques (e.g., task and job analysis, written questionnaires, telephone surveys, focus groups, , Delphi technique).
<input type="checkbox"/>	Respond to specific overall organizational needs for training (e.g., installation of microcomputers for all secretarial personnel).
<input type="checkbox"/>	Respond to legislative mandates (e.g., affirmative action).
<input type="checkbox"/>	Use ideas generated from previous training programs.
<input type="checkbox"/>	Use informal suggestions from colleagues and associates.
<input type="checkbox"/>	Search appropriate professional literature.
Identify the Specific Objectives of the Program	
<input type="checkbox"/>	Screen the data gathered from above through these filters: (1) institutional purposes; (2) interests of potential program participants; and (3) feasible its.
<input type="checkbox"/>	State the program objectives in such p was that they will be understood by all parties involved. These objectives should describe the intended results of the training activity and give focus and direction to the program.
Make the Program Arrangements	
<input type="checkbox"/>	Prepare budget plan.
<input type="checkbox"/>	Choose the most appropriate instructional format (e.g., individual, media).
<input type="checkbox"/>	Identify training staff and outline their roles.
<input type="checkbox"/>	Obtain needed facilities.
<input type="checkbox"/>	Promote program as needed.
<input type="checkbox"/>	Make sure the program fits into the participants' work, home and family schedules and responsibilities.
<input type="checkbox"/>	Develop. p working calendar for all the activities in the program planning process.
Prepare the Specific Instructional Planes) in Cooperation with the Individual Instructors)/ Facilitators)	
<input type="checkbox"/>	Define specific learning objectives for each training activity.
<input type="checkbox"/>	Outline content.
<input type="checkbox"/>	Select methods/kechniques.
<input type="checkbox"/>	Accumulate and/or design the instructional materials.
<input type="checkbox"/>	Design the sequence of learning events.
<input type="checkbox"/>	Consider the nature of each individual learner.
Formulate a Continuous Evaluation Component	
<input type="checkbox"/>	Define precisely the purpose of the evaluation and how the results will be used.
<input type="checkbox"/>	Specify what will be judged.
<input type="checkbox"/>	Determine the kind of evidence you will need (e.g., pprkicipanks'-self-evaluation, cost-benefit materials).
<input type="checkbox"/>	Decide who will evaluate.
<input type="checkbox"/>	Determine what method(s) you will use to conduct the evaluation.
<input type="checkbox"/>	Specify what criterion you will use in making judgments about the program.
Carry Out the Program	
<input type="checkbox"/>	Provide access for monitoring the program and revise the activities as needed.
<input type="checkbox"/>	Gather needed data for both formative and summative evaluation purposes.

<input type="checkbox"/>	Make sure the program presented matches that promised to participants.
Measure and Appraise the Results- of the Program	
<input type="checkbox"/>	Analyze and interpret the evaluation data.
<input type="checkbox"/>	Use this data for new or improved training programs.
Communicate the Value of the Program to Appropriate Publics	
<input type="checkbox"/>	Develop a report on the program.
<input type="checkbox"/>	Communicate this report to key individuals and groups.
<input type="checkbox"/>	Follow up as needed with appropriate individuals and groups to clarify questions or concerns about the program.

Source: Reprinted from Rosemary S. Caffarella. "A Checklist for Planning Programs," Training and Development Journal (March 1985)::84

Program Management and Control



6. Program Management and Control

6.1 Operational Logistics

6.2 Ongoing Management



A well-planned supervisory-training program deserves sound, professional execution. This implementation phase requires meticulous handling of each operational element, such as announcements, registration, and scheduling. Careful attention to procedural details is important for the program as a whole and for each course in it. Program management, however, will demand much more from those in charge. It will also benefit from the development of support mechanisms throughout the organization, the injection of ideas that stimulate and reinforce participation, and rigorous monitoring of program progress.

6.1 Operational Logistics

Generally speaking, management of supervisory-training programs differs from the management of other training programs only to the degree that the supervisory population is more conforming than the middle and executive levels of management and less conforming than nonmanagerial trainees. Thus, the individual providing supervisory training can usually focus on the mechanics of program management rather than the typical problems of attendance and out-of-class preparation. Three areas, however, warrant special attention:

1. course announcements, registration, and scheduling;
2. conference preparation and conduct; and
3. maintenance of the relevant training records.

6.1.1 Schedule Announcements and Registration

It is essential that the carefully laid plans of the training department be communicated to the participants and their sponsors in an effective and timely fashion. Accordingly, a system must be established for providing the proper information well in advance of program kickoff dates and scheduled course times. To make certain that this takes place, a simple logbook or schedule checkoff sheet should be maintained. Format is not particularly important. The information in it will be.

Some organizations publish (internally) a program calendar based on' supervisory schedule. Such a calendar typically contains the following information:

1. A listing of existing and proposed course
2. For each existing course, a description of:
 - a. Eligibility requirements
 - b. Course objectives
 - c. Course structure (lecture, workshop, and so on)
3. Schedule information for the entire program and/or for each course, including:
 - a. Frequency of course offering: yearly, semiannually, monthly, and < forth, or one time only
 - b. Schedule dates
 - c. Locations
 - d. Instructor or coordinator
 - e. Registration deadline(s)
 - f. Maximum enrollment
 - g. Cost (if any) to be charged to the sponsoring department

This kind of data can be transferred to (or from) a Gantt-type program control chart so that each course can be monitored both during schedule preparation and during program implementation.

6.1.2 Conference Preparation And Management

Many supervisory-training programs have a conference or workshop session. Special care should be taken with the physical arrangements and proceed for this kind of program.



Physical Arrangements.

It is almost always desirable for participants sit facing each other, generally around a table. A round table is ideal, but does not use space economically or lend itself to flexible arrangements,

U-, V-, and T-shaped tables are among the variations. At U- and V shaped tables, do not seat members on the inside, because they will then have their backs to at least part of the group. In some training situations, the trainee may be tempted to walk into the "slot." This can provide an effective change of pace but must be done quickly (in and out) because obviously the trainer, too, will be facing only part of the group.

Programs often use a rectangular conference table or some combination of square or rectangular tables. The first problem here is to avoid having legs located so that they restrict the spacing and movement of group members. Pedestal tables are available, with legs near the center rather than around the perimeter.

Most people do not sit still in any meeting, nor do they sit neatly facing the center of the table. They tend to move and shift their bodies in keeping with the focus of discussion. Therefore, swivel chairs are preferred over straight chairs, and the kind used should be well padded, seat and back. Because people shift positions (seat directions) even in straight chairs, provision must be made for adequate space. Simply allowing the width of one chair for each person will result in intolerable cramping. Twice the width of a chair is a more reasonable allocation of space. By all means, make certain that there is room between occupied chairs and the walls so that members may enter and leave without inconveniencing others.

Certain housekeeping details must not be overlooked: place cards, if indicated (and markers for filling them out); ashtrays and matches; a pitcher of fresh water and glasses or paper cups; provision for emptying ashtrays and refilling water pitchers at major breaks; and note paper and pencils. See the box on page 166 for a useful checklist.

Procedures and Control.

Malott advises the instructor to share the course's assumptions with the participants and adhere to a number of procedural conventions. For example:

1. Instructors should set a realistic schedule to ensure that time is distributed properly within the allotted time frame. The schedule should permit a degree of flexibility; no one can really tell in advance just how much time will be required, especially if group participation is required.
2. It is absolutely essential, however, that the meeting start on time and adjourn no later than the announced time. It is a matter of simple courtesy to the attendees, makes it possible for them to plan their time efficiently, and establishes credibility for the instructor. Attendees are then much more apt to be prompt (and enthusiastic) at future meetings. One way to preserve flexibility is to allow somewhat more time for breaks than will be necessary; another is to allocate discussion time, which can be abbreviated.
3. An agenda should be worked out in advance and circulated so that participants can prepare themselves effectively.
4. It is important for participating supervisors to know each other or to be able to identify each other. Where members are not already acquainted and the group is small, place cards (with names in large block letters) are helpful. An opening routine in which each member also states her or his name and organizational identification is a convenient icebreaker and helps others to match faces and voices with names.



Encouraging Participation.

In most small-group supervisory-training meetings, a degree of participation by the group members is desired, and this poses many problems for the group leader. A number of principles are fundamental. The leader must put aside the traditional assumptions that he or she knows more than anybody else or has all the answers. Instead, the leader performs given functions--or makes certain that they are performed by members of the group--such as gatekeeping (ensuring that each member has a fair chance to speak), pacing, stimulating, summarizing, and avoiding premature voting or polarization. The leader also protects the members, not only by assuring them "entry to the board" through gatekeeping but by decreasing any threat that might result from participation and by avoiding or deflecting "put-downs." In this role, the leader is very much an "officer of the court" in favor of justice, but not for or against either side-

Record Keeping.

Records of those supervisors who have successfully completed training programs and courses should be maintained, by either the training department, the human resources department, or the sponsoring organization. In fact, it's a good idea if all three keep records. This helps to prevent loss of records due to transfers and changes in the organization's information system. An individual's training record sheet should contain, at the minimum, the following data:

1. title of course;
2. date completed;
3. relationship to a larger program (such as a company's advanced supervision course);
4. credit toward a program of certification or other recognition; and
5. if appropriate, the number of continuing education units (CEUs) awarded.

Checklist for Instructor Planning and Preparation		
Have you	Yes	No
1. Fixed in your mind the objectives to be attained through the training session?	<input type="checkbox"/>	<input type="checkbox"/>
2. Secured, or thoroughly familiarized yourself prepared, with the necessary training aids:	<input type="checkbox"/>	<input type="checkbox"/>
a. Charts ready?	<input type="checkbox"/>	<input type="checkbox"/>
b. Case studies prepared?	<input type="checkbox"/>	<input type="checkbox"/>
c. Checksheets to be distributed ready in sufficient quantities?	<input type="checkbox"/>	<input type="checkbox"/>
d. Demonstrations predetermined?	<input type="checkbox"/>	<input type="checkbox"/>
e. All special materials obtained?	<input type="checkbox"/>	<input type="checkbox"/>
f. Visual aids to be used previewed and a plan made for their use?	<input type="checkbox"/>	<input type="checkbox"/>
3. Prepared for your opening talk?	<input type="checkbox"/>	<input type="checkbox"/>

4. Carefully studied your agenda or outline?	<input type="checkbox"/>	<input type="checkbox"/>
a. Determined the important points to be emphasized?	<input type="checkbox"/>	<input type="checkbox"/>
b. Considered anticipated responses and group reactions?	<input type="checkbox"/>	<input type="checkbox"/>
c. Determined points at which quick summaries will be made?	<input type="checkbox"/>	<input type="checkbox"/>
d. Considered experiences and stories to be used for emphasis?	<input type="checkbox"/>	<input type="checkbox"/>
e. Determined ways and means of getting trainee participation, stimulating thinking, and creating interest?	<input type="checkbox"/>	<input type="checkbox"/>
f. Considered what the summary of the group's thinking might be?	<input type="checkbox"/>	<input type="checkbox"/>
5. Planned carefully to be sure adequate time has been allotted?	<input type="checkbox"/>	<input type="checkbox"/>
6. Notified everyone concerned of time and place of the session?	<input type="checkbox"/>	<input type="checkbox"/>
7. Checked physical requirements for conducting the session?	<input type="checkbox"/>	<input type="checkbox"/>
a. Blackboard or chart paper available?	<input type="checkbox"/>	<input type="checkbox"/>
b. Seating arrangement conforms to good training procedure?	<input type="checkbox"/>	<input type="checkbox"/>
c. Facilities for showing films ready?	<input type="checkbox"/>	<input type="checkbox"/>
d. Ashtrays provided if smoking is permitted?	<input type="checkbox"/>	<input type="checkbox"/>
e. Chalk, crayons, Scotch tape, thumbtacks, erasers, paper, pencils,, and so forth on hand?	<input type="checkbox"/>	<input type="checkbox"/>
f. Ventilation, heat, light, trainee comfort adequate?	<input type="checkbox"/>	<input type="checkbox"/>

6.2 Ongoing Management

Once the program is underway, a number of techniques and procedures can be employed for ensuring its effectiveness. These include:

1. Pre-course conditioning of supervisors
2. Ideas for obtaining the continuing support of their sponsors
3. Internal publicity activities
4. Formation of in-company supervisory clubs to build cohesiveness and serve as ongoing forums for information and development
5. Introduction of formal recognition features, such as awarding CEUs and encouraging certification

6.2.1 Preconditioning Participants

In order to stimulate an active, rather than passive stance toward a particular training program, some companies try to preview the course for participants and then secure a commitment from them in the way of written personal goals. The goals are developed progressively from stage I (one week before the course begins), to stage II at the end of the course, where the individual evaluates the goals already set, and then to stage III (where goals are projected for six months after completion of the course). This approach builds in (1) a self-evaluation during the course and (2) a stimulus for the supervisor to apply what has been learned after the course is completed.



Other organizations take special pains to ensure that the supervisors arrive at the course site fully prepared to relate what they are about to learn to their actual work. One statewide public agency makes this preparation a part of its program policy.

Advance participant registration will be acknowledged by a letter from the training department to participants, with copies to their superior officer. The letter will specify the need for and extent of precourse preparation, such as:

- Identifying a relevant problem area or project possibility for course analysis and discussion.
- Gathering information about relevant departmental procedures or history absences, lateness, turnover records, supplies inventories and usage, costs, etc.

Exercises



Exercise I

1. In the space provided, please consider what instructional supervision means and could mean in your organization. (For instance, you might consider the purposes and contexts of instructional supervision. Is there a difference between instructional supervision and mentoring?)

Exercise II

Workshop / Interactive Activity

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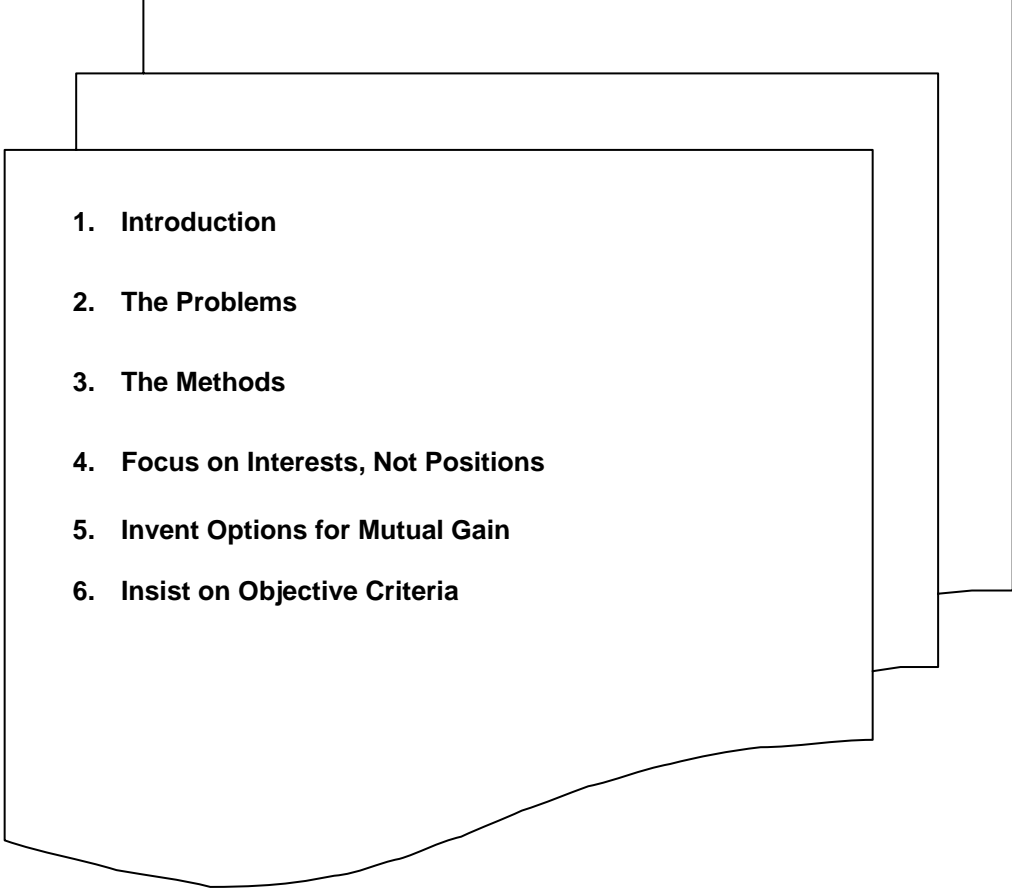
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Negotiation

Objectives:

- Identify and understand in general, the principles of negotiation;
- Identify alternative procedures to overcome problems over positions;
- Identify the methods of negotiation
 - Separate the people from the problem
 - Perception
 - Emotion
 - Communication
- Identify the factors on how to focus on interest not position;
- Identify the four major obstacles of inventing options;
 - Premature judgment
 - Searching for the single answer
 - Assumption
 - Solving their problems
- Identify principled negotiation that produces wise agreements amicably and efficiently.

Outline:

- 
- The outline is presented as a list of six items, each on a separate line. The list is contained within a white rectangular box that is part of a stack of three overlapping boxes, creating a 3D effect. The boxes are slightly offset to the right and down from each other. The bottom-most box, which contains the text, has a wavy, torn-paper-like bottom edge.
- 1. Introduction**
 - 2. The Problems**
 - 3. The Methods**
 - 4. Focus on Interests, Not Positions**
 - 5. Invent Options for Mutual Gain**
 - 6. Insist on Objective Criteria**

Introduction



Introduction

Negotiation is a part of everyday life. Everyone negotiates something every day. Like Molière's Monsieur Jourdain, who was delighted to learn that he had been speaking prose all his life, people negotiate even when they don't think of themselves as doing so. You negotiate with your spouse about where to go for dinner and with your child about when the lights go out. Negotiation is a basic means of getting that, which you want from others. It is "back-and-forth" communication designed to reach an agreement when you and the other side have some interests that are shared and others that are opposed.

More and more occasions require negotiation; conflict is a growth industry. Everyone wants to participate in decisions that affect them; fewer and fewer people will accept decisions dictated by someone else. People differ, and they use negotiation to handle their differences. Whether in business, government, or the family, people reach most decisions through negotiation. Even when they go to court, they almost always negotiate a settlement before trial.

Although negotiation takes place every day, it is not easy to do well. Standard strategies for negotiation often leave people dissatisfied, worn out, or alienated- and frequently all three.

People find themselves in a dilemma. They see two ways to negotiate: soft or hard. The soft negotiator wants to avoid personal conflict and so makes concessions readily in order to reach agreement. He wants an amicable resolution; yet he often ends up exploited and feeling bitter. The hard negotiator sees any situation as a contest of wills in which the side that takes the more extreme positions and holds out longer fares better. He wants to win; yet he often ends up producing an equally hard response which exhausts him and his resources and harms his relationship with the other side. Other standard negotiating strategies fall between hard and soft, but each involves an attempted trade-off between getting what you want and getting along with people.

There is a third way to negotiate, a way neither hard nor soft, but rather both hard and soft. The method of principled negotiation developed at the Harvard Negotiation Project is to decide issues on their merits rather than through a haggling process focused on what each side says it will and won't do. It suggests that you look for mutual gains whenever possible, and that where your interests conflict, you should insist that the result be based on some fair standards independent of the will of either side. The method of principled negotiation is hard on the merits, soft on the people. It employs no tricks and no posturing. Principled negotiation shows you how to obtain what you are entitled to and still be decent. It enables you to be fair while protecting you against those who would take advantage of your fairness.

Every negotiation is different, but the basic elements do not change. Principled negotiation can be used whether there is one issue or several; two parties or any; whether there is a prescribed ritual, as in collective bargaining, or an impromptu free-for-all, as in talking with hijackers. The method applies whether the other side is more experienced or less, a hard bargainer or a friendly one. Principled negotiation is an all-purpose strategy. Unlike almost all other strategies, if the other side learns this one it does not become more difficult to use; it becomes easier.

The Problems



2. The Problems

- 2.1 Don't bargain over positions
- 2.2 Arguing over positions produces unwise agreements
- 2.3 Arguing over positions is inefficient
- 2.4 Arguing over positions endangers an ongoing relationship
- 2.5 When there are many parties, positional bargaining is even worse
- 2.6 Being nice is no answer
- 2.7 There is an alternative



2.1 Don't Bargain Over Positions

Whether a negotiation concerns a contract, a family quarrel, or a peace settlement among nations, people routinely engage in positional bargaining. Each side takes position, argues for it, and makes concessions to reach a compromise. The classic example of this negotiating minuet is the haggling that takes place between a customer and the proprietor of a secondhand store:

Customer	Shopkeeper
How much do you want for this brass dish?	That is a beautiful antique, isn't it? I guess I could let it go for \$75
Oh come on, it's dented. I'll give you \$15	Really! I might consider a serious offer, but \$15 certainly isn't serious.
Well, I could go to \$20, but I would never pay anything like \$75. quote me a realistic price.	You drive a hard bargain, young lady. \$60 cash, right now.
\$25.	It cost me a great deal more than that. Make me a serious offer.
\$37.50. That's the highest I will go.	Have you noticed the engraving on that dish? Next year pieces like that will be worth twice what you pay today

Any method of negotiation may be fairly judged by three criteria: it should produce a wise agreement if agreement is possible. It should be efficient. And it should improve or at least not damage the relationship between the parties. (A wise agreement can be defined as one, which meets the legitimate interests of each side to extent possible, resolves conflicting interests fairly, is durable, and takes community, interests in to account.)

The most common form of negotiation, illustrated by the above example, depends upon successively taking – and then giving up – a sequence of positions.

Taking positions, as the customer and storekeeper do, serves some useful purposes in a negotiation. It tells the other side what you want; it provides an anchor in an uncertain and pressured situation; and it can eventually produce the terms of an acceptable agreement. But those purposes can be served in other ways. And positional bargaining fails to meet the basic criteria of producing a wise agreement, efficiently and amicably.

2.2 Arguing over positions produces unwise agreements

When negotiators bargain over positions, they tend to lock themselves into those positions. The more you clarify your position and defend it against attack, the more committed you become to it. The more you try to convince the other side of the impossibility of changing your opening position, the more difficult it becomes to do so. Your ego becomes identified with your position. You now have a new interest in “saving face” - in reconciling future action with past positions – making it less and less likely that any agreement will wisely reconcile the parties' original interests.



As more attention is paid to positions, less attention is devoted to meeting the underlying concerns of the parties. Agreement becomes less likely. Any agreement reached may reflect a mechanical splitting of the difference between final positions rather than a solution carefully crafted to meet the legitimate interests of the parties. The result is frequently an agreement less satisfactory to each side than it could have been.

2.3 Arguing over positions is inefficient

The standard method of negotiation may produce either agreement, as with the price of a brass dish, or breakdown, as with the number of on-site inspections. In either event, the process takes a lot of time.

Bargaining over positions creates incentives that stall settlement. In positional bargaining you try to improve the chance that any settlement reached is favorable to you by starting with an extreme position, and by stubbornly holding to it. You also deceive the other party as to our true views, and by making small concessions only as necessary to keep the negotiation going. The same is true for the other side. Each of those factors tends to interfere with reaching settlement promptly. The more extreme the opening positions and the smaller the concessions, the more time and effort it will take to discover whether or not agreement is possible.

The standard minuet also requires a large number of individual decisions as each negotiator decides what to offer, what to reject and how much of concession to make. Decision-making is difficult and time-consuming at best. Where each decision not only involves yielding to the other side but will likely produce pressure to yield further, a negotiator has little incentive to move quickly. Dragging one's feet, threatening to walk out, stonewalling, and other such tactics become commonplace. They all increase the time and costs of reaching agreement as well as the risk that no agreement will be reached at all.

2.4 Arguing over positions endangers an ongoing relationship

Positional bargaining becomes a contest of will. Each negotiator asserts what he will and won't do. The task of jointly devising an acceptable solution tends to become a battle. Each side tries through sheer will power to force the other to change its position. "I'm not going to give in. If you want to go to the movies with me, it's The Maltese Falcon or nothing." Anger and resentment often result as one side sees itself bending to the rigid will of the other while its own legitimate concerns are not addressed. Positional bargaining thus strains and sometimes shatters the relationship between the parties. Commercial enterprises that have been doing business together for years may part company. Neighbors may stop speaking to each other. Bitter feelings generated by one such encounter may last a lifetime.

2.5 When there are many parties, positional bargaining is even worse

Although it is convenient to discuss negotiation in terms of two persons, you and "the other side," in fact, almost every negotiation involves more than two persons. Several different parties may sit at the table, or each side may have constituents, higher-ups, boards of directors, or committees with whom they must deal. The more people involved in negotiation, the more serious the drawbacks to positional bargaining.

2.6 Being nice is no answer

Many people recognize the high cost of hard positional bargaining, particularly on the parties and their relationship. They hope to avoid them by following a more gentle style of negotiation. Instead of seeing the other side as adversaries, they prefer to see them as friends. Rather than emphasizing a goal of victory, they emphasize the necessity of reaching agreement. In a soft negotiating game the standard moves are to make offers and concessions, to trust the other side, to be friendly, and to yield as necessary to avoid confrontation.



The following table illustrates two styles of positional bargaining, soft and hard. Most people see their choice of negotiating strategies as between these two styles. Looking at the table as presenting a choice, should you be a soft or a hard positional bargainer? Or should you perhaps follow a strategy somewhere in between?

The soft negotiating game emphasizes the importance of building and maintaining a relationship. Within families and among friends much negotiation takes place in this way. The process tends to be efficient, at least to the extent of producing results quickly. As each party competes with the other in being more generous and more forthcoming, an agreement becomes highly likely. But it may not be a wise one.

More seriously, pursuing a soft and friendly form of positional bargaining makes you vulnerable to someone who plays a hard game of positional bargaining. In positional bargaining, a hard game dominates a soft one. If the hard bargainer insists on concessions and makes threats while the soft bargainer yields in order to avoid confrontation and insists on agreement, the negotiating game is biased in favor of the hard player. The process will produce an agreement, although it may not be a wise one. It will certainly be more favorable to the hard positional bargainer than to the soft one. If your response is sustained, hard positional bargaining is soft positional bargaining, you will probably lose your shirt.

2.7 There is an alternative

If you do not like the choice between hard and soft positional bargaining, you can change the game.

Problem: Positional Bargaining: Which Game Should You Play?

Soft	Hard
Participants are friends.	Participants are adversaries.
The goal is agreement	The goal is victory.
Make concessions to cultivate the relationship.	Demand concessions as a condition of the relationship.
Be soft on the people and the problem.	Be hard on the problem and the people.
Trust others.	Distrust others.
Change your position easily.	Dig into your position.
Make offers.	Make threats.
Disclose your bottom line.	Mislead as to your bottom line.
Accept the one-sided losses to reach agreement.	Demand one-sided gains as the price of agreement.
Search for the single answer: the one <i>they</i> will accept.	Search for the single answer: the one <i>you</i> will accept.
Insist on agreement.	Insist on your position.
Try to avoid a contest of will.	Try to win a contest of will.
Yield to pressure.	Apply pressure.



The game of negotiation takes place at two levels. At one level, negotiation addresses the substance; at another, it focuses - usually implicitly - on the procedure for dealing with the substance. The first negotiation may concern your salary, the terms of lease, or a price to be paid. The second negotiation concerns how you will negotiate the substantive question: by soft positional bargaining, by hard positional bargaining, or by some other method. This second negotiation is a game about a game – a “meta-game.” Each move you make within a negotiation is not only a move that deals with rent, salary, or other substantive questions; it also helps structure the rules of the game you are playing. Your move may serve to keep the negotiations within an ongoing mode, or it may constitute a game – changing move.

This second negotiation by and large escapes notice because it seems to occur without conscious decision. Only when dealing with someone from another country, particularly someone with a markedly different cultural background, are you likely to see the necessity of establishing some accepted process for the substantive negotiations. But whether consciously or not, you are negotiating procedural rules with every move you make even if those moves appear exclusively concerned with substance.

The answer to the question of the whether to use soft positional bargaining or hard is “neither.” Change the game. This method, called principled negotiation or negotiation on the merits, can be boiled down to four basic points.

These four points define a straightforward method of negotiation that can be used under almost any circumstance. Each point deals with a basic element of negotiation, and suggests what you should do about it.

People:	Separate the people from the problem.
Interests:	Focus on interests, not positions.
Options:	Generate a variety of possibilities before deciding what to do.
Criteria:	Insist that the result be based on some objective standard.

The first point responds to the fact that human beings are not computers. We are creatures of strong emotions that often have radically different perceptions and have difficulty communicating clearly. Emotions typically become entangled with the objectives and merits of the problem. Taking positions just makes this worse because people’s egos become identified with their positions. Hence, before working on the substantive problem, the “people problem” should be disentangled from it and dealt with separately. Figuratively if not literally, the participants should come to see themselves as working side by side, attacking the problem, not each other. Hence the first proposition separate the people from the problem.

The second point is designed to overcome the drawback of focusing on people’s stated positions when the object of negotiation is to satisfy their underlying interests. A negotiating position often obscures what you really want. Compromising between positions is not likely to produce an agreement, which will effectively take care of the human needs that led people to adopt those positions. The second basic element of the method is to focus on interests, not positions.

The third point responds to the difficulty of designing optimal solutions while under pressure. Trying to decide in the presence of an adversary narrows your vision. Having a lot at stake inhibits creativity. So does searching for the one right solution. You can offset these constraints by setting aside a designated time within which to think up a wide range of possible solutions that advance shared interests and creatively reconcile differing interests. Hence the third basic point: before trying to reach agreement, invent options for mutual gain.

Where interests are directly opposed, a negotiator may be able to obtain a favorable result simply by being stubborn. That method tends to reward intransigence and produce arbitrary results. However, you can counter such a negotiator by insisting that his single say-so is not enough and that the agreement must reflect some fair standard independent of the naked will of either side.

Negotiation



This does not mean insisting that the terms be based on the standard you select, but ~~only~~ that some fair standard such as market value, expert opinion, custom, or law determines the outcome. By discussing such criteria rather than what the parties are willing or unwilling to do, neither party need give in to the other; both can defer to a fair solution. Hence the fourth basic point: insist on using objective criteria.

The method of principled negotiation is contrasted with hard and soft positional bargaining in the table below, which shows the four basic points of the method in boldface type.

The four propositions of principled negotiation are relevant from the time you begin to think about negotiating until the time either an agreement is reached or you decide to break off the effort. That period can be divided into three stages: analysis, planning and discussion.

During the analysis stage you are simply trying to diagnose the situation – to gather information, organize it, and think about it. You will want to consider the people problems of partisan perceptions, hostile emotions, and unclear communication, as well as to identify your interests and those of the other side. You will want to note options already on the table and identify any criteria already suggested as a basis for agreement. During the planning stage you deal with same four elements a second time, both generating ideas and deciding what to do. How do you propose to handle the people problems? Of your interests, which are most important? And what are some realistic objectives? You will want to generate additional options and additional criteria for deciding among them.

Problem		Solution	
Positional Bargaining: Which Game Should You Play?		Change the Game – Negotiate on the Merits	
Soft	Hard	Principled	
Participants are friends.	Participants are adversaries.	Participants are problem – solvers.	
The goal is agreement.	The goal is victory.	The goal is a wise outcome reached efficiently and amicably.	
Make concessions to cultivate the relationship.	Demand concessions as a condition of the relationship.	Separate the people from the problem.	
Be soft on the people and the problem.	Be hard on the problem and the people.	Be soft on the people. Hard on the problem.	
Trust others.	Distrust others.	Proceed independent of trust.	
Change your position easily.	Dig in to your position.	Focus on Interests, not positions.	
Make offers.	Make threats.	Explore interests.	
Disclose your bottom line.	Mislead as to your bottom line.	Avoid having a bottom line.	
Accept one-sided losses to reach agreement.	Demand one-side gains as the price of agreement.	Invent options for mutual gain.	
Search for the single answer: the one <i>they</i> will accept.	Search for the single answer: the one <i>you</i> will accept.	Develop multiple options to choose from; decide later.	
Insist on agreement.	Insist on your position.	Insist on using objective criteria.	

Try to avoid a contest of will.	Try to win a contest of will.	Try to reach a result based on standards independent of will.
Yield to pressure.	Apply pressure	Reason and be open to reason; yield to principle, not pressure.

Again during the discussion stage, when the parties communicate back and forth, looking toward agreement, the same four elements are the best subjects to discuss. Differences in perception, feelings of frustration and anger, and difficulties in communication can be acknowledged and addressed. Each side should come to understand the interests of the other. Both can then jointly generate options that are mutually satisfying options and fair standards typically results in wise agreement. The method permits you to reach a gradual consensus on a join decision efficiently without all the transactional costs of digging into positions only to have to dig yourself out of them. And separating the people from the problem allows you to deal directly and empathetically with the other negotiator as a human being, thus making possible an amicable agreement.

Each of the next four chapters expands on one of these four basic points. If at any point you become skeptical, you may want to skip ahead briefly and browse in the final three chapters, which respond to questions commonly raised about the method.

The Methods



1. The Methods

3.1 Separate people from the problem

3.2 Perception

3.3 Emotion

3.4 Communication



3.1 Separate the People from the Problem

Everyone knows how hard it is to deal with a problem without people misunderstanding each other, getting angry or upset, and taking things personally.

3.1.1 Negotiators are people first

A basic fact about negotiation, easily forgotten in corporate and international transactions, is that you're dealing not with abstract representatives of the "other side," but with human beings. They have emotions, deeply held values, and different backgrounds and viewpoints; and they are unpredictable.

This human aspect of negotiation can be either helpful or disastrous. The process of working out an agreement may produce a psychological commitment to a mutually satisfactory outcome. A working relationship where trust, understanding, respect, and friendship are built up over time can make each new negotiation smoother and more efficient. And people's desire to feel good about themselves, and their concern for what others will think of them, can often make them more sensitive to another negotiator's interests.

On the other hand, people get angry, depressed, fearful, hostile, frustrated, offended. They have egos that are easily threatened. They see the world from their own personal point of view, and they frequently confuse their perceptions with reality. Routinely, they fail to interpret what you say in the way you intend and do not mean what you understand them to say. Misunderstanding can reinforce prejudice and lead to reactions that produce counteractions in a vicious circle; rational exploration of possible solutions becomes impossible and a negotiation fails. The purpose of the game becomes scoring points, confirming negative impressions, and apportioning blame at the expense of the substantive interests of both parties.

Failing to deal with others sensitively as human beings prone to human reactions can be disastrous for a negotiation. Whatever else you are doing at any point during a negotiation, from preparation to follow-up, it is worth asking yourself, "Am I paying enough attention to the people problem?"

3.1.2 Every negotiator has two kinds of Interests: In the substance and in the relationship

Every negotiator wants to reach an agreement that satisfies his substantive interests. That is why one negotiates. Beyond that, a negotiator also has an interest in his relationship with the other side. At a minimum, a negotiator wants to maintain a working relationship good enough to produce an acceptable agreement if one is possible given each side's interests. Usually, more is at stake. Most negotiations take place in the context of an ongoing relationship where it is important to carry on each negotiation in a way that will help rather than hinder future relations and future negotiations. In fact, with many long-term clients, business partners, family members, fellow professionals, government officials, or foreign nations, the ongoing relationship is far more important than the outcome of any particular negotiation.

3.1.3 The relationship tends to become entangled with the problem.

A major consequence of the "people problem" in negotiation is that the parties' relationship tends to become entangled with their discussions of substance. On both the giving and receiving end, we are likely to treat people and problem as one. Within the family, a statement such as "The kitchen is a mess" or "Our bank account is low" may be intended simply to identify a problem, but it is likely to be heard as a personal attack. Anger over a situation may lead you to express anger toward some human being associated with it in your mind. Egos tend to become involved in substantive positions.

Another reason that substantive issues become entangled with psychological ones is that people draw from comments on substance unfounded inferences which they then treat as facts about that person's intentions and attitudes toward them. Unless we are careful, this process is almost automatic; we are seldom aware that other explanations may be equally valid.



3.1.4 Positional bargaining puts relationship and substance in conflict.

Framing a negotiation as a contest of will over positions aggravates the entangling process. I see your position as a statement of how you would like the negotiation to end; from my point of view it demonstrates how little you care about our relationship. If I take a firm position that you consider unreasonable, you assume that I also think of it as extreme position; it is easy to conclude that I do not value our relationship – or you – very highly.

Positional bargaining deals with a negotiator's interest both in substance and in a good relationship by trading one off against the other. If what counts in the long run for your company is its relationship with the insurance commissioner, then you will probably let this matter drop. Or, if you care more about a favorable solution than being respected or liked by the other side, you can try to trade relationship for substance. "If you won't go along with me on this point, then so much for you. This will be the last time we meet." Yet giving in on a substantive point may buy no friendship; it may do nothing more than convince the other side that you can be taken for a ride.

3.1.5 Separate the relationship from the substance; deal directly with the people's problem

Dealing with a substantive problem and maintaining a good working relationship need not be conflicting goals if the parties are committed and psychologically prepared to treat each separately on its own legitimate merits. Base the relationship on accurate perceptions, clear communications, appropriate emotions, and forward-looking, purposive outlook. Deal with people problems directly; don't try to solve them with substantive concessions.

To deal with psychological problems, use psychological techniques. Where perceptions are inaccurate, you can look for ways to educate. If emotions run high, you can find ways for each person involved to let off steam. Where misunderstanding exists, you can work to improve communication.

To find your way through the jungle of people problems, it is useful to think in terms of three basic categories: perceptions, emotion, and communication. The various people problems all fall into one of these three baskets.

In negotiating it is easy to forget that you must deal not only with their people problems, but also with your own. Your anger and frustration may obstruct an agreement beneficial to you. Your perceptions are likely to be one-sided, and you may not be listening or communicating adequately. The techniques that follow apply equally well to your people problems as to those of the other side.

