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### Introduction

elcome to competency research at the start of the twenty-first century and the third millennium! The Hay/McBer Scaled Competency Dictionary Millennium includes the best of over twenty-five years of competency research, validated across many empirically derived competency models. Every core competency has been shown to differentiate performance reliably in multiple organizations, and has been derived from close examination of good and outstanding performers from around the world.

### **Contents**

Dictionary Millennium has been organized into five sections as follows:

### Section I: Introduction

In addition to this expanded Table of Contents, this section includes a brief history on the development of the Hay/McBer *Scaled Competency Dictionary*. It also includes a general overview of rules and guidelines for coding Behavioral Event Interviews using *Dictionary Millennium*, as well as comments on the dictionary's format.

### Section II: Generic Competencies

These 18 competencies are the standard set, which are coded by all Hay/McBer accredited coders, and are normally used for derivation of a competency model. All Behavioral Event Interviews are coded for the potential presence of all 18. A fully researched model will normally have a subset of these 18 included (usually in modified form). The 18 generic competencies are accompanied by behavioral examples for every level of every scale.

### Section III: Supplemental Competencies

These competencies are valid and reliable, but occur with lower frequency in our database of competency models. They should be added to the core set for coding purposes where appropriate.

### Section IV: Emotional Intelligence Competencies

All of the Emotional Intelligence competencies found in the Hay/McBer Emotional Intelligence Competency Model are listed in this section. While some require "open-coding" (without scales, since they will be constructed from data obtained in ongoing BEIs), most can be coded against scales outlined in Sections II and III. This section will guide the user to the appropriate scale for coding Emotional Intelligence competencies.

### Section V: Coder's Decision Tree

This tool has been included here as an added guide for successful coding of a Behavioral Event Interview. Since it is essential that accredited coders find all codable data in an interview, the decision tree is used after coding a BEI in order to double-check the completeness of coding.

### **History and Use of Competency Scales**

The generic competency scales you see in this dictionary were first developed in 1990–91. Prior to that time, each model was "opencoded" without scales, much in the manner in which truly unique competencies are handled today. In the competency models of that era, competencies were grouped into clusters, based on similarities between competencies. Each competency had a definition, two to five behavioral indicators (in no particular order or scaling), and some text examples drawn from BEIs. There was also a set of several dozen "generic" or most commonly seen competencies, each with about four behavioral indicators.

The scaling found in today's Hay/McBer competencies grew out of a combination of circumstances and intellectual inputs:

- 1. The McBer initiative to develop a database of all competency models and their findings. This meant we had to develop a standard way to notate competencies, in order to record them in the database.
- 2. Cognitive and developmental psychology
- 3. The Hay guidecharts and the "Just Noticeable Difference" scaling in them.

Initially, the purpose of the notation system that became the scales, was to code 200 completed models in order to enter them into a database. The scales were developed by ranking, comparing, and combining the text examples taken from the models of many different jobs in different industries (and the military) and comparing them. In the original scales, each competency had one to three dimensions: usually the size/scope of the problem, the number and relationship of people involved, or the degree of effort involved. After the scales were developed for the purpose of coding models, they were successfully applied to coding BEIs for the purpose of concept formation.

Over time, as the scales were used to code BEIs, it became apparent that while the additional dimensions were necessary to distinguish between the same competency displayed in different jobs (for example, the difference between improving one's personal efficiency and improving the productivity of an entire factory or company), there was usually little difference between performers in the same job. For the sake of simplicity and inter-coder reliability, the additional dimensions, the negative levels, and some of the less-often seen levels were dropped from later iterations of the dictionary. However, any unusual aspect of a code (addressing a larger than usual "audience" or problem, taking really unusual efforts to resolve a problem or achieve a goal) can still be useful to note (e.g., in the coder's comments section of the On-Line Coder).

Everything included in the generic competency scales characterized outstanding performance in some jobs. However, the original models included many entry-level or close to entry-level jobs. Therefore, some of the lower levels of the scales, while valid in the sense that they are based on what characterized outstanding performance, and while they are developmental precursors to the higher levels, are not likely to distinguish outstanding performance in the managerial and executive jobs that now form the bulk of our competency work.

### Theory

E xamples and behaviors are grouped into competencies on the basis of trying to capture a single characteristic of a person. This characteristic can emanate from any level of the iceberg, though usually competencies emanate from the middle of the iceberg. This key characteristic may be expressed through a variety of specific behaviors, and may appear with varying intensity, completeness, and sophistication. However, the behaviors within a competency all express the same underlying characteristic. This is the basis of the predictive value of competencies—that they capture enduring characteristics. Therefore, someone who exhibits a competency strongly is more likely to later show the same or other behaviors from the same competency. Within a competency scale, behaviors are arranged in order of increasing intensity, sophistication, or completeness. Not coincidentally, they are also arranged in developmental order.

At the deepest level of the iceberg, there are logical connections between certain motives and certain competencies. In practice, however, any behavior can be fueled by any motive. For example, one may use cost-benefit analysis and other aspects of the competency of Achievement Orientation because of a natural desire to surpass a personal standard of excellence (nAch), or because it is the most satisfying way to influence people in one's organization (nPow), or even because one wants to please one's boss and maintain a pleasant relationship with her (nAff).

For additional information on competency history and theory, see *Competence at Work: Models for Superior Performance* (1993) by Lyle M. Spencer, Jr. and Signe M. Spencer.

### Coding Conventions and Dictionary Millennium Format

Remember the five rules of coding and the five questions to ask to determine codable data:

The Five Rules of Coding	The Five Questions for Codable Data
Codable statements describe—  1. Behavior demonstrated by the	1. Who has demonstrated the behavior?
2. Whom the action (if there is	2. If there is an action, whom is it being performed on?
one) is being performed on  3. Completed specific behaviors	3. When was the behavior demonstrated?
<ul><li>4. Clear and specific events</li><li>5. The interviewee's explicit</li></ul>	4. Is the description of the action performed specific?
thoughts/feelings at that time	5. Does the statement represent the interviewee's explicit thoughts/feelings at that time?

In addition to the above, please remember also to use the standard rules of conservatism, which are:

- 1. don't double-code the same competency in the same passage, and
- 2. opt for a lower level if sufficient evidence does not exist to justify a higher level.

Also, don't remove scores due to outcomes *except* for IU or OA. If there is clear evidence that the person's understanding of an individual or an organization was incorrect, then you do not score that IU or OA. This is also true for scales that depend on IU/OA (high CSO, high IMP, high DEV). Give the benefit of the doubt, but don't score if the person clearly misunderstood others or an organization.

Please note the following when using *Dictionary Millennium*:

- Every bullet point in a level's definition need not be satisfied in order to code for that competency at that level.
- Examples often include competencies other than the one being exemplified.
- Examples have been sanitized only to disguise the identity of the company and individuals involved. Otherwise they are essentially unedited and therefore contain numerous grammatical and syntactical errors. (In cases where scales have been changed to a significant degree [such as IU], examples have been manufactured because there were none in the database that correspond to the newly defined levels.)
- If a behavior is found in a BEI that doesn't match an existing scale, it should be coded as a "Unique" in order to use it as a possible source of future scale creation. This holds true for capturing "negative" behaviors, as well.
- Multiple examples in some levels of some scales are given in instances where a range of behaviors can be coded at the same level. These multiple examples are an attempt at showing the coder different facets of the same behavior.
- To ensure continuity with the existing Hay/McBer competency database, the labels (e.g., "ACH96") for the competencies in *Dictionary Millennium* that were derived from the generic and supplemental scales in *Dictionary 96* have not changed. Content and essence of these scales have not changed sufficiently to warrant the start of a new database.
- Generic scales that correspond to competencies in the Emotional Intelligence Competency Model are identified by an "ei" near the scale name. A footnote indicates the name of the scale in the EI Model.
- All generic scales have been categorized as cumulative or noncumulative and linear or exponential. These categories further define the behaviors you'll be coding, and are explained in more detail on the following page.

### Cumulative vs. Noncumulative

### **☑** Cumulative

Some scales (AT, CT, IMP, INT, IU and OA) are designed so that the higher levels are, in essence, composed of several linked instances of the lower levels. Put another way, the higher levels are "larger," more complex versions of the same behavior as the lower levels. These scales are designated **cumulative** because one simply scores the highest level behavioral example of a competency seen in a given passage. To illustrate, if a speaker makes a complex analysis of a given situation, the coder only codes AT3 and *not* all the separate AT2s and AT1s that went into that same analysis.

### Moncumulative

All other scales (ACH, CSO, DEV, DIR, FLX, INF, ING, OC, RB, SCF, TL and TW) are **noncumulative**. In these scales, the behaviors at one level may be quite different than at another level (e.g., setting goals [ACH4] as opposed to taking entrepreneurial risks [ACH6]). Nevertheless, the lower level behaviors are still developmentally easier than the higher levels, and exhibiting them usually increases the likelihood of successful outcomes. In some instances, one can even see the steps of the scale as an approximation of the steps that a person would take in addressing a situation. In these scales, one scores *each new* behavioral indicator of a competency that is seen, thus capturing the relative richness of the thought or action in a particular passage.

Note to coders: For both cumulative and noncumulative competencies, as always, do not code a reiteration of the same previously coded behavior (known as "double-coding"). Be sure to consider the reiteration as potential support for the earlier code, however, as it sometimes yields more specific evidence for a higher level score than what was given the behavior when it was coded earlier in the passage.

### Exponential vs. Linear

It is also helpful to know the relationship between the levels of a scale. When you are trying to choose between two levels, it is valuable to know how much more complex a behavior is at the higher level versus the lower level.

**☑** Linear



In most scales (the noncumulative ones), there is an approximately **linear** relationship between scale levels: the "distance" between Levels 1 and 2 is approximately equal to the "distance" between Level 3 and Level 4, for example.



In some scales, however (the cumulative ones), there is an **exponential** relationship. Each level is approximately the square of the previous level. (Note that in IMP, only Levels 4–6 are exponential)

### **Generic Competencies**





Achievement Orientation



Developing Others



Analytical Thinking



Directiveness



Conceptual Thinking



Flexibility



Customer Service Orientation



Impact & Influence



Information Seeking



Initiative



Integrity



Interpersonal Understanding



Organizational Awareness



Organizational Commitment



Relationship Building



Self-Confidence



Team Leadership



Teamwork & Cooperation

Thanks to Hay Argentina for this idea on livening up our dictionary!





- ☐ Cumulative ☐ Noncumulative
- **☑** Linear
- ☐ Exponential

## Dimension: Sophistication and completeness with which one thinks about meeting and/or surpassing performance standards

### Achievement Orientationei

ACH96

A concern for working well or for surpassing a standard of excellence. The standard may be one's own past performance (striving for improvement); an objective measure (results orientation); outperforming others (competitiveness); challenging goals one has set, or even what anyone has ever done (innovation). Thus a unique accomplishment also indicates ACH.

### 1. Wants to Do Job Well; Expresses Affect or Feeling about Performance

- Tries to do the job well or right
- Expresses a desire to do better
- May express frustration at waste or inefficiency
  - This level is coded for expression of feeling or intention around performance excellence, without taking specific action. If actual action is taken to improve things, code at Level 3.

### 2. Creates Own Measures of Excellence

- Keeps track of and measures outcomes against a standard of excellence not imposed by others
- May focus on new or more precise ways of meeting goals set by management

### 3. Improves Performance

- Makes specific changes in the system or in own work methods to improve performance
- Examples may include doing something better, faster, at lower cost, more efficiently; or improving quality, customer satisfaction, morale, revenues, without setting any specific goal
  - The improvement must be noticeable and could be measurable. Code even if outcome is still unknown, or if it is less successful than hoped, so long as the intent to improve performance is clear AND the person has taken practical action to do so.

### 4. Sets and Works to Meet Challenging Goals

- "Challenging" means it is a definite stretch, but not unrealistic or impossible
- Refers to specific measures of baseline performance compared with better performance at a later point in time (e.g., "When I took over, efficiency was 20%—now it is up to 85%.")
- Setting out to achieve a unique standard (e.g., "No one had ever done it before")

### ei = Achievement Orientation

### Dimension: Sophistication and *completeness* with which one thinks about meeting and/or surpassing performance standards

- ➤ A goal is "challenging" if the person describes it as such e.g., "I didn't know if we could make it or not"; uses words like difficult, hard, challenging, a stretch, to describe it; OR if the person cites other people's opinion that it was difficult; OR states that it had never yet been done; OR if in your opinion it was an obviously difficult goal.
- ➤ Goals which are not clearly both challenging and achievable should be coded at Level 2, as evidence of competing against a standard of excellence, or possibly at Level 3, if there was a clear action taken with the intention of improving performance.
- ➤ If scoring for Level 4, don't score for Level 3 for the same actions or activity in the story.
- Goals can be behavioral (i.e., they don't have to be about "numbers") as long as goal is measurable and a goal is set.
- The goal does NOT have to be achieved in order to score. However, if it is clearly totally impossible and/or the person made no effort to achieve it, then do not score.

### 5. Makes Cost-Benefit Analyses

- Makes decisions, sets priorities, or chooses goals on the basis of calculated inputs and outputs (e.g., makes explicit considerations of potential profit and risks or return on investment)
- Analyzes for business outcomes
  - > The person must show the following:
    - 1. specific mention of costs,
    - 2. specific benefits, and
    - 3. a decision based on the balance between them.
  - Costs and benefits do not have to be numerical, however.

### 6. Takes Calculated Entrepreneurial Risks

- Commits significant resources and/or time (in the face of uncertainty) to increase benefits (i.e., improve performance, reach a challenging goal, etc.)
  - A clear awareness of costs and benefits (Level 5) needs to be implied, if not explicitly stated.
  - A failed business that someone started could still be Level 6.
  - Consider this score anytime a person is starting a new product or line of business, or significantly expanding capability.
  - ➤ May be scored for soliciting and/or funding other people's entrepreneurial ideas.

### **Achievement Orientation Examples**

### ACH 1

- If I give an associate a contract to review that should take them two hours, it takes them ten hours. I bill at \$380 an hour. They're billed at \$100 and whatever. The economics are crazy. They're absolutely screwed up.
- When I get somebody paid off like that and it's big money, you know, you get fifty, sixty dollars; they can wait on that a little longer, but when you're talking about thousands of dollars, I mean I get that paid off, to me that's a good event for me. It's not going in my pocket, but I feel like I've done what I'm getting paid for. I want to come to work and go home and tell my wife, you know gee whiz. I did this and I did that and you know I wasn't wasting my time or somebody else's. But to me a good day is when I get a good check paid off and do what I'm supposed to do.

### ACH 2

- My idea was if I could sell one thing everyday, I don't care what it was, if I just sold one policy everyday, that I knew I would grow. In some cases, some agents will sell in three or four and some days you hit three and four and five policies, but my concern at the time was at least one policy a day, every day.
- So I developed kind of my own rule in that business where I would say within the first thirty seconds I had to get this guy to laugh or this woman to laugh about something, because that would always loosen that up. So if they'd loosen up in that first thirty seconds, then I could work. If they didn't, then I wouldn't start working until they would. And sometimes it would take a minute or two. Sometimes I'd have to call the salesman back in and chat a little bit, and just the three of us are chatting, and get him or her to say something that I could pick-up on that I wouldn't pick up on otherwise.

### ACH 3

The truck was loaded, it has to wait until the laboratory completes its analysis to verify that it is on spec or not, and this particular instance the truck was off spec on iron, and it had happened -- this was like the second or third time that this had happened in a period of a couple of months, and what happens is that the truck driver has to wait here, the truck has to be unloaded, it has to be reloaded again, this is very time consuming and can take up to 24 hours. ... I also had the idea of pre-loading trailers so that a customer would bring a trailer in.... they would drop it, and so we would have a complete acceptable trailer bulk truck ready to go -- just the trailer portion of it ready to go so that when we got the order in all the customer would have to do would be to come in with an empty trailer and swap the empty one for the full one and be able to get right back on the road and not have to sit around for six or eight hours waiting for

an analysis. Then while he was on the road with that one, with the one that was already had been tested, the laboratory would be doing the analysis on the other trailer, the one that he just brought in that was empty and had been filled. So we had discussions about this in our staff team, it was supported, people thought it was a good idea to do. And it worked fine

### ACH 4

■ To give you an example, uh, I took our team off site for two days with the objective of uh, developing a strategy to grow our earnings 150 million dollars which is a knock-your-socks-off kind of thing where you could not use continuous improvement and current processes to even think that you could come close to the goal. What I wanted to do was to challenge the conventional thinking and processes to find new ideas, new opportunities of which we could improve our earnings versus tweaking the same channel, tweaking the same products, the same processes that we've had in the past.

