



# Specialized Professional Development

## TRAINING RESOURCES

*for Financial  
Service Professionals*

C o u r s e  
C a t a l o g

## Seminars and training programs

conducted by  
NQR Institute  
and a network of  
qualified experts

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# Specialized Professional Development TRAINING RESOURCES

*for Financial Service Professionals*

NQR Institute (NQRI) serves the professional development, skills training, and consulting needs of the Financial Service Industry. This catalog describes some of the learning resources available from NQRI. The common thread that ties all of these resources together is NQRI's Mission:

To provide the Financial Industry with flexible, practical, and proven resources that add to the skills, knowledge, and understanding of managers and front-line service delivery personnel and enable consistently superior client service delivery.

The Institute leverages the skills and knowledge capital from National Quality Review (NQR) and an extensive network of experts to provide an innovative and practical alternative to traditional vendors and limited internal resources.

All of the classes and presentations that follow were developed by and for Financial Industry professionals. Thus, all of the content is specifically tailored for delivery to financial service employees – from senior management to front-line operations staff. The content reflects current thinking, the best available research, extensive operational experience, and, wherever possible, “best practices” in the content area.

**This catalog is organized into three sections:**

**I. Superior Service Delivery**

**II. Specialized Communication Skills**

**III. Leadership Presentations**

Content within each section can be tailored to a specific organization. In some instances such tailoring is strongly recommended. The Ethics for Financial Service Professionals module, for example, benefits significantly from integrating a particular organization's code of conduct, Internet guidelines, or audit guidelines, etc. By contrast, some modules need little, if any modification (e.g., “Meetings for People Who Hate Meetings”).

NQRI is absolutely committed to working with each of our clients to develop a business solution that meets their needs. We hope that this catalog of resources is the catalyst for further discussion.

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NQRI personnel deliver all courses in this catalog. We also have access to other professionals and organizations, providing an additional array of programs that complement NQRI's mission. These programs can be developed for each client through NQRI. For example, programs such as Business Writing Skills, Computer Keyboard and Ergonomics Training, Meeting Current Compliance Requirements, etc., can be delivered upon request.

# Superior Service Delivery

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## Seminars

### A. Superior Client Service for Telephone Reps

Participants in these modules should have a basic level of technical knowledge, skills, and experience in the chosen module.

### B. In-Service Trainer Training

These modules can be structured to apply to a mixed population of front-line staff and managers. They can also be conducted in four separate versions: front-line staff, middle management, senior managers, and tactical or strategic project leaders.

### C. Practical Coaching Skills

### D. Client Responsiveness and Problem Recovery

### E. Development and Delivery of OJT

All seminars can be customized to meet the needs of each client. Cost estimates are provided after requirements for your organization have been identified.

## A. Superior Client Service for Telephone Client-Service Representatives

### Move your Call Center to consistently Superior Client Service

The financial services call center environment has changed dramatically over the past three decades. It is not enough to have good etiquette or to go through the motions dictated by a call-monitoring form.

Give your service personnel the cutting-edge skills they need to move their call center performance from “good” to “superior.” This complete training program provides an **innovative development process aimed at enabling customer service reps to achieve Superior Client Service.**

Superior Client Service is organized into seven practical areas that address the most challenging issues your employees face. The primary program components are:

- The How-to Guide for Superior Client Service, used during and after training to embed superior client communication skills
- The Superior Coach Guidebook, deployed to systematically transfer training to the floor of the call center
- A multimedia CD, including call samples, plus access to hundreds more, demonstrating all of the principles and behaviors for superior performance. The CD can be used during training, as a self-study resource, and as a coaching tool.

Superior Client Service can be a complete classroom training program or used as a self-study guide.

continued

## A. Superior Client Service *(continued)*

### Objectives:

- Make every call an exceptional experience for your clients by moving beyond good etiquette into skill-based verbal manner.
- Retain assets through Developed Opportunity Calls.
- Avoid being coaxed into making exceptions that can be bad for the company or the client, or might be a violation of policy.
- Solve client problems aggressively and completely.
- Learn how to explain complex information to ensure the client's understanding.
- Service challenging calls that result in a positive outcome.
- Handle business contingencies effectively.
- Ensure the transfer of skills and knowledge to your call center.