3.2 Perception

Understanding the other side's thinking is not simply a useful activity that will help you solve your problem. Their thinking is the problem. Whether you are making a deal or settling a dispute, differences are defined by the difference between your thinking and theirs. When two people quarrel, they usually quarrel over an object – both may claim a watch – or over an event – each may contend that the other was at fault in causing an automobile accident. The same goes for nations.

Ultimately, however, conflict lies not in objective reality, but in people's heads. Truth is simply one more argument – perhaps a good one, perhaps not – for dealing with the difference. The difference itself exists because it exists in their thinking. Fears, even if ill-founded, are real fears and need to be dealt with. Hopes, even if unrealistic, may cause a war. Facts, even if established, may do nothing to solve the problem. Both parties may agree that aggravates the entangling process. I see your position as a statement of how you would like the negotiation to end; from my point of view it demonstrates how little you care about our relationship. If I take a firm position that you consider unreasonable, you assume that I don not value our relationship – or you – very highly.



Positional bargaining deals with a negotiator's interests both in substance and in a good relationship by trading one off against the other. If what counts in the long run for your company is its relationship with the insurance commissioner, then you will probably let this matter drop. Or, if you care more about a favorable solution than being respected or liked by the other side, you can try to trade relationship or substance. "If you won't go along with me on this point, then so much for you. This will be the last time we meet." Yet giving in on a substantive point may buy no friendship; it may do nothing more than convince the other side that you can be taken for a ride.

Understanding their point of view is not the same as agreeing with it. It is true that a better understanding of their thinking may lead you to revise your own views about the merits of a situation. But that is not a cost of understanding their point of view, it is a benefit. It allows you to reduce the area of conflict, and it also helps you advance your newly enlightened self-interest.

3.2.1 Don't deduce their intentions from your fears

People tend to assume that whatever they fear, the other side intends to do. Consider this story from the New York Times: "They met in a bar, where he offered her a ride home. He took her down unfamiliar streets. He said it was a shortcut. He got her home so fast she caught the 10 o'clock news." Why is the ending so surprising? We made an assumption based on our fears.

It is all too easy to fall into the habit of putting the worst interpretation on what the other side says or does. A suspicious interpretation often follows naturally from one's existing perceptions. Moreover, it seems the "safe" thing to do, and it shows spectators how bad the other side really is. But the cost of interpreting whatever they say or do in its most dismal light is that fresh ideas in the direction of agreement are spurned, and subtle changes of position are ignored or rejected.

3.2.2 Don't blame them for your problem

It is tempting to hold the other side responsible for your problem. "Your company is totally unreliable. Every time you service our rotary generator here at the factory, you do a lousy job and it breaks down again." Blaming is an easy mode to fall into, particularly when you feel that the other side is indeed responsible. But even if blaming is justified, it is usually counterproductive. Under attack, the other side will become defensive and will resist what you have to say. They will cease to listen, or they will strike back with an attack of their own. Assessing blame firmly entangles the people with the problem.

When you talk about the problem, separate the symptoms from the person with whom you are talking. "Our rotary generator that you service has broken down again. That is three times in the last month. The first time it was out of order for an entire week. This factory needs a functioning generator. I want your advice on how we can minimize our risk of generator breakdown. Should we change service companies, sue the manufacturer, or what?"

3.2.3 Discuss each other's perceptions

One way to deal with differing perceptions is to make them explicit and discuss them with the other side. As long as you do this in a frank, honest manner without either side blaming the other for the problem as each sees it, such a discussion may provide the understanding they need to take what you say seriously, and vice versa.

It is common in a negotiation to treat as "unimportant" those concerns of the other side perceived as not standing in the way of an agreement. To the contrary, communicating loudly and convincingly things you are willing to say that they would like to hear can be one of the best investments you as a negotiator can make.



3.2.4 Give them a stake in the outcome by making sure they participate in the process.

If they are not involved in the process, they are hardly likely to approve the product. It is that simple. If you go to the state insurance commissioner prepared for battle after a long investigation, it is not surprising that he is going to feel threatened and resist your conclusions. If you fail to ask an employee whether he wants an assignment with responsibility, don't be surprised to find out that he resents it. If you want the other side to accept a disagreeable conclusion, it is crucial that you involve them in the process of reaching that conclusion.

This is precisely what people tend not to do. When you have a difficult issue to handle, your instinct is to leave the hard part until last. "Let's be sure we have the whole thing worked out before we approach the Commissioner." The Commissioner, however, is much more likely to agree to a revision of the regulations if he feels that he has had a part in drafting it. This way the revision becomes just one more small step in the long drafting process that produced his original regulation rather than someone's attempt to butcher his completed product.

Even if the terms of an agreement seem favorable, the other side may reject them simply out of a suspicion born of their exclusion from the drafting process. Agreement becomes much easier if both parties feel ownership of the ideas. The whole process of negotiation becomes stronger as each side puts their imprimatur bit by bit on a developing solution. Each criticism of the terms and consequent change, each concession, is a personal mark that the negotiator leaves on a proposal. A proposal evolves that contains enough of the suggestions of both sides for each to feel it is theirs.

To involve the other side, get them involved early. Ask their advice. Giving credit generously for ideas wherever possible will give them a personal stake in defending those ideas to others. It may be hard to resist the temptation to take credit for you but forbearance pays off handsomely. Apart from the substantive merits, the feeling of participation in the process is perhaps the single most important factor in determining whether a negotiator accepts a proposal. In a sense, the process is the product.

3.2.5 Face-saving: Make your proposals consistent with their values

In the English language, "face-saving" carries a derogatory flavor. People say, "We are doing that just to let them save face," implying that a little pretense has been created to allow someone to go along without feeling badly. The tone implies ridicule.

This is a grave misunderstanding of the role and importance of face-saving. Face-saving reflects a person's need to reconcile the stand he takes in a negotiation or an agreement with his principles and with his past words and deeds.

The judicial process concerns itself with the same subject. When a judge writes an opinion on a court ruling, he is saving face, not only for himself and for the judicial system, but for the parties. Instead of just telling one party, "You win," and telling the other, "You lose," he explains how his decision is consistent with principle, law, and precedent. He wants to appear not as arbitrary, but as behaving in a proper fashion. A negotiator is no different.

Often in a negotiation people will continue to hold out not because the proposal on the table is inherently unacceptable, but simply because they want to avoid the feeling or the appearance of backing down to the other side. If the substance can be phrased or conceptualized differently so that it seems a fair outcome, they will then accept it. Terms negotiated between a major city and its Hispanic community on municipal jobs were unacceptable to the mayor – until the agreement was withdrawn and the mayor was allowed to announce the same terms as his own decision, carrying out a campaign promise.

Face-saving involves reconciling an agreement with principle and with the self-image of the negotiators. Its importance should not be underestimated.



3.3 Emotion

In a negotiation, particularly in a bitter dispute, feelings may be more important than talk. The parties may be more ready for battle than for cooperatively working out a solution to a common problem people often come to a negotiation realizing that the stakes are high and feeling threatened. Emotions on one side will generate emotions on the other. Fear may breed anger, and anger, fear. Emotions may quickly bring a negotiation to an impasse or an end.

3.3.1 First recognize and understand emotions, theirs and yours

Look at yourself during the negotiation. Are you feeling nervous? Is your stomach upset? Are you angry at the other side? Listen to them and get a sense of what their emotions are. You may find it useful to write down what you feel – perhaps fearful, worried, angry – and then how you might like to feel – confident, relaxed. Do the same for them. In dealing with negotiators who represent their organizations, it is easy to treat them as mere mouthpieces without emotions. It is important to remember that they too, like you, have personal feelings, fears, hopes, and dreams. Their careers may be at stake. There may be issues on which they are particularly sensitive and others on which they are particularly proud. Nor are the problems of emotion limited to the negotiators. Constituents have emotions too. A constituent may have an even more simplistic and adversarial view of the situation.

Ask yourself what is producing the emotions. Why are you angry? Why are they angry? Are they responding to past grievances and looking for revenge? Are emotions spilling over from one issue to another? Are personal problems at home interfering with business? In the Middle East negotiation, Israelis and Palestinians alike feel a threat to their existence as peoples and have developed powerful emotions that now permeate even the most concrete practical issue, like distribution of water in the West Bank, so that it becomes almost impossible to discuss and resolve. Because in the larger picture both peoples feel that their own survival is at stake, they see every other issue in terms of survival.

3.3.2 Make emotions explicit and acknowledge them as legitimate

Talk with the people on the other side about their emotions. Talk about your own. It does not hurt to say, “You know, the people on our side feel we have been mistreated and are very upset. We’re afraid an agreement will not be kept even if one is reached. Rational or not, that is our concern. Personally, I think we may be wrong in fearing this, but that’s a feeling others have. Do the people on your side feel the same way?” Making your feelings or theirs an explicit focus of discussion will not only underscore the seriousness of the problem, it will also make the negotiations less reactive and more “pro-active.” Freed from the burden of unexpressed emotions, people will become more likely to work on the problem.

3.3.3 Allow the other side to let off steam

Often, one effective way to deal with people’s anger, frustration, and other negative emotions is to help them release those feelings. People obtain psychological release through the simple process of recounting their grievances. If you come home wanting to tell your husband about everything that went wrong at the office, you will become even more frustrated if he says, “Don’t bother telling me; I’m sure you had a hard day. Let’s skip it.” The same is true for negotiators. Letting off steam may make it easier to talk rationally later. Moreover, if a negotiator makes an angry speech and thereby shows his constituency that he is not being “soft,” they may give him a freer hand in the negotiation. He can then rely on a reputation for toughness to protect him from criticism later if he eventually enters into an agreement.

Hence, instead of interrupting polemical speeches or walking out on the other party, you may decide to control yourself, sit there, and allow them to pour out their grievances at you. When constituents are listening, such occasions may release their frustration as well as the negotiator’s. Perhaps the best strategy to adopt while the other side lets off steam is to listen quietly without responding to their attacks, and occasionally to ask the speaker to continue until he has spoken his last word. In this way, you offer little support to the inflammatory substance, give the speaker every encouragement to speak for him out, and leave little or no residue to fester.



3.3.4 Don't react to emotional outbursts

Releasing emotions can prove risky if it leads to an emotional reaction. If not controlled, it can result in violent quarrel. One unusual and effective technique to contain the impact of emotions was used in the 1950s by the Human Relations Committee. This was a labor-management group set up in the steel industry to handle emerging conflicts before they became serious problems the members of the committee adopted the rule that only one person could get angry at a time. This made it legitimate for others not to respond stormily to an angry outburst. It also made letting off "emotional steam" easier by making an outburst itself more legitimate: "That's OK. It's his turn." The rule has the further advantage of helping people control their emotions. Breaking the rule implies that you have lost self-control, so you lose some face.

3.3.5 Use symbolic gestures

Any lover knows that to end a quarrel the simple gesture of bringing a red rose goes a long way. Acts that would produce a constructive emotional impact on one side often involve little or no cost to the other. A note of sympathy, a statement of regret, visit to a cemetery, delivering a small present for a grandchild, shaking hands or embracing, eating together – all may be priceless opportunities to improve a hostile emotional situation at small cost. On many occasions an apology can defuse emotions effectively, even when you do not acknowledge personal responsibility for the action or admit an intention to harm. An apology may be one of the least costly and most rewarding investments you can make.

3.4 Communication

Without communication there is no negotiation. Negotiation is a process of communicating back and forth for the purpose of reaching a joint decision. Communication is never an easy thing even between people who have an enormous background of shared values and experience. Couples who have lived with each other for thirty years still have misunderstandings every day. It is not surprising, then, to find poor communication between people who do not know each other well and who may feel hostile and suspicious of one another. Whatever you say, you should expect that the other side will almost always hear something different.

3.4.1 Three big problems in communication

- **First, negotiators may not be talking to each other, or at least not in such a way as to be understood.** Frequently each side has given up on the other and is no longer attempting any serious communication with it. Instead they talk merely to impress third parties or their own constituency. Rather than trying to dance with their negotiating partner toward a mutually agreeable outcome, they try to trip him up. Rather than trying to talk their partner into a more constructive step, they try to talk the spectators into taking sides. Effective communication between the parties is all but impossible if each plays to the gallery.
- **Even if you are talking directly and clearly to them, they may not be hearing you.** This constitutes the second problem in communication. Note how often people don't seem to pay enough attention to what you say. Probably equally often, you would be unable to repeat what they had said. In negotiation, you may be so busy thinking about what you are going to say next, how you are going to respond to that last point or how you are going to frame your next argument, that you forget to listen to what the other side is saying now. Or you may be listening more attentively to your constituency than to the other side. Your constituents, after all, are the ones to whom you will have to account for the results of the negotiation. They are the ones you are trying to satisfy. It is not surprising that you should want to pay close attention to them. But if you are not hearing what the other side is saying, there is no communication.



- **The third communication problem is misunderstanding.** What one says, the other may misinterpret. Even when negotiators are in the same room, communication from one the other can seem like sending smoke signals in a high wind. Where the parties speak different languages the chance for misinterpretation is compounded.

3.4.2 What can be done about these three problems of communication?

- **Listen actively and acknowledge what is being said.**

The need for listening is obvious, yet it is difficult to listen well, especially under the stress of an ongoing negotiation. Listening enables you to understand their perceptions, feel their emotions, and hear what they are trying to say. Active listening improves not only what you hear, but also what they say. If you pay attention and interrupt occasionally to say, "Did I understand correctly that you are saying that...?" the other side will realize that they are not just killing time, not just going through a routine. They will also feel the satisfaction of being heard and understood. It has been said that the cheapest concession you can make to the other side is to let them know they have been heard.

Standard techniques of good listening are to pay close attention to what is said, to ask the other party to spell out carefully and clearly exactly what they mean, and to request that ideas be repeated if there is any ambiguity or uncertainty. Make it your task while listening not to phrase a response, but to understand them as they see themselves. Take in their perceptions, their needs, and their constraints.

Many consider it a good tactic not to give the other side's case too much attention, and not to admit any legitimacy in their point of view. A good negotiator does just the reverse. Unless you acknowledge what they are saying and demonstrate that you understand them, they may believe you have not heard them. When you then try to explain a different point of view, they will suppose that you still have not grasped what they mean. They will say to themselves, "I told him my view, but now he's saying something different, so he must not have understood it." Then instead of listening to your point, they will be considering how to make their argument in a new way so that this time maybe you will fathom it. So show that you understand them. "Let me see whether I follow what you are telling me. From your point of view, the situation looks like this..."

As you repeat what you understood them to have said, phrase it positively from their point of view, making the strength of their case clear. You might say, "You have a strong case. Let me see if I can explain it. Here's the way it strikes me..." Understanding is not agreeing. One can at the same time understand perfectly and disagree completely with what the other side is saying. But unless you can convince them that you do grasp how they see it, you may be unable to explain your viewpoint to them. Once you have made their case for them, then come back with the problems you find in their proposal. If you can put their case better than they can, and then refute it, you maximize the chance of initiating a constructive dialogue on the merits and minimized the chance of their believing you have misunderstood them.

- **Speak to be understood.**

Talk to the other side. It is easy to forget sometimes that a negotiation is not a debate. Nor is it a trial. You are not trying to persuade some third party. The person you are trying to persuade is seated at the table with you. If a negotiation is to be compared with a legal proceeding, the situation resembles that of two judges trying to reach agreement on how to decide a case. Try putting yourself in that role, treating your opposite number as a fellow judge with whom are you attempting to work out a joint opinion. In this context it is clearly unpersuasive to blame the other party for the problem, to engage in name-calling, or to raise your voice. On the contrary, it will help to recognize explicitly that they see the situation differently and to try to go forward as people with a joint problem.

To reduce the dominating and distracting effect that the press, home audiences, and third parties may have; it is useful to establish private and confidential means of communicating with the other side. You can also improve communication by limiting the size of the group meeting.



- **Speak about yourself, not about them.**

In many negotiations, each side explains and condemns at great length the motivations and intentions of the other side. It is more persuasive, however, to describe a problem in terms of its impact on you than in terms of what they did or why: “I feel let down” instead of “You broke your word.” “We feel discriminated against” rather than “You’re a racist.” If you make a statement about them that they believe is untrue, they will ignore you or get angry; they will not focus on your concern. But a statement about how you feel is difficult to challenge. You convey the same information without provoking a defensive reaction that will prevent them from taking it in.

- **Speak for a purpose.**

Sometimes the problem is not too little communication, but too much. When anger and misperception are high, some thoughts are best left unsaid. At other times, full disclosure of how flexible you are may make it harder to reach agreement rather than easier. If you let me know that you would be willing to sell a house for \$80,000, after I have said that I would be willing to pay as much as \$90,000, we may have more trouble striking a deal than if you had just kept quiet. The moral is: Before making a significant statement, know what you want to communicate or find out, and know what purpose this information will serve.

- **Prevention works best**

The techniques just described for dealing with problems of perception, emotion, communication usually work well. However, the best time for handling people problems is before they become people problems. This means building a personal and organizational relationship with the other side that can cushion the people on each side against the knocks of negotiation. It also means structuring the negotiating game in ways that separate the substantive problem from the relationship and protect people’s egos from getting involved in substantive discussions.

- **Build a working relationship.**

Knowing the other side personally really does help. It is much easier to attribute diabolical intentions to an unknown abstraction called the “other side” than to someone you know personally. Dealing with a classmate, a colleague, a friend, or even a friend of a friend is quite different from dealing with a stranger. The more quickly you can turn a stranger into someone you know, the easier a negotiation is likely to become. You have less difficulty understanding where they are coming from. You have a foundation of trust to build upon in difficult negotiation. You have smooth, familiar communication routines. It is easier to defuse tension with a joke or an informal aside.

The time to develop such a relationship is before the negotiation begins. Get to know them and find out about their likes and dislikes. Find ways to meet them informally. Try arriving early to chat before the negotiation is scheduled to start, and linger after it ends.

- **Face the problem, not the people.**

If negotiators view themselves as adversaries in a personal face-to-face confrontation, it is difficult to separate their relationship from the substantive problem. In that context, anything one negotiator says about the problem seems to be directed personally at the other and is received that way. Each side tends to become defensive and reactive and to ignore the other side’s legitimate interests altogether.

A more effective way for the parties to think of themselves is as partners in a hardheaded, side-by-side search for a fair agreement advantageous to each. Like two shipwrecked sailors in a lifeboat at sea quarreling over limited rations and supplies, negotiators may begin by seeking each other as adversaries. Each may view the other as a hindrance. To survive, however, those two sailors will want to disentangle the objective problems from the people. They will want to identify the needs of each, whether for shade, medicine, water, or food. They will want to go further and treat the meeting of those needs as a shared problem, along with other shared problems like keeping watch, catching rainwater, and getting the lifeboat to shore. Seeing themselves as engaged in side-by-side efforts to solve a mutual problem, the sailors will become better able to reconcile their conflicting interests as well as to advance their shared interests.



Similarly with two negotiators, however difficult personal relations may be between us, you and I become better able to reach an amicable reconciliation of our various interests when we accept that task as a shared problem and face it jointly.

To help the other side change from a face-to-face orientation to side-by-side, you might raise the issue with them explicitly. "Look, we're both lawyers [diplomats, businessmen, family, etc.]. Unless we try to satisfy your interests, we are hardly likely to reach an agreement that satisfies mine, and vice versa. Let's look together at the problem of how to satisfy our collective interests." Alternatively, you could start treating the negotiation as a side-by-side process and by your actions makes it desirable for them to join in.

It helps to sit literally on the same side of a table and to have in front of you the contract, the map, the blank pad of paper, or whatever else depicts the problem. If you have established a basis for mutual trust so much the better. But however precarious your relationship may be, try to structure the negotiation as a side-by-side activity in which the two of you – with your different interests and perceptions, and your emotional involvement – jointly face a common task.

Separating the people from the problem is not something you can do once and forget about; you have to keep working at it. The basic approach is to deal with the people as human beings and with the problem on its merits. How to do the latter is the subject of the next three chapters.

Focus on Interests, Not Positions



1. Focus on Interests, Not Positions

- 4.1 Interests define the problem
- 4.2 Course Content
- 4.3 Specialty Courses and Workshops
- 4.4 Course Selection



4.1 Interests define the problem

The basic problem in a negotiation lies not in conflicting positions, but in the conflict between each side's needs, desires, concerns, and fears. The parties may say: "I am trying to get him to stop that real estate development next door."

Or "We disagree. He wants \$100,000 for the house. I won't pay a penny more than \$5,000."

But on a more basic level the problem is:

"He needs the cash; I want peace and quiet."

Or "He needs at least \$100,000 to settle with his ex-wife. I told my family that I wouldn't pay more than \$95,000 for a house."

Such desires and concerns are interests. Interest motivates people; they are the silent movers behind the hubbub of positions. Your position is something you have decided upon. Your interests are what caused you to so decide.

Reconciling interests rather than positions works for two reasons. First, for every interest there usually exist several possible positions that could satisfy it. When you do look behind opposed positions for the motivating interest, you can often find an alternative position which meets not only your interests but theirs as well.

Reconciling interests rather than compromising between positions also works because behind opposed positions lie many more interests than conflicting ones.

4.2 Behind opposing positions lie shared and compatible interests, as well as conflicting ones.

We tend to assume that because the other side's positions are opposed to ours their interests must also be opposed. If we have an interest in defending ourselves, then they must want to attack us. If we have an interest in minimizing the rent, then their interest must be to maximize it. In many negotiations, however, a close examination of the underlying interests will reveal the existence of many more interests that are shared or compatible than ones that are opposed.

Agreement is often made possible precisely because interests differ. You and a shoe-seller may both like money and shoes. Relatively, his interest in the fifty dollars exceeds his interest in the shoes. For you, the situation is reversed: you like the shoes better than the fifty dollars. Hence the deal. Shared interests and differing but complementary interests can both serve as the building blocks for a wise agreement.

4.3 How do you identify interests?

The benefit of looking behind positions for interests is clear. The process to go about it is less clear. A position is likely to be concrete and explicit; the interests underlying it may well be unexpressed, intangible, and perhaps inconsistent. How do you go about understanding the interests involved in a negotiation, remembering that figuring out their interests will be at least as important as figuring out yours?



4.4 Ask “Why?”

One basic technique is to put yourself in their shoes. Examine each position they take, and ask yourself “Why?” Why, for instance, does your landlord prefer to fix the rent – in a five-year lease – year by year? The answer you may come up with, to be protected against increasing costs, is probably one of his interests. You can also ask the landlord himself why he takes a particular position. If you do, make clear that you are asking not for justification for this position, but for an understanding of the needs, hopes, fears, or desires that it serves. “What’s your basic concern, Mr. Jones, in wanting the lease to run for no more than three years?”

4.5 Ask “Why not?” Think about their choice.

One of the most useful ways to uncover interests is first to identify the basic decision that those on the other side probably see you asking them for and then to ask your self why they have not made that decision. What interests of theirs stand in the way? If you are trying to change their minds, the starting point is to figure out where their minds are now.

In constructing the other sides currently perceived choice the first question to ask is “Whose decision do I want to affect?” The second decision is what decision people on the other side now see you asking them to make. If you have no idea what they think they are being called on to do, they may not either. That alone may explain why they are not deciding as you would like.

Now analyze the consequences, as the other side would probably see them, of agreeing or refusing to make the decision you are asking for. You may find a checklist of consequences such as the following helpful in this task:

Impact on my interests

- Will I lose or gain political support?
- Will colleagues criticize or praise me?

Impact on the group’s interests

- What will be the short-term consequences? The long-term consequences?
- What will be the economic consequences (political, legal, psychological, military, etc.)?
- What will be the effect on outside supporters and public opinion?
- Will the precedent be good or bad?
- Will making these decisions prevent doing something better?
- Is the action consistent with our principles? Is it “right”?
- Can I do it later if I want?

In this entire process it would be a mistake to try for great precision. Only rarely will you deal with a decision-maker that writes down and weighs the pros and cons. You are trying to understand a very human choice, not making a mathematical calculation.

4.6 Realize that each side has multiple interests.

In almost every negotiation each side will have many interests, not just one. As a tenant negotiating a lease, for example, you may want to obtain a favorable rental agreement, to reach it quickly with little effort, and maintain a good working relationship with your landlord. You will have not only a strong interest in affecting any agreement you reach but also one in effecting an agreement. You will be simultaneously pursuing both your independent and your shared interests.

A common error in diagnosing a negotiating situation is to assume that each person on the other side has the same interests. This is almost never the case.



Thinking of negotiation as two-person, two-sided affair can be illuminating, but it should not blind you to the usual presence of other persons, other sides, and other influences. In one baseball salary negotiation the general manager kept insisting that \$500,000 was simply too much for a particular player, although other teams were paying at least that much to similarly talented players. In fact the manager felt his position was unjustifiable, but he had strict instructions from the club's owners to hold firm without explaining why, because they were in financial difficulties that they did not want the public to hear about.

Whether it is his employer, his client, his employees, his colleagues, his family, or his wife, every negotiator has a constituency to whose interests he is sensitive. To understand that negotiator's interests means to understand the variety of somewhat differing interests that he needs to take into account.

4.7 The most powerful interests are basic human needs.

In searching for the basic interests behind a declared position, look particularly for those bedrock concerns, which motivate all people. If you can take care of such basic needs, you increase the chance both of reaching agreement and, if an agreement is reached, of the other sides keeping to it. Basic human needs include:

- security
- economic well-being
- a sense of belonging
- recognition
- control over one's life

As fundamental as they are, basic human needs are easy to overlook. In many negotiations, we tend to think that the only interest involved is money

4.8 Make a list.

To sort out the various interests of each side, it helps to write them down as they occur to you. This will not only help you remember them; it will also enable you to improve the quality of your assessment as you learn new information and to place interests in their estimated order of importance. Furthermore, it may stimulate ideas for how to meet these interests.

4.9 Talking about interests

The purpose of negotiating is to serve your interests. The chance of that happening increases when you communicate them. The other side may not know what your interests are, and you may not know theirs. One or both of you may be focusing on past grievances instead of on future concerns. Or you may not even be listening to each other. How do you discuss interests constructively without getting locked into rigid positions?

If you want the other side to take your interests into account, explain to them what those interests are.

4.10 Make your interests come alive.

It is your job to make the other side understand exactly how important and legitimate your interests are.

One guideline is specific. Concrete details not only make your description credible they add impact.



As long as you do not seem to imply that the other side's interests are unimportant or illegitimate, you can afford to take a strong stance in setting forth the seriousness of your concerns. Inviting the other side to "correct me if I'm wrong" shows your openness, and if they do not correct you, it implies that they accept your description of the situation.

Part of the task of impressing the other side with your interests, lie in establishing the legitimacy of those interests. You want them to feel not hat you are attacking them personally, but rather that problem you face legitimately demands attention. You need to convince them that they might well feel the same way if they were in your shoes. "Do you have children? How would you feel if trucks were hurtling at forty miles per hour down the street where you live?"

4.11 Acknowledge their interests as part of the problem.

Each of us tends to be so concerned with his or her own interests that we pay too little heed to the interests of others.

People listen better if they feel that you have understood them. They tend to think that those who understand them are intelligent and sympathetic people whose own opinions may be worth listening to. So if you want the other side to appreciate your interests, begin by demonstrating that you appreciate theirs.

As I understand it, your interests as a construction company are basically to the job done quickly and minimum cost and to preserve your reputation for safety and responsibility in the city. Have I understood you correctly? Do you have other important interests?"

In addition to demonstrating that you have understood their interests, it helps to acknowledge that their interests are part of the overall problem you are trying to solve. This is especially easy to do if you have shared interests: "it would be terrible for all of us if one of your trucks hit a child."

4.12 Put the problem before your answer.

If you want someone to listen and understand your reasoning, give your interests and reasoning first and your conclusions or proposals later. Tell the company first about the dangers they are creating for young children and about your sleepless nights. Then they will be listening carefully, if only to try to figure out where you will end up on this question. And when you tell them, they will understand why.

4.13 Look forward, not back.

It is surprising how often we simply react to what someone else has said or done. Two people will often fall into a pattern of discourse that resembles a negotiation, but really has no such purpose whatsoever. They disagree with each other over some issue, and the talk goes back and forth as though they were seeking agreement. In fact, the argument is being carried on as a ritual, or simply a pastime. Each is engaged in scoring points against the other or in gathering evidence to confirm views about the other that have long been held and are not about to be changed. Neither party is seeking agreement or is even trying to influence the other.

If you ask two people why they are arguing, the answer will typically identify a cause, not a purpose. Caught up in a quarrel, whether between husband and wife, between company and union, or between two businesses, people are more likely to respond to what the other side has said or done than to act in pursuit of their own long-term interests. "They can't treat me like that. If they think they're going to get away with that, they will have to think again. I'll show them."



The question “Why?” has two quite different meanings. One looks backward for a cause and treats our behavior as determined by prior events. The other looks forward for a purpose and treats our behavior as subject to our free will. We need not enter into a philosophical debate between free will and determinism in order to decide how to act. Whether we have free will or it is determined that we behave as if we do. In either case, we make choices. We can choose to look back or to look forward.

You will satisfy your interests better if you talk about where you would like to go rather than about where you have come from. Instead of arguing with the other side about the past – about last quarter’s costs (which were too high), last week’s action (taken without adequate authority), or yesterday’s performance (which was less than expected) – talk about what you want to have happen in the future. Instead of asking them to justify what they did yesterday, ask, “Who should do what tomorrow?”

4.14 Be concrete but flexible.

In a negotiation you want to know where you are going and yet be open to fresh ideas. To avoid having to make a difficult decision on what to settle for, people will often go into a negotiation with no other plan than to sit down with the other side and see what they offer or demand.

How can you move from identifying interests to developing specific options and still remain flexible with regard to those options? To convert your interests into concrete options, ask yourself. “If tomorrow the other side agrees to go along with me, what do I now think I would like them to go along with?” To keep your flexibility, treat each option you formulate as simply illustrative. Think in terms of more than one option that meets your interests. “Illustrative specificity” is the key concept.

Having thought about your interests, you should go into a meeting not only with one or more specific options that would meet your legitimate interests but also with an open mind. An open mind is not an empty one.

4.15 Be hard on the problem, soft on the people.

You can be just as hard in talking about your interests as any negotiator can be in talking about his position. In fact, it is usually advisable to be hard. It may not be wise to commit yourself to your position, but it is wise to commit yourself to your aggressive energies. The other side, being concerned with their own interests, will tend to have overly optimistic expectations of the range of possible agreements. Often the wisest solutions, those that produce the maximum gain for you at the minimum cost to the other side, are produced only by strongly advocating your interests. Two negotiators, each pushing hard for their interests, will often stimulate each other’s creativity in thinking up mutually advantageous solutions.

A construction company concerned with inflation may place a high value on its interest in keeping cost down and in getting the job done on time. You may have to shake them up. Some honest emotion may help restore a better balance between profits and children’s lives. Do not let your desire to be conciliatory stop you from doing justice to your problem. “Surely you’re not saying that my son’s life is worth less than the price of a fence. You wouldn’t say that about your son. I don’t believe you’re an insensitive person, Mr. Bautista. Let’s figure out how to solve this problem.”

If they feel personally threatened by an attack on the problem, they may grow defensive and may cease to listen. This is why it is important to separate the people from the problem. Attack the problem without blaming the people. Go even further and be personally supportive: listen to them with respect, show them courtesy, express your appreciation for their time and effort, emphasize your concern with meeting their basic needs, and so on. Show them that you are attacking the problem, not them.



One useful rule of thumb is to give positive support to the human beings on the other side equal in strength to the vigor with which you emphasize the problem. This combination of support and attack may seem inconsistent. Psychologically, it is; the inconsistency helps make it work. A well-known theory of psychology, the theory of cognitive dissonance, holds that people dislike inconsistency and will act to eliminate it. By attacking a problem, such as speeding trucks on a neighborhood street and at the same time giving the company representative positive support, you create cognitive dissonance for him. To overcome this dissonance, he will be tempted to dissociate himself from the problem in order to join you in doing something about it.

Fighting hard on the substantive issues increases the pressure for an effective solution; giving support to the human beings on the other side tends to improve your relationship and to increase the likelihood of reaching agreement. It is the combination of support and attack which works; either alone is likely to be insufficient.

Negotiating hard for your interests does not mean being closed to the other side's point of view. It is quite the contrary. You can hardly expect the other side to listen to your interests and discuss the options you suggest if you don't take their interests into account and show yourself to be open to their suggestions. Successful negotiation requires being both firm and open.

Invent Options for Mutual Gain



5. Invent Options for Mutual Gain

5.1 Diagnosis

5.2 Premature Judgment

5.3 Searching for a single answer

5.4 Assumption of a fixed pie

5.5 Thinking of "Solving a problem is their problem"

5.6 Prescription

5.7 Broaden your options

5.8 The Circle Chart

5.9



5.1 Diagnosis

As valuable as it is to have many options, people involved in a negotiation rarely sense a need for them. In a dispute, people usually believe that they know the right answer – their view should prevail. In a contract negotiation they are equally likely to believe that their offer is reasonable and should be adopted, perhaps with some adjustment in the price. All available answers appear to lie along a straight line between their position and yours. Often the only creative thinking shown is to suggest splitting the difference.

In most negotiations there are four major obstacles that inhibit the inventing of an abundance of options: (1) premature judgment; (2) searching for the single answer; (3) the assumption of a fixed pie; and (4) thinking of “solving their problem is their problem.” In order to overcome these constraints, you need to understand them.

5.2 Premature judgment

Inventing options does not come naturally. Not inventing is the normal state of affairs, even when you are outside a stressful negotiation. If you were asked to name the one person in the world most deserving of the Nobel Peace Prize, any answer you might start to propose would immediately encounter your reservation and doubts. How could you be sure that person was the most deserving? Your mind might well go blank, or you might throw out a few answers that would reflect conventional thinking: “Well, maybe the Pope, or the President.” Nothing is so harmful to inventing as a critical sense waiting to pounce on the drawbacks of any new idea. Judgment hinders imagination.

Under the pressure of a forthcoming negotiation, your critical sense is likely to be sharper. Practical negotiation appears to call for practical thinking, not wild ideas.

Your creativity may be even more stifled by the presence of those on the other side. Suppose you are negotiating with your boss over your salary for the coming year. You have asked for \$4,000 raise; your boss has offered you \$1,500, a figure that you have indicated is unsatisfactory. In a tense situation like this you are not likely to start inventing imaginative solutions. You may fear that if you suggest some bright half-baked idea like taking half the increase in a raise and half in additional benefits, you might look foolish. Your boss might say, “Be serious. You know better than that. It would upset company policy. I am surprised that you even suggested it.” If on the spur of the moment you invent a possible option of spreading out the raise over time, he may take it as an offer: “I’m prepared to start negotiating on that basis.” Since he may take whatever you say as a commitment, you will think twice before saying anything.

You may also fear that by inventing options you will disclose some piece of information that will jeopardize your bargaining position. If you should suggest, for example, that the company help finance the house you are about to buy, your boss may conclude that you intend to stay and that you will in the end accept any raise in salary he is prepared to offer.

5.3 Searching for the single answer

In most people’s minds, inventing simply is not part of the negotiating process. People see their job as narrowing the gap between positions, not broadening the options available. They tend to think, “We’re having a hard enough time agreeing as it is. The last thing we need is a bunch of different ideas.” Since the end product of negotiation is a single decision, they fear that free-floating discussion will only delay and confuse the process.

If the first impediment to creative thinking is premature criticism, the second is premature closure. By looking from the outset for the single best answer, you are likely to short-circuit a wiser decision-making process in which you select from a large number of possible answers.



5.4 The assumption of a fixed pie

A third explanation for why there may be so few good options on the table is that each side sees the situation as essentially either/ or – either I get what is in dispute or you do. A negotiation often appears to be a “fixed-sum” game; \$100 more for you on the price of a car means \$100 less for me. Why bother to invent if all the options are obvious and I can satisfy you only at my own expense?

5.5 Thinking of “solving their problem is their problem”

A final obstacle to inventing realistic options lies in each side's concern with only its own immediate interests. For a negotiator to reach an agreement that meets his own self-interest he needs to develop a solution which also appeals to the self-interest of the other. Yet emotional involvement on one side of an issue makes it difficult to achieve the detachment necessary to think up wise ways of meeting the interests of both sides: “We've got enough problems of our own; they can look after theirs.” There also frequently exists a psychological reluctance to accord any legitimacy to the views of the other side; it seems disloyal to think up ways to satisfy them. Shortsighted self-concern thus leads a negotiator to develop only partisan positions, partisan arguments, and one-sided solutions.

5.6 Prescription

To invent creative options, then, you will need:

- (1) to separate the act of inventing options from the act of judging them;
- (2) to broaden the options on the table rather than look for a single answer;
- (3) to search for mutual gains; and
- (4) to invent ways of making their decisions easy.

Each of these steps is discussed below.

5.6.1 Separate inventing from deciding

Since judgment hinders imagination, separate the creative act from the critical one; separate the process of thinking up possible decisions from the process of selecting among them. Invent first, decide later.

As a negotiator, you will of necessity do much inventing by yourself. It is not easy. By definition, inventing new ideas requires you to think about things that are not already in your mind. You should therefore consider the desirability of arranging an inventing or brainstorming session with a few colleagues or friends. Such a session can effectively separate inventing from deciding.

A brainstorming session is designed to produce as many ideas as possible to solve the problem at hand. The key ground rule is to postpone all criticism and evaluation of ideas. The group simply invents ideas without pausing to consider whether they are good or bad, realistic or unrealistic. With those inhibitions removed, one idea should stimulate another, like firecrackers setting off one another.