### ACH 5

- I got the matter resolved at/for ABC. Now a business person is going to say, "Well you still had to pay \$20,000, plus you had to pay all these Attorneys' fees." Yeah. That is a cost of doing business. It's a risk that we incur every day, but I could have gone to trial. I would have paid more than \$20,000 to have the attorneys try the case. I'd have had a variety of my people called as witnesses, disrupting business, and I could have lost more money. I could have lost a lot more money. And so I think it's a -- I mean I see that as a success."
- So once I had some updated information from the marketing people indicating where the trends were in this particular market, and our sales volumes were not going to be, were not going to support the product, and I realized that there were a high number of unique products that required a significant amount of capital, I had the finance member of the team run the net present value. And it indicated that we were never going to make money on the product. It was too expensive and there wasn't a volume there. And once we got that, we were able to reach a decision that I wanted, which was to put it on hold and not put any more resources into this.

### ACH 6

- The other thing I did, because the people were so ingrained in the P&L margins, and rightly so because I set very specific targets for these guys, is that I also launched what I call a corporate investment fund for new products. If they could come to me with a great program that they wanted funded, which may not pay dividends for late in the year or next year or whatever, I would fund the project for them. I would give them the financial resources, all it was was giving them P&L resources out of corporate because I had the capability there to do that, some reserves ....Sort of like an internal venture capital thing. The first year I did this, I did a half a million, unbeknownst to my board. The second year I'm up to \$1.5 million. I will carry them for 12 months on a specific project. Then it has to stand on its own. It's worked very well as they've come up with the ideas, and they're starting to make profits.
- Well, once I got the opportunity to be a one man band, I went from managing a regional business that was doing about \$50 million worth of business a year, to a one person show. So that was quite a shift. The first thing that I did was get a couple of people on board. ... So I hired two professionals. I didn't hire people within XYZ. I hired people out of the industry. And based on that, we built a business plan. They brought the industry expertise into the plan. I brought the XYZ expertise into the plan. And we built what we thought was an aggressive, but achievable plan to build XYZ's presence in that industry and committed to dollar volumes that would more than support what we needed to get that accomplished, and took that back to the executive team for approval.

Note to coders: The speaker is taking personal risks in accepting a career "demotion" in order to start this business. Code even though the key sentences say "we" because in context the speaker is clearly in charge.

Generic Competencies Continued



- **☑** Cumulative
- ☐ Noncumulative
- Linear
- **■** Exponential

Dimension: Complexity of the causa thinking

### Analytical Thinking

AT96

Understanding a situation, issue, problem, etc. by breaking it into smaller pieces, or tracing the implications of a situation in a step-by-step way. Analytical Thinking includes organizing the parts of a problem, situation, etc., in a systematic way; making systematic comparisons of different features or aspects; setting priorities on a rational basis; and identifying time sequences, causal relationships, or if-then relationships.

> Do not code simply for speaking clearly. Score in relation to solving a problem or making plans or decisions, and not just describing a situation. Just because the words "ifthen," "so," or "because" are used, this doesn't automatically mean that Analytical Thinking is being displayed. One needs to see evidence of understanding the connections, or the causal link, in thinking about a specific issue.

### 1. Breaks Down Problems

- Breaks problems into simple lists of tasks or activities without assigning values
- Makes a list of items with no particular order or set of priorities

### 2. Sees Basic Relationships

- Identifies the cause-and-effect relationship between two aspects of a situation
- Separates situations into two parts: pro and con
- Sorts out a list of tasks in order of importance

### 3. Sees Multiple Relationships

- Makes multiple causal links: several potential causes of events, several consequences of actions, or multiple-part chains of events (A leads to B leads to C leads to D)
- Analyzes relationships among several parts of a problem or situation (e.g., anticipates obstacles and thinks ahead about next steps, in detail, with multiple steps)

Dimension: Complexity of the causal thinking

### 4. Makes Complex Plans or Analyses

- Identifies multiple elements of a problem and breaks down each of those elements in detail, showing causal relationships between them
- Peels back multiple layers of a problem
- Uses several analytical techniques to break complex problems into component parts
- Uses several analytical techniques to identify several solutions and weighs the value of each
  - This is more than the linear breaking down of problems in Level 3. Code Level 4 for multiple causal relationships leading to more than one possible solution.
  - > This level is rarely seen.

### Analytical Thinking Examples

### AT 1

- I had several problems. One is, I had a manager who wanted to use Excel, but it just wasn't appropriate for the kind of controls you want to put on a function like that. And I had some developers who some of which I think weren't that -- you know, (it was a) small group, so one or two of which weren't that good, and one or two of which I think were just taking advantage of the murky situation of not having a good definition of what needed to be done.
- I also knew that there were a lot of concerns with our exploration spending, particularly in North America, and that there was confusion in our organization as to what the external data really meant, whether or not it was relevant. And I also knew that there were lots of theories, I'll call them, as to why on an externally reported basis ABC looked unfavorable. What I didn't know at the time was how many of those theories were accurate and supportable. I began digging through the data.

### AT 2

- The quality of work that they're presenting to us makes it impossible for us to turn that work around within our prescribed deadlines so we can pass credit at the appropriate time. So, it's causing a backlog which costs us money in flow because their depositing work is not within the guidelines.
- I don't know if you're familiar with this -- but basically services were there in the 70's because computers were so expensive and during the 70's as computer prices came down it became much more feasible for companies to have their own system, and so what happened is the service bureau started losing business because people were going in-house, and they needed the support to (A) install the system and (B) maintain it, so that's where the industry was going and accountants were the same thing.

Note to coders: Some coders find it difficult to distinguish between AT and CT. Note that the last sentence in this example also contains CT2 (basic pattern recognition), comparing situations in different services. It is appropriate to code for both if sufficient evidence exists.

### AT3

That we were going to have to move 350 people, that I would need to have the local area networking for 350 people. And I know by experience that that ends up costing about \$1,000 a head. I know from experience that office furniture for, you know, is going to be around \$3,000-\$3,500 a head. I know what France Telecom would charge me to re-point the hundreds of international leased lines that we have pointing at XYZ now over to the new location, wherever it might be. At that time I didn't know where it was. I knew what kind of a power structure I needed to power all of the equipment that we had there. So I could apply the broad thumb kinds of numbers to the various components. You know I made these assumptions, and then in my report to Monsieur I illuminated these assumptions and then gave him some options; if this assumption went so-and-so many degrees this way or so-and-so many degrees that way, what kind of impact that would have.

### AT 4

Joe has got to do his bit to give him a chance, and to give him a chance. At the same time we didn't have the systems in this business and we still don't in terms of our ongoing systems to be able to manage the degree of transition from existing packs, cross promotional packs into these new blue packs and managing the stocks and the run outs and to what stock was going to what customers at what time in all of this. Just didn't have it in good detail by estimating. So basically I decided that we had to invent some. I had to develop some systems, some reporting and basically what the reporting did was it made very transparent responsibilities. So we had a huge spreadsheet, the whole thing was driven by a huge spreadsheet which basically had every SKU, a projected date, and an actual date, and each column on this spreadsheet was an action and at each action there was a key responsibility, and an individual had to do that. And they had to actually populate the table themselves when the activities were done and we could see that at every stage, each person's responsibility, and it might be proof reading the art work, it might be you know getting the plates signed off at the plate makers, you know. Tedious detail that you don't need to know about, but the sort of thing that you've got to lock down otherwise these things foul themselves up.



☐ Linear

**■** Exponential

### Conceptual Thinking

**CT96** 

The ability to identify patterns or connections between situations that are not obviously related, and to identify key or underlying issues in complex situations. It includes using creative, conceptual, or inductive reasoning.

> The higher levels (4 and 5) are seen relatively rarely, and should include some sense of insight, an "Aha!" reaction, and/or some original thinking.

### 1. Applies Basic Rules

- Applies simple rules, common sense, and past experiences to identify problems
- Recognizes when a current situation is exactly the same as a past situation
  - "Typically" is a word that can be part of a codable passage at Levels 1 and 2, since it may be referring to the recognition of a past situation (e.g., "I knew that typically the salespersons follow up with the customer by phone, and in this instance the same thing occurred").

### 2. Sees Patterns Based on Life Experience

- When looking at information, sees patterns, trends, or missing pieces
- Notices when a current situation is similar or dissimilar to a past situation, and identifies the similarities and/or differences
  - Analogies are coded at this level, unless they relate to something very complex. In those cases, see Level 4.
  - See note at Level 1 regarding the word "typically."

### 3. Applies Learned Complex Concepts

- Uses knowledge of theory or of different past trends or situations to look at current situations
- Applies and modifies complex learned concepts or methods appropriately
  - Recognizing the fit between the learned concepts and the current situation/problem or set of data is a slightly more complex form of pattern recognition.

### Dimension: Insightfulness or innovation of the pattern recognition

### 4. Clarifies Complex Data or Situations

- Makes complex ideas or situations clear, simple, and/or understandable
- Assembles ideas, issues, and observations into a clear and useful explanation
  - Restates existing observations or knowledge in a simpler fashion
- Takes intricate data and puts it into lay terms; "boils down" information
  - Should look for evidence of the ability to see a simpler pattern within complex information.
  - Can also be coded when person is explaining something to the interviewer.
  - ➤ Complex analogies are coded here.
  - These should be relatively short 1 to 3 sentence paragraphs summarizing ideas and issues.

### 5. Creates New Concepts

- Creates new concepts that are not obvious to others and not learned from previous education or experience to explain situations or resolve problems
- Looks at things in a really new way—breakthrough thinking
- Shifts the paradigm; starts a new line of thought
  - > Should be convinced that the concept is new and should be able to cite specific evidence.
  - > Tip off words: "created," "invented"; comments that no one else had seen it this way, or that these ideas were later adopted by others.
  - There should be a key sentence or two that sums up a major thought (within a larger context); usually very simply stated: "We're not a computer company, we're a service company"; or "Our competition is not Pepsi, our competition is anything to drink"; or "We're not in the restaurant business, we're in the pizza delivery business."

### Conceptual Thinking Examples

### CT 1

■ Well, I sat down with my new boss and he clearly had a vision for how he wanted to see HR run, and the more I talked to him, the more I realized, typical of every boss: He just wanted to put in place a whole structure that he had become very comfortable with while he was working at his previous job....it doesn't take much to realize that when you listen to people talk, what they're really usually talking from is their own experience.

### CT 2

■ I was just looking at my app. log and noticing that we had a heavy influx of Alumax loans.

*INT*: Could you tell me what you saw?

*BC:* That we did a lot of loans, basically that, you know because we branch codes for the different companies. And when we look at the app. reports, you know, I just noticed that there were a lot that were with ABC.

*INT:* So what was going through your mind when you saw that?

*BC:* I just thought that was interesting and noticed that it looked like we were building a relationship with ABC, so that would probably be a good company [for me] to get into a direct relationship with.

Note to coders: Some coders find it difficult to distinguish between CT and AT. Note that the last sentence also contains AT2 (seeing basic relationships), articulating the connection between company and personal initiatives.

You cannot make lateral move. You cannot get somebody from sales who's a salesman and now you say, make him a marketing science. It's like the difference between a chiropractor and a spine surgeon. They both provide some kind of service to the patient, (but) one cannot do the other's job.

### CT3

■ In the Generally Accepted Accounting Principles, there was a notion that if the billings are risky and such that they may be uncollectible, a high degree of certainty that they are not collectible, then you don't have to recognize the revenue. And given the industry that we were in, as I told you, and the dynamics that were going on in the business, it seemed to me that this would be an appropriate environment to apply that criteria to.

### CT 4

...This is a bank I had been following actually on my own for probably a year. I wasn't given that assignment. I became interested in the bank's lending patterns quite by accident. I was playing around the computer, became concerned about some lending patterns and followed the banks lending on my own for about a year. So when I was given this in charge assignment, it gave me an opportunity to investigate it some, so I had already developed. The point at which I realized that there was most likely a problem with this bank, is I actually took a map of the area that the bank serviced. And I actually, using dots, plotted every loan that the bank had made over the last two years.

INT: Plotted them geographically?

RC: Geographically on this map. And showed very clearly that either by accident, or by intent, this bank had avoided any lending in the areas in which the minority population was more than fifty percent. And since it was such a clear picture, it did indeed seem to me that it was intentional rather than accidental.

INT: How did you know about the demographics?

RC: I gathered demographic information. We have access to census data by census chart. So I was able to identify all the census charts within the bank's lending myriad, identified the racial composition of those census charts, and then plot the lines to see where how they fill out. When I had that picture, I took the map to bank management.

### CT 5

I think that turned out to be positive because I had had a vision for a long time that as an insurance company our policy holders measured us by more than being an insurance company. In this industry my experience has been that we tend to, as an industry we tend to be very introspective and compare ourselves to ourselves. And as a mediocre industry in terms of customer service and so forth, what you wind up with is mediocre. So I've had this vision for a long time of "let's compare ourselves to a financial services industry, a retail industry, and don't compare ourselves [to ourselves]" -- When I set up my initial vision for the service center, one of the changes up there was I didn't want Mike in this case to go out and visit any insurance companies to see what they were doing. Because I felt if I don't want to look, feel, smell like an insurance company, then hell I don't want to go look at one. So that's when I said "Well who would you go see?" So Ritz Carleton comes to mind as a Malcolm Baldridge award winner and they are noted for their service. What is it that they do?

Note to coders: A strong example, including some background reasoning as well as the central concept and some implementation. Also, this is clearly an unusual idea in its time and place. It is added evidence if the idea later becomes widespread.

# Dimension: The depth of understanding and response to the customer's needs

ei = Service Orientation

☐ Cumulative

☐ Exponential

**☑** Linear

**☑** Noncumulative

### Customer Service Orientationei CSO96

Focusing one's efforts on discovering and meeting the customer's or client's needs.

- "Customer" may be broadly defined, including final customers, distributors, internal "customers," or "clients." Levels 1 through 3 are reacting to customer issues. Levels 4 through 6 are proactive and consultative.
- > Higher levels may appear in the course of a sales situation, particularly with a "consultative" type of sales approach.
- > Do NOT score higher than Level 3 for resolving specific individual customer-service problems, even if extra effort is required. You may score above Level 3 for addressing systemic issues that relate to customer service or satisfaction (such as improving the product or service offered).

### 1. Responds Appropriately

- Follows through, when asked, on customer inquiries, requests, complaints
- Keeps customer up-to-date about progress of projects

### 2. Maintains Clear Communication

- Maintains clear communication with customer regarding mutual expectations
- Monitors client satisfaction
- Distributes helpful information to clients
- Gives friendly, cheerful service

### 3. Takes Personal Responsibility for Correcting Problems

- Takes personal responsibility for correcting customer-service problems
- Corrects problems promptly and undefensively, even if taking a loss is involved (e.g., waiving a late fee)

### 4. Acts to Make Things Better for the Customer

- Makes self fully available, especially when customer is going through a critical period (e.g., spends extra time and effort with customer when the customer needs it)
  - There needs to be an indication that the person is actually spending extra time and effort in a helpful way.
- Makes concrete attempts to add value to the client
- Takes action beyond normal expectations

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### 5. Addresses Underlying Customer Needs

- Knows the customer's business and/or seeks information about the real underlying needs of the customer, beyond those expressed initially
- Matches underlying needs of customer to available (or customized) products or services

### 6. Uses a Long-Term Perspective / Acts as a Trusted Advisor

- Looks for long-term benefits to the customer and adjusts approach accordingly even at a cost to own organization (e.g., giving-up short-term but inappropriate sales)
- Acts as a trusted advisor
- Becomes involved in customer's decision-making process
- Builds an independent opinion on client needs, problems, or opportunities and possibilities for implementation and may act on this opinion (e.g., recommends approaches which are new and different from those requested by the client)

### Customer Service Orientation Examples

### **CSO 1**

■ I asked him if he had received the information that I sent him, he said he did, and I asked him if he had any questions that I might be able to answer and he said that he had received the package. He had looked at it quickly but he was extremely busy, he was going to be doing a lot of traveling, goes to Latin America fairly frequently, and he would review it and get back to me. So I said to him, that's fine. I said, if it's okay with you, I'll put a note in my file. If I don't hear from you in thirty days, I'll give you another call to remind you, and he said that would be fine.

