Principles and Ethics of Auditing

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QCTO: Occupational Health, Safety Quality Practitioner Qualification – NQF Level 5

ISO NET (Pty) Ltd

Learner Guide

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EXPLAIN BASIC COMMUNICATION MODEL

INTRODUCTION

Other than "thinking," virtually everything that supervisors/team leaders do includes some aspect of communication. As an anonymous sage once said: *you cannot not communicate.* Recognised writers continue to emphasise the criticality of communication. For example, the *Successful Manager's Handbook* points out that:

Effective communication skills form the foundation for successful management.

In *The 7 Habits Of Highly Effective People,* Stephen Covey puts it even more broadly and strongly:

Communication is the most important skill in life.

Joe Batten, in *Tough-Minded Leadership,* says:

... the total effectiveness of leaders rises or falls in direct proportion to their face-to-face communication skills.

In the tens of thousands of books, chapters and articles regarding management, psychology, and human resources development, it seems that more material relates to communication than to any other subject.

The intention of this module is to briefly summarise what communication is and how it occurs, then to discuss five specific communication skills and applications: 1) the orientation process, 2) the job instruction process, 3) planned personal dialogues, 4) effective SHEQ meetings, and 5) SHEQ programmes promotion guidelines.

COMMUNICATION BRIDGES THE GAP BETWEEN MINDS

A simple, functional definition of the communication process is: *interaction resulting in meaning and understanding.* The interaction may be between two people; among a group of people; or between people and the written word, pictures, sounds, smells, tastes, objects or animals. The three most common interactive (sending and receiving) processes are:

SENDING		**RECEIVING**
Speaking	⇦ ⇨	Listening
Writing	⇦ ⇨	Reading
Doing	⇦ ⇨	Observing

It can be quite challenging to interact in such a way that *mutual* meaning and *mutual* understanding occur. Two big reasons for this are "personal mind-filters" and “selective perception.”

All of the communication inputs (words - pictures - sounds - smells - tastes - behaviours) go through the receiver's mind-filter (cultural background - past experiences - values - attitudes - biases - feelings - needs - desires - roles).

What comes through the filter, the output, is the receiver's interpretations, meanings, and reactions.

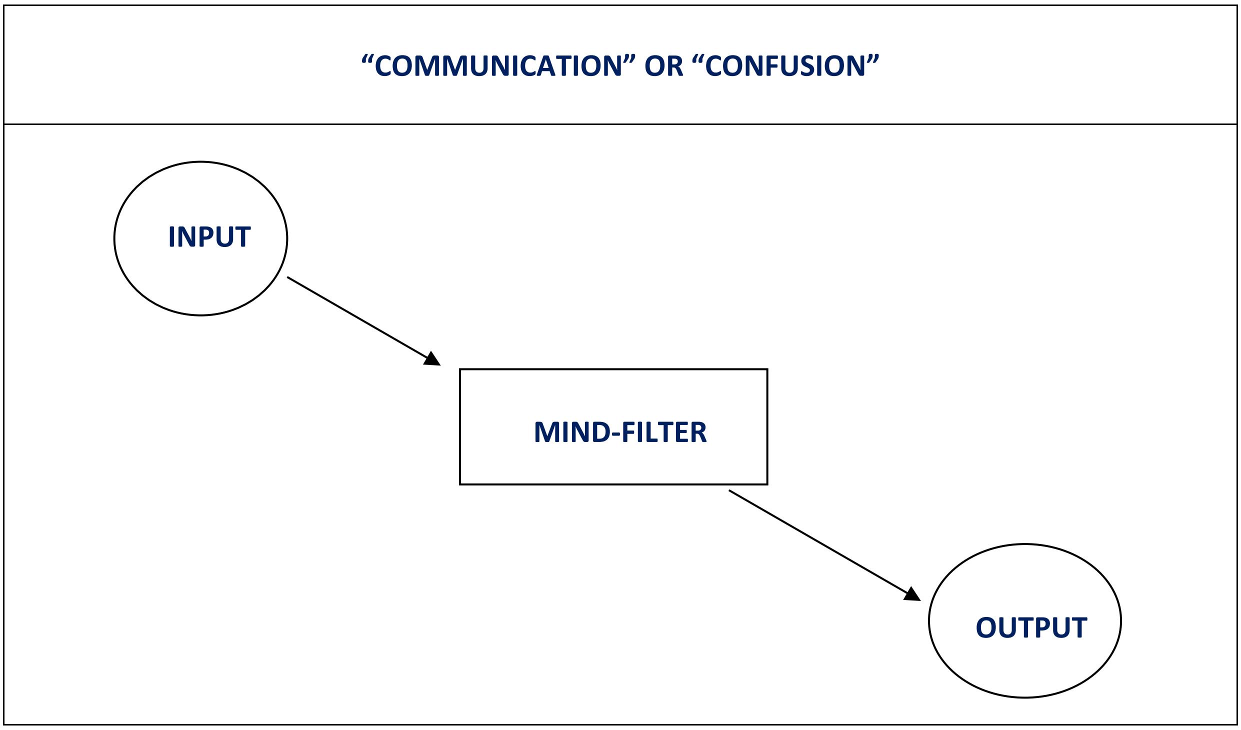

Figure 1

In *Follow The Yellow Brick Road,* Wurman expresses this phenomenon this way:

Different people will interpret the same words or pictures differently, depending on their own perceptions and experiences. Your messages are offered in your own language, in your own terms, to someone who may understand them in his or her own language.

This is why the same message never gets the same interpretation. There is bound to be some doubt or ambiguity in any communication, if nothing more than the difference between the speaker's and the listener's use and understanding of language.

This means that all messages must be translated; people must learn to think, speak, and listen in what might be viewed as a foreign language - the language of the person with whom they are communicating. Both sides will have to make judgements, interpret meanings, and make a leap from one person's biases to another's.

The second reason why communication can be so challenging is *selective perception,* i.e., what we "see" is determined by what we "look" for. We tend to see what we have seen before, what we expect to see, what we want to see. We pay attention to specific aspects of our environment and don't notice others.

How we interpret what happens around us depends, in large measure, on whether we are male or female, child or adult, Conservative or Liberal, Christian or Muslim, rich or poor, manager or worker, and so on for many other variables.

TIPS TOWARD EFFECTIVE COMMUNICATION

- Seek first to understand, then to be understood.
- Respect the other person's uniqueness.
- Demonstrate empathy and communicate in the receiver's world.
- Practice the art of asking questions.
- Use the "enlightening rod" (**R**eflection - **O**pen questions - **D**irective questions).
- Practice active listening; learn to listen; listen to learn.
- Sail the seven C's; communicate **C**redibly - **C**learly - **C**oncisely - **C**onvincingly - **C**ourteously - **C**onstructively - **C**ourageously.
- Appeal to the visual sense; create clear mental pictures; help people to "see what you mean."
- Replace or supplement abstract concepts with concrete, down-to-earth explanations and examples.
- Notice non-verbal cues: stance - facial expression - distance - eye contact/movement - mannerisms - body language.
- Focus more on the senders' substance than their style.
- Control your emotional reactions ("count to ten").
- Accentuate the positives.
- Give credit where it is due.
- Clarify and verify (ask questions - mirror content and feeling - paraphrase - get feedback - summarise - be sure you understand - be sure you are understood).

THE ORIENTATION PROCESS

If you turn people loose in the workplace without proper orientation, you invite accidents, mistakes, waste, poor performance, inefficiency, higher costs and lower profits. With proper orientations, people have fewer accidents, make fewer mistakes, cause less waste, perform better, and contribute to cost control and profitability.

This applies not only to those who are brand-new to the company, but to others such as employees who have been transferred, promoted or reassigned to a new area and/or type of work; those returning from extended leave; and those being newly exposed to modified facilities, equipment and work processes.

Three common orientation errors are too little information, too much information, too soon, and confusing or conflicting information. Lack of information can cause all sorts of problems, even fatal accidents.

On the other hand, too much information crammed into too little time causes information overload. If you expect people to immediately understand, retain and recall everything, they are apt to remember nearly nothing.

The third common orientation error is giving people confusing or conflicting information. They may not understand your technical terminology, acronyms, abbreviations and company language - even though they nod their head affirmatively and act like they grasp it all. Or, one aspect of their orientation (e.g., "Safety is our number one priority”) may conflict with another aspect (e.g., "Your pay and progress are based on the number of units you produce").

TWO TYPES OF ORIENTATION

Orientations typically include two types of information: *general,* and *work-site or* job-specific. They may be covered together or in separate sessions. They may be conducted by the same, or by different people.

General Orientation - In larger organisations this is often conducted by staff specialists such as Human Resources Development, Personnel, or SHEQ. In smaller facilities it may be conducted by the site manager or the orientee's supervisor.

Regardless of who does it, the orientation should acquaint the person with general or site-wide SHEQ issues such as: policy and procedures - hazard awareness - rules and regulations - general PPE requirements - emergency procedures.

Figure 2 is an example of an orientation checklist for plant employees. It shows the types of topics (both SHEQ and others) covered by many organisations.

