Leadership Toolkit

Lesson 3: Stakeholder Mapping Analysis

Introduction:

Description: Stakeholder Mapping is a technique to analyze those who are involved in, interested in, and most importantly, affected by the work done by an organization. It is designed to determine which stakeholders need to be satisfied, managed closely, kept informed, or monitored with minimal effort for your work to be successful. In general, it identifies those with whom an organization must communicate to accomplish their vision and mission. It can be done for a specific project or day-to-day work.

Description:

Stakeholder Mapping typically takes places in three stages.
1. Identify stakeholders.
2. Prioritize stakeholders.
3. Understand key stakeholders.
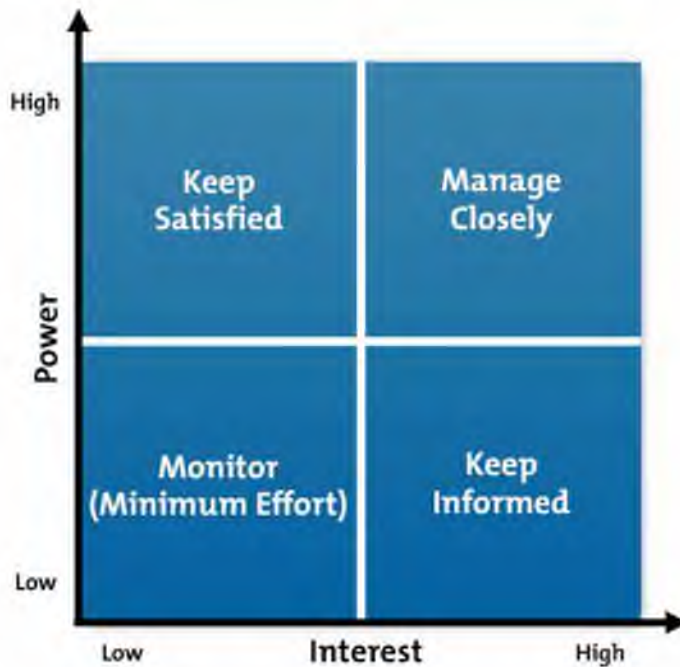
Stage 1: Identify Stakeholders

Brainstorming is an effective technique for identifying the stakeholders who are involved in, interested in, and affected by the work done by an organization. This may include leadership and management who have influence over the work, employees who conduct the work, partners who collaborate on the work, and customers who benefit from the work. This list could include:

- Managers, leaders, and senior executives
- Coworkers and employees
- Customers and prospective customers
- Shareholders, lenders, and analysts
- Government entities and trade associations
- The media and interest groups
- The general public and community
- Families and friends

Stage 2: Prioritize Stakeholders

Once stakeholders have been identified, the next step is to determine the degree to which each stakeholder has power over and interest in the work. This can be done using a stakeholder map. The map allows an organization to classify stakeholders into four categories:

1. High-power, interested people, who must be managed closely

2. High-power, less-interested people, who must be kept satisfied

3. Lower-power, interested people, who must be kept informed

4. Lower-power, less-interested people, who must be monitored with minimal effort

Visual of stakholder map (More information can be found at https://www.mindtools.com/pages/article/newPPM_07.htm)

Stage 3: Understand Key Stakeholders

The following questions provide a basis for understanding stakeholders:
- What motivates stakeholders, either emotionally or financially?
- What information do they want?
- What's the best way to communicate with them?
- What their opinion of the work now?
- What influences their opinions?
- What will improve their opinion?
- Who else might they influence?

Once stakeholders are understood, they can be plotted on the map individually. This allows the organization to ensure that the needs of each stakeholder or stakeholder group are addressed appropriately.

Visual of stakeholder map (More information can be found at https://www.mindtools.com/pages/article/newPPM_07.htm)

Once a stakeholder map is complete, it is often followed by creating an action plan. This helps the organization identify specific steps to address the needs of all of its stakeholders, and gain the support it needs for the work to be successful.

Applicability:

Stakeholder maps are useful for determining how to address stakeholder needs when working to gain support for an organization, program, or initiative. It helps to identify which stakeholders or stakeholder groups require the most attention and which stakeholders are already on board. It can be a foundation for an action plan or a strategic plan, and can help an organization move forward.

Resources:

Sample Stakeholder maps can be found at the following link: https://www.mindtools.com/pages/article/newPPM_07.htm

Lesson 3: Cialdini's Principles of Persuasion

Introduction:

Dr. Robert Cialdini has spent more than 30 years studying why people make the decisions that they do. He has synthesized his findings into six principles of persuasion that people can use to influence the decisions of others.

Description:

Principle 1: Reciprocation. If you give something to someone or do something for someone, they will feel obligated to give you something or do something for you in return. This is why free samples are such an effective means of marketing.

A 2005 experiment by Randy Garner demonstrated that people who received a hand-written sticky note requesting their assistance on a survey were more than twice as likely to complete the survey than those who did not. The quality of their responses was also better.

Principle 2: Social Proof. People will be more likely to do something if they believe other people are also doing it, especially people who are similar to themselves.

