

5 Essential Processes for Facilitators

THE PRIMARY CONTRIBUTION OF ANYONE ACTING IN THE PROCESS ROLE is to provide structure that creates effective group interaction. The flow charts and notes in this chapter detail the steps in these common processes.

Advanced facilitators know the steps of the most pervasive processes and are aware of how they unfold.

It's important to note that some of the processes described may be completed during a single facilitated meeting. An example of this is a one- or two-day team-building retreat in which all of the process steps are completed at the same time. In other cases, the process will comprise a number of facilitated discussions held over weeks or months. An example of this is a process improvement project or a major change initiative. In these instances, several facilitated meetings may need to be held within each process step.

Similarly, each of the processes that are outlined can be applied at either the micro or macro level. For example, problem solving can be done with a group of five or with a group of 50. Likewise, strategic plans can be created for a single department or for entire communities. In every instance, the facilitator needs to identify both the scale and the scope of the activity.

Since situations vary greatly in terms of their complexity and related organizational dynamics, these samples are offered solely as a high-level overview for quick reference. They all need to be more fully fleshed out and custom designed to fit specific situations.

The process maps that are provided are divided into three categories:

Planning Process

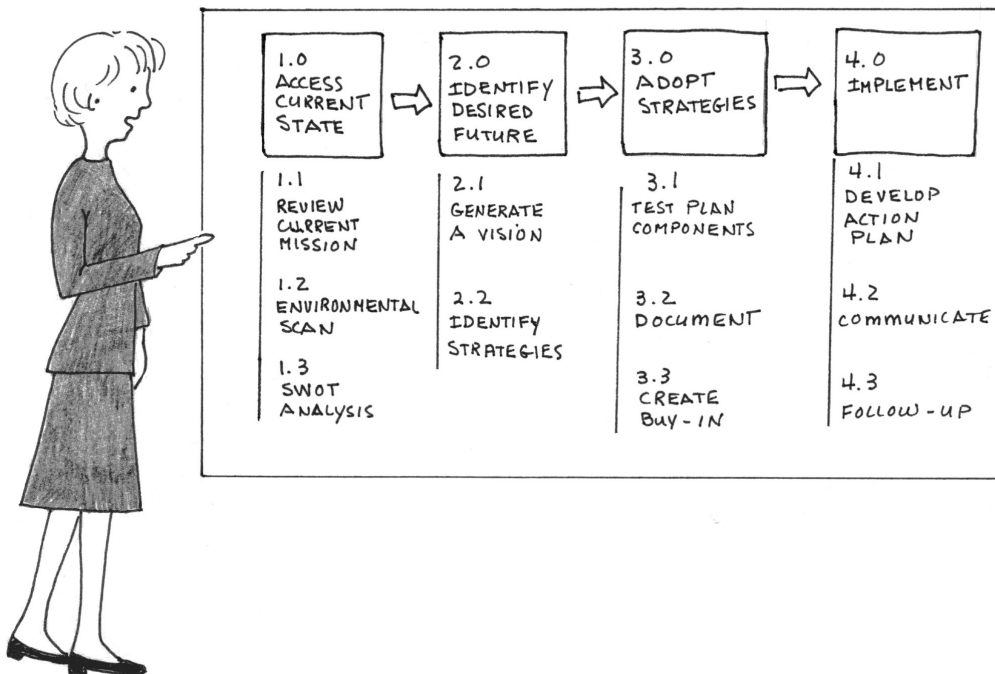
- Strategic Planning
- Change Management
- Project Management
- Benchmarking
- Priority Setting

Problem-Solving Processes

- Large-Group Problem-Solving
- Process Improvement
- Survey Feedback
- Win/Win Negotiation

Relationship -Building Processes

- Customer Service Improvement
- Team Launch
- New Leader Integration
- Conflict Mediation
- Coaching



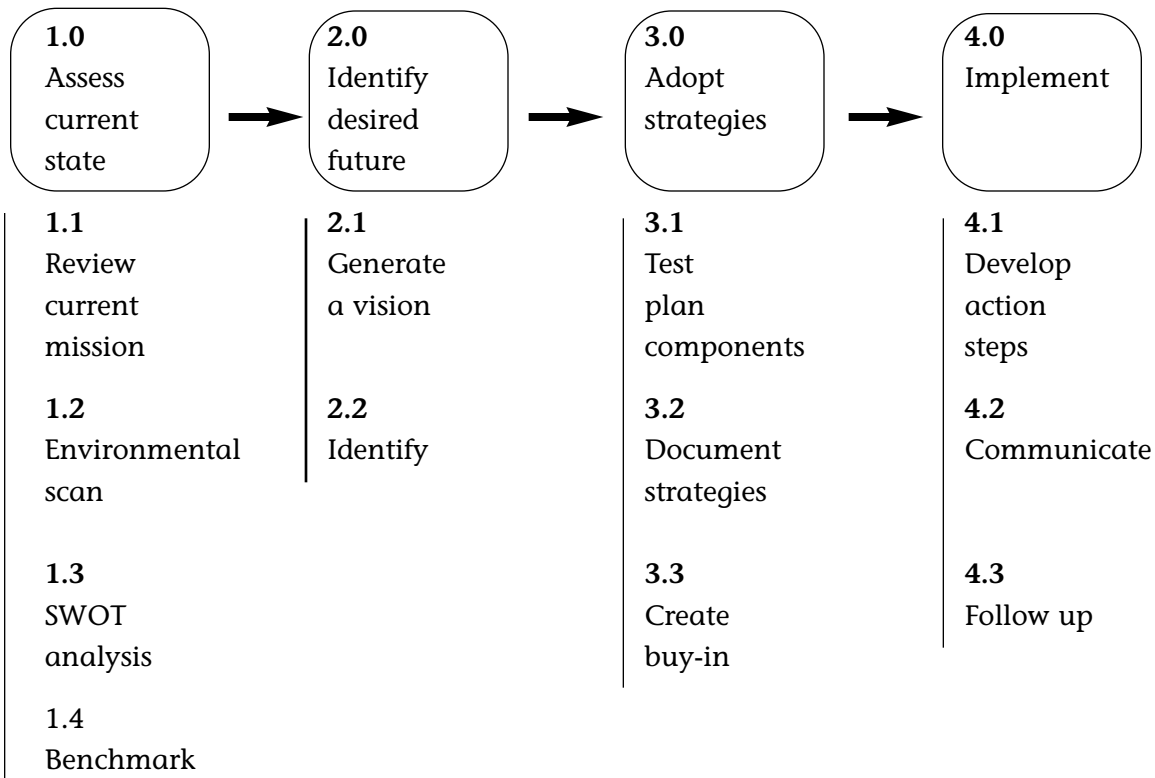
Strategic Planning

What is it? A participative process for creating long-range plans.

What's the purpose? To create a detailed multi-year plan with the input and collaboration of key stakeholders.

When to use it? When there is a need for a clear future direction, and buy-in from key stakeholders is essential.

Process steps:



Strategic Planning – Process Notes

1.0 Assess the current state

1.1 Review current mission – engage key stakeholders in revisiting the mission statement that has guided the organization in the past. Also review and assess the key strategies the organization has been using to achieve its mission.

1.2 Environmental scan – research the broader trends and patterns in the marketplace, the community, or the country. If the scale of the enterprise warrants it, hire consultants or futurists. In some scenarios, bring a large group together for an environmental scanning discussion. Highlight the trends most likely to impact the organization.

1.3 Conduct a SWOT Analysis – hold focus groups with key players to conduct a comprehensive analysis of the strengths and weaknesses of the current operation. Ensure that sufficient data is gathered to validate this analysis. Test analysis with stakeholders.

Next, explore the threats. Begin with current threats and current responses, then move on to discuss future threats and assess the effectiveness of dealing with them using current responses or strategies.

Finally, discuss opportunities. Start with current opportunities and threats, then identify future opportunities and assess the effectiveness of dealing with them using current responses or strategies.

1.4 Benchmark – study leaders and role models in similar or different enterprises. Conduct field research. Identify key success factors. Share this information with stakeholders.

2.0 Identify desired future

2.1 Generate a vision – engage stakeholders in visioning process. Encourage members to identify breakthroughs that represent departures from the past. Ask people to imagine the ideal future of the organization.

2.2 Identify strategies – articulate and flesh out the specific operational strategies that help the organization achieve the new vision. Distill key ideas and formulate a new mission statement.

3.0 Adopt strategy

3.1 Test plan components – engage stakeholders in reviewing elements of the strategy to ensure feasibility (cost, feasibility, appeal to the marketplace, ease of implementation, etc.).

3.2 Document – prepare a written summary of the entire process including the new mission and strategies.

3.3 Create-buy-in – share the new strategy not only with key stakeholders, but also other players who may not have been part of the process. Explain key features and deal with potential resistance factors.

4.0 Implement

4.1 Develop action steps – identify all of the specific steps that must be taken to execute the strategic plan. Assign responsibilities and align budgets.

4.2 Communicate – create suitable vehicles that communicate the plan appropriately to targeted audiences.

4.3 Follow up – create an evaluation mechanism for tracking and evaluating the effectiveness of the strategic plan.

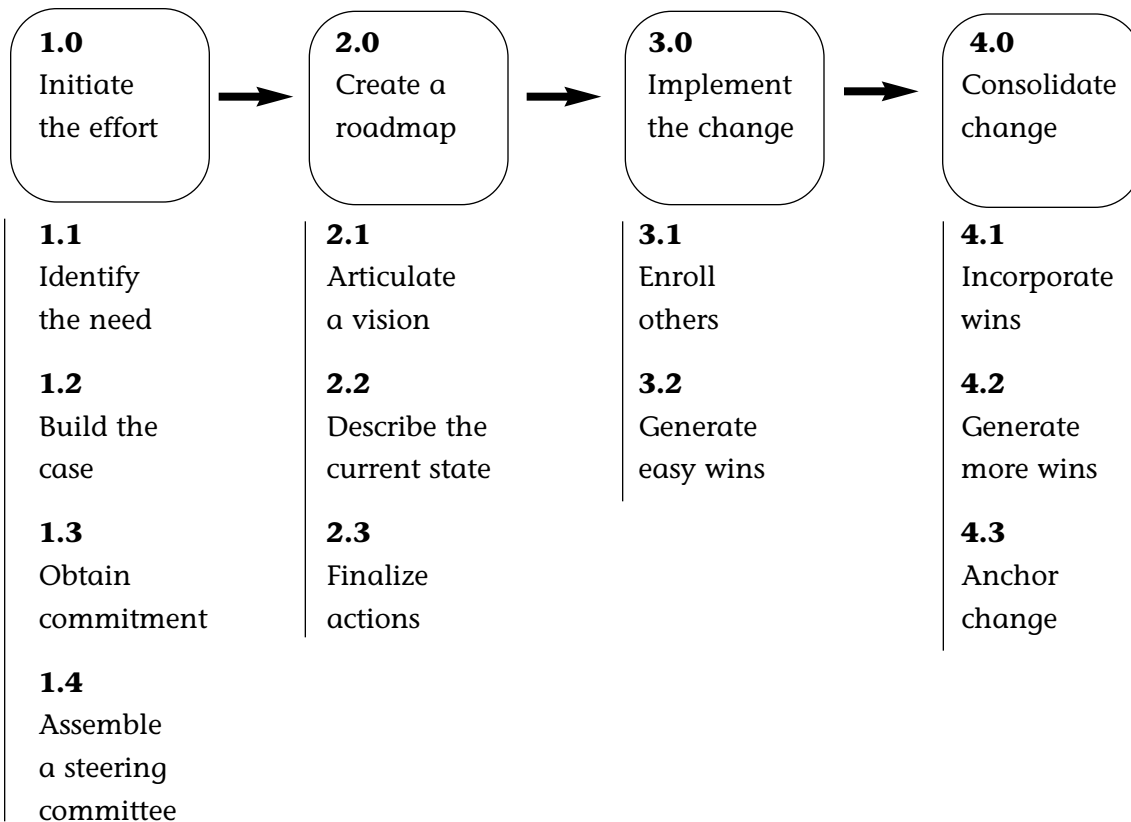
Change Management

What is it? A series of steps designed to initiate and sustain a planned change effort.

