CATERPILLAR SAFETY SERVICES
SAFETY.CAT.COM™

INFLUENCING THE PERFORMANCE OF OTHERS
Inspiring others to excellence
Objectives

- Introduce you to the three core skills that enable you to effectively influence others to high performance.
  - Build trust in relationships
  - Create accountability around the work
  - Lead others with passion.

- Inspire you to develop these three skills in order to build a culture of excellence in your organization.
Meet your neighbor
Leadership & Culture

Root Causes

- CULTURE
- NORMS
- ATTITUDES BELIEFS IDEAS
- AT-RISK BEHAVIOR
- INCIDENT
Six Criteria for Excellence

- Top management is visibly committed.
- Middle management is actively involved.
- Front line supervision is performance-focused.
- Hourly employees are actively participating.
- System is flexible to accommodate site culture.
- Safety system is positively perceived by workforce.

— Dan Petersen Ed.D.
ZIP™: ZERO-INCIDENT PERFORMANCE PROCESS

A process to achieve safety culture excellence
“As for the best leaders, the people do not notice their existence. The next best, the people honor and praise. The next, the people fear. And the next, the people hate. When the best leader’s work is done, the people say, ‘We did it ourselves.’”

Lao-Tzu
Great Chinese philosopher
The Engagement Continuum

- Actively
- Disengaged
- Disruptive
- Disinterested
- Indifferent
- Casually Interested
- Concerned
- Engaged
- Fully Engaged

Goal: Full engagement of everyone on the team!
LEADERSHIP IS . . .

Influence:
The power to affect others

“The essence of excellence . . .”
Leadership

The Core Ingredient

**Leadership** (lēd´ər ship´), *n.* the ability to lead others; to *lead* means to show the way or direct the course of by going before or along with.

“A *leader* is anyone who has a follower!”
LEADERSHIP IS . . .

Positional or Emergent
An effective leader is... a learner, a reader, seeking training, taking classes, listening to others, service-oriented, sees life as a mission, radiates positive energy, cheerful, pleasant, happy, optimistic, upbeat, enthusiastic, hopeful, believing, balanced, socially, physically, emotionally and intellectually active, synergistic, trustworthy, empathetic, definite, decisive, responsible, resilient, passionate, courageous, discerning, disciplined, energetic, a change agent, humble, accountable, urgent, resonant, emotionally intelligent, self-aware, temperate, self-confident, transparent, adaptable, achievement-oriented, organizational aware, inspirational, influential, a coach, a team player, motivational, creative, customer-focused, functionally skilled, intellectual, politically savvy, results-focused, strategic, visionary, honest, compassionate, friendly, approachable, kind, interdependent, understanding, balanced, dedicated, healthy, industrious, just, professional, technologically savvy, passionate, morally sound, fair, loyal, dependable, organized, reliable, expressive, keen-minded, resourceful, logical, plan, informative, efficient, cooperative, clean, courageous, a facilitator, aligned, competent, secure, conscientious, authentic, talented, ethical, sympathetic, imaginative, influential, convicted, vigorous, venturesome, flexible, directive, and supportive. An effective leader also... challenges the process, changes, grows, innovates, improves, inspires a shared vision and enlists others in it, fosters collaboration, promotes cooperative goals, builds trust, gives power away, provides choice, develops competence, offers support, sets the example, behaves according to values, achieves small wins, builds commitment, recognizes individual contributions, celebrates team accomplishments, deals with poor performance, initiates difficult but necessary conversations, takes initiative, uses good judgment, speaks with authority, strengthens others, never compromises on absolutes, focuses on objectives, empowers others, cultivates loyalty, faces brutal facts, keeps a clear conscience, knows when to change his mind, does not abuse authority, is sure of her calling, knows his limitations, knows how to delegate, moves with the cheese, focuses on the present, breaks all the rules, prioritizes, practices what he preaches, demands accountability in others, leads with love, has a positive attitude, develops others, manages conflict, builds teams, harnesses peer pressure, deals with ambiguity, has strong business acumen, is comfortable around higher management, possesses command skills, manages innovation, learns on the fly, solves problems, manages processes, manages vision and purpose, analyzes issues, sets goals, communicates powerfully, listens, builds good relationships, champions change, connects internal groups, begins with the end in mind, thinks win-win, seeks to understand, works hard, follows up, controls costs, eliminates waste, keeps good records, handles emergencies, trains others, builds bridges, manages risks, focuses on the big picture, empowers others, selects good talent, fosters a family environment, accepts the consequences of their actions, absorbs interpersonal stress, tolerates frustration and delay, and directs others. An effective leader is... a learner, a reader, seeking training, taking classes, listening to others,
Three Skills that enable Emergent Leadership

- **build**
  - Trust

- **create**
  - Accountability

- **lead with**
  - Passion
The Communication Chain

Sender

Message formulated

Message delivered

Message interpreted

Receiver

Feedback interpreted

Feedback delivered

Feedback formulated

Sensory

Tangible

CHANNEL
BUILD TRUST
TRUST

“It’s the one thing that changes everything!”