Cialdini conducted a study on the propensity of hotel guests to reuse their towels based on different methods of suggestion. They placed signs in hotel rooms stating:
- Reusing the towels helped the environment. A total of 38 percent reused their towels.
- The hotel would donate end-of-year savings to an environmental cause. A total of 36 percent reused their towels.
- The hotel had already donated, and asked, "Would you please join us?" A total of 46 percent reused their towels.
- The majority of hotel guests reused their towels at least once each day. A total of 48 percent reused their towels.

Note that the fourth sign cost the hotel nothing.

Principle 3: Commitment and Consistency. People do not like to back out of deals. Once they have publically committed to something, they are more likely to follow through with it. They do like to follow pre-existing attitudes, values and actions.

In a 1987 study, Anthony Greenwald asked potential voters on the day before the election if they planned to vote. All participants said yes. A total of 86.7 percent of those voters did in fact vote on election day, compared to 61.5 percent of voters who were not asked.

Principle 4: Liking. People prefer to say yes to people they like, find attractive, are similar to themselves, or who compliment them.

Another finding by Garner in 2005 was that if a person was sent a survey signed by a person with a similar name, they were almost twice as likely to fill out the survey than if the person had a different name.

Principle 5: Authority. People respect those in positions of authority, especially when the person has an air of credibility about them, such as a uniform, high-class clothing, or expensive cars or accessories.

During a famous 1974 experiment at Yale University, participants were asked to slowly increase the voltage of shocks applied to a person in another room. (These people were acting, and were not actually connected to the electricity.) The study administrators wore white lab coats and projected an air of authority. Participants continued to increase the voltage even after hearing screams from the other room, because they were encouraged by the study administrators.

Principle 6: Scarcity. The less there is of something, the more people want it.

In 1985 the Coca-Cola Company conducted taste tests to determine how the public would respond to the sweeter new Coke. In blind taste tests, 55 percent preferred new Coke, but in tests when the subjects knew which was which, 61 percent preferred new Coke. Cialdini suggests that Coco-Cola misunderstood these results, thinking that the public wanted something new, when in fact they wanted what they couldn't have. Once new Coke became widely available, and the old Coke was hard to find, the demand for old Coke was overwhelming.

Resources:
Article called [Dr. Robert Cialdini and 6 principles of persuasion](http://www.influenceatwork.com/wp-content/uploads/2012/02/E_Brand_principles.pdf) (More information can be found at http://www.influenceatwork.com/wp-content/uploads/2012/02/E_Brand_principles.pdf)

Lesson 3: Strengths, Weaknesses, Opportunities, Threats (SWOT) and Political, Economic, Sociological, Technological, Legal, Environmental (PESTLE)

Introduction:

SWOT is a business analysis tool used to understand the internal and external factors that could influence the degree to which an organization will be able to meet its goals and objectives. Strengths and Weaknesses represent the internal factors, and are typically under the organization's control. Opportunities and Threats represent the external factors and are typically outside of the organization's control. It is often used in strategic planning, when a business is in crisis, or when there is a significant change on the horizon. The objective of SWOT is to reveal positive forces and potential problems that need to be addressed or at least recognized so strategies can be identified.

PESTLE is another business analysis tool that focuses more specifically on external factors and is often conducted as part of the Opportunities and Threats examination of a SWOT analysis. A PESTLE analysis looks at Political, Economic, Sociological, Technological, Legal, and Environmental factors that could impact the way an organization operates or performs.

Description:

Data Acquisition: Determine what data need to be collected and who is responsible for the collection.

Potential data to collect about opportunities and threats (external factors). This is where a PESTLE analysis is helpful.

- **Political:** What is happening politically within the organization's environment relating to policies, regulation, taxes, etc.
- **Economic:** What economic factors could influence the organization
- **Sociological**
- **Technological**
- **Legal**
- **Environmental**

Potential data to collect about strengths and weaknesses (internal factors). The acronym PRIMO-F is helpful for this step.

- **People:** Do the people have the adequate skills?
- **Resources:** Are there adequate resources available?
- **Innovation:** Does the organization consider new ideas?
- **Marketing:** How does the customer know what the organization does?
- **Operations:** How is the organization managed?
- **Finance:** What are the prices, costs, and budgets?

Data Interpretation: Once data are collected, they are typically displayed in a list or matrix. Consider each category as a chance to take action for the future as noted in the matrix below. Prioritize the findings based on what issues are most immediate and most important. Also, make sure to have the

most accurate and pertinent data. For example, the fact that the organization is not meeting its small business goals is probably more important and more immediate than the fact that there is limited storage space. However, if it is October 5 (at the start of the fiscal year) and the lack of storage space is inhibiting work activity, the storage space issue might actually be more important and immediate.