Here are several key questions you can answer in assessing the general orientation process in your organisation:

	General Orientation Process	YES	NO
1.	Is there a process to ensure that all employees, new to the location, receive a general orientation to the site's SHEQ programmes?		
2.	Do the employees receive the orientation before they actually begin doing their assigned work?		
3.	Are checklists and/or other written guides used to ensure consistent coverage in the General Orientation?		
4.	Are records of those receiving General Orientations maintained?		
5.	Are records kept which document a systematic follow-up of each person's orientation?		
6.	Is there documentation showing that the orientation content is changed when significant organisational and/or process changes occur?		

ORIENTATION CHECKLIST FOR EMPLOYEES (for all new employees - regular and temporary) An Equal Opportunity Employer		
DATE	EMPLOYEE'S NAME	NAME HE/SHE GOES BY

PRE-EMPLOYMENT:

- ❑ Update Job Description and Critical Job Procedures if necessary
- ❑ Use up-to-date application form
- ❑ Conduct reference checks consistent with location practice

UPON OFFER OF EMPLOYMENT:

- ❑ Verify Identity and Employment Eligibility, Complete 1-9 Form (where applicable)
- ❑ Drug Screening Consent Form
- ❑ Parts B and C of the Medical Examination Form
- ❑ Medical Examination Consent Form
- ❑ Drug and Alcohol Test Consent Form

ON FIRST DAY:

- ❑ Explain any benefits
- ❑ Health, Life, Dental Insurance
- ❑ Vacation
- ❑ Holidays
- ❑ Others

MISCELLANEOUS EMPLOYEMENT FORMS :

- ❑ Employment Record Form
- ❑ Employee Confidential Information/Invention Agreement
- ❑ Other

MISCELLANEOUS EMPLOYMENT PROCEDURES. ADVISE EMPLOYEE OF :

- ❑ Direct Deposit
- ❑ Payroll Deductions
- ❑ Other

EXPLAIN BASIC POLICIES AND PROCEDURES :

- ❑ Wages
- ❑ Formal Probationary Period - length, expected performance
- ❑ Performance Review (if applicable)
- ❑ Disciplinary Policy
- ❑ Drug and Alcohol Policy
- ❑ Attendance Policy
- ❑ Call-In Procedure-Absenteeism/Tardiness
- ❑ Hours Worked
- ❑ Overtime
- ❑ Breaks/Lunch
- ❑ Housekeeping
- ❑ Other

EXPLAIN EEO POLICY :

- ❑ Company's Commitment to Equal Employment Opportunity
- ❑ EEO Representative, EEO Facility Co-ordinator and Corporate EEO Department
- ❑ Policy Against Harassment
- ❑ EEO Compliant Resolution Procedure

SHOW EMPLOYEE AROUND :

- ❑ Parking Lot/Employees' Entrance
- ❑ Restroom/Locker Room/Lunch Room
- ❑ Shop/Supply Storage Room
- ❑ Introduce to other employees and to immediate Supervisory Group

EXPLAIN WHAT WE DO AT OUR LOCATION

- ❑ Outline the organisation of the Division/Department and its relationship to the rest of the Company
- ❑ The work flow and how employee's jobs fits into the total operation

JOB INSTRUCTION :

- ❑ Review and provide copy of Plant Rules and/or Employee Handbook
- ❑ Discuss employee's primary duties and responsibilities
- ❑ Identify the standard of performance expected
- ❑ Review and provide copy of job procedure, critical task procedure, etc.
- ❑ Encourage employee to ask questions at any time
- ❑ Find out what the employee already knows
- ❑ Train employee (Tell/Show/Watch/Follow-up)
- ❑ Check back several times to see how employee is progressing
- ❑ Other

SAFETY HEALTH AND EVIRONMENTAL INSTRUCTION :

- ❑ Provide copy of SHEQ Rules
- ❑ Explain SHEQ Policies, Procedures and Practices
- ❑ Tell where to get first aid and medical treatment
- ❑ Explain P.E.O. Programmes
- ❑ Required Safety Equipment
- ❑ Reporting injuries/illnesses, environmental spills and unsafe practices/conditions
- ❑ Other

I have reviewed and/or received all items contained in this checklist and understand the information provided.

EMPLOYEE SIGNATURE	DATE	SUPERVISOR

Worksite (job-specific) Orientation -Whenever possible, this specific worksite orientation should be conducted or co-ordinated by the "orientee's" immediate supervisor or team leader. It is the only chance these people have to make a good first impression regarding care and concern about the employee's safety, health and general well-being.

Since "first impressions are lasting impressions," it is best to make that first one a good one. The orientation should be a *process,* not just an event. The process can be considered in terms of these steps: the preparation, the welcome, the essentials, and the follow-up.

In the *preparation* step, you (the supervisor, or team leader) take action to ensure a smooth and effective orientation. Bear in mind that this is one of the most important days in the new employee's work life.

When she or he sees that you also consider it important, it will go a long way toward establishing a good relationship. It is several little things that can make the big difference:

- Be sure you know the person's name, experience, education and general background.
- Alert others in the department too. Have them primed and ready to meet and greet their new work associate.
- Arrange your schedule to avoid or minimise interruptions of the orientation session.
- Schedule and communicate a definite time and place. Try to make it a place that is relatively free of distractions and permits good communication.
- See that the person's work station, desk or office is properly equipped and ready for operation.
- Anticipate the kinds of questions the person is likely to ask, and try to have answers in mind.
- If there is remaining paperwork that must be done, be sure that the required forms are handy, and that you know exactly how they are to be completed and processed.
- Be sure that all required PPE, visual aids, tools, equipment and handout materials are readily available.

While people may care how much you know,
they also need to know how much you care.

The next step is *the welcome.* People like to be where they feel they are welcome. In the orientation process, how do you give them that feeling? A warm personal greeting helps. So does showing interest in them as a person, not just an instrument of production. Include non-work aspects of life in your questions and comments. Among the topics for putting people at ease are: **F**amily - **O**ccupation - **R**ecreation.

The third step, *the essentials,* is where you actually present the information, tour the area, explain the work process, and highlight key procedures and practices. The following list shows the types of topics often covered. Of course, yours depend on the specific nature of your work process and environment:

- Getting acquainted with the people, the work environment, and how the person's job fits in.

- Specific work-site SHEQ rules and PPE requirements.
- Personnel policies relating to factors such as attendance, reporting-off, overtime, discipline, employee assistance services, training and career development.
- Work schedules and performance standards.
- Reporting accidents - injuries - damage - illnesses - spills.
- First aid and medical matters.
- Drug testing and special medical tests.
- Special work permit procedures.
- Special hazards.
- Reporting unsafe conditions and practices.
- Housekeeping and personal hygiene.
- Emergency procedures.
- Mutual expectations.

Step four, *the follow-up,* is a vital, but sadly neglected part of the orientation process. Effective orientation is not an event, it's an on-going *process.*

There is a lot of information for people to understand, remember and apply. They cannot do it instantaneously. Also, it may not have been presented perfectly. There is a great need to check back, review, supplement, reinforce and show continuing interest.

Some organisations find the 1-1-1 approach helpful, i.e., a planned, formal follow-up of the orientation is conducted, at least one week, one month and one quarter after the original session(s). The follow-up sessions are checkpoints regarding comprehension, retention, questions, suggestions, and opportunity for positive reinforcement.

Here are some key questions to answer in assessing the work-site orientation process in your organisation:

Work-site Orientation Process	YES	NO
1. Is there a process to ensure that work-site specific orientations are given to newly placed employees?		
2. Is the work-specific orientation conducted before the employee actually does the work?		
3. Are checklists, or other guides, used to ensure consistency of the work-site orientations?		
4. Are these topics addressed:		
a. SHEQ work rules?		
b. Emergency procedures?		
c. Work-specific SHEQ procedures?		
d. Accident/incident reporting?		
e. Employee's SHEQ roles and responsibilities?		
f. Site-specific hazards?		
g. Legislative compliance requirements?		
h. PPE requirements?		
i. SHEQ leadership roles and responsibilities?		
5. Are records kept on who was oriented, when?		
6. Is there a work-site orientation for contractors?		
7. Are orientation programmes mess re-evaluated whenever processes, facilities, equipment and procedures change?		
8. Do programmes mess link SHEQ with quality, production and cost control?		

THE JOB INSTRUCTION PROCESS

It is hard to think of any work-related skill that is more important than giving good job/task instruction. It's a process of helping a person learn how to perform a job/task correctly, quickly, conscientiously and safely; a systematic substitute for trial-and-error learning; a reliable replacement for hit-or-miss instruction.

The four steps of JIT have traditionally been described as:

1) Preparation,
2) Presentation,
3) Performance and
4) Follow-up.

A modification that has been used around the world for about a quarter of a century is summarised as follows:

MOTIVATE

- Put learner at ease.
- Find out what learner knows about the job.
- Position learner properly (same vantage point as instructor's).
- Build learner's interest.

TELL & SHOW

- Demonstrate the operation.
- Use step-by-step approach.
- Stress key points.
- Instruct clearly and completely.

TEST

- Have learner tell and show .
- Have learner explain key points.
- Ask questions and correct or prevent errors.
- Continue until you know the learner knows.