Stephen M.R. Covey
“The Speed of Trust”
What behaviors build high trust?

- Keep commitments
- Talk straight
- Do what they say
- Dependable
- Behave with integrity
- Live your values
- Open & honest
- Get results
- Listen
- Communicate well
- Extend trust to others
- Passion for the cause
- Transparent
- Competent
- Respect others
- Real & genuine
- Make things right
- Show loyalty
- Value improvement
- Confront reality
- Practice accountability
BUILD TRUST

Dependable
- Trustworthiness

Never tell a lie
- Integrity

Apologize
- Humility
CREATE ACCOUNTABILITY
What is accountability?

Accepting responsibility for and providing satisfactory explanations of one’s own actions and deeds.

Hold vs take

Opposite of blaming
Have you ever heard these?

- It’s not my job!
- I’m too busy.
- I forgot.
- Nobody told me what to do.
- That’s the way we’ve always done it.
- I thought someone else was supposed to do that.
- I was just about to get to that.
- Don’t blame me, it was her idea.
- I didn’t get the email.
“You must inspect what you expect!”

Zig Ziglar
“See You at the Top”

“You can’t get a culture of safety excellence without accountability!”

Dr. Dan Petersen
“Authentic Involvement”
The Five Dysfunctions of a Team

Avoidance of Accountability

Lack of Commitment

Fear of Conflict

Absence of trust

Inattention to Results

by Patrick Lencioni

© 2002 The Table Group
Create Accountability

Optimize 3 “Moments of Truth”

The Beginning
Every day
Periodic Summary

Drivers . . . doers . . . draggers!
FOUR STEPS TO ACCOUNTABILITY SUMMARY

Define

Recognize

Accountability

Train

Measure
FOUR STEPS TO ACCOUNTABILITY

Instead of catching employees “doing things wrong,” catch them “doing things right!”
Recognize what’s right

or

Coach to improve what’s wrong
Recognize or Coach

Focus on the Positives – Catch people doing things right!

As a percentage, do your employees do more things right or wrong?

Doing Things RIGHT

Doing Things WRONG

Need to focus HERE; at a ratio of 7:1

Most supervisory activities focus HERE!
POSITIVE RECOGNITION

“The more you recognize the good things people do, the less you have to deal with the bad!”

C. David Crouch
“The Excellent Experience”
Characteristics of Positive Recognition

1. Timely
2. Relevant
3. Sincere
4. Confirmed
5. Frequent

List five characteristics of positive recognition.
Benefits of Recognition

- Increased confidence
- More creativity in problem solving
- More engagement in problem solving
- More interactivity in work process
- More willing to persevere during difficult times
- Better attitudes overall, better team morale
Safety Accountability

Optimize 3 “Moments of Truth”

The Beginning
Every day
Periodic Summary

Drivers . . . doers . . . draggers!
THREE MOMENTS OF TRUTH

3 Moments of Truth

- At the beginning
- Every day
- Periodic summary
#1 – At the Beginning

- As soon as your relationship begins
- Share your intent
- Setup expectations and accountability
  - Job role expectations
  - Training
  - Measuring performance
  - Feedback (recognition & coaching to improve)
- Agree on how to communicate the difficult messages
- See sample checklist
ROLE PLAY EXERCISE

TOOLS AT THE BEGINNING

90 Day Checklist

- Before they arrive
- Within the first week
- Within 30 days
- Within 90 days

Orientation Weekly Meeting Guide
#2 – Every Day

- As you interact with one another
- Recognize what’s right
- Coach to improve what’s wrong
- Reinforce standards and expectations at every opportunity
#3 – Periodic Summary Discussion

- Gold standard
  - Quarterly for staff
  - Monthly for leaders
- Summarize performance since last discussion
- Agree on current status
- Look ahead to the next performance period
- See sample checklists
PERIODIC SUMMARY DISCUSSION – FOR EMPLOYEES

Every 90 Days

- Let’s look back
  - Gallup Q12
- Let’s assess
  - 8 behavior outcomes
- Let’s look forward
  - Developmental discussion
PERIODIC SUMMARY DISCUSSION – FOR LEADERS

The Leader’s Monthly Meeting Guide

Purpose: To build trust, create focus, ensure alignment and develop accountability.

