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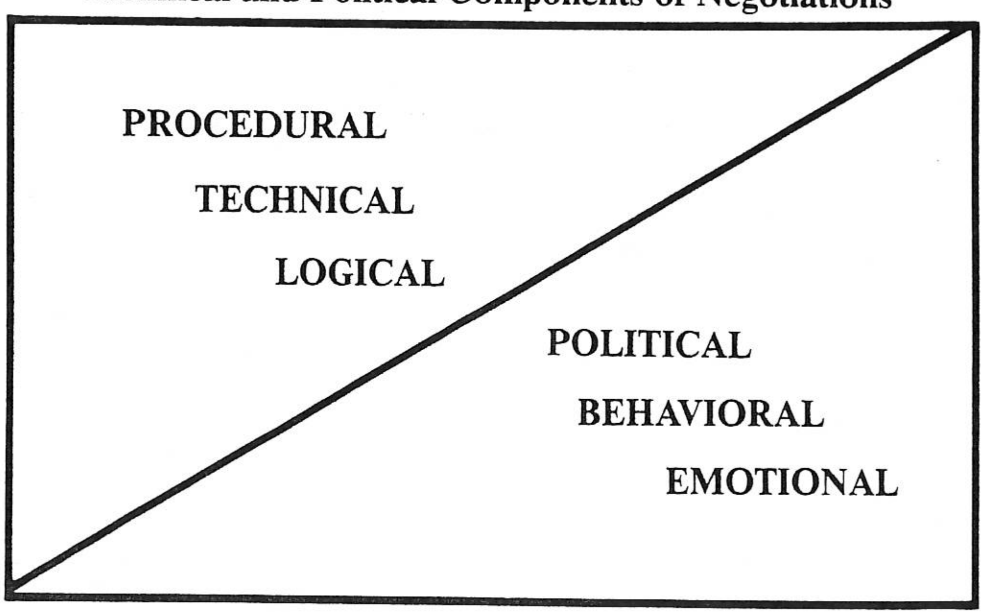
Stage Two: Goals

"Negotiating is two or more people communicating about apparently opposing goals." [29] The important part of this definition is the phrase *apparently opposing goals.* Peter Block has a useful way of looking at how people negotiate apparently opposing goals in organizations. He states that there is a constant negotiation between people on two levels at the same time — technically and politically. Negotiations follow this pattern, shown in Figure 3.[30]

The technical portion consists of the logical or procedural components of negotiating. We decide on when and where we will meet. We have an agenda of items. We decide how long the meeting will last and what will happen to the results of the discussions. Before we end, we decide the times and dates for follow-up meetings. These are technical or procedural portions.

At the same time, we establish certain rules and take actions which relate to our political needs of being in control and fostering a good reputation. We choose who will be in our meeting and how the information will be communicated. We decide who will speak and what will be said by each person. A common practice in audit meetings is to agree that the auditor-in-charge will open and lead the meeting. If assistance is needed from other auditors, the auditor-in-charge asks them to give information or answer questions. The assisting auditors usually do not volunteer information. Another common political practice is that if the boss of the auditor-in-

Figure 3
Technical and Political Components of Negotiations



charge is present, he or she will not participate unless there is a serious problem. He or she will not in any way take over or upstage the auditor-in-charge. The reasons for these practices are political. The audit department wants to convey an image and reputation of professionals who are in charge and know what they are doing.

The same political concerns are present in operating departments. The operating departments are following the same technical/political combination of activities. Technically, they have set targets and production quotas. They have also determined what procedures are appropriate to accomplish their operating objectives. If operations meet these goals, they will be considered competent and in charge. They will develop, maintain, and/or improve their professional reputations.

Now, let's ask some very important questions. What are the goals of the audit department? What are the goals of the operating and staff departments? Do the goals of the operating and auditing departments really oppose each other? These are the key questions which need to be asked every time there is a conflict (and, therefore, negotiating need) between operations and auditing. These questions lead to the next technique for finding resolution: identifying the goals of each party.