### Tools Provided:

- How-to Guide for Superior Client Service®
- Trainer's Guide for Superior Client Service®
- Multimedia CD-ROM® [includes dozens of call samples]
- Superior Coach Guidebook®
- Superior Coach Job Aids®

**Audience:** Client Service or Sales Representatives

**Instructor:** Transitioned to client's internal trainers by NQRI

**Duration:** 1-day class (approximately 40 hours when combined with phone lab)

**Number of Participants:** Variable based on needs/goals

**NOTE:** For a more complete understanding of this very comprehensive and flexible program, please contact NQRI. Detailed information and sample materials are available.

## B. In-Service Trainer Training

The role of an educator is to develop the trainer's effectiveness in communicating knowledge to others, sustaining their interest to elicit positive, long-term retention. Experienced trainers enable a training process that focuses on the interpersonal communication skills needed to create a superior interaction with clients. Combining effective technical knowledge and interpersonal skills will nurture the delivery of superior service.

This program is structured to enable both experienced and novice trainers to hone their skills, improve their program, and enhance content delivery. It provides personnel who deliver training or facilitate group processes with basic information, ideas, and skills for the practical management of the training classroom. NQRI's program is designed to quickly add to participants' skill base in organizing and presenting content by sharpening their skills to the next level of their development.

### Objectives:

- Understand how to develop training content, including lesson/presentation planning.
- Learn to prepare effective handouts and PowerPoint visuals.
- Establish the proper setting, appropriate tone, and ground rules for training.
- Manage physical behavior, verbal manner, and verbal responses.
- Learn how to handle problems effectively and measure training effectiveness.
- Emphasize to your participants that the overall goal of the training process is to add to their skills in a way that enables superior performance – during every moment of every call.

**Audience:** Professional trainers, novice trainers, subject matter experts, or individuals responsible for making business presentations

**Instructor:** NQRI personnel

**Duration:** 90 minutes to 1-day, based on needs

**Number of Participants:** Variable, based on needs/goals

**NOTE:** The In-Service Trainer Training program is relatively short: one-half to one full day is typical. It is not designed as a comprehensive train-the-trainer process for bringing someone who has never trained to a state of expertise. Such programs are much more expansive, employ extensive practice sessions and videotape, and often have several follow-up segments. If a more comprehensive, classic train-the-trainer session is desired, NQRI can assist in its development and delivery or provide ideas about other resources.

## C. Practical Coaching Skills

Professional sports organizations clearly demonstrate the importance of a good coach. Effective coaches understand the philosophies, guidelines, and methods of effective coaching and select the method that works best for their team members. This Practical Coaching module addresses the reality that training, no matter how effective, is only part of the answer to the challenge of superior performance. The ideas and tools provided in this program are designed to aid performance coaches (Trainers, Team Leaders, Supervisors, and Managers) in facilitating the transfer of learning from the training environment into the customer service environment.

**This program complements NQRI's How-to Guide for Superior Client Service.**

### Objectives:

- Understand the qualities and behavior of an effective coach
- Ensure a shared vision of the “5 Ws and H” (Who, What, Why, Where, When, and How).
- Learn how to prepare for and reply to emotional responses.
- Learn to communicate and give positive performance feedback.
- Understand how to set expectations and sequence feedback for maximum effectiveness.

**Audience:** First-line managers, mentors, team leaders, and project leaders  
**Instructor:** David Driskill  
**Duration:** 90 minutes  
**Number of Participants:** 12-15

## D. Client Responsiveness and Problem Recovery

What are the current drivers of overall client satisfaction? Accuracy and timeliness, for example, are identified as “dissatisfiers.” Responsiveness and problem recovery are considered satisfaction drivers. The critical point is not that responsiveness and problem recovery are more important than accuracy and timeliness but that all of these attributes are equally important, organizationally and individually. This module also focuses on the critical role of interpersonal communication as a satisfier in relation to problem recovery. Participants are asked to define and demonstrate what they think “responsiveness” actually means. Practice exercises are included.

### Objectives:

- Understand the importance of responsiveness and of responsiveness during problem recovery.
- Learn the drivers of satisfaction and dissatisfaction.
- Identify the dos and don'ts during problem recovery that make a real difference.
- Discuss best practices for responsiveness and problem recovery in actual situations.

