

CONFLICT RESOLUTION SKILLS FOR ETHICS & COMPLIANCE PROFESSIONALS



Anne R. Harris
Ethics Works LLC

ETHICS WORKS

1

AGENDA

- Common Workplace Conflicts faced by Ethics & Compliance Professionals
- Conflict Resolution Process
- Conflict-Handling Modes
- Key Skills for Conflict Resolution
- Resources for Further Development

ETHICS WORKS

2

2

COMMON CAUSES OF WORKPLACE CONFLICT

- Jurisdictional boundaries
- Conflicts over goals or tasks
- Interpersonal styles, values, or attitudes
- Unclear or shifting expectations
- Conflicts over processes
- Cultural differences
- Conflicting Interests



ETHICS WORKS

3

3

COMMON ETHICS & COMPLIANCE RESPONSIBILITIES

- Develop Codes of Conduct, policies/procedures, standards
- Conduct training
- Publish communications
- Influence culture
- Advise, coach, counsel and guide colleagues
- Manage reporting channels, such as Helplines
- Conduct investigations
- Partner with management to enforce rules and implement corrective actions
- Report to leadership and board

ETHICS WORKS

4

4

EXAMPLES OF CONFLICTS FOR E&C ROLES

- With other functions over jurisdictional boundaries
 - HR, Legal, Security, IT, Internal Audit
- With co-workers who want to do something that would violate our standards
 - “But it would be good for business! Everyone else does it!”
- With my manager over program initiatives or direction
 - Too disruptive / too costly / it didn’t work out last time
- With internal customers (managers and employees) over training requirements
 - Lack of time, lack of resources, or “We don’t need this. We’re already ethical.”
- With colleagues over perceived culture clashes (global cultures or organizational cultures)
 - That’s not how we do things in this country / division / acquisition
- Between an employee (or team) and their supervision
 - Supervisory direction and policy may be at odds

5

AUDIENCE POLL #1: DURING MY CAREER IN ETHICS & COMPLIANCE, I HAVE HAD TO DEAL WITH CONFLICT:

- a. With other functions over jurisdictional boundaries
- b. With co-workers who wanted to do something that was against the rules
- c. With my manager over program initiatives or direction
- d. With internal customers (managers and employees) over training requirements
- e. With colleagues over perceived culture clashes (global cultures or organizational cultures)
- f. Between an employee (or team) and their supervision

6

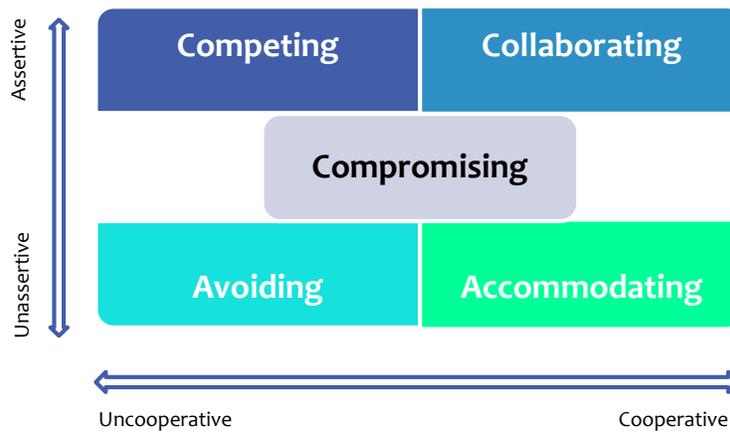
BASIC CONFLICT RESOLUTION PROCESS

1. Define the conflict
2. Discuss each party's underlying interests
3. Identify common ground
4. Generate multiple potential solutions
5. Evaluate options against objective criteria
6. Agree on solution and implement



7

CONFLICT-HANDLING MODES



Based on the Thomas-Kilman Conflict Mode Instrument, published by CPP, Inc.

8

AUDIENCE POLL #2: THE APPROACH TO CONFLICT THAT I USE MOST OF THE TIME IS.....

