

Effectiveness: The balance between production and production capability

Be loyal to those not in your presence and you create great deposits with those who are in your presence. The key to the 99 is the one. It is how you treat the one under times of pressure and stress that really reveals how you regard the many. Remember, everyone is a one, eventually.

Stephen R. Covey

*Key Point: Effectiveness always has two sides: P and PC.
The best way to maintain balance is to build the emotional bank account.*

Effectiveness and Balance

Most people, when they talk about "being effective," mean "getting results." Getting results is certainly a key part of being effective, but that's not all there is to it. Effectiveness has a second dimension as well.

The second dimension of effectiveness is **preserving and enhancing our assets**. By assets, we mean more than just money, equipment, and buildings. We also mean things like physical health, mental alertness, emotional stability, skills, knowledge, values, and relationships with other people. These intangibles are assets because we can't produce results without them. That is why effective people pay attention to them, and why this definition of effectiveness has an extra dimension that deals with them.

The point is that consistent effectiveness always comes from a balance—a balance between (1) results, and (2) the assets that produce results. We call the results "Production," which we abbreviate with the letter "P." We call the assets "Production Capability," which we abbreviate "PC." Effectiveness, then, is a balance between Production and Production Capability, or P and PC.

The Emotional Bank Account

In talking about relationships, Stephen uses a metaphor: the Emotional Bank Account. The Emotional Bank Account represents the amount of trust that has been built up in the relationship. We build or deplete our Emotional Bank Account balance with other people just as we do an ordinary bank account balance: by making deposits and withdrawals. Deposits increase the balance, withdrawals reduce it.

The idea behind the metaphor is this: By

acting positively within our relationships, we build a reservoir of good will that we can draw on when we need to work with people to get things done. On the other hand, by acting negatively, we separate ourselves from others and lose whatever benefits our relationships with them might have brought us.

Five Deposits and Five Withdrawals

There are five basic types of deposits and a corresponding set of five basic types of withdrawals. In general, acts that build trust are Emotional Bank Account deposits. Conversely, acts that weaken trust are withdrawals.

(1) *Kindness vs. Unkindness*

Kindness includes acts of courtesy, support, and helpfulness. Unkindness means such things as discourtesy, needling, criticizing, and so on.

(2) *Keeping promises vs. breaking promises*

The relationship between promises and trust is obvious. Promises include commitments of any sort, even commitments that we may consider casual and not taken seriously. As we keep our promises, people learn that we can be counted on.

(3) *Honoring expectations vs. violating expectations*

Relationships depend on expectations. When expectations are clear and people observe them, relationships tend to run smoothly. When they are unclear or unmet, we tend to feel uncertain or violated. This deposit category includes both making expectations clear and

honoring them. The Emotional Bank Account withdrawal, of course, is the opposite.

(4) Loyalty vs. duplicity

We are loyal to people when we assume and speak well of them, "not in their presence. We are guilty of duplicity (which means being "two-faced") when we talk about them behind their back.

(5) Apologies vs. pride

We all make mistakes. We vary only in how willing we are to admit to them and to make amends. This deposit, which we call apologies, means being willing to admit our mistakes and make up for them. The withdrawal is pride, maintaining the pretense of perfection and being unaccountable for our errors.

In the end, the most important aspect of PC is how faithful we are in keeping our commitments to ourselves. They are deposits into our own emotional bank account.

In the final analysis, effectiveness is a manifestation of our personal character. Whatever develops our character therefore develops our effectiveness. Character comes mainly from one simple act: keeping the promises that we make to ourselves. As Shakespeare's Polonius said to his son, Laertes, "This above all: to thine own self be true; and it must follow, as the night the day, thou canst not then be false to any man."

When our sense of honor is stronger than our moods, we no longer give in to feelings. We hold ourselves in line with more important things. That unflinching alignment with values and principles is the essence of personal honor, and it is our source of stability and strength.

APPLICATION EXERCISE: Your Emotional Bank Accounts

1. Consider your important relationships. What are some of the Emotional Bank Account deposits you could immediately begin making to move you to a higher "balance" with these people?

Person	Types of Deposits
_____	_____
_____	_____
_____	_____

2. How could these deposits affect your relationships?

3. Reflect on the kinds of withdrawals you may be taking and on the current balance of your Emotional Bank Account with each person.

Person	Types of Withdrawal	Balance
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. How are these withdrawals affecting your relationships?

EMOTIONAL BANK ACCOUNT

DEPOSITS

Seeking First to Understand

Keeping Promises

Kindnesses, Courtesies

Clarifying Expectations

Loyalty to the Absent

Apologies

WITHDRAWALS

Seeking First to Be Understood

Breaking Promises

Unkindnesses, Discourtesies

Violating Expectations

Disloyalty to the Absent

Pride, Conceit, Arrogance

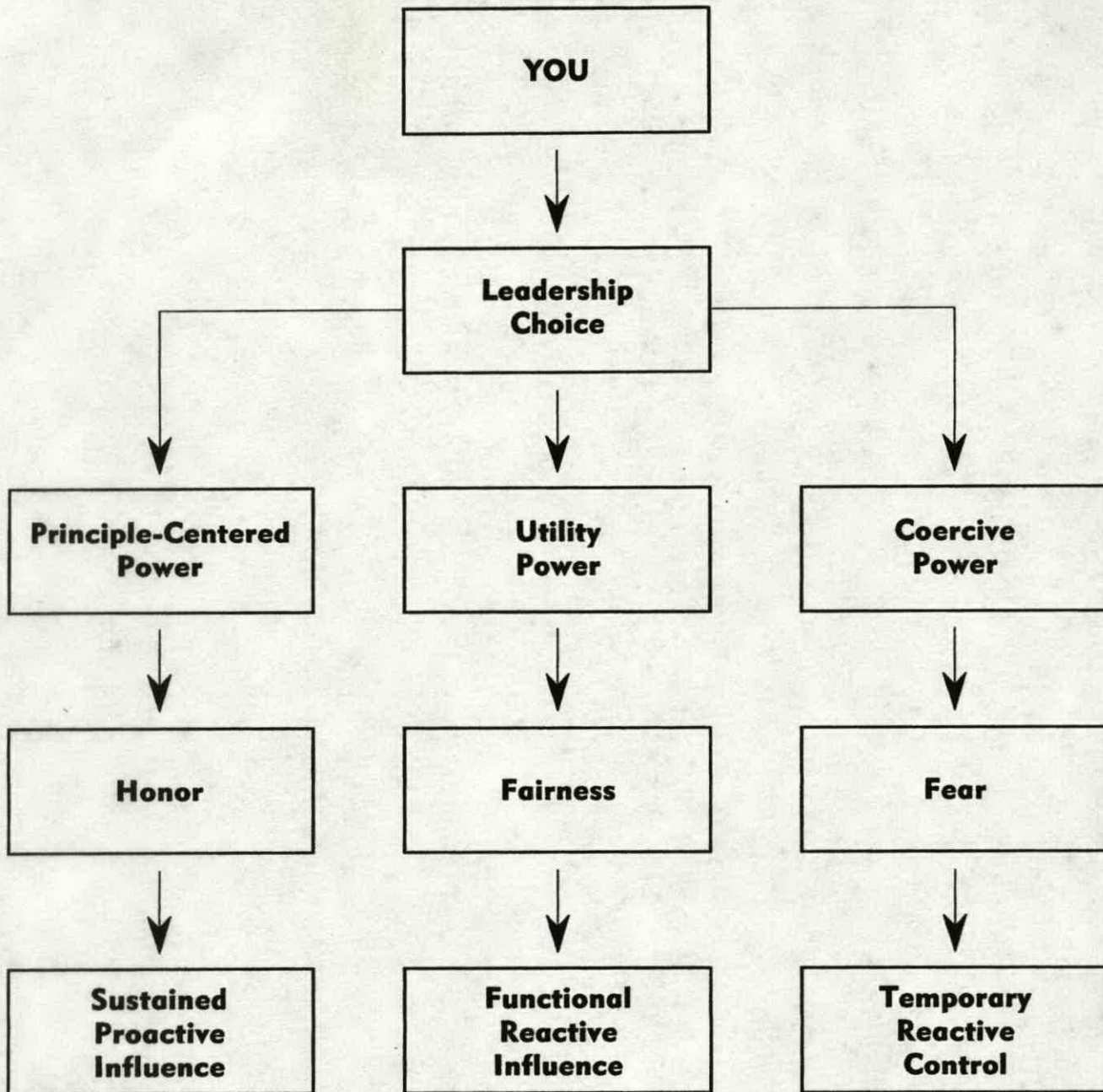
EMOTIONAL BANK ACCOUNT KEY IDEA SUMMARIES

- Making deposits builds strong relationships.
- Deposits work only when they are sincere.
- Those closest to us require constant deposits.
- Building and repairing relationships takes patience.
- Our own deposits and withdrawals are the only things we can control.

Four Leadership Paradigms

PARADIGM	METAPHOR	NEED	PRINCIPLE
Authoritarian	Stomach (Economic)	Financial Security	Fairness
Human Relations	Heart (Social)	Social/Emotional	Kindness
Human Resources	Mind (Psychological)	Contribution/ Development	Recognizing, Utilizing, and Developing Talent
Principle-Centered Leadership	Spirit (Whole Person)	Meaning	Fulfillment/ Empowerment

The Power Process



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Think Win-Win

THE GOLDEN RULES

(It's true in all faiths)

Brahmanism: This is the sum of duty: Do naught unto others which would cause you pain if done to you.

Mahabharata 5: 1517

Zoroastrianism: That nature alone is good which refrains from doing unto another whatsoever is not good for itself.

Dadistan-i-dinik 94:5

Buddhism: Hurt not others in ways that you yourself would find hurtful.

Udana-Varga 5:18

Judaism: What is hateful to you, do not to your fellowman. That is the entire Law; all the rest is commentary.