SWOT Matrix	Positive Factors	Negative Factors
Internal Factors	Strengths to maintain and build upon	Weaknesses to be improved
External Factors	Opportunities to take advantage of	Threats to be addressed

Action Planning:

Once the data have been interpreted, the next step is to determine what actions are necessary to use the data. As indicated in the matrix, how can the organization maintain and build upon current strengths, improve areas of weakness, take advantage of potential opportunities, and address possible threats? For each step in the action plan, it is important to identify:

- The specific action to be taken
- The person or people responsible for the action
- The timeframe for the action
- How the organization will know that progress has been made

Additional Guidance:

- Conduct the SWOT analysis in collaboration with staff and stakeholders.
- Exploit any resources or expertise within the organization.
- Incorporate the SWOT analysis into an ongoing process of progress monitoring and continuous improvement.
- Avoid getting bogged down in extensive data collection—find the right balance.
- Combine the SWOT analysis with a PESTLE analysis for external factors (Political, Economic, Sociological, Technological, Legal, Environmental).
- Use a RACI matrix to clarify the steps in the action plan (to identify who is Responsible, Accountable, to be Consulted, and to be Informed).
- Consider the organization's vision, mission, and values during data interpretation and action planning.

Applicability:

SWOT can provide useful information that can be applied to:

- Identify solutions to problems or examine possibilities related to new efforts.
- Make decisions about the best approach for an initiative based on the opportunities for success in the context of existing threats.
- Identify possible areas for change, particularly during turning points where determining strengths and weaknesses can help reveal priorities.
- Make mid-course adjustments when a new opportunity or new threat is identified.

Resources:

Additional information on SWOT analysis (More information can be found at the following link http://www.businessnewsdaily.com/4245-swot-analysis.html)

Additional information on pestle analysis (More information can be found at the following link http://pestleanalysis.com/what-is-pestle-analysis/).

Lesson 4: Risk Analysis and Management

Introduction:

Risk analysis is a process for identifying and managing potential problems that could undermine plans and initiatives. Use it to understand what things could possibly go wrong and the consequences should those events occur. Knowing the potential for problems to occur can contribute to identifying how to manage them and mitigate their impact.

Description:

There are three main steps in the risk management process:

1. Identify threats.
   a. Threats can be internal or external and come from multiple sources. Examples of threats include:
      i. Human
      ii. Operations
      iii. Reputation
      iv. Procedural
      v. Project
      vi. Financial
      vii. Technical Natural
      viii. Political
      ix. Structural
   b. Threat identification can be accomplished using a variety of methods:
      i. Examine the above list to determine if any are relevant and might occur.
      ii. Examine and identify vulnerabilities in processes, systems, or structures you use.
      iii. Use other tools to help identify threats:
         1. SWOT analysis
         2. Failure Mode and Effects analysis
2. Estimate the risk.
   a. Estimating risk involves calculating the likelihood that a threat will occur and the impact if it does.
      i. Estimate the probability of occurrence and multiply it by the cost to determine the value of an event occurring:
         1. Risk Value = Probability of Event x Cost of Event
         2. For example, you think there is a 90 percent chance that you will need to replace a key piece of office equipment (e.g., a copying machine) in the next three months. The loss might be calculated as follows:
            a. .90 x $10k = $9,000.00
         3. Use a probability chart or impact analysis. The two dimensions of risk are probability and impact. Note that probability is always more than 0 and less than 100 percent. Impact also varies based on cost and effect

on life, or health, or other critical factors. The resulting chart provides a method for rating risk across both dimensions and provides a clear picture of where to place priorities. To use the chart:

    a. Begin by creating a comprehensive list of all potential risks.

    b. Assess the likelihood of each risk and assign a value (e.g., 1–10).

    c. Estimate the impact of each risk and assign a value (e.g., 1–10).

    d. Plot the ratings on the chart (shown on the next page).

ii. The distribution of risks on the chart can be read as follows:

    1. Low impact/low probability – Risks in the lower-left corner are low level, and may often be ignored.

    2. Low impact/high probability – Moderately important risks are in the top-left corner and represent moderately important issues. If these things occur, they are likely to be manageable, but it is a good idea to try and reduce their likelihood of occurring.

    3. High impact/low probability – Risks that are in the bottom-right corner are of high importance if they happen, but are unlikely to occur. Plan for how to reduce their impact if they occur and develop contingency plans in the event that they do.

    4. High impact/high probability – Those risks in the top-right corner are of critical importance. Make these your top priorities because they are the risks that you must pay close attention to.

3. Manage the risk.

    a. Avoid the risk – This could mean not getting involved in something or that the cost is not worth the effort of doing so.

    b. Share the risk – This could involve sharing the risk with another party (e.g., insuring office equipment against loss or sharing potential benefits with another team).

    c. Accept the risk – This option is desirable when you can't control or mitigate the risk, or when the cost of its occurrence is less than insuring against it, or when any potential gain is worth it. If the decision is to accept the risk, then determining how best to control or reduce its impact is desirable. Controlling for risk might involve preventive or detective action. Preventive action might involve training or other actions designed to prevent something from occurring (e.g., installing virus protection or a firewall). Detection involves identifying areas where something could go wrong and putting steps in place to fix the problem as quickly as possible (e.g., testing before product release, process reviews).

Additional Guidance:

- Gather as much information as possible before estimating the probability and cost of an event. Use past data as a guide if you have concerns about your ability to do an accurate forecast.

- If using a probability chart, don't view it as a two-by-two matrix. Viewed this way, decisions between how to deal with a risk involve weighing probabilities for risk and loss that might be too close to make clear-cut decisions (e.g., a risk probability of 49 percent with a similar loss

compared with a 51 percent probability and similar loss). Notice in the chart below that medium-level risks cut across the chart from the upper-left corner to the lower-right corner.