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Although this session is often used with call center personnel, it can be customized and used to equal effect with virtually any group of service providers.

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**Audience:** All employees  
**Instructor:** David Driskill  
**Duration:** 90 minutes  
**Number of Participants:** 12-15

## E. Development and Delivery of OJT

Organizations rely increasingly on subject matter experts and on-the-job training (OJT) to accomplish the job that was performed historically through formal classroom instruction.

This module takes advantage of the experience and expertise of an organization's subject matter experts by providing the skills, knowledge, materials, and practice needed to deliver OJT to others. The overarching model for this workshop and the instructional tools it provides is an audio–visual–kinesthetic (tell–show–do) model for OJT lesson planning and delivery. This program's “real-world” approach requires participants to bring specific technical or skill content that they will be expected to deliver in their business setting.

### Objectives:

- Discuss and apply basic principles of adult learning to the development, delivery, and assessment of OJT.
- Learn how to convert specialized knowledge and skills to systematic OJT development, lesson planning, and creation of training aids (e.g., handouts, screen prints).
- Practice developing an OJT plan in the area of experience and expertise.
- Enable continued skills development and feedback by providing access to the instructor and peers after the core training process.

**Audience:** Subject matter experts

**Instructor:** David Driskill

**Duration:** 2 hours

**Number of Participants:** 12-15

### Seminars

#### A. Management Communications Skills

These communication skills training seminars are designed for delivery to a particular or specialized group within a financial service organization. Although the programs share certain core ingredients, each reflects the application of a specific arena of communication skills.

#### B. Communication Skills for Investment Research Analysts

#### C. Communication Skills for Client Relationship Management

These programs have been delivered for many years and in a variety of organizations, thus leveraging a body of knowledge arising both from continuous development and from experience with many different groups and settings.

#### D. Communication Skills for Organizational Change Agents

#### E. Presentation Skills

The programs are delivered by experienced and skilled NQRI personnel. Upon request, they can be structured for internal delivery by an organization's seasoned trainer.

#### F. Superior E-mail

#### G. Meetings for People Who Hate Meetings

Each program can be customized to meet an individual organization's needs. Before implementation, input is gathered from the client organization to ensure that the program reflects that organization's culture and strategic objectives. This allows the program to include language, examples, and applications that are relevant and credible to the participants.

All seminars can be customized to meet the needs of each client. Cost estimates are provided after requirements for your organization have been identified.

# Specialized Communication Skills

## A. Management Communication Skills

The ability to listen and demonstrate understanding meaningfully and creatively is the single most influential and practical – and often least developed – interpersonal skill among people in general. The goal of this 4-part professional development program is to add to the practical communication skills of participants. The program aims at bringing each participant to the next level of ability – potentially to superior performance.

Setting appropriate expectations, creating mutual understanding, and employing effective listening skills are key elements in effective communication skills. The skills and behaviors of listening and demonstrating understanding are the thematic core of this process. These skills are modeled, referenced, and applied to the practical experience of participants throughout this seminar.

### This seminar contains four modules:

**Module 1:** Presentation/discussion: Sources of behavior, core conditions, and self-assessment

**Module 2:** Presentation and practice: Nonverbal communication

**Module 3:** Presentation and practice: Demonstrating understanding and the creation of mutual understanding

**Module 4:** Presentation and practice: Managing one-on-one feedback and presenting and managing a group dialogue/process

### Objectives:

- Understand the five sources of interpersonal communication behavior. Discuss the forces that advance or impede the development of interpersonal skills.
- Learn the core conditions for effective communication behavior (behavior that has a high probability of achieving the communicator's goal).
- Learn and practice the nonverbal cues to demonstrate interest and attention, as well as verbal manner for effective, goal-contingent communication.
- Discuss the discipline and skills needed to build an interaction toward mutual understanding: Learn to set expectations, gather information, and practice reflecting. (Reflecting skills emphasize flexibility and creativity.)
- Discuss and practice the use of mutual understanding as leverage to create mutual agreement and commitment (i.e., increasing influence).

