

Public Participation Fieldbook



John M. Bryson and Anne R. Carroll

UNIVERSITY OF MINNESOTA

EXTENSION

**Hubert H. Humphrey
Institute of Public Affairs**

University of Minnesota

Copyright © 2007, Regents of the University of Minnesota. All rights reserved. Send copyright permission inquiries to: Copyright Coordinator, University of Minnesota Extension, 405 Coffey Hall, 1420 Eckles Avenue, St. Paul, MN 55108-6068. E-mail to extcopy@umn.edu or fax to: (612) 625-3967.

The information given in this publication is for educational purposes only. Reference to commercial products or trade names is made with the understanding that no discrimination is intended and no endorsement by University of Minnesota Extension is implied.

In accordance with the Americans with Disabilities Act, this material is available in alternative formats upon request. Please contact your University of Minnesota Extension office or the Distribution Center at (800) 876-8636.

University of Minnesota Extension is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status, or sexual orientation.

Additional copies of this item can be ordered from the Extension Store at <http://shop.extension.umn.edu/>; or place credit card orders at (800) 876-8636; or e-mail questions to: ShopExtension@umn.edu.

Find more University of Minnesota Extension educational information at
www.extension.umn.edu on the World Wide Web.

CD-08422

Public Participation Fieldbook

Table of Contents



Title	Page
Title page	i
About the Authors (authors.pdf)	li
Main menu (index.html)	ii
Introduction to the Fieldbook (page 1 of part1.pdf)	1
Part 1, Thinking About Public Participation Processes (part1.pdf)	2
Section A. Getting Started: Framework and Design Principles	2
Element 1. The Purposes to Be Served by Participation	4
Element 2. A Shared-Power World	5
Element 3. The Process of Organizational, Policy, or Community Change	6
Element 4. The Purpose and Functions of Participation Processes	7
Element 5. Differing Levels or Types of Participant Involvement	8
Element 6. Identifying and Analyzing Stakeholders	9
Element 7. Tangible and Intangible, Process and Content-Oriented Outcomes	10
Element 8. The Settings within Which Participation Does, Can, or Should Occur	13
Element 9. Tools and Techniques for Involving Stakeholders	14
Element 10. Leadership	15
Summary	16
Section B. Considering Context for Public Participation	17
The What, Why, Who, How, When, and Where of Public Participation	19
IAP2 Core Values for the Practice of Public Participation	22
Policy Change Cycle	24
Navigating Policy Change	25
Settings: Forums, Arenas, and Courts	26
Exercise: Policy Change Cycle Case Study, Working Toward Common Ground	28
Worksheet: Analyzing Participation Case	30
Successful Change	31
Products and Outcomes of Successful Policy Change Efforts	32
Part 2, Groups and Teams (part2.pdf)	34
Section A. Building High Performance Groups	35

Exercise: Individuals in a New Group	38
Worksheet: Individuals in a New Group	39
Role Functions in a Group, Overview	40
Exercise: Analyzing Role Functions in a Group--Win Together or Win Alone?	43
Worksheet: Analyzing Role Functions in a Group--Win Together or Win Alone?	44
Group Task and Maintenance Functions	45
Building Group Cohesion, Overview	46
Exercise: Building Group Cohesion, Supportive and Defensive Behavior	47
Building Group Cohesion: Open and Closed Relationships	50
Building Group Cohesion: Trust	51
Exercise: Trust Self-Evaluation, How Trusting and Trustworthy Am I?	52
Five Stages of Group Development, Overview	54
Roger Schwarz' Group-Effectiveness Model, Overview	58
Group Structures	59
Matching Group Structure to Tasks	60
Comparison of Effective and Ineffective Groups	63
Communicating Effectively	64
Exercise: Your Communication Behavior	65
Exercise: Dialogue and Group Learning	67
Section B. Developing Effective Teams	69
Team Leadership: Building Effective Teams	71
What Makes a High-Performing Team?	72
Exercise: Listening to Lessons from Experience, Team Effectiveness	73
Worksheet: Listening to Lessons from Experience, Team Effectiveness	74
Exercise: Assessing Teams	75
Exercise: Using Snow Cards to Identify and Agree on Team Norms	76
Exercise: Team Problem-Solving Clinic	77
Products and Outcomes of Successful Policy Change Efforts	78
Part 3, Leadership and Policy Change (part3.pdf)	80
Section A. Leading for the Public Good	82
Exercise: Exploring the Nature of Leadership	84
Exercise: Clarifying Your Leadership Perspective	85
Exercise: Using Personal Assessment Methods	86
Conceptual Elements: Leadership for the Common Good	87
Exercise: Analyzing a Policy Change Cycle, Case Study: YWCA Anti-Racism	90
Worksheet: Analyzing the YWCA Case	91
The Origins of the YWCA's Anti-Racism Campaign	92
Section B. Changing Policy	102
IAP2 Core Values for the Practice of Public Participation	104
Policy Change Cycle	105
Navigating Policy Change	106
Policy Formulation: "Big Win" and "Small Win" Strategies	106

Winning Proposal Checklist	108
Designing Participation into the Policy Change Cycle	109
Products and Outcomes of Successful Policy Change Efforts	137
Exercise: Homeless Teenager Case	139
Exercise: Nude Beach Case	142
Part 4, Bringing it All Together: Tools and Techniques (part4.pdf)	145
Section A. Making Meetings Work	148
Meeting Organizer	149
Planning an Agenda	151
Meeting Agenda Worksheet	154
Equipment and Materials Checklist	155
Room Arrangement	156
Meeting Summary	157
Meeting Evaluation Worksheet	158
Section B. Facilitating Inclusive and Effective Meetings	159
Roger Schwarz' Group-Effectiveness Model	161
Levels of Intervention by Facilitators	162
Stages and Tasks of Facilitation	163
Some Initial Questions--Diagnosing the Situation During Contracting	164
Some Initial Questions--Ethical and Process Considerations for Contracting	166
Advance Planning for Inclusive Facilitation	168
Worksheet: Logistics and Arrangements	170
Code of Ethics for Facilitators	173
Facilitation Observation Tool	175
Assessing Facilitation Skills	177
Exercise: A Local Land Use Planning and Growth Management Controversy	178
Exercise: Family Service Collaborative	179
Section C. Knowing and Influencing Stakeholders	180
Taking Stakeholders Seriously in a Shared-Power World	182
Basic Stakeholder Analysis Technique	184
Power vs. Interest Grids	185
Stakeholder Influence Diagrams	186
Satisfying Stakeholders and Pursuing the Common Good	187
Bases of Power and Directions of Interest Diagrams	188
Stakeholder Position on Issue/Proposal vs. Stakeholder Importance	189
Stakeholder Role Plays	190
Exercise: Stakeholder Analysis, County Land Use Planning	191
Section D. Creating, Evaluating, and Managing Ideas	192
Creating, Managing, and Evaluating Ideas	194
Exercise: Creativity Warm-Ups	195
Brainstorming Guidelines	197
Data Dump Guidelines	199
Envision the Worst and Best That Can Happen	200
John Bryson and André Delbecq Method of Searching for Solutions	200

Snow Card (Affinity Diagram) Guidelines	203
Oval Mapping Guidelines	204
Criterion Grid Guidelines	207
Using Dots to Rank and Rate Ideas	208
Portfolio Method Guidelines	209
Exercise: Tidewater College	210
Small Groups Moving Through Stations	211
Section E. Making Decisions	213
The Theory and Practice of Issue Creation--Part of the Policy Change Cycle	215
Issue Creation	217
Horse Story	218
Typical Methods of Group Decision Making	219
Consensus Decision Making	222
Exercise: Bean Jar, Coordinator Instructions	223
Exercise: Bean Jar, Participant Instructions for authority, no consultation group	225
Exercise: Bean Jar, Participant Instructions for expert decision group	226
Exercise: Bean Jar, Participant Instructions for authority with consultation group	227
Exercise: Bean Jar, Participant Instructions for average group	228
Exercise: Bean Jar, Participant Instructions for minority decision group	229
Exercise: Bean Jar, Participant Instructions for majority decision group	230
Exercise: Bean Jar, Participant Instructions for consensus group	231
Exercise: Bean Jar, Results Table	232
Typical Biases, Errors, and Difficulties in Human Information Processing and Decision Making	233
John Clayton Thomas' Effective Decision Model of Public Involvement	236
Chris Argyris' Model of "Double-Loop" Learning	238
Irving Janis' "Vigilant Problem Solving"	239
Section F. Managing Conflict	240
Exercise: Ugli Orange	241
The Iceberg Theory of Group Relations	244
Five Conflict Management Modes	245
Principled Negotiating: Don't Bargain Over Positions	247
Thomas Fiutak's Conflict Framework	248
Readings that may be of interest	251
Part 5, Sample Teaching Modules (PowerPoint presentations)	
Module 1: Context and Settings	
Module 2: Group Effectiveness, Interaction, and Communications	
References (references.pdf)	252
readme.txt	

Public Participation Fieldbook

About the Authors



John M. Bryson is the McKnight Presidential Professor of Planning and Public Affairs at the University of Minnesota's Humphrey Institute of Public Affairs in Minneapolis, MN (USA). He has held visiting appointments at the London Business School, University of Strathclyde, University of Oxford and Oxford Brookes University. His research, teaching and consulting interests focus on integrative leadership, strategic management and the design of participation processes. Dr. Bryson has published ten books and over 80 scholarly articles and book chapters. He consults widely in the US and UK.

Anne R. Carroll has taught public participation strategies at the University of Minnesota's Humphrey Institute of Public Affairs, where she received her Master of Planning in 1983 with a concentration in policy process and decision-making. She founded Carroll, Franck and Associates in 1985, and provides a variety of consulting services to public, private and nonprofit organizations. She is a present and past board and committee member of professional, educational and nonprofit organizations, including the International Association for Public Participation, the Council of Great City Schools, and the Association of Metropolitan School Districts. Anne serves as an elected member of the St. Paul Board of Education.

Public Participation Fieldbook

Introduction to the Fieldbook



This Fieldbook introduces the theory and practice of working with others in intra-organizational, inter-organizational, and community settings. The general focus is on how an **organization** or **community** can use participation to achieve the common good or create public value as a result of a change effort. Examples include a policy change or a new or modified program, project, service, or other initiative.

As we grappled with the desires of communities and students to learn how to engage people in decision making, the idea for the Fieldbook emerged. The literature on participation tends to be either theoretical or nuts-and-bolts, but not both, and is often inadequate for our purposes. We are great fans of both the power **and** practicality of good theory. The great philosopher Bertrand Russell said, “Abstraction is the source of all power.” And psychologist Kurt Lewin said, “There is nothing quite so practical as a good theory.” (Many regard Lewin as the founder of small-group research and inventor of action research; see Johnson and Johnson, 2002.) But theory without guidance on how to apply it to specific situations can be impotent. In other words, if you can’t figure out how to apply the theory, it can’t be very powerful or practical.

So we kept asking the question, “What should a practitioner do--and why, with whom, how, when, and where?” Little in the literature provides satisfactory answers to all of the questions. While individual practitioners bring slices of personal experience and preferences that provide anecdotal guidance, it is not clear how and why to apply the advice to other situations. These valuable bits and pieces of theory and practical advice need a useful synthesis or integration.

This Fieldbook provides a synthesis of much of the theory, concepts, design guidance, tools, and other resources we think participation process designers and implementers need to succeed. Practitioners will not need everything in the Fieldbook all the time, but they will have a resource that covers the bases and will help them think through what they need in specific circumstances. The Fieldbook is **not** meant to be a substitute for important works from the scholarly literature or for years of experience; it is meant to be a bridge between theory and practice.

Our experience with the Fieldbook indicates that it helps leaders (and potential leaders) keep track of key concepts, tasks, design issues, tools and techniques, and in that way makes its own small contribution toward advancing the common good and creating public value. We hope you find it useful as well!

John M. Bryson and Anne R. Carroll

Part 1, Thinking About Public Participation Processes



Section A. Getting Started: Framework and Design Principles

The Fieldbook is based on the following assumptions, each of which is grounded in our own experience designing and implementing participation processes:

- Participation is a very complex phenomenon, both theoretically and practically
- There are a finite number of “building blocks” on which effective participation is built
- Practitioners need a framework that will help them think about the following elements of that framework:
 - The various purposes to be served by participation (Element 1)
 - The fragmented, shared-power situations within which much participation occurs, especially in inter-organizational and community participation efforts (Element 2)
 - The overall process of organizational, policy, or community change and the key tasks within it (Element 3)
 - The purposes and functions of participation processes for change (Element 4)
 - The differing levels or types of participant involvement (Element 5)
 - How to identify and analyze stakeholders (Element 6)
 - The importance of tangible and intangible, process and content-oriented outcomes (Element 7)
 - The settings within which participation does, can, or should occur (Element 8)
 - The tools and techniques for involving stakeholders (Element 9)
 - Leadership, broadly conceived, matters enormously when it comes to designing, fostering and managing effective participation processes (Element 10)

In the following sections we discuss how we have dealt with these assumptions.

The Building Blocks

While participation is a very complex phenomenon, both theoretically and practically, we believe there are a finite number of “building blocks” on which effective participation is built and that can be used to tailor responses to specific situations. The table of contents of the Fieldbook presents our view of the building blocks and is broken down into five parts:

- Part 1: Thinking about designing participation processes
- Part 2: Groups and teams
- Part 3: Leadership and policy change
- Part 4: Tools and techniques
- Part 5: Sample teaching modules

Each part consists of an introduction and a number of sections, each of which includes an overview and

a number of handouts, exercises, and worksheets. The individual handouts, exercises, and worksheets often contain source citations to relevant academic and practitioner-oriented readings, and we also have included a list of relevant readings.



The Framework for Thinking about Participation

Because participation is a complex phenomenon, having a useful framework is necessary in order to think wisely and effectively about how to design, foster, and manage an effective participation process. Our framework includes several elements.

Element 1. The Purposes to Be Served by Participation

Design Principle #1: Successful participation efforts are designed with a clear purpose in mind.



People typically need help gaining clarity about the purposes to be served by a participation effort. We emphasize the importance of considering a variety of possible purposes as part of the design process. All of the purposes can contribute to achieving the common good or creating public value. For example, participation can help accomplish the following purposes:

- Complying with regulations and requirements
- Adhering to democratic principles
- Improving the process of identifying problems that can be solved (Wildavsky, 1979)
 - Quickly identifying key difficulties, challenges, or opportunities
 - Creating better understanding of the options for action
 - Finding out stakeholder preferences
 - Building better relationships and social and political capital
 - Managing conflict more effectively
 - Managing single-issue advocates
 - Building a coalition of support
 - Ensuring that participants feel the process is procedurally just
- Producing better decisions and outcomes
 - Considering more information
 - Considering more perspectives
 - Increasing mutual understanding
 - Taking advantage of “free consultants” (that is, participants in the process)
 - Getting it right the first time
- Enhancing future problem-solving capacity
 - Building institutional capacity
 - Creating more bonding and bridging social capital (Putnam, 2000)
 - Fostering adaptive, self-organizing organizations, networks, or communities (Innes and Booher, 1999)

Element 2. A Shared-Power World

***Design Principle #2:** When it comes to public problems, power is hardly ever shared equally, but it also is hardly ever completely centralized in one person or small group. Successful participation processes take into account the fact that we live in a shared-power world.*



You give an order around here and if you can figure out what happens to it after that, you're a better person than I am.

--U.S. President Harry S. Truman

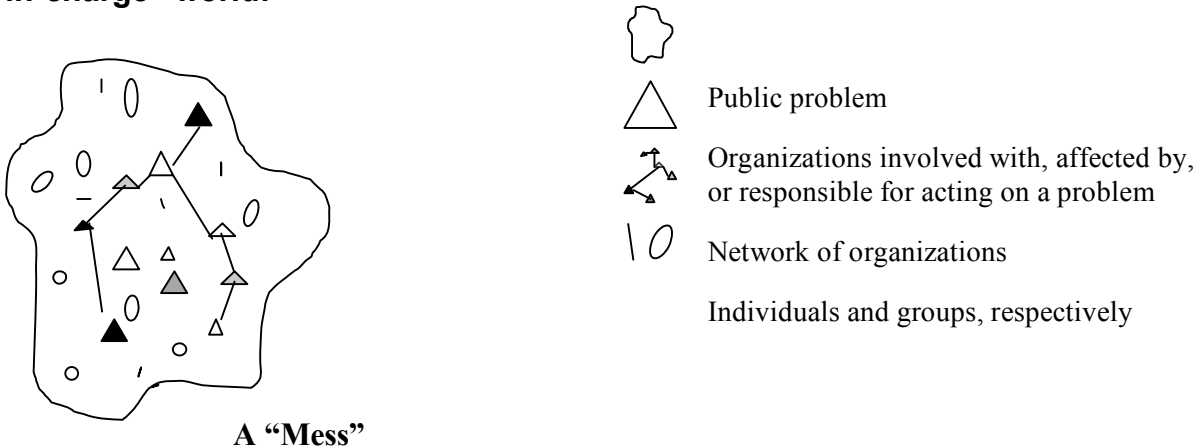
This element is simply the idea that we live in a shared-power world (Crosby and Bryson 2005). We have found it extremely useful to provide people with language and imagery to describe and think about the fact that we live in a world where no one is fully in charge, yet many are involved, affected, or have some partial responsibility to act on public problems that spill beyond the boundaries of any single organization.

Figure 1 presents a schematic of a shared-power world. The figure counteracts the traditional imagery of a hierarchical command-and-control structure that persists even though people know or sense that it applies imperfectly, at best. We have found that people's thinking and response repertoires are liberated when they understand replacement imagery that consists of public problems that are greater than single organizations (which typically are hierarchically organized) and the consequent need to get coalitions of individuals, groups, and organizations to work together to address the problem. The coalitions will not form unless something is shared, and that can be information, goals, resources, activities, power, or authority.

Figure 1. Public Problems in a Shared-Power World

We live in a shared power, “no-one-in-charge” world where public problems spill beyond the borders of a single organization. A network of organizations is needed to make headway against the problem; no single organization is “in charge.”

Shared-power, “no-one-in-charge” world:



Element 3. The Process of Organizational, Policy, or Community Change

Design Principle #3: *Successful participation processes take into account the iterative, cyclical nature of policy change processes, while also creating a set of workable phases or steps.*

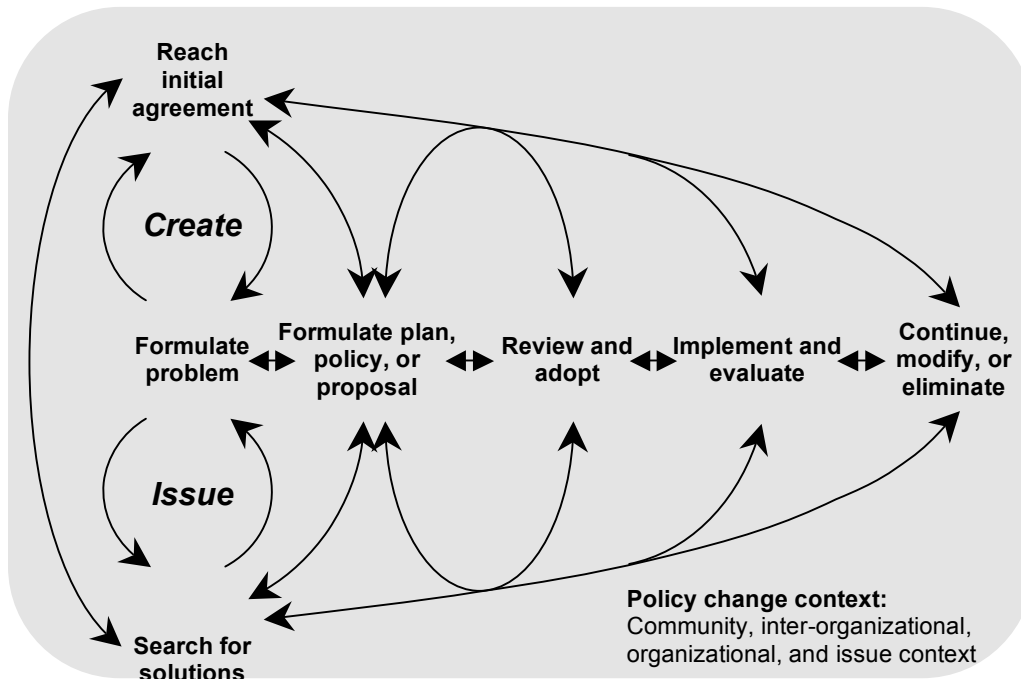


People also need help understanding both the nonlinear nature of most change efforts and how not to get lost. Crosby and Bryson’s (2005) *Policy Change Cycle*, shown in Figure 2, has withstood the test of time as a useful overall framework for understanding policy, organizational, and community change efforts. The framework is particularly useful in emphasizing the iterative interplay of agreements, problems, and solutions and, in general, the iterative, cyclic nature of policy change.

The Policy Change Cycle consists of seven interactive phases or steps:

- Reach initial agreement
- Formulate problem
- Search for solution (the first three steps comprise the issue creation process)
- Formulate plan, policy, or proposal
- Review and adopt
- Implement and evaluate
- Continue, modify, or eliminate

Figure 2: Policy Change Cycle



While working through a policy change effort we also have found that process designers and implementers (who are often also process sponsors, champions, and facilitators) can lose sight of the overarching purposes and functions of participation.

Source: Crosby, B.C., & Bryson, J.M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Element 4. The Purpose and Functions of Participation Processes

Design Principle #4: Successful participation processes are designed to organize participation, create ideas for policy change, build a winning coalition, and implement the changes that achieve the common good or create public value.

We use another figure to clarify how the phases or steps of the Policy Change Cycle are meant to help organize participation, create ideas for policy change, build a winning coalition, and implement the changes effectively as part of inspiring and mobilizing others to undertake collective action in pursuit of the common good.

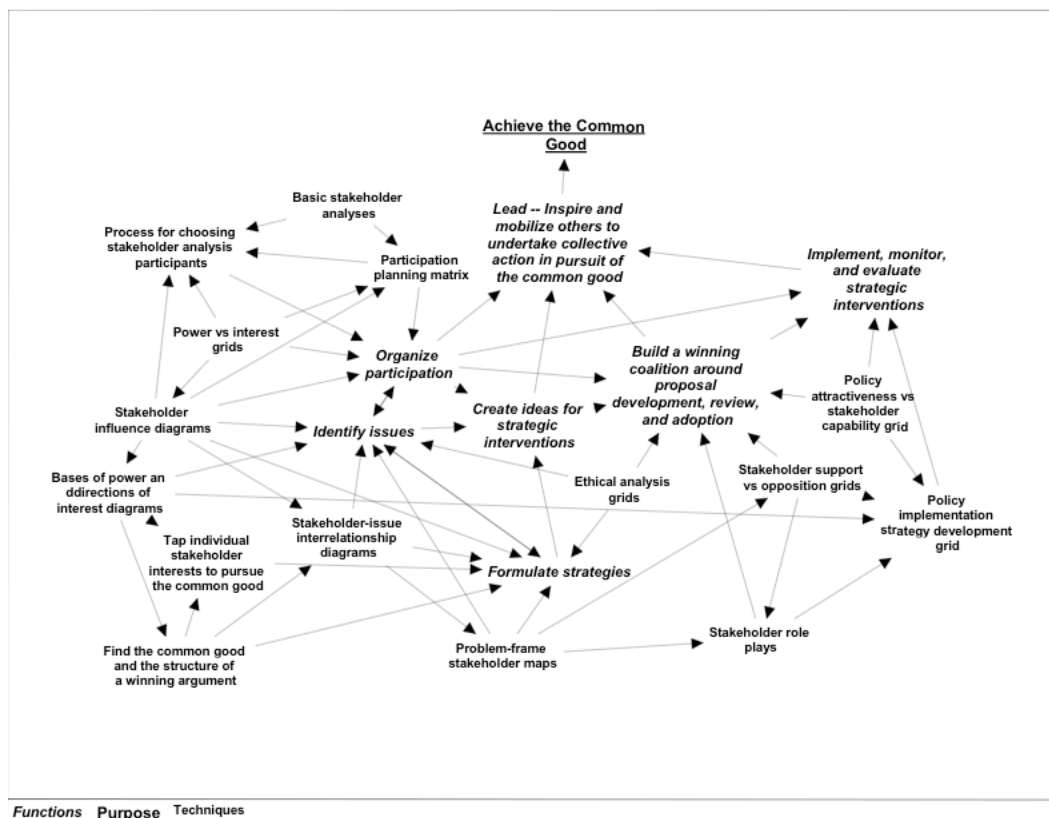
Figure 3 shows the overarching purpose and functions of participation and how the Policy Change Cycle contributes to achieving or fulfilling them.



The world does not stay attached to a particular way of being or to a particular invention. It seeks diversity. It wants to move on to more inventing, to more possibilities. The world's desire for diversity compels us to change.

--Margaret Wheatley and Myron Kellner-Rogers

Figure 3: Purpose and Functions of Policy Change Cycle



Element 5. Differing Levels or Types of Participant Involvement

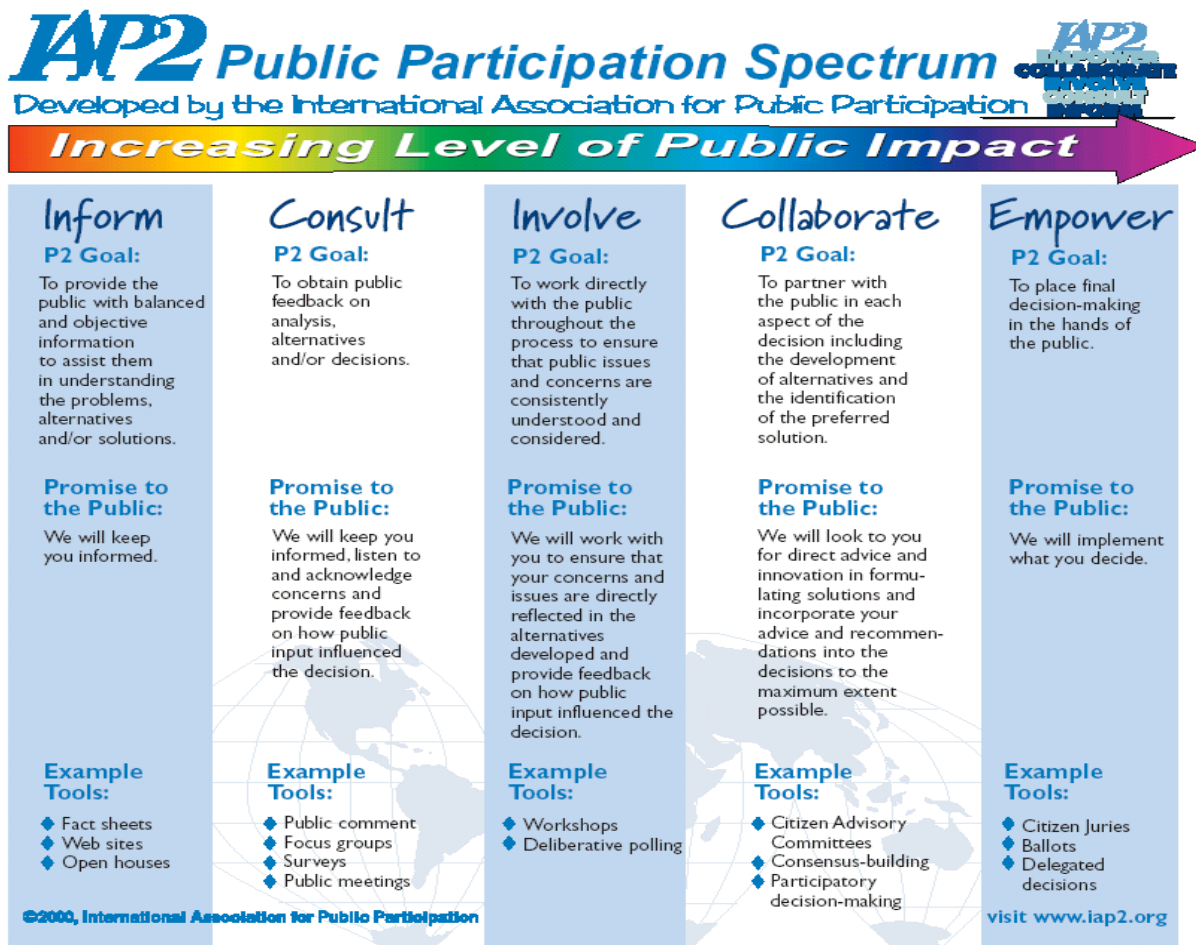
Design Principle #5: Successful participation efforts align participation objectives, types of participation, promises made to participants, and participation tools.



People also generally need help understanding the variety of possible types of participant involvement. A framework developed by the International Association for Public Participation (www.iap2.org) is particularly useful in clarifying how different types of involvement imply different objectives, promises, and tools. Figure 4 shows the spectrum of participation according to “increasing levels of public impact” (although actually what is indicated is levels of involvement). **Informing** has the least impact, while **empowerment** has the greatest. A participation process may incorporate several of these over the course of a change effort.

The IAP2 spectrum illuminates a critically important point in designing participation processes: The types of participation, objectives, promises, and tools must be aligned for a process to be successful. If there is a misalignment, participants are likely to be confused, which can lead to distrust, anger, cynicism, or sabotage.

Figure 4: IAP2 Public Participation Spectrum ©2005 International Association for Public Participation. www.iap2.org





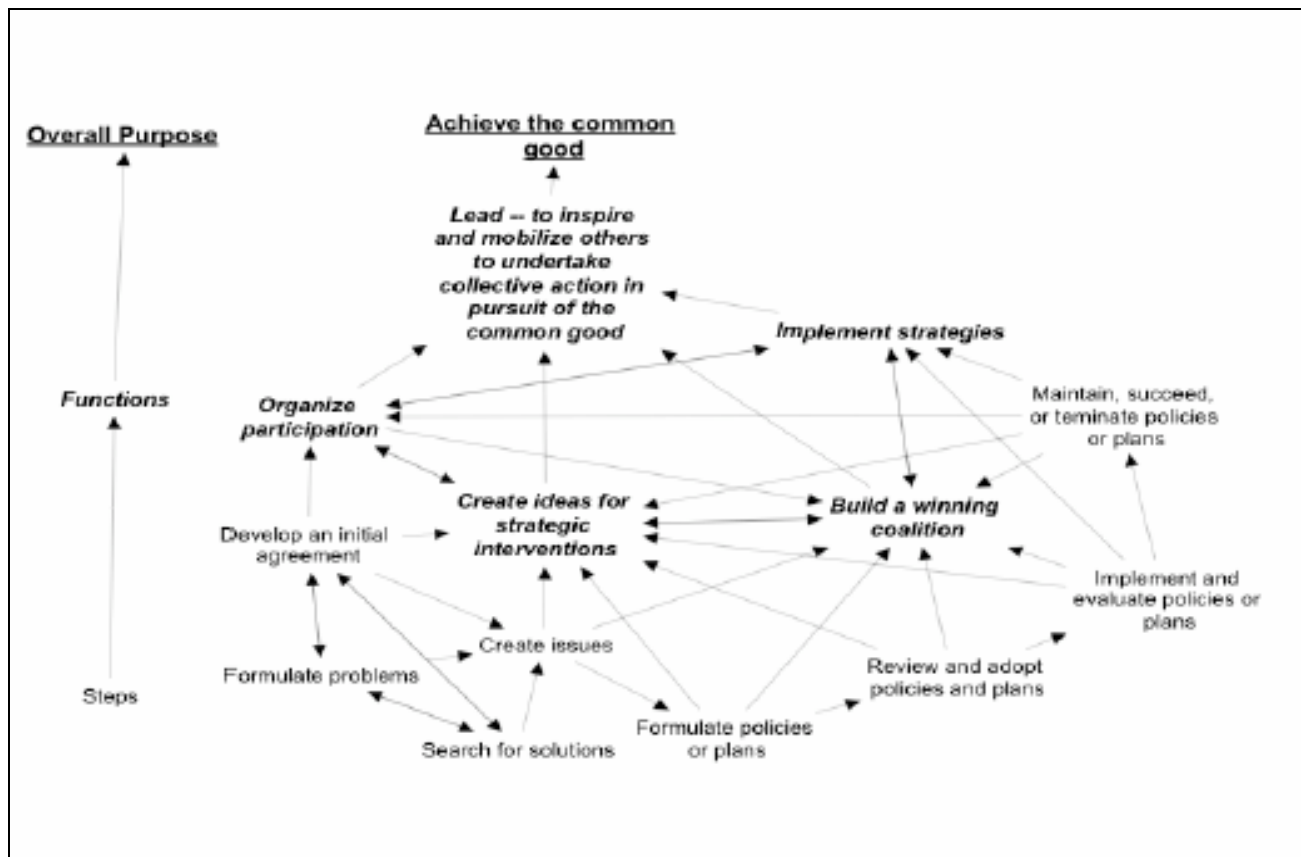
Element 6. Identifying and Analyzing Stakeholders

Design Principle #6: Successful participation efforts match stakeholder identification techniques to the purposes and functions of the participation efforts.

In our experience, people need guidance to identify and analyze stakeholders. There are many stakeholder analysis techniques available but most people are familiar with only one or two. Bryson (2004a, 2004b) presents 15 different techniques and shows how they fit with the overarching purpose and functions of participation. Figure 5 shows the purpose and functions of participation in relation to stakeholder analysis techniques. A number of these tools are discussed in more depth in Part 4 of this Fieldbook. The tools help process designers and implementers take account of stakeholder interests and explore options to involve them in the process.

Figure 5: Purpose, Functions of Participation in Relation to Stakeholder Analysis Techniques

Source: Bryson, J. M. (2004b). What to do when stakeholders matter: A guide to stakeholder identification and analysis techniques. *Public Management Review*, 6(1), 21-53.



Element 7. Tangible and Intangible, Process and Content-Oriented Outcomes

Design Principle #7: *Successful participation processes attend carefully to producing desirable tangible and intangible, process- and content-oriented outcomes. Efforts that ignore the intangible outcomes are particularly likely to fail.*



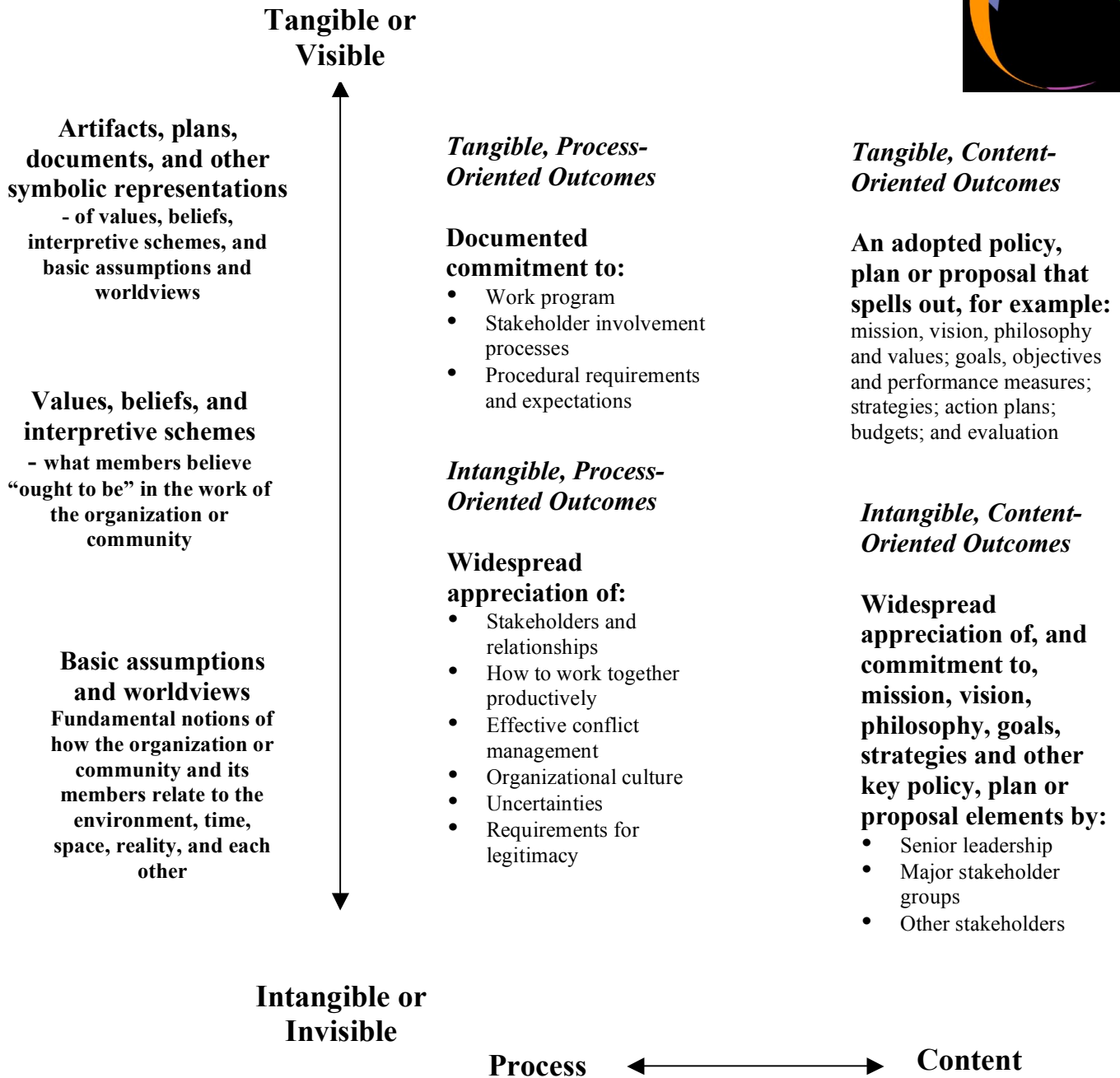
People need a rich understanding of outcomes when designing and implementing participation processes. It is important for process designers and implementers to keep in mind that, throughout a Policy Change Cycle, there are a number of tangible and intangible, process- and content-oriented outcomes that are likely to be needed if the process is to succeed.

Figure 6 classifies outcomes according to these dimensions. The process versus content dimension is probably quite familiar, at least in a negative way, as when people complain about “process getting in the way of substance.” Less obvious, because it is less frequently discussed, is the distinction between tangible and intangible outcomes. We have subcategorized the dimensions according to our interpretation of Schein’s (2004) three levels of culture.

The most obvious aspects of culture are what we can see, such as artifacts, plans, documents, or other symbolic representations of the less visible values, beliefs, and interpretive schemes that shape them. Less obvious, but in many ways much more important, are the basic assumptions and worldviews that underpin the values, beliefs, and interpretive schemes. They are most important because they serve as the nearly invisible underpinnings of what is above them; they are the platform on which the rest is built. Participation efforts grow out of organizational or community cultures; any outcomes produced must tap into that culture, even if the purpose (as is usual) is to change the culture in some way, including some of its basic assumptions.



Figure 6. Outcomes Likely to Be Needed for Policy Change Effort to Succeed



Adapted from:
 Bryson, J. M. (2005a). *Strategic planning for public and nonprofit organizations* (3rd ed.) (p. 79). San Francisco, CA: Jossey-Bass.
 Based in part on the ideas of Schein (1997) and Friend & Hickling (1997).

Figure 6 shows that the most obvious outcome, but in some ways the least important one, is the **tangible and content-oriented outcome** represented by a policy, plan, or proposal. The initial agreement phase of the Policy Change Cycle is primarily about developing **tangible, process-oriented outcomes**. This is a commitment (probably in the form of a written agreement) to: process steps, procedures, and requirements; a general work program for carrying out those steps; and stakeholder involvement processes.



Such an initial agreement is meaningless, however, unless it is based on some **intangible, process-oriented outcomes**. These would include some appreciation of stakeholders and stakeholder relationships, how to work together productively, effective approaches to conflict management, organizational or community culture, uncertainties surrounding the process and the organization or community, and requirements for legitimacy. If these appreciations are not deepened and widened over the course of the process, the process will fail.

If they are enriched and spread throughout relevant networks, then crucial *intangible, content-oriented outcomes* will be produced. These include a widespread appreciation of, and commitment to, the change effort's mission, vision, philosophy, core values, goals, strategies, and other key elements of a successful change effort on the part of senior leadership, major stakeholder groups, and others. In a community setting these outcomes would include a widespread appreciation of and commitment to the community's nature, hopes, aspirations, and fears, and what might be done to realize the hopes and aspirations, as well as vanquish or manage the fears.

If these last outcomes are in place, then a new policy or plan will basically implement itself in a small organization; with larger organization, boundary-crossing service, or community, implementation will be far easier than it would have been otherwise. The plan will simply record the changes that have **already** occurred in the hearts and minds of key stakeholders. In essence, if the intangible elements are in place, then the tangible outcomes will follow.

As Mintzberg (1994, p. 252) observes, "Organizations function on the basis of commitment and mindset. In other words, it is determined and inspired people who get things done." The same might be said of communities. Commitment, mindset, determination, and inspiration are not directly visible. What matters most in policy change and participation efforts is what is **not visible**, so process designers and implementers (or process sponsors, champions, and facilitators) must pay careful attention to those **intangible** but highly consequential outcomes for the effort to be successful, satisfying, and durable for stakeholders.

Element 8. The Settings within Which Participation Does, Can, or Should Occur

Design Principle #8: Successful participation efforts make effective use of forums, arenas, and courts, the three characteristic settings for action in a shared-power world.



People need to understand the fundamentally different settings within which participation occurs. We emphasize three: forums, arenas, and courts (Crosby and Bryson, 2005).

Forums are where people frame and reframe public issues. Formal and informal forums link speakers and audiences to create and communicate shared meaning through discussion, debate, dialogue, and deliberation.

Arenas are where legislative, executive, or administrative decisions are made and implemented. Leaders help others influence the making and implementing of decisions in formal and informal arenas.

Courts are where decisions and conduct are judged or evaluated, usually to manage residual conflicts or settle residual disputes. Leaders must be able to invoke the sanctions of formal and informal courts, including the “court of public opinion,” to enforce and reinforce ethical principles, laws, and norms. As shown in Figure 7, the settings are differentially important over the course of a policy change cycle. Forums are most important during the issues creation and reassessment phases; arenas gain in importance during policy or plan formulation, adoption and implementation; and courts are especially important during the implementation and reassessment phases.

Figure 7: Navigating Policy Change

POLICY CHANGE CYCLE PHASES	Forums	Arenas	Courts
Reach initial agreement (design the process): Agree to do something about an undesirable condition, and start designing the process you want to use			
Formulate problem: Fully define the problem, considering alternative problem frames			
Search for solutions: Consider a broad range of solutions, and develop consensus on preferred solutions			
Formulate policy, plan, or proposal: Incorporate preferred solutions into winning proposals for new policies, plans, programs, proposals, budgets, decisions, projects, rules, etc.; proposals must be technically feasible, politically acceptable, and morally and legally defensible			
Review and adopt: Bargain, negotiate, and compromise with decision makers; maintain supportive coalition			
Implement and evaluate: Incorporate formally adopted solutions throughout relevant systems, and assess effects			
Continue, modify, or eliminate: Review the implemented policies to decide how to proceed			

Element 9. Tools and Techniques for Involving Stakeholders

We come to the large number of tools and techniques for **involving** stakeholders or participants, Techniques for involvement are followed by the tools and techniques for identifying and analyzing stakeholders. Tools and techniques are last because all the other factors discussed above are more important. These factors shape the participation process design, which in turn determines which tools should be used; tools do not shape the process design.



***Design Principle #9:** Successful participation efforts have available a wide range of participation tools from which to choose for specific responses to the process design.*

We believe it is important for designers, managers, facilitators, and other implementers of participation processes to have at their disposal a repertoire of tools and techniques. Tools and techniques must be used in the right way, at the right time, with the right people, and in the right places in order for participation processes to be as effective as they can be. The IAP2 Public Participation Spectrum in Figure 4 above provides further examples of the link between design, purpose, and the appropriate tools.

Element 10. Leadership

***Design Principle #10:** Successful participation efforts make effective use of many kinds of leadership, most of which are broadly shared.*



Leadership, broadly conceived, matters enormously when it comes to designing, fostering and managing effective participation processes. The processes fail without effective and broadly shared leadership. There are at least five different kinds of key leadership roles:

- The **process designers** who design and redesign the process as necessary
- **Process sponsors** who back the process with their power and authority and insist that the process stay on track
- **Process champions** who manage the effort on a day-to-day basis
- **Process facilitators** who work with groups to accomplish important tasks
- **Process participants** who contribute their time and talents to the effort

Sometimes the same people play more than one role but, typically, different people play different roles over the course of a policy change effort; sometimes they lead and sometimes they follow. There are, of course, additional leadership tasks that need to be performed for any policy change effort to succeed (Crosby and Bryson, 2005), but the ones listed above are crucial for success.

Summary

Successful policy change efforts must attend to an important set of tasks, have or create necessary resources, and make wise use of tools and techniques. One of those tasks involves designing, fostering, and managing successful participation efforts. Doing so takes considerable skill and, often, some real luck.



We think the following principles, at minimum, are common to successful policy change efforts. Leaders (broadly construed) must:

- Design participation processes with a clear purpose in mind; in fact, this is a very good place to start
- Take account of the fact that we live in a shared-power world; power is hardly ever shared equally, but also is hardly ever completely centralized in one person or small group
- Take into account the iterative, cyclical nature of policy changes processes, while also creating a set of workable phases or steps
- Design participation processes to fulfill the functions of organizing participation, creating ideas for policy change, building a winning coalition, and implementing the changes that achieve the common good (or create public value)
- Align participation objectives, types of participation, promises made to participants, and participation tools
- Match stakeholder identification and analysis techniques to the purposes and functions of the participation effort
- Attend carefully to producing desirable tangible and intangible, process- and content-oriented outcomes; efforts that ignore intangible outcomes are particularly likely to fail
- Make effective use of the three characteristic settings for action--forums, arenas, and courts--in a shared-power world; all three are needed
- Make sure the participation effort has at its disposal a wide range of participation tools and use them appropriately throughout the process
- Make effective use of many kinds of leadership, most of which are broadly shared

Sources:

- Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organization* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Bryson, J. M. (2004b). What to do when stakeholders matter: A guide to stakeholder identification and analysis techniques. *Public Management Review* 6(1), 21-53.
- Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed.). San Francisco, CA: Jossey-Bass.
- Innes, J., & Booher, D. (1999). Consensus building as role playing and bricolage: Toward a theory of collaborative planning. *Journal of the American Planning Association*, 65(1), 9-26.
- Johnson, D. W., & Johnson, F. P. (2002). *Joining together: Group theory and group skills* (8th ed.). Boston, MA: Allyn and Bacon.
- Mintzberg, H. (1994). *The rise and fall of strategic planning*. New York, NY: Free Press.
- Putnam, R. (2000). *Bowling alone: The collapse and revival of American community*. New York, NY: Simon and Schuster.
- Schein, E. (2004). *Organizational culture and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Wildavsky, A. (1979). *Speaking truth to power*. Boston, MA: Little, Brown.

Section B. Considering Context for Public Participation



Purpose

This section introduces some of the key principles and values underlying effective public participation, how it fits in different settings and within a change process, and the dimensions of successful change. It provides an important foundation from which to begin thinking seriously about public participation: what it is, why it is important, what difference it can make, and your responsibilities when you engage the public in decision making.

Objectives

After completing this section, you should have a beginning understanding of and be able to discuss:

- The concept and importance of effective public participation
- How public participation goals, promises, and tools vary with the level of public impact
- How public participation fits within a change process
- The design and use of settings within which individuals and groups work to create policy change

Summary

The following materials are included in this section:

- **The What, Why, Who, How, When, and Where of Public Participation**
Public participation is involving people in a problem-solving or decision-making process that may interest or affect them. There are many reasons for involving the public, as well as strategies (who, how, when, and where) for doing so. Understanding these dimensions provides a good basis for considering the appropriateness of public participation and for designing an authentic process.
- **IAP2 Core Values for the Practice of Public Participation**
The International Association of Public Participation offers seven core values that should underpin public participation efforts. These values have formed the ethical basis for thousands of public participation designs and implementation efforts throughout the world.
- **The IAP2 Public Participation Spectrum**
The Spectrum from the International Association for Public Participation shows how the goals, promise to the public, and tools vary as the level of public participation increases, from informing through a number of stages to empowering the public. This richly informative graphic offers a useful way of thinking and communicating about both public participation design and implementation.
- **Policy Change Cycle**
The policy change cycle is the general process whereby leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process may be viewed as a “structured anarchy” and offers a helpful way to think through an entire change process.
- **Navigating Policy Change**
Throughout a policy change process, leaders think strategically stages in the process and about the design and use of forums, arenas, and courts. Different settings are important in different policy change cycle phases.

- **Settings: Forums, Arenas, and Courts**

Forums, arenas, and courts are the three typical settings we rely on to address messy problems in a shared-power world.

- **Exercise: Policy Change Cycle Case Study, Working Toward Common Ground**

The Wisconsin Department of Natural Resources (DNR) formed a staff task force to identify steps the DNR could take to improve land use decisions. A number of concerns involving public participation had to be addressed. Exploring this case in relation to public participation and forums, arenas, and courts begins to clarify how these concepts relate to practice.

- **Successful Change**

It takes considerable skill and, often, some real luck to manage a successful change effort, requiring participants to attend to an important set of tasks, have or create necessary resources, and make wise use of tools and techniques.

- **Products and Outcomes of Successful Change Efforts**

The products and outcomes of group work are not just **substantive** and **visible**, but also **process-oriented** and **invisible**. A successful plan and process must attend to all dimensions.



The What, Why, Who, How, When, and Where of Public Participation



What is it?

Public participation is the involvement of people in a problem-solving or decision-making process that may interest or affect them.

Why do it?

Believe it or not, involving the public can make your job easier. Involving the public has several practical, philosophical, and ethical benefits. Some of the more important reasons for involving the public include a desire or need to:

- **Meet regulations and requirements:** Many programs, laws, and rules require some level of public participation.
- **Adhere to democratic principles:** Our culture and society embrace the philosophy that people have the right to influence what affects them. As Abraham Lincoln said, our government is intended to be **of, by, and for** the people. Involving the public and seriously considering their input and needs is more often than not the right thing to do. Public participation provides a method for incorporating the public's ideas, values, and interests into decisions, resulting in more responsive and democratic governance. Public participation also provides a vehicle for creating better citizens (Boyte and Kari 1996).
- **Improve the process of creating problems that can and should be solved:** Effective public action depends on finding or creating real problems that can, should, and are likely to be solved (Wildavsky 1979). A good public participation process can make such problem finding or creating easier, not harder. Although the front-end planning can be lengthier and more complicated, subsequent steps are often more efficient and some sources of delay can be avoided. Without good public participation, your process will more likely become entangled in legal and political quagmires--for example, organized protests, lawsuits about lack of due process, or legislative interventions. These are signs that individuals or organizations are unsatisfied with the process. Good public participation helps you:
 - Quickly identify key difficulties, challenges, or opportunities: Participation by the public early on and throughout the planning or decision-making process provides early notice that you will need to face certain issues, options, or opportunities. Participation also may point out quickly that you might be heading in a direction that is untenable. Generally, the sooner such information comes to light, the more useful it will be to you and the less likely you will need to undo earlier work and decisions.
 - Create better understanding of the situation, problems, issues, opportunities, and options for action: For an effective decision-making process, both the decision makers and the public need to fully understand the situation, problem, issue, or opportunity, along with available options. Public participation helps with the decision-making process because it clarifies the definition of the problem, provides a forum for sharing ideas and concerns, helps produce clear and accurate information, and brings people together to focus on what's worth doing.



- Manage single-issue advocates: Because public participation illuminates many issues and many viewpoints, it can help manage single-issue advocates. When people are part of a broad-based, interactive process, they usually better understand the challenge of making decisions in complex situations with many different views about what can and should be done. While their zeal for their issue will not diminish, they may allow space for consideration of other issues and needs.
- Build better relationships: Asking, considering, and involving people in work and decisions that affect them will naturally create and enhance relationships with them. These relationships, or “social capital” (Putnam, 2000), may prove a useful foundation and resource for future work, including the work of decision implementation.
- Manage conflict more effectively: A process that involves people early on, result in better conflict management. Such a process is more likely to: be fosters better understanding, and builds relationships is also more likely to “hard on the problem and easy on the people,” focus on interests and not positions, respect the differences people bring and the contributions people have to make, and be able to create an atmospheres that welcomes win-win rather than win-lose solutions (Fisher & Ury, 1981; Thompson, 2001).
- Build a coalition of support: When people are involved in solving problems, making decisions, or creating plans, they typically develop a sense of ownership of, commitment to, and stake in the results of those efforts and initiatives. Frequently, they will become stronger advocates and help bring those efforts to life through political advocacy, volunteerism, partnering, publicity, securing funding, etc.
- Get it right the first time: If people have had their issues addressed and considered throughout the process, the resulting decisions should better meet their needs. Similarly, if the process, through public participation, has met their procedural needs, they should be more supportive of the decision. This diminishes the desire and capacity of someone to stop a decision either late in the decision-making process or even during the implementation phase. For example, many lawsuits to stop or delay a project are aimed less at the actual decision and more at failures in the decision-making process--because options were not considered, meetings were not announced or open, the analysis was flawed, and etc.
- **Enhance future problem-solving capacity**: A good process can greatly enhance, rather than diminish or poison, future problem-solving capacity. Building in the kind of “process gains” noted above makes it less likely that future problem-solving efforts will result in “process losses.”
- **Better, more substantive decisions and outcomes**: Not surprisingly, the process improvements discussed lead to better decisions and outcomes. (Also, not surprisingly, it can be hard to disentangle decisions and outcomes from the process used to create them.) Better results occur as a consequence of:
 - More information: A public involvement process brings more information into a decision-making process, including information that goes beyond scientific or technical knowledge. Knowledge of the context, institutions, history, and personalities often is invaluable (Scott, 1998). Especially important is gaining knowledge of stakeholder interests and concerns; this kind of political information is absolutely essential for effective decision making.



- More perspectives: Participation by a range of interested people adds more perspectives and expands options, thus enhancing the value of the ultimate decision. You are more likely to create a decision that meets more people's needs and considers more people's concerns if they have been involved in its formation.
- Increased mutual understanding: Public participation provides a forum for both decision makers and stakeholders to better understand the range of issues and viewpoints. It broadens their own knowledge base as they contribute to the decision.
- Free consultants: In one sense, involved people serve as free consultants to your project. They may bring technical expertise, specific knowledge about how decisions will affect certain stakeholders, local experience and history, or other specialized experience.

Who is the “public”?

There are many “publics.” It is very important to do a good stakeholder analysis in order to identify those various publics.

How, when, and where do you involve the public?

- The nature and extent of involvement varies
- The time and costs of different types of involvement vary
- Participation processes should be designed purposefully and thoughtfully
- Preparation should start early
- Adaptation and follow-through are necessary
- Place matters and should be thought about carefully and strategically

Sources:

Adapted from materials prepared by Mary Hamel, Public Involvement Counsel, Wisconsin Department of Natural Resources, November 2000, part 1, 28-30.

Boyte, H., & Kari, N. (1996). *Rebuilding America: The democratic promise of public work*. Philadelphia, PA: Temple.

Fisher, R., & Ury, W. (1981). *Getting to yes*. New York: Penguin

Putnam, R. (2000). *Bowling alone*. New York, NY: Simon and Schuster.

Scott, J. (1998). *Seeing like a state*. New Haven, CT: Yale University Press.

Thompson, L. (2001). *The mind and heart of the negotiator*. Englewood Cliffs, NJ: Prentice-Hall.

Wildavsky, A. (1979). *Speaking truth to power*. Boston, MA: Little, Brown.

IAP2 Core Values for the Practice of Public Participation



The International Association for Public Participation (IAP2) believes that the following values should underpin public participation efforts:

- The public should have a say in decisions about actions that could affect their lives.
- Public participation includes the promise that the public's contribution will influence the decision.
- Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
- The public participation process seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
- The public participation process seeks input from participants in designing how they participate.
- Public participation provides participants with the information they need to participate in a meaningful way.
- Public participation communicates to participants how their input affected the decision.

Think of a public participation effort that you know about. In what ways did these values underpin the effort, and in what ways did they not? What were the consequences?

Can you think of situations in which you would be uncomfortable incorporating one or more of these values into a public participation process? Discuss your concerns and alternative values that might need to be considered?

What changes to the list would you suggest?

Source: © 2005, International Association for Public Participation (IAP2). www.iap2.org

IAP2 Public Participation Spectrum

Developed by the International Association for Public Participation



Increasing Level of Public Impact

Inform

P2 Goal:

To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.

Promise to the Public:

We will keep you informed.

Example Tools:

- ◆ Fact sheets
- ◆ Web sites
- ◆ Open houses

©2000, International Association for Public Participation

Consult

P2 Goal:

To obtain public feedback on analysis, alternatives and/or decisions.

Promise to the Public:

We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.

Example Tools:

- ◆ Public comment
- ◆ Focus groups
- ◆ Surveys
- ◆ Public meetings

Involve

P2 Goal:

To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.

Promise to the Public:

We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.

Example Tools:

- ◆ Workshops
- ◆ Deliberative polling

Collaborate

P2 Goal:

To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.

Promise to the Public:

We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.

Example Tools:

- ◆ Citizen Advisory Committees
- ◆ Consensus-building
- ◆ Participatory decision-making

Empower

P2 Goal:

To place final decision-making in the hands of the public.

Promise to the Public:

We will implement what you decide.

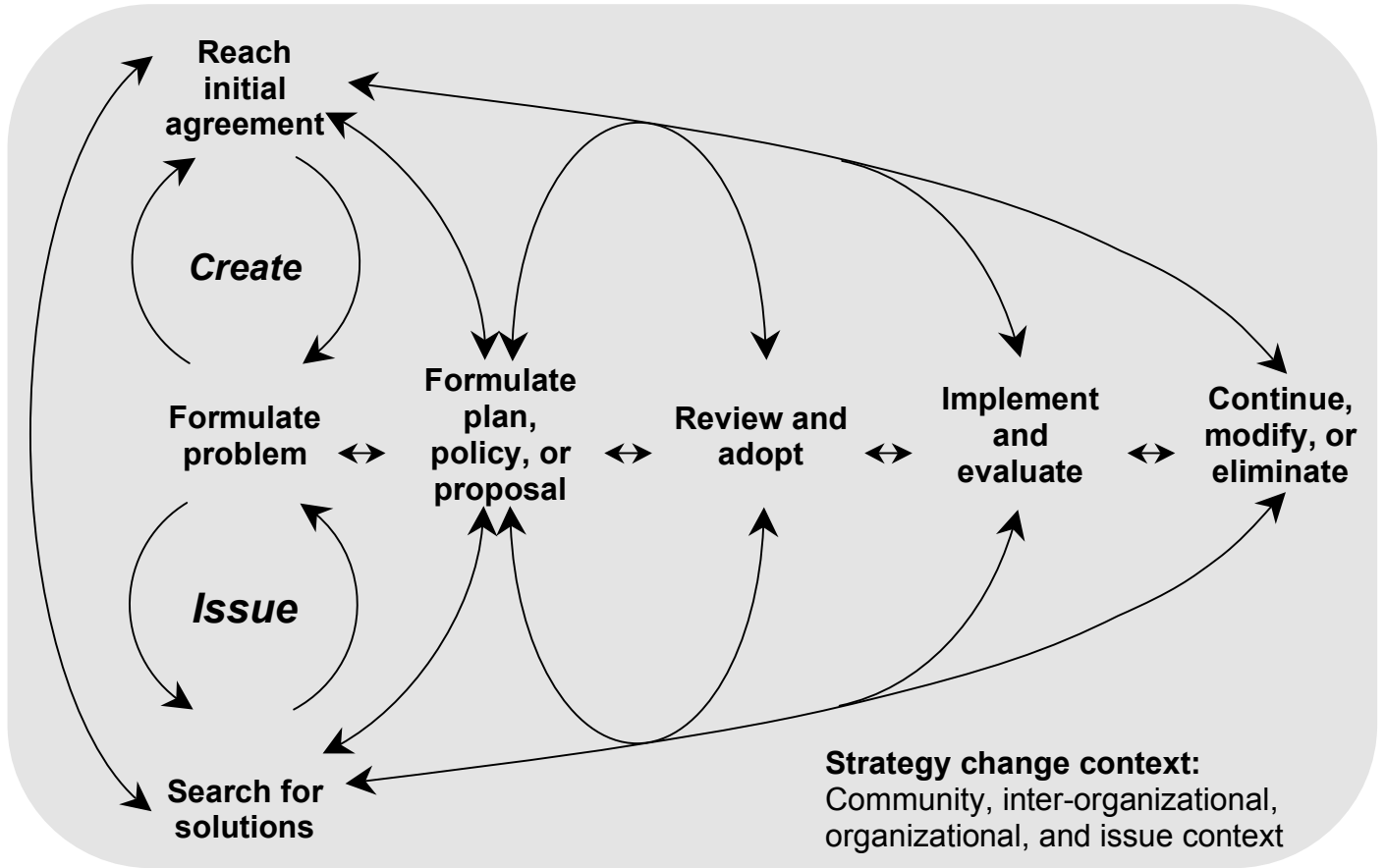
Example Tools:

- ◆ Citizen Juries
- ◆ Ballots
- ◆ Delegated decisions

visit www.iap2.org

Policy Change Cycle

The Policy Change Cycle is the general process whereby leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process may be viewed as a “structured anarchy.”