- In some instances, even though an event is low risk, it needs to be paid close attention to if there is the potential for injury or loss of life.

- Look for cost-effective approaches to managing risk. Generally, it makes no sense to spend more to eliminate a risk than the cost of the risk itself. However, if there is an ethical or safety-related dimension to the risk, a cost-effective approach might not be the best option.

Applicability:

Risk analysis can be used to identify the risk probabilities associated with cuts to budgets, changes in legislation and policies that affect the work, and loss of people.

Templates, Models, and Guides:
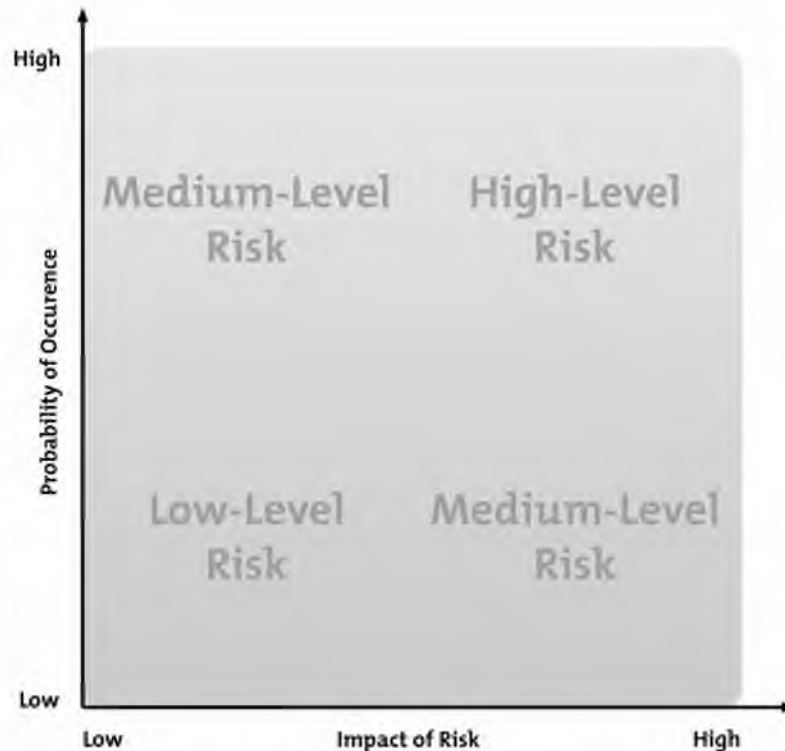
References:

Visual for Risk Analysis (Additional information can be found at www.mindtools.com/rs/risk)

Lesson 4: Gap Analysis/Tool

Introduction:

Gap Analysis is a method for identifying differences between actual performance and desired performance. It is used to identify gaps between what an organization is doing and what it wants to do in the future. Gap Analysis can be applied to assess performance gaps in the organization (e.g., Human Resources), business direction, business processes, and information technology.

Description:

Gap Analysis involves three steps:

1. Identify the desired future state.
   a. Determine what you need to achieve. This involves identifying your goals and objectives.
2. Analyze the current situation.
   a. For each goal and objective you want to achieve, you need to identify all of the features of your current situation that relate to your goal. This will involve identifying all pertinent information associated with the current situation. When charting results, make note of both current standings and deficiencies.
      i. Determine where information is maintained. Is the information formally documented? In people's heads?
      ii. Determine how to get the information. Options depend on where the information resides and might involve one or more of the following techniques:
         1. Brainstorming
         2. Interviews
         3. Document research
         4. Observing work in progress
         5. Other activities
3. Identify how to bridge the gap between the current situation and future state.
   a. With analysis of the current situation completed, it will be possible to identify where the gaps exist between your current and desired state.
   b. Identify the steps necessary to bridge the gap. These constitute your action plan for each desired future objective.

Additional Guidance or Tips:

- Gap Analysis can include quantitative and qualitative components.
- Use metrics when information related to your current or future state can be quantified.
- General statements can be used when metrics are not available.
- Report sufficient information and data to ensure people who need to sign off on changes know what they need to know.

Applicability:

Gap Analysis can be used to identify what is the best allocation of resources, or to determine what a regulation or policy requires and what is currently being done to abide by it.

Templates, Models, and Guides:

Gap Analysis templates usually have common elements that include columns identifying:

- Current state
- Future state
- How to bridge the gap

Some templates also include a column that describes the gap. This column should indicate if a gap exists, and if so, what factors contribute to it in clear, objective terms using quantitative or qualitative language as appropriate.

Your template might look like the following:

Current State	Future State	Deficiencies	Action Plan

Resources:

Artilce call Gap Analysis: Identifying What Needs to be Done in a Project (More information can be found at https://www.mindtools.com/pages/article/gap-analysis.htm)

- Definition of Gap Analysis (More information can be found at http://searchcio.techtarget.com/definition/gap-analysis)

- Article on gap analysis called Looking for Gaps: Walking Through a Sample Analysis (More information can be found at http://www.brighthubpm.com/methods-strategies/76008-looking-for-gaps-walking-through-a-sample-analysis/)

Lesson 4: The Oz Principle

Introduction:

The Oz Principle is a book by Roger Conners, Tom Smith, and Craig Hickman that casts *The Wizard of Oz* as a parable for personal and professional accountability. The book suggests that the main characters of *The Wizard of Oz* spend their journey focused on the things they believe they can't control, waiting for an all-powerful wizard to save them, when instead, what they find at the end is that they had the power themselves all along. *The Oz Principle* presents the concept of Above the Line/Below the Line thinking about accountability and identifies four Steps to Accountability that individuals and organizations can embrace.