CHECK

- Tell learner who to go to for help.
- Put learner on his/her own.
- Follow-up often; answer questions; review key points.
- Taper off to normal amount of supervision.
- Reinforce positive parts of performance.

> **What I hear, I forget; What I see, I remember;**
> **What I do, I understand.**
>
> **- Confucius 479 BC -**

Here is how you can *prepare* to give effective job/task instruction:

1. HAVE A PLAN

a. Knowledge of the job to be taught.
b. How much skill you expect the learner to have, and how soon.

2. BREAK DOWN THE JOB
   a. List the important steps.
   b. Highlight key points.

3. HAVE THINGS READY AND ORDERLY
   a. Proper equipment, materials, supplies and environment.
   b. Arranged as the employee will be expected to keep things.

4. PRACTICE
   a. Check the effectiveness of your instruction technique.
   b. Review and refresh your knowledge and skills periodically.

Here are some key questions you can answer in assessing the job/task instruction process in your organisation:

Job/Task Instruction Process	**YES**	**NO**
1. Are those who give job/task instruction required to use a defined technique for such instruction?		
2. Have those who are required to use the defined job/task instruction technique been adequately trained to do so?		
3. Is the defined instruction technique typically used?		
4. Are appropriate people selected to do effective job/task instruction?		
5. Are records kept regarding the initial and refresher training of job/task instructors?		
6. Is there a follow-up system to assess how well the learners apply their instruction?		

PLANNED PERSONAL DIALOGUES

For all practical purposes, two tools may be the same, two machines may be the same, two objects may be the same. But no two people are the same! It's true that we are *alike* in many ways, but *not the same.*

For example, people normally have similar physical features, and a human being is put together in such a way that she or he is not mistaken for any other type of animal. Psychologically, too, in many respects, each person is similar to all other people.

All normal people have the ability to reason (humans are distinctively "rational" beings); have feelings, emotions and attitudes; and tend to have generally similar needs. These similarities allow meaningful generalisations about people, which help in understanding their behaviour and motivation... why they do what they do, and how to influence them to do what needs to be done.

But people are different too! Every individual is unique, and is special. Again, this is true for both physical and psychological factors. No person looks exactly like any other person (even so-called "identical" twins have their differences). Just as there are millions of distinctive fingerprints, there are millions of personality-prints.

We each have a unique combination of characteristics which often is called our personality, characteristics such as: attitudes - interests - habits - motives - feelings - ideas - aptitudes - goals - moods - experiences - emotions - temperament - character - abilities - values. These individual differences are what make people so wonderfully fascinating, and so challenging to understand and motivate.

Appeal to my "I"
I am an individual.
I am unique.
I am me.
I am.

"Dialogue" is quite different from technical communication and monologue. Dialogue is open, credible, back-and-forth communication between two authentic human beings.

The *planned personal dialogue* we are discussing here is a specific application that also meets these requirements:
1) it is one-on-one, between an employee and his or her immediate supervisor or team leader;
2) it is planned in advance; and
3) it addresses relevant SHEQ issues.

Plan it - Do it - Record it

PLAN IT

Think about the 5W's: **Who** will I talk with? **What** will we talk about? **Why** talk about that? **When** will we do it? **Where** will we do it? In deciding the *who,* use scheduling which includes each employee each period (e.g., monthly, quarterly etc.). In deciding on the *what,* pick a topic or issue that is specific and relevant to the employee's situation.

Pinpoint what can be covered either in one dialogue session or a series of related sessions. Regarding the *why,* clarify your goal and objectives for the session, what you hope to accomplish. Decide *when* might be best; make sure it's convenient for the employee; and arrange your schedule accordingly. In deciding *where* to do the dialogue, consider environmental factors such as noise and the prying eyes and ears of other people; whether or not you will need to use things that are at the person's work station; the type of visual aid equipment you plan to use.

DO IT

The communication skills used in a dialogue include presenting, discussing, asking, listening, responding and summarising.

RECORD IT

For both planning and documentation purposes, it is wise to keep written records of these planned personal dialogues.

TOWARD ASSESSMENT

Here are a few key questions to answer in assessing the planned personal dialogue process in your organisation:

Planned Personal Dialogue Process	YES	NO
1. Do written procedures for our SHEQ activities include planned personal dialogues, or their equivalent?		
2. Have supervisors been trained for conducting these dialogues?		
3. Do we have records of the training?		
4. Do our roles and responsibilities require each supervisor to have at least one planned personal dialogue with each employee each quarter?		
5. Do supervisors keep records of their planned personal dialogues?		
6. Are we using a system to monitor the quality of the planned personal dialogues?		

SHEQ MEETINGS

There are important benefits of group meetings, such as:

- They provide quick communication with many people at once.
- They give everyone involved the same exposure to the messages.
- They enable sharing of viewpoints, experience and expertise.
- They can aid innovation, creativity and problem-solving.
- They can facilitate group consensus and acceptance of action steps.
- They can help to build the facilitator's image as a leader.
- They can create a co-operative climate through effective participation and group interaction.

ACTIVITIES FOR EFFECTIVE MEETINGS

Do you just want a meeting? Or do you want "a meeting of the minds"?

If it's the latter, consider these five activities toward effective meetings, toward a meeting of the minds:
(1) preparation,
(2) presentation,
(3) visualisation,
(4) participation, and
(5) evaluation.

Preparation - A well-led meeting gets under way long before the members assemble around the table. The way you set the stage has a lot to do with how smoothly things will go once the curtain goes up. As a facilitator or leader, there are three kinds of preparation you should be concerned with: (a) preparing yourself (b) preparing the meeting members (c) preparing the physical surroundings.

10 KEYS TO EFFECTIVE LISTENING

These keys are positive guidelines to better listening? In fact, they're at the heart of developing better listening habits that can last a lifetime.

10 Keys to Effective Listening	The Bad Listener	The Good Listener
1. Find areas of interest	Tunes out dry subjects	Opportunities, asks, "what's in it for me?"
2. Judge content, not delivery	Tunes out if delivery is poor	Judges content, skips over delivery errors
3. Hold your fire	Tends to enter into argument	Doesn't judge until comprehension is complete
4. Listen for ideas	Listens for facts	Listens for central themes
5. Be flexible	Takes intensive notes using only one system	Takes fewer notes. Uses 4-5 different systems, depending on speaker
6. Work at listening	Shows no energy output Attention is fake	Works hard, exhibits active body state
7. Resist distractions	Distracts easily	Fights or avoids distractions, tolerates speaker's bad

		habits, knows how to concentrate
8. Exercise your mind	Resists difficult expository material; seeks light, reactional material	Uses heavier material as exercise for the mind
9. Keep your mind open	Reacts to emotional words	Interprets colour words; does not get hung up on them
10. Capitalise on fact thought is faster than speech	Tends to daydream with slow speakers	Challenges, anticipates, mentally summarises, weighs the evidence, listens between the line to tone of voice

Figure 3

Presentation - These are some of the key considerations to keep in mind for a good presentation:

- Start on time
- State the purpose
- Capture their interest
- Speak plainly and loudly enough to be heard in the back of the room
- Maintain eye contact
- Follow the agenda
- Facilitate discussion
- Ask questions / Encourage them to ask questions
- Apply effective listening skills (see Figure 3*)*
- Monitor the time factor
- Properly introduce other presenters, if any, and their topics Recognise and reinforce people for their good questions, contributions and ideas
- Summarise
- Verify action steps (who - what - when)
- End on time

Visualisation - Have you noticed what people tend to say when they really get the message? "I see what you mean." Or, "I get the picture." A vital part of any speech or presentation is to paint clear mental pictures in people's minds; to help them understand and remember.

Visual (and audio-visual) aids are the most commonly used tools for helping to create clear mental pictures. The visual part of presentation is so important that Dr. Irving J. Lee developed a *visibility scale* for rating a presentation's impact.

A communication specialist at North-western University, he based the scale on very careful and rather extensive studies and experimentation. What he called *demonstration* is on the very top of the list. Demonstration includes working models, mock-ups, samples, and the actual items you are talking about. These kinds of things let the observer actually "see" what you mean.

Pictures are high on the scale. This includes videos, photographs, slides, paintings, drawings and transparencies. But if these pictures are to be effective, they must show clearly the point you are trying to make, and they must be handled so that everyone can see them.

Charts are next on the list. This means various kinds of diagrams, line graphs, bar charts, pie charts, schematics, flow charts and so on. These can be very helpful in getting your point across if they are simple, if they show one main idea.

Gestures are next in line. This is the use of the hands and body for description.

Humour is a little lower on the visibility scale. A humorous story can help people get a mental image, can help get them to pay attention and remember, if it is directly related to the point you are trying to make.

Examples are at about the same visibility level as humour. This means incidents, illustrations, scenarios and so forth. Examples which your audience can readily relate to help to make the subject interesting, specific, down-to-earth and memorable. They may also have strong emotional power, which aids presentation success.

Comparisons are grouped with humour and examples regarding visibility level. This is where you help to create a mental picture by pointing out or explaining how what you are talking about is either similar to or different from something else with which your audience is familiar. You connect the new or unfamiliar with the familiar.