Method: Meet one-on-one with each direct report once/month

(At our one-on-one meeting, bring information and be prepared to address the following items.)

Personal: How are you doing?

Safety: Wins & challenges, goal progress (monthly report card, 90 day action plan), leading indicators, lagging indicators, stories of success

Quality: Wins & challenges, goal progress (monthly report card, 90 day action plan), error-free rate, reworks, returns, etc.

Production: Wins & challenges, goal progress (monthly report card, 90 day action plan), production results to target

People: Wins & challenges, goal progress (monthly report card, 90 day action plan), turnover rate, driver/doer/dragger status, rounding logs, thank you notes, engagement results/issues

Finance: Wins & challenges, goal progress (monthly report card, 90 day action plan), overtime %, labor stats actual vs budget, revenue, expenses

Feedback: What’s going well in your team?
Is there anyone I need to recognize?
Do you have the tools you need to do your job?
What systems/processes can work better?
Is there anything you’re aware of that would prevent our patients/residents from receiving excellent care?
What do you need my help with to meet your goals?

Development: Review learning requirements & progress from leadership development sessions

Schedule: Review upcoming month’s schedule and support needs, if any.
THREE TYPES OF PERFORMERS

& How to Interact With Each

- Drivers (high performers)
- Doers (middle performers)
- Draggers (low performers)
THE 3 TYPES OF PERFORMERS

- Re-recruit, recognize & retain Drivers
- Re-assure, re-recruit & develop Doers
- Develop Draggers up or out

Group Exercise

- What are the characteristics of Drivers?
- What are the characteristics of Doers?
- What are the characteristics of Draggers?
Drivers - Characteristics

- Self-starters
- Require very little oversight or supervision
- Consistency and accuracy
- Highly competent
- Role model of excellence to other team members
- Can become mentors and trainers
- Volunteer above and beyond

- First to serve on organizational change teams
- Role model of team values and standards
- Build strong, high trust relationships
- Problem solvers & conflict resolvers
- Initiate positive changes and innovations to make things
- Extremely efficient and productive, yet humble and meek.
- A joy to have on the team and pleasant to be around
HOW DO YOU TREAT YOUR DRIVERS?

- Ignore them?
- Say thank you?
- Give them more work?
Should you ignore your drivers?

47% are actively looking for another job, resumes, internet search and interviews:

- Lack of recognition
- Feeling under rewarded
- Are the most unhappy
- Even when unemployment is low, have a pent-up demand to leave

55% said they were never or rarely thanked by their boss

*Leadership IQ*, Fall 2006
Maritz Incentives, St. Louis 2003
Goal with Drivers

- Re-recruit
- Recognize
- Retain

**Drivers need two things:**

1. Appreciation
2. Opportunity to learn and grow
Communicating with Drivers

- Share your vision
- Tell them how you feel about their great work!
- Re-recruit them to your team
- Ask them what keeps them here
- Ask if there’s anything you can do to help them
- Learn from them
- Thank them for their consistent high performance
Think of a driver in your team. At your table, practice this conversation with each other.
Doers - Characteristics

- Consistently do what’s expected of them
- Very reliable team members
- Do their work well, hence the name “doer”
- Pleasant, positive contributors to the team
- Less likely to mentor, teach or train
- May need gentle coaching on some things
Goal with Doers

- Reassure
- Re-recruit
- Develop

Doers need two things:

1. Appreciation
2. Encouragement
Communicating with Doers

- Share your vision
- Let them know how their performance helps you move toward the vision
- Identify one or two areas where you feel they need to improve
- Re-recruit them to the team
- Ask what keeps them here
- Ask what you can do to help them
- Thank them for their consistent contributions
Draggers - Characteristics

- Can be trouble makers
- May make life miserable for others
- Demand a lot of time/attention from leader
- Often times painful and time consuming to deal with
- Sometimes viewed as a negative contributor
- May be rude, selfish, prone to gossip and frequently complaining
- Sometimes masquerade as highly competent
Goal with Draggers – Up or Out