Description:

It is easy to fall prey to victimhood, and there is a thin line that separates those who are accountable for their own actions, behaviors and feelings, and those that tend to blame others. People and organizations that hold themselves accountable operate above this line, while others who avoid accountability operate below this line. Those that operate above the line are more likely to have control over their own circumstances and futures, while those that operate below the line are likely to stay in the same place, or even decline.

The Oz Principle defines accountability as "a personal choice to rise above one's circumstances and demonstrate the ownership necessary for achieving the desired results—to See It, Own It, Solve It, and Do It."

Signs that you are above the line:
- You invite honest feedback from others.
- You never want anyone to hide the truth from you.
- You acknowledge reality.
- You focus on things you can control and influence, rather than those you can't.
- You commit yourself fully to all that you do.
- You own your own circumstances and outcomes.
- You recognize when you are falling below the line and work to reverse it.
- You seek out daily opportunities to act above the line.
- You continually ask, "what else can I do to rise above my circumstances and get the results I want?"

Signs that you are below the line:
- You ignore or deny situations, pretending not to know there is a problem or acting as if it doesn't affect you.
- You rely on the adage that it is not your job.
- You indulge in finger-pointing, laying the blame on others.
- You blame confusion, and want others to tell you what to do.
- You spend time thinking of why you are not to blame, to cover your tail.
- You rely on a "wait and see" attitude, hoping things will improve on their own.

See It, Own It, Solve It, Do It.

The Oz Principle identifies four steps to increasing accountability and staying above the line.

See It. Learning to acknowledge reality and see things as they are can be very challenging, emotionally painful, and embarrassing. It often requires you to seek feedback and input from others, and accept responsibility for addressing the problems and challenges you face. It is the first step toward making yourself accountable for your circumstances.

Own It. To own a situation, you need to look at it from all sides, reviewing the ways in which it makes you feel like the victim, and the ways in which you might be responsible. *The Oz Principle* suggests an Own It Self-Assessment, in which you first tell the story from the victim point of view, and then try and tell it from a more objective, responsible point of view using five questions.
1. What is most compelling about the non-victim version of the story?
2. What mistakes would you warn others to avoid?
3. What facts have you chosen to ignore?
4. What facts have you left out?
5. What would you do differently next time?

These questions help to focus attention on the ways in which you are accountable so you can own the issue and set about solving it.

Solve It. The key element of solving a problem is constantly asking, "What else can I do?" There are six skills for solving an issue.
1. Stay engaged in the problem-solving process.
2. Persist and always try to find new solutions.
3. Think differently and strive to find perspectives different than your own.
4. Create new linkages between approaches and forge new relationships to improve your situation.
5. Take the initiative and understand that other people might not be as interested or invested in solving the problem as you are.
6. Stay conscious of potential solutions, and challenge assumptions and beliefs as needed.

Do It. Although the first three steps are critical, unless you actually do something to address your circumstances you are likely to fall back below the line. This requires diligence and perseverance. It requires you to accept responsibility for solving a problem, even if you are not responsible for its existence. It also entails an element of risk, but avoiding risk can also lead you away from accountability.

Above-the-Line Organizations

The Oz Principle outlines five things organizations can do to increase accountability.
1. Train everyone, so that they all understand the relationships between accountability and results.
2. Coach with accountability in mind, so that everyone offers and receives feedback on a continuous basis.
3. Ask above-the-line questions, like "What may pull us below the line in the future?" and "What can we control to improve this situation?"
4. Reward accountability by promoting a culture of trust and honest feedback.
5. Hold people accountable, so that all individuals "See It, Own It, Solve It, and Do It" throughout the organization.

Applicability:

It is very easy in today's fast, changing world to fall into the cycle of victimhood. *The Oz Principle* offers a way of thinking that switches the onus of responsibility for solving or addressing an issue back to you. So, even if there are things beyond your control (like budget cuts, new regulations, or changing leadership) you can act on the things within your control to improve your situation. As an individual, you can apply the Oz Principle to both your personal and professional life, and as a leader you can use it to promote greater accountability within your organization.

Resources:

Article called Getting Results Through Individual and Organizational Accountability (More information can be found at https://www.montclair.edu/media/montclairedu/humanresources/aboutus/organizationaldevelopmen tandlearning/The-Oz-Principle-Executive-Book-Summary[1].pdf)

Lesson 4: Situation, Behavior, Impact (SBI)

Introduction:

The SBI model (Situation, Behavior, Impact) is a tool for providing feedback that can be used in most situations, and it is especially effective when sensitive topics are being addressed. The tool focuses the discussion on the situation being discussed, the behavior that requires feedback, and the impact of that behavior on a given set of circumstances. It is designed to foster specificity and allow the person receiving feedback to consider how they may change their behavior in the future.