In a brainstorming session, people need not fear looking foolish since wild ideas are explicitly encouraged. And in the absence of the other side, negotiators need not worry about disclosing confidential information or having an idea taken as a serious commitment.

There is no right way to run a brainstorming session. Rather, you should tailor it to your needs and resources. In doing so, you may find it useful to consider the following guidelines.

5.6.2 Before brainstorming

1. Define your purpose. Think of what you would like to walk out of the meeting with.
2. Choose few participants. The group should normally be large enough to provide a stimulating interchange, yet small enough to encourage both individual participation and freewheeling inventing – usually between five and eight people.
3. Change the environment. Select a time and place distinguishing the session as much possible from regular discussions. The more different a brainstorming session seems from a normal meeting, the easier it is for participants to suspend judgment.
4. Design an informal atmosphere. What does it take for you and others to relax? It may be talking over a drink, or meeting a vacation lodge in some picturesque spot, or simply taking off your tie and jacket during the meeting and calling each other by your first names.
5. Choose a facilitator. Someone at the meeting needs to facilitate – to keep the meeting on track, to make sure everyone gets a chance to speak, to enforce any ground rules, and to stimulate discussion by asking questions.

5.6.3 During brainstorming

1. Seat the participants side by side facing the problem. The physical reinforces the psychological. Physically sitting side by side can reinforce the mental attitude of tackling a common problem together. People facing each other tend to respond personally and engage in dialogue or argument; people sitting side by side in a semicircle of chairs facing a blackboard tend to respond to the problem depicted there.
2. Clarify the ground/house rules, including the no-criticism rule. If the participants do not all know each other, the meeting begins with introductions all around, followed by clarification of the ground rules. Outlaw negative criticism of any kind.
Joint inventing produces new ideas because each of us invents only within the limits set by our working assumptions. If ideas are shot down unless they appeal to all participants, the implicit goal becomes to advance an idea that no one will shoot down. If, on the other hand, wild ideas are encouraged, even those that in fact lie well outside the realm of the possible, the group may generate from these ideas other options that are possible and that no one would previously have considered.
Other ground rules you may want to adopt are to make the entire session off the record and to refrain from attributing ideas to any participant.
3. Brainstorm. Once the purpose of the meeting is clear, let your imaginations go. Try to come up with a long list of ideas, approaching the question from every conceivable angle.
4. Record the ideas in full view. Recording ideas either on a blackboard or, better, on large sheets of newsprint gives the group a tangible sense of collective achievement; it reinforces the no-criticism rule; it reduces the tendency to repeat; and it helps stimulate other ideas.

5.6.4 After brainstorming

1. State the most promising ideas. After brainstorming, relax the no-criticism rule in order to winnow out the most promising ideas. You are still not at the stage of deciding; you are merely nominating ideas worth developing further. Mark those ideas that members of the group think are best.
2. Invent improvements for promising ideas. Take one promising idea and invent ways to make it better and more realistic, as well as ways to carry it out. The task at this stage is to make the idea as attractive as you can. Preface constructive criticism with: “What I like best about that idea is ... Might it be better if...?”



3. Set up a time to evaluate ideas and decide. Before you break up, draw up a selective and improved list of ideas from the session and set up a time for deciding which of these ideas to advance in your negotiation and how.

5.6.5 Consider brainstorming with the other side

Although more difficult than brainstorming with your own side, brainstorming with people from the other side can also prove extremely valuable. It is more difficult because of the increased risk that you will say something that prejudices your interests despite the rules established for brainstorming session. You may disclose confidential information inadvertently or lead the other side to mistake an option you devise for an offer. Nevertheless, joint brainstorming sessions have the great advantages of producing ideas which take into account the interests of all those involved, of creating a climate of joint problem-solving, and of educating each side about the concerns of the other.

To protect yourself when brainstorming with the other side, distinguish the brainstorming session explicitly from a negotiating session where people state official views and speak on the record. People are so accustomed to meeting for the purpose of reaching agreement that any other purpose needs to be clearly stated.

To reduce the risk of appearing committed to any given idea, you can make a habit of advancing at least two alternatives at the same time. You can also put on the table options with which you obviously disagree. "I could give you the house for nothing, or you could pay me a million dollars in cash for it, or..." Since you are plainly not proposing either of these ideas, the ones which follow are labeled as mere possibilities, not proposals.

To get the flavor of joint brainstorming session, let us suppose the leaders of a local union are meeting with the management of a coal mine to brainstorm on ways to reduce unauthorized one- or two-day strikes. Ten people – five from each side – are present, sitting around a table facing a blackboard. A neutral facilitator asks the participants for their ideas, and writes them down on the blackboard.

- Facilitator:** OK, now let's see what ideas you have for dealing with this problem of unauthorized work stoppages. Let's try to get ten ideas on the blackboard in five minutes.
- OK, let's start Tom?
- Tom (Union):** Foremen ought to be able to settle a union member's grievance on the spot.
- Facilitator:** Noted. Jim, you've got your hand up.
- Jim (Management):** a union member ought to talk to his foreman about a problem before taking any action that –
- Tom (Union):** They do, but the foremen don't listen.
- Facilitator:** Tom, please, no criticizing yet. We agree to postpone that until later, OK? How about you Jerry, you look like you've got an idea.
- Jerry (Union):** When a strike issue comes up, the union members should be allowed to meet in the bathhouse immediately.
- Roger (Management):** Management could agree to let the bathhouse be used for union meetings and could assure the employees' privacy by shutting the doors and keeping the foremen out.
- Carol (Management):** How about adopting the rule that there will be no strike without giving the union leaders and management a chance to work it out on the spot?



- Jerry (Union):** How about speeding up the grievance procedure and having a meeting within twenty-four hours if the foreman and union member don't settle it between themselves?
- Karen (Union):** Yeah. And how about organizing some joint training for the union members and the foremen on how to handle their problems together?
- Phil (Union):** If a person does a good job, let him know it.
John (Management): Establish friendly relations between union people and management people.
- Facilitator:** the sounds promising, John, but could you be more specific?
- John (Management):** Well, how about organizing a union-management softball team?
- Tom (Union):** And a bowling team too.
- Roger (Management):** How about an annual picnic get-together for all the families?

And on it goes, as the participants brainstorm lots of ideas. Many of the ideas might never have come up except in such a brainstorming session, and some of them may prove effective in reducing unauthorized strikes. Time spent brainstorming together is surely among the best-spent time in negotiation.

But whether you brainstorm together or not, separating the act of developing options from the act of deciding on them is extremely useful in any negotiation. Discussing options differs radically from taking positions. Whereas one side's position will conflict with another's, options invite other options. The very language you use differs. It consists of questions, not assertions; it is open, not closed: "One option is ... what other options have you thought of?" "What if we agreed to this?" "How about doing it this way?" "How would this work?" "What would be wrong with that?" Invent before you decide.

5.7 Broaden your options

Even with the best of intentions, participants in a brainstorming session are likely to operate on the assumption that they are really looking for the one best answer, trying to find a needle in a haystack by picking up every blade of hay.

At this stage in negotiation, however, you should not be looking for the right path. You are developing room within which to negotiate. Room can be made only by having a substantial number of markedly different ideas – on which you and the other side can build later in the negotiation, and among which you can then jointly choose.

A vintner making a fine wine chooses his grapes from a number of varieties. A baseball team looking for star players will send talent scouts to scour the local leagues and college teams all over the nation. The same principle applies to negotiation. The key to wise decision-making, whether in wine making, baseball, or negotiation, lies in selecting from a great number and variety of options.

A brainstorming session frees people to think creatively. Once freed, they need ways to think about their problems and to generate constructive solutions.



5.8 Multiply options by shuttling between the specific and the general: The Circle Chart.

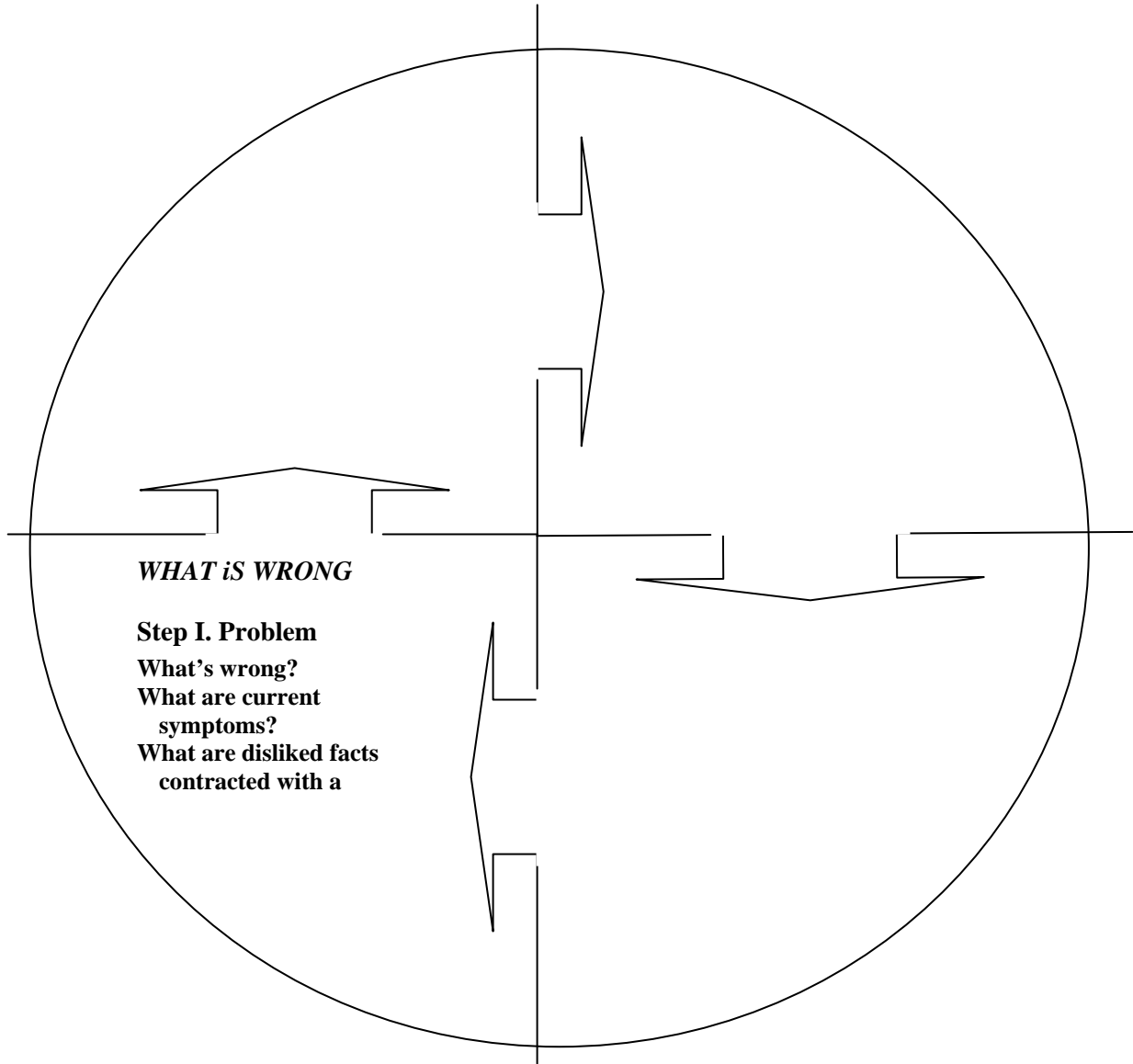
The task of inventing options involves four types of thinking one is thinking about a particular problem – the factual situation you dislike, for example, a smelly, polluted river that runs by your land. The second type of thinking is descriptive analysis - you diagnose an existing situation in general terms. You sort problems into categories and tentatively suggest causes. The river water may have a high content of various chemicals, or too little oxygen. You may suspect various upstream industrial plants. The third type of thinking, again in general terms, is to consider what ought, perhaps, to be done. Given the diagnoses you have made you look for prescriptions that theory may suggest, such as reducing chemical effluent, reducing diversions of water, or bringing fresh water from some other river. The fourth and final type of thinking is to come up with some specific and feasible suggestions for action. Who might do what tomorrow to put one of these general approaches into practice? For instance, the state environmental agency might order an upstream industry to limit the quantity of chemical discharge.

The Circle Chart on the next page illustrates these four types of thinking and suggests the steps to be taken in sequence. If all goes well, specific action invented in this way will, if adopted, deal with your original problem.

The Circle Chart provides an easy way of using one good idea to generate others. With one useful action idea before you, you (or a group of you who are brainstorming) can go back and try to identify the general approach of which the action idea is merely one application. You can then think up other action ideas that would apply the same general approach to the real world. Similarly, you can go back one step further and ask, "If this theoretical approach appears useful, what is the diagnosis behind it?" Having articulated a diagnosis, you can generate other approaches for dealing with a problem analyzed in that way and then look for actions putting these new approaches into practice. One good option on the table thus opens the door to asking about the theory that makes this option good and then using that theory to invent more options.

Circle Chart
The Four Basic Steps in Inventing Options

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5.9 Look through the eyes of different experts.

Another way to generate multiple options is to examine your problem from the perspective of different professions and disciplines.

In thinking of possible solutions to a dispute over custody of a child, for example, look at the problem as it might be seen by an educator, a banker, a psychiatrist, a civil rights lawyer, a minister, a nutritionist, a doctor, a feminist, a football coach, or one with some other special points of view. If you are negotiating a business contract, invent options that might occur to a banker, an inventor, a labor leader, a speculator in real estate, a stockbroker, an economist, a tax expert, or a socialist.

You can also combine the use of the Circle Chart with this idea of looking at a problem through the eyes of different experts. Consider in turn how each expert would diagnose the situation, what kinds of approaches each might suggest, and what practical suggestions would follow from those approaches.

5.10 Invent agreements of different strengths.

You can multiply the number of possible agreements on the table by thinking of “weaker” versions you might want to have on hand in case a sought-for agreement proves beyond reach. If you cannot agree on substance, perhaps you can agree on procedure. If a shoe factory cannot agree with a wholesaler on who should pay for a shipment of damaged shoes, perhaps they can agree to submit issue to an arbitrator. Similarly, where a permanent agreement is not possible, perhaps a provisional agreement is. At the very least, if you and the other side cannot reach first-order agreement, you can usually reach second-order agreement – that is, agree on where you disagree, so that you both know the issues in dispute, which are not always obvious. The pairs of adjectives below suggest potential agreements of differing “strengths”:

Stronger	Weaker
Substantive	Procedural
Permanent	Provisional
Comprehensive	Partial
Final	In principle
Unconditional	Contingent
Binding	Non-binding
First-order	Second-order

5.11 Change the scope of a proposed agreement.

Consider the possibility of varying not only the strength of the agreement but also its scope. You could, for instance, “fractionate” your problem into smaller and perhaps more manageable units. To a prospective editor for your book you might suggest: “How about editing the first chapter for \$300, and we’ll see how it goes?” Agreements may be partial, involve fewer parties, cover only selected subject matters, apply only to a certain geographical area, or remain in effect for only a limited period of time.

It is also provocative to ask how the subject matter might be enlarged so as to “sweeten the pot” and make agreement more attractive. The dispute between India and Pakistan over the waters of the Indus River became more amenable to settlement when the World Bank entered the discussions. The parties were challenged to invent new irrigation projects, new storage dams, and other engineering works for the benefit of both nations, all to be funded with the assistance of the Bank.



5.12 Look for mutual gain

The third major block to creative problem-solving lies in the assumption of a fixed pie: the less for you, the more for me. Rarely if ever is this assumption true. First of all, both sides can always be worse off than they are now. Chess looks like a zero-sum game; if one loses, the other wins until a dog trots by and knocks over the table, spills the beer, and leaves you both worse off than before.

Even apart from a shared interest in averting joint loss, there almost always exists the possibility of joint gain. This may take the form of developing a mutually advantageous relationship, or of satisfying the interests of each side with a creative solution.

5.13 Identify shared interests.

In theory it is obvious that shared interests help produce agreement. By definition, inventing an idea that meets shared interest is good for them. In practice, however, the picture seems less clear. In the middle of a negotiation over price, shared interests may not appear obvious or relevant. How can looking for shared interests help?

Let's take an example. Suppose you are the manager of an oil refinery. Call it Townsend Oil. The mayor of Pageville, the city where the refinery is located, has told you he wants to raise the taxes Townsend Oil pays to Pageville from one million dollars a year to quite sufficient. The negotiation stands there: he wants more, you want to pay what you have been paying. In this negotiation, a typical one in many ways, where do shared interests come into play?

Let's take a closer look at what the mayor wants. He wants money – money undoubtedly to pay for city services, a new civic center, perhaps, and to relieve the ordinary taxpayers. But the city cannot obtain all the money it needs for now and for the future just from Townsend Oil. They will look for money from the petrochemical plant across the street, for example, and, for the future, from new businesses and from the expansion of existing businesses. The mayor, a businessman himself, would also like to encourage industrial expansion and attract new businesses that will provide new jobs and strengthen Pageville's economy.

What are your company's interests? Given the rapid changes in the technology of refining oil, and the antiquated condition of your refinery, you are presently considering a major refurbishment and expansion of the plant. You are concerned that the city may later increase its assessment of the value of the expanded refinery, thus making taxes even higher. Consider also that you have been encouraging a plastic plant to locate it nearby to make convenient use of your product. Naturally, you worry that the plastic plant will have second thoughts once they see the city increasing taxes.

The shared interests between the mayor and you now become more apparent. You both agree on the goals of fostering industrial expansion and encouraging new industries. If you did some inventing to meet these shared goals, you might come up with several ideas: a tax holiday of seven years for new industries, a joint publicity campaign with the Chamber of Commerce to attract new companies, a reduction in taxes for existing industries that choose to expand. Such ideas might save you money while filling the city's coffers. If on the other hand the negotiation soured the relationship between company and town, both would lose. You might cut back on your corporate contributions to city charities and school athletics. The city might become unreasonably tough on enforcing the building code and other ordinances. Your personal relationship with the city's political and business leaders might grow unpleasant. The relationship between the sides, often taken for granted and overlooked, frequently outweighs in importance the outcome of any particular issue.



As a negotiator, you will almost always want to look for solutions that will leave the other side satisfied as well. If the customer feels cheated in a purchase, the store-owner has also failed; he may lose a customer and his reputation may suffer. An outcome in which the other side gets absolutely nothing is worse for you than one that leaves them mollified. In almost every case, your satisfaction depends to degree on making the other side sufficiently content with an agreement to want to live up to it.

Three points about shared interests are worth remembering. First, shared interests lie latent in every negotiation. They may not be immediately obvious. Ask yourself: Do we have a shared interest in preserving our relationship? What opportunities lie ahead for cooperation and mutual benefit? What costs would we bear if negotiations broke off? Are there common principles, like a fair price, that we both can respect?

Second, shared interests are opportunities, not godsend. To be of use, you need to make something out of them. It helps to make a shared interest explicit and to formulate it as a shared goal. In other words, make it concrete and future-oriented. As manager of Townsend Oil, for example, you could set a joint goal with the mayor of bringing five new industries into Pageville within three years. The tax holiday for new industries would then represent not a concession by the mayor to you but an action in pursuit of your shared goal.

Third, stressing your shared interests can make the negotiation smoother and more amicable. Passengers in a lifeboat afloat in the middle of the ocean with limited rations will subordinate their differences over food in pursuit of their shared interest in getting to shore.

5.14 Dovetail differing interests.

Consider once again the two children quarreling over an orange. Each child wanted the orange, so they split it, failing to realize that one wanted only the fruit to eat and the other only the peel for baking. In this case as in many others, a satisfactory agreement is made possible because each side wants different things. This is genuinely startling if you think about it. People generally assume that differences between two parties create the problem. Yet difference can also lead to a solution.

Agreement is often based on disagreement. It is as absurd to think, for example, that you should always begin by reaching agreement on the facts as it is for a buyer of stock to try to convince the seller that the stock is likely to go up. If they did agree that the stock would go up, the seller would probably not sell. What makes a deal likely is that the buyer believes the price will go up and the seller and the seller believes it will go down. The difference in belief provides the basis for a deal.

Many creative agreements reflect this principle of reaching agreement through differences. Differences in interests and belief make it possible for an item to be high benefit to you, yet low cost to the other side

The kinds of differences that best lend themselves to dove tailing are differences in interest, in beliefs, in the value placed on time, in forecasts, and in aversion to risk.

Any difference in interests? The following brief checklist suggests common variations on interest to look for:

One party Cares more about:	The other party cares more about:
Form	Substance
Economic considerations	Political considerations
Internal considerations	External considerations
Symbolic considerations	Practical considerations
Immediate future	More distant future
Ad hoc results	The relationship
Hardware	Ideology
Progress	Respect for tradition
Precedent	This case
Prestige, reputation	Results



Do you have different beliefs? If I believe I'm right, and you believe you're right, we can take advantage of this difference in beliefs. We may both agree to have an impartial arbitrator settle the issue, each confident of victory. If two factions of the union leadership cannot agree on a certain wage proposal, they can agree to submit the issue to a membership vote.

Different values placed on time? You may care more about the present while the other side cares more about the future. In the language of business, you discount future value at different rates. An installment plan works on this principle. The buyer is willing to pay a higher price for the car if he can pay later; the seller is willing to accept payment later if he gets a higher price.

Different forecasts? In a salary negotiation between an aging baseball star and a major league baseball team, the player may expect to win a lot of games while the team owner has the opposite expectation. Taking advantage of these different expectations, they can both agree on a base salary of \$750,000 plus \$500,000 if the player pitches so well that on average he permits less than three earned runs per game.

Differences in aversion to risk? One last kind of difference that you may capitalize on is a version to risk. Take, for example, the issue of deep-seabed mining in the Law of the Sea negotiations. How much should the mining companies pay the international community for the privilege of mining? The mining companies care more about avoiding big losses than they do about making big gains. For them deep-seabed mining is a major investment. They want to reduce the risk. The international community, on the other hand, is concerned with revenue. If some company is going to make a lot of money out of "the common heritage of mankind," the rest of the world wants a generous share.

In this difference lies the potential for a bargain advantageous to both sides. Risk can be traded for revenue. Exploiting this difference in aversion to risk, the proposed treaty provides for charging the companies low rates until they recover their investment – in other words, while their risk is high – and much higher rates thereafter, when their risk is low.

5.15 Ask for their preferences.

One way to dovetail interests is to invent several options all equally acceptable to you and ask the other side which one they prefer. You want to know that is preferable, not necessarily what is acceptable. You can then take that option, work with it some more, and again present two or more variants, asking which one they prefer. In this way, without anyone's making a decision, you can improve a plan until you can find no more joint gains.

If dovetailing had to be summed up in one sentence, it would be: "Look for items that are low cost to you and high benefit to them, and vice versa." Differences in interests, priorities, beliefs, forecasts, and attitudes toward risk all make dovetailing possible. A negotiator's motto could be "Vive la difference!"

5.16 Make their decision easy

Since success for you in a negotiation depends upon the other side's making a decision you want, you should do what you can to make that decision an easy one. Rather than make things difficult for the other side, you want to confront them with a choice that is as painless as possible. Impressed with the merits of their own case, people usually pay too little attention to ways of advancing their case by taking care of interests on the other side. To overcome the shortsightedness that results from looking too narrowly at one's immediate self-interest, you will want to put yourself in their shoes. Without some option that appeals to them, there is likely to be no agreement at all.



5.17 Whose shoes?

Are you trying to influence a single negotiator, an absent boss, or some committee or other collective decision-making body? You cannot negotiate successfully with an abstraction like “Houston” or “the University of California.” Instead of trying to persuade “the insurance company” to make a decision, it is wiser to focus your efforts on getting gone claims agent to make a recommendation. However complex the other side’s decisional process may seem, you will understand it better if you pick one person – probably the person with whom you are dealing – and see how the problem looks from his or her point of view.

By focusing on one person you are not ignoring complexities. Rather, you are handling them by understanding how they impinge on the person with whom you are negotiating. You may come to appreciate your negotiating role in a new light, and see your job, for example, as strengthening that person’s hand or giving her arguments that she will need to persuade others to go along. One British ambassador described his job as “helping my opposite number get new instructions.” If you place yourself firmly in the shoes of your opposite number, you will understand his problem and what kind of options might solve it.

5.18 What decision?

In Chapter 2 we discussed how one can understand the other side’s interests by analyzing their currently perceived choice. Now you are trying to generate options that will so change their choice that they might then decide in a way satisfactory to you. Your task is to give them not a problem but an answer, to give them not a tough decision but an easy one. It is crucial in that process to focus your attention on the content of the decision itself. That decision is often impeded by uncertainty.

Frequently you want as much as you can get, but you yourself do not know how much that is. You are likely to say, in effect, “Come up with something and I will tell you if it is enough.” That may seem reasonable to you, but when you look at it from the other’s point of view, you will understand the need to invent a more appealing request. For whatever they do or say, you are likely to consider that merely a floor – and ask for more. Requesting the other side to be “more forthcoming” will probably not produce a decision you want.

Many negotiators are uncertain whether they are asking for words or for performance. Yet the distinction is critical. If it is performance you want, do not add something for “negotiating room.” If you want a hose to jump a fence, don’t raise the fence. If you want to sell a soft drink from a vending machine for seventy-five cents, don’t mark the price at a dollar to give yourself room to negotiate.

Most of the time you will want a promise – an agreement. Take a pencil and paper in hand and try drafting a few possible agreements. It is never too early in a negotiation to start drafting as an aid to clear thinking. Prepare multiple versions, starting with the simple possibility. What are some terms that the other party could sign, terms that would be attractive to them as well as to you? Can you reduce the number of people whose approval would be required? Can you formulate an agreement that will be easy for them to implement? The other side will take into account difficulties in carrying out an agreement; you should too.

It is usually easier, for example, to refrain from doing something not being done than to stop action already underway. And it is easier to cease doing something than to undertake an entirely new course of action. If workers want music on the job, it will be easier for the company to agree not to interfere for a few weeks with an experimental employee-run program of playing tapes than for the company to agree to run such a program.

Because most people are strongly influenced by their notions of legitimacy, one effective way to develop solutions easy for the other side to accept is to shape them so that they will appear legitimate. The other side is more likely to accept a solution if it seems the right thing to do – right in terms of being fair, legal, honorable, and so forth.



Few things facilitate a decision as much as precedent. Search for it. Look for a decision or statement that the other side may have made in a similar situation, and try to base a proposed agreement on it. This provides an objective standard for your request and makes it easier for them to go along. Recognizing their probable desire to be consistent, and thinking about what they have done or said, will help you generate options acceptable to you that also take their point of view into account.

5.19 Making threats is not enough.

In addition to the content of the decision you would like them to make, you will want to consider from their point of view the consequences of following that decision. If you were they, what results would you most fear? What would you hope for?

We often try to influence others by threats and warnings of what will happen if they do not decide as we would like. Offers are usually more effective. Concentrate both on making them aware of the consequences they can expect if they do decide as you wish and on improving those consequences from their point of view. How can you make your offers more credible? What are some specific things that they might like? Would they like to be given credit for having made the final proposal? Would they like to make the announcement? What can you invent that might be attractive to them but low in cost to yourself?

To evaluate an option from the other side's point of view, consider how they might be criticized if they adopted it. Write out a sentence or two illustrating what the other side's point of view, consider how they might be criticized if they adopted it. Write out a sentence or two illustrating what the other side's most powerful critic might say about the decision you are thinking of asking for. Then write out a couple of sentences with which the other side might reply in defense. Such an exercise will help you appreciate the restraints within which the other side is negotiating. It should help you generate options that will adequately meet their interests so that they can make a decision that meets yours.

A final test of an option is to write it out in the form of a "YESable proposition." Try to draft a proposal to which their responding with the single word "yes" would be sufficient, realistic, and operational. When you can do so, you have reduced the risk that your immediate self-interest has blinded you to the necessity of meeting concerns of the other side.

In a complex situation, creative inventing is an absolute necessity. In any negotiation it may open doors and produces a range of potential agreements satisfactory to each side. Therefore, generate many options before selecting among them. Invent first; decide later. Look for shared interests and differing interests to dovetail. And seek to make their decision easy.

Insist on using Objective Criteria



6. Insist on using Objective Criteria

6.1 The Case for using objective criteria

6.2 Principled Negotiation produces wise agreements amicably and efficiently

6.3 Developing objective criteria

6.4 Fair Standards

6.5 Fair Procedures

6.6 Negotiating with objective criteria

6.7 Reason and be open to reason

6.8 Never yield to pressure



However well you understand the interests of the other side, ingeniously you invent ways of reconciling interests. However highly you value an ongoing relationship, you will almost always face the harsh reality of interests that conflict. No talk of “win-win” strategies can conceal that fact. You want the rent to be lower; the landlord wants it to be higher. You want the goods delivered tomorrow, the supplier would rather deliver them next week. You definitely prefer the large office with the view; so does your partner. Such differences cannot be swept under the rug.

6.1 The case for using objective criteria

Suppose you have entered into a fixed-price construction contract for your house that calls for reinforced concrete foundations but fails to specify how deep they should be. The contractor suggests two feet. You think five feet is closer to the usual depth for your type of house.

Now suppose the contractor says: “I went along with you on steel girders for the roof. It’s your turn to go along with me on shallower foundations.” No owner in his right mind would yield. Rather than horse-trade, you would insist on deciding the issue in terms of objective safety standards. “Look, maybe I’m wrong. Maybe two feet is enough. What I want are foundations strong and deep enough to hold up the building safely. Does the government have standard specifications for these soil conditions? How deep are the foundations of other buildings in this area? What is the earthquake risk here? Where do you suggest we look for standards to resolve this question?”

It is no easier to build a good contract than it is to build strong foundations. If relying on objective standards applies so clearly to a negotiation between the house owner and a contractor, why not to business deals, collective bargaining, legal settlements, and international negotiations? Why not insist that a negotiated price, for example, be based on some standard such as market value, replacement cost, depreciated book value, or competitive prices, instead of whatever the seller demands?

In short, the approach is to commit yourself to reaching a solution based on principle, not pressure. Concentrate on the merits of the problem, not the mettle of the parties. Be open to reason, but closed to threats.

6.2 Principled negotiation produces wise agreements amicably and efficiently.

The more you bring standards of fairness, efficiency, or scientific merit to bear on your particular problem, the more likely you are to produce a final package that is wise and fair. The more you and the other side refer to precedent and community practice, the greater your chance of benefiting from past experience. And an agreement consistent with precedent is less vulnerable to attack. If a lease contains standard terms or if a sales contract conforms to practice in the industry, there is less risk that either negotiator will feel that he was harshly treated or will later try to repudiate the agreement.

A constant battle for dominance threatens a relationship; principled negotiation protects it. Is it far easier to deal with people when both of you are discussing objective standards for settling a problem instead of trying to force each other to back down.

Approaching agreement through discussion of objective criteria also reduces the number of commitments that each side must make and then unmake as they move toward agreement. In positional bargaining, negotiators spend much of the time defending their position and attacking the other side’s. People using objective criteria tend to use time more efficiently talking about possible standards and solutions.

Independent standards are even more important to efficiency when more parties are involved. In such cases positional bargaining is difficult at best. It requires coalitions among parties; and the more parties who have agreed on a position, the more difficult it becomes to change that position. Similarly, if each negotiator has a constituency or has to clear a position with a higher authority, the task of adopting positions and then changing them becomes time-consuming and difficult.



6.3 Developing objective criteria

Carrying on a principled negotiation involves two questions: How do you develop objective criteria, and how do you use them in negotiating?

Whatever method of negotiation you use, you will do better if you prepare in advance. This certainly holds true of principled negotiation. So develop some alternative standards beforehand and think through their application to your case.

6.4 Fair standards

You will usually find more than one objective criterion available as a basis for agreement. Suppose, for example, your car is demolished and you file a claim with an insurance company. In your discussion with the adjuster, you might take into account such measures of the car's value as (1) the original cost of the car less depreciation; (2) what the car could have been sold for; (3) the standard "blue book" value for a car of that year and model; (4) what it would cost to replace that car with a comparable one; and (5) what a court might award as the value of the car.

In other cases, depending on the issue, you may wish to propose that an agreement be based upon.

Market value	What a court would decide
Precedent	Moral standards
Scientific judgment	Equal treatment
Professional standards	Tradition
Efficiency	Reciprocity
Cost	And, others

At a minimum, objective criteria need to be independent of each side's will. Ideally, to assure a wise agreement, objective criteria should not be only independent of will but also both legitimate and practical. In a boundary dispute, for example, you may find it easier to agree on a physically salient feature such as a river than on a line three yards to the east of the riverbank.

6.5 Fair procedure

To produce an outcome independent of will, you can use either fair standards for the substantive question or fair procedures for resolving the conflicting interests. Consider, for example, the age-old way to divide a piece of cake between two children: one cuts and the other chooses. Neither can complain about an unfair division.

As you consider procedural solutions, look at the other basic means of settling differences: taking turns, drawing lots, letting someone else decide, and so on.

Frequently, taking turns presents the best way for heirs to divide a large number of heirlooms left to them collectively. Afterwards, they can do some trading if they want. Or they can make the selection tentative so they see how it comes out before committing themselves to accept it. Drawing lots, flipping a coin, and other forms of chance have an inherent fairness. The results may be unequal, but each side had an equal opportunity.

Letting someone else play a key role in a joint decision is a well-established procedure with almost infinite variations. The parties can agree to submit a particular question to an expert for advice or decision. They can ask a mediator to help them reach a decision. Or they can submit the matter to an arbitrator for an authoritative and binding decision.



6.6 Negotiating with objective criteria

Having identified some objective criteria and procedures, how do you go about discussing them with the other side?

There are three basic points to remember:

1. Frame each issue as a joint search for objective criteria.
2. Reason and be open to reason as to which standards are most appropriate and how they should be applied.
3. Never yield to pressure, only to principle.

In short, focus on objective criteria firmly but flexibly/

6.7 Reason and be open to reason.

What makes the negotiation a joint search is that, however much you may have prepared various objective criteria, you come to the table with an open mind. In most negotiations, people use precedent and other objective standards simply as arguments about what police in other cities make. This use of standards usually only digs people even deeper into their position.

Going one step further, some people begin by announcing that their position is an issue of principle and refuse even to consider the other side's case. "It's a matter of principle" becomes a battle cry in a holy war over ideology. Practical differences escalate into principled ones, further locking in the negotiators rather than freeing them.

This is emphatically not what is meant by principled negotiation. Insisting that an agreement be based on objective criteria you advance. One standard of legitimacy does not preclude the existence of others. What the other side believes to be fair may not be what you believe to be fair. You should behave like a judge; although you may be predisposed to one side (in this case, your own). You should be willing to respond to reasons for applying another standard or for applying a standard differently. When basis for deciding between them, such as which standard has been used by the parties in the past or which standard is more widely applied. Just as the substantive issue itself should not be settled on the basis of will, neither should the question of which standard applies.

In a given case there may be two standards (such as market value and depreciated cost) which produce different results, but which both parties agree seem equally legitimate, in that case, splitting the difference or otherwise compromising between the results suggested by the two objective standards is perfectly legitimate. The outcome is still independent of the will of the parties.

If, however, after a thorough discussion of the merits of an issue you still cannot accept their proposed criteria as the most appropriate, you might suggest putting them to a test. Agree on someone you both regard as fair and give him or her a list of the proposed criteria. Ask the person to decide which are the fairest or most appropriate for your situation. Since objective criteria are supposed to be legitimate and because legitimacy implies acceptance by a great many people, this is a fair thing to ask. You are not asking the third party to settle your substantive dispute—just to give you advice on what standard to use in settling it.

The difference between seeking agreement on the appropriate principles for deciding a matter and using appropriate principles for deciding a matter and using principles simply as arguments to support positions is sometimes subtle, but always significant. A principled negotiator is open to reasoned persuasion on the merits; a positional bargainer is not. It is the combination of openness to reason with insistence on a solution based on objective criteria that makes principled negotiation so persuasive and so effective at getting the other side to play.



6.8 Never yield to pressure.

Pressure can take many forms: a bribe, a threat, a manipulative appeal to trust, or a simple refusal to budge. In all these cases, the principled response is the same: invite them to state their reasoning, suggest objective criteria you think apply, and refuse to budge except on this basis. Never yield to pressure, only to principle.

Who will prevail, in any given case, it is impossible to say, but in general you will have an edge. For in addition to your willpower, you also have the power of legitimacy and the persuasiveness of remaining open to reason. It will be easier for you to resist making an arbitrary concession than it will be for them to resist advancing some objective standards. A refusal to yield except in response to sound reasons is an easier position to defend—publicly and privately—than is a refusal to yield combined with a refusal to advance sound reasons.

At the least, you will usually prevail on the question of process; you can usually shift the process from positional bargaining to a search for objective criteria. In this sense principled negotiation is a dominant strategy over positional bargaining. One who insists that negotiation be based on the merits can bring others around to playing that game, since that becomes the only way try advance their substantive interests.

On substance, too, you are likely to do well. Particularly for those who might otherwise be browbeaten by a positional bargainer, principled negotiation allows you to hold your ground and still be fair. Principle serves as your hardhearted partner who will not let you yield to pressure. It is a form of “right makes might.”

If the other side truly will not budge and will not advance a persuasive basis for their position, then there is no further negotiation. You now have a choice like the one you face when you walk into a store that has a fixed, nonnegotiable price on what you want to buy. You can take it or leave it before leaving if you should see if you have overlooked some objective standard that makes their offer a fair one. If you find such a standard and if you would rather reach agreement on that basis than have no agreement, do so. The availability of that relevant standard avoids the cost of giving in to an arbitrary position.

If there is no give in their position and you find no principled basis for accepting it, you should assess what you might gain accepting their unjustified position rather than going to your best alternative. You should weigh that substantive benefit against the benefit to your reputation as a principled negotiator that could come from walking away.