Talmud, Shabbat 31a

Confucianism: Surely it is the maxim of loving kindness: Do not unto others what you would not have them do unto you.

Analects 15:23

Christianity: All things whatsoever ye would that men should do to you, do ye even so to them; for this is the Law and the Prophets.

Matthew 7:12

Taoism: Regard your neighbor's gain as your own gain and your neighbor's loss as your own loss.

T'ai Shang Kan Ying P'ien

Islam: No one of you is a believer until he desires for his brother that which he desires for himself.

Sunnah

THINK WIN-WIN:

A win/win character consists of three traits:

- Integrity**
- Maturity**
- Abundance Mentality**

**Courage balanced with consideration
= the win-win approach.**

Courage/Consideration Matrix

High

Consideration

Low

Low High

Courage

AN EMPLOYEE →	Communicates	Accepts Delegation	Develops	Handles Disagreement	Solves Problems	Spends Time	Is Moved to Act	Feels Toward Others
I'm OK, You're OK	Openly	Readily	Independently, Learns Willingly	By Seeking Clarification and Mutual Resolution	By Consulting Others, Trusting Himself	Taking Necessary Action and Producing	On Assignment or Initiative	Equal
I'M NOT OK - YOU'RE OK	Defensively Self-Deprecatingly	Timidly	Slowly; Needs Reassurance and Coaching	By Perceiving Differences in Opinion as Evidence of His Inadequacy	By Relying Almost Completely on Others	Brooding or Overcompensating in Constant Activity	By Praise or Admonition	Inferior
I'M OK - YOU'RE NOT OK	Defensively Aggressively	By Procrastinating, Bickering, and Bargaining	With Difficulty; Learning is Blocked	By Placing Blame on Others	By Unilaterally Rejecting Others' Ideas	Boasting, Provoking Others, Playing Persecutor	When Forced; May Demand Official Instructions	Superior
I'M NOT OK - YOU'RE NOT OK	Hostilely Abruptly	By Trying to Beg Off, Delegating Upward. Unwillingly Accepts Responsibility	With Difficulty; Withdraws and Repeats Errors	By Escalating the Conflict; Involving a Third Party	By Succumbing to Problems	Withdrawing; Playing a Variety of Games	By Reprimands or Threats	Dependent Alienated

HOW LIFE POSITION INFLUENCES EMPLOYEE BEHAVIOR

High

COURAGE

Low

CONSIDERATION

Low

High

GETTING TO YES—NEGOTIATION

BY ROGER FISHER AND WILLIAM URY
HOUGHTON MIFFLIN COMPANY

Problem

Position Bargaining: Which Game Should You Play?

