

SUPPORTING THE ORGANIZATION: A LEADERS ROLE



Ohio Fire Chiefs Association

July 15, 2018

Wayne Senter, Executive Director

Washington Fire Chiefs

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**WHAT IS LEADERSHIP:
SUPERIOR INTELLIGENCE?**

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CHARISMA?



Be yourself !

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NATURAL GIFT?

**"Leadership and learning are
indispensable to each other."**

"America's leadership must be guided by the lights of learning and reason or else those who confuse rhetoric with reality and the plausible with the possible will gain the popular ascendancy with their seemingly swift and simple solutions to every world problem."

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LEADERSHIP DEFINED

"Doing the right thing
the right way
at the right time...
...through others"

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Laurie Beth Jones

ΩMEGA LEADERSHIP


- Strength in Self Mastery
- Strength in Action
- Strength in Relationships





STRENGTH IN PROFICIENCY

Ladder of Self-Responsibility

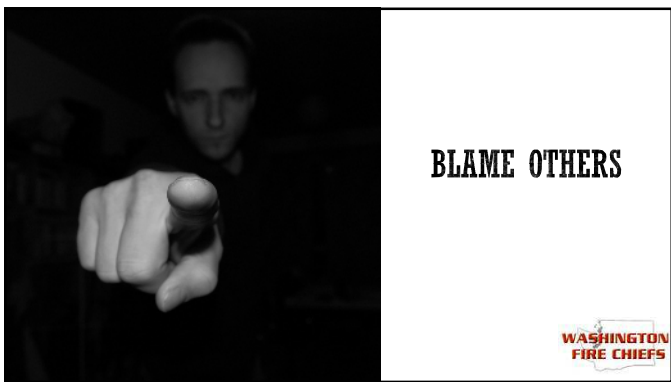




UNIQUE
JUST BECAUSE YOU ARE UNIQUE DOES NOT MEAN YOU ARE USEFUL

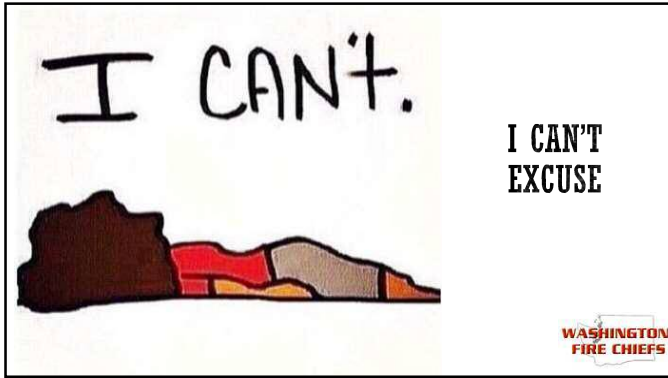








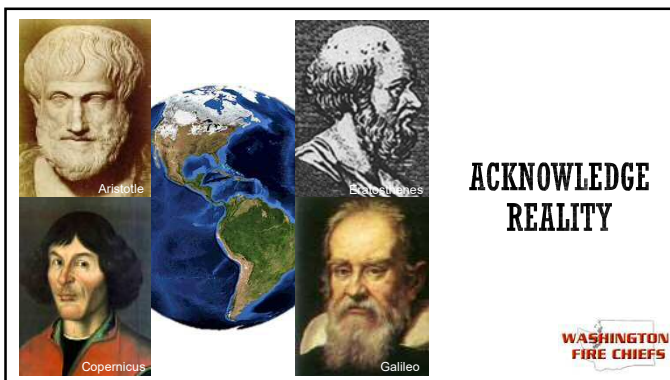
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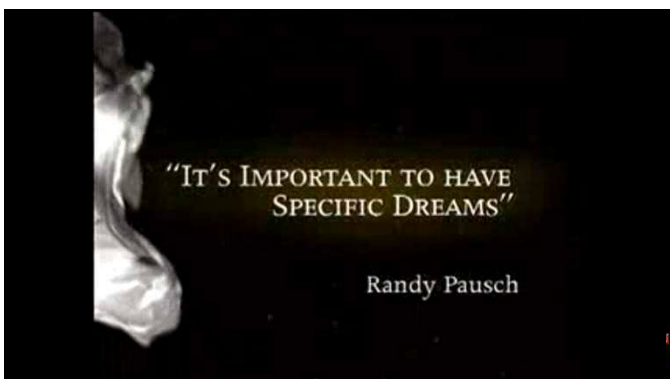






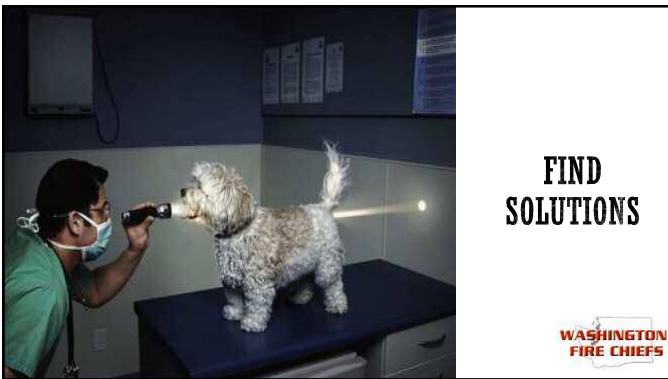




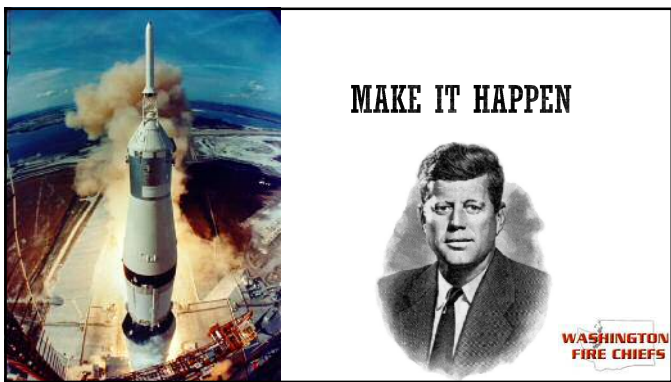














MAJOR REASONS FOR HUMAN ERROR

- Standards Failure - Standards are Unclear, Impractical or Nonexistent





MAJOR REASONS FOR HUMAN ERROR

- Standards Failure - Standards are Unclear, Impractical or Nonexistent
- Training Failure - Standards Exist but are not Known or Ways to Achieve them are not Known

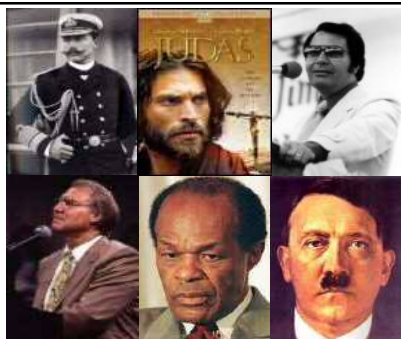




MAJOR REASONS FOR HUMAN ERROR

- Standards Failure - Standards are Unclear, Impractical or Nonexistent
- Training Failure - Standards Exist but are not Known or Ways to Achieve them are not Known
- Leadership Failure - Standards are Known but are not Enforced

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LEADERSHIP FAILURE

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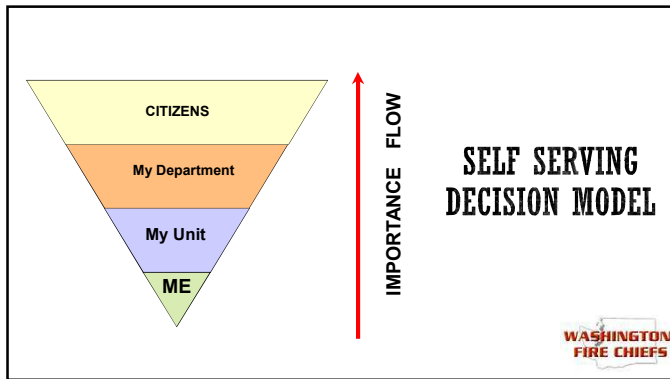


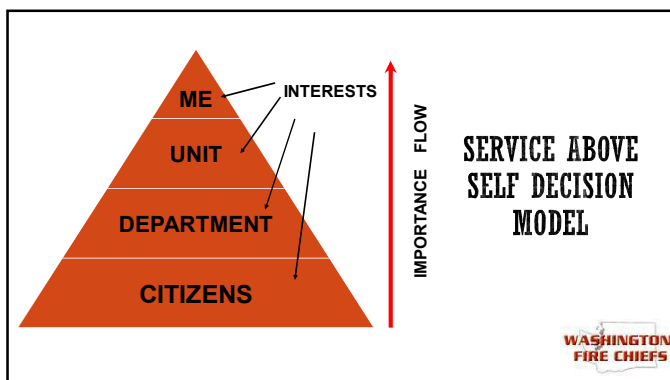
MAJOR REASONS FOR HUMAN ERROR

- Standards Failure - Standards are Unclear, Impractical or Nonexistent
- Training Failure - Standards Exist but are not Known or Ways to Achieve them are not Known
- Leadership Failure - Standards are Known but are not Enforced
- Individual Failure - Standards are Known but are not Followed









LOYALTY:

“When we are debating an issue loyalty means giving me your opinion, whether you think I’ll like it or not. Disagreement, at this stage stimulates me. But once the decision has been made, debate ends. Loyalty means executing the decision as if it were your own.”

Colin Powell

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Colin Powell

LOYALTY

"...loyalty means giving me your opinion, whether you think I'll like it or not..."

Loyalty means executing the decision as if it were your own."

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TEAMWORK

What it is and what it is not:

- Dependence
- Independence
- Interdependence

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ROCK BOTTOM

You'll know it when you get there.

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INDEPENDENCE

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INTERDEPENDENCE



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LEADERS BUILD A BRIDGE

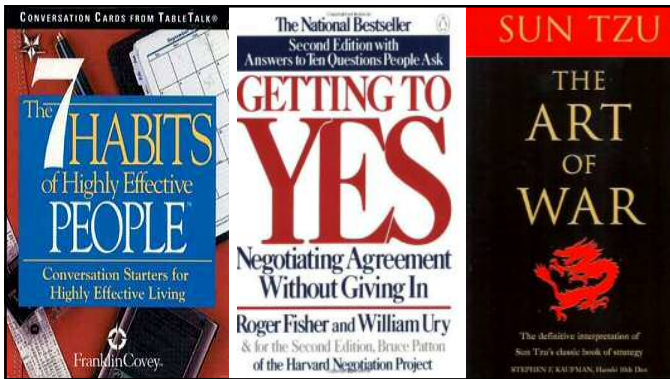
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STRENGTH IN ACTION

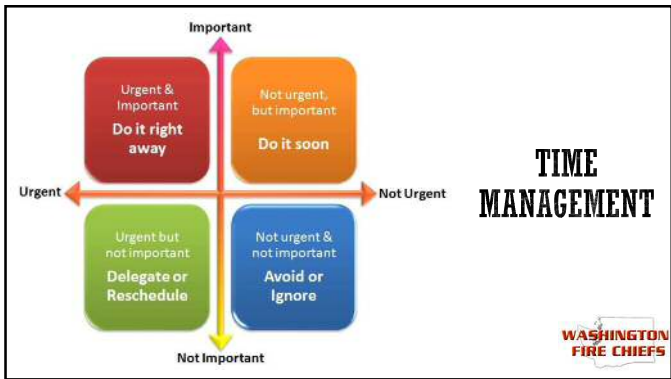
- Time Management
- Change Management
- Politics













TIME MANAGEMENT

Urgent &
Important
Do it right
away

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TIME MANAGEMENT

Not urgent,
but important
Do it soon

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TIME MANAGEMENT

Urgent but
not important
Delegate or
Reschedule

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*Some days it's not worth chewing
through the restraints...*



TIME MANAGEMENT

Not urgent &
not important
Avoid or
Ignore

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PRIORITIES, PRIORITIES, PRIORITIES

- **Golf Balls**
 - family, children, health, friends, favorite passions, things that if everything else was lost and only they remained, your life would still be full
- **Pebbles**
 - job, house, car, other things that matter
- **Sand**
 - everything else, the small stuff
- **2 Cans of Beer**
 - no matter how full your life may seem, there's always room for a couple of beers

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NEGOTIATIONS

- Interest vs. Position
- Trust
- Legal System

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THEY'RE HAPPY
Because they eat
LARD

Some day all beer cans
will open this easy!

Now only Schlitz brings you—can't to coast—the world's
nicest opening beer can! The new aluminum Softop can
real gusto—real easy!

**THINGS
CHANGE!**

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ADAPTING TO CHANGE

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Danger Opportunity

JOHN F. KENNEDY

"WHEN WRITTEN IN CHINESE, THE WORD "CRISIS" IS COMPOSED OF TWO CHARACTERS-ONE REPRESENTS DANGER, AND THE OTHER REPRESENTS OPPORTUNITY."

CHANGE ATTITUDE

Tom Berryhill

Doesn't have the HEART for State Assembly.

Heart Transplant Facts

- The Average Lifespan of a Heart Transplant recipient is 7 years.
- Berryhill heart transplant was 8 years ago.
- Heart Transplant patients take Anti-Rejection medications for life.
- These medications weaken the immune system making the recipient more susceptible to illness and death.
- Severe stress SIGNIFICANTLY shortens the life expectancy of Heart Transplant recipients.

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TOP SECRET

Do you know the TRUTH about State Assembly candidate **Tom Berryhill's** Secret Campaign Plan???

TOP SECRET

DIRTY POLITICS

"POLITICAL CORRECTNESS"

"Political Correctness" is a doctrine fostered by a delusional, illogical minority and rabidly promoted by an unscrupulous mainstream media, which holds forth the proposition that it is entirely possible to pick up a turd by the clean end.



STRENGTH IN RELATIONSHIPS

- Communication
- Coordination
- Cooperation
- Command and Control

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THE SUN ■ WWW.THESUNLINK.COM

WATERFRONT DISPUTE

Seattle police union boss blasts firefighter counterpart

SEATTLE (AP) — The head of the city's police union has fired a round of verbal vitriol at his firefighter counterpart in a long-simmering waterfront jurisdictional dispute.

The principal target of Ken Saucier, president of the Seattle Police Officers Guild, in his monthly column in the current issue of The Guardian, the union's newsletter, was Paul Arwaing, president of the Seattle Firefighters Union Local 27.

"If the donkey from the movie Shrek and the Energizer bunny's crack addicted little sister had a drunken but fruitful tryst, and then the offspring from that liaison was dropped on its head, you'd have a smarter, more subdued version of the president of Local 27, the fire union."

— Seattle Police Officers Guild President Ken Saucier wrote of Paul Arwaing, president of the Seattle Firefighters Union Local 27.

CONFLICT COMMUNICATION

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CITIZEN PERCEPTIONS OF THE FIRE SERVICE

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Associated Press
Jodee Berry of Panama City, Fla., sits with her toy Yoda at her lawyer's office Wednesday. Berry, a former Hooters waitress, has sued the restaurant where she worked saying she was promised a new Toyota for winning a beer sales contest in April. Berry, 26, believed that she had won a new car, but she was blindfolded, led to the parking lot and presented a toy Yoda, the little green guy from Star Wars.

INTERNAL CUSTOMERS

"I know you believe you understand what you think I said, but, I am not sure you realize that what you heard is not what I meant"

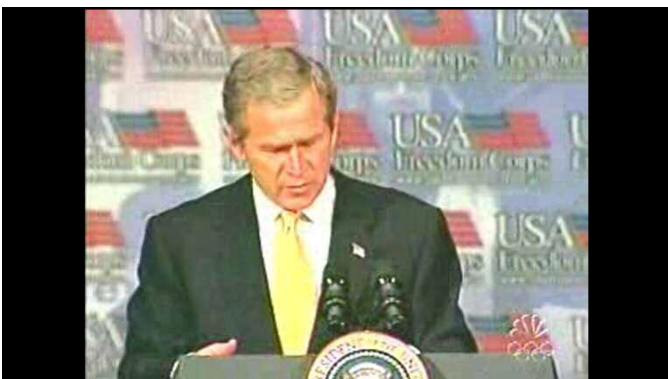


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COMMUNICATIONS: BE ARTICULATE

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**COMMUNICATIONS:
BE YOURSELF**

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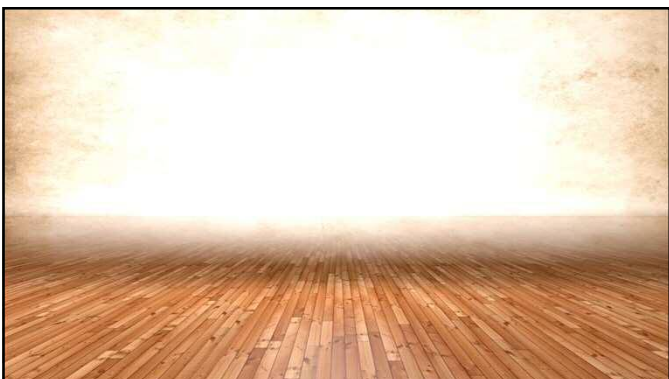



**COMMUNICATIONS:
HAVE A CLEAR
MESSAGE**

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COMMUNICATIONS: CRUCIAL CONVERSATIONS



The void created by the failure to communicate is soon filled with poison, drive, and misrepresentation.

-C. NORTHCOTE PARKINSON







THE WALL STREET JOURNAL BESTSELLER

The Myth of Excellence


Why Great Companies Never Try to Be the Best at Everything

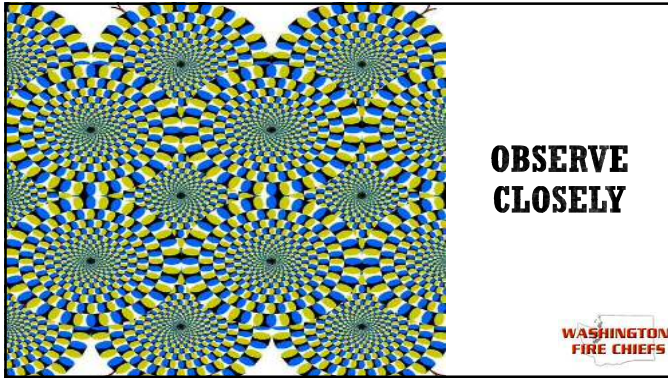
Fred Crawford & Ryan Mathews

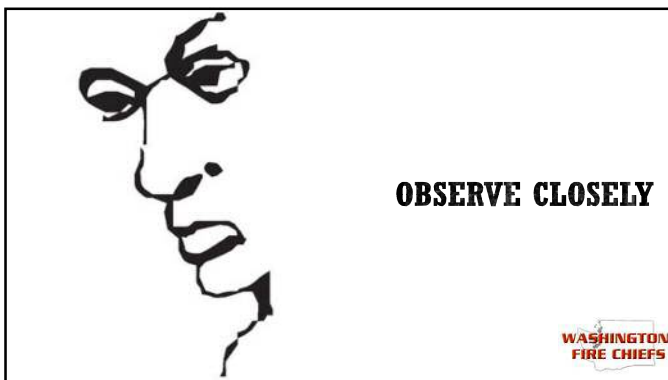



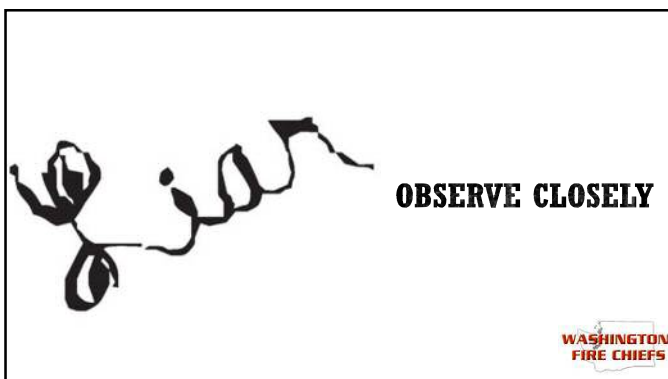
COORDINATION

- 10 Leadership Principles
- MBO with a Common Plan
- Myth of Excellence











**LOOK VS.
SEE**

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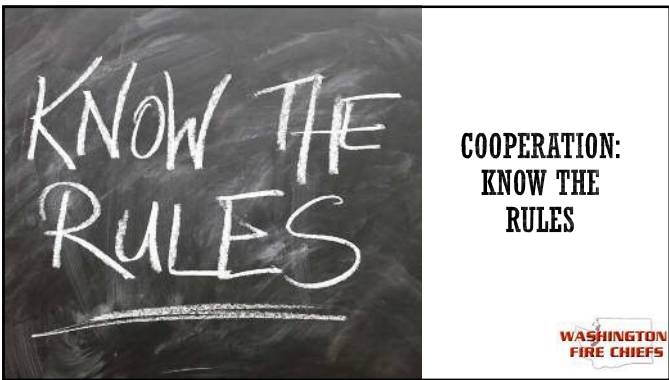