- Improve, or
- De-select

Draggers need two things:
1. Honesty
2. Candor
Draggers - Up or Out

- Do not start meeting out on a positive note
- Share your vision and examples of their behavior that demonstrate non-support
- Tell them how you feel about the behavior and how it affects you and the team
- Tell them what you expect from them
- Ask for and offer whatever support they need
- Describe consequences of non-compliance
- Tell them you will follow up in 30 days
Think of a dragger in your team. At your table, practice this conversation with each other.
Result – Safety Performance is Improved
Safety Accountability

Optimize 3 “Moments of Truth”

The Beginning
Every day
Periodic Summary

Drivers . . . doers . . . draggers!
“Business is a game of follow the leader. As the leader goes, so goes the team.”

David Crouch
Caterpillar Safety Services
ROLE PLAY EXERCISE

FREE STYLE

What accountability issues are you currently dealing with you’d like to role play?

What questions do you have?
LEAD WITH PASSION

“A great leader’s courage to fulfill his vision comes from passion, not position!”

John Maxwell
Author & Speaker

“No organization will rise above the passion of the leader!”

Ken Blanchard
LEAD WITH PASSION

“The key to discovering your passion lies in the quest to discover yourself.”

C. David Crouch
LEAD WITH PASSION

Martin Luther King Jr.
Mother Teresa
Mahatma Gandhi

Mission
Vision
Principles
Gifts
Occurrences
Loyalties
Disposition
“The man without purpose is like a ship without a rudder – a waif, a nothing, a no man.”

Thomas Carlyle
Your Personal Mission Should…

- Be yours and your alone!
- State the essence of what you are about.
- Identify the legacy you want to leave behind.
- Clarify what you feel is important to you.
- Establish character qualities you intend to emulate.
- Encourage you to think deeply about why you’re here and what you’re supposed to do with your life.
- Provide direction for your life, help you fulfill your vision, and enable you to remain true to your values.
- Align with your team’s and organization’s mission.
“Vision without action is just a dream. Action without vision just passes the time. But vision with action can change the world.”

Joel Barker
Your Vision Should …

- State what you want to become.
- Provide direction for goal setting.
- Promote team strength and unity.
- Identify a positive, improved future.
- Establish a vivid picture of your future.
- Align with your team and organization vision.
“Principles help you decide today how you’re going to behave tomorrow. They form guidelines for daily behavior to ensure you don’t compromise on the things that are most important to you.”

John Maxwell
EXERCISE

WHAT DO YOU VALUE?

What are your personal core principles?
## What Do You Value?

<table>
<thead>
<tr>
<th>Accountability</th>
<th>Customer Satisfaction</th>
<th>Humility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Achievement</td>
<td>Decency</td>
<td>Independence</td>
</tr>
<tr>
<td>Accuracy</td>
<td>Dependability</td>
<td>Innovation</td>
</tr>
<tr>
<td>Authority</td>
<td>Diversity</td>
<td>Integrity</td>
</tr>
<tr>
<td>Availability</td>
<td>Effectiveness</td>
<td>Joy</td>
</tr>
<tr>
<td>Balance</td>
<td>Efficiency</td>
<td>Justice</td>
</tr>
<tr>
<td>Change</td>
<td>Excellence</td>
<td>Knowledge</td>
</tr>
<tr>
<td>Cleanliness</td>
<td>Fairness</td>
<td>Learning</td>
</tr>
<tr>
<td>Commitment</td>
<td>Faith/Religion</td>
<td>Legacy</td>
</tr>
<tr>
<td>Communication</td>
<td>Family</td>
<td>Love</td>
</tr>
<tr>
<td>Community</td>
<td>Fitness</td>
<td>Loyalty</td>
</tr>
<tr>
<td>Competence</td>
<td>Freedom</td>
<td>Money</td>
</tr>
<tr>
<td>Consistency</td>
<td>Fun</td>
<td>Optimism</td>
</tr>
<tr>
<td>Continuous Improvement</td>
<td>Goodness</td>
<td>Order</td>
</tr>
<tr>
<td>Cooperation</td>
<td>Growth</td>
<td>Passion</td>
</tr>
<tr>
<td>Courage</td>
<td>Health</td>
<td>Peace</td>
</tr>
<tr>
<td>Creativity</td>
<td>Honesty</td>
<td>Perfection</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Perseverance</td>
</tr>
<tr>
<td>Quality</td>
<td>Recognition</td>
<td>Relationships</td>
</tr>
<tr>
<td></td>
<td>Resilience</td>
<td>Respect</td>
</tr>
<tr>
<td></td>
<td>Safety</td>
<td>Safety</td>
</tr>
<tr>
<td></td>
<td>Self-control</td>
<td>Service</td>
</tr>
<tr>
<td></td>
<td>Security</td>
<td>Simplicity</td>
</tr>
<tr>
<td></td>
<td>Status</td>
<td>Status</td>
</tr>
<tr>
<td></td>
<td>Stewardship</td>
<td>Stewardship</td>
</tr>
<tr>
<td></td>
<td>Teamwork</td>
<td>Teamwork</td>
</tr>
<tr>
<td></td>
<td>Trust</td>
<td>Trust</td>
</tr>
<tr>
<td></td>
<td>Unity</td>
<td>Unity</td>
</tr>
<tr>
<td></td>
<td>Wealth</td>
<td>Wealth</td>
</tr>
<tr>
<td></td>
<td>Wisdom</td>
<td>Wisdom</td>
</tr>
</tbody>
</table>
### Gifts: What are your talents, skills & abilities?