Source: Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Navigating Policy Change

The policy change cycle is the general process by which leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process is a “structured anarchy.” Throughout a policy change process, leaders think strategically about the design and use of forums, arenas, and courts.

Issues are created from the interaction of the first three phases of the change cycle; these phases are critical because issues typically drive politics. The way issues are framed will determine how stakeholders interpret their interests, assess costs and benefits, and construct their arguments for and against change.



All organizations by design are the enemies of change, at least up to a point. Government organizations are especially risk averse because they are caught up in a web of constraints so complex that any change is likely to rouse the ire of some important constituency.

--James Q. Wilson

Policy change consists of the following phases:

POLICY CHANGE CYCLE PHASES	Forums	Arenas	Courts
Reach initial agreement (design the process): Agree to do something about an undesirable condition, and start designing the process you want to use			
Formulate problem: Fully define the problem, considering alternative problem frames			
Search for solutions: Consider a broad range of solutions, and develop consensus on preferred solutions			
Formulate policy, plan, or proposal: Incorporate preferred solutions into winning proposals for new policies, plans, programs, proposals, budgets, decisions, projects, rules, etc.; proposals must be technically feasible, politically acceptable, and morally and legally defensible			
Review and adopt: Bargain, negotiate, and compromise with decision makers; maintain supportive coalition			
Implement and evaluate: Incorporate formally adopted solutions throughout relevant systems, and assess effects			
Continue, modify, or eliminate: Review the implemented policies to decide how to proceed			

Settings: Forums, Arenas, and Courts

Forums, arenas, and courts are the three typical settings we rely on to address messy problems in a shared-power world.

Leaders can have the greatest impact through the wise design and use of forums, arenas, and courts. They are the primary shared-power settings in which leaders and constituents work together to build regimes of mutual gain. It is here that public issues are raised and addressed, and leadership is exercised.



**When in doubt,
talk.**

*--Hubert H. Humphrey,
U.S. Vice President*

Forums

Forums are where people frame and reframe public issues. Formal and informal forums link speakers and audiences to create and communicate shared meaning through discussion, debate, dialogue, and deliberation.

- **Examples:** Task forces, discussion groups, brainstorming sessions, public hearings, formal debates, newspapers, television, radio, plays, conferences, professional journals
- **Effects:** Create a list of issues, conflicts, policy preferences, or decisions to be discussed or not discussed
- **Characteristic observable action:** Use of signs and symbols, usually through dialogue, debate, or discussions to create shared meaning and values among participants.
- **Important ideas, rules, modes, media, and methods:**
 - Communicative ability, such as skill in language use, compelling voice, storytelling
 - Modes of argument, such as stories, data presentations, research reports, pictures
 - Access rules: requirements for participating
 - Interpretive schemes, such as shared ways of looking at the world that link observed phenomena to values, beliefs, assumptions, and past experience
 - Modes of deciding among interpretive schemes: ranking, reconciling, reframing
- **Deep structure:**
 - Common base of linguistic rules and resources
 - Shared, taken-for-granted assumptions about communication

Arenas

Arenas are where legislative, executive, or administrative decisions are made and implemented. Leaders help others influence the making and implementing of decisions in formal and informal arenas.

- **Examples:** Legislatures, city councils, boards of directors, cabinets, executive committees, and cartels
- **Effects:** Creates actual decisions and implementing actions, as well as non-decisions
- **Characteristic observable action:** Making and implementing decisions that establish principles, laws, policies, plans, rules, standards, norms, or prices that apply to a population or category of actions

- **Important ideas, rules, modes, media, and methods:**

- Domain: the geographic or behavioral territory under the arena's control
- Agendas: the items that come up for decision making
- Permitted methods of planning budgeting, decision making, and implementation
- Access rules: requirements for participating as decision maker, influencer, or observer
- **Deep structure:**
 - Basic social assumptions about the distribution of political, economic, and cultural resources
 - A shared resource base that makes policy making necessary and possible



Courts

Courts are where decisions and conduct are judged or evaluated, usually to manage residual conflicts or settle residual disputes. Leaders must be able to invoke the sanctions of formal and informal courts to enforce and reinforce ethical principles, laws, and norms.

- **Examples:** The “court of public opinion” (probably the most powerful court), formal courts or tribunals, professional licensing bodies, administrators settling disputes among subordinates
- **Effects:** Determines which decisions and conduct are permitted or not permitted
- **Characteristic observable action:** Moral evaluation and sanctioning of conduct and, especially, conflict management and dispute resolution
- **Important ideas, rules, modes, media, and methods:**
 - Conflict management and sanctioning capabilities, such as moral authority, judicial powers, mediating skills
 - Norms, such as due process
 - Jurisdiction: the geographic or behavioral territory in which the court has legitimacy
 - Conflict management methods, such as jury trials, arbitration, mediation
 - Access rules: requirements for participating
- **Deep structure:** Shared assumptions about legitimate authority

Exercise: Policy Change Cycle Case Study, Working Toward Common Ground



Background

In 1993, recognizing the great influence of land use on the state's natural resources and environment, the Wisconsin Department of Natural Resources (DNR) formed a staff task force to frame the issue for the agency and identify steps the DNR could take to improve land use decisions.

The Case

Staff completed their report in June 1994. At that point, the agency decided to ask the public about the issue. As DNR began to discuss involving the public in this policy issue, two realities emerged:

- The department had already produced a report; it was too late to get the public involved “up front”
- Land use is a very broad topic. We couldn't just ask, “So what do you think?”

With these considerations in mind, we began to identify objectives for our public participation process. What did we want to know from the public? How could/would we use it? What would be their role?

Clearly, we couldn't develop our policy and plan collaboratively with the public--we already had a draft of it! So, rather than ignore our draft report, we decided to use it as the backbone for involving the public. We would focus on four specific areas of the report and get the public to help us review and improve them:

1. What should be our common vision for land use in the state?
2. What do we mean by sound land use? What criteria define it?
3. What should be the DNR's role in land use decisions in the state?
4. What should be the DNR's priorities related to land use?

Now we had specific objectives: we wanted the public to review and revise these four key areas of our draft report.

We also knew we wanted the full state to answer these questions; we wanted to hear from people with a range of perspectives and from around the state. We also felt there was value in having people hear from one another, so understanding could be increased. A sub-objective was to understand better where there was agreement and where there was disagreement.

Can you see how much easier designing a public participation plan around these specific objectives is than “getting the public's opinion about land use?”

Ten Public Discussion Sessions

If you want people to talk and listen to each other, you get them together. If you want to include people from all over the state, you go all over the state. We held 10 sessions around Wisconsin. Because we didn't want to leave out people who couldn't make the meetings, we distributed 3,000 copies of the draft report, each with a mail-back comment form that closely mirrored the meeting process.

We designed a specific meeting tool for each of our four information objectives.

- **Vision:** Having received the vision in advance, participants could write and post comments on the statement.
- **Sound Land Use:** Facilitated small groups discussed the posted draft criteria and added to them. Then individually participants indicated their agreement or disagreement with each criterion using green or red dots.
- **DNR's role:** In facilitated small groups, participants discussed things about land use in Wisconsin they would like to change. For each change, they explored what should be the DNR's role and their own role.
- **DNR's priorities:** Participants were given a form listing 25 actions, taken from the draft report, which DNR could take. Participants ranked each from low to high priority, or indicated "don't do." The form was on two-part carbonless paper so participants could leave their comments with us, as well as take home a copy.



After the originally scheduled meetings, we analyzed our attendance sheets against a previously identified list of interested and affected populations. We discovered we had limited input from central city and urban areas. To fill that gap, we worked with community leaders and groups within Milwaukee to sponsor a special session to get input from those constituencies.

Each of the four tools was developed with the social science researcher who would later analyze the results. He made sure our input tools could be clearly analyzed. At the end of the entire process, he identified common themes and rated the prioritized actions based on input from meetings and written submissions.

The public's input changed our ideas, report, and direction. The conversations alone helped elevate the issue in the state and made change happen.

The Morals of This Tale

- Be clear on your objectives
- Tailor the tool to the objective
- Think ahead about how you'll use the information
- Find ways to hear from the under-heard

Source: Adapted from materials prepared by Mary Hamel, Public Involvement Counsel, Wisconsin Department of Natural Resources, November 2000, part 1, 28-30.

Worksheet: Analyzing Participation Case

Review the case, “Working Toward Common Ground,” and then answer the following questions:



1. What were the “initial agreements” and who was involved?
2. What were the participation problems?
3. What were the solutions to the participation problems?
4. How were the solutions implemented?
5. What were the likely effects of the approach to participation?
6. How were forums, arenas, and courts involved?
7. What lessons do you draw from the case?
8. What questions do you have?

Successful Change

It takes considerable skill and, often, some real luck to manage a successful policy change effort. Successful policy change efforts attend to an important set of tasks, have or create necessary resources, and make wise use of tools and techniques.



Tasks Common to Successful Processes

- Identify challenges, issues, and problems
- Develop ideas and strategies for addressing the challenges
- Develop coalitions of support for strategies and ideas
- Manage settings, occasions, and meetings
- Use specific and effective processes, such as policy change cycles, strategic planning, collaborations, project planning, large-group interaction methods, etc.
- Use tools and techniques in appropriate ways at appropriate times

Characteristics of Successful Processes

- Response to real needs and opportunities
- Sponsors on board with needed levels of power, authority, and responsibility
- Effective champions
- Effective facilitators
- Ability to manage timing to advantage
- Ability to handle disruptions and delays
- Effective teamwork
- Effective design and use of forums, arenas, and courts
- An effective and powerful coalition of support
- Creation of a “regime of mutual gain”
- Legitimate, acknowledged, and effective public participation
- Demonstrated success

Characteristics of Effective Use of Tools and Techniques

- Repertoire of effective tools and techniques available
- Tools and techniques used in the right way, at the right time, with the right people, in the right places, with the right effects

Products and Outcomes of Successful Policy Change Efforts

It is important for process designers and implementers to keep in mind that, throughout a Policy Change Cycle, there are a number of tangible and intangible, process- and content-oriented outcomes that are likely to be needed if the process is to succeed.



The attached figure classifies outcomes according to these dimensions. The process versus content dimension is probably quite familiar, at least in a negative way, as when people complain about “process getting in the way of substance.” Less obvious, because it is less frequently discussed, is the distinction between tangible and intangible outcomes. We have subcategorized this dimension according to our interpretation of Schein’s (2004) three levels of culture.

The most obvious aspects of culture are what we can see, such as artifacts, plans, documents, or other symbolic representations of the less visible values, beliefs, and interpretive schemes that shape them. Less obvious, but in many ways much more important, are the basic assumptions and worldviews that underpin the values, beliefs, and interpretive schemes. They are most important because they serve as the nearly invisible underpinnings of what is above them; they are the platform on which the rest is built. Participation efforts grow out of organizational or community cultures; any outcomes produced must tap into that culture, even if the purpose (as is usual) is to change the culture in some way, including some of its basic assumptions.

To repeat: You must give adequate attention to producing tangible and intangible content and process outcomes in order to produce a successful strategic plan and process. Real success is based on shared mindsets and commitments of key stakeholders.

Figure 7. Outcomes Likely to Be Needed for Policy Change Effort to Succeed



Adapted from:

Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organizations* (3rd ed.) (p. 79). San Francisco, CA: Jossey-Bass.

Based in part on the ideas of Schein (1997) and Friend & Hickling (1997).

Introduction to Part 2, Groups and Teams

Groups are the fundamental organizational structure in which participation occurs. Understanding how groups work and learning to facilitate and guide the work of all kinds of groups fundamentally affects how successful the groups will be.



Section A. Group Effectiveness, Interaction, and Communications

This first section helps practitioners better understand group functionality and provides tools to improve group performance. It looks at how individuals may feel in a group, the roles and functions within groups, strategies to build group cohesion, and then posits a model for how groups develop over time.

Next we look at group structures and effectiveness. Most groups, informal and formal, can be categorized as one of a limited number of types. We make the link between group structures and tasks, needs, and issues embedded in the Policy Change Cycle. Change efforts and participation processes will be more successful when practitioners understand the structures of the groups they need to create or with which they are working. Finally, seeing extreme characteristics of effective and ineffective groups helps people recognize an ineffective one, so they are better positioned to help it become more effective. We take another look at this topic section on teams, next.

This section closes by highlighting communication – the glue that allows individuals to function within groups, and groups to function within a change process. Through guidance, models, and exercises, practitioners can better understand the dynamics of communication and design a flexible process that works.

Section B. Teams and Team Development

All teams are groups, but not all groups are teams. While to some extent people may “know one when they see one,” teams may carry the structure and name, yet not function as well as the participants want or as the process may require for success.

This section begins with the components of effective teams and moves into what makes a high-performing team. A great deal of work has been done in this field, especially on teams in business settings. We have brought some of this research to the Fieldbook, and added content and perspectives tailored to designing public participation efforts in public settings.

A number of exercises help people explore how teams work and how they can be used to move a process forward. The section closes with a rich discussion of the products and outcomes of successful change efforts. The focus is the importance of the process and intangible elements of the work that must be understood if the work is to be effective, meaningful, and durable.

Section A.

Building High Performance Groups



Purpose

This section introduces users to some of the basics of group interaction and how groups work. Understanding more about what happens within groups allows members to look more carefully at what and how they are doing and to explore ways to improve group performance.

Objectives

After completing this section you should have an understanding of the following elements of group interaction, group effectiveness, and communications:

- How people feel upon entering a new group
- Role functions in a group, and the importance of focusing on both tasks and group maintenance
- Group cohesion, which includes shared goals, social interdependence, supportive behavior, open relationships, trusting and trustworthy behavior, and supportive norms; and how to use the “snow card” process to establish norms
- Tuckman’s five stages of group development: Forming, storming, norming, performing, and adjourning
- Roger Schwarz’s group-effectiveness model and how facilitators can affect group process to improve effectiveness
- Common types of groups and when each is useful as part of a policy change process
- Components of effective and ineffective groups
- Strategies for effective communications, including good message sending, good message receiving, giving and receiving feedback, and dialogue and group learning

Summary of Materials

This section includes the following items:

- **Exercise: Individuals in a New Group**
This exercise helps people better know themselves and others. It helps people make connections with each other, feel more comfortable working together, and better understand what may be going on beyond the words that people use. This is especially useful as an early communications tool with members of a new group or team.
- **Role Functions in a Group, Overview**
The members of an efficient and productive group must meet at least two kinds of needs: task roles (what it takes to do the job) and group building and maintenance roles (what it takes to strengthen and maintain the group). Specific types of statements and behaviors meet different group needs; some support both and some behavior is nonfunctional. Understanding all of these helps groups, as well as individuals within groups, perform better.
- **Exercise: Analyzing Role Functions in a Group--Win Together or Win Alone?**
This exercise offers practice in analyzing role functions in a group, which provides valuable information to use exploring how to improve group performance. The worksheet, “Analyzing Role Functions in a Group,” serves as a guide.



- **Group Task and Maintenance Functions**
This graphic summary illustrates how effective groups attend to both the task at hand and maintenance of the group's the health.
- **Building Group Cohesion, Overview**
Group cohesion grows as a result of shared goals, social interdependence, supportive behavior, open relationships, trusting and trustworthy behavior, and supportive norms.
- **Exercise: Building Group Cohesion, Supportive and Defensive Behavior**
This exercise is to role-play scenario of supportive and defensive behavior. Participants debrief the consequences of both. (Note: Participants should not see these instructions or roles in advance, nor should either see the other's role during the exercise.)
- **Building Group Cohesion: Open and Closed Relationships**
The dimensions of open and closed relationships are presented in a figure. Openness is based on acceptance of oneself and others, and a focus on each person's ideas, attitudes, and feelings. Openness does not necessarily imply agreement.
- **Building Group Cohesion: Trust**
The most important elements of trust are the members' openness and sharing, acceptance and support of each other, and cooperative intentions. Trusting behavior involves openness and sharing. Trustworthiness involves acceptance, support, and cooperative intentions.
- **Exercise: Trust Self-Evaluation, How Trusting and Trustworthy Am I?**
When you are attempting to build a relationship with someone there is always the risk that the person will react in a rejecting and competitive way. For group members to trust one another, each has to expect the other to be trustworthy and each has to engage in trusting behavior. This self-evaluation exercise allows you to evaluate your own level of trust-building behavior in the group.
- **Five Stages of Group Development, Overview**
Some research indicates that most groups follow a relatively predictable pattern of development. Bruce Tuckman, developer of one of the most widely used group development models, found that most groups progress through five stages: forming, storming, norming, performing, and adjourning. Each stages builds on the previous one and prepares the group for performing. Groups don't move smoothly or continuously through these stages, and some groups do not ever reach the performing stage.
- **Roger Schwarz' Group-Effectiveness Model, Overview**
Schwarz' Group-Effectiveness model posits that group effectiveness is a product of the interaction of organizational context, group structure, group process, and prior group effectiveness. Facilitators have their primary impact on group process.
- **Group Structures**
This presents typical descriptions of different structures or types of formal and informal groups.
- **Matching Group Structures to Tasks**
With the Policy Change Cycle as the framework, this matrix shows how different group structures or types are likely to be useful for different tasks and purposes at different stages during a policy change effort.

This table presents a series of dimensions on which effective and ineffective groups differ. The extremes on the dimensions clearly differentiate between groups that are more and less likely to be successful.

- **Communicating Effectively**

Effective communication depends on a combination of good message sending, good message receiving (active listening), and feedback to the person or group about the impact or perception of the communication.

- **Exercise: Your Communication Behavior**

This exercise allows participants to examine their communication behavior in a group in order to become more effective communicators.

- **Exercise: Dialogue and Group Learning**

This exercise first distinguishes between dialogue and discussion, and explains the three basic conditions necessary for dialogue: suspend assumptions, see each other as colleagues, and reflect a spirit of inquiry. The dialogue exercise shows how a formal dialogue process can help team members view a problem from others' perspectives and enhance their creativity.



Exercise: Individuals in a New Group

Purpose

The purpose of this exercise is to help people better know themselves and others. It helps people make connections with each other, feel more comfortable working together, and better understand what may be going on beyond the words that people use. This is especially useful as an early communications tool with members of a new group or team.



Instructions

1. Hand out the worksheet on the next page and ask everyone to complete the sentences.
2. Have each group member report responses to each question; change the starting person with each question.
3. Debrief by leading a discussion during and after people have shared their responses. Encouraging participants to consider the following:
 - You each seem normal
 - Your reactions seem normal
 - Be in touch with your own feelings when you're in a group
 - Consider how others might be feeling
 - Be aware that your feelings or judgment about what's going on in a group may be incorrect
 - It's sometimes helpful to take short "timeouts" during a group meeting or activity and check in to see how people are feeling about what's going on

Worksheet: Individuals in a New Group



Complete the following:

1. When I enter a group, I feel...
2. When a group starts, I...
3. When people first meet me, they...
4. When I'm in a new group, I feel most comfortable when...
5. When people remain silent, I feel...
6. When someone does all the talking, I...
7. I feel most productive when a leader...
8. I feel annoyed when the leader...
9. I feel withdrawn when...
10. In a group, I am most afraid of...
11. When someone feels hurt, I...
12. I am hurt most easily when...
13. I feel loneliest in a group when...
14. Those who really know me think I am...
15. I trust those who...
16. I am saddest when...
17. I feel closest to others when...
18. My greatest strength is...
19. I am moved to violence when...

Role Functions in a Group, Overview

The members of an efficient and productive group must provide for meeting at least two kinds of needs: task roles (what it takes to do the job) and group building and maintenance roles (what it takes to strengthen and maintain the group). Specific statements and behaviors may be viewed in terms of how they serve the group needs.



When members serve group needs, they are performing functional roles. Statements and behaviors that tend to make the group inefficient or weak are nonfunctional behaviors.

The kinds of contributions or group services (roles) performed by one or many individuals are listed below.

Task Roles (what it takes to do the job, to select and carry out a group task)

1. **Initiating activity:** Proposing solutions, suggesting new ideas, new definitions of the problem, new attack on the problem, or new organization of material.
2. **Seeking information:** Asking for clarification of suggestions, requesting additional information or facts.
3. **Seeking opinion:** Looking for an expression of feeling from members about something; seeking clarification of values, suggestions, or ideas.
4. **Giving information:** Offering facts or generalizations, relating one's own experience to the group problem to illustrate points.
5. **Giving opinion:** Stating an opinion or belief concerning a suggestion or one of several suggestions, particularly concerning its value rather than its factual basis.
6. **Elaborating:** Clarifying, giving examples or developing meanings, trying to envision how a proposal might work if adopted.
7. **Coordinating:** Showing relationships among various ideas or suggestions, trying to pull together ideas and suggestions, trying to draw together activities of various subgroups or members.
8. **Summarizing:** Pulling together related ideas or suggestions, restating suggestions after the group has discussed them.

Group Building and Maintenance Role (what it takes to strengthen and maintain group life and activities)

9. **Encouraging:** Being friendly, warm, responsive to others; praising others and their ideas; agreeing with and accepting contributions of others.
10. **Gatekeeping:** Making it possible for another member to make a contribution to the group by saying, "We haven't heard anything from Jim yet," or suggesting limited talking time for everyone so that all will have a chance to be heard.
11. **Standard setting:** Expressing standards for the group to use in choosing its content or procedures or in evaluating its decisions, reminding group to avoid decisions which conflict with group standards.
12. **Following:** Going along with decisions of group, thoughtfully accepting ideas of others, serving as audience during group discussion.
13. **Expressing group feeling:** Summarizing sense of group's feelings, describing group's reactions to ideas or solutions.



Both Group Task and Maintenance Roles

14. **Evaluating:** Submitting group decisions or accomplishments to compare with group standards, measuring accomplishments against goals.
15. **Diagnosing:** Determining sources of difficulties and appropriate next steps, analyzing the main blocks to progress.
16. **Testing for consensus:** Tentatively asking for group opinions, sending up trial balloons to test group opinions.
17. **Mediating:** Harmonizing, conciliating differences in points of view, making compromise solutions.
18. **Relieving tension:** Draining off negative feeling by jesting or “pouring oil on troubled waters,” putting a tense situation into wider context.

Types of Nonfunctional Behavior

From time to time, more often perhaps than anyone likes to admit, people behave in nonfunctional ways that do not help and, sometimes, actually harm the group and the work it is trying to do. Some of the more common types of nonfunctional behaviors are:

19. **Being aggressive:** Working for status by criticizing or blaming others, showing hostility against the group or some individual, deflating the ego or status of others.
20. **Blocking:** Interfering with the progress of the group by going off on a tangent, citing personal experiences unrelated to the problem, arguing too much on a point, rejecting ideas without consideration.
21. **Self-confessing:** Using the group as a sounding board; expressing personal, non-group-oriented feelings or points of view.
22. **Competing:** Vying with others to produce the best idea, talk the most, play the most roles, gain favor with the leader.
23. **Seeking sympathy:** Trying to induce other group members to be sympathetic to one’s own problems or misfortunes, deploring one’s own situation, disparaging one’s own ideas to gain support.
24. **Special pleading:** Introducing or supporting suggestions related to one’s own pet concerns or philosophies, lobbying.
25. **Horsing around:** Clowning, joking, mimicking, disrupting the work of the group.
26. **Seeking recognition:** Attempting to call attention to oneself by loud or excessive talking, extreme ideas, unusual behavior.
27. **Withdrawing:** Acting indifferent or passive, resorting to excessive formality, daydreaming, doodling, whispering to others, wandering from the subject.

In using a classification system such as the one above, one needs to guard against the tendency to blame any person (whether oneself or another) whose behavior is “nonfunctional.”

It is more useful to regard such behavior as a symptom that all is not well with the group’s ability to satisfy individual needs through group-centered activity. People need to be aware that each person is likely to interpret such behaviors differently. For example, what appears as “blocking” to one person may appear to another as a needed effort to “test feasibility.” What appears to be nonfunctional behavior may not necessarily be nonfunctional when content and group conditions are taken into account. There are times when some forms of aggressive behavior contribute positively, clearing the air and instilling energy into the group.

Improving Member Roles

Any group is strengthened and enabled to work more efficiently if its members:

- Become more conscious of the role function needed at any given time.
- Become more sensitive to and aware of the degree to which they can help meet needs through what they do.
- Undertake self-training to improve their range of role functions and performance.



Sources: The classification system was developed by Morton Deutsch. See:

Deutsch, M. (1960). The effects of cooperation upon group process. In D. Cartwright and A. Zander, *Group dynamics--research and theory* (2nd ed.). Evanston, IL: Row, Peterson and Co.

See also:

Benne, K. D., & Sheats, P. (1948). Functional roles and group members. *Journal of Social Issues*, 55(2).

Exercise: Analyzing Role Functions in a Group--Win Together or Win Alone?



Purpose

This exercise offers practice analyzing role functions in a group.

Instructions

1. Form groups of four and ask one member from each group to serve as scribe.
2. Each of the other three members selects a role from the exercise below.
3. Have each member silently read the “Win Together or Win Alone?” situation.
4. Discuss the situation from the perspective of each role; during the discussion the scribe records the role functions in the group using the worksheet, “Analyzing Role Functions in a Group,” that follows.
5. As a whole group, use the results from the worksheets to discuss small group effectiveness and role functions.

Case: Win Together or Win Alone?

Shalika, Chad, and Jamie are three new candidates running for three seats on the seven-member county board; all seats are at-large. Shalika, Chad, and Jamie have very similar views and share most of the same endorsements, and are meeting to talk about the election.

They are running for three seats, two of which were vacated by people not seeking reelection, and one seat for which a strong incumbent, Roger, is seeking a fourth term. Roger’s views differ from theirs in only a few narrow areas, but they all feel he has lost his focus on key issues and has become ineffective on the board. A fourth candidate, Gayle, has emerged as a surprisingly strong candidate, but with ideas and plans that are radically different from the three candidates at this meeting; they fear that Gayle might be elected and push policies that they believe would seriously threaten the well-being of the county.

Shalika and Chad have strong and well-defined bases of support in the county and are expected to win. Jamie, they all agree, would be a tremendous board member, but her support is much more diffused throughout the county, her campaign has fewer volunteers and less money, and it will be much tougher for her to win a seat on the board. Roger, the incumbent, is expected to be hard to beat because of his strong name recognition, but he has disappointed some important constituent groups and as a result did not receive some endorsements that in the past have proven to be critically important.

As their discussion proceeds it becomes clear that if Shalika, Chad, and Jamie work together and support each other (within the bounds of the law), Shalika and Chad will probably be able to push sufficient support toward Jamie so that all three would win, creating a majority on the board to further their shared objectives. On the other hand, helping Jamie could draw away enough volunteers, contributions, and media attention so that Shalika or Chad might actually lose to incumbent Roger or, in their worst nightmare, to Gayle.

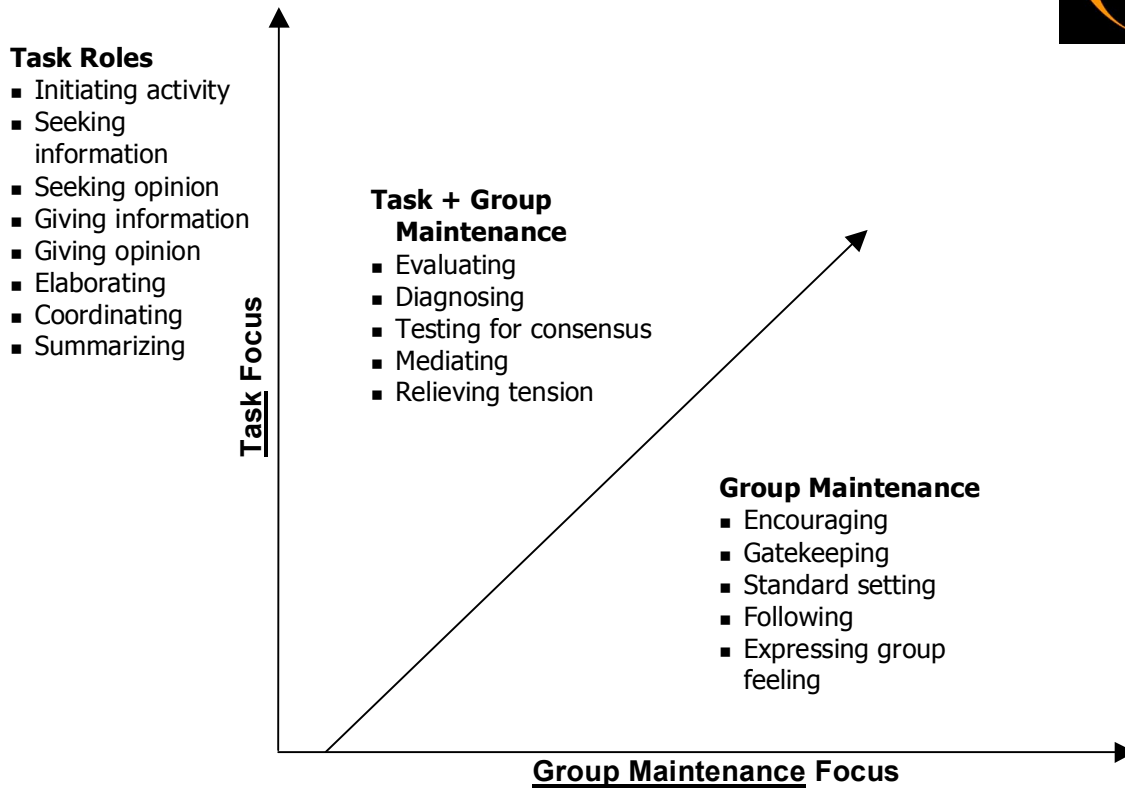
Worksheet: Analyzing Role Functions in a Group--Win Together or Win Alone?



Group Member Identifier	1	2	3	4	5	6	7	8
Initiating activity								
Seeking information								
Seeking opinion								
Giving information								
Giving opinion								
Elaborating								
Coordinating								
Summarizing								
Encouraging								
Gatekeeping								
Standard setting								
Following								
Expressing group feeling								
Evaluating								
Diagnosing								
Testing for consensus								
Mediating								
Relieving tension								
Being aggressive								
Blocking								
Self-confessing								
Competing								
Seeking sympathy								
Special pleading								
Horsing around								
Seeking recognition								
Withdrawal								
Group Member Identifier	1	2	3	4	5	6	7	8

Group Task and Maintenance Functions

Effective groups attend to both the task at hand and maintaining the health of the group.



Building Group Cohesion, Overview



Group cohesion grows as a result of the following:

Shared Goals

Group members almost always will find themselves in mixed-motive situations, which can be a problem. Fortunately, goal sharing does not need to be complete for a cohesive group to form. As long as there is at least **some** goal sharing, there is hope that a cohesive group can form.

Social Interdependence

Social interdependence exists when individuals' abilities to achieve their separate and shared goals is affected by the actions of others. In other words, the individuals find themselves in a **shared-power** context.

Supportive (as opposed to defensive) Behavior

Research by Stamp, Vangelisti, and Daly (1992) indicates that individuals tend to feel defensive when the:

- individual feels attention is being drawn to a self-perceived flaw that he or she refuses to admit publicly;
- individual is sensitive to that flaw;
- “flaw” is attacked by another person, and
- attacker perceives the area or issue to be a flaw in the other.

Self-acceptance is necessary to reduce personal anxiety and fears about being vulnerable. Self-acceptance is, therefore, a precursor to fully accepting others.

Open (as opposed to closed) Relationships

Openness is based on accepting oneself and others, and on focusing on each person's ideas, attitudes, and feelings. Openness does not necessarily imply agreement.

Trusting and Trustworthy Behavior

Trusting behavior involves the willingness to take risks through making oneself vulnerable to others. **Trustworthy** behavior involves responding to another person's risk-taking in such a way that the person thinks good things will result.

Supportive Norms

Norms are the often unspoken “rules” about what constitutes acceptable behavior, attitudes, and perceptions.

Sources:

- Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 73-139). Boston: Allyn and Bacon.
- Stamp, G. H., Vangelisti, A. L., & Daly, J. (1992). The creation of defensiveness in social interaction. *Communication Quarterly*, 40(2), 177-190.

Exercise: Building Group Cohesion, Supportive and Defensive Behavior



Purpose

The purpose of this exercise is to role-play supportive and defensive behavior and to debrief the consequences of each. (Note: Participants should not see these instructions or roles in advance, nor may either see the other's role during the exercise.)

Instructions

1. Form participants into pairs.
2. Hand out a set of the two roles to each pair, preventing each from seeing the other's role.
3. Begin the role play scenario, letting participants talk until they are obviously uncomfortable.
4. Stop the role play.
5. Have the partners exchange and read each other's role instructions.
6. Discuss :
 - How did the person feel that asked to set up a time to meet?
 - How did the person feel that refused to set up a time to meet?
 - With one being supportive and the other defensive, how did you feel about acting supportive?
 - How did you feel about acting defensive?

Exercise: Building Group Cohesion, Supportive and Defensive Behavior

Role 1:

Your task is to be skeptical and disbelieving of everything your partner says. Be negative or evasive if your partner tries to set up a time for the two of you to meet.



Exercise: Building Group Cohesion: Supportive and Defensive Behavior

Role 2:

Your task is to tell your partner that you think s/he is a very intelligent, creative, attractive, good, and decent person. You are to set up a meeting to get to know your partner better. Don't quit until you've set up an appointment.



Building Group Cohesion: Open and Closed Relationships

The dimensions of open and closed relationships are presented in the following figure. Openness is based on acceptance of oneself and others, and a focus on each person's ideas, attitudes, and feelings. Openness does not necessarily imply agreement.



	Closed ←	→ Open	
Content being discussed	The content is of concern to no one (weather talk).	The content consists of technical aspects of work.	The content consists of the ideas and feelings of one person.
Time reference	No time reference (jokes and generalizations).	Distant past or future being discussed.	Recent past or future being discussed.
Awareness of your sensing, interpreting, feeling, intending	You never listen to yourself and try to ignore, repress, and deny feelings and reactions.	You are constantly aware of what you are sensing, the interpretations you are making, your feelings, and your intentions about acting on your feelings.	
Openness with own ideas, feelings, reactions	Your statements are generalizations, abstract ideas, intellectualizations; feelings are excluded as irrelevant, inappropriate and nonexistent.	Your personal reactions such as attitudes, values, preferences, feelings, experiences, and observations of the present are stated and focused upon; feelings are included as helpful information about the present.	
Feedback from other people	Feedback from others is avoided, ignored, not listened to, and perceived as being hostile attacks on your personality.	Feedback from others is asked for, sought out, listened to, and used to increase your self-awareness; it is perceived as being a helpful attempt to add to your growth and effectiveness.	
Acceptance of yourself	You believe that once you are known you will be disliked and rejected and, therefore, you hide your "real" self and try to make the impression you think will be most appreciated by other people.	You express confidence in your abilities and skills; you can discuss your positive qualities without bragging and without false modesty; you understand how you have used your strengths in the past to achieve your goals and are confident you will do so again in the future.	
Openness to others' ideas, feelings, reaction	You avoid and disregard others' reactions, ideas, and feelings; you are embarrassed and put off by others' expressions of feelings; you reject other people and try to one-up and better them; you refuse to hear their feedback on their reactions to your behavior.	You listen to and solicit others' reactions, ideas, and feelings; you are interested and receptive to what others are saying and feeling; you express a desire to cooperate fully with them; you make it clear that you see their value and strengths even when you disagree with them; you ask others for feedback on their perceptions of your behavior.	
Acceptance of other people	You evaluate the other person's actions, communicate that the other is unacceptable, show disregard for the other as a person.	You react without evaluation to the other's actions, communicate that the other is acceptable, value the other as a person.	

Source: Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (p. 131). Boston: Allyn and Bacon.

Building Group Cohesion: Trust

The most important elements of trust are the members' openness and sharing, acceptance and support of each other, and cooperative intentions. Trusting behavior involves openness and sharing. Trustworthiness involves acceptance, support, and cooperative intentions. These aspects are defined as follows:



- **Openness:** sharing information, ideas, thoughts, feelings, and reactions
- **Sharing:** offering information and resources to help the group move forward
- **Acceptance:** communicating regard for others and their contributions, even though you may not agree with them
- **Support:** communicating a belief in others' strengths and abilities
- **Cooperative intentions:** The expectation that each person will behave cooperatively and help the group achieve its goals

Building trust depends as much or more on trustworthy behavior as it does on trusting behavior.

Adapted from:

Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 134-135). Boston: Allyn and Bacon.

Exercise: Trust Self-Evaluation, How Trusting and Trustworthy Am I?



When you are attempting to build a relationship with someone there is always the risk that the person will react in a rejecting and competitive way. For group members to trust one another, each has to expect the other to be trustworthy and each has to engage in trusting behavior.

This self-evaluation exercise allows you to evaluate your own level of trust-building behavior in the group. Complete the questionnaire and score it using the instructions below.

Trust Questionnaire

The following series of statements describe behavior in a group. Rate each statement as honestly as you can. There are no right or wrong answers. It is important for you to describe your behavior as accurately as possible. Answer using the numbers below:

- 7 = I always behave that way
- 6 = I almost always behave that way
- 5 = I frequently behave that way
- 4 = I behave that way as frequently as not
- 3 = I occasionally behave that way
- 2 = I seldom behave that way
- 1 = I never behave that way

When I Am a Member of a Group...

- 1. I offer facts, give my opinions and ideas, and provide suggestions and relevant information to help the group discussion.
- 2. I express my willingness to cooperate with other group members and my expectations that they also will be cooperative.
- 3. I am open and candid in my dealings with the entire group.
- 4. I give support to group members who are on the spot and struggling to express themselves intellectually or emotionally.
- 5. I keep my thoughts, ideas, feelings, and reactions to myself during group discussions.
- 6. I evaluate the contributions of other group members in terms of whether their contributions are useful to me and whether they are right or wrong.
- 7. I take risks in expressing new ideas and current feelings during a group discussion.
- 8. I communicate to other group members that I am aware of and appreciate their abilities, talents, capabilities, skills, and resources.
- 9. I offer help and assistance to anyone in the group in order to heighten the performance of everyone.
- 10. I accept and support the openness of other group members, supporting them for taking risks, and encouraging individuality in group members.
- 11. I share any materials, books, sources of information, or other resources I have with the other group members in order to promote the success of all members and the group as a whole.

- ___ 12. I often paraphrase or summarize what other members have said before I respond or comment.
- ___ 13. I level with other group members.
- ___ 14. I warmly encourage all members to participate, giving them recognition for their contributions, demonstrating acceptance and openness to their ideas, and generally being friendly and responsive.



Scoring the Trust Questionnaire

Write the score for each item in the appropriate column and then total the scores for each column.

Reverse the scoring for the starred (*) questions (if you circled 1, score as 7; 2, score as 6; 3, score as 5; and 4 remains the same).

Trusting Actions (Openness and Sharing)

- ___ 1.
___ 3.
___ 5.*
___ 7.
___ 9.
___ 11.
___ 13.
___ **Total**

Trustworthy Actions (Acceptance and Support)

- ___ 2.
___ 4.
___ 6.*
___ 8.
___ 10.
___ 12.
___ 14.
___ **Total**

A score of 35 or over in either column suggests you are trusting (left-hand column) or trustworthy (right-hand column). A score under 35 in the either column suggests you are distrustful (left-hand column) or untrustworthy (right-hand column).

Adapted from:

Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 127-129). Boston: Allyn and Bacon.

Five Stages of Group Development, Overview



Some research indicates that most groups follow a relatively predictable pattern of development. Bruce Tuckman, developer of one of the most widely used group development models, found that most groups progress through five stages: forming, storming, norming, performing, and adjourning. Each stage builds on the previous one and prepares the group for performing.

While it is useful to identify these stages to better understand group development, it is important to note that the stages are not separate from one another and groups do not progress naturally or smoothly through them.

- Groups may manifest behaviors from several stages at once.
- Groups may drop back to earlier stages when the group's equilibrium is disturbed by something (for example, new members join or the group's goals or procedures change).
- Many groups get stuck at a particular stage. For example, research in Fortune 500 companies shows that only 29% of teams reach the performing stage.
- Reaching the performing stage requires constant attention to group maintenance as well as the tasks that form the group's charge.

Below is the Tuckman Model of Group Development, followed by a diagram illustrating the stages relate to task focus and group maintenance.

Overview

Stage 1, Forming: Forming the group, setting ground rules, finding similarities.

Stage 2, Storming: Dealing with power and control; surfacing differences.

Stage 3, Norming: Managing group conflict, finding group norms, and resurfacing differences.

Stage 4, Performing: Functioning as an effective group.

Stage 5, Adjourning: Finding closure.

Stage 1, Forming

Typical Behaviors:

- The polite stage; focus on getting acquainted and feeling comfortable
- Conflict is low, suppressed; need for approval high
- Verbal members tend to dominate
- Ability to accomplish group tasks and stay focused is low
- Little listening; high distortion of what is heard
- Watchful; guarded; personal feelings kept hidden
- Much giving of/asking for information and data
- Some inclusion/exclusion issues with "new" and "old" group members

Priority Questions

- Why am I here?
- Who are all of these other people?
- What are we supposed to accomplish?

- What's expected of me?
- What kinds of behavior are appropriate?

Implications for Facilitation:

- Use climate-setting activities to break the ice
- Help group members identify and prioritize their goals
- Use brainstorming processes to surface hopes, fears, and expectations of members
- Identify group-directed procedures and establish ground rules
- Have everyone identify the roles needed and begin defining roles and responsibilities
- Help the group set norms for communicating, resolving conflicts, and presenting ideas
- Have the group reflect on what worked well in the group and what didn't



Stage 2, Storming

Typical Behaviors:

- Subgroups and individuals attempt to influence ideas, values, and opinions
- Competition for attention, recognition, and influence
- People confront each other; interpersonal conflict
- Polarization; lack of shared vision
- Members may opt out and/or cliques/alliances form
- Unsolicited comments; opinions
- Sense of feeling stuck; frustrated
- Emotional reaction to task or misperceptions about task
- Process issues discussed outside of meeting
- Quick fix: address symptoms, skirt problems
- Power inequities, struggle as members “jockey for position”

Implications for Facilitation:

- Try to surface underlying issues and legitimate concerns, and encourage the expression of feelings
- Use collaborative interventions (e.g., brainstorming, consensus building) and work on defining roles to support collaborative teamwork
- Form subtask/problem teams that cut across subgroup boundaries
- Focus on major issues with the entire group
- Model reflective listening and coach members on the skills
- Reinforce respectful listening and communications during group discussion
- Expect conflict. Encourage group members to express their frustrations and anxieties, and then focus on defining and organizing tasks

Stage 3, Norming

Typical Behaviors:

- Authority/leadership issues discussed and resolved
- Issues, not people, confronted
- Cohesion among group members begins; subgroups disappear
- Members actively listen to each other
- Appreciation and acceptance of alternative points of view
- Risky issues/process issues brought up in meetings

- Ability to remain focused on task at hand
- Quiet people now contribute more
- Values and assumptions begin to get discovered and discussed
- Relevant questions are asked
- Air of complacency may develop
- Individuals move beyond blame to responsibility



Implications for Facilitation:

- Identify the “hidden” norms and invite the group to evaluate them or set new norms
- Assist the group to develop a positive group identity through teambuilding activities
- Challenge the boundaries of the group; bring in outsiders and/or newcomers periodically
- Redefine or reestablish goals by focusing on desired results
- Coach the group to use problem-solving methods wisely (e.g., nominal group, data dump)
- Use consensus-building interventions and explore areas of actual difference
- Encourage open communication when members close up
- Invite input and feedback when people are reluctant to address issues that might result in conflict

Stage 4, Performing

Typical Behaviors:

- Members try new behaviors and accept new ideas
- Members relate with honesty, respect, authenticity
- Problems and difficult issues are dealt with, handled creatively
- Diversity is affirmed and welcomed
- Member resourcefulness is utilized to energize each other
- Decision-making process to be used is understood
- Frequent review of process issues
- Clarity on how members experience each other
- Outside help/resources welcomed
- Differences bridged with integrity
- Commitment to work toward common goals

Implications for Facilitation:

- Use problem-solving and consensus-building processes to facilitate group work
- Do nothing. Join in and comment on what’s going well
- Experiment with group structures and explore process improvements
- Help the group critique itself. Your role as leader becomes less active
- Arrange appropriate ceremonies/rituals for celebration of accomplishments
- Use or suggest inclusion activities that give new members a sense of acceptance

Stage 5, Adjourning

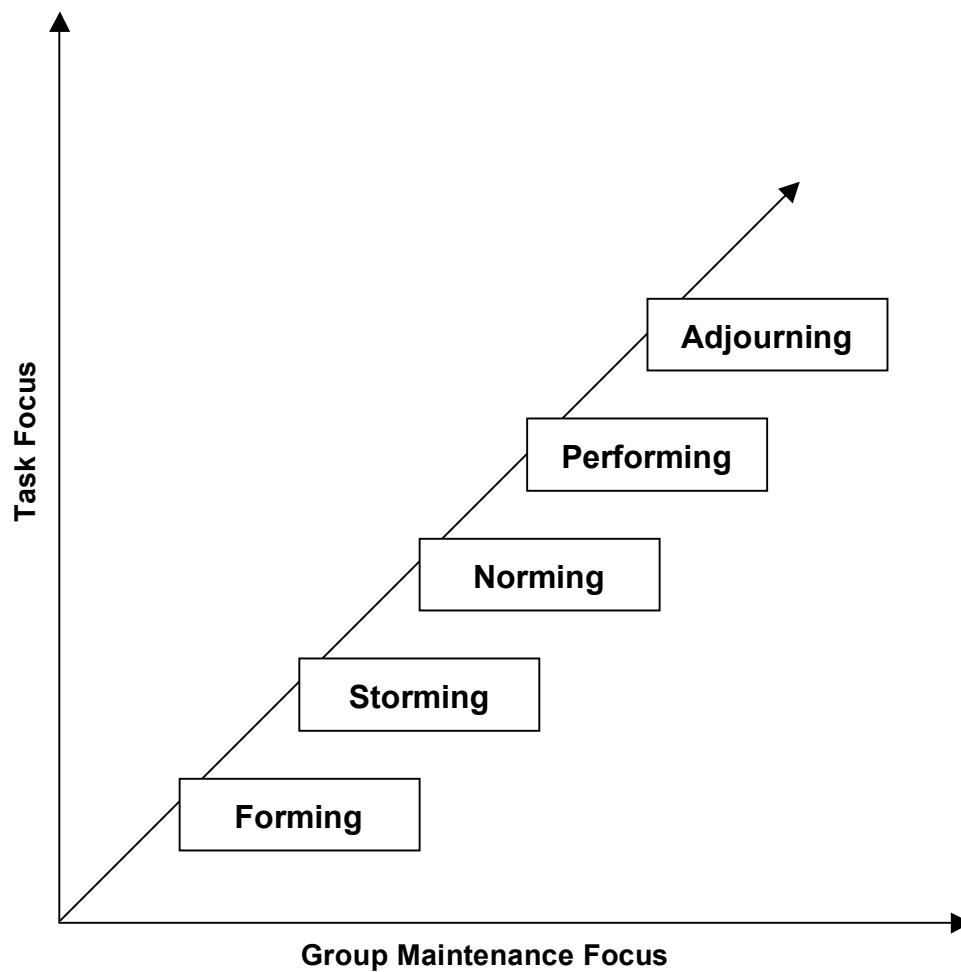
Typical Behaviors:

- The sense of the group is that the work is done
- May be apprehension over the impending loss of group identity and friendships
- Cleaning up the group’s undone tasks and removing symbols of the group

- Evaluating the results and producing final reports
- Saying goodbye

Implications for Facilitation:

- Establish closing procedures with the group
- Help design closing ritual or ceremonies
- Discuss endings with members and encourage them to talk about how they feel
- Provide a vehicle for people to say what they appreciate about each other
- End with a celebration that honors the group and its members

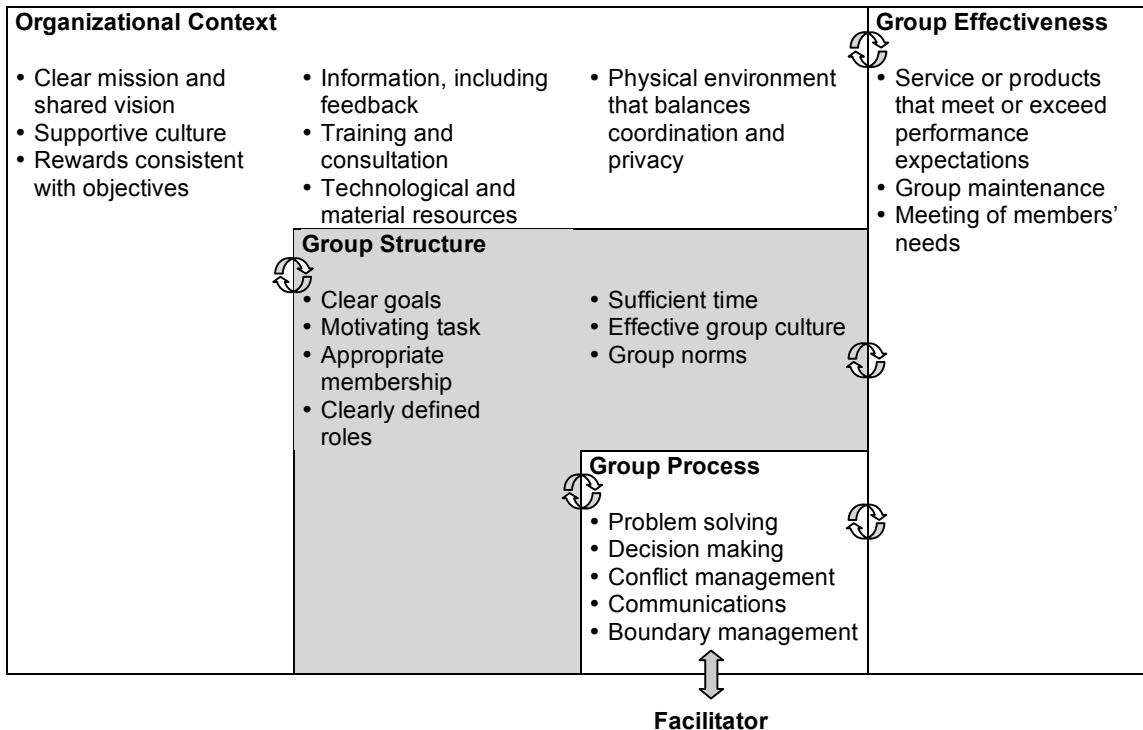


Source: Bacon, T. R. (1996). *High impact facilitation*. Durango, CO: International Learning Works.

Roger Schwarz' Group-Effectiveness Model, Overview



Schwarz' group-effectiveness model posits that group effectiveness is a product of the interaction of organizational context, group structure, group process, and prior group effectiveness. Facilitators have their primary impact on group process. His model is as follows:



Source: Schwarz, R. (1994). *The skilled facilitator* (p.20). San Francisco, CA: Jossey-Bass.

Group Structures

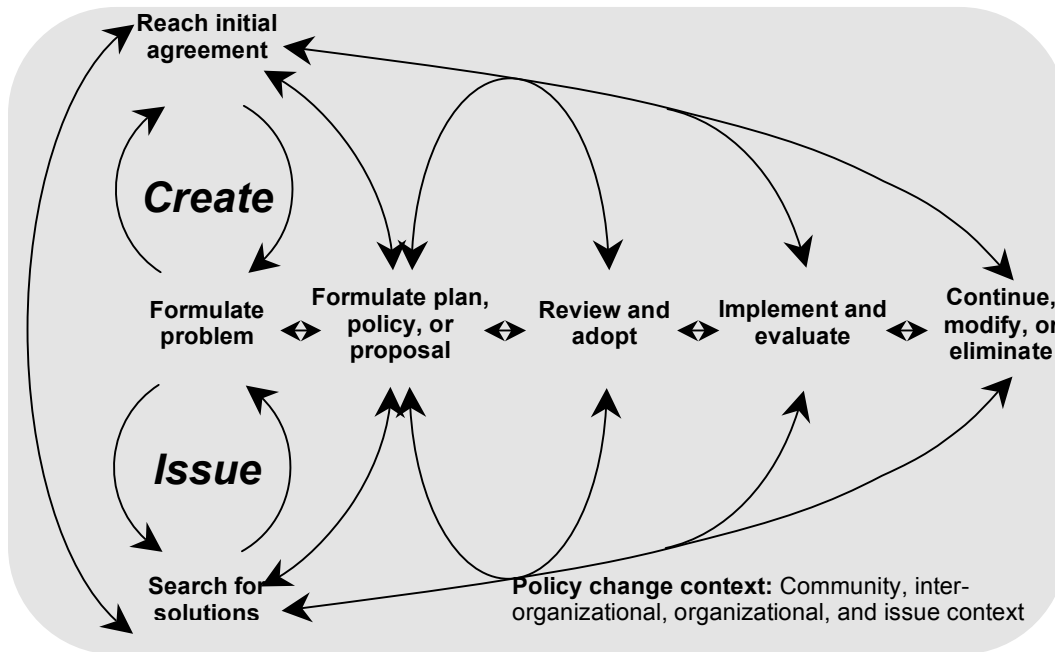
Some typical descriptions of different structures (types) of formal and informal groups include:



- Coalition:** Typically a temporary alliance or union of individuals, groups, or organizations working toward a common purpose. Coalitions may vary in their formality.
- Collaborative:** Relatively long-term and formal group of individuals working toward a common purpose. Group may be large or disparate and may require active maintenance.
- Committee or subcommittee of larger body:** A relatively formal group with a common purpose, usually connected to a larger organization. Members may be representative.
- Community of place:** Very loose grouping of people defined by location; they deal with and discuss multiple issues.
- Elected body (public or private council, commission, board, legislative position, judicial position, etc.):** Formal group of individuals elected to represent and make decisions on behalf of the electorate. Formal leadership structure. Nature and duration of participation is determined by law or the electorate. Members often represent particular functions, geographic areas, or subgroups, and some may be elected at-large.
- Issue or interest group:** Loose grouping of people interested in the same issue or topic, who discuss the issue or exchange information or views, perhaps without any face-to-face meetings. Not necessarily task oriented. Members are self-selected.
- Nonelected or appointed body (public or private board, commission, steering group):** Formal group of people selected to represent and make decisions on behalf of some larger group. Formal or semi-formal leadership structure. Nature and duration of participation is determined by formal agreements, rules, or adopted by-laws. Members may or may not represent particular functions, geographic areas, or subgroups.
- Partnership:** Long-term and formal, often represented by a small number of people; working together toward a common purpose.
- Permanent work group or team:** A formal group dedicated to accomplishing some objective over a substantial period of time. Often a formal leader is designated and formal reporting relationships are defined.
- Steering committee:** Often a group overseeing some major effort within or between organizations; members may be from inside or outside the organization. May be part of a system of committees or task forces and works through them; may report directly to an elected or appointed body, or may report to a top staff leader.
- Task force:** Set up by an individual or organization external to the group for a specific purpose; time-limited. Members often chosen because of their experience or expertise.
- Task-specific work group or team:** Set up within an organization for a specific purpose. Members often chosen because of their experience or expertise. Typically shorter term than a permanent group or team.

Matching Group Structures to Tasks

The **Policy Change Cycle** serves as the framework when exploring which groups are best suited to particular tasks, needs or issues. The policy change cycle consists of a set of interconnected phases; connections are illustrated in the figure and phases are explained in more depth in the table.



Source: Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

POLICY CHANGE CYCLE PHASES
Reach initial agreement (design the process): Agree to do something about an undesirable condition, and start designing the process you want to use
Formulate problem: Fully define the problem, considering alternative problem frames
Search for solutions: Consider a broad range of solutions, and develop consensus on preferred solutions
Formulate policy, plan, or proposal: Incorporate preferred solutions into winning proposals for new policies, plans, programs, proposals, budgets, decisions, projects, rules, etc.; proposals must be technically feasible, politically acceptable, and morally and legally defensible
Review and adopt: Bargain, negotiate, and compromise with decision makers; maintain supportive coalition
Implement and evaluate: Incorporate formally adopted solutions throughout relevant systems, and assess effects
Continue, modify, or eliminate: Review the implemented policies to decide how to proceed

The matrix that follows arrays group structures against typical needs and issues that arise in different phases of the policy change cycle. The “Xs” indicate group types that are commonly used to address

specific needs and issues. These are not intended to be definitive, but it is important to think through the role, tasks, responsibilities, and authority of a group prior to the first phase of the Change Cycle, when initial agreements are reached.



GROUP STRUCTURE OR TYPE	TASKS, NEEDS, ISSUES											
	Coalitions	Collaboratives	Committees/ subcommittees of larger bodies	Communities of place	Elected bodies	Issue or interest groups	Nonelected or appointed bodies (boards, commissions, steering)	Partnerships	Permanent work groups or teams	Steering Committee	Task forces	Task-specific work groups or teams
Reach initial agreement (design process)												
Identify affected groups	X	X	X			X		X			X	X
Involve affected groups	X	X	X	X	X	X					X	
Formulate or identify problem												
Collect information			X	X	X	X			X	X	X	X
Formulate problem or question			X		X	X			X	X	X	X
Define issue	X	X	X	X	X	X		X	X	X	X	X
Search for solutions												
Involve affected groups	X	X		X	X	X				X	X	
Facilitate participation and representation	X	X	X			X		X		X	X	
Search for ideas or solutions	X	X	X	X		X		X	X	X	X	X
Suggest solutions	X	X	X	X	X	X		X	X	X	X	X
Formulate plan or policy												
Promote interaction between groups	X				X	X			X		X	
Clarify planning process			X							X	X	
Evaluate alternatives			X		X	X			X	X	X	X
Formulate plan			X		X	X		X	X	X	X	X
Review and adopt proposal												
Review plan or policy			X		X			X	X	X	X	X
Develop support; minimize opposition	X	X	X	X		X		X	X		X	X
Adopt proposal			X		X			X	X			
Implement and evaluate												
Manage or oversee implementation					X			X	X	X		
Continue, modify, or eliminate												
Oversee planning process or policy change effort	X	X			X			X	X	X	X	
Adjust program during implementation	X	X			X	X		X	X	X	X	X
General												
Identify attitudes and opinions				X		X					X	
Manage conflict			X						X	X	X	X
Settle disputes					X				X	X	X	
Make decisions			X		X			X	X	X	X	X
Answer questions			X		X	X		X	X	X	X	X

TASKS, NEEDS, ISSUES	GROUP STRUCTURE OR TYPE											
	Coalitions	Collaboratives	Committees/ subcommittees of larger bodies	Communities of place	Elected bodies	Issue or interest groups	Nonelected or appointed bodies (boards, commissions, steering)	Partnerships	Permanent work groups or teams	Steering Committee	Task forces	Task-specific work groups or teams
Disseminate information	X	X		X		X			X		X	X
Advocate	X	X		X		X			X		X	X
Gain commitment	X	X	X	X	X	X	X	X	X	X	X	X



Comparison of Effective and Ineffective Groups



The table below presents the **extremes** along a number of dimensions to clearly differentiate between groups that are more and less likely to be successful.