- Practice the ingredients for conducting effective one-on-one dialogue with a direct report (employee). Particular emphasis is placed on mutual understanding, setting/resetting expectations, constructive confrontation of behavior, and effective communication of performance problems.
- Practice a mock meeting with internal colleagues and executives (using a modification of a Wharton School presenting model).
- Receive critique from the presenter and colleagues on the structure of a participant's presentation and the interpersonal skills demonstrated for addressing questions and objections.

**Audience:** Front-line and middle management, senior-level line employees with technical leadership responsibilities, individual contributors, and internal consultants

**Instructor:** NQRI personnel

**Duration:** 2 days

**Number of Participants:** 10-15

## B. Communication Skills for Investment Research Analysts

**Conducting the company interview, making the buy-sell-hold recommendation, and handling questions and objections.**

The responsibilities of investment research analysts are highly quantitative and analytic. In addition to their solitary research tasks, they are in positions where their success and the value of their information are often influenced by their ability to communicate one-on-one or to a group. Analysts tend to be quite young, highly educated, and often skeptical about subjective or soft-skills development processes. This professional development class offers communication techniques to manage their interpersonal behavior in these highly interactive situations.

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The following outline is structurally identical to the **2-day Management Communication Skills Program**. However, within each structural block, major differences in speed and style of delivery, as well as examples and exercises, reflect the Analyst's job.

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continued

# Specialized Communication Skills

## Communication Skills for Investment Research Analysts *continued*

**This seminar contains four modules:**

- Module 1:** Presentation/discussion – Sources of behavior, core conditions, and self-assessment
- Module 2:** Presentation and practice – Nonverbal communication
- Module 3:** Presentation and practice – Eliciting information and demonstrating understanding and the creation of mutual understanding
- Module 4:** Presentation and practice – Making one-on-one and group presentations of findings and/or recommendations (including via voice mail and conference calls)

### Objectives:

- Present and discuss the five sources of interpersonal communication behavior. Understand the core conditions for effective communication behavior.
- Practice nonverbal cues and verbal manner aspects of effective, goal-contingent communication.
- Practice the skills needed to conduct the company interview in a way that elicits the desired information but does not bias or “show the hand” of the Analyst. This segment covers the use of questions and statements to direct the interview process.
- Practice the reflecting skill as the preferred means of creating mutual understanding and as a tool for controlling an interaction.
- Discuss and practice mutual understanding as leverage to create mutual agreement and commitment.
- Discuss and practice the ingredients for conducting an effective one-on-one dialogue with a portfolio manager or other professional staff. Clearly and briefly presenting a research finding or recommendation is emphasized.
- Practice a mock investment group meeting where participants present their findings or recommendation (using a modification of a Wharton School presenting model).

**Audience:** Research Analysts or other individuals with the common responsibility for making company visits and returning with (and making) investment recommendations

**Instructor:** David Driskill

**Duration:** 1.5 days

**Number of Participants:** 9-12

## C. Communication Skills for Client Relationship Management

**Maintaining and expanding the client relationship, solving problems, and becoming the client’s default expert resource.**

The exact nature of CRM staff and functions varies widely, from jobs that include new product sales and developing new clients, to operations managers with daily client contact and problem-recovery responsibility.

The goal of this seminar is to add to the industry knowledge and the interpersonal communication skills of CRM personnel. Participants will learn specific strategies and skills for creating and maintaining client dialogue and expanding the relationship into more substantive and influential dimensions.

This program’s guiding principle is that industry knowledge--without a sophisticated set of interpersonal communication skills to deliver that knowledge--is not fully effective. Likewise, someone with superior interpersonal communication skills, but lacking advanced knowledge of marketplace issues and technical expertise, will also fail to become the client’s default point of contact.

**This seminar contains four modules:**

- Module 1:** Introduction and assessment
- Module 2:** Nonverbal communication and information gathering
- Module 3:** Listening and reflecting
- Module 4:** Engaging the client one-on-one or in groups and making presentations

### Objectives:

- Learn the five sources of interpersonal behavior. Understand the three communication channels: inter-, intra-, and “mass” (one-way) communication and the core conditions of effective, goal-contingent communication.
- Practice verbal mannerisms - tone, pace, modulation, loudness, etc. – as they apply to face-to-face meetings, small and large group meetings, telephone/conference calls, and e-mail (tone, editing, and formality issues).
- Discover how to gather information about client perspectives on strategy, needs, and interests. Recognize nonverbal communication to assess interest and attention.
- Initiate informal client communication as a segue to opportunistic conversations.