### CSO<sub>2</sub>

I went into what the philosophy behind us closing branches and how this office is about probably 10 minutes from where we are located. But went into the detail how the sophistication of the system -- how the acquisition of Comrand and re-evaluation of wholesale and where wholesale is headed in the industry and with this acquisition and with the sophistication of the mortgage system, we were lucky in the case of Hanover -- they had delivered also to Springfield. They were familiar with Comrand and had been approved as a client of theirs also, so they had some knowledge of procedures and I basically went through the whole detail of how we are lending the best of both and what the purpose of the transition is and what it should afford us down the road and how we are heading towards a relationship that would lead Hanover to a different type of relationship with Northfarm than a majority of the brokers and that would mean for them in terms of service and delivery and everything else.

### CSO<sub>3</sub>

■ There's one particular claimant, I can't recall her name, but it was a time that -- I don't know what was going on with her bills. She kept getting threats about they were going to put in collections because the bills haven't been getting paid and we don't know what happened to the claims. It never got to our office and the doctor keep calling saying they submitted the claim over and over. The insurance company failed to pay; we never received it. So my suggestion was to her, "Let the doctor's office call me; talk to the doctor's office. Let them fax me the bill, put it to my attention and I guarantee you that we will take care of that claim."

*INT*: And how did it come out?

*KF*: It came out (okay). I got the claim. I faxed it to our PPO vendor. They gave me the pricing sheet, sent it back to me and I took care of it.

### CSO 4

EF: Well, for me, I'm going to tell you something that maybe not all the other ABMs do, and that is being in Miami and being so close to South America, I've had to provide customer service to patients that come from South America that no one else probably in the country is done. And that is, my key doctor, Dr. (S) calls me and says, Laura, I have a patient coming in tomorrow from Venezuela, I want you to get the (drug) for him. Okay, they have no insurance, they don't have anything. So I was able to do that, and Dr. (S says to me, I've told the patient to call you. Now we're not supposed to talk to patients about anything except services. So I have to service my doctor, and I tell him up front, we're not supposed to talk to patients, Dr. (S).

*INT*: Is that what you said, you said that to him?

*EF*: Yes. I said that we're not supposed to talk to patients, Dr. S. But, really, and I said, unless you prove it and unless the patient consents to it. Then I can talk to them. Not about, I'm not trying to, the prescription has already been written, okay, so it's not that I'm trying to get the patient on (drug). The prescription has been written. And so I meet with them to talk to them on a one-to-one, because they don't speak English. Sometimes I can't get (Interim), I mean now I have someone speaking Spanish all the time. Before I didn't initially. So anyway, I go to the patient's home, if that's what they want me to do.

INT: What did you do in this case, with Dr. S's patient?

*EF*: I went to the patient's home. They called me, I asked them, well actually, not home, the Ramada Inn next to the patient's office is where I went, which is actually pretty close to my house, so it wasn't, it's not like I have to drive three hours to do that, or else I couldn't do that at night. One of the good things about providing the customer service that I do, is that my area is small. And I really can give the service that they require me to do no matter where they're from. Okay, so in this case, I did go to the Ramada Inn, and they purchased (drug) in boxes, not in just one box, I mean they will purchase it in five, six boxes, and take it home, back to Venezuela. So I am sure --

*INT:* How did you get it? Who did you talk to?

*EF*: The doctor purchases it, and then gives it to the patient. But I ensure that the necessary documents are there for customers. And I've had to find that out on my own.

■ Before I left I wanted to show him one other thing. So, I installed the Web browser on his machine and showed him how you can launch movies and things like that over the Web and I had made up a--are you familiar with the Web?-- a hot list of sites that dealt with physics resources to show him what was already out there.

*INT:* What were you thinking at this point behind setting him up on the Web browser, this is not something he asked for?

*KL*: No, it's not something he asked for, but I thought it might be useful for his class to use and also for his own research. He seemed to have some comfort level using his Macintosh and that is something I thought he might enjoy using and I thought he might be able to play around with it and see the possibilities that he would be maybe amicable to perhaps trying this project. I gave him a quick demo and recapped how to make the animation and how to start the Web Browser and said I'll let you go ahead and play for a couple of days and asked him to give me a call when he wanted some more help or want to learn how to write Web Pages or things like that.

Note to coders: This example is tending toward Level 5, coded conservatively at 4, since there is no clear indication that the Web browser met specific needs of the professor. This sounds more like the enthusiasm of the speaker plus possibly another agenda in getting the professor to try the project.

### CSO<sub>5</sub>

■ CJ: Well, because I had worked very closely with this implementation manager on a couple of other things and based on that I didn't get a sense from her that -- I got a sense from her that she knew some of the modules but she didn't have a lot of product knowledge depth. She had a lot of depth in a few of them and the rest of them she didn't know very well. So based on my experience of working with her and talking to her about other projects. So I was immediately a little concerned as to I might have to do some backpedaling here. I think I'm going to have to be diplomatic and say well, there may be another way we can think about what it is we're trying to do. The other thing that passed through my head, and this is probably the most important thing, was I need to -- before I get into this I need to know why you're doing this in the first place. I know you've got an urgent need but I need to know what's going on here before I start slapping modules on competencies.

### CSO<sub>6</sub>

■ I (a lawyer) spent some time with Bill (one of his clients) going over a couple of points and I don't really remember them today but we went over a couple of points that I thought it would make sense to get on the record so that when the SEC supervisors- not the people asking us the questions, but if it ever got to the next level, it would be another side of the story or some other questions. Real soft ball questions for Bill to hit out of the park to demonstrate to the reader that he didn't do anything that he didn't do anything wrong and the payments were all permissible. So we did that drill.

Note to coders: In this example, the person is looking ahead, making the client do extra work now to prevent/mitigate possible future problems.

- He said "He owes me 7 or 8,000 dollars, that's my legal right." I said, "Yes, but we could derail your train, take it to the Real Estate Commission or whatever." To make a real long story short, I just went back and forth a few times. I had some mortgage brokers down there and we got him a loan and I told the man to stay off the mortgagee [i.e. the speaker's customer] to stay off his case. Because ... we would give him a loan. And then he got his job back, we gave him a loan and paid him off within 60 or 75 days. And that's pretty much the way it came down. I was able to get him a loan. The loan had to be for maybe minimum was about \$25,000. And I said the only restriction on the money is you don't tell anybody of it. Keep it in the bank accruing some interest, and if you come into another bad situation, then you use it. Other than that, you just don't use that money. So that was really gratifying that these people could stay in their home with these children. Of course they're very thankful that you could help him.
- I had to go back [to the executive team, the speaker's subordinates], and say if this was my farming operation and this was my machine, how would I want the company that I bought this from, through this dealer, to deal with me personally. And, I asked each of the groups to think about that. You don't think about, I said, I don't want you to think about how much it's going to cost the corporation. I don't want to think about having dealers call and complain about this. I want you to think that here's a customer that's spent a lot of money on our equipment, he has a great deal of expectations because the brochures told him that we absolutely provide him everything that he wanted from a feature standpoint. Now that he's gotten in the field it's not operating from durability standpoint, up to his expectations. I want everyone of you people to put yourself in that person's mind, if you can't then we're going to have to get somebody else on the team. If you can get focused on that and recognize that after he spent this money now, he's counting on his salary for the whole year based on what this machine will do and we have to interrupt that process at some point in time to fix it so he doesn't have any further discomfort with the machine.

Note to coders: The speaker gets others to address customer's long-term interests, possible additional code for TL depending on additional detail. This is what high-level CSO looks like when exhibited by a CEO.



- ☐ Cumulative
- **☑** Noncumulative
- **☑** Linear
- ☐ Exponential

Dimension: Degree of depth into the levels of the iceberg that the development initiative is intending to address

### **Developing Others**ei

DEV96

Involves a genuine intent to foster the long-term learning or development of others. Its focus is on the developmental intent and effect rather than on a formal role of training.

- > The underlying intent to foster others' development must be clear. This is especially important for the lower levels of DEV, which may otherwise be confused with lower levels of Directiveness (DIR). The developmental intent is the distinction between the two competencies. The interest is in the person and not the task.
- > Usually the development is with just one person; it could be with a group, as long as the group is specific and the developmental intent is clear.

### 1. Expresses Positive Expectations

- Makes positive comments regarding others' developmental future, particularly those whom others might see as not having high potential (comments can either be to or about the other(s))
- Believes others want to and/or can learn to improve their performance

### 2. Gives Short-Term, Task-Oriented Instruction

- Gives detailed instructions and/or on-the-job demonstrations
- Makes specific helpful suggestions

### 3. Gives Reasons and Other Support

- Gives directions or demonstrations with reasons or rationale as a training strategy
- Gives practical support or assistance to make job easier for the other individual (i.e., volunteers additional resources, tools, information, expert advice, etc.)
- Asks questions, gives tests, or uses other methods to verify that others have understood explanation or directions

### 4. Gives Feedback to Encourage Ongoing Development

- Gives specific positive or mixed feedback for developmental purposes
- Gives negative feedback in behavioral rather than personal terms
- Reassures and/or expresses positive expectations for future performance when giving corrective feedback
- Gives individualized suggestions for improvement

ei = Developing Others



### 5. Provides In-Depth Mentoring, Coaching, or Training

- Arranges appropriate and helpful assignments, formal training, or other experiences for the purpose of fostering a person's learning and development (could include career pathing or career planning)
- Understands and identifies a training or developmental need and establishes new programs or materials to meet it
  - This does not include formal training done simply to meet corporate requirements.

### **Developing Others Examples**

### DEV 1

Because if she had any concerns about how I was going to view her knowing what was in her personnel file, I wanted her to know that yeah, I've seen it but that is not my immediate impression. So I wanted her to have a comfort level that she, if any of these things are true, she has the opportunity to change and I'm going to give her that opportunity.... So I wanted her to know the slate is clean. We're going to look at what you're doing from this day forward, not what happened back there.

### DEV 2

• OK, I told her that in the contract you'll have an endorsement page unless it's Pennsylvania State. If it's Pennsylvania State, then you have to set those paragraphs in the contract itself. Then you need to give the correct information on what the teachers get paid, and if they get paid on a twelve-month or less basis. And then you need to find out what the qualifying period for the school group will be. And depending on that is what you'll put in the contract. You need to look in your optional instructions to find out what paragraphs you need to (sub in), depending on the information you have. And then on the system work, you'll have to go in on LTD and put a T for term, (date and mode), and I think you'll have a different earnings definition. Yeah. I mean, I made notes on it, you know, good, or nice job here in the margins and then we just literally went through it almost page by page of the report, talking about areas that I thought were strong and areas where I thought she needed to shore things up or kind of approach her analysis a little differently. Because this CRA regulation is also, went through a major overhaul so it's fairly new to us in the last year. The agencies re-did, re-wrote the whole regulation, totally different focus. So it is something that is still kind of somewhat new to all of us. So we did go through that whole section.

### DEV 3

■ Well, like I explained to her why those records were set up, and this is kind of a good example of what we were going -- what I asked if we could come back to that -- is maybe a good example. .... In other words, I would explain why that ADS record was created, not just that it's out there, you know, but I would go and explain why it was created, because we have to group certain providers with that zip code into that ADS record and I would explain how the system would connect those ADS records to the insured record -- that it matches those, and you know.

### DEV 4

■ Well after that, little things, I started, once I determined that this is what this person needs to be successful, I would, on a daily basis

compliment what she was doing right, like good job with that customer, that was a tough situation but you handled it excellently. And then even with another rep. there, did you see how she handled that customer, that was great. And she was like all proud and standing up straight and then just from that point on, every day there was more and more improvement.

■ I had a discussion with the person I turned down and said, "If you really want to get into this level position, you've got to go after it a little bit more. And one of the problems is dressing and just presenting yourself to management."

*INT:* Can you talk about that conversation a little bit with the other candidate? What did you say?

PW: Well, I think--he had come in...

*INT:* What's his name?

PW: David.

INT: David. OK.

*PW*: As I said, he had been turned down and I guess he had come in feeling sort of, "Why am I doing this? I don't have any chance at all of being in management level."

INT: What made you think that?

*PW*: Well, he's a pretty open guy, and he makes comments, and reactions that I had heard since he'd been turned down from the original interviews, and him being surprised, I think, to be interviewed again, and I think he actually asked straight out if this was just sort of going through the motions.

*INT:* What did you say to that?

*PW:* I told him that it wasn't, that I was considering him. And when we were done, my opinion was, and I told him this, that he was a candidate, and he wasn't being selected for this, but I think if he wanted to go that direction in the future, he was capable of it, and that he had to though change his ways somewhat. He's an extremely informal person, works well on his own, is a very good worker, but is not someone I would send out there at the system level to represent me, although he does do some of that work, but he's too informal, I think, and I don't remember the exact words that I used, but I had the impression that he wanted a promotion more than he wanted to be a manager, that he wanted more money and that sort of thing.

### DEV 5

It was a group decision, at that point, that we would reschedule and also that the information needed to be shared by more than myself because it would be very easy for me to stand there and share all of this information as the center manager but, if they don't feel like there is communication coming from the managers that work for me, or myself, or their supervisors, then they still feel there is those roadblocks. They would feel that there were roadblocks. So we decided that we needed to do some sort of -- and it was a group decision, to do some sort of shared cascade of the information and we regrouped about a week later. I decided that I was going to give an opening to the survey and that I would facilitate the questions and answers portion of the meeting with the employees but, other than that, it was up to the managers and the supervisors to provide the information.

*INT:* What were you thinking at that point?

CH: I was thinking that, number one, it was going to be a learning experience for many of the supervisors who had never had to do any type of presentation. Number two, it was important for the actual employees to see a management group as a team as opposed to individuals. I also decided that it was extremely important that they start to communicate with the employees and that this would be the kickoff for that, that if they were up doing a presentation, if they got comfortable with doing that with employees from multiple departments, that they would become much more comfortable in dealing with the employees that report to them on a daily basis. So we, as a group, made a decision of who was going to present what portion of the survey, worked on flip charts and I had to do little things to their flip charts; like, on the ten most positive, wherever there was an O or 0, I had to put a little smiley face in it and whenever there -- on the ten least positive, I had to put a little frowny face in it to take a little bit of the edge off and we broke up the departments into four meetings and did our presentations.

**Generic Competencies Continued** 



### ☑ Linear ☐ Exponential

## Dimension: Firmness in holding others to standards

### **Directiveness**

DIR<sub>96</sub>

Implies the intent to hold people accountable to standards of performance. Makes others comply with one's wishes where the power of one's position or of one's personality is used appropriately and effectively with the long-term good of the organization in mind. It includes a theme or tone of "telling people what to do." The tone ranges from firm and directive to demanding or even to threatening. (Note: attempts to reason with, persuade, or convince others to relate to Impact and Influence, not Directiveness. Feedback delivered with a warm, positive, or encouraging tone is likely to be Developing Others, not Directiveness.)

- ➤ Not necessarily a "negative" competency.
- > Can be scored even when exhibited by someone in a nonmanagerial position.

### 1. Tells People What to Do

- Gives basic directions
- Makes needs and requirements reasonably clear
- Explicitly delegates details of routine tasks in order to free self for more valuable or longer-range considerations

### 2. Sets Limits

- Firmly says no to unreasonable requests
- Sets limits for others' behavior
- Manipulates situations to limit others' options, or to force them to make desired resources available

### 3. Demands High Performance

- Imposes new, different, or higher standards of performance with little input from others
- Demands high performance, quality, or resources
- Insists on compliance with own orders or requests
- Mentions possible consequences for non-performance

### 4. Monitors Adherence to Standards of Performance

- Intrusively (or publicly) monitors performance against clear standards
- Issues clear warnings about the consequences of non-compliance with standards of performance



# 5. Takes Action to Address Performance Problems

- Confronts others openly and directly about performance problems
- Enforces consequences and takes action
- Appropriately fires people for cause

# Directiveness Examples

# DIR<sub>1</sub>

■ I went to product management and said, "Okay, I have a vendor. And this is the time that we're going to set up the interviews. And what I need from you is now, I need to have actual comps of the material, of the device, the nasal spray, because what I would like to do is I would like to, first of all, have the vendor demonstrate the device. And after he demonstrates the device then I want the patient to put the device together on his own, and I want to see the patient try to use it."

### DIR 2

■ I said, "Well, Mr. Jones, I really am trying to help you and I can only do that if you'll let me so you have to work with me." I said, "I'm not yelling. I'm not screaming and I really wish you wouldn't." So then he said, "I'm sorry. I just lost it. I've had it up to here with this and these people are sending me to collections and everything," and I said, "I understand all that but we have to work together and the only way I can help you is if you're going to allow me to and you have to calm down and you have to listen to what I'm saying."