Adapted from:

Effective Groups	Ineffective Groups
Interdependence is used in a positive way, so that goals are achieved by the group that otherwise would not be achievable.	Interdependence is not used constructively; the group does not achieve its goals easily or effectively.
Goals are clarified and modified so that the best possible match between individual goals and the group's goals is achieved; goals are structured cooperatively so all members are committed to achieving them.	Members accept imposed goals ; goals are competitively structured so that each member strives to outperform the others.
Communication is two-way, and the open and accurate expression of both ideas and feelings is emphasized. Dialogue is encouraged.	Communication is one-way and only ideas are expressed; feelings are suppressed or ignored. Dialogue is discouraged.
Participation and leadership are distributed among all group members; goal accomplishment, internal group maintenance, and group development are all considered.	Leadership is delegated and based upon authority; participation is unequal, with high-power members dominating; only goal accomplishment is emphasized.
Ability and information determine influence and power ; contracts are built to make sure individual goals and needs are fulfilled; power is equalized and shared.	Position determines influence and power ; power is concentrated in the authority positions; obedience to authority is the rule.
Decision-making procedures are matched with the situation; different methods are used at different times; consensus is sought for important decisions; involvement and group discussions are encouraged.	Decisions are always made by the highest-ranking authority; there is little group discussion; members' involvement is minimal.
Structured controversy , in which members advocate their views and challenge each other's information and reasoning, is seen as the key to high quality, creative decision making and problem solving.	Disagreement among members is suppressed and avoided; quick compromises are sought to eliminate arguing; groupthink is prevalent.
Conflicts are resolved through integrative negotiations and mediation so agreements are reached that maximize joint outcomes and leave all members satisfied.	Conflicts are resolved through distributive negotiations or avoidance; some members win and some members lose, or else conflict is ignored and everyone is unhappy.
Interpersonal, group, and inter-group skills are stressed; cohesion is advanced through high levels of inclusion, warmth, acceptance, support, and trust. Individuality is endorsed.	The functions of group members are stressed; individuality is de-emphasized; cohesion is ignored; rigid conformity is promoted.

Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (p. 14). Boston: Allyn and Bacon.

Communicating Effectively

Effective communication depends on a combination of good message sending, good message receiving (active listening), and feedback to the person or group about the impact or perception of the communication.



Good Message Sending

- Own your messages
- Construct your message to fit the listener's frame of reference
- Be complete and specific
- Make your verbal and nonverbal messages congruent
- Be redundant
- Be credible (expert, well-intentioned, reliable, warm and friendly, dynamic)
- Ask for feedback concerning the way your message is being received (content, process, and emotion)
- Describe your feelings by name, action or figure of speech, keeping in mind the situation
- Describe other's behavior without evaluating or interpreting

Good Message Receiving (active listening)

- Maintain eye contact and an alert body posture
- Share the floor
- Be (or at least act) interested
- Avoid distractions
- When appropriate, offer verbal encouragement
- Gather information
- Keep the speaker talking
- Ask for clarification of meaning (paraphrase, query) in a nonjudgmental way
- Describe how you perceive the sender's feelings
- State your interpretation of the sender's message and negotiate agreement about its meaning

Feedback

Feedback is communication to a person (or group) regarding how that person's behavior affects another person, or how that behavior measures against some standard or norm. In offering feedback:

- Be specific rather than general
- Focus on the behavior, not the person
- Take into account the needs of the receiver of the feedback
- Direct the feedback toward something the receiver can change
- Try to have the receiver solicit the feedback
- Try to share ideas and information, rather than give advice
- Time and place matter
- Don't give more information than the receiver can handle
- Focus on what was done or how it was done, not why
- Check to ensure clear communication

Exercise: Your Communication Behavior



Purpose

This exercise allows participants to examine their communication behavior in a group in order to become more effective communicators.

Instructions

What is your communication behavior like in a group? How would you describe your communication actions? Honestly answer the following questions:

1. If I, as group chairperson, were giving a set of instructions and the other group members sat quietly with blank faces, I would:
 - State the instructions clearly and precisely and then move on.
 - Encourage members to ask questions until I was sure that everyone understood what he or she was supposed to do.

2. If the group chairperson gave a set of instructions to the group that I did not understand, I would:
 - Keep silent and later ask another group member what he or she meant.
 - Immediately ask the chairperson to repeat the instructions and answer my questions until I was sure I understood what he or she wanted me to do.

3. How often do you let other group members know when you like or approve of something they say or do?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

4. How often do you let other group members know when you are irritated or impatient with, embarrassed by, or opposed to something they say or do?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

5. How often do you check out what other group members are feeling and how they are reacting, rather than assuming that you know?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

6. How often do you encourage other group members to let you know how they are reacting to your behavior and actions in the group?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

7. How often do you check to make sure you understand what other group members mean before you agree or disagree?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

8. How often do you paraphrase or restate what other members have said before you respond?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

9. How often do you keep your thoughts, ideas, feelings, and reactions to yourself in group sessions?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always

10. How often do you make sure that all information you have about the current topic of discussion is known to the rest of the group?

Never 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Always



These questions deal with several aspects of communication in groups:

- Questions 1 and 2 refer to whether communication is one-way (from the chairperson to the rest of the group members) or two-way
- Questions 3 and 4 focus on our willingness to give feedback to other group members on how you are receiving and reacting to their messages
- Questions 5 and 6 refer to your willingness to ask for feedback about how other group members are receiving and reacting to your messages
- Questions 7 and 8 focus on receiving skills
- Questions 9 and 10 relate to your willingness to contribute (send) relevant messages about the group's work

Review your answers to these questions and summarize your present communication behavior in a group.

Source: Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 144-145). Boston: Allyn and Bacon.

Exercise: Dialogue and Group Learning



A formal **dialogue** process can help team members view a problem from each other's perspective and enhance their creativity. As psychologist and veteran facilitator Edgar Schein (1993) notes, such a process is vital for teams in which members feel anxious or distrustful of each other or have run into other difficulties working together. Without perspective-taking through dialogue, members' differences too easily become personalized conflicts that stifle creativity and commitment.

During dialogue, as described by Edgar Schein and Peter Senge (1990), participants practice **suspension**; that is, if another team member disagrees with you, you do not react immediately to defend your view. You try to be aware that your assumptions, which are often based on past experience, affect what you are hearing. This helps you hear what others are saying.

If you do not practice suspension and, instead, disagree and elaborate your own position, you are headed down the path of **discussion**, dialectic, and debate, in which conflict is resolved by “logic and beating down” (Edgar Schein, p. 46). When groups are not already cohesive, discussion only exacerbates difficulties.

Dialogue is a containment process, that is, it contains conflict rather than suppressing it or allowing it to degenerate into a win-lose battle. To foster this containment, the facilitator draws on his or her own authority and team members' commitment to work together.

There are important distinctions between dialogue and discussion:

Dialogue

- Free and creative exploration of complex and subtle issues
- Deep listening to one another and suspending of one's own views
- Complex issues are explored
- Divergent process

Discussion

- Different views are presented and defended
- Search for the best view to support decisions that must be made at this time
- Decisions made
- Convergent process

Dialogue allows you to become an observer of your own thinking and reveals your own incoherence or inconsistencies.

Three basic conditions are necessary for dialogue:

- **Suspend assumptions:** During suspension, you try to be aware of what is going on and how your past experience shapes your assumptions about what you're hearing. This helps you hear what others are saying.
- **See each other as colleagues:**
 - Be willing to consider each other as colleagues
 - This does not mean you need to agree or share the same views
 - You must want the benefits of dialogue more than holding on to privileges of rank

- **Reflect a spirit of inquiry:**
 - Requires a facilitator who “holds the context” of the dialogue
 - Facilitator helps people maintain ownership of the process and outcomes
 - Facilitator is responsible for keeping the dialogue moving by:
 - Reflecting on own assumptions
 - Inquiring into each person’s thinking
 - Exposing own thinking
 - Facilitator does not take on role of expert



Instructions: Practicing Dialogue

1. Bring team members together in an introductory meeting. Everyone sits in a circle.
2. The facilitator asks the group to think of experiences of good communication for a couple of minutes.
3. The facilitator asks everyone to talk with a neighbor about these experiences.
4. After 5-10 minutes, the facilitator asks the group, “What made these experiences good communication?” The facilitator records answers on a flip chart and makes sure everyone has a chance to contribute.
5. The facilitator invites each team member to respond to the recorded answers.
6. The facilitator allows the conversation to flow naturally, intervening as needed to clarify what the group is revealing about communication problems.
7. The facilitator introduces the concepts:
 - suspend judgment and reaction
 - dialogue vs. discussion
 - use dialogue to contain conflict
8. After a team has participated in one or more preliminary dialogues and grasped the basic concepts, it can then use dialogue to focus on vital questions about the team's mission and how to achieve team goals.

Once dialogue has helped the team develop shared understanding of the questions and alternative answers, team members can advocate particular courses of action and seek consensus on what to do.

Based on:

Schein, E. (1992). *Organizational culture and leadership* (2nd ed.). San Francisco, CA: Jossey-Bass.
 Senge, P. M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday.

Section B.

Developing Effective Teams



Purpose

This section introduces the concept of team leadership and provides guidance on how to build effective teams.

Objectives

After completing this section you should have an understanding of the following elements of teams and team development:

- The concept of effective teams
- How to learn from your experience with teams
- How to assess the effectiveness of teams against a variety of dimensions
- How to conduct a team problem-solving clinic
- A more comprehensive vision of the products and outcomes of successful strategic planning efforts

Summary

The following materials are included in this section:

- **Team Leadership: Building Effective Teams**
Effective team leaders pay attention to group maintenance, member satisfaction, and task accomplishment by skillfully recruiting team members, effectively communicating, empowering team members, and developing leadership in team members.
- **What Makes a High-Performing Team**
Teams are tremendously important vehicles for change. It is important to pay attention to the elements of an effective team and what can lead a team to produce extraordinary results over an extended period of time. Well-known experts Lee Bolman and Terrence Deal present four “frames” to understand organizations (structural, human resources, political, and symbolic), and argue that aspects of the symbolic frame are most important.
- **Exercise: Listening to Lessons from Experience, Team Effectiveness**
This exercise helps team members listen to and learn from each other’s experience by reflecting on and then sharing observations and insights about groups and teams that did and did not work. Interesting differences in perception and interpretation invariably arise, as do significant commonalities that typically hold across even very diverse participants.
- **Exercise: Assessing Teams**
This exercise allows team members to rate their own team on membership, communication, empowerment, and leadership development. It is used as a starting point to highlight where the team excels, and then to develop strategies for improvement.
- **Exercise: Using Snow Cards to Identify and Agree on Team Norms**
This exercise allows team members to identify and agree on team norms or standards, which help improve performance, inspire commitment, or enhance satisfaction. The snow card technique combines brainstorming with a straightforward organizing strategy. The exercise concludes with team members deciding how to monitor and reinforce the agreed-upon norms.

- **Exercise: Team Problem-Solving Clinic**

This short, clever, and effective exercise allows each participant to pose a pressing leadership question and then receive at least five helpful answers from group members. This can be very useful with almost any group, and is especially powerful when used with well-functioning teams or group members who bring diverse perspectives.

- **Products and Outcomes of Successful Policy Change Efforts**

The products and outcomes of group work are not just substantive and visible, but also process-oriented and invisible. Most of the literature and conventional wisdom focuses on the documented and visible results of group work, such as the strategic plan itself. The process and intangible elements are equally important. You must give adequate attention to tangible and intangible content and process in order to produce a successful strategic plan and process. Real success is based on shared mindsets and commitments of key stakeholders.



Team Leadership: Building Effective Teams

Effective team leaders pay attention to group maintenance, member satisfaction, and task accomplishment by skillfully recruiting team members, effectively communicating, empowering team members, and developing leadership in team members.



Leadership is people taking the initiative, carrying things through, having ideas and the imagination to get something started, and exhibiting particular skills in different areas.

--Charlotte Bunch

- **Skillfully recruiting team members**
 - Seek out people with common concerns
 - Seek out people who have knowledge, contacts, skills, and other resources to contribute
 - Identify and analyze stakeholders
 - Balance unity and diversity
 - Keep size manageable
- **Effectively communicating**
 - Master the art of listening and sending effective messages
 - Foster dialogue as well as discussion
 - Manage conflict instead of suppressing it
 - Use humor
 - Attend to setting and environment
 - Stay aware of cultural influences
- **Empowering team members**
 - Be sensitive to stages of group development (for example: forming, storming, norming, performing, adjourning)
 - Help team establish and proclaim a clear mission
 - Help set decision-making rules, group roles, and norms; openness, sharing, support, and cooperation are especially important
 - Help team identify needed resources, such as information, money, and skills, and develop strategies for obtaining them
 - Tailor direction and support to team members' needs
 - Reward achievement and overcome adversity
 - Recognize that leaders and followers empower each other
- **Developing leadership in team members**
 - Groom successors
 - Share leadership responsibilities
 - Offer training sessions
 - Craft a team leadership development program

What Makes a High-Performing Team?

Since teams are one of the most important vehicles for change in public affairs, it is important to pay attention to the elements of an effective team. It is particularly helpful to understand what can lead a team to produce extraordinary results over an extended period of time.



Lee Bolman and Terrence Deal have written some of the most widely used organizational theory texts and articles in the field, arguing that it is important to use four different “frames” to understand organizations:

- **Structural:** Focusing on rationality, efficiency, planning and policies
- **Human resources:** Emphasizing the interaction between individual and organizational needs
- **Political:** Attending to conflicts over scarce resources
- **Symbolic:** Emphasizing interpretation and meaning-making

Bolman and Deal have used these four frames to examine how high-performing teams work and have concluded that while all four matter, aspects of the **symbolic** frame are particularly significant. In particular, they argue that:

- How someone becomes a team member is important
- Diversity gives a team a competitive advantage
- Example rather than command holds a team together
- A specialized language fosters cohesion and commitment
- Stories carry history and values, while reinforcing team identity
- Humor and play reduce tension and encourage creativity
- Ritual and ceremony renew spirit and reinforce values
- Informal cultural players make contributions disproportionate to their formal roles
- “Soul” is the real secret of a team’s success

Sources:

- Bolman, L. G., & Deal, T. E. (2003). *Reframing organizations--artistry, choice, and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Bolman, L. G., & Deal, T. E. (1992). What makes a team work? *Organizational Dynamics*, 21(2), 34-44.

Exercise: Listening to Lessons from Experience, Team Effectiveness



Purpose

This exercise helps team members listen to and learn from each other's experience by reflecting on and then sharing observations and insights about groups and teams that did and did not work. Interesting differences in perception and interpretation invariably arise, as do significant commonalities that typically hold across even very diverse participants.

Instructions

Explain to the group that the initial work will be done individually, then shared with the group. Then have each person do the following using the worksheet on the next page:

1. Think of a group or team you were a part of that was effective. Describe the group's characteristics in the appropriate box of the worksheet on the next page.
2. Under observations and insights, write answers to the following:
 - What was going on?
 - What promoted the attitudes, behaviors, or results you cited?
 - What could have undermined those attitudes, behaviors, or results?
3. Now think of a group or team you were a part of that did not work, and write those characteristics in the appropriate box.
4. Under observations and insights, write answers to the following:
 - What was going on?
 - What was the key to the lack of success?
 - What happened that undermined the group's ability to be successful?
5. When everyone is finished writing, ask the group to report on some of the characteristics of a group that worked. Record responses on a flipchart sheet as they are called out.
6. Ask for characteristics of a group that did not work and record responses on a flipchart sheet.
7. Elicit and record observations and insights.
8. Finally, encourage team members to offer additional observations resulting from the exercise. Discuss.

Worksheet: Listening to Lessons from Experience, Team Effectiveness



Characteristics of a group that worked	Observations/Insights
Characteristics of a group that did <u>not</u> work	Observations/Insights

Exercise: Assessing Teams

Use the table below to rate your team.

Membership	Good	Avg	Poor
• Team members contribute needed knowledge, contacts, skills			
• Team members have shared purpose			
• Team members represent needed diversity of views and backgrounds			
• Team size is appropriate			

Effective Communication

• Team members listen to each other's views			
• Important messages are expressed clearly			
• Conflict is managed constructively			
• Team members laugh together			
• The settings for team meetings contribute to the team's effectiveness			
• Team members are sensitive to their cultural differences			

Empowerment

• The team has a clear mission			
• Decision-making rules are clear			
• Team roles are clear			
• Team norms support openness, sharing, mutual support, and cooperation			
• The team has effective strategies for obtaining needed resources			
• Direction and support are tailored to members' needs			
• Achievement is rewarded			
• Adversity is overcome			
• Team leaders recognize they are empowered by other team members			

Leadership Development

• Team leaders groom successors			
• Leadership responsibilities are shared			
• Team members organize team training sessions			
• The team has a comprehensive leadership development program			



When you are done with the ratings:

- Identify two or three of these that you have rated "good." Bring them to your group and celebrate!
- Now identify one or two that you have rated "poor," for which you have some ideas for improvement.

Exercise: Using Snow Cards to Identify and Agree on Team Norms



Purpose

This exercise allows a group to identify and agree on team norms. This will help improve team effectiveness. It also allows the team practice using the “snow card” group technique.

Norms are:

- Standards that you establish to help you accomplish your work together
- Often the “unwritten rules” about the beliefs, values, and operating principles that members think are important
- Sometimes the themes in stories you tell about important events, celebrations, and rituals
- The way the group does things that really count, the way the place really works

Norms usually are not:

- Written policies
- Codified in managerial memos
- Formally included in job descriptions
- Formally stated anywhere in the system

Instructions

1. Ask the group the question: What norms or standards would be good for us to establish to help us accomplish our work together? Think of things that might improve performance, inspire commitment, or enhance satisfaction.
2. Have individuals in the group brainstorm as many ideas as possible and record each idea on a separate “snow card,” such as a:
 - Post-it note
 - 5” x 7” card
 - Oval
 - Square of paper
3. Have individuals share their ideas in round-robin fashion.
4. Tape the ideas to the wall. As a group, remove duplication and cluster similar ideas into categories. Establish subcategories as needed. The resulting clusters of cards may resemble a “blizzard” of ideas, hence the term, “snow cards.”
5. Clarify the meaning of the ideas.
6. Once all the ideas are on the wall and included in a category, rearrange and tinker with the categories until they make the most sense. Place a card with the category name above each cluster.
7. As a group, decide how to monitor and reinforce the norms.
8. After the exercise, distribute a copy of the norms, listed by categories, to all group members.

Exercise: Team Problem-Solving Clinic

The purpose of the clinic is for each participant to get at least five helpful ideas to begin solving a pressing leadership question.

1. Form groups of six.
2. Choose a timekeeper; ask all to agree to honor time limits.
3. Each group member gets 10 minutes to pose and then hear group responses to an important leadership question.
4. The focal person uses the first two minutes to present her or his leadership question. Group members should not ask the focal person for more information. If questions are asked, the focal person should keep responses to a minimum.
5. The focal person listens for the last eight minutes while the group bombards him or her with possible solutions. Hopefully, at least five of the ideas will be helpful.
6. The focal person records all answers, but does not respond to any of them. Remember, the purpose of the process is to get lots of ideas, then to evaluate them after the clinic is over. The more time the focal person spends talking, the fewer ideas she or he will receive.
7. Repeat the 10-minute process for the remaining members.
8. The timekeeper goes last. Any amount of time that previous presenters have received beyond their 10 minutes comes out of the timekeeper's turn.



**The best way to
get a good idea
is to have lots of
ideas.**

*--Linus Pauling
two-time Nobel
laureate*

Products and Outcomes of Successful Policy Change Efforts



It is important for process designers and implementers to keep in mind that throughout a Policy Change Cycle there are a number of tangible and intangible, process- and content-oriented outcomes that are likely to be needed if the process is to succeed.

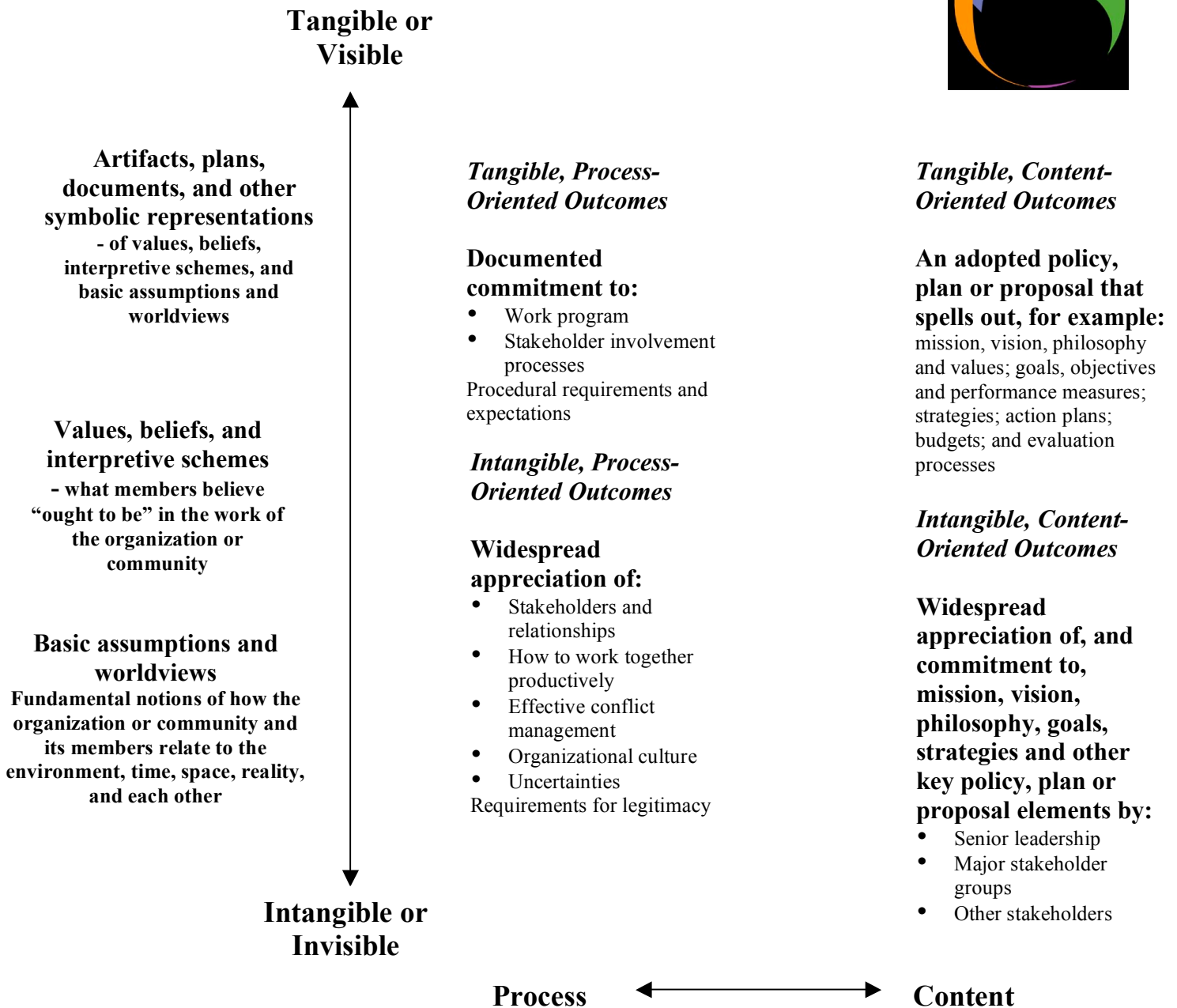
The following figure classifies outcomes according to these dimensions. The process versus content dimension is probably quite familiar, at least in the negative, as when people complain about “process getting in the way of substance.” Less obvious, because it is less frequently discussed, is the distinction between tangible and intangible outcomes. We have subcategorized this dimension according to our interpretation of Schein’s (2004) three levels of culture.

The most obvious aspects of culture are what we can see, such as artifacts, plans, documents, or other symbolic representations of the less visible values, beliefs, and interpretive schemes that shape them. Less obvious, but in many ways much more important, are the basic assumptions and worldviews that underpin the values, beliefs, and interpretive schemes. They are most important because they serve as the nearly invisible underpinnings of what is above them; they are the platform on which the rest is built. Participation efforts grow out of organizational or community cultures; any outcomes produced must tap into that culture, even if the purpose (as is usual) is to change the culture in some way, including some of its basic assumptions.

To repeat: You must give adequate attention to producing tangible and intangible content and process outcomes in order to produce a successful strategic plan and process. Real success is based on shared mindsets and commitments of key stakeholders.



Figure 1. Outcomes Likely to Be Needed for Policy Change Effort to Succeed



Adapted from:

Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organizations* (3rd ed.). San Francisco, CA: Jossey-Bass.

Based in part on the ideas of Schein (2004) and Friend & Hickling (1997).

Introduction to Part 3, Leadership and Policy Change



Effective leadership is essential for bringing about desirable policy changes. This part of the Fieldbook links leadership with strategies for designing effective participation to create successful change efforts.

Section A. Leading for the Public Good

Leadership topics and issues underlay the contents of previous parts of this Fieldbook. Now it is time to highlight them and make the connection to change.

This section begins with several exercises to explore the nature of leadership and to clarify and assess individual perspectives on leadership. When people understand how they think about leadership, they are better positioned to work with and guide it toward successful outcomes.

Key leadership issues are articulated and framed to show how leadership for the common good requires putting it all together: coordinating leadership tasks in our shared power world using appropriate forums, arenas, and courts within the context of a policy change cycle.

This section closes with a case study to illustrate that powerful changes can occur when courageous leadership emerges in a shared-power arrangement, in the right setting, and timed properly within a change cycle. This case offers marvelous teaching and learning opportunities.

Section B. Changing Policy

This section on designing authentic participation into a change process begins with a reminder of the Policy Change Cycle, followed by a clarification of how forums, arenas, and courts fit within the phases of the Change Cycle.

We look at the advantages and disadvantages of “big win” and “small win” strategies, and explore when one or the other might make more sense. Next a checklist helps process designers and participants determine whether their process is technically workable, politically acceptable, and ethically and morally defensible. Stepping back and considering kinds of processes and approaches make sense in particular situations, providing the final bit of perspective before launching into the design portion of this section.

The major portion of this section is devoted to a comprehensive walk-through of designing participation into a change process. Tied directly to the Policy Change Cycle and all the material in the Fieldbook up to this point, the interconnected elements of the policy change cycle are described in detail, including each phase’s purpose, desired outcomes, leadership guidelines, and possible tactical choices. Worksheets to estimate the person-days, cost, and importance of each of the choices are provided for practitioners actually working through a detailed design. While this section contains a vast amount of detail because each process must be tailored to the specific needs, it also builds in a great deal of flexibility.

Two useful case-based exercises conclude this section. The exercises include guided questions that provide the perfect opportunity to think through a participation process to address complex issues. These true stories are neither personal nor emotional for readers, so they offer an opportunity to begin practicing process design in a safe setting.



Section A.

Leading for the Public Good



Purpose

This section introduces the concept of leadership and ways to think about the meaning of leadership for the common good in a shared-power world. Exploring and developing a better understanding of leadership, leaders, and the role of leadership is essential to effectively designing and implementing successful public participation.

Objectives

By the end of this section, users should have a clear understanding of:

- Their own perspective on leadership
- Personal assessment methods
- Leadership in a shared-power world
- Leading policy change
- Leadership in designing and using forums, arenas, and courts
- The role of leadership in effecting change

Summary

This section contains the following materials:

- **Exercise: Exploring the Nature of Leadership**
Leadership is a very broad concept open to many definitions and interpretations. This exercise helps you think more deeply about what you mean when you use the words “leadership” and “leader,” and is useful for both individual exploration and subsequent group discussion.
- **Exercise: Clarifying Your Leadership Perspective**
We tend to develop leadership capacities based on our own definitions of leadership. This exercise helps clarify your own leadership perspective and is useful for both individual exploration and subsequent group discussion. Discussion can expand and deepen your understanding of leadership and help you consider its role more thoughtfully when designing participation processes.
- **Exercise: Using Personal Assessment Methods**
This short exercise lists a number of methods for understanding yourself and others, then helps you consider both your preferred methods and how you could explore alternatives. Its purpose is to help you better understand yourself and others and how to work more effectively with others.
- **Conceptual Elements: Leadership for the Common Good**
The Leadership for the Common Good framework consists of a number of different elements (Crosby and Bryson, 2005). These include a definition of leadership as the inspiration and mobilization of others to undertake collective action in pursuit of the common good; the idea of a shared-power world; a specific set of leadership capabilities; a focus on the different settings of forums, arenas, and courts; a framework for thinking about policy change; and the notion that leadership for the common good requires putting it all together by coordinating leadership tasks in policy change cycles.

- **Exercise: Analyzing a Policy Change Cycle,
Case Study: YWCA Anti-Racism**

This powerful and enlightening case study documents how, in 1970, the YWCA came to place eliminating racism at the top of its agenda. The case provides new insight into leadership and policy change in socially-based organizations. The accompanying exercise provides guidance on identifying stakeholders, the role of settings, and the importance of leadership in policy change.



Exercise: Exploring the Nature of Leadership

Leadership is a very broad concept open to many definitions and interpretations. This exercise is designed to help you clarify what you mean when you use the words **leadership** and **leader**.



1. What comes to your mind when you hear the word “leadership”?
2. What is the difference between **leaders** and **leadership**?
3. How does a focus on visible “top” leaders help or hinder development of one’s leadership talents?
4. Do you know words for leader or leadership in any language(s) other than English? What are the words, and what meanings do they convey?
5. Is there anything you find puzzling about leadership?

Conceptual Elements: Leadership for the Common Good



The Leadership for the Common Good framework consists of a number of different elements (Bryson and Crosby 1992). These include: a particular definition of leadership; the idea of a shared-power world; a variety of leadership capabilities; a focus on different kinds of settings; and a framework for thinking about policy change. The elements in more detail are:

Leadership

Leadership is the inspiration and mobilization of others to undertake collective action in pursuit of the common good.

Shared-Power World

- **Shared-power world:** An environment in which many individuals, groups, and organizations have partial responsibility to resolve a public problem, but no single one of them has enough power to resolve the problem alone.
- **Shared-power arrangement:** Intentional cooperation between two or more people, groups, or organizations to accomplish joint and separate aims and avoid joint and separate losses; includes sharing information, objectives, activities, and resources.
- **Regime of mutual gain:** Shared-power arrangements that produce widespread benefits at reasonable cost and are likely, therefore, to be stable in the long term.

We live in a shared-power world where public problems spill beyond the borders of any single organization. A network of organizations is needed to make headway against the problem; no single organization is “in charge.”

Leadership Capabilities

- **Leadership in context:** Understanding the social, political, economic, and technological “givens” (though what people take for granted can change).
- **Personal leadership:** Understanding the people involved, especially oneself.
- **Team leadership:** Building teams.
- **Organizational leadership:** Nurturing effective and humane organizations, inter-organizational networks, and communities.
- **Visionary leadership:** Creating and communicating meaning in forums.
- **Political leadership:** Making and implementing policy decisions in legislative, executive, and administrative arenas.
- **Ethical leadership:** Sanctioning conduct, adjudicating disputes, and managing residual conflicts in courts.
- **Putting it all together:** Using leadership capabilities to raise and resolve issues in forums, arenas, and courts over the course of a policy change cycle.



Settings: Forums, Arenas, and Courts

Forums for Discussion and Dialogue

Forums are settings for creating and communicating shared meaning.

Characteristic observable action

- Using signs and symbols, usually through dialogue, debate, or discussion, to create shared meaning and values among participants

Important ideas, rules, modes, media and methods

- Communicative ability--skill in language use, compelling voice, storytelling skill
- Modes of argument--stories, data, reports, pictures
- Access rules--requirements for participating
- Interpretive schemes--shared ways of looking at the world that link observed phenomena to values, beliefs, assumptions, and past experience
- Modes of deciding among interpretive schemes--ranking, reconciling, reframing

Deep structure

- Common base of linguistic rules and resources
- Shared, taken-for-granted assumptions about communication

Arenas for Decision Making

Arenas are settings for making and implementing legislative, executive, and administrative decisions.

Characteristic observable action

- Making and implementing decisions establishing principles, laws, policies, plans, rules, standards, norms, or prices that apply to a population or category of actions

Important ideas, rules, modes, media and methods

- Domain: the geographic or behavioral territory under the arena's control
- Agendas: the plan for decision making
- Permitted methods of planning, budgeting, decision making, and implementation
- Access rules: requirements for participating as decision maker, influencer, or observer

Deep structure

- Basic social assumptions about the distribution of political, economic, and cultural resources
- A shared resource base that makes policy making necessary and possible

Courts for Enforcement and to Manage Conflict

Courts are settings for judging or evaluating decisions or conduct in relation to ethical principles, laws, and norms.

Characteristic observable action

- Moral evaluation and sanctioning of conduct, and especially conflict management and dispute resolution

Important ideas, rules, modes, media and methods

- Conflict management and sanctioning capabilities (for example, moral authority, judicial powers, mediating skill)
- Norms: for example, due process
- Jurisdiction: the geographic or behavioral territory in which the court has legitimacy

- Conflict management methods: for example, jury trials, arbitration, mediation
- Access rules: requirements for participating

Deep structure

- Shared assumptions about legitimate authority



Policy Change Cycle

The **policy change cycle** is the general process by which leaders and constituents tackle public problems in a shared-power, no-one-in-charge world. The process is played out in a series of interconnected activities with shifting purposes and actors in shifting forums, arenas, and courts. The process is a “structured anarchy.”

Elements of the policy change cycle and related definitions are as follows:

- **Policy Change Cycle phases** include the following:
 - Reach initial agreement (design the process)
 - Formulate the problem
 - Search for solutions
 - Formulate plan, policy, or proposal
 - Review and adopt the plan, policy, or proposal
 - Implement and evaluate
 - Continue, modify or eliminate the policies

The first three phases of the cycle constitute the process of **issue creation**. Issue creation occurs when a public problem and at least one solution, with pros and cons from the standpoint of various stakeholders, gains a place on the public agenda. How the problem is framed will determine the solutions to be considered.

- **Policy:** A method or course of action adopted by a government, business, organization, etc., designed to influence and determine decisions; a guiding principle or procedure.
- **Stakeholder:** Any person, group, or organization affected by a public problem. The key to successful policy change efforts is to inspire and mobilize enough key stakeholders to adopt policy changes and protect them during implementation.
- **Public:** Belonging to or affecting a community of people.

Leadership for the common good requires putting it all together: coordinating leadership tasks within appropriate forums, arenas, and courts, and within the context of policy change cycles.

Source:

Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the Common Good* (2nd ed.). San Francisco, CA: Jossey-Bass.

Exercise: Analyzing a Policy Change Cycle

Case Study: YWCA Anti-Racism



Purpose

The purpose of this exercise is to analyze a policy change cycle case study by focusing on the elements of the Leadership for the Common Good framework.

Instructions

1. Have participants read the case study: “The Origins of the YWCA’s Anti-Racism Campaign.”
2. Form participants into small groups of two to six, depending on the size of the group and the time available.
3. Have small groups answer the questions included on the worksheet.
4. Have small groups share their answers with the whole group.

Worksheet: Analyzing the YWCA Case

Read the case and then answer the following questions:



1. What role did history play in this case?
2. Who were the stakeholders in this policy change effort?
3. Which forums were important in the policy change effort, and why?
4. How did the advocates for change link forums to arenas in this case?
5. What role do courts play in this case?
6. If you were Ellen Dammond or Helen Claytor, what would you have been willing to do on behalf of the change effort? What would you not be willing to do?

The Origins of the YWCA's Anti-Racism Campaign



The Decision

On April 15, 1970, the National Convention of the YWCA passed a resolution “To Thrust Our Collective Power toward the Elimination of Racism Wherever it Exists and By Any Means Necessary.” This action was the culmination of over a century of activities on behalf of racial justice by the YWCA. Passed at a time when the country was divided by war, drugs, sexism, and poverty, the resolution to eliminate racism nonetheless stood alone as the primary focus of the energies of the YWCA. How an organization founded by middle-class white women to pursue the tenets of Christianity came to place the elimination of racism at the top of its agenda provides new insight into decision making in socially-based organizations.

Background

The YWCA has had a long and often progressive history of fighting racism and working toward equality. One of the first tasks undertaken by the newly formed YWCA in the mid-1850s was to help former slaves adjust to freedom and provide them with charity in a variety of forms. The first Black branch of the YWCA was opened in Dayton, Ohio, in 1889 and the first branch for American Indians was opened in Chilocco, Oklahoma, in 1890. Although the laws and social customs of the day required separate branches for white and “colored” girls, the Christian purpose of the YWCA led the “ladies” of the Y to attempt to save the souls of all young women and provide them a decent environment, regardless of the color of their skin.

By the early 1900s, the YWCA was beginning to move from its emphasis on moral protection toward more social-action related activities. YWCA programs were set up in inner cities to help young women and girls who worked in the pre-World War I industrial centers to secure decent places to live and to provide them with wholesome activities. These programs led the YWCA to join the struggle for better working conditions, decent wages and protective legislation. A large number of those whom the YWCA was working to help were either Black women who had moved to the cities from rural areas, or newly arrived white immigrant women. These workers were particularly vulnerable because many did not speak English, or often were viewed by society as an inferior class of workers. The YWCA’s belief in putting Christian faith into social action led members to pay particular attention to the needs of these women.

The first formal demand by Black women to be integrated into the YWCA on a basis of full equality came in 1920. Several Black women told the National Board that Blacks needed to be able to represent their own interests, that full recognition should be given to Black leadership, and that they should be able to form independent organizations. This request was largely ignored because of fears of community backlash and many of the women involved in this effort split off from the YWCA to join other organizations.

At this same time, however, the Student Association of the YWCA was working on integration on its own. The Student Association integrated its staff and worked to coordinate activities between student groups on Black and white campuses. Through the 1920s and 1930s the bulk of activity on racial equality came from the student groups, but there was some movement in community YWCAs and on the national level as well. Largely due to student pressure, the 1932 Convention urged local YWCAs to

“foster right public opinion which shall be effective against the menace of lynching and mob violence in every form.” In 1934 the Convention declared that all associations should support federal efforts toward inter-racial cooperation and assurance of protection of Blacks in exercising their basic civil rights.



One of the most progressive actions taken by the YWCA was the adoption of the Interracial Charter in 1946. This document was developed after pressure was brought by the Student Association for a study of segregation and discrimination in association and community life. The Student Association insisted that organizational integrity be at the core of the Interracial Charter. The basic recommendation was “that the implications of the YWCA Purpose be recognized as involving the inclusion of Negro women and girls in the main stream of Association life, and that such inclusion be adopted as a conscious goal.” Not quite willing to flout the social norms of the day, the National Board made compliance with the Interracial Charter largely voluntary. (This changed in the 1950s when the YWCA decided not to recognize any chapter that remained all white).

Clearly, one of the goals of the Interracial Charter and the recommendations that implemented it was for the YWCA to move away from its practice of “doing something for” Blacks and move toward the races working together. The YWCA’s desire to understand and meet the needs of its Black members is reflected in the Charter’s strong emphasis that Blacks be included on all decision-making bodies and actively be sought out for discussion relating to programs that affected them. The Charter even took special care to include a recommendation to associations to “recognize the fallacy of assuming that a Negro group is a homogeneous group any more than is an undifferentiated group of white people.”

Throughout the 1950s and 1960s the YWCA was very active in the Civil Rights Movement and more Black women and women of other minorities began to assume positions of leadership within local associations. The Atlanta YWCA integrated its cafeteria in 1960 and became the first public facility to do so in that city. The YWCA continued programs of increasing voter registration and even undertook a campaign to raise funds for bail money for civil rights sit-in demonstrators. At the 1963 centennial of the Emancipation Proclamation, the National Board launched a two-year Action Program to develop a strategy to achieve, within a given time span, real integration within YWCA programs and membership.

The YWCA Office of Racial Justice was established in 1965 and the Board granted \$200,000 for a massive campaign against discrimination in the YWCA and society. In 1967 Helen Claytor was elected the first Black President of the National YWCA. In 1968 the Black Affairs Committee was formed and the YWCA came out strongly in support of immigrant farm workers and the grape boycott. Racial Justice Institutes were held all over the country in 1969 and these laid the groundwork for Black women to begin to mobilize within the YWCA. The momentum of all this activity peaked in 1970 at the 25th National Convention where the YWCA adopted the “One Imperative” (the resolution to eliminate racism).

The adoption of the One Imperative, however, did not follow the usual orderly route of YWCA resolutions. Resolutions normally emerge from regional conferences held in the year before the convention where member associations can discuss the issues of the day and recommend action areas (“imperatives”) for the National YWCA’s attention. The national Public Affairs Committee selects and fine-tunes these suggested imperatives and they become the Program for Action for the following convention. Copies of these imperatives are sent to all associations prior to the convention so that they can be discussed locally and the delegates can get a sense of how their local members feel about them.

The One Imperative, however, was the spontaneous product of a pre-convention conference of 500 Black women of the YWCA who met in the three days just prior to the 1970 national convention in Houston, Texas, to discuss the issues that the whole assembly would be addressing. The One Imperative was the culmination of the Conference discussions and there was no time to try to send it through formal channels.



The Conference of Black Women of the YWCA

The Conference of Black Women was one of the products of the Racial Justice Institutes held in 1969. The Black caucus had demanded that, “Since the National Board does not know the meaning of racial injustice, we feel it is imperative to establish a National Bank YWCA Conference so that all Black people in the YWCA can establish a platform on what is to be done to make the YWCA relevant for Black people.”

Starting early in 1970, Dorothy Height, the YWCA’s Director of Racial Justice, began sending invitations to Black members of YWCAs all across the country. The conference of Black women was to be the first time a racial group had met separately since the YWCA began to integrate fully in the 1940s. All Black members were welcome to come, and almost 700 applications flooded in. The only thing that prevented some women from attending the Conference was lack of funding.

The agenda was informal; the idea was to develop strategies that would help Black women become more involved in program and policy, and better able to shape the communities in which they lived. The conference centered on objectives such as developing a sense of Black consciousness, developing a perspective for relevance, and devising strategies and setting priorities.

The conference established a sounding board. a place for Black women to come and share their common concerns, frustrations, anger, and ideas. The format allowed everyone to speak what was on her mind regardless of what that might be, and contributions ranged from demands that they all stage a walkout at the convention to fears about the separation of the conference replacing the integration that was usual in the YWCA. No one was sure what would come of the conference--maybe they would all leave the Y, maybe they would stay, maybe they would change it into a more equitable organization. Ellen Dammond, chair of the Conference, remembers that one of the nagging questions was how the YWCA could have such high ideals and still have de facto separate Black and white branches.

One of the tasks of the conference of Black women was to examine the imperatives that were on the schedule to be debated and voted on at the national YWCA convention. These imperatives set the direction of, and focused the resources and attention of the YWCA for the coming triennium. Dr. Height felt that they should be looked at from a Black perspective. One of the reasons for holding the conference just before the convention was to have something to bring to the convention floor, and the Imperatives for Action were a good place to start.

About halfway through the three-day conference, the belief was voiced that racism ran through all of the imperatives that were being studied, and attention was then focused on drafting a resolution that would make the elimination of racism a priority over all the other issues. For the remainder of the conference and into the first two days of the convention, the Black women worked almost around the clock to fine-tune the resolution and prepare for its presentation.

One of the major concerns of the group was making sure the resolution was legal under YWCA bylaws and that they followed all of the correct steps in introducing it and leading debate on it. They knew if they violated the YWCA's parliamentary procedures they could lose the resolution on a technicality. Those familiar with the YWCA's Constitution and by-laws were consulted regularly to make sure conference participants were operating within legal bounds. Speakers were coached not only on how to present the resolution but also on parliamentary rules and procedures.



Fortunately for the Conference on Black Women, the Student Assembly as well as the Young Women Committed to Action also met prior to the convention and the Black women were able to lobby them early and secure their wholehearted support for the One Imperative. The Black women were aware that only 347 of them would be staying on for the convention as voting delegates and that they would need a lot of support from other women in the YWCA if the resolution were to pass.

Even though the thrust and focus of the One Imperative was on institutional racism, the Black women felt they needed a statement, a real commitment from the YWCA to focus on racial equality. Much progress had already been made: Black women and other women of color had been integrated into all of the YWCA programs by mandate, there were no longer any all-white branches, and there were many women of color in staff positions and on the National Board. There were, however, few women of color in high decision making positions. Integration was not enough when decisions were made by a white majority.

Despite the outward focus of the One Imperative, the Conference of Black Women knew that the YWCA could not successfully “thrust [its] collective power behind the elimination of racism” if there were racial imbalances within the organization. They hoped that by placing the elimination of racism at the top of the Y's agenda they would achieve two goals: that there would be a more equal distribution of power within the YWCA, and that the collective power of the whole organization would be put to work improving racial conditions in communities and institutions. Many of the conferees considered the One Imperative an ultimatum and were prepared to walk out of the convention if the resolution did not pass. Meanwhile, women from all over the U.S. and the world were gathering in Houston for the national convention.

The Convention

Over 2700 women (1,454 of them voting delegates) attended the 25th National Convention. They came from all 50 states and several countries worldwide. There had been a movement in previous years to diversify the delegates, to bring in more women of color and younger women and to move away from the white, middle-class group that usually participated. The makeup of this delegation reflected some progress in that direction. In fact, one delegate later complained about the presence of “younger women in hippie attire, without shoes, with unkempt hair, munching sandwiches.”

Most delegates were aware that something was afoot because of the lobbying being done by the Black women and their supporters, but most were not sure exactly what was underway. All had received the convention workbook weeks before and were familiar with the issues to be addressed. One of the imperatives scheduled for consideration under the Latina and Asian Program for Action was to “combat racial injustice,” and several white delegates wondered what other resolutions the Black women were developing. Many non-Black delegates were nervous because they did not know what was coming, and some Black delegates later said they thought this was due to a lack of trust between the groups,

especially between Black and white women. Delegate Violet Ifill later recalled that the Black women did not discuss the One Imperative much with the other delegates, but “It wasn’t a matter of being secretive, it was a matter of our being united.” Many white women also were made nervous by the Black women meeting separately and coming forward with a resolution that had not traveled the usual channels; they were not used to having groups work outside the general YWCA structure and saw this as an attempt to undermine established procedures.



For the first two days the convention was run according to its printed schedule. It opened on Monday with general housekeeping duties and the keynote speech by Andrew Young. On Tuesday, YWCA President Helen Claytor convened a session with a speech about the structure, meaning and goals of the YWCA. She had attended the Conference of Black Women but would not join in the talk of walkouts and ultimatums. She had been elected, she later said, as president of the whole YWCA, not just of the Black women. She agreed with the goals of the One Imperative and supported its submission to the Convention, but her primary loyalty was to the entire body of the YWCA.

Claytor spoke of the YWCA celebrating its diversity and demonstrating its unity, of how the Y was passionately concerned with change and of the pressures for self-determination in meeting the needs of different groups. She also noted the pre-convention meetings held by the Y-Teens, the Student Assembly and the Black Women, and said, “I would be completely surprised if within the context of these presentations [which followed] ... there appeared no tension, no sign of struggle ... because we bring to one another our own deepest concerns ... concerns which may threaten to tear us apart.” Conflict must be recognized as a creative reality of the day, she noted, and if the YWCA could work through these tensions it would become even stronger and better equipped to meet the needs of its diverse membership.

Next, representatives of the groups that met prior to the convention gave short reports introducing their groups and their focus, and outlining what had been discussed at their meetings. Ellen Dammond spoke for the Conference of Black Women and the members of that group stood during her presentation. She noted that the previous groups were all officially constituted parts of the convention, but the Black women were not and had met for the first time to develop strategies by which they could become more involved in the YWCA. The Black women met, Dammond said, to deal with the questions urgent to their survival and liberation. “We cannot wait; the here and the now of our reality is pain filled. Deeds must match words. ... We are solidly united in determination to close the gap between the YWCA ideals as stated in the Purpose and YWCA practices. ... We demand that it put its full forces behind one issue inherent in all of the imperatives. ... That imperative is the elimination of racism.” By the time she had finished reading her report, all of the gathered delegates were standing along with their Black sisters.

Wednesday morning found the convention ready to address the Program for Action, 1970-1973, and this is where the convention schedule changed. The Program for Action program consisted of a series of imperatives that set program and policy goals for the whole organization for the coming triennium. These imperatives were the issues that emerged at the regional conferences held the year before the convention.

The chair of the Program Committee and past national president, Beth Marti, introduced and read the Program for Action. She was just beginning to make a motion for adoption of the Program when President Claytor asked her to wait, saying there was a resolution coming to the floor that would bear all

of the imperatives, but it was not quite ready for distribution. The program chair agreed, and discussion shifted to a resolution to make the birthday of Martin Luther King, Jr., a national holiday.



After debate and passage of the King holiday resolution the chair of the Program Committee then read the resolution of the National Conference of Black Women of YWCA (the “One Imperative”). This resolution demanded that the YWCA “thrust its collective power behind the elimination of racism,” that it set up annual meetings of a group similar to the Conference of Black Women, that the national board sanction local associations not making progress in integration, that central associations recognize the autonomy of branches in Black communities and grant them adequate financial support, and that there be more Black staff and representation at all levels of the YWCA. Beth Marti, a white woman, read the resolution with such conviction and power that many Black women later stated they could not have presented it better themselves and they felt her delivery was instrumental in placing the resolution in a positive light from the beginning. Debate was then opened.

Ellen Dammond, as chair of the Conference of Black Women, spoke to the need for the resolution. She noted the years of work and deep devotion that many Black women had given the YWCA and their desire to work within the existing structure. Many felt that the spirit of what the YWCA stood for, which was present when they gathered together as delegates, was lacking in the communities in which they lived. They felt that for the YWCA to make real progress in racial equality it had to be truly integrated on all levels, so that delegates could go back to their local associations and move with the strength and purpose of the YWCA behind them.

The first delegate to speak from the floor did not object to the resolution “in its totality” but questioned the “by any means necessary” phrase: “I hope we can avoid any divisive measures which might be difficult to live with at home. . . . I would like to know just what the words ‘by any means necessary’ imply.” In doing so, she introduced one of the two issues that would dog the One Imperative not only through its adoption but also in the debates at subsequent conventions when it was being re-affirmed. Many delegates at the 25th convention were afraid of the implications of “by any means necessary.” Would they be called to disobey laws, shoot people, or violently overthrow the present social system or government? The other continuing issue of debate was the constant effort at all subsequent conventions to add the elimination of sexism or ageism to the One Imperative.

The 1970 convention took place following the violent unrest of the 1960s. Many delegates were afraid that the YWCA was being forced to step out of its traditional place in social activism toward a more radical and possibly violent role. Despite many reassurances that the YWCA was not advocating radicalism, that of course “by any means necessary” meant only activities that fit within the YWCA’s Purpose, and that the phrase was added not as a call to arms but to emphasize the Y’s commitment to this goal, many remained doubtful and felt the YWCA was moving too far afield of its founding vision.

Several non-Black delegates and observers later recalled that many women did not really understand the resolution or its implications. Others thought they did but resented what they saw as the Conference on Black Women changing and taking over of the convention.. Most recognized that the One Imperative required a shift in the balance of power; while they may not have objected to the goals of the Imperative, they were uncomfortable with the potential change in power relations.

Many non-Black delegates were also confused or made uncomfortable with what they saw as a change in the direction of YWCA programs and policies. Until this point, the emphasis had always been on full integration as the best way to eliminate discrimination and inequalities. Rather than working for more integration, this new imperative would mandate separate meetings for Black women and a shift toward autonomy for predominately Black branches. Did this mean that a hundred years of efforts toward integration had been wrong?



The members of the Conference of Black Women and their supporters, on the other hand, felt that autonomy and self-determination were the only ways that people of color could have true representation in decision making and that more avenues had to be opened to develop and recognize leadership by Black and other minority women. Many were impatient with the slow rate of progress and felt that the YWCA should lead the way in equalizing the power between its Black members and members of other racial and ethnic groups. If this could be achieved, women of all colors could go out into their communities and work for equality from a personal sense of understanding and support. Efforts would still focus on integration, but it had to be integration at every level within the institution.

Debate over the One Imperative lasted several hours. Several white delegates worried about the separation embodied in the resolution and expressed reassurance that they did not have these kinds of problems “at home, and, implicitly, that the One Imperative would cause problems in their communities.” A white delegate from Tennessee stated, “I cannot understand so much feeling between the different races. We do not have this at home. We have our central branch, and we have one for the black women, but they’re welcome at our place.” Other white delegates spoke for the resolution, asking their fellow delegates not to nitpick small points but to understand the necessity and scope of what the One Imperative would accomplish. “As a white person, I would like to thank the black women who are trying to make ... our society better. ... I think I can assume how the Black women feel to have to stand here and confront us. It must be very painful for them to have to do that. ... It is much more difficult to confront your friends. ... They are giving us the greatest opportunity that many of us will ever have to come together as whole, honest and feeling human beings.”

Many black delegates spoke impassionedly and eloquently of the need for the One Imperative. A member of the National Board said, “Because words have not been matched by action in the past we are at this place. ... I think we sense integration and are not willing to accept it. ... I don’t want to commit myself to another set of words and not be able to act upon them.” From a Black delegate from Chicago: “We have had this goal for some time, and the reason the Black women felt impelled to meet was because we have been divided as we have attempted to integrate into the YWCA, and we ... have to take off some of the blinders which have been put on us as we attempted to be together. We want to stay in the white YWCA ... and help move it. We want to help achieve the goal which it has had for so long. We have long suffered from others speaking for us.” And from a visiting delegate: “Those of you who are concerned about the words ‘by any means necessary,’ those of you who are concerned by separatism, I would ask you to examine yourself and come to grips with the kind of choices you are making now. ... We invite you, we urge you, to join us, for the decision is yours.”

As debate continued, at least one Black woman spoke to what was buried just below the surface of the debate but was not being voiced: “... some horrendous suggestions are coming from Black women, not in the traditional form, and this is not being coped with. ... Having been separated, not united with our white YWCAs, this will be a liberation for Black people.” This speaker addressed what was not being

dealt with out loud, the fears of some white women that the Black women were making a power grab by meeting separately and demanding reforms.

Finally, after several unscheduled hours of debate on this resolution, the chair of the convention asked that further debate be postponed so that the delegates could get on to scheduled resolutions. At this point, a Black delegate from Salt Lake City stood and said that the time for action had come, that everyone had been talking and not really listening, and that in debating a word or a sentence they were moving away from action. She moved that the resolution be adopted, and on a voice vote it was adopted almost unanimously.



Many women knew that they were voting a course of action that was bound to be unpopular with their communities, but the scope and the immediacy of the resolution and the intensity of its supporters convinced many to vote for it. Others, perhaps, were afraid to be seen objecting to it. The women who had come to the convention hoping for a strong show of support for women's liberation also had to take a back seat. Despite these reservations, the One Imperative was soundly approved.

At this point the chair of the Program Committee was charged with re-writing the Program for Action to reflect the change that had been voted on. Beth Marti and her committee worked far into the night to make the changes and brought the new Program back to the floor the following morning.

The updated and revised Program for Action, 1970-1973, was opened for debate. Most discussion centered on whether the spirit of the resolution from the Black women was captured in the new Program. Dorothy Height was called on once again to clarify the intent of the resolution. She noted, "We are not talking of how individual people feel about each other. We are really talking about institutional structures that in themselves have affected the whole society and within this context we have assumed the necessity for working to combat racial injustice. What we are working on is the impact of racism on the whole society. We are not talking about race relations. We are talking about the society. ..." After minimal debate, the revised Program was adopted.

The next day, the convention moved on to deal with what the YWCA called its Public Affairs Program, an ongoing set of issues and programs on which the Y continuously works. These are different from the resolutions, which are stated convictions of a particular convention. One of the sections of the Public Affairs Priorities was "To Combat Racial Injustice." This priority began: "The future health of mankind depends on uprooting the cancerous effects of white racism. So insidiously has racism infected the world's institutions that only a reordering of power relationships can achieve a just society." The priority went on the list 15 specific areas where attention needed to be focused toward combating racial injustice. These included empowerment of minorities in self-determined social change, economic support of Black businesses, employment programs, and enforcing open housing regulations.

Debate on this section focused primarily on the specific mention of Blacks, to the exclusion of other people of color. Speakers from communities with large Latino or Asian populations wanted their needs included as well. Several suggested replacing "Black" with "minority": "Let's get away from the racism we show when we say 'the white racism,' and 'the Black minority'--let's say 'all minorities.'" This suggestion was strongly opposed by Black delegates, who noted that the racial crisis in the country was primarily a Black/white one and that removing "Black" took away the focus of the priority. "There are many communities in this country where the YWCA, regardless of our intent here, would find it very convenient to avoid their full responsibility to the Black community."

A delegate from Houston offered this reaction: “Ladies, for four days we at the convention have been practicing a subtle form of racism, all of us, Black and white, against those of us who are neither Black or white. I have heard it said that our friends with Spanish surnames will have to come along and take their own place just as those of us who are Black and those of us who are white have taken ours. . . . Pass this amendment immediately so that we will assist our sisters of other minorities as long as they need it in order to take their place with us.” In the end, a motion was passed to add “and other minorities” wherever “Black” was mentioned.



A great deal of debate followed, mostly on fairly minor editing changes, and the section was adopted on an overwhelming show of hands. Immediately after the passage of the Priority to Combat Racial Injustice, a resolution was introduced regarding American Indians. It called for another goal to be added to the just-passed section on Racial Injustice: programs to aid the Indian communities in recognizing their rights to live and act within the framework of their culture. The debate that followed centered around the need for individual minority groups to be recognized separately within the section on Racial Justice. This resolution passed on a 553 to 420 vote.

Next Mexican-American women took the floor. They introduced a resolution asking that the YWCA support an economic boycott of products which distorted and downgraded the image of Mexican Americans, urge local associations to become sensitized to the existence and needs of Mexican-Americans in their communities, and work harder to support bilingual education and greater job opportunities. A Latina delegate railed against what she saw as a common sentiment in the YWCA, that is, that many did not feel that Mexican-Americans met the qualifications for leadership: “When our goals are achieving freedom, justice, peace and dignity for all people, you dare to tell us we are not concerned; as for our qualifications for leadership, when we are not even included, how can you prejudice us?” After a few more comments in favor, the resolution passed easily.

After the Convention

As a way of seeing that the One Imperative was made part of YWCA life, a device called an “Action Audit for Change” was created at the convention. This audit was a way for local associations to measure their progress in working to eliminate racism. It was not only a measure but also a means, guiding suggestions for changes that would help the program along. The first part of the audit was an examination of the association itself and the second part looked at the surrounding community.

A few branches, primarily in the South, felt that they could not comply with the requirements of the One Imperative and dropped their affiliation with the YWCA. One disgruntled delegate called the convention a “social workers meeting” and voted against most of the resolutions. But most YWCA’s took the One Imperative to heart and started doing what they could to meet its goals.

Efforts were not limited to local chapters, however. The national board and staff also undertook a program of change to comply with the intent of the imperative.

One of the requirements of the One Imperative called for greater representation of Blacks and other women of color on all staffs and boards. Little voluntary movement occurred, especially at the upper-level positions, so YWCA Executive Director Edith Lerrigo called a special meeting. The outcome was that everyone at the national level offered her resignation, allowing a more equitable distribution of power to begin at the top. This created several openings for women of color, and while some of the

original, mostly white, staff and board were hired back, a major restructuring took place. After this was achieved, the national board put pressure on local associations to put more women of color in positions of leadership on the local level.