- a. Compete – I'll exercise power to win.
- b. Collaborate – I'll work with you to find an outcome that satisfies both of us.
- c. Compromise – I'll give up something if you'll give up something so we can solve this.
- d. Avoid – I'll try to not deal with this at all.
- e. Accommodate – I'll give in and let you have what you want.

EACH CONFLICT RESOLUTION MODE CAN BE PRODUCTIVE

- Collaborating
 - *When gaining everyone's commitment to the solution is critical*
 - *When the interpersonal relationship needs repair*
- Competing
 - *When speed is of the essence*
 - *When an unpopular action must be taken*
- Compromising
 - *When the time or disruption "costs" are not worth attaining the goal*
 - *When the parties' goals are mutually exclusive and both have power*
- Accommodating
 - *When the issue is more important to the other party*
 - *When you want to win 'points' for later*
- Avoiding
 - *When you have no chance of getting what you want*
 - *When the costs of confronting the conflict are too high*

KEY SKILLS FOR CONFLICT RESOLUTION

- Assertiveness
- Active Listening
- Creative Solution Generation
- Emotional Intelligence
- Influencing
- Negotiating
- Stress Management

When you are helping others:

- Facilitating
- Mediating

11

ASSERTIVENESS

- Act confident
- Not aggressive
- State your interests, wants & needs
- Stand up for yourself
- Respect others
- Consider others' needs
- Communicate clearly



12

ACTIVE LISTENING

When you practice active listening, you hear, understand, respond, and retain what the other person has said. The other person feels heard, understood, and respected.

- Pay attention
- Withhold judgment
- Observe & use non-verbal cues
- Empathize
- Reflect what they said
- Clarify with questions
- Summarize to confirm
- Share your views



13

CREATIVE SOLUTION GENERATION

- Brainstorming
 - Ground Rules – no interruption, no judgment
 - State the task/question – e.g., “How can we conduct effective training for employees with a \$1,000 budget?”
 - Go back and forth taking turns stating potential solutions
 - Ideas do not have to be realistic; crazy is good
 - Quantity, not quality
 - No boundaries or restrictions – e.g, budget
 - Every idea is prominently displayed; ideas beget ideas
 - Wait your turn
 - Keep going until you can’t think of anything else
 - If energy flags, shift by rephrasing the question differently

14

EMOTIONAL INTELLIGENCE AT WORK

Emotional Intelligence is generally defined as the ability to recognize, understand, and manage your own emotions and the emotions of others. There are 5 components of Emotional Intelligence:

- Self-Awareness
 - I recognize my own emotions and moods and the impact they have on others.
- Self-Regulation
 - I can control my impulses and moods; I can suspend judgement and think before acting; I adapt when the situation changes.
- Internal Motivation
 - I have passion for the work itself, commitment to achieve goals, and confidence about success.
- Empathy
 - I understand and consider what others are feeling and apply this understanding when dealing with them.
- Social Skills
 - I am skilled at managing relationships, creating rapport, and building networks.

Based on *Emotional Intelligence: Why It Can Matter More Than IQ* (Bantam Books, 1995) by Daniel Goleman

ETHICS WORKS

15

15

INFLUENCING

- Influence is key to gaining understanding and commitment from others.
- Influence Tactics
 - Head: Logical Appeals
 - Objective, factual, detailed explanation
 - Heart: Emotional Appeals
 - Relate to the other person's goals and their self-image
 - Hands: Cooperative Appeals
 - Connect with the other person using collaboration and consultation



Based on *Influence: Gaining Commitment, Getting Results* (Center for Creative Leadership, 2004) by David Baldwin and Curt Grayson

ETHICS WORKS

16

16

NEGOTIATING

- 4 Elements of Principled Negotiation
 1. Separate the People from the Problem
 2. Focus on Interests, Not Positions
 3. Invent Options for Mutual Gain
 4. Insist on Using Objective Criteria

From *Getting to Yes: Negotiating Agreement Without Giving In* (Penguin, 2nd edition, 1991), by Roger Fisher, William Ury, and Bruce Patton