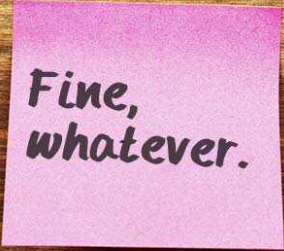
COORDINATION

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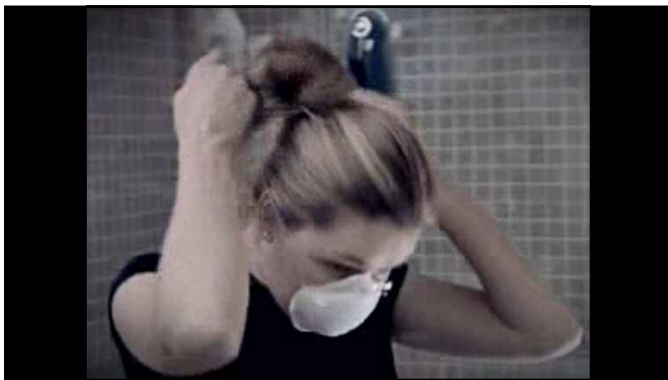






**COOPERATION:
CAN YOU SAY
PASSIVE
AGGRESSIVE?**







COOPERATION

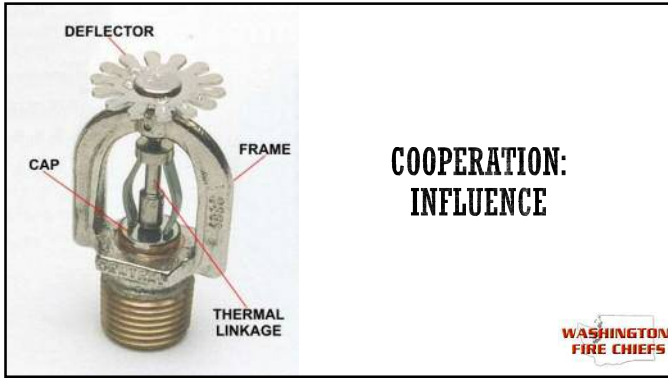
- Character Based
- Principle Centered
- Platinum Rule



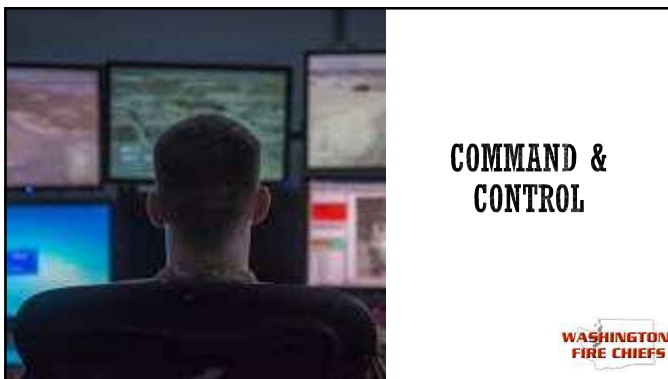










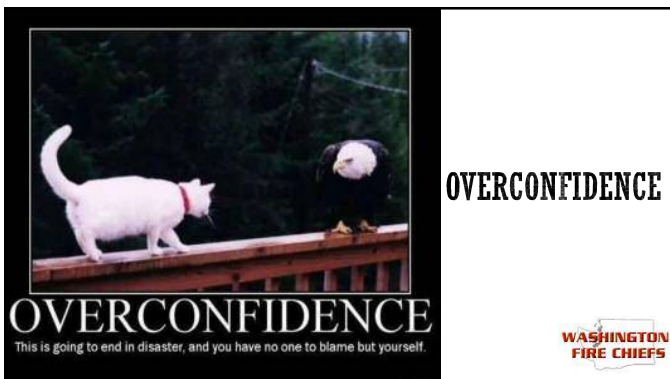




EVOLUTION OF SELF MASTERY

- Elements of a Successful Firefighter:
 - Focuses on Individual and Unit as Service Priority
 - Establishes Independence
- Elements of a Successful Company Officer:
 - Focuses on Unit and Department as Service Priority
 - Establishes Interdependence
- Elements of a Successful Chief Officer:
 - Focuses on Department and Citizens as Service Priority
 - Requires Interdependence

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EVOLUTION OF ACTION

- Elements of a Successful Firefighter:
 - Participates in the Interest Based Discussion
 - Performance Oriented
 - Accomplishes per Accountability Standards
- Elements of a Successful Company Officer:
 - Uses Interest Based Problem Solving
 - Preparation Oriented
 - Enforces Accountability Standards
- Elements of a Successful Chief Officer:
 - Sets Interest Based Problem Solving
 - Prediction Oriented
 - Establishes Accountability Standards





TEAMWORK
Share Victory. Share Defeat.

TEAMWORK



EVOLUTION OF RELATIONSHIPS

- Elements of a Successful Firefighter:
 - Demonstrates Good Character
 - Participates in the Crucial Conversation
 - Involved in Local and Regional Networking
- Elements of a Successful Company Officer:
 - Fosters Good Character
 - Initiates the Crucial Conversation
 - Involved in Regional and State Networking
- Elements of a Successful Chief Officer:
 - Requires Good Character
 - Requires Crucial Conversation
 - Involved in State and International Networking



3. Find x .

Here it is

SIMPLICITY

The simplest solutions are often the cleverest
They are also usually wrong

SIMPLICITY

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THE 5 "WATCHES"

- WATCH YOUR THOUGHTS; THEY BECOME YOUR WORDS.
- WATCH YOUR WORDS; THEY BECOME YOUR ACTIONS.
- WATCH YOUR ACTIONS; THEY BECOME HABITS.
- WATCH YOUR HABITS; THEY BECOME YOUR CHARACTER.
- WATCH YOUR CHARACTER; IT BECOMES YOUR DESTINY.

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THANK YOU

QUESTIONS?

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The 7 Habits of Highly Effective People

by Steven Covey

The purpose of this page is for me to identify and collect the most significant points from Stephen Covey's book *The 7 Habits of Highly Effective People*. I have put these notes on the Internet because I have found in this book a gold mine of sober and solid ideas for improving personal and professional management and forming quality relationships with other people. I recommend this book to anybody who wants to live a more productive and wholesome life. My comments are organized according to the chapters in the book so if you are reading the book, it will be easy to look up my notes on the section you are reading. I am still reading the book and will add more my notes here, so there is more to come.

This is the kind of book which you get more out of by discussing it, so please feel free to [send me a message](#). This page will soon contain a forum in which various topics are discussed much like a usenet newsgroup. (If anyone knows how to technically do this, please [tell me how!](#)) Until then, enjoy these notes simply by clicking on the topic in the left hand window. Enjoy.

*We are what we repeatedly do.
Excellence, then, is not an act, but a habit.*
-- Aristotle

PART ONE: PARADIGMS AND PRINCIPLES

Inside-Out

The Power of a Paradigm Shift

Covey has the best example of a paradigm shift: he was traveling in a subway, a man gets in with his two sons, the sons are running all over the place bothering the people, this continues, so he finally gets irritated enough to ask the father why he doesn't do something to control his kids. The father replies, "We just got back from the hospital where their mother died. I don't know how to handle it and I guess they don't either."

Suddenly you see the everything differently. That is the power of a paradigm shift. They are the same kids yelling and screaming in the subway, but you look at them and understand them in a different way.

I was at the swimming pool the other day and saw a family of three leaving out the door. The little boy suddenly stopped and stood looking through the glass at the swimmers in the pool who were still swimming. The father yelled back to him, "Come on, what are you doing, just staring at things again? Let's go!" I thought about the paradigm that the father had of his son: "stupid, slow kid who's always doing something he isn't supposed to." Now what if the school counselor were to call the father up the next day and tell him, "We have just received the test results back from your son and have discovered that he has impressively high IQ. He is a genius." The next time his kid stood staring at something, I wonder if the father wouldn't go back to him inquisitively and say, "Tell me what you are thinking about son. What do you see?"

Our behavior results from our paradigms of the world. The classic example of the old woman/young woman picture which Covey includes in the book is a good example. You can look at the picture and see an old woman or you can look at the picture and see a young woman. Depending on what you see is what you are going to say about "that picture."

The Principle-Centered Paradigm

In this book, Covey wants to express to us how we can base our behavior on a paradigm of the world which is centered on our unchanging principles instead of being centered on what happens in the world, what others do, what we do, how we feel, how others feel, the stock market, and the vicissitudes of life.

The Way We See the Problem Is the Problem

If you have a problem, the actual problem is that you are looking at it as a problem. It could be something else, such as an opportunity. When it rains lemons, make lemonade. You just need a paradigm shift.

The Seven Habits--An Overview

Production and Production Capability

The Tale of the Golden Goose: There was once a farmer who bought a golden goose. A week later the golden goose laid a golden egg! The farmer was ecstatic! He cashed the golden egg and had a wild time. The following week he finds that the golden goose laid another golden egg! Again he cashes it in and spends the money. This happens week after week until one week the farmer just can't wait till the end of the week to get the golden egg so he kills his golden goose and takes the golden egg out of it. He has another wild time with the money. But the next week he realizes that there is no golden egg, for he has killed his golden goose. The moral of the story is to never kill your golden goose.

Production is taking the golden egg every week. *Production Capability* is taking care of your golden goose. Covey suggests that we should strike a balance between production and production capability. Just like the farmer, someone who smokes and drinks constantly without exercising is getting too much production out of his body without storing any production capability. Yet someone who jogs 5 hours a day is not producing enough and is storing too much production capability (how long does he want to live anyway?).

Production is getting something to work now (demanding that your son clean his room). Production Capability is making sure something will work in the future (building up an adult-adult relationship with your son so that he is the kind of person who wants to keep his room clean). We should keep these in balance.

PART TWO: PRIVATE VICTORY

HABIT 1: Be Proactive

Proactivity

Being proactive means taking initiative, not waiting for others to act first, and being responsible for what you do. The opposite of proactive is reactive. Reactive people react to what goes on around them. Proactive people act based on principles.

Circle of Influence

Imagine a circle within a circle. The inner circle is your circle of influence and the outer circle is your circle of concern. This means that many things which you are concerned about you cannot influence. Yet there are many things which you are concerned about which you *can* influence. Reactive people focus on their circle of concern. Proactive people focus on their circle of influence. Being proactive also increases your circle of influence.

HABIT 2: Begin with the End in Mind

All Things Are Created Twice

Plan well. Think things through. The carpenter's rule is "measure twice, cut once."

Identifying Your Center

What is your center? What determines your mood? If it is determined by your work, then you are centered on work. If it is determined by your spouse, then you are centered on your spouse. If it is determined by your church, then you are centered on your church. Covey suggests that you instead center yourself on your principles.

A Principle Center

While other things which we could center our lives on fluctuate, principles do not:

Correct principles do not change. We can depend on them. Principles don't react to anything. They don't get mad and treat us differently. They won't divorce us or run away with our best friend. They aren't out to get us. They can't pave our way with shortcuts and quick fixes. They don't depend on the behavior of others, the environment, or the current fad for their validity. Principles don't die. They aren't here one day and gone the next. They can't be destroyed by fire, earthquake or theft. Principles are deep, fundamental truths, classic truths, generic common denominators. They are tightly interwoven threads running with exactness, consistency, beauty, and strength through the fabric of life.

A Personal Mission Statement

To find out what your principles are, envision your own funeral. Imagine that as your casket is being lowered down into the ground, your family and friends are standing around watching. What are they thinking about? When they think of you and your life, which statements, images and memories come up in their minds? What do you want them to think, imagine, and remember? It is precisely *these* statements, images, and memories which should be your principles. You should live toward these principles everyday. All of these principles combined make up your mission statement.

Visualization and Affirmation

I saw a documentary film once about an olympic high jumper who used visualization in his training. He said that he trained the same amount of time visually as he did physically. This meant that half of his training was sitting in a chair envisioning every movement of the run up to the bar, then the jump, then the arched back, then the feet, and the successful fall down to the mat. He ran it in slow motion, backwards, and forwards until it was smooth. Anytime there was a doubt, he stopped his visualization and checked where his feet were, where his hands were, and how high his knee was. Then when he practiced physically, his body and mind had already "experienced" a successful jump and knew exactly what to do.

This is the kind of visualization and affirmation that one can do with principles in a mission statement. If one of your mission statements is to be an understanding mother, visualize your daughter coming home from school and telling you that she failed a test. Visualize yourself being understanding in *that* situation.

Identifying Roles and Goals

The funeral exercise emphasizes roles before goals. "Being an good father" is a role. "Buying your son a skateboard" and "taking him to the ballgame" are goals which fulfill this role.

Organizational Mission Statements

When my wife and I were traveling in France, we stayed in an old hotel in Toulouse. We packed everything in the morning and made off to the train station. Ten minutes before our train was to leave, the owner of the hotel came running up to us with a bag of clothing we had forgotten. We thanked her profusely and we all said *au revoir*.

She had a principle that she would give her customers the best service that she can, which means chasing after them to the train station when they have forgotten a bag of clothes. Now, being the owner of the hotel, it is not difficult to imagine that she needs customers and will go to all ends to satisfy every customer she has.

Now what about a larger hotel. Would a bellhop or a cashier come running after a customer for a half hour to give them a bag of clothes? Probably not. Not only because they make their hourly wage anyway, but also because if they left the hotel, they would have a boss yelling at them when they got back. Most hotels are not set up to provide the kind of service that this French hotel owner provides her customers.

Writing an organizational mission statement gives a common purpose to every employee of the organization and encourages employees to go out of their way to please the customers and fulfill the organizational principles. The janitor knows what the purpose of the company is and looks for ways to

achieve that end. The president of the company encourages new ideas which will fulfill the company's roles and goals.

HABIT 3: Put First Things First

The Time Management Matrix

| | Urgent | Not Urgent |
|---------------|--|--|
| Important | <i>QUADRANT I</i> crises, pressing problems, deadline-driven projects | <i>QUADRANT II</i> prevention, PC activities, relationship building, recognizing new opportunities, planning, recreation |
| Not important | <i>QUADRANT III</i> interruptions, some calls, some mail, some reports, some meetings, popular activities | <i>QUADRANT IV</i> trivia, busy work, some mail, some phone calls time wasters, pleasant activities |

Every activity we do during the day can be put in one of four quadrants:

1. urgent and important
2. not urgent and important
3. urgent and not important
4. not urgent and not important

Quadrant II

Answer this question: What one thing could you do in your personal and professional life that, if you did on a regular basis, would make a tremendous positive difference in your life? Chances are whatever you name, it is a Quadrant II activity.

Effective, proactive people spend most of their time in Quadrant II.

What It Takes to Say "No"

To be effective, you need to stay out of Quadrants III and IV. To do this, you need to tell yourself and other people "no" to activities which lie in these areas. Suggest Quadrant II activities instead.

Weekly Organizing

Plan your week instead of your day. Each Sunday, look at your roles and goals from your mission statement, and assign activities throughout your week which fulfill these roles and goals. Double and triple them up, so that if your mission is that you want to be a good father, a good husband, and stay in shape, then on Thursday afternoon when you all have free, go jogging with your wife and son.

Delegation: Increasing P and PC

I love Covey's example of him delegating the lawn care to his son. He simply tells him "think green and clean" and use any tools and resources you need, including me. When delegating this job, he doesn't tell his son what to do (which would be [killing the goose](#)), he simply gives him a vision and lets his son fulfill it himself.

Paradigms of Interdependence

The Emotional Bank Account

Imagine that each person with which you have a relationship of some kind has an emotional bank account. A deposit would be when you pick up a couple skateboard magazines for your son on your way home. A withdrawal would be when you make a promise to come watch his baseball game, but you do not show up. The goal is to get as much money in your emotional bank accounts as possible.

Six Major Deposits

Ways that you can make deposits in emotional bank accounts are:

1. Understanding the Individual

From Covey:

"I have a friend whose son developed an avid interest in baseball. My friend wasn't interested in baseball at all. But one summer, he took his son to see every major league team play one game. The trip took over six weeks and cost a great deal of money, but it became a powerful bonding experience in their relationship.

My friend was asked on his return, "Do you like baseball that much?"

"No," he replied, "but I like my son that much."

2. Attending to Little Things
3. Keeping Commitments
4. Clarifying Expectations
5. Showing Personal Integrity
6. Apologizing Sincerely When you Make a Withdrawal

P Problems are PC Opportunities

Seeing problems as opportunities requires a [paradigm shift](#). The flat tire on your way to an important meeting is still a flat tire, but the situation becomes an opportunity to show your resolve to act in a crisis situation. Or take the example of William Least Heat Moon, author of the book *Blue Highways*: in a period of three months back in the 70s, his wife divorced him and his college fired him. So he put all the money he had in a shoebox, packed up his van and drove around America on all the blue (smallest) highways writing a book about his travels through small town American culture. Today the book is a classic.

From Covey:

"When parents see their children's problems as opportunities to build the relationship instead of as negative, burdensome irritations, it totally changes the nature of parent-child interaction. Parents become more willing, even excited, about deeply understanding and helping their children. When a child comes to them with a problem, instead of thinking, "Oh, no! Not another problem!" their paradigm is, "Here is a great opportunity for me to really help my child and to invest in our relationship." Many interactions change from transactional to transformational, and strong bonds of love and trust are created as children sense the value parents give to their problems and to them as individuals."

PART THREE: PUBLIC VICTORY

HABIT 4: Think Win/Win

Six Paradigms of Human Interaction

Five Dimensions of Win/Win

HABIT 5: Seek First to Understand

Empathic Listening

Diagnose Before You Prescribe

Four Autobiographical Responses

Then Seek to Be Understood

One on One

HABIT 6: Synergize

Synergistic Communication

Synergy in the Classroom

Synergy in Business

Synergy in Communication

Fishing for the Third Alternative

Negative Synergy

Valuing the Differences

Force Field Analysis

All Nature is Synergistic

PART FOUR: RENEWAL

HABIT 7: Sharpen the Saw

Four Dimensions of Renewal

The Physical Dimension

The Spiritual Dimension

The Mental Dimension

The Social/Emotional Dimension

Scripting Others

Balance in Renewal

Synergy in Renewal

The Upward Spiral

Inside-Out Again

Intergenerational Living

Becoming a Transition Person

Leadership Principles

Omega Leader

- Strength of Self Mastery
- Strength of Action
- Strength of Relationships

The 5th Discipline

- Personal Mastery
- Mental Models
- Shared Vision
- Team Learning
- Systems Thinking

Rudy Giuliani

- Surround Yourself with Good People
- Have Beliefs and Communicate Them
- See Things for Yourself
- Set an Example
- Stand up to Bullies
- Deal with First Things First
- Loyalty is the Vital Virtue
- Prepare Relentlessly
- Under Promise and Over Deliver
- Don't Assume a Thing
- Importance of Funerals

7 Habits of Highly Effective People

- Be Proactive
- Begin with the end in Mind
- First Things First
- Think Win/Win
- Seek First to Understand
- Synergize
- Sharpen Your Saw

No Excuses Management

- No Secrets
- No Surprises
- No Politics
- No Distractions
- No Confusion
- No Waste
- No Illusions

Myth of Excellence

5 Points in a Business Deal

- Price
- Service
- Access
- Product
- Experience
- Dominate One, Differentiate on Another and Par on the Rest
- Focus on Customer Relevancy

The Art of War

- Estimates
- Waging War
- Offensive Strategy
- Dispositions
- Energy
- Weakness & Strengths
- Maneuver
- Terrain
- 9 Varieties of Ground
- Attack by Fire
- Secret Agents

Major Reasons for Human Error

- Standards Failure - Standards are Unclear, Impractical or Nonexistent
- Training Failure - Standards Exist but are not Known or Ways to Achieve them are not Known
- Leadership Failure - Standards are Known but are not Enforced
- Individual Failure - Standards are Known but are not Followed

P3 Formula For Success

- Predict
- Prepare
- Perform with Character

Blink

- Decisions made very quickly can be every bit as good as decisions made cautiously and deliberately
- When to trust instincts, and when to be wary of them
- Snap judgments and first impressions can be educated and controlled

Outliers: The secret for success

- Hard work is critical to success
- Be in the right place at the right time (Luck my definition)
- Practice skills, 10,000 hours

Crucial Conversations

- Stakes are high
- Opinions vary
- Emotions run strong

Remarks Prepared for Delivery at the Trade Mart in Dallas
President John F. Kennedy
November 22, 1963

I am honored to have this invitation to address the annual meeting of the Dallas Citizens Council, joined by the members of the Dallas Assembly--and pleased to have this opportunity to salute the Graduate Research Center of the Southwest.

It is fitting that these two symbols of Dallas progress are united in the sponsorship of this meeting. For they represent the best qualities, I am told, of leadership and learning in this city--and leadership and learning are indispensable to each other. The advancement of learning depends on community leadership for financial and political support and the products of that learning, in turn, are essential to the leadership's hopes for continued progress and prosperity. It is not a coincidence that those communities possessing the best in research and graduate facilities--from MIT to Cal Tech--tend to attract the new and growing industries. I congratulate those of you here in Dallas who have recognized these basic facts through the creation of the unique and forward-looking Graduate Research Center.

This link between leadership and learning is not only essential at the community level. It is even more indispensable in world affairs. Ignorance and misinformation can handicap the progress of a city or a company, but they can, if allowed to prevail in foreign policy, handicap this country's security. In a world of complex and continuing problems, in a world full of frustrations and irritations, America's leadership must be guided by the lights of learning and reason or else those who confuse rhetoric with reality and the plausible with the possible will gain the popular ascendancy with their seemingly swift and simple solutions to every world problem.