Solution

Change the Game—Negotiate on the Merits

Soft

Participants are friends

The goal is agreement

Make concessions to cultivate the relationship

Be soft on the people and the problem

Trust others

Change your position easily

Make offers

Disclose your bottom line

Accept one-sided losses to reach agreement

Search for the single answer: the one they will accept

Insist on agreement

Try to avoid a contest of will

Hard

Participants are adversaries

The goal is victory

Demand concessions as a condition of the relationship

Be hard on the people and the problem

Distrust others

Dig in to your position

Make threats

Mislead as to your bottom line

Demand one-sided gains as the price of agreement

Search for the single answer: the one you will accept

Insist on your position

Try to win a contest of will

Principled

Participants are problem-solvers

The goal is a wise outcome reached efficiently and amicably

Separate the people from the problem

Be soft on the people and hard on the problem

Proceed independent of trust

Focus on interests, not positions

Explore interests

Avoid having a bottom line

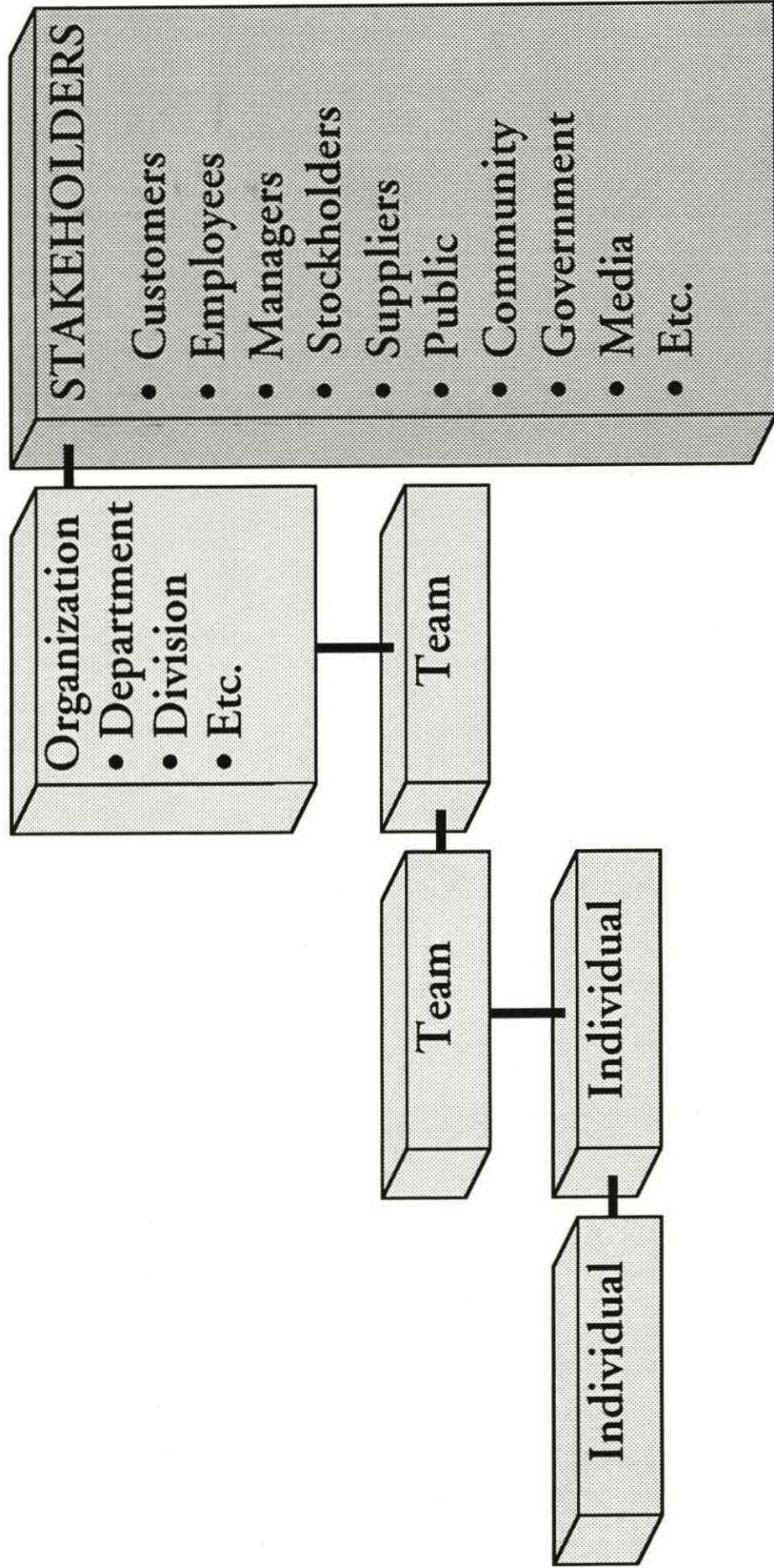
Invent options for mutual gain

Develop multiple options to choose from; decide later

Insist on objective criteria

Reason and be open to reasons; yield to principle, not pressure

Win-Win Agreements



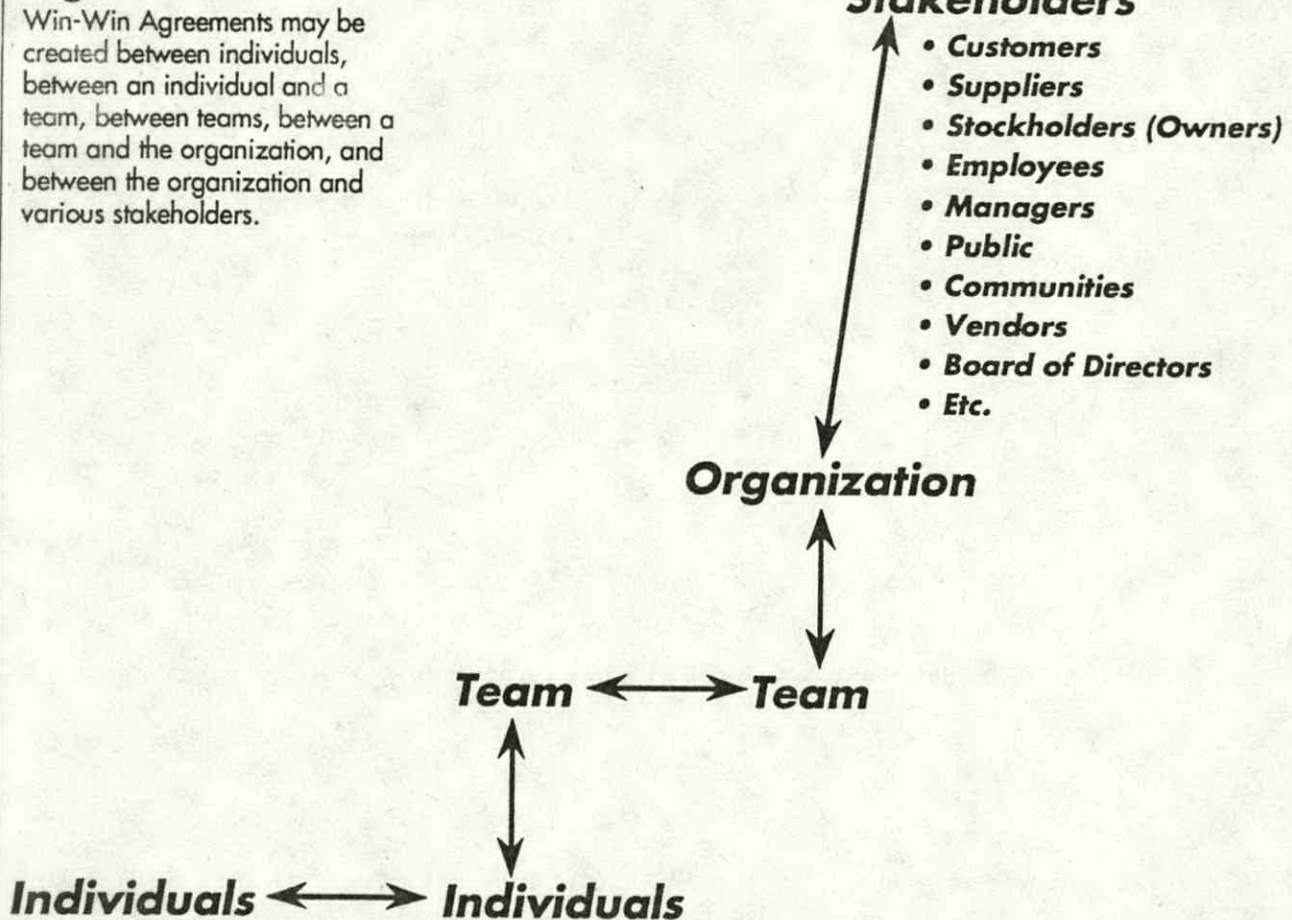
DIAGRAM

USES OF WIN-WIN AGREEMENTS**Agreements**

Win-Win Agreements may be created between individuals, between an individual and a team, between teams, between a team and the organization, and between the organization and various stakeholders.

Stakeholders

- Customers
- Suppliers
- Stockholders (Owners)
- Employees
- Managers
- Public
- Communities
- Vendors
- Board of Directors
- Etc.

Organization**Team** ↔ **Team****Individuals** ↔ **Individuals**

Think Win-Win

The character traits most critical for developing a win-win attitude are:

- Integrity – Habits are congruent with values, words with deeds, expressions with feelings.
- Maturity – courage balanced with consideration.
- Abundance Mentality – there is plenty out there for everybody.

A person with these character traits can be genuinely happy for the success and accomplishments of others.

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CONTENT SUMMARY

CREATING AND SUSTAINING WIN-WIN AGREEMENTS

Excellent performance begins with clear expectations, mutual commitment, and the necessary competence.

Warren Bennis said, "Leaders are able to translate intentions into reality by aligning the energies of the organization behind an attractive goal. These leaders lead by pulling through challenging expectations and rewarding progress toward them rather than by manipulating, by enabling people to use their initiative and experiences rather than by denying or constraining experiences and actions."
—From *Leaders*, by Bennis and Nanus.

Win-Win Agreements are effective tools for establishing the win-win foundations necessary for long-term effectiveness.

Win-Win Agreements must be individualized to be effective: one person's minutia is another person's mission; what is a win for one person may not be a win for another. Creating and sustaining a win-win agreement is a process of creating clear expectations, mutual commitment, and competence around the following:

- Desired results
- Necessary guidelines
- Available resources
- Accountability
- Consequences

Win-Win Agreements may be simple or complex, spoken or written, short or lengthy—whatever is necessary to create clear expectations and mutual commitment. The clear expectations come from thorough dis-

cussion of each element identified above. Mutual commitment comes from creating a true win-win agreement with both parties committing to fulfill the agreement.

Carefully think through:

- Personal and organizational goals
- The other person's roles and responsibilities
- Others who might be affected by this agreement

Carefully consider your partners':

- Desire
- Ability

Win-Win Agreements focus on results, not on methods.

- Maturity
- Experience

Desired Results

Win-Win Agreements focus on results, not on methods. You specify with your partner the quantity of the desired results, and perhaps agree on a schedule and an action plan. Commit to getting these results and let your partner determine the best methods and means within the agreed-upon guidelines. Agree upon the desired results of both the task to be performed and the relationship to be developed.

- Seek to maximize the overlap be-

tween organizational and individual needs and goals.

- Always Begin with the End in Mind.
- Put fFrst Things fFrst—agree on priorities.
- Clearly understand how these results fit into the "larger whole."
- Carefully think through general vs. specific, immediate vs. long-range. If your partner is relatively new to this task and inexperienced, specific, immediate results will help your partner to develop and be successful. Conversely, if your partner is experienced, more general, long-range results might be more appropriate.
- Identify indicators that the course is on track and deadlines when the results must be achieved.

Necessary Guidelines

Guidelines represent correct principles, often summarized in the form of

standardized procedures. It is best to have as few of these as possible; otherwise the focus may be too restrictive and methods-oriented. Guidelines should also specify what not to do, what activities simply do not work. Guidelines should be agreed to regarding both accomplishing the task and working the relationship.

- Agree upon necessary policies and procedures.
- Carefully think through broad vs. narrow. An inexperienced partner may need multiple guidelines which "narrow" the options,

thereby decreasing risk and deviance. With a more experienced, trusted partner, fewer guidelines will "broaden" the options and allow more flexibility in method, which will then facilitate creativity.

- Clearly identify the "sacred cows"—those policies, systems, or norms which (though perhaps not logical) must be left alone.
- Agree upon levels of initiative. Agree upon how much initiative your partner should take in getting desired results. The following five levels help to clarify this concept. Each level represents an increasingly greater degree of initiative.

- 1) Wait for instructions—At this level, there is no initiative.
- 2) Ask what to do—Here, the person begins to take initiative by asking and expressing interest and awareness.
- 3) Recommend—The person creates ideas for doing the job.
- 4) Act, then report immediately—Here the person acts on his or her own initiative but quickly reports the action taken to assure his or her actions are correct and that what has been done correlates with everything else.
- 5) Act, then report routinely—At this level, the person acts on his or her own initiative when he or she sees a need. Because of the trust and confidence, periodic reporting will be enough to keep things on track and frequent contact will no longer be needed.

By broadening the guidelines and raising the levels of initiative as your partner is successful in achieving the desired results, you grow, develop, and increasingly empower your partner and your relationship.

Available Resources

Identify the various resources your partner may draw upon to accomplish the desired results within the specified guidelines. You may want to identify yourself as a resource and indicate ways in which you can help. Identify resources available to both accomplish the task and build the relationship.

- Consider the types of resources available:
 - Financial (budgetary)
 - Human
 - Technical
 - Organizational/Systemic
- Agree upon amounts: smaller amounts for someone less experi-

on the criteria he or she agreed to up front. Accountability is the key to win-win agreements. When people know they are responsible to get results and to report their performance, they are set free and feel a sense of responsibility to do whatever is necessary to accomplish those results within the agreed-upon guidelines. They may draw upon guidelines and upon the resources identified. They are empowered to exercise their proactivity and are truly responsible. Accountability should be established for achieving desired results in both the task and the relationship.

- Self-control, not external control.
- The accountability process should be a work planning and review tool, not a judgment mechanism.

- Agree upon standards of acceptable performance.
- Where possible, use all three types of evaluation.

- Measurement (counting)
- Observation (watching)
- Discernment (deeply understanding)

- Be specific in deciding who does what by when.
- Carefully think through

frequent vs. infrequent, tight vs. loose. The less experienced your partner is, the more frequent accountability should be and the tighter the criteria should be. With a more experienced partner, a less frequent, less stringent accountability may be more appropriate.

Consequences

Clearly understanding the consequences (or outcomes) of achieving or failing to achieve the desired results is critical to both the motivation and the decision making of you and your partner. Realize that consequences can naturally follow action and can be awarded or imposed. Consequences can be positive and reinforcing or negative and extinguishing. Finally, consequences can be intrinsic and extrinsic.

Accountability means the partner accounts for his or her performance based on the criteria he or she agreed to up front.

enced, larger amounts for someone with a stronger history.

- Make sure there is a clear understanding of the arrangements and processes which must be used—both official and unofficial.
- Clarify how to access the agreed-upon resources.
- Agree upon limits. Create mutual understanding as to the limits beyond which no more resources are to be expended in seeking to achieve the desired results.

Determine Accountability

Specify when progress reports are to be made, together with what criteria or standards of performance are the essence of the accountability process. Accountability means the partner accounts for his or her performance based

Unit 6: Creating and Sustaining Win-Win Agreements

<ul style="list-style-type: none">• Consider the consequences (positive and negative) of accomplishing or not accomplishing the desired result to the following:<ul style="list-style-type: none">—The work being performed—Other people in the work group—Other people outside the work group—The work group's customers—The organization—The boss—The person performing, in terms of:	<ul style="list-style-type: none">a) financial rewardb) opportunityc) developmentd) career advancemente) recognitionf) rewardg) disciplineh) etc. <ul style="list-style-type: none">• Consider both the immediate and the long term. To a less experienced partner, immediate consequences will be most effective; to a more	<p>experienced, committed partner, long-term consequences could be appropriate.</p> <ul style="list-style-type: none">• The consequences to both the task and the relationship should be identified and understood.• Realize that by clearly understanding what constitutes a win for your partner, consequences can be invented and created considering the short-term/long-term trade-offs and intrinsic and extrinsic options. <p>▲</p>
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flected in recruiting and hiring and training. It should also be evident in professional development, compensation, job design, company structure, strategic planning, and mission and goal selection, as well as in all tactical activities.

Self-Evaluation

In a Win-Win Agreement, people evaluate themselves. Since they have a clear, up-front understanding of what results are expected and what criteria are used to assess their performance, they are in the best position to evaluate themselves.