What's the purpose? To engage those directly affected by the change to become engaged in creating it, rather than merely reacting to it.

When to use it? When major change is necessary and it's important to involve stakeholders to assure their buy-in and active participation.

Process Steps:



Change Management – Process Notes

1.0 Initiate the effort

1.1 Identify the need – the need for change is identified by a senior manager, a unit leader, or a team responsible for a specific product or process. The change initiator scans the environment, benchmarks against the competition, or documents the achievements of an industry leader to underscore the need for change.

1.2 Build the case – to overcome complacency, the change initiator may need to engage key decision makers in discussions about strengths, weaknesses, opportunities and threats (SWOT analysis). The change initiator may also need to collect and present data regarding performance levels and compare these to enterprise-wide standards of excellence.

1.3 Obtain commitment – the change initiator gains the unequivocal commitment of decisionmakers to support the change effort.

1.4 Assemble a steering committee – the change leader seeks the support of other organizational leaders whose active participation is needed in order to steer complex organizational change. This steering committee will serve as champions of specific change initiatives and typically includes experts who also act as coaches and advisers.

Third-party facilitators are typically sought at this stage to structure discussions and help manage the participation of employees, customers and suppliers.

2.0 Create a roadmap

2.1 Articulate a vision – a clear picture of the end-state of the change process is created through facilitated discussions at various organizational levels. The features of the desired future are described in detail, including outcome measures.

2.2 Describe the current state – the corresponding current state is graphically described for each feature of the desired future state. Stakeholders are engaged in identifying the gap between the current state and future state. The need for change can also be surfaced by deploying forcefield analysis to identify the unproductive or ineffective aspects of the present operation.

2.3 Finalize actions – stakeholders brainstorm strategies to bridge the gap between the current state and the desired state. Detailed action steps, timelines, resources and sponsor support are put in place to ensure that the change effort is grounded and practical.

3.0 Implement the change

3.1 Enroll others – the case for change and the change plans are shared broadly with those individuals who are likely to be affected by the change effort. These organization members are engaged in conversations to identify what's in it for them. They are invited to vent concerns and identify their resistance factors. Wherever practical and desirable, a broad base of participation is built for upcoming change activities.

3.2 Generate easy wins – if possible, quick wins are selected from the list of change activities to build momentum and strengthen buy-in to the change effort. Early wins are documented and celebrated.

4.0 Consolidate change

4.1 Incorporate wins – add the principles and methods that are part of the change effort to the organization's rules, procedures and norms. Communicate these changes. Alter the organization's reward structure to recognize the change agents at every level.

4.2 Generate more wins – systematically implement various change initiatives. Document the efforts of staff. Bring staff together to share lessons learned and to disseminate best practices. Keep senior management champions engaged in helping, coaching and rewarding staff efforts to implement change.

4.3 Anchor change – continue to document the new ways. Promote successful adapters. Update administrative manuals and processes to reflect the changes. Provide formal training to share the key skills involved in the change effort. Follow through on the entire change process, taking care not to abandon it and shift abruptly to another change activity.

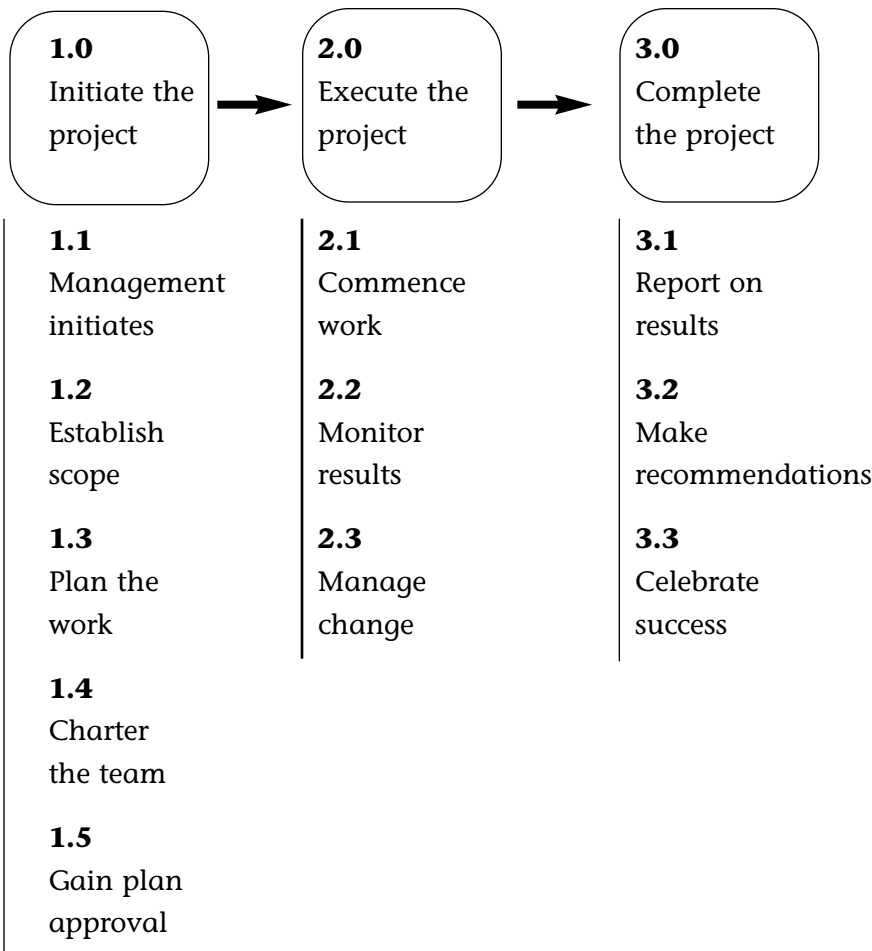
Project Management

What is it? A systematic series of steps designed to implement a specific program, manage an event, or develop a new process within a limited time frame.

What’s the purpose? To coordinate the talents and energies of team members to efficiently and effectively achieve targeted results.

When to use it? To manage an initiative so that specific outcomes are achieved within a defined time frame.

Process steps:



Project Management – Process Notes

1.0 Initiate the project

1.1 Management initiation – sponsor identifies the need for the project. Initial parameters of the project are identified. Approximate timelines are set. Boundaries are identified. Preliminary budgets are created. Project team leader and members are named.

1.2 Establish scope – project team meets to review the initial scope and establish the specific goal of the project, as well as the measurable objectives. Customer/stakeholder needs and requirements are reviewed. Organization needs and requirements are also reviewed.

1.3 Plan the work – project steps are mapped and reality tested. Action plans that include detailed implementation steps are outlined. Preliminary timelines are refined. A detailed budget is created to reflect planned activities and anticipated costs.

1.4 Charter the team – the project team creates a team charter to define its operation. Charter details include behavioral norms, profile of member skills and member responsibilities to complete specific tasks.

1.5 Gain plan approval – the detailed project plan, revised budget and team charter are submitted to the sponsor/senior management for approval.

2.0 Execute the project

2.1 Commence work – team members execute action steps in accordance with the detailed project plan.

2.2 Monitor results – members measure results using measures established during first phase. The team holds periodic meetings to discuss progress. Interim reports are prepared. Sponsors/key stakeholders are briefed on progress.

2.3 Manage change – the team monitors the environment to determine the impact of the project. Activities such as orientation events and skills training are held to ensure that others are able to accommodate and support the changes brought about through the project.

3.0 Complete the project

3.1 Report on results – create a status report for sponsor/stakeholder review detailing the impact of the project, measurable results achieved, timelines and final cost expenditures. Also report on the long-term impact of the report on things like product innovation, market share, viability of the operation, cost savings, efficiency of key processes, customer relations and corporate image.

3.2 Recommendations – recommend additional activities needed to support the changes created by the project. Objectively identify any project failures and describe the lessons learned. Recommend any evaluations or other follow-up activities that should be conducted.

3.3 Celebrate success – review the results of the program and reward team members for their successes.

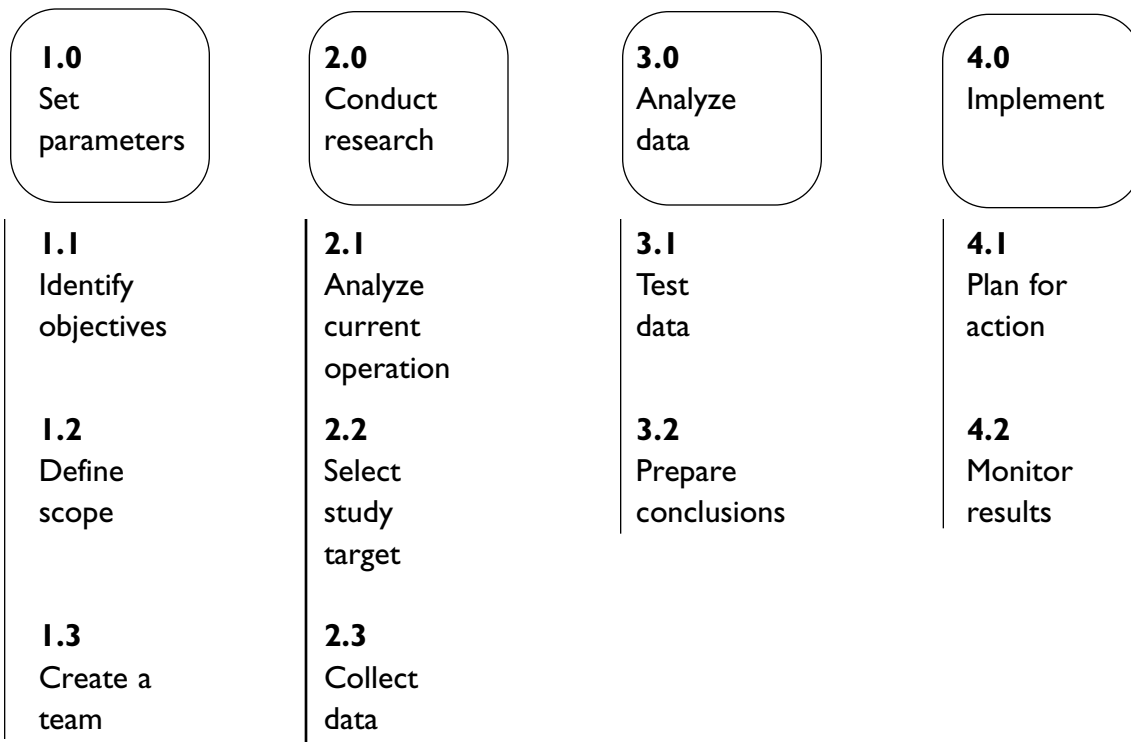
Benchmarking

What is it? A process for assessing and transferring best practice examples from other places.