There will always be dissident voices heard in the land, expressing opposition without alternatives, finding fault but never favor, perceiving gloom on every side and seeking influence without responsibility. Those voices are inevitable.

But today other voices are heard in the land--voices preaching doctrines wholly unrelated to reality, wholly unsuited to the sixties, doctrines which apparently assume that words will suffice without weapons, that vituperation is as good as victory and that peace is a sign of weakness. At a time when the national debt is steadily being reduced in terms of its burden on our economy, they see that debt as the greatest single threat to our security. At a time when we are steadily reducing the number of Federal employees serving every thousand citizens, they fear those supposed hordes of civil servants far more than the actual hordes of opposing armies.

We cannot expect that everyone, to use the phrase of a decade ago, will "talk sense to the American people." But we can hope that fewer people will listen to nonsense. And the notion that this Nation is headed for defeat through deficit, or that strength is but a matter of slogans, is nothing but just plain nonsense.

I want to discuss with you today the status of our strength and our security because this question clearly calls for the most responsible qualities of leadership and the most enlightened products of scholarship. For this Nation's strength and security are not easily or cheaply obtained, nor are they quickly and simply explained. There are many kinds of strength and no one kind will suffice. Overwhelming nuclear strength cannot stop a guerrilla war. Formal pacts of alliance cannot stop internal subversion. Displays of material wealth cannot stop the disillusionment of diplomats subjected to discrimination.

Above all, words alone are not enough. The United States is a peaceful nation. And where our strength and determination are clear, our words need merely to convey conviction, not belligerence. If we are strong, our strength will speak for itself. If we are weak, words will be of no help.

I realize that this Nation often tends to identify turning-points in world affairs with the major addresses which preceded them. But it was not the Monroe Doctrine that kept all Europe away from this hemisphere--it was the strength of the British fleet and the width of the Atlantic Ocean. It was not General Marshall's speech at Harvard which kept communism out of Western Europe--it was the strength and stability made possible by our military and economic assistance.

In this administration also it has been necessary at times to issue specific warnings--warnings that we could not stand by and watch the Communists conquer Laos by force, or intervene in the Congo, or swallow West Berlin, or maintain offensive missiles on Cuba. But while our goals were at least temporarily obtained in these and other instances, our successful defense of freedom was due not to the words we used, but to the strength we stood ready to use on behalf of the principles we stand ready to defend.

This strength is composed of many different elements, ranging from the most massive deterrents to the most subtle influences. And all types of strength are needed--no one kind could do the job alone. Let us take a moment, therefore, to review this Nation's progress in each major area of strength.

I.

First, as Secretary McNamara made clear in his address last Monday, the strategic nuclear power of the United States has been so greatly modernized and expanded in the last 1,000 days, by the rapid production and deployment of the most modern missile systems, that any and all potential aggressors are clearly confronted now with the impossibility of strategic victory--and the certainty of total destruction--if by reckless attack they should ever force upon us the necessity of a strategic reply.

In less than 3 years, we have increased by 50 percent the number of Polaris submarines scheduled to be in force by the next fiscal year, increased by more than 70 percent our total Polaris purchase program, increased by more than 75 percent our Minuteman purchase program, increased by 50 percent the portion of our strategic bombers on 15-minute alert, and increased by two percent the total number of nuclear weapons

available in our strategic alert forces. Our security is further enhanced by the steps we have taken regarding these weapons to improve the speed and certainty of their response, their readiness at all times to respond, their ability to survive an attack, and their ability to be carefully controlled and directed through secure command operations.

II.

But the lessons of the last decade have taught us that freedom cannot be defended by strategic nuclear power alone. We have, therefore, in the last 3 years accelerated the development and deployment of tactical nuclear weapons, and increased by 60 percent the tactical nuclear forces deployed in Western Europe.

Nor can Europe or any other continent rely on nuclear forces alone, whether they are strategic or tactical. We have radically improved the readiness of our conventional forces--increased by 45 percent the number of combat ready Army divisions, increased by 100 percent the procurement of modern Army weapons and equipment, increased by 100 percent our ship construction, conversion, and modernization program, increased by two percent our procurement of tactical aircraft, increased by 30 percent the number of tactical air squadrons, and increased the strength of the Marines. As last month's "Operation Big Lift"--which originated here in Texas--showed so clearly, this Nation is prepared as never before to move substantial numbers of men in surprisingly little time to advanced positions anywhere in the world. We have increased by 175 percent the procurement of airlift aircraft, and we have already achieved a 75 percent increase in our existing strategic airlift capability. Finally, moving beyond the traditional roles of our military forces, we have achieved an increase of nearly 600 percent in our special forces--those forces that are prepared to work with our allies and friends against the guerrillas, saboteurs, insurgents and assassins who threaten freedom in a less direct but equally dangerous manner.

III.

But American military might should not and need not stand alone against the ambitions of international communism. Our security and strength, in the last analysis, directly depend on the security and strength of others, and that is why our military and economic assistance plays such a key role in enabling those who live on the periphery of the Communist world to maintain their independence of choice. Our assistance to these nations can be painful, risky and costly, as is true in Southeast Asia today. But we dare not weary of the task. For our assistance makes possible the stationing of 3-5 million allied troops along the Communist frontier at one-tenth the cost of maintaining a comparable number of American soldiers. A successful Communist breakthrough in these areas, necessitating direct United States intervention, would cost us several times as much as our entire foreign aid program, and might cost us heavily in American lives as well.

About 70 percent of our military assistance goes to nine key countries located on or near the borders of the Communist bloc--nine countries confronted directly or indirectly with the threat of Communist aggression--Viet-Nam, Free China, Korea, India, Pakistan, Thailand, Greece, Turkey, and

Iran. No one of these countries possesses on its own the resources to maintain the forces which our own Chiefs of Staff think needed in the common interest. Reducing our efforts to train, equip, and assist their armies can only encourage Communist penetration and require in time the increased overseas deployment of American combat forces. And reducing the economic help needed to bolster these nations that undertake to help defend freedom can have the same disastrous result. In short, the \$50 billion we spend each year on our own defense could well be ineffective without the \$4 billion required for military and economic assistance.

Our foreign aid program is not growing in size, it is, on the contrary, smaller now than in previous years. It has had its weaknesses, but we have undertaken to correct them. And the proper way of treating weaknesses is to replace them with strength, not to increase those weaknesses by emasculating essential programs. Dollar for dollar, in or out of government, there is no better form of investment in our national security than our much-abused foreign aid program. We cannot afford to lose it. We can afford to maintain it. We can surely afford, for example, to do as much for our 19 needy neighbors of Latin America as the Communist bloc is sending to the island of Cuba alone.

IV.

I have spoken of strength largely in terms of the deterrence and resistance of aggression and attack. But, in today's world, freedom can be lost without a shot being fired, by ballots as well as bullets. The success of our leadership is dependent upon respect for our mission in the world as well as our missiles--on a clearer recognition of the virtues of freedom as well as the evils of tyranny.

That is why our Information Agency has doubled the shortwave broadcasting power of the Voice of America and increased the number of broadcasting hours by 30 percent, increased Spanish language broadcasting to Cuba and Latin America from 1 to 9 hours a day, increased seven-fold to more than 3-5 million copies the number of American books being translated and published for Latin American readers, and taken a host of other steps to carry our message of truth and freedom to all the far corners of the earth.

And that is also why we have regained the initiative in the exploration of outer space, making an annual effort greater than the combined total of all space activities undertaken during the fifties, launching more than 130 vehicles into earth orbit, putting into actual operation valuable weather and communications satellites, and making it clear to all that the United States of America has no intention of finishing second in space.

This effort is expensive--but it pays its own way, for freedom and for America. For there is no longer any fear in the free world that a Communist lead in space will become a permanent assertion of supremacy and the basis of military superiority. There is no longer any doubt about the strength and skill of American science, American industry, American education, and the American free enterprise system. In short, our national space effort represents a great gain in, and a great resource of, our national strength--and both Texas and Texans are contributing greatly to this strength.

Finally, it should be clear by now that a nation can be no stronger abroad than she is at home. Only an America which practices what it preaches about equal rights and social justice will be respected by those whose choice affects our future. Only an America which has fully educated its citizens is fully capable of tackling the complex problems and perceiving the hidden dangers of the world in which we live. And only an America which is growing and prospering economically can sustain the worldwide defenses of freedom, while demonstrating to all concerned the opportunities of our system and society.

It is clear, therefore, that we are strengthening our security as well as our economy by our recent record increases in national income and output--by surging ahead of most of Western Europe in the rate of business expansion and the margin of corporate profits, by maintaining a more stable level of prices than almost any of our overseas competitors, and by cutting personal and corporate income taxes by some \$ 11 billion, as I have proposed, to assure this Nation of the longest and strongest expansion in our peacetime economic history.

This Nation's total output--which 3 years ago was at the \$500 billion mark--will soon pass \$600 billion, for a record rise of over \$100 billion in 3 years. For the first time in history we have 70 million men and women at work. For the first time in history average factory earnings have exceeded \$100 a week. For the first time in history corporation profits after taxes--which have risen 43 percent in less than 3 years--have an annual level of \$27.4 billion.

My friends and fellow citizens: I cite these facts and figures to make it clear that America today is stronger than ever before. Our adversaries have not abandoned their ambitions, our dangers have not diminished, our vigilance cannot be relaxed. But now we have the military, the scientific, and the economic strength to do whatever must be done for the preservation and promotion of freedom.

That strength will never be used in pursuit of aggressive ambitions--it will always be used in pursuit of peace. It will never be used to promote provocations--it will always be used to promote the peaceful settlement of disputes.

We in this country, in this generation, are--by destiny rather than choice--the watchmen on the walls of world freedom. We ask, therefore, that we may be worthy of our power and responsibility, that we may exercise our strength with wisdom and restraint, and that we may achieve in our time and for all time the ancient vision of "peace on earth, good will toward men." That must always be our goal, and the righteousness of our cause must always underlie our strength. For as was written long ago: "except the Lord keep the city, the watchman waketh but in vain."

Getting to Yes: Negotiating Agreement Without Giving In

Roger Fisher and William Ury

Roger Fisher and William Ury, *Getting to Yes: Negotiating Agreement Without Giving In*, (New York: Penguin Books, 1983).

In this classic text, Fisher and Ury describe their four principles for effective negotiation. They also describe three common obstacles to negotiation and discuss ways to overcome those obstacles.

Fisher and Ury explain that a good agreement is one which is wise and efficient, and which improves the parties' relationship. Wise agreements satisfy the parties' interests and are fair and lasting. The authors' goal is to develop a method for reaching good agreements. Negotiations often take the form of positional bargaining. In positional bargaining each part opens with their position on an issue. The parties then bargain from their separate opening positions to agree on one position. Haggling over a price is a typical example of positional bargaining. Fisher and Ury argue that positional bargaining does not tend to produce good agreements. It is an inefficient means of reaching agreements, and the agreements tend to neglect the parties' interests. It encourages stubbornness and so tends to harm the parties' relationship. Principled negotiation provides a better way of reaching good agreements. Fisher and Ury develop four principles of negotiation. Their process of principled negotiation can be used effectively on almost any type of dispute. Their four principles are 1) separate the people from the problem; 2) focus on interests rather than positions; 3) generate a variety of options before settling on an agreement; and 4) insist that the agreement be based on objective criteria. [p. 11]

These principles should be observed at each stage of the negotiation process. The process begins with the analysis of the situation or problem, of the other parties' interests and perceptions, and of the existing options. The next stage is to plan ways of responding to the situation and the other parties. Finally, the parties discuss the problem trying to find a solution on which they can agree.

Separating People and Issues

Fisher and Ury's first principle is to separate the people from the issues. People tend to become personally involved with the issues and with their side's positions. And so they will tend to take responses to those issues and positions as personal attacks. Separating the people from the issues allows the parties to address the issues without damaging their relationship. It also helps them to get a clearer view of the substantive problem.

The authors identify three basic sorts of people problems. First are differences on perception among the parties. Since most conflicts are based in differing interpretations of the facts, it is crucial for both sides to understand the other's viewpoint. The parties should try to put themselves in the other's place. The parties should not simply assume that their worst fears will become the actions of the other party. Nor should one side blame the other for the problem. Each side should try to make proposals which would be appealing to the other side. The more that the parties are involved in the process, the more likely they are to be involved in and to support the outcome.

Emotions are a second source of people problems. Negotiation can be a frustrating process. People often react with fear or anger when they feel that their interests are threatened. The first step in dealing with emotions is to acknowledge them, and to try to understand their source. The parties must acknowledge the fact that certain emotions are present, even when they don't see those feelings as reasonable. Dismissing another's feelings as unreasonable is likely to provoke an even more intense emotional response. The parties must allow the other side to express their emotions. They must not react emotionally to emotional outbursts. Symbolic gestures such as apologies or an expression of sympathy can help to defuse strong emotions.

Communication is the third main source of people problems. Negotiators may not be speaking to each other, but may simply be grandstanding for their respective constituencies. The parties may not be listening to each other, but may instead be planning their own responses. Even when the parties are speaking to each other and are listening, misunderstandings may occur. To combat these problems, the parties should employ active listening. The listeners should give the speaker their full attention, occasionally summarizing the speaker's points to confirm their understanding. It is important to remember that understanding the other's case does not mean agreeing with it. Speakers should direct their speech toward the other parties and keep focused on what they are trying to communicate. Each side should avoid blaming or attacking the other, and should speak about themselves.

Generally the best way to deal with people problems is to prevent them from arising. People problems are less likely to come up if the parties have a good relationship, and think of each other as partners in negotiation rather than as adversaries.

Focus on Interests

Good agreements focus on the parties' interests, rather than their positions. As Fisher and Ury explain, "Your position is something you have decided upon. Your interests are what caused you to so decide." [p. 42] Defining a problem in terms of positions means that at least one party will "lose" the dispute. When a problem is defined in terms of the parties' underlying interests it is often possible to find a solution which satisfies both parties' interests.

The first step is to identify the parties' interests regarding the issue at hand. This can be done by asking why they hold the positions they do, and by considering why they don't

hold some other possible position. Each party usually has a number of different interests underlying their positions. And interests may differ somewhat among the individual members of each side. However, all people will share certain basic interests or needs, such as the need for security and economic well-being.

Once the parties have identified their interests, they must discuss them together. If a party wants the other side to take their interests into account, that party must explain their interests clearly. The other side will be more motivated to take those interests into account if the first party shows that they are paying attention to the other side's interests. Discussions should look forward to the desired solution, rather than focusing on past events. Parties should keep a clear focus on their interests, but remain open to different proposals and positions.

Generate Options

Fisher and Ury identify four obstacles to generating creative options for solving a problem. Parties may decide prematurely on an option and so fail to consider alternatives. The parties may be intent on narrowing their options to find the single answer. The parties may define the problem in win-lose terms, assuming that the only options are for one side to win and the other to lose. Or a party may decide that it is up to the other side to come up with a solution to the problem.

The authors also suggest four techniques for overcoming these obstacles and generating creative options. First it is important to separate the invention process from the evaluation stage. The parties should come together in an informal atmosphere and brainstorm for all possible solutions to the problem. Wild and creative proposals are encouraged. Brainstorming sessions can be made more creative and productive by encouraging the parties to shift between four types of thinking: stating the problem, analyzing the problem, considering general approaches, and considering specific actions. Parties may suggest partial solutions to the problem. Only after a variety of proposals have been made should the group turn to evaluating the ideas. Evaluation should start with the most promising proposals. The parties may also refine and improve proposals at this point.

Participants can avoid falling into a win-lose mentality by focusing on shared interests. When the parties' interests differ, they should seek options in which those differences can be made compatible or even complementary. The key to reconciling different interests is to "look for items that are of low cost to you and high benefit to them, and vice versa." [p. 79] Each side should try to make proposals that are appealing to the other side, and that the other side would find easy to agree to. To do this it is important to identify the decision makers and target proposals directly toward them. Proposals are easier to agree to when they seem legitimate, or when they are supported by precedent. Threats are usually less effective at motivating agreement than are beneficial offers.

Use Objective Criteria

When interests are directly opposed, the parties should use objective criteria to resolve their differences. Allowing such differences to spark a battle of wills will destroy relationships, is inefficient, and is not likely to produce wise agreements. Decisions based on reasonable standards makes it easier for the parties to agree and preserve their good relationship.

The first step is to develop objective criteria. Usually there are a number of different criteria which could be used. The parties must agree which criteria is best for their situation. Criteria should be both legitimate and practical. Scientific findings, professional standards, or legal precedent are possible sources of objective criteria. One way to test for objectivity is to ask if both sides would agree to be bound by those standards. Rather than agreeing in substantive criteria, the parties may create a fair procedure for resolving their dispute. For example, children may fairly divide a piece of cake by having one child cut it, and the other choose their piece.

There are three points to keep in mind when using objective criteria. First each issue should be approached as a shared search for objective criteria. Ask for the reasoning behind the other party's suggestions. Using the other parties' reasoning to support your own position can be a powerful way to negotiate. Second, each party must keep an open mind. They must be reasonable, and be willing to reconsider their positions when there is reason to. Third, while they should be reasonable, negotiators must never give in to pressure, threats, or bribes. When the other party stubbornly refuses to be reasonable, the first party may shift the discussion from a search for substantive criteria to a search for procedural criteria.

When the Other Party Is More Powerful

No negotiation method can completely overcome differences in power. However, Fisher and Ury suggest ways to protect the weaker party against a poor agreement, and to help the weaker party make the most of their assets.

Often negotiators will establish a "bottom line" in an attempt to protect themselves against a poor agreement. The bottom line is what the party anticipates as the worst acceptable outcome. Negotiators decide in advance of actual negotiations to reject any proposal below that line. Fisher and Ury argue against using bottom lines. Because the bottom line figure is decided upon in advance of discussions, the figure may be arbitrary or unrealistic. Having already committed oneself to a rigid bottom line also inhibits inventiveness in generating options.

Instead the weaker party should concentrate on assessing their best alternative to a negotiated agreement (BATNA). The authors note that "the reason you negotiate is to produce something better than the results you can obtain without negotiating." [p. 104] The weaker party should reject agreements that would leave them worse off than their BATNA. Without a clear idea of their BATNA a party is simply negotiating blindly. The BATNA is also key to making the most of existing assets. Power in a negotiation comes from the ability to walk away from negotiations. Thus the party with the best BATNA is

the more powerful party in the negotiation. Generally, the weaker party can take unilateral steps to improve their alternatives to negotiation. They must identify potential opportunities and take steps to further develop those opportunities. The weaker party will have a better understanding of the negotiation context if they also try to estimate the other side's BATNA. Fisher and Ury conclude that "developing your BATNA thus not only enables you to determine what is a minimally acceptable agreement, it will probably raise that minimum." [p. 111]

When the Other Party Won't Use Principled Negotiation

Sometimes the other side refuses to budge from their positions, makes personal attacks, seeks only to maximize their own gains, and generally refuses to partake in principled negotiations. Fisher and Ury describe three approaches for dealing with opponents who are stuck in positional bargaining. First, one side may simply continue to use the principled approach. The authors point out that this approach is often contagious.

Second, the principled party may use "negotiation jujitsu" to bring the other party in line. The key is to refuse to respond in kind to their positional bargaining. When the other side attacks, the principled party should not counter attack, but should deflect the attack back onto the problem. Positional bargainers usually attack either by asserting their position, or by attacking the other side's ideas or people. When they assert their position, respond by asking for the reasons behind that position. When they attack the other side's ideas, the principled party should take it as constructive criticism and invite further feedback and advice. Personal attacks should be recast as attacks on the problem. Generally the principled party should use questions and strategic silences to draw the other party out.

When the other party remains stuck in positional bargaining, the one-text approach may be used. In this approach a third party is brought in. The third party should interview each side separately to determine what their underlying interests are. The third party then assembles a list of their interests and asks each side for their comments and criticisms of the list. She then takes those comments and draws up a proposal. The proposal is given to the parties for comments, redrafted, and returned again for more comments. This process continues until the third party feels that no further improvements can be made. At that point, the parties must decide whether to accept the refined proposal or to abandon negotiations.

When the Other Party Uses Dirty Tricks

Sometimes parties will use unethical or unpleasant tricks in an attempt to gain an advantage in negotiations such as good guy/bad guy routines, uncomfortable seating, and leaks to the media. The best way to respond to such tricky tactics is to explicitly raise the issue in negotiations, and to engage in principled negotiation to establish procedural ground rules for the negotiation.

Fisher and Ury identify the general types of tricky tactics. Parties may engage in deliberate deception about the facts, their authority, or their intentions. The best way to protect against being deceived is to seek verification the other side's claims. It may help to ask them for further clarification of a claim, or to put the claim in writing. However, in doing this it is very important not to be seen as calling the other party a liar; that is, as making a personal attack. Another common type of tactic is psychological warfare. When the tricky party uses a stressful environment, the principled party should identify the problematic element and suggest a more comfortable or fair change. Subtle personal attacks can be made less effective simply by recognizing them for what they are. Explicitly identifying them to the offending party will often put an end to such attacks. Threats are a way to apply psychological pressure. The principled negotiator should ignore them where possible, or undertake principled negotiations on the use of threats in the proceedings.