Goals are different from positions; they are more general. This is advantageous, because by asking what the goals are, we "loosen" our thinking and make it possible to develop other positions which are likely to have common ground. Remember, positions for auditor–auditee situations usually are methods for how something should be done. Once goals are clarified, many additional methods become possible. For example:

Auditee: "I don't agree that this information should be reported daily. I know it's part of my procedure, but it will take staff time I don't have. I think your recommendation is extremely impractical."

Auditor: "But your procedure requires daily reporting of all this information. You are in violation of your own procedure, and you must comply."

This exchange has been repeated almost verbatim by both parties several times, and little has changed. The risk of losing control is increasing drastically. Remember to:

1. Stop explaining or repeating your position.
2. State your understanding.

Auditor: "My understanding is that this report doesn't go out because you do not have enough staff time."

3. Probe the auditee's implicit limitation of inadequate 'staff time.'

Auditor: "Does your staff really not have the time to prepare their reports?"

Auditee: "Well, not exactly. We have enough staff time to send out the report, but there are two items that are completely meaningless because we no longer maintain an inventory for those items. We haven't updated the procedure, and I don't want my staff to waste time sending out irrelevant reports."

4. Now, state where there is a clarified understanding.

Auditor: "Let me see if I have a better understanding of your situation . . ."

The new information is that a portion of the report is considered meaningless by the auditee manager. If the manager knows the report is meaningless, then surely the recipients of the report see it as meaningless. This is something to check out, but it probably means that the manager's personal reputation is being harmed even though the reports go out eventually.

5. Continue from the clarification point:

Auditor: "It seems to me that we should look at how procedures are updated in your department." (You know that the manager wants to have useful procedures so that he will be in charge of his operation.)

Auditee: "Yes, I would be very interested to know how good my system is for eliminating outdated procedures. I should have a system that gives me more control of how my staff is required to spend their time. I would like a recommendation from you as to how we could update procedures better." If the system for updating procedures can be improved, the manager's reputation will improve.

In this example, we looked at the situation primarily from the auditee's viewpoint. The auditee wants to be in control, and one way to achieve that control is to have a procedure for ensuring that only useful reports will be released. Now, let's look at the same scenario from the auditor's viewpoint. The auditor's goal is to be in control by being able to prove that a thorough analysis was performed. If this happens, the professional reputation of both the individual and the department will be good. Let's go back to the beginning and see how the auditor was able to keep the political goal from being lost. At the beginning of this example, the tension was getting too high because the parties were just repeating their positions without any progress. The auditor's goal (control and reputation) was being risked because the auditee could later show what a waste of time the audit was to disclose a minor noncompliance finding. The auditor would probably be accused of swatting at gnats again. Instead, the auditor clarified the auditee's concerns and was able to uncover a problem much more significant than an isolated incident of noncompliance. This clarification opened up a more important question: What is the departmental procedure for updating procedures? Or is there a procedure at all? The auditor's control increased because the auditee was shown how to increase control.

The goals of the auditor shifted from looking for lack of compliance to the broader level of departmental control of all procedural updating. This definitely opened up some common ground for the auditee and the auditor to each attain their political goals of control and reputation. The important question therefore is: What is the goal of each party? The auditee's goal is to meet production and quality goals. The auditee wants to show that he/she is in charge and professionally competent. There are many more ways to get each goal when we focus on the goals we have behind the positions we take!

Now, I will show more specifically how each type of person responds to the power/reputation needs which are the heart of every negotiation. The following example is taken from a much larger questionnaire developed by Dr. Paul P. Mok. This questionnaire is called the Communicating Styles Survey. It has been completed by many thousands of people and undergone rigid validity tests. Take a minute or two to read the instructions and then go ahead and answer the question. This example is for illustrative purposes only. In order to get an accurate reading of your information processing style, you may order a complete questionnaire for a few dollars. Please go ahead and answer the example now. It is followed by interpretation pages.