Shifting discussion in a negotiation from the question of what the other side is willing to do to the question of how the matter ought to be decided does not end argument, nor does it guarantee a favorable result. It does, however, provide a strategy you can vigorously pursue without the high costs of positional bargaining.

Exercises



Exercise I

Divide the group into two. Each group will select a group leader. The group will work together, after which, they will present and explain the result of their work.

A contract negotiation over the salary for an opera singer.

SCENARIO: Sally Soprano is a distinguished soprano who is now somewhat past her prime. She has not had a lead role in two years. The Lyric opera, which has a production Norma opening in three weeks for which no lead has been announced, has asked to talk to Sally. Neither knows much about the other's interests; there is relatively wide overlap of possible outcomes.

MECHANICS: This exercise is most natural as a one-on-one negotiation, but two-on-two variations work fine. The negotiation should last roughly 30 minutes, however it can be as brief as 10 minutes.

Note:

Role specific:

Confidential Instructions for:

Sally Soprano's Business Agent

Lyric Opera's Business Agent

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Conflict Management

Objectives:

- Identify and understand, in general, Conflict Prevention Management and Resolution;
- Identify and determine the different consensus approach in conflict;
- Identify the importance of social standards to partnering, as well as, its benefits;
- Identify facilitated negotiations of social standards, as well as, its benefits;
- Identify working through the mediation process, as well as, its benefits;
- Identify and compare neutral facilitator or mediator responses adopted by companies;



Outline:

- 1. Introduction**
- 2. Assessing Conflict and Designing the Process**
- 3. Partnering**
- 4. Facilitated Negotiations**
- 5. Mediation: 3rd Party Assistance to resolve disputes**
- 6. Selecting Neutrals: Partnership Facilitators, Negotiation Facilitators and Mediators**

Introduction



1. Introduction

- 1.1 Overview of Conflict Prevention, Management & Resolution
- 1.2 What approaches to conflict are used
- 1.3 What is interest – based negotiations?



1.1 Overview of Conflict Prevention, Management, and Resolution (–define conflict in global and local terms)

1.1.1. What causes conflict?

Conflict is inevitable but is often viewed as something to be avoided.

- Conflict occurs in every aspect of life and spans the spectrum from mild disagreement to all-out war.
- Conflict arises when people feel their interests or values are challenged or because their needs or expectations are not met.

Not all conflict is bad, however. If the disputants:

- Desire to work things out between them, and
- Willingness to use a rational, interest-based process conflict often produces resolutions that are long lasting and acceptable to all concerned.

However, the desire for a cooperative resolution must be present, and participants must use a process that respects everyone and considers everyone's interests. Otherwise, the results often are:

- Damaged relationships
- Unresolved issues
- Continued strife and non-productivity
- Loss or waste of human and natural resources
- Expensive, protracted administrative adjudication or litigation

1.1.2 What opportunities do conflict present?

Most of us tend to think of the downside when conflicts or disputes arise. That's partly based on experience (knowing that conflicts often destroy relationships, sabotage productivity, and consume enormous amounts of time, energy, and money) and partly grounded in the dislike most of us have for confrontations and contentious dialogue. On the other hand, we've all seen examples of conflict producing good results:

- Union-management disputes that resulted in fairness to employees while preserving companies' profitability
- Natural resource multiparty conflicts that resolved matters that could have been tied up in court for years
- A bad work relationship between a supervisor and an employee salvaged through consideration of their separate and overlapping interests and needs.

Primary keys to positive conflict outcomes are:

- 1) A sincere desire to work out mutually acceptable solutions and
- 2) A willingness to engage in a good faith problem solving process that ensures
 - A safe environment and normal courtesy
 - Facilitates effective communication
 - Encourages candid expression of needs
 - Requires sharing and exploration of relevant data
 - Stimulates creative thinking to meet as many of each party's interests as possible



- And is more cooperative than competitive in nature

When these two motivations are present, the opportunity or satisfactory dispute resolution is greatly enhanced.

1.1.3 What are the basic approaches to dealing with conflict?

▪ **Avoiding**

Avoiding may be effective when:

- Conflict is temporary
- Cooling down period is needed
- Risk of engaging is too high, or
- Conflict is none of your concern.

Remember, however, that avoidance does not solve the problem (a decision may be needed now), may cause you to miss an opportunity for resolution, and may take the situation worse as time goes on.

▪ **Accommodating**

“Accommodators” give in as a way of maintaining harmony. Accommodating may be appropriate to maintain cohesiveness, if the issue is not worth spending time on, or if you know you are wrong. Often, however, accommodating requires:

- Appeasement
- Sacrificing one’s values or principles, and
- Putting harmony above dealing with important issues.

In such instances, you lose your opportunity for input, and you may lose the respect of others.

▪ **Competing**

A competitive approach to conflict assumes the best (or only) way to reach one’s goals is to overrule others. This approach frequently disregards the concerns of adversaries completely, leaving the losers with pent-up resentment that will eventually lead to further conflict. In some instances, however, the power-based method is appropriate:

- e.g., in a safety crisis, when an issue isn’t important enough to spend time working it out
- or when a necessary but unpopular decision must be made
- also, if others are determined to profit at your expense, you may have no recourse but to fight back in self-defense.

▪ **Compromising**

This approach has aspects of both competing and accommodating. Compromising gives up more than competing but less than accommodating.

- It addresses issues more directly than avoiding but doesn’t explore them as much as collaborating.
- Compromising requires cooperation and might mean exchanging concessions, seeking the middle ground, or splitting the difference. Compromising is sometimes appropriate when you’ve been unable to reach an acceptable agreement through other means, and the choices for resolving the dispute are clearly limited.



▪ Collaborating

The collaborative approach is commitment to working together to resolve conflicts.

- Collaboration is based on the premise that it is possible to meet one's own needs and those of others as well
- In addition, collaboration assumes that conflict is a natural part of life, and that conflict provides opportunities to work with others to produce resolutions that serve both individual and common interests.

An important by-product of collaboration is that – through the process of working together for a solution – better decisions result, and the relationship between the disputants is improved. This approach is also known as a consensus-decision method.

Still, the collaborative approach is not a panacea. It's time consuming and does not always result in mutually satisfactory outcomes. In addition, effective collaboration requires:

- Open sharing
- Cooperation by everyone involved
- A willingness to operate in good faith.

Collaborating is often inappropriate when the issues are trivial, a quick decision must be made in an emergency, or an expert is required.

In public policy, natural resources, contracting, and workplace disputes, the collaborative approach is proving to be an effective strategy for lasting resolutions in many instances. For that reason, this guidebook focuses primarily on collaborative dispute prevention, management, and resolution and on problem solving.

1.1.4 Conflict management consensus processes – what are they?

Conflict management includes any process used to prevent, manage, or resolve conflicts. Alternative Dispute Resolution (ADR) is one term for conflict management methods other than traditional courtroom litigation or formal agency adjudication procedures. In almost all traditional kinds of litigation or adjudication processes, attorneys for the parties present the issues, and the parties are only observers or carefully controlled witnesses. Such formal processes often preclude the introduction of non-legal concepts, discussions, and solutions even when they may be the best solutions to the conflict.

Procedural, psychological, and substantive concerns

Lack of agreement is not caused solely by substantive differences. Psychological barriers to resolution are often present. Solving disputes and reaching agreement has a lot to do with how people feel and the procedures that have been tried or used to address differences. If a durable settlement is desired, the consensus process must take procedural and psychological concerns into account. Collaborative processes are not simply a contest or game in which substantive gains are either won or lost – they are a relationship-building process. Such negotiations involve process, content, and emotions. Frequently, parties must continue contacts in the future with those with whom they presently disagree. The way in which differences are addressed and problems are solved may often be as important as the substantive aspects of the resolution.

The role of the facilitator in tending to psychological and procedural needs cannot be overemphasized. Unless the facilitator is sensitive to those needs – and makes concerted, continuing efforts to address them – progress on substantive matters may be severely inhibited.



Distinguishing Between Consensus Decision Making Processes and Traditional Public Involvement

Partnering, facilitated negotiations and mediation are distinctly different from public involvement.

Public involvement activities are usually aimed at sharing information with, and seeking ideas and opinions from, members of the public who may be interested or affected by proposed rule making or other agency actions. Such agency actions may be either be agency-initiated or applicant initiated and may or may not have been developed through a collaborative process. Even when proposed actions can be collaboratively developed, such collaboration may not have involved all interested and affected parties. In other words, traditional public involvement does not necessarily involve fully shared problem solving or decision-making; it only requires solicitation and consideration of public input before agency decisions are made.

Many members of today's more active and informed public want to do more than provide input – they want a higher level of influence when decisions are made involving public resources. They no longer want public agencies to act as ultimate authorities or even as arbiters of public disputes. They want to be fully engaged, with a seat at the decision-making table. Many of them want:

- Open communications
- True Dialogue
- Participation in decision making
- Group deliberation and action
- The building of long-lasting relationship

This is not to say that traditional public involvement is no longer important or necessary. But if we want to build support and commitment on common interests – if we want stronger, long-term relationships and more creative solutions – then we need to join collaborative problem solving and decision-making processes with traditional public involvement more often.

To serve as a reference and guide for those who want to consider collaborative processes, this guidebook focuses on:

- 1) How to assess conflict or potential conflict to determine whether a consensus process is appropriate, and
- 2) How to convene, manage, and evaluate such processes.

1.2 What Approaches to Conflict are used?

In workplace disputes (supervisor-employee, employee-employee, inter-group, intra-group, and other interpersonal conflicts), most have used the following general approach during the 1990s:

- 1) Initially encourage the parties to communicate with each other and try to work out their differences.
- 2) Explain options (including timeframes) for taking an issue formal (negotiated grievance procedure, or administrative grievance procedure)
- 3) When appropriate, tell the parties about the interest-based mediation process and facilitated negotiations, stressing that their participation is strictly voluntary.
- 4) Encourage mediation or facilitated negotiations early in disputes but make them available at any stage.
- 5) Offer services of qualified in-house mediators/facilitators, but also use NGO and governmental mediators or facilitators when desired by one or more of the parties in dispute
- 6) Initiate Human Resources, or management staff technical review of agreements reached in mediation, when appropriate.



- 7) Evaluate the process by sending forms to every participant and using the results to improve company conflict management services.
- 8) Follow up with the parties periodically by the mediators/ facilitators to monitor agreement progress.
- 9) Use Human Resources staff working together to bring about resolution of workplace issues and encourage conflicting parties to look for options that will meet their basic interests, the best interests of the organization, and the interests of taxpayers.

In labor-management disputes, traditionally has used Negotiation, followed by arbitration (qualified third party hears both sides then renders binding decision) if negotiation failed to result in agreement.

Mediation for disputes between bargaining unit employees and supervisors has also been used with considerable success in recent years. Mediation offers a greater opportunity for long-lasting resolutions and is often less expensive than arbitration.

Disputes between contractors and employers have traditionally been negotiated or settled in court. In recent years, mediation has been used successfully to resolve some contract disputes.

1.3 What Is Interest-Based Negotiating?

Interest-based negotiating (IBN) is the very heart of partnering, facilitated negotiations, and mediation. IBN is a negotiating process that focuses on mutual gains.

Interest-based negotiating differs from “win-lose” negotiating in that it requires the parties to:

- 1) make a determined effort to understand the needs and interests of the other parties
- 2) negotiate in good faith
- 3) put all information on the table (as opposed to withholding data for unilateral purposes – as is often done in positional bargaining)
- 4) work together to create resolutions that will bring the highest possible degree of mutual gain to the parties.

Interest-based negotiating (also called interest-based bargaining, win-win, or mutual gains) has the following characteristics:

- Focuses on present and future, not the past.
- Focuses on interests and needs, not positions (one party's solution).
- Supplies a better communication method (process requires each participant to seek first to understand then to be understood).
- Provides a forum for equal consideration of everyone's point of view.
- Maintains confidentiality – only information all the parties agree to make available can be shared with others.
- Offers a mutual-gains approach that is more cooperative than competitive.
- Allows open discussion that expands mutual interests and options.
- Has the goal of finding the most possible for every stakeholder.



- Requires candor, good faith, cooperation and trust (if trust is not present, requires exploration/agreements on how trust can be built or rebuilt).
- Enhances ongoing relationships as parties mutually shape their future together.
- Involves attempting to meet as many of everyone's needs as possible, thereby ensuring more inclusive approaches.
- Provides a safe, respectful environment for moving from emotional to rational thinking.
- Focuses on issues, concerns, and problem solving; avoids finger pointing and blaming.

Other terms for Interest-Based Negotiating:

Cooperative decision making	Collaborative decision making
Collaborative agreement-seeking processes	Environmental conflict resolution
Collaborative consensus-based forums	Consensus building
Consensus-based processes	Joint decision making
Shared decision making	Environmental mediation
Negotiated processes	Multiparty negotiations
Mediated negotiation	Mediated problem solving

1.3.1 The interest-based negotiating process

Interest-based negotiating has three phases: pre-negotiation or convening, negotiation, and implementation. The following steps summarize the process:

- 1) Discussing and agreeing on ground rules, responsibilities, and who should be included.
- 2) Clarifying the conflict and/or problem, and specifying what outcomes are desired;
- 3) Delineating interests (needs and desires) and issues of each party, the organization, and the taxpayers (what problems need to be solved and why).
- 4) Examining relevant data and looking at the spectrum of perspectives (seeing through others' eyes).
- 5) Looking for overlapping interests and areas of agreement.
- 6) Generating options to meet mutual and separate interests and create mutual gains (creative brainstorming for a period of time without commitment or criticizing).
- 7) Setting up resolution ("test") criteria to evaluate options.
- 8) Selecting/creatively combining mutually beneficial options by consensus (all can live with, all can support).
- 9) Writing/signing consensus agreement, including provisions for monitoring/follow up, a dispute resolution process for future disagreements, and – if appropriate – sunset or re-negotiation dates.
- 10) Carrying out provisions of the agreement.



1.3.2 How is interest-based negotiating different?

Traditionally, negotiating has been a power-based (I win you lose) process. A lawsuit that continues will eventually end in a decision by a judge: typically, one side wins, the other loses (win-lose).

Another time-honored form of settling disputes is the “rights-based” approach. In this model, each party negotiates from the position that it is legally right and deserves to win and that the other party is wrong and deserves to lose. Such cases are either settled through negotiating a compromise (usually because that is less costly than litigating) or going to court. Like the traditional power-based negotiating, rights-based is also a positional, win-lose approach to conflict.

Interest-based negotiating differs fundamentally from power-, positional-, or rights-based negotiations by replacing win-lose with a mutual gains orientation (also called win-win). In this concept, the parties seek common ground and work together to find options and solutions that will meet as many interests (needs) of everyone as possible. Conflicting parties work together to craft a consensus solution: one acceptable to all, committed to by all, supported by all. For this reason, interest-based negotiating is also referred to as consensus decision making.

Interest-Based Negotiating Example

Lori and Jim were not getting along well at work. In fact, they were so angry with each other that their conflict was beginning to affect their productivity. Others had begun to notice the dispute and were spending time talking about the “Lori and Jim thing.”

Lori and Jim were purchasing agents at the same grade level for several years until Lori was promoted to a “special accounts” purchasing agent position at one grade level higher. The trouble begun shortly after Lori’s promotion-when Jim complained to their mutual supervisor (in Lori’s presence) that Lori was “getting into my work papers when I’m not there and trying to make me look bad”. He went on to emphatically state, “Lori should mind her own business and stay out of my work area!” Lori replied, “If you would get your work done on time, there would be no reason for me or anyone to be in your work area when you’re not a team player, and I’m not ever going out of my way again to help you do your work!”

The supervisor, Ms. Banuelos, asked them to cool down and come to her office to discuss the next day. The discussion started out calmly enough but quickly degenerated into shouting and name-calling. Ms. Banuelos asked Jim and Lori to return to their separate work areas and to “stay out of each other’s way” until she could figure out a way to defuse the conflict. She then called a mediator from the Human Resources Office and asked for help. The mediator asked about the conflict issues and then said he would help if Lori and Jim agreed to participate in mediation voluntarily. After an explanation by the mediator, both agreed.

During the mediation sessions, it became clear that the position taken by both was that they wanted nothing to do with each other, period. In working through the process, however, the interests of both were identified:

Jim’s interests:

To be respected

To contribute to the team

To acquire skills for promotion

To be viewed as self-sufficient

To be seen as Lori’s equal

Lori’s interests:

to be respected

to contribute to the team

to help others when she had down time

to utilize as many of her skills as possible

to make sure she was always busy



When these interests were compared, both saw that some were the same, some overlapped, and some were clearly different. The mediator then helped Lori and Jim brainstorm ways to meet as many of both of their interests as possible (a mutual gains approach). They eventually agreed that since Jim's workload was constant and overwhelming much of the time, Lori would help him catch up when her more cyclical workload produced downtime. Lori also agreed to help Jim develop some of the skills she had acquired in her new position so he would become more "promotable". Both agreed that working together in their manner would help the team and promote the organization's mission while also helping each of them meet their individual interests. The mediator wrote up the interest-based agreement crafted mutually by Jim and Lori, and they signed it to show their good faith and commitment to its provisions.

The chart below illustrates some of the major differences between traditional negotiating (win-lose) and interest-based negotiating (win-win).

Traditional negotiations	Interest-based negotiations
independent	interdependent
divisive	synergetic
style is adversarial	style is collaborative
result is compromise	result is consensus
characterized by combativeness	characterized by mutual problem solving
debate issues	solve problems
guarded communication	open idea generation
offers threats	explores interests and needs
proposes single solution	examines alternatives for mutual gain
engages in conflict	manages conflict
adversaries	collaborators
insist on their position	no prejudgment
limit information strategically	full exchange of information
relationships strained or destroyed	relationships enhanced

Please note that interested-based negotiating is not the answer to every conflict. If power or rights must be settled by a dispute, leaving no basis for consideration of interests and mutual problem solving, the IBN approach will not be appropriate. Nor will IBN be appropriate if: (a) fundamental questions of law or constitutionality (legal principles) must be determined or (b) deeply held values are so divergent that any type of conflict prevention, management, or resolution approach simply is not feasible. Also, a consensus-building process is unlikely to work if one or more parties are not ready to settle, their interests are too far apart to reconcile, the people involved (the neutral professional or the parties) are inexperienced and make mistakes, or legal requirements are at odds with the preferred solution.



1.3.3 Prerequisites to Interest-Based Negotiating

Using the interest-based negotiating method of conflict management effectively has several prerequisites:

- 1) The parties must understand the IBN process and view it as a more effective way of working out differences and solving problems. If they do not, they must be educated in what the process is, how it works, and how to prepare for it.
- 2) All parties must be willing to engage in a mutual gains approach and willing to leave “there’s only one solution that will work” thinking behind them.
- 3) The parties must prepare in advance of sessions. This includes clarifying their own (and/or their constituency’s) issues (problems which need solving) and interests (concerns, needs, fears, and desires related to an issue) and coming to the table prepared to talk about why each issue is important, why each issue has been a problem, and what information can be gathered or shared that is relevant to solving the problem.
- 4) The parties must be willing to engage in good faith – that is, they must be willing to share all relevant information, commit to and stick with the process, and commit to all consensus agreements reached in the process.

In the absence of any of these prerequisites, interest-based negotiating probably should not be attempted because it is very unlikely to have productive, long lasting results.

1.3.4 Reconciliation of divergent interests

The essence of consensus-based negotiations is reconciliation of the interests of the affected and participating parties. As previously stated, interests are needs, desires, concerns, and fears – the tangible items that underlie people’s positions (what they specifically want). Reconciling ostensibly incompatible interests is not easy. It involves probing and examining concerns, performing detailed data analysis, devising creative solutions, and making trade-offs and concessions among competing interests.

Reconciling differences also involves the willingness of all participants to look for ways to meet everyone’s interests – not just their own. Remember we wrote earlier of the “mutual gains” approach to problem solving? Mutual gains in the interest-based context means every participant listens to the concerns and desires of the others, seeks the ideas of the others, offers his/her own ideas, and tries to build on all the ideas to create options that will meet as many of everyone’s interests as possible. For stakeholders who have previously negotiated only in a “win-lose mode, working for mutual gain will require a transformation – a new mindset. However, once participants see positive results on even minor issues, their skepticism and reservations about the interest-based process will recede considerably. With interest-based negotiation experience, most stakeholders will begin to suggest alternatives that meet some needs and interests of other parties as well as their own.

1.3.5 How does interest-based negotiating relates to partnering, facilitated negotiations, and mediation?

In the context of Reclamation’s conflict management work, the interest-negotiating process is used extensively in partnering, facilitated negotiations, and mediation. IBN is, in fact the cornerstone of these three methods – even though as we shall see, each of the methods is used for somewhat different though overlapping purposes.

In basic terms, partnering is used when an ongoing relationship involving mutual interests is anticipated. Facilitated negotiations may be appropriate when there are multiple parties with overlapping interests and avoiding litigation is preferred; and mediation may be appropriate when the parties (any number) have reached impasse but are willing to attempt resolution with the help of a mediator.

Note that partnering, facilitated negotiations and mediation are not totally separate and discrete from each other. Since each is part of the conflict management continuum, keep in mind that:



- The stage of a given conflict will determine which process may be appropriate
- One process may lead into another (e.g., partnering may move to mediation if an impasse is reached)

Since interest-based negotiating is the basis for partnering, facilitated negotiations and mediation, the three overlap greatly and have more commonality than differences

Assessing Conflict and Designing the Process



2. Assessing Conflict and Designing the Process

2.1 How to determine if consensus approach is the best



2.1 How do you determine whether a consensus approach is appropriate?

Although this guidebook contains information about a broad spectrum of available conflict management processes, the focus is on three interest-based approaches: partnering (for prevention of disputes), facilitated negotiations (multiparty problem solving), and mediation (for resolution of impasse issues). These three approaches to conflict management are all “consensus” processes – that is, the objective in each is to gain consensus on all significant issues.

Some other processes on the conflict management spectrum are methods for resolving conflicts but are not consensus processes- arbitration and rent-a-judge are examples of consensus dispute resolution processes where someone other than the disputants determines the outcome of their conflict.

An important initial step in conflict management is determining what approach has potential for good outcomes in a given conflict. Many potential conflicts can be prevented through effective use of the partnering approach (see chapter 5). When partnering fails to produce agreement on fundamental issues, or when partnering is not appropriate because of the temporary nature of the problem or issues (or for other reasons), another conflict management method may be appropriate. Let's look at how to determine whether a consensus process may be appropriate.

2.1.1 First considerations

A consensus process is likely to fail or be of limited value unless all the affected parties can be involved in and agree to participate. This is the most important consideration in the analysis of the conflict. In addition, most of the following characteristics should be present in the conflict before you look further at the possibility of using a consensus process:

Creative solutions, unlikely to be available in formal adjudication, may provide the best outcome.

- Resolution of the dispute is possible and will not set an unacceptable precedent.
- The outcome is genuinely in doubt. Conflicting interests make development or enforcement of a Reclamation-derived policy or decision difficult, if not possible, without stakeholder involvement and support.
- The issues have been sufficiently developed so that the parties are reasonably informed and willing to negotiate.
- The likelihood of lengthy, expensive litigation of uncertain outcome is high if the parties are unable to reach a mutually crafted resolution.
- The potential for impasse in a rational, formal setting is high because of poor communication or a history of ill will among parties, conflicts within parties, or technical complexity.
- Reclamation decision-makers and all other affected parties are willing to use the process.



2.1.2 Second considerations

If you determine that some form of consensus building may be appropriate, the following questions should be addressed before any action is taken to convene a consensus proceeding:

- 1) Are the stakeholders knowledgeable about conflict management processes? Although it may not be necessary in all cases for the parties to be knowledgeable about the process, the effectiveness of Reclamation's conflict management efforts may be enhanced by inviting other stakeholders to participate in Reclamation-sponsored training on partnering, facilitated negotiations, and mediation. Do we have the commitment and resources to provide such training when appropriate?
- 2) Have do we or other federal agencies used conflict management processes successfully for similar disputes? Can lessons learned be applied to an assessment for the present dispute? Past successful conflict management events are an obvious benefit, and past unsuccessful conflict management events may prove instructive. Research shows that most parties to mediation or other conflict management processes that were not successful in resolving a specific dispute also felt that some benefit (usually in better understanding why the other parties viewed issues differently) was gained from participating in the process.
- 3) Can the issues in dispute be identified with sufficient clarity to allow the parties to negotiate successfully – either between themselves or qualified assistance – a resolution of their differences? Absolute clarity is not essential since those issues thought to be clear often change in focus and importance after the conflict management process has begun.
- 4) Do you know who the stakeholders are and, if not, is it likely you will be able to identify the players early in the convening process? An unidentified stakeholder (person, group, or organization) who is not included is a potential agreement buster. Central to this determination is whether the problems to be solved are part of a large arena (such as a watershed) with many affected parties or are more localized with few stakeholders.
- 5) Do you know the spokespersons for each faction involved in a conflict? Again, absolute knowledge is not critical to making a decision about which process to use, but some clarity is essential early in the convening process. Spokespersons can change or evolve after the conflict management process is put into motion.
- 6) Do have enough time and resources for the process to be conducted? It takes time to do all the preliminary work necessary to bring the parties together to conduct their negotiations. Time requirements vary significantly but are not necessarily barriers to using a consensus process. Deadlines can assist parties substantially in reaching resolution, if the minimum amount of time needed to conduct an adequate assessment, convene the process, and conduct negotiations is available. All consensus processes need to have reasonable time lines established.
- 7) Do you suspect hidden issues are the real source of the dispute? It is not uncommon for a party in a dispute to present one issue as the basis of the disagreement when, in reality, there are other concerns that are the real basis for the dispute. Planning for the consensus-building proceeding should include sufficient time to bring out underlying issues that may not be stated initially.
- 8) Are one or more parties obviously tiring of the conflict or adversarial process? Finding out if they would be interested in participating in a process that is less adversarial and more collaborative is critical.
- 9) Do the parties have a good relationship and level of trust on most matters, but a real dispute over an issue has reared its ugly head? Partnering, facilitated negotiations and mediation processes are particularly suited to building and maintaining good relations between parties. However, even if the relationship and trust levels are poor, the proceedings may be feasible if the parties understand the collaborative nature of the process and are willing to participate.



- 10) Has one or more of the parties suggested or recommended that a conflict management or consensus process be used? Knowledge about consensus processes is growing throughout the country, and it is likely that other stakeholders will be aware of or suggest using an interest-based process to solve mutual problems or to prevent or resolve a dispute.

2.1.3 Convening Elements

Consensus-building negotiations have three phases: convening, negotiation, and implementation. If analysis of the factors specified above indicated that a consensus proceeding may be feasible, decisions on the following should be made:

- Who will suggest the process, contact other parties, explain the consensus process, and persuade them to participate?
- Who will be invited to participate? Will it be worthwhile to proceed if one of the significant stakeholders declines to participate?
- How will the objectives of the negotiations be defined?
- What will the scope of issues include?
- Where, when, and under whose auspices will the meetings be conducted?
- Who will chair or mediate the negotiation sessions?
- Will meetings be opened or closed – and to whom?
- What deadlines will be set, if any?
- What other ground rules will be established?
- Is a written agreement on the items above needed before the parties begin the negotiation process?

Assuring workable answers to each of these questions is critical in the convening process since there is a direct connection between the design (convening/pre-negotiation analysis and activities) of the process and the opportunity it provides each party to gain something of value from participating.

Experience has shown that the convening phase is sometimes as time-consuming as actual negotiation proceedings – usually requiring from a few days (few parties and issues) to many months (many parties and complex issues).

2.1.4 Who should perform the work?

Carefully designed consensus-building processes can bring increased problem solving flexibility to public agencies while still holding the negotiated solution to appropriate legal and regulatory standards. A critical question, therefore, is who will perform the convening work.

For other offices with less experience in consensus problem solving, or insufficient time available, obtaining the services of a qualified neutral (or more than one if the conflict involves a substantial number of parties) to perform some or all of the convening analysis and activities may be the best course. Another approach would be to meet with your internal ADR Consultant and talk about what convening options are available. These specialists have significant ADR training and experience.



Another possible approach is to hire a qualified, subject-matter knowledgeable ADR practitioner for an initial consultation to discuss the conflict and ask for recommendations. The appropriate internal ADR Consultant and/or the Bureau Dispute Resolution Specialist should, when possible, be involved in meetings with this practitioner to assure that all relevant information regarding both substance and process is considered in the context of past and ongoing Reclamation ADR efforts. Also, it is important to inform the Bureau Dispute Resolution Specialist strictly for agency tracking purposes.

The bottom line is this: if you're confident you have enough credibility with the known stakeholders and enough knowledge of consensus-building processes to conduct the pre-negotiation phase, forge ahead with help from Reclamation ADR people. If not, make arrangements to have a professional neutral assist you with some or all of the process.

A final note on who should conduct the convening phases: the convener does not have to be the same person who facilitates or mediates the actual consensus meetings. However, if the convener has not been able to establish good rapport with most of the stakeholders, it may be prudent to arrange for someone else to conduct the consensus-building meetings.

2.1.5 Which process to use?

We are focusing on three proven approaches in this guidebook – partnering, facilitated negotiations, and mediation – all consensus and interest-based problem solving processes. We are presenting them here as discrete methods, but, in practice, the approach designed for a particular conflict may utilize elements of two or of all three approaches. A consensus approach that starts out as partnering or facilitated negotiations may evolve into mediation if a significant impasse occurs. Also, parties and issues may change over time as the process develops.

Nonetheless, there are general guidelines for determining when a particular consensus conflict management approach is appropriate. The information gathered in the convening phase that would serve as the foundation for applying these guidelines.

- **Partnering**

Partnering may be appropriate when:

- The parties recognize they all have an ongoing stake in future policy, program, and operational decisions.
- They have an overlap of, and mutual interests in, outcomes.
- They consider their ongoing relationship to be important to the overall achievement of shared goals and objectives (labor-management) issues, construction contracts, and basin-wide planning groups typically meet these stipulations).

Accordingly, the parties may be motivated to avoid future conflict by collaborative, consensus-based problem solving. Partnering may also be appropriate to such long-term efforts as watershed development plans,

Ongoing interdependent relationships between Reclamation offices, or ongoing collaborative efforts between Reclamation and an outside entity or organization.

- **Facilitated negotiations**

Facilitated negotiations may be appropriate when:

- The parties are willing to work toward a solution all can support but recognize that a structured process and a facilitator acceptable to everyone are necessary to move the group effectively through the problem solving process.



- Fundamental questions of law or constitutionality are not at issue (if they are, the dispute may more properly be settled in court).
- The parties do not have trust issues so serious that any form of cooperation is impossible.
- The parties do not have deeply held values that are so divergent that any type of consensus approach is not feasible.

- **Mediation**

Mediation may be appropriate when:

- Communication between the parties has broken down or an impasse has been reached.
- Suspicion and/or personality clashes have developed.
- The conflict management process needs to be changed.
- There are significant issues in dispute.
- Legal standards are fairly clear, and neither party needs, wants, or insists on judicial clarification.
- Both parties desire to have a hand in crafting an agreement that will end the impasse.

Mutual design of, or agreement on, a consensus-based approach that fits the circumstance of the conflict is the primary concern. Flexibility of the parties to consider changes in the process when necessary is also a key element in successful conflict management.

Partnering



1. Partnering

3.1 The Benefits of Partnering

3.2 When to use Partnering

3.3 Steps of Partnering



3.1 The Benefits of Partnering

Partnering is a method that allows people to manage conflict effectively when they are engaged in a project or have an ongoing relationship with some overlapping interests. In Reclamation, partnering is used successfully on construction projects, with union-management groups, and, to some extent, in water resource management where the partners are Reclamation and other Federal, State and/or private organizations.

Traditionally, construction contractors and the employing government agency have viewed their relationship as competitive, tenuous, and adversarial. In essence, they viewed their counterparts with suspicion – rather like two travelers headed for the same destination, each with a map, who refuse to compare their maps or work together to find the best route!

Partnering began in the construction industry but has been expanded and used whenever diverse individuals or groups of individuals need to come together on a project or to solve mutual problems on an ongoing basis.

In recent years, a form of partnering in natural resource management has emerged as agencies, water users, recreationists, environmental groups, and others seek to solve problems consensually and resolve conflicts more effectively.

In fact, the use of **partnering** has increased dramatically in the past decade, primarily because it **has many potential benefits**. Partnering:

- Establishes mutual goals and objectives, and thus avoids the “us versus them” mentality.
- Builds trust and encourage open communication.
- Helps eliminate surprises through early and increased communication.
- Enables the parties to anticipate and resolve problems.
- Avoids disputes through informal conflict management procedures.
- Avoids litigation through the use of alternative dispute resolution.
- Reduces paperwork by concentrating on mutual gains rather than “case building.”
- Reduces the time and cost of meeting contract requirements.
- Reduces administration and oversight through regular meetings of the partners.
- Improves morale and promotes professionalism.
- Generates harmonious business relations through application of mutual, interest-based problem solving (consensus) procedures.
- Focuses on the mutual interests of the parties, thus forming a common ground for effective collaboration.

In short, partnering is a way of unifying all the parties or stakeholders into a team. Partnering establishes working relationships among the stakeholders that include communication and commitment to the job and each other. The process also promotes trust, teamwork, and cooperation.

Partnering is desirable for its many potential benefits, yet success in persuading parties to use this method requires making clear that **partnering is not:**



- Mandatory
- Unilaterally implemented
- A cure all
- Successful without commitment
- A waiver of the parties' contractual or legal rights
- Inconsistent with any acquisition-related statute or regulation
- Contrary to the government's business interest

3.2 When To Use Partnering

Partnering encourages the partners to recognize common interests and establish trust from the outset. This requires that team members undergo a change in mind set – from traditional adversarial thinking to the idea that more of everyone's interests can be met through cooperation and group problem solving.

One of the major goals of partnering is to resolve disputes by consensus. Thus, when deciding whether to use partnering, it is important to know if the parties involved have a history of distrust, non-cooperativeness, inability to resolve matters early on, and/or significant litigation or adjudicatory escalation. If these things are mostly true – and if the parties are willing to try a different approach with potential to save time, money, and aggravation – it may be time to introduce the idea of partnering. In introducing the concept, it should be made clear that parties must explicitly agree to forego adversarial relationships to the greatest extent possible. It must also be understood that partnering involves a change in attitude and perspective between the parties involved by moving the parties from the traditional adversarial relationship to a collaborative relationship.

If the parties agree that something must be done to resolve differences earlier and less expensively, and they are willing to try the cooperative interest-based process of partnering, you are ready to get started.

3.3 Steps of Partnering

Normally, there are five main steps to partnering:

- Planning
- Implementation
- Working through the process
- Evaluation
- Adjustment

Let's look at the first three in order. Evaluation and adjustment will be addressed together in this chapter.

▪ **Planning Partnering**

Obtaining support from top management often requires “champions” to promote the benefits of partnering. Everyone needed to make partnering happen – a representative of each stakeholder, facilitators familiar with partnering, and perhaps others does planning. In the planning phase you usually need to:

- Commit to partnering (all stakeholders).
- Schedule a workshop or meeting at the beginning of the effort.
- Lay groundwork at the workshop to gain commitment to an implementation plan. The concept of mutual gains should be discussed, as well as the differences between traditional adversarial methods and cooperative partnering methods.



▪ Implementing Partnering

In implementation, participants must develop an overview of the knowledge of partnering concepts, practices, and pitfalls. They also must develop skills in team and trust building, problem solving, consensus decision-making, and conflict resolution – as well as the recognition that partnering creates better understanding and communication.

Participants should formulate a partnering charter, usually prepared near the end of the initial workshop. The charter should include:

- A mission statement and overall goals of the partnership and strategies for accomplishing the mission and achieving the goals. All the participants define their mutual self-interests; in those areas where there are agreements, the goals become part of the partnering charter.
- A process to clarify and resolve issues; this is greatly aided by establishing regular meetings with agreed-upon agendas and protocol. (Meeting provisions also normally specify an even number of representatives from each partner attend whenever possible).
- A rapid response strategy. Immediate communications and collaborative decision making can prevent problems from growing into major conflicts. Rapid response may save time and money and may prevent escalation of small concerns into large issues.
- A process to evaluate success on an ongoing basis; this should include how and when the stakeholders jointly evaluate progress in achieving the goals of the charter. Developing such an evaluation process allows the plan to proceed as everyone intends.

➔ Writing the Charter

As stated earlier, the charter or agreement is developed jointly by the partners at the initial meeting. It serves as the blueprint for partnering success and normally addresses:

- The partnering mission statement
- An action plan for solving problems as they arise
- The problem solving process that will be used
- The definition of – and method for reaching – consensus
- The ADR process to be used should impasse occur

▪ Working Through the Partnering Process

There are four actions that are generally considered necessary for partnering to survive and thrive:

- 1) The partnering principals (those at the operational level working together) must **follow the principles and processes agreed** upon during the workshop and contained in the partnering charter. Only when each partner sees the other can be counted upon to follow the agreement and honor the process can trust be established – and trust is the cornerstone of partnering. Without trust, there is no teamwork – no true collaborative effort – and partnering will fail. With trust (earned by keeping commitments), teamwork and collaboration flourish.
- 2) **Champions** (within each partner) **must stay actively involved.**
- 3) All partners must strive for *continuous open communication*. As stated, keeping commitments builds trust; an essential aspect of keeping commitments is open, honest, and timely communication. Face-to-face communication is preferable but not always feasible. When not feasible, communicating frequently by other means is necessary. Remember, commitment and communication build trust, and trust enhances teamwork and effective working relationships. Strong relationships may be needed when unanticipated hurdles arise to challenge the partners.
- 4) **Identifying problems** – followed by timely, **joint problem solving** – will ensure progress toward the goals and objectives for which partnering was established.