The old notion is that the manager evaluates the performance of his people, sometimes using a secret set of subjective criteria that he springs on them at the end of a specified work period. This, of course, is absolutely insulting to people, which is why some managers do not have good performance appraisals. Unless expectations are clarified and commitments made up front, people can expect performance appraisals to be difficult, embarrassing, and sometimes downright insulting.

The attitude of leaders should be helpful, not judgmental. The leader is a resource in the Win-Win Agreement. The leader may serve as a trainer when people undertake new tasks or new responsibilities or as a counselor in the areas of career planning and professional development. The leader involves people in establishing the Win-Win Agreement and allows them to evaluate their own performance. If the trust level is high, the employee's evaluation will be more accurate, more complete, more honest than the leader's evaluation ever could be, because the person knows all of the conditions and the details.

If the leader becomes aware of changing trends or other conditions which are not part of the original agreement, the leader would reopen the agreement for rethinking, replanning, and reformulating.

Character

At the core of the conditions of empowerment are two vital conditions: skills and character. Character is what a person is; skills are what a person can do. These are the human competencies required to establish and maintain the other conditions. Hence, they are really preconditions to the establishment of trusting relationships, win-win agreements, helpful systems, and employee self-supervision and self-evaluation.

In a low-trust culture, it is very difficult to establish a good Win-Win Agreement or to allow self-supervision and evaluation. There would be a need, instead, for control systems and for external supervision and evaluation. Before a leader could set up the four conditions already discussed, he or she would clearly need to begin making

ing; these three personal skills enable an individual to establish the other four conditions of organizational effectiveness.

When individuals are duplicitous, when they say one thing but practice another or when they bad-talk people behind their backs but sweet-talk them to their faces, there is a subtle but eloquent communication which undermines trust and inevitably leads to win-lose agreements and arrangements requiring external supervision, control, and evaluation.

These conditions are so interdependent that if any one of them is thrown out of balance, it will immediately affect the others. In fact, changing just one character trait can affect all of the other conditions. For instance, consider the character trait of maturity, defined here as "courage

balanced with consideration." If a leader had a great deal of courage but lacked consideration, the leader would probably express himself or herself clearly and aggressively but would listen poorly, without true empathy. Consequently, the agreement would be win-lose.

The leader would get his or her way, thinking it is best for everyone concerned. The leader would likely not encourage or allow the people to express their true feelings. The leader would fail to tap the internal motivation, requiring external motivation or supervision and the use of good control systems and performance appraisal procedures and compensation systems to reinforce desired behavior.

On the other hand, if a person lacks courage but is high on consideration, high in the need for acceptance and popularity, he or she will tend to develop a lose-win psychological contract where people do their own thing. Often these agreements lead to various forms of self-indulgence and organizational chaos. People may begin to blame others for poor performance or bad results. They may also get very demanding. Such behav-

Character is what a person is; skills are what a person can do.

deposits into the emotional bank account and do whatever is necessary to build a trust relationship so the Win-Win Agreement could be established. Once the Win-Win Agreement is in place, the other conditions will logically and naturally follow.

The character traits most critical to establishing the Win-Win Agreement are integrity (habits are congruent with values, words with deeds, expressions with feelings), maturity (courage balanced with consideration), and the abundance mentality (there is plenty out there for everybody). A person with these character traits can be genuinely happy for the success and accomplishments of others.

Skills

The three most critical skills are communication, planning and organization, and synergistic problem-solv-

CONTENT SUMMARY

WIN-WIN AGREEMENTS FOSTER EMPOWERMENT

One of the most helpful processes in establishing the critical conditions of effectiveness is the creation of a Win-Win agreement.

There are five features of a Win-Win Agreement which basically cover what we need to understand before undertaking a job. We clarify the desired results, guidelines within which to work, resources upon which to draw, the means of accountability, and the consequences of on-the-job performance. But we do not deal with methods. Win-win is a human resource principle which recognizes that people are capable of self-direction and self-control and can govern themselves to do whatever is necessary within the guidelines to achieve the desired results.

When more than two individuals are involved in the Win-Win Agreement, the psychological contract becomes a social contract. We may set up the agreement with a team or a department or an entire division. Whatever the size of the group, all of the members should participate in developing the Win-Win Agreement. This social contract then becomes even more powerful, more reinforcing, and more motivating than the psychological contract because it taps into the social nature and human need to belong and be part of a meaningful team project or effort.

One of the strengths of this psychological or social win-win contract is its almost infinite flexibility and adaptability to any set of circumstances or any level of maturity or competence. If the ability or desire to do a job is small, then you would identify fewer

and smaller results; perhaps have more guidelines, including procedures; make resources more available, attractive and visible; have more frequent accountability with tighter, clearer, more measurable criteria; and have consequences follow immediately, making feedback powerfully reinforcing.

In another situation where there is a great deal of maturity, a great deal of ability and desire to do a job, the Win-Win Agreement would have broader, longer-range desired results with fewer guidelines, particularly regarding pro-

cedures and policy. You might make the resources available but not necessarily visible; have less frequent accountability, using discernment as well as measurement to evaluate performance; and set longer term consequences with particularly heavy emphasis on intrinsic psychological rewards rather than extrinsic rewards.

cedures and policy. You might make the resources available but not necessarily visible; have less frequent accountability, using discernment as well as measurement to evaluate performance; and set longer term consequences with particularly heavy emphasis on intrinsic psychological rewards rather than extrinsic rewards.

Once a Win-Win Agreement is established, people can then supervise themselves in terms of that agreement. Managers may serve as sources of help and establish helpful organizational structures and systems upon which self-directing, self-controlling individuals

Setting Up Helpful Systems

Helpful organizational systems greatly facilitate the fulfillment of Win-Win Agreements. These systems might include strategic planning, company structure, job design, communication, budgeting, compensation, information, recruitment, selection, placement, training, and development. In a helpful system, people receive information about

their performance directly, and they use it to make necessary corrections.

If any of the so-called "helpful" systems are really hurtful win-lose systems, they will override the Win-Win Agreement. This is particularly the case with the compensation system. If management talks win-win but rewards win-lose, they defeat their own system. It would be analogous to telling one flower, "Grow! Grow!" and then watering another flower.

All of the systems within the organization must be totally integrated with and supportive of the Win-Win Agreement. Win-win should be re-

*It would be analogous
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Unit 6: Creating and Sustaining Win-Win Agreements

<p>ior only reinforces the lose-win agreement, which eventually cannot be economically sustained and hence leads to win-lose central control as</p>	<p>management battles to survive and maintain some semblance of order. Anarchy breeds dictatorship. Again, as Patrick Henry put it, "If we don't gov</p>	<p>ern ourselves wisely, we will be governed by despots." ▲</p>

CAPTURE/EXPAND

CREATING AND SUSTAINING WIN-WIN AGREEMENTS

Excellent performance begins with clear expectations, mutual commitment, and the necessary competence.

Capture (purposes, main points, validations, applications, value)	Expand (evaluation, insights, illustrations)
<ul style="list-style-type: none"> • Win-Win Agreements are effective tools for establishing the win-win foundations necessary for long-term effectiveness. 	
<ul style="list-style-type: none"> • Win-Win Agreements may be created between individuals, teams, and all stakeholders. 	
<ul style="list-style-type: none"> • Win-Win Agreements must be individualized to be effective. 	
<ul style="list-style-type: none"> • Creating and sustaining Win-Win Agreements is a process of creating clear expectations, mutual commitment, and competence around: <ul style="list-style-type: none"> -Desired Results -Necessary Guidelines -Available Resources -Accountability -Consequences 	

HABIT FOUR: THINK WIN-WIN

Instructions

This exercise describes three situations in which two people must come to an agreement. Pick one of the situations to work with. If you have your own situation that you would like use, there is space provided at the end of the exercise to do that later.

For each situation, you will take one of the two positions. Your goal is to begin looking at deeply felt wants and needs in an effort to find a win-win solution. Create "want lists," and use that information to find a third alternative that allows you both to win. Remember that achieving a third alternative usually requires a paradigm shift on the part of one or both of the persons involved.

Issue 1

Should a teenager own his or her own car?

Teenager's position: "I want to own my own car."

Parent's position: "I don't want my child to have a car."

Teenager's want list:

Parent's want list:

Third alternative:

Issue 2

Should our marketing strategy be based on price or quality?

Member A's position: "We should approach the low-price end of the market, maintaining reasonable quality but emphasizing our low price compared to that of our competitors."

Member B's position: "We should look to the high end of the market, set prices that are as reasonable as possible, but position our products as the best available and well worth a little more money."

Member A's want list:

Member B's want list:

Third alternative:

Issue 3

What is the role of Research and Development within the organization?

R & D manager's position: "R & D's" role is to advance the state of the art and produce only those products that demonstrate a significant advance in technology. These will lead to business success in the long run."

Manufacturing manager's position: "R & D spends too much time trying for perfection when a less complicated product would do just as well. One result of this strategy is that products end up being complex and difficult to manufacture, which raises costs and lengthens lead times."

R & D manager's
want list:

Manufacturing manager's
want list:

Third alternative:

Issue 4

Your own situation.

Position A: _____

Position B: _____

A's want list:

B's want list:

Third alternative:

HABIT FOUR: THINK WIN-WIN

Instructions

This exercise has two parts:

1. Use the diagrams to evaluate the balance of courage and consideration in two of your most important relationships (with boss, spouse, co-worker, etc.). If you consider yourself low in courage and high in consideration, for example, place an "X" in the corresponding quadrant.

2. If you are out of balance in either of the relationships, consider the elements of a win-win character: maturity, courage balanced with consideration, an abundance mentality, and integrity. Next, decide what you might do to improve the situation and record it in the "Action" column. You will not be asked to share the results of this exercise.