Communicating Styles Survey*

Please read the statement. Place a check by your most likely response:

Example:

I am likely to impress others as:

a) ___ practical and to the point.
b) ___ emotional and somewhat stimulating.
c) ___ astute and logical.
d) ___ intellectually oriented and somewhat complex.

Scoring and Interpretations

a) Sensor
b) Feeler
c) Thinker
d) Intuitor

The Sensor

The Sensor typically:

- Is a doer, moves ahead resourcefully, seems to move mountains.
- Thrives on working on a variety of projects/tasks at once.
- Has an incredible ability to get things done.
- Will commit to something only after he/she thinks that it's likely to work.
- Must be able to understand and relate a proposed action to his/her direct experience, or will find it difficult to proceed.
- Learns best by doing — not by theoretically or conceptually analyzing the situation.
- Is direct and decisive.
- Relieves anxiety by acting.
- Is well-organized, pragmatic, hard-driving.
- Imposes high standards for self and others.

Under stress, the Sensor:

- Is somewhat impatient (acts impulsively; likes short-term results — lacks long-range vision).
- Is overreactive to diverse opinions that represent resistance to action and movement.
- Has a tendency to ride roughshod over the feelings of others.

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- Is likely to construe loyalty as a degree to which others agree with or help him/her.
- May demonstrate "tunnel vision."

Characteristics:

Ineffective Application	*Effective Application*
Doesn't see long-range	Pragmatic
Status seeking, self-involved	Assertive, directional
Acts first, then thinks	Results-oriented
Lacks trust in others	Objective; bases opinions on what he/she actually sees
Domineering	Competitive
Arrogant	Confident

The Thinker

The Thinker typically:

- Works in a steady, tenacious manner.
- Relies on observations and rational principles (logic).
- Avoids emotionalism.
- Is skeptical toward novel departures from what has "proven out" in the past.
- Is skeptical of initial reactions of self and others until they have been tested and analyzed.
- Prefers to "sleep" on new ideas before making a commitment.
- Avoids being swept away by needs of the moment or emotional fervor.

Under stress, the Thinker:

- Can be overly cautious, even to the point of indecision.
- Is likely to appear rigid and insecure.
- Is concerned with correctness at the expense of timely exploitation of opportunities.
- Appears emotionally "out of touch," task-oriented.
- Is unwilling at times to depart from established methods and routines.

Characteristics:

Ineffective Application	*Effective Application*
Verbose	Effective communicator
Indecisive	Deliberative
Overly cautious	Prudent
Overly analytical	Weighs alternatives
Unemotional	Stabilizing
Non-dynamic	Objective
Controlled and controlling	Rational
Overly serious, rigid	Analytical

The Feeler

The Feeler typically:

- Is dynamic and stimulating.
- Is warm and sensitive to others' needs and wants.
- Can pick up discrepancies between what someone says and what he or she really means.
- Is insightful and perceptive about people.
- Is patient with others.
- Is a good listener.
- Understands the psychology of human behavior.
- Acts on the basis of "gut feelings" about things.
- Relies on his or her emotional reactions and inferences about others as representing "fact."

Under stress, the Feeler:

- Is impulsive.
- May be thin-skinned or over-reactive.
- May have moods that fluctuate widely, causing erratic behavior.
- Is often preoccupied with the emotional impact of a situation.

Characteristics:

Ineffective Application	*Effective Application*
Impulsive	Spontaneous
Manipulative	Persuasive
Over-personalizes	Empathetic
Sentimental	Grasps traditional values
Postponing	Probing
Guilt-ridden	Introspective
Stirs up conflict	Draws out feelings of others
Subjective	Loyal

The Intuitor

The Intuitor typically:

- Is a fast, deep thinker.
- Questions himself/herself and others, and therefore doesn't take things for granted.
- Seems at times to know things before others do.
- Resents being "hemmed in" or required to operate in a well-defined manner.
- Enjoys creating structure out of disorder.
- Cuts through traditional thought and is able to see profitable new directions/solutions.
- Is concerned with the "big picture."
- Can be impatient; gets irritated with others who demand detail.
- Can be more concerned with developing ideas than with putting them into practical use.