What's its purpose? To identify, document and then transfer good innovations that are demonstrating their worth in other settings.

When to use it? As stand-alone activities or as part of strategic planning or process improvement initiatives.

Process Steps:



Benchmarking: Process Notes

1.0 Set parameters

1.1 Identify objective – clarify the reason for the benchmarking initiative: is it to find innovative ideas, address a problem, streamline operations, or reduce costs?

1.2 Define the scope – identify the end-users of any innovations that are found; the budget, time frame and human resources available to implement them.

1.3 Create a team – find team members who have the technical or other skills that will be needed in order to conduct the benchmarking research. Also secure the support of a senior management champion who can assist with introductions to other organizations.

2.0 Conduct research

2.1 Analyze current operation – collect data on the existing, ineffective process to uncover the details of the problem or performance gap for which innovative solutions will be sought. Map the efficiency, effectiveness and quality of current operations.

2.2 Select study target – use collected data to select specific processes or products that will be researched. Search databases, journals and professional associations for sources of potential best practice models. Gain permission to study the best practice operation.

2.3 Collect data – design and implement surveys, conduct site visits, interview best practice participants and observe models in action to collect data. Data may be collected about such elements as cost savings, time savings, flexibility, error reduction, manpower savings, product improvements and specific process improvements. Benchmarking can also be done to identify innovations in the area of marketing which looks at elements such as image, style, responsiveness, customer satisfaction and trend awareness.

3.0 Analyze data

3.1 Test data – validate findings by checking and verifying information collected. Identify if the variables in the model organization are sufficiently similar to allow for valid comparisons and innovation transfer. Consider finding additional organizations where the same best practice can be tested to determine how it functions in different settings.

3.2 Prepare conclusions – determine the key principles, traits, or practices that form the core of the best practice. Assess the probable level of transferability. Identify the conditions required to support implementation. Recommend stakeholders.

4.0 Implement

4.1 Plan for action – create a detailed implementation plan that identifies the best practice that will be transferred, the measurable indicators of success, the timeline, the required resources, the names of those who will be accountable for implementation success and the names of the senior managers who will act as champions for the transfer process.

4.2 Monitor results – track progress throughout the implementation process and report to stakeholders regularly on outcomes. Recommend additional applications of best practices in the organization.

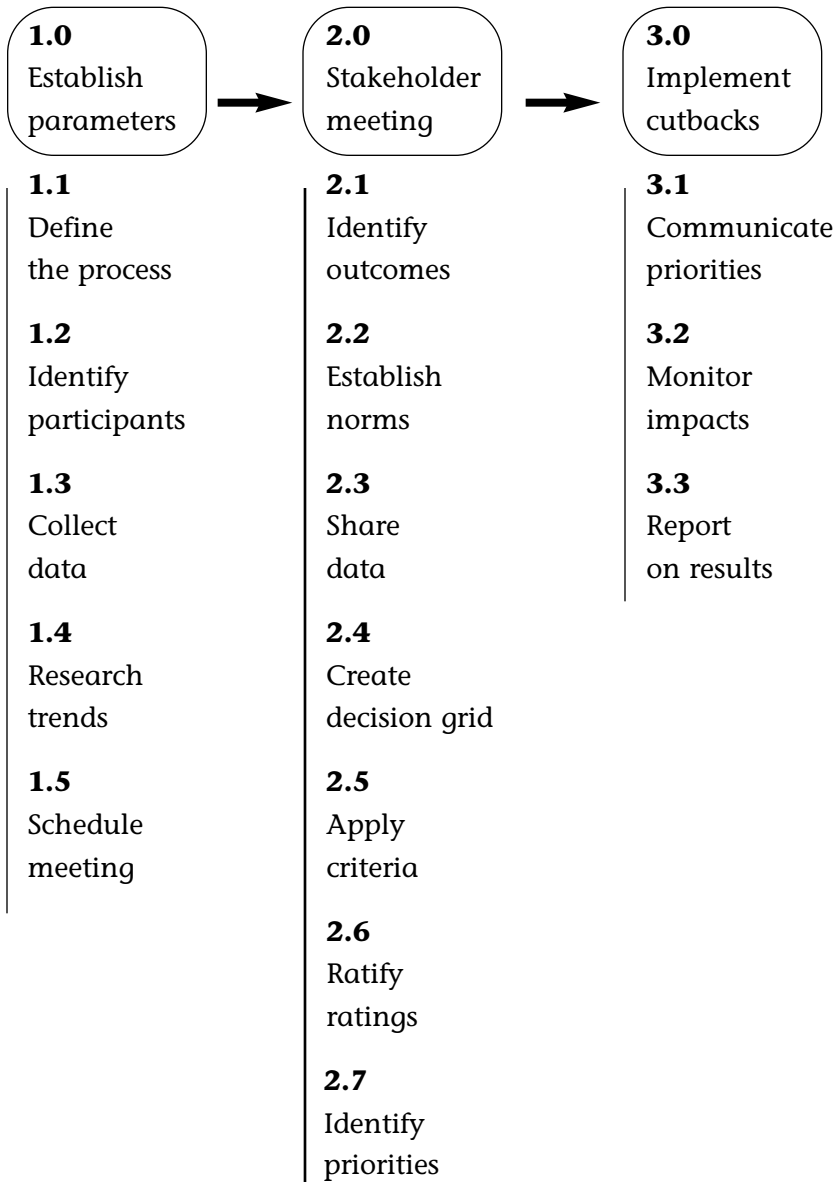
Priority Setting

What is it? A structured process for involving stakeholders in identifying priorities in a situation where budgets or programming must be cut back.

What's the purpose? To gain the knowledge and insights of the people most directly involved with the activity to be cut. To build buy-in to and acceptance of program reductions.

When to use it? When there is a desire to involve stakeholders in a sensitive cut-back activity rather than having management determine priorities.

Process Steps:



Priority Setting: Process Notes

1.0 Establish parameters

1.1 Define the process – describe the steps in the process of participative priority setting. Identify the benefits of involving staff in determining cutbacks to gain buy-in from senior management and also from frontline staff.

1.2 Identify participants – identify who needs to play an active role in the priority setting activity in order to give it validity and ensure buy-in to the recommendations. If there are too many stakeholders to allow for a manageable meeting (example: between 50 to 60), identify a core group. In these cases, create a mechanism such as focus groups or surveys to gather the input of the people who will not be at the priority-setting meeting.

1.3 Collect data – enroll the core group in collecting information about the current operation. In order to ensure consistent data collection, first identify the study criteria. Depending on the operation data can be collected on everything from the cost-benefit ratio of various programs or activities to the perception of customers concerning current products, programs or services.

1.4 Research trends – in order to make informed program or budget cuts, data is also needed about future trends, competitive forces, changing customer expectations and new technology.

1.5 Schedule meeting – once sufficient data has been collected and shared among all of the stakeholders, invite these critical individuals to a priority-setting meeting.

2.0 Stakeholder meeting

2.1 Identify outcomes – openly share the negotiable and nonnegotiable aspects of the priority-setting exercise. Clarify the empowerment level of the group and the extent of the commitment that has been made by senior management to respond to the decisions of the group. Engage stakeholders in identifying the indicators of success. Ask: “Given the non-negotiables of this process, what would make you leave here today saying that this process has been successful?” List the indicators of success identified by group members and use them at the end of the workshop to measure the success of the process.

2.2 Establish norms – engage participants in discussions to identify the ground rules for the priority-setting exercise. Pose questions that set a safe environment and outline how

sensitive topics will be handled. Synthesize member opinions and post the resultant norms to help ensure effective behaviors throughout all discussions.

2.3 Share data – ask for participants to make presentations of data concerning the programs, budgets, or structures facing cutbacks. Data about future trends is also shared.

2.4 Create decision grid – engage participants in building a decision grid to rank the existing candidates for cutbacks. Establish the criteria that will be used to rate the existing programs or activities. Criteria can include such elements as cost/benefit, importance to customers, support of strategic direction and cutting edge. Rank each criteria as high, medium, or low.

2.5 Apply criteria – once the criteria are ratified, small groups review and discuss cut-back candidates, then use multivoting to identify a small-group priority ranking. Combine the rankings of the small groups to create an overall priority list.

If it's important to gain the buy-in of the total organization, all stakeholders can rank the cutback candidates using a survey or focus groups.

2.6 Ratify ratings – tabulate the rankings and feed results back to the core group or focus groups to ensure that the results are acceptable and valid.

2.7 Identify priorities – use the ranking to identify the high-, medium-, and low- ranked candidates for cut-back activities. Engage the core group in interpreting the scores and in making detailed recommendations about the extent and nature of cutbacks. Ask stakeholders to create implementation strategies that limit the negative impact of cutbacks on customers, the operation, and staff in order to maintain high buy-in levels.

3.0 Implement cutbacks

3.1 Communicate priorities – report back to the stakeholders with detailed information concerning the ranking process and the implementation process. Implement cutbacks as per the plan.

3.2 Monitor impacts – identify critical success indicators and engage stakeholders in tracking implementation. Hold evaluation meetings to review the outcome data, identify both the positive and negative effects of the changes, and reflect on lessons learned during the process.

3.3 Report on results - generate a report that reviews both the effectiveness of the cutbacks and of the participative priority-setting process. Recommend further action.