Relationship 1: _____

		Courage		
		Low	High	
Consideration	High	Lose/ Win	Win/ Win	High
	Low	Lose/ Lose	Win/ Lose	Low
		Low	High	

Action

Relationship 2: _____

		Courage		
		Low	High	
Consideration	High	Lose/ Win	Win/ Win	High
	Low	Lose/ Lose	Win/ Lose	Low
		Low	High	

Action

WIN-WIN AGREEMENTS FOSTER EMPOWERMENT

One of the most helpful processes in establishing the critical conditions of effectiveness is the creation of a win-win agreement.

There are five features of a win-win agreement which basically cover what we need to understand before undertaking a job. We clarify the desired results, guidelines within which to work, resources upon which to draw, the means of accountability, and the consequences of on-the-job performance. But we do not deal with methods. Win-win is a human resource principle that recognizes that people are capable of self-direction and self-control and can govern themselves to do whatever is necessary within the guidelines to achieve the desired results.

When more than two individuals are involved in the win-win agreement, the psychological contract becomes a social contract. We may set up the agreement with a team or a department or an entire division. Whatever the size of the group, all of the members should participate in developing the win-win agreement. This social contract then becomes even more powerful, more reinforcing, and more motivating than the psychological contract because it taps into the social nature and human need to belong and be part of a meaningful team project or effort.

One of the strengths of this psychological or social win-win contract is that it is almost infinitely flexible and adaptable to any set of circumstances or to any level of maturity or competence. If the ability or desire to do a job is small, then you would identify fewer and smaller results; perhaps

have more guidelines, including procedures; make resources more available, attractive, and visible; have more frequent accountability with tighter, clearer, more measurable criteria; and have consequences follow immediately, making feedback powerfully reinforcing.

In another situation where there is a great deal of maturity, a great deal of ability and desire to do a job, the win-win agreement would have broader, longer-range desired results with fewer guidelines, particularly regarding pro-

cedures and policy. You might make the resources available but not necessarily visible; have less frequent accountability, using discernment as well as measurement to evaluate performance; and set longer term consequences with particularly heavy emphasis on intrinsic psychological rewards rather than extrinsic rewards.

Once a win-win agreement is established, people can then supervise themselves in terms of that agreement. Managers may serve as sources of help and establish helpful organizational structures and systems upon which self-directing, self-controlling individuals

Setting Up Helpful Systems

Helpful organizational systems greatly facilitate the fulfillment of win-win agreements. These systems might include strategic planning, company structure, job design, communication, budgeting, compensation, information, recruitment, selection, placement, training, and development. In a helpful system, people receive information about their performance directly, and they use it to make necessary corrections.

If any of the so-called "helpful" systems are really hurtful win-lose systems, they will override the win-win agreement. This is particularly the case with the compensation system. If management talks win-win but rewards win-lose, they defeat their own system. It would be analogous to tell one flower, "Grow! Grow!" and then water another flower.

All of the systems within the organization must be totally integrated with and supportive of the win-win agreement. Win-win should be re-

*It would be analogous
to tell one flower,
"Grow! Grow!" and then
water another flower.*

flected in recruiting and hiring and training. It should also be evident in professional development, compensation, job design, company structure, strategic planning, and mission and goal selection, as well as in all tactical activities.

Self-Evaluation

In a win-win agreement, people evaluate themselves. Since they have a clear, up-front understanding of what results are expected and what criteria are used to assess their performance, they are in the best position to evaluate themselves.

The old notion is that the manager evaluates the performance of his people, sometimes using a secret set of subjective criteria that he springs on them at the end of a specified work period. This, of course, is absolutely insulting to people, which is why some managers do not have good performance appraisals. Unless expectations are clarified and commitments made up front, people can expect performance appraisals to be difficult, embarrassing, and sometimes downright insulting.

The attitude of leaders should be helpful, not judgmental. The leader is a resource in the win-win agreement. The leader may serve as a trainer when people undertake new tasks or new re-

sponsibilities or as a counselor in the areas of career planning and professional development. The leader involves people in establishing the win-win agreement and allows them to evaluate their own performance. If the trust level is high, the employee's evaluation will be more accurate, more complete, more honest than the leaders' evaluation ever could be, because the person knows all of the conditions and the details.

If the leader becomes aware of changing trends or other conditions which are not part of the original agreement, the leader would reopen the agreement for rethinking, replanning, and reformulating.

Critical Conditions

These conditions are so interrelated that if any one of them is thrown out of balance, it will immediately affect the others. In fact, changing just one character trait can affect all of the other conditions. For instance, consider the character trait of maturity, defined here as "courage balanced with consideration." If a leader had a great deal of courage but lacked consideration, the leader would probably express himself or herself clearly and aggressively but would listen poorly, without true empathy. Consequently, the agreement would be win-lose. The leader

would get his or her way, thinking that his or her way is best for everyone concerned. The leader would likely not encourage or allow the people to express their true feelings. The leader would fail to tap the internal motivation, requiring external motivation or supervision and the use of good control systems and performance appraisal procedures and compensation systems to reinforce desired behavior.

On the other hand, if a person lacks courage but is high on consideration, high in the need for acceptance and popularity, he or she will tend to develop a lose-win psychological contract where people do their own thing. Often these agreements lead to various forms of self-indulgence and organizational chaos. People may begin to blame others for poor performance or bad results. They may also get very demanding. Such behavior only reinforces the lose-win agreement, which eventually cannot be economically sustained and hence leads to win-lose central control as management battles to survive and maintain some semblance of order. Anarchy breeds dictatorship. As Patrick Henry put it, "If we don't govern ourselves wisely, we will be governed by despots." ▲

Role Clarification

Objective

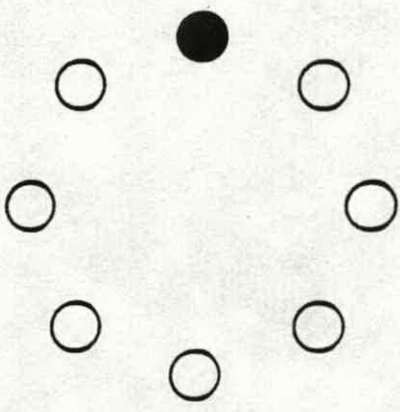
Many small and large problems in organizations result from a lack of clarity around expectations, roles, goals, etc. This exercise enables participants to clarify those expectations.

This not only reduces ambiguity around individual expectations, but also reduces unnecessary overlap of effort and closes gaps where important tasks might be dropped or overlooked. It also gives participants a clear perception of other's roles, so that they can work synergistically to meet the objectives of those they work with or service - their internal customers if you will.

How the Exercise is Conducted

Participants in this exercise should be people who work together as a team. They may also be heads of other teams representing their respective groups.

The participants are seated in a circle, and one person (represented by the dark circle) is designated as the focal person.



Step One

The focal person begins by describing his/her role as he/she sees it.

"This is my role as I see it."

Attachment One

Step Two

One by one the others in the group describe the role of the focal person as they see it.

"Focal person, this is your role as I see it."

Step Three

The focal person describes what he needs from each person in the group in order to perform in his/her (the focal person's) job successfully.

"This is what I need from you, Bob, to do my job well."

"This is what I need from you, Jane, in order to do my job well."

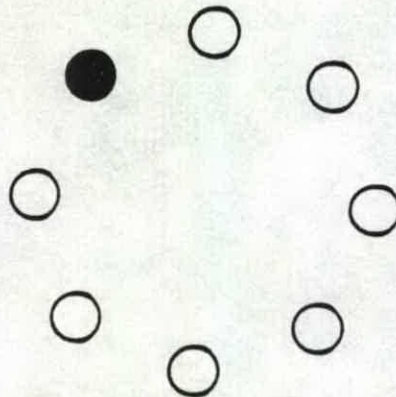
Step Four

Each of the other participants then describes what he/she needs from the focal person in order to help the focal person succeed.

"If I am going to be able to help you like you would like me to, focal person, I need you to do this for me."

Step Five

The next person in the circle now assumes the role of focal person, with each person taking the role of the focal person until all have had the opportunity.



TIC-TAC -TOE GAME

PURPOSE: To illustrate the principle of win-win.

HOW TO FACILITATE THE GAME:

- Ask your participants if they are familiar with tic-tac-toe.
- Draw a tic-tac toe board with sixteen squares on the flip chart. Do not enclose the board.
- Instruct your participants to turn to their neighbor, draw a sixteen square board resembling the one on the flip chart and play tic-tac-toe. It is possible to win horizontally, vertically or diagonally.
- Ask them to play until all of the squares are filled.
- Walk around the room and monitor their games.
- When they have finished, ask the winners to please raise their hands. (You will notice that if they have played with a win-lose or win or blocking strategy, there will be few winners.)
- Now ask them what their strategy was and what frame of mind they were in while playing the game. (Most will answer win, win/lose and blocking. Some may answer lose-win) Try to draw out the end result of playing with such a strategy. For example, the end result would be a lose-lose situation.
- Please point out that had they played with a cooperative win-win spirit the end result of the game would have been two winners.
- Now ask them how old they were when they learned how to play this game. Point out that many children learn tic-tac-toe before or around the same time they learn to write their own names. Also point out how deeply scripted a win-lose mentality is.

- Continue the discussion by asking them if this game can be compared to situations in their personal and professional lives. Ask if they themselves or if they are aware of others who have a win-lose mindset and seek to block the efforts of others rather than cooperate and work together. Also ask if people who operate in this paradigm really end up with a lose-lose result.
- Share a personal example from your own experience illustrating this idea.

WHEN TO FACILITATE THE GAME:

- You may use this game as an introduction to Habit 4.
- You may also use this game to review Habit 4 and illustrate how deeply scripted we are in win-lose thinking.

KEY LEARNING'S:

- Be patient with yourself. Many of us are deeply scripted in a win-lose mentality . It takes time and a strong level of commitment to break with old habits and ways of looking at the world.
- Oftentimes, when we operate with a win, lose-win or win-lose mentality we end up with a lose-lose result.