In the ensuing years, the YWCA has undertaken a variety of programs to combat racism. Some are aimed specifically at the Y itself, such as the workshops aimed at helping whites in the YWCA face the ways that institutional racism benefits them without their even knowing it. Other programs are designed to help staff and members work toward full integration in program and decision making. The YWCA has also developed programs that are focused more outwardly, such as establishing Black women's resource centers, holding Web of Racism institutes, and fighting racism in higher education. At every convention since 1970, the One Imperative has been reaffirmed in its original form, despite efforts to add sexism or ageism to this primary focus.

Source:

Nelson, B. J., & Hummer, A. (2004). Mission expansion: The origins of the YWCA's anti-racism campaign. In Barbara J. Nelson. *Leadership and diversity: A case book* (pp. 55-66). Los Angeles, CA: School of Public Affairs, University of California, Los Angeles.

Section B. Changing Policy



Purpose

The purpose of this section is to introduce the process of designing a participative policy change effort.

Objectives

By the end of this section users should:

- Understand how to navigate a policy change process
- Be able to design participation into a policy change process
- Be familiar with the range of participation tools and techniques
- Understand how to decide whether to pursue a “big win” or “small win” strategy
- Understand the elements of a “winning” proposal

Summary

This section includes the following materials:

- **IAP2 Core Values for the Practice of Public Participation**
The International Association of Public Participation offers seven core values that should underpin public participation efforts. These values have formed the ethical basis for thousands of public participation designs and implementation efforts throughout the world.
- **Policy Change Cycle**
The policy change cycle is the general process whereby leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process may be viewed as a “structured anarchy.”
- **Navigating Policy Change**
Throughout a policy change process, leaders think strategically about the design and use of forums, arenas, and courts. Issues are created from the interaction of the first three phases of the change cycle; these phases are critical because issues typically drive politics. The way issues are framed will determine how stakeholders interpret their interests, assess costs and benefits, and construct their arguments for and against change.
- **Policy Formulation: “Big Win” and “Small Win” Strategies**
There are basic differences between pursuing “big win” and “small win” strategies, each with advantages and disadvantages. A series of small wins can accumulate to produce a big win, but there are some specific circumstances in which you probably would choose to skip pursuing small wins in favor of going for a big win.
- **Winning Proposal Checklist**
This checklist helps process designers and participants figure out whether or not they have a “winning” proposal: a proposal that is technically workable, politically acceptable, and ethically and morally defensible.
- **Designing Participation into the Policy Change Cycle**
The interconnected elements of the policy change cycle are described in detail, including each element’s purpose, desired outcomes, leadership guidelines, and possible tactical choices. At the end are worksheets of possible tactical choices with places for you to estimate person-days, cost, and the importance of the tactic to your effort.



- **Products and Outcomes of Successful Policy Change Efforts**

The products and outcomes of group work are not just **substantive** and **visible**, but also **process-oriented** and **invisible**. Most of the literature and conventional wisdom focuses on the documented, visible results of group work, such as a plan or proposal itself. Equally important to producing a successful strategic plan and change effort are the process and intangible elements. Real success is based on shared mindsets and commitments of key stakeholders.

- **Exercise: Homeless Teenagers Case**

This exercise asks people design a process to address the issue of homeless teenagers in Minnesota, and is followed by questions designed to help you think through some of the basics of designing participation into the Policy Change Cycle.

- **Exercise: Nude Beach Case**

This exercise asks people to design a process to address conflicts that have arisen around beach use, and is followed by questions designed to help you think through some of the basics of designing participation into the Policy Change Cycle.

IAP2 Core Values for the Practice of Public Participation



The International Association for Public Participation (IAP2) believes that the following values should underpin public participation efforts:

- The public should have a say in decisions about actions that could affect their lives.
- Public participation includes the promise that the public's contribution will influence the decision.
- Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
- The public participation process seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
- The public participation process seeks input from participants in designing how they participate.
- Public participation provides participants with the information they need to participate in a meaningful way.
- Public participation communicates to participants how their input affected the decision.

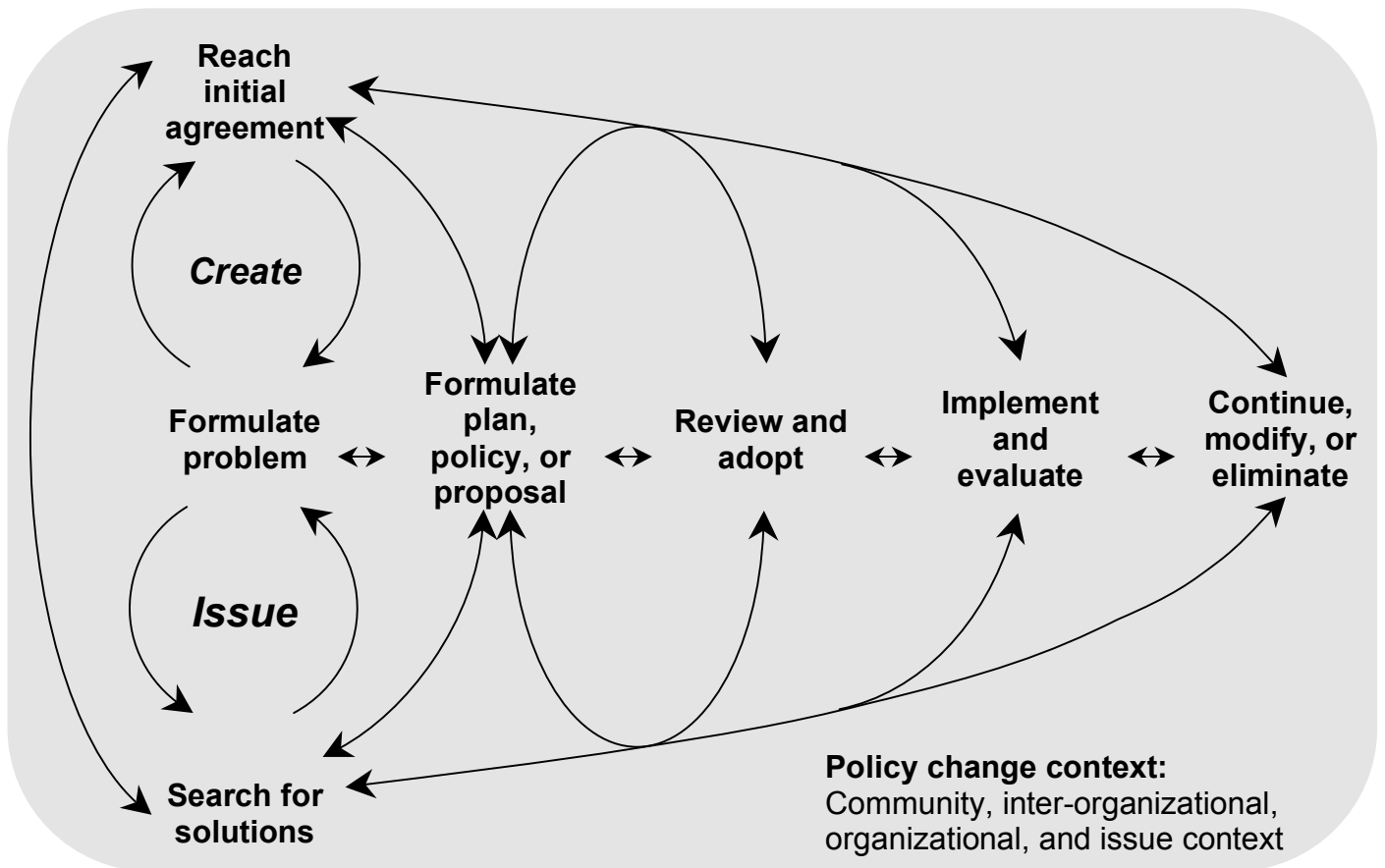
Think of a public participation effort that you know about. In what ways did these values underpin the effort, and in what ways did they not? What were the consequences? What might you have done differently that might have resulted in better consequences?

Can you think of situations in which you would be uncomfortable incorporating one or more of these values into a public participation process? Discuss your concerns and alternative values that might need to be considered?

What changes to the list would you suggest?

Policy Change Cycle

The Policy Change Cycle is the general process whereby leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process may be viewed as a “structured anarchy.”



Source: Crosby, B.C., & Bryson, J.M. (2005). Leadership for the common good (2nd ed). San Francisco, CA: Jossey-Bass.

Navigating Policy Change

The policy change cycle is the general process by which leaders and followers tackle public problems in a shared-power, no-one-in-charge world. The process is a “structured anarchy.” Throughout a policy change process, leaders think strategically about the design and use of forums, arenas, and courts.

Issues are created from the interaction of the first three phases of the change cycle; these phases are critical because issues typically drive politics. The way issues are framed will determine how stakeholders interpret their interests, assess costs and benefits, and construct their arguments for and against change.

Policy change consists of the following phases:

POLICY CHANGE CYCLE PHASES	Forums	Arenas	Courts
Reach initial agreement (design the process): Agree to do something about an undesirable condition, and start designing the process you want to use			
Formulate problem: Fully define the problem, considering alternative problem frames			
Search for solutions: Consider a broad range of solutions, and develop consensus on preferred solutions			
Formulate policy, plan, or proposal: Incorporate preferred solutions into winning proposals for new policies, plans, programs, proposals, budgets, decisions, projects, rules, etc.; proposals must be technically feasible, politically acceptable, and morally and legally defensible			
Review and adopt: Bargain, negotiate, and compromise with decision makers; maintain supportive coalition			
Implement and evaluate: Incorporate formally adopted solutions throughout relevant systems, and assess effects			
Continue, modify, or eliminate: Review the implemented policies to decide how to proceed			



All organizations by design are the enemies of change, at least up to a point. Government organizations are especially risk averse because they are caught up in a web of constraints so complex that any change is likely to rouse the ire of some important constituency.

--James Q. Wilson

Sources:

Bryson, J. M., & Delbecq, A. L. (1979). A contingent approach to strategy and tactics in project planning, *Journal of the American Planning Association*, 45(2), 167-179.

Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Policy Formulation: “Big Win” and “Small Win” Strategies



Purpose

There are basic differences between pursuit of a “big win” and “small win” strategy. Each involves different advantages and disadvantages. A series of small wins can accumulate to produce a big win, but there are some specific circumstances in which you probably would choose to skip pursuing small wins in favor of going for a big win.

Big win: Demonstrable, completed, large-scale victory

- Advantages: policy problem and solutions thoroughly and immediately addressed
- Disadvantage: high risk of major defeat, especially because big-win strategy may prompt intense opposition

Small win: Incremental success

- Advantages: lower risk, possible to demonstrate progress on which to build, can empower many participants, lower initial investment
- Disadvantages: potential canceling out effect, little momentum

How small wins can lead to a big win:

- Well-articulated vision provides strong sense of direction
- Over-all game plan resonates with vision, encourages local action, involves many stakeholders, establishes milestones
- Continuous experimentation is encouraged (e.g., pilot and demonstration projects)
- Rewards offered for involvement, publicize successes
- Allows for local adaptations

When a big win strategy works best:

- Small-win strategy is undesirable
- The time is right (dominant coalition supports it, solution highly promising, theory well understood, resources available, clear vision guides changes)

Winning Proposal Checklist

Purpose

This checklist can help process designers and participants figure out whether or not they have a “winning” proposal: a proposal that is technically workable, politically acceptable, and ethically and morally defensible. Use this checklist to subjectively assess whether or not a proposal has sufficient elements to be successful.



Elements of a Winning Proposal	Yes	No
• Formal linkage of problems and solutions		
• Congruence with values of key decision makers and other stakeholders		
• Anticipated user or implementer support and public acquiescence		
• Clear indications that proposal is coming from competent sources		
• Local adaptation of key solution components identified in previous phase		
• High technical quality		
• Inclusion of alternatives and their comparative strengths and weaknesses		
• Evidence of a high cost-benefit ratio for one or two of the alternatives		
• Administratively simple solutions, or reduction of administrative impacts		
• Indications of flexibility in implementation, including staged implementation if necessary		
• Recommended solutions that minimize skill readjustments by users or implementers		
• Guidance for implementation and evaluation		
• Provision of truly adequate resources and incentives to ensure implementation		
• Inclusion of budgetary materials		

Reach Initial Agreement(s) Among Key Stakeholders

Purpose

To develop a commitment among key stakeholders to do something about a public problem



Desired Outcomes

- Introduce the idea of policy change
- Develop understanding of what that change might mean in practice through engaging stakeholders in a discussion of problems and solutions
- Gain clarity about whether a “big win” or “small win” solution makes the most sense
- Develop commitment to the change effort
- Reach an actual agreement, or set of agreements over time. Elements of the agreement would include:
 - Statement of purpose and desired outcomes of the overall effort
 - Worth of the effort
 - Organizations or people involved
 - Expected sequences of steps, activities, decision points
 - Shared sense of the design of forums, arenas, and courts, including who, where and how decisions will be made
 - Form and timing of initial reports
 - Role, functions, and membership of coordinating committee and planning team
 - Commitment of resources to begin the effort

Leadership Guidelines

- **Begin as early as possible; start from wherever you are.**
 - Understand the history, power and politics, mandates, and other situational factors
 - Do not pursue public participation if leaders and decision makers are not committed to it
- **Be as clear as you can be about the objectives of the effort, which may involve simply being as clear as possible about the issues that need to be addressed:**
 - What are the purposes, goals, and objectives, if known? If not, what are the issues that will need to be addressed?
 - How could the effort affect people (during and after)?
 - How will decisions be made and who will make them?
 - Be clear about whether you are seeking a “big win” or “small win” policy or program change
- **Think broadly about who might be the potentially affected stakeholders**
 - Who are they? Do they care? Do they know they might care?
 - Do they want to be kept informed?
 - Do they have knowledge that is needed for the project to succeed?
 - Does successful implementation depend on their support?
 - Do they want to influence the decision? Make the decision?
 - Do they have ownership of some sort or jurisdiction that must be taken into account?
 - Is there enough support for a “big win” strategy?
- Be prepared to go through a four-step stakeholder identification exercise:
 - Take a first crack at identifying the stakeholders



- Bring the stakeholders together and ask them who should be there who is not
 - Assemble the full group and see if that is the “right” group
 - Identify or create appropriate planning and decision-making groups (policy-making bodies, coordinating committee, planning team, advisory groups, etc.)
- **Determine the participation objectives**
 - What do you want or need from the (internal and external) participants?
 - What do participants want or need from the project?
 - Be clear about and check your assumptions about what you think you know or can do
 - What kind of resources or support will you need to achieve the objectives?
 - **Decide on strategy and methods**
 - Choose strategies, methods, tools and techniques that take into account policy change or project objectives, stakeholder concerns and participation objectives
 - Strategies and methods are likely to vary with phase of the project
 - You may need different strategies and methods depending on the level of stakeholder involvement
 - Tie strategies and methods to budgets and other resources
 - Be clear about performance measures that will let you know if your approach worked
 - **Integrate the participation strategy into the overall project schedule; adjust the project schedule if necessary**
 - Communicate clearly about when and how people can be involved
 - Be clear about how public input will or will not affect the decision
 - Collect feedback and learn from your efforts
 - Realize that you will need to adapt the strategy along the way
 - **Remember that multiple initial agreements are likely to be needed as additional stakeholders become involved. At least three are to be expected:**
 - Agreement among initial advocates
 - Agreement among key stakeholders identified in an initial stakeholder analysis
 - Agreement among a larger group (including people that the second group deems necessary to bring about change)

Possible Tactical Choices

- Do detailed stakeholder analyses
 - Develop initial design for overall change effort
 - Develop fairly detailed participation process design
 - Use data displays and descriptive evidence
 - Present expert endorsements
- Arguments relating proposed mission to organization’s survival and enhancement:
 - Present evidence of compatibility between the desired change effort outcome and organizational objectives
 - Show planning mission provides a favorable organizational opportunity

- Indicate potential problems if no change effort is undertaken
- Use personal (one-to-one) persuasion
- Employ shared discussion and problem-solving (“let us reason together”)
- Use friendships and alliances (informal coalition formation)
- Consult with persons or groups who can ultimately help or hinder the effort
- Form a project coordinating committee to oversee the effort
- Find a high-status, credible, non-vested chairperson to head the project coordinating committee
- Bargain and negotiate with key stakeholders (perhaps including policy-making bodies) regarding the nature and purpose of the planning effort
- Involve outside groups, including potential clients or providers, or other third parties, to endorse commitment to the planning effort
- Find highly competent manager to guide the day-to-day work of the change effort
- Create a public information strategy
- Establish a central information contact
- Other:
- Other:
- Other:



Reach Initial Agreement, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Do detailed stakeholder analyses		\$	
Develop initial design for overall change effort		\$	
Develop fairly detailed participation process design		\$	
Use date displays and descriptive evidence		\$	
Present expert endorsements		\$	
Arguments relating proposed mission to organization's survival and enhancement:			
<ul style="list-style-type: none"> • Present evidence of compatibility between the desired change effort outcome and organizational objectives 		\$	
<ul style="list-style-type: none"> • Show planning mission provides a favorable organizational opportunity 		\$	
<ul style="list-style-type: none"> • Indicate potential problems if no change effort is undertaken 		\$	
Use personal (one-to-one) persuasion		\$	
Employ shared discussion and problem-solving ("let us reason together")		\$	
Use friendships and alliances (informal coalition formation)		\$	
Consult with persons or groups who can ultimately help or hinder the effort		\$	
Form a project coordinating committee to oversee the effort		\$	
Find a high-status, credible, non-vested chairperson to head the project coordinating committee		\$	
Bargain and negotiate with key stakeholders (perhaps including policy making bodies) regarding the nature and purpose of the planning effort		\$	
Involve outside groups, including potential clients or providers, or other third parties, to endorse commitment to the planning effort		\$	
Find a highly competent manager to guide the day-to-day work of the change effort		\$	
Create a public information strategy			
Establish a central information contact			
Other:		\$	
Other:		\$	
Subtotals, Reach Initial Agreement		\$	

Formulate a “Stakeholder-Savvy” Problem Definition

Purpose

To develop widespread awareness and appreciation of an important public problem, along with a sense that it can be solved.

Desired Outcomes

- Clear, apt identification of nature and range of problems or opportunities
- Clarification of stakeholder similarities and differences
- Measures of stakeholder satisfaction
- Identification of stakeholders’ feelings and attitudes
- Problem framing likely to generate key stakeholder support
- Agreement on division of responsibilities among existing and new organizations
- Written problem statement or statements

Leadership Guidelines

- Emphasize design and use of forums
- Involve stakeholders who have needed information or whose support is necessary for successful implementation
- Focus on problems, needs, or opportunities, not solutions
- Frame problems so they can be solved
- Consider two-step process, a broad search and review followed by detailed research and exploration
- Develop a media strategy
- Prepare, review, and disseminate report

Possible Tactical Choices

- Analyze existing “hard” data (e.g. census data, social indicators, government reports, etc.)
- Create and analyze “new” hard data (use mailed or e-mailed survey form, archival research, etc.)
- Do a literature search
- Compare differences between present and potential clients for existing services
- Engage users and first-line administrators in structured group meetings (use brainstorming, snow cards, force field analysis, nominal group technique, etc.)
- Use structured user interviews
- Hold public hearings
- Employ unstructured interviews of:
 - Key user informants
 - Key user advocates
 - Key provider informants
 - Other key stakeholders
 - Use on-site (field) observation of user situations
- Clarify performance of existing policies and programs and their impacts on key stakeholders
- Develop stakeholder satisfaction measures
- Prepare and disseminate report defining the problem or opportunity (use websites, press releases, news conferences, briefings, feature stories, cable television, etc.)
- Other:
- Other:
- Other:



**When in doubt,
talk.**

*--Hubert H.
Humphrey,
U.S. Vice President*

**The world is
made of stories,
not atoms.**

--Muriel Rukeyser

**Imagination is
more important
than knowledge.**

--Albert Einstein

Formulate Problem Definition, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Analyze existing “hard” data (e.g. census data, social indicators, government reports, etc.)		\$	
Create and analyze “new” hard data (use e.g., mailed or e-mailed survey form, archival research, etc.)		\$	
Do a literature search		\$	
Compare differences between present and potential clients for existing services		\$	
Engage users and first-line administrators in structured group meetings (use brainstorming, snow cards, force field analysis, nominal group technique, etc.)		\$	
Use structured user interviews		\$	
Hold public hearings		\$	
Employ unstructured interviews of:			
• Key user informants		\$	
• Key user advocates		\$	
• Key provider informants		\$	
• Other key stakeholders		\$	
• Use on-site (field) observation of user situations		\$	
Clarify performance of existing policies and programs and their impacts on key stakeholders		\$	
Develop stakeholder satisfaction measures		\$	
Prepare and disseminate report defining the problem or opportunity (use websites, press releases, news conferences, briefings, feature stories, cable television, etc.)		\$	
Other:		\$	
Other:		\$	
Other:		\$	
Subtotals, Formulate Problem Definition		\$	

Search for Technically Workable, Politically Feasible, and Legally, Morally, and Ethically Defensible Solutions



Purpose

To find solutions which address a public problem effectively and capture enough public attention to place the problem and its potential solutions on the public agenda.

Desired Outcomes

- Creation of public issue
- Frameworks for understanding the issue
- Identification of components of high-quality solutions
- Effective use of resources
- Creation of an inspiring vision of success
- Clear performance indicators
- Placement of issue on public agenda

Leadership Guidelines

- Emphasize forums
- Involve stakeholders who have needed information or whose support is necessary for successful implementation
- Design solution search strategy that promotes creativity, efficiency, and legitimacy; make use of materials in section on *Creating, Synthesizing, and Managing Ideas*
- Consider a three-step process: broad scan, detailed search, development of a tailored solution
- Frame issue(s) to foster constructive politics and development of a successful policy proposal
- Prepare, review, and disseminate report

Possible Tactical Choices

- Do an analysis of existing literature and data by a:
 - Single staff person
 - Staff project group
 - Staff project group and outside consultants
- Use:
 - Informal polling of users and/or user advocates (use telephone, email, conferences, on-site visits, etc.)
 - Informal polling of outside expert opinion (use telephone, email, conferences, on-site visits, etc.)
 - Informal contact with other providers (use telephone, email, conferences, on-site visits, etc.)
- Use a formal survey of:
 - Users and/or user advocates (through focus groups, snow card technique, etc.)
 - Other providers (through structured interviews, on-site visits, etc.)
 - Expert opinion (through mailed or emailed questionnaires, Delphi surveys, etc.)
- Do an in-depth solution search, solution development, and evaluation by a:
 - Single staff person
 - Staff project group
 - Staff project group and outside consultants
- Contract for:
 - Analysis of existing literature and data by outside consultants

- In-depth solution search, solution development, and evaluation by outside consultants
- Utilize large-group interaction methods to engage users, providers, funders, policy makers, and other key stakeholders in search for solutions (Search Conference, Future Search, Preferred Futuring, Real-Time Strategic Planning, etc.)
- Prepare clear vision of success that frames the problem and solution in inspiring ways
- Identify nature of necessary resources and incentives to assure solution success
- Prepare, review, and disseminate report on results of search for solutions (use websites, press releases, news conferences, briefings, feature stories, cable television, etc.)
- Other:
- Other:
- Other:



Search for Solutions, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Do an analysis of existing literature and data by a:			
• Single staff person		\$	
• Staff project group		\$	
• Staff project group and outside consultants		\$	
Use:			
• Informal polling of users and/or user advocates (use telephone, email, conference, on-site visits, etc.)		\$	
• Informal polling of outside expert opinion (use telephone, email, conference, on-site visits, etc.)		\$	
• Informal contact with other providers (use telephone, email, conference, on-site visits, etc.)		\$	
Use a formal survey of:			
• Users and/or user advocates (e.g., through focus groups, snow card technique, etc.)		\$	
• Other providers (through structured interviews, etc.)		\$	
• Expert opinion (through mailed or emailed questionnaires, Delphi surveys, etc.)		\$	
Do an in-depth solution search, solution development, and evaluation by a:			
• Single staff person		\$	
• Staff project group		\$	
• Staff project group and outside consultants		\$	
Contract for:			
• Analysis of existing literature and data by outside consultants		\$	
• In-depth solution search, solution development, and evaluation by outside consultants		\$	
Utilize large-group interaction methods to engage users, providers, funders, policy makers, and other key stakeholders in search for solutions (Search Conference, Future Search, Preferred Futuring, Real-Time Strategic Planning, etc.)		\$	





Prepare clear vision of success that frames the problem and solution in inspiring ways		\$	
Prepare, review, and disseminate report on results of search for solutions phase (use websites, press releases, news conferences, briefings, feature stories, cable television, etc.)		\$	
Other:		\$	
Other:		\$	
Other:		\$	
Subtotals, Search for Solutions		\$	

Formulate Policy or Plan

Purpose

The purpose of this section is to develop formal proposals incorporating solutions that are technically workable, politically acceptable, and legally, ethically, and morally defensible.

Desired Outcomes

- Development of draft policies and plans for review by official decision or policy makers in proposal review and adoption phase
- Proposal drafts incorporating constructive modifications, prompted by stakeholder interests and concerns
- Identification of necessary resources and incentives for implementing the proposals once they are adopted
- Clear indications that the necessary coalition exists to assure adoption and implementation of the proposal
- Shared belief among involved parties that the policy change is their mutual endeavor

Leadership Guidelines

Development and Review of the Draft Proposal

- Decide whether to pursue a “big win” or “small win” strategy
- Analyze arenas that will be important in next phase
- Draft a proposal that builds on results of previous phases
- Structure proposal development process so careful attention is paid to interests and concerns of key stakeholders
- Accept modifications that improve the draft proposal
- Monitor opponents’ attempts to develop counterproposals or to gut the proposal
- Prepare a more detailed draft for final review in next phase
- Explore likely sources of funds and other resources
- Develop necessary budgeting documents

“Softening Up” and Media Strategies

- Work on convincing public and stakeholders that proposed change is needed
- Balance importance of publicity with need for off-the-record exchanges

Possible Tactical Choices

- Choose **one** of the following:
 - Pursue a series of “small wins” organized around general themes and leading to a set of strategic objectives
 - Pursue a “big win” strategy aimed at achieving a major policy or program change all at once
- Choose **one** of the following. Recommend:
 - A solution which is proven and conventional
 - A tested, though non-routine, solution
 - An original and very creative solution that is untested
 - Experimentation (or quasi-experimentation) with alternative solution strategies



**Plans are nothing.
Planning is everything.**

*--Former U.S. President,
Gen. Dwight D. Eisenhower*

- Focus proposal on needs and concerns of:
 - Users
 - Providers
 - Funders
 - Other relevant stakeholders
- Write up and explain alternative solution strategies
- Attach careful cost and benefit estimates to the proposal
- Spend time on making the proposal easily understandable to decision makers (special editing, layout, graphics, etc.)
- Include draft arguments in proposal, indicating how opportune is the moment for adopting the proposed solution
- Identify needed resources and incentives needed to assure successful implementation
- Include an evaluation design
- Choose a level of detail in guidance for implementation:
 - Specify only general policy statements as a guide to implementation
 - Indicate policy changes needed to implement the proposed solution
 - Lay out detailed guidelines for implementation and review them with implementers
- Provide for informal review of early drafts by:
 - Technical experts
 - Providers
 - Key user representatives
 - Funder representatives
 - Other relevant stakeholders
- Other:
- Other:
- Other:



Formulate Policy or Plan, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Choose one of the following:			
<ul style="list-style-type: none"> Pursue a series of “small wins” organized around general themes and leading to a set of strategic objectives 		\$	
<ul style="list-style-type: none"> Pursue a “big win” strategy aimed at achieving a major policy or program change all at once 		\$	
Choose one of the following. Recommend:			
<ul style="list-style-type: none"> A solution that is proven and conventional 		\$	
<ul style="list-style-type: none"> A tested, though non-routine, solution 		\$	
<ul style="list-style-type: none"> An original and very creative solution that is untested 		\$	
<ul style="list-style-type: none"> Experimentation (or quasi-experimentation) with alternative solution strategies 		\$	
Focus proposal on needs and concerns of:			
<ul style="list-style-type: none"> Users 		\$	
<ul style="list-style-type: none"> Providers 			
<ul style="list-style-type: none"> Funders 		\$	
<ul style="list-style-type: none"> Other relevant stakeholders 		\$	
Write up and explain alternative solution strategies		\$	
Attach careful cost and benefit estimates to the proposal		\$	
Spend time on making the proposal easily understandable to decision makers (special editing, layout, graphics, etc.)		\$	
Identify needed resources and incentives needed to assure successful implementation		\$	
Include draft arguments in proposal, indicating how opportune is the moment for adopting the proposed solution		\$	
Include an evaluation design		\$	
Choose a level of detail in guidance for implementation:			
<ul style="list-style-type: none"> Specify only general policy statements as a guide to implementation 		\$	
<ul style="list-style-type: none"> Indicate policy changes needed to implement the proposed solution 		\$	



<ul style="list-style-type: none"> Lay out detailed guidelines for implementation and review them with implementers 		\$	
Provide for informal review of early drafts by:			
<ul style="list-style-type: none"> Technical experts 		\$	
<ul style="list-style-type: none"> Providers 		\$	
<ul style="list-style-type: none"> Key user representatives 		\$	
<ul style="list-style-type: none"> Funder representatives 		\$	
<ul style="list-style-type: none"> Other relevant stakeholders 		\$	
Other:		\$	
Other:		\$	
Other:		\$	
Subtotal, Formulate Policy or Plan		\$	

Review and Adopt Proposal

Purpose

To obtain an official decision to implement the policy or plan proposal developed and refined in the previous phase

Desired Outcomes

- Widely shared agreement with the proposal
- Decision to adopt the proposal and proceed with implementation
- Provision of necessary guidance and resources for implementation
- Support of those who can strongly affect implementation
- Widely shared sense of excitement about the new policy and its implementation

Leadership Guidelines

Building Support

- Continue attending to goals, concerns, and interests of key stakeholders
- Use simple matrices to assess supporting and opposing coalitions
- Identify policy sponsors and policy champions with clout in relevant arenas
- Reduce decision maker uncertainty about the proposal
- Develop arguments and counterarguments in support of the proposal before formal review sessions
- Seek agenda control and strategic voting that favor the proposal
- Ensure that formal review bodies focus on proposal strengths, weaknesses, and needed modifications
- Be wary of changes that will limit the proposed policy's effectiveness
- Prepare to bargain and negotiate over proposal components in exchange for political support
- Work for a bandwagon effect
- Publicly announce the reworked proposal
- Keep media attention alive and focus publicity on key aspects of the review process
- When time is right, press for formal adoption
- Decide whether to ask for court intervention

Guidance and Support for Implementation

- Try hard to obtain necessary resource commitments before formal adoption
- Be sure incentives are effective motivators
- Strive to meet criteria for effective implementation of major policy change identified by Daniel Mazmanian and Paul Sabatier (in *Implementation and Public Policy*. Glenview, IL: Scott Foresman, 1983):
 - Adopted policy outlines clear, consistent policy objectives and criteria for resolving goal conflicts
 - Adopted policy incorporates sound theory of how objectives can be achieved and gives adequate jurisdiction
 - Implementation process is structured to favor success
 - Key officials possess necessary commitment and managerial and political skills
- A coalition of key supporters supports the implementation process, and courts are supportive or neutral



**Greater than
the treat of
mighty armies
is an idea
whose time has
come.**

*--Victor Hugo,
French novelist*

- New priorities, conflicting policies or changing social conditions do not undermine the policy's political support or underlying causal theory
- View policy adoption process as exercise in potential regime building



Possible Tactical Choices

- Persuasion tactics related to technical aspects of plan:
 - Present evidence of prior successful adoption
 - Emphasize the technical soundness of the proposed solution, in spite of its non-routine nature
 - Emphasize the pilot or experimental nature of the proposed solution
 - Emphasize the innovativeness (i.e., the unique and creative character) of the proposed solution
- Emphasize compatibility with:
 - User needs
 - Provider goals
 - Funder goals
 - Other relevant stakeholders' needs, goals and interests
- Indicate potential problems if the proposed program is not adopted, and potential benefits if it is
- Solicit endorsements of proposal by technical experts, clients, providers, and/or funders
- Use one-to-one personal persuasion
- Bargain and negotiate resource exchanges to obtain support
- Assure availability of adequate resources and incentives for change effort to succeed
- Use formal group review procedures for modifications which improve the proposal's:
 - Technical quality
 - Political acceptability
 - Legal, ethical and moral defensibility
- Use outside pressure groups (such as potential providers, users, or other third parties) in appropriate ways
- Keep careful track of likely stakeholder support and opposition
- Prepare counter-arguments in advance to deal with likely opposition
- Provide public announcement of the proposed program (use websites, press releases, news conferences, briefings, feature stories, cable television, etc.)
- Other:
- Other:
- Other:

Review and Adopt Proposal, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Persuasion tactics related to technical aspects of plan:			
• Present evidence of prior successful adoption		\$	
• Emphasize the technical soundness of the proposed solution, in spite of its non-routine nature		\$	
• Emphasize the pilot or experimental nature of the proposed solution		\$	
• Emphasize the innovativeness (i.e., the unique and creative character) of the proposed solution		\$	
Emphasize compatibility with:			
• User needs		\$	
• Provider goals		\$	
• Funder goals			
• Other relevant stakeholders' needs, goals and interests		\$	
Indicate potential problems if the proposed program isn't adopted, and potential benefits if it is		\$	
Solicit endorsements of proposal by technical experts, clients, providers, and/or funders		\$	
Use one-to-one personal persuasion		\$	
Bargain and negotiate resource exchanges to obtain support		\$	
Assure availability of adequate resources and incentives for change effort to succeed		\$	
Use formal group review procedures for modifications that improve the proposal's:			
• Technical quality		\$	
• Political acceptability		\$	
• Legal, ethical and moral defensibility		\$	
Use outside pressure groups (such as potential providers, users, or other third parties) in appropriate ways		\$	
Keep careful track of likely stakeholder support and opposition		\$	
Prepare counter-arguments in advance to deal with likely opposition		\$	
Provide public announcement of the proposed program (use websites, press releases, news conferences, briefings, feature stories, cable TV, etc.)		\$	

Other:		\$	
Other:		\$	
Other:		\$	
Subtotal, Review and Adopt Proposal		\$	



Implement and Evaluate

Purpose

To incorporate adopted policy changes throughout the relevant system.

Desired Outcomes

- Smooth and rapid introduction of the adopted changes throughout the relevant system
- Adoption of the changes by relevant organizations or individuals
- Identification and remediation of implementation difficulties
- Summative evaluation after enough time has passed for changes to have significant impact
- Maintenance of important features of adopted policy design
- A new policy regime that includes:
 - New or redesigned forums, arenas, and courts
 - Implicit or explicit principles, norms, rules, decision-making procedures, and incentives
 - Stabilization of altered patterns of behaviors and attitudes
 - Coalition of implementers, advocates and supportive interest groups
 - Widely shared vision of success
- Anticipated review points when policy continuation, modification, or elimination will be considered
- Strive for creation of a new policy or program “regime of mutual gain”



You can tell how many good ideas the Americans have had because they have built an organization around each one.

--Alexis de Tocqueville

Leadership Guidelines

General Guidance

- Deliberately plan and manage implementation
- Think strategically about how to achieve important public purposes in practice
- Develop implementation strategy documents and action plans to focus attention on necessary decisions, actions, and responsible parties
- Try for changes that can be introduced easily and rapidly
- Build in adequate time, money, administrative and support services, and other resources
- Work quickly to avoid competition with new priorities
- Maintain or develop supportive coalition of implementers, advocates, and interest groups
- Provide forums for problem-solving and maintenance of enthusiasm and support
- Ensure that legislative, executive, and administrative arenas facilitate implementation
- Attend to the design and use of courts
- Work to align resources and incentives so that a stable regime of mutual gain is created
- Be persistent

Communication and Education

- Invest heavily in communication to foster widely shared understandings that advance the policy goals
- Reduce resistance of implementers
- Consider developing or updating a vision of success
- Build in regular attention to appropriate indicators

Personnel

- Fill policy-making and staff positions with highly qualified people committed to the changes

- Continue the planning team or establish an implementation team that includes some of the original team's members
- Assure access to top administrators
- Ease out, work around, or avoid staff who are not committed to the changes



Direct vs. Staged Implementation

- Consider direct implementation (a “big win”) when the situation is technically and politically simple, immediate action is necessary, staging is difficult, adequate resources are available, and the timing is propitious
- Consider staged implementation (a series of “small wins”) in difficult situations:
 - Give special attention to implementers in early stages of implementation
 - Design pilot projects so they can provide reliable evidence of whether the implemented changes are having the desired effects
 - Design demonstration projects to assess implementation in different types of settings and develop techniques for dealing with implementation difficulties
 - Communicate results of demonstration projects to the wider community of implementers

Possible Tactical Choices

- Choose **one** of the following. Use:
 - A pilot project with subsequent implementation by remaining potential providers
 - A pilot project, then demonstration projects, then subsequent implementation by remaining potential providers
 - Demonstration projects, then subsequent implementation by remaining potential providers
 - Direct implementation at all sites
- Develop educational materials and operational guides
- Provide technical assistance to provider organizations
- Allow providers to go through more than one cycle using the proposed solution before making rigorous evaluations
- Provide additional funds to help providers troubleshoot and solve problems implementing the solution
- Bring in participant observers from possible future provider organizations
- Provide forums for problem solving and maintaining enthusiasm and support
- Deploy resources and shape incentives so that success is assured and a regime of mutual gain is created
- Develop and use a set of symbolic rewards to encourage or reward providers to implement the solution (certificates, testimonials, etc.)
- Develop an alliance of all parties (at least as observers) interested in the policy or program to develop a sense of shared commitment
- Ensure that legislative, executive, and administrative arenas facilitate implementation
- Activate third-party pressures on providers to assure compliance with program goals (e.g., organized client groups, the media, etc.)
- Have access to and liaison with top administrators during the trial period
- Use personnel hiring, transfer and compensation procedures that assure high-quality staff committed to the program
- Attend to the design and use of courts, both formal and informal, including the “court of public opinion”
- Choose among evaluation techniques:

- Use relatively simple before vs. after outcome evaluation (i.e., did the program seem to make a difference?)
- Use performance, administrative, and budget analyses to determine program performance
- Use controlled experimentation or quasi-experimentation to determine actual program effects
- Use on-site inspection by third parties to determine program performance
- Fund outside evaluation by private contractor
- Other:
- Other:
- Other:



Implement and Evaluate, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Choose one of the following. Use:			
<ul style="list-style-type: none"> A pilot project with subsequent implementation by remaining potential providers 		\$	
<ul style="list-style-type: none"> A pilot project, then demonstration projects, then subsequent implementation by remaining potential providers 		\$	
<ul style="list-style-type: none"> Demonstration projects, then subsequent implementation by remaining potential providers 		\$	
<ul style="list-style-type: none"> Direct implementation at all sites 		\$	
Develop educational materials and operational guides		\$	
Provide technical assistance to provider organizations			
Allow providers to go through more than one cycle using the proposed solution before making rigorous evaluations		\$	
Provide additional funds to help providers troubleshoot and solve problems implementing the solution		\$	
Bring in participant observers from possible future provider organizations		\$	
Provide forums for solving problems and maintaining enthusiasm and support		\$	
Deploy resources and shape incentives so that success is assured and a regime of mutual gain is created		\$	
Develop and use a set of symbolic rewards to encourage or reward providers to implement the solution (certificates, testimonials, etc.)		\$	
Develop an alliance of all parties (at least as observers) interested in the policy or program to develop a sense of shared commitment		\$	
Ensure that legislative, executive, and administrative arenas facilitate implementation		\$	
Activate third-party pressures on providers to assure compliance with program goals (e.g., organized client groups, the media, etc.)		\$	
Have access to and liaison with top administrators during the trial period		\$	
Use personnel hiring, transfer and compensation procedures that assure high-quality staff committed to the program		\$	

Attend to the design and use of courts, both formal and informal, including the “court of public opinion”		\$	
Choose among evaluation techniques:			
• Use relatively simple before vs. after outcome evaluation (i.e., did the program seem to make a difference?)		\$	
• Use performance, administrative, and budget analyses to determine program performance		\$	
• Use controlled experimentation or quasi-experimentation to determine actual program effects		\$	
• Use on-site inspection by third parties to determine program performance		\$	
• Fund outside evaluation by private contractor		\$	
Other:		\$	
Other:		\$	
Other:		\$	
Subtotal, Implement and Evaluate		\$	



Continue, Modify, or Eliminate

Purpose

To review implemented policies, plans, or programs and decide if they should be continued, modified, or eliminated.

Desired Outcomes

- Assurance that institutionalized capabilities remain responsive to real needs and problems
- Resolution of residual problems that occur during sustained innovation
- Development of energy, will and ideas for significant reform of existing policies, if needed
- Continuous weeding, pruning, and shaping of crowded policy spaces



In the end is my beginning.

*--T. S. Eliot, poet,
in **The Four Quarters***

Leadership Guidelines

General

- Stay focused on needs and problems that prompted policy change; do not let policies and institutions become ends rather than means
- Focus on indicators of success and failure; attend to stakeholders' needs, goals, and interests
- Review interpretive schemes and myths used to formulate the problem and adopted solutions
- Attend to existing or new forums, arenas, and courts necessary to sustain or change the policy regime
- Focusing on changing policies is usually more productive than focusing on changing organizations
- Use existing review opportunities or create new ones
- Convene a review group that, ideally, includes some people who are not heavily vested in the implemented solutions
- Challenge institutional rules that favor undesirable inertia
- Keep people energized for continuing to work in the policy area

For Policy Maintenance

- Seek little change in the design and use of forums, arenas, and courts
- Rely on implementers and focused input from consumers to maintain or tinker with existing policies

For Policy Modification (or Succession)

- Significantly alter the design and use of forums, arenas, and courts
- Create or redesign forums to challenge existing meanings and create new meanings
- Remember that policy succession typically involves mid-level legislative and administrative arenas
- Remember that implementers and beneficiaries of existing policies may not be interested in real innovation
- To make major policy reforms, a new coalition of key policy decision makers, policy implementers, and beneficiaries may be needed
- Consider splitting or consolidating policies
- Consider building a new system without dismantling the old

For Policy Termination

- Think of policy termination as an extreme version of policy modification (see guidelines above)
- Engage in cutback management when programs need to be eliminated or severely reduced

Possible Tactical Choices

- Review results of previously performed evaluations to understand the strengths and weaknesses of the policy in practice:
 - Before vs. after outcome evaluation
 - Performance, administrative, and budget analyses
 - Comparison of controlled experimentation or quasi-experimentation
 - On-site inspection by third parties
 - Outside evaluation by private contractor
- Conduct supplemental or new evaluations and review results. Choose one or more of the following:
 - More refined performance, administrative, and budget analyses to determine program performance
 - Focus groups or other formal input opportunities with **existing** interested external parties for qualitative assessments of program or policy impacts and effectiveness
 - Focus groups or other formal input opportunities with **new** interested external parties
 - Ongoing/long-term access to and feedback opportunities with top administrators involved in original planning and implementation
 - Ongoing/long-term access to and feedback opportunities with top administrators **not** involved in original planning and implementation
- Compare success of implementation strategies pursued by different providers, considering impact on program or policy results of various choices, including:
 - Use of staged or multi-level implementation
 - Use of pilot programs or controlled experimentation
 - Use of specialized education or training programs
 - Use of tangible resources and incentives
 - Use of symbolic rewards to encourage or reward implementation
 - Effectiveness of tactics related to staff hiring, transfer, and compensation that were intended to assure staff commitment to the program
- Review the impact of third-party pressures on ongoing program or policy effectiveness or value
- Compare results of evaluations, assessments, and feedback to original intentions and desired outcomes of program or policy change effort
- Based on results, assemble key opinion leaders and decision makers to determine whether to continue, modify, or terminate program or policy
- Formulate next steps to continue, modify, or eliminate program or policy
- Other:
- Other:
- Other:



Continue, Modify, or Eliminate, Tactical Choices Worksheet

Possible Tactical Choices	Person-days	Est. Cost	Rank
Review results of previously performed evaluations to evaluate performance			
• Before vs. after outcome evaluation		\$	
• Performance, administrative, and budget analyses		\$	
• Comparison of controlled experimentation or quasi-experimentation		\$	
• On-site inspection by third parties		\$	
• Outside evaluation by private contractor		\$	
Conduct supplemental or new evaluations and review results. Choose one or more of the following:			
• More refined performance, administrative, and budget analyses to determine program performance		\$	
• Focus groups or other formal input opportunities with existing interested external parties for qualitative assessments of program or policy impacts and effectiveness		\$	
• Focus groups or other formal input opportunities with new interested external parties		\$	
• Ongoing/long-term access to and feedback opportunities with top administrators involved in original planning and implementation		\$	
• Ongoing/long-term access to and feedback opportunities with top administrators not involved in original planning and implementation		\$	
Compare success of implementation strategies pursued by different providers, considering impact on program or policy results of various choices, including:			
• Use of staged or multi-level implementation		\$	
• Use of pilot programs or controlled experimentation		\$	
• Use of specialized education or training programs		\$	
• Use of tangible resources and incentives		\$	
• Use of symbolic rewards to encourage or reward implementation		\$	
• Effectiveness of tactics related to staff hiring, transfer, and compensation that were intended to assure staff commitment to the program		\$	

Review the impact of third-party pressures on ongoing program or policy effectiveness or value		\$	
Compare results of evaluations, assessments, and feedback to original intents and desired outcomes of program or policy change effort		\$	
Based on results, assemble key opinion leaders and decision makers to determine whether to continue, modify, or terminate program or policy		\$	
Formulate next steps to continue, modify, or eliminate program or policy		\$	
Other:		\$	
Other:		\$	
Other:		\$	
Subtotal, Continue, Modify, or Eliminate		\$	



Sources:

Bryson, J. M., & Delbecq, A. L. (1979). A contingent approach to strategy and tactics in project planning, *Journal of the American Planning Association*, 45(2), 167-179.

Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Products and Outcomes of Successful Policy Change Efforts



It is important for process designers and implementers to keep in mind that throughout a Policy Change Cycle there are a number of tangible and intangible, process- and content-oriented outcomes that are likely to be needed if the process is to succeed.

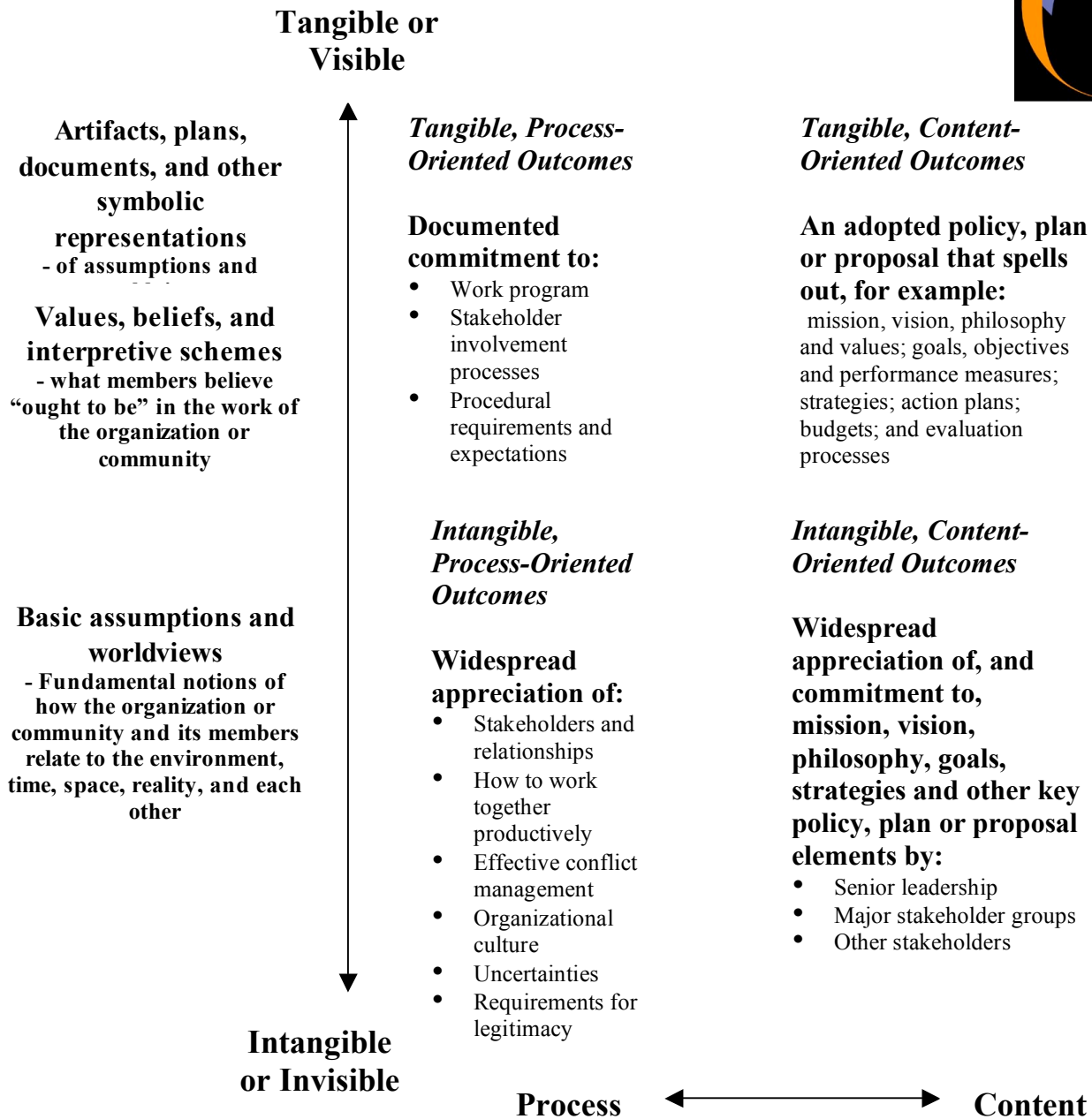
The figure on the following page classifies outcomes according to these dimensions. The process versus content dimension is probably quite familiar, at least in the negative, as when people complain about “process getting in the way of substance”. Less obvious, because it is less frequently discussed, is the distinction between tangible and intangible outcomes. We have subcategorized the dimension according to our interpretation of Schein’s (2004) three levels of culture.

The most obvious aspects of culture are what we can see, such as artifacts, plans, documents, or other symbolic representations of the less visible values, beliefs, and interpretive schemes that shape them. Less obvious, but in many ways much more important, are the basic assumptions and worldviews that underpin the values, beliefs, and interpretive schemes. They are most important because they serve as the nearly invisible underpinnings of what is above them; they are the platform on which the rest is built. Participation efforts grow out of organizational or community cultures; therefore, any outcomes produced must tap into that culture, even if the purpose (as is usual) is to change the culture in some way, including some of its basic assumptions.

To repeat: You must give adequate attention to producing tangible and intangible content and process outcomes in order to produce a successful strategic plan and process. Real success is based on shared mindsets and commitments of key stakeholders.



Figure 1. Outcomes Likely to Be Needed for Policy Change Effort to Succeed



Adapted from:

Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organizations* (3rd ed.) (p. 79). San Francisco, CA: Jossey-Bass.

Based in part on the ideas of Schein (1997) and Friend & Hickling (1997).

Exercise: Homeless Teenagers Case

By Eric Meininger, M.D., Department of Pediatrics and Adolescent Health, University of Minnesota



The Scenario

Last night in Minnesota over 660 youth did not have a place to go that they would call home. Over 10,000 Minnesota youth experienced at least one period of homelessness in 2000. Many of these youth are adolescents who are not with their parents. They are visible as runaways and throwaways in the urban centers, but they are also in the suburbs and rural communities of Minnesota.

Homelessness is typically seen as a problem of adult males in urban centers, particularly in places like New York, Los Angeles, and San Francisco. I am struck by the number of people who have asked me why I stay in Minnesota when I am interested in health care for homeless teens. There is a perception that we do not have a significant homeless problem, and that certainly there are not youth involved. Unfortunately, in the era of welfare reform, prison funding cuts, and overall reductions in public spending, the ranks of homeless of all ages are overwhelming food banks, shelters, and free clinics.

Part of the challenge in addressing the needs of homeless adolescents is educating the public that they exist. They are largely a silent constituency, without a voice in public forums because of their age and their alienation. Unlike adults who are chronically homeless, teens are better able to blend in with the dominant subculture. The kid sitting at the bus stop with dirty clothes, baggy jeans, and black boots smoking a cigarette may be there because the grunge look is in and it's cool to hang out in Uptown Minneapolis while skipping school. Or he may be there because he has dropped out of school, smoking a cigarette because it dulls the gnawing sensation in his belly, and wearing baggy clothes picked out from a clothing shelf that are grungy from sleeping on the floor of the squat last night.

Leaders who address the issues that cause homelessness must be willing to listen and authenticate the stories of rejection and patterns of failure. They need to empower youth to speak out and share their experiences. They need to collaborate in a shared-power environment with youth-serving organizations, legislators, and most importantly, with the youth themselves in order to effect change.

Think through a participation process to address this issue:

1. What is the issue or need that requires your attention? (Make sure not to confuse this with furthering **your** preliminary ideas on a solution.)

continues ...

2. What should the objectives be for the overall effort (which at this point may involve simply getting as clear as possible about the issues that need to be addressed)?



3. Who are the potentially affected stakeholders?

4. What do you think the participation objectives should be?

continues ...

5. What strategies and methods should be used to achieve these participation objectives? (Remember that multiple renegotiations and agreements are likely to be needed as additional stakeholders become involved.)



Exercise: Nude Beach Case

By Mary Hamel, 2001, Wisconsin Department of Natural Resources.



The Scenario

There is a wildlife area along a river near a small, quiet community. There is a great sand beach and sandbar along this river. In the summer, the river water is generally clear and a great swimming temperature. For decades people have come to the beach to swim, picnic, and soak up the sun. The beach used to be physically divided into two sections. By tradition, one of the sections was a family beach; the other was a nude beach. Historically and currently, the Department of Natural Resources, which owns the property, did not cite people for public nudity because the county sheriff's department, which had jurisdiction, stated it would not prosecute nudity unless there were additional charges.

With time, the sandbars shifted and the beach became one unbroken stretch of sand. Word of the nude beach spread, particularly once a user group, the "Naturists," publicized the nude beach on a web site. Soon large numbers of beachgoers, particularly nudists, crowded the beach, some camping for weekends or weeks. The parking lots and roadsides became filled with cars. The non-nudist family visitors disappeared.

Complaints began to arise about nudity, sexual activity, litter, etc. Because the beach was not in a park or campground, toilet facilities were nonexistent or limited to a porta-potty. A religious activist group began voicing objection to the nudity on the beach. Traffic and use continued to increase as people traveled from nearby states to go to the beach. Teenagers came there to drink illegally. Drunk people appeared after bar time to harass the beach users. Problems continued to escalate. Property managers were concerned about the property's ecology.

The beach users feared losing their use of the beach. They felt part of a community at the beach and had started self-policing the beach--picking up litter, talking to people behaving inappropriately, watching out for each other, etc. Nudists stated this was the only place they could come. Some women stated it was the only place they could camp alone and feel safe.

Think through a participation process to address this issue:

1. What is the issue or need that requires your attention? (Make sure not to confuse this with furthering **your** preliminary ideas on a solution.)

continues ...

2. What should the objectives be for the overall effort (which at this point may involve simply getting as clear as possible about the issues that need to be addressed)?



3. Who are the potentially affected stakeholders?

4. What do you think the participation objectives should be?

continues...

5. What strategies and methods should be used to achieve these participation objectives? (Remember that multiple renegotiations and agreements are likely to be needed as additional stakeholders become involved.)



Introduction to Part 4, Bringing it All Together: Tools and Techniques



This toolbox of techniques comes toward the end of this Fieldbook quite intentionally because these choices should **follow** the design process, not lead it. Just as “form follows function” in architecture, so too must the focus be **first** on clarifying the public participation purpose and objectives and thinking through the process design, and **only then** on selecting the tools and techniques **that best match and support** them.

Many excellent resources are available with detailed information about the hundreds of unique and useful tools and techniques to support public participation. This Fieldbook includes some that we have found particularly useful, and approaches and perspectives to help broaden your thinking about this work. Public participation is a young discipline, however, and practitioners are actively innovating. As you gain confidence and experience, adapt existing tools or create and pilot new ones that work for your participants and support your process design to meet your purpose and objectives.

This part begins with creating and managing effective meetings, then offers guidelines for good facilitation; both form the basis for much of the work in public participation.

Section A. Making Meetings Work

This section offers a full set of practical guides, for both novices and experts, on improving meetings. Paralleling the Fieldbook’s structure, we begin with guidelines for thinking through the purpose and objectives of the meeting. Next we work with setting agendas (both for the meeting’s leaders and participants), provide an equipment and materials checklist, and suggest alternative room arrangements. We close with recommendations about how to document meeting results, which includes having meeting participants evaluate the meeting’s effectiveness.

Section B. Facilitating Inclusive and Effective Meetings

This introduces the nature, tasks, and ethics of facilitation, but is not a definitive guide to facilitation, which is best obtained from resources written specifically for that purpose. This section begins with Schwartz’s informative group-effectiveness model illustrating how facilitation fits within a broader context, and then explores levels of facilitator intervention, a critical consideration when serving in this role.

A series of worksheets follow to help you prepare to provide contract facilitation services; these are equally useful for other situations and address important pre-facilitation issues, ethical and process considerations, being inclusive, and logistics. The section closes with facilitation assessment tools and case studies to help you practice thinking through a facilitation process.

Section C. Knowing and Influencing Stakeholders

This section begins by setting the context of a shared-power world where many organizations and individuals, stakeholders, are involved in, affected by, or have a partial responsibility to act on virtually every important public problem. It is essential to take stakeholders seriously to gain sufficient support to bring about desired changes.

Following this are a number of stakeholder identification, analysis, and influence techniques, including several graphics-based analysis tools, a basic stakeholder analysis technique, and ideas for using a role-playing exercise to assess the viability of strategic options. The section ends with a case-based exercise using any of these techniques to identify and analyze stakeholders.



Section D. Creating, Evaluating, and Managing Ideas

There are two major tasks in working with groups to create desirable change: thinking up good ideas worth implementing, and creating a coalition large and strong enough to adopt the ideas and protect them during implementation. This section introduces a number of tools and techniques for the first task.

The section begins by distinguishing among creating, managing, and evaluating ideas, then offers some quick and easy creativity warm-ups to get your participants ready to offer their best ideas. Basic guidelines and variations for brainstorming, one of the most common and useful idea-generating techniques, are offered. Next are guidelines to build shared information about a topic, techniques to get a group unstuck and moving forward, and a structured method of searching for solutions.

Snow card exercises help participants move beyond brainstorming by clustering the information. Oval mapping refines the process by creating cause-effect links between the ideas, deepening meaning and understanding while supporting action. Criterion grids, dot ranking, and the portfolio method offer options to compare, rank, or evaluate all the great ideas generated, moving decisions, action, and progress.

These and their many variations and alternatives may be useful to support your purpose and the process you have designed. To get some practice, the section ends with an exercise that demands a creative approach, plus a case-based example showing how to move small groups of people through stations to build depth, refine ideas, explore patterns, and evaluate choices.

Section E. Making Decisions

This section begins by re-grounding the practice of issue creation in the Policy Change Cycle, then offers some perspective on the differences between decision-making theory and practice, and the importance of understanding both. Materials in this section also offer reminders about the importance of generating lots of ideas in order to find the best ones, but also the critical need to clarify the issues and reach agreement on the problem before testing solutions. A number of decision-making methods are introduced in a simple format that makes them easy to compare, and an adaptation of Johnson and Johnson's Bean Jar Exercise offers a wonderful opportunity for participants to experience how each works.

Examples of common errors and biases in decision making and information processing will prepare you to steer clear of them. Three decision-making models close this section and offer valuable conceptual perspectives. Thomas' model explores the impact on public involvement of trying to assure both high decision quality and acceptability; double-loop learning examines ways to more effectively problem solve; and the Janis model presents a method to avoid groupthink, where people rally behind what turns out to be a really bad idea.

Section F. Managing Conflict

This short section provides the theory of and practice in managing conflict. The initial role-play exercise fosters a robust and challenging exploration of assumptions and approaches to conflict management; it is useful in a variety of group settings. The notion of observable versus invisible behavior or positions relative to relationships is discussed, as well as five basic conflict management modes organized by their level of assertiveness and cooperativeness.