**continued**

# Specialized Communication Skills

## Objectives: *continued*

- Clearly demonstrate an understanding of expressed and implied client needs and interests. Discover what to listen for (e.g., goals, opinions, beliefs, facts, conjecture).
- Present, discuss, and utilize knowledge of specific and broad marketplace issues. Explore a foundation of facts, concepts, and principles relevant to a particular marketplace.
- Learn to anticipate needs and enable more technically expert and personalized client conversations.

**Audience:** Client Relationship Managers – in the dual role of operations manager and/or as a distinct discipline

**Instructor:** David Driskill

**Duration:** Variable, based on needs/goals

**Number of Participants:** Variable, based on needs/goals

## D. Communication Skills for Organizational Change Agents

**Leveraging change, content, knowledge, and technical expertise to interact with and influence groups and individuals during organizational change.**

One third of all major organizational changes fail within 5 years, and 80% never live up to their expectations. How can you avoid these pitfalls?

This program is designed to help people who have responsibilities for implementing organizational change to do so in an interpersonally skilled and effective manner. One primary tool to be gained from this class is an understanding of the “cycle of change” (from the point of view of various researchers) and how to understand and respond to where people are in the cycle.

Program content shares core ingredients with other NQRI communications training programs. The specific class configuration will vary based on needs of the targeted participants.

## This seminar contains three modules:

**Module 1:** Understanding change

**Module 2:** Presenting the change

**Module 3:** Understanding and applying the 4-factor Model for gaining a commitment to change

## Objectives:

- Understand the basic principles about organizational change and why such change is both necessary and inevitable.
- Learn why many people are uncomfortable with change and may actively resist the change process.
- Identify and apply the concept of the “emotional cycle of change.”
- Understand and discuss the predictable effects of the change process on attitude, productivity, and skill.
- Prepare the message (potentially to include the creation of documents and slides), present the message in a group setting (using the Wharton School model), and respond to questions and objections.
- Demonstrate understanding, ask for commitment, and monitor and support the change process.
- Discuss applying effective communication behavior to the change management and adaptation process.

**Audience:** Change Agents – people who have responsibility for supporting, presenting, managing, and positively influencing the implementation of the organizational change process. Participants may come from management ranks or represent a particular technical discipline (e.g., IT, Process Analysis).

**Instructor:** David Driskill

**Duration:** Variable, based on needs/goals

**Number of Participants:** Variable, based on needs/goals

# Specialized Communication Skills

## E. Presentation Skills

Presentations are used to promote new ideas and send messages to the audience. People called upon to make presentations, however, may not always have the ability, willingness, or skills to do so.

This module is designed for both novice presenters and experienced presenters or trainers who want to enhance the effectiveness and efficiency of their presentation skills. Discussions will address both common mistakes made by professional presenters and the needs of the novice. What is the best way to prepare for, deliver, and follow up on a presentation? This session emphasizes practical techniques for managing the meeting room or classroom, as well as tips and tricks for preparing PowerPoint slides.

### Objectives:

- Discuss the core conditions for effective presentations and the tips and tricks for preparing handouts and PowerPoint slides.
- Learn the skills, tips, and techniques for self-management of appearance, nonverbal behavior, verbal presenting, and responsiveness in a meeting or training setting.
- Understand how to prepare for a presentation in terms of setting, appearance, and materials.
- Identify ways to engage participants early and often, manage question-and-answer sessions, and handle challenging situations.

**Audience:** Any employee, subject matter expert, or manager who has been or may be asked to make a presentation

**Instructor:** NQRI personnel

**Duration:** 90 minutes

**Number of Participants:** 12 - 15

## F. Superior E-Mail

When you hit Send, your e-mail represents you, your manager, and your company. Some e-mail users become so direct in their quest to relate their news that basic etiquette is absent and the tone of the message may be misconstrued. Others may be so verbose as to obscure any meaning or content. This module can help e-mail users in financial service business settings be more effective and efficient.

Specific “Rules of the Road” for superior electronic communication are discussed. E-mail communication policies that are required in financial service settings, such as e-mail retention, are examined. This module concludes with participants applying their learning to an exercise in which they edit a sample e-mail.