### DIR<sub>3</sub>

Mowing ahead of time that there was, that there tended to be that mentality within the group, um, I basically laid it out and said, uh, you know, we've got a lot of work ahead of us, um, for, for most of you this will be a job-enriching opportunity because you are going to learn new skills, you are going to learn skills that are very marketable in the marketplace whether you're in Racine or Sydney. Um, so, so you will come out of this at the end a more marketable person than when you went into it. But I said, I, I expect that we will, we will set deadlines, and we will meet those deadlines. And if that means that we have to put in some overtime, that means we have to put in some extra hours, occasionally we may have to work a weekend, um, that's what I expect of all, all of you to do. And in return for that, um, you know, you will be compensated appropriately, you'll be recognized appropriately, um, you'll be treated as a, as a professional.

# DIR 4

■ I decided actually that I would -- after the period was over, we got the financial results, I would pencil in next to any of the big outages that we had, not just the missed plan but also you missed the forecast, so that they felt that someone was looking at that forecast. That they were being -- you know -- they weren't just being thrown in the garbage and forgotten about, just a useless exercise, that we were looking at the forecast and we were kind of holding them responsible for their forecast and not just the plan but the forecast as well. So beginning in January it became more of a focus area, because

now when we sat down and we met and talked about the cost performance, it was like, "Well okay, you made plan but you said you were going to make plan by \$10,000 and you came in equal to plan. What happened? Your performance was still good but you thought it would be even better. So what happened?" That's what I told Jim in this case

# DIR 5

■ I used the performance management process that I introduced to turn up the performance heat on this particular issue and to ultimately give this individual a poor review, and a lower salary, and when it came time for certain types of requests, like traditional headcount, I turned them down...I said, "Yes. There's no question that you work hard and there's no question that you're a good person. But the question occurs to me about whether the project was accomplished or not and whether the milestones have been achieved. Absent that, it is difficult for me to appraise progress the same way you do. I see milestones as having been (missed) and here you note this example. I see another milestone having been missed. And with that accumulation of missed milestones, I don't believe we can be confident that this project will ever be completed. On the basis of that, my evaluation has to be significantly lower than yours. Does that make sense?...Tom, this is why we are so careful in constructing a goal. When we put that goal together, it was one that you agreed to and it is one that you helped articulate. So the goal as you constructed it, as we constructed it together, was perceived to be reasonable. I continue to view it a reasonable expectation, and although you have tried hard, you have not produced the result that the organization needs. The organization needs better than that, Tom. I am sorry to have to tell you that, but the organization needs better than trying hard. The evaluation is going to stand as is."



- ☐ Cumulative ☐ Noncumulative
- **☑** Linear
- ☐ Exponential

# Dimension: Size of change being made

# Flexibility<sup>ei</sup>

FLX96

The ability to adapt to and work effectively within a variety of situations, and with various individuals or groups. Flexibility entails understanding and appreciating different and opposing perspectives on an issue, adapting one's approach as the requirements of a situation change, and changing or easily accepting changes in one's own organization or job requirements.

"Tactical" decisions (Level 3) are usually well within the person's job description. "Strategic" decisions (Level 4) are usually pushing the boundaries of the person's responsibilities.

# 1. Accepts Need for Flexibility

- Demonstrates willingness to change ideas or perceptions based on new information or contrary evidence
- Understands other people's points of view

# 2. Applies Rules Flexibly

 Alters normal procedures to fit a specific situation to get a job done and/or meet company goals

# 3. Adapts Tactics

- Decides *how* to do something based on the situation
- While maintaining the same overall plan or strategy, changes how to accomplish the plan
- Acts to fit the situation or the person
  - Code Level 2 as a default if it is unclear that the person is making significant changes based on the situation.

# 4. Adapts Own Strategy

- Changes the overall plan, goal, or project (i.e., *what* you're trying to accomplish) to fit the situation
- Makes small or temporary organizational changes to meet the needs of a specific situation

# Flexibility Examples

# FLX<sub>1</sub>

■ So there was a bit of anger from my side, but at the same time of course I recognized the shortcomings in our program that we'd tackled with them, that we really were restricted, that I couldn't forget. I tried to put myself in their shoes. I would have done the same thing.

### FLX 2

■ I mean I was approached the day before. And I knew that I couldn't just start an entirely new lesson. So I pulled the non-standard measurement from the curriculum and basically just went with it when I saw her walk in the door. Because she had scheduled a time to come when I was starting a fresh class.

# FLX 3

It was an absolute letdown on my part from "I'm here to sell something". And I realized that that business was basically gone from a training perspective. So I sort of put down all of my, all of the materials that I'd brought with me. I think I even put down the pencil and paper, as I recall, on the side of the chair, on the chair next to me. And I said, "Gee, I'm sorry that you've had this experience. But since I'm here, can you just tell me what's going on at your company?"...There's no sale here. There's no sale here. But I came all this way; I drove an hour and an half. So I'm going to at least make a contact. I'm at least going to build some sort of a relationship. But there was no -- at that point sales was way out of my mind.

### FLX 4

■ But the Wilmington people will not relocate because they do not want to. So what I have agreed to do is -- recognizing that we have got a very difficult year next year in 1997 and that if I force the issue of making them relocate, I will lose probably two thirds of them and those that I retain I am not going to have their undivided attention because it's going to be very disruptive to their personal lives plus they really do not want to move so I am not going to be getting the best of them. What I have agreed to do is -- we will allow the Wilmington based businesses to remain in Wilmington throughout 1997 but as normal attrition occurs, we will replace those people with Memphis based replacements and we have told them that by the end of the first quarter of 1998 all operations will be located in Memphis.



- **☑** Cumulative
- ☐ Noncumulative
- ☑ Linear (Levels 1–3)
- **☑** Exponential (Levels 4–6)

# Dimension: Complexity or customization of the attempt to influence

# Impact and Influenceei

**IMP96** 

Implies an intention to persuade, convince, influence, or impress others (individuals or groups) in order to get them to go along with or to support the speaker's agenda. The "key" is understanding others, since *Impact and Influence* is based on the desire to have a specific impact or effect on others where the person has his or her own agenda, a specific type of impression to make, or a course of action that he or she wants the others to adopt.

- Levels 2 and 3 refer to noncustomized or relatively unsophisticated means of persuasion. That is, the same argument or point could be made to any other person in the same general situation.
- Levels 4 through 6 are customized or personalized to the individuals or situations at hand, and imply some OA and/or IU. Either OA or IU, or both, are often scored as well with sufficient evidence.

### 1. States Intention but Takes No Action

- Intends to have a specific effect or impact
- Expresses concern with reputation, status, appearance, etc., but does not take any specific actions

# 2. Takes a Single Action to Persuade

- Uses direct persuasion in a discussion or presentation
- May appeal to reason, data, others' self-interest
- May use concrete examples, visual aids, demonstrations, etc.
- Makes no apparent attempt to adapt presentation to the interest and level of the audience

# 3. Takes Multiple Actions to Persuade

- Takes two or more steps to persuade without trying to adapt specifically to level or interest of an audience
- Includes careful preparation of data for presentation
- Makes two or more *different* arguments or points in a presentation or a discussion

ei = Influence

# 4. Calculates Impact of Actions or Words

- Adapts a presentation or discussion to appeal to the interest and level of others
- Anticipates the effect of an action or other detail on people's image of the speaker
- Takes a well-thought-out dramatic or unusual action in order to have a specific impact
- Anticipates and prepares for others' reactions
  - Can be coded for influencing one person or a group of persons with common attitudes and interests.
  - ➤ If it is clear that the speaker is attempting to influence the interaction among others, score at Level 6.

# 5. Uses Indirect Influence

Dimension: Complexity or customization

- Uses chains of indirect influence: "get A to show B so B will tell C such-and-such"
- Takes two or more steps to influence, with each step adapted to the specific audience
- Uses experts or other third parties to influence

# 6. Uses Complex Influence Strategies

- Assembles political coalitions
- Builds "behind-the-scenes" support for ideas
- Uses an in-depth understanding of the interactions within a group to move toward a specific agenda (e.g., may give or withhold information among individuals to have specific effects)

# Impact and Influence Examples

# IMP 1

■ I definitely wanted to make a good impression, especially from a group that I'm fairly new in. Because I had not been in this group for very long when I had done this. So I wanted to make a very good impression to these people, and let them know, you know, that we can deliver something to them. But also in my mind I do not want to make false promises.

# IMP<sub>2</sub>

And I just said, "Becky, life insurance is not expensive. I promise you it's worth it. And let me just show you a couple of the different ideas. I mean, we can start with something very inexpensive, or we can do something, you know, if you want to have money for the future." And she said, "okay, okay". And so I would run, you know, a couple of different policies, a little term, or maybe a whole life. And I just ran the proposal and she said, "I really can't afford the whole life right now." "Okay, great. Let's do the term. A year or two down the line maybe your situation will be different that you can do the whole life product, and then at that point, we can just convert the term over, but the main thing is you're going to have that policy. Nobody can take it away from you. You know, if you develop any illness, you have that insurability." And we just went ahead and wrote the policy.

# IMP<sub>3</sub>

■ Um, the governor wanted to see me, as head of the Human Resources, I mean he was having this meeting with the heads of division. So he wanted to know what the concerns were, what we were doing and what our problems were doing and where we were headed to. And for me it was a golden opportunity with a new Chief Executive coming here. So I had done my research, because I had expected that he would want to see us. So there were a number to things that I raised with him. The major one was this uh, that there was need for some uh, organization review and redefinition of where we are going and how we do things. We had attempted strategic planning before with some other organization, and there were problems on both sides, so I gave him that background, but that we had done some research and we had looked at a number of organizations and we had proposals that we had ready to present with recommendation of which one, which company to use. I also discussed the other problems we had, where I was concerned with the culture that we had within the bank, I was also concerned about the, eh, um, the caliber of Human Resource function in terms of the staff in it and the level at which the function was placed in the structure. So it was like a summary of my thinking of my job at the time. Those were my main concerns.

### IMP 4

- She looked like the Good Humor girl, and sandals that weren't even, they were just beach sandals. So what I did with her is every day when I came in, naturally I would say "hi" to everybody. But I would make a point no matter what it was. I mean if it was the tiniest little thing, if it was something in her hair, I would make a point of telling her how great it looked, and it was really, "That was great. It looked so pretty on you." ... I had to turn her around. And make her take a look at herself because she wasn't looking at herself anymore. She was just showing up and being negative, and creating all of this negativity. And she wasn't the only one, but I mean she was the main focus, because I really felt that she was the key player here....It really was a daily thing. I just made a point every day... I had to make her stop and think to herself that someone is recognizing me because she was feeling unrecognized. So in any case, what I did was I continued to do that everyday.
- Trying to think what the customer would want to see. We were trying to convince someone to buy a plant and convince them that we did all of the right work necessary for them to get comfortable, that we would -- if we owned this, we would do the same thing. But we could not just tell them trust me. Trust me, it works -- we had to have some data. And Intel was infinitely they love data. If you could show them data, they just love data.

INT: What made you think that?

*MB*: Oh, I know Intel. Intel is very data-oriented. Very procedural oriented, very data oriented -- you know, reduce it down to paper, do your seven step problem solving issues. They are just very detail oriented. So when we received the RFQ with the volume ramps and I looked at that versus what we had already done with A&D and said this is a match

# IMP 5

• One was he knew the custom harvesters very well and I could use his name to get in to talk with them. Okay? So uh, he knew them very well. They all know who Phil Roberts is so, if I could talk to Jim and get his recommendation who to talk to then I could go talk to them and they're, you know, they know who Phil Roberts is, so I'm not a completely strange face to them. It's one of the key things in farming. Especially farmers. It's relationships are, are almost more important to them sometimes than money in a lot of ways the way that they market things and the way their contacts, it's kind of a close-knit relationship so, you have to, you can't just cold-call a lot of people in that business like you could in a lot of more other uh, what I call city businesses where people are used to talking to strangers. So that was one reason in talking to Phil.

### IMP 6

Then I started lobbying around the different players, America last, but lobbying around all my colleagues saying, "I'm not sure the right place to build this plant is America. I know we've spent £2 million on designing it already but I'm not sure this is right." So I was able to create some uncertainty and the push for the uncertainty was, "Well if we built it in Europe we can close Greenfield House and if you can close Greenfield House and put the new plant next to our existing plant, the economics are the lowest cost producer in Europe. And here's the proof." Now the finance guy of course went, "Yes because I understand rational persuasion and I understand these things. Great." The Research Director recognized this was actually quite good news for a different reason. I played to his desire to have the biggest toy in Europe, not in America because he sits in Europe. And I know he likes big toys and I said, "Well wouldn't you rather have the mother of all plants in Europe where you can do work on it, research on it, work with it?" So he came over fairly quickly. The Asians didn't really have an issue, they just said, "Just build us a plant. Just get it, we need material."

*PA*: This was not facilitated. I did this on my own. The second offsite meeting was facilitated. So when I had one again about three months later, that time I had a facilitator, but I facilitated this one.

*INT*: So in those two days, where do we turn on the video camera?

*PA:* Well, that first morning. Let's get the venom. Let's get where they're at. The other place I want to turn it on is at the end of it I did the same thing. "Okay, we now spent two days.

We're about to leave. I'd like to spend an hour and see where we're at. How do you feel about the two days you just spent? Was it valuable to you? Did you get something out of it?" There's a huge change from the first one to the second one. Everybody is on side at the beginning, but at least 50 percent of them are moved over at the end.

*INT*: What I'd like to get at is what is it in that two-day period where I can see you doing something or engaged in something that captures, I guess, what led to that outcome.

*PA*: Yeah, I had one thing and one thing only that I wanted to accomplish in those two days to lead to that outcome in the first meeting with respect to the bigger goal. I wanted to increase clarity.

*INT*: To increase clarity?

PA: Yeah, that was it.

*INT:* And your thinking behind that was?

PA: The single most -- when I assess the organization, when I assessed where the organization was, that responsibility was low, that standards were not low, but below the median point, so Responsibility and standards were low, rewards and recognition were low, clarity was very low because of all the silos, and conformity was high. So I wanted to work on clarity, first. I wanted them to come away realizing that by spending two days together they could get the big picture of finance. They could suddenly get clarity in what they were doing, in where the company was going. So it was an opportunity for me -- it was the first time anyone had ever done it with them -- to share with them what the strategy of the company was, what the vision of the company was, or the goal of the company was, and what my vision and goals that I was bringing to the equation were.

*INT:* So that's what you did?

PA: Yeah.

*INT:* Do you remember the gist of any of that in terms of the company's goals, your goals?

PA: Yeah, I talked to them about the organizational climate, for example. I brought a series of slides that displayed the symptoms that you would see in people's behavior in a personalized power climate, in an affiliative climate, or in an achievement climate, or a socialized power (one). And I left it up to them to respond and to choose. So I put up personalized power and I said, "Did anybody ever see this kind of thing before?" "Oh, yeah, yeah, yeah." They listed them. "Any of it going on in our organization?" "Oh, yeah." "Here's affiliation. Anyone ever seen this in an organization before?" "Oh, yeah, yeah." "Any of that going on in our organization?"

*INT*: So linking affiliation to climate, outcomes.

PA: And outcomes so that they could see and say, "Oh, yeah, that is going on here. We see this going on here." And then, lastly, I put up achievement, critical achievement one would say. "Any of that going on here?" "No, not really." Well, if you accept the concept of giving only the three options, there's 20 of you in the room here. You are the leaders of this organization. I would like to ask you which one of these three would you like. Unanimous vote. They want achievement. Okay. Great.

*INT:* Achievement-related culture?

*PA:* Achievement climate. We want to see our organization, if somebody surveyed our organization, this is what they would see. Behavior would be consistent with achievement climate, as opposed to affiliation or power. And so I let them come to that conclusion. I just displayed the symptoms to them. The only thing I prescribed to them was I said, "You've got to buy into the concept that there's only four options here to consider. So if you accept that, which one of the four do you want? Here are the four. What do you see?" So I got them to say, "We want achievement."

And I got them also to say, "Well, we've got some personalized power. We've got some affiliation going on here. We don't have achievement. By the way, all of us want achievement." We got to that place. I said, "Great. Well, my vision would be that we build an achievement climate in this organization. That's what you guys want. I concur. I think that would be a fun thing to do. I think that would be meaningful for all of us. Do you want to do that?" "Yeah." "Okay, we need to spend some time talking about some of the things we need to do that. One of the things we need to do is talk about goal setting. So let's talk about goal setting for a while." So that's the process by which I went through the two days with them.