The last class of trick tactics are positional pressure tactics which attempt to structure negotiations so that only one side can make concessions. The tricky side may refuse to negotiate, hoping to use their entry into negotiations as a bargaining chip, or they may open with extreme demands. The principled negotiator should recognize this as a bargaining tactic, and look into their interests in refusing to negotiate. They may escalate their demands for every concession they make. The principled negotiator should explicitly identify this tactic to the participants, and give the parties a chance to consider whether they want to continue negotiations under such conditions. Parties may try to make irrevocable commitments to certain positions, or to make-take-it-or-leave-it offers. The principled party may decline to recognize the commitment or the finality of the offer, instead treating them as proposals or expressed interests. Insist that any proposals be evaluated on their merits, and don't hesitate to point out dirty tricks.

Powerful Lessons for Personal Change

The 7 Habits of Highly Effective People

THE SUMMARY IN BRIEF

The world has changed dramatically since *The 7 Habits of Highly Effective People* was first published in 1989. Life is more complex, more stressful, more demanding. We have transitioned from the Industrial Age to the Information/Knowledge Worker Age — with profound consequences. We face challenges and problems in our personal lives, our families and our organizations unimaginable even one or two decades ago.

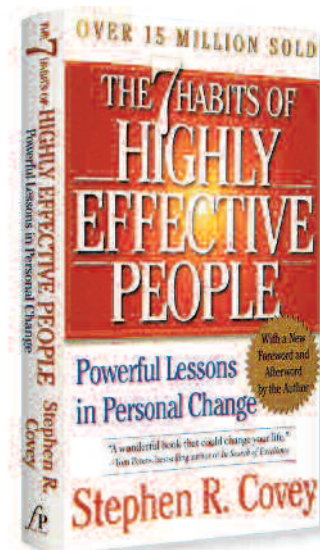
These sweeping changes in society and rumbling shifts in the digitized global marketplace give rise to a very important question: “Are the 7 Habits still relevant *today*?” And, for that matter, “Will they be relevant 10, 20, 50, 100 years from now?” Stephen R. Covey’s answer: The greater the change and more difficult our challenges, the more relevant the habits become.

How you apply a principle will vary greatly and will be determined by your unique strengths, talents and creativity, but ultimately, success in any endeavor is always derived from acting in harmony with the principles to which the success is tied.

Through insight and practical exercises, Covey presents a step-by-step pathway for living with fairness, integrity, service and human dignity — principles that give you the security to adapt to change, and the wisdom and power to take advantage of the opportunities that change creates.

IN THIS SUMMARY, YOU WILL LEARN:

- Why the personality ethic has supplanted the character ethic.
- How to write a personal mission statement.
- Why leveraging productivity is a function of “putting first things first.”
- How the challenge is not to manage time, but yourself.



by Stephen R. Covey

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THE COMPLETE SUMMARY: THE 7 HABITS OF HIGHLY EFFECTIVE PEOPLE

by Stephen R. Covey

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Inside-Out

Almost all literature written about success in the first 150 years of this country focused on the *Character Ethic* — integrity, humility, fidelity, temperance, courage, justice, patience, industry, simplicity, modesty and the Golden Rule.

Shortly after World War I the basic view of success shifted to the *Personality Ethic*. Success became more a function of personality, of public image, attitudes and behaviors, skills and techniques that lubricate the process of human interaction. Elements of the Personality Ethic are beneficial and sometimes essential for success. But they are secondary, not primary traits. Many people with secondary greatness — i.e., social recognition for their talents — lack primary greatness or goodness in their character.

The Power of Paradigm

The Seven Habits of Highly Effective People embody many of the fundamental principles of human effectiveness. They represent the internalization of correct principles upon which enduring happiness and success are based. But before we can understand these Seven Habits, we need to understand our own “paradigms” and how to make a “paradigm shift.”

The word paradigm was originally a scientific term and today is used more commonly to mean a model, theory, perception, assumption or frame of reference. It is the way we “see” the world — not in terms of sight, but in perceiving, understanding, interpreting. To try to change outward attitudes and behaviors does very little good if we fail to examine the basic paradigms from which they flow.

A New Level of Thinking

Albert Einstein observed, “The significant problems we face cannot be solved at the same level of thinking we

were at when we created them.” As we look at the problems we create as we live and interact with the Personality Ethic, we realize they are deep, fundamental problems. We need a new level of thinking — a paradigm based on the principles that accurately describe the territory of effective human being and interacting — to solve these deep concerns. This new, deeper level of thinking is a principle-centered, character-based, “inside-out” approach to personal and interpersonal effectiveness. ●

The 7 Habits: An Overview

Our character is a composite of our habits, which form a powerful factor in our lives. Because habits are consistent, unconscious patterns, they constantly express our character and produce our effectiveness or ineffectiveness. Habits also have a tremendous gravity pull. Breaking deeply imbedded, habitual tendencies such as procrastination, impatience, criticalness or selfishness that violate basic human principles of human effectiveness involves more than a little willpower and few minor changes in our lives.

‘Habits’ Defined

A habit is the intersection of knowledge, skill and desire:

- **Knowledge** is the theoretical paradigm, the *what to do* and the *why*.
- **Skill** is the *how to do*.
- **Desire** is the motivation, the *want to do*.

Knowing you need to listen and knowing how to listen are not enough. Unless you want to listen, it won’t be a habit. Creating a habit requires work in all three dimensions. By working on knowledge, skills and desire, we can break through to new levels of personal and interpersonal effectiveness as we break from old paradigms.



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The Maturity Continuum

On the maturity continuum, **dependence** is the paradigm of *you* — *you* take care of *me*; *you* come through for *me*, *you* didn't come through; I blame *you* for the results.

Independence is the paradigm of *I* — *I* can do it; *I* am responsible; *I* am self-reliant; *I* can choose.

Interdependence is the paradigm of *we* — *we* can do it; *we* can cooperate; *we* can combine our talents and abilities and create something greater together.

True independence of character allows us to act rather than be acted upon. It frees us from our dependence on circumstances and other people and is a worthy, liberating goal. But it is not the ultimate goal in effective living.

Interdependence is a more mature, advanced concept. As an interdependent person, you have the opportunity to share yourself with others and have access to the vast resources and potential of other human beings. Interdependence is a choice only independent people can make. Dependent people cannot choose to become interdependent. They don't own enough of themselves.

That's why Habits 1, 2 and 3 deal with self-mastery. As you become truly independent, you have the foundation for effective interdependence. ●

Habit 1: Be Proactive

Being proactive means more than taking initiative. It means we are responsible for our own lives. Our behavior is a function of our decisions, not our conditions. "Response-ability" is the ability to choose your response. Highly proactive people do not blame circumstances, conditions or conditioning for their behavior. Their behavior is a product of their own conscious choice, based on values, rather than a product of those conditions, based on feeling.

Reactive people are often affected by their physical environment. If the weather is good, they feel good. If it isn't, it affects their attitude and performance. Proactive people carry their own weather with them. They are still influenced by external stimuli, but their response, conscious or unconscious, is a value-based response or choice.

Taking the Initiative

Taking initiative does not mean being pushy, obnoxious or aggressive, but recognizing your responsibility to make things happen. People who end up with good jobs are the proactive ones; they are solutions to problems, not problems themselves. They seize the initiative to do whatever is necessary, to be consistent with correct principles and to get the job done.

Act or Be Acted Upon

If you wait to be acted upon, you will be acted upon. Language, for example, is a real indicator of the degree to which you see yourself as a proactive person. The language of reactive people absolves them of responsibility. A serious problem with reactive language is that it becomes a self-fulfilling prophecy. Examples of reactive language are: *There's nothing I can do*; *That's just the way I am*; *I have to do that*; and *I can't*.

On the other hand, proactive language takes responsibility. Examples are: *Let's look at our alternatives*; *I can choose a different approach*; *I control my own feelings*; and *I will*.

Circle of Concern and Circle of Influence

We each have a wide range of concerns — health, children, problems at work, the national debt and nuclear war. We could separate those from things in which we have no mental or emotional involvement by creating a "Circle of Concern." Within our Circle of Concern are some things over which we have no control and some we can do something about. We could identify those in the latter group as within our Circle of Influence.

Proactive people focus their efforts in the Circle of Influence. The nature of their energy is positive, enlarging and magnifying, causing their Circle of Influence to increase. Reactive people focus their efforts on the Circle of Concern, which results in blaming, accusing attitudes and increasing feelings of victimization, causing their Circle of Influence to shrink.

Direct, Indirect and No Control

The problems we face fall in one of three areas:

1. **Direct control** problems are solved by working on our habits, which are within our Circle of Influence. These are the "Private Victories" of Habits 1, 2 and 3.

2. **Indirect control** problems are solved by changing our methods of influence. These are the "Public Victories" of Habits 4, 5, 6 and 7.

3. **No control** problems involve taking responsibility to smile, to genuinely and peacefully accept and learn to live with these problems, even when we don't like them.

Proactivity: The 30-Day Test

For 30 days, work only in your Circle of Influence. Make small commitments and keep them. Be part of the solution, not part of the problem. When you make a mistake, admit it, correct it and learn from it — immediately. Don't get into a blaming, accusing mode. Work on things you have control over. ●

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Habit 2: Begin With the End in Mind

To begin with the end in mind means to start with a clear understanding of your destination. You need to know where you are going in order to better understand where you are now so that the steps you take are always in the right direction.

It's easy to get caught up in an activity trap, in the busyness of life, to work harder and harder at climbing the ladder of success only to discover it's leaning against the wrong wall.

"Begin with the end in mind" is based on the principle that *all things are created twice*. There is a mental or first creation, and a physical or second creation. Look at a business: If you want to have a successful enterprise, you must clearly define what you're trying to accomplish. The extent to which you begin with the end in mind often determines whether or not you are able to create a successful enterprise.

Leadership and Management — Two Creations

Habit 2 is based on principles of personal leadership, which means leadership is the first creation. Leadership is not management. Management is the second creation. Management is a bottom-line focus: How can I best accomplish certain things? Leadership deals with the top line: What are the things I want to accomplish?

A Personal Mission Statement

The most effective way to begin with the end in mind is to develop a *personal mission statement*. It focuses on what you want to be (character) and to do (contributions and achievements) and on the values or principles upon which being and doing are based.

To write a personal mission statement, you must begin at the very center of your Circle of Influence. Whatever is at the center of your life will be the source of these four factors, which are interdependent:

- **Security:** Your sense of worth, identity, emotional anchor, self-esteem, basic personal strength or lack of it.
- **Guidance:** Your source of direction in life, an internal frame of reference that includes standards or principles or implicit criteria that govern moment-by-moment decision-making and doing.
- **Wisdom:** Your perspective on life, sense of balance, judgment, discernment, comprehension.
- **Power:** The faculty or capacity to act, the strength and potency to accomplish something.

A mission statement takes deep introspection, careful

analysis, thoughtful expression and often many rewrites. It may take several weeks or months before you feel it is a concise expression of your innermost values and directions. Writing or reviewing a mission statement changes you because it forces you to think through your priorities deeply and carefully, and to align your behavior with your beliefs.

Alternative Centers

Briefly examine these centers or core paradigms people typically have for a better understanding of how they affect the four fundamental dimensions, and ultimately, the sum of life that flows from them.

1. Spouse Centeredness: Your life perspective surrounds things that may positively or negatively influence your spouse or relationship.

2. Family Centeredness: Your decision-making criteria are what is good for the family, or what family members want.

3. Money Centeredness: Moneymaking is the lens through which life is seen and understood, creating imbalanced judgment.

4. Work Centeredness: You see your life as your work.

5. Possession Centeredness: You make decisions based on what will protect, increase or better display your possessions.

6. Pleasure Centeredness: You see the world in terms of what's in it for you.

7. Friend Centeredness: You see the world through a social lens.

8. Enemy Centeredness: You are counter-dependently guided by your enemy's actions and base decisions on what will thwart your enemy.

9. Church Centeredness: You see the world in terms of "believers" and "non-believers," and "belongers" and "non-belongers."

10. Self-Centeredness: You view the world by how decisions, events or circumstances will affect you.

A Principle Center

By centering your life on correct principles, you create a solid foundation for development of the four life-support factors:

• **Security** comes from knowing that, unlike other centers based on people or things subject to change, correct principles do not change.

• **Wisdom** and **guidance** come from correct maps, from the way things really are, have been and will be.

• **Power** is that of a self-aware, knowledgeable, proactive individual, unrestricted by attitudes, behaviors and actions of others.

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As a principle-centered person, you try to stand apart from the emotion of the situation and other factors that would act on you, and evaluate your options. Looking at the balanced whole — the work needs, family needs and other needs that may be involved and all possible implications of the various alternative decisions — you try to come up with the best solution, taking all factors into account. ●

Habit 3: Put First Things First

Take a few minutes and write down a short answer to each of these two questions:

1. What one thing could you do (that you aren't doing now) that if you did on a regular basis would make a tremendous positive difference in your personal life?
2. What one thing in your business or professional life would bring similar results?

Habit 3 is the practical fulfillment of Habits 1 and 2. Habit 1 says, "You are the creator. You are in charge." Habit 2 is the first mental creation, based on imagination, the ability to envision what you can become. Habit 3 is the second creation, the physical creation. It's the exercise of *independent will* toward becoming principle-centered.

The Power of Independent Will

Independent will makes effective self-management possible. It is the ability to make decisions and choices and act in accordance with them. It is the ability to act rather than be acted upon, to proactively carry out the program you have developed through the other three endowments.

Effective management is *putting first things first*. While leadership decides what "first things" are, it is management that puts them first, day by day, moment by moment. Management is discipline carrying them out. If you are an effective manager of your self, your discipline comes from within; it is a function of your independent will.

Four Generations of Time Management

In time management, each generation builds on the one before it, moving us toward greater control of our lives:

The **first generation** is made up of notes and checklists, an effort to give some semblance of recognition and inclusiveness to the many demands placed on our time and energy.

The **second generation** of time management consists of calendars and appointment books, reflecting an attempt to look ahead, to schedule events and future activities.

The **third generation** focuses on the prioritization of clarifying values.

Finally, the **fourth generation** is an emerging generation that recognizes that the challenge is not to manage time, but to manage ourselves.

The Four Quadrants of Time Management

We spend time in one of four ways, depending on the two factors that define an activity: urgent and important. *Urgent* means it requires immediate attention. Urgent things act on us and are usually visible. A ringing phone is urgent. *Importance*, on the other hand, has to do with results. It contributes to our mission, values and high-priority goals. We react to urgent matters. Important matters that are not urgent require more initiative, more proactivity.

Consider the Time Management Matrix (see chart below). As long as you focus on Quadrant I, it keeps getting bigger and bigger until it dominates you. Some people are beaten up by problems all day, every day. The only relief they have is to escape to the not important, not urgent activities. Ninety percent of their time is spent in Quadrant I, and most of the remaining 10 percent is in Quadrant IV. That's how people who manage their lives by crisis live.

Quadrant II is the heart of effective personal management. It deals with things that are not urgent but are important — things we know we need to do but somehow seldom get around to doing because they aren't urgent.

Look again at your answers to the two questions posed at the beginning of this section. They probably fit into Quadrant II.

The only place to get time for Quadrant II in the beginning is from Quadrants III and IV. You can't ignore the urgent and important activities of Quadrant I, although it will shrink in size as you spend more time

The Time Management Matrix

| | URGENT | NOT URGENT |
|---------------|--|--|
| IMPORTANT | Quadrant I ACTIVITIES: Crises Pressing problems Deadline-driven projects | Quadrant II ACTIVITIES: Prevention, PC activities Relationship building Planning, recreation |
| NOT IMPORTANT | Quadrant III ACTIVITIES: Interruptions, some calls Some mail, some reports Some meetings Proximate, pressing matters Popular activities | Quadrant IV ACTIVITIES: Trivia, busy work Some mail Some phone calls Time wasters Pleasant activities |

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with prevention and preparation in Quadrant II. Nonetheless, you have to be proactive to work on Quadrant II because I and III work on you. To say “yes” to important II priorities you have to learn to say “no” to other activities, sometimes apparently urgent things.

The Quadrant II Tool

The objective of Quadrant II management is to manage our lives effectively from a center of sound principles, from a knowledge of our personal mission, with a focus on the important as well as the urgent, and within the framework of maintaining a balance.

This is an ambitious objective for people caught in the thick of things in Quadrants III and IV, but striving to achieve it will have a phenomenal impact on personal effectiveness. To do so, an organizer dedicated to Quadrant II needs to meet six important criteria:

1. **Coherence.** A tool to provide harmony, unity and integrity between your visions and mission, your roles and goals. In your organizer there should be a place for your personal mission statement so you can refer to it.
2. **Balance.** A tool to identify your roles and keep them in front of you so you don't neglect important areas such as your health, family, professional preparation or personal development.
3. **Quadrant II Focus.** A tool to encourage you, motivate you and help you spend the time you need in Quadrant II so you're dealing with prevention rather than prioritizing crises. The best way to do this is to organize your life on a *weekly* basis.
4. **A “People” Dimension.** A tool that deals with people, not just schedules. A principle-centered person thinks in terms of *effectiveness* in dealing with people.
5. **Flexibility.** A tool to be your servant, never your master. Your organizer needs to work for you and should be tailored to your style, needs and particular ways.
6. **Portability.** A tool you can carry with you most of the time. If your organizer is portable, you will keep it with you, so important data is always within reach.

Delegation

We accomplish everything we do through delegation — either to time or to other people. If we delegate to time, we think efficiency. If we delegate to other people we think effectiveness. Effectively delegating to others is the single most powerful high-leverage activity there is. There are basically two kinds of delegation:

- **Gofer delegation:** One-on-one supervision. “Go for this, do this, do that, and tell me when it's done.”
- **Stewardship delegation:** Focuses on results instead

of methods. It makes individuals responsible for results and takes more time in the beginning than gofer delegation, but it's time well invested. ●

Habit 4: Think Win/Win

Win/Win is not a technique; it's a total philosophy and one of the six paradigms of human interaction. The other paradigms are: Win/Lose, Lose/Win, Lose/Lose, Win, and Win/Win or No Deal.

- **Win/Win.** — This is a frame of mind and heart that constantly seeks mutual benefit in all human interactions. It's not your way or my way; it's a *better* way, a higher way.
- **Win/Lose.** In leadership style, it is the authoritarian approach: “I get my way, you don't get yours.”
- **Lose/Win.** This is worse than Win/Lose because it has no standards, no demands, no vision. In leadership, it's permissiveness or indulgence, being a nice guy, even if “nice guys finish last.”
- **Lose/Lose.** When two Win/Lose people get together, the result is Lose/Lose. Both will become vindictive and want to get back at each other.
- **Win.** People with this mentality don't necessarily want someone else to lose. What matters most is that they get what they want.
- **Win/Win or No Deal.** If we can't find a solution that benefits us both, we agree to disagree agreeably.

Which Option Is Best?

Most situations are part of an interdependent reality, and then Win/Win is the only viable alternative of the five. Think of Win/Win as the bait of interpersonal leadership. Character is the foundation of Win/Win. There are three character traits essential to the Win/Win paradigm:

- **Integrity** — the value you place on yourself.
- **Maturity** — the balance between courage and consideration.
- **Abundance mentality** — there is plenty out there for everyone. ●

Habit 5: Seek First to Understand, Then to Be Understood

“Seek first to understand” involves a deep shift in paradigm. We typically seek first to be understood. Instead, most people listen to the reply. They're either speaking or preparing to speak. Empathetic listening is listening with the intent to *understand*.

Empathetic listening is powerful because it gives you accurate data to work with. It takes time, but nowhere

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near the time that it takes to back up and correct misunderstandings when you're already miles down the road.

As you learn to listen deeply to other people, you will discover tremendous differences in perception. You will also begin to appreciate the impact these differences can have as people try to work together in interdependent situations.

Knowing how to be understood is the second half of Habit 5 and equally critical to reaching Win/Win solutions. Seeking to understand requires consideration; seeking to be understood takes courage. Win/Win requires a high degree of both. So it becomes important in interdependent situations for us to be understood.

There are three words that contain the essence of seeking first to understand and making effective presentations:

- **Ethos** — your personal credibility, the trust you inspire.
- **Pathos** — your empathetic side, showing you are in alignment with the emotional thrust of another person's communication.
- **Logos** — the reasoning part of the presentation.

Habit 5 is powerful because it is right in the middle of your Circle of Influence. You can always seek first to understand. That's something within your control. And as you do it, your Circle of Influence begins to expand. Habit 5 is also something you can practice right now. ●

Habit 6: Synergize

Exercising all the other habits prepares us for the habit of synergy. When properly understood, synergy is the highest activity in all life — the true test and manifestation of all the other habits put together. The highest forms of synergy focus the four unique human endowments, the motive of Win/Win and the skills of empathetic communication on the toughest challenges we face in life. What results is almost miraculous. We create new alternatives.

Synergy is the essence of principle-centered leadership. It catalyzes, unifies and unleashes the greatest powers within people. Simply defined, synergy means the whole is greater than the sum of its parts. It means that the relationship the parts have to one another is a part in and of itself. And it is not only a part, but the most catalytic and most empowering.