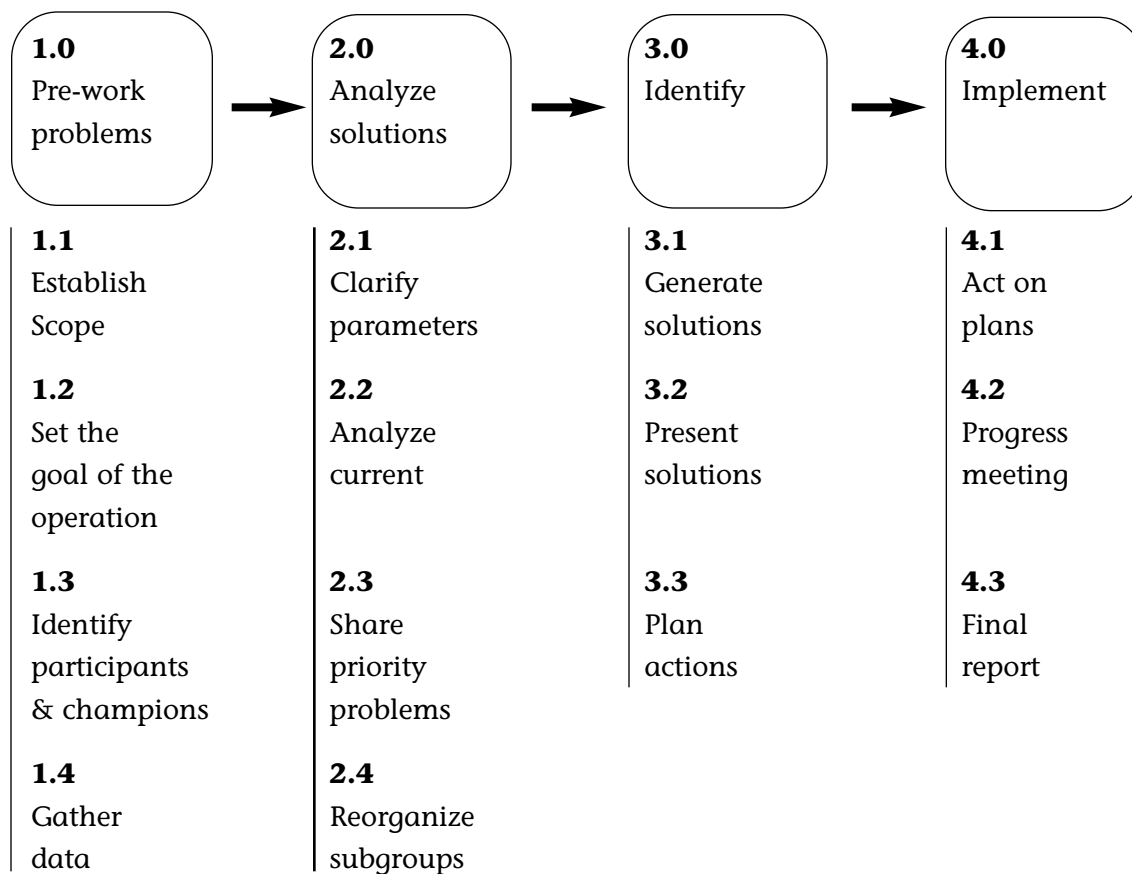
Large Group Problem Solving

What is it? An application of the basic Systematic Problem-solving Model to accommodate groups of over 30 participants.

What's the purpose? Enables an organization to take a whole-systems view of a process or an operation. Creates buy-in and enrolls stakeholders in playing an active role in the implementation phase.

When to use it? When you want to involve all key stakeholders simultaneously in the overhaul of a process of operation that is in need of improvement.

Process Steps:



Large Group Problem Solving: Process Notes

1.0 Pre-work

1.1 Establish the scope – the need for the problem-solving exercise is identified by a key stakeholder. A preliminary definition of the problem is created through conversation with various individuals who are aware of the current operation. Approval is gained to work on the problem with a large group.

1.2 Set the goal – after preliminary definition of the problem, the process owner identifies the goal of the problem-solving exercise.

1.3 Identify participants and champions – based on the problem definition and preliminary assessment of the scope of the exercise, the process owner builds a small team of facilitators to help plan and lead the event. One facilitator is needed for every small group of 6 to 10 participants.

The facilitator team then identifies who needs to be involved in the problem-solving exercise. This may be mainly process participants, but can also include customers and suppliers who are external to the organization. The process owner also identifies from 5 to 10 upper-level managers to act as champions in support of implementation activities.

1.4 Gather data – extensive research is conducted to gather data in advance of the problem-solving meeting. This can involve such activities as documenting performance data, gathering cost/benefit information, conducting focus groups of internal or external customers and suppliers and mapping current processes. The data is summarized and shared with the participants.

2.0 Problem analysis

2.1 Clarify parameters – once sufficient data has been collected, the large group of participants gathers for a full day of problem-solving discussions.

The process owner begins the event by making a presentation to the entire group outlining both the challenge and the goal of the exercise. The steps of the process are reviewed. Norms that encourage free speech and creativity are identified and accepted. One or more of the designated champions describes the empowerment being given to the group to make recommendations and expresses the support of upper management.

2.2 Analyze the current operation – after the large group presentation, the upper management representatives leave. The participants then adjourn for about 90 minutes to small-group settings in mixed groups. With the help of a facilitator, each group

focuses on the entire process or operation. They use forcefield analysis to identify what's working well and then what is not working well with the current process or operation.

When the forcefield discussions are complete, each subgroup uses multivoting to rank their "not working" list. Each sub-group appoints a spokesperson.

2.3 Share priority problems – small groups return to the larger forum and sub-group spokespersons quickly review their group's "working" list and their prioritized "not working" list. While participants take a break, facilitators consolidate all of the "not working" lists. Duplicates are eliminated. Overlapping items are clarified and also consolidated.

2.4 Reorganize sub-groups – Depending on the size of the large group, from five to ten of the top-ranked items are posted on the walls of the large room. Sign-up sheets are posted with each item allowing from six to ten people to join each group. When members return from their break, the priority items are reviewed briefly to ensure the right items have been selected. Participants are then invited to sign up for one of the problem-solving groups. Care is taken to insure that the right people join each of the problem-solving subgroups.

3.0 Identify solutions

3.1 Generate solutions – the reconstituted groups adjourn to private settings and begin to address their assigned problem. With the help of the facilitator, members first conduct a thorough analysis of their problem. They then brainstorm solutions to their problem. An impact/effort grid is used to sort the solutions.

3.2 Present solutions – small groups return to the large room to take turns presenting their solutions. Upper-level managers who will act as champions return to hear the presentations, give on-the-spot approval to specific action steps, and offer to act as champions for specific initiatives.

3.3 Plan actions – once all of the subgroups have presented their action plans, received approvals, and gained needed upper-management champions, subgroups adjourn for planning sessions. Roles and responsibilities are identified for specific activities. Subgroup members write out detailed action plans for their assigned item(s).

4.0 Implement

4.1 Act on plans – At the end of the problem-solving day, facilitators collect the action plans and have them transcribed. A summary report is quickly prepared and circulated to all stakeholders. Implementation of actions begins immediately as per the plans.

4.2 Progress meeting – from six to eight weeks after the large problem-solving meeting, the process owner convenes a gathering of the stakeholders and champions. Participants meet for a few hours to share updates. Brief summaries are provided on the results achieved from completed initiatives. Work still in progress is also reviewed. Initiatives that are floundering are targeted for additional planning meetings to help move them forward.

4.3 Final report – the process owner monitors ongoing activities and tracks results. He or she communicates with all of the participants at regular intervals. When the entire activity is complete, a final report is produced that identifies the gains and lessons learned.

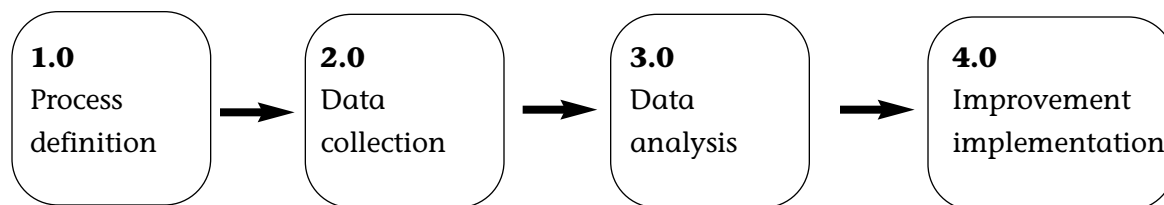
Process Improvement

What is it? A series of steps taken to improve the efficiency, effectiveness, and quality of any work process.

What's the purpose? To harness the wisdom of the key stakeholders in identifying problems and finding creative solutions.

When to use it? When there is a process that is underperforming.

Process Steps:



1.1
Define process parameters

1.2
Clarify improvement goals and objectives

1.3
Conduct a preliminary process analysis

1.4
Develop measurement plan

1.5
Develop a data collection plan

2.1
Collect data

2.2
Monitor measurable

2.3
Collect & tabulate data

2.4
Summarize process data

3.1
Assess data

3.2
Apply systematic activities

3.3
Create improvement plans

4.1
Secure approvals and budgets

4.2
Acquire champions problem solving

4.3
Implement pilots

4.4
Recommend and implement further action

Process Improvement – Process Notes

1.0 Process Definition

1.1 Define process parameters – identify the process to be improved and describe all of the key features, , and steps of the current process. Use a top-down flow chart or activity-based process mapping to describe each step of the current process. Build this map with the input of key process participants and stakeholders to ensure the accuracy of the map.

1.2 Clarify improvement goals and objectives – identify the overall goal of the improvement effort. Write objectives that feature specific features of the desired end-state.

1.3 Conduct a preliminary process analysis – involve committee members and key stakeholders in discussions that yield a description of how the process currently works: key steps, timeline for each step, effective elements, weaknesses or problem areas.

1.4 Develop a measurement plan – create a set of performance measures to guide data collection. Identify the efficiency data to be collected such as unit/cost, manpower costs, and materials costs. Identify the effectiveness data you will collect such as the customer satisfaction input. Identify the quality information that you will collect such as durability of the process elements, reliability and breakdown rates.

1.5 Develop a data-collection plan – identify who will collect which data within specific time frames. Also identify how the data will be collected and reported. Create data-collection and recording mechanisms.

2.0 Data collection

2.1 Collect data – study the current process and record information about costs, time, input, outputs, breakdowns, scrap, rework and common problems. Conduct surveys and focus groups of suppliers, customers, process participants, and senior managers to understand effectiveness elements. Benchmark against other processes or industry leaders.

2.2 Monitor measurable activities – set up studies that gather data about the process over a specific cycle. Monitor and record performance data using tools such as check sheets, control charts, histogram run charts and scatter diagrams.

2.3 Collect and tabulate data – gather data and create summary reports. Apply data-development software to help process information.

2.4 Summarize process data – Create a summary report that describes the current state. Share report with key process participants and stakeholders.

3.0 Data Analysis

3.1 Assess the data – involve key process owners and stakeholders in meetings to assess the data. Identify key indicators of effectiveness. Use tools like fishbone analysis to identify areas in need of improvement. Use multivoting or a criteria-based decision grid to prioritize the issues, blocks and barriers.