Description:

SBI includes three steps: (1) Identify the Situation, (2) Describe the Behavior, and (3) Explain the Behavior's Impact.

Identify the Situation: Define the specific situation, so that the person receiving feedback is clear about when and where the behavior took place. For example:

"On Monday during the All-Hands Meeting with the director…"

"During our team meeting in the conference room yesterday, when we were considering potential options…"

Describe the Behavior: This is the most difficult part of the process, because you want to describe the actual behavior, without any judgments or assumptions about the behavior. For example, you don't want to ascribe reason or motive to the behavior, rather describe the behavior as accurately as possible. For example:

"On Monday during the All-Hands Meeting with the director, you answered three of his questions about goal attainment with precise, correct information."

"During our cross-functional team meeting in the conference room yesterday, when we were considering potential options, you interrupted my presentation three times to present data about goal attainment. Twice your data were incorrect."

Explain the Behavior's Impact: For the last step, use "I" statements to explain how the behavior has impacted others. For example:

"On Monday during the All-Hands Meeting with the director, you answered three of his questions about goal attainment with precise, correct information. I felt proud that you were able to have that information at your fingertips and articulate it in such a clear and direct manner. I believe that you impressed the director with your knowledge."

"During our cross-functional team meeting in the conference room yesterday, when we were considering potential options, you interrupted my presentation three times to present data about goal attainment. Twice your data were incorrect. I felt embarrassed and am afraid our recommendations will not be accepted because they will not trust the rest of the information."

Once you have completed all three steps, encourage the person receiving the feedback to take some time to think about the situation and his or her behavior, think about how the behavior impacted others, and consider how he or she might continue or change his or her behavior in the future. Allow

the person some time to think about the feedback, and then revisit the topic to see how you can assist him or her in building on or adjusting his or her behavior in the future.

Note: An additional tool that can be useful here is the Three Perspectives exercise (Perceptual Positions).

Applicability: SBI can be used is many situations to provide feedback to employees, peers, colleagues, and even to supervisors and other leaders and managers. It is designed to remove some of the emotion and judgment from the situation, so that the participants can be more objective about the behavior and its impact. As noted in the examples above, it can be used for both positive and critical feedback.

Resources:

Article called The Situation – Behavior – Impact Feedback Tool (More information can be found at https://www.mindtools.com/pages/article/situation-behavior-impact-feedback.htm)

Lesson 4: Perceptual Positions

Introduction:

Perceptual Positions is a conflict resolution tool that evolved from Neural Linguistic Programming. It is designed to help people consider alternative perspectives when involved in a conflict or challenging situation, so that they can develop a more effective plan to address the situation. Although there are a number of different versions, the premise remains the same—to walk a mile in another's shoes.

Description:

The Perceptual Positions technique typically has three basic steps.

1. *The Self Position.* First, consider your own position. Become deliberately aware of your own thoughts and feelings.
   - How do you perceive the situation?
   - What is important to you?
   - What do you want from the situation?

2. *The Other Position.* Put yourself in the place of the other person in the situation. Again, focus on his or her thoughts and feelings.
   - How does she or he perceive the situation?
   - What is important to him or her?
   - What does he or she want from the situation?

3. *The Observer Position.* Now put yourself in the position of an observer, a fly on the wall. Try to be as objective as possible.
   - What would an observer see?
   - What would your position look like?
   - What would the other position look like?

Once you have considered all three positions, take a look back at your own and see if your new perspective changes anything about your own thoughts and feelings. Does it change the way you view the situation? Are you better able to understand the other's position now that you have looked at it from multiple points of view? Does it change how you might respond to or address the situation?

Applicability:
Perceptual Positions is a technique that you may use on your own, or it is one that you may facilitate for others. You might find it helpful in both personal and professional situations, and it can be used with employees and colleagues, as well as supervisors, managers and leaders. It allows you to view a situation from multiple perspectives and to gain some objectivity about emotionally charged circumstances.

Resources:
Article about Perceptual positions (More information can be found at http://www.integralleadership.com/perceptual-positions-peter-mcnab.php)

This page intentionally left blank.

Additional Resource Tools

Lesson 2. What's Different About Your Role as a SB Senior Leader?

Small Business for Senior Leaders | 1.0

21

The Cohen-Bradford Influence Model

Introduction:

The Cohen-Bradford Influence Model is based on the idea that reciprocity can impact influence. Reciprocity stems from the notion that whatever one does—either negatively or positively—to someone else, it will be returned in kind. The model is especially useful when:

- You don't have authority over the other person.
- The other person is resistant to helping you.
- You don't have a good relationship with the person.
- You only have one opportunity to ask the person for help.
- You don't know the person well.