Slogans are down the scale a bit. These are the battle cries, the sayings, the catchy phrases that become a type of "communication shorthand" by packing a lot of meaning into a few words.

Quotations are pretty far down Dr. Lee's visibility scale. Quotations from great writers, from poetry or from current writers do lend a bit of increased visibility to presentations. One of the best things along these lines is authoritative testimony. The statements of authorities who are widely recognised usually represent the best thinking on the subject you are presenting, and people will tend to accept them.

Statistics are nearly at the bottom of the list. This relates to figures, ratios, numbers, percentages, averages and so on. Only rarely, very rarely, do your listeners visualise or get a clear mental picture from a lot of facts and figures that you feed them.

Now you can probably guess very easily what is at the bottom of the scale: *wind.* Just plain wind (or "hot air"). Straight talking, reading aloud, or long-winded explanations; continuous verbal detail or an uninterrupted torrent of words - these are very low in visibility.

Participation

Questions can be a tremendous tool for stimulating participation. As a leader/facilitator you can both ask questions and motivate others to ask questions. Here are some of the types of questions that can be used:

- Open questions - invite a true expression of opinion and feelings; show that you are interested and want to understand; cannot be answered "yes" or "no." Example: "How should discipline apply to those involved in accidents?"
- Factual questions - seek data, information, facts and figures. Example: "How many property damage accidents were reported last period?"
- Leading questions - to introduce a thought of your own; suggest the desired answer. Example: "Don't you agree that this is excess absenteeism?"
- Provocative questions - stimulate new thoughts; challenge traditional concepts. Example: "What's your reaction to the idea that something is safe when its risks are judged to be acceptable?"
- Probe questions - to get additional information or to broaden discussion. Example- "How could we go about implementing that suggestion?"
- Decision questions - to agree on a course of discussion or action. Example: "Which of these two proposed investigation forms will be best for us?"
- Justification questions - to challenge a statement or get more substantiation. Example: "Can you tell us where those figures came from?"
- Hypothetical questions - to explore assumptions or suppositions. Example: "What might happen if downsizing eliminates the Safety Co-ordinator position?"
- Directive questions - to direct discussion toward positive factors. Example: *"How much* time do you think this corrective action will save in your department?"

Scenarios, role plays, case studies, brainstorming and problem-solving activities can get people actively and meaningfully involved. They are especially valuable when they tackle real problems and work toward real solutions.

Effective "buzz groups" or team exercises promote positive participation.

As a meeting leader, you set the stage for the type and amount of participation. How you facilitate the meeting, the type of questions you ask, and your communication style are all influential factors.

Evaluation - While there are many excellent meetings, there is no perfect meeting. Continuous improvement is the goal. Systematic and continuing improvement requires evaluation of performance (self-evaluation and/or evaluation by others), and application of what's learned from the evaluation.

Here are a few more questions that may be helpful in assessing the SHEQ meetings in your organisation:

	ASSESSING SHEQ MEETINGS	YES	NO
1	Do our roles and responsibilities require a total of at least one hour for SHEQ meetings in each area?		
2	Do we plan meeting topics in advance?		
3	Do we provide written materials and presentation tips to meeting leaders/facilitators?		
4	Do we maintain meeting records?		
5	Do we ensure that meeting minutes and/or reports are prepared and distributed properly and quickly?		
6	Do our roles and responsibilities require that meeting leaders/facilitators follow-up the meetings' agreements on who's to do what, when?		
7	Do we encourage meeting leaders/facilitators to express special appreciation to those who made special contributions to the meeting's success?		
8	Do we provide initial and refresher training on effective SHEQ meeting leadership/facilitation?		

SHEQ PROGRAMME PROMOTION GUIDELINES

Effective SHEQ programme promotion involves organised attempts to improve attitudes and actions regarding protection of people, property and the environment.

People tend to go through four steps of attitude development: awareness - acceptance - application - assimilation. Effective programmes promotions help people step up these stairs to meet the SHEQ mission.

STEP UP TO THE MISSION

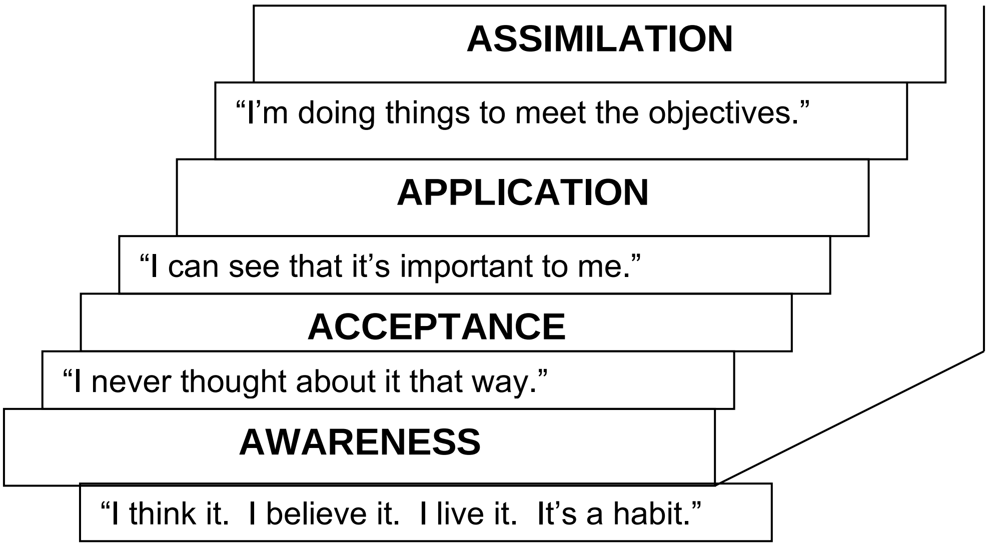

Figure 4

PLAN THE PROMOTION

Clarifying the objectives of the promotion will go a long way toward making it more effective (cost-effective and results-effective). Essentially, this is simply answering the question, "What are we aiming to accomplish?" A more complete framework is provided by Rudyard Kipling's six key questions:

> I kept six honest serving men;
> They taught me all I knew!
> Their names are WHAT and WHY and WHEN,
> And HOW, and WHERE and WHO.

WHAT - What are our objectives? What key points do we want to hammer home? What is the budget? What is the probable return on investment?

WHY - Spell out the need for the programmes. Pinpoint the critical problem(s) at which the promotion is directed. Gather your facts and figures.

WHERE - Where will the programmes apply? Office areas? Plant areas? In the field? Specific departments? Throughout the organisation?

WHEN - Think through the timing. Pick pertinent dates. Establish a workable timetable. Allow adequate lead time for programmes development, for management approvals, for developing and/or securing materials, and for any required training.

HOW - The "how to" is a vital part of planning. Decide what tools and techniques to use; what special meetings are desired; and what specific assignments should be made.

WHO - Who can help plan the programmes? Implement it? Follow-up? Who must approve it? Who will be involved from the work group? From employees' families? From front-line supervisors/team leaders? From middle management? From upper management? From outside sources?

SHEQ CAMPAIGN GUIDELINES

1. **COMMUNICATE CREDIBLY** - Tie in with other aspects of your SHEQ management system. Ensure that the campaign emphasises activities that fit in with the overall system. Avoid asking for activities and behaviours that are contrary to the company culture. Avoid asking for the impossible. Be sure that the campaign centres on things that are believable to workers, team leaders, supervisors and executives.

2. **FOCUS ON CRITICAL PROBLEMS** - Concentrate on the 20% of the problems that result in 80% of the losses. Identify those which have resulted in large or frequent losses, or have high loss potential. Make the campaign theme relevant and it will gain attention, hold interest and promote action.

3. **USE ORGANIZED CAMPAIGNS** - Clarify the objectives of the programmes. Plan for what you intend to accomplish, how, at what cost, when, and where to do what. Implement a well-managed campaign, with all levels of the organisation involved. As the programmes co-ordinator, show that you are ready and able to advise and assist managers and campaign team members in implementing an effective promotion activity.

4. **TAP THE POWER OF REPETITION** - Few people learn and retain easily from their first exposure to ideas and information. So, present the theme in several ways, over a period of time. Properly spaced repetition is a key to maintaining interest and promoting learning.

5. **USE VARIETY** - Present the message and materials in various, innovative, fresh, creative, mind-catching ways. To maintain interest and facilitate desired attitudes and actions, use a variety of methods and media. See Figure 5, "Promotion Aids: A to Z," for some thought-joggers along this line.

6. **ACCENTUATE THE POSITIVE** - Create positive mental attitudes. Emphasise what *to do* rather than what not to do. Gory disaster pictures, "gloom and doom" messages, constant reminders of what's wrong, etc. rarely maintain long-term co-operation and interest.

7. **FOLLOW-UP** - Measure and evaluate the level of participation you are getting, and the results. Let people know what is going right, as well as what is wrong and how to correct it. Take steps to ensure that the concepts are used, referred to, and assimilated into on-going activities and behaviour.