To actively address conflict, the Fisher and Ury model takes a careful look at negotiation and deftly illustrates the problematic implications of positional bargaining compared to negotiating on the merits of the issue using a principled approach to resolving conflicts. Fuitak's practice-based conflict framework assumes that, since various forms of conflict always will be present, it is essential to actively manage conflict.

Section A.

Making Meetings Work



Purpose

This section introduces the components and mechanics of managing effective meetings, principles that apply to many public participation activities.

Objectives

After completing this section, users will be better prepared to:

- Plan and organize a meeting
- Establish the meeting agenda
- Arrange for the appropriate equipment and materials
- Arrange the room to accomplish meeting purposes
- Record the results of the meeting, including needed follow-up actions
- Review meeting process and results to improve subsequent meetings

Summary

This section contains the following:

- **Meeting Organizer**
This helps people think through what they want out of a meeting and how to organize it.
- **Planning an Agenda**
If you are leading a meeting, it is your responsibility to plan the agenda. This offers advice on how to plan an agenda whether you are a group leader or member.
- **Meeting Agenda Worksheet**
This worksheet helps organize the meeting according to times, topics, objectives, and people responsible.
- **Equipment and Materials Checklist**
Part of preparing for a meeting is being sure you have the equipment and materials needed. The checklist lists a number of items that may be needed.
- **Room Arrangement**
Four guiding principles of room arrangement should be followed when working with groups to keep the focus on participants and meeting contents.
- **Meeting Summary**
Typically it is important to have a written summary of a meeting, particularly when follow through is necessary. This meeting summary form can be used to list actions to be taken, who is responsible, the deadline, and when the action is accomplished.
- **Meeting Evaluation Worksheet**
This worksheet is designed to help meeting participants evaluate the effectiveness of a meeting and identify what might be done to improve future meetings.

Meeting Organizer



Meeting Title _____

Date _____ Time: Start _____

End _____

Meeting Location _____

Group Contact Name _____ Phone _____

Purpose:

Desired Outcome:

Participants:

Who

Interest Represented

Materials/Equipment Needed:

Item

Person Responsible

continues ...

Agenda:
Item

Facilitation/Group Management Method



Meeting Outcomes:

Follow-Up:
What, when

Person Responsible

Notes:

Source:

Anderson, M., et al. (1999). *Facilitation resources*. St. Paul, MN: Hubert H. Humphrey Institute of Public Affairs and the University of Minnesota Extension. www.extension.umn.edu

Planning an Agenda

Ahead of Time

If you are leading a meeting, it is your responsibility to plan the agenda. If you have been asked to facilitate someone else's meeting, meet with the leader ahead of time to help plan it. If you are a group member, judge whether it would be appropriate to offer to help set up an agenda beforehand.



Here's the sequence of steps to take to plan your agenda:

1. **Define results:** What is the result you want by the end of this meeting? Write it down. It should be specific enough to allow people at the meeting to answer these questions:
 - Are we done?
 - Did we accomplish what we set out to do?
2. **Identify the time frame for the meeting:** What is allowable for this group, for this purpose, considering everything going on in the organization at this time? The time frame may have been arbitrarily defined by you or by someone else.
3. **List the content:** List the content or topics that will have to be covered to accomplish the result. Look for "unspoken" content needs, like how the group will get the information it needs.
4. **Allot time frames by topic:** Looking at the total meeting time, how much can or should you allot for this part of the agenda?
5. **Plan processes for each topic:** What tools would help accomplish this, and which have time frames that will fit? Can you modify a tool so it would take less time, or do part of the work in advance?

Example: You've allotted twenty minutes for a panel of three experts to update your group on some changing technology. Use e-mail to ask participants what they want to know, organize the topics yourself, and send the outline to panel members, letting them know this is what you want them to address.

6. **Do a sanity check:** Is this doable in the allotted time? Do you need to schedule two or more meetings to get this result? Is it more practical to scale down your expectations to fit the time available, considering organization constraints?

Example: You have a one-hour time slot. The result you wanted was agreement on a solution to the overtime problem. After planning the agenda, you realize this will probably take at least three two-hour meetings. You scale down the result to a prioritized list of the top five causes of overtime, or you may be able to schedule and plan those three two-hour meetings.



On the Spot

Sometimes you will show up at a meeting where no agenda has been prepared. You may be a member, a facilitator who has had no opportunity to communicate with the leader (even via e-mail or phone), or a leader caught unprepared. As a member, you will have to judge when it would be appropriate to offer to help build an agenda.

To build an agenda on the spot, stand at a flipchart and write large on blank paper so the group can follow and work with you. This helps people trust your motives. Never take more than five to ten minutes to do this unless it's a long meeting and people already understand the value of having a detailed agenda.

Here are the sequence steps:

1. **Define results.** Ask:
 - What do we need to accomplish by the end of this meeting?
 - What can we deliver?
 - How will we know that we're done?
 - How will we know we succeeded?
 - Write answers down at the top of the flipchart.
2. **Identify time frame for total meeting.** Ask:
 - How long do we have?
Write it down.
3. **List topics (content).** Ask:
 - What topics will we have to cover to get to this result?
 - What information will we need?
 - Who will make decisions: us or others?
 - Will we need to make an action plan?
 - Write down answers with bullets and lots of white space between items.
4. **Allot time frames for topics.** Ask:
 - Considering we have an hour and a half, how much time shall we allot for Jim's update?
 - How much for listing problems? For prioritizing them? Write them down by topic.
5. **Suggest processes.** Say:
 - First, Jim will present a market update. We could then brainstorm a list of risks and opportunities. Does anyone object to that?
 - Caution: Don't be too obsessive about thinking up and listing a process for every topic. Just hit the big ones.
6. **Do a sanity check.** Ask:
 - Do you think we can do this in this time frame?
 - Should we scale down our expectations?
 - Should we schedule another meeting so we can accomplish it all?

Most people will appreciate your doing this and will see the value right away. This is a good time to find someone to act as timekeeper. You might ask (playfully), “Is there anyone here who is absolutely ruthless?” and try to identify someone who won’t be too polite to speak up when it’s necessary.



If you are the facilitator or leader, this is a good time to ask if people are willing to abide by the agenda and time frames. This is a “process agreement.” Then ask their permission to enforce (or maintain) the agreement.

You might say:

- Do we agree to abide by these time frames?
- If we start running over, do I have your permission to break in and move us along?

Whether the agenda was prepared in advance or on the spot, it will do more than almost anything else to keep the group on time, focused and productive.

Source:

Kearny, L. (1995). *The facilitator’s tool kit: Tools and techniques for generating ideas and making decisions in groups* (pp. 65-67). Amherst, MA: HRD Press.

Meeting Agenda Worksheet



Name of Group _____

Date _____ Time: Start _____ End _____

Meeting Location: _____

Pre-meeting Preparation (what to read, research, or prepare):

Time	Topic	Person Responsible	Main Objective (what group is to know/ discuss/create as a result)

Source:

Anderson, M., et al. (1999). *Facilitation resources*. St. Paul, MN: Hubert H. Humphrey Institute of Public Affairs and the University of Minnesota Extension. www.extension.umn.edu

Equipment and Materials Checklist

Part of preparing for a meeting is being sure you have the equipment and materials needed. Below is a checklist of what you **may** need.



Meeting _____ Group _____
 Date _____ Time _____
 Location _____

Equipment, Material	Qty	Acquired	Notes
Adequate seating and tables			
TV/VCR			
Overhead projector			
Projection screen			
Extension cords			
Computer, power supply, and necessary cabling			
Computer projection equipment and cabling			
Laser pen			
Flipchart			
Markers (for paper, transparencies, other)			
Self-stick notes			
Name tags			
Scissors			
Masking tape			
Pencils/pens			
Blank paper			
Colored sticky dots			
Water, tea, coffee, fruit juices, soft drinks			
Fresh fruit			
Other healthy food			

Source:

Anderson, M., et al. (1999). *Facilitation resources*. St. Paul, MN: Hubert H. Humphrey Institute of Public Affairs and the University of Minnesota Extension. www.extension.umn.edu

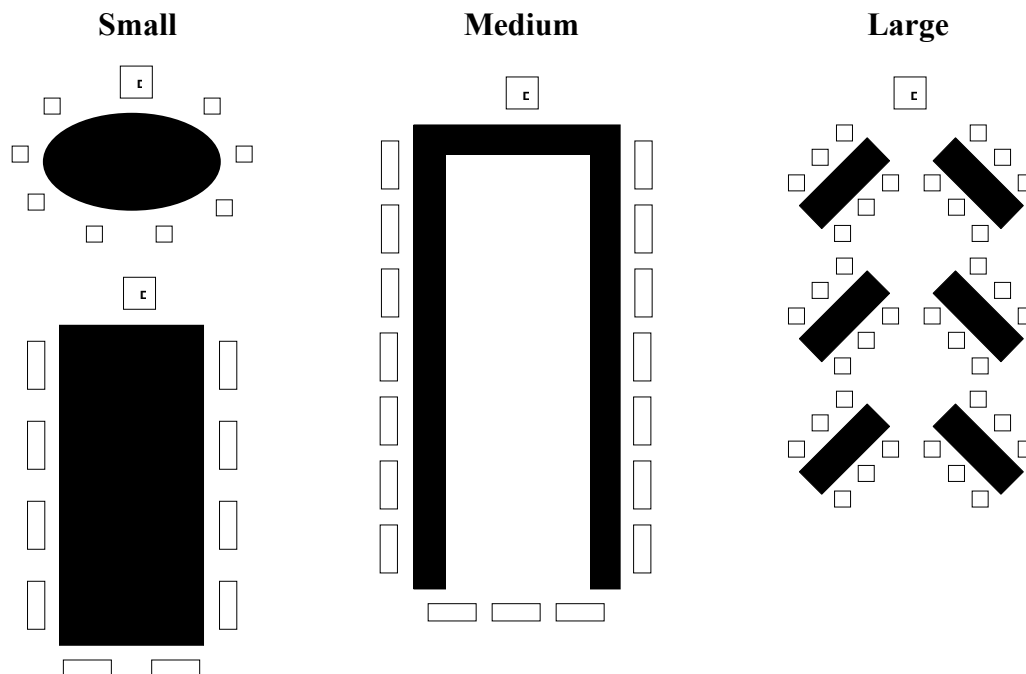
Room Arrangement

Four principles guide room arrangements:

1. **All participants and the facilitator or group leader should be able to see and hear each other.**
2. **The seating arrangement should enable members to focus on the flipchart (or other writing device) and the person or persons who will manage the group's process.** Focusing the participants' attention on the flipchart helps people stay on task. Focusing participants' attention on the person managing the group process makes it easier for that person to work. Facilitators usually sit in a location that physically distinguishes them from group members. Except for the facilitator and chair, participants should not be assigned specific seats.
3. **Seating arrangements should distinguish participants from non-participants.** Groups often ask nonmembers to attend to provide information or just to observe. Seating the nongroup members apart from group members enables members to focus on one another without "psychological interruptions" from nongroup members. It also makes it easier for the facilitator to attend to group members without being distracted.
4. **Seating arrangements should be spacious enough to meet the needs of the group, but no larger.** Facilitation involves bringing people together to work. Seating arrangements that leave empty spaces between participants create unnecessary psychological distance for members. Empty spaces also make it more difficult for a facilitator to see at a glance whether everyone is present.



See possible seating arrangements for different sizes of groups below:



Source:

Schwarz, R. (1994). *The skilled facilitator: Practical wisdom for developing effective groups*. San Francisco, CA: Jossey-Bass.

Meeting Evaluation Worksheet



1. Were the objectives of the meeting accomplished?
2. What worked well in the meeting?
3. What did not work well?
4. What you have you have done differently?
5. What did you learn from this that might be used to improve future meetings?

Section B.

Facilitating Inclusive and Effective Meetings



Purpose

The purpose of this section is to introduce participants to the nature, tasks, and ethics of facilitation.

Objectives

At the completion of this section, participants should understand:

- The role of facilitation in enhancing group effectiveness
- Levels of intervention by facilitators
- Stages and tasks of facilitation
- How to engage to prepare for an effectively facilitated meeting
- A code of ethics for facilitators
- How to observe and critique facilitation

Summary

This section contains the following materials:

- **Roger Schwarz' Group-Effectiveness Model**
Schwarz' Group-Effectiveness model posits that group effectiveness is a product of the interaction of organizational context, group structure, group process, and prior group effectiveness. Facilitators have their primary impact on group process.
- **Levels of Intervention by Facilitators**
Intervention into group processes can vary from very little to forceful. Too little intervention and a group can wander and wallow; too much intervention and the group may become overly dependent on the facilitator and not develop its own capacity to do useful work.
- **Stages and Tasks of Facilitation**
This presents a framework that describes the typical stages of facilitation and tasks of the facilitator. These include pre-work, opening the meeting or event, facilitating the meeting, closing the meeting, and following up with meeting planners.
- **Some Initial Questions--Diagnosing the Situation during Contracting**
These questions help facilitators understand more about the situation they are being asked to facilitate prior to agreeing on a contract for the work.
- **Some Initial Questions--Ethical and Process Considerations for Contracting**
These questions explore ethical and process considerations for contracting. In conjunction with the previous worksheet, answering these questions will help you articulate a fuller understanding of the situation and requirements for successful facilitation.
- **Advance Planning for Inclusive Facilitation**
It is very important to think about how to foster participation that is inclusive, especially since different people and groups may have very different requirements. This checklist is designed to help facilitators do some advance planning so that everyone who should participate actually can.
- **Worksheet: Logistics and Arrangements**

This worksheet is designed to help facilitators handle logistics and arrangements for a meeting or series of meetings.

- **Code of Ethics for Facilitators**

Codes of ethics clarify the expectations for a specific role. The person who is fulfilling the role has responsibilities to others to uphold the code of ethics. The ethical expectations for facilitators include honesty, integrity, promise-keeping, fairness, concern for others, respect for others, responsible citizenship, pursuit of excellence, personal accountability, loyalty, public trust, independent objective judgment, and public accountability.

- **Facilitation Observation Tool**

This form is to be used as an observation tool to assess someone else's performance as a facilitator. Take it along when you attend a meeting and have the opportunity to watch the process of another facilitator.

- **Assessing Facilitation Skills**

This exercise helps you assess your facilitation skills, including identifying areas where you could use some additional skill building.

- **Exercise: A Local Land Use Planning and Growth Management Controversy**

In this exercise you are asked to think about how to facilitate a potentially difficult meeting related to land use and growth management.

- **Exercise: Family Service Collaborative**

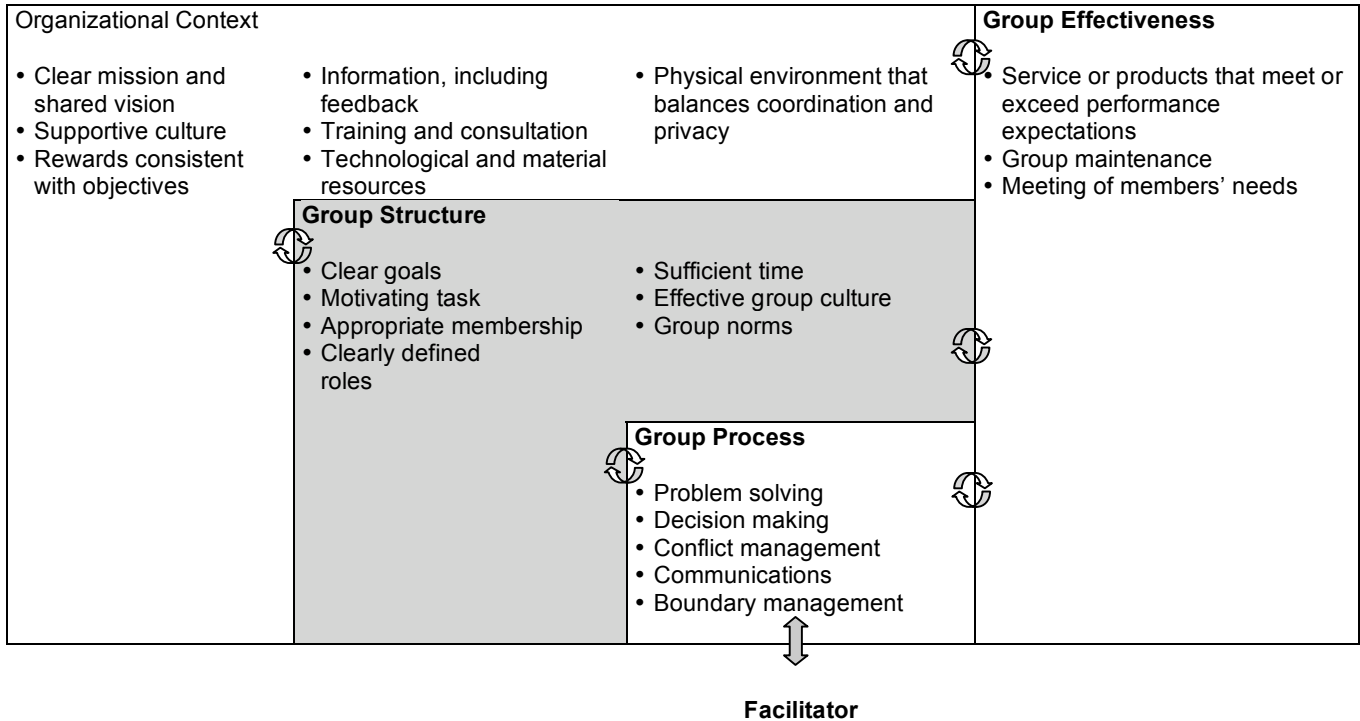
This exercise focuses on a serious conflict within a human service collaborative.



Roger Schwarz' Group-Effectiveness Model



Schwarz's Group-Effectiveness model posits that group effectiveness is a product of the interaction of organizational context, group structure, group process, prior group effectiveness. Facilitators have their primary impact on group process. His model is:

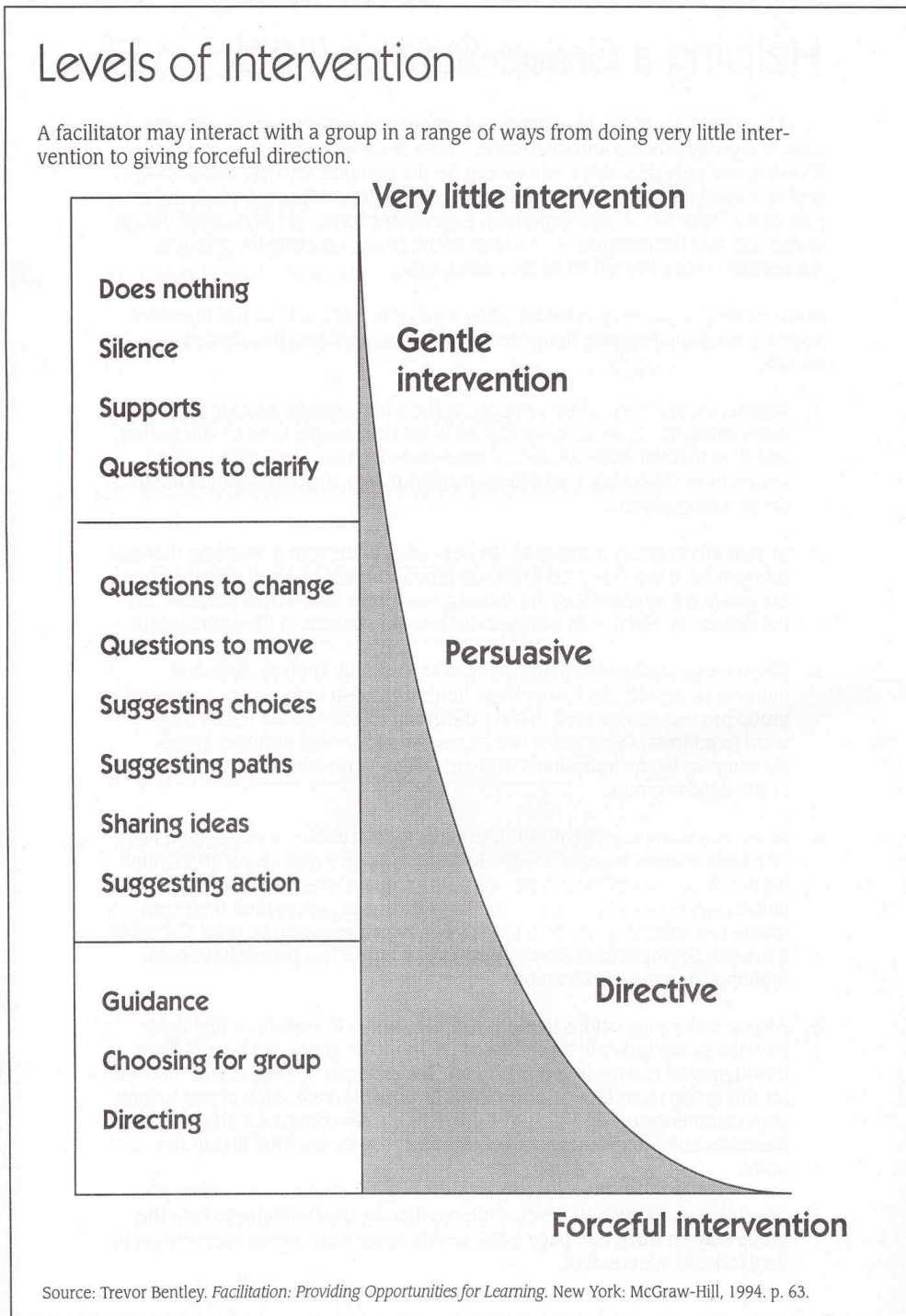


Source:

Schwarz, R. (1994). *The skilled facilitator* (p.20). San Francisco: CA, Jossey-Bass.

Levels of Intervention by Facilitators

Intervention into group processes can vary from very little to forceful. Too little intervention and a group can wander and wallow; too much intervention and the group may become overly dependent on the facilitator and not develop its own capacity to do useful work.



Stages and Tasks of Facilitation

This is a framework that describes the typical stages of facilitation and tasks of the facilitator.



Pre-work

- Contracting or agreeing to facilitate
- Planning the agenda
- Confirming who is attending
- Arranging the meeting room and supplies

Opening the Meeting or Event

- Making introductions
- Exploring the purpose of the meeting or event
- Helping the group determine the agenda
- Breaking the ice
- Setting ground rules
- Initiating discussion

Facilitating the Meeting

- Proceeding through the agenda
- Helping the group stay on track
- Ensuring participation
- Building consensus and making decisions
- Managing conflict
- Ethically fulfilling your role as facilitator

Closing the Meeting

- Reviewing the agenda
- Identifying the next agenda
- Reviewing decisions/actions
- Answering questions
- Evaluating the meeting

Following Up with Meeting Planners

- Clarifying remaining expectations for facilitator
- Asking for helpful feedback
- Determining action for any unfinished business
- Saying “thank you” and “goodbye”

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 1, p. 1.9). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Some Initial Questions--Diagnosing the Situation during Contracting

These questions help facilitators understand more about the situation they are being asked to facilitate prior to agreeing on a contract for the work.



1. Why is your group/organization looking at this issue now?
2. What kinds of changes are you looking for? What do you personally hope will happen?
3. Who are the people that will be involved?
4. What other types of communications or processes do you usually use?
5. What are the climate and culture (mission, vision, and goals) of this group/organization?
6. What experience has this group/organization had in working with other facilitators or consultants?

7. Have you tried other approaches to address this issue?



8. How will you make changes that the participants decide on during this process?

9. What types of report or summaries are you planning to share with participants and others affected by the outcomes?

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 2, p. 2.10). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Some Initial Questions--Ethical and Process Considerations for Contracting

These questions explore ethical and process considerations during contracting. In conjunction with the previous worksheet, answering these questions will help you articulate a fuller understanding of the situation and requirements for successful facilitation.



1. In your judgment, is there value for everyone involved in committing the needed time and effort?
2. Are the organizers open to all possible outcomes, or is this a “done deal”?
3. Will all of those impacted by decisions be represented at the table?
4. Will the “power structure” allow for open and honest dialogue?
5. Will we be able to deal with the real issues versus “symptoms”? Are there any hidden agendas?

6. Is the outcome(s), as you see it now, doable in the time the group/organization is willing to commit to the process?



7. Will participants have the background knowledge and resources they need to make decisions?

8. Will outcomes/results be shared with everyone impacted or affected?

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 2, p. 2.11). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Advance Planning for Inclusive Facilitation



It is very important to think about how to foster participation that is inclusive, especially since different people and groups may have very different requirements. This checklist is designed to help facilitators do some advance planning so that everyone who should participate actually can.

Interaction with Requesting Group

- What is the best way to approach working with the group? For example: Do you approach an elder first?
- Do you begin with personal contact (via phone or in person), or do you begin with printed communication?

Resources

- Have you allocated/considered budget line items for the resources it might take to accommodate various participant needs?
- Is an interpreter(s) needed? Is there money to pay for an interpreter(s)?
- Have you allowed for the additional time it might take to interact using multiple methods of communication?

Participants

- Do you know which organizations or agencies your participants are connected with and which services are located locally?
- Do you investigate the communication needs/modes (hearing impairments, reading levels) of your potential participants?
- How are participants being invited? Are invitations being mailed out? Do you check for “reader friendliness”? Do you call, or conduct home visits if they do not have a phone? Have you or could you talk with “representatives” from your target populations to seek out preferred ways for recruitment?
- Have you made transportation arrangements? Childcare arrangements?

Site

- Is the place accessible? Have you done a walk-through or verified the degree of accessibility (e.g., complicated entry)? Are rooms and restrooms wheelchair accessible and identified with tactile symbols? Are there accessible restrooms on the same floor as the meeting room?
- Are telephones equipped with Text Telephones (TT) for people who are deaf or have speech difficulties? If not, are there electrical outlets near public phones for individuals to plug in their own TT?
- Is there an area for guide dog relief?
- Is there enough space in the room for people who use wheelchairs?
- Is there an available route for public transportation to the meeting?
- Is there accessible parking?
- Does the meeting facility have alarm systems that alert both visually and audibly?
- Does the site make special accommodations for dietary needs?

___ Do you attempt to use resources (hotels, conference centers, etc.) that demonstrate culturally competent practices (e.g., employing people with disabilities, ethnic differences)?



Room Setup

Do you have:

___ Assistive listening devices?

___ Program materials in alternative formats (Braille, large print, computer disk, audiocassette)?

___ Reader and/or notetaker? Ample lighting on speaker's face? Preferential seating?

___ Interpreters (spoken, sign)?

___ Accessible electrical outlets for audiotape or computer? Captioned films or videos?

Planning for Delivery

___ How can you deliver activities to accommodate the heterogeneity of your participants?

___ Are there pictorial materials and audio presentations to complement printed materials? Does the printed material need to be in Braille or multiple languages? Interpreters needed?

As facilitator are you prepared to:

___ Describe visual aids, including text on boards, flipcharts, overheads, or slides?

___ Speak clearly and face the audience as much as possible?

___ Provide alternative formats for printed handouts?

For more information refer to the Americans with Disabilities Act. www.ada.gov

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 2, p. 14-15). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Worksheet: Logistics and Arrangements



Background Information

Initial contact person(s):

Group/organization:

Brief description of the request/issue:

Stakeholders (facilitation participants and those potentially affected by process):

Primary planning committee (names, contact information):

continues ...

Process

Summary of process and schedule:



Responsibilities

- Contacting participants?

- Facility/room arrangements?

- Recording discussion, summarizing, and following up with participants?

continues ...

- Media involvement (if relevant)?



- Anticipated expenses?

- Other considerations?

Code of Ethics for Facilitators

Codes of ethics clarify the expectations for a specific role. The person who is fulfilling the role has responsibilities to others to uphold the code of ethics. The ethical expectations for facilitators include honesty, integrity, promise-keeping, fairness, concern for others, respect for others, responsible citizenship, pursuit of excellence, personal accountability, loyalty, public trust, independent objective judgment, and public accountability.



1. **Honesty:** Facilitators should be scrupulously and consistently honest by:
 - Being truthful, sincere, forthright, and--unless professional duties require confidentiality or special discretion--candid, straightforward, and frank
 - Not cheating, stealing, lying, deceiving, acting deviously, nor intentionally misleading another by omission, half-truths, or other means
2. **Integrity:** Facilitators should demonstrate integrity by:
 - Acting in ways that are consistent with core beliefs and ensuring that practices are congruent with principles
 - Honoring and adhering to their own moral beliefs with courage and character, regardless of personal, political, social, and economic pressures
 - Expressing and fighting for their concept of what is right and upholding their convictions to the best of their ability
3. **Promise-keeping:** Facilitators should demonstrate trustworthiness by:
 - Keeping promises, fulfilling commitments, and abiding by the letter and spirit of agreements that bind them
 - Interpreting contracts and other commitments in a fair and reasonable manner and not creating justifications for escaping a commitment
 - Exercising prudence and caution in making commitments, considering that unknown or future factors might arise that could make fulfillment of them difficult
 - Seeking to ensure that when commitments are made, the nature and scope of the obligations undertaken are clear to all parties
4. **Fairness:** Facilitators should demonstrate fairness by:
 - Making decisions with professional objectivity based on consistent and appropriate standards
 - Demonstrating a commitment to the equitable treatment of individuals and an appreciation for diversity in all actions
 - Exercising open-mindedness and a willingness to seek out and consider all relevant information, including opposing perspectives
 - Voluntarily correcting personal or institutional mistakes and improprieties and refusing to take unfair advantage of mistakes or ignorance of citizens
 - Scrupulously employing open, equitable, and impartial processes for gathering and evaluating information necessary to decisions
5. **Concern for others:** Facilitators should demonstrate a concern for the well-being of all those affected by their actions by:
 - Striving to carry out official and managerial responsibilities with a firm commitment to maximize benefits and minimize harm
 - Being caring, considerate, compassionate, and generous while carrying out their official duties



6. **Respect for others:** Facilitators should demonstrate respect for others by:
 - Acknowledging and honoring the right of those affected by decisions to autonomy, privacy, and dignity
 - Treating others with courtesy and decency
 - Exercising authority in a way that provides others with the information they need to make informed decisions
7. **Responsible citizenship:** Facilitators should act as responsible citizens and uphold the rule of law by:
 - Honoring and respecting the principles and spirit of representative democracy and setting a positive example of good citizenship by scrupulously observing the letter and spirit of laws and rules
 - Exercising their civic duties and fulfilling a commitment to public service
8. **Pursuit of excellence:** Facilitators should seek to perform their duties with excellence by:
 - Being diligent, reliable, careful, prepared, and informed
 - Giving a full day's work for a full day's pay
 - Continually seeking to develop knowledge, skills, and judgment necessary to perform their duties
9. **Personal accountability:** Facilitators should be accountable by:
 - Accepting personal responsibility for the foreseeable consequences of actions and inactions
 - Recognizing their special opportunity and obligation to lead by example
 - Making decisions that take into account long-term interests and the need to exercise leadership for posterity
10. **Loyalty:** Facilitators should demonstrate loyalty by:
 - Advancing and protecting the interests of those with legitimate moral claims arising from personal and institutional relationships
 - Safeguarding confidential and proprietary information
 - Refusing to subordinate other ethical obligations such as honesty, integrity, fairness, and the obligation to make decisions on the merits, without favoritism, in the name of loyalty
11. **Public trust:** Facilitators should treat their role as a public trust, only using the powers and resources of the role to advance public interests, not to attain personal benefits or pursue any other private interest incompatible with the public good.
12. **Independent objective judgment:** Facilitators should employ independent objective judgment in performing their duties, deciding all matters on the merits, free from conflicts of interest and both real and apparent improper influences.
13. **Public accountability:** Facilitators should ensure that processes are conducted openly, efficiently, equitably, and honorably, in a manner that permits the citizenry to make informed judgments.

For more information refer to the International Association of Facilitators code of ethics. www.iaf-world.org

Adapted from:

Code of ethics for facilitators. (1992, pp. 29-30). Los Angeles, CA: Josephson Institute of Ethics, www.josephsoninstitute.org

Facilitation Observation Tool



This form is to be used as an observation tool when observing someone else as a facilitator. Take it along when you attend a meeting and have the opportunity to watch the process of another facilitator. Use this tool as you observe the facilitator and rank the following facilitation elements poor, good, or excellent. In the comment area, make notes on what the facilitator did well or could have done to be more effective.

Facilitation Elements

1. **Participation:** Those with a stake or an interest in the issue are participating. Comments:

Poor	Good	Excellent
------	------	-----------

2. **Facilitator Role:** Facilitator is a neutral guide and coaches the process of convening people. Comments:

Poor	Good	Excellent
------	------	-----------

3. **Shared Vision:** The group has clear goals and vision for action. Comments:

Poor	Good	Excellent
------	------	-----------

4. **Effective Processes:** Effective methods and processes are used to guide/facilitate the group work. Comments:

Poor	Good	Excellent
------	------	-----------

continues ...



5. **Diversity Utilized:** Diverse views are honored, recognized, and utilized, bringing experiences and insights for the greater good of the group. Comments:

Poor	Good	Excellent
------	------	-----------

6. **Planning and Feedback:** Thorough planning, feedback, and group reflection are used to improve facilitation. Comments:

Poor	Good	Excellent
------	------	-----------

7. **Supportive Atmosphere:** The atmosphere assumes mutual respect, trust, and self-confidence. Comments:

Poor	Good	Excellent
------	------	-----------

8. **Group Progress:** The group progresses toward the agreed-upon or renegotiated goals. Comments:

Poor	Good	Excellent
------	------	-----------

9. **Learning from Experiences:** Participants and facilitator learn from their experiences to build upon their capacities as productive, contributing citizens. Comments:

Poor	Good	Excellent
------	------	-----------

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 1, p. 1.14-1.15). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Assessing Facilitation Skills



1. On the scale below, how effective do you think you are as a facilitator?

1	2	3	4	5	6	7	8	9	10
---	---	---	---	---	---	---	---	---	----

Not a snowball's chance Watch my dust!

2. Do you consider yourself (as a facilitator) to be a:

Beginner
 Mid-career
 Seasoned professional

3. On the scale below, rate your skills and understanding of the following topics:

	Poor	Fair	Good	Very Good	Excellent
Understanding the context	1	2	3	4	5
Contracting to do the work	1	2	3	4	5
Logistics/physical environment	1	2	3	4	5
Ice breakers/openings	1	2	3	4	5
Norms and ground rules	1	2	3	4	5
Management of group dynamics	1	2	3	4	5
Developing a shared vision	1	2	3	4	5
Task process competencies	1	2	3	4	5
Coaching	1	2	3	4	5
Neutrality/establish trust	1	2	3	4	5
Managing change	1	2	3	4	5
Ways to make decisions	1	2	3	4	5
Cultural/personal differences	1	2	3	4	5
Conflict resolution and management	1	2	3	4	5
Managing power/authority issues	1	2	3	4	5
Ethics	1	2	3	4	5
Large group methods	1	2	3	4	5
Computer based decision tools	1	2	3	4	5
Friendliness	1	2	3	4	5
Sensitivity	1	2	3	4	5
Sincerity	1	2	3	4	5
Sense of humor	1	2	3	4	5
Self awareness	1	2	3	4	5
Emotional stability	1	2	3	4	5

4. Review the list and write down four or five areas for improvement for which you would be willing to dedicate time and energy.

Source:

Anderson, M., et al. (1999). *Facilitation resources* (Vol. 2, p. 2.10). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Exercise: Family Service Collaborative

By Donna Rae Scheffert, Leadership Development Specialist,
University of Minnesota



You are an independent consultant specializing in facilitation. While you are in the middle of a meeting someone walks up to you with an urgent message to call a person whose name you do not recognize. During the next break you return the call. The chair of a family service collaborative (FSC) has gotten your name from a mutual acquaintance. Because of your reputation as an excellent facilitator of groups facing long-standing conflicts, you are urgently asked to work with them.

After a pleasant meeting with the chair and your decision to work with the group, you try to find out as much background information as possible in the two weeks prior to the meeting. At your request, they send you a packet of notes, reports, and other data about the group. You also talk on the phone with six members who volunteered to share their perspectives.

The FSC has accomplished many of the goals it set for itself three years ago. It is now finalizing the process of building a family center in a previously underserved area. The group conflict initially arose over which family agency would be the lead to oversee management of the new center. Once that decision (to give management responsibilities to Agency A) was made, the work of the collaborative seemed to disintegrate. Some of the other issues identified in your telephone interviews are:

- The group meetings focus on reporting and updates and are seemingly cordial; the conflict is only apparent between meetings. Conflict occurs among members of the collaborative and between members of the collaborative and the chairperson.
- This is the third in a series of meetings where planning has occurred but there has been no progress on goals because of the increasing tension between members.
- The collaborative mission statement says it will involve citizens, but the group that meets monthly no longer has regular citizen participation.
- Agency A sends a middle manager to FSC meetings, but the Executive Director makes all the decisions for Agency A.
- Participants do not trust one another, nor do they trust that what they contribute in the FSC meetings will not be used against them eventually.
- Decisions made during FSC meetings are not durable.
- There are different views about the purpose, goals, and outcomes of the next meeting. There also are differing views about where/how/what conflict is inhibiting the work of FSC.

What plan do you develop for the next FSC meeting that you will be facilitating? A few of the givens are: you have three hours to work with the group, the place reserved for the meeting is a community center, and a majority of the FSC regular members will attend.

Section C.

Knowing and Influencing Stakeholders



Purpose

This section covers a variety of stakeholder identification, analysis, and influence techniques critical to understanding the framework for any public participation effort.

Objectives

At the end of this section, Fieldbook users should understand and be able to use the following stakeholder identification, analysis, and influence techniques:

- The basic stakeholder analysis technique
- Power vs. interest grids
- Stakeholder influence maps
- Bases of power and directions of interest diagrams
- Grids to show stakeholder position on issue or proposal vs. stakeholder importance
- Stakeholder role plays

Summary

This section includes the following materials:

- **Taking Stakeholders Seriously in a Shared-Power World**
We live in a world where there is no one wholly “in charge” when it comes to virtually every important public problem. We live in a world where many actors are involved in, affected by, or have a partial responsibility to act on virtually every important public problem. These actors, or stakeholders, must be taken very seriously in such a world. There is little hope for bringing about desirable changes otherwise. Enough key stakeholders must be convinced to support the changes, or the changes will not happen. A number of stakeholder identification, analysis, and influence techniques follow.
- **Basic Stakeholder Analysis Technique**
The basic stakeholder analysis technique helps identify the relevant stakeholders, their expectations, and how well those expectations are being met at present.
- **Power vs. Interest Grids**
Power versus interest grids are used to plot stakeholders’ interests against their power. Depending on the situation, “interest” can be interpreted either as their “stake” in an issue area or as their willingness to get involved. The grids can help determine which stakeholders’ interests and power bases must be taken into account. They highlight coalitions to be encouraged or discouraged; behavior that should be encouraged, discouraged or neutralized; and who should be brought in, encouraged to change their views, or ignored.
- **Stakeholder Influence Diagrams**
Stakeholder influence maps start with a power vs. interest grid. They are used to identify the formal and informal links between and among stakeholders. Different types of links are used to highlight different kinds of relationships. The influence diagrams help decision makers and planners understand the resulting networks and how to influence them. They also help decision makers and planners understand how links and networks can vary issue by issue.
- **Satisfying Stakeholders and Pursuing the Common Good**

The key to success is satisfying key stakeholders. This can be done using a variety of stakeholder analysis techniques adapted to the specific planning, management, or change effort tasks at hand. Influence strategies are determined based on analyses that are repeated as often as necessary throughout the process.



- **Bases of Power and Directions of Interest Diagram**

These identify the powers, including mechanisms of support or sanctions, available to stakeholders, and especially to the “players” identified on a power versus interest grid. The diagrams also can help identify stakeholder interests, including the way those interests affect how the stakeholder interprets the change effort. Finally, the diagrams help decision makers and planners figure out how to relate to different stakeholders.

- **Stakeholder Position on Issue/Proposal vs. Stakeholder Importance**

Grids showing stakeholder positions on an issue or proposal vs. stakeholder importance are used to assess stakeholder support and opposition, as well as potential coalitions of support and opposition. The diagrams offer insights into the viability of strategic options and provide information on which stakeholders require special attention.

- **Stakeholder Role Plays**

Stakeholder role plays are used to assess the viability of strategic options.

- **Exercise: Stakeholder Analysis, County Land Use Planning**

In this exercise scenario the Up North County Board is updating the county's 20-year-old comprehensive land use plan. So far, the proposed update has only been discussed at county board meetings, which are generally attended by one or two people who are there because of other items on the agenda. Assuming the role of the new planner, the first step is to analyze the stakeholder situation.

Taking Stakeholders Seriously in a Shared-Power World

We live in a world where there is no one wholly “in charge” when it comes to virtually every important public problem. We live in a world where many actors are involved in, affected by, or have a partial responsibility to act on virtually every important public problem.

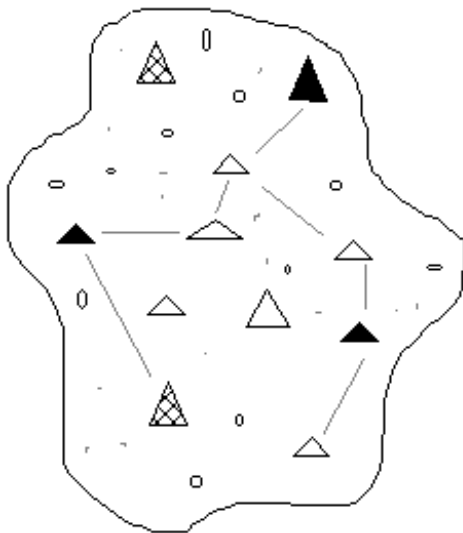
Stakeholders must be taken very seriously in such a world. There is little hope for bringing about desirable changes otherwise. Enough key stakeholders must be convinced to support the change, or the changes will not happen.



Planning is the organization of hope.

--Stephen Blum

In the figure below, the outside line represents the “boundary” of an important public problem. The various symbols inside represent individuals, groups and organizations that are stakeholders. A coalition of support among selected stakeholders, indicated by the lines, is needed to make headway against the problem.



Stakeholders: Identification, Analysis, and Influence

A **stakeholder** may be defined as “any person, group or organization that can place a claim on an organization’s attention, resources, or output, or is affected by that output.”

John Bryson states that attending to stakeholders is important because “the key to success for public and nonprofit organizations (and for communities) is the satisfaction of key stakeholders.”

Finding the Right Stakeholders

- Think broadly about who the stakeholders might be:
 - Who are they? Do they care? Do they know they might care?
 - Do they have the knowledge that is needed for the change effort to succeed?
 - Does successful implementation depend on their support?
 - Do they have ownership of, or some sort of jurisdiction over, the issue that must be taken into account?
 - Do they want to influence the process or the decision?
 - Do they want to be kept informed?
 - Is there enough support for a “big win” strategy?

- Be prepared to go through a four-step stakeholder identification exercise:

- Brainstorm an initial list of stakeholders with the help of your initial planning group
- Assemble the stakeholders on the initial list and ask them who should be there who is not, either because they have **information** that is needed or because their **support** is needed for successful implementation
- Assemble the full group; everyone who should be there
- Figure out what your “final” planning groups should be (advisory council, coordinating committee, planning team, etc.)



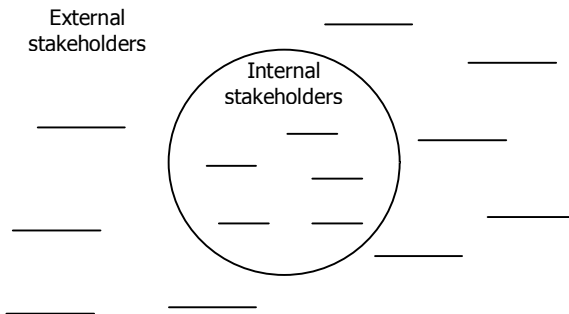
Source: Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organization* (3rd ed.) (p. 27). San Francisco, CA: Jossey-Bass.

Basic Stakeholder Analysis Technique



The basic stakeholder analysis technique helps identify the relevant stakeholders, their expectations, and how well those expectations are being met at present.

1. Brainstorm the list of internal and external stakeholders.



2. Identify stakeholder expectations, how well those expectations are being met at present, and how they can be satisfied in the short and long term (see example below)
 - Prepare separate flipchart sheets for each stakeholder
 - Place a different stakeholder’s name at top of each sheet and then list the criteria the stakeholder would use to judge the worth or value of the change or effectiveness of the effort (or, what are the stakeholder’s expectations?)
 - Determine, from the stakeholder’s point of view, how you are doing at present
 - Identify what can be done quickly to satisfy the stakeholder
 - Identify longer-term issues with individual stakeholders and with the stakeholders as a group
3. It also may help to:
 - Specify how each stakeholder influences the change effort
 - Decide what is needed from each stakeholder
 - Rank the stakeholders according to their importance to the change effort

<u>Stakeholder Name</u>	<i>Performance*</i>		
	+	OK	-
<i>Stakeholder expectation</i>			
<i>Stakeholder Criterion to judge worth/value of change</i>			
<i>Stakeholder Criterion to judge effectiveness of effort</i>			
<i>How do they influence us?</i>	<i>What can we do to satisfy them? (short term, long term)</i>		
<i>What do we need from them?</i>	<i>How important are they to us (extremely, reasonably, not very, not at all)?</i>		

**Our sense of their judgment of our performance*

Power vs. Interest Grids

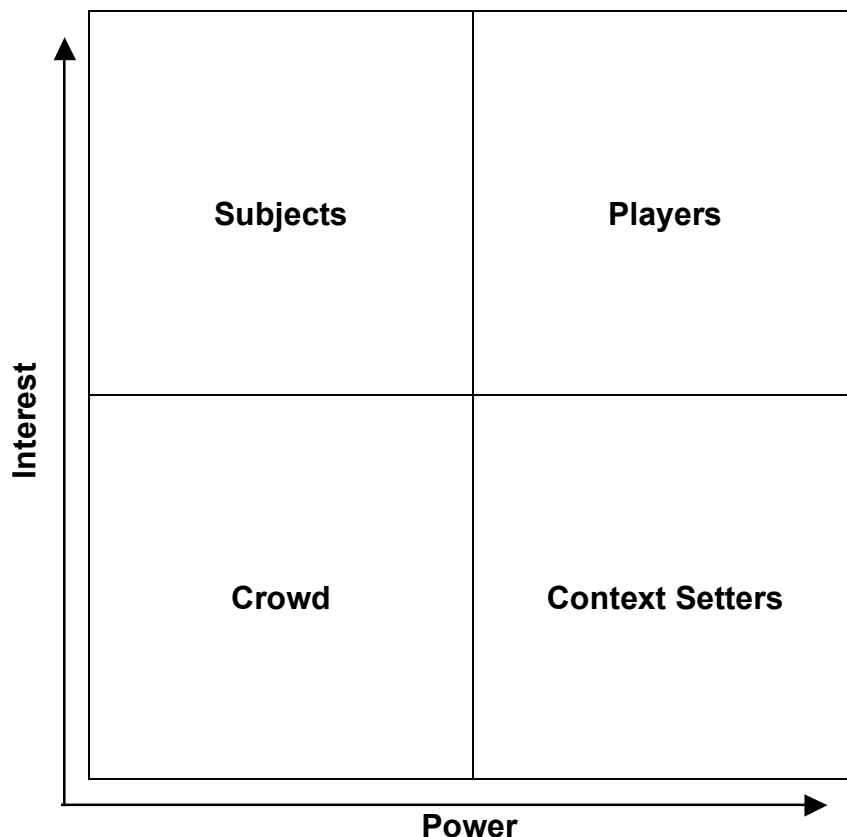
Power versus interest grids are used to plot stakeholders' interests against their power. Depending on the situation, "interest" can be interpreted either as their "stake" in an issue area or as their willingness to get involved. The grids can help determine which stakeholders' interests and power bases must be taken into account. They highlight coalitions to be encouraged or discouraged; behavior that should be encouraged, discouraged or neutralized; and who should be brought in, encouraged to change their views, or ignored.



Instructions

Power versus interest grids may be constructed using the following steps:

1. Tape four flipchart sheets to a wall to form a single surface two sheets high and two sheets wide
2. Draw two axes; label the vertical axis **interest** and the horizontal axis **power**
3. As you brainstorm the names of stakeholders, write the names as they came to mind on a 1" x 1-1/2" self-adhesive label, one stakeholder per label
4. Move the labels around until satisfied with the relative location of each stakeholder on the grid



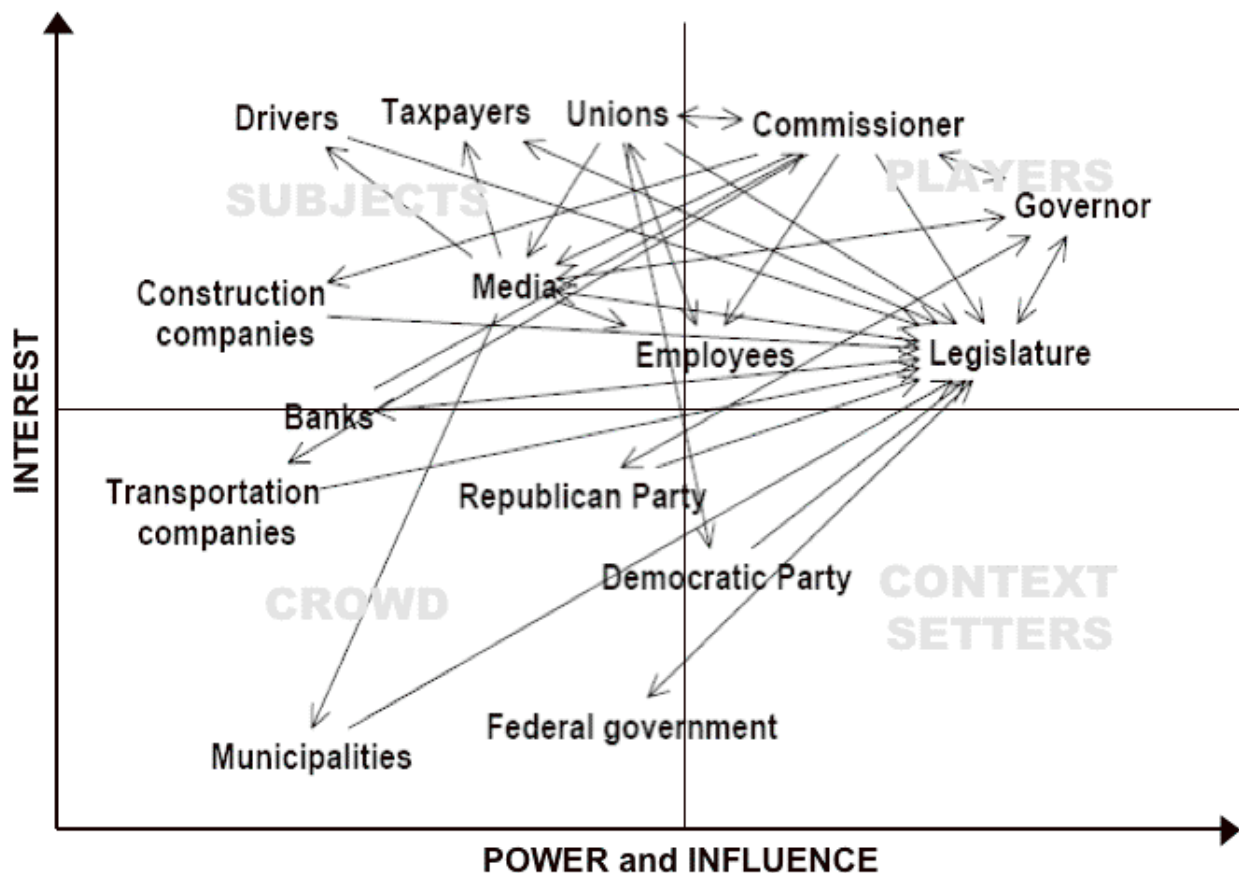
Stakeholder Influence Diagrams

Stakeholder influence maps start with a power vs. interest grid. They are used to identify the formal and informal links between and among stakeholders. Different types of links are used to highlight different kinds of relationships. The influence diagrams help decision makers and planners understand the resulting networks, and how to influence them. They also help decision makers and planners understand how links and networks can vary issue by issue. An example of a stakeholder influence diagram can be found below; it comes from a project with a state department of transportation.



Stakeholder influence maps may be developed using the following steps:

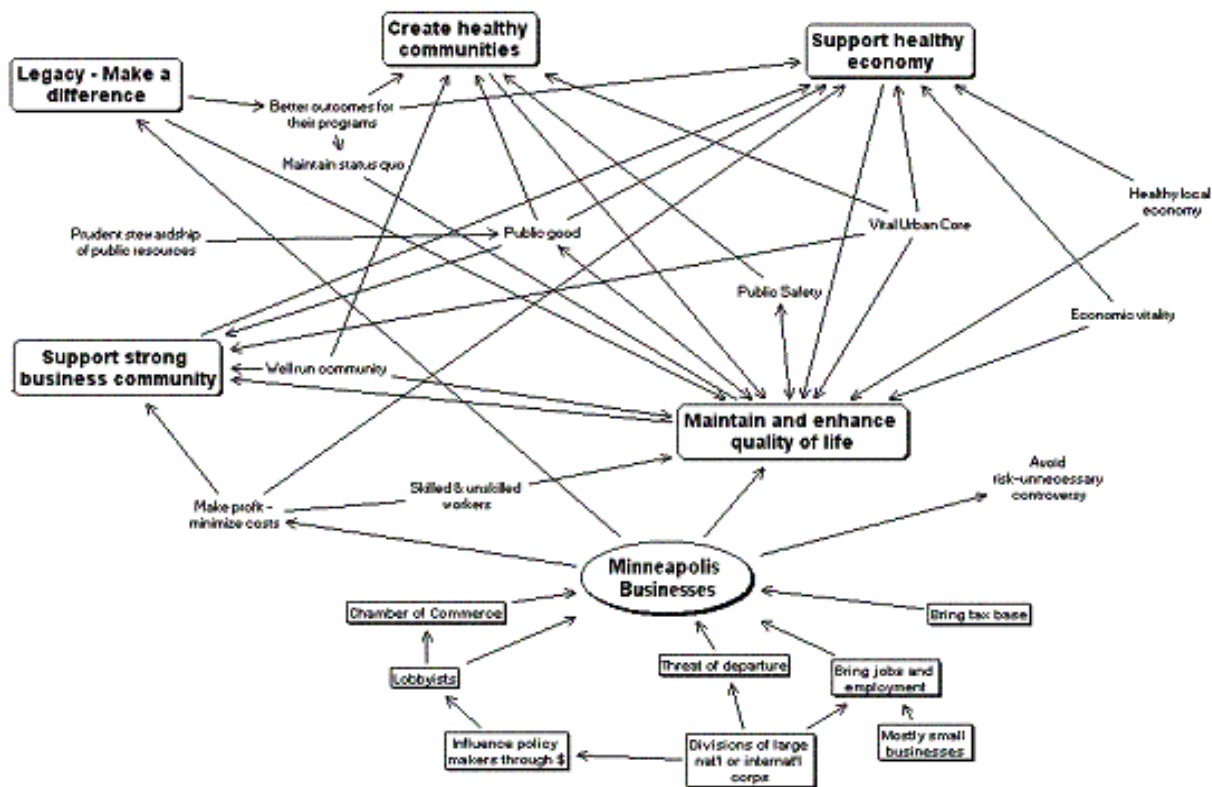
1. Create a power versus interest grid
2. Look at each stakeholder and pencil in important lines of influence. An arrow **from** Stakeholder A **to** Stakeholder B indicates that Stakeholder A influences Stakeholder B or, alternatively, that Stakeholder B is influence by Stakeholder A.
3. Two-way influences are possible, but attempt to identify the primary direction that influence flows between stakeholders.
4. Once final agreement is reached, make the pencil lines permanent with a marking pen.



Satisfying Stakeholders and Pursuing the Common Good



The key to success is satisfying key stakeholders. This can be done using a variety of stakeholder analysis techniques adapted to the specific planning, management, or change effort tasks at hand. Influence strategies are determined based on analyses that are repeated as often as necessary throughout the process. The diagram below was created by Humphrey Institute professor John Bryson as part of the African-American Men Project for Hennepin County in 2002. It shows group's ideas about how to tap individual stakeholder interests to pursue the common good.



Sources:

Bryson, J. (2004a). *Strategic planning for public and nonprofit organization* (3rd ed.). San Francisco, CA: Jossey-Bass.

Bryson, J. M., & Alston, F. K. (1996) *Creating and implementing your strategic plan*. San Francisco, CA: Jossey-Bass.

Bryson, J. M., Cunningham, G., & Lokkesmoe, K. (2002). What to do when stakeholders matter: The case of problem formulation for the African American men project of Hennepin County, Minnesota. *Public Administration Review*, 62(5), 568-584.

Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Eden, C., & Ackermann, F. (1998). *Making strategy*. Thousand Oaks, CA: Sage.

Nutt, P., & Backoff, R. (1992). *Strategic management for public and third sector organizations*. San Francisco, CA: Jossey-Bass.

Bases of Power and Directions of Interest Diagrams



Bases of Power and Directions of Interest Diagrams identify the powers, including mechanisms of support or sanctions, available to stakeholders, especially to the Players identified on a Power versus Interest Grid. The diagrams also can help

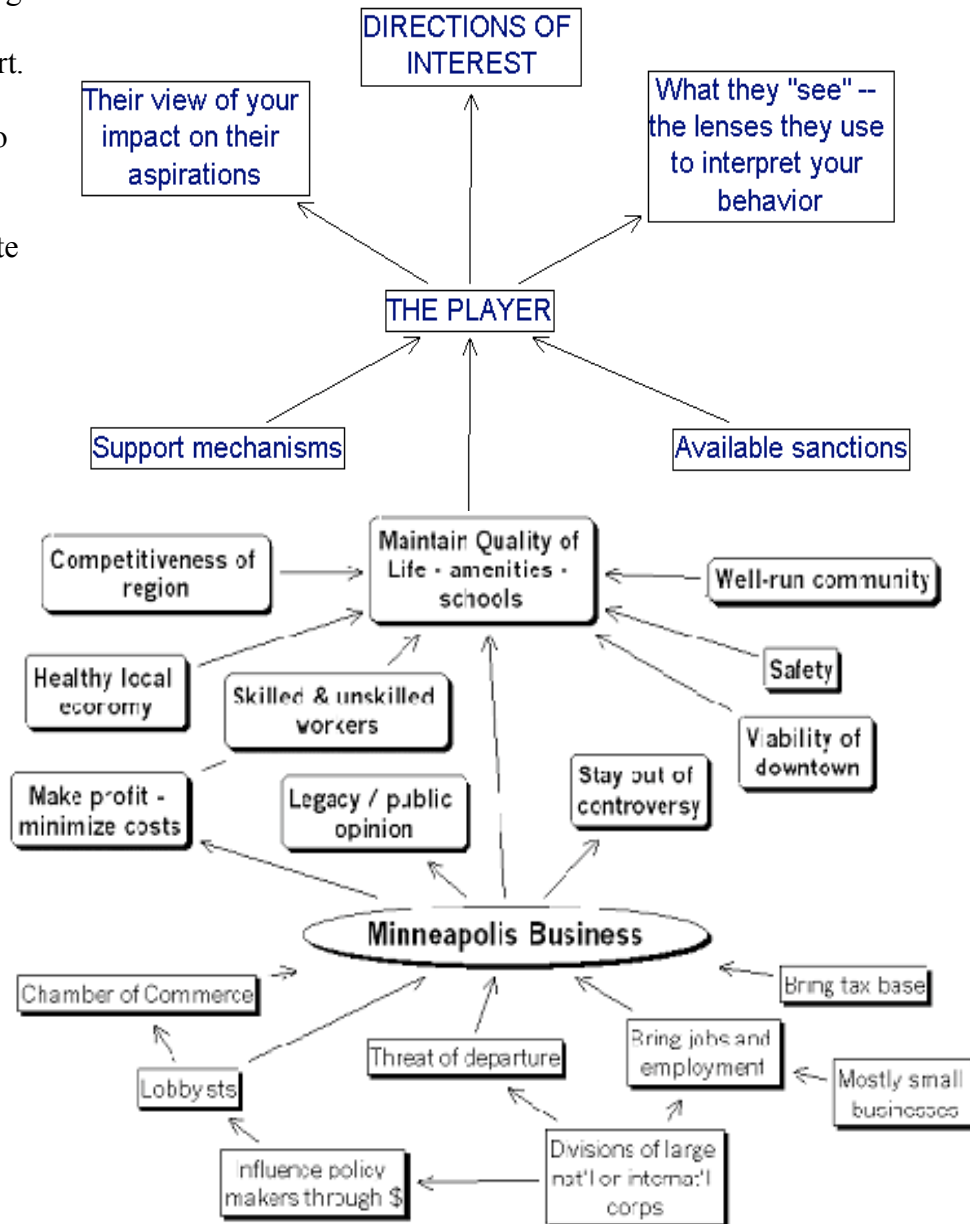
identify stakeholder interests, including the way those interests affect how the stakeholder interprets the change effort. Finally, the diagrams help decision makers and planners figure out how to relate to different stakeholders.