Generic Competencies Continued



**☑** Linear

☐ Exponential

Dimension: The amount of time and effort being expended on collecting information

# Information Seeking

INF96

Driven by an underlying curiosity and desire to know more about things, people, or issues. It may include pressing for exact information; resolution of discrepancies by asking a series of questions; or less-focused environmental scanning for potential opportunities or miscellaneous information that may be of future use.

Levels 1, 2, and 5 must be done personally. Levels 3 and 4 may be explicitly delegated to subordinates.

# 1. Asks Questions

- Asks direct questions of the people who are supposed to answer questions about the situation, such as people who are directly involved
- Uses available information, or consults other resources

# 2. Investigates

- Investigates the problem or situation beyond routine questioning
- Finds those closest to the problem and investigates further, such as asking "What happened?" (may include personally going to look at the problem)

# 3. Digs Deeper

- Asks a series of probing questions to get at the root of a situation or a problem, or a potential opportunity below the surface issues presented
- Calls on others who are not personally involved, to get their perspective, background information, experience, etc.
- Does not stop with the first answer; finds out why something happened

# 4. Does Research

- Makes a systematic effort over a limited period of time to obtain needed data or feedback
- Conducts in-depth investigation from unusual sources
- Does formal research, or may commission others to do formal research through newspapers, magazines, computer search systems, or other resources (may include market, financial, competitor research)

Dimension: The amount of time and effort ...

# 5. Uses Own Ongoing Systems

- Establishes ongoing systems or habits to get information; for example, managers can walk around, hold regular informal meetings, or scan certain publications
- Sets up individuals to do regular, ongoing information gathering for him or for her

# Information Seeking Examples

# INF<sub>1</sub>

■ I looked on our system and I looked on our State mandates. I looked under what we call our bene screen, which has all the state provisions, reform and anything that would be pertaining to that state....I was looking for information in there that would tell me that he would have continuation after termination for an illness or an injury or a maternity extension, and it wasn't there.... I was looking at this information and this is where I go for my information because that's where it should be.

# INF 2

■ I sat down with the group leader of the carbon fiber. I asked him to play the no boundaries game with me. I asked him to tell me what were his problems, his needs. He sat down and he listened to me. He said, he said curiously, "That's a little bit different that what I was thinking." And he gave me a problem. He said, "What we'd really like to be able to do is control oxidized fiber density. We don't know how."

# INF<sub>3</sub>

■ I talked to Sam Lakeland, who is the sort of -- he is the key cardiologist at the university and asked him where the big buckets of physicians were, if you will, where I should be looking, where I should go to disseminate the information when the new drug came out, really asking where I should go sell but, at any rate, he gave me a couple of different places, including the VA, and led me, or sort of steered me in the right direction and, with that information then, looked up the names of the physicians. I called the VA and got a list of their physicians faxed to me, and figured out who was on cardiology, and then called and made appointments with everybody I could in cardiology, talked to the secretary in cardiology first to find out who the leader in their group is for this particular heart condition.

### INF 4

The first thing I decided was it wasn't going to be something I was going to dream up in the middle of the night. And it wasn't something that I have learned how to do directly or I came in with answers for. So I formed a little mini task force team of about seven or eight people that represented various functions within the company and also geographies. So I had a few people on it from Europe, Dieter was a member, representing human resources. And we laid out a work program of both internal and external interviews, research might be too big a word for this. We made a serious effort to talk not only to our folks inside the company around the world, but also outside, customers, etc. to sort of get the lay of the land.

We also did an analysis of what I'll call secondary data points as to best practices of other respected companies in the area of communications. What have they been doing? What have they learned?

# INF 5

Yeah. Because there are things, I really keep my finger on the pulse of what's happening. There are what we call discuss meetings, but they really are mailings with archives, that things come into some mailing list and they get archived into this mail board, and part of what I do as my regularly daily task, is that I look at these things; and that helps me keep my finger on the pulse of what's going on out there, what the user community needs are. In this particular case, I noticed that there was a theme of people complaining about a certain enhancement to their operating system. It's hard to describe, but suffice it to say, that a lot more people were discussing this enhancement through this mailboard than I had ever seen before.



**☑** Cumulative

☐ Noncumulative

☐ Linear

**☑** Exponential

Dimension: The distance into the future that one is looking for problems and opportunities on which to take action

# Initiative<sup>ei</sup>

INT96

# Refers to the following:

- 1. The identification of a problem, obstacle, or opportunity and
- 2. Taking action in light of this identification to address current or future problems or opportunities. Initiative should be seen in the context of proactively doing things and not simply thinking about future actions. The time frame of this scale moves from addressing current situations to acting on future opportunities or problems.

# 1. Reacts to Short-Term Opportunities or Problems

- Recognizes and reacts to present opportunities
- Reacts to present problems, including overcoming obstacles
  - Consider coding at Level 3 or above if action spreads out over more than just a few days (unless the speaker was intending to address a short-term issue that just happened to take longer to be resolved).

# 2. Is Decisive in a Time-Sensitive Situation

- Acts quickly and decisively in a crisis or other time-sensitive situation
- Acts with a sense of urgency when the norm is to wait, study the situation, and hope the problem will resolve itself

# 3. Acts Up to 3 Months Ahead

- Anticipates and takes action to create an opportunity or avoid future crisis, looking ahead within a three-month time frame
  - Code at this level if the time frame is not clear enough to code at a higher level.

### 4. Acts 4–12 Months Ahead

• Anticipates and takes action to create an opportunity or avoid future crisis, looking ahead 4–12 months

### 5. Acts Over a Year Ahead

• Anticipates and takes action to create an opportunity or avoid future crisis, looking over a year ahead

ei = Initiative

# Initiative Examples

# INT 1

■ I was very careful of trying to do what I call "damage control." If I let this get out of hand, I knew we wouldn't have a project, so I just tried to be up front and told them I didn't think the software we bought was the best and it had problems but it offers these capabilities and these enhancements, and I think the most important thing is, in a year from now, it will look a lot better than it's going to look in the first month of its release because we can't do everything we want in the first release; otherwise we won't get a project out the door, so try to look a year out.

Note to coders: References to the future do not necessarily suggest coding at a higher level if action taken is actually in the short term. In INT 1, the speaker is focussing on an immediate problem or opportunity. As long as the problem or opportunity is in the short-term, code for low-level Initiative, even if the speaker makes references to the future as in the above example.

# INT 2

It's a form where the physician fills out the patient's name, where they live, they're on the drug and basically signs and says, "Okay you have a prescription to train the patient." But what happened was these referral forms first had to go through Florida because that's where the corporate office is. And then corporate would fax it to the local office and then the local office would get it and have 72 hours to call the patient. So in essence it could take up to 72 hours or even longer for the patient to ever be contacted. And I had to make it happen a lot faster. So I said forget this. We're sending this off, we're, I'm just going to call the local office and we're going to, going to get these patients trained right away. So there was a lot of, the local office wasn't happy with me because I didn't want to go through the regular process.... I called the local office and I said. "Listen you guys, you've got to do me a favor." I talked to Luke, who is, works on my local office here in Newton. And said, "Listen, this is what we're doing for these couple of patients. I want to make sure that they get trained. And we're not going to have time to go through the regular whatever." And he said to me, "Okay, fine. We'll do it this way."

# INT 3

■ Part of the thing I changed last year, we have a communication meeting with the field every month. And, it's simple review of operations. Again, these people are not in New York. History would say, well, you would go visit them, but not necessarily bring these people together to talk about their business. But, whether it was monthly on the phone, what's going on in your business, what's working, what's not working.

It allowed each of the other five people to understand what could

happen in their area, what's working in other areas, provide ideas on how to go forward. So, the people that may be lacking some skills in one area or have some problems, can learn from other people. So I started this new monthly communication process.

### INT 4

It just became so uncertain about how long we were going to stay in the business, were we going to continue that, and so we cancelled the search and I just decided that I would spend more time over there and handle that responsibility myself. So I traveled back and forth over that period of time to basically lead the group myself rather than bring in an outsider for what at any point in time looked like it may be only another six months.

# INT 5

■ They had never had that before. I do that now on an annual basis and I go pretty deep. Deeper than they probably would like. But the reason for it is very important. We are taking the company from stagnant to growing and within the last two years we've added over \$200 million to sales at the top line. I stretched my organization right there. It became very clear. So this year I've gone in and I've actually beefed up and added quite a bit more, what I consider important to the organization positions at the second level, including the new president out here. I have a brand new president who I just brought on board about six months ago, who I believe has tremendous potential, he could move up through the organization. So today I look at this organization and I say I have four people probably down here that could move up over the next three years and fill some of these other top level positions.

Generic Competencies Continued



☐ Cumulative

**☑** Noncumulative

**☑** Linear

☐ Exponential

# Dimension: Amount of risk involved in "walking the talk"

# Integrity<sup>ei</sup>

ING96

Acting in a way that is consistent with what one says; is important; that is, one's behavior is consistent with one's values (values may come from business, society, or personal moral codes).

- Unlike other scales, in Levels 2–4 of Integrity, the bulleted points reflect examples of acting on specific values and not definitions of the level. These examples should not be taken to be exhaustive. There may be other ways of acting consistently with values and beliefs not included here.
- If a person is clearly acting in such an ethical manner, that you want to use their story as an example of sound business ethics, then code that passage as Integrity (probably at Levels 3 or 4), whether or not they explicitly state the value associated with their action.
- > Code examples of clear lack of integrity or unethical behavior as Uniques.

# 1. Acts Consistently, in the Workplace, according to Basic Values of Openness and Honesty

- Expresses what he/she is thinking even when the message may not be especially welcome
- Shares information, insights, or comments about the work when it would be easier to refrain from being open about the situation
  - Recognition of own negative feelings should be coded as Emotional Self-Awareness.

# 2. Acts Consistent with Values and Beliefs

- Takes pride in being trustworthy
- Is honest in customer relations
- Serves all equally

# 3. Acts on Values When It Is Not Easy to Do So

- Publicly admits having made a mistake
- Speaks out when it may hurt a trusted relationship

Dimension: Amount of risk involved in "walking the talk"

# 4. Acts on Values When Significant Cost or Risk Is Associated with Doing So

- Makes sure there is full disclosure, mentioning the costs or drawbacks as well as the advantages of a deal
- Avoids hiring, or fires a high producer because he or she has a questionable reputation
- Mentions quitting his or her job or dropping a product or service because it was associated with unethical business practice
- Challenges powerful persons to act on espoused values

# Integrity Examples

# ING<sub>1</sub>

- I knew that it was something I had to do, so I took a deep breath, walked into the senior manager's meeting, and told them that we may miss a target here.
- "I'm just a nervous as you are, twice as nervous because I'm the project leader of this damn thing," so I told him that, just to kind of make him feel better about that we're just going to kind of muddle through this and we'll figure it out. It's not clear right now how this is going to go, but we'll all work through this and come up with something that works.

# ING 2

- I probably did because I didn't feel it was necessary to lie to her ... I told one of my customers because it came back to bite me. One of the management people came back and said "did you tell this customer that there was a problem with the system?" And I said "yeah. I mean it's not fair to lie to them because they are going to be sitting there thinking the money's coming, the money's coming and they're sitting there you know all happy and then all of a sudden nothing happens. Instead they get a collection notice bill or you know and a lot of people seem to have, you know, they take those things very, very seriously. I would too."
- I really felt just kind of in a leadership role that it needed to be part of my responsibility of helping them get re-established and so really for 2 or 3 months in addition to doing everything else, I used my contacts in the industry to get people repositioned in different companies, mostly locally or regionally. And I think it was a difficult thing to do but it was also a high point to know that what could have been a very negative, difficult situation, you could do something positive for the people that had been loyal and worked very hard for you.

# ING 3

- ...And I told them, I said, "I screwed up. I thought that they could build on that foundation. [and I was wrong]." I mean I told them my errors right up front.
- We could not do it. Emotionally, I wanted to let them do it because I had, as long time telecommunications manager, had -- I had a very significant relationship with them and on a personal level I wanted to. I could not do it though. I could not do it because I had to be fair.

### ING 4

- At that point, I said, this has now reached the immoral stage . . . . . It wasn't enough to accomplish it, we wanted to create pain and I think the one that really hit home with me is I had a manager come to me and said I want you to get Nap Yankovich in your office and tell him he is going to take this early retirement or you are going to make his life miserable. And I said, I want to make sure you understand something. I said, Yank was my general supervisor when I was a supervisor. Yank was my superintendent when I was a ??manager. Yank had been one of the best superintendents working for me as a plant manager, so this is a manager who has worked for this company ten hours a day, since 1953. He's been building parts longer than I've been born. He's somebody that this company has built off of. In addition, the man has got ten kids -- five of them are in college -- he can't afford to retire, and if you think I'm going to bring Yank in the office and tell him that he is either going to take this or I'm going to make his life miserable -- you can back off-because I won't do it. So and that was really kind of the defining moment. That -- and it wasn't that I'm afraid to let people go -- give bad news -- I mean, we were accomplishing better than anyone else in our business – it was this whole idea of abusing people and the man deserved better than that.....And at that point, I realized I don't know the people that I'm working for anymore. I don't trust them and I really don't like them. And I certainly don't agree with their tactics. And at that point, I made the decision -- 20 years -yeah, I know I'm going to lose out on retirement and everything else, but I can't work for a company where I don't trust the people. And at that point, I made the decision to leave.
- ... It was critical to me again that we dealt with our suppliers appropriately. I mean the Brand Name, that's really what we have. It's the integrity we bring to the trade. That's why these companies deal with Brand Name in the manner in which they do. It was critically important to all of us to make sure that these suppliers have an opportunity up front to know our thinking, the process we were going through, and to participate in this on-site facility if they so chose. And that's why I had all the CEO's come in with whoever they felt was appropriate, to listen to our idea, our concepts, to look at our cost models, tell us if we were right, wrong or indifferent, and to work with us or tell us to go to hell. And in fact, they did. That's why it was so exciting. Because the CEO of this particular company, who had the most to lose, basically said, "No. We're not interested."



- **☑** Cumulative
- ☐ Noncumulative
- ☐ Linear
- **■** Exponential

# Dimension: Thoroughness of understanding of specific others

# Interpersonal Understanding<sup>ei</sup> IU96

Connotes wanting to understand other people. It is the ability to accurately hear and understand the unspoken or partly expressed thoughts, feelings, and concerns of others. It measures increasing complexity and depth of understanding of others and may include cross-cultural sensitivity.

- Usually with regard to a specific person but can be coded for a specific group of people, as long as they are clearly identified.
- > Generally, at higher levels of the scale, you will have a fairly clear picture of the other person(s) involved. If the other character(s) in the story seem "flat," shadowy or unclear, or undeveloped, in a literary sense, then it is unlikely that the speaker is demonstrating IU.

# 1. Recognizes Emotion

• Recognizes emotion by reading body language, facial expression, and/or tone of voice

### 2. Understands Emotion and Verbal Content

• Understands BOTH emotion (by reading body language, facial expression, and/or tone of voice) AND what the other person says about a business or other issue (the other person's explicit content that goes beyond labeling their emotions)

# 3. Understands Meanings

- Makes inferences that go beyond the explicit content and emotion
- Understands current, unexpressed, or poorly expressed thoughts, concerns, or feelings
- Identifies a single characteristic or the strengths of the other person (not enough for a "balanced assessment" and NOT simply a complaint about a negative characteristic)

# 4. Understands Underlying Issues

- Displays an in-depth understanding of the ongoing reasons for a person's behavior or responses
- Understands the longer-term reasons for behavior
- Makes an assessment of a person's specific strengths and weaknesses based on a deeper understanding of the individual

ei = Empathy

# Interpersonal Understanding Examples

# IU 1

- I could tell she had a high level of anxiety at that time... And I could tell by her voice that she had anxiety as of that day.
- The clients were very relieved when we said that. You could see the tension go out of their faces, as they relaxed.

# IU<sub>2</sub>

- It was unusual because Derek wasn't normally emotive. He actually reacted very adversely and said something along the lines of, "Well that's what I'd expect you to say given that you're planning manager of the business."
- The client came in and said the contract wasn't working for him. I could hear in his voice that he was furious about it.

# IU 3

- Mike was really upset and frustrated about the difficulties of the new system. He said "This system is a joke". I knew he was concerned with the fact that this would eat into the other parts of the job. He really enjoys the face to face selling, not the administrative duties after the sale.
- I knew she must be having problems in her marriage because every time I saw her in the hall she looked tense and stressed. If the problem had been anything else- work, kids, health, whatever, she would have told me, so it had to be her marriage.