5) Adhering to these actions will go a long way toward achieving successful partnering

→ Ingredients for Partnering Success

As you may have already gathered, many factors contribute to the success of partnering. These include the following characteristics:

- All seek win-win solutions.
- Differences are settled before they become disputes.
- Strong value is placed on long-term relationships.
- Trust and openness are norms.
- An environment for mutual gain exists.
- All parties are encouraged to openly address any problem.
- All principals understand exploiting each other benefits no one.
- Innovation is encouraged.
- Each partner is aware of others' needs, concerns, and objectives and is interested in helping his/her partners achieve them.

→ Barriers to successful partnering

Stumbling blocks to effective partnering include, but are not limited to the following:

- Failure to gain top level commitment at the outset.
- Leaving out, or ineffectively carrying out, any of the planning or implementation steps outlined above.
- Maintaining a win-lose perspective (by any partner).
- Blaming others for problems or holding grudges.
- Ignoring grievances or concerns, or discounting them as irrelevant or irrational.
- Arguing positions or beliefs, rather than using the interest-based process.
- Sabotaging trust by saying one thing while conveying something quite different through nonverbal behavior.
- Failing to disclose pertinent information during joint problem solving.
- Failing to treat partners with respect and as equals.
- Not keeping any commitment you've made to the partners.

Most items on the list above are self-evident, but using them as a checklist to keep on track may prove prudent.

▪ Evaluation and Adjustment

The remaining two steps to launching partnering are evaluation and adjustment. Evaluation is a continuous process that should be visited at every partnership meeting to measure progress toward established goals and toward the desired conduct and business relationship between the parties. Frank discussions about the degree of trust, honesty, openness, cooperation, and commitment to mutual gains should take place regularly. At the regular meetings or at least quarterly, the following should be asked to evaluate progress:

- Have established time lines and target dates been met? (If not, what happened, what lessons can we learn, and how do we improve our partnering performance?)
- Have we had a positive impact on accomplishing established goals?
- Has litigation (or grievances and arbitration in the labor-management context) been avoided?
- Has face-to-face communication increased? If not, how can we accomplish that?
- Have most issues been resolved at the lowest working level? Where they were not, what could have been done to keep them from escalating?



- How well has our decision making process worked? Do we need to change anything about the process?
- Have we developed, maintained, and improved team morale? What can be done to improve communication and trust between the partners?
- Have our partnering efforts been cost effective? How can we improve efficiency without reducing the quality of our efforts?

Discussion around these evaluation questions should be summarized and made available for review each time evaluation is done. This will facilitate over time and may preclude making some mistakes more than once.

The other side of the evaluation coin is adjustment. Adjustment is also a continuous process, tied inextricably to evaluation. Without candid evaluation by the involved partners and their constituencies, effectiveness of the partnering effort will not improve. Evaluation is the key to determining what aspects of the partnership are successful and what aspects need change or improvement. By the same token, if adjustments are not made based on the evaluation findings, evaluation becomes meaningless, and the partnering effort probably will not be successful. Collaborative working relationships are not easy for everyone, but they are possible for all who will work together to solve problems and resolve issues as an effective alternative to traditional adversarial relationships.

→ **Dispute Review Board: A Process for Dispute Prevention and Resolution**

The use of Dispute Review Boards has gained considerable prominence in recent years in the construction industry and, therefore, this guidebook would not be complete without considering its relationship to partnering and conflict management. While partnering is primarily considered a method of preventing disputes, the Dispute Review Board process is used for both preventing and resolving disputes. Some organizations use both partnering and the Dispute Review Board process on construction projects.

A Dispute Review Board is a panel of three experienced, respected, and impartial reviewers. The board is organized before construction begins and meets at the job site periodically. Dispute Review Board members are provided with the contract plans and specifications, become familiar with the project procedures and the participants, and are kept abreast of job progress and developments. The Dispute Review Board meets with the owner and contractor representatives during regular site visits and encourages the resolution of disputes at the job level.

When the parties cannot resolve any dispute flowing from the contract or the work, it is referred to the Dispute Review Board. The board review includes a hearing at which each party explains its position and answers questions from the other party and the Dispute Review Board. In arriving at a recommended resolution, the Dispute Review Board considers the relevant contract documents, correspondence, other documentation, and the particular circumstances of the dispute.

The board's output consists of a written, nonbonding recommendation for resolution of the dispute. The report normally includes an explanation of the board's evaluation of the facts and reasoning.

→ **Summary of Dispute Review Board Responsibilities:**

- Visit the site periodically.
- Keep abreast of job activities and developments.
- Encourage resolution of disputes by the parties.
- When a dispute is referred to the Dispute Review Board, conduct a hearing, complete deliberations, and prepare a written recommendation.

→ **Essential Elements of Dispute Review Boards**

The success of the Dispute Review Board process can be ascribed to a number of features that are not usually found in other ADR concepts. The following elements contribute to the success of Dispute Review Boards:



- All three members of the Dispute Review Board are neutral and subject to the approval of both parties.
- All members sign a three-party agreement obligating them to serve both parties equally and fairly.
- The fees and expenses of the Dispute Review Board members are shared equally by the parties.
- The Dispute Review Board is organized when work begins, before there are any disputes.
- Either party can refer a dispute to the Dispute Review Board.
- An informal but comprehensive hearing is convened promptly when a dispute is referred to the Dispute Review Board.
- The written recommendations of the Dispute Review Board are not binding on either party but are admissible as evidence, to the extent permitted by law, in case of later arbitration or litigation.

→ Benefits of Dispute Review Boards

Use of Dispute Review Boards provides benefits to all participants in the construction process and to the project. These benefits accrue in terms of both prevention and resolution of disputes.

The very existence of Dispute Review Boards tends to promote agreement on matters by the parties for several reasons. Parties are encouraged to identify, evaluate, and deal with disputes in a prompt, businesslike manner. At each meeting, the Dispute Review Board asks about any potential disputes and requests a status report on all issues. The parties remain focused on resolution while remaining aware of the board's availability in the event of an impasse. Experience has shown that a Dispute Review Board facilitates positive relations, open communication, and the trust and cooperation associated with partnering.

When a dispute is referred to the Dispute Review Board, the board provides the parties with an impartial forum and an informed and rational basis for resolution. An additional benefit is the relative cost effectiveness of the Dispute Review Board method

Compared with other ADR methods and with litigation. Cost savings may actually begin with lower bids because fair contracting practices generally result on lower bids.

Variations to the standard Dispute Review Board process are numerous. Dispute Review Board can operate with only one member or up to five members. When a number of separate contracts are related, there are advantages to having a single Dispute Review Board member serve on more than one board or to using the entire board on each contract.

Facilitated Negotiations



1. Facilitated Negotiations

- 4.1 Benefits of facilitated negotiations
- 4.2 When to use facilitated negotiations
- 4.3 Getting started
- 4.4 Working through facilitated negotiations



4.1 Benefits of Facilitated Negotiations

Facilitated negotiations are negotiations between parties – often multiple parties – for the purpose of resolving differences, solving problems, and reaching decisions by consensus.

When affected parties voluntarily agree to participate, facilitated negotiations:

- Show that maximizing one party's benefits does not necessarily have to be at the expense of other parties.
- Focus on creating joint gains while reducing losses for all parties.
- Promote creative solutions over merely slicing up and dividing a limited "pie."
- Help participants develop rational agreement options and compare and contrast them with other options presented to – but not developed jointly by – the group.
- Engage participants in a collaborative effort to find common ground and create ways to address conflicting interests in a forum that minimizes confrontation, assures examination of relevant data, enhances mutual respect, and maximizes cooperation.
- Foster avoidance of protracted conflict and/or litigation.
- Are results oriented and inclusive.

4.2 When to use Facilitated Negotiations

Facilitated negotiations generally work best when a particular issue brings together parties with conflicting interests to work out agreements and make consensus decisions. These types of situations may or may not be long term, and it is often quite difficult to estimate the length of time necessary to reach mutually acceptable agreements.

By contrast, partnering tends to work best for parties with an ongoing relationship and clearly overlapping, continuing interests (e.g., unions, project contractor, or affected parties). However, partnering efforts often use a facilitated negotiation process when disagreements occur.

Experience in the private sector suggests using facilitated negotiations when the decision will:

- Have a significant impact
- Affect some people more than others
- Impact a vested interest of use
- Involve a controversial subject
- Need support for implementation

Because we are talking about decision making, it's vital to determine if any constraints would limit any of the stakeholders from participating.

There are basically these four options for making decisions that affect multiple parties.

- 1) Consult with affected entities (**public involvement**), then make the decisions. This approach engages a broader base of thinking on the issues and may be appropriate and sufficient in many cases.
- 2) Engage those affected in an interest-based consensus decision making process. This process could be more expensive initially but offers joint ownership of the outcome, the prospect of more creative solutions, fewer challenges down the road, and establishment of a consensus process that may set a positive pattern for future conflicts.



- 3) Let an administrative authority (boards of appeals, courts legislatures, etc.) make the decisions. This option almost always has winners and losers – and has none of the benefits of mutual, creative problem solving – but may be appropriate when regulatory interpretation or precedent is needed.
- 4) Engage in litigation and let the courts decide.

4.3 Getting Started with Facilitated Negotiations

Like partnering, consensus decision making through the facilitated negotiations process requires careful planning if it is to be successful. The following steps – often called *convening* – are recommended.

- 1) **Identify the affected parties** and invite them or their representatives to a meeting to discuss the facilitated negotiation process. This is an extremely critical part of the planning process. A significant stakeholder who is left out may thwart the best efforts of the negotiations group by seeking an injunction or otherwise derailing the process. A reluctant stakeholder may need assurance that the proposed process is legitimate and truly

Collaborative and consensus-decisions will be honored. If one or more significant stakeholders are unwilling to participate, the group will have to decide if going forward is in their best interests.

The first meeting will not address conflicts or disputed issues but will propose facilitated negotiations as a process to problem solve collaboratively and reach consensus decisions. Any limitations to consensus decisions – such as laws or statutes that allow no flexibilities – should be discussed at the meeting. In addition, the initial discussion of ground rules normally takes place at this meeting.

- 2) **Determine** jointly at the meeting **whether the various parties can sort out the issues sufficiently to negotiate consensus** or whether agreement can be reached to bring in a qualified neutral third party to assist in the assessment of the conflict and clarification of the issues at stake. Often a third party – who must have no stake in the outcome – is necessary to gather, analyze, and sort into issues the various data impacting the conflict. A neutral may also be better at perceiving and objectively articulating the interests (needs, desires, fears, concerns) of each stakeholder.
- 3) **Determine** at the meeting, through discussion, **whether the stakeholders have sufficient process knowledge and skill** to engage effectively in facilitated negotiations. Possible assistance, if needed, could include (as appropriate and agreed-upon) coaching, training sessions in collaborative problem solving and consensus decision making, and teambuilding (if the group expects to be working together for a significant period of time). The meeting could include presentation of agreement-building principles.
- 4) **Get agreement on a written plan to proceed.** The plan should include all the items above that have been agreed upon, should clearly spell out who is to do what, and specify a time line. For example, the first actual negotiations might take place after coaching, training, or team building (or some combination) have taken place, after a neutral has been selected to assess the conflicts/issues and facilitate the negotiations, and after the facilitator has shared the results of the assessment with the parties.

Agreement-Building Principles From the Montana Consensus Council, 1997:

- Agree on the purpose. Participants should agree that building consensus offers the best opportunity to resolve issues and construct a consensus decision.
- Ensure the process is inclusive. The process should include all affected persons (or their representatives) and should acknowledge and respect the interests and viewpoints of others.
- Allow participants to design the process. Participants should define the issues and objectives, set the agenda, and develop ground rules to govern the forum. Persons knowledgeable about facilitated negotiations may be useful to the parties in adhering to this principle.
- Encourage joint fact-finding. Participants should assure each other of equal access to information, build a common understanding of the issues in question, and gather and interpret information together (as much as is practical). If agreed upon by all, a subject matter expert may be employed to gather and analyze data for the group.
- Insist on accountability. Participants should be accountable to the ground rules, act in a trustworthy fashion at all times, report to their constituents on a timely and responsible basis, and keep the public and other decision makers informed of progress and accomplishments.
- Implement the agreement. Roles and responsibilities should be identified, commitment to implement the agreement should be clarified, and monitoring and evaluation strategy should be designed. Assure that the agreement has provision for resolving future disputes that may arise in connection with implementation of the agreement.
- Rely on a facilitator or mediator. Rely on an impartial facilitator to assess the situation, provide advice on process design, coordinate meetings, document agreement, and support action. The facilitator may have the necessary training and qualifications to lead the group through the mediation process should an impasse be reached. If not, select a mediator with the requisite skills and experience in similar situations to help the group work through the deadlock.

4.4 Working Through the Facilitated Negotiations Process

4.4.2 Objectives of the negotiation sessions

The objectives for the negotiation should be agreed upon by all the participating stakeholders and posted or referred to at each session. Negotiation sessions usually have three phases – opening, negotiating, and closing. Objectives for each phase are shown below.

- **Opening**
 - Identify issues, concerns, and interests.
 - Exchange information and determine if adequate information is available.
 - Gather relevant data (possibly through a neutral fact finder).
 - Improve communication and focus on common or compatible interests.



- **Negotiating**

- Listen and communicate rather than debate.
- Keep your constituencies (or organization or chain of command) informed.
- Explore and develop options.
- Develop criteria for decisions.
- Try other conflict resolution (ADR) options (mediation, early neutral evaluation, etc.) if impasse occurs.

- **Closing**

- Reach consensus agreement (all can live with, all can support).
- Write and sign the formal agreement.

4.4.3 Ingredients for Facilitated Negotiations Success

Although all the following are not necessary in every instance, prerequisites for successful facilitated negotiations usually include:

- Issues that are ripe for action, about which there is a sense of urgency.
- Careful conflict assessment (convening) to determine the dimensions of the problem, who the stakeholders are, and whether some form of facilitated negotiations may be an appropriate process to engage.
- Agreement of the participants on how the process will proceed and who the facilitator(s) will be.
- Education (if needed) of the parties on participating effectively in an interest-based, consensus negotiations process.
- Suspension of hostilities.
- Establishment of timeframes, target dates, and deadlines (this will produce momentum and reduce inertia).
- A capable, energetic, and qualified convener and facilitator (this may or may not be the same person or persons – the convener is generally appointed by the initiating organization, but the facilitator is normally selected by consensus of the participants).
- Sufficient time and resources.
- A workable number of participants (in large multiparty negotiations, this may mean a limited number of representatives from each stakeholder organization).
- Political support for the consensus-agreement process.
- Agreement on publicity. The parties should agree early on in the process whether information is to be made available to the public and press, and – if so – what information and who will provide it. These decisions should also be by consensus and should take into account applicable laws, the level of public interest, and the surrounding political climate.
- Willingness of the stakeholders to listen carefully to each other, obtain and examine relevant data, and look for options to meet as many identified interests as possible.
- The establishment of trust by good-faith-negotiating, improved relationships over time, and commitment to observing agreed-upon ground rules and procedures.



- A written consensus agreement (which meets legal requirements) on resolution of the issues, including
- An agreement on how to resolve future disputes
- Good faith implementation of the resolution agreement

4.4.4 Barriers to Facilitated Negotiations Success

Inattention to any of the applicable foregoing process steps or success ingredients may lessen the effectiveness of facilitated negotiations. Additional barriers could include:

- 1) Lack of commitment to the consensus process. Gaining consensus is often time and labor intensive. If any stakeholder seeks to gain information from the negotiations that will provide an edge in anticipated litigation, the process is likely to fail. Good faith participation is essential to viable consensual outcomes.
- 2) All stakeholders involved with or affected by potential outcomes must be parties to the negotiations. If some parties are not sufficiently organized or lack resources – and getting them to the table cannot be done – the issues should probably not be addressed in a collaborative agreement-seeking forum.
- 3) Lack of support from – and commitment of sufficient resources by – top management/decision makers in the participating organizations will indicate that true commitment to the consensus process is nonexistent. On the other hand, their support and involvement in the process will signal to other parties that they believe in collaborative decision making and are willing to invest considerable resources to support it.
- 4) Lack of consensus on the negotiation ground rules. If any one of the parties sets the ground rules unilaterally, other parties may suspect a lack of commitment to the consensus process.
- 5) A perception by any participant that the facilitator is biased can do serious injury to the process. This points up the critical importance of using a consensus process to select a facilitator who is viewed by everyone as neutral and objective and who has no possible stake in the outcome of the negotiations. (Note: In many cases it may be desirable, or even necessary, to have more than one facilitator. This is especially true in large multiparty disputes with multiple and/or complex issues.) Care must be taken to ensure that none of the parties asks or expects the neutral to represent their interests in any way. The facilitator is an advocate of the collaborative agreement-seeking process.

4.4.5 Agreement Writing

Given the unique nature of every situation, in which facilitated negotiations may be employed, it is impossible to prescribe a formula for writing agreements. Earlier in this chapter, guidelines for an agreement regarding how the negotiations are to proceed were suggested.

Many different formats are possible for final agreements, but experience indicates that the following key items should be identified:

- Each of the parties to the agreement.
- Specific actions to be taken, including mitigation of any unavoidable impacts.
- Criteria or standards to be followed in carrying out each action.
- Who is responsible for implementing each action item (one entity, or is there joint, cooperative implementation of some of the measures).
- Timing, target dates, or phasing for implementation.
- Finding responsibilities and commitments.



- Criteria for measuring the effectiveness of actions, penalties for non-compliance, and who is responsible for measuring success.
- Procedures for amending the agreement if it proves unworkable or if critical new information surfaces.
- A provision regarding confidentiality (if so desired by the parties).
- Confirmation procedures.

The heart of the final agreement is the consensus provision on each issue. The facilitator or a drafting committee may prepare a draft statement of the agreements. (composed of two or three participants), or the facilitator/drafting committee working together. Their draft should be sent to all participants and a reasonable comment period specified. After receiving comments, the drafters should synthesize the comments to the degree possible then present the amended wording of each agreement component at a meeting of all participants. If feasible, final consensus may be reached at that time. In many cases, however, some or all participants will need to take the amended draft back to their constituencies for buy-in before confirmation can occur. Also, the sponsoring agency may, in some cases, need time to put the amended agreement out for public comment before signing the final agreement. In other cases, agreements are signed contingent on completion of other processes such as environmental review.

During the first period set aside for comment, participants should consult their respective legal representatives to gain their perspective on the legal meaning and implications of each agreement component. Some participants have their attorneys attend some or all negotiating sessions. This has two advantages: the attorneys will become familiar with the consensus agreement process, and they will be able to advise their clients on a timely basis.

To be sustainable, agreements that have been reached should be “implementable” and should be technically, legally, financially, politically, culturally, and socially viable. If these criteria are not met, the agreement may fail. Finally, the agreement should specify a dispute resolution method for (1) matters that could not be addressed during the negotiations and (2) conflict during or after implementation of the agreement.

4.4.6 Evaluating Success

There are many ways to evaluate the success of facilitated negotiations. Looking for positive evidence of the following is an appropriate approach to evaluation:

- All participants feel they were successful in meeting their basic interests.
- Each participant feels that the others accepted their concerns as legitimate.
- All participants believe the process was fair and equitable.
- All participants are committed to implementing the agreements that have been reached.
- The principals or constituents whose support is necessary have accepted the agreements.

A relationship that can support implementation of the agreements has been established, and provision has been made for maintaining that relationship.

The participants would be willing to renegotiate in appropriate circumstances.

A good start on evaluation would be to include the foregoing benchmarks as objectives in the convening agreement. A written, follow up evaluation based on the items listed above could provide important data for improving the use of facilitated negotiations in the future.

Mediation: 3rd Party Assistance



5. Mediation

5.1 The Benefits

5.2 When to use mediation

5.3 How to get started?



5.1 Benefits of Mediation/ Grievance Committee

Mediation is a structured process of dispute resolution in which one or more impartial neutrals, with the consent of the disputants, intervenes in a conflict and assists them in negotiating a consensual and informed agreement. In practice, the focus is interest based. This means that the parties are asked to bring their needs and desires to the table; look together for common, compatible interests; examine the information that bears on their interests; create and explore options for meeting those interests; and adopt the resolution(s) each can live with and support.

The mediation process works because it creates a “neutral” environment for the parties to hear each other out, peacefully express conflict and vent their feelings, share information, and address underlying needs and problems. Without the structure provided by mediation – and without the management of a skilled, objective third party – many people in conflict are unable to communicate well enough to reach a mutually acceptable resolution.

Structure is particularly important when the parties have tried to reach a resolution through some other method and have come to an impasse. In such circumstances, one or more parties often feel injured or ignored.

Mediation has proven to be a good process to address such circumstances, especially when the parties expect to have an ongoing business relationship. Finally, mediation frequently preserves or enhances the relationship between or among the parties whether an agreement is reached or not.

Organizations have identified the following **benefits from using mediation** to resolve disputes.

- 1) Mediation is a voluntary process. That makes it attractive to many because it is their choice.
- 2) Mediation normally is a confidential process. The agreement to mediate, typically signed by all parties prior to mediation, usually states the participants’ commitment to keep everything in the mediation confidential. (Note: Public arena disputes may have exceptions to this general rule, but the exceptions should be explored and agreed to before mediation begins.) If the dispute is not resolved, the parties can go forward into an administrative or judicial procedure without fear what transpired during mediation will be used against them. The mediator must keep all information confidential. Nothing shared with the mediator in private meetings will be revealed unless the parties specifically permit disclosure.
- 3) Mediation may save time. The parties can move forward with mediation without delay. Adjudicatory forums have built-in delays that may extend conflict.
- 4) Resolution and settlement decisions are made jointly by the parties rather than handed down by an administrative entity or a court.
- 5) Resolutions are crafted to the interests and circumstances of the disputants rather than hinging on legalities or the interpretation of a noninvolved person. This creates ownership of the agreements reached, does not result in a “winner-loser,” and often educates the parties to work through conflicts unassisted in the future.
- 6) The parties have control. Decisions are placed in the hands of those who are affected by them and are in the best position to know their short- and long-term needs and goals.
- 7) Mediation offers greater flexibility than adjudicatory forums. It avoids looking at who’s right and who’s wrong and instead focuses on developing resolutions/settlements that address the underlying causes of the dispute. Judicial/administrative procedures are normally limited to judgments based on narrow points of law.
- 8) Mediation may reduce costs. Mediation (as well as partnering and facilitated negotiations) is generally less expensive over time than litigation and administrative adjudication. High quality mediators are usually less expensive than high quality lawyers. Taxpayers often benefit from mediation.



- 9) Relationships are often repaired and preserved through the mediation process. The process requires active listening and commitment toward mutual gains. Parties are often able to start the future with an appreciation of the views of other parties, and their mediated resolution often includes specifics on how they will deal with each other down the road.
- 10) Mediation does not take away anyone's rights. If mediation does not result in an agreement, each party is free to pursue matters further through administrative, judicial, or other means.

5.2 When to use mediation

Partnering, facilitated negotiations and mediation are all interest-based negotiating processes. As previously noted, partnering is primarily a conflict prevention approach, facilitated negotiations primarily a conflict management approach, and mediation primarily a conflict resolution approach. Earlier, we highlighted major differences between partnering and facilitated negotiations. Let's look now at the differences between facilitated negotiations and mediation.

In **facilitated negotiations**, the parties intend mutual resolution of issues. As long as progress is being made toward agreement, the facilitated negotiation process works well. **Mediation**, however, is normally used

When the parties are deadlocked. They've tried to resolve their differences consensually but have been unable to do so. They have determined that they are unable to proceed further without the help of a qualified mediator.

By recognizing those disputes that are appropriate for mediation, Reclamation managers may be able to achieve program goals more effectively. Mediation is an option in any dispute where a negotiated solution is an acceptable outcome – especially if the parties have previously been unable to settle matters between them.

In deciding whether to use mediation, managers should first consider their other options, such as an ongoing (usually uncomfortable) conflict, litigation or a decision imposed from the outside, continuing antagonism that distracts agency personnel from their priorities, or other possible alternatives to mediation.

5.2.1 Mediation is potentially useful in situations where:

- There is no need to establish a legal precedent (if there is legal precedence, litigation is appropriate).
- There is no single "right" solution that is required and unalterable.
- Tensions, emotions, or transaction costs are running high.
- Communication between the parties has broken down, or they have otherwise come to an impasse.
- There is a need for assistance in communication and information exchange.
- There is a need for creativity in resolutions.
- The parties desire to resolve the issues at the lowest possible level.
- The parties are willing to be candid with each other and negotiate in good faith.
- Despite differences, there is an overriding goal of a mutually satisfactory resolution.
- One or more of the parties (or their counsel) has made an unrealistic assessment of the case.
- Failure to agree does not clearly benefit one or more parties.
- Differences are such that individual parties have an interest in maintaining confidentiality with respect to key issues.



- The parties want or need to maintain some ongoing relationship.

Maximum results from mediation often are obtained when it is used early in a dispute, before the positions of the parties have polarized. When used as part of a formal administrative or judicial proceeding, mediation may occur before, during, or after discovery. In some Federal courts, mediation may be required for certain cases. More often, it is employed at the suggestion of a party of the presiding judge.

5.2.2 Factors which may make mediation inappropriate

As indicated above, there are many circumstances under which mediation may be a viable alternative for resolving disputes. However, ***the following conditions should also be considered before proposing or entering mediation.*** If one or more of these conditions cannot be resolved, mediation may prove ineffective.

- One of the parties cannot effectively represent her/his best interest and is not represented by counsel.
- One of the key stakeholders seeks to establish a legal precedent or insists on an adjudicated settlement for other reasons.
- A significant person is unable to be present at the sessions.
- There is a threat of criminal action.
- One or more parties want to delay a resolution.
- Discovery is needed.
- One or more of the parties suffers from serious personality or mental disorders.
- The matter(s) in question has a precedent value, significantly affects third parties or organizations not present at the mediation, a full public record is needed, or laws require the agency to maintain continuing jurisdiction over the matter.
- One or more of the parties is not willing to make a good faith effort to reach a mutually agreeable resolution through mediation.

5.3 Getting Started With Mediation

Once the decision has been made to consider using mediation, convening is begun to effectively set the stage. In summary, convening includes preparatory activities such as defining the issues, participant (stakeholder) identification, stakeholder education, meeting arrangements, and selection of an acceptable, qualified mediator. The person responsible for carrying out the convening function is often called the convener.

A well-trained convener is especially important when participation in the conflict management process (whether it be partnering, facilitated negotiations, or mediation) is voluntary and when the parties to an issue or dispute are not familiar with consensus decision making processes. The neutrality of the convener by all the stakeholders should be evaluated carefully. In some cases, an agency staff member close to the issue can serve effectively as the convener. In other cases, the convener should be an agency employee organizationally distant from the issue, an employee of another agency, or a private ADR practitioner. One role of the convener is to get the ADR process understood and accepted and begin the process of building trust with the stakeholders; thus, managers need to weigh the neutrality issue carefully when designing a convener.

Selecting a mediator is critical. You want someone who will understand why the dispute has not been settled and who will be well-equipped to help the participants overcome whatever those settlement barriers happen to be. A mediator with subject-matter expertise and experienced in the conflict arena may be more effective in helping the parties utilize the mediation process productively.



When the convening phase is completed and the agreement to mediate (when appropriate) has been signed, the mediation process can move forward.

5.3.1 Working Through the Mediation Process

▪ The Mediator's Role

At the outset, it's important to understand that a mediator cannot guarantee that an agreement acceptable to each disputant (and, where required, acceptable to the ultimate decision-maker inside a specific agency) will result from the mediation process. The mediator has no decision-making authority. Mediator should never offer legal advice to parties in dispute. Rather, they should refer parties to appropriate attorneys for such advice.

This same code of conduct applies to mediators who are lawyers. The role of a mediator should never be confused with that of an attorney, who is an advocate for a client.

Mediation is typically used when the parties have been unable previously through whatever means – to resolve their dispute. Often parties complain that others involved in the conflict have not really heard them, even though a great deal of discussion has occurred. An initial task of the mediator, then, will be ensuring that parties explain their needs, concerns, and issues and that hear and understand each other. (Hearing and understanding do not imply agreeing.) Mediators, then, must engage the parties in active listening – asking clarification questions and paraphrasing back what has been heard are two techniques – to ensure each is being heard. Once parties feel they have been heard, that they are often more inclined to look for overlapping interests and consider mutual gains resolution options.

Although typical mediation ground rules state that parties will treat each other with courtesy and respect, a necessary part of process is venting of anger, hurt, and frustration. The mediator must manage the environment to see that participants feel free to vent, feel that they will be

▪ Mediation: Third-Party Assistance to Resolve Disputes

Protected from excessive venting from other parties, and feel confident that the mediator will be able to guide them back to rational negotiations and problem solving. Carefully monitored by a skillful mediator, venting stops short of being destructive and eventually gives way to more rational negotiation. To put it more succinctly, the mediator must help parties get out of the emotional half of the circle and into the rational half.

Recognizing and adapting to variation in styles and culture, the mediator's role is to:

- Manage the process objectively
- Reduce obstacles to communication
- Hold everyone to the ground rules they've agreed to
- Help the parties define and clarify interests and issues
- Help parties examine appropriate information
- Helps parties create mutual gains options
- Assist parties in writing an agreement
- Provide follow up assistance to assure compliance

As stated earlier, the mediator can be from inside or outside, depending on the wishes and consensus of the parties. The general rule on mediator selection is this: If any party to the dispute has an objection to a particular mediator, find another mediator who is acceptable to everyone. Without such a consensus up front, the potential effectiveness of the upcoming mediation is compromised considerably. Despite this general rule, however, Reclamation may find it necessary and appropriate to select a mediator (or mediators) up front to convene and conduct complex, multiparty mediations. In such cases, the need to choose someone with impeccable credentials and unquestioned neutrality will be even more critical. In less complex conflicts with only a few parties, selecting a mediator may more appropriately be done by consensus.

A key role of the mediator is demonstrating to the parties that the critical issue is less who is right or wrong than how they can work together to reach agreements that meet their needs without necessarily conforming slavishly to their original positions. The mediator often helps the parties agree on realistic, objective standards (appraisals, precedent, or methodologies) by which to judge the merits of their claims. If asked to do so, the mediator can even review how an administrative law judge or other judge might view the strengths and weaknesses of their positions. Such a well-timed dose of objectivity by an “**agent of reality**” may be just what the parties need to bridge the gap.

Follow up assistance is critical and can usually be carried out best by a qualified mediator with experience mediating the type of dispute in question – but who has no perceived conflict of interest and no stake in the outcome, and is acceptable to all the parties to the dispute.

Another key role of mediator’s is pointed out in *mediation: A Primer for Federal Agencies*, a brochure published by the administrative conference of the United States.

Mediator must be **sensitive to cultural differences** between parties and must be able to assist the parties in communicating effectively within the parameters of those differences. This may require special preparation by the mediator and is a critical factor to consider when selecting a mediator. Lack of trust is often a vital concern – especially when cultural values and styles differ significantly – and mediators must be able to help create a negotiating environment where the parties feel it is safe to trust each other.

A mediator, like a facilitator, makes primarily procedural suggestions regarding how parties can reach agreement. Occasionally, a mediator may suggest some substantive options, or combinations of options, as a means of encouraging the parties to expand the range of possible resolutions under consideration. Any suggestions made by mediators must be made without the slightest hint of advocacy for any party if the mediator’s neutrality (and hence, effectiveness) is to be preserved. A mediator often works with the parties individually, in separate meetings – called caucuses – to explore the spectrum of possible resolution options or develop proposals that might move the parties closer to resolution. Caucuses often allow parties to discuss matters with the mediator they would feel constrained in sharing directly with others. Mediators assist the parties with options for bringing up sensitive matters to other parties in a respectful and productive fashion.

Mediators differ in the degree of directiveness, or control; they use to assist disputing parties. Some mediators set the stage for bargaining, make minimal procedural suggestions, and intervene in the negotiations only to avoid or overcome a deadlock. Other mediators are much more involved in forging the details of a resolution and may recommend such actions as retaining the services of a neutral fact finder. This happens when data is incomplete or contradictory or a subject-matter expert to prepare an early neutral evaluation (when the parties can benefit by knowing how a knowledgeable third party assesses various positions and proposed solutions). Both of these techniques can help the parties get past an

Regardless of how directive the mediator is, the mediator acts a catalyst to enable the parties to initiate progress toward their own resolution.

More than one mediator may be necessary in many conflicts. In large multiparty conflicts, it may take two or more mediators to communicate with all the parties and keep track of what each party is proposing and how they are reacting to the proposals of others. This is especially true when much of the mediation is done by a “shuttle” approach where the parties normally do not meet face to face. Co-mediators often add an effective extra dimension even in mediations that involve only a few participants. By dividing the mediator duties, co-mediators are often better able to keep notes, direct the process, and observe body language and other cues from all the parties than would a single mediator. In addition, one of the mediators may come up with a key suggestion or observation the other may have missed if performing all the mediator functions alone.

Finally, if the parties cannot reach an agreement even with mediator assistance, the mediator should make them aware of the deadlock and suggest the mediation be terminated. A mediator should not prolong unproductive discussions that result in increased time, emotion, and monetary costs to the parties.



▪ The role of the parties

The parties of the dispute must ***understand the process and be both willing and prepared to participate effectively***. The convener should have explained mediation thoroughly during the convening phase, but the parties have an obligation to seek further clarification if they are unclear about any aspect of the process.

The participants must be willing to make a good faith effort (share all relevant data, keep all commitments, etc.) to resolve the dispute using the process described by the mediator and must be willing to consider mutual gains options they may not have previously considered.

Participants must be authorized to negotiate for the party (organization, agency, group, entity or person) they represent. Such authority is necessary for the parties to act in good faith with each other and to avoid inordinate delays when checking back with decision-makers. Participants should also be in a position to make commitments for the party they represent, though often the group as a whole will set a reasonable time for representatives to consult with their constituencies' decision makers before committing to major decisions.

Participants should be clear on the issues to be mediated (usually identified during convening) and should have all information relevant to the mediation issues in hand and in a form understandable to the other participants. This is especially critical when effective agreements depend on acceptable scientific or other empirical data.

All participants should make a commitment to attend all sessions and abide by the ground rules. Some mediators set ground rules and ask permission of the parties to hold everyone to them. Other mediators get the parties to develop ground rules and agree to abide by them.

The parties should agree to keep discussions which take place at the sessions confidential. If the mediation involves high profile public interest issues, any information released to the public (whether released by the mediator or anyone else) or other sources should be agreed to in advance by consensus of the parties. Agreement should also be reached on whether media representatives can be present during mediation sessions. In some situations, statutory considerations make it illegal to exclude the media.

→ Ingredients for Mediation Success

Mediation is generally most effective when:

- Traditional processes are inefficient
- Cost of administrative or judicial resolution is high
- Avoiding of publicity is important or desired
- Maintaining a good future relationship is important
- The dispute involves factual and/or unprecedented issues

This is not to say that mediation is ineffective when these conditions are not present. Indeed, mediation has often worked when few, if any, of the above conditions were true. However, when they are applicable, the prospects for successful mediation are greater.

Other ingredients, which usually make mediation more successful, include:

- Sticking with the mediation process, even when it is not clear exactly where it is leading.
- Making concerted efforts to understand the other parties' view of the dispute.
- Using active listening and questioning to allow the parties to "walk in each others' shoes."
- Having evidence from each party that they care, and that they take what they hear seriously.



- Maintaining civility and respect between the parties and among the parties and the mediators.
- Having a strong desire to forge a better future.
- Being willing to suspend judgment while brainstorming options.
- Employing mediators with great skill in facilitating communications between the parties and who can keep the parties focused on issues rather than personalities or past grievances.
- Using mediators skilled at helping the parties find common ground and “bridge the gaps.”

→ Barriers to Successful Mediation

The following are barriers to the use of mediation:

- Lack of awareness of mediation as an option
- Lack of understanding of collaborative processes.
- Adversarial patterns of culture and context, such as familiarity with the adversarial approach and perceived value of the litigation model.
- Psychological barriers, such as overconfidence, conflict avoidance, competition, and the “fight or flight” syndrome.
- Structural and social parameters for decision making. For example, belief that collaborative processes are an illegitimate method for public decision making; the belief that entering mediation signifies failure; and concerns about giving up power, turf, and control.
- Lack of trust in collaborative processes. Lack of confidence in the implementation and enforceability of negotiated agreements may manifest this or belief that consensus on value-laden issues is not possible.
- Relationship difficulties, such as lack of trust or prior bad experiences with other parties.
- The nature of the subject matter. For example, the complexity and uncertainty of scientific data, the complexity and number of issues, and the adversarial climate surrounding the issues.
- Unwillingness of some stakeholders to use the process. This is often because of their desire to win, belief in being able to get better results elsewhere, or a motive to delay a decision by not entering negotiations.
- Limitations within stakeholder groups, such as lack of resources, internal division with a constituency, or limited organizational capacity.
- Funding and costs: who will pay, unequal abilities to pay, or budget structure barriers.

Many of these barriers can be overcome during the convening process. If some cannot, the feasibility of using mediation to resolve disputes becomes quite suspect.



▪ Agreement Writing

Mediators usually keep track of the proceedings and write the draft agreement when consensus has been reached, although other ways of writing the draft may be determined by consensus. As a minimum, the agreement should answer these questions:

- Will the parties and/or reviewers of the agreement have enough information to concur in the settlement?
- Are the terms of the agreement clear as to who, what where, and when?
- Do the parties have the authority to agree to what is specified in the agreement, and are all required legal matters addressed?
- Are there objective standards to indicate if responsible parties are parties in compliance with the agreement?
- Have any unique confidentiality concerns been effectively addressed?
- How will the settlement agreement be enforced?
- Does the agreement contain a procedure for resolving future agreement-related disputes?