Synergy and Communication

Synergy is exciting. Creativity is exciting. It's phenomenal what openness and communication can produce. The possibilities of significant gain and improvement are so real that it's worth the risk such openness entails. Trust

The Elements and Processes to Arrive at a Win/Win Solution

In the Win/Win agreement, the following five elements are made very explicit:

1. **Desired results** (not methods) identify what is to be done and when.
2. **Guidelines** specify parameters (principles, policies, etc.) within which results are to be accomplished.
3. **Resources** identify human, financial, technical or organizational support available to help accomplish the results.
4. **Accountability** sets up the standards of performance and the time of evaluation.
5. **Consequences** specify what does and will happen as a result of the evaluation.

The four-step process to arriving at a Win/Win solution follows:

- First, see the problem from the other point of view.
- Second, identify key issues and concerns (not positions) of those involved.
- Third, determine what results would constitute a fully acceptable solution.
- Fourth, identify possible new options to achieve those results.

is closely related to different levels of communication: defensive, respectful and synergistic.

- **Defensive.** The lowest level of communication coming out of low-trust situations would be characterized by defensiveness, protectiveness, and often legalistic language, which covers all the bases and spells out qualifiers and the escape clause. Such communication only produces Win/Lose or Lose/Lose. It isn't effective, creating further reasons to defend and protect.

- **Respectful.** The middle position is respectful communication, a level where fairly mature people interact. They communicate politely but not empathetically. They may understand each other intellectually, but they really don't deeply look at the paradigms and assumptions underlying their own positions and become open to new possibilities. Respectful communication works in independent situations, but the creative possibilities are not opened up. Compromise is the position usually taken, meaning that $1+1=1\frac{1}{2}$. Both give and take. It produces a low form of Win/Win.

- **Synergistic.** Synergy means that $1+1$ may equal 8,

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16 or even 1,600. The synergistic position of high trust produces solutions better than any originally proposed, and all parties know it. They also genuinely enjoy the creative enterprise. A miniculture is formed to satisfy in and of itself. ●

Habit 7: Sharpen the Saw

Suppose you were to come upon someone in the woods working feverishly to saw down a tree.

“What are you doing?” you ask.

“Can’t you see?” comes the impatient reply. “I’m sawing down this tree.”

“You look exhausted!” you exclaim. “How long have you been at it?”

“Over five hours,” he returns, “and I’m beat! This is hard work.”

“Well, why don’t you take a break for a few minutes and sharpen that saw?” you inquire. “I’m sure it would go a lot faster.”

“I don’t have time to sharpen the saw,” the man says emphatically. “I’m too busy sawing!”

Habit 7 is about taking time to sharpen the saw. It surrounds the other habits on the Seven Habits paradigm because it is the habit that makes all the others possible.

Four Dimensions of Renewal

Essentially Habit 7 is preserving and enhancing the greatest asset you have — you. It’s renewing the four dimensions of your nature: physical, spiritual, mental and social/emotional.

Physical — exercise, nutrition, stress management. The essence of renewing the physical dimension is to sharpen the saw, to exercise our bodies on a regular basis in a way that will preserve and enhance our capacity to work and adapt and enjoy. Exercise is one of those Quadrant II, high-leverage activities that most of us don’t do consistently because it isn’t urgent. And because we don’t do it, sooner or later we find ourselves in Quadrant I, dealing with the health problems and crises that come as a natural result of our neglect.

Spiritual — value clarification and commitment, study and meditation. Renewing the spiritual dimension provides leadership to your life. It’s highly related to Habit 2. This dimension is your core, your center and your commitment to your value system. It’s a very private area of life and a supremely important one. Spiritual renewal takes an investment of time. But it’s a Quadrant II activity we don’t really have time to neglect.

Mental — reading, visualizing, planning, writing.

Most of our mental development and study discipline come through formal education. But as soon as we leave the external discipline of school, many of us let our minds atrophy. We don’t do any more serious reading, we don’t explore new subjects in any real depth outside our actions fields, we don’t think analytically, we don’t write — at least not critically or in a way that tests our ability to express ourselves. Instead, we spend our time watching TV.

Wisdom in watching TV requires the effective self-management of Habit 3, which enables you to discriminate and select the informing, inspiring and entertaining programs that best serve and express your purpose and values.

There is no better way to inform and expand your mind on a regular basis than to get into the habit of reading good literature. That’s another high-leverage Quadrant I activity. You can get into the best minds that are now or have ever been in the world.

Writing is another powerful way to sharpen the mental saw. Keeping a journal of our thoughts, experiences, insights and learning promotes mental clarity, exactness and context.

Social/emotional — service, empathy, synergy, intrinsic security. This dimension centers on Habits 4, 5 and 6 — principles of interpersonal leadership, empathic communication and creative cooperation. Renewing our social/emotional dimension does not take time in the same sense that the other dimensions do. We can do it in our normal everyday interactions with other people. It definitely requires exercise.

Success in Habits 4, 5 and 6 is not primarily a matter of intellect; it is primarily a matter of emotion. It’s highly related to our sense of personal security. If our personal security comes from sources within ourselves, then we have the strength to practice the habits of Public Victory.

By centering our lives on correct principles and creating a balanced focus between doing and increasing our ability to do, we become empowered in the task of creating effective, useful and peaceful lives for ourselves, and for our posterity. ●

RECOMMENDED READING LIST

If you liked *The 7 Habits of Highly Effective People*, you’ll also like:

1. ***Talent Is Never Enough* by John C. Maxwell.** Talent is often misunderstood and overrated. To combat this, Maxwell suggests that people build their strengths and become “talent-plus people.”
2. ***A Whole New Mind* by Daniel H. Pink.** Pink offers a fresh look at what it takes for businesspeople and organizations to move from the Information Age to the Conceptual Age.
3. ***The Age of Speed* by Vince Poscente.** You need to stop listening to everyone who tells you to slow down and begin paying attention to the rush once and for all.



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Crucial Conversations

Tools for Talking When Stakes Are High

THE SUMMARY IN BRIEF

Relationships are the priority of life, and conversations help us care for our relationships with talking and listening. The quality of your life comes out of the quality of your dialogues and conversations. *Crucial Conversations* by Kerry Patterson, Joseph Grenny, Ron McMillan and Al Switzler — the founders of VitalSmarts — helps you think about what you really want to say.

With structure and wit, this best-selling book provides readers with a way to improve on the most fundamental element of organizational learning and growth — honest, unencumbered dialogue between individuals.

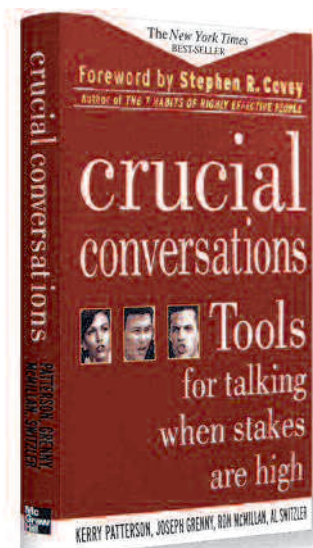
The authors address the No. 1 reason managers and executives get derailed and offer helpful guidance on how to operate in a fast-paced, results-oriented environment. They provide readers with the tools to handle life's most difficult and important conversations.

This summary describes how anyone can master the skills of crucial conversations at home, work and play. The skills it delivers offer new techniques for working together in ways that enable us to succeed.

You'll learn how to transform crucial conversations from frightening events into interactions that yield success and results. You'll never have to worry about another conversation again, thanks to the most important set of skills you'll ever master.

IN THIS SUMMARY, YOU WILL LEARN:

- How to prepare for high-stakes situations with a proven technique.
- How to transform anger and hurt feelings into powerful dialogue.
- How to make it safe to talk about almost anything.
- How to be persuasive, not abrasive.
- How new techniques, skills and tools work together to enable successful crucial conversations.



by Kerry Patterson,
Joseph Grenny, Ron McMillan
and Al Switzler

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THE COMPLETE SUMMARY: CRUCIAL CONVERSATIONS

by Kerry Patterson, Joseph Grenny, Ron McMillan and Al Switzler

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What's a Crucial Conversation?

A crucial conversation is a discussion between two or more people where stakes are high, opinions vary and emotions run strong.

The effects of conversations gone bad can be both devastating and far reaching. Research has shown that strong relationships, careers, organizations and communities all draw from the same source of power — the ability to talk openly about high-stakes, emotional, controversial topics.

Masters of Crucial Conversations

Twenty-five years of research with 20,000 people and hundreds of organizations has taught experts that individuals who are the most influential — who can get things done and *at the same time* build on relationships — are those who master their crucial conversations.

People who routinely hold crucial conversations and hold them well are able to express controversial and even risky opinions in a way that gets heard. Their bosses, peers and direct reports listen without becoming defensive or angry.

Improve Your Organization and Health

In the *best* companies, everyone holds everyone else accountable — regardless of level or position. The path to high productivity passes not through a static system but through face-to-face conversations at all levels.

The ability to hold crucial conversations also has an impact on your personal health. The evidence is mounting every day. The negative feelings we hold in, the emotional pain we suffer and the constant battering we endure as we stumble our way through unhealthy conversations slowly eat away at our health. In some cases, the

impact of failed conversations leads to minor problems. In others, it results in disaster. In all cases, failed conversations never make us happier, healthier or better off. ●

Mastering Crucial Conversations

“Dialogue” is the free flow of meaning between two or more people. Each of us enters conversations with our own opinions, feelings, theories and experiences about the topic at hand. This unique combination of thoughts and feelings makes up our personal pool of meaning. This pool not only informs us but also propels our every action.

When two or more of us enter *crucial* conversations, by definition we don't share the same pool. Our opinions differ.

Filling the Pool of Shared Meaning

People who are skilled at dialogue do their best to make it safe for everyone to add their meaning to the *shared* pool — even ideas that at first glance appear controversial, wrong or at odds with their own beliefs. Now, obviously, they don't agree with every idea; they simply do their best to ensure that all ideas find their way into the open.

As the Pool of Shared Meaning grows, it helps people in two ways. First, as individuals are exposed to more accurate and relevant information, they make better choices. In a very real sense, the Pool of Shared Meaning is a measure of a group's IQ. The larger the shared pool, the smarter the decisions. And even though many people may be involved in a choice, when people openly and freely share ideas, the increased time investment is more than offset by the quality of the decision.

On the other hand, we've all seen what happens when the shared pool is dangerously shallow. When people



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purposefully withhold meaning from one another, individually *smart* people can do collectively *stupid* things.

Better Choices

Not only does a shared pool help individuals make better choices, but since the meaning is *shared*, people willingly act on whatever decisions they make. As people sit through an open discussion where ideas are shared, they take part in the free flow of meaning. Eventually they understand why the shared solution is the best solution, and they're committed to act.

Conversely, when people aren't involved, when they sit back quietly during touchy conversations, they're rarely committed to the final decision. Since their ideas remain in their heads and their opinions never make it into the pool, they end up quietly criticizing and passively resisting. Worse still, when others force their ideas into the pool, people have a harder time accepting the information.

The time you spend upfront establishing a shared pool of meaning is more than paid for by faster, more committed action later on. ●

Start With Heart

How do you encourage the flow of meaning in the face of differing opinions and strong emotions? The truth is people *can* change. But it requires work. You can't simply drink a magic potion and walk away renewed. Instead, you'll need to take a long, hard look at yourself.

In fact, this is the first principle of dialogue: Start with Heart — that is, your *own* heart. If you can't get yourself right, you'll have a hard time getting dialogue right. When conversations become crucial, you'll resort to the forms of communication that you've grown up with — debate, silent treatment, manipulation and so on.

Work on Me First

Although it's true that there are times when we are merely bystanders in life's never-ending stream of head-on collisions, rarely are we completely innocent. More often than not, we do something to contribute to the problems we're experiencing.

People who are best at dialogue understand this simple fact and turn it into the principle, "Work on me first." They realize that not only are they likely to benefit by improving their own approach, but also that they're the only person they can work on anyway. As much as others may need to change, or we may *want* them to change, the only person we can continually inspire, prod and shape — with any degree of success — is the person in the mirror.

There's a certain irony embedded in this fact. People who believe they need to start with themselves do just that. As they work on themselves, they also become the most skilled at dialogue. So here's the irony. It's the *most* talented, not the least talented, who are continually trying to improve their dialogue skills.

Stay Focused

Skilled people Start with Heart. That is, they begin high-risk discussions with the right motives, and they stay focused no matter what happens.

They maintain focus in two ways. First, they're steely-eyed smart when it comes to knowing what they want. Despite constant invitations to slip away from their goals, they stick with them. Second, skilled people don't make Sucker's Choices (either/or choices). Unlike others who justify their unhealthy behavior by explaining that they had no choice but to fight or take flight, the dialogue-smart believe that dialogue, no matter the circumstances, is always an option.

Refocus Your Brain

You're speaking with someone who completely disagrees with you on a hot issue. How does all this goal stuff apply? As you begin the discussion, start by examining your motives. Going in, ask yourself what you really want.

Also, as the conversation unfolds and you find yourself starting to, say, defer to the boss or give your spouse the cold shoulder, pay attention to what's happening to your objectives. Step away from the interaction and look at yourself — much like an outsider. Once you call into question the shifting desires of your heart, you can make conscious choices to change them.

Return to Dialogue

Stop and ask yourself some questions that return you to dialogue:

- What do I really want for myself?
- What do I really want for others?
- What do I really want for the relationship?
- How would I behave if I really wanted these results? ●

Learn to Look

As people begin to feel unsafe, they start down one of two unhealthy paths. They move either to silence (withholding meaning from the pool) or to violence (trying to force meaning in the pool).

Silence almost always is done as a means of avoiding potential problems, and it always restricts the flow of

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meaning. The three most common forms of silence are masking, avoiding and withdrawing. *Masking* consists of understating or selectively showing our true opinion. Sarcasm, sugarcoating and couching are some of the more popular forms. *Avoiding* involves steering completely away from sensitive subjects. We talk, but without addressing the real issues. *Withdrawing* means pulling out of a conversation altogether. We either exit the conversation or exit the room.

Violence consists of any verbal strategy that attempts to convince, control or compel others to accept your point of view. Methods range from name-calling and monologuing to making threats. The three most common forms are controlling, labeling and attacking. *Controlling* consists of coercing others to your way of thinking. This includes cutting others off, overstating your facts, speaking in absolutes, changing subjects or using directive questions to control the conversation. *Labeling* is putting a label on people or ideas so they can be dismissed under a general stereotype or category. *Attacking* includes belittling and threatening.

Look for Your Style Under Stress

When caught up in a crucial conversation, it's difficult to see exactly what's going on and why. When a discussion starts to become stressful, we often end up doing the exact opposite of what works. We turn to the less healthy components of our Style Under Stress.

To break from this insidious cycle, Learn to Look. Here's how:

- Learn to look at content *and* conditions.
- Look for when things become crucial.
- Learn to watch for safety problems.
- Look to see if others are moving toward silence or violence.
- Look for outbreaks of your Style Under Stress.

Most people toggle between holding back and becoming too forceful during stressful or crucial conversations. But typical behaviors can change. By identifying your Style Under Stress, you can make a special effort to avoid some of your silence or violence habits. Also, when you're in the middle of a crucial conversation, you can be more conscious of what to watch for. ●

Make It Safe

When others move to silence or violence, step out of the conversation and Make It Safe. When safety is restored, go back to the issue at hand and continue the dialogue. The key is to step out of the content of the

Ask Questions to Keep the Brain Focused

When we present our brain with a demanding question, our body sends precious blood to the parts of our brain that help us think and away from the parts of our body that help us take flight or begin a fight. Asking questions about what we really want reminds us of our goal and juices up our brain in a way that helps us keep focused.

Clarify what you don't want, add it to what you do want and ask your brain to start searching for healthy options to bring you to dialogue.

conversation. Don't stay stuck in what's being said.

Next, decide which condition of safety is at risk. Here are some questions you can ask about each condition of safety:

- **Mutual Purpose.** Do others believe you care about their goals in this conversation? Do they trust your motives?
- **Mutual Respect.** Do others believe you respect them?

Apologize When Appropriate

When you've made a mistake that has hurt others (e.g., you didn't call your team to let them know that presentation plans were changed), start with an apology. When you've clearly violated respect, apologize. An apology is a statement that sincerely expresses your sorrow for your role in causing — or at least not preventing — pain or difficulty to others.

Contrast to Fix Misunderstanding

Sometimes people feel disrespected during crucial conversations even though we haven't done anything disrespectful. An apology isn't appropriate in these circumstances — it would be disingenuous to admit you were wrong when you weren't. How then can you rebuild Mutual Purpose or Mutual Respect in order to make it safe to get back to dialogue?

When others misunderstand either your purpose or your intent, step out of the argument and rebuild safely by using a skill called *Contrasting*.

Contrasting is a don't/do statement that:

- Addresses others' concerns that you don't respect them or that you have a malicious purpose (the *don't* part).
- Confirms your respect or clarifies your real purpose (the *do* part).

CRIB to Get to Mutual Purpose

When you are at cross-purposes, step out of the content of the conflict. Stop focusing on who thinks what.

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Then CRIB your way back to Mutual Purpose:

- **Commit to seek Mutual Purpose.** Make a unilateral public commitment to stay in the conversation until you come up with something that serves everyone.
- **Recognize the purpose behind the strategy.** Ask people why they want what they're pushing for. Separate what they're demanding from the purpose it serves.
- **Invent a Mutual Purpose.** If after clarifying everyone's purposes you are still at odds, see if you can invent a higher or longer-term purpose that is more motivating than the ones that keep you in conflict.
- **Brainstorm new strategies.** Search for a solution that serves everyone. ●

Master My Stories

A Path to Action explains how emotions, thoughts and experiences lead to our actions. We observe, *we tell a story* and then we feel before we act. Since we *and only we* are telling the story, we can take back control of our own emotions by telling a different story. We now have a point of leverage or control. If we can find a way to control the stories we tell, by rethinking or retelling them, we can master our emotions and, therefore, master our crucial conversations.

If strong emotions are keeping you stuck in silence or violence, try the following tactics:

- **Notice your behavior.** If you find yourself moving away from dialogue, ask yourself what you're really doing. "Am I in some form of silence or violence?"
- **Get in touch with your feelings.** Learn to accurately identify the emotions behind your story. Ask yourself, "What emotions are encouraging me to act this way?"
- **Analyze your stories.** Question your conclusions and look for other possible explanations behind your story. Ask, "What story is creating these emotions?"
- **Get back to the facts.** Abandon your absolute certainty by distinguishing between hard facts and your invented story. Ask yourself, "What evidence do I have to support this story?"
- **Watch for clever stories.** Victim, Villain and Helpless stories sit at the top of the list. "Victim Stories" make us out to be innocent sufferers. When you tell a Victim Story, you ignore the role you played in the problem. With "Villain Stories," we overemphasize the other person's guilt. We automatically assume the worst possible motives while ignoring any possible good or neutral intentions a person might have. In "Helpless Stories," we make ourselves out to be powerless to do anything. These clever stories cause us problems. The dia-

logue-smart recognize that they're telling clever stories, stop and then do what it takes to tell a *useful* story. A useful story creates emotions that lead to healthy action — such as dialogue. ●

STATE My Path

Once you've worked on yourself to create the right condition for dialogue, you can then draw on five distinct skills that can help you talk about even the most sensitive topics. These five tools can be easily remembered with the acronym STATE.

When you have a tough message to share, or when you are so convinced of your own rightness that you may push too hard, remember to STATE your path:

- **Share your facts.** Start with the least controversial, most persuasive elements from your Path to Action.
- **Tell your story.** Explain what you're beginning to conclude.
- **Ask for others' paths.** Encourage others to share both their facts and their stories.
- **Talk tentatively.** State your story as a story — don't disguise it as a fact.
- **Encourage testing.** Make it safe for others to express differing or even opposing views.

Catch Yourself

When we believe strongly in a concept or a cause, our emotions kick in and we start trying to force our way onto others. As our emotions kick in, our ideas no longer flow into the pool. Instead, our thoughts shoot out of our mouths like water out of a raging fire hydrant. And others become defensive. When this happens, when our emotions turn our ideas into a harsh and painful stream of thoughts, our honest passion kills the argument rather than supports it.

Catch yourself before you launch into a monologue. Realize that if you're starting to feel indignant or if you can't figure out why others don't buy in, you need to recognize that you're starting to enter dangerous territory.

Back off your harsh and conclusive language, not your belief. Hold on to your belief; merely soften your approach. ●

Explore Others' Paths

To encourage the free flow of meaning and help others leave silence or violence behind, explore their Paths to Action. Start with an attitude of curiosity and patience. This helps restore safety.

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AMPP

To encourage others to share their paths, use four powerful listening tools that can help make it safe for other people to speak frankly. These four skills are called power listening tools because they are best remembered with the acronym AMPP — *Ask, Mirror, Paraphrase and Prime*. Luckily, the tools work for both silence and violence games.