# IU 4

- Sasha was really upset, clearly frustrated about the changes. He is a real people-person, and he has friends where ever he goes, and good intuitive judgment about them. But, details and math annoy him. A program that requires him to spend half his time in the office doing calculations, and limits his ability to make judgements in writing loans would take away much of the satisfaction he finds in his work. That's why he is having such a hard time with this.
- Jillian has been personally responsible for building the development and training department, and has taken a lot of personal pride in doing it all herself. When we made this proposal to her, though she agreed to it, it was, of course, difficult for her to loosen up on her personal involvement and ownership of everything her department did. That is why she seemed a bit reluctant and hesitant to do it, even though she knew it was necessary.



- **☑** Cumulative
- □ Noncumulative
- ☐ Linear
- **■** Exponential

Dimension: Thoroughness of understanding of one's own or another's organization

# Organizational Awareness<sup>ei</sup> OA96

The ability to understand and learn the power relationships in one's own organization or in other organizations (customers, suppliers, etc.). This includes the ability to identify who the real decision makers are; the individuals who can influence them; and to predict how new events or situations will affect individuals and groups within the organization.

- Examples of OA are frequently found in association with stories of Impact and Influence.
- "Organization" should be broadly defined as a group of people working together.

### 1. Understands Formal Structure

- Recognizes and/or uses the formal structure or hierarchy of an organization
- Understands chain of command, positional power, rules and regulations, policies and procedures, etc.

### 2. Understands Informal Structure

- Recognizes and/or uses the informal structure of an organization
- Recognizes key actors, decision-influencers, etc.
- Applies this knowledge when formal structure does not work as well as desired

### 3. Understands Climate and Culture

- Recognizes unspoken organizational limitations, what is and is not possible at certain times or in certain positions
- Recognizes and/or uses the corporate culture (language, etc.) that will produce the best response

# 4. Understands Organizational Politics

• Recognizes and/or uses ongoing power and political relationships within the organization (alliances, rivalries) with a clear sense of organizational impact

# 5. Understands Underlying Issues

- Recognizes and/or addresses the reasons for ongoing organizational behavior
- Recognizes underlying problems, opportunities, or external
  political forces affecting the organization, such as current market
  trends, demographic changes, trade union policies, national or
  historical issues that affect market opportunities, etc.

# ei = Organizational Awareness

# Organizational Awareness Examples

# OA 1

■ If we have a question, we're not supposed to go to the sales representative, the service representative. She can't talk to us about the process. She has to go through the supervisor which I don't agree with because we're the ones who process the claims. I think she should come to us; we know more about that. She can look it up in the computer but still we know more about that group and that's where the attitude comes in.

*INT*: So why is it that that communication doesn't take place you think?

*EB*: Because we were told we do not communicate with the sales. The sales is completely different from the claims. We don't work together unless it's at the level of the sales manager and our supervisor.

Right, there are three senior vice presidents. Actually there are two senior VPs, and one executive VP but they are in charge -- if you look -- every accounts center manager reports to them and plus they have their own budgets because they have their own executive departments.

# OA 2

- So at PMI, I went through a transitions -- everyone I reported to, VP level and up, and in that structure, most of the people that were at the more successful levels had been through sales. And it was that point that I decided that I needed to get into a sales careers if I was going to be anything more creative than what I was doing. Although, I did not want to be necessarily a salesman in my career, I realized that to get to that higher level, I needed to go through that (spot).
- Even if I was talking, there was a particular person at Exxon that I became very well acquainted with and who was a very, he was a huge proponent of the technology. So he was sort of my inside guy. And even though he wasn't necessarily at a high level, he was thought of well enough by higher level management that even, when I used his name, people would be willing to listen to me.

# OA 3

■ It's evident to anybody that knows anything about the market in Texas, because we haven't been able to sell everything. And so, it's like a mourning period, you've lost something. You can't do this and then you can't do that, so you're mourning about it. And you can't do anything else because you're too busy mourning. So, I think at the beginning of the year there were just a lot of agents that said, you know, we're really sick of this. We're going to sell what we can sell and just get on with our jobs.

■ [Explaining why the speaker approached an issue indirectly] And indeed when you're dealing with somebody like STU Corp. what you've got to do is put it over in such that you're not telling them to do things, you're suggesting things and it ends up being their idea.

### OA 4

There's kind of a food fight going on right now between my boss, Jim Strong and Sam Smith, and it's really, one of the problems at C\_\_\_\_\_ is there's not enough room for all the super stars running around. So Smith controls engineering and how the software works, and my group controls how we push that software out to the customer. Sam's got his ideas of how things should be done and Jim has his, and we don't really agree at this point. Now we had gotten to the point where there was a serious, really I'll just call it a food fight between engineering and product management about what we should be doing and what should be developed, and it was getting so antagonistic that engineering wasn't listening to us at all about even reasonable things so I'm really trying to mend some fences at this point to try to build a better team.

### OA 5

- The first strategy thrust we have is one of rapid growth. Just to give you a background for a moment and I think that will explain why that's so key ADG used to be almost about 2,500 million sterling operation. The days when it had fertilizers in it, and there was another business which was pretty big, that was fibers. We divested those in the last 4 or 5 years, because overall, performance wise, they were restricting the growth of other businesses for ADG and portfolio wise we wanted to grow other businesses like paints, explosives and a couple of other international businesses. Having divested, the company I have inherited at this juncture in July, is performance wise robust, in terms of balance sheet it has a lot of cash, ? is not very much and its return on sales is in the regional of 10% plus. But its size has shrunk, and so the key task really is one of achieving critical mass and expanding it, in a market which is booming, it is growing, so it is a market which is important for PLC. It is a company which has the wherewithal to do it and that makes it a very interesting combination, but that also leads me to the primary task being focused very clearly on rapid growth.
- And so I guess not anything really major happened at that point in time other than I kind of got bored. So consequently my staff got bored. And then they were distractible to other outside influences. Because if you have really good staff people they're attractive to other people both in the insurance business, and some that aren't in the insurance business. And I had noticed that several business people had made passes at my staff. They wanted my staff to come to work for them. And if you don't offer them an opportunity, you know, to better themselves, to do more, to be more.

You know, if they don't feel good about who they are, and what they're doing in their opportunity, then they're going to leave for what they perceive as a better opportunity. So I had to kind of get with the program.



- ☐ Cumulative ☐ Noncumulative
- **☑** Linear
- ☐ Exponential

# Dimension: Degree of commitment being exhibited in support of the organization

# Organizational Commitment OC96

Shows an ability and willingness to align one's own behavior with the needs, priorities, and goals of the organization. It involves acting in ways that promote organizational goals or meet organizational needs. It may appear as putting an organizational mission before one's own preferences. "Organization" can mean either the larger organization or the work unit of which one is a member.

> The theme of identification with and/or support of the organization must be present to score for Organizational Commitment. In the absence of this theme, actions could be viewed in the context of furthering one's own interests and objectives. Do not score for supporting one's work unit at the expense of the larger organization.

# 1. Tries to Fit In

• Respects the ways things are done in the organization, and does what is expected

# 2. Models Loyalty

- Helps others get their job done
- Respects and accepts what authorities see as important
- Expresses pride, pleasure, and/or dedication about being part of this organization
- Promotes and/or defends the organization's reputation with outsiders

# 3. Supports the Organization

- Acts to support the organization's missions and goals
- Makes choices and sets priorities to meet the organization's needs and fit with the organizational mission
- Cooperates with others to achieve objectives in the larger organization

# 4. Makes Sacrifices for the Organization

- Puts organizational needs before one's own needs, such as one's professional identity, preferences, and family concerns
- Stands by decisions that benefit the larger organization even if they are unpopular or undercut the work unit's short-term good

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# **Organizational Commitment Examples**

# OC 1

■ After the training session it was pretty obvious to me that this wasn't for us. In fact, I knew even before the training that most of our work would not fit into this. What I decided, the two of us decided was maybe there is a little bit of our work that would fit.

*INT*: Who is the two of you?

DS: The person I work with in the electron microscopy group. I thought that maybe 10% or 20% of our work might fit that we can use this system for. So my approach was "Well, we'll give it a try and see if at least some of our work can fit and the rest of it we're just going to have to do some other way."

*INT*: How did you feel about that?

DS: That was one of these cases where this isn't the right way to do it, but because it's being mandated we have got to at least give it an honest effort, an honest try. But it didn't make any sense to us to even try to separate out part of our work. But we did create a couple of test codes for things that we thought maybe we could put into that category. So that was our initial thought.

All you have to do is kind of do your part. If you do your part you know you will get a resolution. You just have to do your part. That's the main thing. You have to do your part. You got to do whether it is the phone calls or pulling a claim or make a call to a provider saying you are still working on it, all you got to do is your part.

# OC 2

- My sense of that is we're doing our job. We represent the finest company in the world.
- Part of my job is to do whatever the organization needs. You know, as the organization needs help, then I have to do it. You know, that's just part of my job. So how I felt was really beside the issue.
- I am absolutely convinced that they are the best in the market. I canceled some of my own stuff and moved into XYZ. Knowing the short term was going to hurt me, but I understood the long term early on. The XYZ product is an excellent product. There are some new things that the company is coming up with. I just can't wait for them to come out because I'm going to transfer some of what I have into those products also. I have every confidence in their life insurance program. And I can look somebody in the eye when I sell them and tell them "This is the best thing for you." I have no difficulties doing that at all. I make no apologies for XYZ Insurance whatsoever. The health products, the mortgage disability product I like, and the hospital income product I like.

### OC 3

- They [the larger organization] wanted to get out from ABC, this was their window of opportunity and, you know, I didn't want to be the one holding them up, I wanted to help facilitate it as best we could.
- I didn't think anybody else in the organization was going to take on that responsibility. So I felt some commitment to the organization to do it, because I was sure it was the most important thing that we had ever done, and being part of that was important. So I think those were the things that I was feeling.

# OC 4

I had those two weeks decide whether or not to accept the transfer to Akron. [a newly acquired operation]. I was thinking that I owed this to ApexCo. And on the other side, personally I didn't feel good about taking on responsibility for the Akron operation. And I felt that I was doing fine where I was and so it was very difficult the two weeks that I was thinking. When I did come here to Akron, I knew exactly where we were as far as technical issues and then the people problems, I knew they were huge. There were not good relationships with the ApexCo team, so that was also a huge problem. Everything was a problem, but I felt like I was a superwoman, that I could take care of all of it. So one side of me said "OK, this is a challenge, I need to take it". The other one was 'No, you're OK, you're doing fine here in Columbus, stay here. " But I think the fact that I could help ApexCo, that I owed this to ApexCo, made me take on that project.

Note to coders: Also note the self-confidence that she could in fact handle all the problems associated with this project.

■ She asked me "How could you work towards, you know, eliminating your own position." I said, "You gotta do that in business." We were doing a downsizing and it became clear to me that the position I was in was slowly becoming obsolete. With the decentralization of so many corporate functions, it just wasn't necessary for someone at corporate to be duplicating the role that was supposed to be being empowered at the facility level. I believed, and still do, in authority being as close to the direct services as possible, so I had to follow through on that.

Generic Competencies Continued





☐ Cumulative **☑** Noncumulative

**☑** Linear

☐ Exponential

# Dimension: Closeness of potentially useful relationships

# Relationship Building<sup>ei</sup>

RB96

Builds and/or maintains friendly, reciprocal, and warm relationships with networks of people who may be able to assist in business.

> The degree to which the relationship is or will be useful does not need to be clearly articulated.

# 1. Makes or Sustains Informal Contacts

Makes or sustains informal contacts with others in addition to contacts required in the course of work, such as unstructured chats about work-related issues, children, sports, news, etc.

# 2. Builds or Maintains Rapport

- Builds or maintains rapport with friends or acquaintances
- Pursues friendly relationships with associates, customers, or others at clubs, restaurants, sports events, etc.

# 3. Makes or Sustains Social Contacts

- Initiates or participates in parties, outings, or special gatherings designed to improve or strengthen relationships with others
- Participates in a broad range of social relationships

# 4. Establishes or Maintains Personal Friendships

- Establishes or maintains friendships
- May include making personal disclosures as part of establishing or maintaining rapport

# 5. Makes or Sustains Strong Personal Friendships

- Makes or sustains strong friendships (i.e., socializes extensively with others, at times including others' families)
- May be demonstrated by a friend who provides testimonials on behalf of, or supports, the interviewee in a business situation

# Relationship Building Examples

#### RB<sub>1</sub>

He came to my office and we chatted about small stuff, about how do you like living here? You are going to burn up when the weather gets hot, It is going to be hot for you if you lived in New York, and all this other good stuff. We talked about his career, about the fact that he had been in the military also, and then we talked about the kids. After ten or fifteen minutes of chit-chatting we decided to get to work and review the contract.

#### RB<sub>2</sub>

■ This customer invited me to visit their offices, and I said, "Plus it would be a very nice chance for me to come to Florida. So let's go to a football game and we'll go out to dinner," and so we did.

#### RB 3

■ Like I said, this conversation took place in the woods. I told them that I wanted to talk to them. We were still fairly new and I just wanted to spend more time with them, find out about what they like or dislike. I knew they were into hunting. So I asked them to join me that Saturday. I asked my wife to cook something for dinner and their wives joined us after the hunt.

#### RB 4

■ I've spent a lot of time cultivating those relationships. I'm very good friends with M.P. who now runs all of ABC and DEF. When I first met J.P. he came down there to vsit some accounts, and I just felt that he was a guy that was probably going to do pretty well around here and I had him out to he house, I had him out jogging with a client, that's an instinct, you make bets. I mean I liked him and that was part of the reason, but I wouldn't have spent that much time cultivating somebody that I didn't think, you know, was worth it.

#### RB 5

• And I just ran into a very good friend of mine from college. We used to hang out together all the time. Now he was working for the bank that took over. We talked about our families, life in general and I also told him about my problems in closing this deal and it could make all the difference in the world. He said to me, "I hear you, I was in the same position a few years back, and I was introduced to someont whose help was limitless, let me give him a call." A couple of days later I got a call, and I knew immediately that this was the key. This person was so full of confidence and knowledge about this type of deal and it was instrumental in pushing me forward so I could take possession of this building.



☐ Cumulative

**☑** Noncumulative

**☑** Linear

☐ Exponential

# Self-Confidence<sup>ei</sup>

SCF96

A belief in one's own capability to accomplish a task and select an effective approach to a task or problem. This includes confidence in one's ability as expressed in increasingly challenging circumstances and confidence in one's decisions or opinions.

# 1. Acts Confidently within Job Role

- Works without needing direct supervision
- Appears confident in person
- Presents self well

# 2. Acts Confidently at the Limits or Slightly Beyond the Limits of Job Role

- Makes decisions without asking others
- Makes decisions even when others disagree
- Acts outside formal authority
- Acts in uncertain circumstances

# 3. States Confidence in Own Ability

- Describes self as an expert, someone who makes things happen, a prime mover, or a source
- Sees self as better than others
- Explicitly states confidence in own judgment or abilities
  - Level 3 can be coded even if statement is made only to interviewer.

# 4. Takes On Challenges

- Likes challenging assignments, and is excited by a challenge
- Looks for and gets new responsibilities
- Speaks up when he or she disagrees with management, clients, or others in power, but disagrees politely, stating own view clearly and confidently—even in a conflict
  - Level 4 is primarily scored with one's boss or others in "superior" positions, not with subordinates or peers.

ei = Self-Confidence

Dimension: Degree of challenge taken on in a situation

# 5. Chooses Extremely Challenging Situations

- Willingly takes on extremely challenging (i.e., very personally risky) tasks
- Confronts management or clients bluntly
  - Level 5 is primarily scored with one's boss or others in "superior" positions, not with subordinates or peers.

# Self-Confidence Examples

#### SCF<sub>1</sub>

■ I had no background in facilities management, so I didn't even begin to think that I knew the ins and outs of that. But I knew enough about managing large staffs that I could add value that way, and then trust the technicians, if you will, to do their jobs.

#### SCF<sub>2</sub>

They came to me looking for an answer. My boss was not there so I did take the decision. I sort of stepped back and looked at all of that stuff and figured well, I can figure a way around it and I'm typically more aggressive in making estimates about what the organization can do and in what time span than some of the others that are in this matrix.

# SCF 3

■ I do mergers, and I'm the best at mergers that ever was. And Kevin, while he's very good at mergers, is not in my league, and he thought would be the first to admit that.