3.2 Apply systematic problem solving – address the priority problems blocking the effectiveness of the current process using the steps of the problem-solving model.

3.3 Create improvement plans – involve key process owners and stakeholders in identifying improvement plans. These plans will include the action items from the problem-solving sessions plus the actions recommended from benchmarking efforts and stakeholder focus groups. Establish clear accountabilities. Identify timelines. Create mechanisms to follow up and evaluate results of improvement efforts.

4.0 Improvement implementation

4.1 Secure approvals and budgets – ensure that improvement plans are adequately funded. Gain approval from senior managers, key stakeholders and important process owners such as suppliers and customers.

4.2 Acquire champions – approach at least one executive to act as champion for the improvement effort. This person will remove roadblocks, help secure special approvals, find additional funding and lobby important constituents.

4.3 Implement pilots – test the improvement strategies. Monitor and measure results. Monitor and evaluate results. Report on results to senior level management and to key stakeholders.

4.4 Recommend and implement further action – use pilot data to report on preliminary results. Refine improvement plans. Involve the process improvement committee in revising the implementation plan. Advise key stakeholders. Gain additional needed approvals. Secure additional funding if needed. Implement further action.

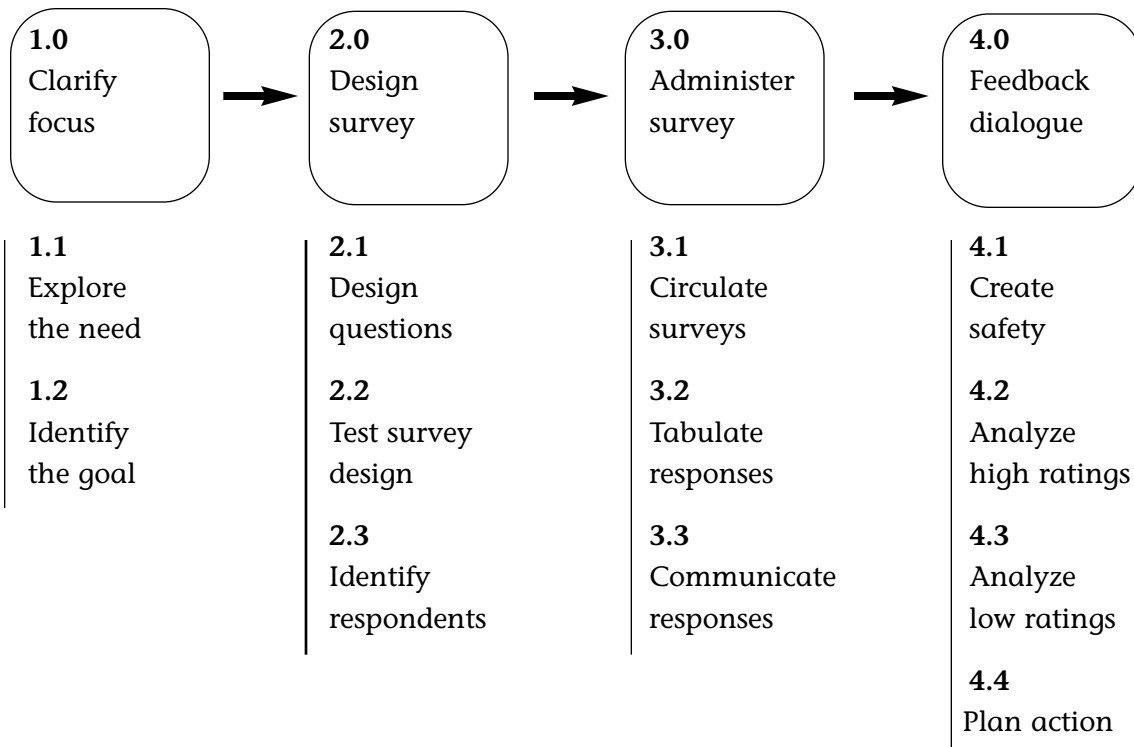
Survey Feedback

What is it? A group process that involves generating data, then feeding it back to group members so that they can interpret it and take action.

What's the purpose? Provides groups with a means for assessing their current situation or operation and provides a method for creating improvements.

When to use it? When data is needed to serve as a catalyst to create a compelling need for change.

Process Steps:



Survey Feedback – Process Notes

1.0 Clarify focus

1.1 Explore the need – help the client identify the focus of the survey. Surveys can be done to assess organization climate, employee morale, customer satisfaction, the quality of a product, the efficiency of a process, or the overall effectiveness of a team, to mention but a few. Conduct interviews and focus groups to engage various stakeholders in describing any problems or situations that may be part of the need for the survey.

1.2 Identify the goal – ask both the client and stakeholders to describe what they hope will be achieved through the application of the survey. What information do they hope will be uncovered? What improvements or other results would an ideal process yield?

2.0 Design survey

2.1 Design questions – in response to the data collected, create a preliminary field of questions. Create more questions than are needed for the survey.

2.2 Test survey design – circulate the questions to stakeholders and ask them to review the questions to identify the ones that satisfy both the need and the goal of the exercise.

2.3 Identify respondents – interview product/process owners, key decisionmakers, and other stakeholders to identify who should complete the survey. Clarify whether responses should be anonymous.

3.0 Administer survey

3.1 Circulate surveys – mail out surveys with clear information about how to return completed forms. If the survey is being administered using the internet or the organization's intranet, provide respondents with clear instructions about when and how they can respond.

3.2 Tabulate responses – collect surveys and tabulate data onto a single survey form. Do not interpret the results.

3.3 Communicate responses – share raw data with respondents.

4.0 Feedback dialogue

4.1 Create safety – at the start of the feedback dialogue, engage participants in a conversation to create safety norms. Ask questions that lead the group to identify the conditions that will make them feel comfortable giving and accepting feedback. Ratify the norms and record them on a flip chart sheet.

4.2 Analyze high ratings – invite respondents to a meeting to review the survey data. First list all of the survey questions that received high ratings. Review each briefly and ask participants to identify why they believe that item received positive responses. Record these points.

4.3 Analyze low ratings – Once the analysis phase is complete, turn attention to the responses that received low ratings and ask participants to identify why they believe these items received low ratings. Engage participants in generating ideas that will improve the ratings in each of the low-rated areas.*

*If the group is sufficiently large, divide participants into small subgroups of three to six individuals. Have each subgroup work on one of the low-rated items. This will make it possible to address a large number of issues in a short time and will add a degree of anonymity to the proceedings.

4.4 Plan action – hold a plenary session in which subgroups share only the improvement ideas. Use multivoting to identify the top three improvement ideas for each low-rated item. Ratify the choices and ask subgroups to develop action plans that include roles and responsibilities. Summarize ratified action plans and share the document with all respondents and stakeholders.

Win/Win Negotiation

What is it? A collaborative approach to negotiating agreements that aims to arrive at agreements that both parties can live with. Rather than the two parties bargaining as two opposing teams in a win/lose process, individuals from both parties work together as the members of one team to arrive at agreements that represents a win for everyone.

What's the purpose? To create long-lasting agreements that everyone has bought into and that represents a positive outcome for both parties.

When to use it? In situations where it is important that working relationships not be damaged by using a win/lose or competitive approach to bargaining.

Process Steps:

| | | | | | |
|-------------------------------------|-------------------------------------|------------------------------------|---------------------------------|--------------------------------------|------------------------------|
| 1.0 Prepare environment | 2.0 Build team | 3.0 Identify interests | 4.0 Decide together | 5.0 Implement | 6.0 Monitor |
| 1.1 Assess readiness | 2.1 Charter team | 3.1 Articulate interests | 4.1 Analyze interests | 5.1 Communicate agreements | 6.1 Track results |
| 1.2 Identify players | 2.2 Set process goals | 3.2 Rank Interests | 4.2 Generate ideas | 5.2 Trouble shoot | 6.2 Report results |
| 1.3 Assess training needs | 2.3 Clarify relationships | | 4.3 Sort Ideas | | |
| 1.4 Gain buy-in | 2.4 Provide training | | 4.4 Record agreements | | |

Win/Win Negotiation: Process Notes

1.0 Prepare the environment

1.1 Assess readiness – conduct a survey to identify whether the organization is ready to take a win/win approach to negotiating. Use the survey feedback process to engage participants in tabulating the results and identifying strategies to overcome low-rated items.

1.2 Identify players – identify who should be on the negotiating team and who is needed to act as champion to remove any blocks and barriers that limit progress.

1.3 Assess training needs – conduct a needs assessment to identify the skill development needs of negotiating team members and others. These can include things like: introduction to the principles of the win/win concept, meeting skills, dealing with conflict, effective group behaviors and group decision making.

1.4 Gain buy-in – bring key players together to affirm their commitment to bargain non competitively. Facilitate conversations to create norms that set the climate for the win/win process and that build commitment to staying the course among both negotiating team members and other stakeholders.

2.0 Build the team

2.1 Charter the team – bring the members of the negotiating team together to help them get to know each other, be briefed on how the win/win process works, review important parameters, and surface problem solve member concerns in order to strengthen member buy-in. The negotiation team also needs to develop a detailed set of norms that describe how team members will act during contentious conversations and other challenging situations.

2.2 Set process goals – to ensure that the process remains win/win and doesn't revert to positional bargaining, members need to discuss the characteristics of the win/win approach in great detail. Members need to commit to uphold these traits and use them periodically to test the effectiveness of the process itself.

2.3 Clarify relationships - members of the negotiating team engage in a needs and offers dialogue between representatives of the two parties to arrive at agreements about how the relationship will operate.

3.0 Identify interests

1.1 Articulate interests – invite members to list the interests and issues that need to be addressed by the negotiating team. Ensure that each item is clearly understood and don't focus on whether or not people agree.

1.2 Rank interests – once all interests have been listed, identify criteria to rank these items in terms of how complex it is expected to be, how difficult team members expect it will be to find a mutually agreeable solution, and how much more homework the team needs to do before being able to tackle the item. Once each interest has been ranked as high, medium or low in each category, create a timetable for exploring each issue.

4.0 Decide together

4.1 Analyze interests – start with the least complex and least contentious interest. Borrow the steps of the problem-solving process and facilitate a thorough analysis of the current situation.

4.2 Generate ideas – once an interest is clearly understood by all team members, use nonpolarizing group processes like anonymous brainstorming to generate a range of ideas that respond to the interest.

4.3 Sort ideas – use a criteria-based decision grid or an impact effort grid to identify the most promising ideas.

4.4 Record agreements – Create a written summary of the agreement in each issue area.

5.0 Implement

5.1 Communicate agreements – hold forums to share information about agreements with all stakeholders. Create mechanisms for stakeholders to comment on the outcome, through either focus groups or surveys.

5.2 Trouble shoot – identify what can prevent the agreements from being implemented and work to develop action plans to overcome these barriers. Enroll champions to help overcome barriers.