### Objectives:

- Identify communication attributes that must be applied in a financial services setting.
- Understand how poorly written e-mails can create business risk, waste management time, offend others, or fail to produce mutual understanding.
- Use subject lines for maximum efficiency and recognize the proper use of Reply vs. Reply All.
- Convey a professional tone, include the proper use of abbreviations, and manage the length of e-mails.
- Avoid joining e-mail chains.
- Recognize which documents need to be saved or deleted.

**Audience:** All employees

**Instructor:** NQRI personnel

**Duration:** 90 minutes

**Number of Participants:** 12 - 15

## G. Meetings for People Who Hate Meetings

No one ever complained about well-organized meetings that resulted in action. Some researchers suggest that over 50% of the time spent in meetings is unproductive. This module focuses on the presentation, discussion, and illustration of the core conditions for effective meetings.

Participants will review core research about both flawed and effective meetings. Specific emphasis is placed on the delivery of practical ideas, tactics, and techniques for raising the efficiency and effectiveness of meetings.

### Objectives:

- Understand the power and potential of three key principles: not going to meetings, shorter meetings, and meetings that result in action.
- Learn the specific steps for improving meetings from three perspectives: as a participant, as a presenter, or as the chairperson of the meeting.
- Identify various meeting formats and learn best practices that can make each format more effective.

**Audience:** All employees. This module can be specifically tailored for up to three distinct groups: employees, managers, and project leaders.

**Instructor:** David Driskill

**Duration:** 90 minutes

**Number of Participants:** 12 - 15



## Presentations

- A. A Unified Field of Internal and External Client Service
- B. Corporate Culture –A Challenge for Leadership to Lead
- C. Organizational Congruence – A Challenge and Opportunity
- D. Leading Organizational Change
- E. Ethics for Financial Service Professionals
- F. Benchmarking to the Best
- G. High-Performance Teams
- H. Living in the Future

The content of the all presentations in this section is thematically congruent with other NQRI modules and training programs.

The primary intent of the leadership presentations is to actively engage the interest of the participants and to encourage them to think creatively. It may result in behavior changes or skills acquisition. These presentations are specifically designed to be both entertaining and informative. In all cases, audience participation is actively and spontaneously engaged.

All presentations can be customized for each client. Anecdotes and examples specific to a client organization can be developed in advance to personalize the delivery. PowerPoint slides support each presentation, and follow-up material and handouts are available. The slides and comments can be edited to include client-specific information and even branding and logos.\*

NQRI is available to build customized presentations on demand. Typically, at least a month (or more, depending on content) is needed to create a custom presentation.

The presentations briefly described on the following pages are primarily intended for delivery to groups of 25 to 30 or more (attendance is dictated by the venue). Most often, these presentations are made in the context of an industry conference, a department or company-wide meeting, or a client conference. However, they have also been used in the more intimate setting of a small work unit meeting.

The delivery length of any given session is flexible, with a minimum of approximately 15 to 20 minutes and a maximum of approximately one hour. The presentation's length will depend upon the content required to meet each client's objectives.

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All seminars can be customized to meet the needs of each client. Cost estimates are provided after requirements for your organization have been identified.

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\* NQRI retains the copyright to all of its source material.

## A. A Unified Field of Internal and External Client Service

Join an interactive discussion of how the service equation has changed over the past several decades. This presentation will elicit a discussion of satisfiers and dissatisfiers from the participants' experiences. Then, a unified field of client requirements is presented and thoroughly discussed. The field includes:

Dissatisfiers	Satisfiers
Accuracy	Responsiveness
Timeliness	Problem Recovery
Access	New Means of Access
Utility	New Use of Service

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This presentation, in an abridged form, is used as part of the introductory material in some of the presentations that follow.

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## B. Corporate Culture – A Challenge for Leadership to Lead

What is corporate culture and what effect does it have on an organization? Is culture what the organization actually does versus what it thinks is its culture? This presentation is anchored to a variety of source materials, but owes its central message to long-time corporate culture researchers Deal and Kennedy. Culture is the values of the organization expressed as behavior.