#### SCF 4

And I wanted the challenge to do it. I thought that we could save a lot of money and as I mentioned before that's exactly what we were able to do. Ten or fifteen million dollars over three years is a lot of money and I would have liked the commission on that. So I felt strongly about it and not only did I say to my boss, "We ought to go do it." I also said, "let's go do it. I will lead it. Let's put a team together, get it done." I told him that I thought that we had the expertise to do it in house, that we did not have to rely heavily on our outside consultants, that we had built a strong enough technology network planning group that we could leverage those resources. He was reluctant at the very beginning, he said, "I don't think this is a good idea." And I said that I'm positive about this, I know it's the right thing to do and sorry to disagree with you, but I think that if you don't allow us to do this, you'll be making a big mistake.

#### SCF 5

This was what would be to most attorneys a desperate situation because as a mid-level associate, whatever I do is a reflection on me. And being part of a losing case, or being part of a disaster is not anyone's idea of career advancement. And here we are -- the client hates us, the technology is, you know, that only a Nobel Laureate could understand. Our adversary has already gone through everything that he needs to go through, and won the case. The judge already thinks of this patent as being valid. I don't know if I said, but the CEO hates me. It was -- and this is my first case. And so I had the attitude of "What else can go wrong?" You know, things can only get better. And the excitement of winning the impossible challenge.

*INT*: Were you excited?

MO: Yes, very much, very much.

I know these people well and I knew that things were good and so I had come up with a strategy on how to win this thing for us.

*INT:* In the moment or prior to that?

*RG*: No, prior to their visit and I was thinking about and how our position -- and I decided -- I was so confident that I told the people at ABC we couldn't lose. This is it. I'll stake my job on this and they were thinking we couldn't win so...

At the end as we wound up the London discussion, they sent me back and said, "You have a couple of days to tell me that you're absolutely sure that this guy Driscoll is your best guy and that he's going to be, that you can ?? on this. Because this is a major point for you getting the deal." So I went back and agonized for about a nano second and said screw them. And just agonized more on how to write the letter to say Driscoll was going to be our man and if they couldn't deal with it. And actually I called him up later and I said, "Alex, if you're telling me that you need a human sacrifice in order for us to get the job then that's difference. Then I'll replace Driscoll and I'll tell Driscoll we need a human sacrifice. I'll give you a different assignment, it's no reflection on you. But if you're telling me," and I told Driscoll this, crystal clear. Because sometimes things need to change and I accept that, but I'm not going to replace him and put someone else in there and pretend that it's because Driscoll has not done a good job. So you tell me that I need to do that to satisfy your internal requirements and then I'll do it. But I'm not going to do it just to create this fiction just in order to do that.



☐ Cumulative

☑ Noncumulative

**☑** Linear

☐ Exponential

# Dimension: Strength and completeness of assumption of the role of leader

ei = Leadership

# Team Leadership<sup>ei</sup>

**TL96** 

The intention to take a role as leader of a team or other group. It implies a desire to lead others. Team Leadership is generally, but certainly not always, shown from a position of formal authority. The "team" here should be understood broadly as any group in which the person takes on a leadership role, including the enterprise as a whole.

- Levels 1 and 2 reflect the basic "manager" role.
- > Levels 3 and up involve taking an increasingly strong and vigorous leadership role.
- > The team is defined relative to the actor. When coding top management, the team should be considered the enterprise as a whole.
- Where possible, include in the coder's comments, the managerial style the leader exhibits (e.g., Affiliative, Democratic, Authoritative, or Pacesetting. Coaching is usually associated more with Developing Others, and Coercive is usually associated more with Directiveness).

# 1. Manages Team Meetings Well

- States agendas and objectives; controls time; makes assignments, etc.
  - Does not have to be a formal meeting.

# 2. Keeps People Informed

- In a leadership role, lets people affected by a decision know what is happening, even if they are not required to share such information
- Makes sure the group has all the necessary information
- Explains the reasons for a decision

#### 3. Promotes Team Effectiveness

- Takes specific actions with the intent of enabling the team to function optimally
- Creates the conditions that enable the team to perform at its best (e.g., setting clear direction, providing appropriate structure, getting the right people)
- Uses complex strategies, such as hiring and firing decisions, team assignments, cross-training, etc., to promote team morale and productivity
- Gets others' input for purposes of promoting the effectiveness of the group or process
- Acts to build team spirit for purposes of promoting the effectiveness of the group or process

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## 4. Obtains Resources/Takes Care of the Team

- Protects the group and its reputation vis-à-vis the larger organization or the community at large
- Obtains needed personnel, resources, information for the group
- Provides or secures needed support and development for both the individuals and the leadership team as a group

#### 5. Positions Self as the Leader

- Establishes norms for group behavior ("rules of engagement") and imposes sanctions on people who violate these norms
- Sets a good example by personally modeling desired behavior
- Takes action to ensure that others buy into leader's mission, goals, agenda, climate, tone, policy

# 6. Communicates a Compelling Vision

- Inspires confidence in the mission
- Generates excitement, enthusiasm, and commitment to the group mission
  - There needs to be description of people's response indicating confidence and excitement as a result of interviewee's leadership.

# E

# Team Leadership Examples

#### TL 1

■ It was those three players, plus they brought some extra people into that first meeting. The directors of HR brought a couple of other people from HR and there were a couple of line managers there now that I think about it, because now I remember being in a big room. This was a year and a half ago so you know a lot has happened. And I started off the meeting by just simply saying, reinstating the relationship that I had with one of their colleagues, who we were, what we do, and that my objective for today's meeting was to understand them better. That I had not had an opportunity to speak with representatives of the two divisions, and so then I set into asking them questions.

#### TL<sub>2</sub>

After he was terminated, I went back to the branch office and me with all the employees in that location. I then called all the other managers down from his other branch locations and met with them... I said, "I can't tell you why he is no longer with the company, but he is no longer with the company. I wish him well". I reviewed again the company relation to the marketplace, what my personal plans were and what the goals were for the region and specifically for that branch.

#### TL<sub>3</sub>

I started having weekly staff meetings. And at that time I was fairly new, I was very new to the department. And I wasn't real familiar with all that they did, because I had worked with some of them individually on projects or questions before, but didn't really know as a whole how that department functioned. And in fact, they weren't together as a department before I got there. It's, they've had a strange history of being together, being split up, and they were brought back together at the time I came in. So tell me what this all means? Because they're ?? my head is spinning.

*INT:* This is what you're asking them?

RD: Yes. I'm asking them. Tell me. Tell me about this. Tell me what some of your concerns are, what are some of the things you'd like to see addressed that haven't been? What are the things that work well? Just trying to get the general overview for what's working well that we should hang onto, where can we look to make improvements? And this one really stuck out as this was a big source of irritation for them. Everybody had something to say about it because everybody was involved in maintaining the library. So they all had a real ownership sense about it. They knew, and we sensitive to the fact, that they were the historians. We're saying once some of this stuff is gone, it doesn't exist anyplace else.

- So I let everybody talk and I think everybody had something to say; everybody had something to say.
- Well I told them we have a trip we have a program that depending on what we write throughout the year in different areas, I put money in the kitty for them. And at the end of the year, they get all of that money back I split equally amongst all of the licensed staff. Or I will double it, and we go on a trip somewhere. And I told them that I wanted to go on this trip so bad that I would take them anywhere they wanted to go within reason, and they wanted to go to New Orleans, and that was going to be a pretty expensive trip so I didn't even figure out what it was going to cost me. I just said, that if you all go to New Orleans as a group, not just the licensed staff, everyone can go, and they can take their spouse or boyfriend, if they were not married if we hit a hundred apps. That is all I asked of them because I wanted to maker sure that the premium was there for the trip. I still was a little short of premium. So that was the goal is that if everyone contributed, it doesn't matter if one wrote fifteen, and the other wrote two, they all would go on the trip, and that was the carrot.
- Last month I had a meeting between a contest between Roosevelt Field and Westbury from the 1<sup>st</sup> to the 15<sup>th</sup>, whatever team had the highest revenue, that team bought the other team appetizers. Support Later: I also had a funny money contest where on a Saturday I handed funny money out, which was fake money, and for every activation, they got two dollars, for ever price plan that they changed they got a dollar, for every upgrade, for every accessory that they sold maybe they got 50 cents. At the end of they day whoever had the most money, you know what I'm saying? Got the prize.

#### *INT:* Which was what:

*CD*: It was lunch on me the following day. But you know I mean just something like that, they have a pile of money and it's like oh my God I have 20 bucks, what do you have? So I mean it's exciting. I do contests a lot. I also have an employee of the month program that I created, that employee of the nonth program, it's in both stores. It's an 11 x 14 plaque. It has January through December. I had the name engraved and it's slotted for employee of the month. It has Westbury Communication Store and the other one says Roosevelt Field Communication Store. I started this from the day I walked into Westbury on June 1<sup>st</sup>. I have the criteria of every month of what that person gets, what they have to achieve. The employee of the month – so Saturday would be my store meeting, I'll present them in fronto of their other peer workers, their plaque.

■ I'm a believer in working hard and playing hard. I think somebody needs to have a balance in life. In terms of your work environment, if somebody is working 70 to 80 hours a week, I think it is going to be a very short period of time before that individual becomes ineffective. We had been going hard for a good day and a half and I wanted us to relax a little bit so I scheduled a group outing.

#### TL 5

■ Um, the first day I had a team meeting with my staff most of whom I had never met before. They were used to have the meetings in a conference room, with a big table and a big chair for the boss. This time I decided to have the meeting in a small room, and I sat at the table with them, with a chair like theirs... I was going to be working with them, I did not want anyone trying to stand before the others. Then I gave them an idea of who Don Osborne is, uh, what they can expect of me as a manager and a person. I also told them what I expected of them. I said, "You'll be working together. I want people trusting each other and whoever does not feel comfortable with that, there is the door." Then I tried to lay out a little bit of the project as I saw it, and what was going to be expected of myself and the group and the whole company in Australia and, uh, generally speaking, how I thought we should approach the project itself and the completion of the project.

#### TL<sub>6</sub>

Right. What I'm saying to the advertising managers. And in order to have good results at the end of the year you better know your zone, and you better know what your triggers are to manage those perceptions. You know, whether it's sliding competitors, whether it's leveraging something about ourselves, whether it's increasing our spending, or decreasing our spending because it's good to do it with less money. You know, whether it's realizing that when consumer advertises price it has a positive or a negative effect, and how can you use that. If at the end of the day you're going to be evaluated based on how customers perceive the AT&T brand, better know how to influence it, and who else is trying to influence it, right?

*INT:* What did they say?

*BD:* Psyched, totally psyched. Who doesn't want to be empowered, you know? It gave them a credibility in the process, it gave them -- they became so valuable to the process because they were a tremendous resource. And they didn't do it alone. The important thing was to work with the advertising agency, department of the advertising agency, to build this knowledge base, to build this, you know, credibility in order to impact the quality and effectiveness of the advertising.

*INT*: So how did you feel at the end of that meeting?

BD: Excellent. It was funny, this was sort of the kickoff of this whole initiative. We had a pizza meeting. Just, you know, the direct team. And I went through my goals and objectives. And I said, "Now, we're going to break these down because you get the price one, and you get the reliability one, and you get the, you know, opportunity zone one. But all in all I too am responsible for managing these perceptions, and you guys have to go get it done." And they were really psyched, they were really psyched. Because I think prior to that they felt like some unimportant cog in the wheel. You know, if there's an assembly line running, and they're just a metal stamper in that assembly line they don't feel very important. Now they're the quality control officers.



☐ Cumulative ☑ Noncumulative

**☑** Linear

☐ Exponential

Dimension: Degree and/or depth of support given to team efforts

# Teamwork And Cooperation<sup>ei</sup> TW96

Implies the intention to work cooperatively with others, to be part of a team, to work together, as opposed to working separately or competitively. Teamwork and Cooperation may only be considered when the subject is a member of a group of people functioning as a team, generally where he or she is not the leader (e.g., M&A teams, functional work groups, etc.). "Team," as is the case with Team Leadership (TL), is broadly defined as any task or process-oriented group of individuals.

- This competency describes activity as a member of a group, rather than as a leader. The default assumption is that the interviewee is interacting with reasonably close peers as a team member (e.g., an executive team member). Therefore, it is generally only possible to demonstrate this competency when you are NOT the formal leader of the group. See Team Leadership, Level 3 for teamwork-like behaviors that a leader takes relative to his subordinate team (which may be noted in the coder's TL comments as the Affiliative or Democratic managerial styles).
- > If TW is coded when the speaker is not clearly the close peer of the others, either because the relationship of the parties isn't evident, or because the speaker is actually the leader of the team, or because the speaker is acting in a team-like manner with more remote peers in other parts of the organization or even with other organizations, then a note to that effect should be made in the coder's comments (e.g. "relationship among parties unclear," "acting as leader," "across silos," "with joint venture partners," etc.).
- When a speaker is dealing with one team member, also check DEV and IMP.

# 1. Cooperates

- Supports team decisions, is a good team player, does his or her share of the work
- Keeps other team members informed and up-to-date about what is happening in the group
- Shares all relevant or useful information

# 2. Expresses Positive Attitudes and Expectations of Team or Team Members

- Expresses positive attitudes and expectations of others in terms of their abilities, expected contributions, etc.
- Speaks of team members in positive terms, either to the team member directly or to a third party
  - ➤ If the third party is the interviewer, code as a Unique

ei = Teamwork and Collaboration

## 3. Solicits Inputs

- Genuinely values others' input and expertise
- Displays willingness to learn from others, including subordinates and peers
- Solicits ideas and opinions to help form specific decisions or plans

# 4. Encourages Others

- Publicly credits others who have performed well
- Encourages and empowers others, making them feel strong and important

#### 5. Works to Build Team Commitment

- Acts to promote good working relationships regardless of personal likes or dislikes
- Builds good morale or cooperation within the team, including creating symbols of group identity or other actions to build cohesiveness
- Encourages or facilitates a beneficial resolution to conflict



# Teamwork And Cooperation Examples

#### TW 1

- I typed up a letter, explaining what I had done. And also attached hard copies of the assumptions that I had used. And the actual spreadsheet of the impacts that I came up with. And I shared that again. So I gave each division manager and district manager and supervisor hard copies of what I had prepared.
- I asked him if I could help in any way. I said I was going to put together the framework of the package. They would then hand me the charts and the analysis. They agreed. And they came in on Wednesday with a partial analysis done.

*INT:* So did anything else happen in terms of your involvement between then and Wednesday? You said you met with the (divisional) manager.

*KL*: Yeah. Monday night, for example, I hung around. Like, I didn't have to hang around.

INT: What do you mean, "hung around?"

*KL*: I would have gone home normally.

*INT:* What does that mean?

*KL*: I kind of stayed around, I did extra things, mail, filing, some other things, just to let them know, I'm around if you need support in any of this. So I remember walking over there at nine o'clock and saying, Do you guys need any help?

#### TW 2

- Let's see. There were some changes that he wanted to make in the area that he had responsible reporting to him. I guess the thing that probably made him feel the best was that I supported him in promoting some people that he really thought deserved it, and that was in the old regime real difficult to do, and I wouldn't fight those. Like I told him, I'm relying on your judgement. You're responsible for that area working the way it should. You make the decision. Why should I make that? And I think probably the best thing that I did was to acknowledge that he was competent.
- I was glad. I congratulated her because I said, I guess, "if I can't do it, it's good to have you on my side because apparently they respond to you." I mean, it didn't bother me that they responded to her and not to me. It really didn't bother me at all. I was just glad that they finally did because this was holding up a lot of my work.

MΤ

#### TW 3

- Well, what I'm thinking is that I'm the one who is working on it, but my knowledge would be limited. If I only rely on my own knowledge, it would be not enough. If we got more people involved, if we got a heated discussion on this, we'd get a better quality of product from the group and it would present -- give us a better reputation later on. So that's what my thinking was, really feeling personal responsibilities for this project.
- I wanted to get inside the heads of the people that were leading the business there, and that's probably because, I would say to a person, I've never worked with such fine people and I think that that's really part of it, in that I trusted them and respected them and their knowledge about their own business units, to the extent that I did. That I thought that, well, anything they're going to give me is going to be far better than, you know, just trying to take a look at a piece of paper and try to figure out what to do that corresponds.