ETHICS WORKS

17

17

STRESS MANAGEMENT



- Eat a healthy diet
- Get enough sleep
- Exercise
- Spend time with others outside of work
- Be creative
- Practice mindfulness and meditation
- Spend time outdoors
- Learn time and priority management techniques

ETHICS WORKS

18

18

FACILITATING AND MEDIATING

- **Facilitator** = Provides process expertise to guide a group with a common interest to reach an agreed-upon decision.
 - Sets ground rules
 - Ensures everyone is heard
 - Keeps conversation on track
 - Summarizes and seeks clarification
- **Mediator** = Helps parties in conflict voluntarily reach a solution that is acceptable to all. Facilitates and...
 - Listens to each side
 - Identifies each party's interests
 - Guides the process of generating possible solutions and reaching agreement

BOTH:

- Neutral
- Have no stake in the result
- Ensure a fair and respectful process

See "Mediation/Facilitation – What's the Difference?" Lucy Moore Associates, www.lucymoore.com

19

AUDIENCE POLL #3: WHICH SKILL WOULD YOU MOST BENEFIT FROM IMPROVING?

- A. Assertiveness
- B. Active Listening
- C. Emotional Intelligence
- D. Mediation
- E. Facilitation
- F. Creative Solution Generation
- G. Influence
- H. Stress Management
- I. Negotiation

20

RESOURCES

- Conflict Resolution:
 - American Management Association: www.amanet.org
 - The Project on Negotiation/Harvard Law School: www.PON.Harvard.edu
 - HR Daily Advisor: www.hrdailyadvisor.blr.com
 - Mind Tools, a part of Emerald Works Limited: www.mindtools.com
- Conflict Resolution Modes & Thomas-Kilmann Instrument
 - Kilmann Diagnostics: <https://kilmanniagnostics.com/assessments/>
 - The Assessment Site: <https://theassessmentsite.com/>
 - The Myers-Briggs Company <https://www.themyersbriggs.com/>
- Assertiveness
 - Performance Management Consultants: www.PMCTraining.com
 - "Taking an Assertive Approach to Conflict Resolution," American Management Association: www.amanet.org
- Active Listening
 - Mind Tools, a part of Emerald Works Limited: www.mindtools.com
 - Center for Creative Leadership: www.ccl.org
- Creative Solution Generation
 - Brainstorming (numerous articles): Mind Tools, a part of Emerald Works Limited: www.mindtools.com
 - The Deliberate Creative Podcast and Blog, Dr. Amy Climer, www.climerconsulting.com

21

RESOURCES

- Emotional Intelligence
 - *Emotional Intelligence: Why It Can Matter More than IQ.* (Bantam Books, 1995) by Daniel Goleman.
 - *Crucial Conversations: Tools for Talking when Stakes Are High* (McGraw-Hill, 2011) by Kerry Patterson, Joseph Grenny, Ron McMillan and Al Switzler.
- Influencing
 - The Center for Creative Leadership: www.ccl.org
- Negotiating
 - The Project on Negotiation/Harvard Law School: www.PON.Harvard.edu
 - *Getting Together: Building Relationships As We Negotiate* (Penguin Books, 1988) by Roger Fisher and Scott Brown
 - *Getting to Yes: Negotiating Agreement Without Giving In* (Penguin Books, 2011) by Roger Fisher, William L. Ury and Bruce Patton.
- Stress Management
 - The Mayo Clinic: www.mayoclinic.org
 - "62 Stress Management Techniques, Strategies, and Activities," by Amba Brown, BSc., www.positivepsychology.com
- Facilitating and Mediating
 - The Project on Negotiation/Harvard Law School: www.PON.Harvard.edu
 - Society for Human Resources Management: www.SHRM.org

22

IMPROVE CONFLICT RESOLUTION SKILLS FOR THE LONG-TERM

- ✓ Trust matters
- ✓ Credibility matters
- ✓ Relationships matter



23

Thank You!

Questions?

24