6.0 Monitor

6.1 Track results – establish mechanism to evaluate results. Use a survey to gauge stakeholder satisfaction

6.2 Report on results – create a final report that documents the collaborative process, successes, challenges and lessons learned.

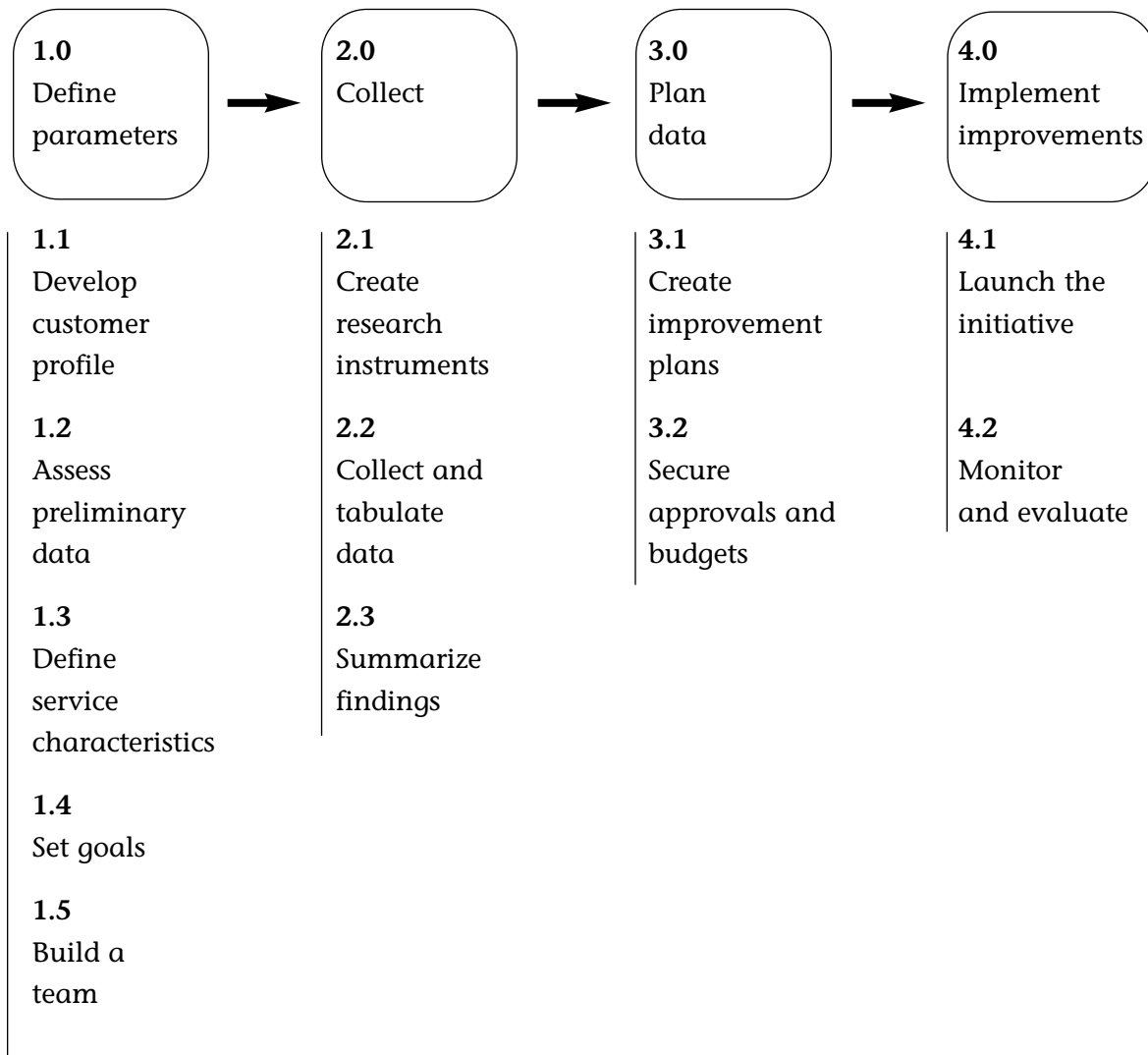
Customer Service Improvement

What is it? A series of steps taken to improve the quality of service to internal or external customers.

What's the purpose? To enhance customer loyalty through improved customer care.

When to use it? When there are complaints from customers, when the customer base is eroding, or to proactively improve customer relations.

Process Steps:



Customer Service Improvement – Process Notes

1.0 Define parameters

1.1 Develop customer profile – identify the customer who is the focus of the service improvement effort. Clarify the reason for this choice, whether due to complaints about past services, desire to strengthen partnerships, or interest in creating new partnerships. Consult with those who have information or firsthand knowledge about the customer to gather preliminary data about the customer including: vital statistics, core values/beliefs, attitudes, social habits/norms, preferences, needs and expectations.

1.2 Assess preliminary data – rely on past knowledge about an existing customer to describe the challenges and issues that need to be overcome. For a new customer, conduct research into the general field to gather more information about that type of customer.

1.3 Define service characteristics – identify an overall goal to focus the improvement effort by defining the characteristics of excellent service. These characteristics will fall into two categories:

- 1) Procedural elements describe things like the standards of quality set for the products or services delivered, the timing standards, the process flow standards, the flexibility guidelines, communication standards, and guidelines about how problems will be solved.
- 2) Personal elements describe things like the appearance of the physical setting, the products, and the people, the attitudes displayed to the customer, the level of tact to be deployed, the approach to selling, and the manner in which customer needs will be handled.

1.4 Set Goals – use the preliminary data and the service characteristics as input to help identify the specific, measurable outcomes that need to be achieved through the initiative.

1.5 Build a team – identify the people who will work to conduct the customer service research and implement the findings. Where possible, identify team members who will remain in contact with the customers after the initial implementation phase. Also identify the upper-management representatives to whom the initiative will be reported and who is accountable for improvements.

2.0 Collect data

2.1 Create research instruments – design the survey that will be used to gather input from customers. If focus groups will be used, create the focus questions and processes. If the preliminary data suggests internal production problems, put together process improvement teams to map existing processes to identify problems.

2.2 Collect and tabulate data – gather data and create summary reports. Apply data-development software to help process information.

2.3 Summarize findings – Create a summary report that describes customer needs and delivery requirements. Share report with process participants within the organization.

3.0 Plan improvements

4.1 Create improvement plans – involve team members and internal service providers in meetings to assess the findings and to make recommendations and create detailed action plans. Establish clear accountabilities. Identify timelines. Create mechanisms or ongoing monitoring and evaluation of the impact of service improvement efforts.

3.2 Secure approvals and budgets – ensure that improvement plans are adequately funded. Gain approval from upper manager. Gain buy-in from internal customer service contact personnel. If appropriate, test the plans with the customer.

4.0 Implement

4.1 Launch the initiative – create a marketing vehicle to put a face on the customer care initiative. Provide customer service skill training to contact staff. Make necessary improvements to internal processes.

4.2 Monitor and evaluate – set up mechanisms to track customer service activities against the service characteristics defined earlier. This can be ongoing interviews, survey forms, or monitoring of complaints and errors. Report on the impact of the improvement effort.

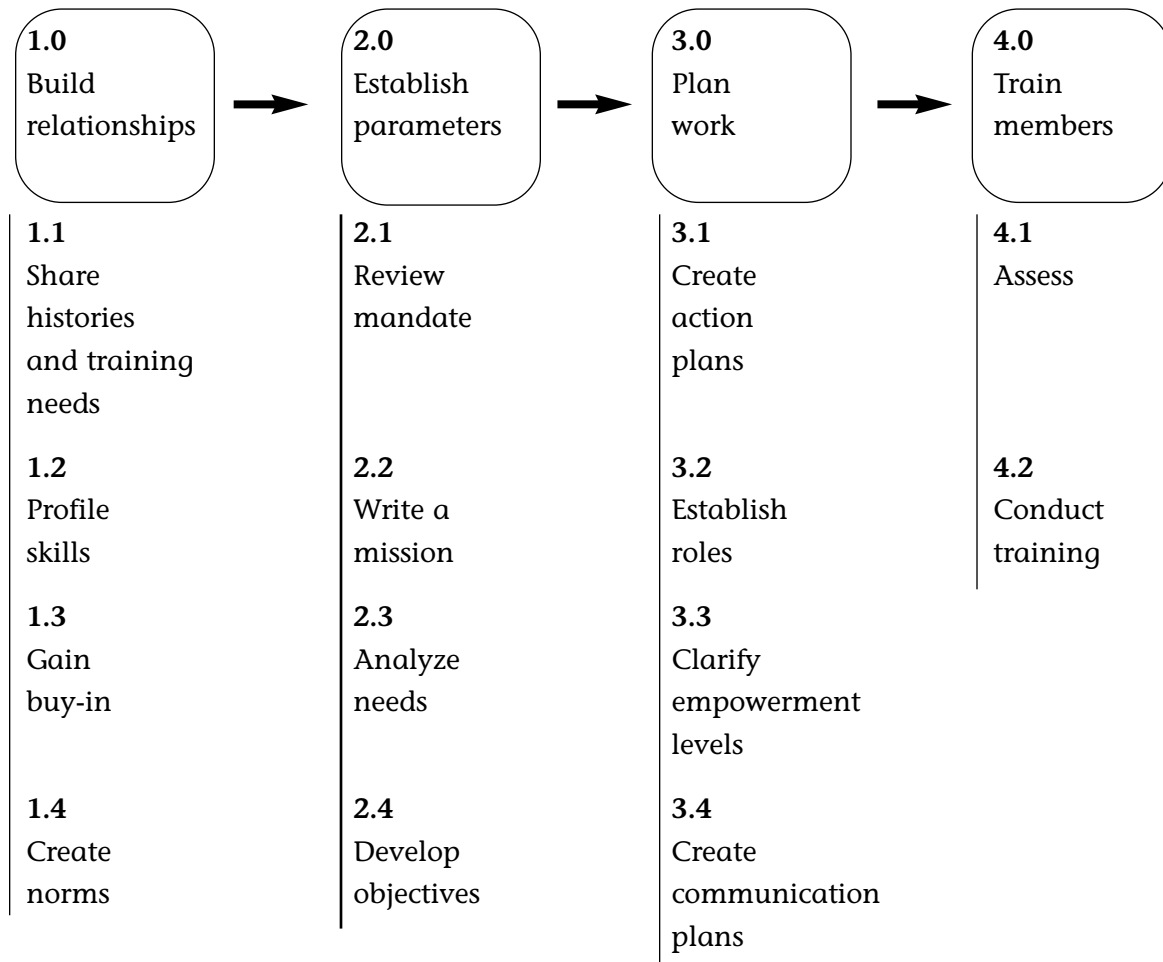
Team Launch

What is it? A series of structured conversations aimed at providing a new team with clear parameters and the opportunity to build a cooperative relationship

What’s the purpose? To set a clear framework for the team, to build buy-in and foster strong working relationships between members.