PROMOTION AIDS A TO Z

ANECDOTES
ANNOUNCEMENTS
AUDIO TAPES
AUDIT
AWARDS

BADGES
BALLOONS
BANNERS
BOOKLETS
BULLETIN BOARDS

CAMPAIGNS
CARTOONS
CHALK BOARDS
COACHING
COMMENDATIONS
COMMITTEES
CONTACTS
CONTESTS
COUNSELING

DEMONSTRATIONS
DIAGRAMS
DISCIPLINE
DISPLAYS
DRAWINGS

EQUIPMENT
EXAMPLES
EXHIBITS

FEEDBACK
FILMSTRIPS
FIRSTAID COURSES
FLANNEL BOARDS
FLIP CHARTS

GRAPHS
GUARDS
GROUP MEETINGS

HANDBOOKS
HOUSEKEEPING

INSPECTION
INSTRUCTION
INVESTIGATION

JOB ANALYSIS
JOB INSTRUCTION
JOB ORIENTATION

KANGAROO CLUB
KEY POINT TIPS
KITS
KUDOS

LEADERSHIP
LEAFLETS
LETTERS

MACHINES
MAGAZINES
MOBILES
MOCK-UPS
MODELS
MOTIVATION
MOVIES

NEWSLETTERS
NEWSPAPERS
NOTICES
NOVELTIES

ORDER
ORIENTATION

PAINTINGS
PERSONAL CONTACTS
PERSONAL EXAMPLE
PICTURES
POCKET CARDS
POLICIES
POSTERS
PROCEDURES
PROJECTORS
PROTECTIVE EQUIPMENT

QUESTIONNAIRES
QUIZZES
QUOTATIONS

RADIO
RECOGNITION
RECORDS
REGULATIONS
REINFORCEMENT
REMINDERS
REPORTS
REWARDS
RULES

SAFE JOB PRACTICES
SAFETY CLUBS
SAFETY TALKS
SAFETY TIPS
SCHEMATICS
SIGNS
SLIDES
SLOGANS
STANDARDS
SYMBOLS
SUGGESTION SYSTEMS
SUPERVISION

TAGS
TEAMS
TELEVISION
THEME PROGRAMMESS
TOOLS
TOURS
TRAINING
TRANSPARENCIES

BASIC CAUSES
UNDERSTANDING

VARIETY
VIDEOTAPES
VIGILANCE
VISUAL AIDS
VITAL STATISTICS

WALLET CARDS
WARNINGS
WISE OWL CLUB
WORKSHOPS

X-RAYS

YARNS
YOURSELF

ZEAL
ZEST
ZING

BEHAVIOUR BASED INCENTIVES

A poorly designed award programmes may improve safety statistics, but not safety performance

Promotion programmes often involve contests – incentives – games – prizes – awards. More often than not, award or prize eligibility is based on accident statistics, especially "lost time" injury figures. In other words, if an individual or a group officially does not have the type of accident that results in a lost time injury, for a specified period of time, they get some type of reward. They may have behaved in an unsafe manner, may have caused thousands of rands worth of property damage, may have failed to report their injuries to company personnel – but officially they had no lost time accident, and they get the prize.

You can get much better payoff from your investment in incentives if you include safety behaviours in the award eligibility requirements, rather than basing awards strictly on accident statistics. Contests are likely to be much more effective for safety, health and environmental protection when they require people to: Learn something about SHEQ; Do something for SHEQ; and/or Remember something about SHEQ.

The A-B-C model of human behaviour is known far and wide:

Activator → **Behaviour** → **Consequence**

Activators (stimuli - cues - urges - nudges) lead to behaviours (words - actions performance) which result in consequences (reward - punishment). Here is how this looks as related to contests and prizes:

Incentive → **Behaviour** → **Reward**

The incentive activates the desired behaviour by showing that a reward can be earned for it. The reward is a positive consequence of the behaviour. If people value the reward and believe they are able to earn it, they will tend to perform the behaviour.

Properly designed, a SHEQ incentive programmes is an achievement-oriented process that focuses on what people do for safety, health and environment, and encourages them to do more of it.

OTHER PROMOTIONAL AVENUES

There are many methods and media for promoting people's awareness, acceptance, application and assimilation of SHEQ concepts. Following are some of the most common ones.

Promotion on Paper - Among the oldest ways of getting SHEQ messages across are paper media such as posters, excerpts from the law, rule booklets, standards, handbooks, employee magazines, and newsletters.

Verbal Promotion - A great deal of effective promotion and communication takes place by means of the spoken word. This may be one-on-one or group, formal or informal, taped or live. It may range from a formal, video-recorded message from the top executive, to the 30-second safety tip the supervisor gives the worker.

Audio-Visual and 3-D Promotion - This includes models, mock-ups, videos, sound/slide presentations, audiotapes, exhibits, displays, and actual tools, equipment and objects. Remember, these are at the top of the visibility scale.

Constructive Discipline - When most people think of "discipline" they think in terms of scolding, threatening, reprimanding, and punishing. But this is just one side of the coin - the destructive or negative side. The positive or constructive side should be thought of more often. This is the viewpoint that discipline is *the training and assistance which develop self-control, character, orderliness and efficiency.*

Promoting in Meetings - Weekly SHEQ meetings, facilitated by supervisors or team leaders, are one of the best promotional avenues. They may be called safety meetings, green area meetings, toolbox meetings, pre-job meetings or something else along these lines.

Suggestion Programmes - SHEQ suggestion programmes may be helpful as promotional, motivational tools. With proper planning, organisation, publicity and follow-up, these programmes can bring forth many excellent ideas from the people closest to the hazards - the workers themselves.

Promote with Publicity - Award presentations can be like frosting on the cake, and make a tremendous difference. Awards serve as incentives, help build good will, maintain interest, and provide opportunities for publicity and recognition. To be effective motivators, awards must be seen as meaningful, earned (not a "bribe"), appropriate and special.

And the presentation of awards to the winners should be done in some special way. Often it's a good idea to include the winner's supervisor, family, co-workers and/or others such as top executives and community dignitaries at the presentation. Pictures may be good publicity and promotion too.

Promote with a Good System - The most basic, and most important, way to promote safety, health, environment and quality is to have an effective, professional management system.

TOWARD ASSESSMENT

Here are some key questions to be answered in assessing your SHEQ promotion programmes activities:

	ASSESSING SHEQ PROGRAMMES ACTIVITIES	YES	NO
1.	Do we use the what-why-where-when-how-who approach when planning our promotion activities?		
2.	Do our SHEQ promotion campaigns focus on critical problems?		
3.	Are our contests and incentive systems behaviour based?		
4.	Do we have a group or team recognition process based on behavioural SHEQ performance?		
5.	Do we have an individual recognition process based on behavioural SHEQ performance?		
6.	Are all levels of employees eligible to participate in the recognition process?		
7.	Do we have bulletin boards for posting SHEQ information?		
8.	Are bulletin boards positioned throughout the site so that employees are exposed to SHEQ information several times each day?		
9.	Do our bulletin boards display all legally required postings?		
10.	Do we use SHEQ promotion posters?		
11.	Do we have an internal publication which communicates SHEQ information to all employees?		
12.	Is the internal publication published at least quarterly?		

PROPER TASK INSTRUCTION
Demonstration check sheet

DATE : ________________ INSTRUCTOR'S NAME : __________________________

A **GETTING READY TO INSTRUCT**	**How well was everything planned ?** ❒ Excellent ❒ Fairly well ❒ Very well ❒ Poor ❒ Well **Was the workplace in order ?** ❒ Yes ❒ No **What had to be changed during instruction ?** __________________________________ __________________________________ _______	**Were all tools and supplies in readiness?** ❒ Yes ❒ No **How do you rate the Task Breakdown ?** ❒ Excellent ❒ Good ❒ Fair ❒ Very good ❒ Poor Reason for your rating : __________________________________ __________________________________ __________________________________ _______
B **MOTIVATE**	**Putting the employee at ease was :** ❒ Natural ❒ Overdone ❒ Poorly done **Tell enough to create interest, yet keep it brief:** ❒ Excellent ❒ Fair ❒ Good ❒ Poor	**Find out what learner knew about task** ❒General area ❒Specific job ❒Failed to do this **Make a smooth, natural transition to Step 2** ❒ Excellent ❒ Fair ❒ Good ❒ Poor
C **TELL & SHOW**	**Were "Key Points" stressed ?** ❒ Yes ❒ No **Was instruction completed when necessary ?** ❒ Yes ❒ No **Was the presentation :** ❒ Clear ❒ Complete ❒ Correct __________________________________ **For what did the instructor have to apologise?** **In what way did the instructor fumble ?** __________________________________	**Did the instructor "Jump About" or "Back Track"?** ❒ Yes ❒ No **Did the instructor give too big a dose ?** ❒ Yes ❒ No **How well could you follow the steps ?** ❒ Good ❒ Fair ❒ Poor **What did the instructor forget :** __________________________________ **What strange terms did the instructor use without explanation ?** __________________________________ _______
D **TEST**	**Have the learner DO the task ?** ❒ Yes ❒ No **Correct errors at once ?** ❒ Yes ❒ No **Ask questions that couldn't be answered "Yes" or "No" ?** ❒ Quite a lot ❒ A few ❒ Hardly any	**Have the learner TELL as the task was performed?** ❒ Yes ❒ No **Have the learner DO and explain "KEY POINTS"?** ❒ Yes ❒ No **Was the instructor :** ❒ Yes ❒ No ❒ No **Make a smooth transition to Step 4?** ❒ Yes ❒ No

E **CHECK**	**Put the employee on their own ?** ❒ Yes ❒ No	**Tell employee to whom to go for help ?** ❒ Yes ❒ No
F **OVERALL**	**Overall performance as an instructor :** ❒ Excellent ❒ Fair ❒ Very good ❒ Poor ❒ Good **Did the instructor appear to have a plan ?** ❒ Yes ❒ No **Did instructor follow it ?** ❒ Yes ❒ No	**What were the instructor's weakest points?** **What were the instructor's strongest points?** **Did the instructor appear to have a know-ledge of the task being taught ?** ❒ Yes ❒ No

JOB PERFORMANCE COACHING PRACTICES CHECKLIST

1. Poorly : Critical need for improvement
2. Fairly well : Moderate need for improvement
3. Very well : Little need for improvement

1. HOW WELL DO I DEFINE WHAT IS EXPECTED ?

a. Describe job responsibilities and duties ? 1 2 3
b. Describe performance goals and standards; measurement yardsticks, results expected ? 1 2 3
1 2 3
c. Use appropriate written descriptions to supplement discussions ? 1 2 3
d. Model desired behaviour ?