The model at right is followed by a diagram created by Humphrey Institute professor John Bryson as part of the African-American Men Project for Hennepin County in 2002.

Instructions

Use the following steps to construct a Bases of Power and Directions of Interest Diagram.

1. Tape a flipchart sheet to a wall; write the stakeholder's name in the middle of the sheet.
2. Brainstorm possible bases of power for the stakeholder and write these in the bottom half of the sheet. Draw arrows on the diagram from the power base to the stakeholder and between power bases to indicate how one power base is linked to another.
3. Brainstorm goals or interests the stakeholder is thought to have. Write these on the top half of the sheet.
4. Draw arrows from the stakeholder to the goals or interests.
5. Link goals and interests to each another with arrows.



Stakeholder Position on Issue/Proposal vs. Stakeholder Importance

Grids showing stakeholder positions on an issue or proposal vs. stakeholder importance are used to assess stakeholder support and opposition, as well as potential coalitions of support and opposition. The diagrams offer insights into the viability of strategic options and provide information on which stakeholders require special attention.



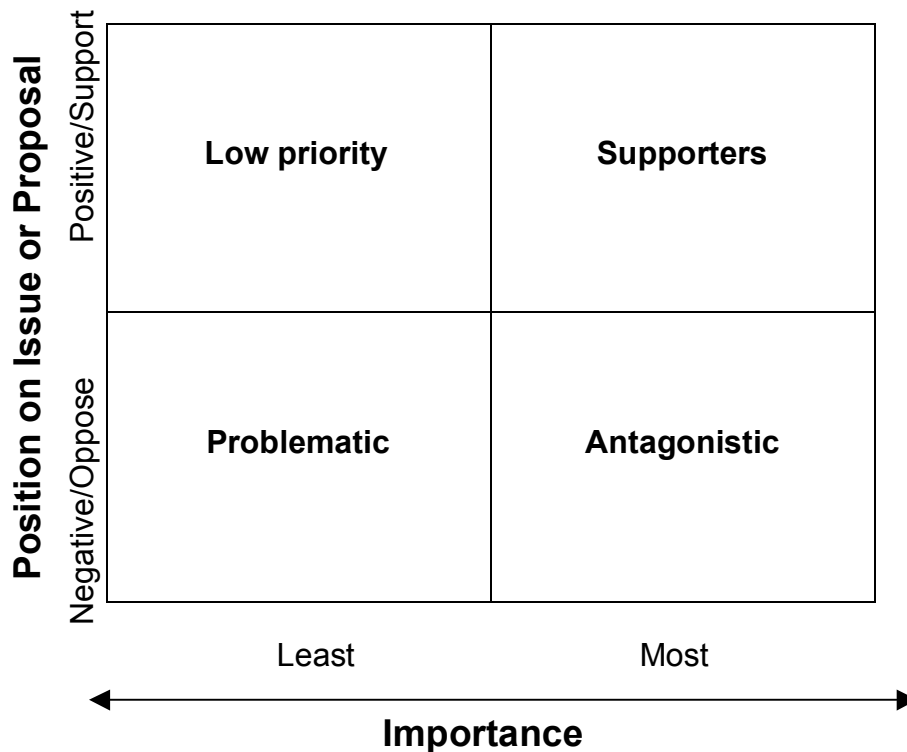
Always do what's right. That will gratify some and surprise the rest.

--Mark Twain

Instructions

The grids may be constructed as follows:

1. Tape four flipchart sheets to a wall to form a single surface two sheets high and two sheets wide
2. Draw two axes; label the vertical axis **position on issue or proposal**; label the horizontal axis **importance**. As you brainstorm the names of stakeholders, write the names as they came to mind on a 1" x 1-1/2" self-adhesive label, one stakeholder per label
3. Move the labels around until satisfied with the relative location of each stakeholder on the grid
4. Determine whether the necessary coalition is in place or, if not, how stakeholders might be influenced to change their positions. You may need, for example, to reframe the issue, redraft the proposal, or offer some range of incentives or sanctions



Adapted from:

Nutt, P., & Backoff, R. (1992). *Strategic management for public and third sector organizations* (p. 198). San Francisco, CA: Jossey-Bass.

Stakeholder Role Plays

Stakeholder role plays are used to assess the viability of strategic options. Role plays typically involve the following steps:

1. Have different people assume the roles of different stakeholders
2. Have the group consider different issues, issue framing, proposals, budget options, or whatever is the matter of concern
3. Use flipchart sheets to record:
 - The presumed stakeholder responses to the strategic options
 - Changes to the options that would increase their viability
4. Do the role play more than once to increase the robustness and viability of options



A variation is to set up “stations” representing each stakeholder. Tape several sheets of flipchart paper to the wall for each station, label it with the stakeholder name, and provide participants with plenty of 3x3-inch or 4x6 inch sticky notes and felt-tipped pens. Then:

- Assign the people most knowledgeable about a particular stakeholder to begin at that station; this is the “seed” group because they “seed” the station with the most informed ideas on the questions or issues posed, creating a solid foundation from which others can work
- All groups then rotate to the next stakeholder station, first reviewing what the previous group has written in response to the issue or question, then adding their own ideas (Previous ideas may not be removed, but alternatives may be offered.)
- Continue moving through stations until all groups have contributed their ideas to all stakeholder stations

Exercise: Stakeholder Analysis, County Land Use Planning



Scenario

Beautiful Upnorth County in central Minnesota is blessed with a scenic landscape of woods, lakes, and farms. The past 30 years have seen some family farms go out of business and some other operations change in size and intensity. While there have been small resorts and seasonal cabins on the lakes for years, many of those cabins are becoming year-round homes and there is growing demand for public parks and greater lake access for fishing, leisure craft, and swimming. A new manufacturing plant built at the county seat last year gave a boost to the local economy, but new workers need housing.

The County Board has decided (with some dissent) that it is time to update the county's 20-year-old comprehensive land use plan and strengthen shoreland regulation. They have hired you to replace the county's long-time planner, who recently retired. So far, the proposed plan has only been discussed at county board meetings, which are generally attended by one or two people who are there because of other items on the agenda. You decide that your first step is to analyze the stakeholder situation.

Questions

1. What do you think stakeholders will want from you?
2. What do you want to know from or about the stakeholders?
3. What are some things you can do to get started on this task?
4. What do you think would be some good objectives for public participation?

Section D.

Creating, Evaluating, and Managing Ideas



Purpose

There are two major tasks in working with groups to create desirable change. The first is to come up with good ideas worth implementing. The second is to create a coalition large enough and strong enough to adopt the ideas and to protect them during implementation. The purpose of this section is to introduce participants to several tools and techniques for doing the first of these major tasks, so the section covers a variety of tools and techniques for creating, managing, and evaluating ideas.

Objectives

Users should be familiar with the following tools and techniques for:

- Creating ideas
 - Creativity warm-ups
 - Brainstorming
 - Data dumps
 - Envision worst and best that can happen
 - The Bryson-Delbecq Method of Searching for Solutions
- Managing ideas
 - Snow cards (affinity diagrams)
 - Oval mapping
- Evaluating ideas
 - Criterion grids
 - Using dots to rank and rate ideas
 - Portfolio methods

Summary

This section includes the following materials:

- **Creating, Managing, and Evaluating Ideas**
Public, nonprofit, and for-profit organizations have a continual need to find innovative solutions to significant problems. These organizations need to attend to the process of creating, managing, and evaluating ideas since the results are likely to be a key factor in organizational success. Organizations that employ effective group process methods for creating, managing, and evaluating ideas are more likely to survive and thrive than those that do not.
- **Exercise: Creativity Warm-Ups**
Creativity warm-up exercises are used to stimulate the flow of creative energy and thinking.
- **Brainstorming Guidelines**
Brainstorming is a group process that involves the spontaneous contribution of ideas from all members of the group without any evaluation. Quantity is stressed, not quality, which can be decided later.
- **Data Dump Guidelines**
Data dumps are an excellent way to build a shared information base about a topic. The method can help groups do a quick survey of what the participants know about a particular subject.

- **Envision the Worst and Best That Can Happen**

A group may have difficulty reaching agreement on an idea or course of action because of unspoken fears. One way to get a group unstuck is to gently confront this fear and get it out of the way.

- **John Bryson and André Delbecq Method of Searching for Solutions**

The Bryson-Delbecq method is a structured way of searching for solutions to identified needs or problems.

- **Snow Card (Affinity Diagram) Guidelines**

The snow card technique begins with brainstorming, but moves beyond it by having the facilitator or participants cluster the brainstormed ideas according to categories or themes. This is a quick and efficient way to organize brainstormed material and narrow it so the group can work with it more easily.

- **Oval Mapping Guidelines**

Oval mapping goes a significant step beyond the snow card technique to establish cause-effect or influence relationships among ideas. This helps deepen both meaning and understanding, and better supports subsequent action or implementation.

- **Criterion Grid Guidelines**

A criterion grid works well to decide which of several options is the best choice for your purposes. Participants list the selection criteria, then compare options to the criteria. Choose the option that, on balance, does the best job against the criteria.

- **Using Dots to Rank and Rate Ideas**

Stick-on dots can be used to rank or rate ideas, options, projects, proposed budget amounts, etc. Participants indicate their views by where they place their dots.

- **Portfolio Method Guidelines**

Portfolio methods can be used to evaluate and compare new ideas to others that group members have created or that already exist. A portfolio consists of a two-dimensional matrix; each dimension represents a scale against which each idea will be compared. Location on the matrix will be the result of a comparison against each dimension. Typical dimensions include the **desirability** or attractiveness of doing something versus **capacity** to do it.

- **Exercise: Tidewater College**

The exercise asks participants to figure out what can be done about the problems facing Tidewater College.

- **Small Groups Moving through Stations**

This technique can help a large group create and refine their understanding of and ideas about a complex system or set of factors.



Creating, Managing, and Evaluating Ideas



Public, nonprofit, and for-profit organizations have a continual need to find innovative solutions to significant problems. These organizations need to attend to the process of creating, managing, and evaluating ideas since the results are likely to be a key factor in organizational success. Organizations that employ effective group process methods for creating, managing, and evaluating ideas are more likely to survive and thrive than those that do not.

Over the past few decades, practitioners and theoreticians have developed various particularly effective techniques for creating, managing, and evaluating ideas. In many cases, use of these techniques has been enhanced through applications of information technology.

Ideas may be needed for a variety of purposes, including:

- Identifying problems
- Searching for solutions
- Clarifying issues
- Establishing goals
- Developing categories
- Creating criteria

It is helpful to think about three different aspects of dealing with ideas: creating ideas, managing the interconnections among ideas, and evaluating ideas.

Creating Ideas

This aspect of dealing with ideas emphasizes **quantity over quality**. Whether or not an idea is practical should not be a consideration.

Managing Ideas

Managing ideas involves grouping ideas according to subjects or themes and then establishing the cause-effect or influence relationships among them. Managing ideas may result in some information loss, particularly through elimination of duplicate ideas. It is likely, though, that some new ideas will be generated at this phase through the stimulus of further discussion, through combining two or more ideas, by realizing that there are “missing” ideas, etc.

Evaluating Ideas

“Reality” comes into play when evaluating ideas. Constraints, opportunities, and criteria must be specified and ideas evaluated against questions like these:

- Is the idea cost-effective?
- Is it technically workable?
- Is it morally, ethically, and legally defensible?
- Does the idea have adequate stakeholder support?
- Does it comply with our organization’s mission?

Exercise: Creativity Warm-Ups

These creativity warm-up activities may be used at the beginning of a session, after lunch, at the end of the day, or whenever a group leader or facilitator senses the need for a change of pace. Some exercises are more suited to specific sizes and types of groups, while others are universal. They may require as few as 5 minutes or as many as 30 minutes and usually require few props or supplies. Two warm-up exercises follow; they stimulate the flow of creative energy and thinking.



The Dollar Exchange/Idea Exchange

- Objective** To encourage a climate for open exchange of ideas among participants.
- Resources required** None, under the first procedure. Play money under the alternative.
- Procedure** Ask for the loan of a dollar from a member of the group. Displaying it prominently in one hand, ask for the loan of a second dollar from another person. Carefully repay the first loaner with the second dollar and repay the second loaner with the first dollar. Then ask the rhetorical question, “Is either person richer now than they were before?” (Neither, of course, is.) Point out that, had two ideas been shared as readily as were the dollars, the respective givers and all participants would be richer in experience than they were previously.
- Alternative** Give each participant one (or more) pieces of pre-printed play money. Let them exchange the money first to experience the lack of enrichment that ensues. Then let each person write an idea on the play money and either circulate the bills, or post them in a conspicuous place where members may inspect them at their leisure (during coffee breaks).
- Discussion questions**
- What factors prevent us from sharing useful ideas and insights with others?
 - What forces encourage us to share ideas with others in training seminars?
- Time**
- Total time is approximately 5-10 minutes.

Source: John Newstrom and Edward Scannell. 1998. *Games Trainers Play*. The McGraw-Hill Companies, Inc.

continues ...

Will The Real Mr/Ms Jones Stand Up?

- Objective** To break the ice by forcing people to introduce themselves by means of their drawing ability, rather than their words.
- Resources Required** 3 x 5 index cards
- Procedure**
- Individuals are asked to take out their business cards (if some don't have cards, provide them with 3 x 5 index cards).
 - On the back of the cards, ask each participant to draw a picture that describes him/herself in any creative way. Examples include "self-portraits," sketches of hobbies, jobs, interests or family. Anything descriptive of the person is fair game!
 - Collect all the cards in a container.
 - A volunteer, the introducer, is chosen at random to pick out a card and look at the drawing, but not the name side of the card.
 - The introducer tells the group as much as possible about the card owner by interpreting the sketch, making any assumptions or inferences desired.
 - After each "introduction," the person who drew that sketch stands and clarifies, corrects, or completes his or her introduction. That person then pulls out another card and "introduces" that individual.
 - Continue the process until all persons are introduced.
- Discussion Questions**
- Why do we stick so closely to "just the facts" (name, job, and employer) when we introduce ourselves?
 - How comfortable did you feel disclosing, through art, other aspects about yourself?
 - What were some of the more interesting things discovered?
- Tips**
- If you suspect that team members will be reticent about interpreting others' drawings, you can volunteer to be first and provide a richly developed, previously prepared interpretation of a cohort's drawing. (It's best to warn the other individual first!)
 - People who don't consider themselves artistic may have reservations about creating a drawing and sharing it with others. Preface the activity with the caveat that you don't have to be an artist to do this. Any rough sketch will do.
- Time**
- The time required depends on the number of participants.
 - Allow 2 to 3 minutes for team members to draw their sketches.
 - Allow 1 minute for each introduction and 1 minute for the person who was introduced to supplement the information.
 - Allow 5 minutes for the team to discuss their observations and learning at the conclusion of the exercise.
 - Total time is approximately 10 minutes.



Source:

Newstrom, J., & Scannell, E. (1998). *The big book of team building games*. New York: The McGraw-Hill Companies, Inc.

Brainstorming Guidelines

Brainstorming is a group process that involves the spontaneous contribution of ideas from all members of the group. It is a popular method groups use to identify known ideas and invent new, more creative ones.



Brainstorming is a way to get a group of people involved together in the process of generating creative ideas. Because the key ingredient in a brainstorming session is creativity, the group leader or facilitator can help by setting an optimistic and energetic tone. A group that has used brainstorming successfully and has found some new ideas or directions comes away with greater confidence in its ability to cope with challenging situations.

Perhaps one of the most widely used decision-making strategies, brainstorming is also probably the most abused; guidelines often are not followed and group creativity suffers. Here are some guidelines for brainstorming and some suggestions for its successful implementation.

Guidelines

Brainstorming is often most productive if it has been preceded by an analysis or some sort of discussion or exercise that allows people to share their perceptions of the issue or problem at hand, its root causes, the barriers to change, the specifics of the present situation, a vision of the ideal situation, the parts of the issue or problem, and an inventory of the resources available to help solve the problem.

Once the problem or issue is clear, brainstorming usually produces an inventory or listing of old, familiar ideas. Its purpose is served best when the group begins adapting or combining old solutions into creative new ones. The facilitator can encourage the group to do this.

Instructions

To begin, the facilitator writes the topic or question on a flipchart or chalk board, then asks the group to call out ideas in short phrases that can be written down quickly. To set a creative, high-energy tone from the outset, the group should understand the following guidelines:

- No judgments: No idea or suggestion, however wild, is to be “shot down” or edited. There will be time later to evaluate the ideas.
- Anything goes: offbeat, unusual, humorous, and bizarre ideas are encouraged
- Go for quantity: the more ideas, the better the chance of coming up with a winner. It’s fine to “piggyback” or build on other people’s ideas.

The facilitator can keep things moving by:

- Setting a time limit (commonly 3 to 10 minutes, depending on the topic and the size of the group) so people will know they can’t afford to sit on an idea
- Giving a few examples to start things off
- Praising idea production and/or coaxing (gently)
- Asking for different sorts of examples if the group starts to develop a “one-track mind”

The conventional approach is to have one person record the group’s ideas on a flipchart or chalk board so that all can see. Sometimes two recorders work as a team, writing alternate items so the group’s words can be captured and the group does not have to wait for the recorders to catch up. If you have several topics to brainstorm, a variation that is especially useful is to write each topic on individual

sheets of newsprint or on separate parts of the board, and ask each participant to go up to the lists and record items “graffiti style.”

Before ranking ideas the group may need to discuss the practicality and desirability of the different ideas. Since brainstorming is an expansive, divergent thinking approach that generates lots of ideas, it needs to be followed by a narrowing, focusing activity that extracts a reasonable number of promising ideas.



Here are some possible ways to do that:

1. Everyone votes for the three ideas they believe are most viable; the three items that score highest will be used for discussion.
2. Members try to rate the ideas from one to ten, ten being high and one being low; the three ideas with the highest combined score will be discussed further.
3. If it appears that certain ideas are most popular, the facilitator might say, “There seems to be interest in pursuing the second idea and the fifth. Are there others that we should continue to explore as well?”
4. See if any ideas can be combined or if any are redundant.

Brainstorming is a popular technique, although the guidelines often aren’t followed very well and group creativity suffers as a result. Brainstorming often provides the first clear picture of the group’s potential to think creatively together and to move in new directions. It also involves everyone in providing ideas, thus setting the stage for consensus and action.

Variations

Recent research indicates that brainstorming may not generate lots of creative ideas if the group goes off on a tangent without exploring the full range of possibilities. These variations of the brainstorming process may help:

1. Instruct each group member to brainstorm individually on the topic, writing down ideas on a small piece of paper. Then share the ideas by reading off individual lists, or compiling the lists later.
2. Divide the group into two or more teams, each team to brainstorm on the same topics. This “parallel groups” approach has some of the advantages of the first variation plus the sense of in-group cooperation that is an important side effect of brainstorming, as well as the across-group sense of competition that can stimulate idea production.

When to Use Brainstorming

Consider using brainstorming:

- When you want to come up with ideas for solutions to a problem:
 - How can we publicize our coming Community Fair?
 - What can be done about rising rents and deteriorating housing in our neighborhood?
- When you want to get ideas about how the group should spend its time:
 - Which training needs should we address at the next workshop?
 - Which community problems should we try to deal with during the next year?
- When you want to identify people or organizations that could be helpful to your group:
 - Who could we call on to support our campaign for a community health clinic?

Adapted from:

Making group decisions. (1989). Burlington, VT: University of Vermont Extension Service.

Data Dump Guidelines

This is an excellent way to build a shared information base about a topic. This method will help the group do a quick survey of what the participants know about a particular subject.



Instructions

1. Quickly list the categories of information the group wants to know about the subject. For example, if the subject were Electronic Town Meetings, the categories of information might be:
 - Technologies
 - Subject matter
 - Methods or processes
 - Participants
2. Write the name of each category at the top of a blank sheet of flipchart paper. Post the labeled sheets side-by-side on a wall and seat the group facing them. If the topic or the group is large, get some extra people to help record.
3. Have the group brainstorm what they know about each category. Ask people to keep their remarks to key words and phrases, not long and rambling explanations. Use extra sheets if you need them.
4. When the group has done a “data dump” on each category, go back through the lists and circle any words or phrases that people want clarified. When all items to be clarified are marked, go through them one by one and ask for further explanation.
5. Identify any further information the group needs: categories with little or no information, items that were doubted or hotly debated, categories that were missing that the group now wants to investigate. Put a star by each of these or create a new list.
6. Decide how to get the information that is still needed.
7. As a variation, Post the blank category sheets around the room and give group members 30 minutes to go around and write what they know in each category. Gather the group together again for steps 4 through 6.
8. As another variation, have people identify their contribution as a fact or opinion; label with “F” or “O.”
 - Fact: The person can produce objective data to prove their assertion (e.g., price lists, item counts, technical specifications).
 - Opinion: No objective data can be produced within a reasonable cost and time frame to support the assertion.

Do not favor fact over opinion; simply label them so people know which is which. Not all important information is objective, and not all facts are valuable. An informed opinion is often very valuable.

Source:

Kearny, L. (1995). *The facilitator's tool kit: Tools and techniques for generating ideas and making decisions in groups*. Amherst, MA: HRD Press.

Envision the Worst and Best That Can Happen



A group may have difficulty reaching agreement on an idea or course of action because of unspoken fears. One way to get a group unstuck is to gently confront this fear and get it out of the way.

Instructions

1. Put the option(s) the group is debating at the top of a blank flipchart sheet. Use one sheet for each option. (Caution: Narrow the field to three or fewer options before trying this strategy; it's too heavy-duty to attempt more.)
2. Ask the group, "If we implement this, what's the worst that could happen?" Record everything said on the chart.
3. Then ask, "If we implement this, what's the best that could happen?" Record everything said on the chart. Use as many sheets as you need.
4. Then ask, "What's most likely to happen?" Record their remarks on a new sheet.
5. Repeat this process if there are other options being considered. Each option gets the full treatment.
6. Go back to your decision-making process and see if you can get a decision whether to implement or which option to implement.

Variations

1. Use the worst case list as a trouble-shooting tool. Modify each option to reduce its risk and improve its effectiveness.
2. Give each "worst" and "best" item a score on two dimensions:
 - Probability: 1 = unlikely, 5 = almost certain
 - Seriousness: 1 = mild annoyance, 5 = real damage to the organization
3. Then figure out how to deal with items that are both probable and serious.

Source:

Kearny, L. (1995). *The facilitator's tool kit: Tools and techniques for generating ideas and making decisions in groups* (pp. 65-67). Amherst, MA: HRD Press.

John Bryson and André Delbecq Method of Searching for Solutions



Purpose

To search for solutions to identified needs or problems.

Probable Desired Outcomes

- Developing a conceptual framework for understanding needs or problems and solutions
- Identifying solution **components** necessary for high quality solution. This might involve:
 - Discovering what other approaches have been tried
 - Understanding different expert perspectives
 - Deciding to experiment with alternative existing solutions
 - Developing a creative and original solution
- Saving time and money through efficient solution search
- Further enhancing quality, legitimacy, and prestige of planning endeavor

No problem is ever solved at the same level of thinking that created it.

--Albert Einstein

Benefits

- Overcoming usual tendency of organizations to engage in simplistic and shallow searches
- Providing the re-conceptualization almost always necessary for a major change
- Demystifying solution difficulties by becoming familiar with existing knowledge, models, and expertise
- Enhancing creativity through contact with new information
- Providing reassurances through contact with previous adopters, if any
- Providing first clear indications of implementation and funding requirements to address needs or problems
- Providing rationale for developing an appropriate solution in relation to the nature and range of needs or problems
- Saving time and money through tapping existing knowledge, models, and expertise, rather than reinventing the wheel
- Enlarging advocacy base
- Improving boundary spanning, knowledge, and communication capabilities of those involved in search

Process Guidelines

1. Design a careful solution search strategy
2. Engage in a three-step solution search process
3. Broad scan
 - Solicit nominations of information categories through structured or unstructured individual or group processes:
 - Disciplines or skills
 - Other similar organizations
 - Professional organizations
 - Technical assistance services
 - Funding sources

- Use structured (telephone or email) interview procedures to search within these categories
 - Within each category fill in names of people, authors, titles, models, etc.
 - Be courteous arranging, during, and following up (telephone) interviews
4. Narrow, focused search
 - Gain a reasonable understanding of the narrowed search area through informal discussions with identified experts or knowledgeable people
 - Probe experts or knowledgeable people through structured group processes (e.g., Delphi, snow cards, brainstorming) to identify:
 - Solution components
 - Existing resources
 - Potential resources
 5. Detailed exploration of identified solution components
 - Visit or import examples
 - Use structured group processes to explore components, for example:
 - Delphi survey
 - Nominal group technique
 - Force field analysis
 - Brainstorming
 - Problem-solving group
 6. Prepare preliminary report for review by planning team, project coordinating committee, and involved units, groups, or persons, including the following:
 - Conceptual framework
 - Identification and discussion of solution components
 - Recommendations for further action
 7. Prepare and distribute final report



Caveats

- This process can be overdone as well as underdone
- Search should be consciously aimed at finding solutions to identified needs or problems
- Precisely how solution components are identified isn't as important as the fact that they **are** identified
- Experts are valuable, but are often difficult to handle. If you bring experts together in a group you typically will need a structured process and a strong group leader
- As the situation becomes more difficult politically or technically
- Broader scan will be needed
 - Narrow, focused search will need to be pursued more deeply and in more areas
 - More detailed exploration of identified solution components will be necessary in developing a conceptual framework for understanding needs or problems and solutions
 - Greater assurances that the search has been careful and rational will be required by involved or affected parties
 - More extensive review of the preliminary report will be necessary
 - Broader distribution and discussion of the final report will be required
 - When the situation is **easy**, the search for solutions, plan or policy formulation, and proposal review and adoption phases may be substantially collapsed and pursued essentially as one phase having three components. In **difficult** situations, these phases should be kept separate as part of a strategy to create a **series** of sequential major and minor decision points.

Snow Card (Affinity Diagram) Guidelines

The snow card technique begins with brainstorming, but moves beyond it by having the facilitator or participants cluster the brainstormed ideas according to categories or themes. This is a quick, efficient way to organize brainstormed material and narrow it down so the group can work with it more easily.



Instructions

1. Ask the group the question you would like it to answer. Examples: What are the strengths of our organization? What norms or standards would be good for us to establish to help us accomplish our work together? What are our strengths as an organization? What are our weaknesses as an organization? What can you suggest that might improve performance, inspire commitment, or enhance satisfaction?
2. Have individuals in the group brainstorm as many ideas as possible and record each idea using a marking pen on a separate snow card, such as a:
 - Large Post-It notes
 - 5" x 7" cards
 - Paper ovals (see “Oval Mapping Guidelines,” next)
 - Hand-cut squares of paper
3. Have individuals share their ideas with the group in round-robin fashion.
4. As the ideas are read, the facilitator tapes the ideas to the wall and the group places ideas in clusters having similar themes. Alternatively, the group may tape all of its ideas on the wall first and then cluster them into categories, either with or without the help of a facilitator. (The task might be turned over to a sub-group while the rest of the group takes a break or works on another task.) Establish subcategories as needed. Place a snow card with a header on it at the top of each cluster and sub-cluster. The resulting clusters and sub-clusters of cards may resemble a “blizzard” of ideas, hence the term, “snow cards.”
5. Once all the ideas are on the wall and included in a category, rearrange and tinker with the categories until they make the most sense. Place a card with the category name above each cluster.
6. As a group, clarify the meaning of clusters, sub-clusters, and ideas. Compare and contrast clusters and ideas.
7. Categories may be moved around on the wall to indicate priority, temporal sequence, or causal order.
8. When finished, collect the cards and have the results typed up and distributed to the group.

Source: Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organization* (3rd ed.). San Francisco, CA: Jossey-Bass.

Oval Mapping Guidelines

Oval mapping goes a step beyond the snow card technique to establish cause-effect or influence relationships among ideas. The process facilitator guides participants in brainstorming solutions to an issue or problem and writing their ideas on ovals, or egg-shaped cards. The ovals are then affixed to a wall, participants cluster them into groups, and then the group works with the clusters to identify how the ideas are linked together by cause-effect or influence relations. Here is an outline of the process, which is described more fully in John Bryson's book, *Strategic Planning for Public and Nonprofit Organizations*, revised edition, San Francisco, CA: Jossey Bass, 1995, pp. 257-275.



The basic requirements are:

- a group consisting of no more than 12 people; 7 people is optimal
- a facilitator, ideally from outside the group
- a large wall
- flipchart sheets
- masking tape
- dark markers
- pencils with erasers
- paper ovals (in yellow or another light color), approximately 7.5" long and 4.5" wide, 20 per person

1. Tape the flipchart sheets together on the wall to make a rectangular backdrop for the ovals. The rectangle should be 4-6 sheets wide and 2-3 sheets high, depending on the size of the group. Flipchart sheets should overlap one another by one inch, so that the entire rectangle can be taken down and moved easily.
2. The facilitator asks each group member to think of solutions or responses to the problem being considered and write those ideas on the ovals, one idea per oval, using the markers. For example, if the problem were female illiteracy, the facilitator might pose the question, "What should we do to increase female literacy?"
3. The facilitator directs the group to express their solutions as imperatives, for example, "Have reading materials with female heroes." The idea should be expressed in no more than 10 words. When most group members have finished writing, they post their ovals on the flipchart-covered wall. Note: The process assumes that participants can read and write the same language. If participants do not, an alternative process would be to draw pictures that represent possible actions. The displayed pictures can serve as a visual backdrop for talking about the actions.
4. The facilitator leads participants in clustering the ovals according to common themes or subjects. Within the clusters, the more general, abstract, or goal-oriented are moved toward the top and the more concrete, specific and detailed clusters toward the bottom. The facilitator asks participants to name the clusters and places a new oval with a name above each cluster. These clusters typically represent strategic issue or option areas.
5. The facilitator works with participants to pencil in arrows indicating linkages within and between clusters. An arrow pointing upward from oval A to oval B indicates that the action described on oval A causes, influences, or precedes the action described on B; conversely the action on oval B is an effect, outcome, or follow-up to the action on A. Once the group agrees on the placement of the arrows, draw them in permanently.
6. The group now has a map of clusters in which specific actions or options are located toward the bottom, strategic options are in the middle, and more goal-oriented statements are toward the top. (This graphic representation is now referred to as an "Action-Oriented Strategy Map," p. 206)
7. The facilitator then encourages the group to think further about what they hope to achieve by carrying out by pursuing the strategic options on the map. The responses, or "higher" goals can be

placed on new ovals at the top of the map, and arrows drawn from ovals that would contribute to those goals.

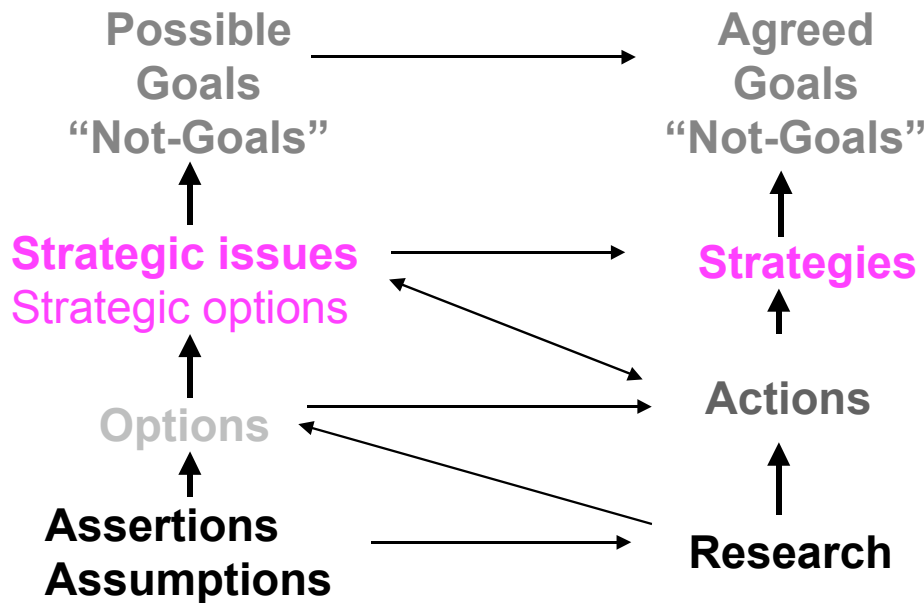
8. Finally, through an extended workshop process, the group may want to decide what should be done, how, and why. The group may wish to prioritize the actions, strategies, and goals on the map. The facilitator might give everyone five red dots to place on the five ovals considered most vital. This process can be much more elaborate, but the simple version presented here is adequate for constructing a preliminary strategic plan of what the group thinks should be done, how it should be done, and why.



The map produced can be preserved as is, translated into an outline, or reproduced using computer graphics.



Overall Logic of an Oval Map (Action-Oriented Strategy Map)



© Real-izations, Inc., 1998

Shape of an Action-Oriented Strategy Map



© Fran Ackermann, 1989 and Real-izations, Inc., 1998

Source: Bryson, J., Ackermann, F., Eden, C., & Finn, C. (2004). *Visible thinking: Unlocking causal mapping for practical business results*. Chichester and London, England: John Wiley and Sons.

Criterion Grid Guidelines

A criterion grid works well when you need to decide which of several options is the best choice for your purposes. You list the criteria for selection and then compare your options to the criteria. You choose the option that, on balance, does the best job against the criteria.



Try to have five to nine criteria. More criteria make the process too cumbersome and fewer criteria gives you less data from which to make a choice.

Drawing a grid makes it easy to compare each option to all the criteria and to document group judgments. It is also easy to see which option meets the most criteria, so the best choice can be made.

Instructions

1. First, list your criteria. You may need to do some brainstorming first to come up with candidate criteria.
2. Make a grid on a large sheet of paper or a flipchart. List the criteria across the top, and draw a vertical column under each. Make a TOTAL column along the right-hand edge of the paper. List the options down the left side, and draw a horizontal row beside each.
3. Take one option at a time and compare it to each criterion.
 - If it meets the criterion, make an X in the box where the columns meet.
 - If it doesn't meet the criterion, put a 0 in the box.
 - When you've compared all the criteria, count the total Xs you marked for the option and write the number in the total column.
4. Go on to the next option and repeat the process.
5. The option with the greatest number of Xs is probably your best. If two or three tie, see if you can use them all, or combine them into a mega-option. This process often results in a new option that may be better than those in the original list.
6. Alternatively, you might give each option a score against each criterion using a scale of 1-5, where 1 is very poor and 5 is excellent. For each option, add up the scores against each criterion to get a total score. The option with the highest score is probably your best option.

Source:

Kearny, L. (1995). *The facilitator's tool kit: Tools and techniques for generating ideas and making decisions in groups*. Amherst, MA: HRD Press.

Using Dots to Rank and Rate Ideas

Stick-on dots can be used to establish rankings and ratings of ideas (or options, projects, proposed budget amounts, etc.). Participants indicate their views by where they place their dots.



Instructions: Ranking

1. Create the list of items to be ranked (on a sheet of paper or whiteboard).
2. Give each participant a certain number dots, typically five to seven.
3. Ask participants to place a dot next to each item they think should be pursued.
4. Sum the number of dots placed next to each item. The item with the most dots is ranked first, the item with the second-most dots is ranked second, and so forth.
5. As a variation, participants may be allowed to place more than one dot (perhaps even all of their dots) next to an item as a way of indicating intensity of opinion.
6. As another variation, participants can be given dots of two different colors. One color (say, green) can be used to indicate items a participant favors; the other color (say, red) can be used to indicate items with which the participant cannot live.

Instructions: Rating

1. Create the list of items to be rated.
2. Create a rating scale (e.g., 1 = very poor, 2 = fair, 3 = average, 4 = good, 5 = excellent). (Alternatively, it might be appropriate to create a rating scale.) (1=block, 2=disengage, 3=engage with low support, 4=support, 5=advocate).
3. Create a matrix with options to be rated down the left-hand side of a sheet of paper (or on a whiteboard), and rating scale to be applied to each across the top of the sheet (or whiteboard).
4. Give participants as many dots as there are items to be rated.
5. Have participants indicate how they wish to rate each item by where they place their dots on the rating scale.
6. As a variation, participants might not have a formal rating scale, but instead might use dots of different colors to indicate their ratings (e.g., red = very poor, yellow = fair, green = good).

Portfolio Method Guidelines

Portfolio methods can be used to evaluate and compare new ideas to others that group members have created or that already exist. A portfolio consists of a two-dimensional matrix; each dimension represents a scale against which each idea will be compared. Location on the matrix will be the result of a comparison against each dimension. Typical dimensions include the **desirability** or **attractiveness** of doing something versus **capacity** to do it.



Instructions

1. Assemble the group. Have available a flipchart or whiteboard, markers, and Post-It notes.
2. Create the portfolio by first deciding on the dimensions for comparison and then drawing the portfolio on the whiteboard or flipchart sheet(s). For example, the desirability of the option might be the y-axis, while the capacity to deliver it might be the x-axis. To make numbering and screening easier, the diagram can be divided into grids, where different scores are assigned to the various cells. On a scale from 1 to 10, a highly desirable idea for which there is high capacity to deliver might be rated as a 10/10.
3. There are several ways to process and mathematically store the gathered scores and information. One option is simply to add the scores from both axes. The highly desirable and implementable idea might achieve a score of 20. An idea that scored badly on each dimension might be scored as a 2. You also may wish to expand the range of scores on each axis to better differentiate between otherwise similar totals.
4. Discuss the resulting pattern of evaluations.

Exercise: Tidewater College

Tidewater College was founded by a local church in 1925 to give local residents of this rural, mountain area an opportunity to get a college education. For 35 years the college had taught about 450 students a year, focusing on liberal arts and teacher preparation. Then because of the baby boom of the 1960s, the student body increased to 1,750 students a year. Faculty teaching loads were greatly overextended, and the Old Main building, which comprised the entire campus, became woefully inadequate.



The president, who clearly based his planning decisions on faith, decided that a whole new campus was in order. At the end of spring semester 1969, ground was broken for this new campus, which eventually included four five-story buildings in the meadow behind Old Main. The new campus was completed in August 1971, the year enrollments peaked. Unfortunately, the buildings were not financed by a local bond issue or fundraising campaign. To pay for the indebtedness on the new buildings, government grants were obtained that promised to provide many programs, which Tidewater was not equipped to handle.

The current situation is:

- Enrollment is down to 600.
- Government grants have dried up.
- The college is still responsible to the government for completing certain programs.
- Because of the government contracts, the college has experienced “program proliferation,” and there is no coordination of the courses being offered. Additionally, teachers are forced to teach courses about which they know little.
- Student morale is very low, and student vandalism has averaged about \$500 a week for several years.
- Teacher morale also is low, since teachers must teach courses outside their areas of expertise and have not received a pay raise in four years.
- The college is located in a mountain community of 2,000 people. The closest town is 20 miles away with a population of 30,000 and no major industry. There are three other small, private colleges in the area. A popular state college is within 50 miles.
- The college has a reputation in town for being poorly managed and having unruly students who the trustees will not allow to be disciplined.
- The last president resigned in despair.
- The college still has a large capital debt due to the late 1960s building boom.

If you were advising the new president of Tidewater, what approach would you recommend to creatively address these problems?

Source:

Whetten, D., & Cameron, K. (1984). *Developing management skills* (pp. 188-189). Glenview, IL: Scott, Foresman and Company.

Carlson, B. Creating a participation strategy (2000, October 15). Manuscript published by the Minnesota Department of Natural Resources.

Small Groups Moving through Stations

By Beth Carlson, strategic planner and facilitator, Minnesota Department of Natural Resources



When a group of 25 or more people is convened to solve a problem, they may reject the idea of being in smaller, more focused work groups, or there may be other reasons to maintain a single group. With such a large group it is a challenge to ensure that everyone is engaged and reaching the necessary deliberative depth. This technique can help a large group create and refine their understanding of and ideas about a complex system or set of factors.

Layering Ideas

This format for moving through stations is useful for building depth and refining ideas, exploring patterns, and evaluating items using criteria.

Example: National Instream Flow Group Conference

An executive group had developed six general issues for consideration by 60 biologists gathered from around the country to address problems in their interdisciplinary field. Part of the program was designed to help the participants explore and validate the issues and identify potential solutions.

The attendees were divided into six groups corresponding to the six major issue topics, and assigned to separate breakout rooms with a facilitator for each topic. The breakout groups spent about a half-hour in each topic room. The first group to move through a room brainstormed on the issue; each successive group reviewed the previous work and built on it by addition, annotation, or disagreement. When all rounds were completed, a wall full of flipchart notes had been produced for each issue. The results were brought into the main meeting room and debriefed.

The group's opinion leaders determined that an organizational strategy was needed because the overarching federal agencies could not continue to institutionally support the needs of this National Instream Flow group. As a result, a nonprofit was created and later published a book on resource stewardship that supports educational programming by state agencies.

Being in Different Places

This format is useful for breaking down a problem into "chunks." It can be adapted to complex issues as well as the original concept of complex places.

Example: Minnesota Wetlands Conservation Planning

A 32-member work group was formulating a wetlands planning framework based on the 24 units of the Ecological Classification System. A subcommittee had proposed condensing the units to 14 to meet the needs of wetlands planning, but the volume of information and number of units was still unwieldy. The approach was to create "issues stations" in the meeting room for each of the 14 proposed units. Each station included basic descriptive information on flipchart paper plus a blank sheet of paper for comments and questions to be added; the stations were arranged around the perimeter of the meeting room.

Participants were divided into groups of 3 to 4 and worked their way through the stations. The stations helped them "be" in each different part of the state and focus on the characteristics of that place and the types of wetlands in it. Participants wrote their comments, additions, disagreements, and questions

on the flipchart paper. The full group discussed these “conversations on paper,” setting the stage for deeper deliberations and refining the plan content.

The regional framework crafted through this planning process eventually became a key feature of the Minnesota Wetlands Conservation Plan and led to active use of this voluntary plan.



Sample Instructions

The following instructions are adapted from methods developed by Emmett Mullin of the Minnesota Department of Natural Resources.

The purpose of this exercise is to provide detail on why these top issues are important, and determine whether or not participants understand them well enough to make progress toward resolving them. The top 10 issues from a previous exercise serve as the starting point for this discussion. They are organized into issue stations around the perimeter of the meeting room. As necessary, a knowledgeable person is assigned to each to answer questions.

Supplies include flipchart paper, tape, markers, and a watch for the facilitator.

1. Divide participants into groups of 3 to 4 persons each; have each group identify a scribe.
2. Explain the process.
3. Start each group at a different Issue Station and have them rotate through the stations for 10 to 15 minutes each; announce when it is time to move on.
4. During the first rotation, group members take about 3 minutes of quiet time to consider these two questions:
 - Why is this an issue? What about this issue makes it critical to include in the project?
 - Do we understand the issue well enough to resolve it? If not, what do you feel is critical for understanding the issue?
5. They discuss the questions as a group, and the scribe documents a summary of their responses on the flipchart.
6. In subsequent rotations, groups read what the previous groups have written, and add comments or write new responses. Groups may not cross out previous comments.
7. After all groups have completed all issue stations, they return to their starting point and summarize all responses to the two questions on a separate flipchart page.
8. Each group presents its summary of the two questions for each issue to the full group. Facilitate clarifying questions, disagreements, etc.

Section E.

Making Decisions



Purpose

The purpose of this section is to provide an overview of the process of issue creation, decision-making methods, and difficulties that occur along the way.

Objectives

At the end of this section users should be familiar with:

- The process of issue creation
- Typical methods of group decision making and the advantages and disadvantages of each
- John Clayton Thomas' Effective Decision Model of Public Involvement
- Typical individual and group biases, errors, and difficulties in human information processing and decision making
- Chris Argyris' "double-loop learning" process
- Irving Janis' "vigilant problem solving" method

Summary

This section includes the following materials:

- **The Theory and Practice of Issue Creation--Part of the Policy Change Cycle**
Issue creation is the process of placing on the public agenda a public problem that is attached to at least one solution, with pros and cons from the standpoint of various stakeholders. Issue creation emerges from a series of discussions and dialogue concerning key stakeholders and their interests, problem definitions, and candidate solutions. An issue gains a place on the public agenda when enough key stakeholders can place it there.
- **Issue Creation**
The process of issue creation **in practice** typically "jumps to solutions." You can work with this tendency in order to identify the **real** problems, find effective solutions to those problems, and develop a winning proposal.
- **Horse Story**
Common advice from knowledgeable horse trainers includes the adage, "When the horse dies, dismount." Dismounting is the appropriate solution to having a dead horse. It seems simple enough, yet we don't always follow that advice; instead, we often choose from an array of "solutions" that don't address the real problem.
- **Typical Methods of Group Decision Making**
There are a variety of common decision-making methods, each with its own advantages and disadvantages. This covers some of the more common methods and helps you decide when each is most appropriate.
- **Consensus Decision Making**
Consensus comes from the Latin word "consentire," which means "to agree." Perfect consensus is unanimity; everyone involved agrees with the decision. That may be impossible to achieve, so there are degrees of consensus. Consensus is generally understood to mean that everyone involved has had a chance to participate, understands the decision, and is prepared to support it. Even those members who disagree with the decision, or have doubts about it, are still prepared to support the decision publicly.



- **Exercise: Bean Jar**

This exercise lets group members explore their experiences as they participate in seven classic methods of decision making, and to gain a better understanding of the implications and uses of each.

- **Typical Biases, Errors, and Difficulties in Human Information Processing and Decision Making**

Human beings are capable of a rather astonishing variety of biases and errors when they are processing information and making decisions. Some of the more important ones are presented here.

- **John Clayton Thomas' Effective Decision Model of Public Involvement**

John Clayton Thomas developed a model for deciding which decision-making method to use based on two principal criteria: assure high decision quality and assure decision acceptability. Other things being equal, focusing on quality suggests less involvement, while concerns for acceptance lead to more, but no simple additive formula can be applied. Instead, the decision among methods depends on giving due consideration to a variety of concerns.

- **Chris Argyris' Model of "Double-Loop" Learning**

Chris Argyris presents two models of learning, both of which are models of theory-in-use as opposed to what people espouse. In Model I, little or no learning occurs; the parties simply advocate for their own positions and do nothing that could conceivably embarrass themselves or others. The result is often poor problem solving, and even disaster. In Model II, people work together, explore assumptions, take risks, and focus on solutions that are based on valid data, free and informed choice, and internal commitment to the choice. The result is far more effective problem solving.

- **Irving Janis' "Vigilant Problem Solving"**

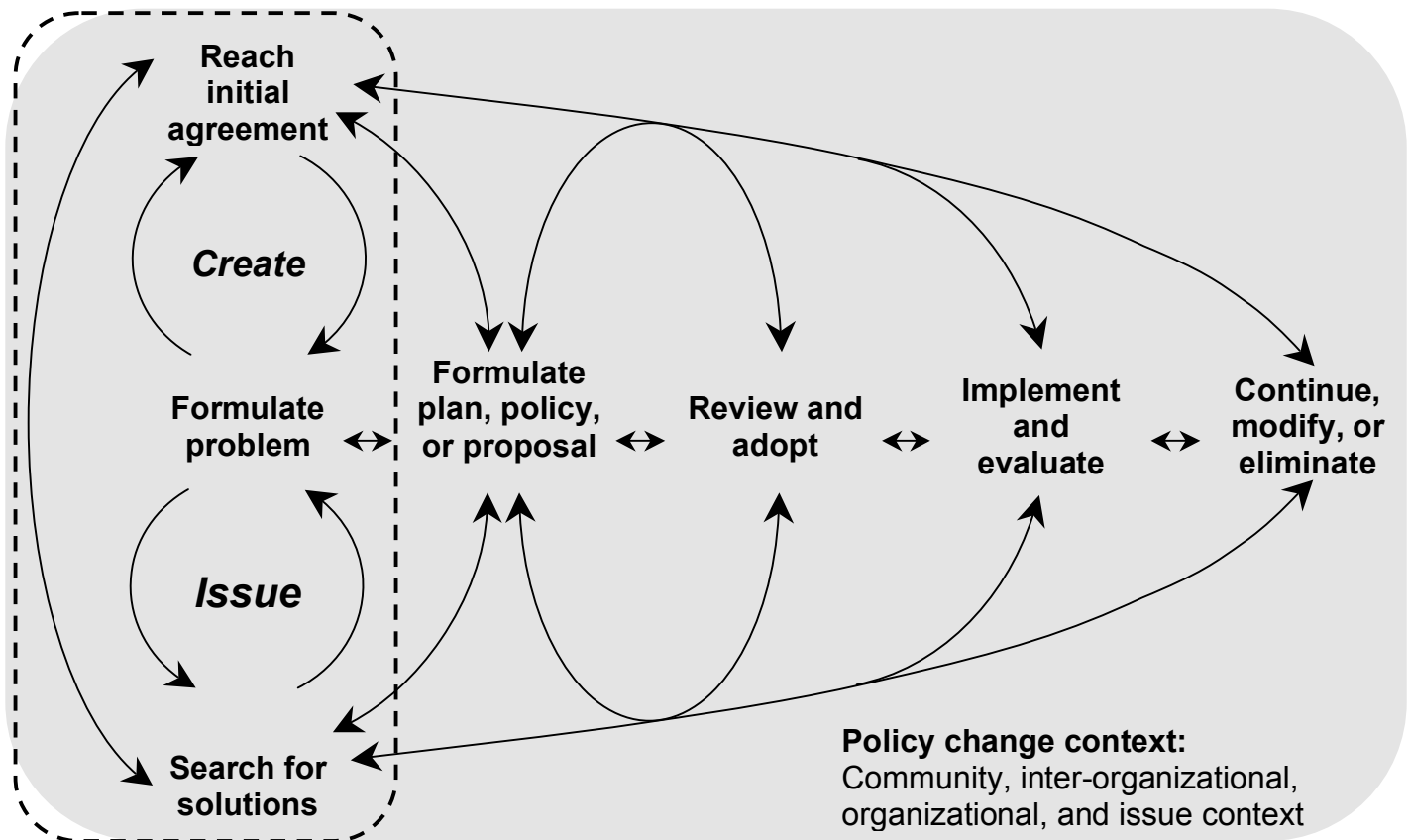
Irving Janis is the inventor of the concept of "groupthink," a situation in which a group consensus emerges and solidifies around a really bad idea, with the group unwilling to consider any alternative views or disconfirming information. His "Vigilant Problem Solving" process is designed to avoid instances of groupthink and other problem-solving pathologies. He recommends the process for very important, highly consequential, perhaps irreversible decisions.

Theory and Practice of Issue Creation-- Part of the Policy Change Cycle



Issue creation is the process of placing on the public agenda a public problem to which is attached at least one solution, with pros and cons from the standpoint of various stakeholders.

Issue creation emerges out of a series of discussions, dialogue, and agreements concerning key stakeholders and their interests, problem definitions, and candidate solutions. An issue gains a place on the public agenda when enough key stakeholders can put it there.



Source: Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Issue Creation in Theory and Practice

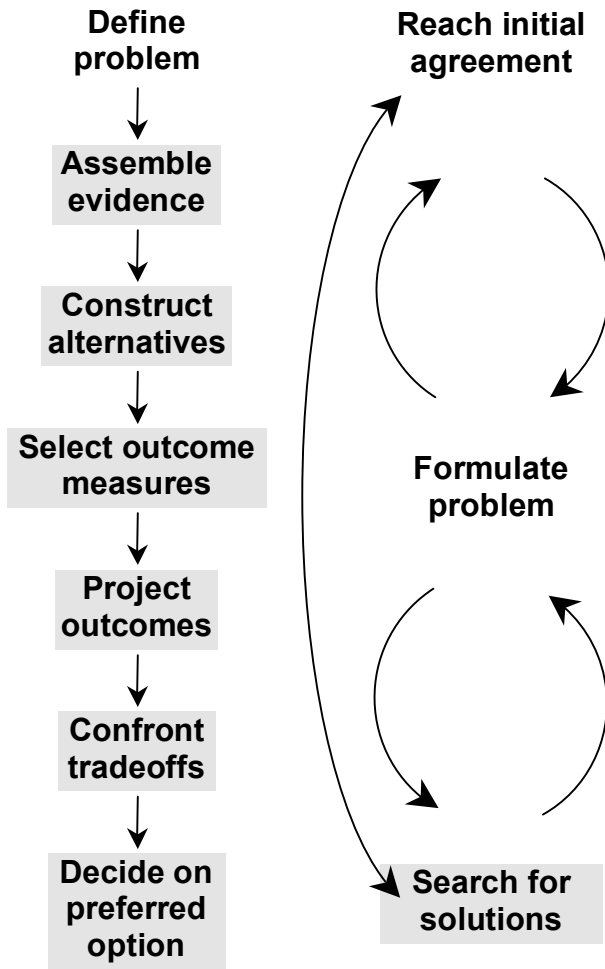
- Issue creation **in theory** (more specifically, in some standard policy analysis texts) consists of a generally linear and sequential progression from rather chaotic conditions to a more orderly state
- The process **in practice**, in contrast to theory, usually begins when stakeholders put forward solutions, almost always in the absence of clear definitions of the problems that the solutions are meant to solve
- After several solutions have been offered, a conversation often begins about:
 - What the problem actually is
 - What solutions might address it

- What agreements can be reached among key stakeholders concerning issue definition and how to proceed
- When agreement is reached among enough key stakeholders on what the problem is and how it might be addressed, a live issue has been created



Issue Creation, in Theory¹

Issue Creation, in Practice²



Issue creation in practice typically is iterative and looping

- Stakeholders (individuals, organizations, networks) typically jump immediately to a set of possible solutions
- Stakeholders think through the implications of different solutions in order to clarify the problems they solve; explore and test assumptions; gather and analyze data; look at value premises.
- Stakeholders reach an initial agreement about what the problem might be.
- Facilitators and wise participants keep the conversation open long enough for a real understanding of the problem to emerge.
- Participants reach agreement on the **real** problem and, ideally, on a vision, goals, or statement of desired results.
- An effective solution search strategy typically requires using the problem statement, vision statement, goals, or statement of desired results to guide the search for solutions.
- Sponsors, champions, resources, timing, a compelling need, and stakeholder support are required to move toward effective solutions.
- Issue creation **in theory** (in some standard policy analysis texts) focuses mostly on solutions (the gray boxes at left), which too often leads to failure because the problems and desired results are poorly defined. In successful practice, one must link problems, desired results, solutions, and agreements.

Leadership Guidelines

- Leaders have important roles to play in the process of issue creation
- Leaders can help frame and guide the discussion and dialogue concerning:
 - Stakeholders and their interests
 - Problem definitions
 - Solution search
 - Agreements to proceed

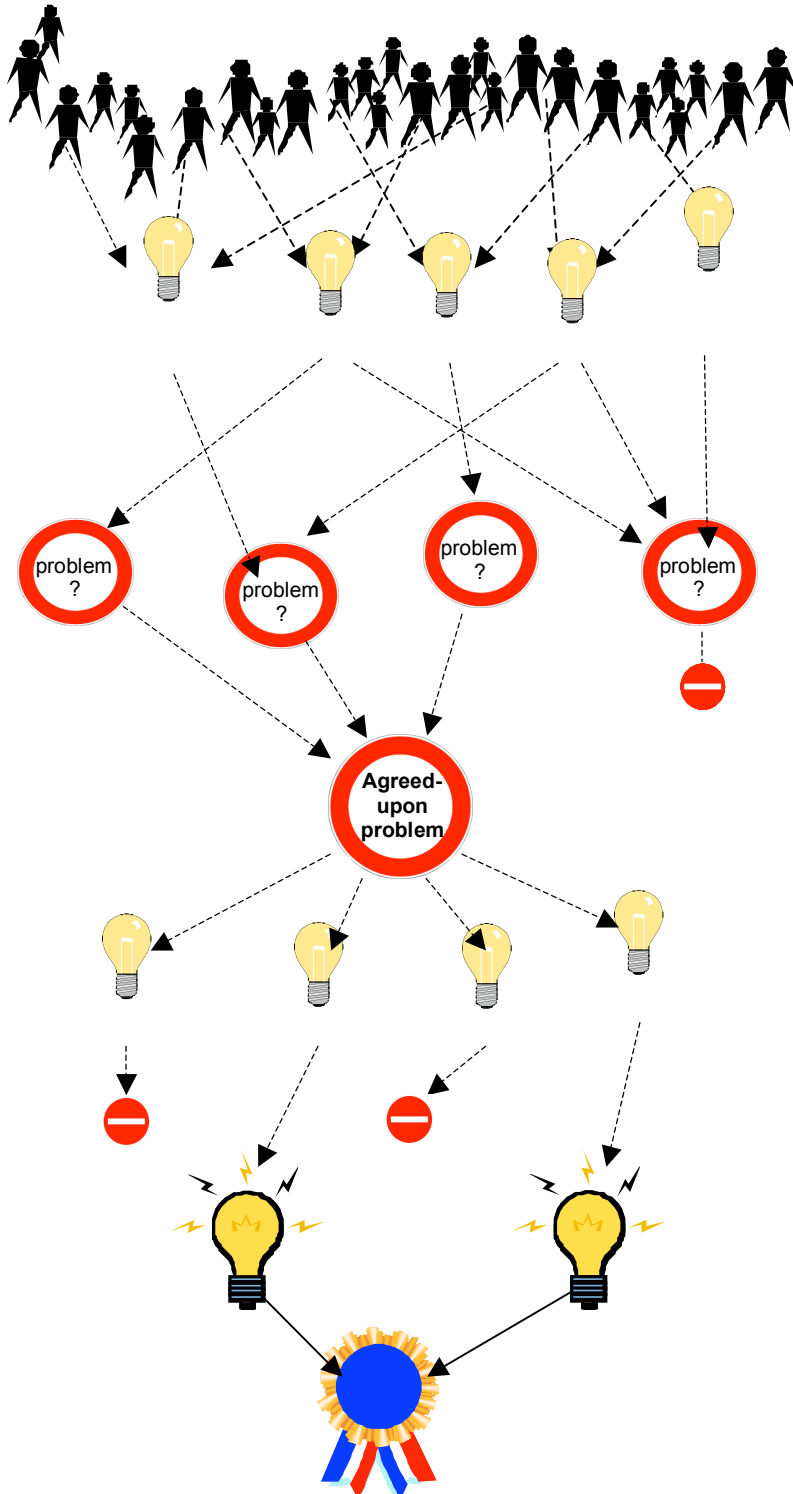
Adapted from:

Bardach, E. (2000). *A practical guide for policy analysis* (2nd ed.). Chatham, NJ: Chatham House.

Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.

Issue Creation

People typically do not start by defining problems. Instead, they start by “jumping to solutions.” The issue creation challenge is to work with that basic tendency and still arrive at good problem definition, potentially winning solutions, and, ultimately, a winning policy proposal.