When to us it? To structure the first meeting of a new team.

Process Steps:



Team Launch – Process Notes

1.0 Build relations

1.1 Share histories – invite members to share information about their background like education, work history, family life, hobbies, career goals, and personal goals in order to break the ice and build interpersonal rapport.

1.2 Profile skills – ask members to complete a personal skill profile in writing that can be shared with other members at the first meeting. This can include technical skills, communication skills, team leadership and people skills. This identifies the resources on the team and provides information for later work planning discussions.

1.3 Gain buy-in – invite members to share what they personally hope to gain from the new team. Ask how team success might help them achieve their personal or career goals. Ask how teamwork might enrich their work experience.

1.4 Create norms – engage members in a conversation about team norms. Ask specific norming questions that help the team identify how they will deal with differences of opinion, off-track conversations, or uneven participation. Record the team norms and post them in the meeting room. After the meeting, ensure that the norms are circulated to all members.

2.0 Establish parameters

2.1 Review mandate – provide team members with all available information about the team, such as, who created it, the reason it was created, the team’s customers, the special challenges given to the team, expected results, the time frame for specific deliverables, the budget provided to the team, the expected duration of the team, and the overall level of empowerment given to the team.

2.2 Write a mission statement – engage members in the development of a specific mission statement that takes into account the team’s parameters. Prompt the discussion by asking members to write a one- or two-sentence statement that describes what their new team is trying to achieve and what must be special or unique about their work. Have members do some individual thinking or work with a partner, then expand to the entire team. Record all key words and concepts; then assign the writing of the final statement to one or two members.

2.3 Analyze needs – Assess stakeholder needs. Analyze the work that needs to be done. Create a detailed list of the challenges facing the team.

Develop objectives – create specific, measurable, time-sensitive objectives for all major activities. Include expected outcomes for each objective and time frame.

3.0 Work planning

3.1 Create action plans – for each specific objective, develop action plans that identify what will be done by when and with what outcomes. Attach budgets and other resources to each item. Identify how each action item will be monitored and the reporting mechanism that will be used.

3.2 Establish roles – review member skills and goals. Identify the relative degree of difficulty and amount of work involved (high, medium, low) of each action item. Match team members with specific action items taking care to balance workloads as evenly as possible.

3.3 Clarify empowerment levels – for each action item, identify the degree of decision-making authority that is required for effective task management. Clarify if the team members are empowered to act without further approvals or if additional approval is needed on specific items. If more empowerment is desirable, make a case that can be presented to management to ask for the appropriate level of empowerment.

3.4 Create communication plans – identify who must be kept informed of the team's progress. For each stakeholder, identify whether they will receive written or oral reports and the nature and timing of those reports. Also identify timing and frequency of team meetings.

4.0 Team training

4.1 Assess training needs – identify any skill gaps that exist in light of the objectives and action plans of the team.

4.2 Conduct training – arrange for individual team members to obtain the technical skill training that they require to execute action plans. Also arrange for the team to attend training together in such topics as meeting management, facilitation skills, and group skills such as decision making and conflict management.

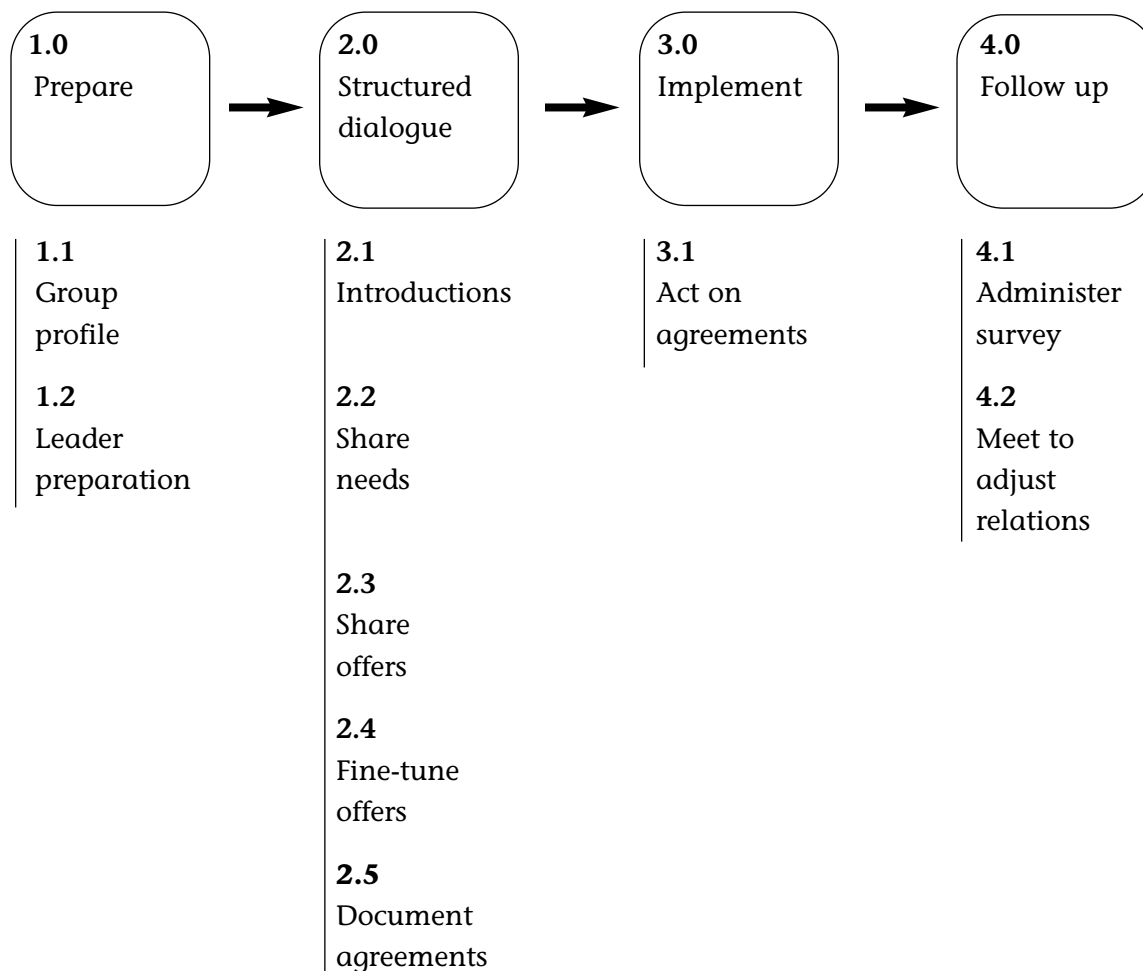
New Leader Integration

What is it? A dialogue designed to create a bond between an existing team and a new leader. A communication process that encourages the sharing of expectations about goals, challenges, style and culture.

What's the purpose? To minimize disruption to team productivity by smoothly transitioning a new leader into an existing team. To accelerate the development of familiarity and trust between the new leader and the members.

When to use it? When an established team or department is about to receive a new leader.

Process steps:



New Leader Integration - Process Notes

1.0 Prepare

1.1 Group profile – After the appointment of a new leader is announced, but before the leader meets team members, members meet to create a profile of their team. Among the things they discuss are: Who are we – our purpose, staff/skills, products/services? What are we doing well/what achievements are we most proud of? Why are we doing well? What aren't we doing well/what's blocking us from being effective? What are we doing to improve? What's ahead for us in the next six months, one year, three years? Under what leadership style do we work best? Why? What levels of empowerment have we been given for which specific activities? What empowerment levels do we need in order to operate effectively? What do we need from the new leader in order to be effective?

1.2 Leader preparation – once the group profile has been recorded, the summary report is shared in private with the new leader. The leader is given time to study the document and prepare a similar outline of his or her background.

2.0 Structured dialogue

2.1 Introductions – the team and the new leader are brought together for a two- to three-hour meeting. Members introduce themselves and say a few things about their background. The new leader does the same. Each item of the team's profile is then reviewed and the new leader makes comments appropriate to each item. The blocks and barriers mentioned by the team are not solved that day, but are referred to a future problem-solving meeting.

2.2 Share needs – at the completion of the profile, the needs of the team and of the leader are reviewed. Both lists are recorded on separate flip chart sheets. The leader is given the team members' list of needs and leaves the room. While they're separated, each party discusses offers that they're prepared to make to each other. Each party records their offers on a flip chart sheet.

2.3 Share offers – the leader returns with his or her flip chart of offers and reviews each item. Team members then present their offers to the leader.

2.4 Fine-tune offers – after all of the offers have been shared, there is a discussion to ensure clarification and to suggest alterations or additions. The final offers lists are then ratified.

2.5 Document agreements – once all present indicate that they can live with the offers, they're typed and circulated. These lists of offers represent agreements about the relationship of the team and the leader.

3.0 Implement

3.1 Act on agreements – a period of three to six months is established during which the two parties will commence working together.

4.0 Follow-up

4.1 Administer survey – at the end of the prescribed period, the offers of each party are turned into a survey. Team members are invited to anonymously rate the extent to which the leader responded to their needs. The leader rates the extent to which the team has fulfilled their offers.

4.2 Meet to adjust relations – Survey data is tabulated but not interpreted. The results are fed back to the team and the leader at a survey feedback meeting. Discussion at this meeting centers on identifying: Which items received high ratings and why? Which items received low ratings? Actions that could be taken to raise the ratings on any low items are discussed. The team leader may leave the room while the members deliberate. Improvement ideas are shared, ratified and documented. Parties leave the session with a commitment to act on their new agreements.