Before the draft is written, the parties should agree on a timeframe/ deadline for completing review, finalizing the agreement, and securing the authorized signatures. The parties should also determine who would monitor the agreement.

Mediators have a responsibility to help the parties craft a resolution that is seen as fair and equitable by all parties. If an agreement is reached where the mediators feel is illegal or is grossly inequitable to one or more parties, is the result of false information, is the result of bad faith negotiating, is impossible to enforce, or does not look like it will hold over time, mediators may pursue one or more of the following alternatives:

- Inform the parties of the difficulties that the mediators see in the agreement.
- Inform the parties of the problems from the mediators' perspective and make suggestions that would remedy the problems.
- Withdraw as mediators without disclosing to any party the particular reasons for the withdrawal.
- Withdrawal as mediators but disclose in writing to all parties the reasons for such action.
- Withdraw as mediators and reveal publicly the general reason(s) for taking such action (bad faith bargaining, unreasonable settlement, illegality, etc.).

▪ Evaluating the Mediation Process

Since two of the main purposes of mediation are to (1) resolve disputes that the parties have previously been unable to resolve and (2) resolve disputes earlier than would be the case in an administrative or judicial forum, basic evaluation criteria are self-evident:

- Did the mediation outcome resolve all or most of the issues?
- Did the mediation prevent the parties from engaging in further adversarial proceedings?



Beyond these obvious questions, evaluation of the effectiveness of mediation should consider:

- Cost – what were the short – and long-range costs of this process versus other alternatives?
- Time – how did the total amount of time devoted to convening and conducting the mediation process compare to other available (and previously used) avenues for dispute resolution?
- Morale – what was the effect of the mediation process and its outcomes on the morale of Reclamation employees and other stakeholders?
- Relationships – did relationships between the parties improve or deteriorate during, and as a result of, the mediation process?

In evaluating a particular mediation event, keep in mind that not every problem or dispute can be resolved on a consensus basis. In most mediations however, the parties come to a better understanding of the interests and concerns of all parties involved. This increased understanding often leads to better communication and relationships in the future.

Selecting Neutrals: Partnership Facilitators, Negotiation Facilitators and Mediators



1. Selecting Neutrals

6.1 Deciding if you need a neutral facilitator or mediator

6.2 Selecting and Hiring neutrals



6.1 Deciding if you need a neutral facilitator or mediator

If a conflict or potential conflict is between two or more parties who have (1) a mutual high level of trust and (2) have been able to work through similar differences in the past, a neutral third party may not be necessary to successfully resolve conflict. Without these two factors, however, one of the keys to success is the use of neutrals. A neutral is defined as an individual who functions specifically to aid the parties in resolving a controversy. A neutral may be involved in the resolution of conflict as a convener to analyze the controversy and bring the parties together and/or when the parties have agreed to use an ADR process. Selection of the neutral (or neutrals) is normally, though not always, determined mutually by the parties. As discussed previously, however, the convening agency or organization in multiparty conflicts often selects and compensates the ADR practitioner to facilitate the convening process.

6.1.1 Selection Considerations

Assessment of the qualifications and suitability of an ADR practitioner to convene or conduct conflict management or dispute resolution process is often a difficult task. The professional dispute resolution community has labored over how to evaluate and certify ADR practitioners. Various approaches have been tried, but none have been accepted as the best way to evaluate or predict the potential success of a particular neutral in a particular situation. Some jurisdictions have used education and training as a basis for evaluation or certification, others have used membership in an organization (i.e., a bar association or professional mediation organization) as the principal criteria. Other groups have maintained rated lists of names of practitioners and have limited selection of practitioners to those on the approved list. Also, some certification bodies require understudy and training in specific subject matter.

The approach we recommend for selecting neutrals is often referred to as the “market place”. Market place refers to determining qualifications and suitability through references and word-of-mouth marketing. When a need for a neutral arises, those recommended neutrals should be checked out and compared through as reference process geared to the specific conflict.

6.1.2 Questions to ask a potential third-party neutral or trainer

In selecting a candidate to serve as a neutral facilitator or mediator, the interviewer should assess the candidate’s oral skills, demeanor, range of life experiences, and understanding of the process to be used. Through questioning, the interviewer should gain a sense of the candidate’s

- Tolerance for differing lifestyles and cultures
- Attitude towards involved groups or individuals
- Relative degree of comfort in dealing with emotionally charged exchanges
- Knowledge of subject matter related to the specific conflict

6.1.3 Facilitator/Mediator Qualities

Facilitators and mediators who possess the following qualities/attributes and skills/abilities are more likely to be successful as neutrals in conflict resolution processes than those who lack them.

- **Qualities/attributes**

An effective facilitator or mediator needs to be

- Impartial and fair and so perceived
- Persistent, indefatigable, and “upbeat” in the face of difficulties
- An energetic leader who can make things happen
- A leader whose personal demeanor engenders respect



- Patient, articulate, and able to use humor on a timely and appropriate basis
- Nonjudgmental and sensitive to the needs of others
- Able to keep calm when others are not

▪ **Skills/abilities**

- Organize a meeting, take notes, and keep participants focused on the agenda or process
- Assist participants in finding and sharing all relevant information
- Set a tone of civility and consideration in their dealings with others
- Use good listening skills
- Understand thoroughly the issues and facts of a dispute, including surrounding circumstances, and help participants analyze complex problems
- Know when to intervene and when to stay out of the way
- Clarify communications through paraphrasing, asking questions, and other means
- Demonstrate a thorough understanding of the interest-based negotiating process
- Create a structure for analyzing issues and solving problems
- Lead others from an emotional state of mind to a more rational, problem solving approach
- Write well and draft agreements in neutral language

▪ **Additional Qualities Needed by Mediators**

Since mediation is normally used when trust between the parties is low and impasse has been reached (or anticipated), the selection of a highly capable mediator is vital. Mediators are not vested with the legal authority of a judge or arbitrator, are not given scripts, and must rely on their own resources. Therefore, in addition to the qualities listed above, mediators must:

- 1) Inspire trust and motivate people to confide in them.
- 2) Be able to assess people, understand their motivations, and relate easily to them.
- 3) Be creative, imaginative and ingenious in helping parties develop proposals that will “fly” and know when to make such proposals. They must be problem solvers.
- 4) Be empathetic and able to convey a sense of concern and caring.
- 5) Be both rational and persuasive.
- 6) Be able to convince parties to “seek first to understand, then to be understood.”



6.2 Selecting and Hiring Neutrals

The following are specific questions you may want to ask potential mediators and facilitators. Keep in mind that your questions will need to be modified to fit the particular conflict management process you expect to use.

6.2.1 Questions for Neutrals

- 1) What is your background in alternative dispute resolution, consensus decision making, dispute prevention, and dispute management? What are your three most significant ADR experiences related to water resource, public policy, contracts, or workplace disputes? What lessons did you learn from each?
- 2) The general topics/issues in dispute are _____. What knowledge or experience do you have with those topics/issues?
- 3) Given the situation we've described how would you conduct or recommend that a conflict resolution process be conducted? (1) Principles of conflict meet face to face at all times? (2) Principles meet face to face in initial phases, then use caucuses as needed? (3) Principles meet in separate rooms with the mediator shuttling between the rooms? (4) Attorneys represent principles in style (1), (2), or (3) above?
- 4) For (as appropriate) partnering, facilitated negotiations, or mediation, how do you see your role?
- 5) What role do you see for attorneys in this case? Should attorneys be present during the negotiations?
- 6) How would you facilitate the size the size of the group anticipated for this case (_____ number of participants at _____ number of locations)?
- 7) How do you charge for your time? By the hour _____, the day _____, or the case _____?
- 8) Given what we've said about the particular conflict, would you see any potential conflict of interest for yourself and/or your firm?
- 9) Do you recommend more than one facilitator or mediator for this situation? If so, why and how many?
- 10) What professional organization that has standards for ethics and conduct do you belong to?
- 11) What references can you provide for past work similar to what we are anticipating

Exercises



Exercise I

Discussion Questions

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Stress Management

Objectives:

- Identify and understand, in general Occupational Stress;
- To identify procedures on job stressors and their consequences and job reduction;
- Identify and measure organizational stress;
 - Human factors inventory;
 - Work environment scale;
 - Maslach burnout inventory
- Identify causes and nature of stress at the worksite;
- Identify the ideal worksite stress management program;
- Identify, compare, measure and evaluate for worksite stress management programs;



Outline:

- 1. Introduction**
- 2. Organizational Stress and Health**
- 3. A Review of Organizational Stress Assessment Instruments**
- 4. Designing Worksite Stress Management Programs**
- 5. Creating and Maintaining Comprehensive Stress Management Training**
- 6. Measurement and Evaluation Methods for Worksite Stress Management Programs**

Introduction



1. Introduction

1.1 What is Occupational Stress?

1.2 Overall Assessment and Research Strategy



1.1 What is Occupational Stress?

Corporate and labor definitions of occupational stress were widely divergent. Stress is primarily a question of maladaptive personal lifestyles and poor “person-environment fits.” Alternatively, labor representatives portrayed stress as the product of organizational conditions that promoted loss of control, work overload, or under load.

In practice, these definitions often led management and labor to take quite separate paths in stress reduction programs. The corporate approach placed responsibility for managing stress on the individual, who was encouraged to relax, exercise, diet, and modify “Type A” behavioral patterns. Virtually all of these corporate stress management programs were linked to medical departments or to organization-wide health promotion campaigns, reflecting additional corporate priorities to reduce health care costs and to improve productivity. Labor’s response to stress emphasized strong health and safety contract language and active health and safety committees to enforce written agreements. Any effort, including organizing, grievance procedures, or employee involvement that effectively increased the worker’s control and autonomy at the shop floor or office level was considered a stress reduction strategy.

We emphasize that the term “stress” had become part of a political rhetoric that allowed each camp, labor or management, to choose a meaning which was friendly to its cause. We highlighted some maverick companies and unions that had crossed “enemy lines” to develop stress reduction programs that included both personal and organizational approaches within the same intervention.

Systems theory posits a hierarchical organization of biological, psychological, and social systems, or levels, each possessing unique resources, demands, and systems, or levels, each possessing unique resources, demands, and constraints. These systems are interrelated such that disharmony or change at one level of the hierarchy almost inevitably influences behavior at other levels. With respect to the work setting, the most obvious interaction takes place between an individual and the organization. This interaction has been described as an issue of “person-environment fit.” However, a systems orientation would also include other levels at which the fit of demands and resources might be out of balance (i.e., a specific work group and its physical setting, management policies and the entire organization, the organization and its relationship to other organizations in its particular industry, etc.). A systems assessment concerns itself with individual perceptions of strain, but also looks at pressures and changes in work groups and organizations over time.

In this view, exclusively corporate or labor definitions of occupational stress take place a narrow focus on selected levels of the systems hierarchy. The corporate stress reduction effort might be successful at helping the employee to exercise but, if it does nothing about toxic fumes in the physical environment, it may make little difference. Similarly, a union representative who wins a reduction of overtime hours for an employee and then stands by while he or she uses the new free time to increase his/her drinking also does a partial job.

Table 1.1 Occupational Stress Evaluation Grid (OSEG)

Levels	Stressors	Formal	Informal
Socio-cultural	Racism, Sexism Ecological shifts, Economic downturns, Political changes, Military crises	Elections, Lobbying/political action, Public education, Trade associations	Grass roots, organizing Petitions, Demonstrations, Migration, Spouse employment
Organizational	Hiring policies, Plant closings, Layoffs, Relocation, Automation, Market Shifts, Retraining, Organizational priorities	Corporate decision, Reorganization, New management model, Management consultant	Social activities, Contests, Incentives, Manager involvement & ties with workers, Continuing education, Moonlighting

Work Setting	Task, (time, speed, Autonomy, creativity) Supervision, Co-workers, Ergonomics, Participation in decision-making	Supervisor meetings, Health/safety meetings, Union grievance, Employee involvement, Quality circles, Job redesign/training	Slow down/speed up, Redefine tasks, Support of other workers, Sabotage, theft Quit, change jobs
Interpersonal	Divorce, Separation, Marital discord, Conflict, family/friend Death, illness in family, Intergenerational conflict, Legal/financial difficulties, Early parenthood	Legal/financial services, Leave of absence, Counseling, Psychotherapy, Insurance plans, Family therapy, Loans/Credit unions, Day care	Seek social support/ advice, Seek legal/financial assistance, Self-help groups, Vacation/sick days, Child care
Psychological	Neurosis, Mental illness, Disturbance of Affect, Cognition or Behavior, Ineffective coping skills, Poor self-image, Poor communication, Addictive behavior	Employee assistance(referral/in house), Counseling, Psychotherapy, Medication, Supervisory training, Stress Management, Workshop	Seek support from friends, family, church Self-help groups/books, Self-medication, Recreation, leisure, Sexual activity, "Mental health" days
Biological	Disease, Disability Sleep, Appetite Disturbance, Chemical dependency, Biochemical imbalance, Pregnancy	Pre-placement screening, Counseling, Medical Treatment, Health education, Employee assistance, Maternity leave	Change sleep/wake habits, Self-medication, Cosmetics, Diets, exercise, Consult physician
Physical/ nvironmental	Poor air climate, Noise exposure, Toxic substance exposure, Poor lighting, Radiation exposure, Poor equipment design, Bad architecture	Protective clothing/ equipment, Climate control, Health/safety committee, Interior decoration, Union grievance	Own equipment, decoration, Walkman, radio, Consult personal physician, Letter of complaint

1.2 Overall Assessment and Research Strategy

1. Contact labor and management representatives for potential collaboration.
2. Define work units and organizational structure. Outline demographics.
3. Identify representatives within work units for interview.
4. Develop work history interview format. Select relevant survey items.
5. Interview work unit representatives about work experiences. Administer trial survey. Feedback of results to work unit representatives for verification.
6. Finalize stressor survey based on interview data and representative input.
7. Contact employees and survey organization about work-related stressors. Feedback of results to the entire organization.
8. Devise a stress response survey specific to work units and to identify stressors.
9. Survey work units about responses to work-related stressors. Feedback of results to work units.



10. Compile stressor-response results and formulate profile of organization.
11. Identify stressful event for organization, using management and labor assistance.
12. Survey work units about stressors and responses related to stressful event, again using instruments specific to work units and identified stressors. Feedback of results to work units and organization.
13. Devise intervention at work group level to deal with stressful events, based on survey responses.
14. Identify another stressful event for organization, this time implementing intervention strategy.
15. Survey work units about response to stressful event and effectiveness of intervention strategy. Feedback of results to work units and organization.
16. Compare stressors-responses to both stressful events.
17. Attempt to establish this research-intervention strategy as an ongoing organization process, with individuals trained to implement it.

Table 1.3 OSEG Assessment of an Urban Hotel

OSEG Level	Sample Stressors:	Sub-scale Labels:
Socio-cultural	<ul style="list-style-type: none"> • Gender or race discrimination • Economic downturn/recession • Seasonal business cycle • National labor relations climate 	
Organizational	<ul style="list-style-type: none"> • Corporate ownership/structure • Labor negotiations • Staffing and hiring policies • Layoff/reclassification • Management ethos 	<ul style="list-style-type: none"> • Job security • Satisfaction with management policy • Satisfaction with management practice • Cost-cutting
Work Setting: Interpersonal	<ul style="list-style-type: none"> • Multiple supervision • Management style/competence • Work structure/norms group • "Outsiders" 	<ul style="list-style-type: none"> • Upper management positive • Upper management negative • Lower management • Co-worker relations
Job Characteristics	<ul style="list-style-type: none"> • Unpredictable scheduling • Conflicting demands • Time Pressure • High demands/additional duties • Low decision latitude • Inadequate supplies / equipment • Heavy lifting and pushing 	<ul style="list-style-type: none"> • Scheduling • Job overload • Autonomy • External control
Physical Environment	<ul style="list-style-type: none"> • Climate Extremes • Poor Ventilation • Hazardous situations 	Physical demands

	<ul style="list-style-type: none"> • Poor recreational facilities • Poor quality food • Uncomfortable positions 	
Family/Social	<ul style="list-style-type: none"> • Schedule interference • Child care responsibilities • Financial difficulties • Dual-career or blended families 	
Individual: Psychological	<ul style="list-style-type: none"> • Emotional experience of work Mood/memory changes • Career/job expectations • Lack of control/helplessness • Motivation 	<ul style="list-style-type: none"> • Positive emotion • Negative motion

Organizational Stress and Health



2. Organizational Stress and Health

2.1 Job Stresses and Consequences=

2.2 Job Stress Reduction



Workers in increasing numbers are claiming that stress in the workplace has caused them some form of disability. Stress for many (also those in the scientific community) is a complex and nebulous construct implying numerous events and processes.

Occupational stress as a field of inquiry examining job conditions and their health and performance consequences is a relatively new research domain crystallizing in the early 1970's. Its conceptual roots, however, can be traced to the early animal research work on the physiological concomitants of emotion. In the early 1930's discovered that a wide variety of noxious stimuli (which he later referred to as stressors), such as exposure to temperature extremes, physical injury and injection of toxic substances evoked an identical pattern of physiological changes in his laboratory animals. In each case, the cortex of the adrenal gland became enlarged; the thymus and other lymphatic structure became involuted and deep-bleeding ulcers developed in the stomach and intestines. These effects were "non-specific" in that they occurred regardless of the nature of the insult and were superimposed upon any specific effects associated with the individual agents. Some years later, this was described as a somatic response as the General Adaptation Syndrome (GAS) and defined stress as the non-specific response of the body to any demand made upon it. His mention of "nervous stimuli" among the "stressor" agents capable of eliciting the GAS had an energizing effect on those working in the field of psychosomatic medicine.

The scientific groundwork has earlier been laid for an understanding of how various emotional states affect physiological functions and disease states by describing the "fight or flight" response. This response, evoked by potentially dangerous situations, included elevated heart rate and blood pressure, a redistribution of blood flow to the brain and major muscle groups and away from distal body parts, and a decrease in vegetative functions. Perhaps equally important was the pioneer concept of physiological homeostasis and developed the use of an engineering concept of stress and strain in a physiological context. In particular, the proposal of the notion of critical stress levels that were capable of producing strain in the homeostatic mechanism. Stress is, therefore, conceived of involving physical as well as emotional stimuli.

2.1 Job Stressors and Their Consequences

2.1.1 Job/Task Demands

Workload is a feature of occupations that is easily recognized as "stressful" and has therefore received substantial empirical attention. Working excessive hours or holding down more than one job (or both), for example, has been associated with coronary Heart disease (CHD) morbidity and mortality. Studies showing a correlation between workload and serum cholesterol levels also seem to suggest a CHD/workload relationship.

Recent evidence, however, has suggested that the amount of work does not seem to be as critical to health as the control the worker has over the work rate and related work processes. Workers in jobs with higher workload and pacing demands, and lower control over these demands, have increased risk of coronary heart disease, higher blood pressure, and smoke more than employees in jobs without these characteristics.

Shift work is another job demand thought to have health and safety consequences. There is substantial converging evidence that night and rotating shift schedules, in particular, can lead to sleep disorders, gastrointestinal disorders, emotional disturbances, and increased risk of occupational injury. The primary mechanism responsible for these effects appears to be disruption of biological rhythms resulting in physiological and biochemical disturbances. Shift work also has behavioral effects that can impact health, including altered sleeping patterns, increased alcohol and tobacco use, and altered eating habits.



2.1.2 Organizational Factors

Numerous job stress studies have examined the psychological and physical effects of roles within work organizations. Some of these factors include:

- Role ambiguity (i.e., lack of clarity about objectives associated with the work role, expectations concerning the work role and about the scope and responsibilities of the job) experienced low self-confidence, higher job related tension and lower job satisfaction.
- Role conflict (i.e., conflicting job demands) were found to experience more job related tension and to report less job satisfaction. A recent meta-analysis of 96 studies has not only confirmed these relationships between role conflict, ambiguity and affective reactions, but has suggested that these role stressors are also related to absence and poor job performance.
- Various management styles, such as the allowance of little or no participation in decision-making, lack of effective consultation, restrictions on behavior, etc. are organizational features that also have been viewed as potentially stressful. Of these, lack of participation in decision making has received the most research attention. Early field studies demonstrated that greater participation in decision making led to greater job satisfaction, lower turnover, better supervisor-subordinate relationships, and increased productivity. Moreover, in a nationally representative sample of nearly 1,500 workers, nonparticipation at work was found to be significantly related not only to low self-esteem and low job satisfaction but also to overall poor physical health, escapist drinking, depressed mood and absenteeism.
- Factors related to career development have also been linked to health consequences. These include over promotion, under promotion, incongruent status, and lack of job security, fear of redundancy, obsolescence or early retirement. One of the most potent of these stressors appears to be ambiguity about one's job future. For instance, uncertainty about continued employment has been found to be related to low job satisfaction, low life satisfaction, low self esteem, escapist drinking and overall poor physical health.
- Relationships at work with one's colleagues; supervisors and subordinates have been identified as sources of job stress. For example, the most common sources of stress for a sample of 5,000 managers included inadequate support by supervisors, ineffective performance by supervisors, and conflict and ambiguity about what's expected.

2.1.3 Physical Conditions

- Adverse environmental conditions appear to be associated with health disorders in a synergistic way by exacerbating the overall job demands placed on employees, thus lowering worker tolerance to other stressors and decreasing worker motivation. Conditions like excessive noise, heat or cold, poor ventilation, inadequate lighting and ergonomic design deficiencies have been associated with employee physical and psychological health complaints and with attitudinal and behavioral problems. It is also no coincidence that outbreaks of mass psychogenic illness typically occur in workplaces which employees view as physically uncomfortable.

2.1.4 Moderating Factors

- As alluded to earlier, there are a number of personal and situational characteristics that seem to lead to differences in the way individuals exposed to the same work context perceive and/or react to the situation. These "moderators" are depicted in Figure 1 in the blocks labeled "Individual Factors," "Non-Work Factors," and Buffer Factors," and are discussed separately below.



2.1.5 Individual factors

- The most widely discussed personal characteristic contributing to stress at work has been the coronary prone Type A behavior pattern characterized by intense striving for achievement, competitiveness, time urgency, excessive drive and over commitment to vocation or profession. In the past decade alone, many investigators have reported the Type A pattern to be independently associated with coronary artery disease. There is also extensive evidence that Type A persons show more severe and widespread coronary arteriosclerosis on coronary arteriography. While static measurements have shown no differences in heart rate and blood pressure between Type A's and their opposite Type B personality type, Type A's upon exposure to various laboratory stressors, have been shown to exhibit more pronounced cardiovascular responses. Such findings have suggested to a number of authors that an interaction between various job stressors and type A characteristics may produce reactions which ultimately lead to heart disease.
- The hardy personality style is another individual characteristic thought to mediate the stressor illness relationship. Hardy persons are believed to possess various beliefs and tendencies that are very useful in coping with stressors. These include tendencies toward optimistic appraisals of events and decisive actions in coping. Hardy persons have been found to report less illness in the face of stressors in both a retrospective and prospective study of executives.
- Stage of career development, while little studied, may also affect the stressor illness relationship. Extensive work experience, for example, may moderate worker response to negative events at work. Indeed, several studies have shown a positive correlation between age and work satisfaction. This has been interpreted to indicate that worker expectations of what is to be derived from work activity decrease with experience in the working world. Conversely, however, older workers may be more vulnerable to certain physical and mental job demands.

2.1.6 Non-Work Factors

Workers clearly do not leave their family and personal problems behind when they go to work nor do they typically forget job problems upon returning home. Nearly all models of job stress, in fact, acknowledge non-work factors and their potential interaction with work in affecting health outcomes. While some investigators have incorporated generic stressful life events scales into job stress surveys, these scales provide only rough indications of social, familial and financial stressors. It is quite clear that greater attention needs to be paid to these kinds of factors.

- Interpersonal, marital, financial, and child-rearing stressors as well as other non-work situations can exacerbate existing job stressors to promote acute stress reactions.
- Alternatively, the absence of such extra-organizational problems may make a less than satisfactory job situation more tolerable (less stressful) and can impede the development of stress reactions.

2.1.7 Buffer Factors

A number of factors are known to weaken the stressor-acute reaction link and, therefore, reduce the occurrence of ill-health outcomes. Such factors are generally offered to as buffers.

- One of the earliest buffer variables examined in job stress research was social support. Workers who report high levels of social support have fewer health complaints than comparably stressed workers with low social support. The source of support also appears to be important. Social support from one's supervisor or spouse was found to be more effective than support from co-workers or from friends or relatives. Support was also found to buffer the effects of stress on some health condition (e.g., neurosis and ulcers) more than on others (e.g., angina).



- Another potent buffer is coping. Coping is not a trait or disposition but is a continuous, transactional process which is modified by experience within and between stressful episodes. Further, a specific coping strategy, which can serve to alleviate stress in one situation, may be maladaptive in other situations. Coping responses people use is a function of the social and psychological resources at their disposal. Social supports and psychological resources (e.g., mastery and self-esteem) are what people draw upon in developing coping strategies. Research has shown that these resources vary by sex, educational level, and income such that men appear to have more psychological resources than women do and use them to develop more effective coping responses. In the same way, the better educated and the more affluent possess more resources and a wider range of coping alternatives.

What is more important, aside from what people actually do to cope with stress, is the relative effectiveness of coping responses. A coping response effective if it buffered the relationship between stressors and strains. The authors concluded that no single coping response was strikingly protective across life and work areas, but that having a larger and more varied coping repertoire was effective in reducing stressor/strain relationships. In this regard, the effectiveness of problem-focused vs. emotion-focused coping for buffering ill-health seemed to be a function of the controllability of the stressor, coping of any type being relatively ineffective in situations beyond the individual's control.

Particularly important in the present context was finding that while various coping responses were effective in the areas of marriage, child-rearing, and household finances, coping was strikingly ineffective when applied to occupational coping may be due to the impersonal nature of work and the lack of worker control over stressors.

It is clear from the foregoing that the coping responses which workers use may increase decrease, or have no effect on stressor/health relationship. Those which increase or decrease stress reaction need to be factored into job stress assessments to instrument to increase ecological validity and "fine tune" descriptions of stressor/health relationship. Coping behaviors, which have no buffering effect, provide insights into the types of stress reduction strategies, which are likely to be successful.

2.2 Job Stress Reduction

Despite the complexities in job stress research, the merits of both individual-oriented, and to a lesser extent, work environment-oriented approaches to reduce stress have been explored. Given the conceptual framework emphasizing the subject element of stress presented earlier, it is not surprising to find that most stress reduction studies in the literature have focused on the individual rather than the organization and have used individual-oriented outcome measures to assess program success. Such studies have clearly supported the efficacy of various types of stress management training in reducing psychological and self-report signs of stress (Murphy, 1984). These techniques, applied in work settings, have a distinctive preventive flavor with an emphasis on imparting training skills to symptom-free workers. Accordingly, stress management is considered a health promotion activity rather than a strategy to relieve stress problems in troubled workers. Stress management has an important place in job stress reduction efforts because it addresses the issue of individual differences in the perception of events as stressful and can be useful in reducing reactions to work and no work stressors that interact with individual characteristics to produce health consequences.

While studies of individual-centered stress management approaches have steadily increased over the past 10 years, efforts to reduce or eliminate the sources of stress in work settings remain relatively sparse in the published literature. Reasons for this discrepancy seem straightforward: individual-oriented strategies are easy to implement, can be evaluated in the short term, do not require disruptions in production schedules or organizational structure, and fit nicely with management's view of stress as an individual-worker problem (Neale et al 1982). Individual strategies also ride the coattails of the expanding interest among employees in health promotion/disease prevention programs which focus exclusively on individual lifestyle/behavioral change to improve health (DHHS, 1979, 1980; Parkinson, 1982).



At the same time, organizational change approaches require an accurate, valid assessment of work factors which generate undue stress, and an extensive knowledge of the dynamics of change processes in social organizations (e.g., Alderfer, 1976) so that potentially undesirable outcomes can be minimized. At the same time, organizational change strategies can be expensive and disruptive interventions, making them less palatable to management. Nevertheless, job redesign and organizational change approaches focus on reducing or eliminating the sources of stress at work and, hence, are preferred solutions.

Organizational strategies which have potential for preventing or reducing stress include quality circles, which bring bench-level works into the decision-making process, worker representation on health and safety committee, more extensive training programs for workers whose jobs are being altered by the introduction of new technology, alteration of communication channels within an organization, and creation of more psychologically humane evaluation systems to replace ones that are either archaic or ones that monitor employee performance in a Big Brother fashion (e.g., computer monitoring of keystrokes). These interventions, however, have not been subjected to rigorous scientific evaluation, perhaps owing to some of the problems mentioned earlier. Evaluation schemes for such interventions should include an element of cost/benefit in addition to assessments of workers satisfaction, job stressors, performance, absenteeism, and health status.

The foregoing sections have described a growing knowledge base on occupational stress and health. Though the area is complex, and much additional research is needed, it is quite clear that organizations can no longer afford to ignore the human and organizational costs of stress. Instead, it has become increasingly mandatory for organizations to understand and endeavor to deal with it.

A Review of Organizational Stress Assessment Instruments



3. A Review of Organizational Stress Assessment Instruments

- 3.1 Human Factors Inventory (HFI)
- 3.2 Work Environment Scale (WES)
- 3.3 Maslach Burnout Inventory
- 3.4 Indirect Measures



Table 3.1 The Personal and Organizational Effects of Occupational Stresses

Personal	
Alcohol abuse	Anxiety
Drug abuse	Psychosomatic diseases
Emotional instability	Eating disorders
Lack of self-control	Boredom
Fatigue	Mental Illness
Marital problems	Suicide
Depression	Health breakdowns (cardiovascular, etc.)
Insomnia	Irresponsibility
Insecurity	Violence
Frustration	
Organizational	
Accidents	Inflated health-care costs
Thefts	Unpreparedness
Reduced productivity	Lack of creativity
High turnover	Increased sick leave
Increased errors	Premature retirement
Absenteeism	Organizational breakdown
Disability payments	Disloyalty
Sabotage	Job dissatisfaction
Damage and waste	Poor decisions
Replacement costs	Antagonistic group of action

3.1 Human factors inventory (HFI)

The Human Factors Inventory (HFI) is a 162-item organizational climate survey (Jones, 1983; Jones and DuBois, 1985). The HFI is used by businesses to assess various forms of occupational stress.

The HFI has the following six scales: Job Stress, Job Dissatisfaction, Organizational Stress, Stressful Life Events, Life and Health Risks, and Accidents Risks. Test-retest reliability coefficients (one-week interval) for these six scales are .91, .90, .89, .89, .88, and .87, respectively. Each of these scales is briefly described below. In addition, two specialty scales – the Technostress Scale and the Distortion Scale – are also briefly described below. Norms exist based on over 100,000 employees representing hundreds of different companies and job types.



▪ Job Stress

This scale identifies the average level of job stress that employees are experiencing at an individual level. General signs of job stress include feelings of frustration, boredom, irritability, nervousness and “burn-out” at work. Physical signs of job stress include headaches, stomach upset, backaches, chest pains, chronic fatigue, and sleep difficulties. Employees who score in the higher risk ranges are also less productive, they have higher rates of illness and absenteeism, and they often think about leaving the company. Finally, they feel that work-related pressure contributes to tension in their family. Sample items include: “I experience too much pressure on my job.” “I have lost efficiency on my job.”; and “I feel burned out on my job.”

▪ Job Dissatisfaction

This scale assesses how dissatisfied employees are with various aspects of their job. Dissatisfaction with the following areas is assessed: Job, pay, promotional opportunities, co-worker-relationships and overall management effectiveness. Sample items include: “I am very satisfied with my job.” “This company is well managed.” “I am paid adequately for what I do.” and “We have a good team relationship in my department.”

▪ Organizational Stress

This scale assesses employees’ perceptions of organizational stress. This scale identifies whether departments have unacceptable levels of organizational tension. Some general signs of organizational stress that are measured by this scale include poor productivity, interpersonal conflicts, departmental tension, excessive absenteeism, accidents and mistakes, and a perception that employees are distressed. Employee dishonesty, waste and on-the-job alcohol and drug misuse also assessed. Sample items include: “My department is understaffed.” There is more absenteeism and tardiness in my department than usual.” and “Staff turnover is high in my department.”

▪ Stressful Life Changes

This scale measures the amount of stressful life changes that employees have experienced in the past 12 months. Examples of stressful life changes that are assessed include taking on debts; an illness, injury, or death of a loved one; and major changes in job duties at work. This scale provides a measure of personal stress. Most companies request a stress survey that can differentiate between job stress and personal stress.

▪ Life and Health Risks

This scale measures lifestyles and health habits that increase the risk for unnecessary injuries, illnesses, and premature deaths among employees. Examples of such risks include lack of exercise and relaxation, unsafe driving practices, poor nutrition and weight control, smoking, alcohol abuse, and so on. Sample items include: “I get a thorough physical examination each year.” I try to prevent work stress by exercising and participating in recreational activities.” and “I get approximately eight hours sleep at least four nights a week.”

▪ Accident Risks

This scale measures four human factors that contribute to accidents and errors. The four factors are:

- An inability to cope with stress
- Poor safety attitudes
- A tendency to worry about job performance, and
- An inability to manage time.

Sample items include:

- “Are you always safety conscious?”
- Do you feel hurried or rushed to complete deadlines at work?”; and
- “Do you feel fatigued during the workday?”



▪ **Technostress**

Countless employees have claimed that working with Video Display Terminals (VDTs) is an adverse experience. Many employees are wary of the potential health hazards of VDTs. This wariness leads to unnecessary stress. This scale measures how much “technostress” employees who work with VDTs experience. Some specific signs of technostress include headaches from VDT use, fear of radiation exposure, eye irritation and fatigue, muscle aches and pains, and emotional discomfort and stress. (Employees who do not use VDTs are excluded from any analysis with this scale.) Sample items include: “Do you get headaches from VDT use?” “Do your eyes become irritated and fatigued from VDT use?” and “Does working on a VDT cause you any emotional discomfort or stress?”

▪ **Distortion**

This scale identifies the percentage of employees who are truthful with their responses. It identifies the number of employees who attempt to “fake good” or “fake bad” on the human Factors Inventory.

3.1.1 Interpreting HFI Scale Scores

The HFI takes approximately 30 minutes to complete. It is given to all company employees. Participation is both anonymous and voluntary. The HFI survey results are then computer scored and compared to the national norm. An organizational “stress quotient” is computed for each company. This comparison allows companies to determine if their employees are above or below a national average in terms of their stress reactions and coping skills. The inventory also indicates in which jobs or departments employees are experiencing the most stress.

The major findings of the Human Factors Inventory are derived from analyzing the survey data on three levels:

1. Overall results for each scale for all company employees combined;
2. Analyses by employee subgroups (e.g., job titles, departments, locations, demographic variables); and
3. Response frequencies for individual items. HFI percentile scores ranging from 0 to 100 are plotted for each subscale. Higher scores mean greater risk. The following guidelines are used when interpreting all subscales:

Percentile Range	Description
0 – 20% (Very Low Risk)	The average employee is coping better than 80% or more of the employees represented in the norms. This is probably due to better coping skills and less exposure to stressful situations.
21 – 40% (Low Risk)	The typical employee is coping better than 60 to 79% of the employees in the normative sample.
41 – 60% (Average Risk)	The average employee is coping just as well as the average employee represented in the norms. The typical employee in this group is no worse or no better than the typical employee from normative sample. That is, scores in this range mean that employees have both coping skills and coping deficiencies.
61 – 80% (High Risk)	Scores in this range mean that there are opportunities to reduce stressors and improve coping skills. That is, the typical employee is coping worse than 61 to 80% of the normative sample employees. Interventions are needed for these employee groups.
81 – 100% (Very High Risk)	Active interventions are definitely needed for these employee groups. The average employee is coping worse than 81 – 100% of the employees represented in the norms. This is probably due to poorer coping skills and more exposure to stressful situations.



In brief, work groups with percentile scores greater than 50 are experiencing above average levels of stress. Groups with percentile scores less than 50 are experiencing below average levels of stress. A score of 60 or more indicates critically higher levels of stress and should serve as a warning to companies that worksite stress management programs are definitely needed.

3.1.2 Validity

A test or survey is valid when it predicts those behaviors and outcomes that it was designed to predict. A number of validation studies have been conducted with the HFI (Jones and DuBois, 1985). A selection of five of this is presented briefly below.

In one study, 150 employed college students completed the HFI and made anonymous admissions of accidents, injuries and illnesses. Results showed that higher scores on the HFI (higher scores mean more stress and poorer coping skills) significantly correlated with higher rates of on-the-job accidents, minor injuries, major injuries, minor illnesses, major illnesses, and days of work missed due to injury and/or illness. Higher HFI scores were also associated with more frequent use of medical facilities. Finally, higher HFI scores were associated with poorer productivity and tendencies to look for a new job. This study was replicated with over 6,000 employees who represented hundreds of different job titles.

Forty-two employees who reported on-the-job injuries to an occupational nurse participated in another validity study. All employees worked for the same company. Reported injuries typically fell into one of four categories: Falls and trips, lifting strains, lacerations, and miscellaneous (e.g., smashed finger, infection of unknown origin, hematoma from dropping cabinet on foot, etc.). All injuries required medical care and time off from work. All of these occupationally-injured employees completed the HFI to further test the hypothesis that employees who get injured at work experience more job stress and dissatisfaction than their co-workers.