Here's how:

- **Ask to get things rolling.** Start by simply expressing interest in the other person's views.
- **Mirror to confirm feelings.** Increase safety by respectfully acknowledging the emotions people appear to be feeling.
- **Paraphrase to acknowledge the story.** As others begin to share part of their story, restate what you've heard to show not just that you understand, but also that it's safe for them to share what they're thinking.
- **Prime when you're getting nowhere.** If others continue to hold back, prime. Take your best guess at what they may be thinking and feeling.

Remember Your ABCs

It's now your turn to talk. But what if you disagree? Some of the other person's facts are wrong, and his or her stories are completely fouled up. Now what?

As you begin to share your views, remember:

- **Agree.** Agree when you do.
- **Build.** If others leave something out, agree where you do, then build.
- **Compare.** When you do differ significantly, don't suggest others are wrong. Compare your two views.

Don't turn differences into debates that lead to unhealthy relationships and bad results. ●

Move to Action

Having more meaning in the pool, even jointly owning it, doesn't guarantee that we all agree on what we're going to do with the meaning. For example, when teams or families meet and generate a host of ideas, they often fail to convert the ideas into action for two reasons:

- They have unclear expectations about how decisions will be made.
- They do a poor job of acting on the decisions they do make.

This can be dangerous. In fact, when people move from adding meaning to the pool to moving to action, it's a prime time for new challenges to arise.

Decide How to Decide

Here are the four common ways of making decisions and some dos and don'ts:

- **Command.** Decisions are made without involving others. Don't pass out orders like candy. When you face a command decision, ask which elements are flexible. When handing down an order, explain the reason behind the demand.
- **Consult.** Input is gathered from the group and then a subset decides. Don't pretend to consult. If you've already made up your mind, don't go through the charade of involving people only to do what you wanted to do all along. Announce what you're doing. Report your decision.
- **Vote.** An agreed-upon percentage swings the decision. Weigh the consequences. Know when to vote. Don't cop out with a vote. Votes should never replace patient analysis and healthy dialogue.
- **Consensus.** Everyone comes to an agreement and then supports the final decision. Don't force consensus onto everything. Don't pretend that everyone gets his or her first choice. Decisions should be based on merit, not on who offers up the options. When an idea doesn't work out, own the failure together.

Dialogue Is Not Decision Making

The two riskiest times in crucial conversations tend to be at the beginning and at the end. The beginning is risky because you have to find a way to create safety or else things go awry. The end is dicey because if you aren't careful about how you clarify the conclusion and decisions flowing from your Pool of Shared Meaning, you can run into violated expectations later on. This can happen in two ways.

First, people may not understand how decisions are going to be made.

The second problem with decision making occurs when no decision gets made. Decisions drag on forever.

Both of these problems are solved if, before making a decision, the people involved decide how to decide. Don't allow people to assume that dialogue is decision making. Dialogue is a process for getting all relevant meaning into a shared pool. That process, of course, involves everyone. However, simply because everyone is allowed to share their meaning — actually encouraged to share their meaning — doesn't mean they are then guaranteed to take part in making all the decisions. To avoid violated expectations, separate dialogue from decision making. Make it clear how decisions will be made — who will be involved and why.

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When you're in a position of authority, you decide which method of decision making you'll use.

When there is no clear line of authority, deciding how to decide can be quite difficult. When decision-making authority is unclear, use your best dialogue skills to get meaning into the pool. Jointly decide how to decide.

The Four Methods of Decision Making

There are four common ways of making decisions: command, consult, vote and consensus. These four options represent increasing degrees of involvement. Increased involvement, of course, brings the benefit of increased commitment along with the curse of decreased decision-making efficiency. Savvy people choose the one that best suits their particular circumstances from among these four methods of decision making.

Determine *who* does *what* by *when*. Make the deliverables crystal clear. Set a *follow-up* time. Record the commitments and then follow up. Finally, hold people accountable to their promises. ●

Putting It All Together

After watching people at home and at work, as well as interviewing them, researchers have learned that most people make progress not by focusing on specific skills — at least to start with — but instead by applying two of these main principles.

Learn to Look and Make It Safe

The first lever for positive change is Learn to Look. That is, people who improve their dialogue skills continually ask themselves whether they're in or out of dialogue. This alone makes a huge difference. Even people who can't remember or never learned the skills of STATE or CRIB, etc., are able to benefit from this material by simply asking if they're falling into silence or violence. They may not know exactly how to fix the specific problem they're facing, but they do know that if they're not in dialogue, it can't be good. And then they try something to get back to dialogue. As it turns out, trying something is better than doing nothing.

So remember to ask the following important question: "Are we playing games or are we in dialogue?" It's a wonderful start.

Perhaps the most common way that the language of dialogue finds itself in everyday conversation is with the expression, "I think we've moved away from dialogue." This simple reminder helps people catch themselves early on, before the damage is severe.

The second lever for positive change is Make It Safe.

Dialogue consists of the free flow of meaning and the No. 1 flow-stopper is a lack of safety. When you notice that you and others have moved away from dialogue, do something to make it safer. If you simply realize that your challenge is to make it safer, nine out of 10 times you'll intuitively do something that helps.

Sometimes you'll build safety by asking a question and showing interest in others' views. Apologies, smiles, even a request for a brief "time out" can help restore safety when things get dicey. The main idea is to make it safe. Do something to make others comfortable.

These two levers form the basis for recognizing, building and maintaining dialogue. When the concept of dialogue is introduced, these are the ideas most people can readily take in and apply to crucial conversations. ●

Yeah, But

People can think of a dozen reasons why these skills don't apply to the situation they care about. In truth, these dialogue skills apply to just about any problem you can imagine. However, since some are more difficult than others, here are two tough cases.

1. Sexual or Other Harassment. "It's not like anyone's blatantly harassing me or anything, but I don't like the way I'm being treated. How can I bring it up without making enemies?" Someone is making comments or gestures that you find offensive. The person does it seldom enough and he or she is subtle enough that you're not sure if HR or your boss can even help.

• **The Solution.** Tell the rest of the story. If you've tolerated the behavior for a long time before holding the conversation, own up to it. This may help you treat the individual like a reasonable, rational and decent person — even if some of his or her behavior doesn't fit this description.

When you feel a measure of respect for the other person, you're ready to begin. After establishing a Mutual Purpose for the exchange, STATE your path.

If you can be respectful and private but firm in this conversation, most problem behavior will stop. And remember, if the behavior is over the line, you shouldn't hesitate to contact HR to ensure that your rights and dignity are protected.

2. Failure to Live Up to Agreements. "Yeah, but my teammates are hypocrites. We get together and talk about all the ways we could improve, but then people don't do what they agreed to." The *worst* teams walk away from problems like these. In *good* teams, the boss eventually deals with problem behavior. In the *best* teams,

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every team member is part of the system of accountability. If team members see others violate a team agreement, they speak up immediately and directly. It's dangerous to wait for or expect the boss to do what good teammates should do themselves.

- **The Solution.** If your teammate isn't doing what you think he or she should, it's up to you to speak up.

When teams try to rally around aggressive change or bold new initiatives, they need to be prepared to address the problem when a team member doesn't live up to the agreement. Success does not depend on perfect compliance with new expectations but on teammates who hold crucial conversations with one another when others appear to be reverting to old patterns. ●

Change Your Life

High-risk discussions don't come with notices and reminders. More often than not, they come as unwelcome surprises.

Emotions don't help much either. And, of course, crucial conversations are defined by their emotional characteristics. Your ability to pull yourself out of the content of a discussion and focus on the process is inversely proportional to your level of emotion. The more you care about what's happening, the less likely you are to think about how you're conducting yourself.

Between surprise and emotion, it's hard to know which is the bigger enemy of change. Both make it hard to remember to act in new ways.

Scripts

Scripts are another enemy of change. Scripts are pre-bundled phrases we use in common conversations; they form the very foundation of social habits and often make change almost impossible.

With a script, you know *both sides* of the conversation. The good news about scripts is that you don't have to give conversation much thought. The bad news is that the more scripted an interaction, the more difficult it is to pull yourself out of the routine and try something new.

Transfer Tips

Researchers examined 48 front-line supervisors who were learning how to hold crucial conversations. As they watched the trainees back at work, it became clear to them that only a few of them transferred what they had learned in the classroom back to their work site. The bad news is that most of them didn't change an iota. The good news is that some of them did. In fact, they used the new skills precisely as instructed.

The supervisors who found a way to apply the new skills taught the researchers the following four principles for turning ideas into action:

- **First, master the content.** That means not only do you have to be able to recognize what works and why, but you also have to generate new scripts of your own.

- **Second, master the skills.** You must be able to enact these new scripts in a way that is consistent with the supporting principles. As it turns out, simply understanding a concept isn't enough. While it's helpful, even necessary, to talk the talk, you have to be able to walk the walk. You have to be able to say the right words with the right tone and nonverbal actions.

- **Third, enhance your motive.** You must want to change. This means that you have to care enough about improving your crucial conversation skills to actually do something. You have to move from a passive sense that it would be a good idea to change to an active desire to seek opportunities. Ability without motive lies dormant and untapped.

- **Fourth, watch for cues.** To overcome surprise, emotion and scripts, you must recognize the call to action. This is usually people's biggest obstacle to change. Old stimuli generate old responses. If a problem doesn't cue your new skills, you'll return to your old habits without even realizing you missed a chance to try something new.

Pick a Conversation

Pick a relationship. Pick a conversation. Let others know that you're trying to do better, then give it a shot. When you blow it, admit it. Don't expect perfection; aim for progress. And when you succeed, celebrate your success. Take pleasure in knowing that you're improving and so are your relationships. Finally, when the chance arises, help others do the same. Help friends, loved ones and co-workers learn to master their own high-stakes discussions. Help strengthen organizations, solidify families, heal communities and shore up nations one person — one crucial conversation — at a time. ●

RECOMMENDED READING LIST

If you liked *Crucial Conversations*, you'll also like:

1. ***Crucial Confrontations*** by Kerry Patterson, Joseph Grenny, Ron McMillan and Al Switzler Research shows that most organizations are losing between 20 and 80 percent of their potential performance because they have not mastered crucial confrontations.
2. ***The Art of Woo*** by G. Richard Shell and Mario Moussa According to Shell and Moussa, "Woo" is the ability to win people over to your ideas without coercion, using relationship-based emotionally intelligent persuasion.
3. ***Influencer*** by Kerry Patterson, Joseph Grenny, David Maxfield, Ron McMillan and Al Switzler This book shows readers how seemingly "insignificant" people are making incredibly significant improvements in solving problems others would think impossible.

I. LAYING PLANS

1. Sun Tzu said: The art of war is of vital importance to the State.
2. It is a matter of life and death, a road either to safety or to ruin. Hence it is a subject of inquiry which can on no account be neglected.
3. The art of war, then, is governed by five constant factors, to be taken into account in one's deliberations, when seeking to determine the conditions obtaining in the field.
4. These are: (1) The Moral Law; (2) Heaven; (3) Earth; (4) The Commander; (5) Method and discipline.
- 5,6. The Moral Law causes the people to be in complete accord with their ruler, so that they will follow him regardless of their lives, undismayed by any danger.
7. Heaven signifies night and day, cold and heat, times and seasons.
8. Earth comprises distances, great and small; danger and security; open ground and narrow passes; the chances of life and death.
9. The Commander stands for the virtues of wisdom, sincerely, benevolence, courage and strictness.
10. By method and discipline are to be understood the marshaling of the army in its proper subdivisions, the graduations of rank among the officers, the maintenance of roads by which supplies may reach the army, and the control of military expenditure.
11. These five heads should be familiar to every general: he who knows them will be victorious; he who knows them not will fail.
12. Therefore, in your deliberations, when seeking to determine the military conditions, let them be made the basis of a comparison, in this wise:--
13. (1) Which of the two sovereigns is imbued with the Moral law?
(2) Which of the two generals has most ability?
(3) With whom lie the advantages derived from Heaven and Earth?
(4) On which side is discipline most rigorously enforced?
(5) Which army is stronger?
(6) On which side are officers and men more highly trained?
(7) In which army is there the greater constancy both in reward and punishment?
14. By means of these seven considerations I can

forecast victory or defeat.

15. The general that hearkens to my counsel and acts upon it, will conquer: let such a one be retained in command! The general that hearkens not to my counsel nor acts upon it, will suffer defeat:--let such a one be dismissed!
16. While heading the profit of my counsel, avail yourself also of any helpful circumstances over and beyond the ordinary rules.
17. According as circumstances are favorable, one should modify one's plans.
18. All warfare is based on deception.
19. Hence, when able to attack, we must seem unable; when using our forces, we must seem inactive; when we are near, we must make the enemy believe we are far away; when far away, we must make him believe we are near.
20. Hold out baits to entice the enemy. Feign disorder, and crush him.
21. If he is secure at all points, be prepared for him. If he is in superior strength, evade him.
22. If your opponent is of choleric temper, seek to irritate him. Pretend to be weak, that he may grow arrogant.
23. If he is taking his ease, give him no rest. If his forces are united, separate them.
24. Attack him where he is unprepared, appear where you are not expected.
25. These military devices, leading to victory, must not be divulged beforehand.
26. Now the general who wins a battle makes many calculations in his temple ere the battle is fought. The general who loses a battle makes but few calculations beforehand. Thus do many calculations lead to victory, and few calculations to defeat: how much more no calculation at all! It is by attention to this point that I can foresee who is likely to win or lose.

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II. WAGING WAR

1. Sun Tzu said: In the operations of war, where there are in the field a thousand swift chariots, as many heavy chariots, and a hundred thousand mail-clad soldiers, with provisions enough to carry them

a thousand li, the expenditure at home and at the front, including entertainment of guests, small items such as glue and paint, and sums spent on chariots and armor, will reach the total of a thousand ounces of silver per day. Such is the cost of raising an army of 100,000 men.

2. When you engage in actual fighting, if victory is long in coming, then men's weapons will grow dull and their ardor will be damped. If you lay siege to a town, you will exhaust your strength.
3. Again, if the campaign is protracted, the resources of the State will not be equal to the strain.
4. Now, when your weapons are dulled, your ardor damped, your strength exhausted and your treasure spent, other chieftains will spring up to take advantage of your extremity. Then no man, however wise, will be able to avert the consequences that must ensue.
5. Thus, though we have heard of stupid haste in war, cleverness has never been seen associated with long delays.
6. There is no instance of a country having benefited from prolonged warfare.
7. It is only one who is thoroughly acquainted with the evils of war that can thoroughly understand the profitable way of carrying it on.
8. The skillful soldier does not raise a second levy, neither are his supply-wagons loaded more than twice.
9. Bring war material with you from home, but forage on the enemy. Thus the army will have food enough for its needs.
10. Poverty of the State exchequer causes an army to be maintained by contributions from a distance. Contributing to maintain an army at a distance causes the people to be impoverished.
11. On the other hand, the proximity of an army causes prices to go up; and high prices cause the people's substance to be drained away.
12. When their substance is drained away, the peasantry will be afflicted by heavy exactions.
- 13,14. With this loss of substance and exhaustion of strength, the homes of the people will be stripped bare, and three-tenths of their income will be dissipated; while government expenses for broken chariots, worn-out horses, breast-plates and helmets, bows and arrows, spears and shields, protective mantles, draught-oxen and heavy wagons, will amount to four-tenths of its total revenue.
15. Hence a wise general makes a point of foraging

on the enemy. One cartload of the enemy's provisions is equivalent to twenty of one's own, and likewise a single picul of his provender is equivalent to twenty from one's own store.

16. Now in order to kill the enemy, our men must be roused to anger; that there may be advantage from defeating the enemy, they must have their rewards.
17. Therefore in chariot fighting, when ten or more chariots have been taken, those should be rewarded who took the first. Our own flags should be substituted for those of the enemy, and the chariots mingled and used in conjunction with ours. The captured soldiers should be kindly treated and kept.
18. This is called, using the conquered foe to augment one's own strength.
19. In war, then, let your great object be victory, not lengthy campaigns.
20. Thus it may be known that the leader of armies is the arbiter of the people's fate, the man on whom it depends whether the nation shall be in peace or in peril.

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III. ATTACK BY STRATAGEM

1. Sun Tzu said: In the practical art of war, the best thing of all is to take the enemy's country whole and intact; to shatter and destroy it is not so good. So, too, it is better to recapture an army entire than to destroy it, to capture a regiment, a detachment or a company entire than to destroy them.
2. Hence to fight and conquer in all your battles is not supreme excellence; supreme excellence consists in breaking the enemy's resistance without fighting.
3. Thus the highest form of generalship is to balk the enemy's plans; the next best is to prevent the junction of the enemy's forces; the next in order is to attack the enemy's army in the field; and the worst policy of all is to besiege walled cities.
4. The rule is, not to besiege walled cities if it can possibly be avoided. The preparation of mantlets, movable shelters, and various implements of war, will take up three whole months; and the piling up of mounds over against the walls will take three months more.
5. The general, unable to control his irritation, will launch his men to the assault like swarming ants, with the result that one-third of his men are slain,

while the town still remains untaken. Such are the disastrous effects of a siege.

6. Therefore the skillful leader subdues the enemy's troops without any fighting; he captures their cities without laying siege to them; he overthrows their kingdom without lengthy operations in the field.
7. With his forces intact he will dispute the mastery of the Empire, and thus, without losing a man, his triumph will be complete. This is the method of attacking by stratagem.
8. It is the rule in war, if our forces are ten to the enemy's one, to surround him; if five to one, to attack him; if twice as numerous, to divide our army into two.
9. If equally matched, we can offer battle; if slightly inferior in numbers, we can avoid the enemy; if quite unequal in every way, we can flee from him.
10. Hence, though an obstinate fight may be made by a small force, in the end it must be captured by the larger force.
11. Now the general is the bulwark of the State; if the bulwark is complete at all points; the State will be strong; if the bulwark is defective, the State will be weak.
12. There are three ways in which a ruler can bring misfortune upon his army:--
13. (1) By commanding the army to advance or to retreat, being ignorant of the fact that it cannot obey. This is called hobbling the army.
14. (2) By attempting to govern an army in the same way as he administers a kingdom, being ignorant of the conditions which obtain in an army. This causes restlessness in the soldier's minds.
15. (3) By employing the officers of his army without discrimination, through ignorance of the military principle of adaptation to circumstances. This shakes the confidence of the soldiers.
16. But when the army is restless and distrustful, trouble is sure to come from the other feudal princes. This is simply bringing anarchy into the army, and flinging victory away.
17. Thus we may know that there are five essentials for victory:
 - (1) He will win who knows when to fight and when not to fight.
 - (2) He will win who knows how to handle both superior

and inferior forces.

- (3) He will win whose army is animated by the same spirit throughout all its ranks.
- (4) He will win who, prepared himself, waits to take the enemy unprepared.
- (5) He will win who has military capacity and is not interfered with by the sovereign.

18. Hence the saying: If you know the enemy and know yourself, you need not fear the result of a hundred battles. If you know yourself but not the enemy, for every victory gained you will also suffer a defeat. If you know neither the enemy nor yourself, you will succumb in every battle.

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IV. TACTICAL DISPOSITIONS

- 1. Sun Tzu said: The good fighters of old first put themselves beyond the possibility of defeat, and then waited for an opportunity of defeating the enemy.
- 2. To secure ourselves against defeat lies in our own hands, but the opportunity of defeating the enemy is provided by the enemy himself.
- 3. Thus the good fighter is able to secure himself against defeat, but cannot make certain of defeating the enemy.
- 4. Hence the saying: One may know how to conquer without being able to do it.
- 5. Security against defeat implies defensive tactics; ability to defeat the enemy means taking the offensive.
- 6. Standing on the defensive indicates insufficient strength; attacking, a superabundance of strength.
- 7. The general who is skilled in defense hides in the most secret recesses of the earth; he who is skilled in attack flashes forth from the topmost heights of heaven. Thus on the one hand we have ability to protect ourselves; on the other, a victory that is complete.
- 8. To see victory only when it is within the ken of the common herd is not the acme of excellence.
- 9. Neither is it the acme of excellence if you fight and conquer and the whole Empire says, "Well done!"
- 10. To lift an autumn hair is no sign of great strength; to see the sun and moon is no sign of sharp sight; to hear the noise of thunder is no sign of a quick ear.
- 11. What the ancients called a clever fighter is

one who not only wins, but excels in winning with ease.

12. Hence his victories bring him neither reputation for wisdom nor credit for courage.
13. He wins his battles by making no mistakes. Making no mistakes is what establishes the certainty of victory, for it means conquering an enemy that is already defeated.
14. Hence the skillful fighter puts himself into a position which makes defeat impossible, and does not miss the moment for defeating the enemy.
15. Thus it is that in war the victorious strategist only seeks battle after the victory has been won, whereas he who is destined to defeat first fights and afterwards looks for victory.
16. The consummate leader cultivates the moral law, and strictly adheres to method and discipline; thus it is in his power to control success.
17. In respect of military method, we have, firstly, Measurement; secondly, Estimation of quantity; thirdly, Calculation; fourthly, Balancing of chances; fifthly, Victory.
18. Measurement owes its existence to Earth; Estimation of quantity to Measurement; Calculation to Estimation of quantity; Balancing of chances to Calculation; and Victory to Balancing of chances.
19. A victorious army opposed to a routed one, is as a pound's weight placed in the scale against a single grain.
20. The onrush of a conquering force is like the bursting of pent-up waters into a chasm a thousand fathoms deep.