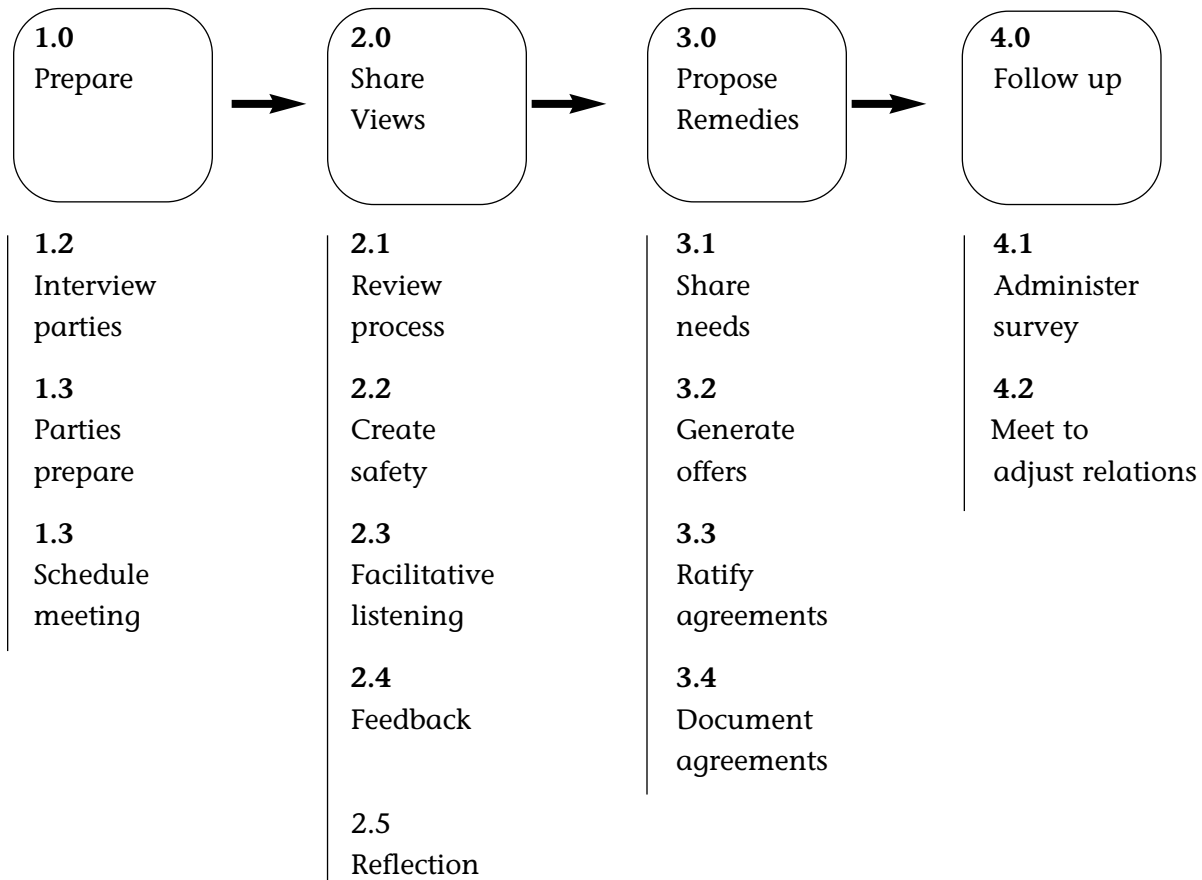
Conflict Mediation

What is it? A positive and constructive dialogue between two parties to resolve a dispute and clarify relationships.

What’s the purpose? To generate mutual agreements and identify actions that can repair a strained relationship.

When to use it? Whenever there are tensions between two co-workers or between a leader and team members.

Process Steps:



Conflict Mediation – Process Notes

1.0 Prepare

1.1 Interview parties – contact the parties who will be taking part in the dialogue, to inform them of the activity. Share the rules and process to reassure participants that this will be a positive and constructive conversation. If the parties are being ordered to take part to settle a dispute, be clear that this is a mandated conversation.

1.2 Parties prepare – schedule the meeting to allow sufficient time for the parties to reflect on their relationship or a specific conflict situation and make notes.

1.3 Schedule meeting – plan the meeting to be held at the end of the day so that participants can go home immediately afterward. Find a private location for the dialogue that is away from the parties' workplace. Make sure there is at least one additional room adjacent to the meeting room that can be used as a breakout space.

2.0 Share views

2.1 Review process – When parties arrive, be friendly but firm. Post the notes below and review them:

- One person will present his or her view of the situation.
- The other person will not speak except to ask clarifying questions.
- The listener must make notes about the other person's views.
- When the first person is finished, the second person will give a summary of what he or she heard.
- If the first person is satisfied that he or she was heard correctly, the process will be repeated.
- At no point will anyone interrupt, interject, or argue.
- Everyone will maintain neutral body language.
- The facilitator can and will stop proceedings if any rule is broken.
- Once both parties agree that they have been heard, there will be a recess during which each party answers two questions:
*“What I need from you to put this behind us . . . and
 What I'm offering you in return.”*
- The parties reconvene to share their needs and offers and make a commitment to act on them.
- All conversations will be kept confidential and not be shared with other group members.

2.2 Create safety – before parties speak, engage them in a conversation to set some guidelines for the conversation. Engage them in a conversation to create norms that all ensure the conversations will be comfortable. Ask them to list the rules that make it possible for them to listen respectfully and with an open mind? Ratify the new norms with both parties and record them on a flip chart sheet. Post the new norms within clear sight of both participants.

2.3 Facilitative listening – randomly choose one person to present his or her views about the conflict situation or the relationship while the other person listens actively and makes notes. Strictly enforce the rules and make sure that people are displaying neutral body language and are asking only clarifying questions. Stop any rebuttals or arguments immediately.

2.4 Feedback – once the first person indicates that he or she has fully shared his or her view of the situation, ask the second person to paraphrase the points made by the first person. Reinforce the need to be neutral and calm when he or she paraphrases. At the end of the paraphrase, ask the first speaker if the other party has given a correct summary of the first party's points. If the first party feels satisfied, reverse roles and repeat the process with the second party.

2.5 Reflection – congratulate the parties for their willingness to hear the other person. Send the parties home to reflect on what they have heard. Tell them they must not call anyone else to share confidential information. Ask them to review their notes and reflect on what they need from the other person in order to restore effective working relationships.

3.0 Propose remedies

3.1 Share needs – parties return on the second day and take turns telling each other what they need from the other person in order to restore effective working relations. Clarifying questions are allowed. Each party paraphrases what the other party needs. Lists are then traded. Parties adjourn to separate rooms for 15 to 20 minutes to identify and write out what they're prepared to offer to the other person in response to their needs.

3.2 Ratify agreements – parties return and read their offers to each other. Each party may ask clarifying questions. If an item is not acceptable, people are invited to restate their need and ask for a modification in the offer. Once the offers are accepted, they create the basis of an agreement and the meeting can end.

3.3 Document agreements – the facilitator arranges to have the offers typed and circulated to guide the parties as they work together.

4.0 Follow up

4.1 Administer survey – use the offers to create a survey participants use to rate the extent to which the other party met their needs.

4.2 Meet to adjust relations – parties receive the other person's ratings in advance of the meeting so they come to the follow-up meeting prepared to make further commitments that will satisfy the needs of the other party.

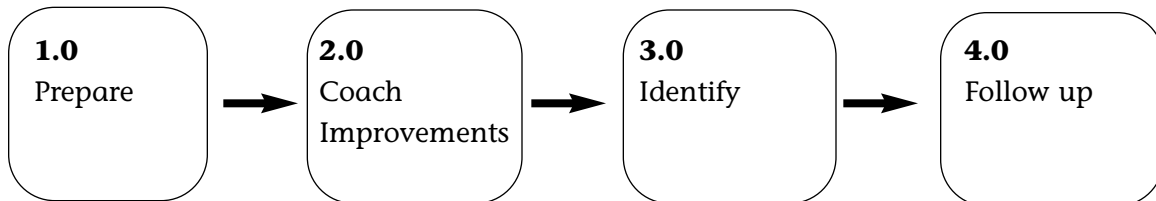
Coaching

What is it? A structured series of steps designed to encourage improved performance in an individual who is underperforming.

What's its purpose? Improved personal performance.

When to use it? When an individual's performance does not match job expectations and there's a desire to offer the person an opportunity to improve.

Process Steps:



| | | | |
|--|---|---|--|
| <p>1.1 Identify the need</p> <p>1.2 Communicate the process</p> <p>1.3 Gain buy-in</p> <p>1.4 Document performance</p> <p>1.5 Prepare summary</p> | <p>2.1 Establish the climate</p> <p>2.2 Invite self-assessment</p> <p>2.3 Share feedback</p> | <p>3.1 Seek strategies</p> <p>3.2 Create a plan</p> | <p>4.1 Monitor</p> <p>4.2 Report</p> |
|--|---|---|--|

Coaching: Process Notes

1.0 Prepare

1.1 Identify the need – this will be either at the request of the person seeking coaching or will be recommended to correct performance issues.

1.2 Communicate the process – meet with the person who will be coached to share the purpose of the process and to share the key steps so he or she can prepare. Establish a time to meet and find a suitable, private location for the sessions.

1.3 Gain buy-in – if the person is not seeking coaching, invite him or her to surface any resistance he or she may feel toward the coaching activity. Ask the person to identify the conditions under which he or she would welcome the coaching activity. Encourage the person to identify the potential upside of the coaching activity for him or her.

1.4 Document performance – keep specific detailed notes about the person's performance. This can involve such diverse activities as keeping a log of activities, observing the person performing his or her job, or reviewing the products the person produces. Documentation is needed in order to be able to give specific feedback concerning performance. The person who will be coached is also advised to maintain active records of his or her performance.

1.5 Prepare summary – write the specific, detailed summary of the key points about the person's performance on both a flip chart and on notepaper. This lets you refer to your notes during the coaching and also provides the member with a written copy to take away at the end of the session.

2.0 Coach

2.1 Establish climate – thank the person for coming and explain the purpose, which is to offer helpful performance feedback. Explain that your approach will be confidential, supportive, and in partnership with them. Inform the participant that your approach will consist of giving specific feedback and then helping them seek improvements. Clarify the expected outcome: namely that the person being coached will leave the session with specific plans for professional improvement.

2.2 Invite self-assessment – name the general area of concern and invite the person to give his or her perception of how he or she is performing. Listen actively to determine the person's level of self-awareness and openness to change. Paraphrase his or her key points.

2.3 Share feedback – express empathy about how hard it is to receive feedback. Request the person to listen to you without interrupting or becoming defensive. Limit the person to asking questions of clarification.

Provide your feedback in a totally factual, objective manner. Without attributing motives or personalizing any of the comments, tell the person what he or she did, when, and the impact of his or her actions. Answer all specific questions the person may have.

If the person seems to be denying or resisting the information, firmly restate and then ask him or her to paraphrase what he or she is hearing you say. It is not essential that the person agrees with the feedback, only that they accurately heard it.

The person receiving coaching may need a break to digest the input that he or she has received and identify improvement strategies. If so, adjourn until another day to allow the person to develop improvement ideas.

3.0 Identify improvements

3.1 Seek solutions – invite the person to identify solutions. Be as supportive as possible of his or her suggestions, since the most effective ideas are always those made by the person being coached. If these suggestions are inadequate given the situation, assertively describe the expected standard of performance in specific detail. Answer any question about what is expected. Be open to making all reasonable amendments.

3.2 Create a plan – record any action plans that have been discussed. Set clear time frames on all improvement activities. Help the person identify and locate any training that he or she needs. Offer ongoing mentoring support.

3.0 Follow up

3.1 Monitor – describe a specific monitoring and report back process. This could include additional coaching meetings. It also often features written documentation. Set a specific timetable for ongoing monitoring and coaching activities. Make sure they know exactly when and how you'll be following up. Compliment or otherwise reward the willingness of the team member to improve his or her performance.

3.2 Report – provide the organization with whatever written summary is required in order to document the performance improvement effort.

Notes

A large, empty rectangular box with rounded corners, intended for taking notes. The box is outlined in black and occupies most of the page below the header.