#### TW 4

- I said, "That's a great idea. That's a great concept, I think that's right. You're right on your team that's been studying re-engineering for finance. Coming up with world-wide process owners for common processes in these four areas, sounds great to me. That's the right thing we should do."
- I said to them,] "the fact that you're not going to do the presentation to the insurance company, the fact that you're not going to be in the room when all this is going on doesn't mean that your work wasn't important because it helped us get to that point and it also may be useful if we have to go to litigation, we're going to have to bring this up again, all this background information." So, I think it's important that when people spend an awful lot of time, which they did, on this -- to get to this point and I think that when they're not going to part of the final process that they're interested in what's going on. Our -- I could see our R&D?? who did all the scientific work, it was -- they do a lot of good things around here but they don't get much [of this kind of work] and this was a chance for them to do something outside of their normal putting flavors together and also developing products which they liked to do, they liked to have things to do like that and --

*INT*: How did you know that?

NB: I just -- I could -- by their enthusiasm, the way had -- they took on the project. To me, maybe some of their stuff was a little bit too detailed, too, you know, I didn't think it had to go to the extent but I could tell from the way that they went so deep into it, they were very proud of what they could do and what they could show and how they could present it and to just say thank you and dismiss them at the end of the day wasn't the right thing to do.



I think they needed an explanation of why we chose the certain people [to make the presentation] and that we only had a short period of time to get our message across, that what you've done is supportive and bolsters the information that's going to be presented to these insurance companies and that's, you know, that if we recover or when we recover on this plan, you will be a -- I mean, it's because of your hard work, also.

*INT:* This is what you said to those people?

*NB*: Yes. I didn't want them to go away feeling negatively or like, gee, they put all this effort and now they just -- I know I would feel that way if someone did it to me so, it's important that you give them credit for what they've done and obviously, they did work hard.

#### TW 5

■ *INT*: How are you feeling before you talk with him [about the problem that was bothering everyone]?

*LK*: I didn't want to have to do it, but I felt it was important for the rest of the team. They were all getting -- their morale was going down. Everyone was getting a little upset and discouraged.

SS: There was one particular issue where legal were at one end of the spectrum and my boss was at the other, and it was trying to make sure we could get some common ground but without having any confrontation.

*INT:* How did you do that?

SS: Got them in the room, with Ian, and said look, you know, I think everything's fine, seem to have, you know, covered most of the things, couple of areas where we maybe just need to debate them in open forum, so we can just make sure we're all happy and sort of raised it that, and did eventually reach a common ground, very amicably, because both then started to see the other's point of view.



# Generic Competencies Summary

#### 1. Achievement Orientation (ACH96)

Dimension: Sophistication and *completeness* with which one thinks about meeting and/or surpassing performance standards

## 2. Analytical Thinking (AT96)

Dimension: Complexity of the causal thinking

## 3. Conceptual Thinking (CT96)

Dimension: Insightfulness or innovation of the pattern recognition

# 4. Customer Service Orientation (CSO96)

Dimension: The depth of understanding and response to the customer's needs

# 5. Developing Others (DEV96)

Dimension: Degree of depth into the levels of the iceberg that the development initiative is intending to address

## 6. Directiveness (DIR96)

Dimension: Firmness in holding others to standards

#### 7. Flexibility (FLX96)

Dimension: Size of change being made

#### 8. Impact and Influence (IMP96)

Dimension: Complexity or customization of the attempt to influence

#### 9. Information Seeking (IMF96)

Dimension: The amount of time and effort being expended on collecting information

#### 10. Initative (INT96)

Dimension: The distance into the future that one is looking for problems and opportunities on which to take action

#### 11. Integrity (ING96)

Dimension: Amount of risk involved in "walking the talk"

## 12. Interpersonal Understanding (IU96)

Dimension: Thoroughness of understanding of specific others

# 13. Organizational Awareness (OA96)

Dimension: Thoroughness of understanding of one's own or another's organization

# 14. Organizational Commitment (OC96)

Dimension: Degree of commitment being exhibited in support of the organization

## 15. Relationship Building (RB96)

Dimension: Closeness of potentially useful relationships

## 16. Self-Confidence (SCF96)

Dimension: Degree of challenge taken on in a situation

## 17. Team Leadership (TL96)

Dimension: Strength and completeness of assumption of the role of leader

# 18. Teamwork and Cooperation (TW96)

Dimension: Degree and/or depth of support given to team efforts

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# Change Leadershipei

**CL96** 

The ability to energize and alert groups to the need for specific changes in the way things are done.

## 1. Describes General Need for Change

 Publicly describes a need for change in the organization but gives no specific details

# 2. Defines Areas for Change

- Publicly defines a specific area where change is needed
- Does not describe what those changes should be

### 3. Expresses Vision for Change

- Defines an explicit vision for change
- May simplify, modify, or redefine a previous vision in specific terms

# 4. Ensures Change Message is Heard

- Takes efforts to deliver the message or vision for change to everyone affected
- Repeats message wherever possible
- Posts charge messages as banners, plaques, or other physical reminders

## 5. Challenges Status Quo

- Publicly challenges the status quo by comparing it to an ideal or a vision of change
- Creates sense of crisis or a disequilibrium in order to prepare the ground for change

# 6. Reinforces Change Vision Dramatically

- Takes a dramatic action (other than giving a speech) to reinforce or enforce the change effort
- Personally exemplifies or embodies the desired change through strong, symbolic actions that are consistent with the change

ei = Change Catalyst

# Concern For Orderei

**CO96** 

Reflects an underlying drive to reduce uncertainty in the surrounding environment. It is expressed in such forms as monitoring and checking work or information, insisting on clarity of roles and functions, etc.

# 1. Shows General Concern for Order and Clarity

- Works for clarity
- Wants working space, roles, expectations, tasks, and data to be crystal clear—and often in writing

## 2. Checks Own Work

• Double-checks the accuracy of information or work

#### 3. Monitors Own or Others' Work for Order

- Monitors quality of others' work
- Checks to see that procedures are followed
- Keeps clear detailed records of own or others' activities

### 4. Monitors Data or Projects

- Monitors progress of a project against milestones or deadlines
- Monitors data
- Discovers weakness or missing data and seeks out information to keep order

# Self-Controlei

SCT96

The ability to keep one's emotions under control and restrain negative actions when provoked, when faced with opposition or hostility from others, or when working under conditions of stress. It also includes the ability to maintain stamina under continuing stress.

#### 1. Restrains Emotional Impulses

- Feels impulse to do something inappropriate and resists it
- Resists temptation to act immediately without thinking but does not take positive action
- Feels strong emotions (such as anger, extreme frustration, or high stress) and holds them back
- Does not do anything but restrain feelings (does not act to make things better)
- May leave room or otherwise remove self from the source of the emotions

## 2. Responds Calmly

- Feels strong emotions in the course of a conversation or other task, such as anger, extreme frustration, or high stress; holds the emotions back, *and* continues to act calmly
- Ignores angering actions and continues a conversation or task.
   May leave temporarily to withhold emotions, then return immediately to continue

#### 3. Manages Stress Effectively

- Withholds effects of strong emotions or stress over time
- Keeps functioning or responds constructively despite ongoing stress
- May apply special techniques or plan ahead of time to manage emotions or stress

ei = Self-Control

# **Emotional Intelligence Competencies**

he Emotional Intelligence Competency Model comprises 20 competencies arranged into four clusters. Like any product we develop for client use, this model and its corresponding tools, such as the *Emotional Competence Inventory (ECI)*, are tools tailored for specific client needs. However, the official repository for all Hay/McBer competencies, including those in the Emotional Intelligence Competency Model, is the Hay/McBer scaled competency dictionary. Thus, when coding BEIs for emotional competencies as described in the ECI, you should use the appropriate *Dictionary Millennium* scale as outlined below. Of course, existing scales should only be used if they work well to describe the behavior being captured. Coder's comments will be especially helpful when coding EI competencies, so that we can develop well-designed scales based upon detailed behavioral data.

## Self-Awareness Cluster

#### **Emotional Self-Awareness →**

("Reading one's own emotions and recognizing their impact on one's performance; gut sense") no BEI-based scale yet developed; capture all examples indicative of Emotional Self-Awareness; in time these examples will be used to construct a data-driven scale for this competency

#### **Accurate Self-Assessment →**

("Knowing one's strengths and limits")

→ no BEI-based scale yet developed; capture all examples indicative of Accurate Self-Assessment; in time these examples will be used to construct a data-driven scale for this competency

**Self-Confidence →** use SCF96 (See page 72)

# **Self-Management Cluster**

**Self-Control →** use SCT96 (See page 91)

**Trustworthiness →** use ING96 (See page 56)

**Conscientiousness →** use CO96 (See page 90)

**Adaptability →** use FLX96 (See page 38)

**Achievement Orientation →** use ACH96 (See page 8)

**Initiative →** use INT96 (See page 52)

## Social Awareness Cluster

**Empathy →** use IU96 (See page 60)

**Organizational Awareness →** use OA96 (See page 62)

**Service Orientation →** use CSO96 (See page 22)

# **Social Skills Cluster**

**Developing Others →** use DEV96 (See page 28)

**Leadership →** use TL96 (See page 76)

**Influence →** use IMP96 (See page 40)

("Sending clear, convincing, and well-tuned messages")

**Communication →** no BEI-based scale yet developed; capture all examples indicative of Communication; in time these examples will be used to construct a data-driven scale for this competency

Change Catalyst → use CL96 (See page 89)

("De-escalating disagreements and orchestrating resolutions")

**Conflict Management** → no BEI-based scale yet developed; capture all examples indicative of Conflict Management; in time these examples will be used to construct a data-driven scale for this competency

**Building Bonds →** use RB96 (See page 70)

**Teamwork & Collaboration →** use TW96 (See page 82)

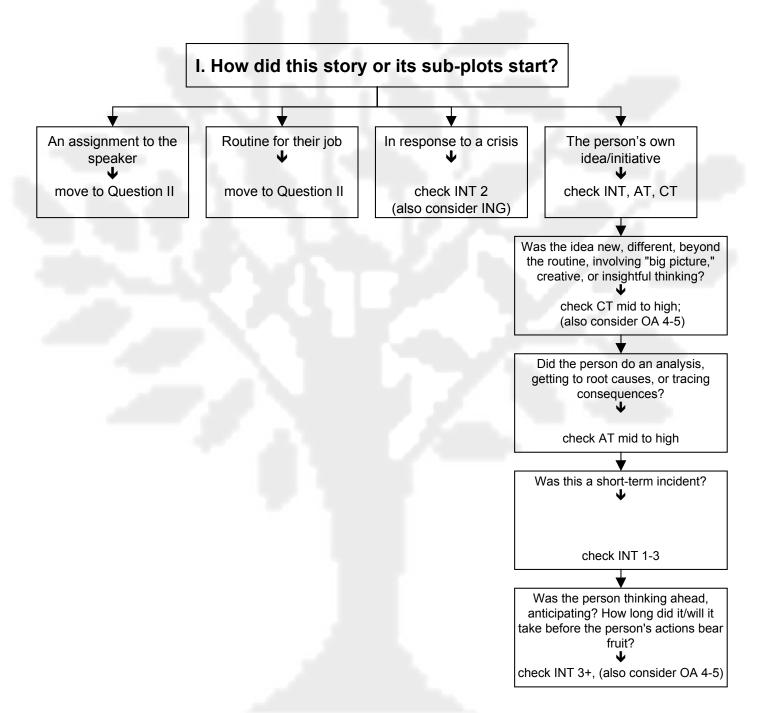
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his "big picture" Coder's Decision Tree should be used after you have read the entire story and coded it normally. This decision tree is designed to help new and experienced coders avoid missing codes, particularly those "big picture" codes that may be the point of the story, but which may require putting together several disparate comments to get the story. It is not intended to be a comprehensive guide to coding a story, but rather to help bring out the big picture and higher level codes that might otherwise be lost.

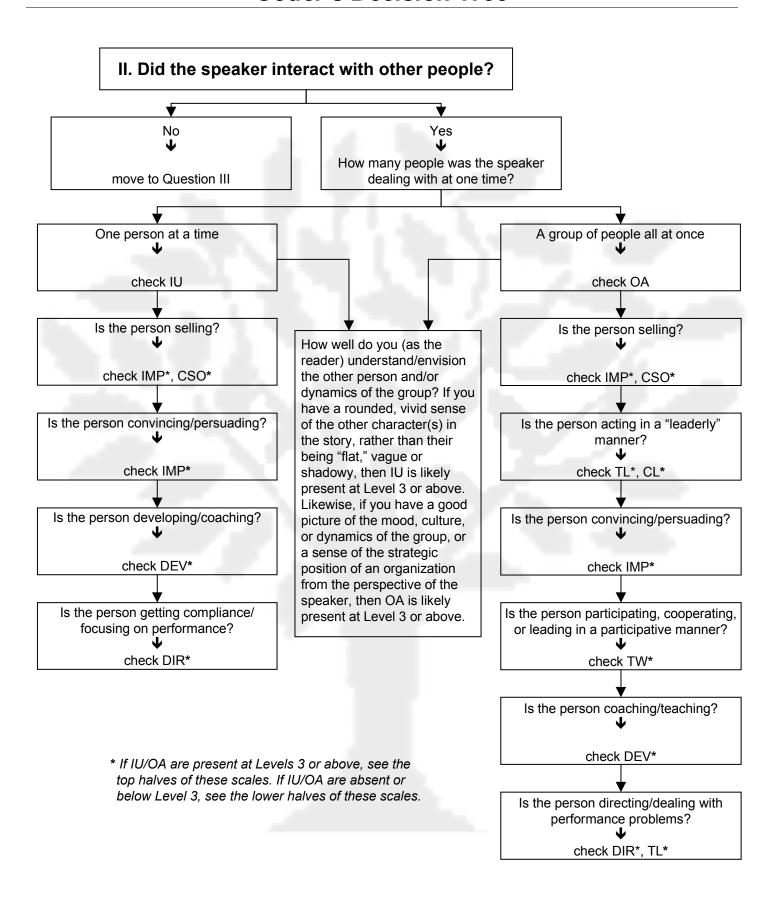
If this decision tree helps you to see or to recall a competency in a story, you must still find specific evidence within the story to support the code.

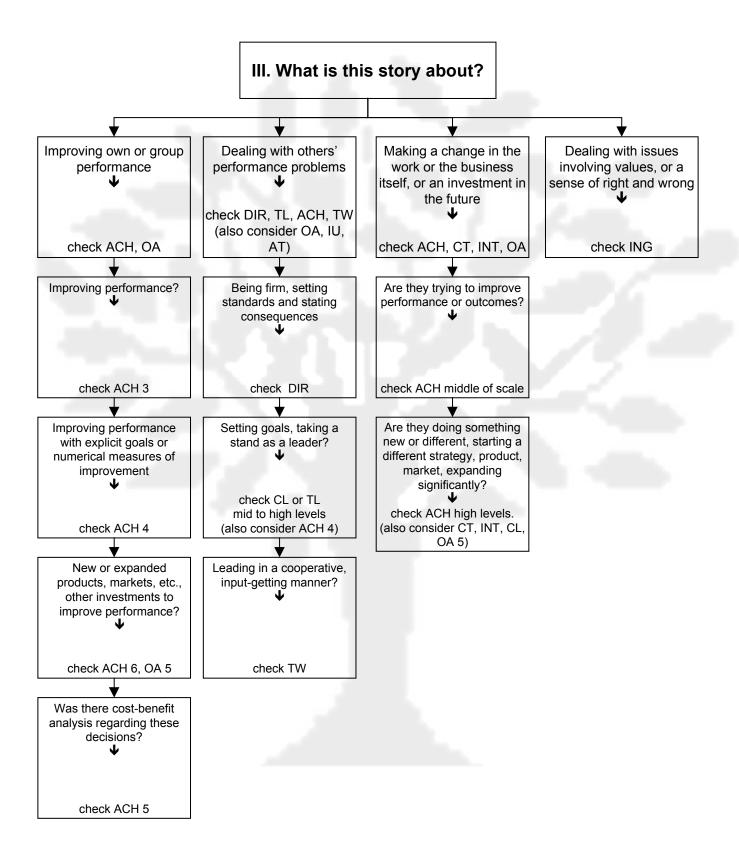
The decision tree is structured as an outline. It assumes familiarity with *Dictionary Millennium* and with the story being coded. The codes listed here are suggestions to be checked, based on what would normally be expected. However, the competencies may *not* be shown explicitly in your story, so, as always, do not code without specific evidence.

To use the decision tree, start with Question I and follow the flow chart. You should answer all the questions in every box unless prompted to move to the next page. Items in parentheses are less frequent possibilities. These are only suggestions to consider. If the evidence is not present, do not code these competencies. If evidence is present for a competency, and you have not already coded that or equivalent evidence, then add the competency and its level to your coding. Then go on to the next question.



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