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- Oftentimes, when we operate with a win, lose-win or win-lose mentality we end up with a lose-lose result.

Win-Win Agreements

EXERCISE

Circle the response that most accurately answers the questions below.

Desired Results

Never Rarely At times Often Always

I am clear as to the results that I am responsible for producing.

Never Rarely At times Often Always

There is clarity regarding the purpose of my team or organization.

Never Rarely At times Often Always

I am able to balance my production with activities which maintain and increase my ability to produce.

Never Rarely At times Often Always

The desired results of my function produce a win for all stakeholders.

Never Rarely At times Often Always

The desired results of my function inspire me.

Guidelines

Never Rarely At times Often Always

There is clarity regarding guidelines for my individual or team performance.

Never Rarely At times Often Always

I am clear about my level of initiative in any given circumstance.

Never Rarely At times Often Always

Paths to success or failure are clear.

ELEMENTS OF THE WIN-WIN AGREEMENT PROCESS

DESIRED RESULTS (*What are we going to do?*)

- Overlap needs and goals.
- Begin with the end in mind.
- Put first things first.
- Ascertain how desired results fit into the "big picture."
- Identify indicators and deadlines.
- (Define a win for the task and the relationship).

GUIDELINES (*Within what limits?*)

- Determine level of initiative:
 - 1) wait for instruction
 - 2) ask what to do
 - 3) recommend
 - 4) act-report immediately
 - 5) act-report routinely
- Identify relevant policies and procedures.
- Specify things to avoid.

RESOURCES (*What do we have to work with?*)

- Identify type and amount of available resources:
 - 1) human
 - 2) financial
 - 3) technical
 - 4) organizational
- Identify how and when resources can be accessed.
- Specify limits.

ACCOUNTABILITY (*How can we tell what we are doing?*)

- Specify type of control (self-control or external control).
- Set agreed upon reviews (frequent or infrequent).
- Set performance standards.
- Determine who initiates meeting reports.
- Specify sources of information.
- Identify methods of evaluation:
 - 1) measurement (counting)
 - 2) observations (watching)
 - 3) discernment (deeply understanding—honesty, testimony and feeling)

CONSEQUENCES (Why do we want to accomplish the results?)

- Consider the positive and negative consequences (financial, opportunity, growth, career, etc.) in terms of accomplishing or not accomplishing the desired results as they effect:
 - 1) the work
 - 2) others in the work group
 - 3) others outside the work group
 - 4) customers
 - 5) the organization
 - 6) the boss
 - 7) those who created the agreement
- Consider both the immediate and long term for the task and the relationship.

CONSEQUENCES (Why do we want to accomplish the results?)

- Consider the positive and negative consequences (financial, opportunity, growth, career, etc.) in terms of accomplishing or not accomplishing the desired results as they effect:
 - 1) the work
 - 2) others in the work group
 - 3) others outside the work group
 - 4) customers
 - 5) the organization
 - 6) the boss
 - 7) those who created the agreement
- Consider both the immediate and long term for the task and the relationship.

WIN-WIN AGREEMENT

DATE

TASK 1

TASK 2

PARTY 1

PARTY 2

DESIRED RESULTS

GUIDELINES

RESOURCES

ACCOUNTABILITY

CONSEQUENCES

SMALL GROUP DISCUSSION

Please consider the following questions which ask you to explore your opinions about the Win/Win attitude.

- 1. Is going for Win/Win realistic or idealistic? Please explain your thinking.

- 2. Where would trying to go for Win/Win apply in your job? Where would it not apply?

- 3. What obstacles keep yourself and others from applying the Win/Win attitude and behavior more frequently?

SMALL GROUP EXERCISE

Listed below are three situations where two people are trying to come to agreement about an issue. Choose one of the issues to discuss, or choose an actual situation if you prefer.

For each situation, you will take one of the two positions. Your goal is to begin looking at deeply-felt wants in an effort to find a win/win solution. Create "want lists," and then, from the want lists, create a Third Alternative that allows you both to win. Remember that achieving a Third Alternative usually requires a paradigm shift on the part of one or both people.

ISSUE #1: Should a teenager own his or her own car?

Teenager's position: "I want to own my own car."
Parent's position: "I don't want my child to have a car."

Teenager's Want List

Parent's Want List

_____	_____
_____	_____
_____	_____

Third Alternative: _____

ISSUE #2: Should our marketing strategy be based on price or quality?

Member A's Position: "We should approach the low-price end of the market, maintaining reasonable quality, but emphasizing our low price compared to competitors."

Member B's Position: "We should look to the high end of the market, set prices that are as reasonable as possible, but position our products as the best available, and well worth a little more money."

Member A's Want List

Member B's Want List

_____	_____
_____	_____
_____	_____

Third Alternative: _____

ISSUE #3: What is the role of Research and Development within the organization?

R & D Manager's Position: R & D's role is to advance the state of the art and produce only those products which demonstrate a significant advance in technology. This will lead to business success in the long-run.

Manufacturing Manager's Position: R & D spends too much time trying for perfection when a less complicated product would do just as well. One result of this strategy is that products end up being complex and difficult to manufacture, which raises costs and lengthens lead times.

**R & D Manager's
Want List**

**Manufacturing Manager's
Want List**

Third Alternative: _____

ISSUE #4: Your own situation

What is the issue? _____

What are the two positions?

A: _____

B: _____

A's Want List

B's Want List

Third Alternative: _____

APPLICATION EXERCISE

This Application Exercise has two parts:

- First, use the diagram below to evaluate two of your most important relationships (with boss, spouse, co-worker, etc.) on your balance between courage and consideration. If you consider yourself low in courage, high in consideration, for example, place an "X" in the corresponding quadrant and so on.
- Second, if you are out of balance in either of the relationships, consider the elements of a Win/Win character: Maturity, Courage balanced with Consideration, the Abundance Mentality, and Integrity. Next, decide what you might do to improve the situation and record it in the "Action" blanks to the right. You will not be asked to share the results of this exercise.

Relationship 1: _____

		Courage		Action Needed
		Low	High	
Consideration	High	L/W	W/W	_____
	Low	L/L	W/L	_____

Relationship 2: _____

		Courage		Action Needed
		Low	High	
Consideration	High	L/W	W/W	_____
	Low	L/L	W/L	_____

WIN/WIN ANALYSIS FORM

Date: _____ Project/Task _____

Problem from the other point of view:

Key issues involved (not viewpoints):

What results would constitute a fully acceptable solution:

Possible new options to achieve those results:

WIN/WIN AGREEMENT FORM

Date: _____ Project/Task: _____

Party 1 _____ Party 2 _____

Results:

Resources:

Guidelines:

Accountability:

Consequences:

SMALL GROUP EXERCISE

Your goal in this exercise is to reflect on systems in your life that may discourage Win/Win thinking, using the questions below as a guide.

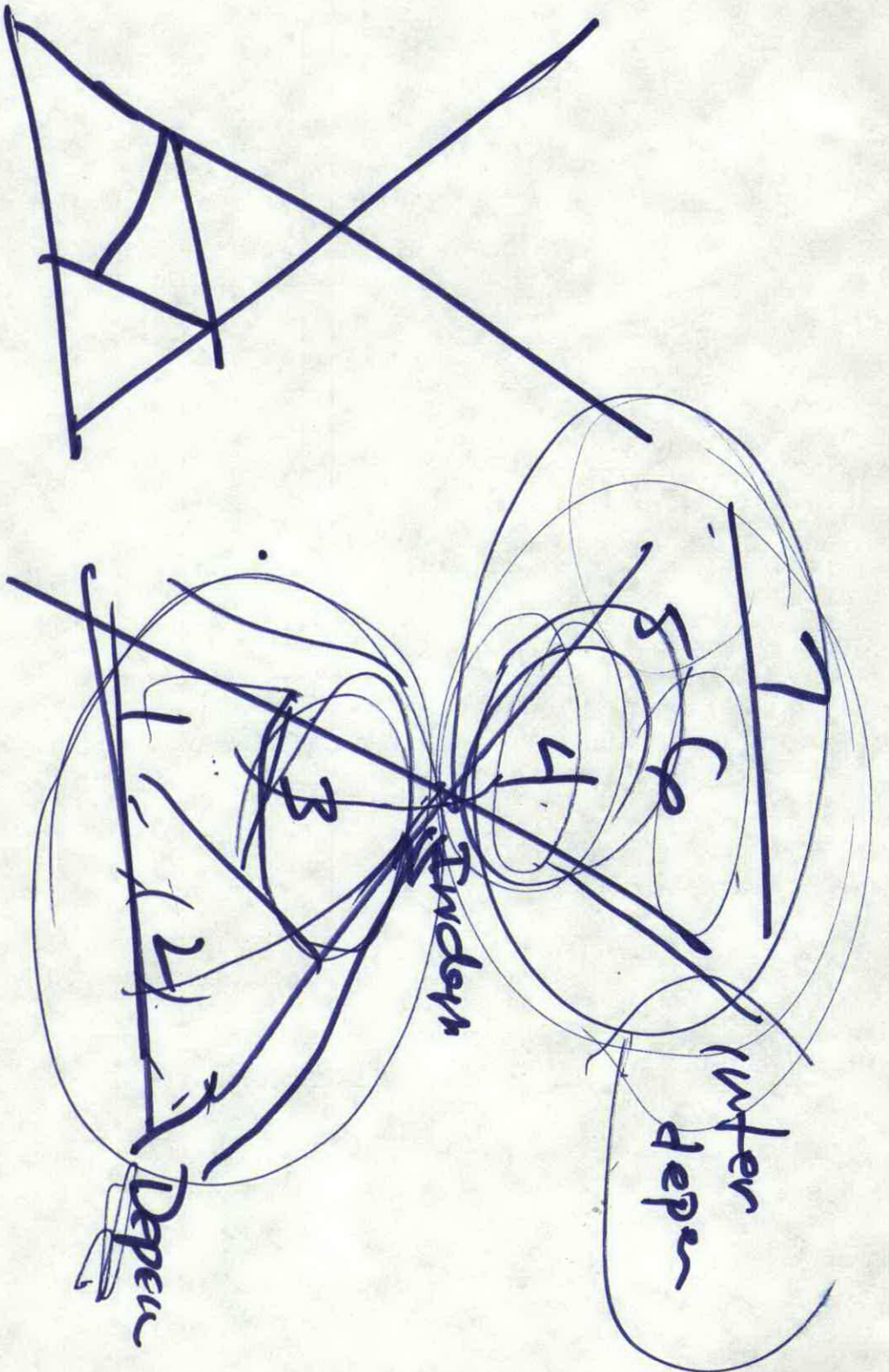
1. Where in your life do you experience rules and policies that discourage Win/Win thinking?