2. HOW WELL DO I AID PERFORMANCE OPPORTUNITY ? 1 2 3

a. Ensure effective job instruction and skill training ? 1 2 3
b. Delegate duties and responsibilities ? 1 2 3
c. Provide proper materials, equipment and environment ? 1 2 3
d. Co-ordinate required services of other people and departments ?

3. HOW WELL DO I OBSERVE AND APPRAISE PERFORMANCE ? 1 2 3

a. Use both informal and planned performance observation ? 1 2 3
b. Review records and results ? 1 2 3
c. Concentrate on objective, measurable, job-related factors such as attendance, accuracy, quantity and quality of work and other things covered by performance standards ? 1 2 3
1 2 3
d. Take notes and use appropriate forms ? 1 2 3
e. Evaluate significance of performance variances from standards ?
f. Include both plus and minus factors ? 1 2 3

4. HOW WELL DO I PROVIDE PERFORMANCE FEEDBACK ? 1 2 3

a. Provide feedback on performance, problems and progress ? 1 2 3
b. Use incidents; get down to cases, discuss performance, not personality ? 1 2 3
c. Use questions; ensure two-way communication, learn to listen and listen to learn ? 1 2 3
1 2 3
d. Include significant pluses and minuses ?

e. Seek basic causes ….. reasons for results ?	1 2 3
f. Strive for agreement on how the person is doing and why ?	1 2 3
5. HOW WELL DO I TAKE CORRECTIVE MEASURES ?	1 2 3
a. Develop specific improvement plans ?	1 2 3
b. Correct by re-instruction, reminders, reviews and refreshers ?	
c. Use punishment as last resort ?	1 2 3
d. Use problem-solving approach ?	1 2 3
6. HOW WELL DO I REINFORCE POSITIVE PERFORMANCE ?	1 2 3
a. Give rewards on the basis of results and improvement ?	1 2 3
b. Give immediate recognition for desired (efficient, safe, productive) behaviour ?	
c. Emphasise attention, approval, assistance, success, satisfaction and support ?	
d. Make a habit of reinforcing positive performance, to make positive performance a habit ?	1 2 3
7. HOW WELL DO I EMPHASISE GOALS, RESULTS AND GROWTH ?	
a. Motivate with goals that :	1 2 3
- are specific, clear and communicated ?	1 2 3
- are relatively simple and short-range ?	
b. Motivate with goals that :	1 2 3
- are realistically attainable ?	
- provide challenge or “stretch?”	1 2 3
c. Coach on the basis of significant, verifiable job results ?	
d. Help employees learn from experience by tracing performance from consequences back to causes ?	
e. Make my coaching goal “to help people perform as effectively as possible :	
- to grow at work ?	

The Difference between Assertive and Aggressive

Respect the other viewpoint or behavior and respect your own says Marsha Egan

There is a lot of confusion about being assertive vs being aggressive. Here is some guidance, or at least food for thought that might add some clarity.

Assertive behaviors

- Assertive people are not afraid to express their opinions, and honor themselves by standing up for their beliefs.
- Assertive people respect others as equals, with the intention of exuding mutual respect.
- Assertive people are not afraid to express their needs to others.
- Assertive people value a fair exchange of ideas.
- Assertive people have no intention of hurting anyone, including themselves.
- Assertive people look for the win:win.

Aggressive behaviors are the converse

- Aggressive people come across as needing to win.
- Aggressive people see hurting another as a bi-product of a “successful” communication or negotiation.
- Aggressive people come across as attacking.
- Aggressive people are self-focused instead of solution centered.
- Aggressive people feed into others’ fears rather than confidence.

A word of caution

The caution about trying to avoid aggressiveness, and replacing it with assertiveness is that some people will take it too far the other way… they will elect a passive approach, and assert themselves less than warranted or even not at all.

This defeats the purpose of sticking up for yourself, standing your ground, and having conversations that need to be had. It honors others at the cost of sacrificing themselves. The passive approach avoids hurting others at the expense of hurting yourself.

Consequences

Asserting yourself, although never intended, might hurt others. This is a possible consequence of standing your ground. We can’t really know how others will react, and some may not react positively. The key is that assertiveness is respectful. And if you are truly respectful in the way you assert yourself, the hurt may be minimized.

The grid

When you apply an assertive approach, you’re reflecting equality of respect. In other words, you not only respect the other viewpoint or behavior, but you respect your own. With aggressiveness, you respect your own, but not others. And with passiveness, you effectively disrespect yourself and raise the level of the other side.

	You	They
Assertiveness	Win	Win
Aggressiveness	Win	Lose
Passive	Lose	Win

The bottom line as I see it is that assertive people respect others and themselves equally. When you approach any communication with a win:win focus, you will improve your chances of a successful result.

Who or what?

Wearing my coaching hat, the coaching question becomes “Is it who you are, or what you do?” So, is being assertive (in appropriate circumstances) who you are or is it just something you do? I suggest that it is most powerful and effective when it becomes WHO you are. And that means respectful, caring, communicative, and honoring yourself and your needs at times when appropriate.

Conflict Management Strategies

Without a go-to conflict resolution technique for your workplace, two very different individuals may have a hard time communicating while under stress. That's why it's essential for managers and employees alike to understand each team member's typical way of handling conflicts, as well as how to implement conflict resolution techniques.

But is there a right way to address conflict in the workplace? As it happens, there are five different "personalities" or techniques people use when faced with conflict: avoidance, competition, accommodation, compromise and collaboration. The way you handle conflict may feel totally normal to you but foreign to another person, so there's only one ideal solution: collaboration.

As a manager, you manage not only projects but also personalities. Sometimes, strong personalities can lead to tension that ultimately affects the success of the project. It's in everyone's best interest to successfully handle conflict at work. Read on to learn about the difference between these two conflict resolution techniques, why collaboration is ideal and how to implement conflict-resolution strategies in the workplace for the best outcomes.

The Relative Nature of Conflict and Its Resolution

Personality and upbringing influence the way we handle conflict. Think about it this way. In some households, it's completely normal to walk away from conflict and never bring it up again. In other families, problems are discussed rationally until a compromise is reached, while some families resolve their problems with dramatic flair.

Imagine having three team members who were each raised in a different one of these environments. One is going to walk away, another is going to attempt to have a conversation and the third might raise her voice and become emotional. Each one thinks they're handling conflict in a normal way and views the behavior of the other two co-workers as odd.

Conflict management's definition is an attempt to bring everyone on the same page with a process for addressing difficult scenarios. However, for these techniques to be successful, each employee must be trained in the process to give everyone common ground.

Understanding Your Team's Makeup

The first conflict resolution strategy involves getting into a team huddle to discuss conflict management before a problem occurs. While workplace conflicts can happen between employees and upper management or employees and customers, most conflicts occur between employees who spend most of their time together.

Ask everyone to think about how they are most comfortable handling conflict in their daily lives. Common ground might exist already.

Five common conflict resolution behaviors are:

- Avoidance
- Competition
- Accommodation
- Compromise
- Collaboration

Avoiding the Conflict

Avoidance involves walking away and ignoring the conflict entirely, doing nothing that might be perceived as rocking the boat. This feels safe to the individual but does not solve the problem. The problem might even worsen if it's left unaddressed.

In a team setting, one person may pick up the slack of a co-worker who avoids conflict, which can lead to frustration and resentment. If everyone on the team has an avoidance strategy, productivity is low when a problem arises because no one wants to step up to the plate.

It's easy for someone who leans toward this conflict resolution style to accommodate another person's wishes because they'd rather agree with someone to resolve the conflict. However, their needs don't get met this way, which can cause problems down the road.

Competing to Win Conflicts

Some people view conflict as a chance to win. They have no interest in compromising, collaborating or avoiding the conflict. They want to get their way and aren't afraid to assert their opinions.