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V. ENERGY

1. Sun Tzu said: The control of a large force is the same principle as the control of a few men: it is merely a question of dividing up their numbers.
2. Fighting with a large army under your command is nowise different from fighting with a small one: it is merely a question of instituting signs and signals.
3. To ensure that your whole host may withstand the brunt of the enemy's attack and remain unshaken--

this is effected by maneuvers direct and indirect.

4. That the impact of your army may be like a grindstone dashed against an egg--this is effected by the science of weak points and strong.
5. In all fighting, the direct method may be used for joining battle, but indirect methods will be needed in order to secure victory.
6. Indirect tactics, efficiently applied, are inexhaustible as Heaven and Earth, unending as the flow of rivers and streams; like the sun and moon, they end but to begin anew; like the four seasons, they pass away to return once more.
7. There are not more than five musical notes, yet the combinations of these five give rise to more melodies than can ever be heard.
8. There are not more than five primary colors (blue, yellow, red, white, and black), yet in combination they produce more hues than can ever been seen.
9. There are not more than five cardinal tastes (sour, acrid, salt, sweet, bitter), yet combinations of them yield more flavors than can ever be tasted.
10. In battle, there are not more than two methods of attack--the direct and the indirect; yet these two in combination give rise to an endless series of maneuvers.
11. The direct and the indirect lead on to each other in turn. It is like moving in a circle--you never come to an end. Who can exhaust the possibilities of their combination?
12. The onset of troops is like the rush of a torrent which will even roll stones along in its course.
13. The quality of decision is like the well-timed swoop of a falcon which enables it to strike and destroy its victim.
14. Therefore the good fighter will be terrible in his onset, and prompt in his decision.
15. Energy may be likened to the bending of a crossbow; decision, to the releasing of a trigger.
16. Amid the turmoil and tumult of battle, there may be seeming disorder and yet no real disorder at all; amid confusion and chaos, your array may be without head or tail, yet it will be proof against defeat.
17. Simulated disorder postulates perfect discipline, simulated fear postulates courage; simulated weakness postulates strength.

18. Hiding order beneath the cloak of disorder is simply a question of subdivision; concealing courage under a show of timidity presupposes a fund of latent energy; masking strength with weakness is to be effected by tactical dispositions.
19. Thus one who is skillful at keeping the enemy on the move maintains deceitful appearances, according to which the enemy will act. He sacrifices something, that the enemy may snatch at it.
20. By holding out baits, he keeps him on the march; then with a body of picked men he lies in wait for him.
21. The clever combatant looks to the effect of combined energy, and does not require too much from individuals. Hence his ability to pick out the right men and utilize combined energy.
22. When he utilizes combined energy, his fighting men become as it were like unto rolling logs or stones. For it is the nature of a log or stone to remain motionless on level ground, and to move when on a slope; if four-cornered, to come to a standstill, but if round-shaped, to go rolling down.
23. Thus the energy developed by good fighting men is as the momentum of a round stone rolled down a mountain thousands of feet in height. So much on the subject of energy.

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VI. WEAK POINTS AND STRONG

1. Sun Tzu said: Whoever is first in the field and awaits the coming of the enemy, will be fresh for the fight; whoever is second in the field and has to hasten to battle will arrive exhausted.
2. Therefore the clever combatant imposes his will on the enemy, but does not allow the enemy's will to be imposed on him.
3. By holding out advantages to him, he can cause the enemy to approach of his own accord; or, by inflicting damage, he can make it impossible for the enemy to draw near.
4. If the enemy is taking his ease, he can harass him; if well supplied with food, he can starve him out; if quietly encamped, he can force him to move.
5. Appear at points which the enemy must hasten to defend; march swiftly to places where you are not expected.
6. An army may march great distances without distress,

if it marches through country where the enemy is not.

7. You can be sure of succeeding in your attacks if you only attack places which are undefended. You can ensure the safety of your defense if you only hold positions that cannot be attacked.
8. Hence that general is skillful in attack whose opponent does not know what to defend; and he is skillful in defense whose opponent does not know what to attack.
9. O divine art of subtlety and secrecy! Through you we learn to be invisible, through you inaudible; and hence we can hold the enemy's fate in our hands.
10. You may advance and be absolutely irresistible, if you make for the enemy's weak points; you may retire and be safe from pursuit if your movements are more rapid than those of the enemy.
11. If we wish to fight, the enemy can be forced to an engagement even though he be sheltered behind a high rampart and a deep ditch. All we need do is attack some other place that he will be obliged to relieve.
12. If we do not wish to fight, we can prevent the enemy from engaging us even though the lines of our encampment be merely traced out on the ground. All we need do is to throw something odd and unaccountable in his way.
13. By discovering the enemy's dispositions and remaining invisible ourselves, we can keep our forces concentrated, while the enemy's must be divided.
14. We can form a single united body, while the enemy must split up into fractions. Hence there will be a whole pitted against separate parts of a whole, which means that we shall be many to the enemy's few.
15. And if we are able thus to attack an inferior force with a superior one, our opponents will be in dire straits.
16. The spot where we intend to fight must not be made known; for then the enemy will have to prepare against a possible attack at several different points; and his forces being thus distributed in many directions, the numbers we shall have to face at any given point will be proportionately few.
17. For should the enemy strengthen his van, he will weaken his rear; should he strengthen his rear, he will weaken his van; should he strengthen his left, he will weaken his right; should he strengthen his right, he will weaken his left. If he sends reinforcements everywhere, he will everywhere be weak.

18. Numerical weakness comes from having to prepare against possible attacks; numerical strength, from compelling our adversary to make these preparations against us.
19. Knowing the place and the time of the coming battle, we may concentrate from the greatest distances in order to fight.
20. But if neither time nor place be known, then the left wing will be impotent to succor the right, the right equally impotent to succor the left, the van unable to relieve the rear, or the rear to support the van. How much more so if the furthest portions of the army are anything under a hundred LI apart, and even the nearest are separated by several LI!
21. Though according to my estimate the soldiers of Yueh exceed our own in number, that shall advantage them nothing in the matter of victory. I say then that victory can be achieved.
22. Though the enemy be stronger in numbers, we may prevent him from fighting. Scheme so as to discover his plans and the likelihood of their success.
23. Rouse him, and learn the principle of his activity or inactivity. Force him to reveal himself, so as to find out his vulnerable spots.
24. Carefully compare the opposing army with your own, so that you may know where strength is superabundant and where it is deficient.
25. In making tactical dispositions, the highest pitch you can attain is to conceal them; conceal your dispositions, and you will be safe from the prying of the subtlest spies, from the machinations of the wisest brains.
26. How victory may be produced for them out of the enemy's own tactics--that is what the multitude cannot comprehend.
27. All men can see the tactics whereby I conquer, but what none can see is the strategy out of which victory is evolved.
28. Do not repeat the tactics which have gained you one victory, but let your methods be regulated by the infinite variety of circumstances.
29. Military tactics are like unto water; for water in its natural course runs away from high places and hastens downwards.
30. So in war, the way is to avoid what is strong and to strike at what is weak.
31. Water shapes its course according to the nature of the ground over which it flows; the soldier works

out his victory in relation to the foe whom he is facing.

32. Therefore, just as water retains no constant shape, so in warfare there are no constant conditions.
33. He who can modify his tactics in relation to his opponent and thereby succeed in winning, may be called a heaven-born captain.
34. The five elements (water, fire, wood, metal, earth) are not always equally predominant; the four seasons make way for each other in turn. There are short days and long; the moon has its periods of waning and waxing.

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VII. MANEUVERING

1. Sun Tzu said: In war, the general receives his commands from the sovereign.
2. Having collected an army and concentrated his forces, he must blend and harmonize the different elements thereof before pitching his camp.
3. After that, comes tactical maneuvering, than which there is nothing more difficult. The difficulty of tactical maneuvering consists in turning the devious into the direct, and misfortune into gain.
4. Thus, to take a long and circuitous route, after enticing the enemy out of the way, and though starting after him, to contrive to reach the goal before him, shows knowledge of the artifice of DEVIATION.
5. Maneuvering with an army is advantageous; with an undisciplined multitude, most dangerous.
6. If you set a fully equipped army in march in order to snatch an advantage, the chances are that you will be too late. On the other hand, to detach a flying column for the purpose involves the sacrifice of its baggage and stores.
7. Thus, if you order your men to roll up their buff-coats, and make forced marches without halting day or night, covering double the usual distance at a stretch, doing a hundred LI in order to wrest an advantage, the leaders of all your three divisions will fall into the hands of the enemy.
8. The stronger men will be in front, the jaded ones will fall behind, and on this plan only one-tenth of your army will reach its destination.

9. If you march fifty LI in order to outmaneuver the enemy, you will lose the leader of your first division, and only half your force will reach the goal.
10. If you march thirty LI with the same object, two-thirds of your army will arrive.
11. We may take it then that an army without its baggage-train is lost; without provisions it is lost; without bases of supply it is lost.
12. We cannot enter into alliances until we are acquainted with the designs of our neighbors.
13. We are not fit to lead an army on the march unless we are familiar with the face of the country--its mountains and forests, its pitfalls and precipices, its marshes and swamps.
14. We shall be unable to turn natural advantage to account unless we make use of local guides.
15. In war, practice dissimulation, and you will succeed.
16. Whether to concentrate or to divide your troops, must be decided by circumstances.
17. Let your rapidity be that of the wind, your compactness that of the forest.
18. In raiding and plundering be like fire, is immovability like a mountain.
19. Let your plans be dark and impenetrable as night, and when you move, fall like a thunderbolt.
20. When you plunder a countryside, let the spoil be divided amongst your men; when you capture new territory, cut it up into allotments for the benefit of the soldiery.
21. Ponder and deliberate before you make a move.
22. He will conquer who has learnt the artifice of deviation. Such is the art of maneuvering.
23. The Book of Army Management says: On the field of battle, the spoken word does not carry far enough: hence the institution of gongs and drums. Nor can ordinary objects be seen clearly enough: hence the institution of banners and flags.
24. Gongs and drums, banners and flags, are means whereby the ears and eyes of the host may be focused on one particular point.
25. The host thus forming a single united body, is it impossible either for the brave to advance alone,

or for the cowardly to retreat alone. This is the art of handling large masses of men.

26. In night-fighting, then, make much use of signal-fires and drums, and in fighting by day, of flags and banners, as a means of influencing the ears and eyes of your army.
 27. A whole army may be robbed of its spirit; a commander-in-chief may be robbed of his presence of mind.
 28. Now a soldier's spirit is keenest in the morning; by noonday it has begun to flag; and in the evening, his mind is bent only on returning to camp.
 29. A clever general, therefore, avoids an army when its spirit is keen, but attacks it when it is sluggish and inclined to return. This is the art of studying moods.
 30. Disciplined and calm, to await the appearance of disorder and hubbub amongst the enemy:--this is the art of retaining self-possession.
 31. To be near the goal while the enemy is still far from it, to wait at ease while the enemy is toiling and struggling, to be well-fed while the enemy is famished:--this is the art of husbanding one's strength.
 32. To refrain from intercepting an enemy whose banners are in perfect order, to refrain from attacking an army drawn up in calm and confident array:--this is the art of studying circumstances.
 33. It is a military axiom not to advance uphill against the enemy, nor to oppose him when he comes downhill.
 34. Do not pursue an enemy who simulates flight; do not attack soldiers whose temper is keen.
 35. Do not swallow bait offered by the enemy. Do not interfere with an army that is returning home.
 36. When you surround an army, leave an outlet free. Do not press a desperate foe too hard.
 37. Such is the art of warfare.
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VIII. VARIATION IN TACTICS

1. Sun Tzu said: In war, the general receives his commands from the sovereign, collects his army and concentrates his forces
2. When in difficult country, do not encamp. In country

where high roads intersect, join hands with your allies.
Do not linger in dangerously isolated positions.
In hemmed-in situations, you must resort to stratagem.
In desperate position, you must fight.

3. There are roads which must not be followed, armies which must not be attacked, towns which must be besieged, positions which must not be contested, commands of the sovereign which must not be obeyed.
4. The general who thoroughly understands the advantages that accompany variation of tactics knows how to handle his troops.
5. The general who does not understand these, may be well acquainted with the configuration of the country, yet he will not be able to turn his knowledge to practical account.
6. So, the student of war who is unversed in the art of war of varying his plans, even though he be acquainted with the Five Advantages, will fail to make the best use of his men.
7. Hence in the wise leader's plans, considerations of advantage and of disadvantage will be blended together.
8. If our expectation of advantage be tempered in this way, we may succeed in accomplishing the essential part of our schemes.
9. If, on the other hand, in the midst of difficulties we are always ready to seize an advantage, we may extricate ourselves from misfortune.
10. Reduce the hostile chiefs by inflicting damage on them; and make trouble for them, and keep them constantly engaged; hold out specious allurements, and make them rush to any given point.
11. The art of war teaches us to rely not on the likelihood of the enemy's not coming, but on our own readiness to receive him; not on the chance of his not attacking, but rather on the fact that we have made our position unassailable.
12. There are five dangerous faults which may affect a general:
 - (1) Recklessness, which leads to destruction;
 - (2) cowardice, which leads to capture;
 - (3) a hasty temper, which can be provoked by insults;
 - (4) a delicacy of honor which is sensitive to shame;
 - (5) over-solicitude for his men, which exposes him to worry and trouble.
13. These are the five besetting sins of a general, ruinous to the conduct of war.
14. When an army is overthrown and its leader slain,

the cause will surely be found among these five dangerous faults. Let them be a subject of meditation.
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IX. THE ARMY ON THE MARCH

1. Sun Tzu said: We come now to the question of encamping the army, and observing signs of the enemy. Pass quickly over mountains, and keep in the neighborhood of valleys.
2. Camp in high places, facing the sun. Do not climb heights in order to fight. So much for mountain warfare.
3. After crossing a river, you should get far away from it.
4. When an invading force crosses a river in its onward march, do not advance to meet it in mid-stream. It will be best to let half the army get across, and then deliver your attack.
5. If you are anxious to fight, you should not go to meet the invader near a river which he has to cross.
6. Moor your craft higher up than the enemy, and facing the sun. Do not move up-stream to meet the enemy. So much for river warfare.
7. In crossing salt-marshes, your sole concern should be to get over them quickly, without any delay.
8. If forced to fight in a salt-marsh, you should have water and grass near you, and get your back to a clump of trees. So much for operations in salt-marches.
9. In dry, level country, take up an easily accessible position with rising ground to your right and on your rear, so that the danger may be in front, and safety lie behind. So much for campaigning in flat country.
10. These are the four useful branches of military knowledge which enabled the Yellow Emperor to vanquish four several sovereigns.
11. All armies prefer high ground to low and sunny places to dark.
12. If you are careful of your men, and camp on hard ground, the army will be free from disease of every kind, and this will spell victory.
13. When you come to a hill or a bank, occupy the sunny side, with the slope on your right rear.

Thus you will at once act for the benefit of your soldiers and utilize the natural advantages of the ground.

14. When, in consequence of heavy rains up-country, a river which you wish to ford is swollen and flecked with foam, you must wait until it subsides.
15. Country in which there are precipitous cliffs with torrents running between, deep natural hollows, confined places, tangled thickets, quagmires and crevasses, should be left with all possible speed and not approached.
16. While we keep away from such places, we should get the enemy to approach them; while we face them, we should let the enemy have them on his rear.
17. If in the neighborhood of your camp there should be any hilly country, ponds surrounded by aquatic grass, hollow basins filled with reeds, or woods with thick undergrowth, they must be carefully routed out and searched; for these are places where men in ambush or insidious spies are likely to be lurking.
18. When the enemy is close at hand and remains quiet, he is relying on the natural strength of his position.
19. When he keeps aloof and tries to provoke a battle, he is anxious for the other side to advance.
20. If his place of encampment is easy of access, he is tendering a bait.
21. Movement amongst the trees of a forest shows that the enemy is advancing. The appearance of a number of screens in the midst of thick grass means that the enemy wants to make us suspicious.
22. The rising of birds in their flight is the sign of an ambuscade. Startled beasts indicate that a sudden attack is coming.
23. When there is dust rising in a high column, it is the sign of chariots advancing; when the dust is low, but spread over a wide area, it betokens the approach of infantry. When it branches out in different directions, it shows that parties have been sent to collect firewood. A few clouds of dust moving to and fro signify that the army is encamping.
24. Humble words and increased preparations are signs that the enemy is about to advance. Violent language and driving forward as if to the attack are signs that he will retreat.
25. When the light chariots come out first and take up a position on the wings, it is a sign that the enemy is forming for battle.

26. Peace proposals unaccompanied by a sworn covenant indicate a plot.
27. When there is much running about and the soldiers fall into rank, it means that the critical moment has come.
28. When some are seen advancing and some retreating, it is a lure.
29. When the soldiers stand leaning on their spears, they are faint from want of food.
30. If those who are sent to draw water begin by drinking themselves, the army is suffering from thirst.
31. If the enemy sees an advantage to be gained and makes no effort to secure it, the soldiers are exhausted.
32. If birds gather on any spot, it is unoccupied. Clamor by night betokens nervousness.
33. If there is disturbance in the camp, the general's authority is weak. If the banners and flags are shifted about, sedition is afoot. If the officers are angry, it means that the men are weary.
34. When an army feeds its horses with grain and kills its cattle for food, and when the men do not hang their cooking-pots over the camp-fires, showing that they will not return to their tents, you may know that they are determined to fight to the death.
35. The sight of men whispering together in small knots or speaking in subdued tones points to disaffection amongst the rank and file.
36. Too frequent rewards signify that the enemy is at the end of his resources; too many punishments betray a condition of dire distress.
37. To begin by bluster, but afterwards to take fright at the enemy's numbers, shows a supreme lack of intelligence.
38. When envoys are sent with compliments in their mouths, it is a sign that the enemy wishes for a truce.
39. If the enemy's troops march up angrily and remain facing ours for a long time without either joining battle or taking themselves off again, the situation is one that demands great vigilance and circumspection.
40. If our troops are no more in number than the enemy, that is amply sufficient; it only means that no direct attack can be made. What we can do is simply to concentrate all our available strength, keep a close watch on the enemy, and obtain reinforcements.

41. He who exercises no forethought but makes light of his opponents is sure to be captured by them.
 42. If soldiers are punished before they have grown attached to you, they will not prove submissive; and, unless submissive, then will be practically useless. If, when the soldiers have become attached to you, punishments are not enforced, they will still be useless.
 43. Therefore soldiers must be treated in the first instance with humanity, but kept under control by means of iron discipline. This is a certain road to victory.
 44. If in training soldiers commands are habitually enforced, the army will be well-disciplined; if not, its discipline will be bad.
 45. If a general shows confidence in his men but always insists on his orders being obeyed, the gain will be mutual.
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X. TERRAIN

1. Sun Tzu said: We may distinguish six kinds of terrain, to wit: (1) Accessible ground; (2) entangling ground; (3) temporizing ground; (4) narrow passes; (5) precipitous heights; (6) positions at a great distance from the enemy.
2. Ground which can be freely traversed by both sides is called accessible.
3. With regard to ground of this nature, be before the enemy in occupying the raised and sunny spots, and carefully guard your line of supplies. Then you will be able to fight with advantage.
4. Ground which can be abandoned but is hard to re-occupy is called entangling.
5. From a position of this sort, if the enemy is unprepared, you may sally forth and defeat him. But if the enemy is prepared for your coming, and you fail to defeat him, then, return being impossible, disaster will ensue.
6. When the position is such that neither side will gain by making the first move, it is called temporizing ground.
7. In a position of this sort, even though the enemy should offer us an attractive bait, it will be advisable not to stir forth, but rather to retreat, thus enticing the enemy in his turn; then, when part of his army has come out, we may deliver our attack with advantage.

8. With regard to narrow passes, if you can occupy them first, let them be strongly garrisoned and await the advent of the enemy.
9. Should the army forestall you in occupying a pass, do not go after him if the pass is fully garrisoned, but only if it is weakly garrisoned.
10. With regard to precipitous heights, if you are beforehand with your adversary, you should occupy the raised and sunny spots, and there wait for him to come up.
11. If the enemy has occupied them before you, do not follow him, but retreat and try to entice him away.
12. If you are situated at a great distance from the enemy, and the strength of the two armies is equal, it is not easy to provoke a battle, and fighting will be to your disadvantage.
13. These six are the principles connected with Earth. The general who has attained a responsible post must be careful to study them.
14. Now an army is exposed to six several calamities, not arising from natural causes, but from faults for which the general is responsible. These are:
(1) Flight; (2) insubordination; (3) collapse; (4) ruin;
(5) disorganization; (6) rout.
15. Other conditions being equal, if one force is hurled against another ten times its size, the result will be the flight of the former.
16. When the common soldiers are too strong and their officers too weak, the result is insubordination. When the officers are too strong and the common soldiers too weak, the result is collapse.
17. When the higher officers are angry and insubordinate, and on meeting the enemy give battle on their own account from a feeling of resentment, before the commander-in-chief can tell whether or no he is in a position to fight, the result is ruin.
18. When the general is weak and without authority; when his orders are not clear and distinct; when there are no fixed duties assigned to officers and men, and the ranks are formed in a slovenly haphazard manner, the result is utter disorganization.
19. When a general, unable to estimate the enemy's strength, allows an inferior force to engage a larger one, or hurls a weak detachment against a powerful one, and neglects to place picked soldiers in the front rank, the result must be rout.