2. Do you experience informal pressures that discourage Win/Win thinking?

3. When you experience negative systems, do you focus on the Inner Circle of Influence or on the Outer Circle of Concern? How do you know?

4. If you focus on the Outer Circle of Concern, what price will you eventually pay?

5. How might you adjust your thinking and your behavior within a negative system to encourage Win/Win?



win / lose .

win / win

NO Deal

WIN AS MUCH AS YOU CAN

DIRECTIONS: For ten successive rounds you and your partners will choose either an X or a Y. The pay-off for each round depends upon the pattern of choices made in your cluster.

STRATEGY: You are to confer with your partners on each round and make a joint decision. Before rounds 5, 8, and 10 you confer with the other partnerships in your cluster.

4 Xs	lose \$1 each
3 Xs 1 Y	win \$1 each lose \$3
2 Xs 2 Ys	win \$2 each lose \$2 each
1 X 3 Ys	win \$3 lose \$1 each
4 Ys	win \$1 each

Strategy						
Round	Time Allowed	Confer with	Choice	\$ Won	\$ Lost	Balance
1	2 min.	partners				
2	1 min.	partners				
3	1 min.	partners				
4	1 min.	partners				
5	3 min. + 1 min.	cluster partners				
6	1 min.	partners				
7	1 min.	partners				
8	3 min. + 1 min.	cluster partners				
9	1 min.	partners				
10	3 min. + 1 min.	cluster partners				

← Bonus Round:
pay-off x 3

← Bonus Round:
pay-off x 5

← Bonus Round:
pay-off x 10

Win as Much as You Can

4 Xs:	Lose \$1 each
3 Xs: 1 Y:	Win \$1 each Lose \$3 each
2 Xs: 2 Ys:	Win \$2 each Lose \$2 each
1 X: 3 Ys:	Win \$3 each Lose \$1 each
4 Ys:	Win \$1 each

Round	Your Choice	Cluster Choices	\$ Won	\$ Lost	Balance
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Win as Much as You Can Game

1. How did you define the goal?
2. Trust is fragile.
3. People tend to stick to and relish their roles.
4. When you show your “true colors” are less important than what your colors are.
5. Expectations that are violated are often accompanied with punishing behaviors.
6. Win-Lose programming is strong. Lose-Win is not satisfying.

TO: Kim Kerner / Mike Simpson 801-377-0085

5

"WIN AS MUCH AS YOU CAN" Business Simulation

See detailed outline in the Appendix. There are many effective ways to facilitate this exercise. The following approach is one which has proven very successful.

tell 'em - engage in "Win" Business Simulation
Key points:

1. In the initial instructions, and while playing it, refer to it as a business, or organizational dynamics, "simulation" rather than as a game.
2. Give five clear instructions at the beginning:
 - First instruction: I am the head of our organization and you must follow my instructions precisely. Do not jump ahead of me; I will give you specific instructions at each step.
 - Second instruction: The name of the simulation, the objective, the strategy, and the rules are all the same: *Win as much as you can!*
 - Third instruction: I will give clear instructions; you may not ask me any questions.
 - Fourth instruction: If you have ever participated in this or a similar simulation before, do not disclose this to anyone and participate exactly as you did the first time.
 - Fifth instruction: You may only talk to your partner and to no one else. *don't jump ahead of me...*

A key purpose of these instructions is to ward off anyone asking a question such as, "Do you mean the partnership or the cluster is to win?" Just respond with, "No questions." Also, you do not want to identify those who have played before—doing so reduces the suspense and dilutes the experience.

time
Rounds

1 = 2 min
2 = 1 1/2 min
3 = 1 min
4 = 1/2 min
5 = 2 min + 1/2
6 = 1/2 min
7 = 1/2 min
8 = 2 min + 1/2
9 = 1/2 min
0 = 2 min + 1/4

talk to anyone
multiplier 10,
have each
partner announce
to group.

3. At the end of the last round (usually 10 rounds), have them tally their final partnership scores and immediately begin their cluster discussion with the prepared overhead around principles demonstrated or violated. People need to talk together and work out the emotion of the game, and either paper exercises or large group discussion thwarts this emotional and psychological need.
4. After processing the small group discussions, as the last event before taking a break, have everyone stand up within the cluster, and give them clear instructions before they can take a break to "Go around to everyone in your cluster, shake hands, give them a hug, and say, 'I like you and I forgive you!'"

People need this emotional release to seal the experience as a game and that it was all in fun. It can then be referred to in good humor with significant learnings for the rest of the workshop.

you've lost sight of objective, what is it?
round 5, 2 min to talk about anything, no need to disclose, JORDAN, etc
multiplier factor, take another :30 to discuss with partner
to achieve, objective - win ... decide what you're really

Win-As-Much-As-You-Can Game Instructions

To begin this game, divide the group into partnerships. These would be diads, two people forming a partnership. If you have an odd number of people in the group, then one person would join a partnership, making three, but they would still act as a partnership.

After dividing them into partnerships, you then join the participants into clusters. A cluster is formed of four partnerships (eight people). If you don't have the right number for clusters, then break up partnerships so that you would have several partnerships with three in the, but you would have no incomplete clusters.

Next, pass out the "Win-as-much-as-you-can" tally sheet and explain. The goal of this game is to win as much as you can as a partnership. When people ask for clarification saying, "You mean, win as many points?" or ask for further explanation, just explain that the objective is to win as much as you can as a partnership. Say only this!

As the group to read the tally sheet along with you and read out loud:

The directions: for ten successive rounds you and your partner will choose either an "x" or a "y". The payoff for each round is dependent upon the pattern of choices made in your cluster. (Refer everyone to the chart at the bottom of the tally sheet.)

For example, in round one you will have two minutes to confer with your partner about whether to mark in x or y. When I say, "Time's up!" you mark your choice and I'll say, "announce," and each partnership says out loud whether they've chosen an x or a y.

If all four partnerships in a cluster choose an x, you each lose one dollar and you mark down on your tally sheet a one dollar loss. If three partnerships choose an x and one a y, the x's win a dollar each and the y's lose three dollars. If two choose x and two choose y, then the x's win two dollars each and the y's lose two dollars each. If one chooses an x and three partnerships choose a y, the x's win three dollars and the y's lose one dollar each. If all four partnerships choose a y, then each partnership wins one dollar.

You mark the amount of money won or the amount of money lost in that round and then figure your balance and keep your balance current. The middle of the page says STRATEGY.

You are to confer with your partner on each round and make a joint decision. Before rounds five, eight and ten, you confer with the other diads within the cluster. For example, in round five you will have three minutes to talk as a cluster about your strategies and then one minute to discuss with your partner and then mark your choice and then announce. Total your winnings or your losses in round five. You'll notice that because it is a bonus round, your winnings are multiplied by three. In bonus round eight, the winnings or losses are multiplied by five, and in bonus round ten, they're multiplied by ten. Remember that the objective is to win as much as you can as a partnership.

Usually that type of behavior encourages others' win/lose behavior instead of turning the other partnerships around. Others went for win/lose and said that they were going to get as much money as they could regardless of the cost of friendships, relationships or process. A lot of bad feelings were engendered and some people were really thwarted in their effort to win as much as they can as other teams begin feeling the lose/win and retaliated against them."

I hope that out of this the participants learn how delicate trust is. That trust is very fragile. It is very hard to build and it is very easily lost. Trust is the basis of communication. Trust is slowly built over time and easily destroyed.

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Keep in mind that going for win/win is difficult, but we have not yet seen an example where if the team went for win/win, they didn't turn the other teams around. Win/win is tough minded and kind hearted. With this game, if just one of the teams adopted a win/win approach, they would most likely be successful in turning the other teams around. The key is doing the following three things:

1. The Win/Win team explains that they will always make their word equal their deed. If they say they'll go an X, they'll go an X. If they say they will go a Y, they will go a Y. They give trust conditionally, but are unconditionally trustworthy. For example, they would say, "We are going to go Y and we would encourage everyone else to go Y because if we do we will all win. We want to win as much as we want you to win. However, if anyone marks X on this round, then we guarantee that we'll mark X on the next round. And we will keep doing this until everyone marks Y."
2. Stay persuasive. Encourage people. Explain the advantages of everyone going Y and that over the long haul it is the only way for everyone to "win as much as they can."
3. Don't point the self-righteous finger. Don't get into blaming, punishing, or wailing. Keep in mind that punishment rewards the behaviors and teaches that the wrong is in getting caught. Discipline extinguishes misbehavior and teaches the wrong is in the behavior. The difference between disci-

WIN AS MUCH AS YOU CAN

Adapted from an exercise by William Gellerman, Ph. D., in J. Pfeiffer and J. Jones, *Structured Experiences for Human Relations Training*, Volume II. Published by Univerisity Associates, © 1974

DIRECTIONS: For 10 successive rounds you and your partners will choose either an X or a Y. The payoff for each round depends upon the pattern of choices made in your cluster.