Description:

- *Assume everyone can help*: Behave as if everyone is a potential ally.
- *Prioritize objectives*: Identify your primary and secondary objectives, and try to avoid emotional agendas.
- *Understand the other person's position*: Try to step into the other person's shoes and understand what they need, what their motivations are, and what they might want from you.
- *Identify what matters, to you and to them*: This can include five kinds of factors:
    1. Inspiration-related – People who find meaning in what they do might help you because it is the right thing to do.
    2. Task-related – People who are focused on getting things done might help you because it enhances their ability to do their job, or because it presents a challenge.
    3. Position-related – People who are focused on recognition, reputation, and visibility might help you because it improves their position.
    4. Relationship-related: People who want to belong or feel connected to the organization might help you because they want to improve their relationships.
- *Analyze the relationship*: If you already have a good, established relationship you can move forward, but if not, you might need to spend some time and energy building trust and a stronger relationship.
- *Make the Exchange*: Use the information you have gathered to determine what to offer the other person in exchange for his or her assistance. It may be tangible or intangible, ranging from additional funding or resources to acknowledgement and appreciation.

Applicability:

To be successful in any endeavor, you might require assistance from other people from time to time. The Cohen-Bradford Influence Model offers some approaches you can use to increase your chances of securing assistance, especially from those who might be initially reluctant to help.

Resources:

An article called The Influence Model Using Reciprocity to Gain Influence (More information can be found at https://www.mindtools.com/pages/article/influence-model.htm).

Root-Cause Analysis

Introduction:

Root-Cause Analysis is a method used to look beyond the symptoms of a problem to identify the deeper causes and fix the underlying systems and processes that are causing it. Root-Cause Analysis is performed to identify where a problem originates by investigating:

- What happened
- Why it happened
- How to reduce the likelihood that it will happen again

The process makes the assumption that systems and events are interrelated, so that an action in one area may trigger another and another, etc. Tracing events backwards enables discovering the origins of the problem. Basic causes are usually categorized as:

- Physical (e.g., a mechanical failure)
- Human (e.g., not doing something or doing something wrong. These can lead to physical causes.)
- Organizational (e.g., a system, policy, or process that is faulty and leads to people making poor decisions or doing something wrong)

Root-Cause Analysis investigates all three categories of causes and may find more than one root cause to a problem.

Description:

Root-Cause Analysis involves five steps:

1. Define the problem.
   a. Determine what is happening.
   b. Identify the symptoms (be specific).
2. Collect information.
   a. Identify proof of the problem's existance.
   b. Determine how long it has persisted.
   c. Identify the problem's impact.

   Note: Collect information from all those familiar with the problem, including experts and staff who can help develop better understanding of the problem.
3. Identify possible causes.
   a. Determine the sequence of events that lead to the problem occurring.
   b. Identify conditions that allow the problem to occur.
   c. Identify other problems that occur around the problem you are examining.
   d. Other tools that may assist in determining causal factors include:
      i. Appreciation - Uses the facts and asks why something is an issue (i.e., So what?) to help determine all possible consequences.
      ii. Five (5) Why's - Asks the question "Why?" repeatedly until the root problem is identified.
      iii. Drill Down - Breaks a problem into smaller elements to provide better understanding of the larger picture.

        iv. Cause-and-Effect Diagrams (e.g., a fishbone diagram) - Allows you to visualize all possible causes to identify where the problem originates.

4. Identify root cause(s).

    a. Identify why the causal factor exists.

    b. Determine the real reason the problem occurred.

    c. Use similar tools as identified above (item 3d) to examine each factor more closely.

5. Recommend and implement solutions.

    a. Identify what you can do to prevent the problem from reoccurring.

    b. Determine how to implement the solution.

    c. Identify persons responsible for implementing the solution.

    d. Analyze the risks associated with implementing the proposed solution (i.e., perform a risk analysis or examine the impact of the proposed solution).

Additional Guidance:

- Root-Cause Analysis provides a comprehensive, system-wide method for reviewing significant problems and the factors that lead to them.

- Use good judgment to determine how far to go during a root-cause investigation. Take care to understand major causes that can be changed.

- Remember that there are other tools that can be used to support a Root-Cause Analysis.

- Applying the 5 Why's is most useful when problems involve human factors or interactions.

- Use a fishbone diagram to explore all potential causes and then drill down to root causes using the 5 Why's.

Applicability:

Use Root-Cause Analysis to examine significant problems and get beyond treating the surface effects in favor of deeper dives into systems and processes that may be contributing to what is occurring. Root-Cause Analysis can be applied to most situations.