Obtained results supported the hypothesis. Statistical analyses showed that the injured employees, on the average, experienced higher levels of job stress, job dissatisfaction, and organizational stress compared to a control group of over 1,000 co-workers. In addition, the injured employees encountered more stressful life changes during the past 12 months compared to the control group. These findings support the hypothesis that employee stress is related to more on-the-job accidents and injuries.

A second part of this study examined the stress levels of a group of workers who engage in a high level of wellness behaviors. From the theory of stress, it is expected that employees who engage in the regular use of stress management techniques and maintain healthy lifestyles (i.e., regular exercise, good nutrition, strong social support network, etc.) will be more resistant or hardy when exposed to normal or high levels of stressors.

To assess the sensitivity of the HFI to measure groups with high levels of wellness behaviors and expected low levels of distress, 80 practitioners of the Transcendental Meditation Program were surveyed with the HFI and compared both with the norm group and with the injured employees. As expected, the meditating group displayed significantly lower levels of job and organizational stress than either the norm group or the injured workers.

Also, their scores on the Accident Risks, Job Dissatisfaction, and Life and Health Risks scales were significantly lower than the other groups. The scores on the Stressful Life Changes scale showed no significant differences, indicating that the level of life stressors were similar. The lower levels of stress re-activities measured by the Job and Organizational Stress scales can be presumed to be due to the increased level of stress coping skills rather than a lower level of stressors.

The relationship between HFI scores and levels of chronic back pain was assessed with 518 hospital employees in another validity study. Employees indicated how often they experience distressing backaches and pains. Back pain and injury is a leading cause of workers' compensation claims. Obtained results show that approximately 21% of all employees experience high rates of backaches and pains. Only 13% of employees reported that they "never" experienced back pain (see Table 3.2).



Table 3.2 Relationship between HFI Scores and Chronic Back Pain

Pain Frequency	Sample Size	Percent of Total
Never	69	13.3%
Rarely	181	34.9%
Sometimes	161	31.1%
Often	83	16.0%
Always	24	4.6%
TOTAL	518	100.0%

The relationship of HFI job stress scores to frequency of back pain is presented in Table 3.2. A very strong relationship between stress and back pain is documented. That is, employees who report higher levels of job stress also report significantly more back pain. In fact, the employees (N = 24) who report that they “always” experience back pain also suffer from critically high levels of job stress (i.e., Job Stress = 90th percentile). Finally, the HFI was administered in 17 hospitals. Stress scores were compared to a number of hospital loss indices. Statistically significant results showed that hospital departments that had higher stress levels had higher rates of turnover, employee injuries, worker’s compensation claims, and risk for medical malpractice compared to the hospital departments with lower stress. In addition, a very strong relationship was obtained between HFI stress scores and frequency of back pain, thus replicating Study Four.

The results of these validity studies indicate the companies that use the HFI to assess corporate stress can be assured that higher HFI scores indicate a higher risk for loss due to accidents, injuries, illnesses, medical claims, poor productivity, turnover, and acts of negligence. Stress management training, at both the levels of the individual employee and the organization, should lead to lower rates of stress-related accidents and losses.

Case Study

This case study describes how the HFI was used to control losses in the hospital industry. Approximately 1,500 employees from a southeastern hospital anonymously completed the HFI on company time. These employees represented over 40 hospital departments. Analyses revealed that three clinical medicine departments (e.g., surgical nursing, anesthesia, and pharmacy) exhibited critically high levels stress on the HFI Job Stress, Job Dissatisfaction, and Organizational Stress scales. Analysis of these departments’ insurance loss statistics revealed that a number of malpractices claim ranging from \$50,000 to over \$100,000 had recently been filed. Item analyses of the HFI stress scales helped to identify a number of organizational stressors (e.g., poor communications, ineffective management, understaffing) that the hospital administration was willing to correct now that a connection between high departmental stress and risk for medical malpractice was established. Moreover, the hospital administrators admitted that they were “suspicious” about these high-risk departments, yet they did not know where to begin to remedy the situation. Administration was now receptive to a number of different work site stress management programs.

Another finding showed that employees in the general services department at the hospital (i.e., housekeeping, laundry, maintenance) had extremely high personal stress scores, as measured by HFI Stressful Life Changes scale. This same department also had nearly \$100,000 in workers’ compensation losses for the year preceding the stress assessment. This finding prompted the hospital to implement an Employee Assistance Program (EAP) that provides opportunities for professional counseling to chronically distressed employees and their families. This case study documents how the HFI can be used in a hospital setting to control losses. A summary of some of the other ways in which the HFI has been used in industry if provided below:

1. Focus Efforts. Employee groups at greatest risk of having stress-related accidents, injuries, or illnesses are identified. Some possible solutions to their situation are provided. Companies can then direct their training and development dollars to where the need is greatest.



2. Pinpoint Strengths and Weaknesses. Companies get a clear picture of how well the employees and managers are coping with stress compared to a national norm group. Companies can determine whether certain jobs or departments experience more or less stress than others. They can see if important human factors, such as job stress and employee wellness, cause their employees to be more susceptible to accidents, illness, poor productivity, and premature death.
3. Create Awareness. Just by administering the HFI, employees feel management is interested in improving the quality of their work life. In turn, employees become more motivated to manage stress and seek wellness in their lives.
4. Employee Involvement. The HFI opens up an invaluable communication channel between all levels of employees and management. Such employee involvement leads to improved morale, especially when employees see that their input helped to facilitate the implementation of work site stress management training programs.
5. Evaluate Progress. Results presented in one year's HFI profile can be compared with the results of future employee profiles to develop a clear measurement of progress. Study after study indicates that a reduction in employee and corporate stress, followed by an increase in both job satisfaction and employee wellness, should lead to a decrease in the following areas: Medical claims and accidents, illness, turnover and absenteeism, theft, sabotage, and poor productivity. Such decreases should be reflected in improved employee morale, better organizational efficiency, and higher corporate gains.
6. Prevention. Finally, the HFI can be used to identify potential stress-related loss areas before they cause any significant level of loss.

3.2 Work Environment Scale (WES)

Dr. Rudolf Moos developed the Work Environment Scale in order to assess the quality of worklife and stress levels in many types of work units. The WES is described in depth elsewhere (e.g., Moos, 1981). Some key features of this organizational climate survey are described below.

The standard WES consists of 90 items that make up 10 subscales. Normative data have been collected over 1,400 employees from general work groups and over 1,600 employees from a variety of health care work groups. Test-retest reliability coefficients (one-month interval) are all in an acceptable range, varying from a low of .69 to a high .83, depending on the subscale.

3.2.1 WES Subscales

The 10 WES subscales assess 3 underlying dimensions of organizational functioning: The Relationships dimension, the Personal Growth dimension, and the System Maintenance and System Change dimensions. The subscales that comprise each dimension are described in Table 3.3.

Inspection of Table 3.3 reveals that the WES subscales can be used to assess organizational stress levels and major organizational stressors. For example, the Work Pressure subscale assesses the experience of workplace stress and tension. Examples of items on this subscale include: "There is constant pressure to keep working." "People cannot afford to relax." "It is very hard to keep up with your work load." There always seems to be an urgency about everything." The Involvement subscale is also an excellent measure of employee stress. This subscale determines if employees are concerned about committed to their jobs (low stress) or if workers are apathetic about and uncommitted to their jobs (high stress). Examples of items on this subscale include: "There's not much group spirit; A lot of people seem to be just putting in time; It's hard to get people to do any extra work; Few people ever volunteer."



Table 3.3 – WES Subscales and Dimensions Descriptions

Relationship dimensions	
1.	Involvement. - the extent to which employees are concerned about and committed to their jobs.
2.	Peer Cohesion - the extent to which employees are friendly and supportive of one another.
3.	Supervisor Support - the extent to which management is supportive of employees and encourages employees to be supportive of one another.
Personal Growth Dimensions	
4.	Autonomy - the extent to which employees are encouraged to be self-sufficient and to make their own decisions.
5.	Task Orientation - the degree of emphasis on good planning, efficiency, and getting the job done.
6.	Work Pressure - the degree to which the press of work and time urgency dominate the job milieu.
System Maintenance and System Change Dimensions	
7.	Clarity - the extent to which employees know what to expect in their daily routine and how explicitly rules and policies are communicated
8.	Control - the extent to which management uses rules and pressures to keep employees under control
9.	Innovation - the degree of emphasis on variety, change, and new approaches
10.	Physical Comfort - the extent to which the physical surroundings contribute to a pleasant work environment.

The WES also can be used to assess organizational stressors and stress buffers. For example, management can be considered a stress buffer if favorable scores are obtained on the Supervisor Support subscale and as a stressor if unfavorable scores are obtained on this subscale. Similar interpretations can be made with the Peer Cohesion, Task Orientation, Clarity, Control, and Physical Comfort subscales.

3.3 Maslach Burnout Inventory (MBI)

The Maslach Burnout Inventory (MBI) measures staff “burnout,” a syndrome of emotional exhaustion and cynicism that occurs frequently among chronically distressed “people workers” (Maslach, 1982). Hence, the MBI is appropriate for use with police officers, counselors, teachers, nurses, social workers, psychiatrists, psychologist, attorneys, physicians, and agency administrators. The MBI is thoroughly described elsewhere (e.g., Maslach and Jackson, 1981).

The MBI consists of three regular subscales and a fourth optional subscale. The four subscales are:

1. The 9-item Emotional Exhaustive subscale (e.g., “I feel emotionally drained from my work.”);
2. The 5-item Depersonalization subscale (e.g., “I feel I treat some recipients as if they were impersonal ‘objects’.”);
3. The 8-item Personal Accomplishment subscale (e.g., “I feel I’m positively influencing other people’s lives through my work.”);



4. The 3-item, optional, Personal Involvement subscale (e.g., I feel I'm personally involved with my recipients' problems.")

These four subscales are scored separately. They have been proven highly reliable and have been validated against numerous criteria under a variety of validation strategies (Maslach and Jackson, 1981). For instance, Barad (1979) found that caseloads were significantly correlated with more intense feeling of burnout among Social Security employees.

3.4 Indirect Measures

Some companies might not have access to organizational stress surveys for a number of reasons, one being financial. For these companies, there are a number of indirect measures of stress that can be used to identify high-risk work groups.

Insurance claims data are often related to organizational stress (Jones and DuBois, 1985). Companies can analyze workers' compensation costs, medical costs, and the frequency and severity of accidents in order to determine if there are more losses than usual or more losses compared to similar types of companies. Other indirect measures include turnover and productivity data. Ideally, this data can be analyzed across time and by different work groups in order to identify an aberrant pattern of losses that can be linked back to job stress. Corrective actions could then be taken.

Designing Worksite Stress Management Programs



4. Designing Worksite Stress Management Trainings

- 4.1 Causes and Nature of stress at worksite
- 4.2 Stress Management Training Programs at Worksite
- 4.3 Evaluation of Stress Management Programs
- 4.4 Future Directions



Increased interest in stress management training programs delivered in the workplace has accelerated because of:

- Recognition that job stress represents a significant and growing health problem as well as a mounting major expense for American industry.
- Increasing understanding of the mechanisms of actions that link stress with various illness syndromes and somatic complaints.
- Improved methodologies for identifying and evaluating stress in the workplace.
- Improved implementation and validation of various stress reduction techniques.
- Evidence that stress management training programs is not only cost effective for corporations but also increase employee satisfaction and relationships with management, and improves quality of life in the workplace.

4.1 Causes and Nature of Stress at the Worksite

Job stress can have many roots and causes. Some of these are environmental and arise from annoying physical problems at work such as crowding, noise and air pollution, and possible exposure to potentially hazardous substances. Others may relate to the nature of the occupation. The common denominator here is often being placed in a situation, which demands considerable responsibility without commensurate authority or decision making capability or not being able to express your true feelings and get things off your chest. Dull, dead-end, assembly line type or work, or having a job which does not permit full use of one's talents and potential or where constant deadlines do not permit enough time to get the job done to one's satisfaction may prove particularly stressful for large groups of individuals in middle management positions.

Stress at work can also be due to the individual's own personality, a good example imposed unrealistic goals that are inflexibly pursued. Such individuals may themselves be vectors of stress at work as their aggressive and sometimes hostile behavior produces adverse repercussions on co-workers and customers. More often, it is not the individual or the job per se but rather a mismatch between the two in terms of basic goals, needs, and values that causes continuing problems. Stress at work may also have its real roots outside the workplace because of family or financial problems, which lead to alcoholism, depression, or anxiety that affect activities and performance on the job. Some common factors that contribute to job stress are (Rosch, 1984b):

- Inadequate time to complete the job to one's satisfaction.
- Lack of clear job description or chain of command.
- Absence of recognition or reward for good job performance.
- Inability or lack of opportunity to voice complaints.
- Lots of responsibilities but little authority or decision-making capability.
- Inability to work with superiors, co-workers, or subordinates because of basic differences in goals and values.
- Lack of control or pride over the finished product.
- Job insecurity due to pressures from within or possibility of takeover or merger.
- Prejudice and bigotry due to age, sex, race, or religion.
- Unpleasant environmental conditions because of smoking, crowding, noise and air pollution, exposure to toxic chemicals or carcinogens, or commuting difficulties.



- Concerns related to responsibility for employees.
- Not being able to utilize personal talents or abilities effectively or to full potential.
- The FUD factor - fear, uncertainty, doubt.

Most formal stress reduction programs concentrate on using various methods to reduce physiologic and somatic responses to stress by the use of meditation, progressive muscular relaxation, biofeedback, yoga, exercise or similar interventions and combinations. Obviously, the ability to identify sources of stress and eliminate or mitigate them provides a more effective approach to the problem. Coordinating such efforts with instruction in behavioral modification providing coping skills, assertiveness training or taking advantage of other aspects of an overall employee assistance program that deals with other psychosocial problems would appear to represent the most effective and comprehensive approach. It is important to keep each of these multifaceted aspects in mind when attempting to construct or evaluate stress management training programs for industry. As noted previously, many stress reduction efforts offered by corporations are not identified formally, as such but is included as part of larger company policies, programs, and benefits. Schwartz and co-workers at the Department of Psychology at Yale University have developed a comprehensive analysis of the problem that acknowledges all the above pertinent variables. This is summarized in the form of an occupational stress evaluation grid, which analyzes and categorizes stressors from such varying viewpoints and highlights strategies, which have been developed to deal with them.

4.2 Stress Management Training Programs at the Worksite

As part of this review, we attempted to identify, categorize, and evaluate stress management training programs offered to workers. This required reviewing the literature supplemented by a series of written and telephone inquiries based on various leads and prior contacts. There were few new programs identified and very little additional information relative to new long-term results or controlled studies. There was a general absence of criteria for assessing the efficacy of any such intervention. Most efforts considered primarily of educational programs designed to acquaint workers with the role of stress in health, and illness, sources and causes of stress, nature of stress related symptoms, and diagrams illustrating stress reduction techniques. In a few instances there were also lectures, symposia, or workshops lasting from several hours to several days. Such programs were usually implemented at the worksite or at conference centers, and hotels, occasionally in the form of a "retreat." In larger organizations tend to be administered by company personnel, and/or outside consultants. In some instances vendors offer packaged programs that utilize slides, descriptive material, case histories and audiocassettes. Most commercial programs attempt to provide participants with individual stress profiles based upon responses to self report questionnaires, standardized psychological assessment instruments, or the use of a standard or modified Holmes-Rahe Rating Scale. On occasion a specially constructed questionnaire was designed to focus on a particular occupation or worksite. Stress management training was usually provided in the form of meditative or autogenic techniques to induce general relaxation, and to a lesser extent, behavioral and cognitive approaches. In some instances, biofeedback services were available. Encouraging jogging, aerobic exercises and dancing and participation in sports represented the most common approach.

4.2.1 Physiologic Techniques

Most standardized stress management programs utilize procedures designed to assist the individual in dealing with environmental demands that cannot be avoided. One example is progressive muscular relaxation, which is achieved by contracting and then relaxing various muscle groups in the body in a systematic fashion. The original technique described by Jacobson (Jacobson, 1929) has been modified in many ways so that attention is also directed to accompanying such exercises with relaxing thoughts and images, as well as a tranquil breathing pattern. Other forms which include Autogenic Training (Luthe, 1969) place a greater emphasis on sensations such as limb warmth or heaviness to achieve this effect and many use visual imagery in conjunction with physical relaxation.



A variety of meditative measures are frequently employed. These range from specific Eastern techniques to the simplified “Relaxation Response” (Benson, 1975), which utilizes a repetitive deep breathing pattern and associated focus on a word or phrase with each expiration. It has been suggested that this induces a suppression of arousal responses somewhat antithetical to the “flight or flight” reactions. Practicing individuals seem more adept at resisting intrusive stressful thoughts or unpleasant external stimuli throughout the day as well as during the procedure. In rare instances, transcendental or Siddha meditation or yoga have been taught and utilized. A brief technique, known as the “Quieting Response” (Stroebe, 1982) consists of a combination of deep breathing and muscular relaxation combined with visual imagery for ten or fifteen seconds. It is easy to learn and can be used several times a day, especially when stressful situations are anticipated or encountered.

In sites where biofeedback training is available, individuals learn to develop self control over a number of physiological activities previously thought to be entirely involuntary. The most frequent techniques utilize frontals muscle tension, fingertip temperature, and electrodermal response. Special electronic sensors located at appropriate anatomical sites generate a signal that is converted into electrical activity. This input is then transformed into either an auditory or visual cue, which varies correspondingly with the degree of activity. By receiving such information on a continuing basis, individuals quickly become aware of body processes, which were previously unknown and can recognize stimuli or feelings, which produce consistent changes in a certain direction. By repetitive training and reinforcement of measures which reduce muscle tension or raise fingertip temperatures, a state of relaxation can be induced (Brown, 1977). In clinical practice, patients with tension headaches or Raynaud’s disease have been successfully taught to abort attacks by reducing muscle tension or warming their fingertips as soon as early warning signs appear. Similarly, successfully learning and practicing strategies can reduce many other stresses related symptoms. Biofeedback does require specialized equipment and trained personnel and generally requires individualized instruction. Consequently, it is not as cost effective as meditation, muscular relaxation or autogenic training which can be taught to groups of individuals.

4.2.2 Cognitive Training

Behavioral modification is another method used to reduce exaggerated or inappropriate responses to stress. One example is assertiveness training, which is designed to provide individuals with more effective control over their activities. This approach emphasizes the development of appropriate assertive techniques to facilitate communication of personal needs and requirements. It is particularly useful in dealing with difficult interpersonal relationships, such as a need for change in job assignment since it reduces the anger and anxiety often associated with such situations. Other behavioral techniques are directed towards improving skills and communication, time management, and assistance in career development to more fully utilize potential skills and talents. In clinical practice, reduction of Type A coronary prone behavior has been reported to be the most effective method of preventing recurrent heart attacks (Friedman, et al., 1984). Increased use of techniques to reduce coronary prone behavior can be anticipated as soon as training programs and methodologies become standardized. However, this requires specially trained personnel and outside of one or two research efforts, no formal programs are available in training programs in this technique. In general, behavioral modification utilizes role-playing, observation, self-report feedback, and other behavioral therapy techniques and can be effectively taught in a group setting.

Improving cognitive skills may also provide important stress reduction benefits. This approach is based on the assumption that harmful stress responses often result from the individual’s past experiences in terms of appraisal of threatening situations. Very often, it is not the external event itself, but rather the individual’s perception of it that causes problems. Cognitive training is designed to assist individuals in learning how to reappraise stressful situations by logic and reasoning rather than emotional reactions that have been ingrained by past habits. Often, this involves emphasis on developing improvement of self-esteem and personal worth.

4.2.3 Physical Fitness

Physical fitness is far and away the most popular method utilized to deal with stress in the workplace. This may take varied forms ranging from lunch hour or other company sponsored walking and jogging groups, aerobic dancing or exercise classes, or encouraging the use of community or in-house fitness facilities where specialized muscle building equipment is available. Proponents of jogging claim that regular running dissipates the build up of stress related to hormones and provides a period of quiet time for personal reflection, free from the intrusion of usual external noxious stimuli.



Some enthusiasts believe that the repetitive sound of footsteps facilitates the induction of a meditative state or that this particular aerobic activity induces a “spiritual high” by the release of small brain peptides such as the endorphins. In general, physical fitness programs require comparatively little expenditure of funds or specialized personnel and can be adapted to a variety of situations and occupational resources.

Reduction of psychosocial stress in the form of counseling services, weight reduction, cigarette smoking, alcohol and substance abuse, and financial and family problems are also benefits provided by many corporations or unions. Other employee programs, which sharply reduce costs for legal assistance, medical and dental care, drug treatment, or by providing expanded insurance coverage are also offered. The increasing use of flex-time, in which personnel have more flexibility in determining working hours, and making baby sitting services available for working parents with preschool children are other types of stress reduction benefits. In addition to reducing workers' anxiety and expenses, they also improve employee company relationships by fostering a sense of caring and concern.

4.3 Evaluation of Stress Management Programs

Both because of their heterogeneity and rather imprecise parameters of efficacy, as well as lack of control groups, proof of the success of stress management training intervention is difficult to obtain. There is little additional information that can be added to the excellent reviews by Murphy (Murphy, 1984) and the Yale – NIOSH Occupational Stress Project (Neale, et al., 1982), and several comprehensive and informative studies recently published (Fielding, 1984; O'Donnell and Ainsworth, 1984; Quick and Quick, 1984). However, there are presently several ongoing programs to develop and systematically evaluate the health as well as economic benefits of health promotion programs with an emphasis on stress since it is such a pervasive concern.

Criteria for efficacy of stress reduction interventions should include assessment of such parameters as:

1. Decreased health costs
2. Decreased absenteeism
3. Decreased employee turnover
4. Increased productivity
5. Self-report indicators of
 - a. better quality of life
 - b. improved employee interrelationship
 - c. improved ability to cope with stress
 - d. improved relations with the organization

On entry a “health screen” allow individuals to examine how healthy their current lifestyles are. Following this, the concept of the program is explained in depth and a variety of action programs are offered to assist with smoking cessation, stress management, exercise, nutrition, weight control, and general health knowledge. These are all integrated closely with established medical programs such as hypertension detection and control and other employee assistance activities. A two-year epidemiological study was designed to evaluate the success of the program using several criteria, which were evaluated annually. These included biometric observations such as blood pressure, body fat, weight, estimated maximum oxygen uptake, and blood lipid values. Behavioral in terms of smoking, alcohol use, physical activity, nutrition, job performance, and interpersonal relations were also recorded. Attitudinal alterations were assessed in terms of sense of general well being, job satisfaction, company relationships, quality of life in the workplace, and improved health attitudes. Four divisions received the complete “Live for Life” program, while 5 served as controls, offering only the health screen to their employees. Approximately 4,000 employees were involved in the epidemiological study group. Unfortunately, a randomized, prospective control trial was not attempted since the educational program facilities for lifestyle improvement were available to all workers. Thus, it would have been impossible to keep individuals randomly assigned to a control group from escaping the effects of this intervention. Random assignment of company sites was also not possible.



Preliminary findings on the cohort of employees, which did complete both the baseline and one year health screen, did suggest ability to achieve significant and meaningful improvement. Obviously, programs such as Live for Life require a major commitment on the part of the employer as well as personnel, equipment, and other resources frequently not available to many organizations. Control Data has spent "well over \$10 million" in its six year Stay Well program in which 50,000 employees nationwide are offered classes on coping with stress, nutrition, etc. However, benefits and savings are difficult to quantify or accurately estimate and that very question bothered the Director of Health Services. In a recent New York Times article (Mirvis, 1985), he was quoted as saying, "Businesses don't know what the return is on any of their employee benefits. What's the return on an extra week of vacation? So why hold wellness programs to such a test?"

However, stress management techniques that can be utilized in almost any industrial setting have also been studied and determined to provide significant benefits. One such program was conducted at the New York Telephone Company for some 160 volunteers who reported high stress (Carrington, et al., 1980). On entry, the subjects completed form A of the 16 personality factor inventory, the SCL-90-R (Derogatis, 1981), and a pretreatment attitude compliance questionnaire. The same instruments were used to measure progress at the end of 6 weeks and again at 5 ½ months. Thirty-eight subjects were assigned to one of three treatment groups utilizing clinically standardized meditation, Benson's Relaxation Response, and progressive muscular relaxation. A control group of 40 received no specific instruction. The techniques were taught through audio taped instructions with supplementary reading material, which the participants reviewed at home. The techniques were practiced twice daily for 15 to 20 minutes and at the end of 2 weeks specially trained

4.4 Future Directions

Clearly, management, labor unions, and various occupational organizations have become increasingly aware of the importance of job stress and are expressing increasing interest in programs to reduce its causes or combat its effects. Rapidly rising worker compensation claims for all sorts of job stress as well as increasing payroll costs for health related insurance and expenses would undoubtedly accelerate this trend. Detailed analysis of specific occupational stress related problems have been noted in a variety of surveys including stress and burn-out in the schools, operating railroad engineers, law enforcement officials, air traffic controllers, editors, and graphic arts design personnel. Such studies may be particularly useful in formulating specifically targeted programs.

Using an inexpensive simple questionnaire offered by the American Institute of Stress can approach analysis and differentiation of such sources of stress. This utilizes and correlates responses to some 75 questions designed to measure anxiety, depression, hostility, ability to express emotions, Type A behavior with various aspects of perceived job stress. A computerized printout is generated which provides insight into whether the problems arise because of the nature of working conditions, as opposed to personality, or behavioral characteristics, or a mismatch between the two.

While we have seen that simple stress reduction techniques may provide across the board benefits, stress management techniques ideally should be matched with the requirements of the organization and the population being served. In some instances, emphasis may need to be placed on problems such as job security or career management. For maximum effectiveness, workers should ideally play an active role in program selection, design, and evaluation. Progress is more apt to be made by beginning starting with a small focused intervention program for a specific target group that allows evaluation of efficacy and costs. This can be enlarged in stepwise fashion as results indicate the need for various modifications or greater emphasis in specific areas. This approach seems preferable to instituting a large multifaceted smorgasbord of services. Existing facilities should be utilized whenever possible and this can usually be accomplished with respect to exercise or fitness programs. On the other hand, it may sometimes be more efficient and economical to take advantage of existing community based exercise programs such as those offered by local YMCA facilities. These often provide other counseling services with respect to diet, nutrition, smoking cessation, hypertension detection, and management of low back problems. It is particularly important that any program provide built-in evaluation techniques to assess the efficacy of the intervention. This requires the participation of randomized control groups and long term follow-up assessment.



Companies can best embark on such programs by learning from the experience of others, particularly organizations of similar size and demographics that have instituted successful programs. An useful resource in such information gathering is the newly formed National Health Network which maintains a current computerized database accessible to businesses, through a toll free number (1-800-322-1234), for locating health promotion services available in their respective geographical location.

Creating & Maintaining Comprehensive Stress Management Trainings



5. Creating and Maintaining Comprehensive Stress Management Trainings

5.1 Introduction

5.2 An Ideal Program

5.3 Summary



5.1 Introduction

There is little doubt that stress management training has, over the past few years, become the most popular form of training available in American organizations. Its popularity is likely to continue, as people recognize that they are under more stress than is good for them, and that there are specific things they can do to combat the effects of excessive stress.

Whenever a training topic becomes popular, large numbers of full and part time trainers begin to offer the training as part of their repertoire. Often, the result is that the topic becomes just another program from the training department. When this happens, the training program generally has little impact. It is likely that with increasing popularity, the quantity of stress training programs increases and the quality and impact of such training decreases in proportion. At this point, most of those employed as trainers in America have at least a "stress module" in their repertoire, while those trained in health protection and health care are just beginning to join in on the training ventures.

Another related problem is that most trainers keep themselves too busy conducting training programs to do any serious follow up impact studies on their work. Thus, at this point, relatively little is known about the relative impact of various approaches to conducting stress management training.

One of the basic questions, which should be asked, of a suggested stress training program is "what is the true purpose of the training?" Often, these programs are created in organizations as palliatives or as one-time efforts. They are the "thing to do", or it is felt that management has done its "bit for humanity" in offering stress courses – and therefore, they need not worry further about the unnecessarily stressful environment they have created. My findings (Adams, et. al., 1983, 1984) about these kinds of training efforts have been that people are forced to protect themselves from their organizations. In six month post-training follow up studies, for example, I have found consistently that people will be getting more exercise, eating better, relaxing more, and so on, while feeling less satisfied and fulfilled at work and less supported on the job. When this finding is explored further, one finds that the stress training taught people to see clearly how minor managerial adjustments could reduce the level of unnecessary stress in the working environment. When they make suggestions, however, they are told to mind their own business or are ignored.

A large proportion of stress programs is sold by the trainers to their companies, and is offered as this year's "trick". When this is the case, the programs are most often not thought through carefully, but are merely added to the trainer's repertoire. Such programs generally have little if any long range effect.

If a stress management program is to have a strong impact on both health and performance, it needs to be conceived in and built on the clear purpose to make the system (organization) less unnecessarily stress provoking to cope and to thrive.

There are two basic life orientations, and the one, which predominates in the individuals offering the program, will have a major impact on how the program is conducted and whether or not it is effective in the long run. One of these, the Reactive-Responsive orientation, places the locus of control outside the individual as s/he reacts to stimuli from the environment and responds as effectively as possible to the constraints s/he faces. Programs based on this orientation will teach a lot of techniques for managing stress, but will contain the implicit message that stress comes from the environment and "you'll just have to make the best of it". Participants are not likely to derive long term benefits from such an approach. Rather, the approach will ultimately reinforce their feelings of powerlessness to cope effectively with a "hostile" environment.

The other is the Creative orientation, which views each individual as being the predominant creative force in her/his own life. Programs based on this orientation will focus on the underlying patterns in each person's consciousness which are the major determinants of what the person is getting from life. It will also teach participants how to develop creative orientations within themselves. Basic to this orientation is the individual's fundamental choice to be healthy. If an individual does not make this choice, stress management tricks are not likely to be particularly useful in the long run. A stress program, which is based mostly on the creative orientation, is more likely to have a lasting impact on participants than is one based solely on the Reactive-Responsive orientation. (For a detailed development of these orientations, see Fritz, 1984.)



Comprehensive stress management programs must focus on both the individual and the system (Adams, 1981). On the individual level, there needs to be an external focus on avoiding or removing unnecessary stressors and on coping effectively with those stressors, which are unavoidable (or the individual chooses not to avoid). In addition there needs to be an internal focus on health protection and enhancement and on attitudinal orientation as suggested in the previous paragraph.

These same considerations (removal, coping, and health protection) also must be considered on the systems or organizational level. What can be done within the organizational system to remove or avoid inducing unnecessary stressors? In general, the answer to this question has to do with minimizing novelty (surprise, uncertainty) associated with the introduction of necessary changes and modifying stress provoking organizational norms. What can the organization be doing to equip members to handle necessary stressors effectively (e.g. effective problem solving, availability of training courses)? And finally, in what ways other than the stress management training programs can the organization encourage good health habits?

In summary, the “ideal” stress management program receives managerial support across the organization. There is a feedback loop created in which systems-oriented ideas for reducing the number of unnecessary stressors and for coping effectively with the necessary ones are encouraged and taken seriously. The training programs themselves encourage and foster the creative orientation referred to above in which individual organization members learn to operate from the fundamental choices to be creative and to have full and vibrant health.

5.2.1 Conceptualizing the Program

Clear, understood, and accepted goals are an essential starting point for an effective stress management training program. When the goals of any training program are unclear, the program results are bound to be diluted. Griffen, et. al. (1982) have suggested six criteria for setting goals for an effective stress management training program:

1. Make the goals as specific as possible
2. Make the goals measurable
3. Ensure that the goals are realistic/attainable
4. Include both individual and organizational benefits
5. Elicit the support and endorsement of top management
6. Focus on attitudinal adjustments, modifications of behavior, skills to be acquired.

The absence of clear goals, or desired results, is probably the most frequent cause of low impact stress training. The above criteria should provide the program initiator with sufficient guidance to undertake a highly successful program.

One should note at this point that the second criterion is that goals should be measurable. This is essential to the establishment of an effective evaluation process. In fact, if the evaluation of the impact of the program is to be useful, it must be designed at this point, prior to the conduct of the program.

Once the goals are clear, they can be broken down into specific program objectives. The format for establishing goal related objectives advanced by Loughary and Hopson (1979), outlined below, and are a very useful one.

GOALS/ OBJECTIVES	KNOWLEDGE	SKILLS	ATTITUDES
Review present responses to stress	Understand framework for stress management	Able to identify own warning signals	It's necessary for me to take Responsibility
Etc.	Etc.	Etc.	Etc.



- **Acquiring System Support**

If one can negotiate the key goals of the program with top management, and then identify the specific objectives associated with each, the design and development of the program usually fall nicely into place. When this goal/objective setting step is rushed or overlooked, the design and development phases generally take much longer and the resulting program is generally lacking in focus.

As has been stated, top level support is crucial for a stress management program to have lasting impact on the participants and on the organization. With this support, feedback loops can be created by means of which the “system” can respond to ideas and issues, which emerge during the course of the training.

It is also possible, with such support, for the stress management training program to actively consider how the culture of the organization is both an asset and a liability to effective stress management. For example, if one of the elements of the organization’s culture which people identify as stressful is that no one ever gives any performance feedback except when mistakes are made, there is little hope of engendering more positive performance feedback without the active involvement of senior managers.

When solid support from management is lacking, the nature of the stress management training is necessarily different. Rather than including a systems perspective on how to respond to the stressors in the working environment, one must focus the training primarily on teaching the participants to protect themselves from their own organizations.

One of the most effective ways to elicit top management support is to present a statistical summary of the costs of unaddressed stress. Such summaries are relatively easy to construct, as national health statistics are readily available from the Center for Disease Control, plus many on the popular books on stress and health published over the past 10 years. One can also easily access the trend in the organization’s health care payments for the last several years in most organizations. In some cases, more specific stress related health care costs are available within the organization (turnover and absenteeism rates, prevalence of hypertension, etc.). With a little more digging, the hidden overhead costs for replacing personnel can be estimated with some accuracy. The figure usually comes out to be close to the average salary plus benefits for the position being filled. When one begins to develop such estimates, the magnitude of unaddressed stress becomes evident, and the impetus for developing a high impact stress management training program grows.

Another consideration in engendering system support for the intended stress management training program is in relating the program to other training seminars already available to members of the organization. It can be argued that any training seminar which helps people do their work better with less tension is a “stress management” training program. With this perspective, aligning the stress management training program with these other programs becomes an obvious thing to do. With a broad sense of integration across the spectrum of training resources available, all of the programs will benefit and have greater impact.

Ensuring that people with adequate resources conduct the program is also of utmost importance. Stress management training is quite different from other kinds of training programs, which are generally based on a single discipline such as social psychology. Stress management training, on the other hand, necessarily is high multi-disciplinary, drawing on such diverse fields as psychology, physiology, anatomy, nutrition, endocrinology, systems theory, sociology, and so on. The trainer needs to be able to communicate the interrelationships of very complex information in language, which is easily understood by the participants. Further, the trainer must know the currently acceptable tenets in each of these diverse fields, in order to debunk the plethora of media-mythologies and fads. And finally, if external trainers are used, there need to be some direct forms of internal staff involvement created to handle the likely needs for follow ups arising from the training.



The creation of a comprehensive stress management training program may necessitate the coordination of several different expert resources; if a single person with the broad range of knowledge and skills required is not available. There may also be personnel in the organization who have developed specialized expertise in certain relevant areas who might often be overlooked (e.g., a secretary who has learned an extensive amount about nutrition and would like to share her ideas). It is essential that the lead trainers be role models for the client population. One of the fastest ways to kill a stress management training program is to have it taught by someone who obviously is a poor stress manager! One is never “finished” in his or her development of stress management skills, but in order to have credibility, one must be seriously “in process” and be able to articulate about what s/he is doing about his or her own stress.

Yet another factor in establishing and maintaining support for the program has to do with effective overall planning. Griffen, et al. (1982) have outlined a useful progression of planning steps, suggested means for assessing the systems readiness for stress management training, and outlined a strategy for working with resistance to the program. Their suggestions are presented in the following lists:

5.2.2 Steps in Planning a Stress Management Program

- Assess and measure each employee’s stress level
- Assess present adaptive and maladaptive coping strategies
- Determine the major stressors in the workplace
- Explain what stress is
- Explain the personal health implications
- Identify individuals’ symptoms of excessive stress
- Identify personal causes of stress
- Describe various stress management strategies
- Develop personalized action plans

(For more details on the planning points listed above, see Adams, 1981, Adams, et. al., 1983, and Adams, et. al., 1984).

5.2.3 Developing Readiness for Stress Management Training

- Assess position of top management
- Areas of concern clearly identified
- Coordinate with relevant departments (medical, HRD, etc.)
- Identify what the program is meant to accomplish
- Identify needed training resources
- Anticipate and address criticisms
- Develop means of assessing impact
- Identify target population
- Determine course content and focus
- Select program title with desired effect
- Check out the instructors

▪ Overcoming Resistance to Stress Management Programs

- Gather data on cost effectiveness
- Cultivate a clear understanding that the stress response is a natural biological response, not a characterological weakness or an indicator of poor mental health
- Establish that stress management training is for prevention, and that it is neither treatment nor a form of therapy
- Demonstrate that it is a lot more than a single technique (such as relaxation)
- In a similar vein, McCauley and Bellingham (1984) have developed a list of pitfalls to avoid in their health promotion work at the New York Telephone Company.