Under stress, the Intuitor:

- May be seen by others as detached or overly intellectual.

- Is sometimes uncompromising and impractical.
- Is more concerned with development and defense of ideas than with translating them into more visible forms or trying to adapt them to the suggestions of others.
- Avoids the tedious, nitty-gritty details.

Characteristics:

Ineffective Application	*Effective Application*
Unrealistic	Original
"Far out"	Imaginative
Fantasy-bound	Creative
Scattered	Broad-gauged
Devious	Charismatic
Out of touch	Idealistic
Dogmatic	Intellectually tenacious
Impractical	Ideological

The set of negotiation techniques to be used is different for each style. Each style or information processing pattern shows a power/reputation preference. Negotiate using these preferences. For example, the sensor's political need is clearly to be in charge. Therefore, when negotiating with a sensor, be specific and state when the audit will be completed, etc. This lets the sensor know that he or she will maintain the power of getting things done on time. When negotiating with thinkers, allow time for analysis; they want to "think things through." Show how they can weigh pros and cons. Work out a thorough test plan. This will tell the thinker that his or her need for accuracy will be maintained.

When negotiating with feelers, assure them that relationships with subordinates, peers, and bosses are being maintained or improved. Give methods for checking reactions of key individuals throughout the audit. This will give the feeler a sense of control that his or her reputation will be maintained. When negotiating with intuitors, show how their ideas are directly involved in whatever is being done. Avoid discussing nitty-gritty details, and keep conversations relatively general. This will give the intuitor the control that his or her ideas are being recognized. In summary, there is a specific political need which appeals to one style versus another. If you aren't absolutely sure of the other person's pattern, try one approach at a time; you will notice a preference for a particular style emerging.

The most compelling reason we continue negotiating is that we think there is something to exchange. We think each of us has something the other wants. Without the perception that there is something to be exchanged, there really is no negotiating; there is only conversation. Let's call what we exchange our "currency." Currency has to have certain characteristics. It has to be something I have or control, and you must want it. It also has to be something that you have and control, and I want it. Unless the currency has both of these characteristics, there will be little reason to negotiate. An example of currency that the auditor has and the operating department wants would be a good audit. Another example would be for the auditor to schedule record reviews during low-volume work hours. Examples of currency that the operating department has and the auditor wants would be easy access to records and staff, or convenient and adequate space in which to perform audit work for out-of-town audits. All parties must prove to themselves that the currencies they think they have are, in fact, perceived that way by the other parties. While we are negotiating our goals, the driving force is that all parties believe that there will be a healthy exchange of currency which will lead to achieving political goals.

The next step in this stage is to merge both parties' goals (or concerns) into a single statement. Some examples follow. Remember that both parties are looking for an exchange of currencies.

1. "I understand that your boss really has problems with these two items, and they do point to some weaknesses in accuracy." (The auditee's goal is to keep his boss happy and the auditor's goal is to improve the level of accuracy.)
2. "I know this will improve your scheduling ability, and it will also protect you."
3. "I suspect that if this remains as an oral comment, your boss would like it better, and I believe this change in procedures will improve quality by improving timeliness."
4. "I know what I am reporting doesn't make your department look good to you, and I also know you don't like the increased cost resulting from your employees avoiding procedures." (The operating manager's goal is for the department to look good by being in control. The auditor's goal is to show control by reducing costs.)
5. "I understand that your boss will have problems with budget overages for this quarter, and our reputation is at risk if the overages continue."

6. "If we can somehow get this computer program running for your department, our credibility in the systems department will go up, and you will have more control over what your clients in the field think of your department."
7. "We can avoid embarrassment in the mailroom operations by possibly changing this procedure in some way. This will help get more timely information to your department. I am sure this will enhance your image."

In these examples, there is an inference of interdependence; political goals are identified for each party, and the only step remaining is to develop methods for accomplishing these goals in a mutual fashion.