Stakeholders

put forth

initial solutions

that imply

possible problems

that, when discussed,
can uncover the

real problem

that guides--ideally, through a
statement of desired results--
the search for really good

candidate solutions

that can be evaluated to find
technically workable; politically
acceptable; and legally,
ethically, and morally defensible

potentially winning solutions

that can be crafted to form a

winning policy proposal

Horse Story

Common advice from knowledgeable horse trainers includes the adage, “When the horse dies, dismount.” Dismounting is the appropriate solution to having a dead horse. It seems simple enough, yet we don’t always follow that advice.

Instead, we often choose from an array of “solutions” that don’t address the real problem:

- Buying a stronger whip
- Trying a new bit or bridle
- Switching riders
- Moving the horse to a new location
- Riding the horse for longer periods of time
- Saying things like, “This is the way we’ve always ridden this horse”
- Appointing a committee to study the horse
- Arranging to visit other sites where they ride dead horses more efficiently
- Increasing the standards for riding a dead horse
- Creating a test for measuring our riding ability
- Comparing how we’re riding now with how we rode 10 or 20 years ago
- Complaining about the state of horses these days
- Coming up with new styles of riding
- Blaming the horse’s parents
- Tightening the cinch

So remember: “When the horse dies, dismount.”


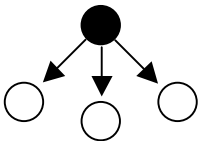
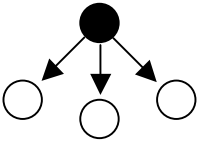
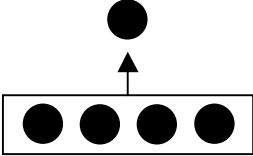


Source:
Unknown.

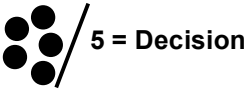
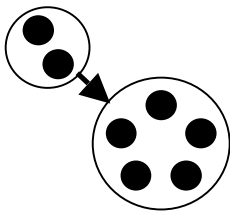
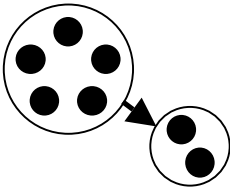
Typical Methods of Group Decision Making

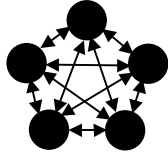


There are a variety of decision-making methods. Each comes with advantages and disadvantages. Below are some of the more common methods.

Decision-Making Method	Advantages	Disadvantages
<p>Coin toss</p> 	<ul style="list-style-type: none"> • Quick • Can result in decisions when no other approach will work • Suitable for simple, unimportant decisions 	<ul style="list-style-type: none"> • Makes no use of group resources • Gains no benefits from group interaction • Builds no commitment to implementation
<p>Decision by authority without consultation</p> 	<ul style="list-style-type: none"> • Good for simple, routine decisions • Good when little time available--for example, in crisis situations • Good when group expects decision maker to use this method • Good when members lack resources to do otherwise • Good when authority has all relevant information • Good when authority has trust of all group members • Good when decision affects only the decision maker 	<ul style="list-style-type: none"> • One person is not always a good resource • No group interaction • Group resources poorly used • Little commitment • May cause resentment
<p>Decision by expert</p> 	<ul style="list-style-type: none"> • Good when expert has the necessary information • Good when little is to be gained from group interaction • Good when commitment to implementation is not a concern 	<ul style="list-style-type: none"> • Expertise is often hard to determine • Advantages of group interaction are lost • Little commitment • May cause resentment
<p>Decision by authority after consultation</p> 	<ul style="list-style-type: none"> • Uses some resources of group • Gains benefits of group discussion • Can build some commitment to implementation 	<ul style="list-style-type: none"> • Authority may not get unbiased information • May not build enough commitment to implementation • May not resolve conflicts



<p>Average of group member opinion</p> 	<ul style="list-style-type: none"> • Good for simple, routine decisions • Useful when it is hard to promote interaction • Useful when time is short • Good when group lacks skills and information needed to do otherwise 	<ul style="list-style-type: none"> • Benefits of group interaction are lost • May not resolve conflicts • Little commitment to implementation is built
<p>Minority decision</p> 	<ul style="list-style-type: none"> • Useful when delegation to a smaller group is necessary • Can be used when not everyone can meet • Good when time is short • Good when rest of group lacks skills and information needed to make decision • Good when commitment to decision is not necessary • Good for simple, routine decisions • Good when subgroup has necessary information 	<ul style="list-style-type: none"> • Does not take advantages of the resources of most group members • Does not gain the benefits of group interaction • Does not build widespread commitment • May not resolve conflicts
<p>Majority decision</p> 	<ul style="list-style-type: none"> • Good when there is not time to build consensus • Closes off discussion on matters not important to the group as a whole • Seen as a very legitimate method in a democracy • Good when commitment to decision by everyone is not necessary • Good when members of the group are equally informed • Good when majority can handle implementation without minority involvement 	<ul style="list-style-type: none"> • Full benefit of group interaction not gained • May not make best use of relevant group resources • May not result in full commitment to decision • Can leave a disgruntled minority; there should be a plan for handling such a situation

<p>Consensus</p> 	<ul style="list-style-type: none"> • Can produce a high quality decision • Can produce strong commitment to implementation • Makes best use of group resources • Gains full benefits of group interaction • Future problem-solving ability of group is enhanced • Useful for serious, important, complex decisions that affect a lot of people 	<ul style="list-style-type: none"> • Takes a great deal of time and energy • Time pressure must be minimal • Places major demands on group members' skills • Requires rich exchange of ideas and information; the group needs to be informed prior to reaching the decision • Hard to use in large groups
---	--	--



Adapted principally from:

Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 289-296). Boston, MA: Allyn and Bacon.

Consensus Decision Making

Consensus comes from the Latin word “consentire,” which means “to agree.” Perfect consensus is unanimity; everyone involved agrees with the decision. That may be impossible to achieve, so there are degrees of consensus. Consensus is generally understood to mean that everyone involved has had a chance to participate, understands the decision, and is prepared to support it. Even those members who disagree with the decision, or have doubts about it, are still prepared to support the decision publicly.



Reaching consensus takes time, effort, and skill. Group members must have adequate opportunity to express their views and their opposition to others’ views. Good communication and listening skills are required. Disagreements should be seen as opportunities to gather additional information, clarify issues, and push the group to seek better alternatives.

Members can usually support a decision with which they disagree if none of their deep interests or values have been violated, the process has been free and open, and their views have been considered.

Basic guidelines for consensual decision making are:

- Make sure consensual decision making is needed or desirable
- Consider determining in advance what will be the fall-back decision-making method
- Approach consensual decision making with a win-win, or all-gain attitude; do not assume someone must lose
- Allow enough time
- Assure adequate facilitation skills are present
- Make sure everyone is encouraged to participate
- Present your position clearly, directly, and logically; avoid blindly arguing for your position
- Listen carefully to what others are saying
- Seek out differences of opinion
- Discuss underlying assumptions, beliefs, and values
- Avoid changing your mind solely to reach agreement
- Rely on straw polls throughout the process to determine if and where consensus has been reached; do not assume you have consensus without testing for it
- Ask people who cannot support a decision what they would add, subtract, or modify so that they could support the decision
- Take breaks and time-outs for reflection and regrouping; you can’t force people to consensus, but you can give them time to find their own way
- Consider trying to develop consensus first within a subgroup or groups as a springboard to developing consensus in a larger group
- Seek consensus within a polarized group to try one option for awhile and then another

Exercise: Bean Jar, Coordinator Instructions



The purpose of this exercise is to compare the reactions of group members to seven methods of decision making.

You will need at least 7 large jars filled with a known quantity of dried beans.

1. Based on a group of 25 people, divide into 7 groups and make the appointments shown below:

Decision Method/Group	Number of People	Coordinator Appoints:
Authority, no consultation	3	1 leader
Expert	3	1 leader based on math training
Authority w/consultation	3	1 leader
Average	4	none
Minority	4	An executive committee of 2
Majority	4	none
Consensus	4	none

2. Give each group a jar of beans.
3. Hand their member the Participant Instruction sheet unique to each group (p.224-230).
4. Hand out one copy of the worksheet, “Results of Post-decision Questionnaire,” to each group for use by the Recorder. Remind the Recorder to fill in only the row for her/his group (p. 231).
5. While groups are working, use a flipchart page or black/white board to create a complete Group Results Table (including the bean count), as shown below:

Method of Decision Making	Understanding	Influence	Commitment	Responsibility	Satisfaction	Atmosphere	Bean Count
Decision by authority without consultation							
Decision by expert							
Decision by authority after consultation							
Average of group member opinions							
Minority decision							
Majority decision							
Consensus							

6. After all groups have reached their decision, have the Recorder for each group fill in the averaged results in the appropriate row of the Results Table.
7. Announce and write on the side of the Results Table the actual number of beans in each jar.
8. Have participants draw a few conclusions about what is to be learned from these results.
9. Lead a group discussion on how the conclusions agree or disagree with the material presented previously in this section of the Fieldbook. Point out the following relationships:
 - The extent to which a member feels understood and influential in the group is related to how well the member's resources are used.
 - The extent to which a member is committed to the decision and responsible for its implementation is related to the member's commitment to implement the decision.
 - The group's future problem-solving ability is related to the extent to which each member is satisfied with his or her own participation and perception of how positive is the group atmosphere.
10. Note the accuracy of each group's estimate. Usually, the more group members directly involved in decision making, the better the decision.



Adapted from:

Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 287-289). Boston, MA: Allyn and Bacon.

Exercise: Bean Jar, Participant Instructions for authority, no consultation group



- Once in your group, appoint one member as the Recorder to do the following: After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Decision by authority without consultation (member with most authority makes the decision)**. One member is appointed leader by the coordinator. This person should exercise control (for example: telling the group how to sit while waiting for the decision to be made and how to use their time while the leader is deciding). The leader then estimates how many beans are in the jar and announces the decision to the group. All members of the group then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for expert decision group



- Once in your group, appoint one member as the Recorder to do the following: After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Decision by expert (member with most expertise makes decision)**. The coordinator appoints the member with the most training in mathematics to be the leader. The leader/expert then considers how many beans are in the jar, makes a decision, and announces it to the group. All group members then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for authority with consultation group



1. Once in your group, appoint one member as the Recorder to do the following:
After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
2. Estimate the number of beans in the jar based on the assigned decision-making method: **Decision by authority after consultation (member with most authority makes the decision following group discussion)**. One member is appointed leader by the coordinator. The leader calls the meeting to order and asks the group to discuss how many beans are in the jar. When she thinks she knows how many beans are in the jar, she announces her decision to the group. This is not consensus or majority vote; the leader has full responsibility and makes the decision she thinks is best. All members of the group then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

1. How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
2. How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
3. How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
4. How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
5. How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
6. Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for average group



- Once in your group, appoint one member as the Recorder to do the following:
After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Average of group member opinion**. Each member of the group separates from the group so that he cannot see the answers of other group members and they cannot see his answer. Each member independently estimates the number of beans in the jar without interacting with the other group members. The Recorder asks each member for his estimate, adds the estimates, and divides the sum by the number of members. The resulting number is announced as the group's decision. All group members then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for minority decision group



- Once in your group, appoint one member as the Recorder to do the following:
After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Minority decision: A minority of group members makes the decision.** The coordinator appoints an executive committee of two members. The committee meets away from the group to decide how many beans are in the jar. They announce their decision to the group. All group members then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for majority decision group



- Once in your group, appoint one member as the Recorder to do the following:
After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Majority decision**. Each group member estimates the number of beans in the jar, then the group then votes on which estimate is to be its decision. When the majority of members agree on an estimate, the group decision is made. All group members then complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Participant Instructions for consensus group



- Once in your group, appoint one member as the Recorder to do the following:
After the group has made its decision and all members have completed the Post-decision Questionnaire, collect the results and compute a group average **for each question** by totaling the individual scores for each question and dividing the sum by the number of members in the group.
- Estimate the number of beans in the jar based on the assigned decision-making method: **Consensus**. All members of the group participate in a discussion about how many beans are in the jar. Discuss the issue until all members of the group can abide with and support the group's estimate. When an estimate is agreed on, all members of the group complete the Post-decision Questionnaire.

Post-decision Questionnaire

On a sheet of paper record your answers to the following questions. Then hand your answers to your group's Recorder. *Circle one number between 1-9 for each statement.*

- How **understood and listened to** did you feel in your group?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Completely
- How much **influence** do you feel you had in your group's decision making?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **committed** do you feel to the decision your group made?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very committed
- How much **responsibility** do you feel for making the decision work?
None 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 A great deal
- How **satisfied** do you feel with the amount and quality of your participation in your group's decision making?
Not at all 1 : 2 : 3 : 4 : 5 : 6 : 7 : 8 : 9 Very satisfied
- Write one adjective that describes the **atmosphere** in your group during the decision-making process.

Recorder: Collect the results from the Post-decision Questionnaires and enter them in the correct row of the results table.

Exercise: Bean Jar, Results Table



Recorders: Fill in the average of your group’s responses to each of the items in the Post-decision Questionnaires.

Make sure to fill in only the row that pertains to your group.

Method of Decision Making	Understanding	Influence	Commitment	Responsibility	Satisfaction	Atmosphere
Decision by authority without consultation						
Decision by expert						
Decision by authority after consultation						
Average of group member opinions						
Minority decision						
Majority decision						
Consensus						

Typical Biases, Errors, and Difficulties in Human Information Processing and Decision Making



Human beings are capable of a rather astonishing variety of biases and errors when they are processing information and making decisions. Some of the more important ones are described in this table:

Errors and Biases or Their Sources	Description or Example
Individual	
Cognitive limits	<ul style="list-style-type: none"> • Adults can handle 7 plus or minus 2 pieces of information at once
Availability	<ul style="list-style-type: none"> • If a person can recall specific instances of an event, s/he may overestimate how frequently the event occurs (and vice versa) • Chance events can help or hinder by pointing a person in a particular direction
Selective perception	<ul style="list-style-type: none"> • What one expects to see often biases what one does see • People seek information consistent with their own views • People downplay information that is inconsistent with what they believe
Concrete information	<ul style="list-style-type: none"> • Vivid, direct experience dominates abstract information • Personal experience can outweigh more valid statistical information
Data presentation	<ul style="list-style-type: none"> • Items presented first (primacy) or last (recency) in a series assume undue importance • Information processing is affected by whether information is collected sequentially or all at once
Consistency	<ul style="list-style-type: none"> • People have trouble applying consistent judgments across similar cases, even though they believe they are consistent
Law of small numbers	<ul style="list-style-type: none"> • People often over-generalize from small samples
Complexity	<ul style="list-style-type: none"> • Information processing can be quite simplistic in the face of time pressures
Gambler's fallacy	<ul style="list-style-type: none"> • Seeing a similar number of similar chance events leads to a belief that an event not seen will occur (e.g., seeing heads in consecutive coin tosses leads people to believe that the chances of seeing a tail on the next toss are greater than 50/50)



Limits on ability to comprehend feedback effects	<ul style="list-style-type: none"> Humans have great difficulty understanding feedback effects that are in any way complex (e.g., most people need a paper and pencil to calculate a series of compound interest accumulations)
Premature closure and dissonance reduction	<ul style="list-style-type: none"> Dissonance reduction is attempted when two cognitions contradict one another; individuals may decide to reduce dissonance prematurely by closing off idea generation, information gathering, and dialogue.
Defensive avoidance	<ul style="list-style-type: none"> Defensive avoidance can occur because of procrastination, rationalization, or denying responsibility for choices
Group	
Risky shift	<ul style="list-style-type: none"> Groups will often take more risky actions than the individuals comprising the group would when alone
Groupthink	<ul style="list-style-type: none"> Individuals in a group use their collective resources for purposes of defensive avoidance; they develop collective rationalizations supporting shared illusions about their group's (or organization's) invulnerability.
Abilene paradox	<ul style="list-style-type: none"> A group may agree to do something that none of its members wants individually
Group maturity	<ul style="list-style-type: none"> Groups need time and experience working together to become an effective decision-making group
Uncritically sticking with the initial response	<ul style="list-style-type: none"> Groups often decide on a solution quickly and do not adequately explore or evaluate alternatives
Social loafing	<ul style="list-style-type: none"> Social loafing involves a reduction in individual effort when working on a group task that requires summing individual efforts to maximize group output.
Free riding	<ul style="list-style-type: none"> Free riding is gaining the benefits of group effort while doing little or no work oneself.
Sucker effect	<ul style="list-style-type: none"> The sucker effect occurs when individuals reduce their efforts because others are free riding; individuals reduce their effort rather than become a sucker.
Conflicting goals of group members	<ul style="list-style-type: none"> Conflicting goals can lead to destructive competition or sabotage
Egocentrism of group members	<ul style="list-style-type: none"> Egocentrism can lead to a failure to understand others' perspectives, resulting in reduced decision quality and acceptance

Lack of group diversity	<ul style="list-style-type: none"> • In general, homogeneous groups make less effective decisions than heterogeneous groups. In general, greater heterogeneity leads to greater conflict, higher quality decisions, and higher group productivity.
Inappropriate group size	<p>Inappropriate group size can lead to reduced group effectiveness for several reasons:</p> <ul style="list-style-type: none"> • A disjuncture between functional group size and actual group size • A failure for individuals to see their efforts as essential to group success • Time requirements for group organization and management • Social loafing and free riding • Lowered identification with group • Reduced group cohesion • An unwillingness to follow group norms
Premature closure and dissonance reduction	<ul style="list-style-type: none"> • Dissonance reduction is attempted when two cognitions contradict one another; groups may decide to reduce dissonance prematurely by closing off idea generation, information gathering, and dialogue.
Members do not have relevant skills	<ul style="list-style-type: none"> • Members should have skills needed to complete tasks or the work will not be effective.
Lack of individual or group incentives for, and the presence of significant barriers to, contributing	<ul style="list-style-type: none"> • Members cannot be expected to contribute to effective group work if, on the one hand, there are no adequate incentives for contributing and, on the other hand, there are significant barriers to contributing.

**Sources:**

- McCall, J., & Kaplan, R. (1990). *Whatever it takes: The realities of managerial decision making (Rev. ed.)* (p. 26). Englewood Cliffs, NJ: Prentice-Hall.
- Janis, I. (1989). *Crucial decisions: Leadership in Policy Making and Crisis Management*. New York: Free Press.
- Harvey, J. (1996). *The Abilene paradox and other meditations on management*. San Francisco, CA: Jossey-Bass.
- Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.) (pp. 297-308). Boston, MA: Allyn and Bacon.

John Clayton Thomas' Effective Decision Model of Public Involvement



John Clayton Thomas developed a model for deciding which decision-making method to use based on two principal criteria: assure high decision quality and assure decision acceptability. Other things being equal, focusing on quality suggests less involvement, while concerns for acceptance lead to more, but no simple additive formula can be applied. Instead, the decision among methods depends on giving due consideration to a variety of concerns.

Thomas' model is a public-sector adaptation of an intra-organization model developed by Victor Vroom and Philip Yetton (1973, 1978). That model has received substantial empirical support in the research literature.

The decision-making methods are included in the model explained below. The letters and numbers help identify appropriate methods in the diagram on the next page. (The names of the methods have been changed slightly to enhance clarity and understanding).

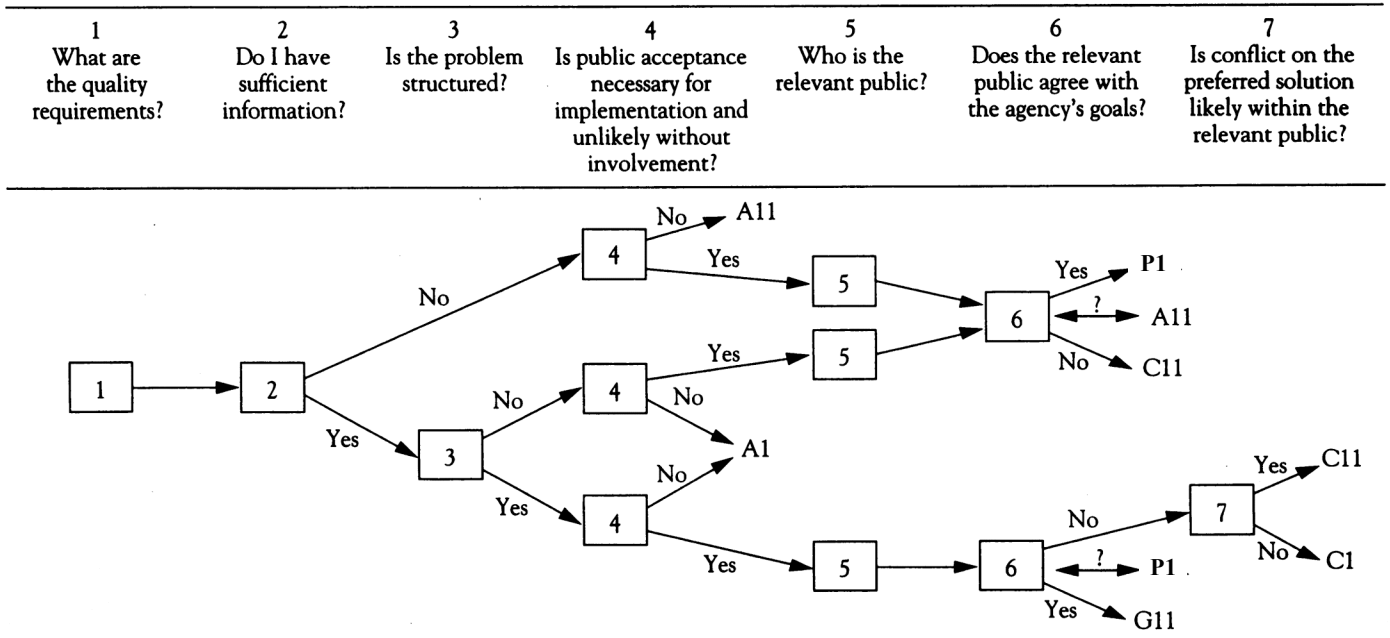
- **Autonomous managerial decision (A1)**. The manager solves the problem or makes the decision without public involvement.
- **Modified autonomous managerial decision (A11)**. The manager seeks information from members of the public, but decides alone in a manner that may or may not reflect group influence.
- **Segmented public consultation (C1)**. The manager shares the problem separately with segments of the public, getting ideas and suggestions, then makes a decision that reflects group influence.
- **Unitary public consultation (C11)**. The manager shares the problem with the public as a single assembled group, getting ideas and suggestions, then makes a decision that reflects group influence.
- **Public decision (P1)**. The manager shares the problem with the assembled public and, together, the manager and the public attempt to reach agreement on a solution.

The appropriate choice of decision-making method depends on the answers to a series of questions. These questions are answered sequentially and will be found across the top of the model presented on the next page.

continues ...



The Effective Decision Model of Public Involvement



- A1= Autonomous managerial decision
- A11= Modified autonomous managerial decision
- C1= Segmented public consultation
- C11= Unitary public consultation
- P1= Public decision

Sources:

Thomas, J. (1993). Public involvement and governmental effectiveness: A decision-making model for public managers. *Administration and Society*, 24(4), 1993, 444-69.

Thomas, J. (1995). *Public participation in public decisions*. San Francisco, CA: Jossey-Bass. (Minor changes made to the figure; specifically, Public decision has been changed from G11 to P1.)

Vroom, V., & Jago, A. (1988). *Then new leadership: Managing participation in organizations*. Englewood Cliffs, NJ: Prentice-Hall.

Vroom, V., & Yetton, P. (1973). *Leadership and decision making*. Pittsburgh, PA: University of Pittsburgh Press.

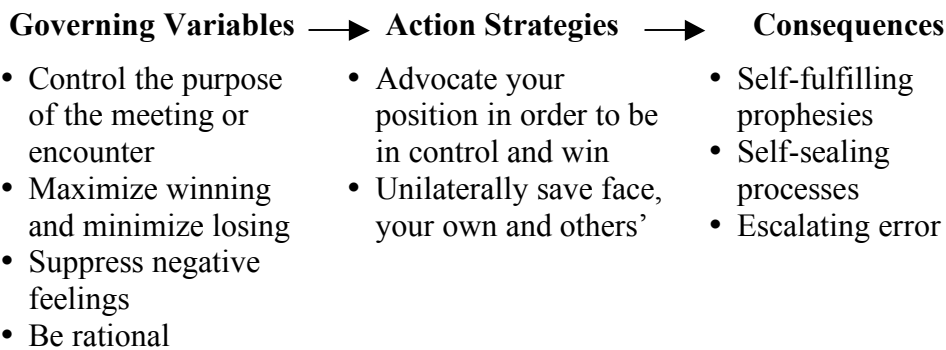
Chris Argyris' Model of "Double-Loop" Learning



Chris Argyris presents two models of learning: Model I and Model II. Both are models of "theory-in-use," as opposed to what people espouse, or "espoused theory."

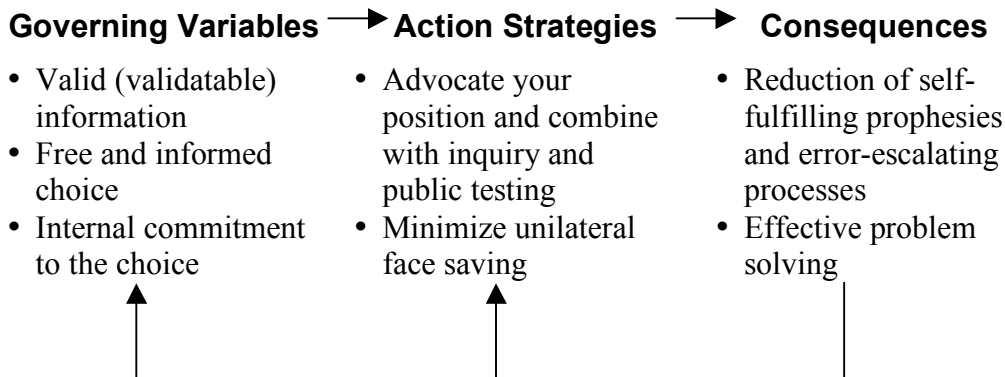
In Model I, little or no learning occurs. The parties simply advocate for their own positions and do nothing that could conceivably embarrass themselves or others. The result is often poor problem solving, and even disaster.

Model I Theory-in-Use



In Model II, people work together, explore assumptions, take risks, and focus on solutions that are based on valid data, free and informed choice, and internal commitment to the choice. The result is far more effective for problem solving.

Model II Theory-in-Use



Source:

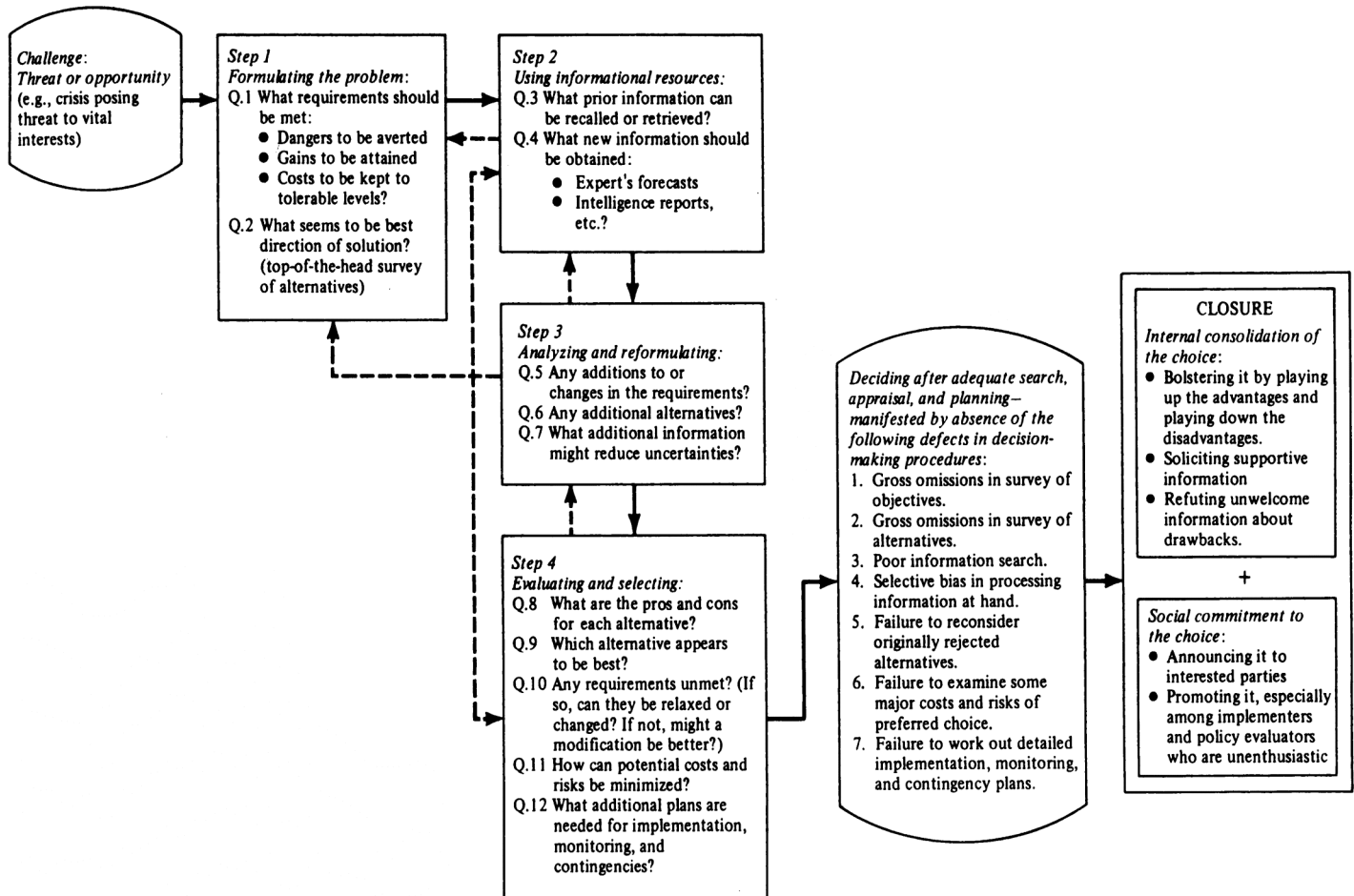
Argyris, C. (1982). The executive mind and double-loop learning. *Organizational Dynamics*, 5-22.

Irving Janis' "Vigilant Problem Solving"

Irving Janis is the inventor of the concept of "groupthink," a situation in which a group consensus emerges and solidifies around a really bad idea, with the group unwilling to consider any alternative views or disconfirming information. His "Vigilant Problem-Solving" process is designed to avoid instances of groupthink and other problem-solving pathologies. He recommends the process for very important, highly consequential, perhaps irreversible decisions.



FIGURE 5-1 Main Steps Characterizing a Vigilant Problem-Solving Approach to Decisionmaking



source:

Janis, I. (1989). *Crucial decisions: Leadership in Policy Making and Crisis Management* (p. 91). New York: Free Press.

Section F.

Managing Conflict

Purpose

The purpose of this section is to provide an overview of sources of conflict and approaches to managing conflict.



Objectives

At the end of this section users should be familiar with:

- The role of visible and invisible factors on conflict
- The five standard conflict management modes
- Thomas Fiutak's conflict management framework
- Negotiating agreements based on interests, not positions

It always takes a group of people working together with a common purpose in an atmosphere of trust and collaboration to get extraordinary things done.

*--James Kouzes and Barry Posner,
U.S. leadership consultants*

Summary

This section includes the following materials:

- **Exercise: Ugli Orange**
The Ugli Orange exercise uses a two-person role-play scenario that prompts people to explore their assumptions and approaches to conflict management. (Note that participants may not see each others' roles.)
- **The Iceberg Theory of Group Relations**
Most groups in conflict-habituated systems engage each other around observable data such as outward behavior or public positions. In fact, these are usually driven by invisible phenomena, what's under the surface of the iceberg. The challenge is to bring what's hidden to the surface so that it can be seen, understood, and dealt with directly.
- **Five Conflict Management Modes**
There are five basic conflict management modes. The differences among the modes stems from differences on two dimensions: assertiveness, the extent to which an individual or group attempts to satisfy his or her concerns; and cooperativeness, the extent to which an individual or group attempts to satisfy the other party's concerns.
- **Principled Negotiating: Don't Bargain Over Positions**
Roger Fisher and William Ury argue that bargaining by position, soft or hard, is unlikely to yield a result or agreement as effective and durable as negotiating on the merits of the issue and taking a principled approach to resolving conflicts.
- **Thomas Fiutak's Conflict Framework**
Conflict within and among groups of people is part of life. Since it cannot be avoided, leaders need to manage conflict constructively. The conflict framework developed by Thomas Fiutak of the Humphrey Institute Conflict and Change Center suggests several strategies for leaders based on four basic steps: be rooted in reality, examine underlying assumptions, create options, and produce action to "get on with it."

Exercise: Ugli Orange

Instructions

The Ugli Orange is a two-person role-playing exercise.

1. Form two-person groups. Have one person assume the role Dr. P.W. Roland. Have the other person assume the role of Dr. John W. Jones. **Do not allow participants to read each other's roles.**
2. Each group figures out what they are going to do about the Ugli oranges.
3. After most groups appear to have reached an agreement on what they should do, which should take 5 to 10 minutes, stop the discussion and debrief the exercise.
4. To debrief this exercise, ask people to describe what happened. Do not be surprised to hear different types of lose-lose, win-lose, and win-win stories, depending on how people looked at the situation and acted. Expect to hear different stories about how people understood what they needed and what the other person had. Expect to hear different stories about how groups decided to negotiate with each other and, perhaps, with the Ugli orange supplier.



Source:

Marshall Scott Poole and Associates. (1975). Madison, WI: Center for Conflict Resolution.

continues ...

Exercise: Ugli Orange

Role for Dr. P.W. Roland

You are Dr. P. W. Roland. You work as a research biologist for a pharmaceutical firm. The firm is under contract with the government to do research on methods to combat enemy uses of biological warfare.



Recently, several World War II experimental nerve gas bombs were moved from the U. S. to a small island in the Pacific just off the U.S. coast. In the process of transporting them, two of the bombs developed a leak. The leak is presently controlled, but government scientists believe that the gas will permeate the bomb chambers within two weeks. They know of no method to prevent the gas from getting into the atmosphere and spreading to other islands and, very likely, to the West Coast as well. If this occurs, it is likely that several thousand people will incur serious brain damage and die.

You've developed a synthetic vapor that will neutralize the nerve gas if it is injected into the bomb chamber before the gas leaks out. The vapor is made with a chemical taken from the rind of the Ugli orange, a very rare fruit. Unfortunately, only 4,000 of these oranges were produced this season.

You've been informed on good evidence that a Mr. R. H. Cardoza, a fruit exporter in South America, is in possession of 3,000 Ugli oranges. The chemicals from the rinds of this many oranges would be sufficient to neutralize the gas if the serum is developed and injected efficiently. You also have been informed that the rinds of these oranges are in good condition.

You also have been informed that Dr. J. W. Jones is urgently seeking purchase of Ugli oranges and he is aware of Mr. Cardoza's possession of the 3,000 available oranges. Dr. Jones works with a firm with which your firm is highly competitive. There is a great deal of industrial espionage in the pharmaceutical industry. Over the years, your firm and Dr. Jones' firm have sued each other several times for violations of industrial espionage laws and infringement of patent rights. Litigation on two suits is still in process.

The federal government has asked your firm for assistance. You've been authorized by your firm to approach Mr. Cardoza to purchase the 3,000 Ugli oranges. You have been told he will sell them to the highest bidder. Your firm has authorized you to bid as high as \$250,000 to obtain the rind of the oranges.

Before approaching Mr. Cardoza, you have decided to talk to Dr. Jones, hoping to influence him so that he will not prevent you from purchasing the oranges.

Exercise: Ugli Orange

Role for Dr. John W. Jones

You are Dr. John W. Jones, a biological research scientist employed by a pharmaceutical firm. You recently have developed a synthetic chemical useful for curing and preventing Rudosen, a disease contracted by pregnant women. If not caught in the first four weeks of pregnancy, the disease causes serious brain, eye, and ear damage to the unborn child.



There has been a recent outbreak of Rudosen in your state and several thousand women have contracted the disease. You have found, with volunteer victims, that your recently developed synthetic serum cures Rudosen in its early stages. Unfortunately, the serum is made from the juice of the Ugli orange, which is a very rare fruit. Only a small quantity (approximately 4,000) of these oranges were produced last season. No additional Ugli oranges will be available until next season, which will be too late to cure the present Rudosen victims.

You've demonstrated that your synthetic serum is in no way harmful to pregnant women. Consequently, there are no side effects. The Food and Drug Administration has approved the production and distribution of the serum as a cure for Rudosen.

Unfortunately, the present outbreak was unexpected and your firm had not planned on having the compound serum available for six months. Your firm holds the patent on the synthetic serum; it is expected to be a highly profitable product when generally available to the public.

You recently been informed on good evidence that Mr. R. H. Cardoza, a South American fruit exporter, is in possession of 3,000 Ugli oranges in good condition. If you could obtain the juice of all 3,000, you would be able to both cure the present victims and provide sufficient inoculation for the remaining pregnant women in the state. No other state currently has a Rudosen threat.

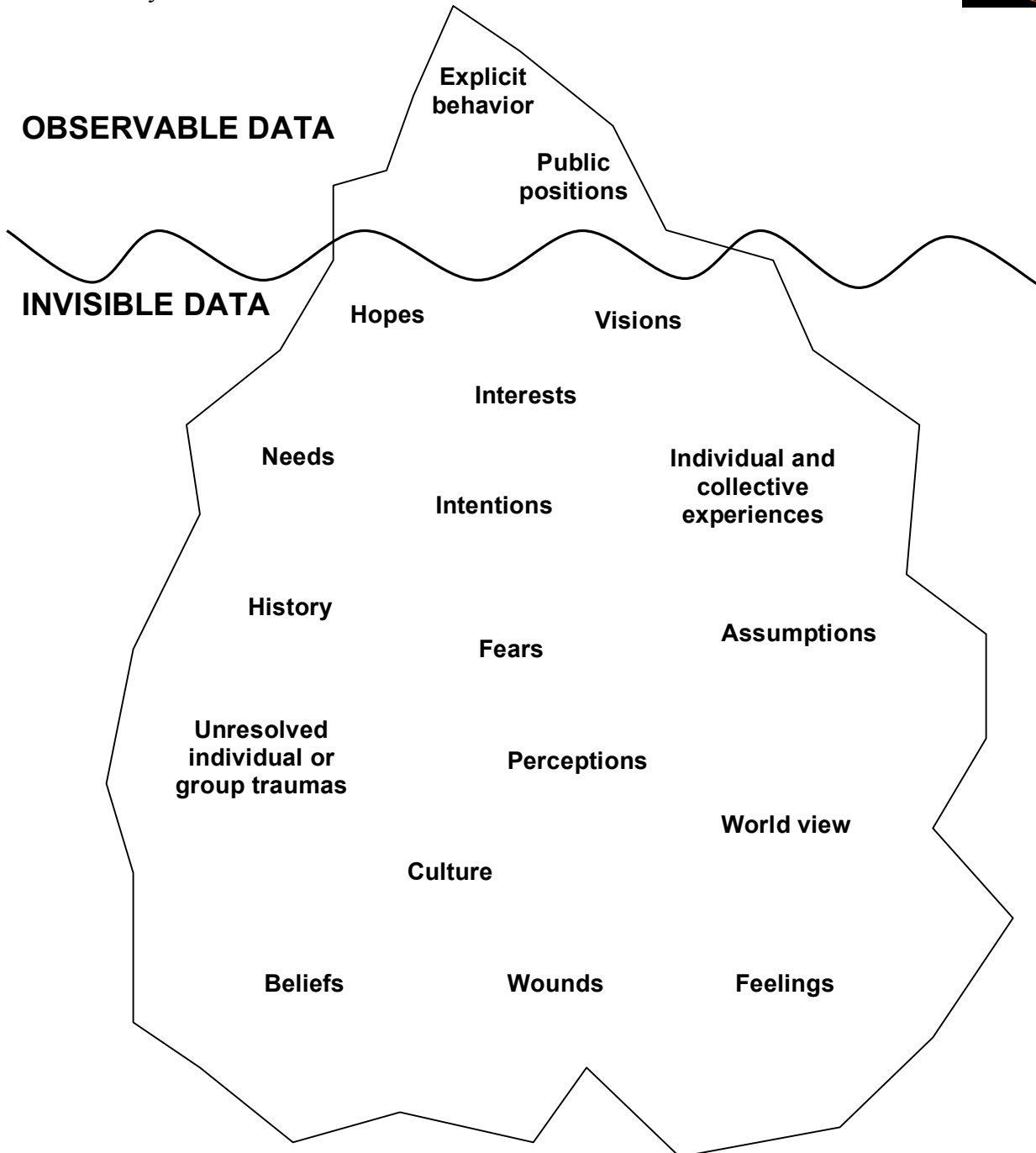
You have been informed recently that Dr. P. W. Roland is also urgently seeking Ugli oranges and is also aware of Mr. Cardoza's possession of the 3,000 available oranges. Dr. Roland is employed by a competitor pharmaceutical firm. He has been working on biological warfare research for the past several years. There is a great deal of industrial espionage in the pharmaceutical industry. Over the past several years, Dr. Roland's firm and your firm have sued each other several times for infringement of patent rights and espionage law violations.

You've been authorized by your firm to approach Mr. Cardoza to purchase the 3,000 Ugli oranges. You have been told he will sell them to the highest bidder. Your firm has authorized you to bid as high as \$250,000 to obtain the juice of the 3000 available oranges.

Before approaching Mr. Cardoza, you have decided to talk with Dr. Roland, hoping to influence him so that he will not prevent you from purchasing the oranges.

The Iceberg Theory of Group Relations

Most groups in conflict-habituated systems engage each other around observable data such as outward behavior or public positions. In fact, these are usually driven by the invisible phenomena, what is under the surface of the iceberg. The challenge is to bring what is hidden to the surface so that it can be seen, understood, and dealt with directly.



Source:

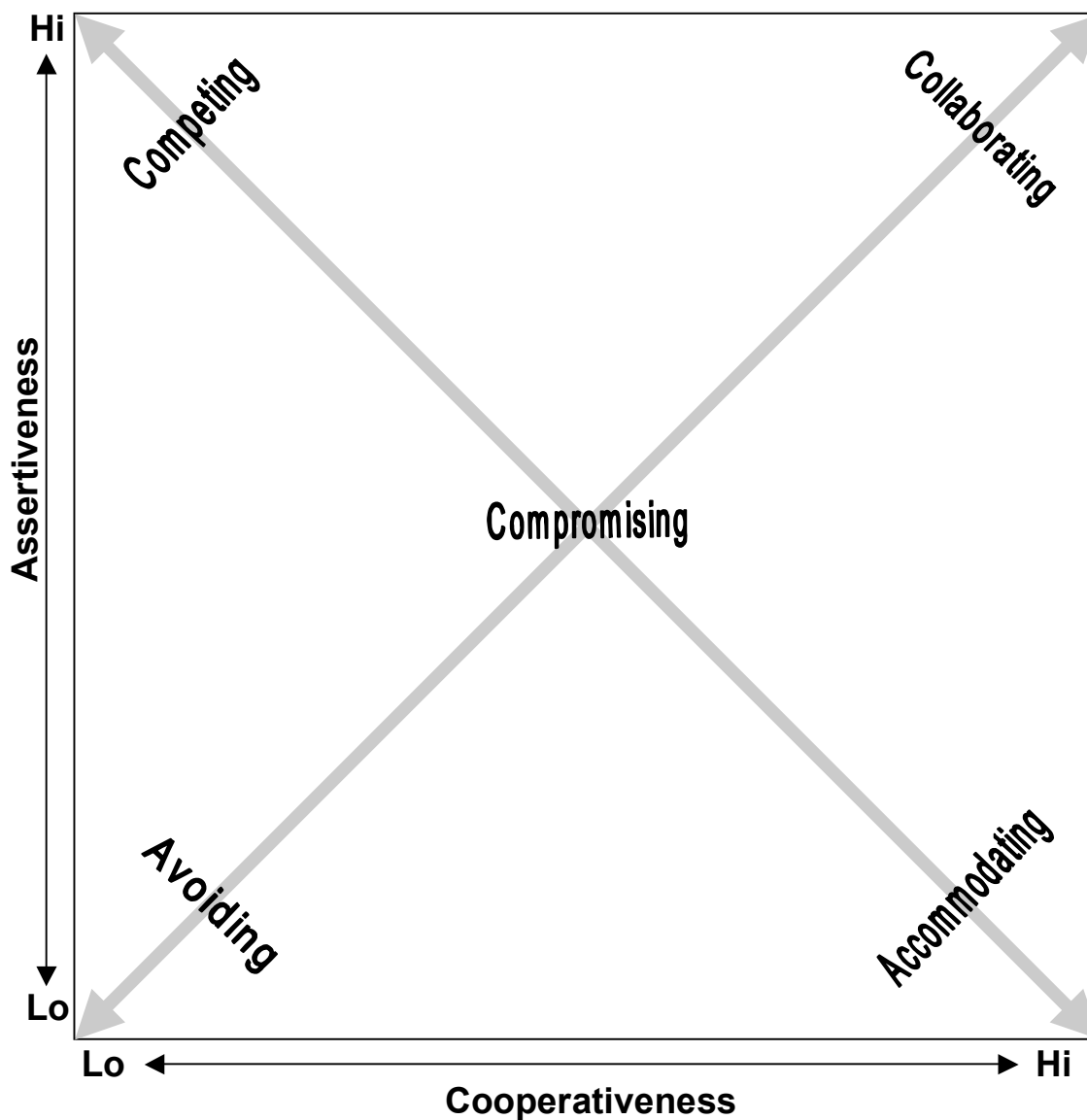
Anderson, M., et al. (1999). *Facilitation resources* (Vol. 6, p. 6.12). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu

Five Conflict Management Modes

There are five basic conflict management modes. The differences among the modes stems from differences on two dimensions: **assertiveness**, the extent to which an individual or group attempts to satisfy his or her concerns; and **cooperativeness**, the extent to which an individual or group attempts to satisfy the other party's concerns. The modes are:



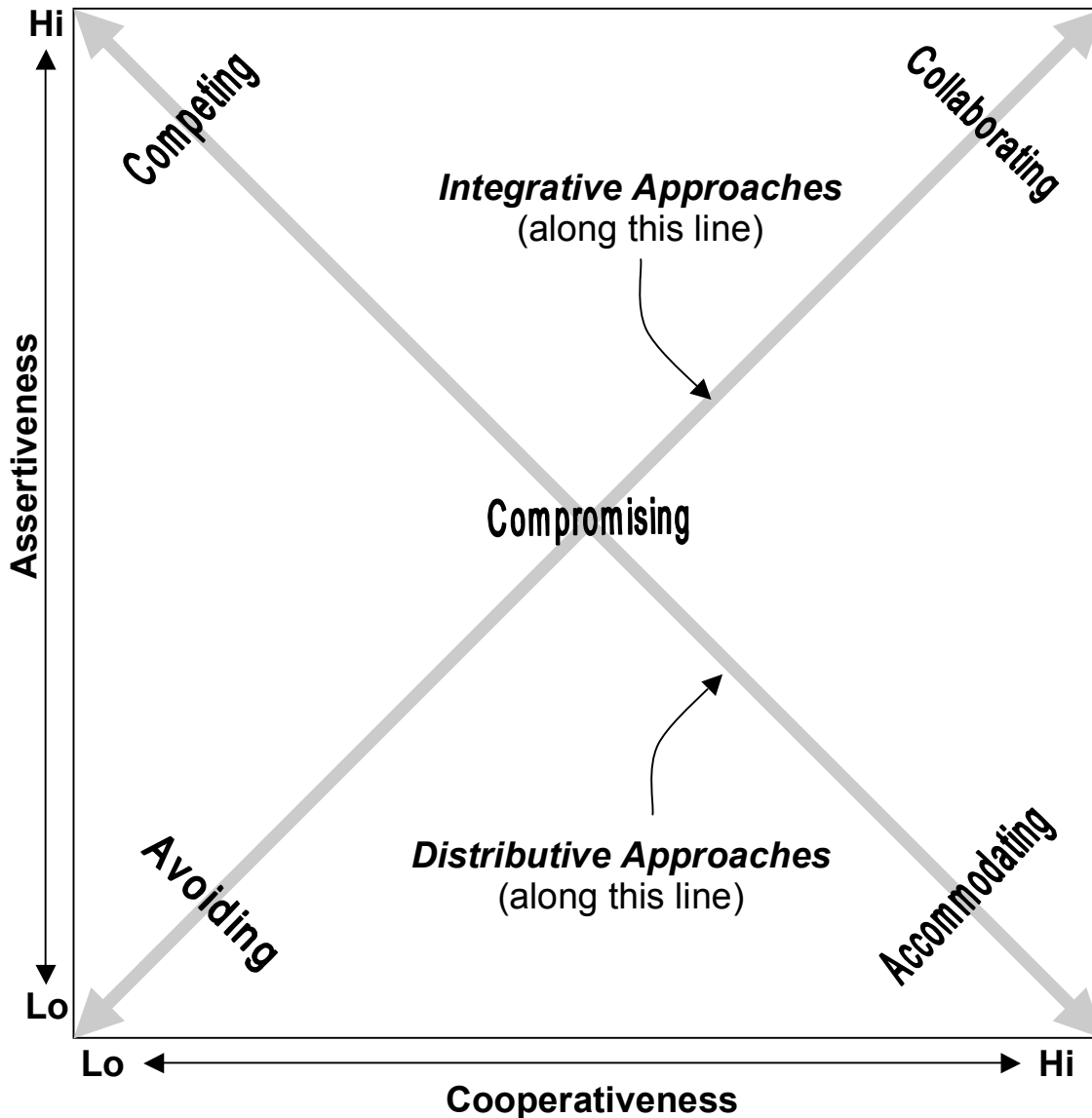
- Competing: assertive and uncooperative
- Accommodating: unassertive and cooperative
- Avoiding: unassertive and uncooperative
- Collaborating: assertive and cooperative
- Compromising: intermediate on both assertiveness and cooperativeness



continues ...

The five modes may be compared according to whether or not one individual's or group's gain comes at the expense of the other individual or group:

- Gains made at the expense of others characterize **distributive approaches**. Distributive approaches assume a win-lose or zero-sum view of the world.
- Gains that help both parties may be thought of as **integrative approaches**. They integrate the interests and concerns of both parties through finding or inventing options for mutual gain. Integrative approaches assume a win-win, all-gain, or positive-sum view of the world.



Sources:

Thomas, K., & Kilmann, R. (1974). *Thomas-Kilmann conflict mode instrument*. Tuxedo, NY: Xicom.

Filley, A. (1975). *Interpersonal conflict resolution*. Glenview, IL: Scott, Foresman.

Fisher, R., & Ury, W. (1981). *Getting to yes*. New York: Penguin.

Principled Negotiating: Don't Bargain Over Positions

Roger Fisher and William Ury argue that bargaining by position, soft or hard, is unlikely to yield a result or agreement as effective and durable as negotiating on the merits of the issue and taking a principled approach to resolving conflicts.



Problem Positional Bargaining: Which game should you play?		Solution Change the Game: Negotiate on the merits
Soft	Hard	Principled
<ul style="list-style-type: none"> • Participants are friends • The goal is agreement 	<ul style="list-style-type: none"> • Participants are adversaries • The goal is victory 	<ul style="list-style-type: none"> ➔ Participants are problem-solvers ➔ The goal is a wise outcome reached efficiently and amicably
<ul style="list-style-type: none"> • Make concessions to cultivate relationship • Be soft on the people and the problem • Trust others 	<ul style="list-style-type: none"> • Demand concessions as a condition of relationship • Be hard on the people and the problem • Distrust others 	<ul style="list-style-type: none"> ➔ Separate the people from the problem ➔ Be soft on the people and hard on the problem ➔ Proceed, independent of trust
<ul style="list-style-type: none"> • Change your position easily • Make offers • Disclose your bottom line 	<ul style="list-style-type: none"> • Dig in to your position • Make threats • Mislead as to your bottom line 	<ul style="list-style-type: none"> ➔ Focus on interests, not positions ➔ Explore interests ➔ Avoid having a bottom line
<ul style="list-style-type: none"> • Accept one-sided losses to reach agreement • Search for the single answer: the one they will accept 	<ul style="list-style-type: none"> • Demand one-sided gains as the price of agreement • Search for the single answer: the one you will accept 	<ul style="list-style-type: none"> ➔ Invent options for mutual gain ➔ Develop multiple options to choose from; decide later
<ul style="list-style-type: none"> • Insist on agreement • Try to avoid a contest of wills • Yield to pressure 	<ul style="list-style-type: none"> • Insist on your position • Try to win a contest of wills • Apply pressure 	<ul style="list-style-type: none"> ➔ Insist on using objective criteria ➔ Try to reach a result based on standards, independent of will ➔ Reason and be open to reason; yield to principle, not pressure

Source:

Fisher, R., & Ury, W. (1981). *Getting to yes* (p. 13). New York: Penguin.

Thomas Fiutak's Conflict Framework

Conflict within and among groups of people is part of life. Since it cannot be avoided, leaders need to manage conflict constructively. The conflict framework developed by Senior Fellow Thomas Fiutak of the Humphrey Institute Conflict and Change Center suggests several strategies for leaders. This framework is intended to be adjusted to the particular situation.

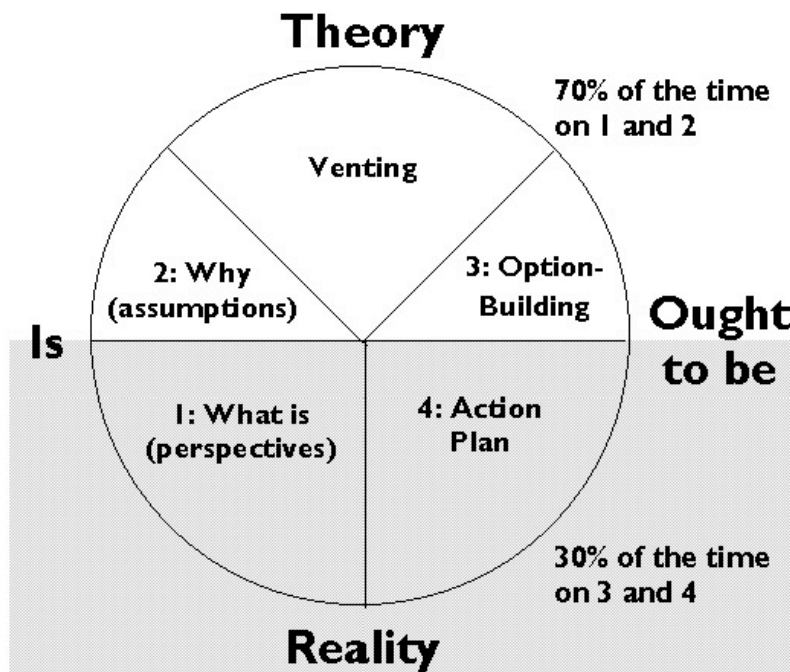


It has four basic steps:

1. **Be rooted in reality:** Work to hear different realities of the same situation. Is this conflict about data, relationships, interests, values, or structure? What are the causes of the conflict?
2. **Examine underlying assumptions:** Allow people to express their feelings (venting).
3. **Create options.**
4. **Produce action to “get on with it,”** that involves responsibility of all parties.

To transform conflict is to deal with the needs and the relationship issues being expressed in the conflict situation, not just bridge different positions.

■ -Louise Diamond,
Institute for Multi-Track Diplomacy



continues ...

Causes of Conflicts and Interventions to Address Them



<p>DATA conflicts are caused by:</p> <ul style="list-style-type: none"> • Lack of information • Misinformation • Different views on what is relevant • Different interpretations of data • Different assessment procedures 	<p>Possible DATA interventions:</p> <ul style="list-style-type: none"> • Reach an agreement on what data are important • Agree on process to collect data • Develop common criteria to assess data • Use third-party experts to gain outside opinion or break deadlocks
<p>RELATIONSHIP conflicts are caused by:</p> <ul style="list-style-type: none"> • Strong emotions • Misperceptions or stereotypes • Poor communication or miscommunication • Repetitive negative behavior 	<p>Possible RELATIONSHIP interventions:</p> <ul style="list-style-type: none"> • Control expression of emotions through procedure, ground rules, caucuses, etc. • Promote expression of emotions by legitimizing feelings and providing a process • Clarify and build positive perceptions • Improve quality and quantity of communication • Block negative repetitive behavior by changing structure • Encourage positive problem-solving attitudes
<p>INTEREST-BASED conflicts are caused by:</p> <ul style="list-style-type: none"> • Perceived or actual competitiveness • Substantive (content) interests • Procedural interests • Psychological interests 	<p>Possible INTEREST-BASED interventions:</p> <ul style="list-style-type: none"> • Focus on interests, not positions • Look for objective criteria • Develop integrative solutions that address needs of all parties • Search for ways to expand options or resources • Develop tradeoffs to satisfy interests of different strengths

continues ...



<p>VALUE conflicts are caused by:</p> <ul style="list-style-type: none"> • Different criteria for evaluating idea or behaviors • Exclusive, intrinsically valuable goals • Different ways of life, ideology, and religion 	<p>Possible VALUE-RELATED interventions:</p> <ul style="list-style-type: none"> • Avoid defining problem in terms of value • Allow parties to agree to disagree • Create spheres of influence with one dominant value set • Search for superordinate goal that all parties share
<p>STRUCTURAL conflicts are caused by:</p> <ul style="list-style-type: none"> • Destructive patterns of behavior or interaction • Unequal control, ownership, or distribution of resources • Geographic, physical, or environmental factors that hinder cooperation • Time constraints 	<p>Possible STRUCTURAL interventions:</p> <ul style="list-style-type: none"> • Clarify, define, and change roles • Replace destructive behavior patterns • Reallocate ownership or control of resources • Establish a fair and mutually acceptable decision-making process • Change negotiating process from <u>positional</u> to interest-based bargaining • Modify means of influence used by parties (less coercion, more persuasion) • Change physical and environmental relationships of parties (closeness and distance) • Modify external pressures on parties • Change time constraints

Adapted by Thomas Fuitak formally from:

Moore, C. (1986). *The mediation process: Practical strategies for resolving conflict*. San Francisco, CA: Jossey-Bass.

Readings that may be of interest:

Fisher, R., & Brown, S. (1988). *Getting together: Building a relationship that gets to yes*. Boston, MA: Houghton Mifflin.

Fisher, R., & Ury, W. (1981). *Getting to yes: Negotiating agreement without giving in*. New York: Penguin.

Rusk, T. with Miller, P. (1993). *The power of ethical persuasion*. New York: Viking.





Sample Teaching Module: Context and Settings

What, Why, Who, How, When, and Where of Public Participation



- What is it?
 - Public participation is involving people in a problem-solving or decision-making process that may interest or affect them

What, Why, Who, How, When, and Where of Public Participation



- Why do it?
 - Makes your job easier
 - Practical, philosophical, and ethical benefits
 - Meet regulations and requirements
 - Adhere to democratic principles
 - Improve the process of creating problems that can and should be solved
 - Better and more substantive decisions and outcomes

What, Why, Who, How, When, and Where of Public Participation



- Who is the “public”?
 - There are many “publics”; a good stakeholder analysis is critical to identifying your various publics

What, Why, Who, How, When, and Where of Public Participation



- How, when, and where do you involve the public?
 - Nature and extent of involvement varies
 - Time and costs of different types of involvement vary
 - Participation processes should be designed purposefully, thoughtfully, and ethically
- What examples can you think of?

IAP2 Core Values



1. The public should have a say in decisions about actions that could affect their lives
2. PP includes the promise that the public's contribution will influence the decision
3. PP promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers

IAP2 Core Values



4. The PP process seeks out and facilitates involvement of those potentially affected by or interested in a decision
5. PP process seeks input from participants in designing how they participate
6. PP process provides participants with the information they need to participate in a meaningful way
7. PP process communicates to participants how their input affected the decision

Discussion: IAP2 Core Values



- Have these values shaped a PP effort that you know about? How not? What were the results or consequences?
- Can you think of situations where you might find it difficult to apply one or more of these core values? Why?
- Are there other core values for PP practice beyond this list?