In a team environment, a competitive attitude toward conflict can easily slide into bullying. It can also cause frustration among co-workers who don't feel like their points of view are taken seriously. As frustration builds, co-workers can end up taking a competitive approach to conflict resolution, and the problem escalates.

Compromise represents the only option that allows someone with this mindset to win, although settling on a compromise can still involve a power struggle.

Accommodating the Other Person

Team members who aren't necessarily afraid to talk through conflict may nonetheless never have any demands of their own. Instead, they bend over backward to accommodate the other person's demands and iron out the conflict.

An accommodating conflict resolution technique does not allow all viewpoints or information to be brought to the table. Accommodating people inevitably hold back their frustration or downplay their feelings. Over time, this can cause frustration to build and leads to an expectation among the assertive co-workers that they'll always get their way.

Ideally, accommodating people can be encouraged to state their needs during conflict management sessions to move toward collaboration.

Compromising During Conflicts

A compromising conflict resolution strategy aims to settle on a solution that's deemed fair. Everyone works together, so no one completely gets their way. Instead, each team member makes a sacrifice to ensure everyone has a small consolation prize.

Compromise sounds excellent at the outset, but a solution that's fair is not always a solution that's effective. This conflict resolution strategy is still too focused on competition and misses a major point: What does each person need? That's where collaboration comes into play.

Collaborating to Find a Solution

Collaboration maximizes the assertiveness and cooperation capabilities of each team member. Everyone speaks up to state their needs, and after the full picture has been painted, the team cooperates to do what's necessary to meet everyone's needs to the greatest extent possible. Everyone leaves happy.

Of course, collaboration may not always be possible, but it's worth striving for. Too often, conflicts arise due to misunderstandings and poor communication. If everyone on the team is willing to state their needs and help meet the needs of others, a truly collaborative environment is born.

Coaching Your Team Toward Collaboration

After you have your team together and understand the kind of conflict resolution technique each person typically falls back on, you can give them personalized guidance in what they need to do to collaborate at work. Some team members may need to be more assertive, and others may need to be more cooperative. You can act as a mediator in the early stages and help individuals through the process.

In theory, each person involved in the conflict states their needs. After that, they brainstorm a resolution that meets those needs. When both parties agree on the resolution, it's time to implement it. As time goes on, your team will become comfortable enough with the process to handle it themselves, seeking your guidance only when they feel stuck.

However, the process is not straightforward in practice. Real-life is messy, and real people are emotional. You should set some ground rules to make sure conflict management sessions remain focused and don't spiral into finger-pointing behavior.

Ground Rules for Conflict Resolution Techniques

Give your team some autonomy in this process by allowing them to give input on the ground rules. The list doesn't need to be long, but it needs to cover what co-workers expect from each other when there's a problem. Set this up ahead of time, before anyone loses their cool due to a conflict.

For example, "I" language is recommended for conflict management instead of "you" or "they," which typically precedes a statement of blame. Instead, if team members focus on saying "I," they take ownership of the situation and narrow in on what they can do to solve it. Another ground rule might be to only focus on the issue at hand and not to bring up past examples of similar problems. This allows the conversation to remain solution-oriented.

After all, the goal of conflict resolution in the workplace is to help everyone do their job. There's no point in turning a conflict into a personal vendetta. Not every decision is a personal strike against someone. For successful conflict resolution, focus on the job and what's needed to accomplish it.

The Manager's Role in Conflict Resolution

Although you should train your employees to handle conflict according to the guidelines established as a company or team, you play a pivotal role as a manager in curtailing conflict and resolving it. Have you ever considered that you may inadvertently create conflict within your team?

Success starts with giving clear instructions and ensuring your team understands your expectations. Be as specific as you can when assigning tasks and covering the who, what, when, where, why and how. Be sure not to trespass into micromanagement territory when you do.

Learn how to be an active listener. Listen with the intent to understand, not to reply, and use your body language to show the speaker that you are attentive and following along. Remain professional and unbiased in all of your interactions to earn and maintain the respect of your team. Avoid meeting with people individually. Group meetings ensure there are no doubts about special treatment behind closed doors.

If there's a chance that someone might misconstrue your message or tone in an email, pick up the phone. If you're setting unreasonable deadlines and creating a bottleneck somewhere, fix it.

You might not realize that you contributed to a problem until you're mediating a conflict resolution session, in which case you should speak up and state your own needs and become an active participant in the collaboration session. Bring in someone else to act as the mediator if needed, as this will showcase your integrity and earn your team's respect.

Know When to Take a Break

Sometimes everyone needs to take a break before they can come together, follow the ground rules and collaborate to get things done. If you feel like emotions are running higher than normal, suggest that everyone take a 10-minute break to let off some steam before beginning the conflict resolution session. A brisk walk outside, some alone time listening to music or deep breathing techniques can calm nerves.

It can also be helpful to encourage people to take their time responding during the moment. Give everyone a turn to speak during which they are not interrupted. This gives them some time to gather their thoughts and truly respond, not knee-jerk react, to what has been said. It also prevents a strong personality from dominating the session.

Finally, if you notice that you're spending an inordinate amount of time resolving conflicts, especially those involving the same people, you may need to ask for help. Someone higher up in the company may have more conflict resolution experience and can guide you, or you can consult with a conflict management coach. However, as much as you try to solve conflicts, sometimes, you may end up trying to fit a square peg in a round hole. A position on a different team in the company might work out better for an employee who can't get along with a current team member.

Being assertive:

Reduce stress, communicate better

Assertiveness can help you control stress and anger and improve coping skills. Recognize and learn assertive behavior and communication.

Being assertive is a core communication skill. Being assertive means that you express yourself effectively and stand up for your point of view, while also respecting the rights and beliefs of others.

Being assertive can also help boost your self-esteem and earn others' respect. This can help with stress management, especially if you tend to take on too many responsibilities because you have a hard time saying no.

Some people seem to be naturally assertive. But if you're not one of them, you can learn to be more assertive.

Why assertive communication makes sense

Because assertiveness is based on mutual respect, it's an effective and diplomatic communication style. Being assertive shows that you respect yourself because you're willing to stand up for your interests and express your thoughts and feelings. It also demonstrates that you're aware of the rights of others and are willing to work on resolving conflicts.

Of course, it's not just what you say — your message — but also how you say it that's important. Assertive communication is direct and respectful. Being assertive gives you the best chance of successfully delivering your message. If you communicate in a way that's too passive or too aggressive, your message may get lost because people are too busy reacting to your delivery.

Assertive vs. passive behavior

If your style is passive, you may seem to be shy or overly easygoing. You may routinely say things such as "I'll just go with whatever the group decides." You tend to avoid conflict. Why is that a problem? Because the message you're sending is that your thoughts and feelings aren't as important as those of other people. In essence, when you're too passive, you give others the license to disregard your wants and needs.

Consider this example: You say yes when a colleague asks you to take over a project, even though your plate is full, and the extra work means you'll have to work overtime and miss your daughter's soccer game. Your intention may be to keep the peace. But always saying yes can poison your relationships. And worse, it may cause you internal conflict because your needs and those of your family always come second.

The internal conflict that can be created by passive behavior can lead to:

- Stress
- Resentment
- Seething anger
- Feelings of victimization
- Desire to exact revenge

Assertive vs. aggressive behavior

Now consider the flip side. If your style is aggressive, you may come across as a bully who disregards the needs, feelings and opinions of others. You may appear self-righteous or superior. Very aggressive people humiliate and intimidate others and may even be physically threatening.

You may think that being aggressive gets you what you want. However, it comes at a cost. Aggression undercuts trust and mutual respect. Others may come to resent you, leading them to avoid or oppose you.

Assertive vs. passive-aggressive behavior

Now consider passive-aggressive behavior. If you communicate in a passive-aggressive manner, you may say yes when you want to say no. You may be sarcastic or complain about others behind their backs. Rather than confront an issue directly, you may show your anger and feelings through your actions or negative attitude. You may have developed a passive-aggressive style because you're uncomfortable being direct about your needs and feelings.

What are the drawbacks of a passive-aggressive communication style? Over time, passive-aggressive behavior damages relationships and undercuts mutual respect, thus making it difficult for you to get your goals and needs met.

The benefits of being assertive

Being assertive is usually viewed as a healthier communication style. Being assertive offers many benefits. It helps you keep people from walking all over you. It can also help you from steamrolling others.

Behaving assertively can help you:

- Gain self-confidence and self-esteem
- Understand and recognize your feelings
- Earn respect from others
- Improve communication
- Create win-win situations
- Improve your decision-making skills
- Create honest relationships
- Gain more job satisfaction

Learning to be more assertive can also help you effectively express your feelings when communicating with others about issues.

Learning to be more assertive

People develop different styles of communication based on their life experiences. Your style may be so ingrained that you're not even aware of what it is. People tend to stick to the same communication style over time. But if you want to change your communication style, you can learn to communicate in healthier and more effective ways.