STRATEGY: You are to confer with your partners on each round and make a joint decision. Before rounds 5, 8, and 10 you confer with the other partnerships in your cluster.

4 Xs	lose \$1 each
3 Xs 1 Y	win \$1 each lose \$3
2 Xs 2 Ys	win \$2 each lose \$2 each
1 X 3 Ys	win \$3 lose \$1 each
4 Ys	win \$1 each

Strategy						
Round	Time Allowed	Confer with	Choice	\$ Won	\$ Lost	Balance
1	2 min.	partners				
2	1 min.	partners				
3	1 min.	partners				
4	1 min.	partners				
5	3 min. + 1 min.	cluster partners				
6	1 min.	partners				
7	1 min.	partners				
8	3 min. + 1 min.	cluster partners				
9	1 min.	partners				
10	3 min. + 1 min.	cluster partners				

Bonus Round:
payoff x 3

Bonus Round:
payoff x 5

Bonus Round:
payoff x 10

Win as Much as You Can Game

1. How did you define the goal?
2. Trust is fragile.
3. People tend to stick to and relish their roles.
4. When you show your “true colors” are less important than what your colors are.
5. Expectations that are violated are often accompanied with punishing behaviors.
6. Win-Lose programming is strong. Lose-Win is not satisfying.

Win as Much as You Can

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4 Ys:	Win \$1 each

Round	Your Choice	Cluster Choices	\$ Won	\$ Lost	Balance
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

Win-As-Much-As-You-Can Game Instructions

- ① To begin this game, divide the group into partnerships. These would be diads, two people forming a partnership. If you have an odd number of people in the group, then one person would join a partnership, making three, but they would still act as a partnership.
- ② After dividing them into partnerships, you then join the participants into clusters. A cluster is formed of four partnerships (eight people). If you don't have the right number for clusters, then break up partnerships so that you would have several partnerships with three in the, but you would have no incomplete clusters.
- ③ Next, pass out the "Win-as-much-as-you-can" tally sheet and explain. The goal of this game is to win as much as you can as a partnership. When people ask for clarification saying, "You mean, win as many points?" or ask for further explanation, just explain that the objective is to win as much as you can as a partnership. Say only this!

As the group to read the tally sheet along with you and read out loud:

- ④ The directions: for ten successive rounds you and your partner will choose either an "x" or a "y". The payoff for each round is dependent upon the pattern of choices made in your cluster. (Refer everyone to the chart at the bottom of the tally sheet.)

For example, in round one you will have two minutes to confer with your partner about whether to mark in x or y. When I say, "Time's up!" you mark your choice and I'll say, "announce," and each partnership says out loud whether they've chosen an x or a y.

If all four partnerships in a cluster choose an x, you each lose one dollar and you mark down on your tally sheet a one dollar loss. If three partnerships choose an x and one a y the x's win a dollar each and the y's lose three dollars. If two choose x and two choose y, then the x's win two dollars each and the y's lose two dollars each. If one chooses an x and three partnerships choose a y, the x's win three dollars and the y's lose one dollar each. If all four partnerships choose a y, then each partnership wins one dollar.


- ⑤ You mark the amount of money won or the amount of money lost in that round and then figure your balance and keep your balance current. The middle of the page says STRATEGY.

- ⑥ You are to confer with your partner on each round and make a joint decision. Before rounds five, eight and ten, you confer with the other diads within the cluster. For example, in round five you will have three minutes to talk as a cluster about your strategies and then one minute to discuss with your partner and then mark your choice and then announce. Total your winnings or your losses in round five. You'll notice that because it is a bonus round, your winnings are multiplied by three. In bonus round eight, the winnings or losses are multiplied by five, and in bonus round ten, they're multiplied by ten. Remember that the objective is to win as much as you can as a partnership.

Now, we're ready to start round one. You have two minutes to confer with your partner. GO. Carefully time for two minutes and say, "Time is up and mark your choice." Then, announce your choice. "Figure out your wins and losses and determine your balance." Keep a real check on the time and keep it moving very quickly. When people ask questions answer them quickly and move on. If they ask if they are trying to win as a cluster, explain that the goal is to win as much as you can as a partnership.

In round five say, "As a cluster, you have three minutes to talk with the other partnerships and develop a joint strategy. Whether you choose to keep the commitments made in your cluster discussions are up to you, of course. Then you'll have one minute to discuss with your partner." Time it for three minutes and then say, "No more discussing as a cluster. You have one minute talk strategy with your partner and make a choice. Then, mark your choice. Announce." Take it through round ten.

Sometimes Stephen makes jokes around round four or five by saying, "I'm sorry, we really have to be strict on this. No physical violence is permitted. You may dish out verbal abuse, but no physical violence." And then around eight or nine he'll often say, "Okay, physical violence is permitted, but you cannot use sharp objects." And then after round ten, "Anything goes except something that would destroy furniture or property."

 After round ten one option that can be effective is to identify the highest scores and the lowest scores and write those up on the chalkboard. Ask what the goals were of both those who got the highest and the lowest scores. Sometimes if there has really been a lot of shafting and people really saved up for round ten and then "socked it to them," Stephen will say, "I know that on your tally sheet it only goes to round ten, but now we're going into phase two of the game. In phase two there are an infinite number of rounds. In round eleven we will multiply the winnings or losses by 100. In round twelve by 200. In round thirteen by 300, and in round fourteen by 400. Now, let's try round eleven. You have three minutes to confer as a cluster and one minute to confer as a partner and then mark and announce."

Usually people realize that this could go on forever. They realize that it is an interdependent relationship and that they are going to have to cooperate. Usually by round twelve or thirteen everyone gets the message. Rounds eleven and on are really optional. You don't have to do them to make the game effective, but it might be a way to drive the point home if some aren't catching on.

Whether or not you go past round ten, one of the first things to discuss is how much people defined their goal. some people defined it as winning as much money as they could, which was the stated goal of the game. Some people had the goal of having as much fun as they could and so stirring the pot and getting people's reactions was the goal that motivated them. For others, the goal of having integrity between word and deed. Sometimes the goal was stated up front and sometimes the goal was unstated. However, the goal was essential to the outcomes. We've seen some who have defined the goal of "win as much as you can for a partnership" and then three partnerships in the cluster intentionally lose every time by marking y's and the one partnership in the cluster marks an x so that the one partnership wins as much as they can rather than each of the four.

There are usually a lot of different reactions. You might say, "Some of you went for lose/win. You decided that you would be the martyr and that you were noble and 'go ahead and walk on me.'"

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pline and punishment is explaining up front the consequences of the behavior and then carrying out those consequences.

It is really helpful as you go through some of these points and highlights to get the group's experience and give some examples. You might say, "In this group over here, this team accepted a lose/win and were saying, 'Walk all over me.' Yet what happened over time? Win/win is different." Then you could get several examples.

These are some of the key points to touch on in processing. Go back and give examples from the group of their experiences. I have seen this game be very successful in getting people to feel the point of win/win and not just get an understanding of win/win. Also, it gets them to look at some of their approaches and assumptions and, I think, get to the feeling level which is probably one of the real rewards of this game.

Gandhi Quotes

I had learnt the true practice of law. I had learned to find out the better side of human nature and to enter men's hearts. I realized that the true function of a lawyer was to unite parties driven asunder.

Gandhi without realizing it had found the secret of success. He began to look on every difficulty as an opportunity for service, a challenge which could draw out of him greater and greater resources of intelligence and imagination.

The ideal of selfless service had taken hold of Gandhi and caused rapid changes in every aspect of his life. The financial returns of a successful law career, the European style of living, the complicated household—all these fell away when they became obstacles in his path of community service. Each simplification freed new resources of time, energy and ability. Often, especially at first, it was painful to give up his time or pleasure for the sake of others' needs. But the freedom that followed was exhilarating. Gandhi's joy knew no bounds. Everywhere he began to see the possibility to choose between living for himself alone or living for the sake of others.

p.29

Win/Win

Often what we think is best for others is distorted by our attachment to our opinions; we want others to be happy in the way we think they should be happy. It is only when we want nothing for ourselves that we are able to see clearly into others' needs and understand how to serve them.

While he was pursuing his own career Gandhi had no access to the immense storehouse of creativity which lies within. It was only when he began to live for others that he found himself bursting with almost unharnessable power.

You and I, we think one thing, feel another, say a third, and do a fourth, so we need notes and files to keep track."

Pg. 114. we see the world as we are

Through many years of such conditioning, trying again and again to satisfy the desires for personal satisfaction, we have come to believe that this is our real personality. In reality it is a mask which we have merely forgotten how to take off. Beneath the mask is all the glory of our real self: complete fearlessness, unconditioned love, and abiding joy.

German Mystic Meister Eckhart "people should think less about what they out to do and more about what they out to be. If only their living were good, their work would shine forth brightly."

You must watch my life, how I live, eat, sit, talk, behave in general. The sum total of all

those in me is my religion."

Gandhi days began 3-4

Gandhi had little interest in gourmet fare; for him the body was a instrument of service, and he gave it food the way he would give an engine gas. Eat only what you need only when you are hungry and only when you have done at least a little work for others.

p.140 Once, while Gandhi train was pulling slowly out of the station, a reporter ran up to him and asked him breathlessly for a message to take back to his people. Gandhi's reply was a hurried line scrawled on a scrap of paper; "My life is my message."

I have not the shadow of doubt that any man or woman can achieve what I have, if he or she would make the same effort and cultivate the same hope and faith.

Whenever you are in doubt or when the self becomes too much with you, try the following experiment; recall the face of the poorest and the most helpless man whom you may have seen and ask yourself if the step you contemplate is going to be of any use to him. will he be able to gain anything by it/ Will it restore him to a control over his own life and destiny? In other words, will it lead to ...self rule for the hungry and also spiritually starved millions of our countrymen? Then you will find your doubts and your self melting away."