The challenge to leadership is to make the culture what they want it to be and to become it via modeling, recognition, valuing of diversity, creative use of customs/symbols and rituals, sustained commitment, tapping the "secret hierarchy," and other factors. This presentation elicits the factors from participants and then contrasts this input with the research to develop a complete and personalized vision.

## C. Organizational Congruence – A Challenge and Opportunity

It is not unusual for messages, ideas, strategies, policies, and procedures to get distorted as they are communicated up and down the organization. This is a common problem in virtually all organizations – from the largest to the smallest.

The idea of congruence is illustrated and discussed, as are methods to increase congruence and decrease message distortion. Some of the keys to congruence include consistency, repetition, elimination of semantic differences, simplicity, and maintenance of a few long-term/multi-year messages.

## D. Leading Organizational Change

It is the blessing and the curse of our age that change has become a constant in almost every part of our lives. What happens during the organizational change process, and are we willing to embrace it? This presentation is designed to help employees, front-line managers, and experienced managers understand what to expect and how to effectively grapple with the challenge of organizational change. Participants will discuss and apply the concept of the “emotional cycle of change.”

The seminar will build awareness about the roles of communication and leadership during the change process and their effect on every level of personnel in the organization. Participants will gain a better understanding of the predictable effects of the change process on attitude, productivity, and skills. Finally, specific strategies are presented not only for living through the change, but also for taking advantage of change to grow and improve, both personally and professionally.

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A more in-depth version of this presentation can also be delivered as an NQRI 90-minute module.

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## E. Ethics for Financial Service Professionals

Sarbanes Oxley, new SEC rulings, and a climate that is significantly more focused on compliance have all created more interest in the broad topic of business ethics. Usually, ethical considerations are limited to financial controls, policies for confidentiality, preservation of proprietary information, and prohibitions on specific behavior (e.g., insider trading).

This presentation puts these topics into a broader context in which participants are challenged to define ethical conduct and apply their definitions to day-to-day questions and issues. Discussion topics include: the value of a reputation for integrity; the practical consequence of ethical and unethical conduct; identifying appropriate and inappropriate use of company resources, the Internet, confidentiality, and intellectual property; and recognizing the personal obligation to behave in an ethical manner, even in the absence of specific guidelines or oversight.

[Note: Specific presentations can be tailored for specific groups (e.g., IT staff, transaction processing staff, CSRs, senior staff). This presentation can be customized in relation to specific organizational policy and anchored to industry-wide regulation, e.g., Sarbanes Oxley, Rule 38c.]

## F. Benchmarking to the Best

What do the best financial service providers do? How do you define the best? These and other questions are asked and, at least in part, answered in this presentation. With a focus on transaction processing and telephone customer service, some of the answers come as no surprise: The best talk about, and reinforce, first-time quality from Day One. Other findings may be unexpected – the best don't necessarily provide more training or have lower turnover.

[Note: Some of the data used to deliver this presentation come from NQR's public data, but great care is taken not to disclose proprietary NQR client information. If the presentation is given to an NQR client, more data can be disclosed.]

## G. High-Performance Teams

What separates high-performance teams from the rest? Inevitably, sports examples are expressed and used, but how do you create teamwork that truly works?

This presentation explores those attributes of high-performing teams that can be translated and applied to the financial service setting. Traits covered include a clear, compelling vision that is meaningful to all employees, not only to executives and company shareholders. Participants will be asked to discuss their experiences developing or participating in teams and what made some successful and others unsuccessful. The focus will be on effective leadership (where effective is defined as competent, confident, and with the “heart” to succeed) that gets the right people doing the right things on the team.

## H. Living in the Future

What's up ahead for financial service operations? What will workforces in the near-term and strategic future look like? How do the skills and knowledge needed today compare to the competencies that will be needed in the future? How will service operations, processes, and technology be altered?

This presentation provides a brief overview about the history and current state of financial service operations. The presentation will look into the future at the three main elements of operations and client service delivery: People – Process – Technology. The audience will consider whether technology and process changes will create two distinct service silos – personalized client service and transaction service manufacturing. This continuously evolving session will include theories, research, and data from NQR as well as other researchers, associations, and industry thought leaders.

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To ensure the timeliness of this presentation, its structure and content is revisited and updated virtually every time the presentation is delivered.

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