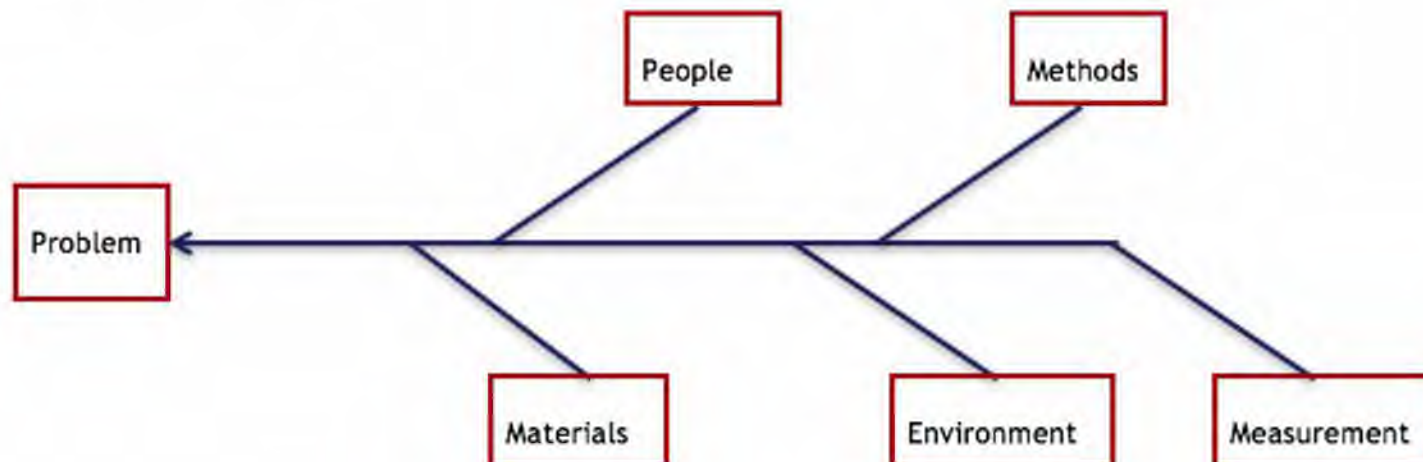**Templates, Models, and Guides**

Example 5 Why's Root-Cause Map

Problem ← Why? ← Because ← Why? ← Because ← Why? ← Because ← Why? ← Because ← Why? ← Because
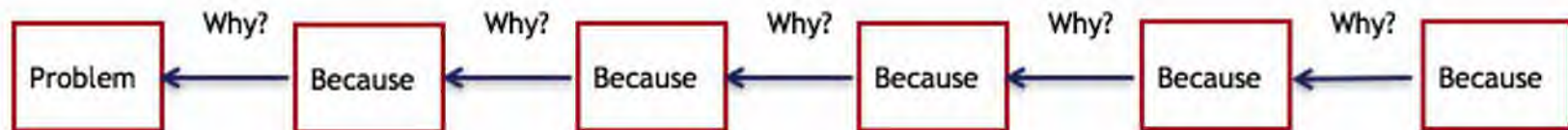
Example Fishbone Diagram

People
Methods
Problem
Materials
Environment
Measurement

Sample Root-Cause Worksheet

Issue			Likely Root Cause			Possible Solutions					
Description	Source	Criticality	Description	Likelihood	Information	Description	Risks			Measures of Success	
		(High/ Medium/ Low)	Tests to clarify		(High/ Medium/ Low)	Tests to clarify		Des- cription	Likelihood	Mitigation	Test	Results

Resources:

Article called The Basics of Root Cause Analysis (More information an be found at http://www.thinkreliability.com/Root-Cause-Analysis-CM-Basics.aspx)

Article called Root Cause Analysis Tracing a Problem to its Origins (More information can be found at http://www.mindtools.com/rs/RCA)

Covey's 13 High-Trust Behaviors

Introduction:

Stephen M. R. Covey (son of Stephen R. Covey who authored *The 7 Habits of Highly Effective People*) published *The Speed of Trust* in 2006. The book outlines the importance of trust in personal and professional contexts and provides a framework for examining how trust or a lack of trust can impact relationships. One of the key concepts presented in the book is the 13 High-Trust Behaviors, which can provide a solid foundation for successful relationships.

Description:

In *The Speed of Trust*, Covey introduces 13 behaviors that can increase and improve trust within relationships.

1. *Talk Straight:* Communicate honestly, without hiding your personal agenda. When combined with tact, straight talk can lead to more productive relationships.
2. *Demonstrate Respect:* Embrace the Golden Rule, and treat others as you would like to be treated. It is the little things we do each day that show that we are sincere and care about other people.
3. *Create Transparency:* Be honest, open, authentic, and demonstrate integrity. Share information as often as you can.
4. *Right Wrongs:* Take genuine responsibility for your actions, apologize, and go the extra mile to make restitution.
5. *Show Loyalty:* Give credit to others when appropriate. Don't speak about others behind their backs, but rather as if they were in the room.
6. *Deliver Results:* Build trust by showing responsibility, accountability, and performance. Delivering results is a excellent means of demonstrating credibility and building trust.
7. *Get better:* Make constant efforts to improve what you know and do. Seek feedback from those around you and learn from your mistakes.
8. *Confront Reality:* Face up to difficult situations instead of avoiding them.
9. *Clarify Expectations:* People cannot deliver what you need and want if they are left guessing about it. Being clear about what you expect prevents disappointments.
10. *Practice Accountability:* Hold yourself accountable by taking responsibility for bad results. Holding others accountable helps people feel good about the job they are doing, and assures high performers that others will not hold them back.
11. *Listen First:* Don't give advice before you know all the facts. Learn to genuinely listen because people will know when you are just going through the motions.
12. *Keep Commitments:* Honor your commitments, both explicit and implicit. This is a critical factor in building trust.
13. *Extend Trust:* Although demonstrating trustworthy behavior is important, it is also important to be willing to trust others when they have earned it, or are starting to earn it.

Applicability:

Leading people is all about building and maintaining successful and productive relationships, and trust is the key to developing those kinds of relationships. Coveys' 13 High-Trust Behaviors provide a road map for creating a culture of trust in personal and professional relationships.

This page intentionally left blank.