- Artist
- Architect
- Administering
- Carpentry
- Coaching
- Debating
- Designing
- Gardening
- Inventing
- Leading
- Managing
- Engineering
- Farming
- Fishing
- Making music
- Painting
- Philosophizing
- Poetry
- Selling
- Teaching
- Writing

**Whatever you’re good at, you should be doing!**
Occurrences: Your Life Experiences…

- What did you learn growing up in your family?
- What were your favorite subjects in school?
- What jobs have you been most effective in and enjoyed the most?
- What have been your most meaningful experiences?
- How have you served others in your past?
- What problems, hurts, thorns, and trials have you learned from?

Some of our most valuable learning comes through the difficult and painful experiences we endure.
Loyalties: What really turns you on?

- What is it that you love to do so much that you would do it even if you didn’t get paid for it?
- What are your hopes, dreams, ambitions, and affections?
- What are you good at that really excites you when you do it?
- What are you truly passionate about?
- What do you really love to do?
Before you can effectively lead others, you must fully understand yourself.

Your personality affects how and where you use your talents and abilities.

When you’re forced to serve in a manner that is out of character for you, it creates tension and discomfort, requires extra energy, and produces marginal results.

When you understand your disposition and the disposition of others on your team, you can work, interact and lead more effectively.

What are your natural tendencies?
SUMMARY

- All preferences / types are equally important.
- If I believe different that you, at least pause before you correct my view.
- We must first week to understand…
- Before demanding to be understood!
Three Skills that enable Emergent Leadership

- build
  - Trust
- create
  - Accountability
- lead with
  - Passion
Resources for Further Study

- Conner, Daryl, *Managing at the Speed of Change*.
- Covey, Stephen, *Principle-Centered Leadership*.
- Covey, Stephen M.R., *The Speed of Trust*.
- Crouch, C. David, *The Excellent Experience*.
- Keirsey, David & Bates, Marilyn, *Please Understand Me*
- Lencioni, Patrick, *The Five Dysfunctions of a Team*.
- Maxwell, John, *Today Matters*.
- Miller, John, *Accountability & the QBQ!*
- Petersen, Dan, *Authentic Involvement*.
- Pink, Dan, *Drive*. 
Caterpillar Safety Services

- Consulting Services
  - The ZIP™ Process

- Leadership Training & Development
  - S.T.A.R.T.™
  - Speak Up! Listen Up!
  - Recognize It!
  - Emergent Leadership
  - On the Front Line
  - Safety Accountability

- Other Products/Services
  - Visit safety.cat.com
Companies Creating Safety Excellence

- ATCO Electric, Edmonton, Alberta, Canada
- Atkinson Construction, Broomfield, CO
- Baxter Healthcare, Deerfield, IL
- CPS Energy, Public Utility, San Antonio, TX
- Hawaiian Electric Company, Honolulu, HI
- Lane Electric, Eugene, OR
- Knife River Corporation, Bismarck, ND
- MeadWestvaco Paper Company, Columbus, GA
- NVEnergy, Public Utility, Las Vegas, NV
- Pembina Pipeline, Calgary, Alberta, Canada
- Progress Rail, Paducah, KY
- Snohomish Public Utility, Snohomish, WA
THANK YOU FOR YOUR TIME!

For more information about our services:
Zach Knoop – Senior Safety Consultant
Knoop_Zach@cat.com | Phone: 309 675 9616