20. These are six ways of courting defeat, which must be carefully noted by the general who has attained a responsible post.
21. The natural formation of the country is the soldier's best ally; but a power of estimating the adversary, of controlling the forces of victory, and of shrewdly calculating difficulties, dangers and distances, constitutes the test of a great general.
22. He who knows these things, and in fighting puts his knowledge into practice, will win his battles. He who knows them not, nor practices them, will surely be defeated.
23. If fighting is sure to result in victory, then you must fight, even though the ruler forbid it; if fighting will not result in victory, then you must not fight even at the ruler's bidding.
24. The general who advances without coveting fame and retreats without fearing disgrace, whose only thought is to protect his country and do good service for his sovereign, is the jewel of the kingdom.
25. Regard your soldiers as your children, and they will follow you into the deepest valleys; look upon them as your own beloved sons, and they will stand by you even unto death.
26. If, however, you are indulgent, but unable to make your authority felt; kind-hearted, but unable to enforce your commands; and incapable, moreover, of quelling disorder: then your soldiers must be likened to spoilt children; they are useless for any practical purpose.
27. If we know that our own men are in a condition to attack, but are unaware that the enemy is not open to attack, we have gone only halfway towards victory.
28. If we know that the enemy is open to attack, but are unaware that our own men are not in a condition to attack, we have gone only halfway towards victory.
29. If we know that the enemy is open to attack, and also know that our men are in a condition to attack, but are unaware that the nature of the ground makes fighting impracticable, we have still gone only halfway towards victory.
30. Hence the experienced soldier, once in motion, is never bewildered; once he has broken camp, he is never at a loss.
31. Hence the saying: If you know the enemy and know yourself, your victory will not stand in doubt;

if you know Heaven and know Earth, you may make your victory complete.

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XI. THE NINE SITUATIONS

1. Sun Tzu said: The art of war recognizes nine varieties of ground:
(1) Dispersive ground; (2) facile ground; (3) contentious ground;
(4) open ground; (5) ground of intersecting highways;
(6) serious ground; (7) difficult ground; (8) hemmed-in ground;
(9) desperate ground.
2. When a chieftain is fighting in his own territory,
it is dispersive ground.
3. When he has penetrated into hostile territory,
but to no great distance, it is facile ground.
4. Ground the possession of which imports great
advantage to either side, is contentious ground.
5. Ground on which each side has liberty of movement
is open ground.
6. Ground which forms the key to three contiguous states,
so that he who occupies it first has most of the Empire
at his command, is a ground of intersecting highways.
7. When an army has penetrated into the heart of a
hostile country, leaving a number of fortified cities
in its rear, it is serious ground.
8. Mountain forests, rugged steeps, marshes and fens--all
country that is hard to traverse: this is difficult ground.
9. Ground which is reached through narrow gorges,
and from which we can only retire by tortuous paths,
so that a small number of the enemy would suffice to crush
a large body of our men: this is hemmed in ground.
10. Ground on which we can only be saved from
destruction by fighting without delay, is desperate ground.
11. On dispersive ground, therefore, fight not.
On facile ground, halt not. On contentious ground,
attack not.
12. On open ground, do not try to block the enemy's way.
On the ground of intersecting highways, join hands
with your allies.
13. On serious ground, gather in plunder.
In difficult ground, keep steadily on the march.

14. On hemmed-in ground, resort to stratagem.
On desperate ground, fight.
15. Those who were called skillful leaders of old knew
how to drive a wedge between the enemy's front and rear;
to prevent co-operation between his large and small divisions;
to hinder the good troops from rescuing the bad,
the officers from rallying their men.
16. When the enemy's men were united, they managed
to keep them in disorder.
17. When it was to their advantage, they made
a forward move; when otherwise, they stopped still.
18. If asked how to cope with a great host of the enemy
in orderly array and on the point of marching to the attack,
I should say: "Begin by seizing something which your
opponent holds dear; then he will be amenable to your will."
19. Rapidity is the essence of war: take advantage of
the enemy's unreadiness, make your way by unexpected routes,
and attack unguarded spots.
20. The following are the principles to be observed
by an invading force: The further you penetrate into
a country, the greater will be the solidarity of your troops,
and thus the defenders will not prevail against you.
21. Make forays in fertile country in order to supply
your army with food.
22. Carefully study the well-being of your men,
and do not overtax them. Concentrate your energy and hoard
your strength. Keep your army continually on the move,
and devise unfathomable plans.
23. Throw your soldiers into positions whence there
is no escape, and they will prefer death to flight.
If they will face death, there is nothing they may
not achieve. Officers and men alike will put forth
their uttermost strength.
24. Soldiers when in desperate straits lose
the sense of fear. If there is no place of refuge,
they will stand firm. If they are in hostile country,
they will show a stubborn front. If there is no help
for it, they will fight hard.
25. Thus, without waiting to be marshaled, the soldiers
will be constantly on the qui vive; without waiting to
be asked, they will do your will; without restrictions,
they will be faithful; without giving orders, they can
be trusted.
26. Prohibit the taking of omens, and do away with

superstitious doubts. Then, until death itself comes,
no calamity need be feared.

27. If our soldiers are not overburdened with money,
it is not because they have a distaste for riches;
if their lives are not unduly long, it is not because they
are disinclined to longevity.
28. On the day they are ordered out to battle,
your soldiers may weep, those sitting up bedewing
their garments, and those lying down letting the tears run
down their cheeks. But let them once be brought to bay,
and they will display the courage of a Chu or a Kuei.
29. The skillful tactician may be likened to the
shuai-jan. Now the shuai-jan is a snake that is found
in the Ch'ung mountains. Strike at its head, and you
will be attacked by its tail; strike at its tail, and you
will be attacked by its head; strike at its middle,
and you will be attacked by head and tail both.
30. Asked if an army can be made to imitate the shuai-jan,
I should answer, Yes. For the men of Wu and the men
of Yueh are enemies; yet if they are crossing a river
in the same boat and are caught by a storm, they will come
to each other's assistance just as the left hand helps the right.
31. Hence it is not enough to put one's trust
in the tethering of horses, and the burying of chariot
wheels in the ground
32. The principle on which to manage an army is to set
up one standard of courage which all must reach.
33. How to make the best of both strong and weak--that
is a question involving the proper use of ground.
34. Thus the skillful general conducts his army just
as though he were leading a single man, willy-nilly, by
the hand.
35. It is the business of a general to be quiet and thus
ensure secrecy; upright and just, and thus maintain order.
36. He must be able to mystify his officers and men
by false reports and appearances, and thus keep them
in total ignorance.
37. By altering his arrangements and changing
his plans, he keeps the enemy without definite knowledge.
By shifting his camp and taking circuitous routes,
he prevents the enemy from anticipating his purpose.
38. At the critical moment, the leader of an army
acts like one who has climbed up a height and then kicks
away the ladder behind him. He carries his men deep
into hostile territory before he shows his hand.

39. He burns his boats and breaks his cooking-pots;
like a shepherd driving a flock of sheep, he drives
his men this way and that, and nothing knows whither he
is going.
40. To muster his host and bring it into danger:--this
may be termed the business of the general.
41. The different measures suited to the nine
varieties of ground; the expediency of aggressive or
defensive tactics; and the fundamental laws of human nature:
these are things that must most certainly be studied.
42. When invading hostile territory, the general
principle is, that penetrating deeply brings cohesion;
penetrating but a short way means dispersion.
43. When you leave your own country behind, and take
your army across neighborhood territory, you find yourself
on critical ground. When there are means of communication
on all four sides, the ground is one of intersecting highways.
44. When you penetrate deeply into a country, it is
serious ground. When you penetrate but a little way,
it is facile ground.
45. When you have the enemy's strongholds on your rear,
and narrow passes in front, it is hemmed-in ground.
When there is no place of refuge at all, it is desperate ground.
46. Therefore, on dispersive ground, I would inspire
my men with unity of purpose. On facile ground, I would
see that there is close connection between all parts
of my army.
47. On contentious ground, I would hurry up my rear.
48. On open ground, I would keep a vigilant eye
on my defenses. On ground of intersecting highways,
I would consolidate my alliances.
49. On serious ground, I would try to ensure
a continuous stream of supplies. On difficult ground,
I would keep pushing on along the road.
50. On hemmed-in ground, I would block any way
of retreat. On desperate ground, I would proclaim
to my soldiers the hopelessness of saving their lives.
51. For it is the soldier's disposition to offer
an obstinate resistance when surrounded, to fight hard
when he cannot help himself, and to obey promptly when he
has fallen into danger.
52. We cannot enter into alliance with neighboring
princes until we are acquainted with their designs. We are

not fit to lead an army on the march unless we are familiar with the face of the country--its mountains and forests, its pitfalls and precipices, its marshes and swamps. We shall be unable to turn natural advantages to account unless we make use of local guides.

53. To be ignored of any one of the following four or five principles does not befit a warlike prince.
54. When a warlike prince attacks a powerful state, his generalship shows itself in preventing the concentration of the enemy's forces. He overawes his opponents, and their allies are prevented from joining against him.
55. Hence he does not strive to ally himself with all and sundry, nor does he foster the power of other states. He carries out his own secret designs, keeping his antagonists in awe. Thus he is able to capture their cities and overthrow their kingdoms.
56. Bestow rewards without regard to rule, issue orders without regard to previous arrangements; and you will be able to handle a whole army as though you had to do with but a single man.
57. Confront your soldiers with the deed itself; never let them know your design. When the outlook is bright, bring it before their eyes; but tell them nothing when the situation is gloomy.
58. Place your army in deadly peril, and it will survive; plunge it into desperate straits, and it will come off in safety.
59. For it is precisely when a force has fallen into harm's way that is capable of striking a blow for victory.
60. Success in warfare is gained by carefully accommodating ourselves to the enemy's purpose.
61. By persistently hanging on the enemy's flank, we shall succeed in the long run in killing the commander-in-chief.
62. This is called ability to accomplish a thing by sheer cunning.
63. On the day that you take up your command, block the frontier passes, destroy the official tallies, and stop the passage of all emissaries.
64. Be stern in the council-chamber, so that you may control the situation.
65. If the enemy leaves a door open, you must rush in.
66. Forestall your opponent by seizing what he holds dear, and subtly contrive to time his arrival on the ground.

67. Walk in the path defined by rule, and accommodate yourself to the enemy until you can fight a decisive battle.
68. At first, then, exhibit the coyness of a maiden, until the enemy gives you an opening; afterwards emulate the rapidity of a running hare, and it will be too late for the enemy to oppose you.

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XII. THE ATTACK BY FIRE

1. Sun Tzu said: There are five ways of attacking with fire. The first is to burn soldiers in their camp; the second is to burn stores; the third is to burn baggage trains; the fourth is to burn arsenals and magazines; the fifth is to hurl dropping fire amongst the enemy.
2. In order to carry out an attack, we must have means available. The material for raising fire should always be kept in readiness.
3. There is a proper season for making attacks with fire, and special days for starting a conflagration.
4. The proper season is when the weather is very dry; the special days are those when the moon is in the constellations of the Sieve, the Wall, the Wing or the Cross-bar; for these four are all days of rising wind.
5. In attacking with fire, one should be prepared to meet five possible developments:
6. (1) When fire breaks out inside to enemy's camp, respond at once with an attack from without.
7. (2) If there is an outbreak of fire, but the enemy's soldiers remain quiet, bide your time and do not attack.
8. (3) When the force of the flames has reached its height, follow it up with an attack, if that is practicable; if not, stay where you are.
9. (4) If it is possible to make an assault with fire from without, do not wait for it to break out within, but deliver your attack at a favorable moment.
10. (5) When you start a fire, be to windward of it. Do not attack from the leeward.
11. A wind that rises in the daytime lasts long, but a night breeze soon falls.
12. In every army, the five developments connected with

fire must be known, the movements of the stars calculated,
and a watch kept for the proper days.

13. Hence those who use fire as an aid to the attack show intelligence;
those who use water as an aid to the attack gain an accession of
strength.
14. By means of water, an enemy may be intercepted,
but not robbed of all his belongings.
15. Unhappy is the fate of one who tries to win his
battles and succeed in his attacks without cultivating
the spirit of enterprise; for the result is waste of time
and general stagnation.
16. Hence the saying: The enlightened ruler lays his
plans well ahead; the good general cultivates his resources.
17. Move not unless you see an advantage; use not
your troops unless there is something to be gained;
fight not unless the position is critical.
18. No ruler should put troops into the field merely
to gratify his own spleen; no general should fight
a battle simply out of pique.
19. If it is to your advantage, make a forward move;
if not, stay where you are.
20. Anger may in time change to gladness; vexation may
be succeeded by content.
21. But a kingdom that has once been destroyed can
never come again into being; nor can the dead ever
be brought back to life.
22. Hence the enlightened ruler is heedful,
and the good general full of caution. This is the way
to keep a country at peace and an army intact.

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XIII. THE USE OF SPIES

1. Sun Tzu said: Raising a host of a hundred thousand
men and marching them great distances entails heavy loss
on the people and a drain on the resources of the State.
The daily expenditure will amount to a thousand ounces
of silver. There will be commotion at home and abroad,
and men will drop down exhausted on the highways.
As many as seven hundred thousand families will be impeded
in their labor.
2. Hostile armies may face each other for years,
striving for the victory which is decided in a single day.

This being so, to remain in ignorance of the enemy's condition simply because one grudges the outlay of a hundred ounces of silver in honors and emoluments, is the height of inhumanity.

3. One who acts thus is no leader of men, no present help to his sovereign, no master of victory.
4. Thus, what enables the wise sovereign and the good general to strike and conquer, and achieve things beyond the reach of ordinary men, is foreknowledge.
5. Now this foreknowledge cannot be elicited from spirits; it cannot be obtained inductively from experience, nor by any deductive calculation.
6. Knowledge of the enemy's dispositions can only be obtained from other men.
7. Hence the use of spies, of whom there are five classes:
(1) Local spies; (2) inward spies; (3) converted spies;
(4) doomed spies; (5) surviving spies.
8. When these five kinds of spy are all at work, none can discover the secret system. This is called "divine manipulation of the threads." It is the sovereign's most precious faculty.
9. Having local spies means employing the services of the inhabitants of a district.
10. Having inward spies, making use of officials of the enemy.
11. Having converted spies, getting hold of the enemy's spies and using them for our own purposes.
12. Having doomed spies, doing certain things openly for purposes of deception, and allowing our spies to know of them and report them to the enemy.
13. Surviving spies, finally, are those who bring back news from the enemy's camp.
14. Hence it is that which none in the whole army are more intimate relations to be maintained than with spies. None should be more liberally rewarded. In no other business should greater secrecy be preserved.
15. Spies cannot be usefully employed without a certain intuitive sagacity.
16. They cannot be properly managed without benevolence and straightforwardness.
17. Without subtle ingenuity of mind, one cannot make certain of the truth of their reports.

18. Be subtle! be subtle! and use your spies for every kind of business.
19. If a secret piece of news is divulged by a spy before the time is ripe, he must be put to death together with the man to whom the secret was told.
20. Whether the object be to crush an army, to storm a city, or to assassinate an individual, it is always necessary to begin by finding out the names of the attendants, the aides-de-camp, and door-keepers and sentries of the general in command. Our spies must be commissioned to ascertain these.
21. The enemy's spies who have come to spy on us must be sought out, tempted with bribes, led away and comfortably housed. Thus they will become converted spies and available for our service.
22. It is through the information brought by the converted spy that we are able to acquire and employ local and inward spies.
23. It is owing to his information, again, that we can cause the doomed spy to carry false tidings to the enemy.
24. Lastly, it is by his information that the surviving spy can be used on appointed occasions.
25. The end and aim of spying in all its five varieties is knowledge of the enemy; and this knowledge can only be derived, in the first instance, from the converted spy. Hence it is essential that the converted spy be treated with the utmost liberality.
26. Of old, the rise of the Yin dynasty was due to I Chih who had served under the Hsia. Likewise, the rise of the Chou dynasty was due to Lu Ya who had served under the Yin.
27. Hence it is only the enlightened ruler and the wise general who will use the highest intelligence of the army for purposes of spying and thereby they achieve great results. Spies are a most important element in war, because on them depends an army's ability to move.

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[END - Sun Tzu on the Art of War, text-only]

Ten Principles for Marine Leaders
General James L. Jones
Commandant of the Marine Corps
(Revised for the Fire Service by W. Senter)

1. **Have a vision** – Develop a strong sense of where you want to go. You may not begin with a clear endstate, but you should at least have some guiding principles. The endstate will emerge before long, and you can begin to articulate it more fully-in broad terms. Develop goals along the way....milestones, so you can measure progress and share the achievements.

2. **Build Consensus** – You must invest time in articulating the vision in order to build the consensus. If it is just YOUR vision...when you leave, the vision leaves with you. If you build the consensus and share the ownership, the vision will remain. Don't script the vision...sell it! Let those around you fill in the details of how to get there. You must keep talking about the vision...from many different aspects...until everyone understands it in their own way.

3. **Lead from a position of confidence** – Believe in the direction you have charted. There is no need to develop an opposition. If you have a good vision that is shared, it should motivate everyone so that you don't have to make enemies in order to motivate your people. Achieve the vision because it is the right thing to do.

4. **Allow time to achieve your endstate** – It will not come about overnight or all at once. Be satisfied with measurable progress toward the goal. If your vision is right....if your message is received...the means will present themselves in time.

5. **You will not achieve all of your goals** – At least not on your watch. That's OK...after all it's not about you, but about us.

6. **Your Firefighters are trying to do the right thing** – Assume this is true for ALL your Firefighters, regardless of rank. If they seem misguided, discover whether or not they understand the vision. Often, they just need a bit more guidance...that's what leaders are for.

7. **Allow for Human Failure** – Across everything we do, there will be setbacks associated with human failures. Most of these will be errors of omission, rather than errors of commission. Giving someone a second chance will never hurt you, and will often help.

8. **It's OUR Fire Department** – It's not my Fire Department or your Fire Department. From recruit training on...Firefighters should be held accountable to meet your expectations. But you need to meet theirs as well – meeting expectations is a two way contract. This is the only way it will work over the long term.

9. **Empower your Firefighters** – Give clear guidance and intent, then let your Firefighters do what they do best! Write good policy: then drive execution to the lowest levels practicable. You will be amazed at the results.

10. **Embrace change but protect our Culture** – Change is how we grow, how we stay sharp, how we deliver what the community needs. Don't fight it....but control its direction through articulating your vision. Remember, you don't have to do it all at once. In embracing change, however, do not abandon those things that make us who we are. The qualities that truly set Firefighters apart have withstood the test of time.

CHARACTER™ CORE

ALERTNESS

Being aware of what is taking place around me so I can respond appropriately

ATTENTIVENESS

Concentrating on the person or task before me

AVAILABILITY

Willingness to change my schedule and priorities to meet a need

CAUTIOUSNESS

Taking time to ensure the right decision is made or action is taken

COMPASSION

Helping those in need

COOPERATION

Understanding others so I can effectively work with them

COURAGE

Overcoming fear by saying and doing what is right

CREATIVITY

Approaching a need, a task, or an idea from a new perspective

DECISIVENESS

Processing information and finalizing difficult decisions

DEPENDABILITY

Fulfilling commitments even in the face of difficulty

DETERMINATION

Overcoming obstacles in order to reach my goal

DILIGENCE

Focusing my effort on the work at hand

DISCIPLINE

Choosing behaviors to help me reach my goals

ENDURANCE

The inner strength to withstand stress and do my best

ENTHUSIASM

Expressing interest and excitement in what I do

FLEXIBILITY

Adjusting to change with a good attitude

FORGIVENESS

Releasing feelings of resentment

GENEROSITY

Managing resources to freely give

GRATEFULNESS

Demonstrating appreciation to others for what I have and how they have helped me

HONESTY

Being truthful in what I say and do

HUMILITY

Recognizing the people and factors that have shaped my life

INITIATIVE

Recognizing and doing what needs to be done before I am asked to do it

LOYALTY

Demonstrating commitment to others

ORDERLINESS

Organizing my thoughts and surroundings for greater achievement

PATIENCE

Taking the time necessary to work through a difficult situation

PERSUASIVENESS

Effectively communicating with others so they can better understand

POSITIVITY

Maintaining a good attitude, even when faced with difficulty

PUNCTUALITY

Showing respect for others by doing the right thing at the right time

RESILIENCE

Recovering from adversity

RESPECT

Treating others with honor and dignity

RESPONSIBILITY

Knowing and doing what is expected of me

SINCERITY

Doing what is right with transparent motives

THOROUGHNESS

Taking care of necessary details

TOLERANCE

Demonstrating respect for others who do not share my perspective

TRUSTWORTHINESS

Gaining the confidence of others by demonstrating reliability

WISDOM

Making practical application of what is learned

ENGAGE YOUR TEAM. INSPIRE YOUR PEOPLE. CREATE A WINNING CULTURE.