IAP2 Spectrum of Public Participation



- Illustrates the range of access or influence that might be offered to stakeholders
- Choices depend on the purpose, intent, and promise
- A process does not progress across the spectrum over time
- Discussion: What are the implications of the promises across the Spectrum?

IAP2 Core Values

The public should have a say in decisions about actions that could affect their lives.

PP includes the promise that the public's contribution will influence the decision.

PP promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.

The PP process seeks out and facilitates the involvement of those potentially affected by or interested in a decision.

The PP process seeks input from participants in designing how they participate.

PP provides participants with the information they need to participate in a meaningful way.

PP communicates to participants how their input affected the decision.

IAP2 Public Participation Spectrum

Developed by the International Association for Public Participation



Increasing Level of Public Impact

Inform

P2 Goal:

To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.

Promise to the Public:

We will keep you informed.

Example Tools:

- ◆ Fact sheets
- ◆ Web sites
- ◆ Open houses

Consult

P2 Goal:

To obtain public feedback on analysis, alternatives and/or decisions.

Promise to the Public:

We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.

Example Tools:

- ◆ Public comment
- ◆ Focus groups
- ◆ Surveys
- ◆ Public meetings

Involve

P2 Goal:

To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.

Promise to the Public:

We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.

Example Tools:

- ◆ Workshops
- ◆ Deliberative polling

Collaborate

P2 Goal:

To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.

Promise to the Public:

We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.

Example Tools:

- ◆ Citizen Advisory Committees
- ◆ Consensus-building
- ◆ Participatory decision-making

Empower

P2 Goal:

To place final decision-making in the hands of the public.

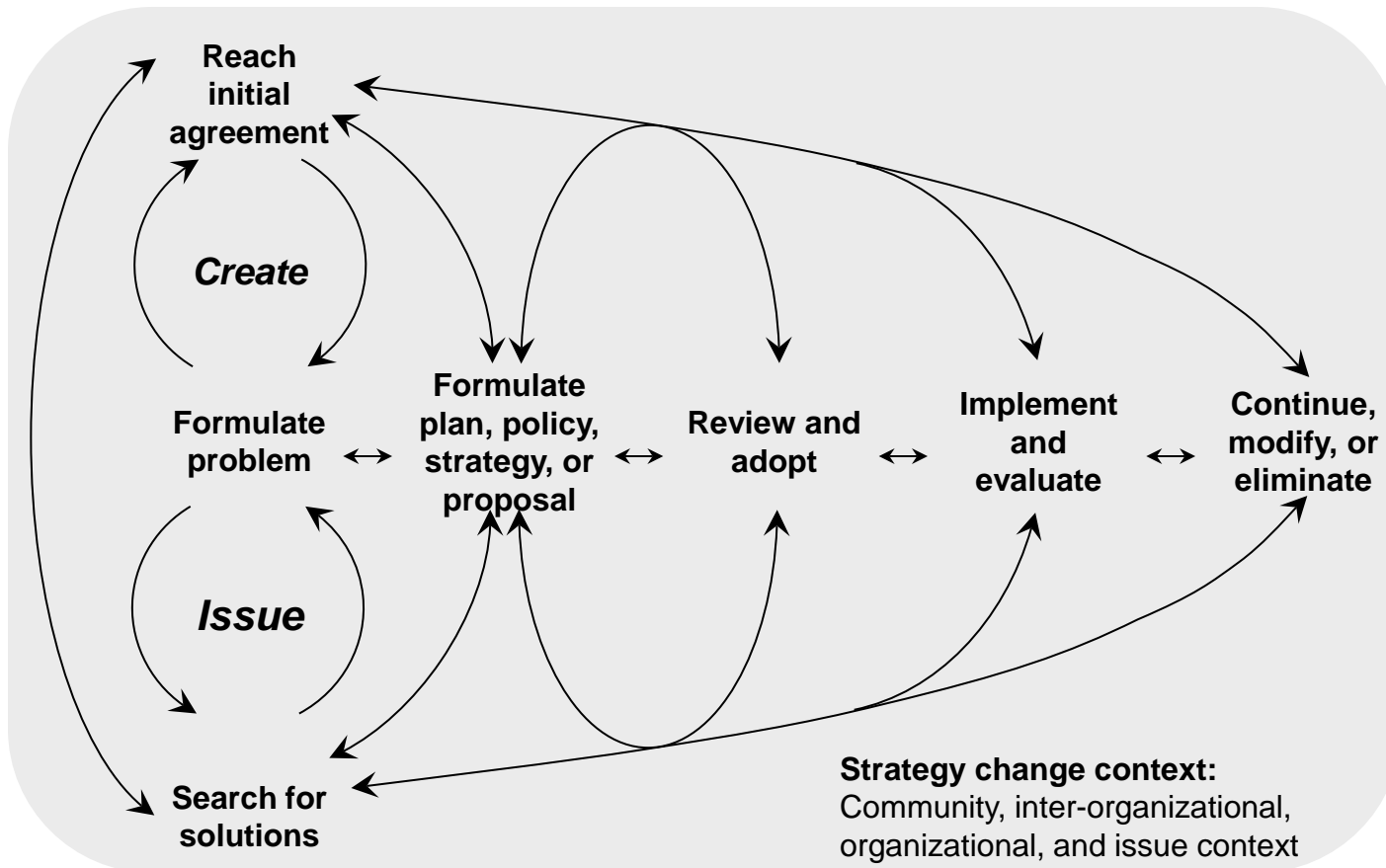
Promise to the Public:

We will implement what you decide.

Example Tools:

- ◆ Citizen Juries
- ◆ Ballots
- ◆ Delegated decisions

Policy Change Cycle



- Process whereby leaders and followers tackle public problems in a shared-power world
- May be viewed as a structured anarchy

Public Participation in Forums, Arenas, & Courts



- **Forums** are where people frame and reframe public issues
- Generally used to:
 - Reach initial agreements to address an issue, plan, work together, etc., including preliminary process design
 - Formulate the real problem(s)
 - Search for potential/alternative solutions
 - Continue, modify, or eliminate implemented solutions; decide how to proceed

continues...

Public Participation in Forums, Arenas, & Courts



- **Arenas** are where legislative, executive, or administrative decisions are made and implemented
- Generally used to:
 - Formulate winning proposals for policies, plans, programs, budgets, rules, etc.
 - Review and adopt proposals
 - Implement and evaluate adopted solutions

continues...

Public Participation in Forums, Arenas, & Courts



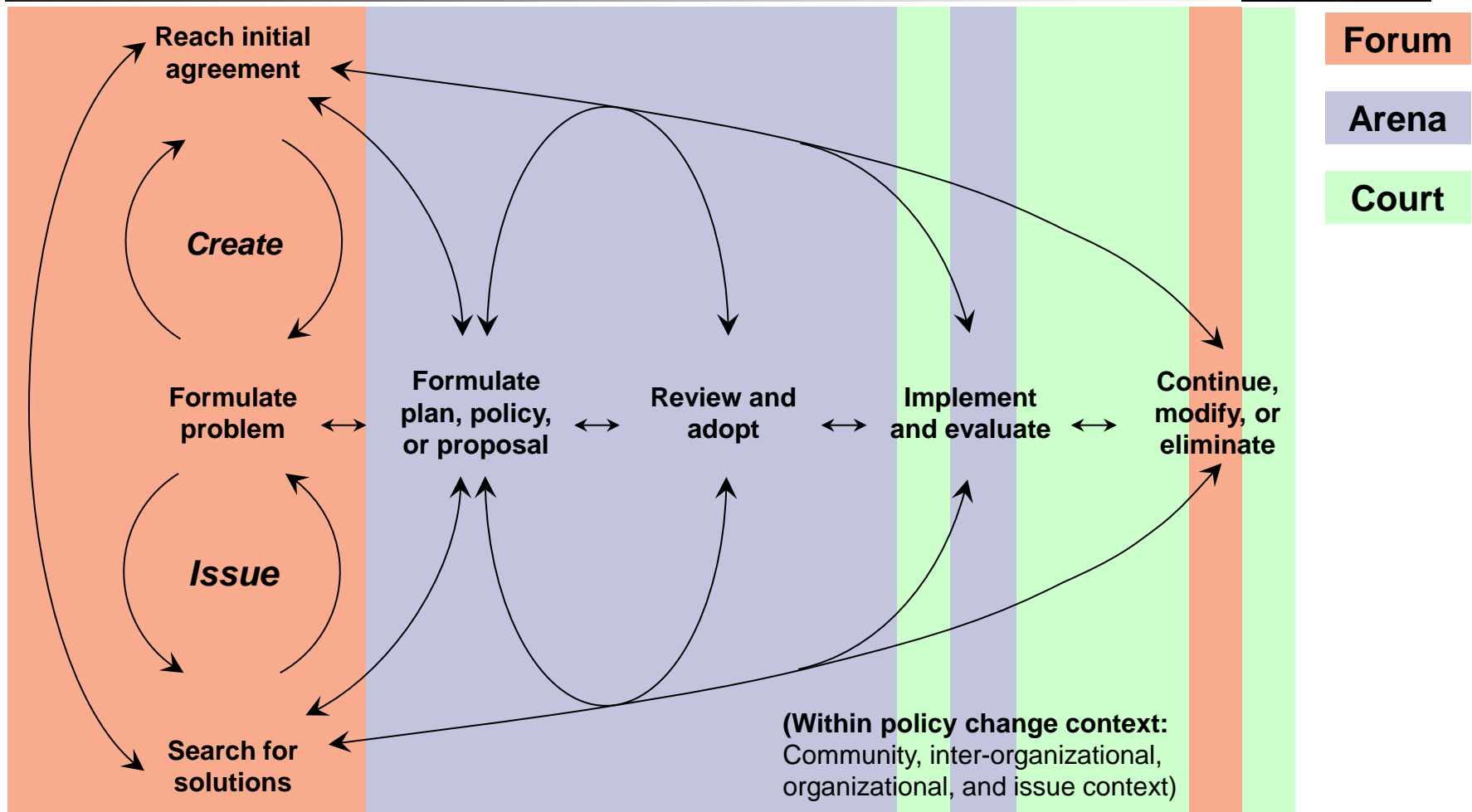
- **Courts** are where decisions and conduct are judged or evaluated, usually to manage/settle residual conflicts/disputes
- Generally used to:
 - Implement and evaluate adopted solutions
 - Continue, modify, or eliminate implemented solutions; decide how to proceed

Public Participation in Forums, Arenas, & Courts



- How do forums, arenas, and courts correlate with the IAP2 Spectrum of Public Participation? (think about means and times of access and influence)
- How can PP core values be interpreted and applied across a range of potential points of access and influence?
- How do forums, arenas, and courts correlate with the Strategy Change Cycle?

Navigating the Policy Change Cycle, by Venue



Successful Change



- Skill + luck...
- Tasks common to successful processes
 - Identify challenges, issues, and problems
 - Develop ideas, strategies for addressing them
 - Develop coalitions to support strategies and ideas
 - Manage settings, occasions, and meetings
 - Use specific and effective processes
 - Use tools and techniques in appropriate ways at appropriate times

continues...

Successful Change



- Characteristics of successful processes
 - Response to real needs and opportunities
 - Sponsors on board with needed levels of power, authority, and responsibility
 - Effective champions
 - Effective facilitators
 - Ability to manage timing to advantage
 - Ability to handle disruptions and delays

continues...

Successful Change



- Characteristics of successful processes
 - Effective design and use of forums, arenas, courts
 - Effective and powerful coalition of support
 - Creation of a “regime of mutual gain”
 - Legitimate, acknowledged, and effective public participation
 - Demonstrated success

continues...

Successful Change



- Characteristics of effective use of tools and techniques
 - Various effective tools and techniques
 - Tools and techniques used in the right way, at the right time, with the right people, in the right places, with the right effects
- What are tasks and characteristics of unsuccessful processes?

Tangible/
Visible



Intangible/
Invisible

- **Adopted policy, plan or proposal that spells out, for example:**

- Mission and vision; philosophy and values
- Goals, objectives, and performance measures
- Strategies; action plans
- Budgets; evaluation process

- **Widespread appreciation of and commitment to mission, vision, philosophy, strategies, and other key plan elements by:**

- Senior leadership
- Major employee groups
- Other key stakeholders

- **Documented commitments to:**

- Work program (steps, procedures, contacts, deliverables)
- Stakeholder involvement process
- Data collection and analysis process and procedures
- Procedural requirements and expectations

- **Widespread appreciation of:**

- Stakeholders, relationships, values, interests, and needs
- How to work together
- Effective conflict management
- Organizational culture
- Uncertainties
- Process pressures, constraints
- How to achieve legitimacy

Content



Process



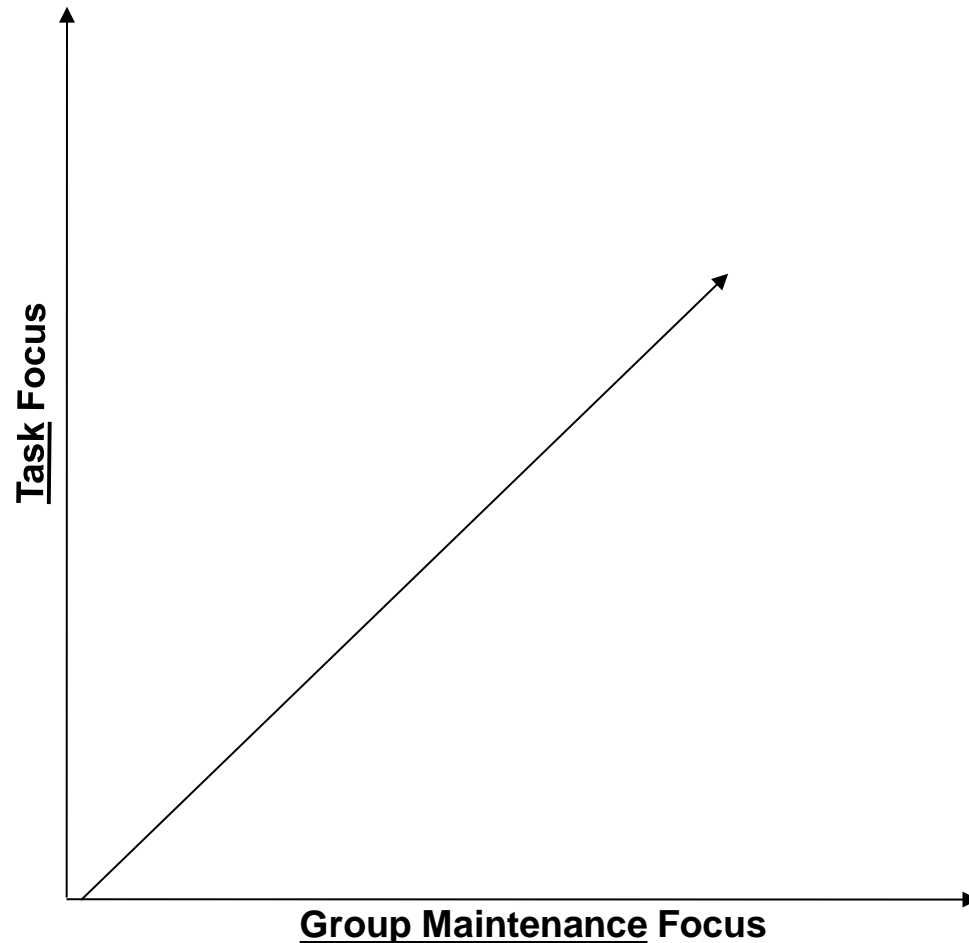
Sample Teaching Module: Group Effectiveness, Interaction, and Communications

Role Functions in a Group

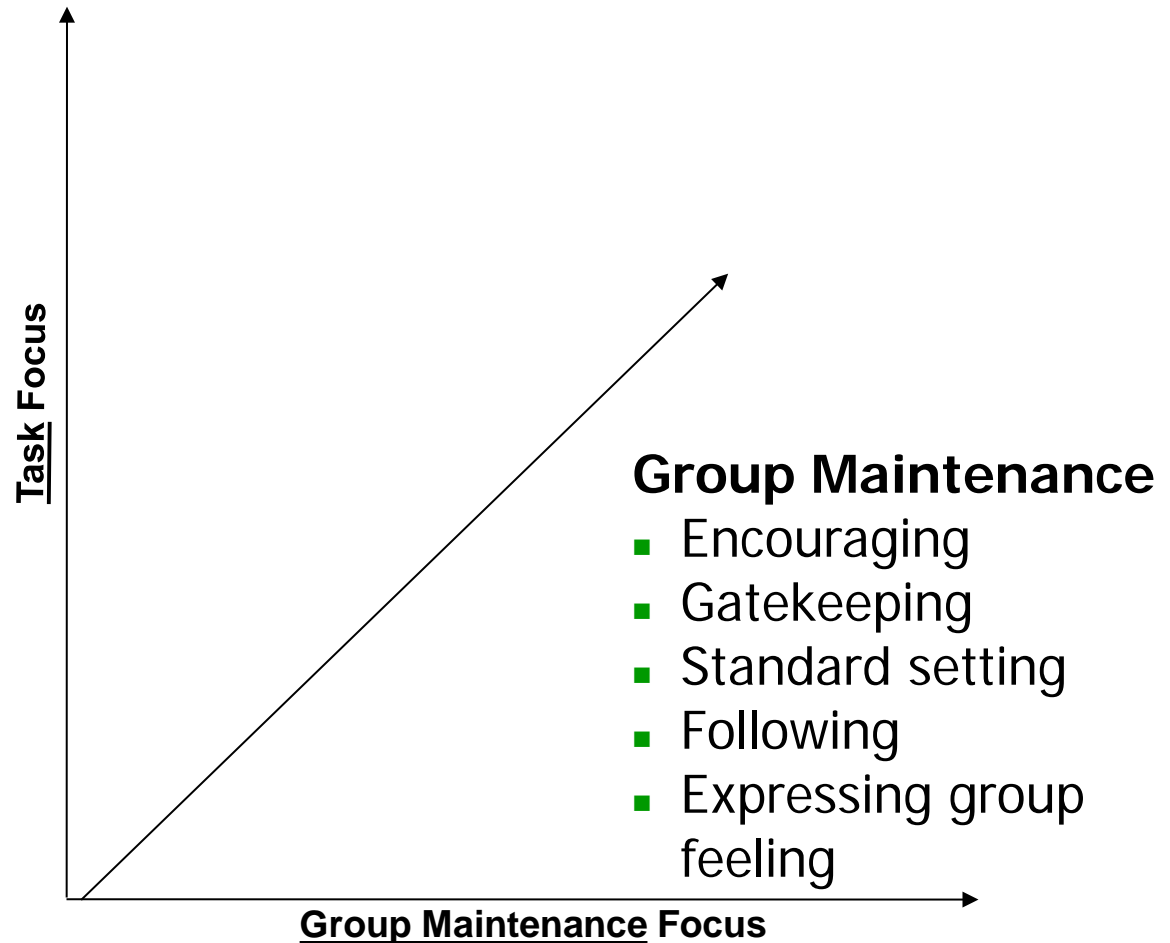


Task Roles

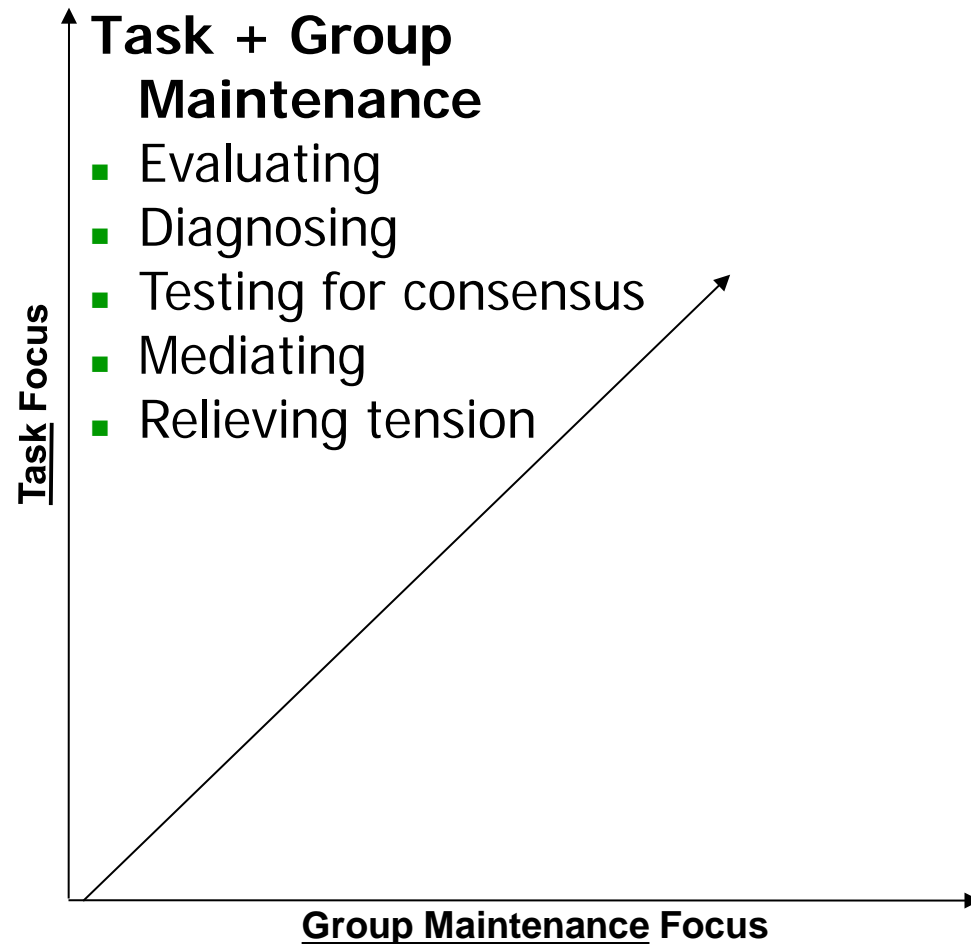
- Initiating activity
- Seeking information
- Seeking opinion
- Giving information
- Giving opinion
- Elaborating
- Coordinating
- Summarizing



Role Functions in a Group



Role Functions in a Group

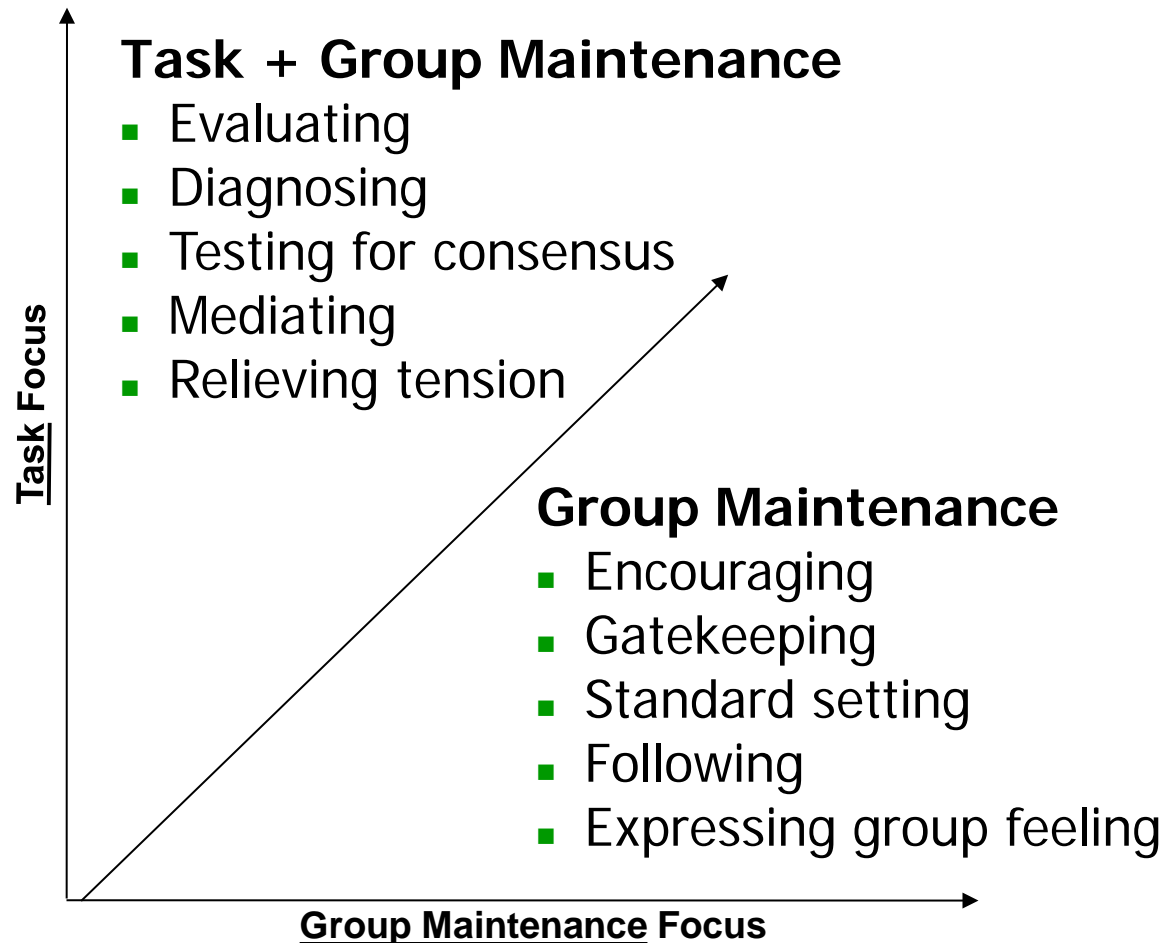




Role Functions in a Group

Task Roles

- Initiating activity
- Seeking information
- Seeking opinion
- Giving information
- Giving opinion
- Elaborating
- Coordinating
- Summarizing



Role Functions in a Group



- Nonfunctional Behavior
 - Being aggressive
 - Blocking
 - Self-confessing
 - Competing
 - Seeking sympathy
 - Special pleading
 - Horsing around
 - Seeking recognition
 - Withdrawal

Building Group Cohesion: Overview



- Shared goals
- Social interdependence; shared-power context
- Supportive vs. defensive behavior
- Open vs. closed relationships
- Trusting and trustworthy behavior
- Supportive norms

Group Cohesion: Shared Goals



- Shared goals
 - Varied motives are typical, but can be challenging
 - There is hope with at least some shared goals

continues...

Group Cohesion: Interdependence



- Social interdependence; shared-power context
 - When individuals' abilities to achieve separate and shared goals is affected by actions of others

continues...

Group Cohesion: Supportive vs. Defensive



- Supportive vs. defensive behavior
 - People feel defensive when they feel attention is drawn to perceived flaws
 - Self-acceptance is necessary to reduce fears about own vulnerabilities, and is a precursor to accepting others

Group Cohesion: Open vs. Closed Behavior



- Open vs. closed relationships
 - Based on accepting oneself and others
 - Focusing on each person's ideas, attitudes, feelings
 - Openness need not imply agreement

Group Cohesion: Open vs. Closed Relationships



	Closed ←————→ Open			
Content being discussed	Of concern to no one (weather talk)	Technical aspects of work	Ideas and feelings of one person	Relationship between the two persons
Time reference	None; jokes, generalizations	Distant past or future	Recent past or future	The immediate “here and now”
Awareness of <u>own</u> sensing, interpreting, feeling, intending	Never listen to yourself; try to ignore, repress, and deny feelings and reactions		Constantly aware of sensing, interpretations, feelings, and intentions about acting on your feelings	
Openness with <u>own</u> ideas, feelings, reactions	Generalizations, abstract ideas, intellectualizations; feelings are excluded		Attitudes, values, preferences, feelings, experiences, and observations; feelings are included	

Source: Johnson, David W. and Frank P. Johnson. 2000. *Joining Together: Group Theory and Group Skills*.

continues...

Group Cohesion: Open vs. Closed, cont.



	Closed ←	→ Open
<u>Feedback from other people</u>	Feedback avoided or perceived as hostile	Feedback sought, used, and perceived as helpful
<u>Acceptance of yourself</u>	Perceive self as disliked; hide self; present impression you think will be most appreciated by other people	Confidence without bragging or false modesty; know how to use strengths to achieve goals
<u>Openness to others' ideas, feelings, reaction</u>	Avoid and disregard others' reactions, ideas, and feelings; embarrassed by feelings; reject other people and try to better them; refuse feedback and reactions	Solicit others' reactions, ideas, and feelings; interested in and receptive to others; desire to cooperate; see values and strengths even when you disagree; seek feedback and perceptions
<u>Acceptance of other people</u>	Evaluate others' actions, communicate that others are unacceptable, show disregard for others	React without evaluation to others, communicate that others are acceptable, value others as people

Source: Johnson, David W. and Frank P. Johnson. 2000. *Joining Together: Group Theory and Group Skills*.

Group Cohesion: Trust



- **Openness** with information, ideas, thoughts, feelings, reactions
- **Sharing** information and resources to help group move forward
- **Acceptance** of others and their contributions, even if you disagree
- **Support** for others' strengths and abilities
- **Cooperative intentions** to help the group achieve its goals

Group Cohesion: Trust



- Trusting and trustworthy behavior
 - Trusting behavior: willingness to take risks by making yourself vulnerable to others
 - Trustworthy behavior: responding to other's risk-taking in a way that they think good things will result
- Building trust depends as much or more on trustworthy behavior as it does on trusting behavior

Group Cohesion: Supportive Norms



Group norms help improve group effectiveness

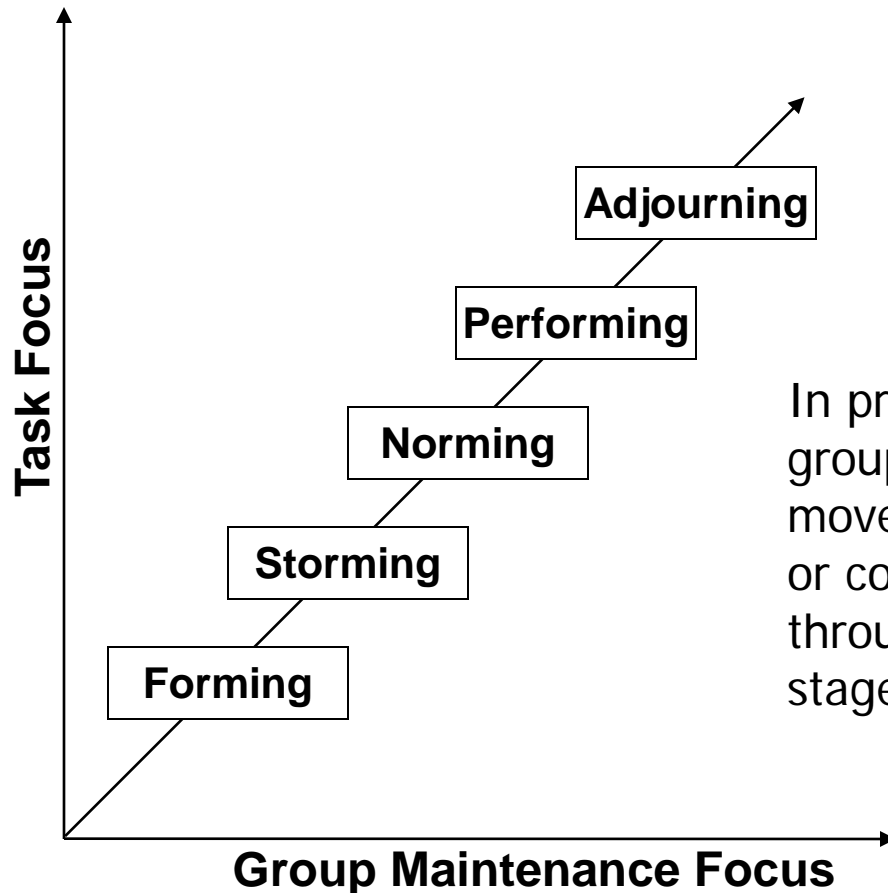
Norms may be:

- Standards to help accomplish group work
- “Unwritten rules” about beliefs, values, and operating principles
- Themes in stories about important events, celebrations, and rituals
- The way the group does things; how things really work

Norms usually are **not**:

- Written policies
- Codified in managerial memos
- Formally included in job descriptions
- Formally stated anywhere in the system

Tuckman: Five Stages of Group Development



In practice, groups don't move smoothly or continuously through these stages

Tuckman: Five Stages of Group Development



- Stage 1, Forming: Forming the group, setting ground rules, finding similarities
- Stage 2, Storming: Dealing with power and control; surfacing differences
- Stage 3, Norming: Managing conflict, finding norms, and resurfacing differences
- Stage 4, Performing: Functioning as an effective group
- Stage 5, Adjourning and finding closure

Stage 1: Forming



Forming the group, setting ground rules, finding similarities

- Polite, low conflict
- Low focus, little listening
- Hidden feelings
- Focus on information and data
- Inclusion/exclusion
- Why am I here?
- Who are these people?
- What are we (am I) supposed to do?
- What kinds of behavior are appropriate?

Stage 2: Storming



Dealing with power and control; surfacing differences

- Subgroups, individuals try to influence
- Competition, confrontation, conflict
- Polarization; cliques; lack of shared vision
- Opinions; frustration
- Emotional reactions, misperceptions
- Process issues discussed outside of meeting
- Quick fix: address symptoms vs. problems
- Power inequities, struggle as members “jockey for position”

Stage 3: Norming



Managing conflict, finding norms, and resurfacing differences

- Authority/leadership issues addressed
- Issues, not people, confronted
- Cohesion
- Active listening
- Risk taking
- Relevant questions asked
- Focus
- Broader contributions
- Values and assumptions addressed
- Complacency may develop
- Move beyond blame to responsibility

Stage 4: Performing



Functioning as an effective group

- New behaviors, ideas
- Honesty, respect, authenticity
- Creative approaches
- Diversity affirmed and welcomed
- Member energize each other
- Clarity about each other
- Frequent process review
- Outside help/resources welcomed
- Differences bridged with integrity
- Commitment to work toward common goals
- Decision-making process understood

Stage 5: Adjourning



Adjourning and finding closure

- Group sense that the work is done
- Apprehension over the impending loss of group identity and friendships
- Cleaning up the group's undone tasks and removing symbols of the group
- Evaluating the results and producing final reports
- Saying goodbye

Group Structures/Tasks



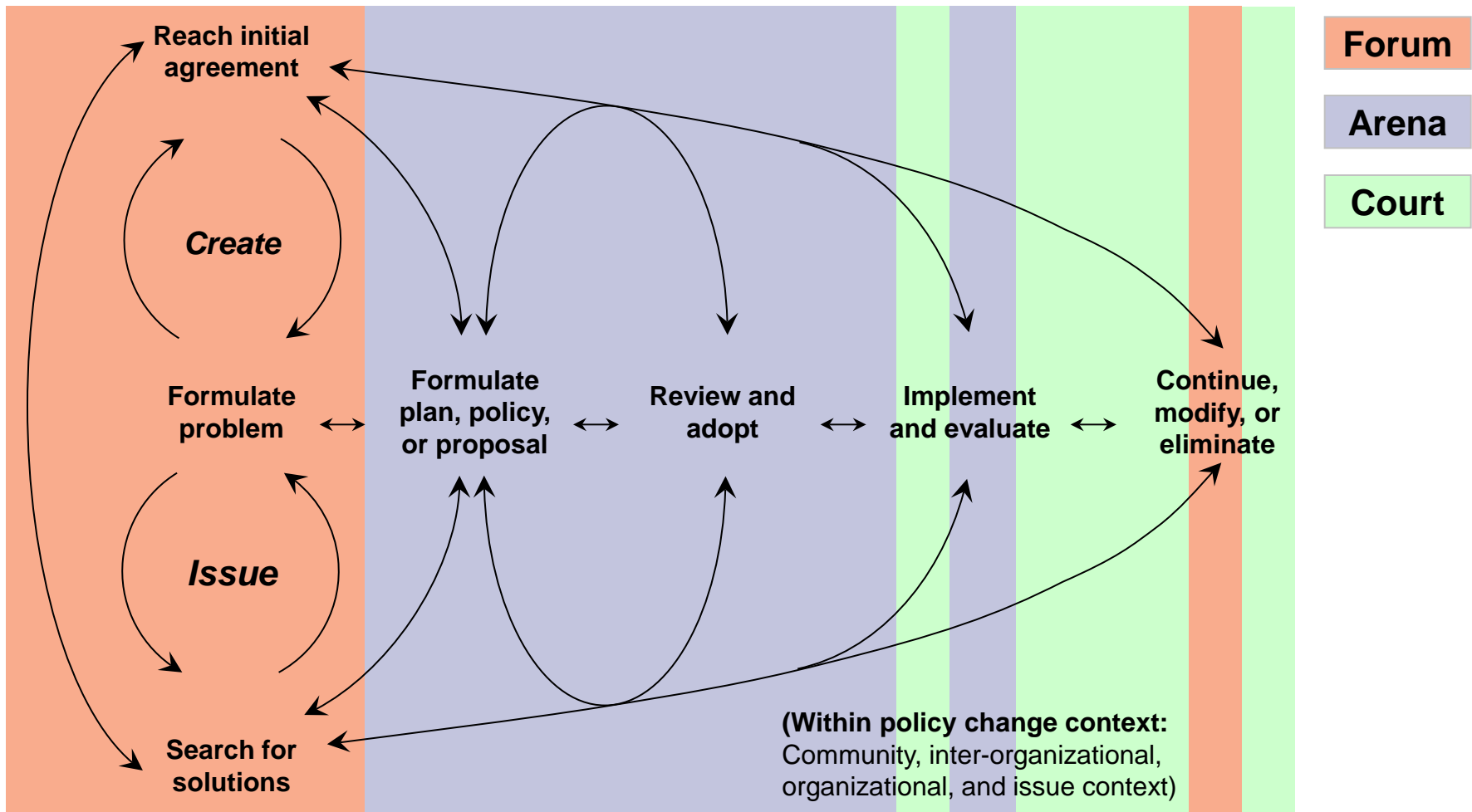
- Matching Group Structures and Tasks (matrix): Arrays group types against typical needs and issues in different phases of the policy change cycle
- See sample matrix in Fieldbook (discuss)

Forums, Arenas, Courts



- In **forums**, influencing who speaks and who listens affects what gets discussed
- In **arenas**, influencing who makes decisions affects what gets on the agenda and which decisions get made
- In **courts**, influencing settling of residual conflicts affects which disputes are raised and which actions are allowed

Policy Change Cycle, Tasks, and Venue



TASKS, NEEDS, ISSUES	GROUP STRUCTURE OR TYPE										
	Coalitions	Collaboratives	Committees/ subcommittees of larger bodies	Communities of place	Elected bodies	Issue or interest groups	Nonelected/ appointed bodies (bds, commissions, steering)	Partnerships	Permanent work groups or teams	Task forces	Task-specific work groups or teams

Reach initial agreement (design the process)

Identify affected groups	X	X	X			X		X		X	X
Involve affected groups	X	X	X	X	X	X				X	

Formulate or identify problem

Collect information			X	X	X	X	X		X	X	X
Formulate problem or question			X		X	X	X		X	X	X
Define issue	X	X	X	X	X	X	X	X	X	X	X

Search for solutions

Involve affected groups	X	X		X	X	X				X	
Facilitate participation and representation	X	X	X			X		X		X	
Search for ideas or solutions	X	X	X	X		X			X	X	X
Suggest solutions	X	X	X	X	X	X	X	X	X	X	X

Formulate plan or policy

Promote interaction between groups	X				X	X			X	X	
Clarify planning process			X				X			X	
Evaluate alternatives			X		X	X	X		X	X	X
Formulate plan			X		X	X	X	X	X	X	X

Review and adopt proposal

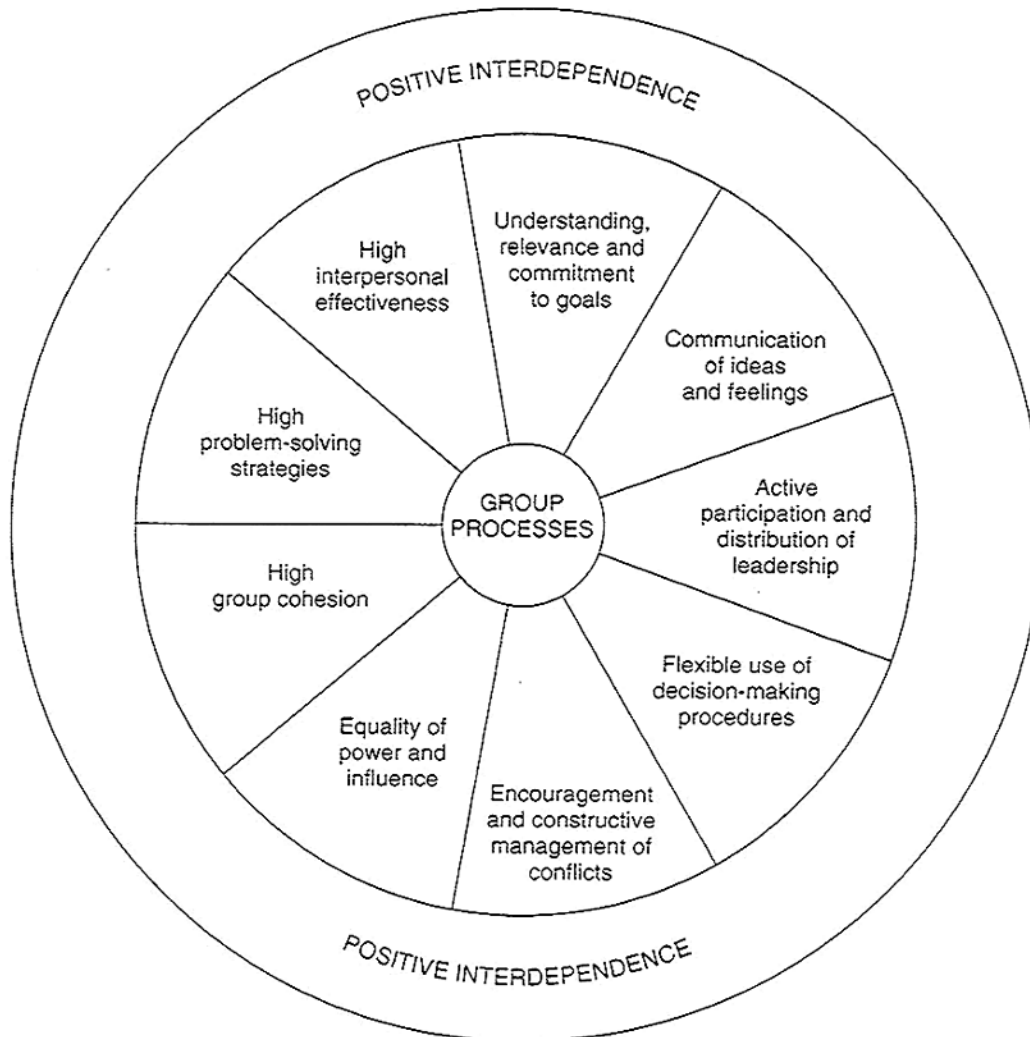
Review plan or policy			X		X		X	X	X	X	X
Develop support; minimize opposition	X	X	X	X		X		X	X	X	X
Adopt proposal			X		X		X	X	X		

Forum

Arena

Court

Effective Groups



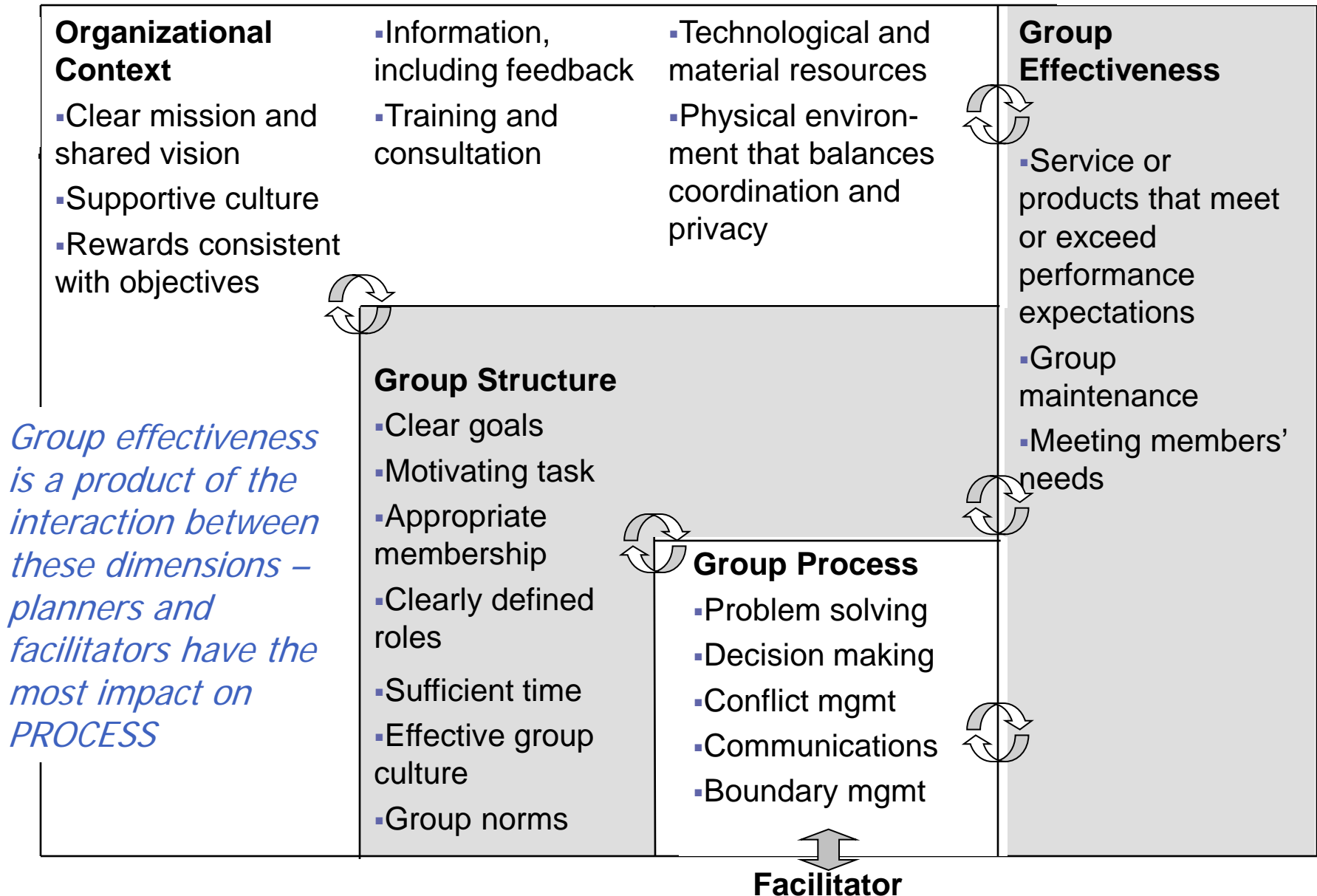
- Positive interdependence, where strong and positive characteristics are supported by appropriate group processes

Members of Effective Groups...



- Share leadership
- Distribute power and influence
- Cooperate to achieve common goals
- Communicate clearly and openly
- Are flexible in their decision-making procedures
- Know how to solve problems and manage conflict
- Try hard
- Actually *enjoy* working together

Roger Schwarz: Group Effectiveness



Products and Outcomes of Group Work



- John Bryson argues the following about the products and outcomes of group work:
 - Most focus is on tangible/visible content results
 - *Invisible/intangible* and *process* elements are equally important
 - Give adequate attention to all for successful strategic plan and process
 - Real success is based on shared mindsets and commitments of key stakeholders

Tangible/
Visible



Intangible/
Invisible

■ **Adopted policy, plan, or proposal that spells out, for example:**

- Mission and vision; philosophy and values
- Goals, objectives, and performance measures
- Strategies; action plans
- Budgets; evaluation process

■ **Widespread appreciation of and commitment to mission, vision, philosophy, strategies, and other key plan elements by:**

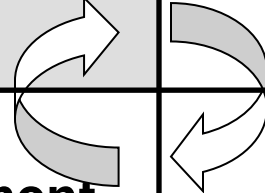
- Senior leadership
- Major employee groups
- Other key stakeholders

■ **Documented commitments to:**

- Work program (steps, procedures, contacts, deliverables)
- Stakeholder involvement process
- Data collection and analysis process and procedures
- Procedural requirements and expectations

■ **Widespread appreciation of:**

- Stakeholders, relationships, values, interests, and needs
- How to work together
- Effective conflict management
- Organizational culture
- Uncertainties
- Process pressures, constraints
- How to achieve legitimacy



Content ← → Process

Tangible/
Visible



Intangible/
Invisible

- **Adopted policy, plan, or proposal that spells out, for example:**

- Mission and vision; philosophy and values
- Goals, objectives, and performance measures
- Strategies; action plans
- Budgets; evaluation process

- **Widespread appreciation of and commitment to mission, vision, philosophy, strategies, and other key plan elements by:**

- Senior leadership
- Major employee groups
- Other key stakeholders

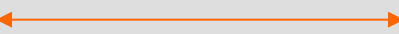
- **Documented commitments to:**

- Work program (steps, procedures, contacts, deliverables)
- Stakeholder involvement process
- Data collection and analysis process and procedures
- Procedural requirements and expectations

- **Widespread appreciation of:**

- Stakeholders, relationships, values, interests, and needs
- How to work together
- Effective conflict management
- Organizational culture
- Uncertainties
- Process pressures, constraints
- How to achieve legitimacy

Content



Process

Effective Communication



- Good message sending
- Good message receiving (active listening)
- Feedback about the impact or perception of the communication

Good Message Sending



- Which of these do you find most difficult?
 - Own your messages
 - Fit the listener's frame of reference
 - Be complete and specific
 - Make your verbal and nonverbal messages congruent
 - Be redundant
 - Be credible
 - Ask for feedback (content, process, and emotion)
 - Describe your feelings clearly
 - Describe others' behavior; no evaluating, interpreting

Good Message Receiving (active listening)



- Which of these do you find most helpful?
 - Maintain an alert body posture
 - Be (or at least act) interested
 - Avoid distractions
 - When appropriate, offer verbal encouragement
 - Gather information
 - Ask for clarification of meaning, nonjudgmentally
 - Describe how you perceive the sender's feelings

Feedback: Communication impact or perception



- Why do so many get into trouble here?
 - Be specific rather than general
 - Focus on the behavior, not the person
 - Direct the feedback toward something the receiver can change
 - Share ideas and information, rather than give advice
 - Time and place matter
 - Don't give more info than the receiver can handle
 - Focus on what was done or how it was done, not why
 - Check to ensure clear communication

Dialogue and Group Learning



- A formal dialogue process can help team members view a problem from each other's perspective and enhance their creativity
- Perspective-taking through dialogue helps prevent members' differences from becoming personalized conflicts that stifle creativity and commitment

Dialogue vs. Discussion



■ Dialogue (helps contain conflict)

- Free and creative exploration of complex and subtle issues
- Deep listening to one another and suspending of one's own views
- Complex issues are explored
- Divergent process



■ Discussion (may exacerbate difficulties)

- Different views are presented and defended
- Search for the best view to support decisions that must be made at this time
- Decisions made
- Convergent process

Dialogue



- Conditions necessary for dialogue:
 - Suspend assumptions
 - See each other as colleagues
 - Create spirit of inquiry

Dialogue: Suspend Assumptions



- Be aware of assumptions and hold them up for examination

Dialogue: See Each Other as Colleagues



- Willingness to consider each other as colleagues
- Does not mean you need to agree or share the same views
- People must want the benefits of dialogue more than privileges of rank

Dialogue: Create Spirit of Inquiry



- Use facilitator to hold context of dialogue
- Facilitator helps people maintain ownership of the process and outcomes
- Facilitator keeps the dialogue moving by:
 - Reflecting on own assumptions
 - Inquiring into each person's thinking
 - Exposing own thinking
- Facilitator does not take on role of expert

Public Participation Fieldbook



References

- Anderson, M., et al. (1999). *Facilitation resources* (Vol. 1, p. 1.9). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu
- Anderson, M., et al. (1999). *Facilitation resources* (Vol. 2, p. 2.10-2.11). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu
- Anderson, M., et al. (1999). *Facilitation resources* (Vol. 6, p. 6.12). St. Paul, MN: University of Minnesota Extension Distribution Center. www.extension.umn.edu
- Argyris, C. (1982). The executive mind and double-loop learning. *Organizational Dynamics*, 5-22.
- Bacon, T. R. (1996). *High impact facilitation*. Durango, CO: International Learning Works.
- Bardach, E. (2000). *A practical guide for policy analysis* (2nd ed.). Chatham, NJ: Chatham House.
- Benne, K. D., & Sheats, P. (1948). Functional roles and group members. *Journal of Social Issues*, 55(2).
- Bolman, L. G., & Deal, T. E. (2003). *Reframing organizations--artistry, choice, and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Bolman, L. G., & Deal, T. E. (1992). What makes a team work? *Organizational Dynamics*, 21(2), 34-44.
- Boyte, H., & Kari, N. (1996). *Rebuilding America: The democratic promise of public work*. Philadelphia, PA: Temple.
- Bryson, J. M. (2004a). *Strategic planning for public and nonprofit organization* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Bryson, J. M. (2004b). What to do when stakeholders matter: A guide to stakeholder identification and analysis techniques. *Public Management Review* 6(1), 21-53.
- Bryson, J., Ackermann, F., Eden, C., & Finn, C. (2004). *Visible thinking: Unlocking causal mapping for practical business results*. Chichester and London, England: John Wiley and Sons.
- Bryson, J. M., & Alston, F. K. (1996) *Creating and implementing your strategic plan*. San Francisco, CA: Jossey-Bass.
- Bryson, J. M., Cunningham, G., & Lokkesmoe, K. (2002). What to do when stakeholders matter: The case of problem formulation for the African American men project of Hennepin County, Minnesota. *Public Administration Review*, 62(5), 568-584.
- Bryson, J. M., & Delbecq, A. L. (1979). A contingent approach to strategy and tactics in project planning, *Journal of the American Planning Association*, 45(2), 167-179.
- Carlson, B. Creating a participation strategy (2000, October 15). Manuscript published by the Minnesota Department of Natural Resources.
- Code of ethics for facilitators*. (1992, pp. 29-30). Los Angeles, CA: Josephson Institute of Ethics, Government Ethics Center.

- Crosby, B. C., & Bryson, J. M. (2005). *Leadership for the common good* (2nd ed). San Francisco, CA: Jossey-Bass.
- Deutsch, M. (1960). The effects of cooperation upon group process. In D. Cartwright and A. Zander, *Group dynamics--research and theory* (2nd ed.). Evanston, IL: Row, Peterson and Co.
- Eden, C., & Ackermann, F. (1998). *Making strategy*. Thousand Oaks, CA: Sage.
- Filley, A. (1975). *Interpersonal conflict resolution*. Glenview, IL: Scott, Foresman.
- Fisher, R., & Brown, S. (1988). *Getting together: Building a relationship that gets to yes*. Boston, MA: Houghton Mifflin.
- Fisher, R., & Ury, W. (1981). *Getting to yes: Negotiating agreement without giving in*. New York: Penguin.
- Friend, J.K. & Hickling, A. (2005). *Planning under pressure the strategic choice approach*. Amsterdam, Elsevier/Butterworth Heineman.
- Hamel, M. (2000, November). Materials prepared for the Public Involvement Counsel, Wisconsin Department of Natural Resources, (Part 1), 28-30. Madison, WI.
- Hamel, M. (2001). *Nude Beach Exercise*. Wisconsin Department of Natural Resources. Madison, WI.
- Harvey, J. (1996). *The Abilene paradox and other meditations on management*. San Francisco, CA: Jossey-Bass.
- Innes, J., & Booher, D. (1999). Consensus building as role playing and bricolage: Toward a theory of collaborative planning. *Journal of the American Planning Association*, 65(1), 9-26.
- International Association for Public Participation (IAP2). (2000). *Public participation spectrum*. Retrieved from <http://www.iap2.org/>
- International Association for Public Participation (IAP2). (2005). *Core values for the practice of public participation*. Retrieved from <http://www.iap2.org/>
- Janis, I. (1989). *Crucial decisions: Leadership in policy making and crisis management*. New York: Free Press.
- Johnson, D. W., & Johnson, F. P. (2000). *Joining together: Group theory and group skills* (7th ed.). Boston, MA: Allyn and Bacon.
- Johnson, D. W., & Johnson, F. P. (2002). *Joining together: Group theory and group skills* (8th ed.). Boston, MA: Allyn and Bacon.
- Kearny, L. (1995). *The facilitator's tool kit: Tools and techniques for generating ideas and making decisions in groups*. Amherst, MA: HRD Press.
- Making group decisions*. (1989). Burlington, VT: University of Vermont Extension.
- Marshall Scott Poole and Associates. (1975). *Ugli orange*. Madison, WI: Center for Conflict Resolution.
- McCall, J., Jr., & Kaplan, R. (1990). *Whatever it takes: The realities of managerial decision making* (Rev. ed.) (p. 26). Englewood Cliffs, NJ: Prentice-Hall.
- Mintzberg, H. (1994). *The rise and fall of strategic planning*. New York, NY: Free Press.
- Moore, C. (1986). *The mediation process: Practical strategies for resolving conflict*. San Francisco, CA: Jossey-Bass.
- Nelson, B. J., & Hummer, A. (2004). Mission expansion: The origins of the YWCA's anti-racism campaign. In Barbara J. Nelson. *Leadership and diversity: A case book* (pp. 55-66). Los Angeles, CA: School of Public Affairs, University of California, Los Angeles.

- Newstrom, J., & Scannell, E. (1998). *The big book of team building games*. New York: McGraw-Hill.
- Nutt, P., & Backoff, R. (1992). *Strategic management for public and third sector organizations*. San Francisco, CA: Jossey-Bass.
- Putnam, R. (2000). *Bowling alone: The collapse and revival of American community*. New York, NY: Simon and Schuster.
- Rusk, T. (with Miller, P.). (1993). *The power of ethical persuasion*. New York: Viking.
- Schein, E. (1992). *Organizational culture and leadership* (2nd ed.). San Francisco, CA: Jossey-Bass.
- Schein, E. (2004). *Organizational culture and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.
- Senge, P.M. (1990). *The fifth discipline: The art and practice of the learning organization*. New York: Doubleday.
- Schwarz, R. (1994). *The skilled facilitator: Practical wisdom for developing effective groups*. San Francisco, CA: Jossey-Bass.
- Scott, J. (1998). *Seeing like a state*. New Haven, CT: Yale University Press.
- Stamp, G., Vangelisti, A., & Daly, J. (1992). The creation of defensiveness in social interaction. *Communication Quarterly*, 40(2), 177-190.
- Terry, R.W. (2004). *Seven zones for leadership: Acting authentically in stability and chaos*. Mountain View, CA: Davies-Black Publishers.
- Terry, R.W. (2001). *Authentic leadership: Courage in action*. Hoboken, NJ: John Wiley & Sons, Inc.
- Thomas, J. (1993). Public involvement and governmental effectiveness: A decision-making model for public managers. *Administration and Society*, 24(4), 1993, 444-69.
- Thomas, J. (1995). *Public participation in public decisions*. San Francisco, CA: Jossey-Bass.
- Thomas, K., & Kilmann, R. (1974). *Thomas-Kilmann conflict mode instrument*. Tuxedo, NY: Xicom.
- Thompson, L. (2001). *The mind and heart of the negotiator*. Englewood Cliffs, NJ: Prentice-Hall.
- Vroom, V., & Jago, A. (1988). *Then new leadership: Managing participation in organizations*. Englewood Cliffs, NJ: Prentice-Hall.
- Vroom, V., & Yetton, P. (1973). *Leadership and decision making*. Pittsburgh, PA: University of Pittsburgh Press.
- Whetten, D., & Cameron, K. (1984). *Developing management skills* (pp. 188-189). Glenview, IL: Scott, Foresman and Company.
- Wildavsky, A. (1979). *Speaking truth to power*. Boston, MA: Little, Brown.