Here are some tips to help you become more assertive:

- **Assess your style.** Do you voice your opinions or remain silent? Do you say yes to additional work even when your plate is full? Are you quick to judge or blame? Do people seem to dread or fear talking to you? Understand your style before you begin making changes.
- **Use 'I' statements.** Using "I" statements lets others know what you're thinking or feeling without sounding accusatory. For instance, say, "I disagree," rather than, "You're wrong." If you have a request, say "I would like you to help with this" rather than "You need to do this." Keep your requests simple and specific.
- **Practice saying no.** If you have a hard time turning down requests, try saying, "No, I can't do that now." Don't hesitate — be direct. If an explanation is appropriate, keep it brief.
- **Rehearse what you want to say.** If it's challenging to say what you want or think, practice typical scenarios you encounter. Say what you want to say out loud. It may help to write it out first, too, so you can practice from a script. Consider role-playing with a friend or colleague and ask for blunt feedback.
- **Use body language.** Communication isn't just verbal. Act confident even if you aren't feeling it. Keep an upright posture, but lean forward a bit. Make regular eye contact. Maintain a neutral or positive facial expression. Don't cross your arms or legs. Practice assertive body language in front of a mirror or with a friend or colleague.
- **Keep emotions in check.** Conflict is hard for most people. Maybe you get angry or frustrated, or maybe you feel like crying. Although these feelings are normal, they can get in the way of resolving conflict. If you feel too emotional going into a situation, wait a bit if possible. Then work on remaining calm. Breathe slowly. Keep your voice even and firm.
- **Start small.** At first, practice your new skills in situations that are low risk. For instance, try out your assertiveness on a partner or friend before tackling a difficult situation at work. Evaluate yourself afterward and tweak your approach as necessary.

When you need help being assertive

Remember, learning to be assertive takes time and practice. If you've spent years silencing yourself, becoming more assertive probably won't happen overnight. Or if anger leads you to be too aggressive, you may need to learn some anger management techniques.

If despite your best efforts you're not making progress toward becoming more assertive, consider formal assertiveness training. And if certain issues such as anger, stress, anxiety or fear are getting in your way, consider talking with a mental health provider. The payoff will be worth it. By becoming more assertive, you can begin to express your true feelings and needs more easily. You may even find that you get more of what you want as a result.

Principles, theories and methods of effective communication

Understanding Individuals: Principles, theories & Methods of effective communication

This section covers:

- Principles, theories and methods of effective communication

Definition

The Oxford English Dictionary defines *communication* as "the imparting, conveying, or exchange of ideas, knowledge and information'. This can apply to words or body language.

Effective Communication

Lasswell introduced an important model of five levels of communication identified from his experiences in the second world war, elements of which survive in more developed modern models:

- Who: the source
- Says What: the message
- In Which Channel: through what channel or medium
- To Whom: the audience
- To What Effect: the desired effect??

The Five Ws

Lasswell's (1948) model has been further developed and modernised and is now referred to as the 'Five Ws' and this model has been widely used, particularly when managing change. However, addressing the 'Five Ws' is an essential element of all communication, getting this right is the first step in the process and is dependent upon what is required to be communicated at the time. This is particularly important when managing change in an organisation.

Who should be told?

Everyone who needs to be told about something should be told. It is advisable to relate the communication to all as soon as possible. Openness is the key to making everyone feel involved (although there will always be some things which are not disseminated as widely as others).

Where appropriate, communicate widely so that individuals are given the opportunity to influence the process and local ownership is gained. Barriers can also be identified and overcome.

When should they be told?

The time to communicate with relevant people should be carefully considered. It might be within a set meeting or a one-off arrangement. If the communication covers a wide range of people where possible it is desirable that discussions take place at the same time to avoid confusion, spread of rumours or misunderstandings.

If internal and external stakeholders are involved, internal staff should be communicated with prior to external stakeholders; this is to prevent staff hearing from other sources, including the media.Key communications should be made as soon as possible following a significant event or decision.

What should they be told?

Clear messages, related to the subject or problem. In complex situations it is advisable to create a shared meaning and understanding, this can be done by:

- checking back with the recipients through an iterative process
- let them ask questions
- asking for clarification of what they have understood being clear that words, behaviours and symbols are not misunderstood or misinterpreted.

Where should the message be conveyed?

Choose the most effective medium to get your message across, this could be in meetings, seminars, press releases etc. Make time to communicate properly, do not do it in the corridor, in the toilet or the car park. This leads to gabbled and garbled messages and can contribute to the 'grape vine'.

Who should control the communications process?

The most appropriate person depending on the subject. If it involves external agencies include the Press Officer.

The Message

William McGuire (1981) adds a further dimension to communication. Instead of having only an X axis with Source, Message, Channel, and Receiver which he calls "input factors", he adds a Y axis comprised of Attention, Liking, Comprehension, Yielding, Remembering, and Action, which he calls "output factors."

	Source	Message	Channel	Receiver
Attention				
Liking				
Comprehension				
Remembering				
Action				

Since **McGuire** combines the traditional S-M-C-R uni-dimensional model with factors on the Y axis, we have a more sophisticated way of thinking about and analysing communication. In fact his two dimensional matrix is useful for analysing the effectiveness of persuasive communication both before and after the fact.

In addition to **McGuire's** dimensions there are also three other elements that are vital for all social or business interaction through communication:

- Use of language: the understanding of what people hear can be changed by loudness, intonation, clarity, use of jargon, aggressive words, and colloquialisms.
- Behaviour: in face to face meetings body language can affect the whole meaning of communication, for example frowning, arms folded and legs apart, pointing fingers, looking bored versus animated voice and eyes, smiling face and positive arm movements. **Charles Brower** summed this up in this quote…
  "A new idea is delicate. It can be killed by a sneer or a yawn. It can be stabbed to death by a quip and worried to death by a frown on the right man's brow."
- Other symbols, for example hand-outs, presentations, stage props, examples of work etc.

Getting over the right message is complex as the meaning of the message may be:
- *misunderstood*
- *misinterpreted*
- *misheard*
- *ignored*
- *perceived as irrelevant*

Delivering the 'right' message

Careful thought on how the message is delivered is required, taking into account:
- *What are we trying to convey?*
- *What are we inadvertently conveying?*

Confucius wrote..

'If language is not correct, then what is said is not what is meant.
If what is said is not what is meant, then what ought to be done remains undone'.

Monroe's Motivation Sequence

Monroe's Motivated Sequence (1935), whilst written to support people making persuasive speeches, is a useful reminder of the key as they are the same for all communication and action.

Attention Step

- Get the attention or your audience. This can be done with a detailed story, shocking example, dramatic statistic, quote, etc. This is part or your introduction (in addition to stating your thesis, giving a preview of your main points, mentioning your credibility, and telling your audience why the topic is of concern to them).

Need Step

- Show the problem exists, that it is a significant problem, and that it won't go away by itself. Document your statements with statistics, examples, etc.
- Offer a clear concise statement of the need.
- This is the central idea.
- Tell them what you are going to tell them.
- Establish expectation.

Illustration

- Present one or more illustrations and/or specific instances to give audience idea of nature and scope of the problem.

Ramification

- Use supporting materials, statistics, testimony, etc. to drive point home.

Pointing

- Point out how issue or problem affects audience's health, security, etc.

Satisfaction

- Offer solutions for the problem you have shown exists in the Need Step. These are solutions that the government or society as a whole can implement. You must satisfy the need.
- Includes:

Initial Summary

- State in advance what your main ideas are.

Detailed Information

- Discuss in order the information for each of the main ideas.

Final Summary

- Tell them what you said.

Visualisation Step

- Tell us what will happen if we don't do something about the problem. Be graphic.
- Primary strategy is to project audience into future and accepting or denying your proposals.
- In informative speeches this step may be used to suggest the pleasure that may be gained from this knowledge.

Action Step

Required when action is an essential output.

- Offer alternatives to your audience that they can do *personally* to help solve the problem you have shown exists. Again, be very specific and very realistic.
- Motivate staff to get out and do something! Wrap up loose ends by giving a review of points and restating your thesis, and then conclude the speech.

Models of Communication

Model of Communication	Advantages	Disadvantages
One to one	• time for the individual • the individual has the opportunity to voice clear opinions without the influence of others	• the manager is likely to have more of a voice • open to manipulation • only the leader gets the overall picture • time consuming
Cascade	• can reach more staff • makes middle managers feel involved	• the message becomes diluted, incorrect or forgotten • some people will not hear the message at all

One to one endorsement within a group	• the team has more control over the content of the decision and can therefore ensure that the rationale remains intact • there are fewer hidden agendas to second guess and negotiate • it is easier to achieve individual commitment and with each endorsement, to build a sense of a collective bandwagon beginning to roll	• people respond in a private capacity. Is this enough if the going gets rough? Will they change their mind? • The evidence itself is subject to rather less discussion than it would receive in a larger group
Round table management led consensus	• Ensures that the message is heard the same by everyone • Everyone hears the opinions of others • Open communication channels	• might not be candid about the obstacles and opportunities • less likely to feel the need to defend their own corner • professionals often feel obliged to disagree then then come up with consensus • difficulty in getting everyone together at the same time.
Round table consensus for a group decision	• Ensures that the message is heard the same by everyone • Everyone hears the opinions of others • Open communication channel	• no leader to keep the communication focussed • no control over the group's activities • potentially no outcomes

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