▪ Common Errors to Avoid

- **Fragmentation:** unrelated and unintegrated programs
- **Activities:** creating diverse activities without articulating desired results
- **Illness Focus:** a successful program will focus on establishing and maintaining well-being
- **Lack of Involvement:** the more people involved in some way with program development and conduct, the more excitement and enthusiasm
- **Unapplied Knowledge:** facts don't change behavior; teachable skills are the tools for success
- **Individual Focus:** if the organization's culture is not addressed, impact is limited
- **Emphasis on Start Up:** a successful program must be based on a long term view

5.2.4 Technologies, Resources and Strategic Questions

Once the above points have been taken into consideration, there are still a number of more specific points, which need to be included in the development of the stress management training program

▪ Pre-work

Some form of prework, such as having participants complete some stress level assessments and/or a health risk appraisal can be a very valuable component of the program. In addition to saving time in the program itself, participants are stimulated to begin thinking about their experiences of stress as a result of responding to such diagnostic questionnaires.

▪ Balance

There needs to be a balance established in the training among lecture, reading, activities, instrumentation, and audio-visual presentations. While trainers vary in their preferences, an overload of any of these design possibilities will diminish the impact of the program, as will the total absence of any of them.

▪ Practicing what you preach

If one is going to lead a training group in yoga exercises, one should first be a regular yoga practitioner. If one is going to teach meditation techniques, one should be a regular meditator. And so on.

▪ Self-directed packages

There are a great many self-guided or self-directed stress management packages in the marketplace and, in general, that is where they should remain. The only usefulness they have is to supplement group training activities. When these packages are made available in lieu of training, they are generally not used well and are a waste of money.

▪ Nutrition

Many stress management training programs overlook the importance of nutrition. Healthful meals and breaks can easily be provided in most instances. Material needs to be made available explicating the interactions of blood sugar, fats, salt, fiber, water-soluble vitamins and stress.

▪ Location

Off-site locations are preferable whenever feasible. Programs conducted on site have a great deal more difficulty holding the participants' attention. Many participants' experiences of the training become fragmented by coffee break visits to the office and the "inevitable" emergencies, which arise.



▪ **Composition**

The initial groups generally must be heterogeneous, but succeeding groups should be made up of teams whenever possible. This allows for the resolution of stressful shared bad habits such as poor communications, sweeping disagreements under the rug, providing only negative performance feedback, and so on.

▪ **Preventive**

If the program develops a “touchy-feely” reputation, it won’t last long. It is imperative that stress management training programs be clearly seen by organizational members as being rooted in an illness prevention and health promotion context.

▪ **Referrals**

It is very important that stress management trainers be able to make knowledgeable referrals for specific conditions beyond the scope of the training (e.g. alcoholism) both inside and outside the organization. From time to time, people will appear in stress management training who are experiencing possibly stress related conditions such as chronic anxiety, recurring headaches, hypertension, and so on, seeking an easy “cure”. It should be clear that stress management training is not the place to treat chronic situations such as these even if they are stress related. It is important for the program leader to either be well versed in identifying problems, which need referral or have access to such a person, so that appropriate referrals can be made.

▪ **Programmatic Considerations**

There are also some additional considerations having to do with program decisions, which need to be spelled out. A comprehensive stress management training program, one which offers participants a broad array of options to follow (as in a “cafeteria”), needs to be of substantial length. A two day program is just about the minimum amount of time that must be devoted to such a program—with three to five day programs having demonstrably higher impact. It also is imperative that such programs are offered on company time, and that participants be given release from their normal duties to attend. If this is not done, employees quickly develop the idea that the organization isn’t really serious about the program. It should also be obvious that conducting the program after normal working hours or on weekends, so as not to lose employee time at work is more than a little antithetical to the underlying message of the program.

When the desired comprehensive program cannot be offered all at once, there are some advantages to offering it a module at a time (e.g. for a half a day at a time over a period of several weeks). This model allows for participants to go into some depth in each area of training, plus it presents an opportunity to do homework practices between each session, with reportbacks on progress. The shortcoming is that participation falls off, as people have “emergencies” arising in their work. (It is incredible how often participants in this format find that they have too many stressful things going on in their work to complete the stress course!)

Another programmatic concern is who to invite to participate. Too often, these programs are made available to management only, while the highest stress levels are most likely experienced by clerical staff, the first line supervisors and their workers. Relatedly, it is

Important to establish the image that the stress response is a normal, biological response and that it are natural. Everyone in the organization is subject to the adverse consequences of excessive stress. And finally, wherever possible, spouses of employees should be invited to participate. If a participant concludes during the stress management training that s/he needs to make some fundamental life style changes, there is a much greater chance s/he will succeed if this conclusion is reached in the presence of the spouse.

Following the completion of a comprehensive stress management program, people often feel the need for more specific or focused training experiences to follow up. If there is a broad array of programs available within the organization, their relationship to reducing stress should be made clear. It is often helpful also to have a listing of specialized programs available in the community.



Another important programmatic feature is the establishment of individual plans for action. If people are going to make use of what they learn in any training program, they need to take some specific steps with their new learnings within two or three days of the end of the training. It is therefore important that participants be guided to a specific project area to work on first (one should adopt a one step at a time mentality), and then to identify the specific action steps they will begin talking within the next few days. The likelihood of positive, lasting impact of the training will be further increased if the individual action plans include a review of one's support network and a determination of how specific other people can operate in ways to guarantee the participant's success in her/his action plans.

Next, feedback loops need to be established to deal with themes or issues, which emerge from the stress management training at the managerial or policy level of the organization. Invariably, many of the things which participants identify as being their primary stressors have to do with the careless implementation of changes and the existence of shared "bad habits" within the organization. Many such unnecessary stressors can be alleviated if there is a mechanism created (e.g. a stress reduction task force) to address them on an organization wide basis.

A final programmatic issue has to do with the creation of follow up booster sessions for participants from six months to a year after their initial training. People inevitably will experience some frustrations and loss of momentum even after the best possible training efforts, and follow up sessions can often address problems of motivation and get back on the track. People will respond most favorably to these follow up sessions if they see that "management" is doing something procedurally about stress in the organization. If they learned in their original training that a few simple changes within the system could alleviate a lot of the stress they experience, and then see that the powers that be in the system do not respond to their suggestions, any attempts to do follow up "booster sessions" will most likely result only in a great deal of cynicism.

5.2.5 On-Going Program Maintenance

- **Evaluation**

One of the most frequently overlooked aspects of most training which is conducted in the United States today is evaluation. Most programs do have some sort of satisfaction measure taken at the conclusion of the training which is of the "did the dogs like the dog food?" variety. Course evaluations of this sort have some usefulness to the training staff relative to specific techniques or design features used, but after several programs, most trainers see the same pluses and minuses over and over again and are more likely to rationalize the reasons for the minuses and generally ignore the results of the evaluation.

Of greater importance to the overall success of a comprehensive stress management training program is a form of evaluation which is seldom undertaken by training departments – an evaluation of the actual impact of the training on the lives of the participants. For example, after six months, how many have sustained significant changes in their life styles? How many have lowered their blood pressure or lost weight or stopped smoking or continued to practice the relaxation habits they have learned. Have absenteeism and turnover been reduced? Has morale increased? More difficult to get at and even more important to measure is the degree to which the person has altered her/his attitudes and expectations about stress and her/his ability to respond effectively. Impact measures such as this need to be tied to the original objectives of the course and need to be measured prior to the training to provide some basis for comparison at some point after the training.

Over the course of the program, as several courses have been offered and the impact evaluations begin to accumulate, those responsible for the stress management training will note patterns in the long-term responses to their program, which they can consider in redesigning and continually refining the program. While it is nice to get "high marks" on course reaction forms, the true test of the effectiveness of stress management training can only be measured in terms of how people are thinking and acting differently a significant period of time after the course has ended.



▪ **Context of Other Programs**

A major segment of the stress management repertoire that is taught in a comprehensive program introduces the notion of behavioral and interpersonal skills as being necessary to make effective responses in stressful situations. As such, every training program offered by the training staff of most organizations is conceivably a stress management program to the extent that it helps people to do their work more effectively and with fewer hassles. Thus, embedding the stress management training course in the context of training in the organization is important. If it is offered as something entirely separate from other training programs, it will not serve the participants as effectively as if it is seen as a central part of the training.

By the same token, in many organizations, there is many staff services available to employees that are of relevance to the stress management training and these connections should be made for the participants. Included would be Employee Assistance Programs, other counseling programs, medical department services (if there is an interest in prevention), emergency personal services programs, Human programs, and so on. Every service offered to employee is conceivably of some relevance to a comprehensive stress management training program, and care should be taken to establish and nurture the relationships among these services as the stress management training program, and care should be taken to establish and nurture training proceeds. If one or more of these services becomes alienated or turns against the stress management program, the program's credibility will suffer.

▪ **System Response**

One effective framework for assessing the effectiveness of stress management suggests three levels of response. The first two levels, avoiding or removing stress and coping effectively with stress, are focused on adjusting the stress levels individuals are experiencing.

The third level, building and protecting health, has to do with developing the individuals' capacities (reserves) to withstand the rigors of working in a stressful environment. It should be that there are many facets to each of these three levels which individuals need to be taught in a comprehensive stress management training program. What is often less obvious are ways the system can respond on each of these three levels to cut down on the amount of unnecessary stress generated and to encourage individuals to look after their health and well-being. Some system level ideas follow.

▪ **Removal or Avoidance of Stressors**

The organization can help to avoid creating a lot of episodic stress for its members by ensuring effective communications about necessary changes and taking other steps to minimize the amount of surprise and uncertainty (novelty) so often associated with complex change processes in organizations. Further, the organization can encourage face to face work groups to identify the stressful habits or norms affecting their work and to take steps to alter these norms. Thirdly, different styles of decision making and policy formulation may be necessary. Finally, organizations can often take the heat off, at least temporarily, by rotational work assignments.

▪ **Coping Effectively with Unavoidable**

The organization can help its members cope with stressors on a day to day basis if it encourages the use of effective problem solving techniques, rather than letting expedience or internal political dynamics "solve" the problems, which inevitably arise. Second, employee education is increasingly necessary. In addition to making stress management training available to employees, organizations should identify the specific interpersonal skills needed by its members and make sure that training in these skills is readily available. Third, rather than just removing stress "casualties" from the organization after they have burned out, organizations need to be providing competent, confidential counseling and referral services for those who have problems, and they need to reach these people before their problems become overwhelming.



▪ Building and Health

Organizations can help their members protect themselves by encouraging and supporting good individual self-management practices. This support needs to be manifested through such things as quiet rooms and instruction; and the availability of healthful foods in cafeterias and vending machines tangible manifestations of that support are merely platitudes which employees quickly Finally, forces can be created (with real tasks and authority.), to further develop long term protection against the kinds of stress which arise when organizational units are overly differentiated from each other and/or often in conflict with each other.

In summary, a good, comprehensive, preventive approach to stress management requires that both individuals and the organization at large specific responsibilities. Neither must be allowed to abdicate these responsibilities. The illustrations given above apply. Organization needs to develop its own unique responses to stress on each level.

5.3 Summary

These chapter closes by returning to the questions raised in the opening paragraphs. Perhaps the most important question to answer is “what results do you want to create?” Many training programs are so busily focused on the processes of training and the “latest” techniques that this question isn’t even asked, let alone clearly answered.

There are at least three categories of focus or orientation, which have a bearing on this question of desired reaction.

- First, should the program have an individual focus or will it include systemic issues such as management most likely to have a sustained positive impact. Without this systemic focus, the most that can be done is to teach people how to protect themselves from their own working environments.
- Second, should the program have a single focus techniques) or be as comprehensive as possible? It should be clear from the foregoing that stress is a complex process and that individuals need to establish their own self-tailored response repertoires. Any given focus will work for some and not for others. The broader the focus, the better able people will be to develop a response repertoire that is effective.
- Third, should the program reinforce our reactive-responsive programming reacting to the environment and responding to external pressures – placing the locus of control outside the individual, who never finishes reacting and responding development of a more creative orientation – placing the locus of control within the individual in ways to realize the results. It is the contention of this chapter must foster the emergence of a more creative consciousness than

Stress management training today is often just another training. It can have a major effect on individual life orientation

Measurement and Evaluation Methods for Worksite Stress Management Programs



6. Measurement and Evaluation Methods for Worksite Stress Management Programs

6.1 Introduction

6.2 Definition of Measurement and Evaluation

6.3 Purposes of Measurement and Evaluation

6.4 Program Planning



6.1 Introduction

This review summarizes the main features of the cumulative development of measurement and evaluation in stress management program in working settings.

6.2 Definition of Measurement and Evaluation

Evaluation has been defined variously. Jemelka and Borich (1979) defined it as a process for decision making, Nutt (1981) as a measure of the degree to which objectives have been achieved, and Green (1974) as the comparison of an object of interest against a standard of acceptability. In contrast to basic research, evaluation implies and requires from the onset criteria and procedures for making judgments of merit, value, or worth (Scriven, 1967). Measurement represents the systematic application of procedures for assessing quantities and qualities, whether for purposes of planning or of evaluation.

6.3 Purposes of Evaluation and Measurement

As a systematic endeavor, evaluation serves two general purposes. One purpose is to assess the impact or effectiveness of products and services in achieving pre-determined objectives. A second purpose is to assess the efficiency of products and services in bringing about any change, but more commonly in achieving pre-established objectives. The assessment of effectiveness requires the detection of a change or effect compared with some absolute criterion or standard. In contrast, the assessment of efficiency requires the detection of change relative to some comparable product or service. Other applications of measurement, besides evaluation, include the assessment of employee needs, experiences, and interests prior to their recruitment into a program.

A common purpose of most program evaluations is to determine effectiveness specifically whether the program objectives are being met. A second common purpose is to determine the efficiency of comparative of two or more programs or methods

- To determine how effective a program has been in achieving its goals.
- To examine how efficient a program has been in achieving its goals.
- To determine the success of a program with different target groups.
- To study the cost-benefit of a program.
- To determine the cost-effectiveness of a program.
- To justify past or projected expenditures.
- To gain greater control over a program.
- To determine future courses of action.
- To contribute to the fields of applied and basic knowledge

The priority given to particular reasons for evaluation usually depends on the perspective of the program sponsor. For example, executives may be concerned primarily with outcomes and costs, program managers may be interested in program utilization and impact, and participants may be primarily concerned with their own personal interests and satisfaction.



6.4 Program Planning

The first stage in the development of a stress management program is planning and the first step in planning is the assessment of needs. The care with which a program is planned often determines the quality of the evaluation that can be done. Ideally, considerations of measurement and evaluation should be an integral part of the planning process.

6.4.1 Steps in planning and determining scope and direction

Three basic steps should be used in the planning and determination of the scope and specific direction of stress management programs. These steps are

- (1) conducting a needs assessment
- (2) establishing priorities, and
- (3) specifying, goals and objectives. Each of these steps will be discussed briefly.

▪ Needs Assessment

The first step in program planning should be to conduct a needs assessment. While the importance of thorough needs assessments to the success of programs often has been emphasized, it still remains a weak component of most programs. The rationale and methods of needs assessments have been detailed by many writers (French and Kaufman, 1983; Rossi and Freeman, 1982; Siegel et al., 1977; Warheit et al., 1977). This topic is treated specifically as it relates to health education and health promotion programs by Green et al. (1980); Parkinson et al. (1982); and Green and Lewis (1986); and as it relates more to mental health programs by Siegel et al. (1977); and Warheit et al. (1977).

The purpose of a needs assessment is to identify and document the type and severity of problems in particular populations. Green et al. (1980) has identified six objectives of needs assessments. These are presented in below they apply to worksite programs;

1. To determine the subjective concerns with quality of life in the employee population and with productivity in the employer population.
2. To verify and clarify these concerns with analyses of existing business and social indicators and other available information sources.
3. To document the status of the employee and employer groups in relation to those priority concerns for which there is a health component or cause.
4. To make explicit the rationale for the selection of priority problems.
5. To use the documentation and rationale to justify the further expenditure of resources for the selected problems.
6. Ultimately, to use the documentation and rationale as the bases on which to set objectives and to evaluate the program in cost-effectiveness or benefit terms.

Several strategies are available to determine the type and extents of problems that exist in particular jobs and work settings. Initial steps of a needs assessment include:



- **Social or economic diagnosis**

This assesses data on social or economic problems of the company or employees. Comparative data from sources such as the National Center for Health Statistics, the National Institute for Occupational Safety and Health, other agencies of the Department of Health and Human Services, local and state health departments, and other planning agencies are useful in documenting a particular worksite problem. Also, social indicators for particular occupations and communities can be used (Attkisson et al., 1978; Sheldon and Parke, 1975). Soliciting employee views through small group techniques like the Nominal Group Technique (Delbecq, et al., 1971) and the Delphi Technique (Dalkey and Helmer, 1969) also may be helpful.

- **Epidemiological diagnosis**

The epidemiological diagnosis assesses data on the presence of work-related problems, and on the incidence and prevalence of physical and mental health problems contributing to the social and economic problems in the specific employee population or firm. The use of direct archival data from company records or files provides another source of information. Data on attendance, rates of accidents and injuries, and use of mental and physical health services are useful in establishing program needs. Data from records on use of services, however, must be used cautiously as a basis for an epidemiological diagnosis. Often strong biases exist in the use of services by subgroups of employees and in the reporting of service use (Attkisson et al., 1978). When used alone for epidemiological diagnosis, this information could seriously distort the needs assessment. Use of services does provide a good measure of behaviors associated with health problems, however, and therefore contributes to the behavioral diagnosis.

- **Behavioral diagnosis**

Key informant surveys can be used to collect information from employees known to have knowledge about problems and needed services. This method can provide valuable insights on both behavior and the next step following behavioral diagnosis – the educational diagnosis. This method provides a more balanced perspective when views are obtained from sectors of the company likely to have contrasting views, such as management and labor (Neale et al., 1983; Martin, 1983).

After establishing the presence of specific behavioral problems, the next major step of a needs assessment is to determine the interest and willingness of employees in the target population to use certain services or to participate in particular programs. This is often accomplished through surveys of employees' prior experiences, current attitudes, and future intentions. As was the case for identifying behavioral problems, techniques such as employee sample surveys, key informant surveys, and the Nominal Group Technique can be useful in determining the interest of employees in specific services or programs. There is no simple formula or ideal way to carry out needs assessments. Perhaps, the best overall strategy for conducting a needs assessment is to use multiple sources for data collection and the method of triangulation to reach final conclusions (Attkisson et al., 1978; Campbell and Fiske, 1959).

- **Setting Priorities**

A second step in the program planning process that is critical to subsequent evaluation is setting the priorities among needs to be addressed. Several formal methods exist for clarifying and prioritizing needs. One of these is multi-attribute utility analysis, which is based on a decision theoretic approach to evaluation (Edwards, et al., 1975).

This approach allows the formal explication and ranking of the objectives of different groups. Each group first defines and ranks its objectives and provides information on those that it considers most useful. Then through the use of Bayesian statistics, the choices are analyzed and reported back to the groups. On this basis, the priorities are reordered. The process of providing information, linking objectives to inferences, and reordering objectives is continued until the groups have taken into account their diverse views. The decision theoretic approach is especially useful when the different stakeholders hold sharply conflicting views and the pool of potential objectives is beyond informal reconciliation.



▪ **Goals and Objectives**

When the main problems and priorities have been defined, the next step is to develop formally the program goals and objectives. A statement of clear and concise objectives is critical both to the implementation and to subsequent evaluation of the program (McLeroy et al., 1984). It is almost axiomatic that evaluation cannot be conducted objectively unless adequate objectives have been developed.

Methods of specifying goals and objectives have been addressed for many years in educational and service programs (Green et al., 1980; Mager, 1962; Rossi and Freeman, 1982; and Weiss, 1972). The basic purpose of goals is to provide the general direction or orientation of the program and that of objectives to map out the specific procedures and methods. Thus, goals typically are stated in general terms while objectives provide details. The amount of detail provides evaluation than can be done.

Objectives should be developed both at the program level and at the individual level. At the program level, objectives should specify who (the target population) will change or will receive how much of what health program, behavior or services by when (the expected date or elapsed time required for measurement of the impact or outcome of the services). The specification of the characteristics of the target population and the program should be very routinary but often insufficient details are given. Minimal information about target groups should include basic demographics: age, sex, level of education, income levels, and job types, etc. In worksite programs, facts about the specific characteristics of work also should be provided.

Details about programs and services should include the times and places, and the frequency, intensity, and duration of activities. Information also should be provided on the type of personnel or staff on the type of personnel or staff involved in the programs. Objectives for impacts and outcomes often are expressed in terms of expected changes in knowledge, attitudes, behaviors, and physiological or biochemical changes. Facts provided on impact and outcome objectives should include specifics on the amount of change expected, the time when the change is projected to occur, and the expected duration or durability of the change.

An important factor in setting behavioral objectives is the choice of quantifiable outcome measures (Green et al., 1980; Sechrest and Cohen, 1980). It often is necessary for evaluators to spend time with program planners in the early stages of the program development to assist them in articulating objectives that are clear, specific, and measurable. Skilled evaluators with knowledge of the stress field can help in the selection of impact and outcome objectives that meet these requirements.

Most objectives are stated in terms of the "average" change that is expected to occur in the target group. Sometimes it also is useful to complement the statement of objectives for groups by specifying a set of objectives for individuals. The technique of Goal Attainment Scaling (Kiresuk, 1973) allows goals and objectives to be tailored for individuals. It uses relative rather than absolute measures and allows the progress of individuals to be tracked against their own baselines on a number of variables and thus provides a personalized profile. The results of individuals then can be summed to provide a composite estimate of the program impact.

▪ **Standards of Acceptability in Program Evaluation**

An important early step in planning an evaluation is to consider and decide upon standards of acceptability. In evaluating a program, an object of interest, (usually an impact or outcome measure based on a program objective, is compared to a standard of acceptability. The method of determining whether the object of interest has met a predetermined standard depends on the standard of acceptability selected. Different standards exist against which program effects can be judged. There are both individual and aggregate or group standards.

At the individual level, the acceptable standard of change may be personally defined or defined by professionals. For example, an individual may wish to lower diastolic blood pressure by 5 mmHg without drugs; or the doctor may recommend that a patient must lower diastolic blood pressure by 5 mmHg or must take medications. In either case, the target level of change can be set for the individual and the actual change, within certain time limits, can be evaluated against the personalized standard of acceptability. Also, the technique of goal attainment scaling may be a useful adjunct in establishing individual standards.



At the aggregate level, one or more of five standards of acceptability may be used. A basic description and examples of each of these follows (Green, 1974).

- **Historical Standards**

Current program outcomes are compared to prior program results for comparable persons during a similar time period. For example, if last year's stress management program yielded a 20% reduction in stress-related complaints and symptoms in selected participants; a historical standard of acceptability can be obtained by comparing the results of subsequent programs with last year's 20% reduction.

- **Normative Standards**

Current program effects are sometimes compared with the levels of performance or achievement against regional, national, or international standards. For example, if the object of interest were decreased stress-related symptoms, a suitable standard of acceptability could be a 30% decrease in symptoms reported by employees participating in that program. If this has been shown to be a typical rate of decrease in other stress management programs in industry, it could then be considered a normative standard of acceptability.

- **Theoretical Standards**

Program outcomes can be compared to a theoretical level expected if everything were to go exactly as planned. A theoretical standard is often based on the results of previous research in which interventions have been tested in controlled laboratory or clinical situations. For example, if a demonstration stress management program, conducted by a university-based team of behavioral scientists using state-of-the-art methods yielded a 50% reduction in stress-related symptoms in a group of management level employees, this could serve as the theoretical standard of acceptability for application of the same stress management methods in the "real world" with other management groups and possibly other employee groups.

- **Absolute Standards**

Program outcomes are sometimes compared to the highest possible level attainable. Whereas theoretical standards are based on the premise that everything will go as planned, absolute standards are often even more unrealistic and may never be possible to attain. For example, a 100% reduction of stress-related symptoms among employees, an example of an absolute standard is neither realistic nor feasible, and probably even undesirable.

- **Negotiated Standards**

Program criteria usually emerge from the compromise and negotiation of several possible standards. A negotiated standard is frequently an average of the preceding standards of acceptability. For example, if other stress management programs yield a 30% reduction of stress-related symptoms (normative), historical standards for this company are approximately 20%, the theoretical symptom reduction for your population is 50%, and the absolute standard is complete reduction of symptoms (100%), then a negotiated standard could be 35%. That is a weighted average of the other standards that gives greater weight to historical and normative standards than to theoretical and absolute standards.

Exercises



Exercise I

Discussion Questions

1. What are the different factors of stress? Please explain on how to mitigate each and give examples.

2. Divide the group into two. Each group will select a group leader. The group will work together to design your own "Worksite Management Program", after which they will present and explain the result of their work.

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Terms and Definitions



Alignment to SMS

It is a stage when a company complies, implements, and maintains the requirements of an SMS. When a company is aligned, it is eligible and ready for certification.

Alternatives

A generic name for the possible choices that a negotiator may choose from. There may be alternative issues, options, and packages.

Arbitration

A settlement process in dispute resolution in which the parties present their case or their final offers to a third party. The third party has a power to impose a solution (compromise).

BATNA

Best Alternative to the Negotiated Agreement

Benchmarking (social)

Comparison of social management processes, performance and reporting. Benchmarking can be used to provide detailed comparisons of operating divisions within a company or companies within a particular sector. Benchmarking can also enable comparison of global social trends between highly diverse organizations and sectors.

Bottomline benefits

These are realistic advantages that are directly translated to profit for the company.

Brand value and reputation

Factors that reflect the public perception of a company (specifically the reputation of the company and its officers), its products and brands, as well as the value of its brands.

Certifiable

Capable of being guaranteed or certified.

Certifying monitors

Also known as Certifying Bodies or external auditors who, after an audit, issue a certificate to the company stating its compliance, among others, to a specific standard.

Circular logrolling

A concession process in multilateral negotiations that require each negotiator to offer an other negotiator a concession on one issue and receive a concession on a different issue and form a different negotiator

Class of codes

These are the types of codes of conduct such as the company codes, trade association codes, model codes, and inter-governmental codes.

Code of Conduct (CoC)

A formal statement of the values and business practices of a company and sometimes its suppliers. It is a statement of minimum standards together with a pledge by the company to observe them and to require its contractors, subcontractors, suppliers, and licensees to observe them.

Closure

A need, or desire, for immediate answers and resolutions to a particular situation.

Terms and Definitions



Coalition

A subgroup of two or more negotiators (parties) who join together and pool their resources to influence the outcomes of multilateral negotiations.

Commitment

An obligation or pledge to do or deliver something.

Compensation, nonspecific

An integrative negotiation approach in which one party receives what they want and the other party is compensated (repaid) in some other way that is relevant to this party. The compensation involves one or more issues that are not subject to negotiations.

Compromise

A compromise or agreement is the package (combination of options) across all issues that both negotiators jointly agree upon after exchanging a sequence of offers.

Computer-based training (CBT)

An interactive learning strategy in which the computer software provides a majority of the stimulus, the learner must respond, and the computer analyzes the response and provides feedback to the learner.

Condorcet paradox

A result to seek supporting arguments for someone's belief that may lead to ignore or discount information that is relevant but not supportive.

Confirmation error

A tendency to seek supporting arguments for someone's belief that may lead to ignore or discount information that is relevant but not supportive.

Core labor standards

ILO's fundamental labor standards comprising of the prohibition of child and forced forms of labor, freedom of association and right to collective bargaining, and non-discrimination.

Corporate citizenship

The management of the totality of relationships between a company and its host communities, locally, nationally, and globally. Corporate citizenship is concerned with treating the stakeholders of the firm ethically or in socially responsible manner.

Corporate governance

It is the system by which business corporations are directed and controlled. The corporate governance structure specifies the distribution of rights and responsibilities among different participants in the corporation, such as, the board, managers, shareholders and other stakeholders, and spells out the rules and procedures for making decisions on corporate affairs. By doing this, it also provides the structure through which the company objectives are set, and the means of attaining those objectives and monitoring performance.

Corporate social responsibility (CSR)

CSR is a concept whereby companies integrate social and environmental concerns in their business operations and in their interaction with the stakeholders on a voluntary basis.

Corporate social accountability

Accountability means companies must adhere to regulatory or legal requirements or otherwise be held liable or face sanctions. Corporate social accountability requires independent oversight and enforcement mechanisms to ensure compliance.

Terms and Definitions



Cross-sector collaboration

The cooperation among two or more different sectors, for example, the garments sector working together with the toy and footwear sectors.

Cost cutting

An approach in integrative negotiations in which the costs of accepting a compromise are reduced or eliminated. One party achieves what they want and the other party's costs are reduced.

Developmental or economic labor standards

Also termed as outcome-based or substantive labor standards refers to standards that vary depending on the level of income in a given country. These country-specific standards include minimum wages and overtime rates.

Ethical audit

The application of non-financial and ethical criteria to an investment decision.

Ethical trade

Aims to ensure that conditions within mainstream production chains meet basic minimum standards, and to eradicate the most exploitative forms of labor such as child labor and forced labor.

External monitoring

It is a form of assessment of the implementation of social objectives by an organization that is external to the company. This is also called external oversight and independent monitoring.

Fair trade

It is a trading partnership that promotes a sustainable development for excluded and disadvantaged producers. It seeks to do this by providing better trading conditions, awareness raising and campaigning. The criteria for Fair trade marked products differ between products but cover issues such as guaranteed prices, pre-payment and direct payment to growers or their cooperatives. An alternative approach to conventional international trade.

Fixed pie assumption

The belief that the set of possible packages is given and cannot be enlarged. It is accompanied with the conviction that the parties' interests are in full (strict) opposition. This assumption underlies distributive or competitive negotiations.

Focal values

Arbitrary values such as salient numbers, figures that are considered valid or typical.

Globalization

It is the intensification of economic, political, social and cultural relations on a global level.

Human rights

Human rights are based in the recognition of the inherent dignity and the equal and inalienable rights of all members of the human family are the foundation of freedom, justice and peace of the world. They are defined in the Universal Declaration of Human Rights (1948).

Inefficient agreement

An alternative (package) that is accepted by the parties but which is dominated by some other alternative, that is, there is an alternative that is better for at least one party than the accepted agreement and not worse for any other party.

Terms and Definitions



ILO Conventions

These are international treaties that are open to ratification by the ILO Member States. When a State ratifies a Convention, the country pledges to apply the Convention's terms and provisions in law and in practice.

ILO Recommendations

ILO instruments not open to ratification but which lays down general or technical guidelines to be applied at the national level. They often provide detailed guidelines to supplement principles set out in the Conventions, or they may provide guidance on subjects, which are not covered by the ILO Conventions.

International Labor Standards (ILO)

Conventions and Recommendations adopted by the ILO, covering a broad range of matters in the field of social and labor matters.

Intermediary

A person who intervenes between two or more parties.

Issue

A topic of discussion that is of particular interest in a negotiation. Each issue has a range of alternatives or options, one of which must ultimately be agreed upon by the negotiators in order to achieve a compromise.

Labor

Includes labor, work, or service whether rendered or performed under contract, subcontract, partnership, station plan, or other agreement whereby the person demanding payment performs where labor to be paid for personally.

Labor and social legislation

Body of laws encompassing labor laws relating to social security.

Labor dispute

Includes any controversy or matter concerning terms or conditions of employment or the association or representation of persons in negotiating, fixing, maintaining, changing or arranging the terms and conditions of employment, regardless of whether the disputants stand in the proximate relation of employer and employee

Labor organization

Any union or association of employees which exists in whole or in part for the purpose of collective bargaining or of dealing with employers concerning terms and conditions of employment.

Labor standards

Minimum requirements prescribed by existing laws, rules and regulations relating to wages, living allowances, and other employee monetary and welfare benefits, occupational health and safety and other standards designed to improve conditions of work.

Latent conflict

Conflict that exists but is not perceived.

Liberalism

In economics, it is the freedom from restraint usually based on competition, self-regulating markets and standards.

Terms and Definitions



Logrolling

A kind of trade-off between two or more decision makers: giving favors or making concessions on condition of receiving other favors. Logrolling is NOT an integrative strategy but trading off interests where each party concedes on the low priority issues for the purpose to realize high priority issues.

Monitoring

The process of regularly collecting information to check against certain criteria.

Monitoring criteria

Standards or specifications of monitoring or audit.

Offer

A combination of options (a package) that is sent by one negotiator to the other. An offer may contain one option for each issue under considerations, or some issues may not be present in the offer. The latter case is typical for sequential negotiations.

Option

One of the alternative values that an issue can take. For example, the issue "Tolerable product failure rate" may have the options "3%", "5%", and "10%".

Outcome-based or substantive standards

See developmental or economic-based labor standards

Power

The basis of a person's influence over another; the ability to influence someone else's decisions.

Power, coercive

The ability to influence the behavior of, and decisions made by, another person by punishing this person or threatening with punishment.

Pre-negotiation

Pre-negotiation is the first phase of a negotiation. It refers to the initial period (prior to exchange of any offers) when one prepares for the negotiation. Some activities involved in this phase include problem definition, preference elicitation and evaluation of alternative packages.

Ratification

A solemn undertaking by a State formally accepting the terms of an ILO Convention thereby becoming legally bound to apply it. The country must, if necessary, adopt new laws and regulations or modify the existing legislation and practice to support the ILO Convention. It must apply the Convention not only in law but also in practice, and provide reports on its application to the ILO.

Responsible entrepreneurship

A concept put forward by the UN which recognizes the business role for the accomplishment of sustainable development and that companies can manage their operations in such a way as to enhance economic growth and increase competitiveness whilst enduring environmental protection and promoting social responsibility

Screening (ethical)

It is the inclusion or exclusion of stocks and shares in investment portfolios on ethical, social or environmental grounds.

Terms and Definitions



Shareholder influence

Seeking to improve a company's ethical, social and/or environmental behavior as a shareholder by means of dialogue, pressure, and support for the responsible management and voting at Annual General Meetings.

Social auditing

This is the systematic evaluation of an organization's social impact in relation to standards and expectations. Also, a method to evaluate the non-financial performance of an organization. Although a voluntary process at present, there is some evidence that it may become a statutory requirement of business in the future.

Social clause

A section of a trade agreement that introduces guidelines on social standards, for example, the NAFTA (North American Free Trade Agreement) now has a "social clause" making an international trade agreement conditional on respect for a number of internationally recognized social standards.

Social cohesion

A measure of tightly coupled, robust and unified a community is across a set of indicators; a community with a strong sense of identity and shared goals.

Social dialogue

This is a formal discussion or exchange of viewpoints pertaining to social issues.

Social dimensions

These are the range or scope of social-related issues. The social dimensions of a code of conduct, for example, can range from ILO's core labor standards, substantive labor standards, respect for basic human rights, and the country's minimum legal requirements.

Social goals

Objectives specifically geared towards social issues.

Social impacts

The effects or implications of actions or practices. An example of which may be social conditions in the workplace.

Social impact assessment

Systematic analysis of the impact of a business project or operation on the social and cultural situation of affected communities.

Social label

Words and symbols on products, which seek to influence the purchasing decisions of consumers by providing an assurance about the social and ethical impact of a business, process on other stakeholders.

Social Management System (SMS)

An SMS is a result of a structured administration of requirements. These requirements include core labor standards (prohibition of child and forced labor, freedom of association and the right to collective bargaining, and non-discrimination) and substantive labor standards (health and safety, disciplinary practices, working hours, and compensation) integrated into the an organization's business processes and strategies.

Social Management System certification

A stamp of approval given by a certifying body to an organization that has complied with the requirements of an SMS.

Terms and Definitions



Social partners

Term used to refer to employers' and workers' organizations engaged in dialogue – or partnership – with government in the determination of social and labor policies.

Social performance

It is the manner of execution or fulfillment of a company's social goals and objectives.

Social report

Non-financial data covering staff issues, community economic developments, and stakeholder involvement and can include voluntarism and environmental performance. Multinational companies have increasingly started to report on their social impacts in addition to their financial bottom line performance. With specific indicators more and more on the rise, companies are reporting on the following nine issues: mission; vision and values; workplace climate; social dialogue; human rights; community involvement; local economic development; environmental; and, marketplace developments.

Social standards

The general term used to describe all requirements, guidelines or principles of all socially related issues especially labor issues.

Social market instruments

Tools such as social labels, which are associated with premium prices in export markets, often an "entry ticket" or a source of added value for producers.

Socially responsible investing (SRI)

Integrating personal values and societal concerns with investment decisions. SRI considers both the investor's financial needs and an investment's impact on society. With SRI, "investors can put their money to work for better tomorrow while earning competitive returns today".

Stakeholders

These are the individuals or entities that have a "claim" in an organization.

Sustainable development

This is a form of development that meets the needs of the present without compromising the ability of future generations to meet their own needs. Sustainable development is an approach that aims to balance the social, economic and environmental impacts of all our actions, now and in the future.

Verification

Certification by an external auditor of the validity, meaningfulness, and completeness of an organization's records, reports, or statements.

Training Evaluation Form

Training Evaluation Form



Trainee Information	Name:	Dept.:	Position:	Signature:
Training Information	Title:	Trainer:	Venue:	Date:

Reason / purpose for attending the seminar:

Training Evaluation (Please rate where appropriate on a scale of 1-5, where 1 is poor and 5 is excellent)

		1	2	3	4	5
1	Did the training program/course achieve its objectives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Are the objectives related to the actual work situation/s?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Did you learn the skills and information that were taught in the course?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Will you be able to apply what you have learned?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	What other suggestion/s can you give in order to improve the course content?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Training Methodology (Please rate where appropriate on a scale of 1-5, where 1 is poor and 5 is excellent)

		1	2	3	4	5
1	Are the training materials used relevant to the seminar?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2	Is the trainer's methodology understandable to all participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3	Were the learning methods used appropriate to the requirements of all participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4	Were the physical conditions conducive to all participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5	What other suggestion/s can you give in order to improve the training methodology/methodologies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We value your comments and suggestions:
