

# PEARLS of WISDOM

**Facilitation  
Tools, Tips,  
and Techniques  
for  
Group Leaders,  
Managers  
and  
Executives**

***The  
Systems Thinking  
Approach™***

**Stephen G. Haines**  
Master Facilitator



[www.HainesCentre.com](http://www.HainesCentre.com)



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*The  
Systems Thinking  
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*Including:*

- Group Facilitation Stages
- Facilitation Tips & Techniques
- Meetings Management
- Team Functioning
- Problem-Solving
- Decision-Making
- Responsibility Charting
- Conflict Management
- Win-Win Negotiations
- Triangulation and Pinches
- and Much More

**Stephen G. Haines**  
Master Facilitator



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3rd Edition

***Pearls of Wisdom: Facilitation Tools, Tips, and Techniques for Group Leaders, Managers and Executives***

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People are the engine  
Not the fuel to be used up.

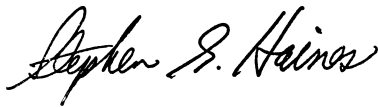
Dear Reader:

Welcome! I hope you enjoy this book and find it powerful, yet practical in your world as a facilitator. It is the result of both my continuing Proven Best Practices Research on group dynamics and my own 30 years experience of facilitating groups and training programs at the challenging executive level.

My first experience in group facilitation was in 1972 while I was an officer in the U. S. Navy. I attended a four week, video-taped/playback Facilitator Program at Millington Navy Base, Memphis, TN. I then proceeded to practice facilitator work as an internal trainer, consultant, and executive in the Navy and the private sector for 15 years. Since 1988, when I became an external consultant, I have continued to facilitate approximately 1,000 hours a year, which translates into 125 eight-hour days a year for another 16 years.

This book includes all of the handouts we use at the Centre when we conduct the Train-the-Trainer Immersion and Certification portion of our Gold Mastery Strategic Management Series. We highly recommend you begin this book by first reading our Executive Summary Article on the Rollercoaster of Change<sup>SM</sup>. It is the foundation of all change theories and is the basis for this book. A copy of this article is included at the end of this first section for your convenience.

Happy Reading,



Stephen G. Haines, CEO  
San Diego, California  
(619) 275-6528

P.S. In some places I have added great works by others, including Centre Member Gary Nelson. Thanks. Gary!



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# Rollercoaster of Change™

## The Natural Cycles of Life and Change

By Stephen Haines, President and Founder of the CENTRE for STRATEGIC MANAGEMENT®

### Life is Full of Cycles

Life is full of natural and normal cycles. They include:

- **Natural Environment** (seasons, day/night, moon).
- **Ages of History** (hunting and gathering, agricultural, industrial, information society).
- **Economic** (bull/bear).
- **Civilization and Empires** (Incans, British, French, Spanish, Japanese, Chinese, Roman, etc.).
- **Life** (birth/death, food chain, growth/decline).
- **Industries** (start-up, maturity, decline, renewal).
- **Travel** (walk, use of animals, boats, wheels, auto, mass transit, flight).

These changes and cycles are natural, normal, and historical facts of life. And change is accelerating—another key fact of life in the 21st century.

### The Reality of Life

However, it is a myth that there is “organizational change.” Change is an individual, emotional, and psychological matter for each of us. The bigger the organization, the more difficult it is apt to be to get everyone to

### Rollercoaster of Change™

Whether you are dealing with change at the individual, interpersonal, team, family, organization, community, or societal level, this article describes and explains the key concept of how change occurs, no matter what type of change. This is **THE** main framework you need to know about change.

—Stephen G. Haines

change and focus on the customer. Instead, the focus is on oneself alone. Thus, productivity, quality, and other results take a nose dive. Things will almost always get worse before they get better is a fact!

The “Rollercoaster of Change™” is a term we coined a number of years ago for the phenomenon that occurs and is written about in many fields and disciplines, including mental health.

This Rollercoaster is a simple way of understanding the dynamics of how to effect successful change of all types. Cycles of “stability—change—instability—new stability—and change all over again” are normal and natural. Don’t fight them, use them to your advantage!

*Basically, you must manage and lead yourself first, and only then, help others through the four stages of the Rollercoaster. Keep in mind, though, that everyone goes through these stages at different rates, depths, and times.*

management specialist/consultant *in advance* of announcing the change to develop a well-planned “transition management process” is key. It must be so well thought out that it has the precision of military maneuvers if you want to significantly reduce the Rollercoaster effect and keep up morale and productivity.

### STAGE 1: SHOCK AND DENIAL

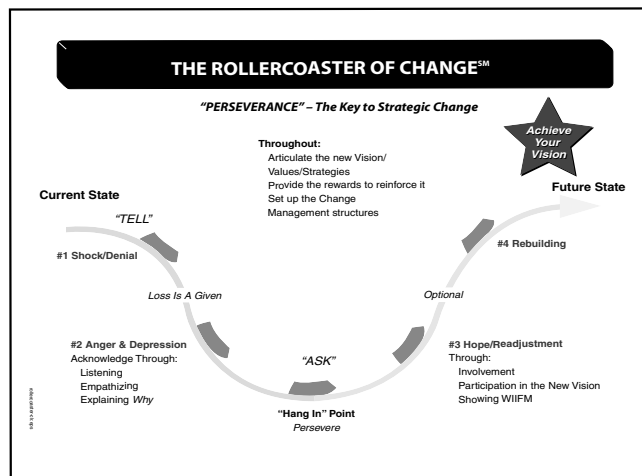
In the first week after announcing the changes, you must be available to others to communicate the desired changes and their rationale—over and over, face to face.

The question is not “if” employees will go through the Rollercoaster, but when, how deep, how long will it take, and *will they successfully reach the other side?* This last question of reaching the other side successfully is quite an issue for most organizations. Executives are trained in the skill of “telling” others what to do. In the Rollercoaster of Change™, telling is only the “skill” of inducing shock, denial, and depression in your employees.

It is a given that each of us will go through the losses associated with Stages 1 and 2 of the Rollercoaster (*Shock and Depression*). However, going through Stages 3 and 4 (*Hope and Rebuilding*) are optional and depend on someone leading the change process effectively.

### Ways to Unfreeze an Organization

As we said, all it takes is for an executive to tell people about the desired change and he or she will induce Stage 1 (*Shock and Denial*) and Stage 2 (*Anger and Depression*) automatically. This takes no particular skill. The key is to help people understand “why” through the following:



### Well-Planned Transition

As a leader of change, you must be *extremely* well-prepared with a Game Plan before you give notice and clear expectations regarding your desired changes. Thus, holding a few meetings with a change

1. Share what competitors are doing.
2. Explain your organization's finances and P/L statement.
3. Share your organization's vision and future ideal.
4. Discuss changes in the environment that impact the organization.
5. Discuss why there is a need to change.
6. Explain the organization's Strategic Plans and direction and why they were chosen.
7. Share employee data and problems, such as turnover, etc.
8. Change the roles of key informal leaders.
9. Conduct focus groups of customers and feed back their perceptions and data.
10. Set up task forces to analyze issues and recommend solutions.
11. Explicitly evaluate employees (including senior management) on their buy-in to your desired values.

## STAGE 2: ANGER AND DEPRESSION

The other "Catch 22" of the Rollercoaster is the fact that *once you start through it, you cannot go back and erase what you started*. Instead, attempting to reverse changes already begun just kicks off another Rollercoaster, only this time from the spot at which you tried to reverse the process. Since this is usually at Stage 2 (*Depression*), it generally means that the new Rollercoaster will take employees deeper down into depression. Rarely will it get you out of the hole you are digging for yourself, your firm, or your employees.

### DEPRESSION

#### To Help People Through Stage 2: Listen

- Ask questions. Empathize. Explain the vision and why it is significant (over and over).

explaining the vision and why it is significant. Letting people experience first hand the executive decision-maker's presence and rationale for the change is also crucial.

What helps people through the depression of Stage 2 is the sequence of managers 1) listening, 2) asking questions, 3) empathizing, and, only then, 4)

In other words, depression is normal and to be expected, as is resistance to change. The worst thing an executive can do is to push people or tell them they "*should not feel that way*." The more you push employees in telling them this, the more they will resist you as well (action-reaction).

### How to Get Your Team through the Change Successfully

Stage 2 (*Anger and Depression*) is a time of high uncertainty and anxiety. Thus managers need to spend a great deal of time assisting all of their employees through this change. Some strategies for helping include:

1. Communicate frequently downward about the changes and change process.
2. Develop feedback mechanisms to hear the employees' questions and concerns and to conduct two-way dialogues.
3. Don't react emotionally to employee concerns and resistance. Empathize and understand them first. Let people talk it out. Then try to deal with the underlying issues (i.e., read between the lines).
4. Make sure people have a clear understanding of why the change is necessary.
5. Let people have an opportunity to cross-examine the leader(s) and verify for themselves the necessity for change.
6. Give people occasions to talk through their feelings of loss and detachment from the old ways.
7. Develop a positive climate about the change by evoking a clear and positive "vision" of what the future will look like.
8. Relate the change to employee values.
9. Develop groups and departments into teams that value and recognize the importance of teamwork.
10. Work closely with the informal peer leaders of the organization.
11. Provide employees with an opportunity to increase their learning and competence about their jobs and about the change.
12. Develop, prior to Stage 1, a well-planned "transition management process." Communicate about it to give employees a sense of security and knowledge that you are in control and in charge of the changes.

Failure to hang in and persevere is key at this step. It is where change often fails because people can't stand the pain and emotion and try to "quit" the change, only to have it get worse (a new change curve kicked off from a lower point).

## STAGE 3: HOPE AND ADJUSTMENT

At Stage 3 (*Hope and Adjustment*), you must help clarify each person's new role and their required new expectations of performance. Then find ways to gain maximum involvement and understanding of WIIFM (What's In It For Me) by everyone on how it is to their personal advantage to achieve the firm's new vision and/or values and culture.

The only way through Stage 3 and up the right (and optional) side of the Rollercoaster is through leadership. In other words, you must be Drucker's "monomaniac with a mission," having *persistence, persistence, persistence* in implementing, correcting, gaining "buy-in," and improving the changes as you go. Involving people in some aspect of the change to control their destiny is essential for the adjustment and hope of Stage 3.

*The key is involvement in the "how to," not the decision on "what."* The "what" should already have been decided in a participative fashion, such as using our copyrighted Parallel Process and value that "*People support what they help create.*"

### BUY-IN

Involving people in the change is essential for adjustment, hope, and rebuilding. "*People support what they help create.*"

## STAGE 4: REBUILDING

### Refreezing/Renewing and Maintaining Stability/Flexibility in an Organization

Here you empower the fully committed individuals and teams toward your vision and values.

Stage 4 (*Rebuilding*) highlights the issue of how difficult it is to create a critical mass in support of your desired changes. The importance of not only "buying-in," but also getting people to "stay-in" throughout the

Rollercoaster (and its bottoming out) process is critical.

### **Ways to Institutionalize Changes in an Organization (Stage 4: Rebuilding)**

While it may be good to think of institutionalizing change in an organization, the practical reality is that once you institutionalize this new changed state, you will immediately begin to make other incremental changes in response to changing conditions. This continues indefinitely (i.e., continual improvement and/or renewal).

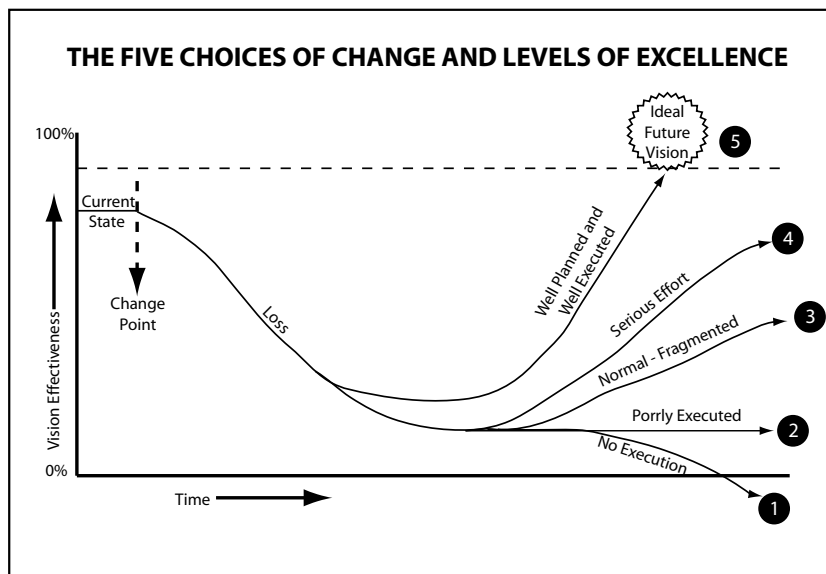
There are ways to ensure changes are successfully completed and maintained. They include the following:

1. Conduct an organizational assessment to see the status of the changes and problems that need improvement in order for the change to reach its full effectiveness.
2. Conduct refresher training courses or yearly conferences on the change topic.
3. Have the basic change improvements as part of senior line management's goals and performance appraisals.
4. Conduct a reward system's diagnosis and make appropriate changes so that the rewards (both financial and non-financial) are consistent with the changes.
5. Set up an ongoing audit system and find ways to statistically measure the change effectiveness.
6. Have ways to discuss and reinforce the changes at periodic staff meetings.
7. Set the changes into policies and procedures for the ongoing organization, then have someone accountable for them. Set up permanent jobs to maintain the changes or put the accountability into existing job descriptions.
8. Use a variety of communication avenues and processes for feedback on the changes.
9. Have top line managers conduct "deep sensing" meetings on the subject down into the organization on a regular basis.
10. Have periodic intergroup or interdepartment meetings on the subject and its status across the organization.
11. Set up a process of yearly renewing and reexamining the changes in order to continually improve upon them.
12. Have outside consultants conduct periodic visits on the subject and assess the status of the changes.
13. Be doubly sure that the top team continues to model the changes.
14. Set priorities and deadlines for short-term improvements to the changes.
15. Look closely at the key environmental trends to be sure they are reinforcing the changes.
16. Create physical indications of the permanency of the changes (offices, jobs, brochures, etc.).
17. Link other organizational systems to the changes. Encourage specific and formal communication, coordination, and processes between them.
18. Keep the goals and benefits of the changes clear and well known.
19. Assess the potential dangers and pitfalls of the changes and develop specific approaches and plans to minimize those dangers. Be alert to other processes that can negatively affect the change (unintended negative side effects and consequences).

### **Major Uses of the Rollercoaster**

This Rollercoaster is often called the "Rosetta Stone" of change as it is literally all you need to know about change. While it is a two-dimensional and simplistic representation of a complex reality, it is still all you really need to know about change. **All the theories on change we've researched and seen follow this same Rollercoaster framework.** So, its uses are many. All of these theories and changes follow the same four steps just in different terms. Some examples are:

- **Personal Transitions**—Employee and self-management, in death and dying (*Elizabeth Kubler-Ross*).
- **Stages of Learning**—Learning theory, "what, so what, now what," questions.
- **Situational Leadership**—Tell-sell, participate-delegate (*Hersey-Blanchard*).



### **The Challenge: 5 Choices**

What Stages 3 and 4 present are a challenge to your self-mastery and excellence in organizational leadership. The truth is, there are five choices of how these phases can go for individuals, teams, and organizations. Remember, the left side of the Rollercoaster ("loss" side) is a given and the right side ("up" side) is optional. So, which will it be for you?

Incompetence: *Going Out of Business.*

Technical: *Dogged Pursuit of Mediocrity.*

Management: *Present and Accounted For Only.*

Leadership: *Making a Serious Effort.*

Visionary Leadership: *Developing an Art Form.*

- **Team Building**—Form, storm, norm, and perform (*Tuchman*).
- **Strategic Planning**—Circular yearly Strategic Management System (*The Centre's A-B-C-D-E model*).
- **Core Strategies**—Cost cutting and building strategies, both at the same time.
- **Civilization**—Margaret Mead's "work and the life cycles of dynasties."
- **Change Management**—Unfreeze, change, refreeze, and renew (*Kurt Lewis*).
- **Interpersonal Change**—Inclusion, control, openness, and high performance (*Wil Shutz*).
- **Systems Thinking**—Loss of energy, entropy, running down and then renewal, new energy, and booster shots.
- **Organizations**—Industry start up, high growth, maturity, decline, and renewal.

### ***A Summary: The Rollercoaster of Change™ (The Natural Cycles of Life and Change)***

In dealing with the Rollercoaster of Change™ the "major questions" you must ask for both yourself and others are:

1. Not if, but when will we go through shock?
2. How deep is the trough?
3. How long will it take?
4. Will we get up the right side and rebuild?
5. At what level will we rebuild?
6. How many different work-related Rollercoasters will we experience at once?
7. Are there other changes occurring simultaneously in our lives?
8. Will we hang in and persevere?
9. How do we deal with normal resistance?
10. How do we create a critical mass for the desired change?

This Rollercoaster is the fourth and final concept in the Systems Thinking Approach™ we use at the Centre, based on fifty years of rigorous scientific research by general systems theorists from interdisciplinary fields, including biology, economics, physics, and elsewhere. (For additional articles or information on the Rollercoaster of Change™ or for details on our other three Systems Thinking concepts, please call us at the Centre for Strategic Management®.)

Another in the Rollercoaster of Change™ Series.

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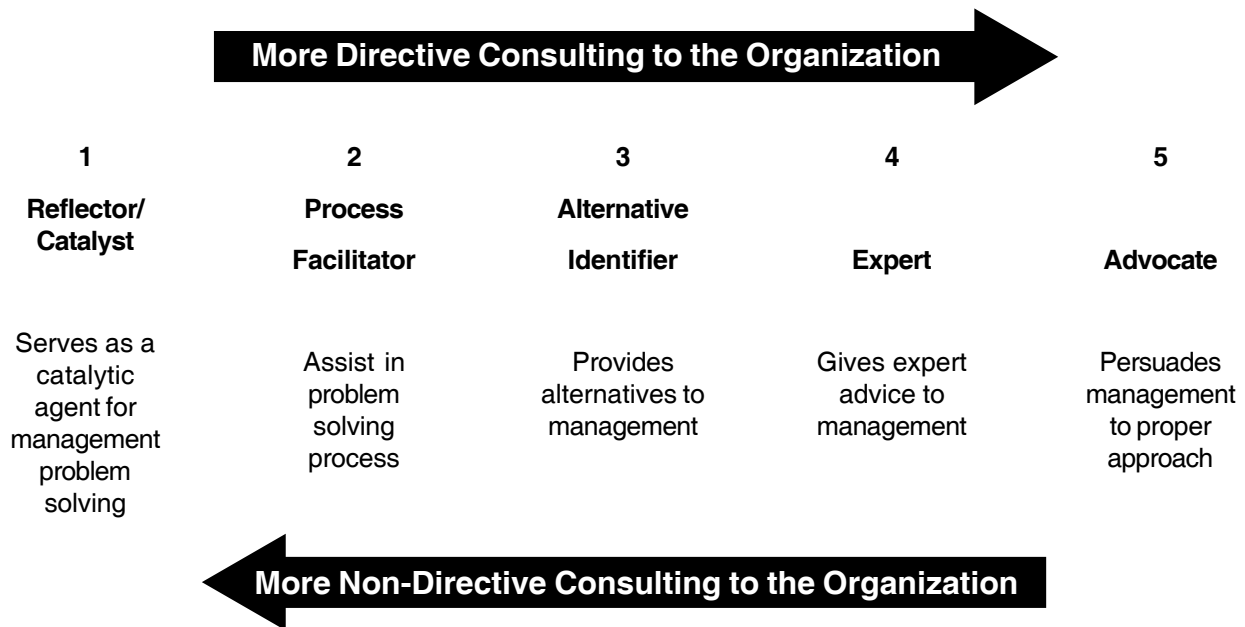
## **SOME PRINCIPLES OF CHANGE**

*Throughout the Rollercoaster, some basic research-based principles of change are in operation. These are also the natural way people operate on earth. **They are a fact** and not matters of personal opinion.*

1. Any change in any one part of the organization affects all other parts of the organization—the "Ripple Effect." (An organization is a system and a "web of relationships.") Leaders need constant attention to an integrated fit, or alignment and attunement. If not, degradation (or entropy) will take over and the change will fail.
2. People are funny. Change they initiate is viewed as good, needed, and valuable. Change that is forced on them is met by some form of resistance, no matter what the nature of the change.
3. People need predictability—physical, psychological, and social. It's an offshoot of the basic need for security.
4. People will feel awkward, ill-at-ease, and self-conscious; they need information and reassurance over and over again. (Repetition is crucial—tell people the same thing four times.)
5. People will think first about what they will have to give up—their losses. Let people cry, mourn, and grieve the loss.
6. People will feel alone even though others are going through the same change. So structure interactions and involvement for people to feel a sense of community.
7. The communications power in explicit vision and values is enormous. People want to believe. Focus on them over and over.
8. Only one to three themes (maximum) should be chosen in order to focus people on the change. *Keep it simple!*
9. People change at different rates, depths, and speeds; they have different levels of readiness for change. So treat each person as an individual.
10. Excellence is doing 10,000 little things right—that's Strategic Management in execution; the military precision in managing the change requires it.
11. "Structures" exist—their design influences everything else. So set up a Change Leadership Steering Committee that meets frequently and regularly to lead and manage the changes.
12. "Processes" exist—the only issue is their focus and effectiveness. The Rollercoaster process is the key!
13. There is a need for this continual "Change Leadership Steering Committee" process. The hierarchical organization has a difficult time changing itself.
14. The stress of change on people is enormous . . . but it can and must be managed for successful change to occur. People can only handle so much change; don't overload—it causes paralysis. Set up phases of change if necessary.
15. Being open to feedback on your changes doesn't have to be a sacred cow . . . but it can be painful, yet growth inducing, as you have more of reality with which to improve and ensure success.
16. Employees can be a bottom line competitive business advantage . . . but only if management first becomes the advantage by being skilled in this Rollercoaster.
17. People will be concerned they don't have enough resources; help them get "outside the nine dots" (i.e., outside the box).
18. If you take pressure for change off, people will revert back to old behaviors; relapses are natural and will occur.
19. We rarely use what works despite the fact that proven research is in on change management. **It's the Rollercoaster, stupid!**

**SECTION I: OVERVIEW****MULTIPLE CONSULTING  
APPROACHES**

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Question: What other roles should you play?

Question: What added skills do you need?

# FACILITATING: THE PHILOSOPHY, PREPARATION AND THE PROCESS

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*Stephen Haines and Gary Nelson, Centre for Strategic Management®*

## **PHILOSOPHY:**

The purpose is to bring out the best in each participant within the context of the session. The facilitator's job is to help the participants get the results they want.

An expert facilitator brings complete knowledge of the session material as well as the ability to spot superior and inferior performance in individuals and groups while they engage the session.

A superb facilitator looks for and rewards superior performance as it occurs, and also suggests corrections in the case of inferior performance exactly when it occurs. When these interventions occur, the corrected participant almost immediately sees better performance as a result.

A brilliant facilitator becomes almost transparent as the session unfolds, providing the discipline of the process and its methodology while the participants provide the context and meaning.

A legendary facilitator shows true concern (and even love) for the participants as individual human beings and as a team—all the time.

## **PREPARATION:**

### **1. Commit yourself to lead. Here is your preparation check list for facilitating the session.**

- Check your ego in at the door.
- Don't get distracted by engaging in "personalities." Keep the objectives and process in mind at all times.
- Listen and keep an open mind. New data insights and the group dynamics present the possibility to something new or different being required on your part.
- Share personal experiences and organizational examples when appropriate. Don't overuse and don't under-use examples. Intuitively seek appropriate examples for group clarification of content and not to enhance your ego.
- Embrace diversity Help each participant contribute to and be valued by the group.
- Let participants know they can call on you for help on a continuing basis.

### **2. Prepare Participants to excel. Here is the individual preparation checklist for participants in the session.**

- Clear all personal and professional schedules for the three to five days as well as the two or three middle evenings of the session. Have an agreement with bosses that you will not be pulled/ distracted from the session.
- No "inactive observers." Be enthusiastically willing to work hard and to be actively involved.
- Complete all of the reading, study and work requirements assigned both before and during the session.

## MY FACILITATOR'S CREED

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*By*

*Gary Nelson and Stephen Haines, Centre for Strategic Management®*

**Before every session, meeting, training and/or experiential learning exercise, I will read and contemplate and adhere to this Creed.**

**I BELIEVE,**

in my God, my country and myself. Faith can bring purpose to my life and provide better direction than I can give myself. I recognize the heart of my work is helping others. My belief in myself will help me reach my personal growth potential.

- 1. I WILL HAVE INTEGRITY.** While representing the Centre which owns this workshop, I must have unquestioned integrity, be dependable in all commitments. My word must be inviolate that I may merit the confidence of others. I shall be motivated by sincerity. High ethics will help me inspire in others what I believe in myself. Moral values will insure that I live a high standard of conduct.
- 2. I WILL BE LOYAL.** As a member of the Centre, I must relate myself to the overall objectives of the Centre and help work out the plans developed for the good of all. To be a success, I must attach myself to some great cause. I know that every great person has been great only because he was dedicated to a cause bigger than himself.
- 3. I WILL HAVE GOALS.** I will set long-range, intermediate and short-range goals for my life. I will have measurable goals in life as well as a goal of life. I shall totally commit myself to my mission and be willing to make the personal sacrifices required to reach the goals I have set. This commitment will be so complete that temporary setbacks will only spur me on to greater achievement.
- 4. I WILL BE ANALYTICAL.** I must be able to analyze my own strengths and weaknesses. I must correctly analyze the words and actions of my associates to gain insight to their feelings and depth of character. I must be able to analyze the people in our workshop who come to me for guidance and help. Analytical ability will help me build strength in my associates and workshop participants.
- 6. I WILL BE FLEXIBLE.** I must ever be alert to necessary changes and remain flexible enough to make them. I shall maintain open-mindedness, a willingness to accept new ideas and share them. I will continuously open my mind to knowledge and the skills to apply that knowledge. I will be imaginative, creative, constantly striving for new ways to do the job better and stay abreast of changing times.
- 6. I WILL MOTIVATE OTHERS.** To motivate myself through desire for gain, self-preservation or recognition will not suffice. In addition to strong personal motivation, I must have the ability to motivate others. I will be a self-starter. I will inspire others to become self-starters.



## MY FACILITATOR'S CREED

### CONTINUED...

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7. **I WILL BE AMBITIOUS.** I want to succeed. I want to excel. I shall never permit lack of ambition to slow down or halt my efforts when certain goals are met. I will never become complacent and stagnant.
8. **I WILL BE COMPASSIONATE.** I must have a burning desire to help my fellow man live a fuller and more successful life. Compassion for mankind must transcend my desire for personal profit, but this compassion must carry with it a capacity for loving firmness. In my compassion for others, I must convey to them that I have their best interest in mind.
9. **I WILL BE SENSITIVE .** To the needs, feelings, thoughts, actions and reactions of other human beings. I will strive to understand and appreciate them. I will forever look for opportunities to be of service of others.
10. **I WILL BE COURAGEOUS.** I must be willing to take personal risks in the quest of my goals. I believe that courage is not the absence of fear, but the conquering of fear. I will achieve in spite of my fears. When others express doubt, I must resist their negativism and win them over to the cause. I must take a stand and establish a standard of excellence from which there can be no retreat.

Can You Be Seen As "Neutral" (Or do you need a neutral third party who is trusted?)

Signed,



#### To build trust.

1. Be clear on your purpose "up front"—and no hidden agendas.
2. Respect the other person and his/her feelings.
3. Accept irrelevancy and explore its purpose.
4. Respect confidences.
5. Use time strategically.
6. Clarify the undesirable alternatives.
7. Have no vested interest in the outcome, only that there be consensus. (...taken from the thoughts and words of people who have excelled in the art and science of Facilitation and who have been an inspiration to me, in my pursuit to become a Legendary Facilitator of learning and development. —Gary Nelson)

## PROCESS FACILITATOR

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### **Can You Be Seen As “Neutral”**

*(Or do you need a neutral third party who is trusted?)*

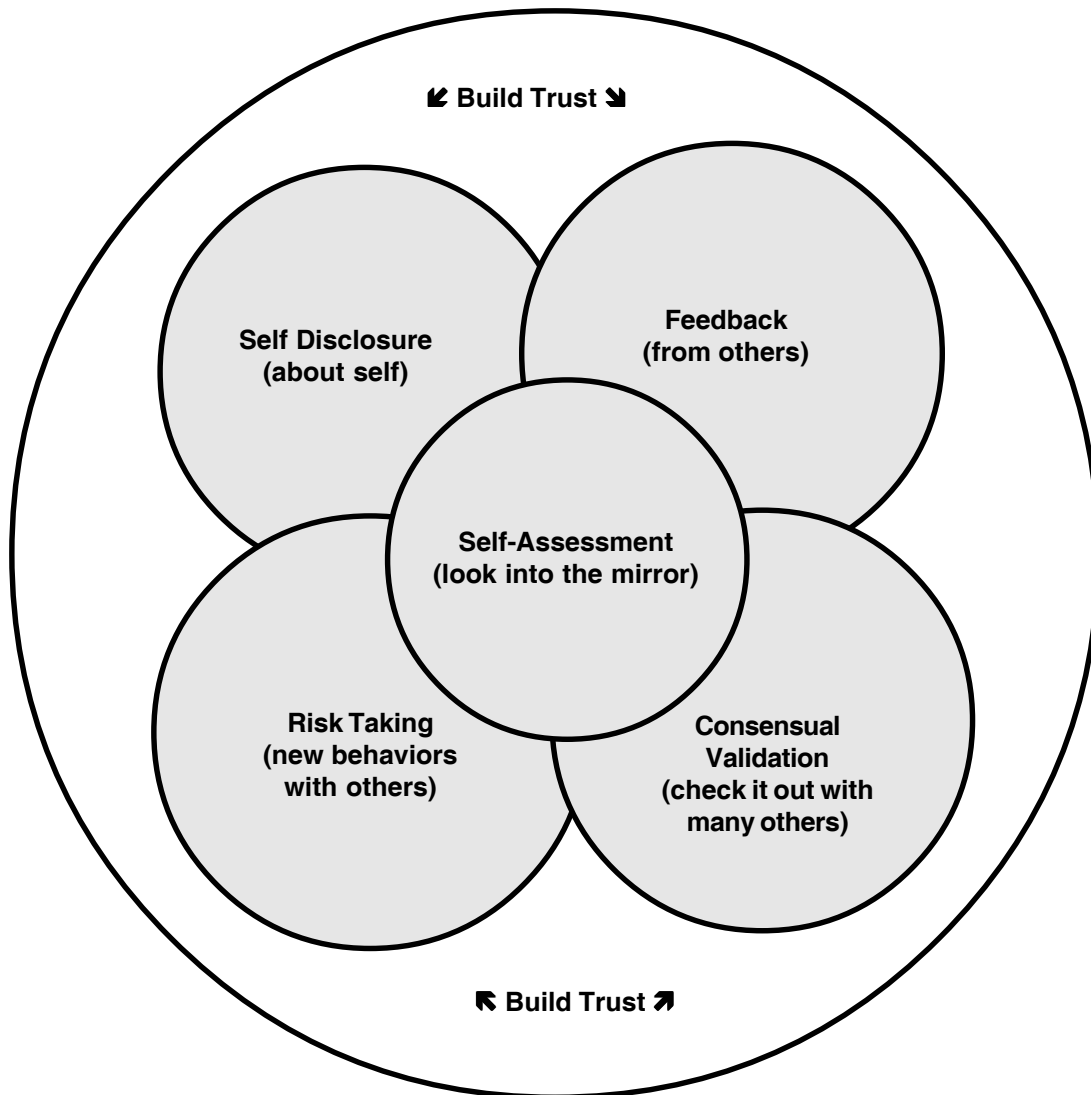
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6. Clarify the undesirable alternatives.
7. Have no vested interest in the outcome, only that there be consensus.

## MAJOR GROWTH PROCESSES IN GROUPS

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### WAYS TO INCREASE TRUST IN A GROUP



**Yes doesn't mean anything  
If no is not an option!**

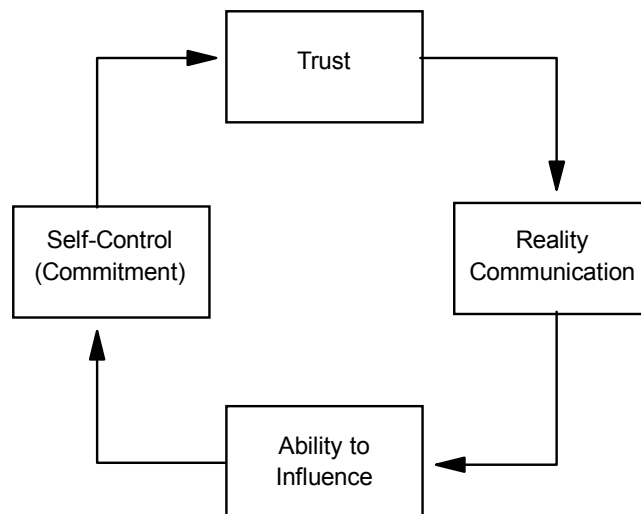
—Elveta Bishop

Source: Adapted from 1982 University Associates Annual for Facilitators, Trainers and Consultants

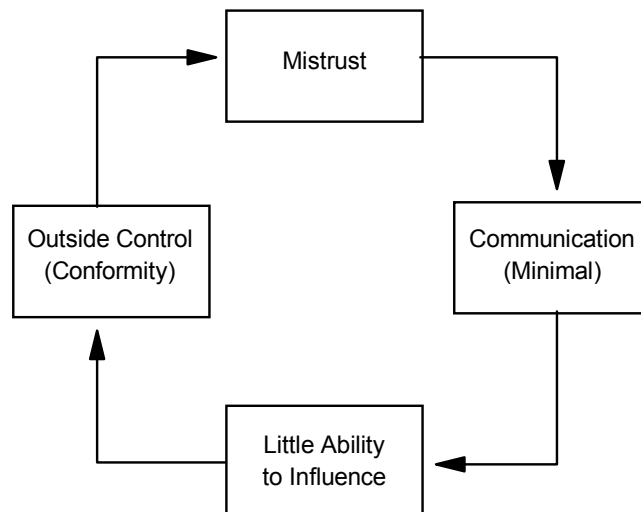
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## CYCLES OF TRUST AND MISTRUST

### CYCLE OF TRUST



### CYCLE OF MISTRUST



Adapted from Dr. Dale Zand, Professor of Business Administration, New York University

## **BLAME – ASOH DEFENSE – SUMMARY**

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### **I. Blame in organizations:**

1. Establish blame
2. Pin it on others or pass it on to others
3. Avoid pinning it on us
4. It is healthy and normal to admit blame and apologize; it isn't a sign of weakness

### **II. The problem is when:**

Zero defects is shifted from equipment to people

### **III. We need a policy on:**

Asking for forgiveness in organizations

Culture: "It is better to ask for forgiveness than permission."

### **IV. The Asoh defense is:**

"Asoh screw up." What else is there to say? Admitting blame diffuses situations.

### **V. Jerry Harvey's rules:**

1. The search for truth is what we want to do.
2. We can't escape individual responsibility.
3. The importance of humor and the absurd is key in organizations.

## FACILITATOR CREATED CLIMATE FOR LEARNING

---

1. Feeling of accomplishment.
2. Feeling at home in the classroom.
3. Comfortable to speak up, disagree, dialogue.
4. Participation is encouraged — positive reinforcement.  
("I'm important — I matter — I have good ideas.")
5. Informal environment for learning is created.
6. Have fun and humor while doing serious work.
7. Deal with reality — not the way we want it to be but the way it is.

*So that the required learnings actually occur.*

Summary of facilitator skills to do this — Carl Rogers "**Age**"

- **Acceptance**
- **Genuineness**
- **Empathy**

## CREATING A NONTHREATENING ENVIRONMENT

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—ASTD Info-Line, Issue 9003

A nonthreatening environment shows acceptance of people and their ideas. Traditional managers who are acting as trainers for the first time may find that their "managerial" pose is threatening in a training situation. Following are some guidelines on accepting and nonaccepting behavior:

**A manager who trains can show acceptance by:**

- listening
- accepting another's ideas
- sharing information
- showing interest in the other person
- expressions of appreciation

**The results of this accepting attitude are:**

- cooperation
- feelings of closeness
- willingness to work independently
- positive anticipation of the trainer's return

**Nonacceptance is demonstrated by:**

- interruptions
- criticisms
- unfair comparisons
- avoidance
- advice giving
- rejection of the other's ideas
- laughing at, not with
- pretending to listen, show concern, or act interested

**The results of this nonaccepting attitude are:**

- antagonistic feelings
- feelings of devaluation
- feelings of exclusion from the group
- noncooperation
- avoidance
- noncompliance with suggestions or advice
- feelings of relief on termination of relationship

## SECTION 2: SYSTEMS THINKING & THE ICEBERG

### THE NATURAL LAWS OF ALL LIVING SYSTEMS ON EARTH

#### SIMPLICITY AND COMPLEXITY

I wouldn't give a fig for the simplicity this side of complexity  
but

I'd give my life for the simplicity on the far side of complexity.

—Justice Oliver Wendell Holmes

#### SIMPLICITY AND GENIUS

Any idiot can simplify by ignoring the complications.

But,

it takes real genius to simplify by including the complications.

—John E. Johnson, TEC Chair  
(The Executive Committee)

Ludwig von Bertalanffy – the founder of General Systems Theory –  
was the “genius”, major leader, and pioneer of the 21st Century movement to  
a systems orientation and simplicity ... reflected through our holistic, synergistic  
and integrated process called **The Systems Thinking Approach<sup>SM</sup>**

#### Management's Ultimate Challenge

"Search for the simplicity  
on the far side of complexity."

#### The Goal (in Whatever We Do)

"Clarify and simplify...  
clarify and simplify...  
clarify and simplify."

#### Why Thinking Matters

How you think...  
is how you act...  
is how you are.

#### Why Thinking Matters

The way you think  
creates the results you get.  
The most powerful way to improve  
the quality of your results  
is to improve the way you think.



# ANALYTIC VS. SYSTEMS THINKING

## (STRATEGIC CONSISTENCY YET OPERATIONAL FLEXIBILITY)

(OUTSIDE – IN – OUTSIDE AGAIN: BOTH ARE THEN USEFUL)



**SUCCESS KEY:** *ORGANIZATIONAL SYSTEMS FIT, ALIGNMENT, AND INTEGRITY*

Analytic Thinking (Analysis of Today)	vs.	Systems Thinking (Synthesis for the Future)
1. We/they	vs.	1. Customers/stakeholders
2. Independent	vs.	2. Interdependent
3. Activities/tasks/means	vs.	3. Outcomes/ends
4. Problem solving	vs.	4. Solution seeking
5. Today is fine	vs.	5. Shared vision
6. Units/departments	vs.	6. Total organization
7. Silo mentality	vs.	7. Cross-functional teamwork
8. Closed environment	vs.	8. Openness and feedback
9. Department goals	vs.	9. Core strategies
10. Strategic Planning project	vs.	10. Strategic Management System
	vs.	11. Serve the customer
11. Hierarchy and controls	vs.	12. Communications and collaboration
12. Not my job	vs.	13. Systemic change
	vs.	14. Circular/repeat cycles
13. Isolated change	vs.	<b>Whole is Primary</b>
14. Linear/begin-end	vs.	
<b>Sum: Parts are Primary</b>		



### USING “ANALYTIC APPROACHES TO SYSTEMS PROBLEMS”

#### Systems vs. Analytic Thinking

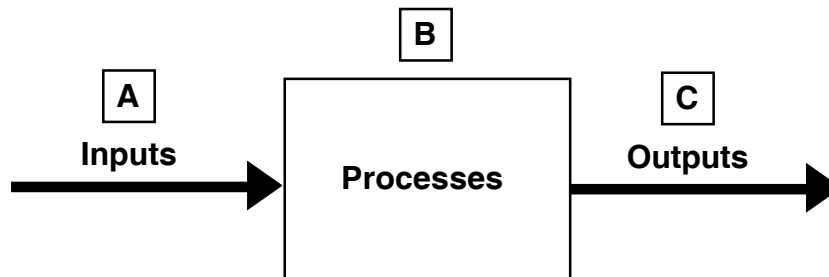
*In Systems Thinking*—the whole is primary and the parts are secondary.

vs.

*In Analytic Thinking*—the parts are primary and the whole is secondary.

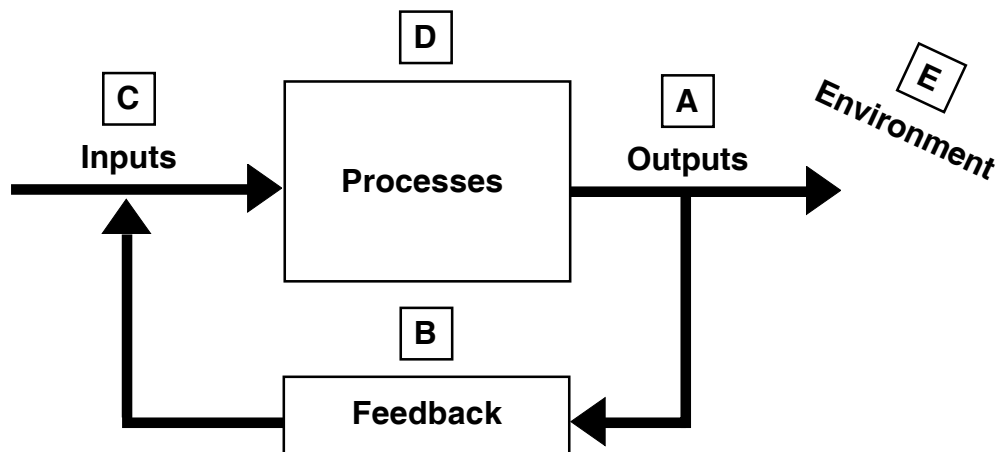
## TWO MENTAL MAPS

Which is it for you?



Left to Right

or



Right to Left

Why?

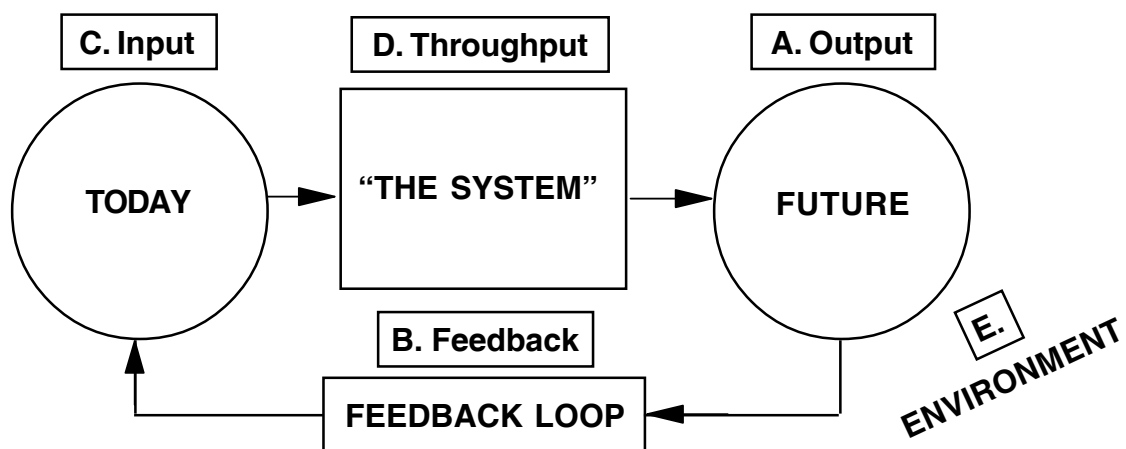
# SYSTEMS THINKING: SIMPLICITY

## “A NEW ORIENTATION TO LIFE”

### (A-E: Five Key Elements)

#### *“From Complexity to Simplicity”*

**Systems:** Systems are made up of a set of components that work together for the overall objective of the whole (output).



#### Five Questions in Sequence

- A** Where do we want to be? (i.e., our ends, outcomes, purposes, goals, holistic vision)
- B** How will we know when we get there? (i.e., the customers' needs and wants connected into a quantifiable feedback system)
- C** Where are we now? (i.e., today's issues and problems)
- D** How do we get there? (i.e., close the gap from C → A in a complete holistic way)
- E** ongoing:  
What will/may change in your environment in the future?

#### vs. Analytic Thinking *Which:*

1. Starts with today and the current state, issues, and problems.
2. Breaks the issues and/or problems into their smallest components.
3. Solves each component separately (i.e., maximizes the solution).
4. Has no far reaching vision or goal (just the absence of the problem).

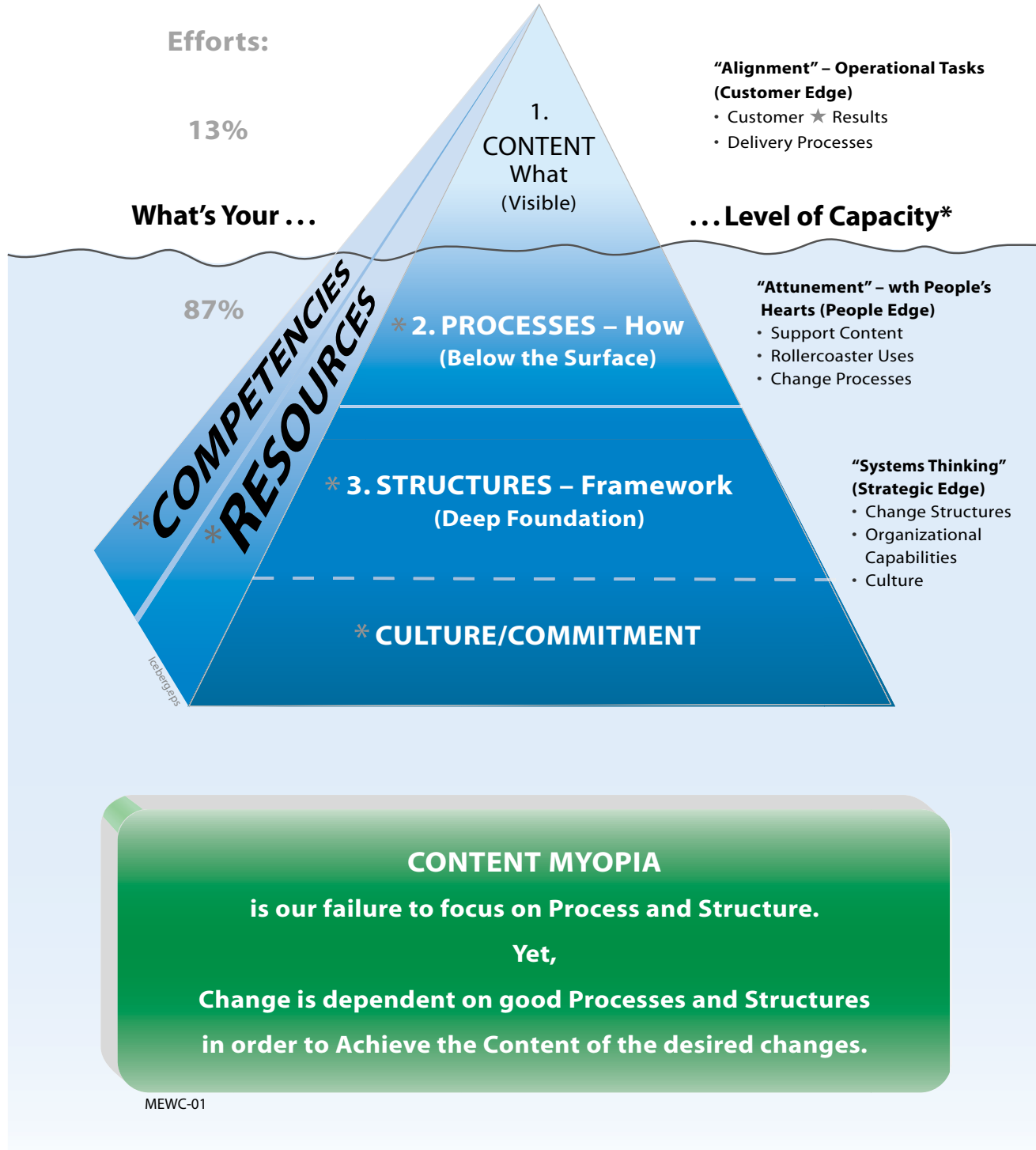
Note: In systems thinking, the whole is primary and the parts are secondary (not vice-versa).

***“If you don't know where you're going, any road will get you there.”***

# THE ICEBERG THEORY OF CHANGE

The Systems Thinking Approach™

(The CAPACITY\* to Achieve Your Competitive Business Advantage)



## **THE ICEBERG THEORY OF CHANGE**

What sinks change efforts are the same things that sink ships:

—The “stuff” below the waterline that is not readily visible.

- In an Iceberg, it is the 87% of the Iceberg below the waterline
- In Organizations, it is the lack of focus on two of the three levels of *“the reality of life”*:
  - i.e. Lack of focus on the **underlying Processes and Structures** needed for effective Change

**It is called:**

### **CONTENT MYOPIA**

**It is our failure to focus on Process and Structure**


**Yet**

**Change is dependent on good *Processes and Structures***

**In order to**

**Achieve the *Content* of the desired changes**

## SYSTEMS APPROACH TO GROUP FACILITATION

1.  The natural cycles of change in a group over time: use it to your advantage

2. A. Mind—Content: Purpose of meeting/discussions  
B. Body—Structure: Design/context of the meeting  
C. Spirit—Process: Flow of the meeting

**Focus on all three in balance in order to ensure success**

3. Systems Dynamics = Group Dynamics  
**Analytic Traps:**
- linear extrapolation:  $X \rightarrow Y \rightarrow Z$  (vs. top 3 priorities)
  - either/or: X or Y thinking
  - means (how)—and—ends (what) confusion by most people
4. Problem Solving Model—Using A—B—C—D and E Sequence
5. Entropy—over time everything runs down. Buy in/stay in are natural problems.
6. Where is our group within the 7 Levels of Living Systems? Fit with other Levels?
7. Environmental Scanning (E)—key importance; must do it ongoing

8. (1) Human Being:	Body	—	Mind	—	Spirit
(2) Group Dynamics:	Structure	—	Content	—	Process
(3) Learning:	Skills	—	Knowledge	—	Attitudes

9. Dialogue — Discovery — of agreement with natural laws, flows, answers
10. Focus on: 

A
B
C
D
E

 Multiple Outcomes
- Team 

B
---

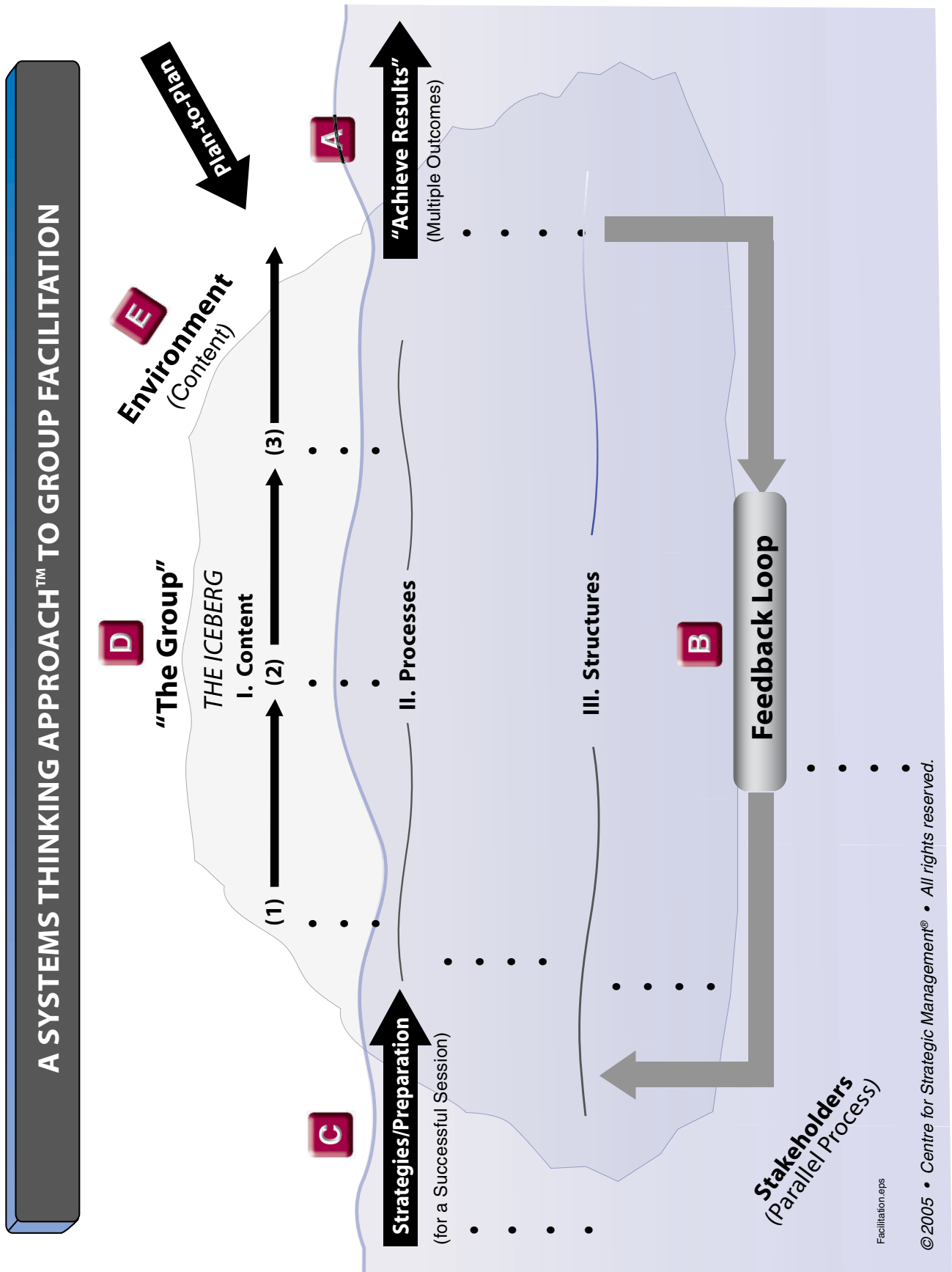
 Feedback is the Breakfast of Champions (Measures)
- Model 

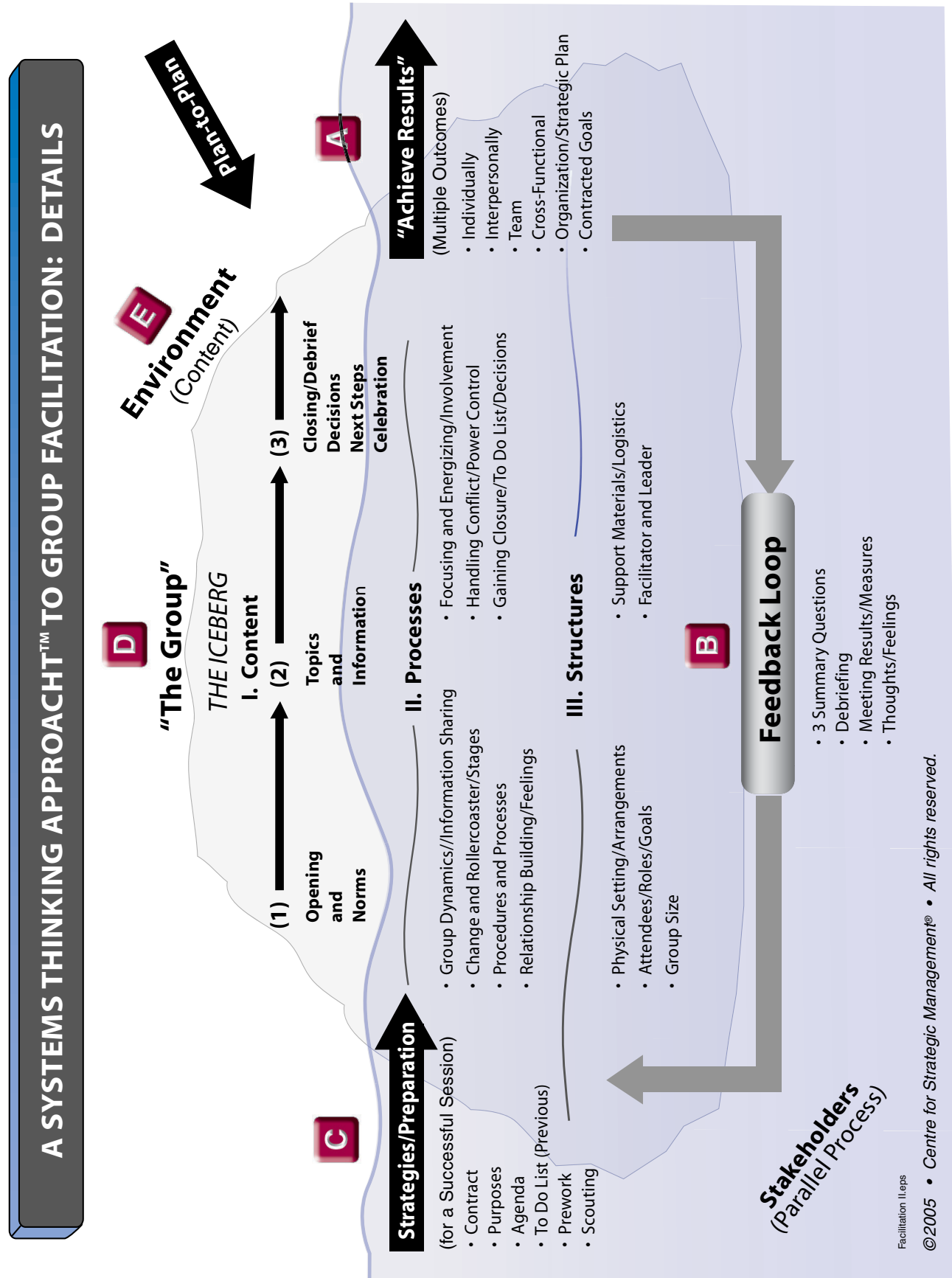
C
---

 Current State (Content, Process, Structure of Room/Context)
- |   |
|---|
| D |
|---|

 Roles and Actions/Changes in Norms/Procedures
- |   |
|---|
| E |
|---|

 Outside Impactors







## **CONTENT – PROCESS – STRUCTURE**

**There are three essential elements in the nature and life of any group or team.**

**1. Content/Task:**

The activities or jobs people do in a group  
(i.e., their goals and tasks)

**2. Process/Relationship:**

How people go about doing what they do.

**3. Structure/Design:**

The arrangement of activities people do (role sets) and the form in which roles are interrelated.

### **Process and Content**

“Chewing Gum”

Being a slave to the process  
is just as bad as ignoring the process

The proper role of process is as a means to achieving the end (or content)

## **CONTENT/TASK VS. PROCESS**

### **Content/Task**

- “To Do” List Items
- Centralized/Decentralized
- Strategic Planning
- Department Coordination
- Getting Through an Agenda
- Accomplish Goals/Mission
- Clarify Roles/  
Responsibilities
- Etc.
- Etc.
- Etc.

### **Process How do we do it?**

- Use of “To Do” List
- Management of Conflict
- Decision-making Process
- Ways We Manage Meetings
- How we Problem Solve
- How we Estimate Goals
- How we Reward Behaviors
- Our Interpersonal Style
- Feelings, Attitudes,  
Behaviors
- Quality of Interactions
- How/If we Communicate/  
Listen
- Value/Usefulness of People
- How we Give/Receive  
Honest Feedback
  - Self
  - Performance
  - Meetings
- Self-Disclosure/Risk Taking
- Checking for Agreement  
(consensual validation)

## **STRUCTURE: USE SYSTEMS THINKING**

### **DESIGNING, BUILDING AND SUSTAINING**

**A**

### **“CUSTOMER-FOCUSED HIGH-PERFORMANCE ORGANIZATION”**

Requires a balance in how organizations spend their time and energy between:

1. **Content**/tasks/goals and focus of the plan/business;
2. **Processes** and “how” we go about our behaviors while working on the tasks;
3. The **structures** (or context/arrangements/infra-structures) within which the *content* and *process* operate.

**CONTENT (PLAN)**

**(CHANGE) PROCESSES**



**INFRA-STRUCTURES (SYSTEMS THINKING)**

### **Content Myopia**

is

Our failure to focus on processes and structures.

– yet –

*Successful planning and change is dependent  
on processes and structures.*

*THIS REQUIRES PERSISTENCE, DISCIPLINED PERSISTENCE!*

## ROLE SHIFTS IN A GROUP

### PROCESS – CONTENT – PROCESS

#### Steps

1. Be explicit – verbally.
2. Make it a physical shift (hat off, step sideways, etc.)
3. Make your comments/input as an “expert” on the content.
4. Make the shift back when you are done.
  - explicitly
  - verbally
  - physically
5. Let the group know they are free to ignore/consider the comments/input you gave as they wish.

#### FACILITATOR NEEDS THAT GET IN THE WAY (OF EFFECTIVE COMMUNICATION)

If driven by needs for:

- |   |   |
|---|---|
| <ol style="list-style-type: none"> <li>1. control</li> <li>2. acceptance</li> <li>3. being important</li> <li>4. judgements, punishment</li> <li>5. being right most of the time</li> <li>6. recognition</li> </ol> | <ol style="list-style-type: none"> <li>7. visibility</li> <li>8. being safe</li> <li>9. protecting myself</li> <li>10. my ego</li> <li>11. achieving success by myself</li> <li>12. saying the right words vs. incongruence of what I do</li> </ol> |
|---|---|

## PROCESS OBSERVATION

### I. Roles

#### A. Personal Concerns

- Identity—"Who am I in this group?"
- Inclusion—"Am I in or out of the group?"
- Control—"How much influence to share in this group?"
- Affection—"Am I close or distant from the others?"
- Needs and goals—"How much will I get of what I need and how much do I give to the group?"

#### B. Role Functions in Groups

##### Content/Task

1. Initiating tasks, discussion
2. Seeking information, opinions
3. Giving information, opinions
4. Elaborating
5. Coordinating, linking
6. Summarizing, clarifying
7. Recording

##### Process/Relationship

1. Encouraging, supporting
2. Gatekeeping, gate closing
3. Setting standards, criteria
4. Following, cooperating, harmonizing
5. Setting norms
6. Reflecting, checking, testing with members
7. Expressing feelings, self-discipline
8. Mediating, compromising, consensus building
9. Tension relieving
10. Disciplining self, staying on track
11. Evaluating decisions, outcomes against standards
12. Diagnosing progress (content/process)

*continued*

## PROCESS OBSERVATION

---

Several dynamics can be observed in the *process* of a group's experience.

### C. Communication

- Who talks
- How often (frequently)
- How long (duration)
- To whom (to people opposing or supporting him)
- How does one talk (style)—assertive, loud, gesturing
- Level of communication (double messages, degree of personal data-sharing, blind spots, concealment)
- Filtering (through his self-image, other images, motives, feelings, intentions, expectations)

## PROCESS OBSERVATION

---

### II. Group Procedures

#### A. Problem Solving and Decision Making

- Authority—the chair decides
- Minority—two or three strategists take over
- Consensus—decision by the group

#### B. Group Norms, Ground Rules Owned and Supported

- What's right and wrong behavior in this group?
- What's good or bad for us?
- What's appropriate or inappropriate to our task?

#### C. Group Growth

- A measure of the level of maturity of the group
- Do we or can we deal realistically with our environment?
- Does the group have commonly held goals?
- Is the group self-aware? (Does it know why it does what it does?)
- Does it make optimum use of its resources?
- Does it learn from its experience?

### III. Inter-group Process: Key Stakeholders/Outside Impactors

#### Concerns itself with answering these questions:

- How do we see ourselves as a group?
- How do we see that other group?
- How do we think that other group sees us?
- How do we influence them/they influence us?

*continued*

## GROUP FEEDBACK FORM (CONTENT VS. PROCESS)

*Instructions:* For each member, place check marks in the column corresponding to the roles he/she has played most often in the group. Include yourself.

	Members											
Different Roles Played in a Group												
<b>Content/Task Roles</b>												
1. Initiating tasks/discussion												
2. Seeking information												
3. Giving information												
4. Elaborating												
5. Coordinating/linking												
6. Summarizing/clarifying												
7. Recording												
<b>Process/Relationship Roles</b>												
1. Encouraging/supporting												
2. Gatekeeping/gate closing												
3. Standard/criteria setting												
4. Following/cooperating												
5. Setting norms												
6. Reflecting/checking												
7. Expressing feelings												
8. Mediating/compromising												
9. Tension relieving												
10. Disciplining self												
11. Evaluating decisions												
12. Diagnosing progress												
<b>Non-Functional Behavior</b>												
1. Aggressive												
2. Blocking												
3. Selfish												
4. Competing												
5. Seeking sympathy												
6. Pleading												
7. Horsing around												
8. Seeking recognition												
9. Withdrawing												

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## **A MATURE GROUP POSSESSES...**

- |                                |  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|--------------------------------|--|--------------------------------|---|---|---|---|---|--|---------|--|--|--|--|-------------------------------|
| 1.                             | Adequate mechanisms for getting feedback:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Poor feedback mechanisms</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>        | Poor feedback mechanisms       | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Excellent feedback mechanisms |
| Poor feedback mechanisms       | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 2.                             | Adequate decision making procedure:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Poor decision making procedure</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>  | Poor decision making procedure | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Very adequate decision making |
| Poor decision making procedure | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 3.                             | Optimal cohesion:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Low cohesion</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>                    | Low cohesion                   | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Optimal cohesion              |
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|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 4.                             | Flexible organization and procedure:   |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Very inflexible</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>                 | Very inflexible                | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Very flexible                 |
| Very inflexible                | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 5.                             | Maximum use of member resources:   |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Poor use of resources</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>           | Poor use of resources          | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Excellent use of resources    |
| Poor use of resources          | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 6.                             | Clear communications:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Poor communication</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>              | Poor communication             | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Excellent communications      |
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|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 7.                             | Clear goals accepted by members:   |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">Unclear goals—<br/>not accepted</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table> | Unclear goals—<br>not accepted | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | Very clear goals—<br>accepted |
| Unclear goals—<br>not accepted | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 8.                             | Feelings of interdependence with authority persons:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">No interdependence</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>              | No interdependence             | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | High interdependence          |
| No interdependence             | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 9.                             | Share participation in leadership functions:   |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">No shared participation</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>         | No shared participation        | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | High shared participation     |
| No shared participation        | 1  | 2                              | 3 | 4 | 5 |   |   |  |         |  |  |  |  |                               |
|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
| 10.                            | Acceptance of minority views and persons:  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |
|                                | <table border="0" style="width: 100%;"> <tr> <td style="width: 20%;">No acceptance</td> <td style="width: 10%; text-align: center;">1</td> <td style="width: 10%; text-align: center;">2</td> <td style="width: 10%; text-align: center;">3</td> <td style="width: 10%; text-align: center;">4</td> <td style="width: 10%; text-align: center;">5</td> </tr> <tr> <td></td> <td colspan="4" style="text-align: center; border-top: 1px solid black;">Average</td> <td></td> </tr> </table>                   | No acceptance                  | 1 | 2 | 3 | 4 | 5 |  | Average |  |  |  |  | High acceptance               |
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|                                | Average  |                                |   |   |   |   |   |  |         |  |  |  |  |                               |

## SECTION 3: EFFECTIVE CONSULTING

### KEYS TO EFFECTIVE CONSULTING

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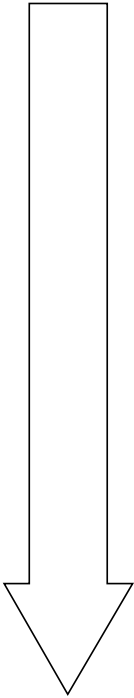
1. Caring about the client (Showing I care)
2. Being present totally in the moment
3. Remember I'm always modeling (Don't "catch the client's disease")
4. Remember I'm always being observed (Be approachable)
5. When you encounter resistance, try/ask to understand it before moving on ("Work with the resisters")
6. Acceptance—Genuine Empathy (AGE)
7. My Goal: **VI – IC – IC** (Valid Information – Informal **C**hoices – Internal **C**ommitment)
8. Dealing with defenders and resistance:
  - Turn questions into statements
  - Turn questions into problem-solving "we" issues
  - Sympathetically understand what the defenders are seeking to protect

## THE CONSULTING SEQUENCE

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– Source: Lippitt & Lippitt, 1978

### STEPS (Eight Phases):



1. Scouting
2. Entry
3. Contracting/Goal Setting/Orientation/(Plan-to-Plan)
4. Data Gathering
  - Analysis and Preparation of the Data (Current State Assessment)
  - Presentation to Client  
(The collated data and the Consultant's recommendation(s))
5. Action Planning
6. Action/Implementation
7. Evaluation/Feedback/Mid-Course Corrections
8. Termination

## THE EIGHT PHASES OF THE CONSULTING PROCESS

*Question:* How skilled am I at this?

Phases	Skills (H-M-L)	Comments
1. Scouting		
2. Entry		
3. Contract		
4. Diagnosis		
5. Action planning		
6. Action		
7. Evaluation		
8. Termination		

Source: Lippitt and Lippitt, 1978

List your top three strengths and weaknesses.

Strengths	Weaknesses	Action Implications
1.	1.	1.
2.	2.	2.
3.	3.	3.

## THE CONSULTING PROCESS

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— Adapted from Lippitt and Lippitt, 1978

### (BOTH INTERNAL AND EXTERNAL)

#### EIGHT PHASES

1. **Scouting** Helping to identify or develop or clarify a *need for change*. There may or may not be the sense of pain. The initiation may be the client's or the consultant's.
2. **Entry** Exploring *readiness for change effort* and for collaboration with the change-agent.
3. **Contract & Visioning/  
Goal Setting** Formulating and testing a *working relationship contract and Goal Setting (Plan-to-Plan)*. This involves achieving a balance between clearly stating mutual expectations and having the flexibility to modify the agreement as needed. It is also a time of clarifying the Vision for the Project
4. **Diagnosis** *Data Gathering and Diagnosis*: Collecting data and assessing the causes of dysfunction and resources for movement (Current State Assessment).
5. **Action Planning** Designing and *planning change efforts (Plan-to-Implement)*: Exploring alternatives and consequences, planning steps of action. Who must be involved to make it happen?
6. **Action** *Involvement in and implementation* of plans. ? Anticipatory, risk-taking, steering the action.
7. **Evaluation** *Evaluation* of progress, feedback, redirection, mid-course correction. What are the criteria of movement? How to assess? How to use feedback to replan, correct for “side-effects”, etc.
8. **Termination** *Support for continuity, follow-up, termination*. Development of internal renewal resources, support systems, mutual expectations regarding termination of consulting relationship.

# THE CONSULTING SEQUENCE: KEY QUESTIONS

## 1. Scouting

- What do I observe here?
- What do I hear?
- How reliable are the sources of my information?

## 2. Entry

- How do I establish rapport?
- Why am I here?
- Are there opportunities for co-consulting here?
- Are there related projects going on here?

## 3. Contracting/Goal Setting/Visioning

- Who is the real client? Who "owns" the problem?
- What agreements must we make about logistics, methodology, resources, objectives, roles, working relationships, etc?
- Are there others who are impacted by this?
- What is the probability of success?
- How will we know if we have succeeded or failed?
- Which key people can influence the success/failure?
- What are the goals? Measures of success?

## Orientation (Parallel Involvement Process)

- How can I best establish rapport?
- Who needs to know? Why?
- What is the most effective way of transmitting this information?

## 4. Data Gathering (Current State Assessment)

- How can I establish rapport?
- What do I need to know that is relevant to the agreed-on objectives (see contract)?
- How can I best prepare people for data feedback?

## Analysis and Preparation of the Data

- What are the major themes and trends in this data?
- What is the best *method* for feeding this data back to the client?
- What is the best *forum* for feeding this data back to the client?

- How can I help the client to "hear" this?

## Presentation to the Client

- Do I want to include recommendations with my data feedback?
- To what extent should the client be involved in developing recommendations?
- How will I deal with client resistance to the data?

## 5. Action Planning

- What is my role? The client's role?
- How can I help the client to develop commitment to implementation?
- How can I help the client to develop clear action steps?
- What are the potential negative consequences of this plan?
- What level of involvement do the people affected by the planned intervention have?
- Will the planned intervention produce synergistic aspects? adversarial ones? some of each?
- Will it enhance or divide the one-team concept?

## 6. Action/Implementation

- What, if any, is my role in implementing the plan (communications, rewards, milestone checks, celebration, etc.)

## 7. Evaluation/Feedback

- How can we determine if we have achieved the objectives?
- Who needs to know? By what means?
- What did we learn? What might we do with what we learned?

## 8. Termination

- How will we know when the consultation is over?
- Who decides?
- Does this lead us to a new contract/project?

Adapted from Pat Newmann and Larry Porter, Senior Consultants, University Associates, Inc.

## THE CONSULTANT

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### HELPS FOR BECOMING MORE EFFECTIVE

#### Some Useful Guidelines

- The effective helper is one who establishes a relationship which makes the person to be helped confident that the helper can be trusted.
- The helper chooses from a range of possible behaviors those that are appropriate to the particular situation. He or she does not have a uniform approach to all clients and situations. The helper focuses on finding out what the problem is as the person being helped sees it and works within that framework insofar as possible.
- The helper sees his or her primary function as working on a diagnosis of the problem rather than the solution to it.
- The helper tries to reduce any feelings of dependency on the part of the person he or she is helping.
- The helper shares his or her feelings and motivations with the person being helped and jointly works out a comfortable and clear relationship with them.
- The helper recognizes that part of his or her job consists of “training” the person being helped to use help effectively—by reducing both dependency and resistance.

#### Some Do's and Don'ts

##### 1. *Do—*

- Act in ways which enable the person receiving help to trust you and to be critical of you. Act in ways which permit them to influence you as well as to receive influence from you.
- Focus your attention on a joint exploration of the actual problem.
- Listen! This may be as important as giving information—and it helps to create an atmosphere of “thinking along with” rather than “telling.”
- Try to determine what you can do to reduce any threat you may be to the other person.
- Try to be non-judgmental of the person receiving help.
- Remember that help is only help as perceived by the person on the receiving end!

*continued*

## THE CONSULTANT

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### 2. *Don't*—

- Get trapped into a “telling” role. This is especially common where the person asking for help is overdependent.
- Take advantage of the helping situation to show how bright, knowledgeable and experienced you are.
- Meet defensiveness with pressure and argument about the facts. This usually increases defensiveness and decreases the possibility of “leveling” between the helper and the person being helped.
- Confuse helping with reassuring or overpraising the person being helped.
- One must be realistic in helping to diagnose the problem even though this may not always be the most pleasant approach to dealing with it.

### In Brief

- The effective leader sees that in order to create conditions for growth, development and productivity, he/she must understand the nature of the helping process and his/her own resources and motivations well enough to be able to take a helping point of view toward those with whom he/she must work.
- To do this, he/she must be willing to expend the effort which is necessary to establish a relationship of mutual trust and confidence with those whom he/she is trying to help.
- He/she should see him/herself as being primarily concerned with helping the “clients” in the diagnosis of their problems and in developing ways of working on them.
- He/she should be aware of the tendency of people in helping situations to be either overdependent on or suspicious of the helper and should work out his/her own ways of dealing with these feelings so that they will not interfere with constructive work on the problem.
- He/she must act so that others will have the feeling that he/she is being truly helpful. This is usually more difficult in situations where there is a great differential in power and authority.

The basic conditions for effective help are:

1. A real desire on the part of the helper to provide help.
2. The ability to diagnose each situation independently.
3. An effective human relationship including mutual confidence.
4. Joint problem-solving on the problem.



## A VARIETY OF CHANGE MANAGEMENT “TIPS” FROM SUCCESSFUL CONSULTING WORKSHOPS

### Tips on Influencing the Client

1. Do complete preplanning, not just scheduling the meeting.
2. Do your homework; know your stuff.
3. Co-consulting is difficult; plan together beforehand.
4. Be creative regarding the setting.
5. Adapt your style to the time allowed/available.
6. Find out how the client operates.
7. Keep the larger context in mind.
8. Understand the client's concerns.
9. Engage in rapport-building.
10. Relate to what is important to the client in this situation.
11. Work to create a dialog, focusing on something *valued*.
12. Be authentic—no secrets/unknowns; clients value honesty.
13. Test your assumptions.
14. Simply ask for what you want.
15. Be flexible.
16. Adapt to situations; be prepared for changes.
17. Be willing to see the client's side of things.
18. *Listen* to clients; be willing to change.
19. Watch and be sensitive to the client's responses, then follow-up.
20. Don't make promises you can't keep.
21. Have alternatives ready.
22. Ask “What if . . . ?”
23. Ask “why not?”
24. Focus on the positive rather than the negative.
25. Appeal to logic.
26. Do not assume agreement or disagreement.
27. If you don't believe in it, say “no” or negotiate about it.
28. Remember: clients talk with one another.

### Tips for Information Gathering

29. Believe in what you are doing.
30. Be honest about the situation.
31. Stay focused on the goals of the interview.
32. Help the client to see the importance of his/her data.
33. Emphasize “We're in this together.”
34. Help the client to see alternatives.
35. Acknowledge resistance but don't get hooked by it.
36. Deal with resistance by backing off and trying another route.

### Tips on Role Shaping

37. Have a plan before you begin.
38. Develop the structure of the meeting ahead of time.
39. Identify the meeting's purpose at the beginning.
40. Engage in self-disclosure if you want reciprocal behavior.
41. It is useful to probe when you realize that there is something *behind* a person's remark or question.
42. Use restatement, summary, etc.—active listening.
43. Stay focused on your purpose.
44. Do not load your boss down with information during the role-shaping discussion.

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*We are project managers, implementers, staff experts, who use consulting skills to be effective/successful in serving our customer/clients.*

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## TRAIN THE TRAINER/ CONSULTANT TIPS

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### “CONTROLS AND FAIL-SAFE MECHANISMS”

1. Key to facilitation is the beginning and ending of meetings.
2. Use at beginning of meetings:
  - Two Goals/SMS/Rollercoaster of Change.
  - Meeting norms to keep group on track; clarifying roles; To Do List.
  - Set up “context” in beginning to use later.
3. Make sure leadership roles are clear; process vs. content; “clients get the monkey.”
4. The internal consultant needs a clear client “contract.”
5. Clarify who is overall internal coordinator/facilitator.
6. Learn and use “ethical persuasion” to deal with conflict; how to say “no!”
7. “Crack down” with “I messages”; be open to responses.
8. Know when to confront; when to back off until next step (time available and timing).
9. “Skeptics are your best friends.”
10. Explain “why” vs. positioning; expand the arena of information available.
11. Don't lose substance in rewriting drafts.
12. Differentiate substance vs. wordsmithing in documents.
13. Thoroughness now saves time later; “pay me now or pay me later.”
14. Establish a “pace” the group prefers—slow, fast, thorough.
15. Teamwork is a key by-product of strategic planning; use social styles to promote openness.
16. This is a dialogue and thought process at its essence; it is changing one's framework for thinking; use model/context again and again.
17. This is a commitment to slugging it out; persevering to get nuggets cracked open.
18. Facilitate in a “loose/tight” manner . . . the light hand usually works best, but “crowd control” is key at times.

*continued*

## TRAIN THE TRAINER/ CONSULTANT TIPS

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19. Each topic/step uses the “Rollercoaster of Change” in a *mini* way.
20. Build the document as you go; easier at the end; importance of a secretary in the room.
21. At first give the input lightly on each step; adults learn by doing, but set up the activity/ context properly.
22. Give clear, written instructions (flip charts, visuals) on:
  - subgroup tasks.
  - report outs/formats.
  - goal of tasks.Note: Do one first as a *demonstration*.
23. Use flip charts to:
  - focus discussions.
  - sum up decisions.
  - test conclusions.Note: Learn flip chart *art and colors*.
24. Craft the parallel process very carefully.
  - Discuss with them situation as to what, who, how.
  - Do parallel process at the end of each meeting.
  - Distribute a newsletter after each meeting.
25. First tough choice is planning team membership (specific people) and numbers (15 maximum.)
26. Strategy Development (Step #5):
  - can be fast, due to earlier work.
  - cross check with three subgroups.
  - may need more content input.
27. Be clear on KSMs vs. core strategies vs. values.
28. KSMs can have “ultimate” column.

*continued*

## TRAIN THE TRAINER/ CONSULTANT TIPS

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29. Conduct early preparation of:
  - Key Success Measures (KSMs).
  - Current State Assessment (CSA).
  - Plan-to-Implement (PTI).
  - middle manager critical mass.
30. Set up a planning/budgeting internal cadre to link all steps in the model: SP, AP, B, MBO, rewards.
31. Support cadre is key.
  - Be in the meetings with planning committee members.
  - In between meetings to ensure tasks are completed.
32. Is client attendance required at all meetings? Watch out if leader is absent!
33. Be careful with adding new members to the planning team once you get started; back up/slow down.
34. You need Board of Directors' involvement at the “what” level only; then approval of the rest of the Plan.
35. Be careful with elected officials on Boards; difficult to deal with.
36. Trust, openness, energy dictates method of work (individual, subgroup, total group).
37. For tasks, Subgroup selection is a strategic choice.
  - number of groups (3)
  - volunteers (commitment)
  - political alliances split
38. Facilitating closure with large groups is *extremely* difficult; listen, sum up, test closure.
39. Discussions *must* be disciplined as far as thought processes go, or you'll lose control (i.e., disciplined as to model, concepts, terminology).
40. Priority setting is key to success. (Where to do it?); H–M–L is categorizing, not prioritizing; forced ranking is prioritizing.

## **RULES OF THUMB FOR CHANGE AGENTS**

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*by Herbert A. Shepard*

**Rule #1: Stay alive.**

This rule counsels against self-sacrifice on behalf of a cause that you do not wish to be your last.

**Rule #2: Start where the system is.**

This is such ancient wisdom that one might expect its meaning had been fully explored and apprehended. Yet in practice the rule—and the system—are often violated.

**Rule #3: Never work uphill.**

This is a comprehensive rule, and a number of the other rules are corollaries or examples of it. It is an appeal for an organic rather than a mechanistic approach to change, for building strength and building on strength.

**Rule #3, Corollary 1: Don't build hills as you go.**

**Rule #3, Corollary 2: Work in the most promising arena.**

**Rule #3, Corollary 3: Don't use one when two could do it.**

To be less cryptic, don't do anything alone that could be accomplished more easily or more certainly by a team.

**Rule #3, Corollary 4: Don't overorganize.**

The background of democratic ideology and the theories of participative management that many change agents possess can sometimes interfere with common sense.

**Rule #3, Corollary 5: Don't argue if you can't wait.**

**Rule #3, Corollary 6: Play God a little.**

The change agent's life is his own, and it is as short as any other man's.

*continued*

## RULES OF THUMB FOR CHANGE AGENTS

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**Rule #4: Innovation requires a good idea, initiative, and a few friends.**

As implied above, little can be accomplished alone, and there is evidence from experiments on the effects of group pressure on individual perception to suggest that the change agent needs a partner, if only to maintain perspective and purpose.

An alternative statement of Rule 4 is as follows: Find the people who are ready and able to work, introduce them to one another, and work with them.

**Rule #5: Load experiments for success.**

This sounds like counsel to avoid risk-taking. But the decision to experiment always entails risk. After that decision has been made, take all precautions.

**Rule #6: Light many fires.**

Not only does a large, monolithic development or change program have high visibility and other qualities of a good target, it also tends to prevent subsystems from developing ownership of, and consequent commitment to, the program.

**Rule #7: Keep an optimistic bias.**

Our society grinds along with much polarization and cruelty, and even the helping professions compose their world of grim problems to be “worked through.” The change agent is usually flooded with the destructive aspects of the situations he enters.

## **“How To” WORK WITH CEO’S AND SENIOR EXECUTIVES**

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1. Focus on their needs, timing, priorities.
  - not mine
  - low ego
  - get results
2. Give options vs. “telling them” (ask questions).
  - valid information
  - informed choice
    - have alternative recommendations
  - internal commitment
3. Model openness, disclosure first — build intimacy.
4. Clear contracting — know what to expect.
  - “no surprises”
  - “good trooper” after decision
5. “Talk their talk”
  - ROI — business — industry — data — facts — limited resources
6. Truly care for them — personal relationship — build total confidence/confidences
  - acceptance
  - genuineness
  - empathy
7. Use “thank you” cards.
  - recognition
  - reinforce positives (not negatives)
8. Educate them by osmosis — mini lecturettes — models — vignettes (unfreeze them).
9. Share a systems model — fit — integration of parts.
10. Appreciate their web of relationships and complexities.
  - concise communications
  - bottom line/backwards thinking first

**Tap into their dreams — visions — values.  
(Reinforce this.)**

## IF PEOPLE ARE RELUCTANT TO SPEAK UP

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### (TO AN EXECUTIVE)

- Have the executive be open first — be vulnerable.
- Don't have the executive be “The Shell Answer Man.”
- Have the executive withhold his or her opinion/judgment.
- Evaluate people if they don't speak up.
- “If two of us always agree, one of us is unnecessary.”
- Focus on the goal, which is performance and results (vs. telling them “how to” do it.)
- Keep in mind “The Facts are Friendly”—the more data, facts, opinions, knowledge the better the decision-making.
- Take time to listen to your subordinates; it's a priority.
- Admit it when you don't know—ask what they think.
- “Don't ask a question if you don't want to know the answer.”
- Be sure to agree with points others make **before** you disagree with other points.
- Assess yourself; ask others whether you give out more recognition and rewards or are you more into correcting and/or blaming others.



## How I INFLUENCE UPWARD?

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### STEPS

1. Learn their wants and purposes
2. Ask their aspirations and visions
  - WIIFM?
3. Prove to them
  - You'll help them with their agendas, wants, visions
  - “Yes, I agree”
4. Then share the implications or negative by-products of their “how-to's”
  - Feedback to them, unintended consequences  
(or no outcome identified for this consequence)
5. Show them the relationships/between x → y they are missing
6. Give them positive and honest feedback
  - i.e., find areas of agreement

## How To SELL YOUR BOSS

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Wondering how to get the boss to love your next idea? Increase the odds of getting him to buy in with these techniques:

- **Link the idea** to something the boss thought or did in the past. That way it becomes partly his or her idea. “Boss, remember when you rented a Model-T for the trade show? We came up with something like that.”
- **Do a cost-benefit analysis**, so if the boss says, “That sounds expensive,” you can say, “It’ll cost X dollars, but we estimate the investment will bring us about Y additional sales.”
- **Think of some alternatives**, in case the boss is dug in against the idea. “Suppose we use B (a less expensive alternative) instead of A?”
- **Find examples** of other departments or companies that have used similar ideas successfully. This will help to dispel pessimistic feelings that it will never work.
- **Get some allies**. If someone with the boss's respect likes the idea, be sure to tell the boss, or have the person tell your boss himself.

Source: William N. Yeomans, *7 Survival Skills For A Reengineered World*

## TIPS ON INFLUENCING THE CLIENT

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1. Do complete preplanning, not just scheduling the meeting.
2. Do your homework; know your stuff.
3. Co-consulting is difficult; plan together beforehand.
4. Be creative regarding the setting.
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## **TIPS ON INFORMATION GATHERING**

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- 30. Be honest about the situation.
- 31. Stay focused on the goals of the interview.
- 32. Help the client to see the importance of his/ her data.
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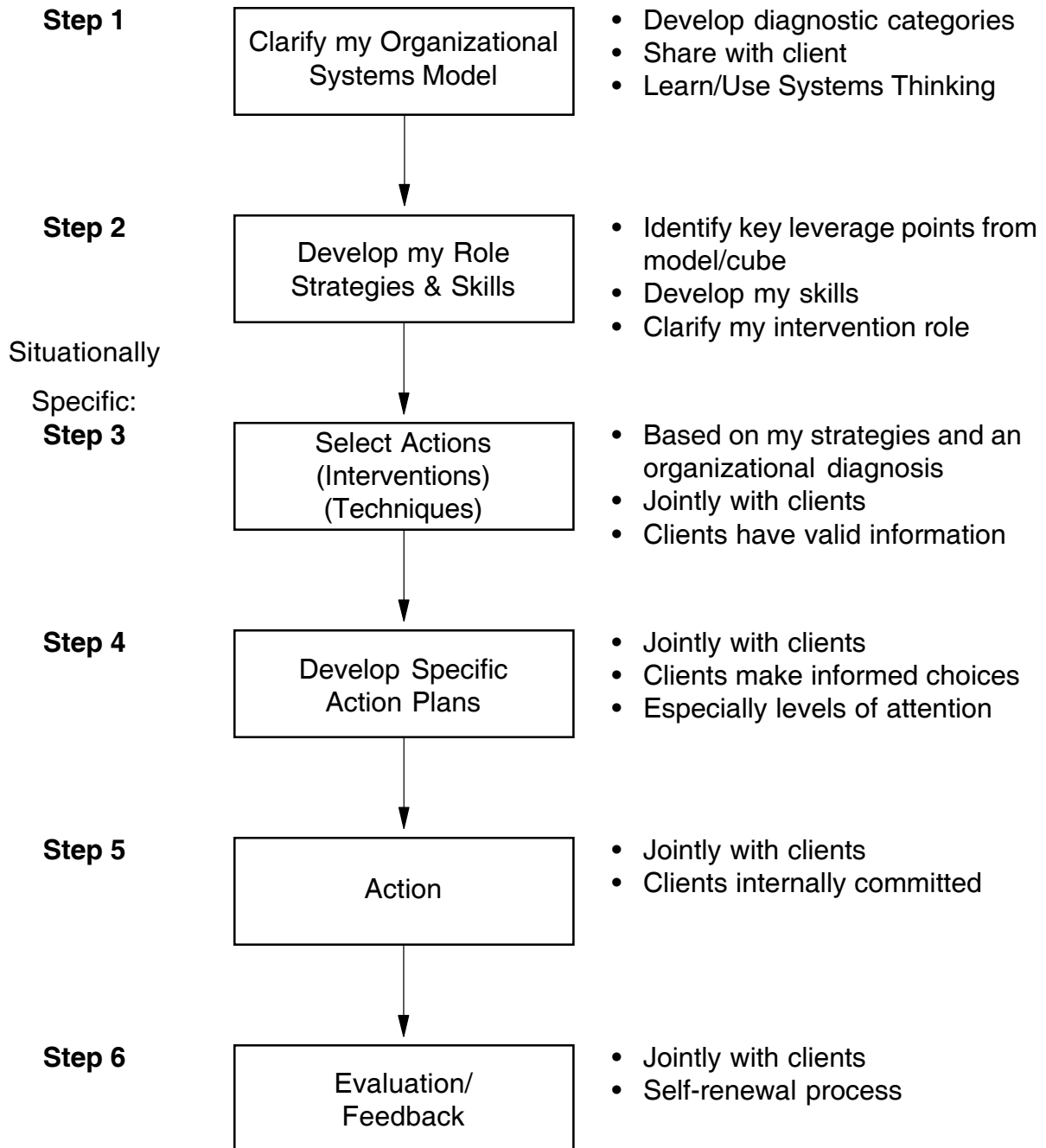
## **TIPS ON ROLE SHAPING**

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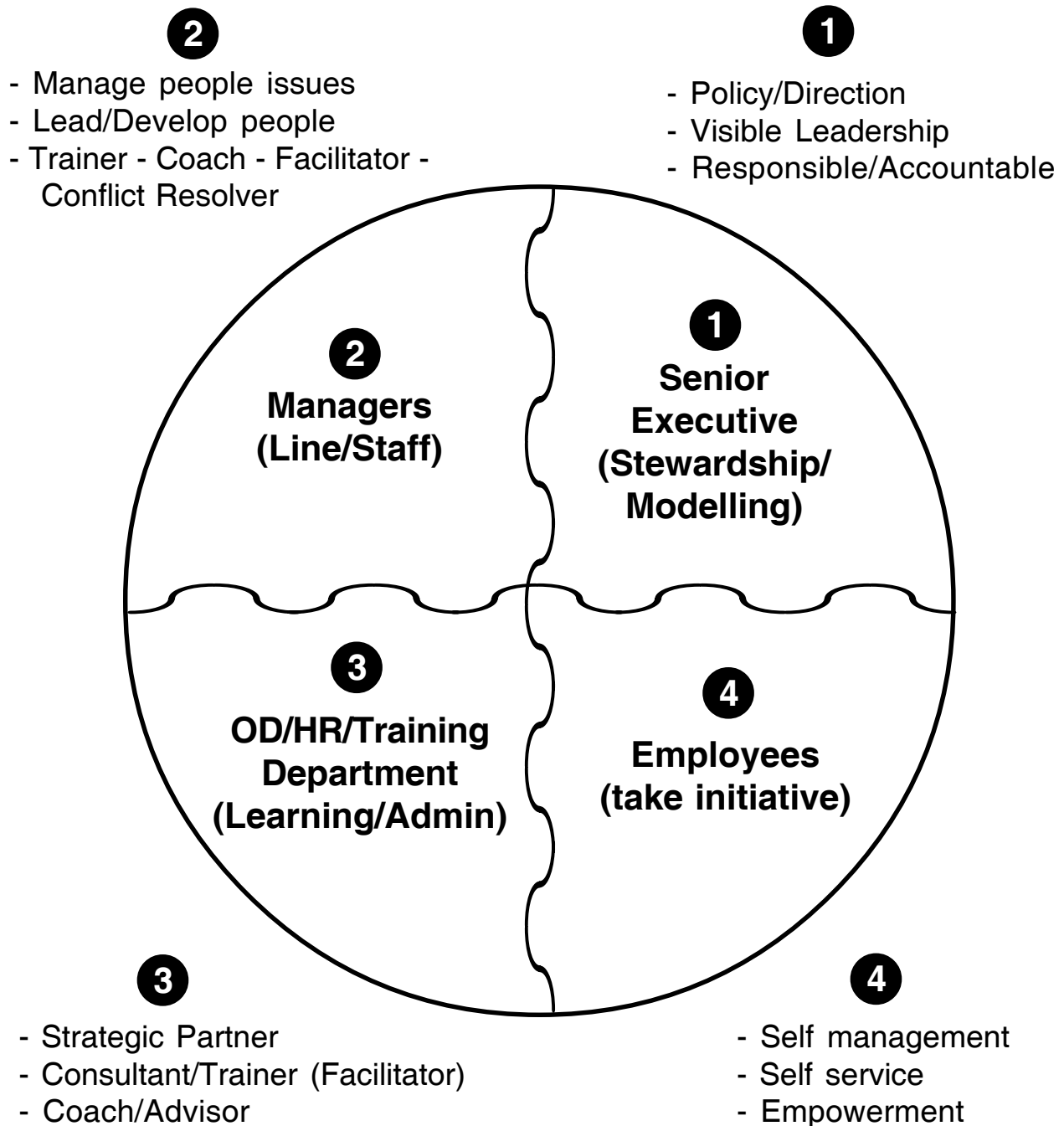
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- 42. Use restatement, summary, etc.—active listening.
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- 44. Do not load your boss down with information during the role-shaping discussion.

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## OD CONSULTANT THOUGHT PROCESSES

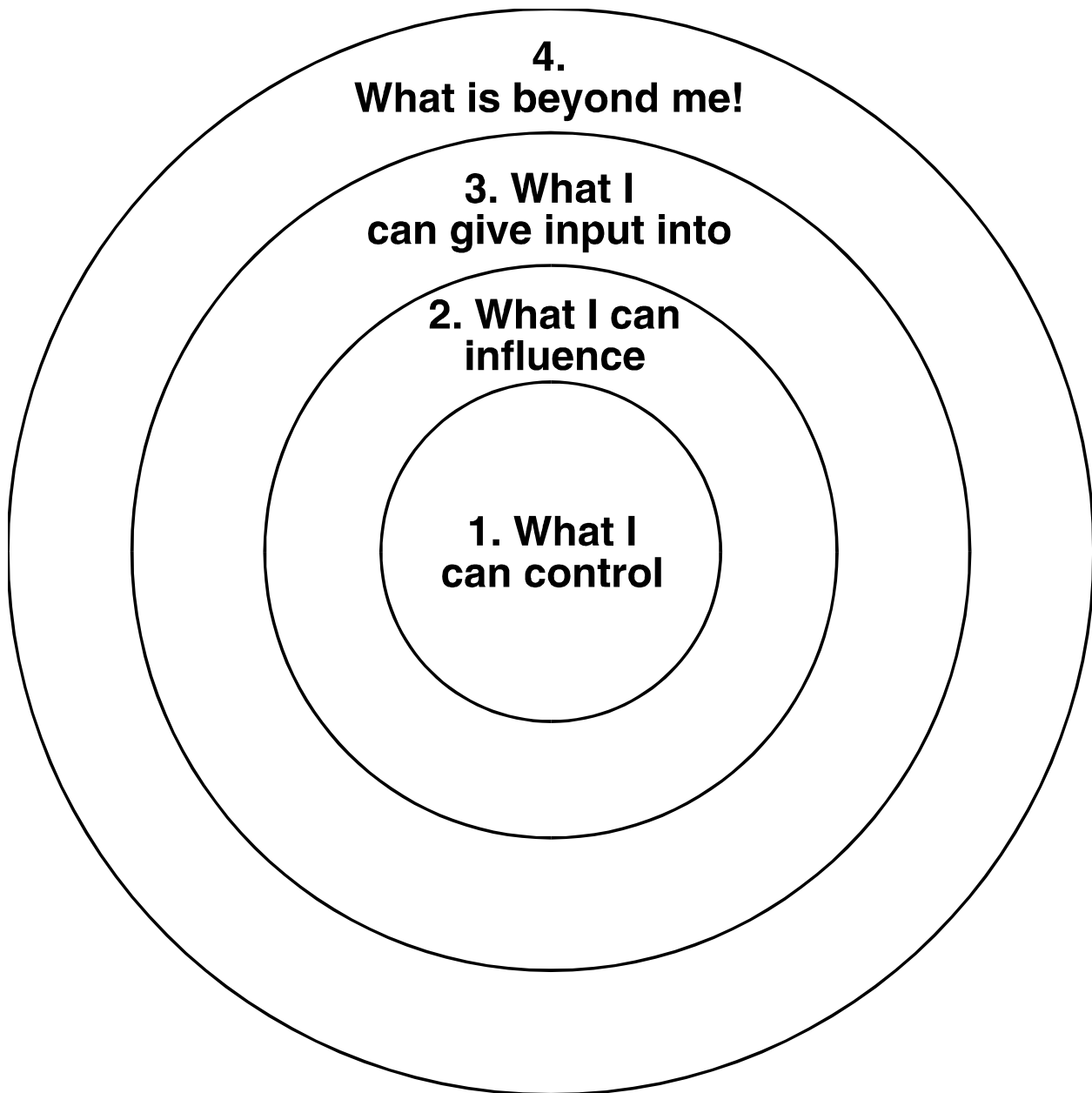


## FOUR ROLES



## **CIRCLE OF INFLUENCE**

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## WHAT'S HINDERING YOUR EFFECTIVENESS?

### ONE PERSON'S LIST OF HR'S BARRIERS TO INFLUENCE

*Instructions:* Circle the ones that relate to you. Ask a close peer to verify/add to this.

1. Giving "business orientation" lip service.
2. Allowing your own needs to dominate your actions.
3. Using your "tool kit" because it is there
4. Showing your ego.
5. Being reactive/passive or subservient.
6. Focusing on employee needs as an end in themselves.
7. Being naive to organizational politics.
8. Making "waves."
9. Allowing "your" values top priority.
10. Focusing on your sense of fair play.
11. Not understanding your organization's goals and priorities.
12. Identifying with your profession totally.
13. Being humanistic, not realistic.
14. Not being results oriented.
15. Trying to make everyone happy.
16. Being manipulative.
17. Not learning behavioral science concepts and techniques.
18. Not having a framework to diagnose your organization or your work.
19. Seeing "politics" as a dirty name.
20. Thinking executives are either totally dumb or totally correct.

Question: What actions do you need to take to change these barriers?

Actions	By When



## DEVELOP YOUR PERSONAL AND PROFESSIONAL REPUTATION

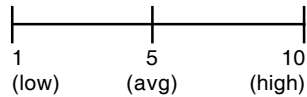
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*Question:* Are you seen as:

1. Oriented/knowledgeable in your unique business ☐
2. Having high ethics, integrity, corporate view ☐
3. Managing Human Resources function like a business/model ☐

# LEARNING TO BE A SUCCESSFUL INTERNAL CONSULTANT

*Instructions:* Please rate yourself on the following needed skills.



## NEEDED SKILLS

1. \_\_\_\_\_ Self-confidence, esteem, personal growth
2. \_\_\_\_\_ Facilitation skills with groups/meetings
3. \_\_\_\_\_ Coaching skills with one-to-one
4. \_\_\_\_\_ Strategic planning content, models, workshops
5. \_\_\_\_\_ Strategic change content, models, workshops
6. \_\_\_\_\_ Consulting business understood
7. \_\_\_\_\_ Consulting sequence/model
8. \_\_\_\_\_ Marketing of self and products, brochures, etc.
9. \_\_\_\_\_ Breadbasket of workshops, content, models
10. \_\_\_\_\_ Network increased dramatically
- \_\_\_\_\_ **Total (possible 100 points)**

*Question:* Where do I need to improve? (Circle it above)

## THE HELPING PROFESSION

---

### TODAY'S COMPETENCIES OF THE FUTURE

#### I. Personally

- Leadership skills
  - interpersonal
  - assertiveness
  - large organization management
  - visioning
- Consultative skills (phases of helping process)
- Education (research/theories)
  - organization, job design, motivation theory
  - OD, change management
  - rewards, performance management
  - systems thinking
- Marketing, communication skills
- Business savvy, finance
- Strategic planning, competitive advantage knowledge and skills

#### II. Situationally

- Business cycles and where your organization is
- Competitive advantage of your organization
  - know what it is
  - education in it
  - skills
  - case studies of success
  - research, theories
- Fit/link to corporate goals and plans
- Network with planning, human resources, training, marketing, communications departments

## How To DEVELOP GROUP PROCESS SKILLS

---

### THE MOST VALUABLE THING WE CAN DO

1. Use the “Take Away” list and teach, practice, internalize it.
2. Encourage groups to practice talking about the “here and now”—raise their awareness on their feelings process/dysfunctions—get feedback on their behavior.
3. Get each person in the group to be “100% responsible for success”—leadership, empowerment, agenda, etc.
4. Throw accountability back to the group—for answers, for process decisions, next steps, “To Do” list, decisions.
5. Do lecturettes, pull from group concepts and examples of group dynamics, as always present.
6. Discuss and understand “process” vs. “task.”
7. Use a “To Do” list.
8. Process each meeting (3 questions: continue/more of/less of).

### HOW TO ACQUIRE “PROCESS” SKILLS & EXPERTISE (vs. CONTENT – SMEs\*)

1. Experiential learning cycle
2. Group dynamics
3. Group facilitation
4. Consulting sequence
5. Strategic change management process
6. Organizational behavior
7. Individual change and growth
8. Coaching and counseling

Process always exists; only question is whether it is effective.

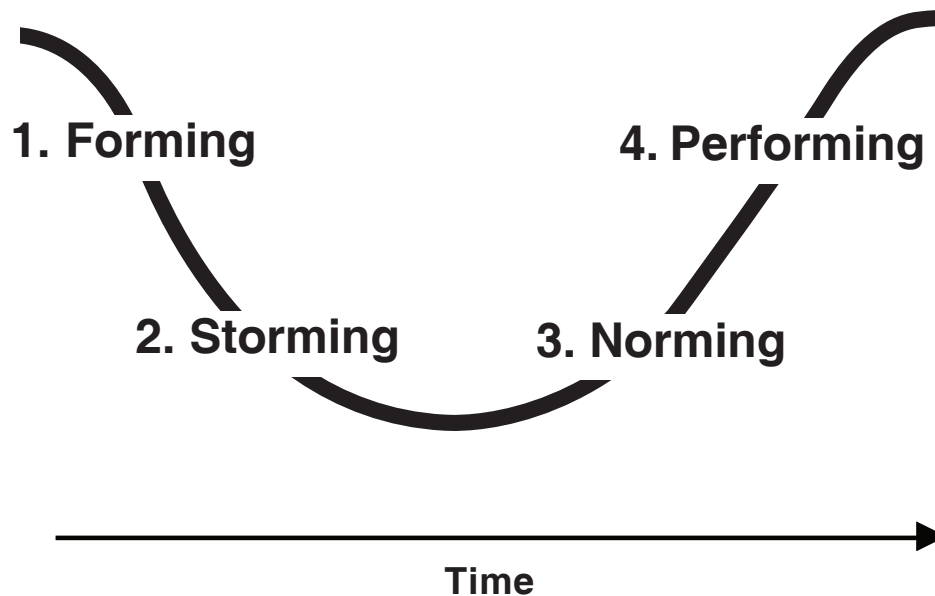
\*SME = Subject Matter Experts

# NOTES

## SECTION 4: GROUP DEVELOPMENT STAGES

### STAGES OF GROUP DEVELOPMENT

(THE ROLLERCOASTER OF CHANGE<sup>SM</sup>)



#### Four Stages:

1. Forming:

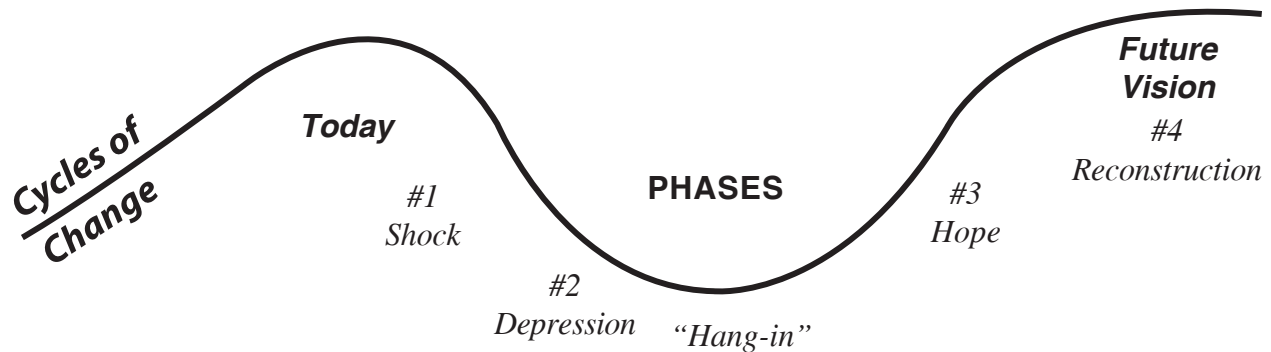
2. Storming:

3. Norming:

4. Performing:

*Source:* Unknown, common usage now

## THE ROLLERCOASTER OF CHANGE



### Major Questions

1. Not "if" but "when" will we start to go through shock/depression?
2. How deep is the trough? Is it different for each person? (Implications?)
3. How long will it take? Are employees and management at the same stage?
4. Will we get up the right (optional) side and rebuild?
5. How do we manage the change proactively?
6. At what level will we rebuild?
7. What new skills do we need to accomplish this?
8. How many different rollercoasters will we experience in this change?
9. Are there other changes/rollercoasters occurring?
10. Will we "hang-in" and "persevere" at the midpoint (bottom)? How?
11. How will we deal with normal resistance? (Push or pull?)
12. How will we create a "critical mass" to support and achieve the change?

## GROUP DYNAMICS

### Stages

1. **Form**—How to join up?
2. **Storm**—How to work through?
3. **Norm**—What norms are needed to get top performance?
  - Knowledge of group dynamics
  - Openness, low games
  - Communications (freely)
  - Valuing differences
  - Teamwork, cooperation
  - Ownership, buy-in
  - Processing
  - Common goals
  - Clear roles
  - Everyone 100% responsible for success
  - Rewards, celebration for teamwork
  - 
  - 
  -
4. **Perform**—How to maintain top performance?

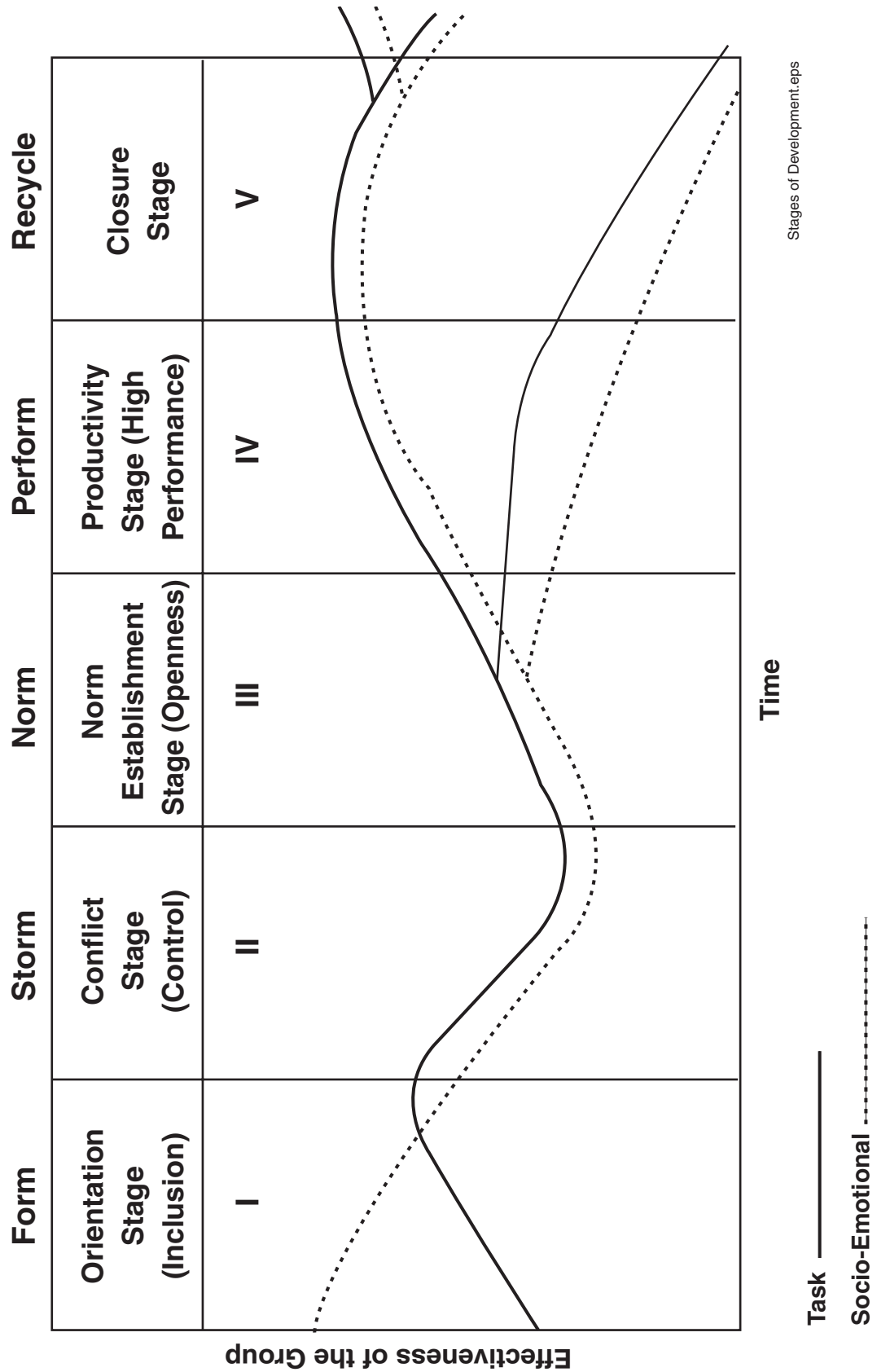
### Four Stages of Team Building

1. **Inclusion**
  - First stage of team building
  - Do things with, share
  - **Feeling:** Significance
  - **Fear:** Being ignored
2. **Control**
  - Second stage of team building
  - Level of influence exerted
  - Degree that one takes charge
  - **Feeling:** Competence
  - **Fear:** Humiliation
3. **Openness**
  - Final stage of teambuilding
  - Amount of honest disclosure
  - Telling true feelings
  - **Feeling:** Likability
  - **Fear:** Rejection
4. **High Performance**
  - Relationships work smoothly in support of tasks

Adapted from Will Schutz Associates

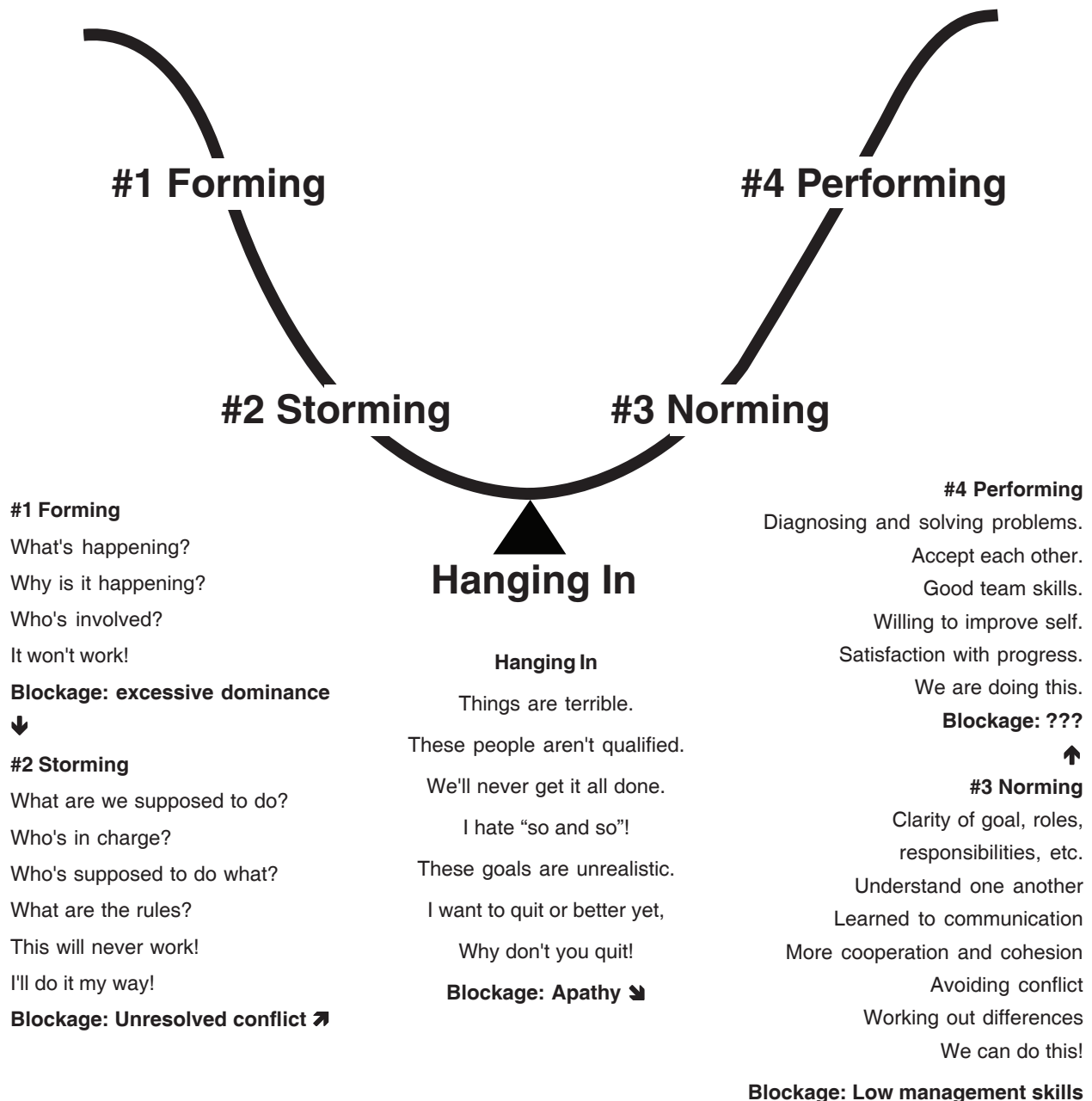


# STAGES OF GROUP DEVELOPMENT



## STAGES OF GROUP DEVELOPMENT

(IN THE ROLLERCOASTER OF CHANGE)



## STAGE 1: FORMING

---

The forming stage represents the movement of an individual into the group member status. Most team members will greatly anticipate their involvement. The team members' characteristics and suggested facilitator actions of this “*feeling out*” stage include the following.

### Team Member Characteristics

- Hesitant participation tempered with optimism
- Organizational complaints and gripes common
- Some suspicion and fear of team situation
- Looking for sense of belonging
- Closely watching other team members' behaviors

### Facilitator Behaviors

- Ensure team members get acquainted
- Be sensitive to team members' needs
- Provide clear direction and information
- Give team simple tasks
- Provide intensive “awareness” training
- Provide training on team-building tools

\*Partially adapted from *Self-Directed Work Teams*, by Jack Orsburn, Linda Moran, Ed Musselwhite and John Zenger. Published by Business One Irwin, 1990.

\*Partially adapted from *Facilitation Skills for Team Leaders*, by Donald Hackett, PhD. Published by Crisp Publications, Inc. 1993.

## STAGE 2: STORMING

---

Although a layperson would expect progress to pick up during this stage, little actually develops. In fact, this stage has great downside possibilities if the facilitator does not effectively counter these tendencies.

### Team Member Characteristics

- Conflict between team members begins to show
- “One-upsmanship” develops
- Concern over team versus individual responsibilities
- Continuing confusion about team members' roles

### Facilitator Behaviors

- Continue to be positive and informative
- Reassure team that current conflict is normal
- Deal openly with conflict
- Give team more responsible tasks
- Continue to train on team building and team tools

\*Partially adapted from *Self-Directed Work Teams*, by Jack Orsburn, Linda Moran, Ed Musselwhite and John Zenger. Published by Business One Irwin, 1990.

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## STAGE 3: NORMING

---

In this stage the team begins to come together. Conflict is substantially reduced as the team grows in confidence and begins to find that the team concept is working.

### **Team Member Characteristics**

- Overreliance on team leaders/facilitator possible
- Conflicts reduced among team members
- Sharing and discussing become team norms
- Greater team cohesiveness develops
- Harmony among team members becomes common

### **Facilitator Behaviors**

- Provide less structure as team matures
- Give team even more responsibility
- Ensure team does not overly rely on any one member
- Continue to provide team development and training opportunities

## STAGE 4: PERFORMING

---

As maturity continues, team behavior becomes the norm. While team members may be occasionally replaced, the team has become self-functioning. The team routinely defines and solves more difficult issues.

### Team Member Characteristics

- Intense loyalty among team members develops
- Teams may mask individual dysfunctional members
- Teams can become competitive with other teams
- Teams need greater information
- Teams become more innovative
- Team members become more confident

### Facilitator Behaviors

- Ensure team's information needs are fulfilled
- Ensure that the team celebrates its successes
- Encourage team toward continued growth
- Continue to train; ensure new team members are properly trained
- Encourage team members to rotate roles
- Reduce your involvement as team grows
- Continue to foster trust and commitment among team members

\*Partially adapted from *Self-Directed Work Teams*, by Jack Orsburn, Linda Moran, Ed Musselwhite and John Zenger. Published by Business One Irwin, 1990.

\*Partially adapted from *Facilitation Skills for Team Leaders*, by Donald Hackett, PhD. Published by Crisp Publications, Inc. 1993.

## TEAM DEVELOPMENT EXERCISE

Identify the following sentences relating to team development stages by placing an F (Forming), S (Storming), N (Norming), or P (Performing) in the space provided. Check your answers with those in the box at the bottom of the page.

1. \_\_\_\_\_ Conflict between team members begins to show.
2. \_\_\_\_\_ Looking for a sense of belonging.
3. \_\_\_\_\_ Organizational complaints and gripes are common.
4. \_\_\_\_\_ Harmony among team members becomes common.
5. \_\_\_\_\_ Teams need greater information.
6. \_\_\_\_\_ Intense loyalty among team members develops.
7. \_\_\_\_\_ “One-upmanship” develops.
8. \_\_\_\_\_ Sharing and discussing become team norms.
9. \_\_\_\_\_ Teams can become competitive with other teams.
10. \_\_\_\_\_ Some suspicion and fear of team situation.
11. \_\_\_\_\_ Concern over team versus individual responsibilities develops.
12. \_\_\_\_\_ Overreliance on facilitator possible.

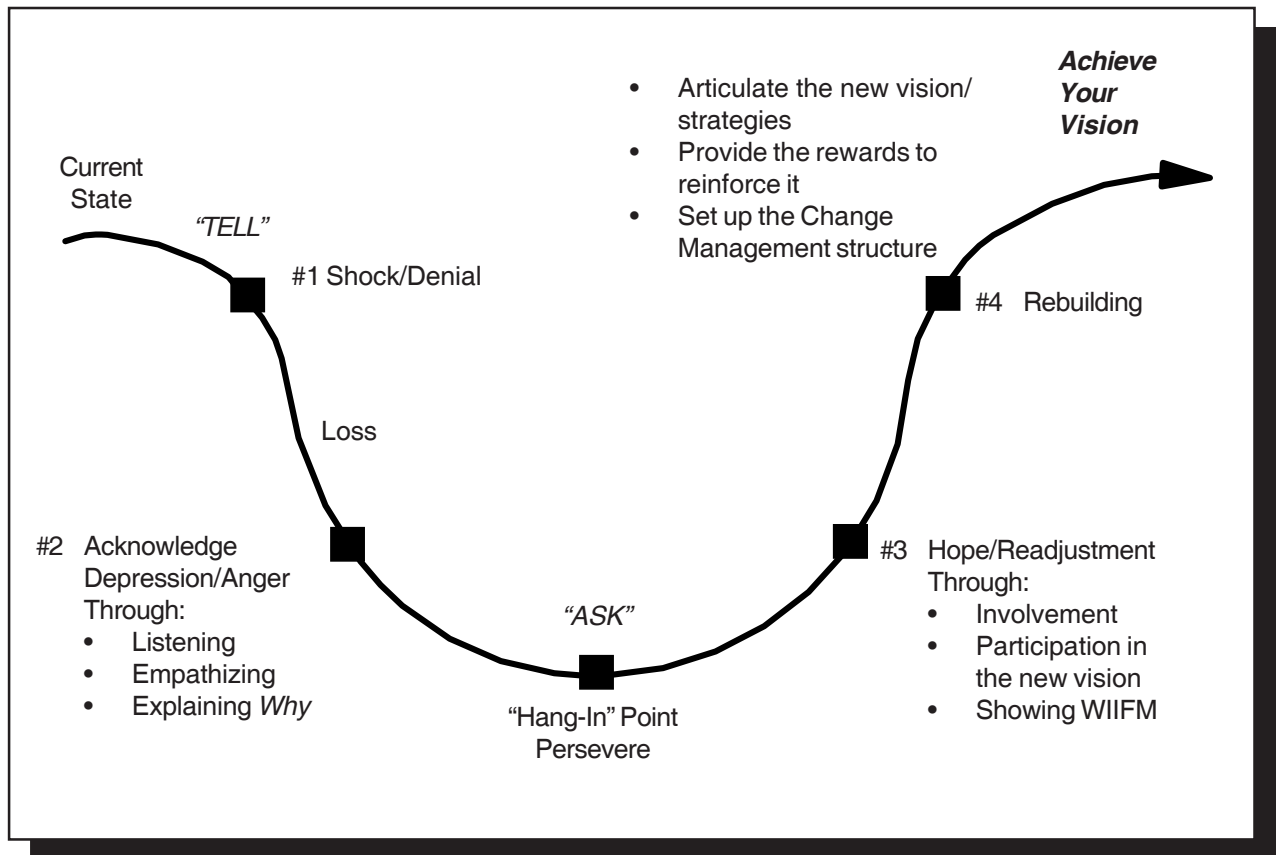
**Answers: 1. S; 2. F; 3. F; 4. N; 5. P; 6. P; 7. S; 8. N; 9. P; 10. F; 11. S; 12. N**

\*Partially adapted from *Self-Directed Work Teams*, by Jack Orsburn, Linda Moran, Ed Musselwhite and John Zenger. Published by Business One Irwin, 1990.

\*Partially adapted from *Facilitation Skills for Team Leaders*, by Donald Hackett, PhD. Published by Crisp Publications, Inc. 1993.

## HOW TO MANAGE THE ROLLERCOASTER?

1. Clearly define/agree on the new vision.
2. Set up a “Change Management Steering Committee.”



3. Manage the “Rollercoaster of Change”:
  - a. How, where, when to acknowledge the depression; explain the “why” face-to-face?
  - b. How to build in hope and involvement/WIIFM?



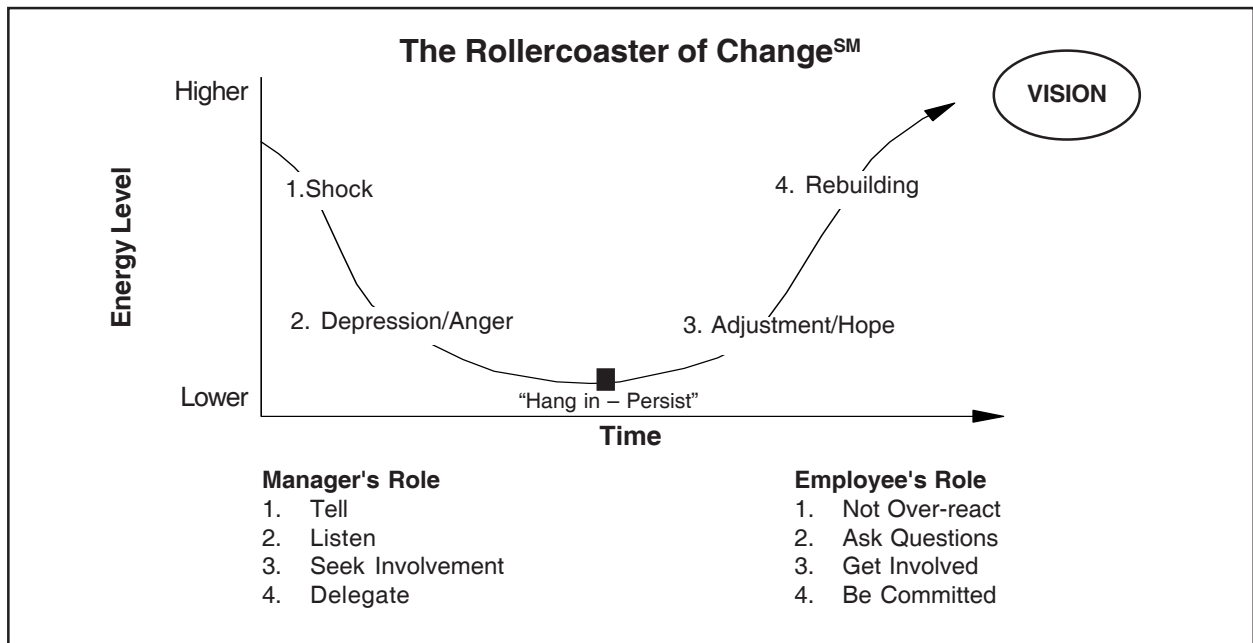
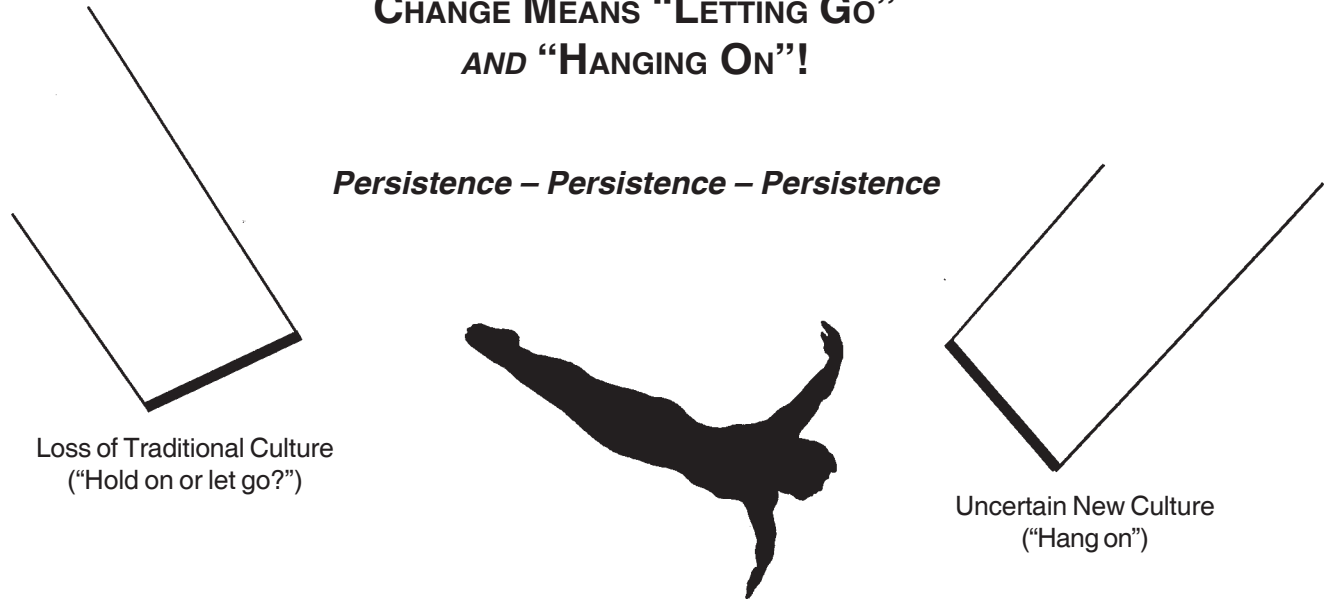
# THE ROLLERCOASTER OF CHANGE<sup>SM</sup>

## THE ONLY PROCESS TO KNOW

(IT IS NATURAL, NORMAL...THIS CYCLE OF CHANGE)

**CHANGE MEANS “LETTING GO”  
AND “HANGING ON”!**

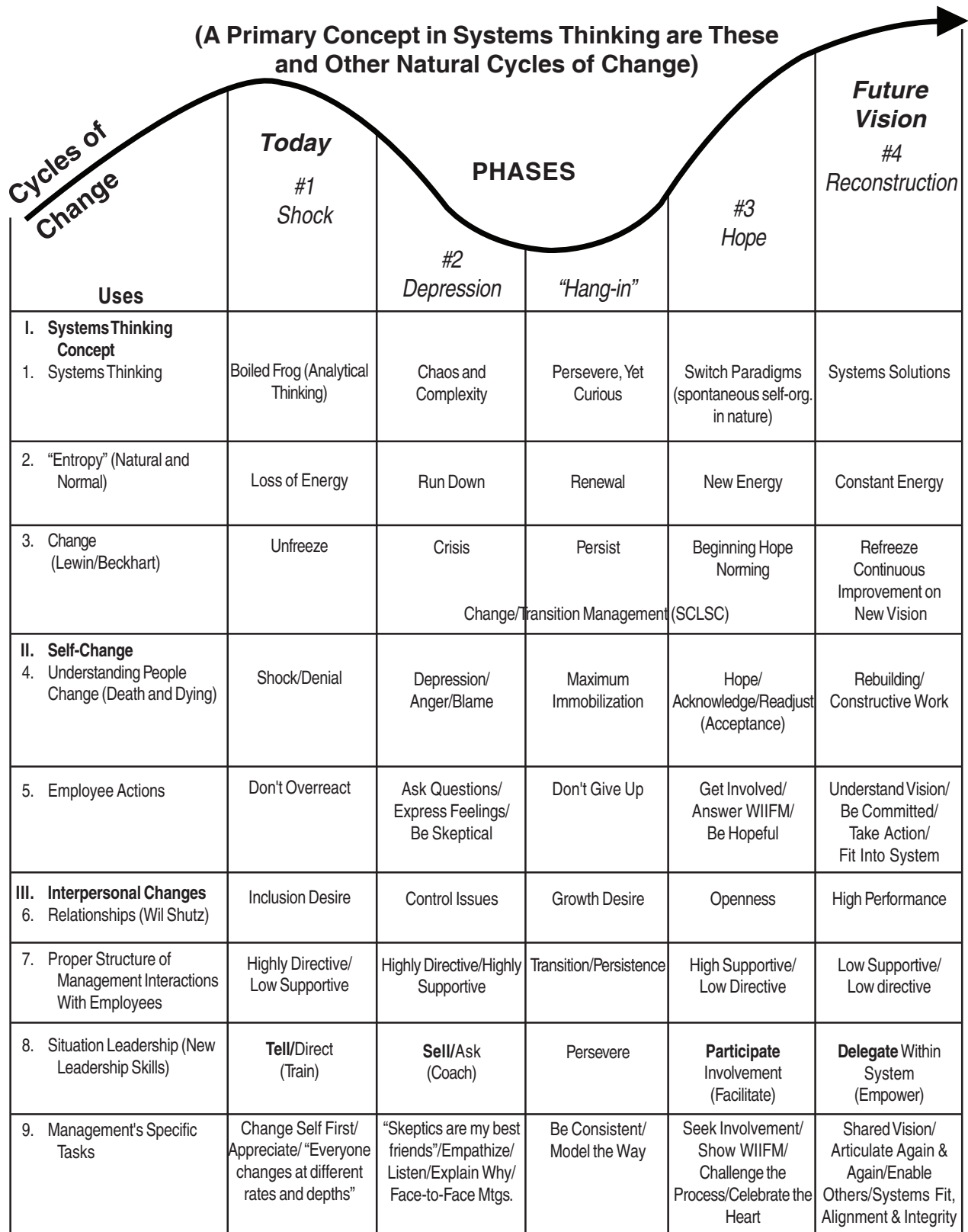
*Persistence – Persistence – Persistence*



# THE ROLLERCOASTER OF CHANGE

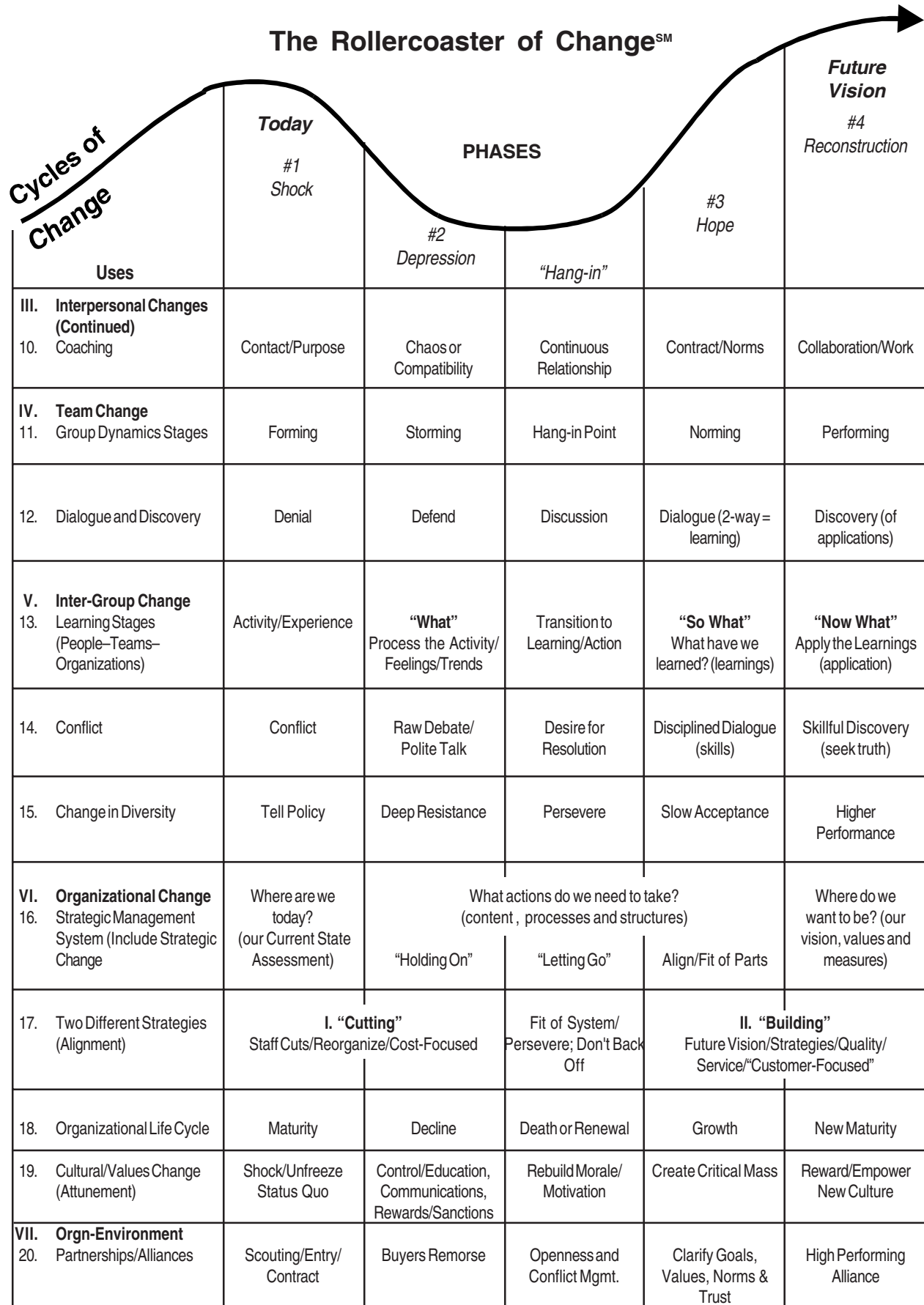
## CHANGE IN ENERGY LEVELS AND THEIR MANY USES

(A Primary Concept in Systems Thinking are These and Other Natural Cycles of Change)



<b>Cycles of Change</b>	<b>Today #1 Shock</b>	<b>#2 Depression</b>	<b>PHASES "Hang-in"</b>	<b>#3 Hope</b>	<b>Future Vision #4 Reconstruction</b>
<b>Uses</b>					
<b>I. Systems Thinking Concept</b> 1. Systems Thinking	Boiled Frog (Analytical Thinking)	Chaos and Complexity	Persevere, Yet Curious	Switch Paradigms (spontaneous self-org. in nature)	Systems Solutions
2. "Entropy" (Natural and Normal)	Loss of Energy	Run Down	Renewal	New Energy	Constant Energy
3. Change (Lewin/Beckhart)	Unfreeze	Crisis	Persist	Beginning Hope Norming	Refreeze Continuous Improvement on New Vision
<b>II. Self-Change</b> 4. Understanding People Change (Death and Dying)	Shock/Denial	Depression/Anger/Blame	Maximum Immobilization	Hope/Acknowledge/Readjust (Acceptance)	Rebuilding/Constructive Work
5. Employee Actions	Don't Overreact	Ask Questions/Express Feelings/Be Skeptical	Don't Give Up	Get Involved/Answer WIIFM/Be Hopeful	Understand Vision/Be Committed/Take Action/Fit Into System
<b>III. Interpersonal Changes</b> 6. Relationships (Wil Shutz)	Inclusion Desire	Control Issues	Growth Desire	Openness	High Performance
7. Proper Structure of Management Interactions With Employees	Highly Directive/Low Supportive	Highly Directive/Highly Supportive	Transition/Persistence	High Supportive/Low Directive	Low Supportive/Low directive
8. Situation Leadership (New Leadership Skills)	<b>Tell</b> /Direct (Train)	<b>Sell</b> /Ask (Coach)	Persevere	<b>Participate</b> Involvement (Facilitate)	<b>Delegate</b> Within System (Empower)
9. Management's Specific Tasks	Change Self First/ Appreciate/ "Everyone changes at different rates and depths"	"Skeptics are my best friends"/Empathize/ Listen/Explain Why/ Face-to-Face Mtgs.	Be Consistent/ Model the Way	Seek Involvement/ Show WIIFM/ Challenge the Process/Celebrate the Heart	Shared Vision/ Articulate Again & Again/Enable Others/Systems Fit, Alignment & Integrity

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## LEARNINGS AND APPLICATIONS (ADULT LEARNING)

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—Adapted from University Associates

The Four Phases of Adult Learning are the same as the four Phases of the Rollercoaster:

Part 1 **Experiences** — Go through the activity (Shock/Denial)

The data-generating part of the experience develops a common base for the discussion that follows. Goals include:

- To explore...
- To examine...
- To study...
- To identify...

Part 2 **Publish and Process** — The experience ... “What” (Depression and Anger)

The question here is “**What happened to me?**” Participants share personal data about what they saw and/or how they felt during the experience.

- Feelings
- Reactions
- Observations

The question here is “**What happened in general?**” Participants systematically examine their commonly shared experience.

- Common themes
- Patterns
- Group dynamics
- Behavioral trends

**Preparation for  
Learning and Application**

---

Part 3 **Generalize/Learn** — “So What” (Hope/Adjustment)

The question now is “**So what?**” From the patterns identified, participants abstract:

- Inferences
- Generalizations
- Learnings
- Principles
- What tends to happen...

These are stated in terms of the “real world” rather than the learning situation.

Part 4 **Apply/Implement** — “Now What” (Rebuild)

The final question is “**Now what?**” Generalizations and learnings are applied to real life situations, and change is planned. This stage can include:

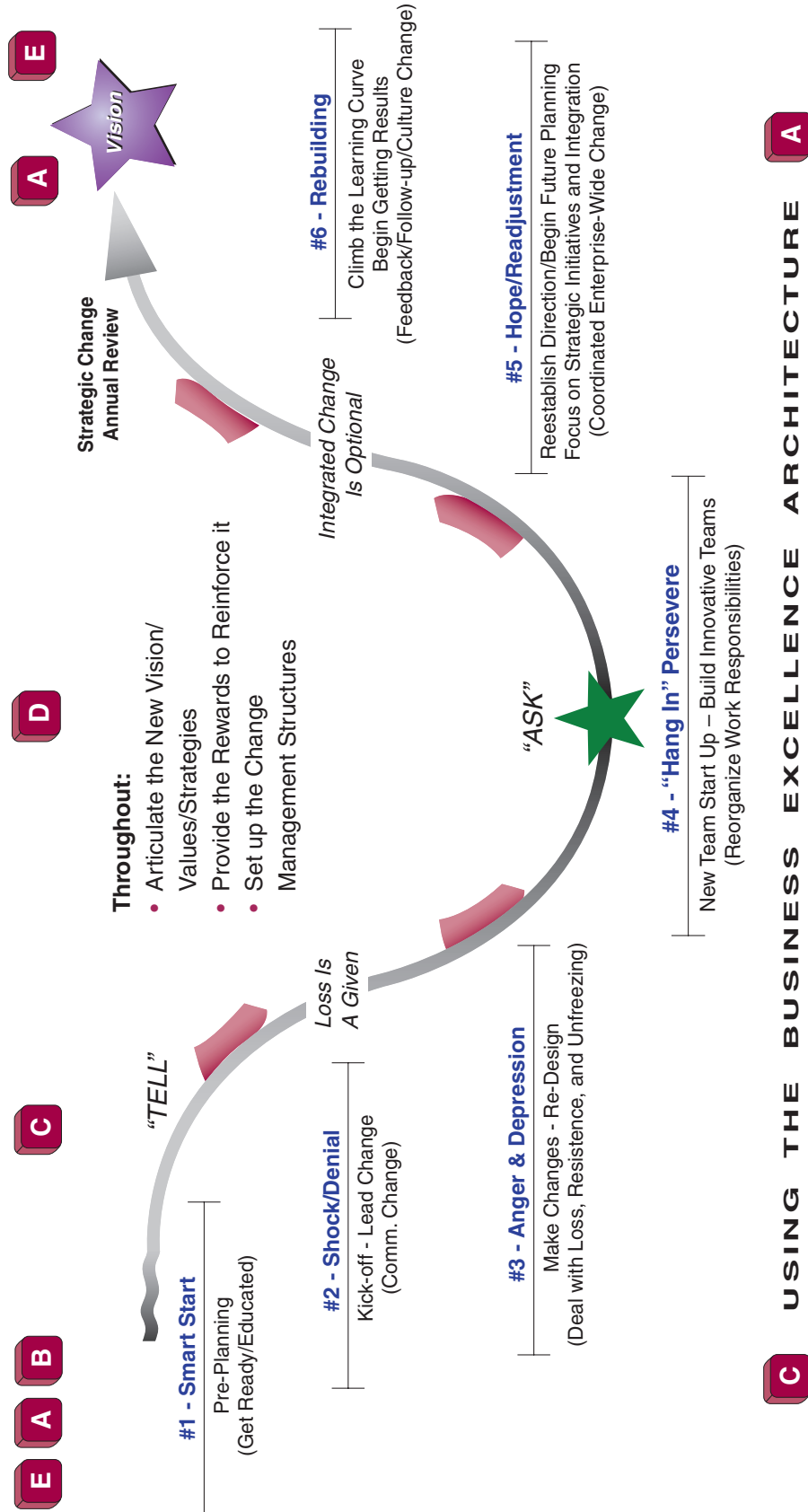
- Consulting groups
- Goal setting
- Practice sessions
- Contracting for change

The application of learning is a new experience. The cycle begins again.

# SIX STAGES OF ENTERPRISE-WIDE CHANGE™

*“The Transformation to Business Excellence and Superior Results”*

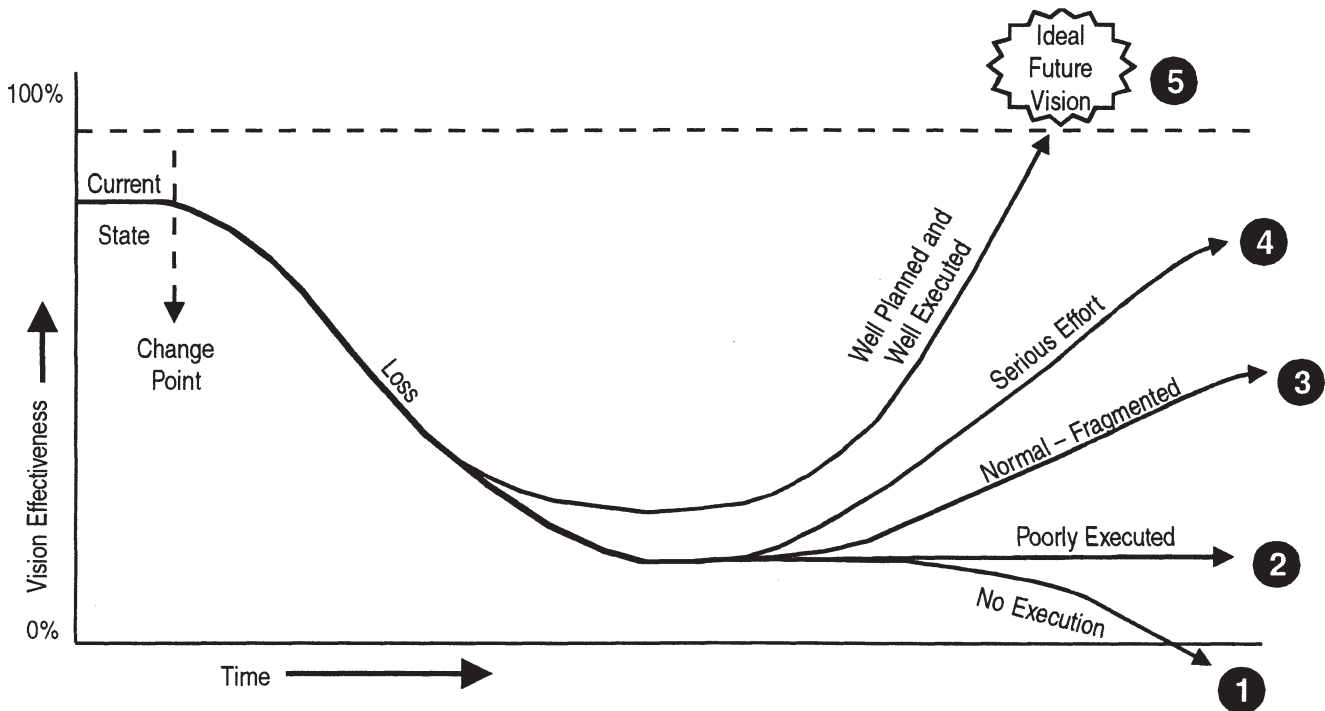
*“The Rollercoaster is Natural – Normal – and Highly Predictable”*



MEWC-03

## TRANSFORMATIONAL CHANGE AND EXCELLENCE

### THE FIVE CHOICES OF CHANGE AND LEVELS OF EXCELLENCE



Which will you be?

- \_\_\_\_\_ **1 Incompetence**—“Going Out of Business”
- \_\_\_\_\_ **2 Technical** — “Dogged Pursuit of Mediocrity”
- \_\_\_\_\_ **3 Management** — “Present and Accounted For Only”
- \_\_\_\_\_ **4 Leadership** — “Making a Serious Effort”
- \_\_\_\_\_ **5 Visionary Leadership** — “Developing an Art Form”

## RESPECT RESISTANCE

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The more you respect people's resistance,  
the more likely it will change into support.

Source: *Training & Development*, December 1996

“Skeptics are my best friends.”

## **WAYS TO UNFREEZE AN ORGANIZATION**

---

### **(INDUCE PHASES I AND II: SHOCK/DENIAL AND ANGER/ DEPRESSION)**

1. SHARE WHAT COMPETITORS ARE DOING.
2. EXPLAIN YOUR ORGANIZATION'S FINANCES AND P/L STATEMENT.
3. SHARE YOUR ORGANIZATION'S VISION AND FUTURE IDEAL.
4. CLARIFY THE IMPACT ON THE ORGANIZATION AND EMPLOYEES OF A PARTICULAR SITUATION OR ISSUE.
5. CONDUCT AN ORGANIZATIONAL SURVEY. FEED IT BACK TO "X."
6. COLLECT INTERVIEW DATA AND FEED IT BACK TO "X."
7. RE-EXPLAIN JOB EXPECTATIONS/STANDARDS OF PERFORMANCE.
8. CHANGE THE REWARD SYSTEM (INDIVIDUAL — TEAM — ORGANIZATION-WIDE).
9. DISCUSS CHANGES IN THE ENVIRONMENT THAT IMPACT THE ORGANIZATION.
10. DISCUSS WHY THERE IS A NEED TO CHANGE.
11. EXPLAIN THE ORGANIZATION'S STRATEGIC PLANS AND DIRECTION AND WHY THEY ARE CHOSEN.
12. SET GOALS WITH EMPLOYEES.
13. EXAMINE EMPLOYEE DATA, SUCH AS TURNOVER, ETC.
14. CONDUCT AN UNFILTERED UPWARD FEEDBACK MEETING.
15. CHANGE THE ROLES OF KEY INFORMAL LEADERS.
16. FEED BACK CUSTOMER PERCEPTIONS AND DATA.
17. CONDUCT FOCUS GROUPS OF EMPLOYEES OR CUSTOMERS.
18. CHANGE THE LOCATION OF MANAGEMENT OFFICES TO BE CLOSER TO THE WORKERS.
19. SET UP TASK FORCES TO ANALYZE ISSUES AND RECOMMEND SOLUTIONS.
20. EXPLICITLY EVALUATE EMPLOYEES (INCLUDING SENIOR MANAGEMENT) ON YOUR ESPOUSED VALUES.



## **FACTORS NEEDED TO GO THROUGH THE STAGES OF CHANGE SUCCESSFULLY**

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### **(SPECIFICALLY PHASES II AND III: DEPRESSION/ANGER AND HOPE/ADJUSTMENT)**

1. THIS IS A TIME OF HIGH UNCERTAINTY AND ANXIETY.
  - A. COMMUNICATE FREQUENTLY DOWNWARD ABOUT THE CHANGE AND CHANGE PROCESS.
  - B. DEVELOP FEEDBACK MECHANISMS TO HEAR THE EMPLOYEES' QUESTIONS AND CONCERNS AND THEN A WAY TO CONDUCT TWO-WAY DIALOGUES.
2. DON'T REACT EMOTIONALLY TO EMPLOYEE CONCERNS AND RESISTANCE. EMPATHIZE AND UNDERSTAND IT. LET PEOPLE TALK IT OUT. THEN TRY TO DEAL WITH THE UNDERLYING ISSUES (I.E., READ BETWEEN THE LINES.)
3. LET PEOPLE HAVE A CLEAR UNDERSTANDING OF WHY THE CHANGE IS NECESSARY.
4. LET PEOPLE HAVE AN OPPORTUNITY TO CRITICALLY CROSS-EXAMINE THE LEADER(S) AND VERIFY FOR THEMSELVES THE NECESSITY FOR CHANGE.
5. GIVE PEOPLE OCCASIONS TO TALK THROUGH THEIR FEELINGS OF LOSS AND DETACHMENT FROM THE OLD WAYS.
6. HAVE METHODS BY WHICH PEOPLE AFFECTED BY THE CHANGE CAN PARTICIPATE IN SOME ASPECT OF CHANGE TO CONTROL THEIR DESTINY.
7. HAVE MANAGEMENT DEVELOP AND ORGANIZE NEW SUPPORT SYSTEMS TO ESTABLISH THE NEW STATE.
8. DEVELOP A POSITIVE CLIMATE ABOUT THE CHANGE BY EVOKING A CLEAR AND POSITIVE "COMMON VISION" OF WHAT THE END STATE OF THE CHANGE WILL LOOK LIKE.
9. SHOW PEOPLE HOW THE CHANGE CAN PERSONALLY HELP THEM AND THEIR NEEDS.
10. RELATE THE CHANGE TO EMPLOYEE VALUES.
11. DEVELOP TEAMS—NOT JUST GROUPS OR DEPARTMENTS—AND A VALUE AND A REWARD FOR TEAMWORK.
12. WORK CLOSELY WITH THE INFORMAL LEADERS OF THE ORGANIZATION.
13. PROVIDE EMPLOYEES WITH AN OPPORTUNITY TO INCREASE THEIR LEARNING AND COMPETENCE ABOUT THEIR JOBS AND ABOUT THE CHANGE.
14. DEVELOP AND COMMUNICATE ABOUT YOUR WELL-PLANNED "TRANSITION MANAGEMENT PROCESS" TO GIVE EMPLOYEES A SENSE OF SECURITY AND KNOWLEDGE THAT YOU ARE IN CONTROL AND IN CHARGE OF THE CHANGES.

## WAYS TO INSTITUTIONALIZE CHANGES IN AN ORGANIZATION

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### (PHASE IV – REBUILDING)

#### **Refreezing/Renewing and Maintaining**

#### **Stability/Flexibility in an Organization**

Note: While it may be good to think of institutionalizing change in an organization, the practical reality is that once you institutionalize this new changed state, you will immediately begin to make other incremental changes in response to changing conditions. This continues indefinitely! (i.e., continual improvement/renewal).

There are ways to insure changes are successfully completed and maintained. They include:

1. Conduct an organizational assessment to see the status of the change and problems that need improvement in order for the change to reach its full effectiveness.
2. Conduct refresher training courses on the change topic.
3. Hold yearly conferences on the subject (renewal).
4. Have the basic change and also the improvements listed in #1 above as part of senior line management's goals and performance appraisal.
5. Conduct a reward system's diagnosis and make appropriate changes so that the rewards (both financial and non-financial) are congruent and consistent with the changes.
6. Set up an ongoing audit system. Also find ways to statistically measure the change effectiveness. Line managers are used to statistics and generally like them.
7. Have ways to discuss and reinforce the change at periodic staff meetings of top management and department heads.
8. Set the changes into policies and procedures on the ongoing organization; then have someone accountable for them. Set up permanent jobs to maintain the changes or put the accountability into existing job descriptions.
9. Use a variety of communications avenues and processes for both one way and two way feedback on the change.
10. Hold periodic team meetings on the subject across the organization.

*continued*

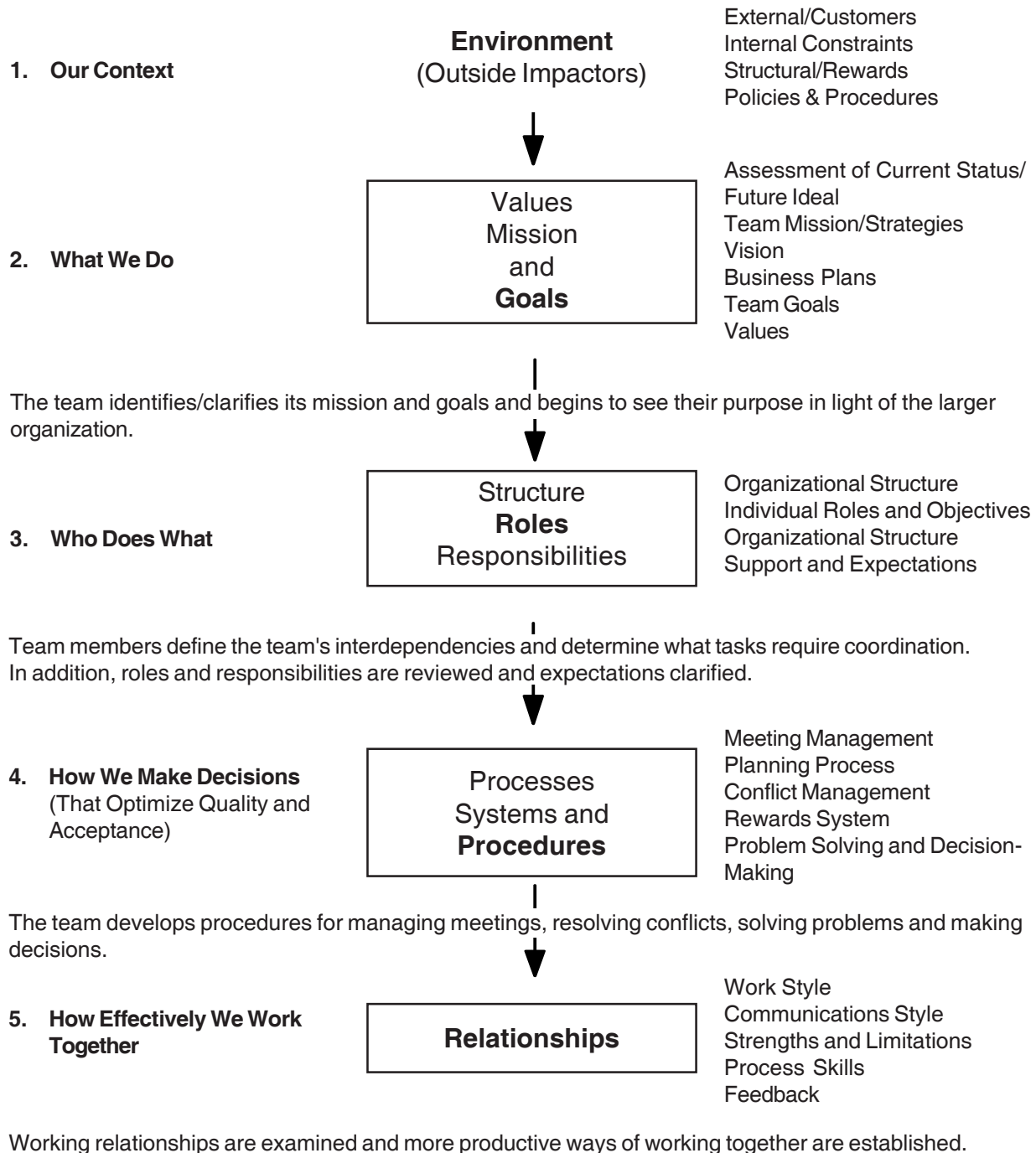
## WAYS TO INSTITUTIONALIZE CHANGES IN AN ORGANIZATION

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11. Have top line managers conduct “deep sensing” meetings on the subject down into the organization on a regular basis.
12. Have periodic intergroup or interdepartment meetings on the subject and its status.
13. Set up a process of yearly renewing and reexamining the change in order to continually improve it.
14. Have outside consultants conduct periodic visits on the subject and assess the status of the change.
15. Be doubly sure that the top team continues to model the changes. (You can refreeze this through many of the other items on this total list.)
16. Set priorities and deadlines for short-term improvements to the change.
17. Look closely at the key environmental sectors to be sure they are reinforcing the changes (particularly any parent companies or division heads).
18. Create physical indications of the permanency of the change (offices, jobs, brochures, etc.)
19. Develop “stay agents” or multiple persons who have a strong interest in maintaining the change (particularly among line managers and the informal leaders).
20. Refine change procedures to make them routine and normal.
21. Link other organizational systems to the change. Encourage specific and formal communications, coordination, and processes between them.
22. Keep the goals and benefits of the change clear and well known.
23. Assess the potential dangers and pitfalls of the change and develop specific approaches and plans to minimize these dangers.
24. Be alert to other changes that can negatively affect this change. (Unintended negative side effects and consequences).
25. Have a different person manage the stability than the one who managed the change. They are different tasks involving people with different personalities. Change agents are poor stay agents!

## SECTION 5: EFFECTIVE TEAM FUNCTIONING

### EFFECTIVE TEAM FUNCTIONING



## FACTORS INFLUENCING TEAMS

---

### 1. Goals

Why do we work together?  
What end results are required?  
Are our goals...

- Stated?
- Clear?
- Realistic?
- Agreed upon (or shared)?
- Performance oriented?

### 2. Roles

Who does what?  
Why?  
Are roles...

- Clear?
- Agreed upon?
- Creating conflict?
- Suitable or appropriate? Do the member's skills and experiences match the requirements of the role?
- How is leadership managed?

## FACTORS INFLUENCING TEAMS CONT.

### 3. Procedures

How do we work together?  
What are our *formal* work methods?  
What are our *informal* norms?

- Decision-Making
- Group Process
- Norms
- Administrative Structure
- Communication
- Rules
- Timetables
- Schedules
- Standards
- Feedback

### 4. Relationships

How do we get along with each other?

- Trust
- Openness
- Conflict
- Values
- Emotions

*Source:* Adapted from University Associates Team Building Workshop Materials

# THE SYSTEMS THINKING APPROACH™

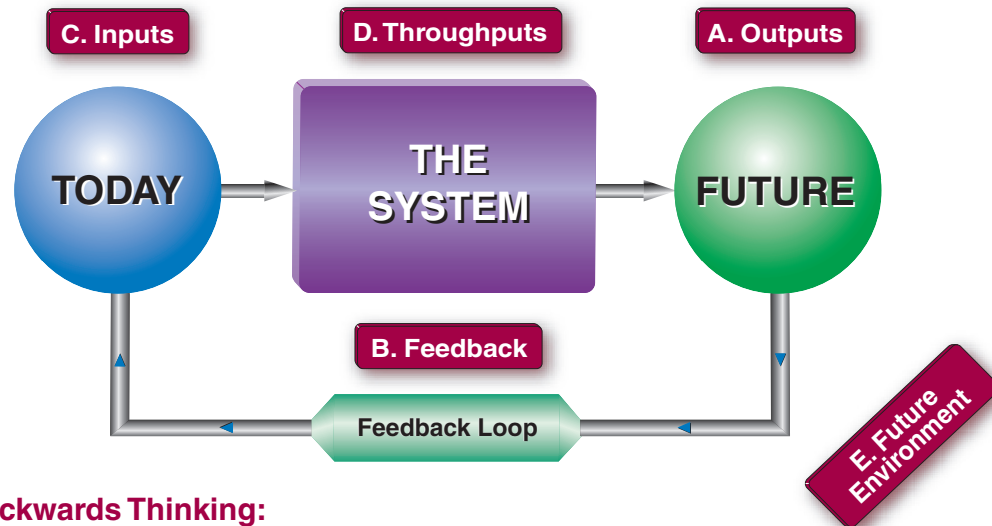
"The Natural Way the World Works"

"A New Orientation to Life" – Our Core Technology

## STRATEGIC THINKING

*"From Complexity to Simplicity"*

**Systems:** Systems are made up of a set of components that work together for the overall objective of the whole (output).



### Backwards Thinking:

#### Five Strategic Thinking Questions – In Sequence:

- A** Where do we want to be? (i.e., our ends, outcomes, purposes, goals, holistic vision)
- B** How will we know when we get there? (i.e., the customers' needs and wants connected into a quantifiable feedback system)
- C** Where are we now? (i.e., today's issues and problems)
- D** How do we get there? (i.e., close the gap from C → A in a complete, holistic way)
- E** Ongoing:  
What will/may change in your environment in the future?

### vs. Analytic Thinking Which:

- ① Starts with today and the current state, issues, and problems
- ② Breaks the issues and/or problems into their smallest components
- ③ Solves each component separately (i.e., maximizes the solution)
- ④ Has no far-reaching vision or goal (just the absence of a problem)

**NOTE:** In Systems Thinking, the whole is primary and the parts are secondary (not vice-versa).

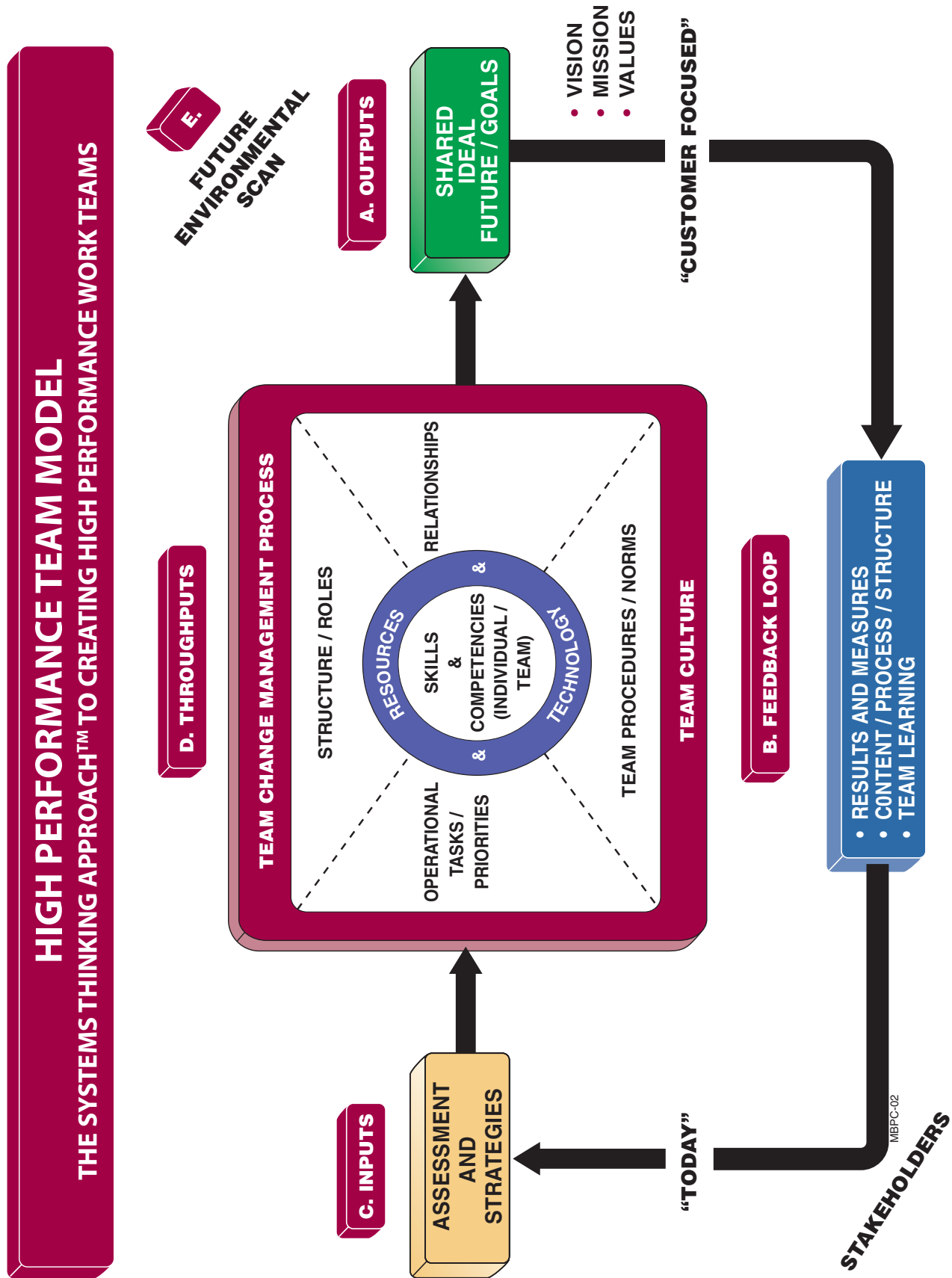
*"If you don't know where you're going, any road will get you there."*

### Why Thinking Matters

*"How you think... is how you act... is how you are."*

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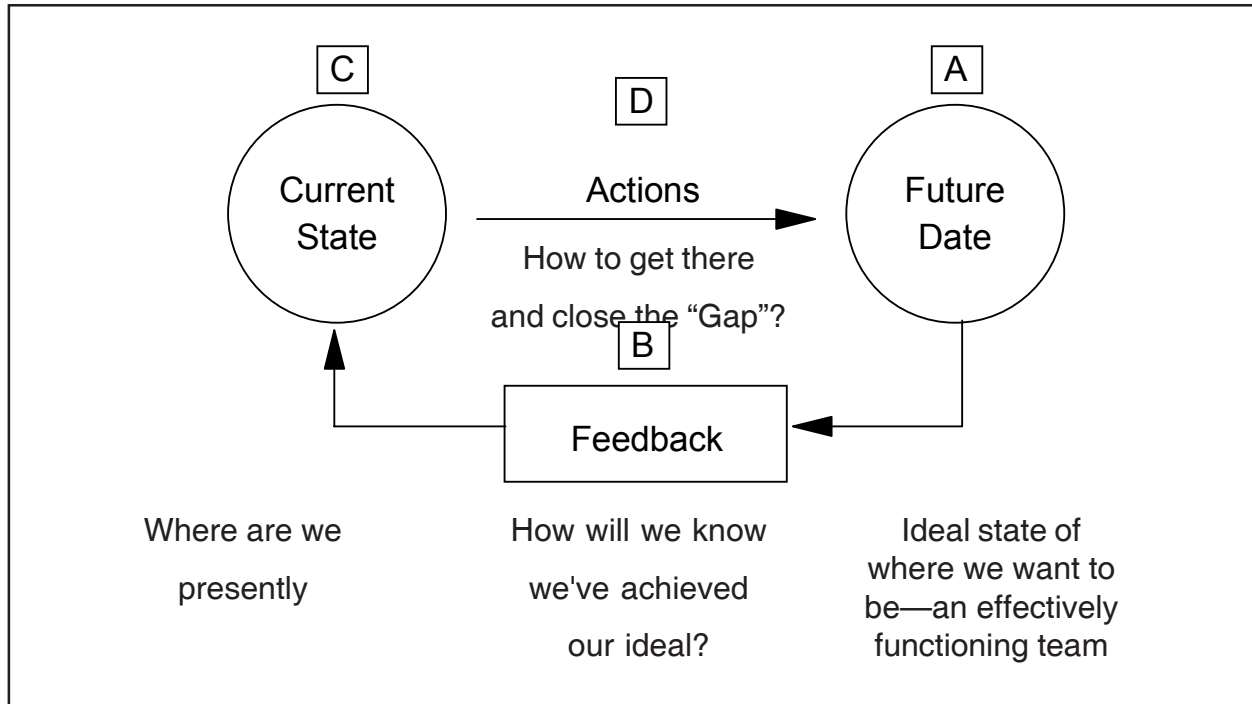
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## METHOD FOR PROBLEM SOLVING AND TEAM BUILDING – “SYSTEMS THINKING”



- Step 1: Define the ideal state in the future (A).
- Step 2: Develop feedback mechanisms and norms to learn/grow as individuals/as a team (B).
- Step 3: Diagnose where we are now (C).
- Step 4: Action plan how to get from Today C to the Future A.

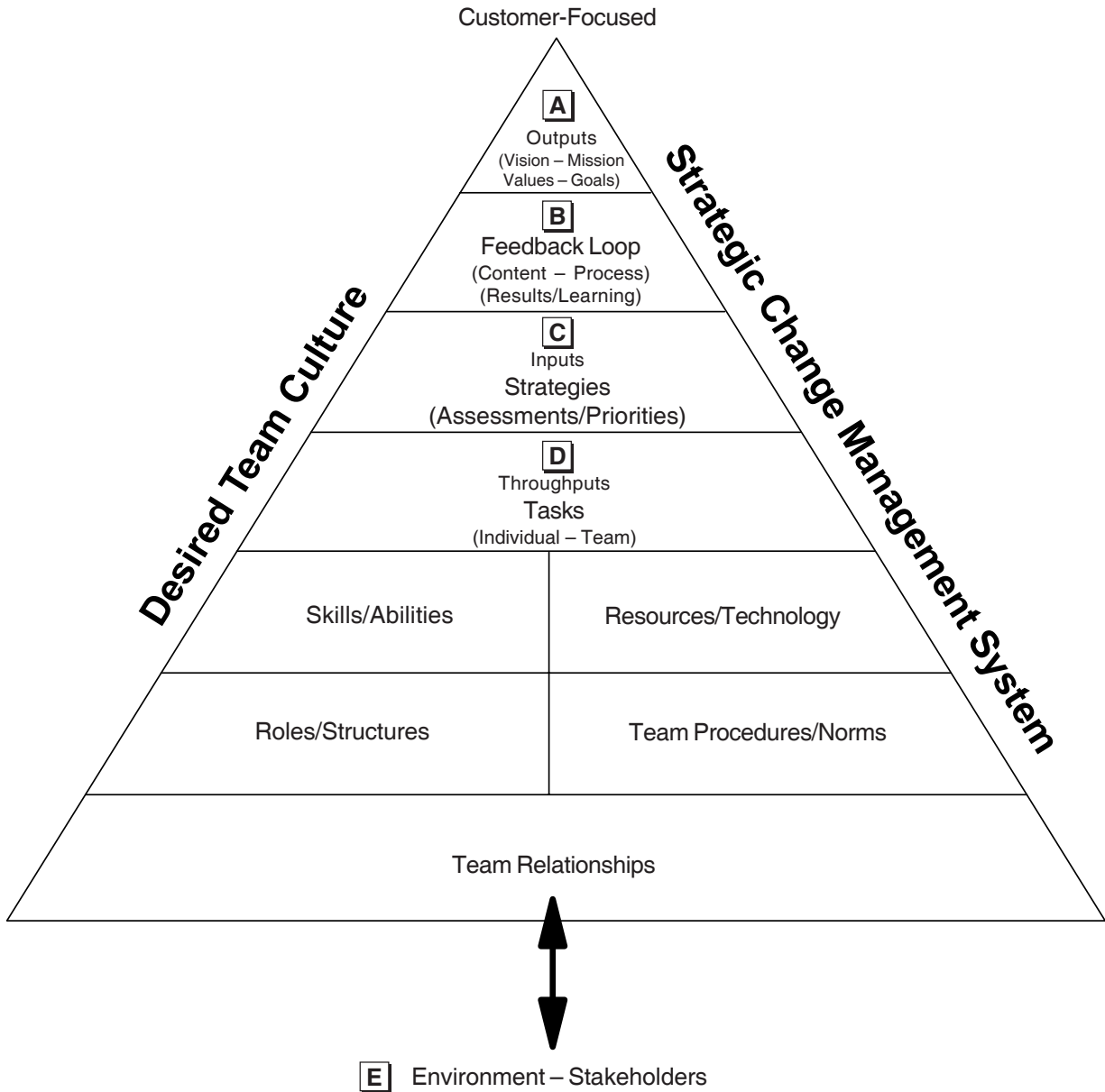
### Team Building

1. Why are we a team?
2. What do you expect from your team leader?
3. What do you expect from your team members?
4. What prevents us from brainstorming fully and effectively?

# HIGH PERFORMANCE TEAMS

## (THE SYSTEMS APPROACH)

DEPARTMENT — CROSS-FUNCTIONAL — SELF-DIRECTED



## TEAMS

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What is a Team?

What things cause teams to be ineffective?

## TEAMS

---

Why is it important for us to be a team?

## WHAT KIND OF TEAM?

---

Place an "X" above the box that is the kind of team you think we are.

<b>B O W L I N G</b>		<b>T R A C K &amp; F I E L D</b>		<b>B A S E B A L L</b>		<b>F O O T B A L L</b>		<b>B A S K E T B A L L</b>		<b>H O C K E Y</b>		<b>V O L L E Y B A L L</b>
--	--	--	--	--	--	--	--	--	--	--	--	--

Question: Why did you pick this kind of team?

## TEAM PROCESSES AND PROCEDURES

(The way in which the team accomplishes the work/tasks.)

	<div style="display: flex; justify-content: space-between; font-size: small;"> <span>Low</span> <span>High</span> </div> <div style="display: flex; justify-content: space-between; font-size: x-small;"> <span>1</span> <span>5</span> <span>10</span> </div> <div style="border-top: 1px solid black; position: relative; height: 20px; margin-top: 5px;"> <div style="position: absolute; left: 0; top: -5px; width: 100%;"></div> </div>
Question: What is our effectiveness vs. these?	
_____ 1. Decision making	
_____ 2. Communication styles	
_____ 3. Meetings management	
_____ 4. Leadership styles	
_____ 5. Conflict management	
_____ 6. Performance/results management	
_____ 7. Rewards management	
_____ 8. Relationship maintenance	
_____ 9. Diagnosing our effectiveness/norms as a team	
_____ 10. Giving and receiving feedback	
_____ 11. Self-disclosure and openness	
_____ 12. Encouraging/supporting each other's tasks	

Our top 3 strengths?	Our top 3 weaknesses?	Needed actions?

## METHODS TO INCREASE TEAMWORK AT THE TOP OF THE ORGANIZATION

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*Question:* Which do we do now? (circle)

1. Deal with common issues on a regular basis.
2. Team rewards—yearly, quarterly, and daily.
3. Socialize together; offsites.
4. Socialize with spouses.
5. Frequency of daily visiting; interactions; communications.
6. Task force work on key corporate issues.
7. CEO reinforcement; reward; recognition.
8. Issues resolution.
9. Roles: lead, advise, support, inform, listen.
10. Locate offices near each other.
11. Common goals, understandings.
12. Okay to disagree/discuss “sensitive” and “contentious” issues.
13. Common evaluations about people; organization plans; executive development.
14. Common brainstorming; development; sharing; learning experiences.
15. Group problem solving; helping others succeed by group suggestions and sharing of ideas, etc.
16. Share and discuss corporate progress toward financial/operational budget, targets (monthly/quarterly).
17. Strategic planning, thinking, decision making.
18. Review, share, discuss budgets, product line plans, and yearly business plans.
19. Review key indicators' plans (i.e., R.E.O. and Loan Service Plans, branch sales, etc.)

*Question:* Which should we do more of? (Put an “X” through the number.)

## THE EIGHT BARRIERS TO TEAMWORK

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1. Breakdown on probing (for information).
2. Promotional leadership (squelches candor, ideas).
3. Intra-team conflict (between members).
4. Insufficient alternatives (closing down too early).
5. Lack of candor (consistently).
6. Pointless meetings (no clear-cut objectives).
7. Lack of self-critique (not institutionalized).
8. Failure to cycle downward (explaining decisions, why).

*Question:* Which are our top 3 barriers?

*Question:* What do we want to do about these barriers?



## TEAM BUILDING ASSESSMENT

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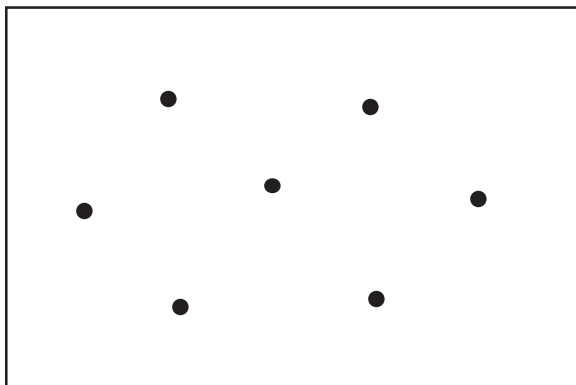
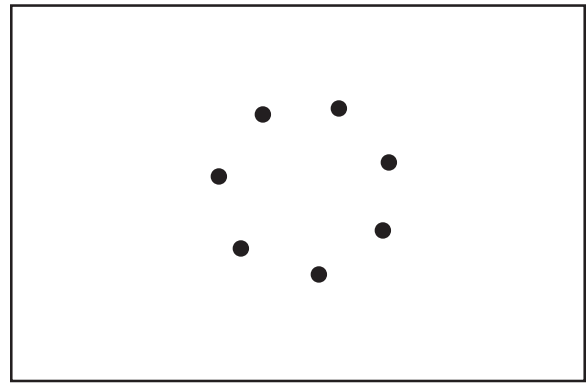
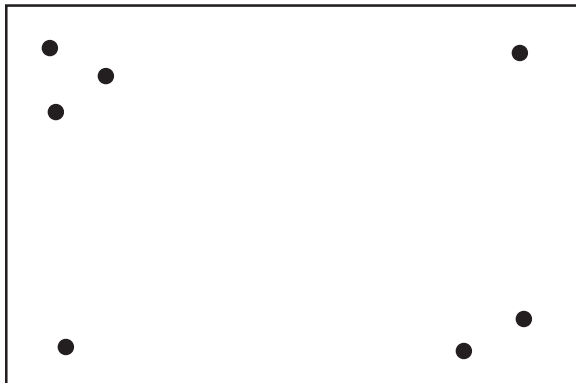
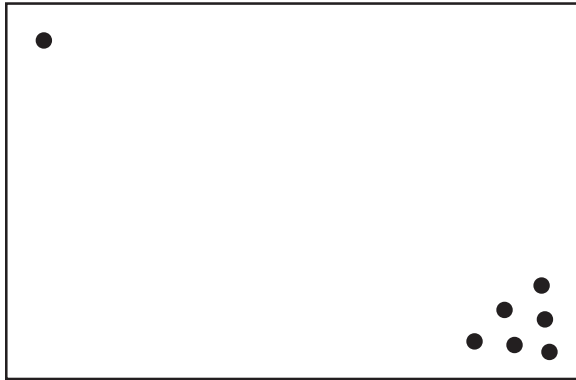
### MANAGEMENT SKILLS TO WORK IN/MANAGE TEAMS

Our team's skills are as follows (H–high; M–medium; L–low):

- \_\_\_\_\_ 1. Group dynamics understanding.
- \_\_\_\_\_ 2. Conflict management skills.
- \_\_\_\_\_ 3. Meeting management skills.
- \_\_\_\_\_ 4. Change and resistance management.
- \_\_\_\_\_ 5. Communication skills/versatility.
- \_\_\_\_\_ 6. Facilitation/process skills.
- \_\_\_\_\_ 7. Listening skills.
- \_\_\_\_\_ 8. Giving and receiving feedback skills.
- \_\_\_\_\_ 9. Problem solving, decision making skills.
- \_\_\_\_\_ 10. Ownership/employee involvement techniques.
- \_\_\_\_\_ 11. Mission/goal setting definition/articulation.
- \_\_\_\_\_ 12. Role clarification skills.
- \_\_\_\_\_ 13. Rewards management, team rewards.
- \_\_\_\_\_ 14. Leadership skills, effective style.
- \_\_\_\_\_ 15. Processing, learning from meetings.
- \_\_\_\_\_ 16. Openness, risk taking, honest of feelings.
- \_\_\_\_\_ 17. “To Do” list, action planning.
- \_\_\_\_\_ 18. Controls, follow-up.
- \_\_\_\_\_ 19. Stress management, burnout.
- \_\_\_\_\_ 20. Planning, priority setting.
- \_\_\_\_\_ 21. Delegation.
- \_\_\_\_\_ 22. Stimulating innovation, creativity.
- \_\_\_\_\_ 23. Priority setting, stress/crisis management.

## TEAM FUNCTIONING

In your view, which box most accurately represents our team's functioning?



Draw your own picture.

## EFFECTIVE TEAM FUNCTIONING

For each of the following statements, please circle the number which indicates, in your opinion, the existing situation within your team. As much as possible, respond to the situation as you see it now, rather than what it was in the past, or should be in the future.

	1	2	3	4	5	6	7	Comments
1. The mission and strategic plan for the team and organization are both clearly communicated and understood.	Not True at All						Very True	
2. There is agreement among team members on the priorities we should be addressing.	Not True at All						Very True	
3. The organization is structured in the best way possible to achieve its mission and accomplish its strategy.	Not True at All						Very True	
4. Most members' comments during team meetings represent their functional viewpoint.	Not True at All						Very True	
5. Most members' comments during team meetings represent a broader view (Executive of the Whole) rather than functional viewpoint.	Not True at All						Very True	
6. The team is a decision making group.	Not True at All						Very True	
7. I believe I can influence the direction and policies of the team/organization.	Not True at All						Very True	
8. The team members tend to be primarily <i>rewarded</i> for their performance as individual/functional managers.	Not True at All						Very True	

*continued*

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## EFFECTIVE TEAM FUNCTIONING

	1	2	3	4	5	6	7	Comments
9. Team members tend to be <i>rewarded</i> primarily for their performance as “Executives of Whole” rather than “managers of the part.”	Not True at All						Very True	
10. Members view all organization/team resources (human, financial, physical) as <i>shared</i> and to be deployed to help the team achieve its mission and goals.	Not True at All						Very True	
11. There is a view among team members that “your problem is my problem.”	Not True at All						Very True	
12. Inappropriate competition is minimized in the team.	Not True at All						Very True	
13. Members openly express curiosity about what is happening in other functional areas.	Not True at All						Very True	
14. Members are willing to <i>challenge</i> one another openly—where differences exist.	Not True at All						Very True	
15. Members' can control their pay related to performance/rewards.	Not True at All						Very True	
16. The values, norms of behavior, or “way we do business around here” is clearly understood, communicated, and modeled.	Not True at All						Very True	
17. Members' roles are clear and agreed to by all.	Not True at All						Very True	
								<i>continued</i>

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## EFFECTIVE TEAM FUNCTIONING

	1	2	3	4	5	6	7	Comments
18. Conflict is surfaced and properly handled.	Not True at All						Very True	
19. An effective performance management system is in place for the team.	Not True at All						Very True	
20. An effective business planning and budgeting process is in place for the team.	Not True at All						Very True	
21. Meetings are effectively run with openness/honesty.	Not True at All						Very True	
22. Relationships among the team members are good.	Not True at All						Very True	
23. Meetings are <i>processed</i> to allow continuous improvement.	Not True at All						Very True	
24. The team adequately manages and senses its environment/external influences.	Not True at All						Very True	
25. All in all, how satisfied are you with the effective functioning of the team.	Not Satisfied						Totally Satisfied	

## SECTION 6: MEETINGS MANAGEMENT

### THREE STAGES OF A MEETING

*“Everyone is equally responsible for meeting success.”*

#### **Beginning: Setting the agenda**

- Describe the purpose of the meeting
- Finalize the agenda, priority order, time frames
- Ask for any clarifications and/or additions to the agenda
- Set meeting norms/roles each person plays

#### **Middle: Covering the agenda**

- Proceed item by item (ask questions, explain rationale, listen to other's point of view)
- Record any decisions or key ideas on flipchart (To Do List)
- Check for understanding and agreement before moving to next item
- Stay on track—gatekeeping, timekeeping

#### **End: Reviewing the meeting content and meeting process**

- Review any decisions or action items (To Do List)
- Identify any agenda items for next meeting
- Set time and place for next meeting
- Process the meeting—identify what went well and what did not for improvement next time (continue more of, less of)

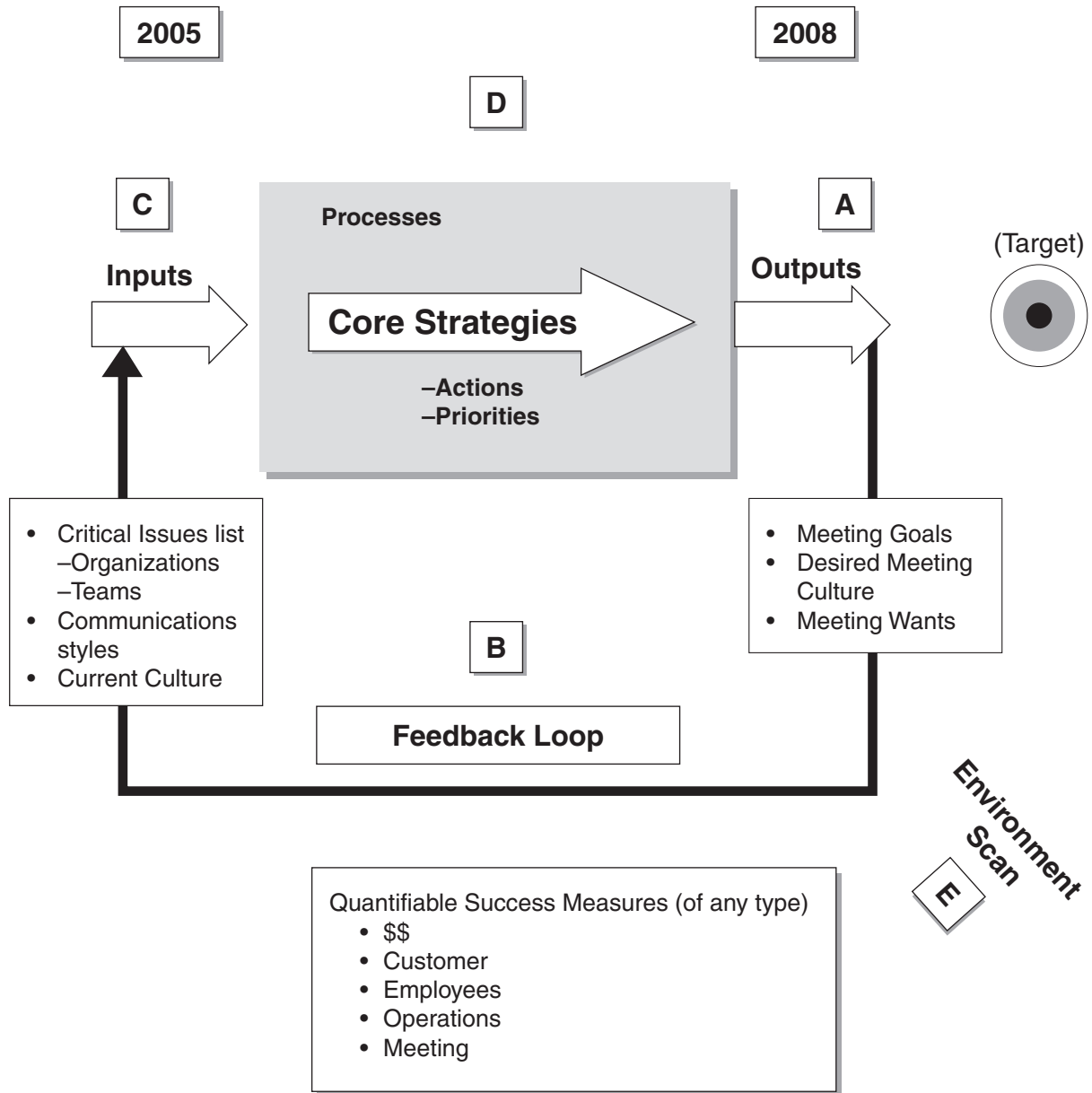
#### **CONFERENCE ROOM PLAQUE**

##### **How are we doing?**

1. Content — Subject?
2. Process — Interaction?
3. Feelings — Satisfaction?

# FRAME ANY MEETING

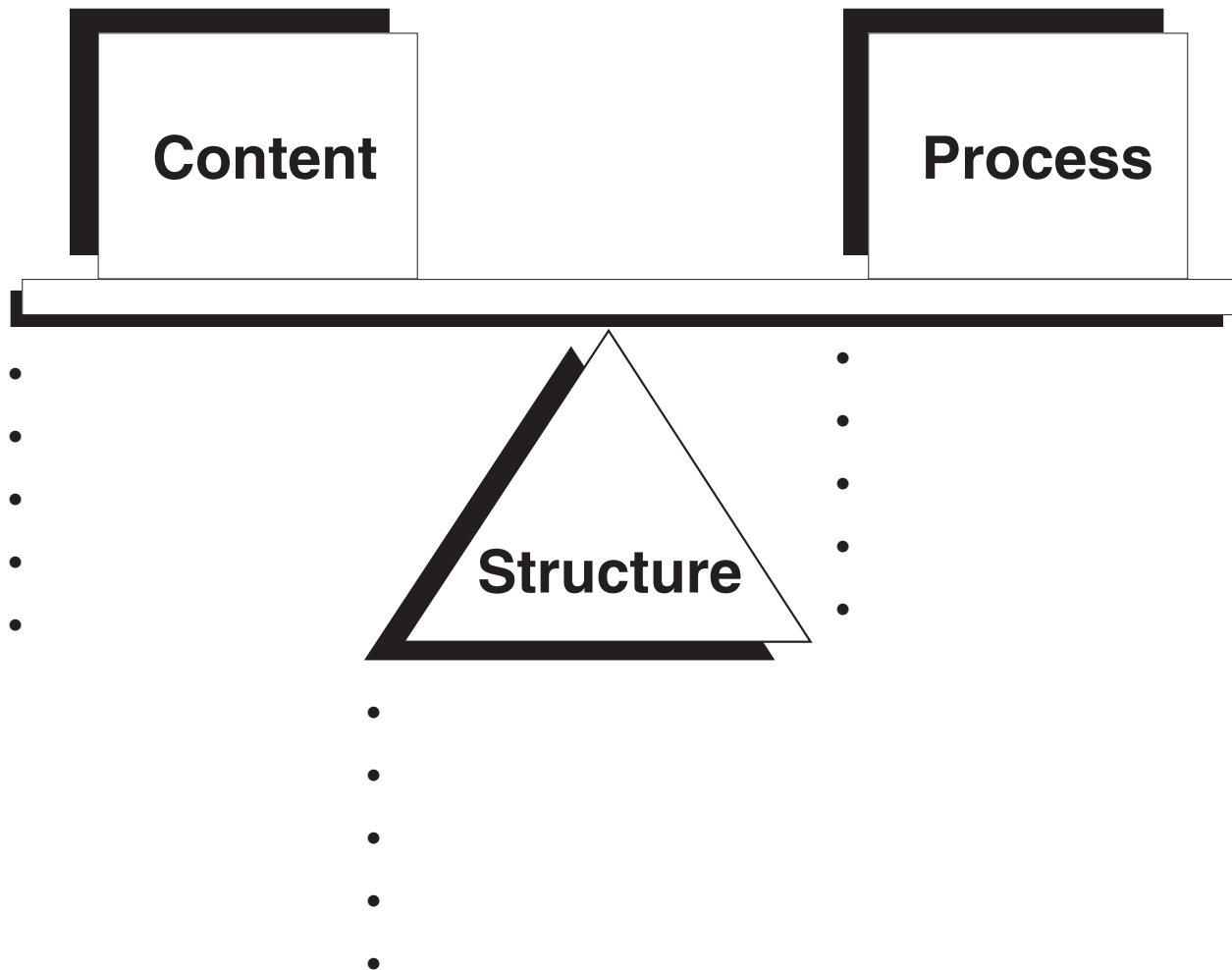
## (BY USING THE ABCs OF SYSTEMS THINKING)



## KEY ELEMENTS OF ANY MEETING OR PROJECT (SYSTEMS THINKING IN THE ROOM)

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What are they here?





## KEY ELEMENTS OF ANY MEETING OR PROJECT

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### Content

- This is related to the specific/technical subject matter that is the basis of the task at hand.
- It requires technical expertise and familiarity with the core subject matter.
- This is generally provided by the members of the project team.
- At times, the facilitator may be called upon to provide some of the technical expertise, but this should be limited mostly to “theory input.”
- It may be necessary to solicit some of this expertise from outside of the team.

### Process

- This is related to the “process of group dynamics” which occurs within any working group.
- Of concern here are things such as:
  - relationship between individuals and relationship building within the group
  - communication skills and communication patterns within the group
  - issues of dominance and control by individuals within the group
  - leadership patterns—both formal and informal
  - concern for active participation and input by all members of the group
  - the changing mood of the group and of individual members of the group
  - overall effectiveness of the group in achieving its desired outcomes
- This is the responsibility of the facilitator(s) or the group leader.

### Structure

- This is related to the physical arrangements and operating mechanisms of the group.
- Items of concern can include:
  - meeting locations and setting
  - time-frame for meetings—when, how long and frequency?
  - room arrangements and room set up/room lighting
  - utilization of audiovisual aids
  - consideration for refreshment and/or meal breaks
  - use of periodic breaks to refresh the group or to shift the mood
  - provision and use of an agenda
- The use of support materials assists group learning (handout reference materials) and also assists group progress (summary notes of meeting proceedings, decisions reached, etc.).
- Is the meeting handled in a formal or an informal manner? Is the dress code formal or casual?
- The meeting or project coordinator/manager, in partnership with the facilitator(s), hold responsibility for this element.

## POTENTIAL GROUND RULES

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- Stay on track; help us all to stay on track.
- No long-winded speeches.
- Keep the overall goal in mind at all times.
- Each of us is 100% responsible for the success of this event.
- Listen – listen – listen actively to others. Then speak.
- Speak only for yourself.
- Clear decision-making ground rules.
- Don't “duck” issues/conflict.
- Don't be “polite” to the extreme.
- Help to list all action items.
- Take breaks together.
- Give everyone a chance to participate.
- Be as open and honest as you can.
- Be sensitive to others' needs.
- “Skeptics are my best friends.”
- If things are going smoothly, we're doing something *wrong*.
- Hang in when we find the “nuggets.”

## MEETINGS MANAGEMENT

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**Potential Ground Rules:** Success of the meeting is each person's responsibility. Each person is responsible for maintenance/"staying on track."

1. Develop an agenda with meeting purpose(s) and time frame.
2. Develop a set of norms or guidelines for behavior.
3. Check status of ongoing "To Do List."
4. Prioritize multiple issues quickly. Does it have joint impact?
5. Develop "To Do List" for issues not needing to be before the entire group.
6. Stay on track. Help us all to stay on track.
7. No long-winded speeches.
8. Keep the overall goal in mind at all times.
9. Each of us is 100% responsible for the success of this event.
10. Listen, listen, listen actively to others, then speak.
11. Speak only for yourself.
12. Clear decision-making ground rules.
13. Don't "duck" issues/conflict.
14. Don't be "polite" to the extreme.
15. Take breaks together.
16. Give everyone a chance to participate.
17. Be as open and honest as you can.
18. Be sensitive to others' needs.
19. Process the meeting:
  - continue
  - more of
  - less of
20. Celebrate successes.

## HEALTHY GROUND RULES

### MEETING GUIDELINES FOR TEAM LEARNING AND EFFECTIVENESS

I. Participation	II. Dialogue	III. Consensus
<p>1. <b>Everyone participates</b> with an organization-wide view (broad, not parochial/functional)</p> <p>2. <b>Protect</b> everyone's <b>right</b> to be <b>heard</b> (minority view; show respect)</p> <p>3. Be <b>hard</b> on the <b>issues</b> and <b>soft</b> on the <b>people</b> (okay to disagree; don't be disagreeable)</p> <p>4. <b>Maintain the schedule</b>—start/end on time or renegotiate (return from breaks on time)</p> <p>5. <b>Limit interruptions</b>—phones, personal matters operational issues (low side conversations)</p> <p>6. <b>Listen to the skeptics</b>— "Skeptics are my best friends" (they make you think; show why ideas might fail)</p> <p>7. Being an <b>honest devil's advocate</b> is fine— (ask why, logic, rationale to test your thinking)</p>	<p>8. <b>Actively listen</b>; don't dominate (one person talk at a time; no 4th of July fireworks)</p> <p>9. Be creative and <b>think out of the box</b> (“What if”)</p> <p>10. Share our <b>logic</b>, rationale and <b>why</b> underneath our opinions (logic is key—not view)</p> <p>11. Stay on track — focus—<b>focus</b>—focus (be personally disciplined; no monologues to the deaf)</p> <p>12. Have <b>intellectual honest with yourself</b> in discussions (“leave your shield at the door”; be willing to let go)</p> <p>13. Beware of false <b>“X” vs. “Y” arguments</b>—say “yes, both” (no win-lose games)</p> <p>14. Focus <b>on one topic at a time</b> (no “topic jumping”, use self-discipline, be self-aware; no unbridled behaviors)</p>	<p>15. Use <b>consensus</b> decision making where possible (“Actively Support”; okay to state agreement, even violent agreement)</p> <p>16. Identify and <b>crack the nuggets</b>; hang in there, even when frustrated (difficult, complex issues)</p> <p>17. If everything is <b>going smoothly</b>, we're doing <b>something wrong</b> (differences and conflict are normal, be persistent, hang in)</p> <p>18. Listen, dialogue and <b>learn</b>; <b>discover</b> the answers together (no one has all the answers)</p> <p>19. Spend <b>more time on substance</b> (less wordsmithing)</p> <p>20. Search for <b>common sense and future direction</b>: Strategic Thinking (be willing to change your view vs. “being right” and position-taking)</p> <p>21. Focus on/assist with <b>closure, agreements</b> (facilitators cannot do it alone)</p>

#### IV. And Finally, “Stop Checks”

22. Improve our **teamwork and group effectiveness** (stop and check our progress against these; use straightforward and honest feedback; be direct in talking with each other, toughen up)
23. **Ask the #1 Systems Thinking Question**: What is our purpose/desired outcome/goal? (ask it over and over again)

## MEETINGS MANAGEMENT

### ROLES AND RESPONSIBILITIES

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*“Everyone is equally responsible for meeting success.”*

#### I. Four Key Roles

##### A. Leader

- Sets initial agenda
- “Contracts” with team on final agenda, priority order
- “Contracts” with team on meeting norms, roles each person plays
- Keeps meeting on track
- Guides rather than dominates
- Summarizes the meeting action items (To Do List)
- Conducts the “processing” at the end of the meeting (continue more of, less of)

##### B. Gatekeeper

- Acts as buck-up to leader to make sure everyone is involved and participating
- Primary role is to keep the meeting on track

##### C. Timekeeper (often combined with Gatekeeper)

- “Contracts” with team on time allotted for each agenda item
- Reminds team of time remaining on each agenda item

##### D. Action Recorder

- Records ideas, decisions, and actions for “To Do List” on flipchart
- Assists the leader in summarizing the meeting “To Do List” and processing at the end of the meeting

#### II. Other Roles

##### A. Meeting Members

- Content expert but aware/helpful on meeting flow and “process”
- Shares ideas
- Asks questions as well as gives opinions and rationale for opinions
- Stays on track; doesn't dominate
- Supports the norms; assists recorder, timekeeper and gatekeeper

##### B. Facilitator (optional)

- Is external to the team
- Acts as backup to leader regarding process
- Provides feedback to team on process
- Assists team with improving their meetings management process

*Adapted from Ann Marie Spraul*

## MEETINGS MANAGEMENT SURVEY

*Instructions:* Indicate on the scales that follow your rating of outcomes for your group by circling the number on each scale that you feel is most descriptive of your group.

- |  | Not at All | 1 | 2 | 3 | 4 | 5 | Completely |
|--|------------|---|---|---|---|---|------------|
| 1. To what extent is the purpose and agenda for your meetings circulated in advance or posted at the start?  |            |   |   |   |   |   |            |
| 2. To what extent do you agree on the purposes and agenda or are able to influence it?   |            |   |   |   |   |   |            |
| 3. To what extent is your agenda prioritized to ensure most important items are covered first?   |            |   |   |   |   |   |            |
| 4. During the meeting, to what extent does your group monitor its "process" or the way you work together, via <i>stop checks</i> , <i>on track</i> or <i>being hooked</i> phrases? |            |   |   |   |   |   |            |
| 5. To what extent are differences among group members surfaced and explored via "pinch theory," etc.?  |            |   |   |   |   |   |            |
| 6. When decisions are made, to what extent are the action steps/To Do List written down <i>and made explicit</i> ?   |            |   |   |   |   |   |            |
| 7. To what extent is your group aware of the rollercoaster of change and sensitive to its four phrases—especially the "shock/denial" and "feelings/depression" phases?             |            |   |   |   |   |   |            |
| 8. To what extent does the group have a set of norms or guidelines for behaviors and follow them?  |            |   |   |   |   |   |            |
| 9. To what extent did each person show that they felt responsible for the success of the meeting?  |            |   |   |   |   |   |            |
| 10. At the end of the meeting, to what extent did the group discuss how effective the meeting was (continue more of, less of) vs. norms?   |            |   |   |   |   |   |            |

**Comments**

*Continued*

## MEETINGS MANAGEMENT SURVEY

							Comments
11.	To what extent are successes celebrated by the group?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
12.	To what extent are roles and responsibilities clear—leader, facilitator, gatekeeper, timekeeper, action recorder?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
13.	To what extent are each individual's "social styles" clear/explicit and members work at being flexible in their styles?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
14.	To what extent does the group use flipcharts/overheads for visual reinforcement?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
15.	To what extent are rewards and recognition given to reinforce the meeting's effectiveness?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
16.	To what extent is the decision-making process clear and agreed to with the appropriate decision-makers in the meeting?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
17.	To what extent is the "To Do List" visually summarized at the end of the meeting <i>and</i> the last meeting's To Do List used as the first agenda item of this meeting?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
18.	All in all, how satisfied are you with this meeting as a good use of your time?						
	<b>Not at All</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Completely</b>
19.	What feelings do you have about this meeting?						
20.	What 1-2 things would move your satisfaction score higher?						

## RATING GROUP EFFECTIVENESS

### A: Goals

Poor	1	2	3	4	5	6	7	8	9	10	Good
Confused: diverse; conflicting; indifferent; little interest.										Clear to all; shared by all; all care about the goals, feel involved.	

### B: Participation

Poor	1	2	3	4	5	6	7	8	9	10	Good
Few dominate; some passive; some not listened to; several talk at once or interrupt.										All get in; all are really listened to.	

### C: Feelings

Poor	1	2	3	4	5	6	7	8	9	10	Good
Unexpected; ignored or criticized.										Freely expressed; empathetic responses.	

### D: Diagnosis of Group Problems

Poor	1	2	3	4	5	6	7	8	9	10	Good
Jump directly to remedial proposals; treat symptoms rather than basic causes.										When problems arise the situation is carefully diagnosed before action is proposed; remedies attack basic causes.	

*continued*



**RATING GROUP EFFECTIVENESS CONT.****E: Leadership**

Poor	1	2	3	4	5	6	7	8	9	10	Good
Group needs for leadership not met; group depends too much on single person or on a few persons.										As needs for leadership arise , various members meet them ("distributed leadership"); anyone feels free to volunteer as he sees group need.	

**F: Decisions**

Poor	1	2	3	4	5	6	7	8	9	10	Good
Needed decisions don't get made; decision made by part of group; others uncommitted.										Consensus sought and tested; deviates appreciated and used to improve decision; decisions when made are fully supported.	

**G: Trust**

Poor	1	2	3	4	5	6	7	8	9	10	Good
Members distrust one another; are polite, careful, closed, guarded; they listen superficially but inwardly reject what others say; are afraid to criticize or to be criticized.										Members trust one another; they reveal to group what they would be reluctant to expose to others; they respect and use the responses they get; they can freely express negative reactions without fearing reprisal.	

**H: Creativity and Growth**

Poor	1	2	3	4	5	6	7	8	9	10	Good
Members and group in a rut; operate routinely; persons stereotyped and rigid in their roles; no progress progress.										Group flexible, seeks new and better ways; individuals changing and growing; creative individually supported.	

## EINSTEIN'S TEAMWORK SECRET

---

—Michael Michalko

The physicist David Bohm, while researching the lives of Albert Einstein, Werner Heisenberg and Niels Bohr, noticed that their great breakthroughs seemed to take place through simple, open and honest communication.

Bohm observed, for instance, that Einstein and his colleagues spent years corresponding and brainstorming with one another. They exchanged ideas that later became the foundations of modern physics. They managed to do this without trying to change each others' minds and without bitter arguments. They established an extraordinary professional fellowship.

In contrast, other scientists of the time wasted their careers bickering over petty nuances of opinion and promoting their own ideas at the expense of others.

Why were Einstein and his associates able to collaborate so effectively?

How did they avoid the mistrust and suspicion that characterizes many attempts at collaboration? Why were they able to share when their contemporaries did not?

They used a set of ancient Greek principles of intragroup communication that dates to the time of Socrates. As Socrates and his cohort brainstormed and debated various issues, hot tempers emerged but discussions rarely got out of hand. Participants were bound by seven principles of discussion that Socrates established to maintain a sense of collegiality.

Source: *Training*, December 1993

## EINSTEIN'S TEAMWORK SECRET

—*Michael Michalko*

Socrates called the seven principles of discussion ***koinonia***, which means “spirit of fellowship.”

They are:

1. Establish dialogue
2. Exchange ideas
3. Don't argue
4. Don't interrupt.
5. Listen carefully
6. Clarify your thinking
7. Be honest

## CAN THIS OFF-SITE BE SAVED?

---

**Skip the PowerPoint. If you want to organize an off-site that is energetic and memorable - an event that actually makes a difference - then follow our seven-point guide.**

**Take-away #1: Agree on a definition of victory that matters.** “You need to spend time on the critical questions: What are we trying to accomplish? How should we go about it? How will we know if we’ve succeeded?”

**Take-away #2: To get the right results, invite the right people.** The attendee list has to include the people on the front lines who actually get the work done.

**Take-away #3: If you want mind-blowing results, expose people to mind-blowing ideas.** Especially ideas from outside your company and industry. The most memorable off-sites force people to think about problems from different perspectives, which means feeding them content that is more stimulating than a 500-slide PowerPoint presentation.

**Take-away #4: What people think is influenced by where they sit.** You can’t drag people into a boring, ho-hum conference center and expect anything but boring, ho-hum results. An off-site’s environment - both the physical and mental surroundings - makes a huge difference. It’s about finding a space that reminds people of the meeting’s strategic goals and themes. An environment is mental as well as physical.

**Take-away #5: To make it work, keep it real.** Translation: Go easy on the team building, and focus on the business.

**Take-away #6: You don’t always have to beat the clock.** Most off-sites exude a quasi-military obsession with sticking to the schedule. But a slavish adherence to the clock doesn’t allow people to react to what’s unfolding in the room or to embrace unexpected brilliance. And that can be a huge mistake, says Hammond of Play. “You have to let the ideas lead the schedule, not the other way around,” he says. “If you let time dictate the process, people get worried about whether they are moving fast enough, rather than coming up with new ideas.”

**Take-away #7: What gets measured gets attention.** Even the most exciting and energetic off-site will be remembered as a failure if it doesn’t produce tangible business results. The best off-sites build quantifiable goals into the event and the follow-up to make sure that everyone’s time was well spent.

### The Three Deadly Sins of Off-Sites:

Sin #1: Booking first, thinking later. This may be the cardinal sin; settling on a venue before the event is designed.

Sin #2: Placing too much trust in trust-building exercises. “You can see it in people’s faces the minute they get the schedule: ‘Oh God, not the ropes thing again.’”

Sin #3: Investing too much in PowerPoint. “If I could, I would enforce a worldwide ban on that software,” Thompson says. “Every time we work with executives, we try to get them to do without slides. It’s like getting a toddler to give up his blanket.”

Adapted from: Can this Off-Site be Saved? by Cheryl Dahle, Fast Company, October 2001

POW-06.pmd

## MEETING PROCESSING GUIDE

---

Use this guide at the end of a section of a meeting or at the end of a meeting. (Note: Process Observer helps facilitator with this task.)

In order to make the next meeting's process (not content) work even more (or as) effectively, I recommend we:

1. Continue to do (the following):

2. Do more of (or begin doing):

3. Do less of (or stop doing):

## GROUP OBSERVER FORM

---

In order to be more effective in the future, I believe that the Facilitator should:

1. Continue to do:

2. Do more of:

3. Do less of:

## ACTIONS

---

As a result of this workshop, I'm going to take the following actions:

What to Do?	By When?

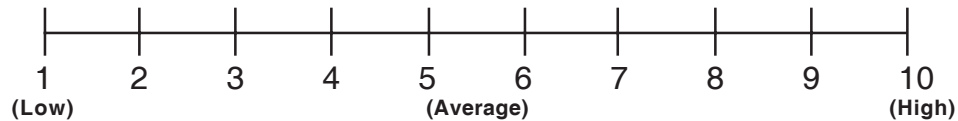
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Workshop Name/Date

## PARTICIPANT EVALUATION

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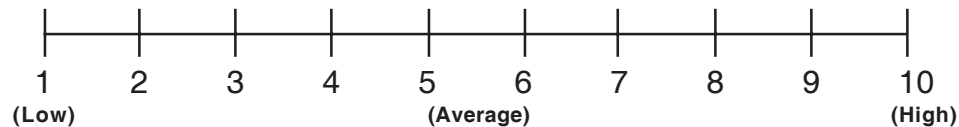
1. How effective was this workshop in meeting its objectives?



Why? Comments:

Facilitator Name (If more than one, turn over evaluation): \_\_\_\_\_

2. How effective was the facilitator?



Why? Comments:

3. What did you like in the workshop that should be continued?

4. What would you change about the workshop (if anything)?

5. Any other comments?

6. Can we use your quotes in our future marketing? Yes ☐ No ☐

---

Print Name (optional)

Company

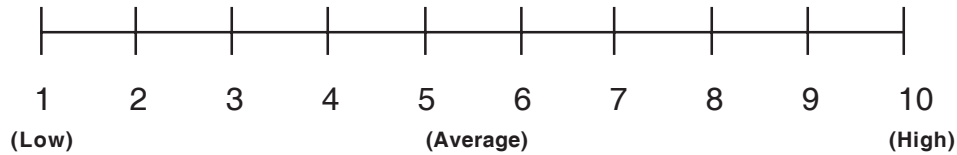
Date



\_\_\_\_\_/\_\_\_\_\_  
Workshop Name/Date

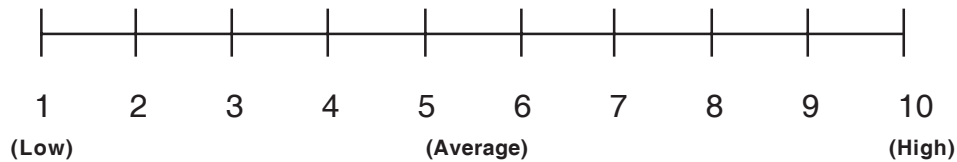
## **PARTICIPANT EVALUATION CONT.**

2A. Facilitator: \_\_\_\_\_



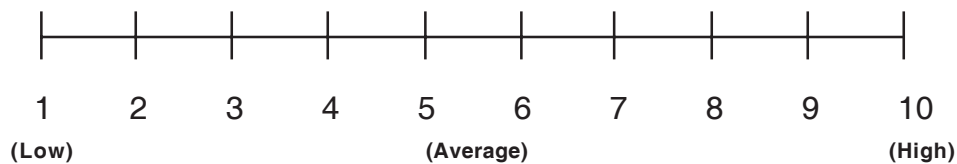
Why? Comments:

2B. Facilitator: \_\_\_\_\_



Why? Comments:

2C. Facilitator: \_\_\_\_\_



Why? Comments:

## INSIGHTS AND KEY LEARNINGS

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### TOOLS – TIPS – TECHNIQUES



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# NOTES

## **SECTION 7: FACILITATION TIPS, TECHNIQUES & TRUST**

### **GOALS OF GROUP FACILITATION**

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#### **(OF ANY GROUP/TEAM MEETING)**

1. Accomplish the task/objective.
2. Full and valid information.
3. Informed choices and alternatives/pros and cons.
4. Increased ownership/internal commitment.
5. Develop/improve group process skills for the future. (Learning how to learn.)

## FACILITATION SKILLS

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1. Be clear on the goals of the session and the ways to measure success
2. Empathy (put yourself in their shoes)
3. Unconditional acceptance of who they are
4. Actively listen
5. Be available—I'm here for you!
6. Show your humanness
7. Be clear about who you are—your strengths, flat sides
8. Be clear on your objectives for *this* meeting
9. Be specific—precise observations of behavior
10. Flexibly respond to participants
11. Be clear on participant needs
12. Be selective and descriptive in the feedback
13. Be yourself—be genuine
14. Encourage self-exploration and sharing of feelings
15. Be aware of their style—choose language accordingly
16. Understanding the context/environment and the session's goals

## **FACILITATOR IMAGE AND STYLE**

---

### **Age**

1. **A**ccepting and trust of others
2. **G**enuineness by me/others as the norm
3. **E**mpathy for each person

*Source:* Adapted from Carl Roger's work

### **THREE CONDITIONS FOR EFFECTIVE CHANGE VI – IC – IC**

—Chris Argyris

1. **V**alid Information (VI)
2. **I**nformed Choice (IC)
3. **I**nternal Commitment (IC)

## KEY FACILITATOR MASTERY SKILLS

---

### Facilitator Image/Style

1. Acceptance and trust of others.
2. Genuineness by me/others as the norm.
3. Empathy for each person.

—Adapted from Carl Rogers

A.G.E., February 1980, updated 1994, 2003

### Three Conditions for Effective Change

1. Valid Information (VI)
2. Informed Choice (IC)
3. Internal Commitment (IC)

—Adapted from Chris Argyris

### Facilitation Dynamics (“Dropping My Agenda”)

**Facilitator Steps: #1, #2, #3, #4**

Be Conscious: #1 Listen, #2 Ask, #3 Think, #4 Respond

Vs.

**Steps #1 and #2**

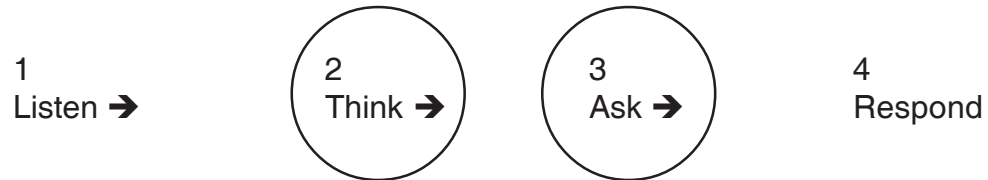
Don't use Automatic Responses: #1 Act, #2 React

—Steve Haines, 2003

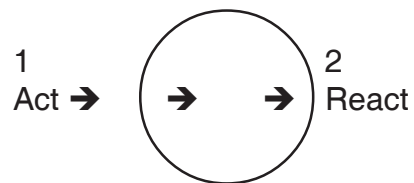
## DROPPING MY AGENDA

### FACILITATION AND GROUP DYNAMICS

#### Steps



**Vs.**



### THE KEY TO PROBLEM SOLVING AND CONFLICT RESOLUTION

DROPPING YOUR AGENDA

VS.

WAITING TO TALK.



## **FACILITATOR NEEDS THAT GET IN THE WAY**

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### **(OF EFFECTIVE COMMUNICATION)**

If driven by needs for:

1. control
2. acceptance
3. being important
4. judgements, punishment
5. being right most of the time
6. recognition
7. visibility
8. being safe
9. protecting myself
10. my ego
11. achieving success by myself
12. saying the right words vs. incongruence of what I do

## WHO IS IN CONTROL?

---

### The Person Talking or the Person Listening/Asking?

**Answer:**

**Rule:** The person asking the questions is the person in control.

**Why:**

1. Because we almost all respond to other's questions.
2. The questions can change and focus the topic.
3. People like to be "The Shell Answer Man" and answer your questions.
4. People often do not respond to other's statements, just to their own.

# THE TEN COMMANDMENTS OF POWERFUL LISTENING

—Adapted from Dr. Tony Alessandra  
([www.alessandra.com](http://www.alessandra.com))

**Note:** The more senior position you occupy, the less you tend to listen—*agree or disagree?*

1. **Fight Off Distractions**—Train yourself to listen carefully to others's words despite external distractions.
2. **Do Not Trust Your Memory**—Take notes. However, keep your notes brief, as listening ability is impaired while you are writing.
3. **Let Others Tell Their Own Stories First**—Then, you can tailor your discussion to their particular needs, goals and objectives.
4. **Use Feedback**—Constantly try to check your understanding of what you hear.
5. **Listen Selectively**—You must listen in such a way that you can separate the wheat from the chaff.
6. **Relax**—When others are speaking to you, try to put him/her at ease by creating a relaxed and accepting environment.
7. **Listen Attentively**—Face them straight on with uncrossed arms and legs, and lean slightly forward. Establish good eye contact. Use affirmative head nods and appropriate facial expressions when called for, but do not overdo it.
8. **Create a Positive Listening Environment**—Take great efforts to make sure that the environment is conducive to effective listening.
9. **Ask Questions**—Ask open-ended questions to allow them to express their feelings and thoughts.
10. **Be motivated to listen**—Without the proper attitude, all the foregoing suggestions for effective listening are for naught. Try to keep in mind that there is no such things as a disinteresting speaker; there are only disinterested listeners.

If you are really willing to learn how to listen, it will take a lot of hard work to learn the skills, and constant practice to keep them in shape.

## FACILITATING GROUPS EFFECTIVELY

### Step #1

Look for — Patterns

- a. “Off task”
- b. Dysfunctional

—or—

Look for — Resistance



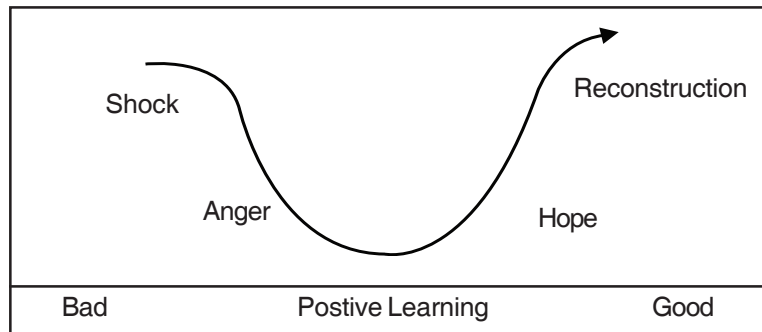
Honor/Hang In



“Breakthrough”

### Step #2

If I intervene, I kick off the Rollercoaster of Change:



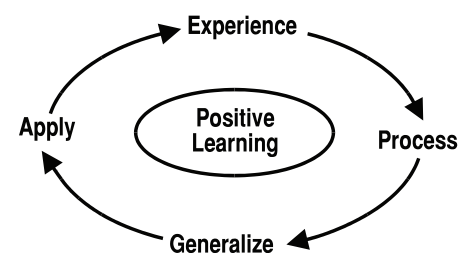
### Big Question:

*When to stop the group to deal with a key issue?*

### Step #3

If I deal with the here and now by stopping the group to process:

- a. I must go through the ALC  
(Adult Learning Cycle):



- b. 3 Key Questions: What – So What – Now What
- c. I must help them learn process techniques to use on their own  
(i.e., “Takeaways”)

## FACILITATING UNCERTAINTY

---

*When all else fails  
and you/group are confused*

*(i.e., Strategic Issues – Environmental Changes – Big Problems)*

1. Set stage with key issues up front:
  - wants
  - rollercoaster of change
  - norms/values
  - vision/content
2. Go with the energy/flow and use it to your advantage to “cut to the chase.”
3. Work the agenda, purposes, next agenda item:
  - with the group
  - on breaks with client/other facilitators
4. Use individual/subgroup work to get all the issues and information out on the table—deal with reality.
5. **Write comments/key points on a flipchart if you're unclear—the group's consciousness will emerge.**
6. Follow your logic, not the agenda.
  - Serve them, not yourself.
  - Be intellectually honest.
  - Always begin with the end/outcome in mind at all times
7. Think “downboard” beyond the topic on the table right now.
8. Keep it lighthearted and humoristic—the topic is serious enough.
9. End with clear actions/To Do List.
10. Tolerate your own uncertainty. Have faith that good people will reach the right answers—given all information and data on the topic.
11. If the topic is unclear/unfocused, direct the conversation through the right questions to deal publicly with the issue; force conflict to intensify in order to get a better and faster answer (vs. wondering in the conversation and avoiding personal contact.)

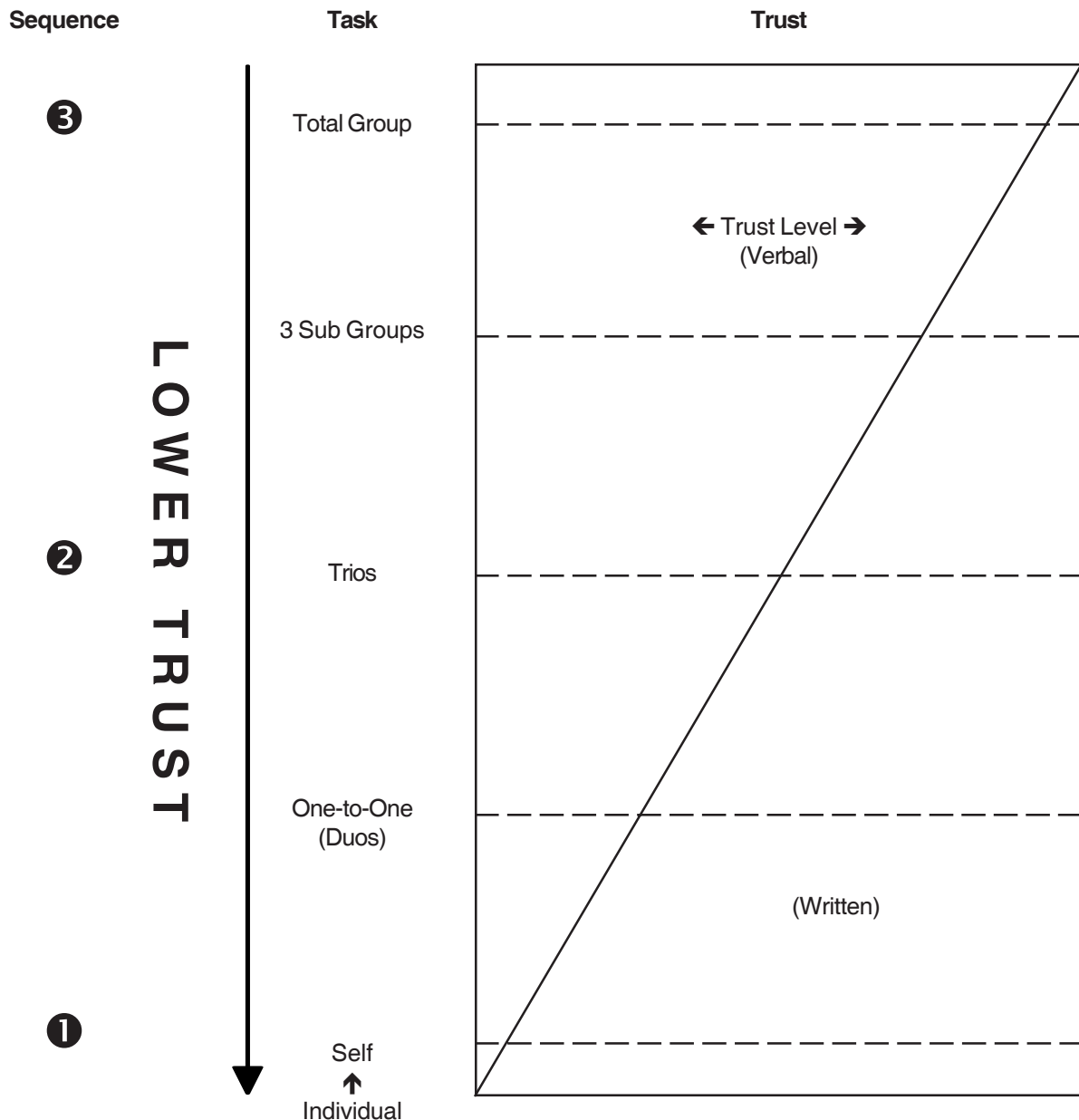
## SECRETS TO FACILITATING GROUPS (TOWARDS SYSTEMS SOLUTIONS)

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1. **Discovery**  
Allow people to *discover*:
  - the answers/truth
  - things for themselves
  - use our mini-instruments, checklists, thought starters
2. **Executive Development = Bite-size**  
Executives don't like training and development. They prefer:
  - executive briefings (short)
  - bite-sized chunks, five minute lecturettes—"Learnings in the moment"
  - models/visuals—faster learnings
3. **Preserve Dignity**  
Make sure executives are *not* surprised or look *stupid*.
4. **Self-Change First**  
Change occurs inside → out, self → organizational  
(i.e., tree rings: individual → team → organizational)
5. **Dialogue – Expand Amount of Information**  
Increase Executive's amount of information to:
  - make better decisions
  - keep the focus on their Vision/Values
6. **Be Intentional About Process**  
Be intentional, conscious, willful (in all you do) especially on structure/process of change and group dynamics.
7. **Intellectual Honesty – Reach Closure**  
Key skill is helping executives get/reach closure.
  - be naive, no ego to protect or solutions to protect
  - honest search for the common sense answer
  - pursue logic wherever it takes you (without fear of answer)
8. **"Yes, Both" is the Answer**  
The one best answer search using "either/or" questions is an analytic approach to systems problems. The answer to this either/or question is yes, both.
9. **Don't Ignore Resistance**  
If resistance is in the room, deal with it as *the* here and now topic. *Don't ignore!* Go with the flow/resistance—see where it takes you.

## TRUST LEVELS AND GROUP FACILITATION

If you are “carrying” the group discussion, it is wrong. If your gut tells you this, switch to an activity immediately where you can follow sequence 1 → 3 or 1 → 2 → 3 if you have the time.



## TRUST BUILDING BEHAVIORS

---

1. Communicates with me openly and honestly without distorting any information.
2. Shows confidence in my abilities by treating me as a skilled, competent associate.
3. Listens to and values what I say, even when he/she/they do not agree.
4. Keeps promises and commitments.
5. Cooperates with me and looks for ways that we can help each other.

—Development Dimensions International Survey  
*Training & Development*, December 1995



## LEVELS OF GROUP TRUST, OPENNESS AND INTIMACY

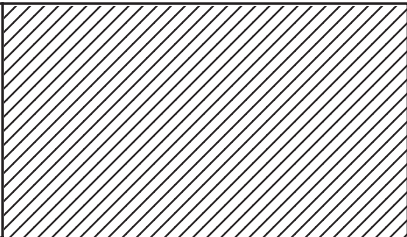
### OBSERVER FORM

*Instructions:* List names of members in the room; then observe what they talk about; feedback this data to the group.

Names of Participants										
Levels of Trust <b>Low</b>										
1. Silence, pairing, noise, no focus.										
2. Discussion unre- lated to the group, small talk.										
3. Discussion related to theoretical group phenomenon in general.										
4. Discussion of events in members' lives.										
5. Discussions about experiences of 2 or more outside the group.										
6. Discussion of this group but not about the "present."										
7. Feelings stated about items in #4 above (life events).										
8. Indirect expression of feelings towards the present group.										
9. Discussion about present group functioning.										
10. Direct expression of feelings towards present group. <b>High</b>										

## TEAM PLAYER AND RISK

### MANNER

	Productive	Unproductive
Speak Up	If I Disagree	
Not Speak Up	If I Agree	If I Disagree

- What's the reward for speaking up?
- What's the punishment for speaking up?
- What the reward for not speaking up?

### FORGIVING OURSELVES AND OTHERS

Our whole educational system is build on “right answers,” which produces a great fear of making mistakes and stifles creativity.

—Arthur Combs, Ph.D., Distinguished Professor  
Northern Colorado University

# NOTES

## SECTION 8: FEEDBACK & COMMUNICATION

### GETTING FEEDBACK

---

- Clarify your intent/purpose (ready to change).
- Prepare yourself emotionally.
  - Aware of feelings
  - Able to reveal ownership of these feelings
- Approach **appropriate** source (someone you respect).
- Ask for it
  - Clear
  - Specific
  - Persistent (Probe)
- Accept it.
- Ask for clarification/verification by others.
- Respond to what you've heard.
- Reject it if you want to.
- Nonverbal should be congruent with **intent**.

***Feedback – The Breakfast of Champions!***

## GIVING FEEDBACK

---

- Clarify your intent/purpose.
- Include positive elements.
- Be descriptive rather than interpretative.
- Focus on behavior.
- Avoid evaluative judgments.
- Be specific:
  - clear
  - intentional
- Consider timing, optimally as soon after the event as possible.
- Aim feedback at behavior that is relatively easy to change.
- Be aware of:
  - facial expression
  - word choice

## GIVING AND RECEIVING FEEDBACK GUIDELINES

- Ask if it's OK—take into account the needs of the receiver of the feedback.
- See feedback as a gift; “facts are friendly.”
- Keep an open mind.
- Be willing to hear both positive and negative feedback.
- Be approachable—solicit the feedback.
- Listen carefully; don't interrupt (actively listen).
- Stay on track; consider one item at a time.
- Use “I” messages (not “we,” “you,” “people”).
- Be specific and factual; be descriptive.
- Avoid “dumping” your bucket.
- Focus on behaviors people can do something about (not personal attacks).
- Thank the person for taking the risk to give the feedback.
- Listen to the music/feelings, as well as the words.
- Check for understanding and clarity, not for agreement.
- Check with others in the group; is it shared?
- Care about the person I'm giving feedback to.
- Make it well timed; the sooner after the behavior is usually the best.

Adapted from Cathleen Hulse and Stephen G. Haines, 1990

### GIVING FEEDBACK VERSUS CRITICISM

1. Timely—usually immediate,
2. Descriptive rather than evaluative,
3. Specific rather than general,
4. Sensitive to the needs of the recipient,
5. Directed toward controllable behavior,
6. Solicited rather than imposed, and
7. Tested for accuracy with the recipient.

\_\_\_\_\_

**Their Learning Contract:** (Desired area of Feedback) \_\_\_\_\_

---

1. Descriptive
2. I messages, feelings, consequences
3. Meets receiver's needs (not mine)

(i.e., learning, authority, affective, feedback, self-esteem, congruence, conflict, impact)

[illegible]

Signed \_\_\_\_\_ /Print  
Name \_\_\_\_\_

# LADDER OF COMMUNICATION EFFECTIVENESS

(REPETITION – REPETITION – REPETITION)

Communication Methods	
Words =	7%
Tone =	38%
Body Language =	55%
Total =	100%
What you do speaks louder than what you say!	

One-to-One Conversation

Small Group Discussion

Large Group Discussion

Video Conference

Telephone Conversation

Conference Call

"2 way"

Voice Mail

"1 way"

Pager

Handwritten Letter

E-Mail

Fax

Typewritten Letter

Mass-Produced Letter

Newsletter

Brochure

News Item

Advertisement

Handout

## We Remember Approximately:

- 10% of what we *read*
- 20% of what we *hear*
- 30% of what we *see*
- 50% of what we *see and hear*
- 70% of what we *say and do*
- 90% of what we *explain as we do*

## Repetition Increases Understanding

- 1st time = 10% retention
- 2nd time = 25% retention
- 3rd time = 40-50% retention
- 4th time = 75% retention



## COMMUNICATIONS CHECKLIST

---

Yes/No

- \_\_\_\_\_ 1. Do I really listen to what the other person is saying?
- \_\_\_\_\_ 2. Do I wait for the right timing to present my case?
- \_\_\_\_\_ 3. Do I act and look interested in what the other person is saying?
- \_\_\_\_\_ 4. Do I say what I really mean?
- \_\_\_\_\_ 5. Do I watch the other person's actions as well as listen to the tone of his voice?
- \_\_\_\_\_ 6. Do I take the time to listen to the other person, even if he does not agree with me?

## HELPFUL COMMUNICATIONS

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### **Sensing**

"I don't hear any disagreements. Does that mean you agree?"

### **Feeling**

"I'm disappointed that we are going over this again."

### **Intention**

"My question was not meant as a criticism. I really don't understand the ideas."

### **Focusing**

"Can someone explain what bearing this has on our problem?"

"Your point is interesting; can you tie it more directly to our subject?"

### **Challenge**

"What reasons do we have for accepting this approach?"

"Is our personal interest causing us to overlook the impact on other groups?"

### **Specify**

"Can you give us a specific example on that point?"

"Does anyone have an example of this?"

### **Gate Keeping**

"You've raised a number of important points. What are other people's ideas?"

"While we're on this point, let's hear from the others. Jim, what are your thoughts?"

## POSITIVE INTERPERSONAL TECHNIQUES AND GOALS

Approach	Goal
1. Active Listening	Hearing and clearly understanding what is being said, by concentrated involvement in the communication process with the employee.
2. Reflecting	Mirroring the subordinate's message content with an estimate stating what his/her feelings and attitudes are believed to be.
3. Paraphrasing	Demonstrating an understanding of a worker's ideas by restating them in your words.
4. Clarifying	Getting employee elaboration on feelings or attitudes to benefit understanding.
5. Interpreting	Dealing with cause-and-effect relationships, apparent from the supervisor's own knowledge and the worker's comments, to understand the implications.
6. Questioning	Using inquiry to help pull together the interaction.
7. Silence	Intentional pauses that help adjust the pace of interaction.
8. Encouraging	Supportive statements or gestures that let the employee know that the supervisor can accept or empathize with his or her approach.
9. Tentative Analysis	Partial conclusion based on initial public testing of one idea expressed by the worker.
10. Summarizing	Tentative overall conclusion of what has transpired in the interaction, to check levels of agreement and understanding by the participants.

## **THE TOP 10 SECRETS FOR HEALTHY, POSITIVE AND PRODUCTIVE COMMUNICATION**

1. Check your motive.
2. Get to the point.
3. Stick to the point.
4. Remember that your body speaks volumes.
5. Check your tone.
6. Say what you mean and mean what you say.
7. Listen first for understanding.
8. Practice, practice and practice.
9. Get help with tough communications.
10. Simplicity is best. Don't hide behind language.

This piece was originally submitted by Catherine and Steve Martin, Relationship Experts, who can be reached at [positive-way@mail.com](mailto:positive-way@mail.com)

## 18 HELPFUL HINTS FOR IMPROVING COMMUNICATIONS

---

—Larry Grounds, Pastor

*Pacific Beach Presbyterian Church, San Diego, CA*

Keep these hints posted on your desk or bulletin board for easy reviewing when you or another employee needs help managing a conflict.

1. Absolutely no physical, verbal or emotional abuse allowed.
2. Don't avoid talking about problems.
3. Make an appointment to talk.
4. Don't try to scare the other person.
5. Don't bring up the past.
6. Use "I" language, instead of "you" words.
7. Give the other person a chance to respond—and don't interrupt.
8. No "dirty tricks" allowed.
9. Don't walk out.
10. Know when to quit.
11. Some problems don't get completely solved with just one talk-through.
12. Some problems don't get solved.
13. The other person has a right to his/her own thoughts, feelings, opinions and preferences.
14. Be flexible.
15. Be truthful.
16. Don't drag in outsiders.
17. Ask God to help you forgive.
18. End your argument with some small sign of good will.

## **DIALOGUE AND DISCOVERY**

**IF  
YOU CAN'T DISCUSS IT,  
YOU CAN'T IMPROVE IT.**

## **BUILDING MORE EFFECTIVE WORKING RELATIONSHIPS – DIALOGUE**

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### **A PROCESS FOR SHARING FEELINGS**

1. You and your partner select a topic of mutual interest and concern, about which you both have feelings, and which you think it would be of value to explore together.
2. You and your partner each write a letter to the other that says how you feel about the selected topic. (10 minutes).
  - Focus on how you feel about it
  - Be specific, direct. Describe your feelings
  - Do not analyze, defend, argue, explain, apologize for, or justify your feelings
  - Write for about 10 minutes - a page or two
  - Keep writing. Avoid censoring, or getting it perfect, or going back over what you have written to correct or editorialize. Even if you write nonsense, keep writing. If what you write doesn't sound like what you want to say, write another sentence rather than patch up what you have written.
3. Exchange letters.
4. Read your partner's letter carefully (twice). (5 minutes).
  - In the first reading, concentrate on the content, meaning, sense, understanding what your partner is saying
  - In the second reading, focus on the feelings expressed in the letter
5. Share verbally with your partner the feelings you had or have reading your partner's letter, writing your own, or talking with your partner about your letters. (5 minutes).
  - Keep to feelings. Identify as many as you can, as exactly as you can. No need to delve into them. Name them, list them, indicate them.
6. Select the one most intense feeling that either of you seems to have. Do not select one for each of you, but the one most intense from all the feelings you both have identified.

## **BUILDING MORE EFFECTIVE WORKING RELATIONSHIPS – DIALOGUE**

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7. Now have the partner with the most intense feeling try to convey to the other just what it is to feel the way he or she does. (10 minutes).
- If you are trying to convey your feeling, be specific, vivid, descriptive. Use comparisons. Avoid analyzing, defending, arguing, explaining, apologizing for, or justifying your feelings. Check out if your partner is getting what you are feeling. Remember that your partner may experience the identical feeling very differently than you.
  - If you are trying to feel what your partner is feeling, listen carefully, patiently, openly. Try to put aside any preconceptions of what it feels like to feel like your partner. Your partner's feelings are unique to him or her, and may be experienced very differently than you might experience them.
  - Check out if you are accurately perceiving what your partner is feeling. Use comparisons or use your own experience of similar feelings, but do not assume that because you have felt fear, for example, that you have experienced it the way your partner does.
  - Check out what part of your experience is similar to your partner's and what part is different. Avoid asking why your partner feels the way he or she does; avoid talking your partner out of the feeling (you shouldn't feel that way). If your partner's feelings are directed towards you, try to remember that they are his or her feelings, not judgements of your person.



## **FOCUS ON FEELINGS IN BUILDING RELATIONSHIPS**

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### **SOME PRACTICAL HINTS ABOUT EXPRESSING AND SHARING FEELINGS**

Feelings are more directly expressed when they are simply described without judgement. Judgements tend to focus on something other than the feeling, and tend to threaten the listener.

Judgement: "I think you are the most arrogant person I have ever met!"

Description: "When you said that, I got angry"

Apologizing for a feeling tends to dilute its expression:

"This may not be very important, but..."

"I hope you don't feel hurt by this, but..."

"I don't mean to offend anybody, but..."

"I think..." statements do not express feelings. They usually express fact, opinion, position, argument, etc.

"I am..." statements frequently do express feelings.

"I feel..." statements are usually direct expressions of feeling.

"I feel that..." statements are usually disguised statements of something other than feelings, like fact, opinion, position, argument, etc.

Indicating what you feel about (e.g., I feel threatened by what you just said, but glad that John heard it) helps you to be more specific in stating your feelings.

Indicating why you feel the way you do (I feel sad because...) tends to lead into defending, justifying, explaining, analyzing your feeling, and not describing it.

"I feel sad because..." tends to explain.

"I feel sad about..." tends to specify.

Metaphor, simile, and comparison are often helpful in expressing feelings.

"I feel like I have just been hit."

"I feel as if I have been through a wringer."

"I feel like a sunrise on a stormy day - breaking through the clouds - fresh, bright, and colorful."

## FOCUS ON FEELINGS IN BUILDING RELATIONSHIPS

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Specific kinds of images may help in expressing feelings.

Sound: My feeling sounds like...

Smell: My feeling smells like...

Taste: My feeling tastes like...

Touch: My feeling has the texture of...

Sight: The color of my feeling is...

My feeling looks like...

Place: I feel like I am in... (on, over, under, beside, behind, in front of, between, outside of, by, with, etc.)

Movement: I feel like I am going fast... (slow, towards, away from, up, down, into, out of, straight, in circles, back and forth, etc.)

Some expressions indicate a greater or lesser willingness to assume responsibility for your feelings.

Lesser: You make me mad!

Greater: I am really angry about what you just did.

Taking responsibility for your feelings tends to be more direct and open.

Source: Arthur G. Kirn

# NOTES

## SECTION 9: PROBLEM-SOLVING & DECISION-MAKING

### EFFECTIVE DECISION-MAKING

$$E_I = f(Q \times A)$$

**E** – Effective

**I** – Implementation

**f ( )** – is a function of

**Q** – Quality of Decision,  
Accuracy/the “Best”

**A** – Acceptance of  
Decision,  
Ownership,  
Commitment

# A SYSTEMATIC PROBLEM SOLVING PROCESS

*“The Systems Thinking Approach<sup>SM</sup>”*

## IOBST

<b>C</b>	Step 1	<div> <div>Low</div> <div>1</div> <div>3</div> <div>High</div> <div>5</div> </div>	<b>Problem Identification</b> • and Size/Impact/Implication	<b>I</b>
<b>A</b>	Step 2	<div> <div>Low</div> <div>1</div> <div>3</div> <div>High</div> <div>5</div> </div>	<b>Objectives</b>	<b>O</b>
<b>D</b>	Step 3	<div> <div>Low</div> <div>1</div> <div>3</div> <div>High</div> <div>5</div> </div>	<b>Brainstorm</b> Alternative Solutions	<b>B</b>
<b>D</b>	Step 4	<div> <div>Low</div> <div>1</div> <div>3</div> <div>High</div> <div>5</div> </div>	<b>Solution</b> Decided	<b>S</b>
<b>B</b>	<b>E</b> Step 5	<div> <div>Low</div> <div>1</div> <div>3</div> <div>High</div> <div>5</div> </div>	<b>Troubleshoot</b> Solution • Environmental Scan	<b>T</b>
<b>Recycle</b>				
<b>D</b>	Step 6		<b>Rollout/Implementation/Communication</b>	<b>RIC</b>
<b>E</b>	<b>B</b> Step 7		Follow-up/Evaluation	<b>FE</b>

## Questions

- Which steps do we do well? Not so well?
- How much time and energy do we spend in each step?

## **CRITERIA FOR EFFECTIVE GROUP PROBLEM SOLVING PROCESS**

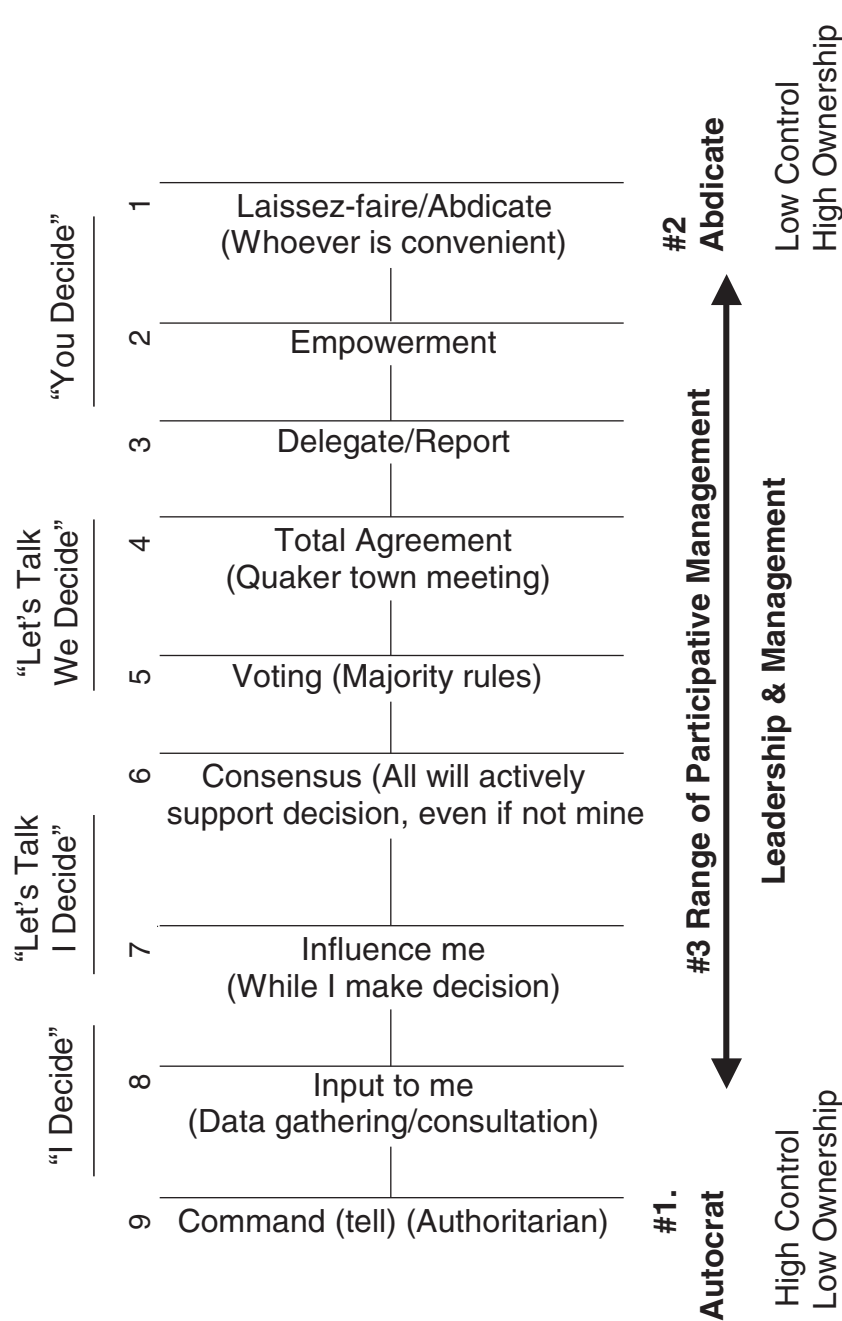
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1. Problem Identification is clearly a separate step.
2. Brainstorming process is used to develop more than one alternative.
3. The format of problem solving allows for follow-up later. (i.e., Problem Identification, actions, steps, by whom?, by when?)
4. People truly listen to each other and two-way communication exists. (In lieu of preparing your own comment or rebuttal while the other person is talking.)
5. People are not cut off but allowed to finish their comments.
6. Data about the problem is not rediscussed and rehashed a second and third time.
7. People add to and build on the previous person's comments.
8. Solutions in the follow-up "to do list" are captured in writing.
9. Action steps are listed in full complete sentences beginning with an action word/verb.
10. There is generally a full discussion of the subject with each person being given an opportunity to add relevant comments prior to a solution being developed.
11. Solutions are generally consensus types as opposed to who has the power as the leader.
12. Each person disciplines him/herself to stay on the subject at hand.
13. Everyone shares the responsibility to see that solutions are reached, that the group stays on track, and follows this criteria not just the leader.
14. Once solutions are arrived at, they are immediately captured in the above format and the group moves on. (i.e., Knowing when you are done with the subject. )
15. Periodically at the end of solving a problem, the group uses this criteria list to critique how well their process of problem solving is being carried out.
16. At the end of the problem solving session time is set aside for three items:
  - a. Summing up all the action steps decided upon.
  - b. An overall critique using this criteria.
  - c. A decision on when to meet next to follow-up on these *Action Steps*.
17. People feel free to say what is on their mind instead of being defensive. The trust level is fairly high.
18. Opinions and comments are based on finding out the facts and best solutions instead of parochial views.
19. The *leader* states up front any givens he/she may have around the problem.
20. People look first at what is good about someone's ideas, not what is bad.
21. The *leader* either:
  - a. holds his opinions (not givens) until others have talked first so as not to bias the group.
  - or—
  - b. while giving his opinions first, clearly invites inquiry into the subject matter and his opinions.

# DECISION-MAKING STYLES

**“People Support What They Help Create.”**

- Premise #2



## Consensus Decision Making:

1. Is a dynamic and evolving process.
2. Means that although it may not be the decision I would make, I'm willing to go beyond living with it to "actively support" it.
3. Includes an agreement with the decision by the manager/leaders who will lead implementation of the decision.

**So it follows - involve people in decisions that affect them...prior to the decision being made.i**

Source: Steve Haines

## GROUP “CONSENSUS” DECISION MAKING

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1. Is a dynamic and evolving process with everyone participating until consensus is reached.
2. Means that although it may **not** be the exact decision I would personally make...
3. I'm willing to live with the final decision...and actively support it (not undercut it).
4. Explicitly must include agreement with the decision by the manager who will lead implementation of the decision.

### PASSIVE RESISTANCE

Occurs when someone “appears” to go along with consensus but is relatively passive about the decision...and then proceeds to “resist” the decision and undercut it in various ways.

**The “passive resister” has no personal integrity** and is a cancer in any organization.

**CONSENSUS = “Actively Support”**

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***“Can you actively support the decision/direction?”  
(not just “live with it”)***



# How To BRAINSTORM

by Linda Wiens

**S**ome people are naturally good at coming up with many interesting and fresh ideas. Others find it hard to do; they may prefer to build on what already exists; or they tend to reject the far-out possibilities; or they move to selection very quickly; or they are shy to try. If you are not among the former, this may be helpful. You can deliberately extend your natural strengths, by practising brainstorming occasionally.

1. Clarify **why** you want and need to brainstorm: The present solutions and alternatives are too limited; inadequate. You feel a lack of creativity in present approaches. Some people are not contributing. Someone feels stifled; etc.

Ask: What do you hope to achieve? To what will the brainstorming contribute?

2. Get yourself a flipchart **and a fast writer**—someone who is willing to listen hard and write speedily.
3. If (2) means you will miss one member's input, switch writers once or twice during the process.
4. Have each person use paper and pencil personally, as well.
5. Decide to suspend all judgement, and stick to that. No pooh-poohing; no indication by word or gesture that some ideas are stupid.
6. Allow at least 10 minutes—that is usually more than people need. More than enough time encourages searching. Less tends to move people to evaluation too soon.

7. Accept and write down all ideas as fast as they come. If the writer is too slow for some people, they should write their idea down and continue. Ideas written down privately are saved and can go on the newsprint later.

## Don't stop for clarification now.

8. Once ideas are or seem exhausted, ask yourself whether you have **enough** to work with. **If not**, brainstorm who might be an additional resource for good ideas. Get their input. If you have enough, proceed.
9. Review the ideas. **Clarify** any that are not understood by some people. Set a time deadline for explanation and clarification. Add the information on the newsprint so it is preserved.

Prevent yourselves from discussing the merits of any ideas at this point. It will tend to bog you down!

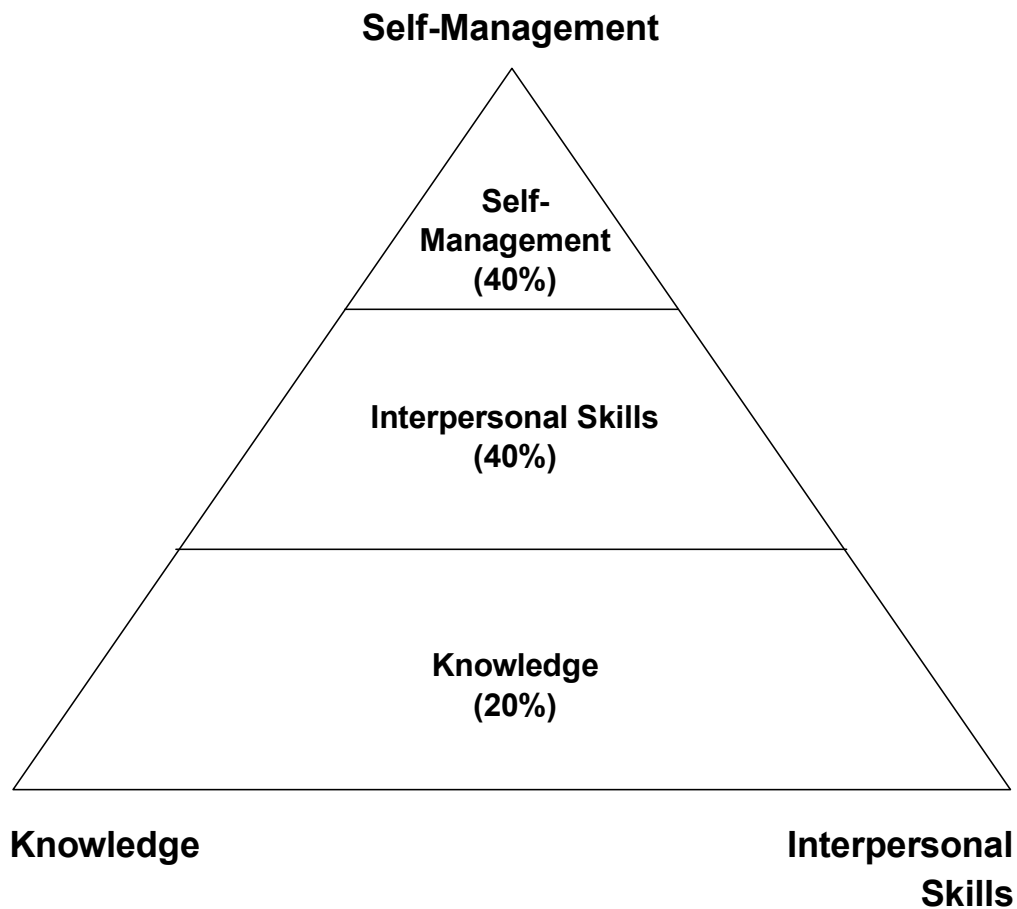
## This is the end of brainstorming.

10. Once the ideas are all there and reasonably well understood, winnow them. The best way is probably NOT to cross out the "poor" ideas. That tends to bring about defensiveness. Instead, how about having people **volunteer** to take those ideas they think best, most appropriate, etc., develop them further, and put them into action.

The method for doing more with the ideas generated, depends on the purpose of the activity and the urgency and kinds of results needed.

## CONSENSUS NEEDS

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## CONSENSUS DECISION MAKING: A STEP-BY-STEP PROCEDURE\*

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1. **Specify the issue.** Put the issue in writing so that everyone may understand that this is the issue to be decided upon at this time.
2. **Phrase the issue as specifically as possible so that it calls for as specific an answer as possible.**
3. **Proceed to have a consensual decision-making meeting.** Note these characteristics:
  - a. Everyone is encouraged to participate fully.
  - b. The discussion continues until everyone agrees to support the final decision.
  - c. When the decision is ready to be made, it is put in writing so that everyone may agree exactly on what it means.
  - d. Everyone indicates whether or not he or she agrees with the decision. Agreement is assumed if the person says “yes.” If anyone says anything other than “yes,” it is assumed that the person means “no.” If this is the case, the discussion is continued.
4. **When the discussion is completed and the decision is reached, each person reflects on the following questions:**
  - Am I personally satisfied with the decision?
  - Do I feel that my thoughts and my feelings about the issue have been understood and acknowledged?
  - Do I feel that I will support the decision without conflict?
  - How do I feel about the other people? Has there been any change in that feeling?
  - Is there a way the discussion could have been shortened? Made more efficient? How would I improve it?
5. **The above questions are discussed.** The group needs to be willing to reopen the discussion if this seems appropriate. This discussion is especially valuable when the group is just beginning to use this process. Later, it is less essential.

\*This procedure is based on the work of Will Schutz.

## **ADVANTAGES AND DISADVANTAGES OF CONSENSUS PROCESSES**

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Besides being philosophically different, decision-making by consensus has several advantages over other modes of decision-making.

- Involving the stakeholders in finding a solution leads to greater commitment to whatever decision is reached—be that the solution itself or agreement to have a solution determined by an expert or higher authority. Not involving the stockholders in the decision-making process often leads to indifference or even resistance to the solution, even if it is a “good” one.
- The stakeholders can bring knowledge and expertise to the decision-making process. Greater creativity, increased resources, and a broader range of potential solutions are made available in a consensus approach relative to other modes.
- There is greater potential to focus on the real needs and interests that are at stake, rather than on diverging opinions and positions.
- The need for “winners” and “losers” and the hardening of positions, embitterment, and desire for retaliation that frequently accompany resolution by a majority or by a higher authority are avoided.
- A decision based on consensus has greater credibility with the parties involved. Future modifications of the decision may be more achievable because the parties are aware of the initial assumptions and the basis for change.
- Conflict resolution by consensus has a better chance of leading to closure of an issue. The parties are committed to the decision such that they are less likely to appeal or protest it.
- The parties can achieve a greater understanding of resource management choices and their implications, and some empathy for the dilemmas that resource managers face on a day-to-day basis. Furthermore, the process of seeking consensus builds working relationships among interests that may otherwise never have the opportunity to work together or learn the others' points of view.

A perceived disadvantage of consensus approaches is that they can initially be time-consuming, costly and frustrating to government, industry or any interest that simply wants to “get on with the job.” Making a decision unilaterally, with a measured amount of consultation, can be quick and efficient. For many types of routine decisions, this approach may be acceptable.

But in B.C., conflicts are heating up as more and more people want to use limited resources for a greater number of purposes. Conflict situations are taking traditional decision-making processes.

## TECHNIQUES FOR BUILDING CONSENSUS

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There are a number of techniques that can be employed to assist in resolving conflicts. The following definitions are an attempt to provide a common point of reference for discussion of these techniques as they might be applied in the domain of public decision-making.

### **Bargaining**

Bargaining refers to a process whereby two or more parties reach an accommodation acceptable to those parties. The “bargain” usually involves one or more of the parties undertaking to do or not do certain things.

### **Negotiation**

Negotiation is explicit bargaining. Negotiation occurs when two or more parties enter into a direct exchange in an attempt to find some resolution to their differences. Negotiation is a form of shared decision-making; on a certain set of issues for a defined period of time, those involved agree to seek an outcome acceptable to all involved.

Under our present system of government, virtually every decision is the result of some form of bargaining at some level. However, the bargaining is rarely explicit. For example, a decision-making body may choose to modify its preferred alternative in order to achieve the support, or defuse the opposition, of some other party. While there may be no direct exchange of offers and counter-offers, a public agency might modify a planned action in response to opposition voiced in a public hearing. The anticipated result (other half of the bargain) would be the dropping of the opposition.

The “deals” in such bargaining are usually achieved as the result of discussions between affected parties and administrative agencies and, where major differences remain, within political bodies such as Cabinet. The opposition to the use of negotiation as a way of assisting decisions through consensus may be the result of one or more factors: a failure to consider the degree to which bargaining is already occurring; a perception that not all interests are being represented in the negotiations; or opposition to the inclusion of other interests (such as environmental groups or local governments) as new parties to negotiations.

### **Consultation**

Consultation is the basis of a variety of procedures referred to by such terms as “public participation” and “public involvement.” Methods range from public hearings and requests for written submissions to more interactive techniques such as workshops and advisory committees conducted by public agencies, developers, or their consultants. The main feature, however, is that the locus of the decision remains with an established decision-maker and the degree to which the decision is influenced is at the discretion of the decision-maker.

*continued*

## TECHNIQUES FOR BUILDING CONSENSUS

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### Facilitation

There are a number of methods used to assist consensus-building or conflict resolution that involve a third party. Underlying these methods is the assumption that the involvement and in some cases, judgement of an independent and mutually respected person will assist the parties in discussing options and finding accommodations.

Facilitation is the least intrusive of these methods. Facilitation refers to the task of managing discussions in a joint session. A facilitator may be used in any number of situations, ranging from scientific seminars to management meetings to public forums, where parties of diverse interests or experience are in discussion.

### Fact-finding

Fact-finding is the determination of facts behind a dispute and the basis for its resolution. The fact-finder will gather arguments from the disputing interests and usually present them in a report, along with whatever recommendations he or she may have regarding a settlement. The fact-finder's role is purely advisory.

### Mediation

This technique has probably been used most in environment/economy disputes. Mediation is negotiation with the assistance of an independent party. Critical to mediation is the relationship between the mediator and the parties at interest. That relationship has four critical dimensions:

- independence from the parties and the immediate issues in dispute;
- mutual acceptability to the parties;
- a focus on the process, not the substance of the negotiations; and
- assisting in finding a settlement mutually acceptable to the parties. The content of the settlement, however, is the responsibility of the parties.

In conflicts over land use, the mediator is likely to perform four major roles:

- a convener in assisting the parties to define the terms and conditions under which the negotiations will proceed;
- a broker representing the interests, concerns and ideas of one party to another outside of joint sessions and in caucuses;
- a facilitator in joint sessions; and
- an instructor or coach in how to negotiate effectively.

## TECHNIQUES FOR BUILDING CONSENSUS

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## TWO WAYS OF DISCUSSING A PROBLEM

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### I. WIN – LOSE

### II. WIN – WIN

1. Talk at each other	1. Talk with each other
2. Focus on the past	2. Focus on the future
3. Focus on who is right	3. Focus on what is to be done
4. Blaming	4. Jointly attack the problem
5. Point scoring	5. Clarifying interests and inventing options

**“Win–Win” defined:** “I win and . . . I help others win too!”



## FUNDAMENTALS OF CONSENSUS:

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1. Acknowledge the concerns of all sides.
2. Encourage joint fact-finding that is open.
3. Admit mistakes, accept responsibility.
4. Share power, live with the result. Can you “actively” support it?
5. Build trust: maintain the integrity of the process (an absolute)

Source: Adapted from *Strategic Solutions*, Edmonton, Canada

POW-09.pmd

## POST DECISION-MAKING BEHAVIOR

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### **Military**

- Once a decision is made in the military, you have two choices:
  1. Follow it.
  2. Commit insubordination and not follow it (and face disciplinary proceedings—“Captain's Mast,” etc.
- Acts considered “treason” result in discharge/imprisonment.

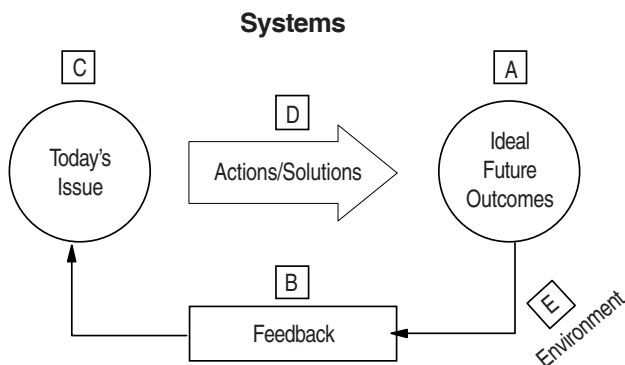
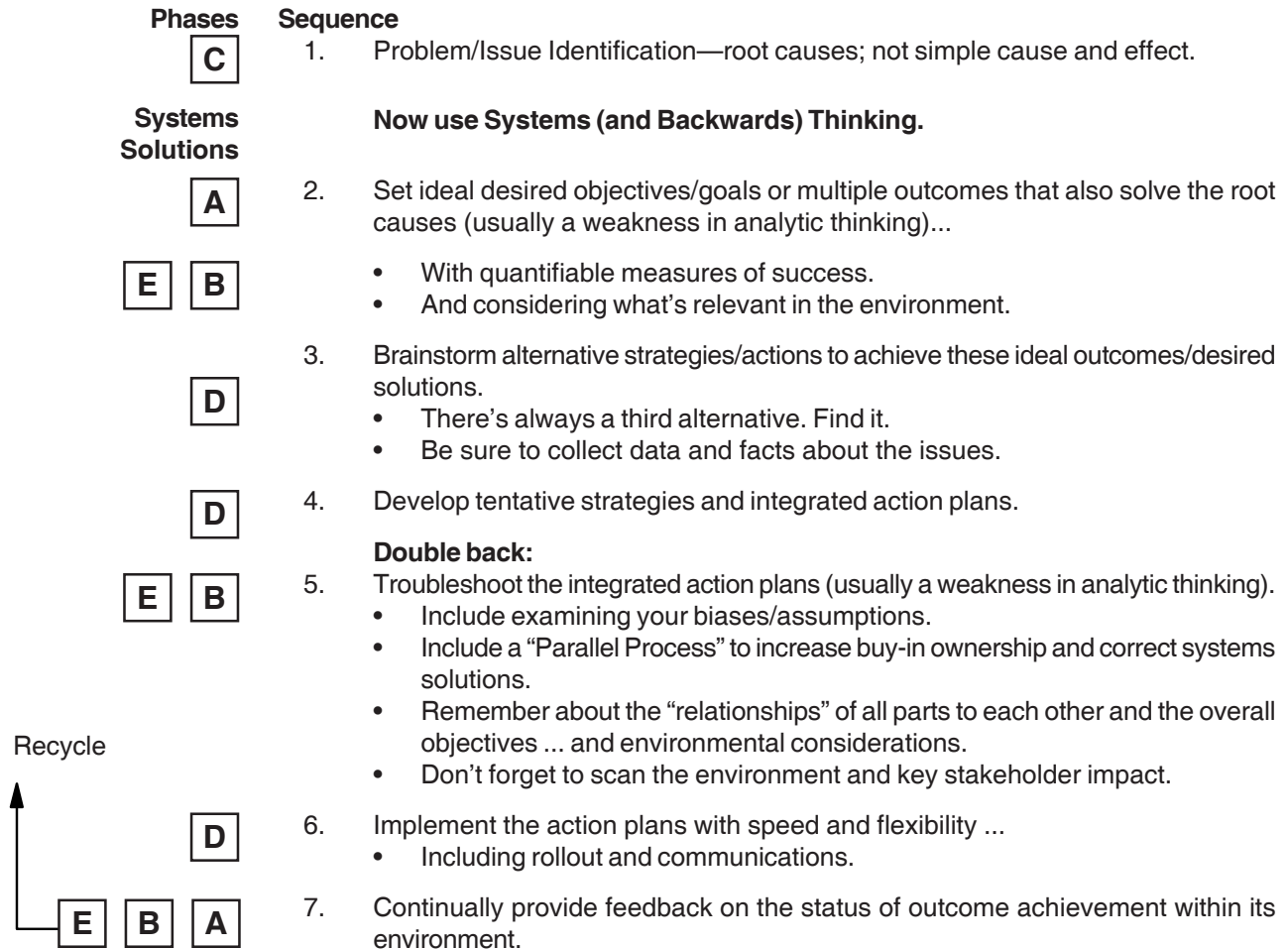
### **Business**

People frequently “subvert” decisions others make. What happens to them?

# SYSTEMS SOLUTIONS VS. PROBLEM SOLVING

*“Put your discourse into some frame.”*

—William Shakespeare



## FACILITATING CLOSURE

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### KEY TIPS ON “FACILITATING CLOSURE” IN EXECUTIVE GROUPS

1. Set up ground rules in the beginning; especially consensus = “actively support.”
2. Have a one-to-one conversation with the CEO about the bottom line of participation and participative management.
3. Get closure by being focused and disciplined. Force the discussions to one topic at a time. (List all topics on a flip chart.)
4. Get closure on easy topics first to get both positive movement and to isolate the difficult issues until last.
5. Wait to talk or intervene until they start repeating their ideas—i.e., saying the same thing or “going around the barn” a second time.
6. Test for closure—“I may be wrong, but are you saying that...”
7. Take a neutral position; help them get an answer that makes sense or is logical for them.
8. Getting closure is the goal—be non-judgmental/neutral as to what it is.
9. Stay above the debate; don’t get caught up in one-to-one’s with participants.
10. Often it is best to just sit and observe for ten minutes or more. Let them discuss and frame the issues; you just actively listen.
11. Follow where the energy takes them—passion vs. logic. Passion is great in support of the decision, but be sure logic backs it up. Be a devil’s advocate; ask “dumb” questions.
12. Randomly write down logic patterns on a flip chart; often the answer emerges.
13. Don’t skip over resistance. Go into it by asking “why”—have them explain the logic/rationale behind their opinion.
14. Your job is to make it easy for the group to focus and talk openly. Protect the minority point of view.
15. Impartiality is key. When you have a bias, turn it into an open-ended question instead.
16. Too much content expertise can be a liability, as can too much commitment to the organization. Be calm, centered, neutral.
17. Come back later to reaffirm and solidify/clarify the earlier decision (two consensus checks)—i.e., sleep on it!
18. Root out hidden agendas: Ask “Why?” up to five times.
19. Influence often goes to whoever has the last word.
20. Ask them to collaborate on reaching consensus closure; you can’t do it alone. In the extreme: “If you don’t focus on closure, why should I? It’s your meeting.”
21. Go around the room to give everyone a chance to be heard. Closure often emerges as you do this.
22. Even the CEO must share the logic of his/her opinions and decisions. Is he/she willing to listen, be naive, learn, and be wrong?
23. “Premature slam dunk shut downs” instead of working to closure is the novice’s worst move. Only the group has this decision. Instead of shutting down differences prematurely, ask permission for shut down (along with next steps and when to finish closure). You can also give advance signals/comments that time is about up and ask for help with the process/next steps/closure.

## GAINING CLOSURE — THE EXTREME SITUATION

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Extreme as in:

- Senior Executive group
- poor strategic skills—operational/task-oriented
- 15 to 20 members
- SILO mentality
- lack of teamwork
- poor group process skills
- lots of word-smithing

**How to handle (or create your own luck):**

### I. Group Norms

1. Set a group norm around consensus (actively support it)
  - either at the beginning of the session and/or reiterate it as you start to gain closure
2. Set a group norm around substance vs. word-smithing (limit it)
3. Ask the group to use common sense and plain language understanding—This is a good group norm to set up at the beginning also. Remind the group throughout – what's the common sense here?

**In summary:** “An ounce of prevention is worth a pound of cure”

So – set the right ‘Norms of Behavior’ up front to use later when you need them. i.e.

- a. Consensus decision-making (actively support)
- b. Focus on substance vs. word-smithing
- c. Set up timekeepers to do ‘stop checks’
- d. Focus on the #1 systems question—our purpose
- e. Focus on only one topic at a time
- f. Everyone participates—no domination—listen to others also
- g. Focus on plain language and common sense, don't take words out of context

### II. Setup/Process the meeting

4. Ask the group (joint problem solving) how much time they want to take on this topic. Suggest what you think is appropriate given the full agenda.
5. Set up a timekeeper to help and have them note verbally at the halfway, three-quarter way, two minutes, and time's up points.
6. If needed, set up one to two quiet people as observers and every so often do a further stop/check on progress.

*continued*

## GAINING CLOSURE — THE EXTREME SITUATION

### III. The dialogue

7. Ask the group the #1 Systems Question as you begin—i.e. what's the purpose of what we're about to do? It is actually twofold
  1. create a document/direction that is the best and
  2. gain closure/consensus to go forward.

The purpose is **not** to word-smith only what you want or...to take a word/phrase out of context (either/or)...or to insist on your way only
8. As the group discusses the topic/document/direction—keep asking the same questions.
  - is there any substantive differences here? If there is, allow time to discuss.
  - why do you think that way? What's your logic/rationale?
  - can you actively support the answer here?
9. Have fun with the group—laugh at ourselves, especially as well as the group.  
Or comments like:
  - “only three speakers at a time please” (laughter)
  - “only three topics at a time please” (laughter)
  - “how many times can/should we ‘flog a dead horse’?” (laughter)
10. Be positive – reinforce folks who help—don't ‘turn on’ the group (usually) and show how upset you may be with them. It is OK though in extreme circumstances to be tough and authoritarian only if you have ‘credits’ and are on very solid ground.

### IV. Keep the pressure on

11. At ‘time's up’, ask the group how much more time they want to take (keep the pressure on for closure).
12. Let them know the future agenda consequences of how much time they take.
13. Be strong willed. Ensure they focus on only one topic/phase/etc. at a time. Alert them to ‘topic jumping’ in the group norms and here too. Stop it by noting the topic in a parking lot on what else to cover later.
14. Don't allow one or two to dominate—ask silent folks for their opinion or “are they impatient to move on”.
15. Ask questions to drive the discussion. Make statements only when you feel you are on ‘solid ground’ such as when people twist a word out of its common sense usage, or they pretend not to know the meaning of a plain language phrase.

### IV. Closure

16. Don't ask what one **cannot** agree with or support. It is a negative, prolonging question that they will answer to your detriment.
17. Don't generate extra options or choices yourself. Close off obvious common-sense answers yourself. Take a risk, be proactive on common sense and logic.
18. Ask for consensus over and over. Tell them it is OK to agree. Ask why they agree.
19. If they can't agree, ask why not? Is it a word-smith or substance issue?

# NOTES

## SECTION 10: RESPONSIBILITY CHARTING

### RESPONSIBILITY CHARTERING

*Responsibility Charting* is a way of defining responsibilities and clarifying whose responsibility it is to make decisions around these items. This can be used to clarify charters, differences of opinions or possible perceived interpersonal difficulties.

This process is one of assigning an involvement code to each of the people involved in the area of responsibility. The code is placed opposite each of the particular decision areas. There are a variety of different levels of involvement.

#### Different Levels of Involvement

1. **Responsibility (R)**—The responsibility to make a decision and to ensure that the decision is carried out. For example, it would be a department head's responsibility (R) to decide on the departmental budget.
2. **Approval Required (A)**—The particular item must be reviewed by a particular person, and this person has to approve it also.  
  
**Note:** Every supervisor has an automatic "V" or Veto in any decision so desired. That is assumed and given and doesn't need identification here. "A" on the other hand is used when approval is a "must."
3. **Support (S)**—Providing logistical support and resources for the particular area of responsibility. This is not an influencing process on the decision, however.
4. **Inform (I)**—Must be informed either before or after the decision is made. By inference, they cannot influence the decision.
5. **Influence Decision (ID)**—Providing consulting assistance, technical expertise, etc. prior to the decision being made as an expert who will influence that process. By inference it also includes support (S) above on #3 once the decision is made ("people support what they help create").

#### Steps

Each decision area is considered and a responsibility (R) assigned. A very important aspect of this technique is that there can be only one (R) on any horizontal line. Therefore, a consensus must be reached or an authorization decision made on who has the responsibility. If the group is unable to agree about where the (R) should go, there are three options:

1. **Break the problem out**—always the most desirable alternative. For example, the (R) for a large capital expenditure might be different from the (R) for a small capital expenditure.

*continued*



## RESPONSIBILITY CHARTING

2. **Move the (R) up one level** in the organization hierarchy. For example, if the marketing manager and production manager cannot agree which one of them should have the (R) for defining monthly production targets, move the (R) up to their boss, the division general manager.
3. **Move the decision about assigning the (R) up one level.** In the previous example, the division general manager would assign the (R) for setting production targets rather than define the targets themselves.

Once the (R) has been assigned, the next step is to take the decision area and assign involvement code(s) for all the various other people involved. In addition to the above levels of involvement, it is possible that a person has no code opposite a particular type of activity, and this situation should be indicated by a dash (–).

Completion of the horizontal line on the Responsibility Chart gives one a **defacto modus operandi** for handling that particular class of decision.

### Some Further Guidelines in the Process

1. If an item has several (A)'s, i.e., one (R), six (A)'s, one (S) and one (I), undoubtedly it will be very difficult to accomplish that task. For example, one organization decided to increase its benefits plan for management. The plan was agreed to by all levels of the organization; the board approved it, and the compensation people were told to install the plan. Nine months later, the plan was still not in. A responsibility charting exercise indicated that each of the major profit centers had defined itself as having (A) because it was an independent profit center with a budget commitment to the center. Because this new program required investment of funds not budgeted, each profit center's manager felt it was his or her choice to decide whether or not to institute the program this year or next year. It did not take long for the managing director to indicate, and for the product center managers to see the (ID), rather than (A) was the appropriate symbol to describe the profit center's role. Then the program got instituted very quickly.
2. Depending on who is filling out the chart, one might find a skewing of (A)'s under the senior executive. Subordinate managers tend to give their bosses more (A)'s than in fact the bosses want. **It is desirable to try to minimize** the number of (A)'s for any task of one wishes to facilitate the accomplishment of the task. (A)'s are typically used only rarely. The best precondition for using it is that the supervisor who has this

*continued*

## RESPONSIBILITY CHARTING

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- (A) authority has some involvement in the decision making process prior to the decision being made. This involvement may include information and advice giving and receiving. Arbitrary (A) decisions are not desirable, nor is the behavior of withholding information during the (R) process, only to use it as part of the (A) process.
3. The influence decision (ID) code is typically used by staff groups to influence line management decisions or by a supervisor to allow his team members to make their own decisions rather than using the “A” code. This is particularly true where the team member has the responsibility for the results and how to achieve them. It is improper for the supervisor to intervene in this and be the ultimate decision maker. The supervisor, however, is the evaluator of the results that the team member gets in carrying out his/her responsibility.
  4. The decision about who can allocate a letter to a role can be tricky. In one situation, for example, the management group decided that first-line supervisors in the production organization should be held accountable for weekly scrap losses and various other things and should have timely information about their objectives and organization standards. However, the controller's department, which was part of the general headquarters, refused to develop and introduce a new cost-accounting system. The department's requirements for accounting systems were focused primarily on the needs of the top of the organization, the tax people, etc., and another system would have to be added in order to provide this new type of information. The department felt that as the top financial resource, it should have responsibility for deciding whether or not such a system, with the attendant costs, would be introduced.

It is also important to fill out the right hand section of the responsibility chart to be sure that you have considered all those who may be impacted and affected by the decisions made.

# RESPONSIBILITY CHART

Department \_\_\_\_\_

Date \_\_\_\_\_

Page \_\_\_\_\_ of \_\_\_\_\_

## Involvement Codes

**R** = Responsibility; **ID** = Influence Decision; **A** = Approval (needed); **S** = Support (put resources against); **I** = Inform (to be informed)

↓ Decisions	Names →												People Directly Impacted/Their Involvement Code
1.													
2.													
3.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													

# RESPONSIBILITY CHART

## REGIONAL VICE PRESIDENT

### Involvement Codes

**R** = Responsibility; **ID** = Influence Decision; **A** = Approval (needed); **S** = Support (put resources against); **I** = Inform (to be informed)

↓ Tasks	Responsible →	CEO	COO	Regional VP	Program Manager	Pres/New Business Development	Sales/Marketing	Prov Affairs	Purchasing Affairs	Information Systems	F/A	CCN Inc. Board	Legal	PR/Communications	Human Resources
1. Develop programs in new areas		A	ID	ID	ID	R	ID-S	ID-S	ID-S	ID	ID	A	S	S	N/A
2. Develop contract (if any) with purchasing groups in new program area		A	A	ID	ID	R	ID	I	I	I	I	A	S	I	N/A
3. Set priorities for programs/new areas.		A	A	ID	ID	R	ID	I	ID	I	ID	I	N/A	N/A	N/A
4. Hire, fire, manage local program managers.		I	A	R	N/A	ID	ID	ID	I	I	I	I	N/A	S	ID
5. Develop local business plan and budget.		ID	A	A	R	ID	ID	ID	ID	ID	ID	I	S	S	S
6. Achieve financial and other objectives of business plan/budget for local program.		I	I	A	R	S	S	S	S	S	S	I	S	S	S
7. Maintain day-to-day client and coalition relationships.		I	I	A	R	N/A	I	I	S-I	N/A	N/A	N/A	N/A	N/A	N/A
8. Make decisions about local program consistent with approved business plan and corporate budget (i.e., sales, Prov. A, Pur. A, admin).		I	I	A	R	I	S	S	S	S	S	N/A	N/A	S	S
9. Foster coalition relationship/fix problems in relationship.		I	ID	A	R	I	I	I	I	I	I	I	S	S	N/A
10. Fix problems in financial performance of program.		I	A	A	R	I	I	I	I	I	ID	I	N/A	N/A	N/A

# RESPONSIBILITY CHART

## REGIONAL VICE PRESIDENT

### Involvement Codes

**R** = Responsibility; **ID** = Influence Decision; **A** = Approval (needed); **S** = Support (put resources against); **I** = Inform (to be informed)

↓ Tasks	Responsible →	CEO	COO	Regional VP	Program Manager	Pres/New Business Development	Sales/Marketing	Prov Affairs	Purchasing Affairs	Information Systems	F/A	CCN Inc. Board	Legal	PR/Communications	Human Resources
11. Champion/liaison to/from corporate and field office.		S	A	R	ID	S	S	S	S	S	S	N/A	N/A	S	S
12. Achieve aggregate financial results for programs per approved budget.		ID	A	R	S	I	I-S	I-S	I-S	I-S	S	I	N/A	N/A	N/A
13. Determine structure of field organization (aggregate offices)		A	A	R	ID	ID	ID	I	I	I	ID	I	N/A	N/A	I
14. Determine structure of local office.		I	ID	A	R	I	I	I	I	I	I	I	N/A	N/A	ID
15. Lease provider networks in new areas.		I	A	ID	ID	R	ID	ID	I	I	ID	I	S	N/A	N/A
16. Administer/oversee lease network.		I	A	R	R	I	I-S	I-S	I-S	I-S	I-S	N/A	N/A	N/A	N/A

## SECTION 11: CONFLICT MANAGEMENT

### CHARACTERISTICS OF CONFLICT

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- Conflict is inevitable
- Conflict is desirable
- Stress of conflict is a result of reality not meeting expectations

## THE NATURE OF CONFLICT

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- Our first myth: Conflict is Negative.
- Equating conflict with contest is another myth we have been perpetuating for centuries.
- Conflict is not contest. Conflict just is. We choose whether to make it a contest, a game in which there are winners and losers.
- As we begin to embrace conflict as a prime motivator for change in our lives, we begin to see it as an opportunity. We are able to use it effectively for nurturing growth in ourselves and in our relationships.

## ENLIGHTENED CONTENTION

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*Instead of:*

- seeing any conflict as bad
- seeing someone (subordinates) who disagree with you as disloyal
- saying one thing in a meeting and thinking another, but not saying it for fear of conflict
- talking with someone else outside a meeting about your views/feelings regarding someone else/boss (i.e., “triangulation”)
- being accommodating and going along instead of speaking your mind in order to be a “team player”

*Why not see “conflict” as good if it is enlightened contention:*

- the goal is to see all points of view
- the rationale of “why” is more important than position taking which precludes discussion
- the use of “ethical persuasion” skills are a “how to” on this
- the suspension of “judgement” helps this along
- persuasiveness is still okay, however, if you deeply believe something
- the goals of ownership and commitment are as important as the “right” answer

Be enlightened—conflict is okay, it isn't conflict, it's contention and a dynamic/positive tension.

However, once a decision is made after this “enlightened contention,” one must follow the decision and help implement it in a coordinated fashion.



## IN CONFLICT: BE WILLING TO UNDERSTAND

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—*The Magic of Conflict*

Roger Fisher and William Ury, in their book *Getting to Yes*, state:

“It is not enough to know that they see things differently. If you want to influence them, you also need to understand empathetically the power of their point of view and to feel the emotional force with which they believe in it.”

Being willing to understand is your chance to embrace all aspects of a conflict, not just the positions, but also the feelings, the beliefs, and the interests that both sides have.

## **DISCUSSION: DIVERGENT THINKING AND CONFLICT**

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“...instead of looking on discussion as a  
stumbling-block in the way of action,  
we think it an  
indispensable preliminary to any  
wise action at all.”

## CONFLICT MANAGEMENT

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- It is not what you know but what you do with what you know.
- People are not predictable.
- Nobody can control all conflict situations.

## CONFLICT NEGOTIATION CHART

The two columns below list specific and generalized behaviors, one set with a high potential for conflict management/resolution, the other with a low potential—in fact, with a high potential for escalation of the conflict. The chart can be used by you as a check list of your own behaviors in typical or particular conflict situations, or it can be used in your efforts to help others work through a conflict as “consultant” to them.

### High Potential for Success

### Low Potential for Success

Describes other's behavior	5	4	3	2	1	Attributes other's motivation
Focuses on own feelings	5	4	3	2	1	Focuses on other's attributes
Comments are specific to the issue	5	4	3	2	1	General complaints
Focuses on “here and now”	5	4	3	2	1	Focuses on “there and then”
Directs comments toward changeable behavior	5	4	3	2	1	Directs comments toward unchangeable behavior
Gives comments to increase understanding and decrease conflict	5	4	3	2	1	Gives comments to “dump” on other, increase conflict
Accepting	5	4	3	2	1	Rejecting
Active	5	4	3	2	1	Passive
Open, meaning is clear	5	4	3	2	1	Hidden, meaning is unclear
Reciprocal communication	5	4	3	2	1	One-way communication

## **NEW CONFLICT HANDLING NORMS**

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### **NEW PARADIGM**

Conflict is good and healthy.

#### **If so, key questions:**

1. What's the best that can happen?
2. What's the worst that can happen?
3. What are the tools/skills we need so the worst doesn't happen (ethical persuasion/facilitation, etc.)?
4. Are we willing to be placed in an uncomfortable position so we have the opportunity to learn, grow, change and be more effective?
5. What are the stages of conflict and how do we manage them?

## GROUND RULES FOR FAIR FIGHTING

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1. Members of the team are expected to criticize any company procedure or policy that needs to be improved. They are also required to offer a specific improvement suggestion.
2. Team members are expected to respond to disagreements in an “I win – You win – We win” manner.
3. It is all right for team members to have personality clashes. They may like or dislike whom or what they wish. Their likes or dislikes will not be allowed to interfere with the reaching of team goals.
4. Team members will not listen to nor condone personal attacks, backbiting, obstacle building, or demeaning behavior.
5. Team members will resist any attempt to divide the team into cliques. Attempts to undercut the effectiveness of any individual or group will be censured.
6. Personal disputes are to be resolved privately by the individuals involved. If requested, the team leader will serve as a mediator.
7. Team members will not reward or condone behavior that is demeaning to any other team, unit, or member of the team.
8. Team members will reward behavior that is helpful to other team members, other teams, or other units.
9. Once a conflict has been resolved, the issue is to be buried. The bringing up of “old” material will not be allowed.
10. Conflicts are to be kept current.

## CAUSES OF CONFLICT

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1. Different expectations
2. Customs, values, language
3. Any change
4. Power or recognition hounds
5. Lack of resources
6. “Right-wrong” thinking (only one solution)
7. Focus on the past vs. future
8. Different goals
9. Hidden agendas
10. Inability to articulate clearly
11. Loyalty to self/department
12. Personalizing the issue

*What is the cost of not managing conflict?*

## ORGANIZATIONAL SYSTEM ISSUES AS CONFLICT SOURCES

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1. **Incompatible Goals**—accomplishment of one is at the expense of another (Quality/Time).
2. **Rewards**—that encourage head to head conflict, versus interdependence (what your boss expects versus what the team expects).
3. **Boundary Conflicts**—what the group you represent expects versus what the team needs.
4. **Group Conflicts**—with the project team.
5. **Use of Scarce Resources**—who has access/who should.
6. **Management of Agreement**—usually shows up as a problem of inaction; behaving as though conflict exists; usually seen as too risky to act, so “set up a subcommittee.”
7. **Conflict over the Decision Process**—content issues are seen as the problem, when the real problem is the particular decision process to be used.
8. **Conflicts are Potential Sources of Energy**—people usually want to act to resolve conflicts, thus can be seen as opportunities.
9. **Open Systems Frequently Generate Conflict**—choice is often to manage the changes versus being managed by them.
10. **Climate of Disclosure**—critical in surfacing existing conflicts so solutions can be generated.
  - High Disclosure—enough information is available for members to see courses of action.
  - Low Disclosure—difficult to surface conflicts.



## ONE-ON-ONE CONFLICT: FIVE ALTERNATIVES

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	Positive Outcomes	Negative Outcomes
1. Ignore it	<ul style="list-style-type: none"><li>• Minimizes conflict</li></ul>	<ul style="list-style-type: none"><li>• Situations worsens</li><li>• Impacts team</li></ul>
2. Force it	<ul style="list-style-type: none"><li>• Achieves results</li></ul>	<ul style="list-style-type: none"><li>• Anger</li><li>• Win/Lose</li><li>• Long term resentment</li></ul>
3. Turn it over	<ul style="list-style-type: none"><li>• Decision by higher authority</li></ul>	<ul style="list-style-type: none"><li>• Loss of influence</li><li>• Loss of commitment</li><li>• Loss of self-determination</li></ul>
4. Third party	<ul style="list-style-type: none"><li>• Objectivity</li></ul>	<ul style="list-style-type: none"><li>• Lack of understanding</li><li>• Nothing personal at stake</li></ul>
5. One-on-one	<ul style="list-style-type: none"><li>• Mutual respect</li><li>• Relationship building</li><li>• Commitment</li></ul>	<ul style="list-style-type: none"><li>• Lack of skills</li></ul>

## MENTAL AND EMOTIONAL DISCIPLINE

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*The keys to achieving positive results in one-on-one conflicts*

Can you answer yes to these questions?

1. Am I clear on what I value about the other person?
2. Am I clear on what I'm doing to contribute to the issue?
3. Am I willing to be open to changing some of my own behavior?
4. Am I willing to say "I'm sorry" for my part in the issue?
5. Am I willing to actively listen to the other person's point of view and drop my agenda?
6. Am I meeting with the other person to problem solve or to blame and dump?
7. Is my goal to improve our working/interpersonal relationship?
8. Am I thinking of what's best for the team?

If you can't answer "yes" to all of these questions, the meeting may not be as productive as you would like it to be.

## SOMETIMES, TOUGH LOVE IS ALL THAT WORKS

by Barbara Fitzsimmons  
Union-Tribune staff writer

In 14 years of parenting, Debbie Bronstein of La Mesa had never felt so helpless.

Her only child, Stephanie, on the cusp of puberty, had turned into a teenager from hell. She skipped school, she dropped acid, she shoplifted, she ran away, and she seldom spoke to her mother except to curse her.

Bronstein, a mild-manner single parent, cried on the shoulders of school counselors, the police and County Mental Health staff. Then, when nothing had changed at home, she turned in desperation to the group Tough Love.

"I couldn't take it anymore," Bronstein said. "I was ready to give up."

Four years later, a wide-eyed Stephanie still recalls her mother's subsequent transformation.

"I came home one day, and everything in my room was gone," she said. "Makeup, jewelry, clothes, everything. The people at Tough Love had told her she didn't have to put up with my behavior anymore."

### Playing Hardball

Bronstein is quick to note that, at that point, things got worse.

When she told Stephanie her belongs would be returned only when the teen began abiding by house rules, an enraged Stephanie

ran away again.

"My mom found out where I was and dragged me home; then she dragged me to school and came to class with me," Stephanie said. "She told me, 'These are the rules.' I was so mad, but a funny thing happened. I started to appreciate her."

Stephanie continued to test her mom, but Bronstein, buoyed by fellow Tough Love parents, held fast.

"My mom had always screamed a lot, but never backed up what she said," Stephanie said. "When she started to follow through, I started to follow through."

Today, the two not only have a great mother-daughter relationship, together they run the La Mesa Tough Love group for parents and teens. Bronstein also is the San Diego area representative for the national Tough Love group.

Stephanie, 17, is no longer a druggie, a brat or a shoplifter. Indeed, she now spends her spare time writing to judges and politicians about Tough Love. She also is busy seeking grant money for a program that will combat teen pregnancy—but that's another column.

At a recent meeting of the La Mesa Tough Love group, Stephanie spoke.

"I hated my mother," she said. "I thought it was so cool to see her all ticked off. I did things

intentionally to make her cry."

The adults who had found their way to Tough Love that night had their own tales of woe.

"This is the hardest time of my life," said a middle-aged man, the father of a difficult 16 year-old girl. "I don't know what to expect when I go home at night."

The mother of a 16 year old boy said she had confronted her son about his drug problem.

"I said he needed to go for treatment or else find someplace else to live," she told the group, as they nodded their approval. "Two months ago, I wouldn't have been able to do that. Coming to this group gave me strength."

A couple said their teenage daughter had been smoking cigarettes in her bedroom despite their repeated pleas to stop. Burn holes dotted her mattress.

"Remove her bedroom door," suggested a member of the group. "Then get of bucket of water and, if she lights up, throw it at her."

Stephanie liked that idea.

"You have to put your foot down," Stephanie said. "If my mom hadn't I would have kept right on."

Stephanie said parents need to know they have rights too, that they are in charge at home. "Some parents look at their kids through rose-colored glasses. They shouldn't do that."

Source: *San Diego Union Tribune*, September 10, 1994

## **CONFLICT MANAGEMENT QUESTIONS**

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1. Do I think there might be a problem with “X”? (If so, there probably is.)
2. What's the worst that can happen if I approach them?
3. What might happen if I don't approach them?
4. How do I stand up for my spirit (i.e., self-respect)?
5. Can I pass the “caring test” about the other person? (See unfinished business list.)
6. What are my objectives in this?
7. What skills of ethical persuasion can I use (i.e., listen-ask-ask-ask; non-defensive)?

## **IF I HAVE UNFINISHED BUSINESS WITH SOMEONE**

---

1. Am I clear on what I “value” about them?
2. Am I clear on what I'm doing to contribute to the issue?
3. Am I willing to be open to changing some of my own behavior?
4. Am I willing to say “I'm sorry” for my part in the issue?
5. Am I willing to “actively” listen to the other person's point of view (without interrupting)?
6. Can I approach the other person with a caring attitude about them as a person?
7. Am I meeting with the other person to problem solve vs. blaming/dumping?
8. Is my goal to improve our working/interpersonal relationship?

**Only if your answer is yes to all the above, should you approach them to finish the unfinished business.**

## CONFLICT MANAGEMENT

### TOOLS – TIPS – TECHNIQUES

1. Use ground rules for fair fighting.
2. Activate “Pinch” theory/technique. (I have a “pinch.”) (“This is a risk.”)
3. Limit triangulation—see person directly.
4. Remember who's got the monkey? (push back responsibility).
5. Use of responsibility charting; clarify decisions.
6. Use of “facts-are-friendly” (i.e., role negotiations, win/win bargaining).
7. Ask vs. tell.
8. Listen/paraphrase—then respond.
9. Use “Aiko” approach—go with the flow; don't resist.
10. Use “ethical persuasion” technique:
  - a. You first (ask, ask, ask/guess)
  - b. Now my turn (you understand)
  - c. Now problem solve
11. Use of problem solving model (vs. conflict).
12. Recognize different communication styles (be versatile).
13. Look for a “super-ordinate” (overall) goal first.
14. Communicate – communicate – communicate: don't wait.  
(If you think there is a problem, there is.)
15. Process the meeting (3 questions).
16. Use “To Do” list for agreed upon actions.
17. Use 3rd party neutral facilitator.
18. Use “I” messages; share feelings and impact on me.
19. Honesty—openness/risk—go first.
20. Set up private one-on-one meetings.
21. Preempt the conflict—earlier, involvement, ownership.  
(Pay me now/pay me later.)  $E = F (Q \times A)$ .
22. Clear “norms” for the conflict meeting—first.
23. Hang in:
  - Complete the rollercoaster of change
  - Complete the adult learning cycle.
24. Have a clear decision-making style.
25. Have methods skills to give and receive feedback/interact.
26. Method of disagreement. (What to do if disagree?)
27. Look at “Team Effective Take Aways” list.

## TOP 10 RULES FOR CONSTRUCTIVE DISAGREEMENTS IN A RELATIONSHIP

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### (FAMILY, SPOUSE, TEAM, SUPERVISOR)

Couples are going to disagree, sometimes intensely. Living and working, perhaps raising children together, is always going to bring out our best strengths, and unfortunately, or worst blind spots. Disagreements, alternate styles of solving life's problems and responding to life's challenges can be viewed as a learning and growing process, or as a "problem". Couples who view their differences as a chance to learn and grow closer generally create more happiness, than those who avoid or ignore differences. Bottom line, in any intimate relationship, there are going to be "fights". Learning to fight fair, to fight openly, and to fight constructively is a valuable skill. The following ten "rules" can help disagreements turn into learning opportunities, rather than destructive shouting matches.

1. **Be specific about your issue.** General complaining is difficult to respond to.
2. **If you have an objection or concern, state it immediately,** or at the first appropriate opportunity, while the issue is still fresh. No one can change the past.
3. **Stick to the present issue.** Life is hard enough and complex enough without bringing in the past or other issues or other situations. Resolve one problem at a time.
4. **Do not assume your partner knows what you are thinking or feeling.** Be very specific about what is on your mind. "He should have known" or "If she loved me she would never..." seldom solve a problem.
5. **Avoid jumping to conclusions.** Assumptions about what your partner is thinking or feeling or intending can be very destructive. Just as your partner can not know what you are thinking, it is risky to assume you know their thoughts or motives. If you want to know, ask!
6. **Avoid name calling and labels.** If it's worth fighting over, it's probably worth working to understand, and that means it's going to be more complicated than a "dumb" mistake or a "man's" issue or a "woman thing". Labels incite emotions, and are rarely helpful.
7. **Report your own feelings, early and often.** It is always legitimate to tell your partner how you are feeling. (Although problems can occur when we act on feelings carelessly or without thinking it through.)
8. **"I" messages are almost always more helpful** than "you" messages, and they avoid putting the other person on the defensive. "I feel hurt" is probably more productive than "You hurt me."
9. **Keep messages as simple and clear as possible.** "Go away/I need to be with you" or "Help me solve this/leave me alone" are confusing and difficult to respond to.
10. **Some issues cannot be resolved, at least in one session.** Never be afraid to call a time-out. "You've made some good points and now I'd like to think about it over night. Can we schedule a time to continue this tomorrow?" is almost always a reasonable way to cool things down and give yourself a chance to really hear your partner's point of view.

This piece was originally submitted by Dr. Philip E. Humbert, is a Psychologist and Professional Coach, who can be reached at [peh@newdreams.com](mailto:peh@newdreams.com), or visited on the web at <http://www.newdreams.com>.

## TWO APPROACHES TO CONFLICT AND DISPUTE RESOLUTION

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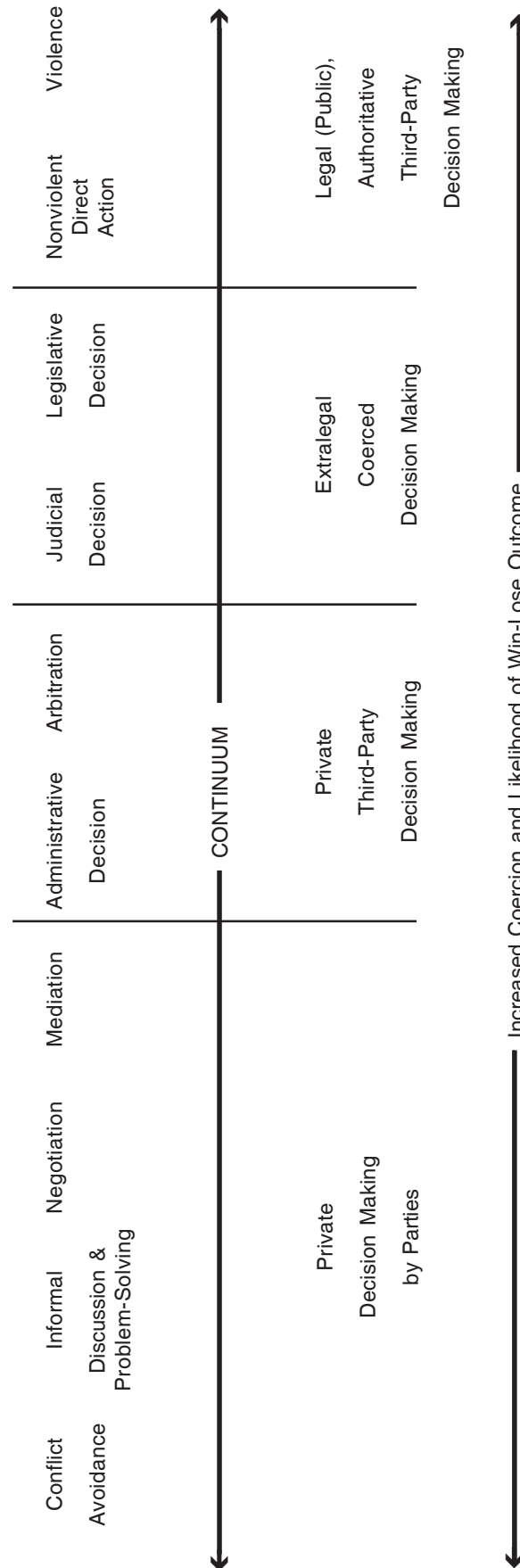
1. Adjudicate and announce a binding result.
2. Reconcile interests with discussion and joint problem solving.

Adapted from *Strategic Solutions*, Edmonton, Canada

POW-11.pmd



# CONTINUUM OF CONFLICT MANAGEMENT AND RESOLUTION APPROACHES



Moore, Christopher W., *The Mediation Process: Practical Strategies for Resolving Conflict*, Jossey-Bass, 1987, p.5.

## ALTERNATIVE DISPUTE RESOLUTION CHOICES

---

1. Mediation	→	2. Arbitration	→	3. Trial
Parties in control		Arbitrator in control		Judge in control
Informal		Semiformal		Formal
No rules of evidence		Rules of evidence		Rules of evidence
Parties decide outcome		Arbitrator decides		Judge decides
Consensual		Adversarial		Adversarial
Voluntary compliance		Legally enforceable		Legally enforceable
Creative solutions		Legal solution		Legal solution
Inexpensive		Relatively inexpensive		Very expensive
Expeditions		Relatively expeditious		Time consuming
Healing process		Traumatic		Highly traumatic
Peaceful		Hostile		Hostile
Facilitates communication		Discourages communication		Discourages communication

## BENEFITS OF AN APPROPRIATE DISPUTE RESOLUTION PROGRAM (ADR)

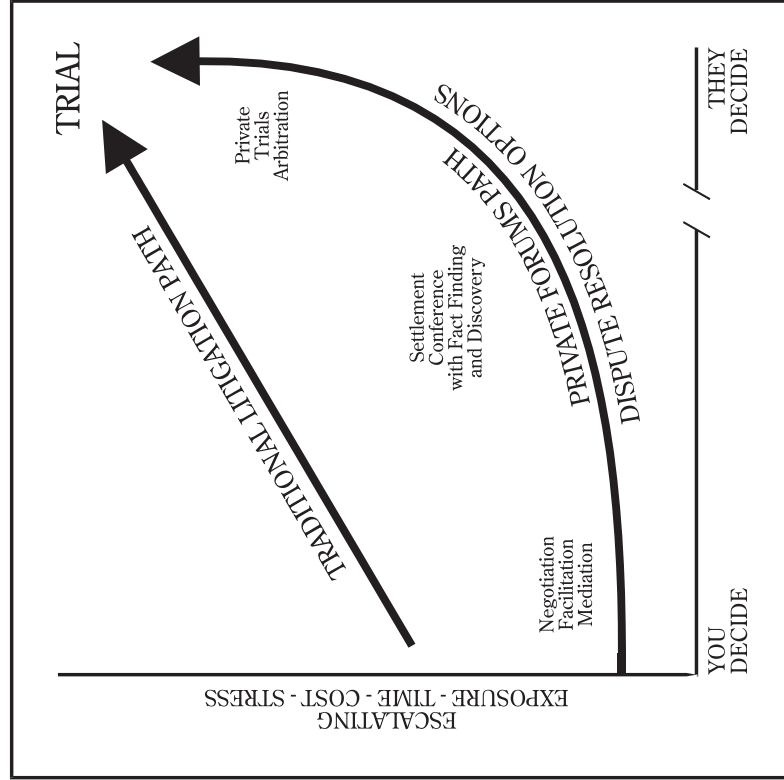
Corporations can achieve dramatic results with a fully implemented ADR program! ADR allows you to focus on corporate priorities and to improve the allocation of your resources. Benefit from:

- Less litigation and lower legal costs
- Timely resolution of cases
- New skills for resolving disputes
- Privacy and efficiency
- Time to focus on corporate priorities

*Pennell Finch*  
P R I V A T E F O R U M S

*I have been ruined but twice in my life;  
once when I filed a lawsuit and lost,  
and once when I sued and won.*

VOLTAIRE



© 1992 Pennell Finch

## SECTION 12: DYSFUNCTIONAL BEHAVIORS

### CONFRONTING DYSFUNCTIONAL PARTICIPANT BEHAVIOR

---

- Describe in detail the dysfunctional behavior that you have observed.
- Indicate why the behavior concerns you.
- Ask for reasons and listen openly to the explanation.
- Indicate that the situation must be changed and ask for ideas for solving the problem.
- Discuss each idea and offer your help.
- Agree on specific action to be taken and set a follow-up date.

## FACILITATOR GROUP INTERVENTIONS (WHEN THERE IS A PROBLEM)

---

### GROUP BUILDING

- Pointing out dysfunctional behaviors which keep the group from achieving a cohesive climate;
- Encouraging group members to express feelings about decisions the group makes;
- Encouraging group members to respond to one another's ideas and opinions verbally, whether in terms of agreement or disagreement;
- Confronting behaviors that lead to defensiveness and lack of trust among group members, i.e., evaluative feedback and hidden agendas;
- Verbally reinforcing group-building behaviors such as gatekeeping, harmonizing, etc.
- Have members paraphrase what other said *before* making their point.

## **FACILITATOR GROUP INTERVENTIONS (WHEN THERE IS A PROBLEM)**

---

### **PROCESS INTERVENTIONS**

- Having the group translate an issue into a problem statement.
- Observing that the group is attending to several problems simultaneously rather than sticking to one problem at a time.
- Observing that a decision was made out of a “hearing-no-objections” norm and having the group deal with this posture.
- Inviting the group to develop action plans related to a problem solution.
- Helping the group to monitor its own style, using its resources.
- Using instruments, questionnaires, and ratings to assess the group's position on a particular topic.

### **CONFRONTING DYSFUNCTIONAL PARTICIPANT BEHAVIOR**

- Describe in detail the dysfunctional behavior that you have observed.
- Indicate why the behavior concerns you.
- Ask for reasons and listen openly to the explanation.
- Indicate that the situation must be changed and ask for ideas for solving the problem.
- Discuss each idea and offer your help.
- Agree on specific action to be taken and set a follow-up date.

Adapted from K.E. Hultman, “The Trainer as *Scapegoat*,” in *Training and Development Journal*.

## FACILITATOR GROUP INTERVENTIONS (WHEN THERE IS A PROBLEM)

---

### STRUCTURAL INTERVENTIONS

- Having group members work privately—making notes to themselves, for example—before they discuss the topic jointly as a whole group.
- Having members pair off to interview each other about the problem.
- Forming subgroups to explore the different aspects of the problem and then share their work with the remainder of the group.
- Forming a group-on-group design, to enable an inner group to work independently of an outer group, which, in turn, gives process feedback to inner group members.

### GROUP BUILDING

- Pointing out dysfunctional behaviors which keep the group from achieving a cohesive climate.
- Encouraging group members to express feelings about decisions the group makes.
- Encouraging group members to **respond** to one another's ideas and opinions verbally, whether in terms of agreement or disagreement.
- Confronting behaviors that lead to defensiveness and lack of trust among group members. (i.e., evaluative feedback and hidden agendas)
- Verbally reinforcing group-building behaviors such as gatekeeping, harmonizing, etc.
- Have members paraphrase what others said **before** making their point.

## SECTION 13: TRIANGULATION & PINCHES

### CONFLICT: BE WILLING TO CHANGE VS. BEING RIGHT

---

Why is it so hard to change our point of view?

Most often it is because we are not nearly as interested in resolving the conflict and possibly creating a new pearl as we are in being right.

When we perceive conflict as a threat to our ego, our reaction is to defend or attack. All our energy and mind-power are used in the protection of our ego, not in the growth of our being.

Fear of failure reigns supreme.



## PINCHES AND TRIANGULATION

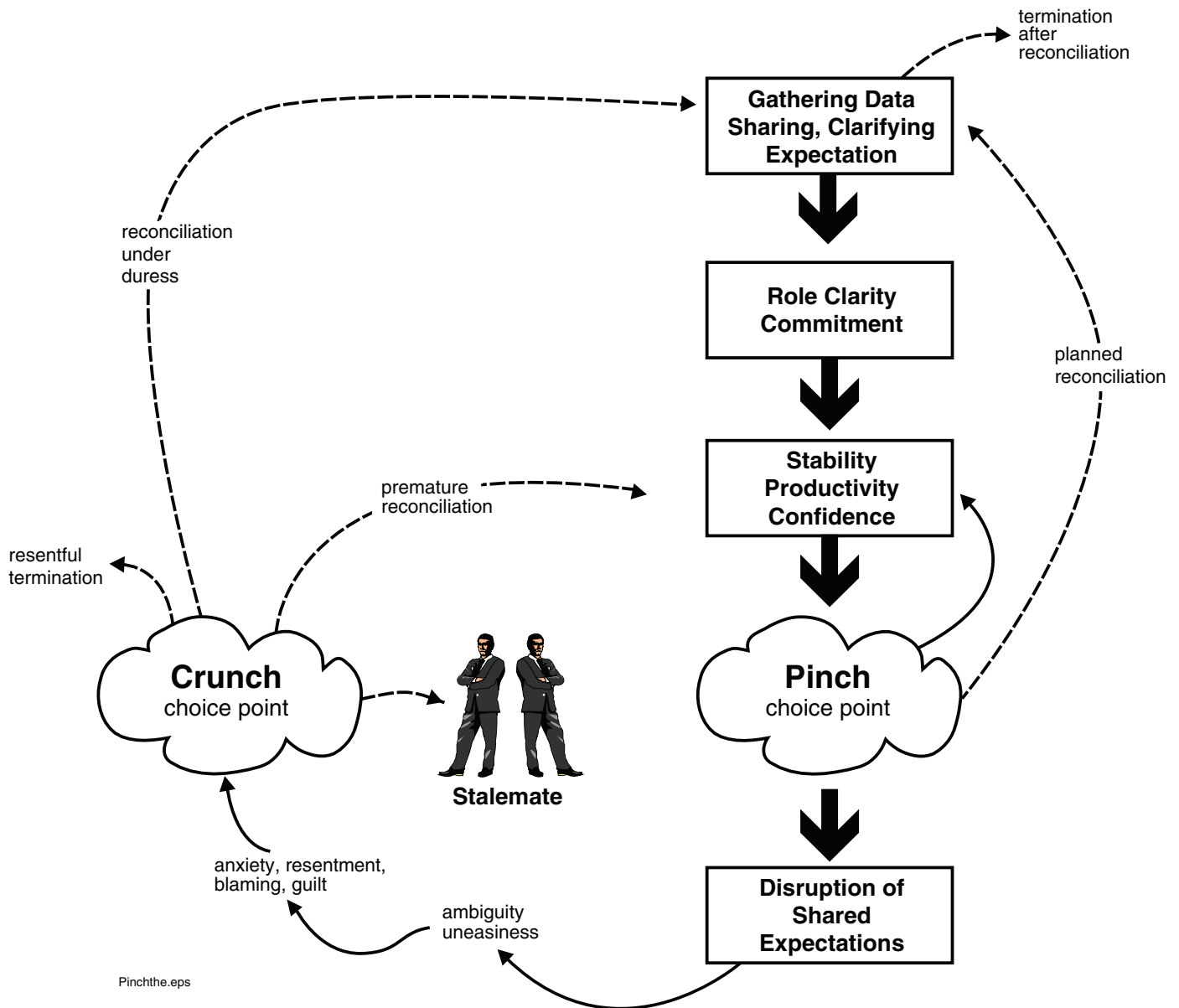
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**Pinches.** There is a simple rule for dealing with things other people do that bother you. It is called the “pinch theory.” It says: It's better to deal with problems honestly and openly early, before they grow into something that can't be resolved.

**Triangulation** is when someone talks to you about a third party. You've got to be wary of this because you can become part of the problem and make finding a solution difficult.

# THE PINCH THEORY

## A MODEL FOR ROLE CLARIFICATION AND NEGOTIATION



From "A Model for Complex How Two Can Grow Together," by J. J. Sherwood and J.J. Scherer, *Journal for Small Group Behavior*, February, 1973

## TRIANGULATION DILEMMA

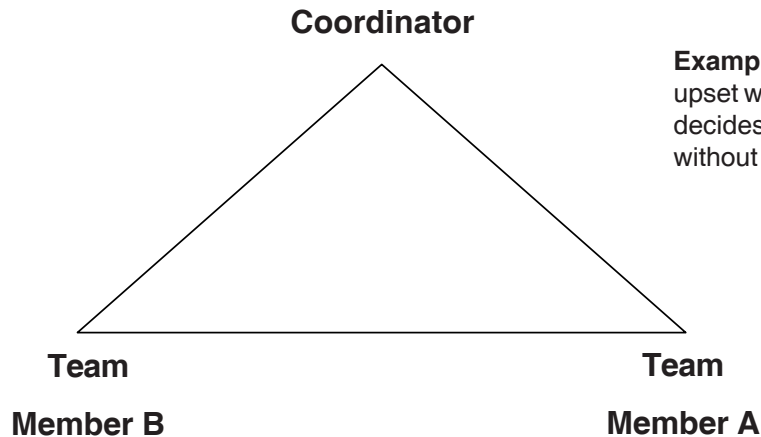
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- I. What can you do when an agreed-upon policy is not followed or broken?
- II. Clearly the pinch theory applies here—re-contract?
- III. Alternative choices to explore:
  - 1. Do nothing (and condone/be part of the problem).
  - 2. Be subservient and support the violation.
  - 3. Use a hammer to gain compliance on this issue and don't worry about the unintended consequences of the future.
  - 4. Give the monkey to your supervisor.
  - 5. Give the monkey to the violator.
  - 6. Joint problem-solve with the violator to help them succeed.
  - 7. Joint problem-solve with your supervisor.
  - 8. Recommend changing the policy to something more realistic and practical.

*Honor resistance and work with its flow.*

## PINCHES AND TRIANGULATION

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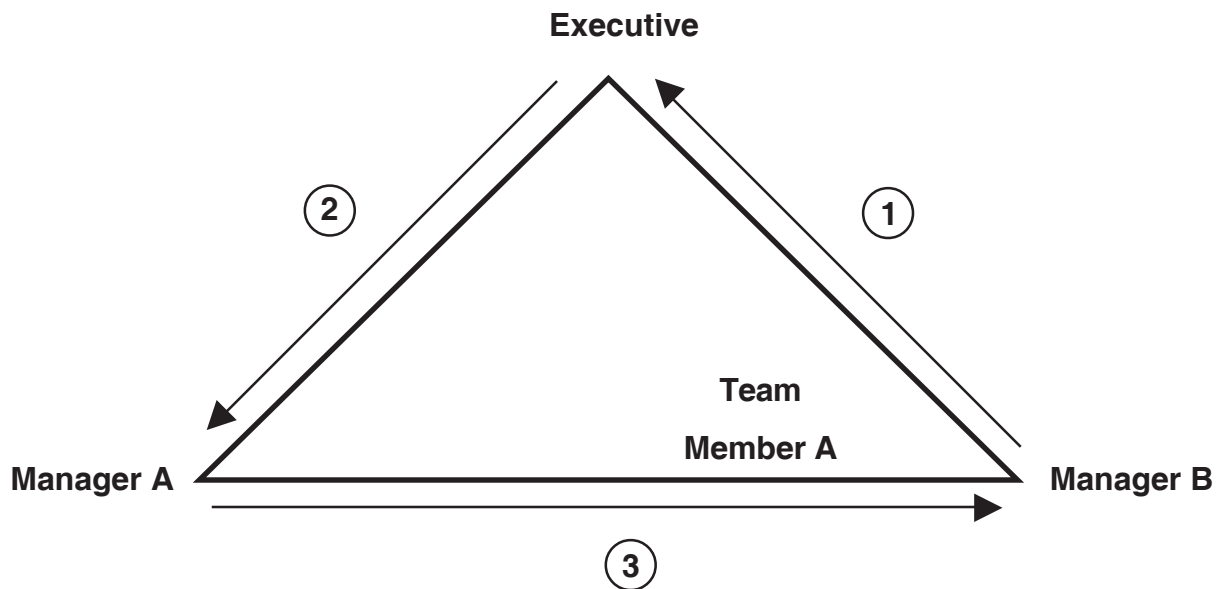
**Example.** Team member A is upset with the coordinator and decides to talk to team member B without talking to the coordinator.

### Team Member B's Options

1. Do nothing afterwards.
2. Spread the comments further.
3. Talk to the coordinator: "Some people don't like the way you..."
4. Tell the coordinator about the triangulation: "A is upset with you and has talked to me about it..."
5. Go with A to talk to the coordinator.
6. Convince A to talk to the coordinator.

From "A Model for Complex How Two Can Grow Together," by J. J. Sherwood and J.J. Scherer, *Journal for Small Group Behavior*, February, 1973

## TRIANGULATION: DESTROYS ORGANIZATIONS



### STEPS

#### Scenario I

1. **B** complains to executive about Manager **A** (instead of dealing with **A** directly).
2. Executive solves issues with **A** instead of **B**.
3. Manager **A** no longer trust **B**—politics start.

#### Scenario II

1. Manager **B**/or **Executive** does something Manager **A** dislikes/or there's a rumor about Manager **B/Executive**.
2. Manager **A** or his/her employees complain about it/spread it. Either way, Manager **A** shows agreement with the complaint.
3. Manager **A** is now part of the “problem”—not the solution.

## TRIANGULATION PRINCIPLES

---

### STOP MANIPULATION

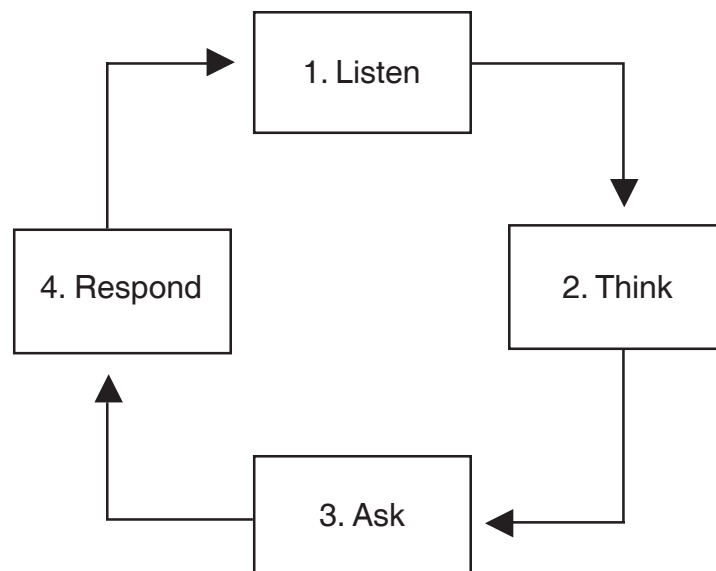
1. When someone talks to you about a third party, you are now in the “triangulation.”
2. Once you are involved in the triangulation, the key question is “who's got the monkey” to deal with the third party. In general, it needs to be the person who initiated the triangulation and who has the issue—let them “keep the monkey.”
3. If you go along (i.e., collude) with the person who initiated the triangulation, you are now part of the problem...not part of the solution. You've been sucked in; the only question is how you handle and cope with the triangulation.
4. Triangulation also works in a destructive manner to spread rumors, perceptions and politics.
5. If the initiator won't deal with the third party and the issue is serious enough, let him/her know you feel the third party needs to know. Then the only question is **who** tells the third party about the conversation.
6. There may be times when both of you need to go to the third party together.

## GUIDELINES FOR MANAGING CONFLICT

---

### (PINCH VS. CRUNCH)

1. Don't ignore “**pinches**.” Work the issue before it becomes a “**crunch**.”
2. Use “cooling off” periods, if necessary, to let things calm down.
3. Talk directly to the other person involved and try to work it out between the two of you.
4. Get someone else to sit in and help sort things out.
5. Work towards positive solutions that are best for the team, not individuals.
6. Though it is difficult, try to “drop your agenda” and actively listen to the other side.
7. The objective is to reach a solution that everyone can live with, actively explore alternatives instead of sticking to one point of view.



## LOYALTY — WHICH IS IT?

---

Bitching

or

Complaining

or

Criticism

or

Constructive Criticism

or

Constructive Recommendations



## LOYALTY DEFINED

---

### SITUATIONAL SPECIFIC (VS. BLIND OBEDIENCE)

#### Prior to a Decision Being Made:

- Ensure you have an opportunity to be heard.
- Voice your ideas, opinions, rationales, perspective.
- Be as forceful as you “feel strongly” about the issue.
- Be open and honest about it—speak up.
- Represent your unit well.
- “If two of us always agree, one of us is unnecessary.”
- Listen/understand other's points of view and express your agreement with the parts you agree with.

#### After a Decision is Made:

*You have two choices:*

1. Support the decision wholeheartedly
  - express your misgivings to yourself only
  - *actively* support the implementation of the decision
  - assume ownership/commitment to that decision's success
  - don't complain to others; especially *outside* your team
  - identify and resolve the *downsides* to the decision if you see any
  - don't *blame* the decision on your supervisor

or...

2. Leave the organization

## SECTION 14: WIN – WIN

### MUTUAL INFLUENCE MODEL (WIN-WIN)

---

#### ASSUMPTIONS

The best solution is the one that is mutually acceptable.

To influence effectively, you must be open and willing to be influenced.

## MUTUAL INFLUENCE PROCESS

---

If the response to feedback is negative...

1. Explore the differences
  - Open-minded questioning
  - Active listening
  
2. Sharpen (clarify) the differences
  - Restatement paraphrasing
  - Summarizing
  
3. Work with the differences
  - Elicit and offer

## THE KEYS TO “WIN-WIN”

---

1. To:
  - A. Expand our base of **information**, and
  - B. Develop an **understanding** of the logic, the rationale, the criteria and an explanation (i.e., why) of other positions or points of view (“principles-centered”).
    - so we have more information in which to make our choices.
    - so we fully understand the key needs of the other side.
2. **To listen first**—and fully prove to the other side that we understand their perspective, their logic and their points of view **before** influencing them on our point of view.

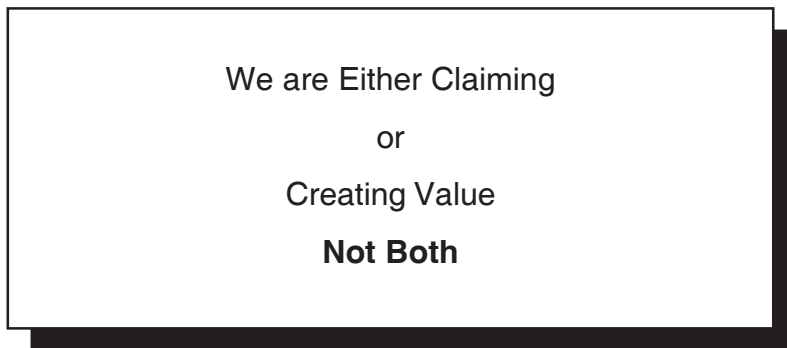
## **WE “NEGOTIATE/MANIPULATE” EACH TIME WE DIALOGUE WITH SOMEONE**

---

### **(WHY ELSE DO WE BOTHER TALKING?)**

**Note:** The politically correct word is “influence.”

**However:** We can only do one of two things at a time during this dialogue



1. **Claiming Value** ... is defending your piece of the pie, opinion or view.
2. **Creating Value** ... is expanding the pie—exploring alternative solutions, accepting differing points of view and their rationale, thinking laterally and in new paradigm ways (i.e., “what if”).

## **“DANGER”**

Nothing is more dangerous  
than an idea  
when it's the only one  
we have.

## **NEW IDEAS**

If you go through life  
convinced that  
your way is always best,  
all the new ideas  
in the world will  
pass you by.

—Akio Morita  
*Post-Intelligencer*, 8/30/92

## **SIGNS OF INTELLIGENCE**

The sign of a first-rate intelligence is the ability to retain two  
mutually contradictory ideas in the mind at the same time and  
still be able to function.

—F. Scott Fitzgerald

## CREATING A SUPPORTIVE ENVIRONMENT

---

1. Encourages people to be active and participate.
2. Promotes and facilitates the individual's discovery of the personal meaning of ideas.
3. Recognizes people's right to make mistakes.
4. Tolerates ambiguity.
5. Encourages people to trust in themselves as well as in external sources.
6. Encourages openness of self, rather than concealment.
7. People are respected and accepted.

## Do's AND Don'TS

---

- Do** look at others as co-problem solvers.
- Do** separate the people from the problem.
- Do** try to invent options for mutual gain.
- Do** develop multiple options.
- Do** know your issue/subject—be prepared.
- Do** have an overall game plan; well-thought out approach.
- Do** be aware of your conflict-handling style.
- Do** shift gears if a particular approach or strategy isn't working.
- Do** use humor moderately and appropriately.
  
- Do Not** have a rigid bottom line—be flexible
- Do Not** focus on positions—focus on interests/principles.
- Do Not** underestimate the other side.
- Do Not** lose your temper—remember, importance of a positive climate.
- Do Not** list priorities for the other participants.
- Do Not** yield to pressure.
- Do Not** push other party into position where they “lose face.”
- Do Not** let an impass throw you—use it as an opportunity to “fall back and regroup”



## SKILLS OF THE NEGOTIATOR

---

- Introduce multiple issues  
Unpack
- Link issues together  
Establish movement on one issue tied to movement on another
- Let your opponent know what your minimum is  
Give hints—indicate what success would involve
- Ask open-ended questions
- Use silence
- Use “probe” questions  
(designed to require additional information in areas already discussed)
- Make nonevaluative responses to the information you are getting
- Mirror back tentative understanding of what the minimum is  
(to verify that priorities have been heard)

## WHAT'S YOUR BATNA?\*

---

—*Getting to Yes*, page 108

Generating possible BATNAs requires three distinct operations:

- Inventing a list of actions you might conceivably take if no agreement is reached.
- Improving some of the more promising ideas and converting them into practical options.
- Selecting, tentatively, the one option that seems best.

**\* BATNA = What's Your "Best Alternatives to No Agreement"**

---

Date

## FACTS ARE FRIENDLY

---

Comments I want to give: \_\_\_\_\_

If you were to do the following things more or better, it would help me to increase my effectiveness.

If you were to do the following things less or were to stop doing them, it would help me to increase my own effectiveness.

The following things which you have been doing help to increase my effectiveness and I hope you will continue to do them.

I am also willing to do the following things

---

Signed

## WIN-WIN RELATIONSHIP

---

### **“NAPS” = NON-ADVERSARIAL PROBLEM SOLVING**

#### **(NEW PARADIGM EMERGE OVER TIME)**

1. Collective bargaining based on “principle-centered” vs. “positioning.”
2. NAPS—ongoing meetings/broader responsibility
3. Super NAPS
  - one issue at a time
  - include superintendent
4. Well documented
  - agreements
  - To Do List
5. Joint responsibilities
  - communications
  - meetings with representatives, etc.
6. Mid course corrections (maintenance)
  - formally
7. Use facilitator strategically
8. Regular monthly meeting/lunch with superintendent/union personnel
9. Superintendent personal involvement
10. Social relationships, low facades
11. Informal personnel issue resolution
12. Trust agreements

## CONFLICT MOTIVES: FEAR OR LOVE

---

—*The Magic of Conflict*

We begin to understand that all people are operating out of one of two modes: fear or love.

When we understand this, we can let go of our judgments about their actions, show them compassion, and support them in creating the love they are looking for.

## POSITIVE VS. NEGATIVE REINFORCEMENT

---

—*The Magic of Conflict*

The national average of parent-to-child criticisms is 12 to 1 — this is, 12 criticisms to 1 compliment. Within the average secondary school classroom, the ration of criticism to compliments is 18 to 1 between teacher and student. And we wonder why our children so often have low self-esteem?

## DEALING WITH DIFFICULT BEHAVIOR

---

Consider these tactics when you have to cope with people who are difficult to deal with:

- “Kill” with kindness.
- Listen and respond.
- Don't take a position — deal with a need.
- Accept blame.

Tip: Sometimes you can encourage the other person to cooperate by claiming more responsibility than you deserve.

Source: Sam Deep and Lyle Sussman, *What to Say to Get What You Want*, Addison-Wesley Publishing Co., Inc., Reading, MA 01867.

## HOW TO SMOOTH RUFFLED FEATHERS

---

Communicating with irate customers is sometimes like trying to drink from a waterfall—everything is going by so fast, you end up with nothing but a bath. With the right approach, however, you can be very effective in preserving good customer relationships.

Visualize the irate customers as having a “psychological sunburn” — people that if touched when the sunburn is at its peak, may get a violent reaction. You need to help them get over their sunburn by reducing the heat.

This can be done by listening for facts and feelings. The mind has a remarkably high listening speed.

### **BE EMPATHETIC, NOT SYMPATHETIC**

You don't want to get caught up in the other person's feelings. Making a judgement about the other person can affect what you hear. It can cause your thinking to become very narrow. Listening should be hearing and understanding, not judging.

### **ASK QUESTIONS**

Keeping the irate person talking will give you an opportunity to get more facts. Ask open-ended questions with one of these words: why, when, where, which, what. It indicates that you are really interested in solving the problem.

After you have gathered information by allowing the irate people to talk and ventilate their feelings, then and only then respond with the appropriate solution.

Keep in mind, the other person doesn't care how much you know until he or she knows how much you care.

Source: unknown



## IGNITERS AND KILLERS

Approachability is one of the greatest qualities a communicator can possess. It opens the door for new ideas, deeper relationships, and better understanding. One of the keys to opening ourselves to others is using “igniter” phrases, that is, responses that make people want to talk to us.

When we use “killer” phrases, we close off the channels of communication. Below are two lists. One shows igniter phrases that make us approachable, and the other shows killer phrases that tend to close us off from other people:

Igniter Phrases	Killer Phrases
<ul style="list-style-type: none"> <li>• I like that</li> <li>• Keep talking, you're on the right track.</li> <li>• Go ahead...try it.</li> <li>• We can do a lot with that idea.</li> <li>• That's great, how can we do it?</li> <li>• That's neat, what else do we need?</li> <li>• I think it will fly!</li> <li>• Wow! Let's try it.</li> <li>• Let's get right on it.</li> <li>• I know it will work!</li> <li>• Why not!</li> <li>• I love challenges like this!</li> <li>• I agree.</li> <li>• Let's go!</li> <li>• I'm glad you brought that up.</li> <li>• That's an interesting idea.</li> <li>• It's sure nice to have you with us.</li> <li>• Look out world, here we come!</li> </ul>	<ul style="list-style-type: none"> <li>• The problem with that idea is...</li> <li>• No way will it work here.</li> <li>• Impossible under our current system.</li> <li>• It's not a bad idea, but...</li> <li>• We've never done it that way before.</li> <li>• It won't work!</li> <li>• It's not in the budget.</li> <li>• It needs more study.</li> <li>• Somebody would have suggested it before if it were any good.</li> <li>• Let's discuss it at some other time.</li> <li>• Has anyone else ever tried it?</li> <li>• Let's be practical.</li> <li>• Let's form a committee</li> </ul>

Source: Nido R. Qubein, *Communicate Like a Pro*, Berkeley Books, 200 Madison, NY 10016

## Pearls of Wisdom

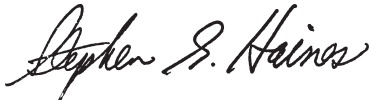
Dear Colleague,

I sincerely hope that you have found the ideas and learnings in this book useful and helpful.

If there are any additional techniques, concepts, or wisdom you'd like to see in a future edition, please feel free to email them to me and we can include your cited "Pearl of Wisdom" in the book.

Any feedback, positive or negative, about these "Pearls" is always appreciated. I really do believe that *"skeptics are my best friends"*, and I'm always looking for new friends.

Warmly,



Stephen G. Haines  
stephen@hainescentre.com

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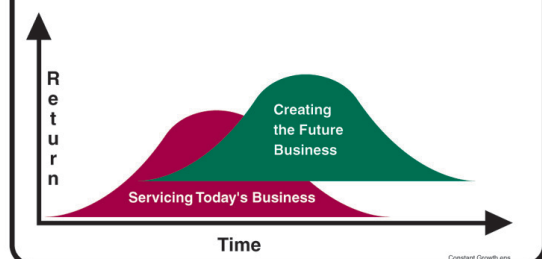
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# EXECUTIVE BRIEFING DAY

## for Executives and Senior Management

### THE SECRET OF CONSTANT GROWTH

*"Achieving Business Excellence and Superior Results"*



## ENHANCE YOUR "STRATEGIC IQ"™!

The Centre's Executive Briefing and Plan-To-Plan is designed to establish a common set of principles and knowledge on the specific Strategic Management project that your organization needs to develop or improve. By using this Systems Thinking Approach™ and principles, you can develop an Enterprise-Wide Game Plan for successful execution. Build your capacity to achieve and sustain business excellence and superior results.

**Achieve Organizational Clarity, Simplicity and Superior Results!**

### EXECUTIVE BRIEFING DAY OUTLINE

#### AM - Executive Briefing : "Educating and Assessing"

- Choose from eight Strategic Management Topics
- Learn the research on Proven Best Practices
- Assess your organization vs. these Best Practices Management Topics

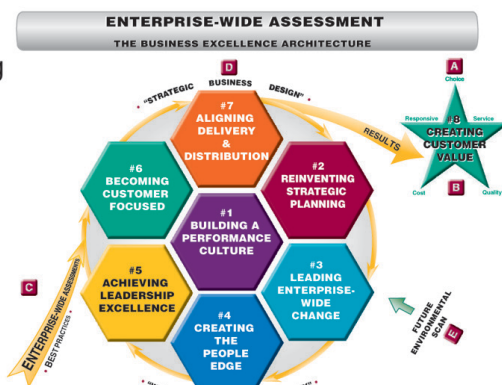
#### PM - Plan-To-Plan Tasks: "Organizing and Tailoring"

- Organize and engineer success up front
- Tailor the change process to your needs
- Build a practical and realistic "Game Plan"

### EIGHT EXECUTIVE BRIEFING DAY TOPICS

#### Strategic Management: The Systems Thinking Approach™

1. Strategic and Systems Thinking
2. Reinventing Strategic Planning
3. Enterprise-Wide Change
4. Creating the People Edge (Strategic HR Management)



5. Achieving Leadership Excellence
6. Becoming Customer Focused
7. Aligning Delivery & Distribution (Business Planning)
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- Success requires your understanding, discipline, persistence and leadership!

**"Failing to Plan is Planning to Fail"**

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## How to Work with Executives

### The Systems Thinking Approach™

*"Becoming  
A Valued  
Business Partner"*

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CEO and Master Consultant



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# PEARLS of WISDOM II

## **How to Work with Executives**

*"Becoming a Valued Business Partner"*

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The Systems Thinking Approach™



*Another in the Pearls of Wisdom Series*

*by*

*Stephen Haines,*

*CEO and Master Consultant*

*Haines Centre International*

*[www.HainesCentre.com](http://www.HainesCentre.com)*



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How to Work with Executives - The Systems Thinking Approach™

First Edition

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---

## **The Strategic Formula For Success:**

*Genius is one percent inspiration  
and  
ninety-nine percent perspiration.*

*– Thomas A. Edison*

---

Dear Reader,

*Welcome!*

I hope you enjoy this book and find it powerful, yet practical in your world as a professional. It is the result of both my continuing Proven Best Practices Research on behavioral science, group dynamics, Systems Thinking, and my own 30+ years' experience as a CEO (five times), Senior Executive, Functional Staff Vice President, Master Consultant to over 300 CEOs, and Keynote Speaker to over 1500 CEOs.

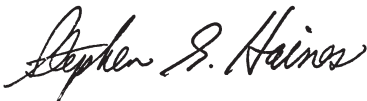
My first experience with a CEO was in 1972, as an officer in the U.S. Navy. I was the Human Goals Coordinator at the United States Naval Academy (my Alma Mater). After my career in the Navy, I moved into the private sector for 15 years as a senior staff professional with Vice President, Senior Vice President, and Executive Vice President roles.

From 1988, as President of University Associates, to the present time as President of Haines Centre International, I have continued working as an external consultant, directly with CEOs, Boards of Directors, and Executive Teams to integrate the principles and practices of the Systems Thinking Approach.

This book includes all of the best handouts I have developed and used over my entire career. We use these at the Centre when we conduct the "Train-the-Trainer Immersion and Certification" portion of our Gold Mastery Strategic Management Series.

We highly recommend that you begin this book by first reading our Executive Summary Article on Strategic and Systems Thinking. It is the foundation of all behavioral science and change research which is the basis of this book. A copy of this article is included in the first section for your convenience.

Happy Reading!

A handwritten signature in black ink that reads "Stephen G. Haines". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Stephen G. Haines, Founder and CEO

Haines Centre International

[www.HainesCentre.com](http://www.HainesCentre.com)

San Diego, California

(619) 275-6528

**75%**  
**of all major change**  
**fails to achieve its desired outcome.**

– *Enterprise-Wide Change* © 2005 Jossey-Bass

# How to Work with Executives

*"Becoming a Valued Business Partner"*

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**How Do U.S. Companies Really  
Manage Their Human Resources?**

“51% do not have a written human resource plan  
to accompany the business plan.”

– *David Lewin*

*Professor of Business, Columbia University*  
*Human Resource Planning Society Newsletter, August 1990*

## Section I

### The Systems Thinking Approach™

#### ***Overview: From Chaos and Complexity to Elegant Simplicity***

Haines Centre International utilizes General Systems Theory and a Systems Thinking Approach™ as the foundation and “new orientation to life” for all of our work, learning, and effectiveness with clients. It is the foundation for this Pearls of Wisdom book and series. Why?

**Systems Thinking** is a heavily researched methodology and rigorous macro-scientific and trans-disciplinary framework with its roots in the universal laws of living systems and human nature on earth, from ecology, biology, psychology, and physics. An Austrian, Ludwig Von Bertalanffy, is one of a few intellectual titans of the 20th Century and the father of General Systems Theory and Systems Thinking, begun over 50 years ago.

Systems Thinking has been a recent focus of Dr. Russell Ackoff (Renaissance Professor Emeritus at University of Pennsylvania) and Dr. Jay Forrester (Professor at MIT), among others. In fact, we have identified over 25 other scientific disciplines, such as electronics, architecture, complexity and chaos theory, project management, etc., whose leading thinkers and writers are moving in this Systems Thinking direction. This is not surprising as there were 23 countries with chapters of the resultant Society for General Systems Research in the 1970s.

**Systems Thinking is an old yet newly rediscovered and higher orientation to life.** It is a better, more natural, and holistic view of living systems (such as individuals, teams, and organizations) as they try to survive and thrive in today’s dynamic environment.

In short, **it is an advanced method of critical thinking.** It brings a higher intellect along with an interdependence and connectedness stage of human growth and maturity to bear on life’s issues. This holistic, integrated, and more purposeful **outcome-oriented approach** distinguishes us from other consultants whose focus is on the components or separate issues and functions of an organization – a more narrow, piecemeal, and fragmented analytic approach.

#### ***The Systems Thinking Approach™***

The Systems Thinking Approach is an absolute necessity to make sense of and succeed in today’s complex world.

---

If life on earth is governed by the natural laws of living systems,  
then a successful participant should learn the rules.

– Stephen G. Haines

---

## ***Concepts and Research***

This 50-plus years of rigorous scientific, biological research on Systems Thinking has been translated, interpreted, and updated by us. Systems Thinking, as applied by the Centre, uses four interrelated main concepts to clarify and simplify how you analyze and improve individuals, teams, and whole organizations. These concepts give you a broader framework, or mental map, to critically think, see, understand, diagnose, and act more effectively. Thus, the following four interrelated concepts create a more elegant simplicity (beyond today's complexity) for ease of use:

1. **Standard and Predictable System/Organizational Dynamics** based on the 12 characteristics of open/living systems.
2. **The Seven Levels of Living Systems** that are in natural hierarchical relationships with each other (systems within systems).
3. A circular “input–throughput–output–feedback loop” within our dynamic and ever-changing environment. We have copyrighted this as **The Five Phases (A-B-C-D-E) of the Systems Thinking Framework**.
4. In addition to the first three concepts, we use the natural and historical “cycles of change” to assist senior management in being proactive, innovative, and more successful with their strategic and systematic change processes. We copyrighted this fourth systems concept as **The Rollercoaster of Change™**. It has many applications as we will see.

## ***Concepts Explained***

The four main concepts of Systems Thinking need to be explored further in order to help resolve the “High Touch” organizational and societal problems mentioned on the next page. We need to really understand how they clarify and simplify organizational assessment, and design learning dynamics, focus, and collaboration across all aspects of any organization or team.

## ***A “System” Defined***

A *System* is defined as “a set of elements or components that work together in relationships for the overall good and objective (or vision) of the whole.” Thus, the focus of all systems elements (i.e., departments) in an organization should be the relationships with each other that assist attainment of an organization-wide shared vision and values of customer satisfaction (within today's complex and changing environment).

## ***The Facts***

The kind of thinking and strategies/actions we generally use today in our social and organizational systems has led to both:

1. Spectacular successes (especially in technology), and
2. Spectacular social failures (huge, intractable, and chronic problems we can't seem to solve).

Why? Our hypothesis is:

1. The way we think has something to do with these results,
2. Technology is often already using this new way of thinking, and
3. Adding an understanding of Systems Thinking to our own abilities will dramatically improve our critical thinking, problem-solving, and solution seeking on social/people issues.

In the words of John Naisbitt's "High Tech–High Touch Future," as a society we are far ahead in Systems Thinking as applied to "High Tech" vs. the lack of critical Systems Thinking in the "High Touch" world of social/people failures.

## ***Concept #1: Standard System Dynamics***

Based on the characteristics of General Systems Theory, standard system dynamics include the following elements.

### **The whole system:**

- Is a unique totality – the parts do not describe the characteristics of the entire system in its environment.
- Has an openness and boundaries with the environment that are continually interacting – some systems are more open than others.
- Is an input - throughput - output - feedback transformation framework.
- Is a multiple goal seeking and outcomes/consequences oriented entity (the "what").  
All living systems have standard internal relationships and dynamics, such as:
- Equifinality – or many ways to the same end (the "how").
- Entropy – living systems naturally run down and eventually die; closed ones die faster than open ones. This is why systems need continual reinforcement, energy, attention, and booster shots.
- Interrelated components – parts are not separate entities; everything everywhere affects everything else in actual systems, despite turf and silo mentalities.
- Hierarchical relationships and elaboration – all subsystems have natural and normal hierarchies. However, continual internal elaboration can lead to either rigidity, bureaucracy, and death, or to spectacular growth.
- Dynamic equilibrium – systems have a natural steady-state rhythm and try to maintain that despite all external changes and forces.



## ***Applications: Systems Dynamics and Learning***

There are a wide variety of dynamics we all see daily as a result of organizations being systems without realizing why and how these dynamics occur. Learning about these dynamics and understanding them is critical for maximum effectiveness. Our book, *The Complete Guide to Systems Thinking and Learning*, has many tools for use in diagnosing, learning, and improving system dynamics. Some applications in the book include:

- The fundamentals • Cause and effect
- Key systems questions • Systems matrix uses
- Outcome orientations • Structure and teams
- Environment • Individual change
- Feedback loop and learning • HR Management
- Problem-solving/decision-making
- A-B-C change strategies

## ***Concept #2: The Seven Levels of Living Systems***

All systems are actually subsystems of larger systems within their environment. There is an actual hierarchy of these living systems:

- |               |                      |
|---------------|----------------------|
| 1. Cell       | 5. Organization      |
| 2. Organ      | 6. Society/Community |
| 3. Individual | 7. Earth/World       |
| 4. Group/Team |                      |

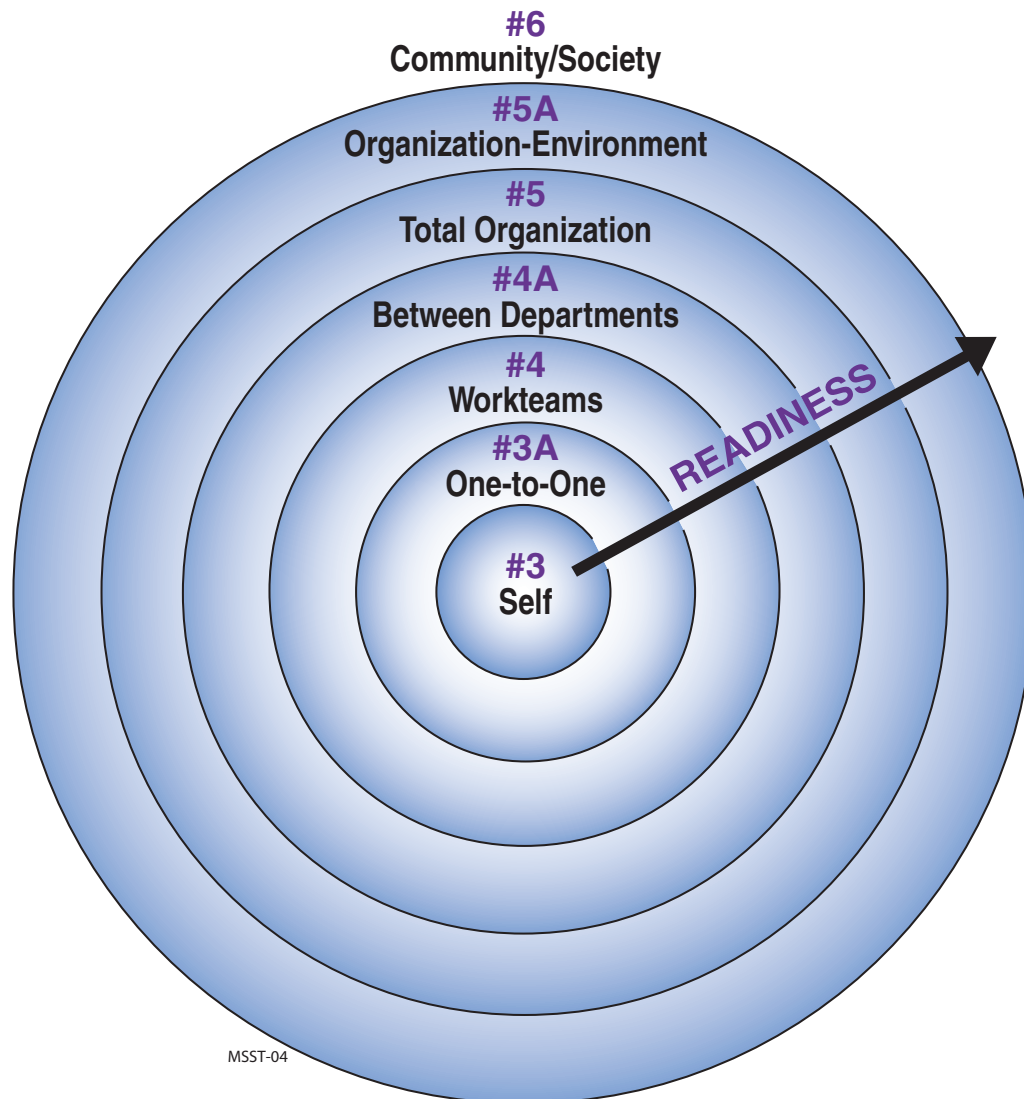
Looking at these interrelated hierarchies of systems, we begin to see that hierarchies are natural and normal. It is just that we need to focus on how to have the minimum hierarchy (not bureaucracy) and have it working with you to achieve your goals or outcomes.

Further, it is the “collision of systems” within and among these levels (especially levels 3, 4, 5, and 6) that creates the complexity and chaos we often feel in today’s world.

### ***Applications: The Seven Levels of Living Systems***

The Seven Levels of Living Systems are key to holistic and long-lasting learning and change that covers all the levels of an organization (see concentric circles we call the Seven Natural Rings of Reality).

## **SEVEN NATURAL RINGS OF REALITY**



#### **Environment Includes:**

- other people/groups
- other organizations
- customer/competitors
- society/community
- regions/earth

#### **Increased Readiness:**

- complexity/chaos
- readiness/willingness
- skills/competencies growth

**Note:** Rings 3 - 4 - 5 are 3 of the **“Seven Levels of Living Systems”**

Rings **3A - 4A - 5A** are **“Collisions of Systems”** with other systems

**General purposes of working at each ring:****Systems Level/Ring #3 – Individuals (“Self Mastery”)**

- Improve personal competency and effectiveness.
- Trustworthiness issues within oneself.

**Ring #3A – One-to-One Relationships (“Interpersonal Skills”)**

- Improve the interpersonal and working relationships and effectiveness of each individual.
- Trust issues between individuals.

**Systems Level/Ring #4 – Work Teams/Groups (“Team Effectiveness”)**

- Improve the effectiveness of the work team, as well as its members.
- Empowerment and role/relationship issues.

**Ring #4A – Inter-Group (“Conflict/Horizontal Cooperation”)**

- Improve the working relationships and business processes between departments horizontally to serve the customer better.
- Horizontal collaboration/integration issues.

**Systems Level/Ring #5 – Total Organization (“Fit”)**

- Improve the organization’s structures and processes to better achieve business results; develop its adaptive response system capacity in a changing environment.
- Alignment and attunement issues.

**Ring #5A – Organization-Environment (“Strategic Plans”)**

- Improve the organization’s sense of direction, response to its customers, and proactive management of its environment.
- Adaptation to environmental issues.

This Tree Ring model is also the key to both The Learning Organization (which must get feedback from and learn about or improve all six of these tree rings – an incredible task) and installing a Leadership Development System to prepare leaders for the 21st Century (and the skills to lead effectively at all six rings).

***Concept #3: The Five Phase A-B-C-D-E Systems Model...A New "Orientation to Life"***

This circular (vs. linear) way of viewing individuals, teams, and organizations as systems is a great way to "never lose your place" within the context of understanding and improving organizations, teams, and individuals. These five phases broaden your strategic thinking, clarify your outcomes, improve your assessments, sharpen your designs, focus on your need for feedback, and keep you open to environmental dynamics – both on the job and as a new orientation to life overall.

***Applications: A-B-C-D-E Strategic Thinking Framework***

There are many uses of the Five Phases of Systems Thinking:

- Coordinating a Comprehensive Strategic Plan – A comprehensive Strategic Planning Process for an organization, personally tailored to them.
- Creating a Micro Plan or a Quick Strategic Plan – Two shortened versions of Strategic Planning for small to midsize organizations.
- Developing a Business/Functional Strategic Plan – A shortened 3-year Business Planning Process for a line business unit or major support function/section/program (i.e., element of the larger organization), depending if #1 above is in place.
- Developing Goals for Strategic Change – Creation of an overall change plan for a major project (i.e., TQM, service, reengineering, partnerships and teamwork, technology, etc.).
- Creating a Strategic Life Plan – Development of a personal (person, family, couple) life plan.
- Creating Customer Value – Creation of a plan to improve the value provided to your customers.
- Implementation of Strategic Human Resource Management – Gain your attunement with people to create "The People Edge" in your organization.
- Improving your Leadership Development System – Enhancing your leadership roles and competencies as a competitive business edge.
- Employing an Organizational Systems Model – Systematically assessing, redesigning, and implementing change efforts to dramatically increase your success (i.e., a Strategic Business Design).
- Enhancing Team Effectiveness – Focusing comprehensively on all aspects of teams to dramatically enhance their outcomes and effectiveness.
- Creating The Learning Organization – Implementing The Systems Thinking Approach™ and these learning/feedback concepts (especially A–B and E).

### ***Five Phases of Strategic Thinking (Including “E” – Environment):***

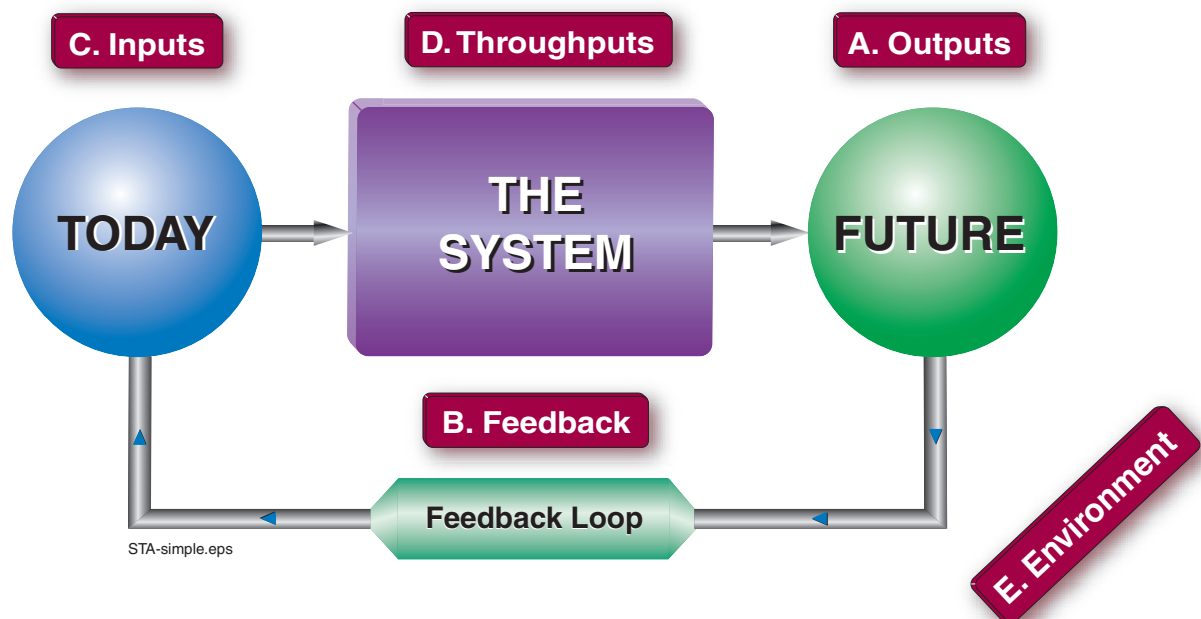
- A. “Creating Your Ideal Future” (Output)
- B. “Measurements of Success” (Feedback Loop)
- C. “Converting Strategies to Operations” (Input to Action)
- D. “Successful Implementation” (Throughput/Actions)
- E. “The External Environment” (or context within which the A-B-C-D phases operate)

## THE SYSTEMS THINKING APPROACH™

### "A New Orientation to Life" – Our Core Technology **STRATEGIC THINKING**

*"From Complexity to Simplicity"*

**Systems:** Systems are made up of a set of components that work together for the overall objective of the whole (output).



*This framework is the key to improving “Strategic Thinking” – a hot topic today. Clearly defining your outcomes (Phase A) is the #1 key to strategic thinking, feedback (Phase B) is the #2 key, and continually scanning the environment (Phase E) is #3.*

### Concept #4: The Rollercoaster of Change™

This Rollercoaster is a simple way of understanding the dynamics of how to effect positive changes of all types. Cycles of “stability–change–instability–new stability–and change all over again” are normal and natural. Don’t fight them; use them to your advantage!

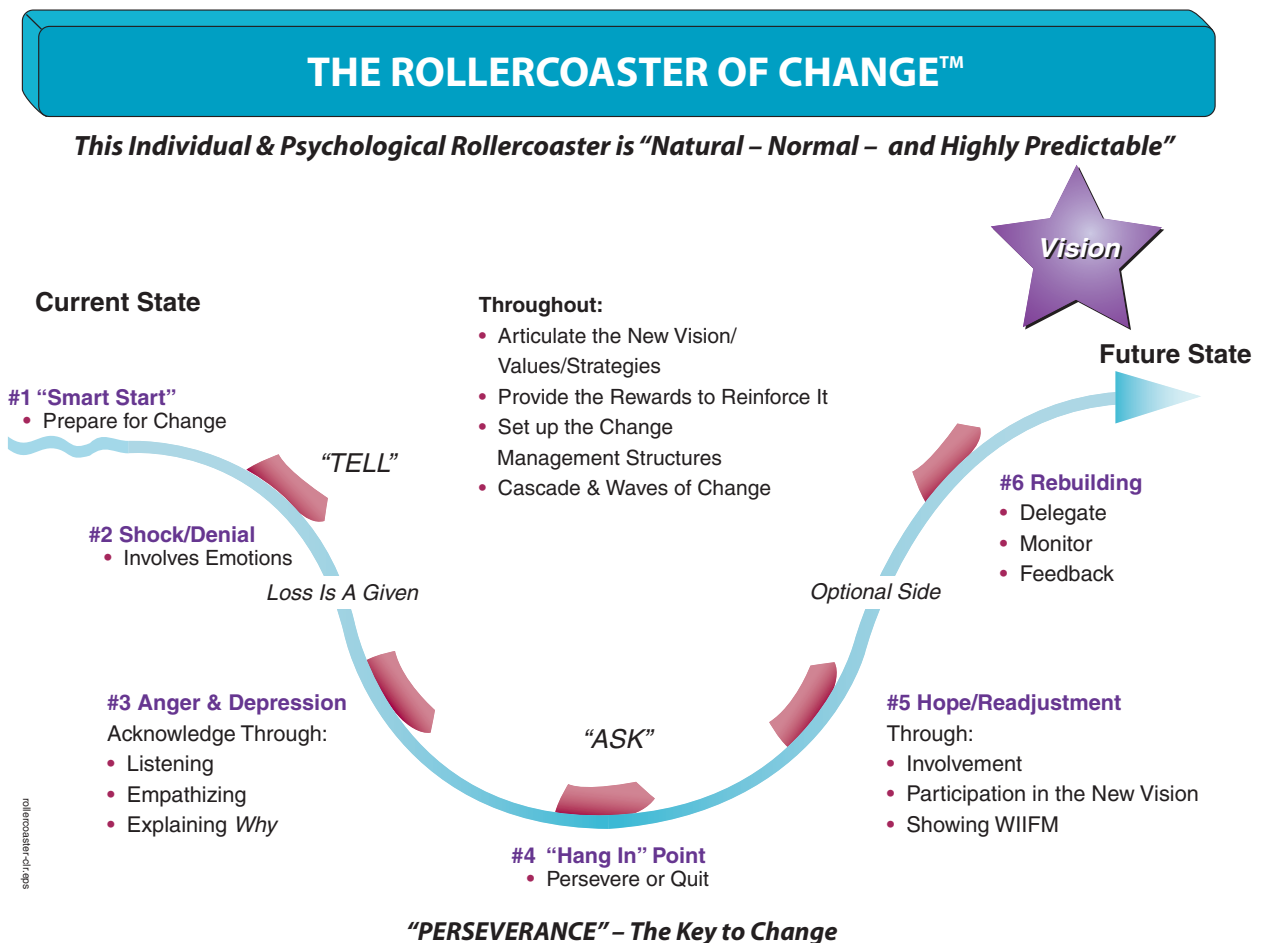
Basically, you must manage and lead yourself and others through the following four stages of The Rollercoaster simultaneously, though everyone goes through these stages at different rates, depths, and times (see model below).

**Stage #1: Shock and denial** – You must be better prepared, give advance notice and clear expectations regarding standards and norms of behavior.

**Stage #2: Depression and anger** – You must (a) listen, (b) empathize and, only then, (c) explain why the new vision and the change is necessary (this a, b, c order is key).

**Stage #3: Hope and adjustment** – You must clarify each person’s new role and new norms of behavior. Find ways to gain maximum involvement and understanding of WIIFM (What’s In It For Me) by everyone on how to achieve the new vision and values.

**Stage #4: Rebuilding** – Here you empower the fully committed individuals and teams toward your vision and values. Then stand back, monitor, and follow-up.



### ***Applications: The Rollercoaster of Change™***

This Rollercoaster helps as a frame of reference to guide you through any kind of change and is particularly useful when dealing with the situations below:

- Coaching and counseling others.
- Working yourself through change and transition.
- Learning new knowledge, ideas, and skills.
- Facilitating team-building.
- Guiding yourself and others through redesign and restructuring.
- Managing technological changes.
- Defining and implementing new corporation strategies.
- Learning how to dialogue to truly discover new solutions.
- Leading organization-wide and cultural changes.
- Developing a foundation to create “The Learning Organization.”

Thus, The Rollercoaster’s application is almost universal in today’s constantly changing environment. Keep in mind that any kind of major change causes this curve/cycle to begin. Also, keep in mind that stages #1 and #2 are automatic – stages #3 and #4 occur effectively only with proper leadership and management (of self and others).

### ***Benefits***

If you adopt The Systems Thinking Approach™ and orientation to life as we at the Centre do, you’ll find many benefits including:

- A framework to think strategically and a way to make sense out of life’s complexities, since all living things are systems.
- A way to learn new things more easily, as the basic rules stay the same from system to system. (Note: further details about learning and “The Learning Organization” are available from us in a number of formats.)
- A better way to learn and a higher order of strategic integration of new ideas within the systems context and dynamics.
- A clearer way to see, understand, and assess what is going on in an organization or in any system. Complex problems become easier to understand as do the interrelationships and the multiple causes and effects.
- A new and better way to design solutions, create strategies, solve problems, and keep the outcome, vision, or goal in mind at all times.
- The unveiling of new and higher points of leverage for strategic change that might otherwise be ignored.

- Teams and people who engage in deeper analysis and identify root problems that, when addressed, provide longer-lasting results (and less negative by-products).
- The identification and strategic resolution of those issues requiring a deeper structure and obscure relationship improvement that are not obvious by the “quick fix” mentality.
- The development of a common set of terminology/language to improve communications, teamwork, learning, and results across the organization (a higher order of intellect and critical thinking).

### ***In Summary***

Remember that these four sets of concepts and applications of Strategic and Systems Thinking must interrelate and work together for the overall good of the whole system. Use these concepts and applications in collaboration with each other to maximize success. Otherwise, you are using a piecemeal, more linear, analytic approach instead of a higher order of strategic intellect and critical thinking – The Systems Thinking (and strategic/synergistic) Approach™.

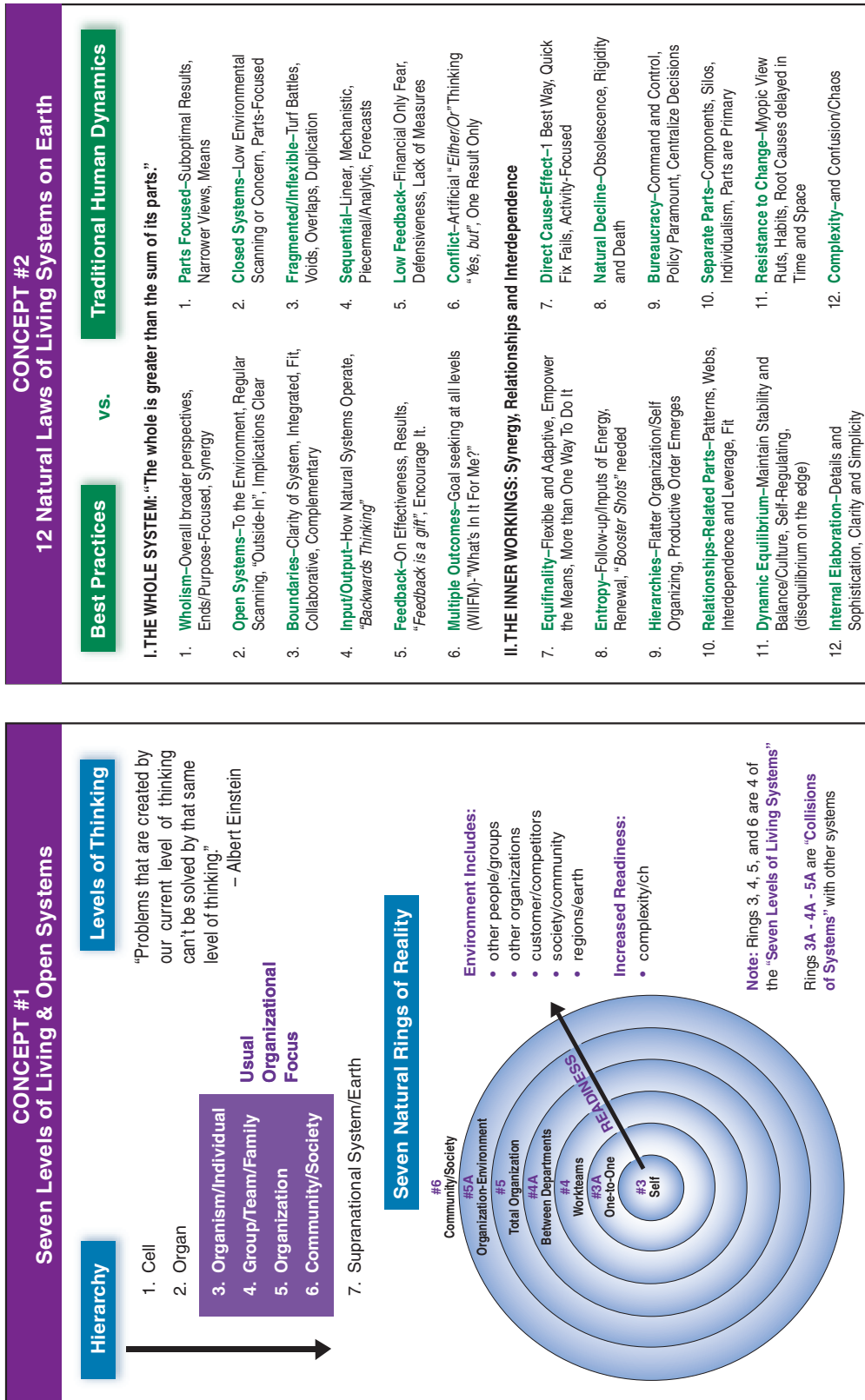
***Good luck on your strategic journey!***



# THE SCIENCE OF SYSTEMS THINKING

## The Natural Way the World Works

**System:** A System is a set of components that work together for the overall objectives of the whole (output).



MSST-01

- In **Analytic Thinking**, the parts are Primary and the Whole is Secondary.
- In **Systems Thinking**, the Whole is Primary, and the parts are Secondary.

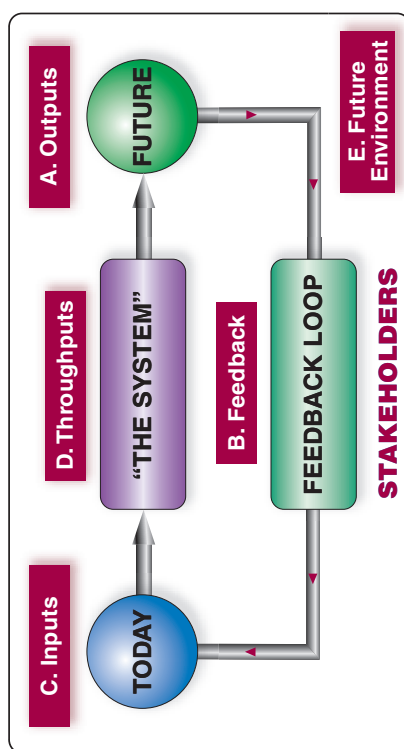
# THE SCIENCE OF SYSTEMS THINKING

## *The Natural Way the World Works*

**Systems Thinking...** is finding patterns and relationships, and learning to reinforce or change these patterns to fulfill your vision and mission.

### CONCEPT #3 The Systems Thinking Approach™

**"A New Orientation to Life"**



#### Five Strategic Questions: "Backwards Thinking"

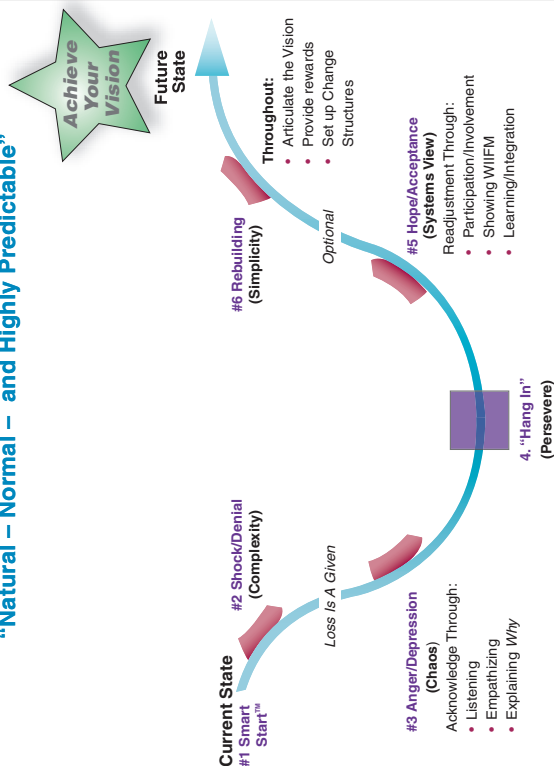
- A** **Where do we want to be?** (i.e., our ends, outcomes, purposes, goals, destination, vision)
- B** **How will we know when we get there?** (i.e., the customers' needs connected to a quantifiable feedback system)
- C** **Where are we now?** (i.e., today's issues and problems)
- D** **How do we get there?** (i.e., close the gap from C → A in a complete and holistic way)
- E** **Ongoing:** What will/may change in the future environment?

#### Why Thinking Matters

**"How you think... is how you act... is how you are."**

### CONCEPT #4 The Rollercoaster of Change™

**"Natural – Normal – and Highly Predictable"**



#### Major Questions

1. How deep is the trough? How long?
2. Will we get up the right side and rebuild?
3. Are there other changes occurring?
4. Will we hang-in and persevere?
5. How to deal with normal resistance?
6. How to create a critical mass for change?

#### Major Uses

1. Personal transitions/Learning
2. Interpersonal relationships
3. Coaching
4. Conflict management
5. Team effectiveness
6. Overall change management

## **Our Level of Thinking**

Problems that are created  
by our current level of thinking  
can't be solved  
by that same level of thinking.

– *Albert Einstein*

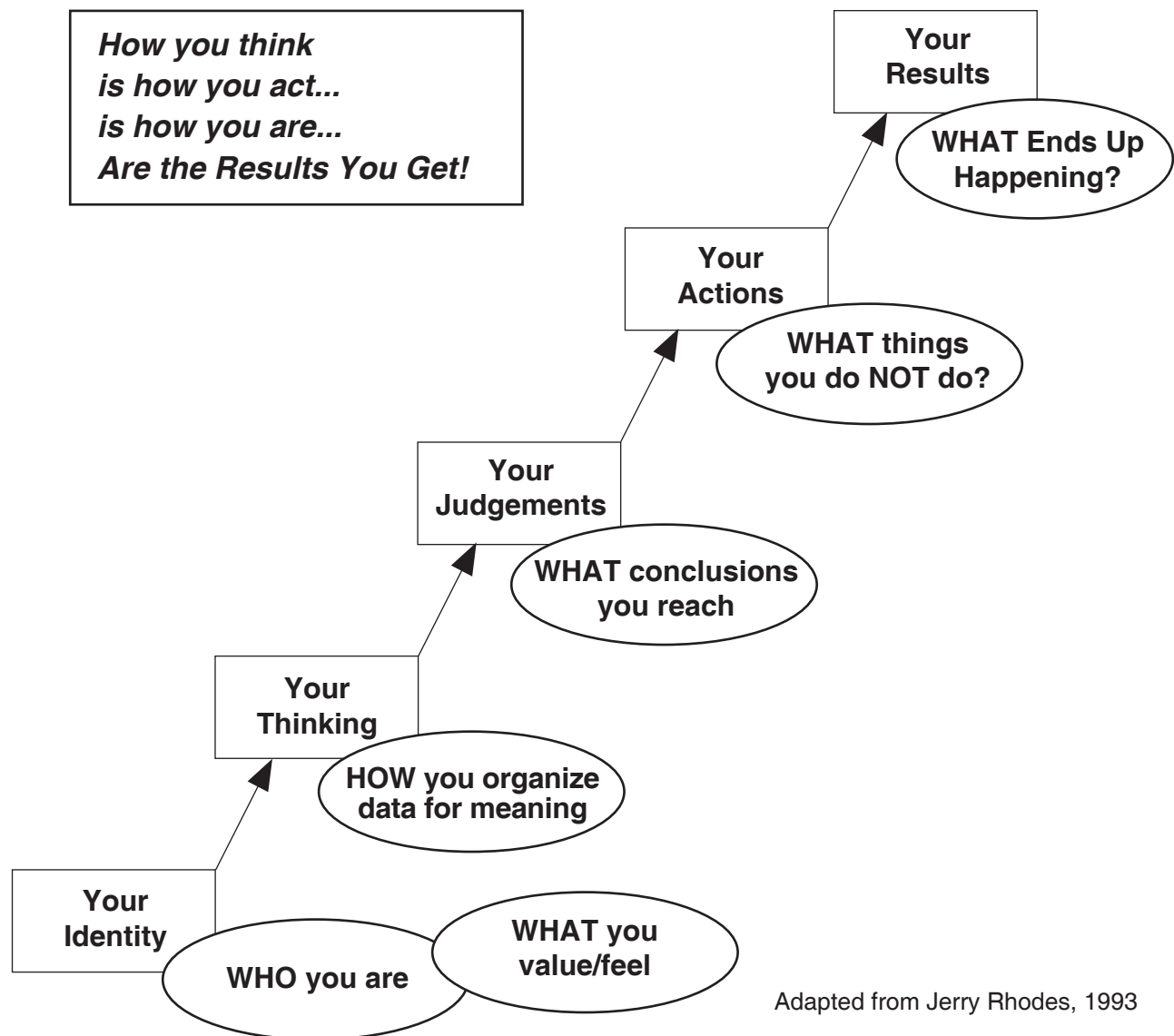
So...if we generally use  
analytical thinking,  
we now need  
*real "Systems Thinking"*  
to resolve our issues.

– *Stephen G. Haines*

## Why Thinking Matters

The way you think creates the results you get.

The most powerful way to impact the quality of your results is to improve the ways you think.



## Thinking.

We often think about **what** we think  
but  
we seldom think about **how** we think.

## What's the difference?

What are you thinking?  
or  
How are you thinking?

“As you think, so you are.”

“Simply put, change our thoughts, and we can change our world.”

– Prem Chengalath, M.D.

“The greatest discovery in our lives is that human beings,  
by changing the inner attitudes of their minds,  
can change the outer aspects of their lives.

– William James

## Thinking is Hard Work

All the problems of the world could be settled easily if people were only willing to think.

The trouble is that people often resort to all sorts of devices in order not to think, **because thinking is such hard work.**

– Thomas J. Watson

**“If you think you can**

**...you’re right.**

**If you think you can’t**

**...you’re right.”**

– Henry Ford

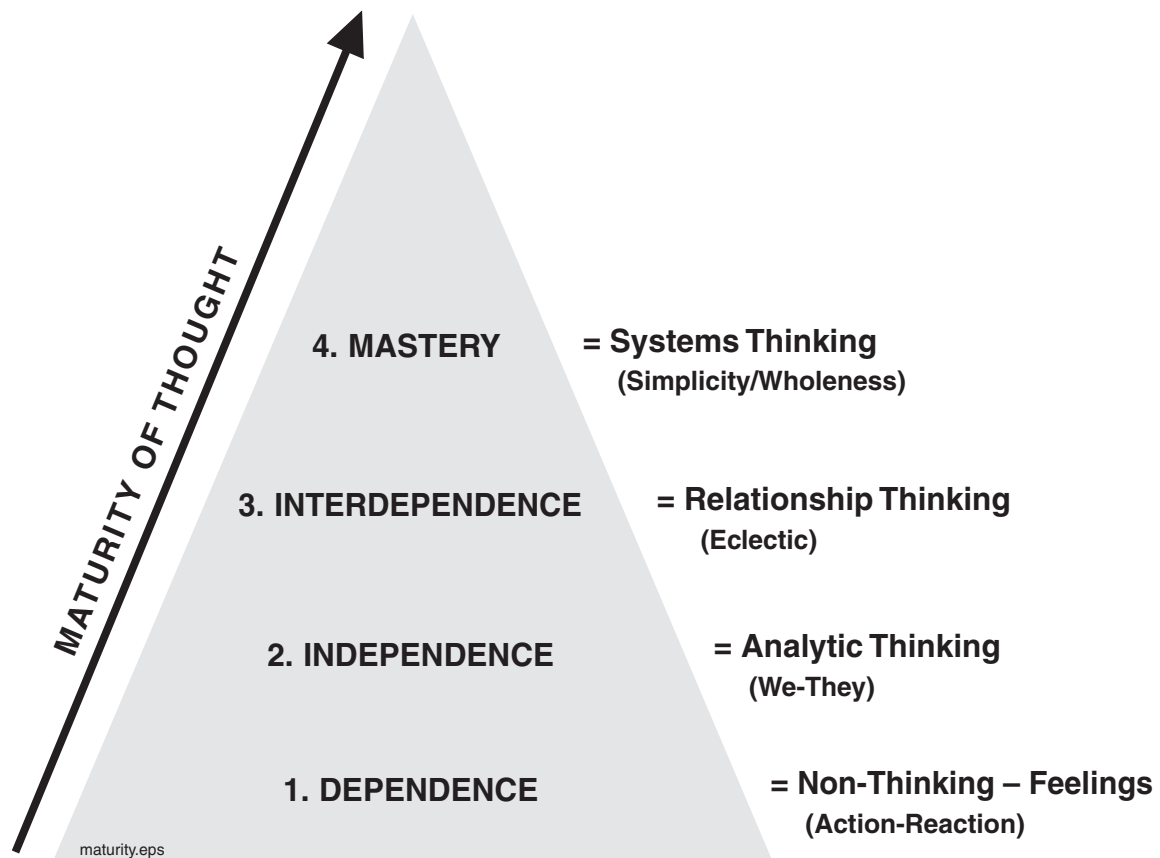
**The real question is...**

**“How do you prefer to think?”**

## Levels of Maturity for Change

– Ericson, Covey, and Haines

### Another Change Problem: Systems Thinking Requires Mature Thinking



#### In Summary:

- We are governed by the natural laws of life and living as open/living systems on earth.
- SO –
- **A successful participant must learn the rules**
- **Analytical thinking is old Industrial Revolution thinking.**

## Systems Thinking's Natural Laws (Life Here on Earth for All Living Systems)

12 Natural Laws - and - Their Best Practices	
<b>I. The Whole System</b>	
1. Holism	1. Ask "What's your purpose"? (No. 1 Systems Question)
2. Open System	2. Scan the environment regularly (Ask Implications)
3. Boundaries	3. Collaborate across them (Seek win-win)
4. Input/Output	4. Use "Backwards Thinking" (Learn your A-B-Cs)
<b>5. Feedback (is a gift)</b>	5. Encourage "gifts"
6. Multiple Outcomes	6. Organizational and individual outcomes (WIIFM) – (acknowledge both)
<b>II. The Inner Workings</b>	
7. Equifinality	7. Empower the means (Focus on ends, not means)
8. Entropy	8. Build in Booster Shots
9. Hierarchy	9. Flatten the Hierarchy
10. Relationships	10. Recognize Relationships and Fit
11. Dynamic Equilibrium	11. Blast away the ruts
12. Internal Elaboration	12. Create Clarity and Simplicity



## Properties of Systems – Be Strategic

**Systems Thinking...is finding patterns and relationships, and learning to reinforce or change these patterns to fulfill your vision and mission.**

1. **The Whole is Primary** – The whole is primary and the parts are secondary. Focusing on maximizing the parts leads to suboptimizing the whole.
2. **Understand Systems Holistically in Their Environment** – Systems, and organizations as systems, can only be understood holistically. Try to understand the system and its environment first. Organizations are open systems and, as such, are viable only in mutual interaction with and adaptation to the changing environment.
3. **Each System Functions Uniquely** – Every system has properties/functions that none of its parts can do.
4. **System Purposes First** – The place to start is with the whole and its purposes within its environment. The parts and their relationships evolve from this.
5. **The Role of Parts – Supports the Whole** – Parts play their role in light of the purpose for which the whole exists. Focus on the desired outcomes; not just the problems of the parts.
6. **All Parts Are Interdependent** – Parts, elements, subsystems are interdependent...a web of relationships. Therefore, yesterday's great solutions may lead to today's issues. Every system cannot be subdivided into independent parts; a system as a whole cannot function effectively when it loses a part.
7. **Small Changes Produce Big Results** – Change in any element of a system affects the whole as well as the other elements, subsystems. The small changes can produce big results if the leverage points are clear.
8. **Maximizing Parts Suboptimizes the Whole** – Exclusive focus on one element or subsystem without simultaneous attention to other subsystems leads to suboptimal results and new disturbances. The solution or simple cure can often be worse than the real disease.
9. **Causes and Effects Are Not Closely Related** – Delay time and delayed reactions along with cause and effect being not closely related in time and space cause inaccurate diagnoses and solutions. Direct cause and effect is an environmentally free concept.
10. **Faster is Ultimately Slower** – Systems have a natural pace to them. Sometimes trying to go faster is ultimately slower
11. **Feedback and Boundaries** – Systems are more "open" and likely to sustain their existence longer and more effectively, the more feedback they receive from the environment through all aspects of their boundaries
12. **Multiple Goals** – All social systems have multiple goals; building consensus on them first is the key to successful teamwork and achieving these goals

## Properties of Systems (continued)

13. **Equifinality and Flexibility** – People can achieve their goals and outcomes in many different styles/ways – thus the CSM “strategic consistency – operational flexibility” concept of the '90s
14. **Hierarchy is Natural** – Despite some recent political correctness against hierarchies, all systems have a natural hierarchy; find it, minimize it, and make it work for you
15. **Entropy and Tendency to Run Down** – All systems have a tendency towards maximum entropy, disorder and death. Importing resources from the environment is key to long-term viability, closed systems move toward this disorganization faster than open systems

**So:** *A system cannot be understood by analysis – but by synthesis – looking at it as a whole within its environment*

**Thus:** *In organizations we don't deal with problems – we deal with “messes of problems”*

### Messes of Problems

“Effective managers do not solve problems.  
They dissolve messes.”

– Dr. Russell L. Ackoff,  
Chairman, Interact

## Primary Systems Thinking Questions

### Primary Systems Questions = Strategic Thinking

#### I. Preconditions

##### Precondition #1 – What System?

*What entity/system or 'collision of systems' are we dealing with?*

##### Precondition #2 – What Levels?

*Within our identified system, what level(s) of the system are we trying to change and what is our purpose/desired outcome?*

#### II. Systems Questions

##### Systems Question #1 – Desired Outcomes

*What are the desired outcomes?*

##### Systems Question #2 - Feedback

*And, how will I know I've achieved it? (i.e., feedback loop of outcome measures)*

##### Systems Question #3 - Environment

*What will be changing in the environment in the future that might impact us?*

##### Systems Question #4 – Web of Relationships

*What is the relationship of X to Y?*

##### Systems Question #5 – Means or Ends

*Are we dealing with means or ends? Corollary: Ask the "five why's"*

##### Systems Question #6 – Booster Shots

*What do we need to do to ensure buy in/stay in and perseverance over time (to reverse the entropy)?*

##### Systems Question #7 – Successful Change

*What are the new structures and processes we are using to ensure successful change?*

##### Systems Question #8 - Flexibility

*What do we centralize (mostly what's) and what should we decentralize (mostly how) at the same time?*

##### Systems Question #9 – Root Causes

*What are the root causes?*

##### Systems Question #10 - Simplicity

*How can we go from complexity to simplicity and from consistency to flexibility in the solution we devise?*

##### The Foundation Tool and Question

*What is it that I contribute to the problem and can change to be a positive and proactive leader on this?*

##### The Ultimate Tool and Question: Helicopter View

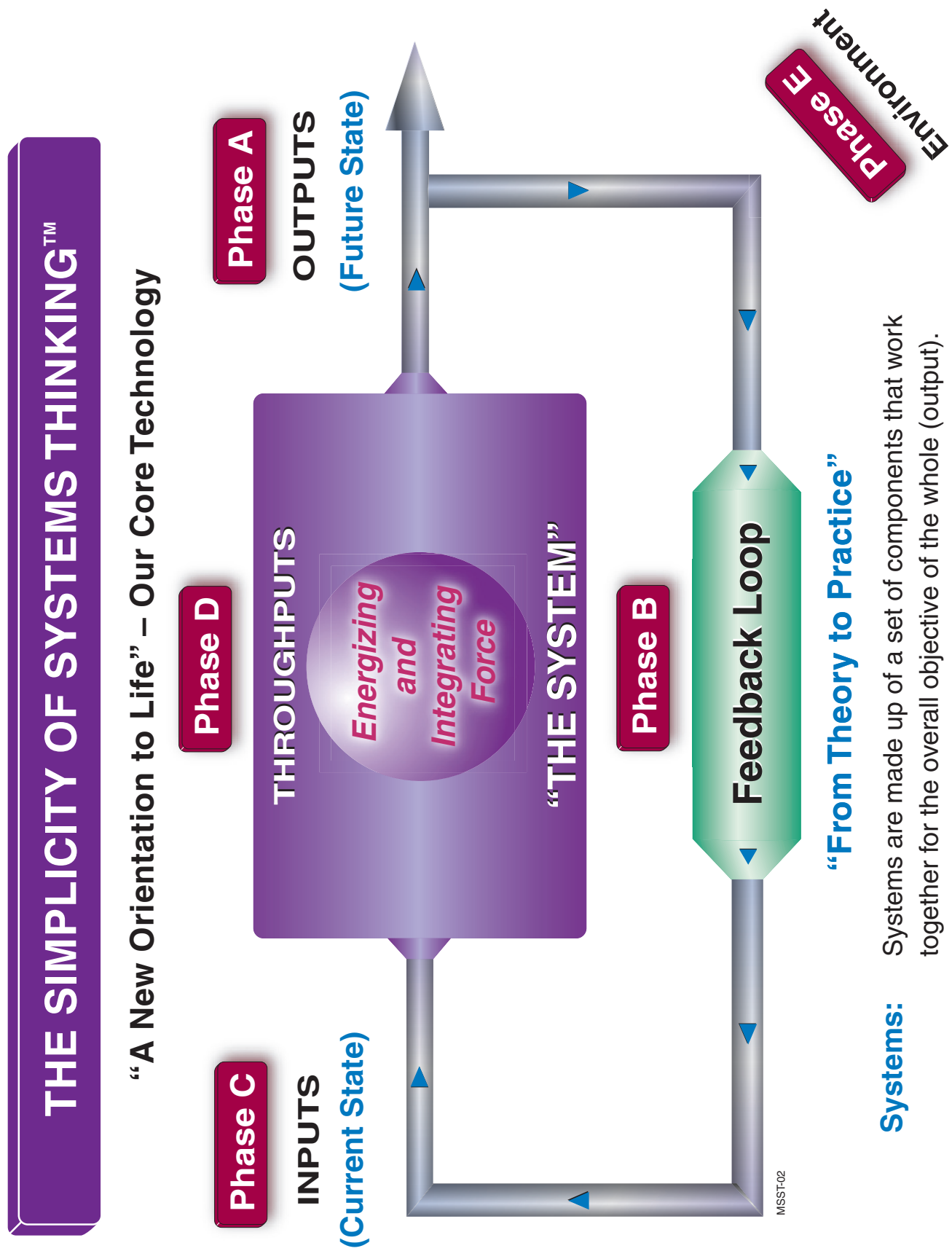
*What is our common superordinate goal here?*

##### Paradigm Shift Question: Backwards Thinking

*What today is impossible to do, but if it could be done, would fundamentally change what we do?*

##### Multiple Goals Question:

*What are the multiple goals for this project (WIIFM)?*



# THE SYSTEMS THINKING APPROACH™

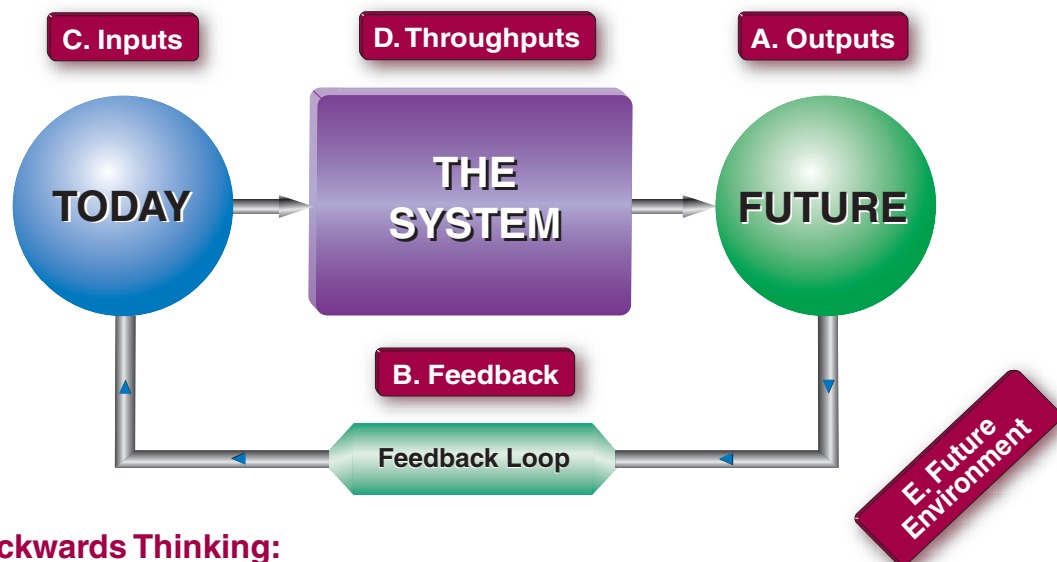
“The Natural Way the World Works”

“A New Orientation to Life” – Our Core Technology

## STRATEGIC THINKING

*“From Complexity to Simplicity”*

**Systems:** Systems are made up of a set of components that work together for the overall objective of the whole (output).



**Backwards Thinking:**

**Five Strategic Thinking Questions – In Sequence:**

- A** Where do we want to be? (i.e., our ends, outcomes, purposes, goals, holistic vision)
- B** How will we know when we get there? (i.e., the customers' needs and wants connected into a quantifiable feedback system)
- C** Where are we now? (i.e., today's issues and problems)
- D** How do we get there? (i.e., close the gap from C → A in a complete, holistic way)
- E** Ongoing:  
What will/may change in your environment in the future?

**vs. Analytic Thinking Which:**

- 1 Starts with today and the current state, issues, and problems
- 2 Breaks the issues and/or problems into their smallest components
- 3 Solves each component separately (i.e., maximizes the solution)
- 4 Has no far-reaching vision or goal (just the absence of a problem)

**NOTE: In Systems Thinking, the whole is primary and the parts are secondary (not vice-versa).**

*“If you don't know where you're going, any road will get you there.”*

**Why Thinking Matters**

*“How you think... is how you act... is how you are.”*

## Strategic Planning, Management, and Leadership Leads the Way

Strategic Planning is THE major organizational intervention to develop a shared vision of your future and the values, culture, and business strategies needed to be implemented and managed to get you there.

It is a way to:

- accelerate/advance the changes you want to make
- to tie in and increase the importance of other major changes that should be (but usually aren't) corporate strategies with total buy-in/ownership by the organization.

### Ongoing: Environmental Scanning/Best Practices Research

#### E. Environment

1. Why: stockholders, stakeholders, customers, society

#### Step #2: Vision and Mission

2. Who: customer focus
3. What: quality, service, response, cost, profitability

#### A. Outputs

#### Step #2: Core Values

4. Self-directed work teams
5. Employee empowerment/creativity
6. Continuous improvement
7. GE's Workout (blowout bureaucracy); reinvent government
8. Communications effectiveness; drive out fear

#### B. Feedback

#### Step #3: Key Success Measures

9. Benchmarking/measurement systems (world class comparisons)
10. Employee and customer satisfaction surveys
11. Market research
12. Executive compensation and other rewards practices

#### C. Inputs

#### Step #4: Core Strategies

13. TQM/TQL – some of Deming's 14 Points
14. Service management/quality service
15. Speed and response time
16. Business process improvement/reengineering
17. Improved sales and market-driven culture
18. Cost efficiencies, reductions, and productivity improvements
19. De-layering
20. People as our competitive business advantage
21. Culture change
22. Organization structure/design

#### D. Throughputs

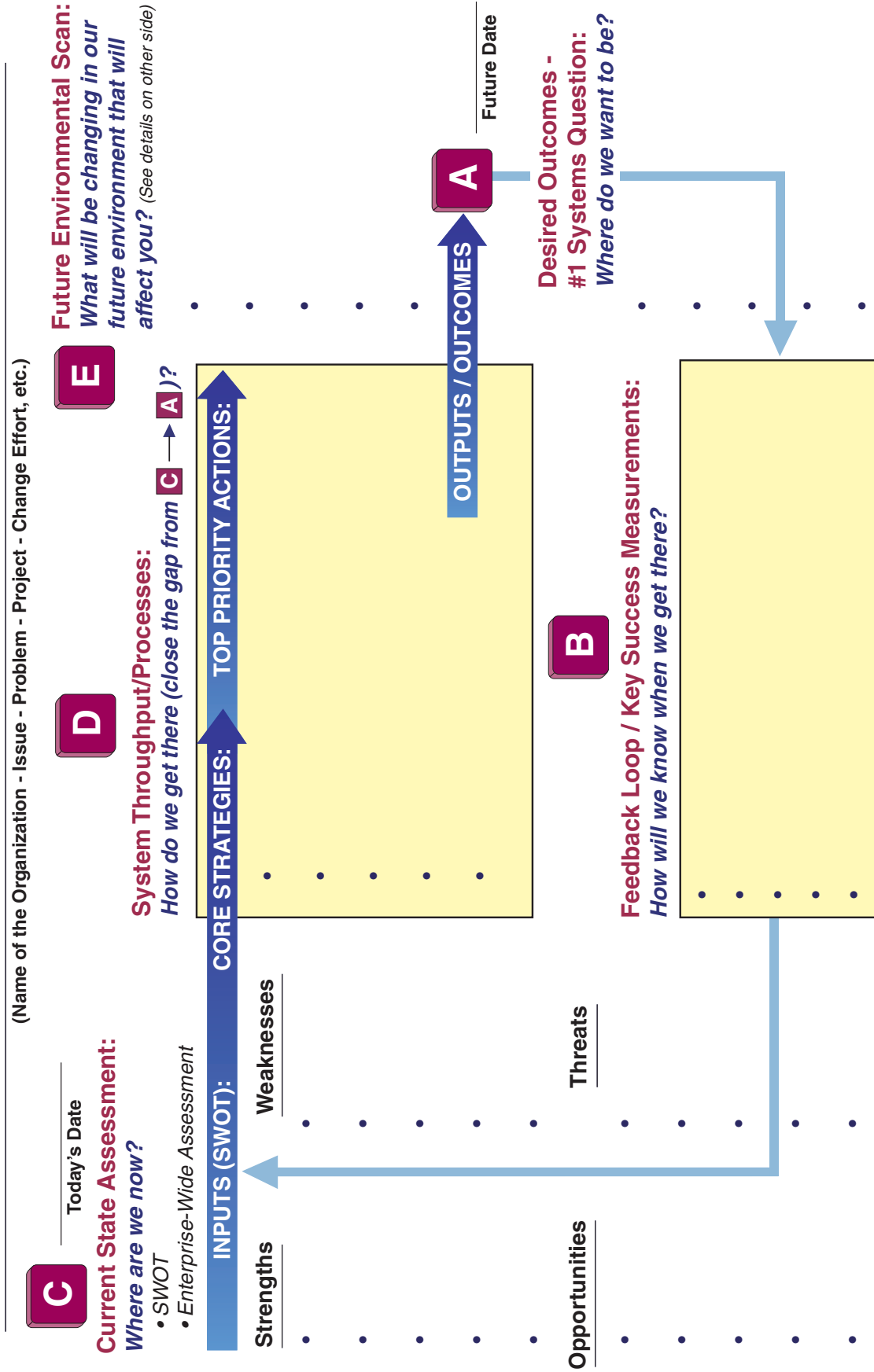
#### Steps #6–10: Operational Planning and Implementation

23. Annual/operations/tactical planning
24. Annual budgeting
25. Performance management/evaluation system
26. Strategic Change Steering Committee/transition management/Q.M.B.S.–P.A.T.s
27. Annual strategic reviews and updates, management meetings

# STRATEGIC THINKING – ABCS TEMPLATE

## “The Science of Systems Thinking”

*Desired Outcome – “Clarify and Simplify Your Thinking” – About Your Project*



## **Systems Thinking – A New Way to Think**

### **“Think Differently”**

#### **Start Thinking About:**

- |                           |                                  |
|---------------------------|----------------------------------|
| 1. The Environment        | E (and opportunities)            |
| 2. The Outcomes           | A (and results)                  |
| 3. The Future             | A (and direction)                |
| 4. The Feedback           | B (and learning)                 |
| 5. The Goals              | B (and measures)                 |
| 6. The Whole Organization | D (and helicopters @ 5,000 feet) |
| 7. The Relationships      | D (and patterns)                 |

#### **Stop Thinking About:**

1. Issues and Problems
2. Parts and Events
3. Boxes/Silos
4. Single Activities of Change
5. Defensiveness
6. Inputs and Resources
7. Separateness

**How we think ...is how we act ...is how we are!**



## **Systems Thinking is Related to Some Principles of Behavioral Science**

**“We’re All 13 Years Old Inside”  
Creative–Energized–Emotional–Immature–  
Fun Loving–Enthusiastic–Fearful**

*– Sheri Barker*

### **Some Key Principles of the Science of Human Behavior**

#### **I. Leadership of People**

1. “Skeptics are my best friends.”
2. “People support what they help create.”
3. Assumptions & Thoughts Behavior Consequences: (ABCDE) Desired vs. Experience – Unintended Consequences.
4. Peer pressure works quite well – there are always natural/informal leaders.
5. Consistency and integrity are the most important leadership behaviors to employees.
6. Give credit to others – let them give it to you.
7. Praise in public, criticize in private.
8. The troops eat first.
9. Start tight – then you can loosen up (Leadership 101).

#### **II. Change**

10. Change has predictable behaviors (The Rollercoaster of Change™).
11. The Rollercoaster of Change™ is natural, normal, and highly predictable.
12. People are naturally more energized and motivated if they are delegated an entire (whole) job with direct customer contact – Plan, Do, Control.
13. You cannot change others, only yourself – your reactions and your own behavior towards others.
14. If you find it hard to change your behavior and habits, think how hard it is for others to change.

## **Systems Thinking is Related to Some Principles of Behavioral Science *(continued)***

15. Fear does not motivate people to really change, especially long term on their own. They just “move enough” to respond to the perceived threat.
16. Organizations are dependency models at the lowest level of maturity. Most adults have risen above it to the independent or interdependent maturity level.
17. Don’t burn bridges or treat others with anything but dignity and respect – what goes around eventually comes around back to you.
18. The main question to ask in any situation is, “Are we making progress (towards our goals)?” Are we making continuous improvement? Do we have problems and are they getting better?

### **III. Individuals**

19. People dislike surprises. (Confidentiality is a myth anyway.)
20. I want input into decisions that effect me before the decision is final (do it with me, not to me).
21. “What’s In It For Me?” (WIIFM). We are all goal directed.
22. Saying “I’m sorry or you’re right or I apologize” are some of the toughest words to say in the English language – but honesty builds trust.
23. If you see or discover a mistake or wrong action, you are now part of the problem. You have only two choices: collude to be part of it or work to change it. Ignoring it is to collude to allow it to happen again.
24. Honoring the past allows for and frees me up to change in the future.
25. Having integrity gives you power – the power of honesty, the power of directness, and the power of trust.
26. You cannot injure or hurt my self esteem without my permission and collusion. Know where Your limits and where your line of self-esteem are – protect them and don’t let others cross your line.
27. By understanding and empathizing with others first, you have then earned the right to disagree with them as a royal skeptic.

## **Systems Thinking is Related to Some Principles of Behavioral Science *(continued)***

### **IV. Theorists**

28. Freud was right: Rewards and consequences and fears do drive behavior.
29. Skinner was right: Positive behavioral reinforcement works better than negative.
30. Freud was right: Most people avoid conflict and pain “like the plague.”
31. What is realistic to expect given the current situation? (Harry Levinson)
32. Maslow was right: We have a Hierarchy of Needs:
  1. Food, clothing, and shelter,
  2. Safety and security,
  3. Belongingness and love, which must be met for
  4. Esteem, self esteem, and then
  5. Self-actualization to fully blossom!

### **V. Learning and Simplicity**

33. Our retention fades fast – we need booster shots (4 times) with reinforcement regularly to retain new learnings and behaviors.
34. “Adults learn best by doing.” (Struggling accelerates the learning.)
35. Root causes are delayed in time and space – search for them.
36. We become more complex and set in our ways over time (complexity vs. simplicity).
37. Simplicity wins the Game of Change every time.
38. Feedback is a gift – the breakfast of champions – be open to it, model it for others.

## **Section II**

### **Becoming a Strategic Partner**

#### ***21st Century Changes***

What do you see as the changes in the 21st Century (in the world of business)?

#### ***Staff implications***

What do you see as the staff implications of the 21st Century business changes/global trends?

Sick-Symbiotic Relationships

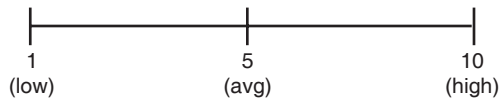
Where to they exist in your life?

- In executive relationships?
- Organizational - long term employees?
- Bureaucracy?
- At home - Family
- Friends/Colleagues

Where?	Who Involved	Why?	What to Do?
1.			
2.			
3.			
4.			
5.			

## ***Becoming a Strategic Partner***

**Instructions:** Please rate yourself on the following items. Use the following scale:



1. \_\_\_\_\_ Knowing my organization's business.
2. \_\_\_\_\_ Managing complexity.
3. \_\_\_\_\_ Anticipating pressures for organizational change.
4. \_\_\_\_\_ Responding appropriately to pressures for organizational change.
5. \_\_\_\_\_ Knowing line managers' goals.
6. \_\_\_\_\_ Reading Strategic Plans.
7. \_\_\_\_\_ Understanding Strategic Plans.
8. \_\_\_\_\_ Asking human resource questions.
9. \_\_\_\_\_ Simplifying complex ideas so that those not in the HR function can understand and use them.
10. \_\_\_\_\_ Thinking strategically.
11. \_\_\_\_\_ Being candid.
12. \_\_\_\_\_ Being a sounding board for others.
13. \_\_\_\_\_ Being available.
14. \_\_\_\_\_ Managing upward.
15. \_\_\_\_\_ Developing confidences.
16. \_\_\_\_\_ Working behind the scenes.
17. \_\_\_\_\_ Sharing the bad news.
18. \_\_\_\_\_ Confronting effectively when needed.
19. \_\_\_\_\_ Being loyal to the organization.
20. \_\_\_\_\_ Being perceived as capable by non-HR people.
- \_\_\_\_\_ **Total (possible 200 points)**

## **The Helping Profession – Staff Functions**

### ***Today's Competencies of the Future***

#### **I. Personally**

- Leadership skills
  - interpersonal
  - assertiveness
  - large organization management
  - visioning
- Consultative skills (phases of helping process)
- Education (research/theories)
  - organization, job design, motivation theory
  - OD, change management
  - rewards, performance management
  - systems thinking
- Marketing, communication skills
- Business savvy, finance
- Strategic planning, competitive advantage knowledge and skills

#### **II. Situationally**

- Business cycles and where your organization is
- Competitive advantage of your organization
  - know what it is
  - education in it
  - skills
  - case studies of success
  - research, theories
- Fit/link to corporate goals and plans
- Network with planning, human resources, training, marketing, communications departments

## Staff Skills

### ***Abilities That Staff Professionals Must Have***

**Instructions:** Please rate yourself on the following items. Use the following scale:



What are the abilities top professionals must have to led their companies into the 21st century? A consensus of opinion from current executives and CEOs indicates they must have the following:

1. \_\_\_\_\_ Ability to identify, recruit, and train tomorrow's top executives and future CEOs.
2. \_\_\_\_\_ Ability to understand and use business strategy; to think strategically as well as tactically.
3. \_\_\_\_\_ Ability to identify future problems and solutions to adapt to changing market conditions.
4. \_\_\_\_\_ Ability to be seen by the CEO as a proactive, vital, integral contributor to the business.
5. \_\_\_\_\_ Ability to understand corporate culture, plans and policies. (Experience in other functions is beneficial.)
6. \_\_\_\_\_ Ability to function in a global market.
7. \_\_\_\_\_ Ability to deal with people of all kinds.
8. \_\_\_\_\_ Ability to communicate well verbally, in writing, and in public speaking.

\_\_\_\_\_ **Total (possible 80 points)**

Source: *Adapted from HR Magazine*



**Becoming a Strategic Partner**

*Instructions:* List your top three strengths and weaknesses.

Strengths	Weaknesses
1.	1.
2.	2.
3.	3.

What actions do I need to take to improve?

Actions	By When?	With Whom?

## **Stages of Professional Growth**

Stage 1: Trainee

Stage 2: Technique-driven

Stage 3: Model-driven

- Eclectic
- Theory/Research-based

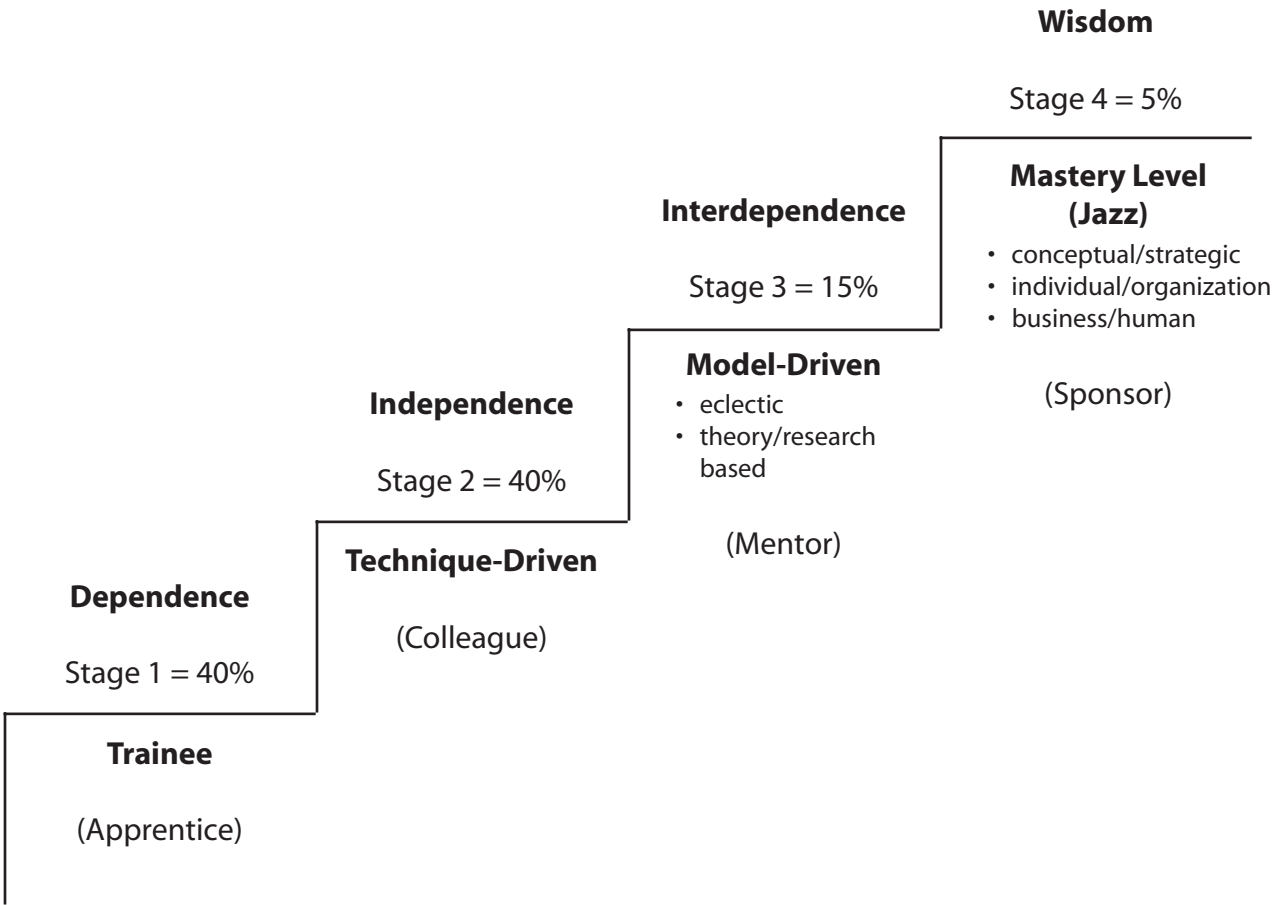
Stage 4: Mastery/Interpretation

- Conceptual/Strategic
- Individual/Organization
- Business/Human

Where are you now?

What are your career aspirations?

# Stages of Professional Growth



1. Where are you today?
2. What level is your professional goal?

## Mastery Level of Professionalism

4 Levels of Professionalism	Personal Financial Management	Planning Profession	Change Mastery
1. Trainee/Rookie (Apprentice/Intern)  2. Techniques  3. Models/Frameworks (Systems)  4. Mastery/Jazz	<ul style="list-style-type: none"> <li>• checking account</li> <li>• credit card</li> <li>• savings account</li> <li>• mortgage house</li> <li>• IRA</li> <li>• loan car/boat</li> <li>• retirement</li> <li>• portfolio management</li> <li>• long-term strategy</li> <li>• real estate framework</li> <li>• financial independence (through financial moves/timing and sound judgement)</li> </ul>	<ul style="list-style-type: none"> <li>• support a planning profession</li> <li>• SWOT</li> <li>• mission</li> <li>• goal setting</li> <li>• Strategic Planning Model (Systems Model)</li> <li>• Strategic Management System (2 goals/2 phases)</li> <li>• facilitate both customer-focused Strategic Planning successfully and the implementation process</li> </ul>	

Change Mastery

4 Levels of Professionalism	
1. Trainee/Rookie (Apprentice/Intern)	<b>Eclectic</b> <ul style="list-style-type: none"><li>• do it poorly</li><li>• make across the board cuts</li></ul>
2. Techniques	<ul style="list-style-type: none"><li>• hold meetings</li><li>• reorganize/restaff</li><li>• listen</li><li>• send memos/newsletters</li><li>• small change projects accomplished (mediocre)</li></ul>
3. Models/Frameworks (Systems)	<ul style="list-style-type: none"><li>• utilize Rollercoaster of Change (and all of its 8 submodels)</li><li>• utilize organizational systems model</li><li>• organization levels differentiated (tree ring model of “systems”)</li><li>• larger integrated change projects accomplished effectively</li></ul>
4. Mastery/Jazz	<ul style="list-style-type: none"><li>• manage complex organizational change successfully (i.e., results achieved; staff motivation/moral high; focused)</li><li>• master change at all levels of tree rings (individual, team, organization)—yet fit all together</li><li>• high performance in a dynamic environment</li><li>• customer-focused orientation to achieve unsurpassed customer satisfaction</li></ul>

*continued*

Mastering Strategic Change

Instructions: Answer the following questions by circling a high, medium or low (H-M-L) by each topic. (i.e., “What level of importance is it for us to add to our management level of ability/mastery on organizational change.

Optional: 1. Self <input type="checkbox"/>		2. Our Organization <input type="checkbox"/>	
Ability Level	Topics	Comments	
	I.Overall		
1.H-M-L	1. Organizations functioning as systems to align and attune all parts together to fit with the Vision and Strategic Plan ...and in support of the customer's wants and needs.		
2.H-M-L	2. Cascade Planning down through the entire organization (strategic, annual, department, individual plans/goals).		
3.H-M-L	3. Being customer-focused and improving/surveying customer intelligence/satisfaction.		
4.H-M-L	4. Providing excellence in customer service throughout the entire organization.		
5.H-M-L	5. Changing an entire organization at all levels (individual, team, organization-wide)		
6.H-M-L	6. Annual Strategic Review (and Update) a 'la independent financial audits.		
7a.H-M-L 7b.H-M-L 7c.H-M-L	7. Three key Systems Thinking approaches to leading organizational change: a. ABCDE Systems Model/relationships—outcomes b. 7 Levels of Living Systems c. Standard (and predictable) Systems Dynamics		

continued

Mastering Strategic Change

<u>Ability Level</u>	<u>Topics</u>	<u>Comments</u>
	<b>II. Leadership</b>	
8. H-M-L	8. Understand your communication style	
9. H-M-L	9. Versatility in your style (recognition of styles and ability to be versatile/flexible in yours) i.e., ask questions/tell others/both	
10. H-M-L	10. Participative leadership management skills (consensus decision-making, etc.)	
11a. H-M-L 11b. H-M-L 11c. H-M-L	11. Providing positive rewards and recognition for: a. individuals b. teams c. organization	
12. H-M-L	12. Meetings management facilitation/involvement	
13. H-M-L	13. Problem solving/decision-making in meetings	
14. H-M-L	14. Cross-functional (or horizontal) teamwork	
15. H-M-L	15. Fostering innovation/creativity in others	
16. H-M-L	16. Employee involvement/empowerment techniques	

*continued*

## Mastering Strategic Change

<u>Ability Level</u>	<u>Topics</u>	<u>Comments</u>
	<b>III. Business Acumen</b>	
17. H-M-L	17. Professional “Business Acumen” knowledge as applied to 3 key technical/functional disciplines (finance/product/markets)—beyond leadership of people	
18. H-M-L	18. Reducing/blowing out bureaucracy and waste	
19. H-M-L	19. Re-engineering cross-functional business processes to be more customer-focused and more efficient	
20. H-M-L	20. Mastering and applying organizational design and job design concepts	
21. H-M-L	21. Improving quality products/services based on customer’s wants and needs (TQM)	
	<b>IV. Change</b>	
22a. H-M-L 22b. H-M-L 22c. H-M-L	22. Models/frameworks to manage change and resistance/ defensiveness: a. of individuals b. of teams c. of the organization	
23. H-M-L	23. Conflict management skills/win-win approaches	
24. H-M-L	24. Skills in personal development—continuous improvement/growth/curiosity	
25. H-M-L	25. Management of strategic change projects (Strategic Change Leadership Steering Committee concept)	
26. H-M-L	26. Learning how people change (“Rollercoaster of Change”) and how to assist change in others.	<i>continued</i>



# Mastering Strategic Change

		Topics	Comments
<b>V. Learning</b>			
27.	H-M-L	27. Manager as "Trainer of Others" (teachers/learning specialists)	
28.	H-M-L	28. Coaching skills (listening/feedback, asking questions, etc.)	
29.	H-M-L	29. Group dynamics and facilitation of teams	
30.	H-M-L	30. Mastering self-change (changing your own habits)	
31.	H-M-L	31. The three kinds of learning there are and how learning really occurs.	

Overall Totals: H\_\_\_\_; M\_\_\_\_; L\_\_\_\_

Instructions: Go back and circle the numbers of the top five skills you have and box the top five areas of needed improvement.

## Future Career Development

**Instructions:** Please rate yourself on the following items. Use the following scale:



1. \_\_\_\_\_ How much do you read about your profession outside normal working hours.
2. \_\_\_\_\_ How much do you read about business?
3. \_\_\_\_\_ How current do you stay with the developments in your industry?
4. \_\_\_\_\_ When was the last time you attended a job related seminar or workshop?
5. \_\_\_\_\_ How often do you establish specific goals aimed at improving yourself?
6. \_\_\_\_\_ Do you feel as though you've attained a stature in your profession where "there's little you don't already know?"
7. \_\_\_\_\_ How many questions do you have prepared for impromptu meetings with "name people" in your field?
8. \_\_\_\_\_ How much sheer time do you put in, in comparison with your professional peers?
9. \_\_\_\_\_ What associations do you belong to? Did you attend their national and local meetings within the last year?
10. \_\_\_\_\_ What is your education level? Are you/will you be getting at least a masters degree in a related area?
- \_\_\_\_\_ **Total (possible 100 points)**

*continued*

**Future Career Development** *(continued)*

*Instructions:* List your top three strengths and weaknesses.

Strengths	Weaknesses
1.	1.
2.	2.
3.	3.

What actions do you need to take to improve?

Actions	By When?	With Whom?

## Mastering Networking As A Professional

- As a professional, become a business matchmaker. If you personally can see someone who can benefit by meeting someone else, make an introduction.
- Create an “elevator speech” that tells others what you do in the most favorable way. You might say: “I bring people together for the sole purpose of increasing their net worth.”
- Keep a list of networking people in your organization that are your organization’s “influencers” – the 20% in any organization that influence the remaining 80%. Mention these people by name in your conversations. You never know when someone might know one of these influencers and buy into your ideas.
- Use a sheet of colored paper to write down your one- and three-month goals. Put the paper where you will see it often. It will keep you focused on your commitments.
- Help your networking contacts achieve their goals by telling them the benefits of linking to you.
- Request help from your network to help you in your job.
- Network with influential executives. Sit up front during their meetings or talks so you can quickly walk up afterwards and introduce yourself and what we do.
- ASSUME you will meet great contacts at any networking you do. Keep an open attitude.
- Stop ASKING and start DOING.

– Pat Carney, President, LeTip

## Success Tips on Reading

Want to be a better reader of work-related materials? Critical reading for good information begins with the right questions, rather than with answers. Try these.

1. Is this a quality publication, known for its selectivity?
2. Is the author an expert on the subject?
3. What is the author’s bias?
4. Did the author distort information from other sources?
5. Does the author state the thesis clearly?
6. Is the piece well organized so the ideas flow logically?
7. What did the author leave out?
8. How well is the information documented?
9. Do the data support the conclusions or recommendations?

The more satisfactory your answers are, the more you can trust the material to augment your own competence.

– Adapted from “Power Reading”

— Summary —

**Develop Your Personal and Professional Reputation**

*Question:* Are you seen as:

	Yes	No
1. Oriented/knowledgeable in your unique business?	<input type="checkbox"/>	<input type="checkbox"/>
2. Having high ethics, integrity, corporate view?	<input type="checkbox"/>	<input type="checkbox"/>
3. Managing your Department/Function like a business/model?	<input type="checkbox"/>	<input type="checkbox"/>

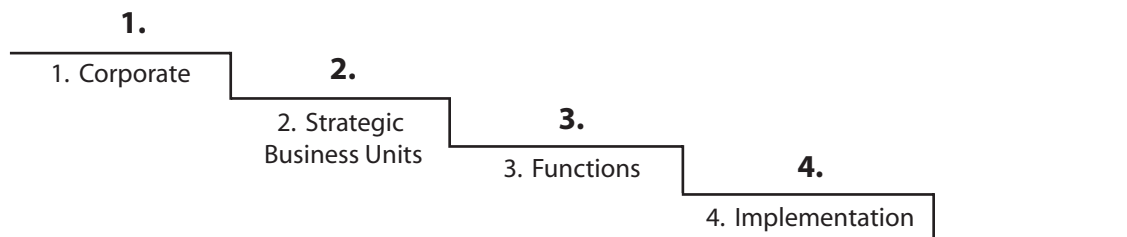
## Section III

### Levels of Strategy and Strategic Thinking

#### Four Levels of Strategic Thinking

You can be a Strategic Thinker at four levels:

1. Corporate strategy (Enterprise-Wide Positioning)
2. Business unit strategy (competitive strategy)
3. Functional strategy
4. Implementation strategy



#### Sole Purpose of Business Enterprises (To Gain A Competitive Edge)

“What business “Strategy” is all about—what distinguishes it from all other kinds of business planning—in two words, **competitive advantage**.

#### – Positioning –

Without competitors there would be no need for “Strategy” – for the sole purpose of strategic planning is to design a unique marketplace “Positioning” that will enable your business enterprises to gain a sustainable edge over its competitors.”

– Adapted from Keniche Ohmae

**Strategic Thinkers Focus on their Positioning to Create  
and Maintain their Competitive Advantage**

Levels of Strategy

Question: Read the next few pages and then distribute 10 points to how you spend your time.

Today	Strategy	Ideally
_____	Corporate Strategy	_____
_____	Business Unit Strategy	_____
_____	Functional Strategy	_____
_____	Implementation Strategy	_____
<b>= 10 points</b>		<b>= 10 points</b>
_____	– or Peripheral – Personnel Administration	_____

Is there a Gap? Yes \_\_\_\_\_ No \_\_\_\_\_

If so, what do you need to do differently?

Levels of Strategy

- Corporate Strategy (company-wide)
- Business Unit Strategy (competitive strategy)
- Functional Strategy
- Implementation Strategy

Michael Porter  
Harvard Business Review  
May-June 1987

## People Power as a Business Strategy

Business Strategy Levels	Role of People Power
<ol style="list-style-type: none"><li>Corporate Strategy (What business are we in?)<ul style="list-style-type: none"><li>Portfolio Management (buy/sell assets)</li><li>Restructuring Assets</li></ul></li></ol>	<ol style="list-style-type: none"><li>People/Organization Placement<ul style="list-style-type: none"><li>Industry Characteristics (mission formulation)</li><li>Transferring Employees</li><li>Sharing Resources</li><li>Executive Selection</li><li>Organization Design</li><li>Values Audit (executive vs. employees)</li><li>Creating a Culture</li></ul></li></ol>

*continued*



**People Power as a Business Strategy** *(continued)*

Business Strategy Levels	Role of People Power
<div>2. Business Unit Strategy (SBU) (How do we create a competitive advantage?)</div> <div><ul style="list-style-type: none"><li>• Market</li><li>• Product</li><li>• Financial</li><li>• Employee</li><li>• Manufacturing</li><li>• Miscellaneous</li></ul></div>	<div>2a. Employee-Driven Strategies (Create a competitive advantage through employees.)</div> <div><ul style="list-style-type: none"><li>• Quality</li><li>• Customer Service</li><li>• Productivity</li><li>• Selling Channels</li></ul></div> <div>2b. Involvement in Any Potential Strategy</div> <div><ul style="list-style-type: none"><li>• Environmental Scanning</li><li>• Performance/Gap Audit</li></ul></div>

*continued*

**People Power as a Business Strategy** *(continued)*

<b>Business Strategy Levels</b>	<b>Role of People Power</b>
<p>3. Functional Strategies (Learning to be efficient)</p> <ul style="list-style-type: none"><li>• All Functions</li><li>• Tactical Planning</li><li>• Operational Planning</li></ul>	<p>3. Systems Strategy</p> <ul style="list-style-type: none"><li>• Implementing Corporate/SBU Strategies</li><li>• Organization Practices Profile (OPP) of Key Systems/Programs</li><li>• Priorities/Timing/Ownership</li><li>• Organizational Capabilities</li></ul>

*continued*

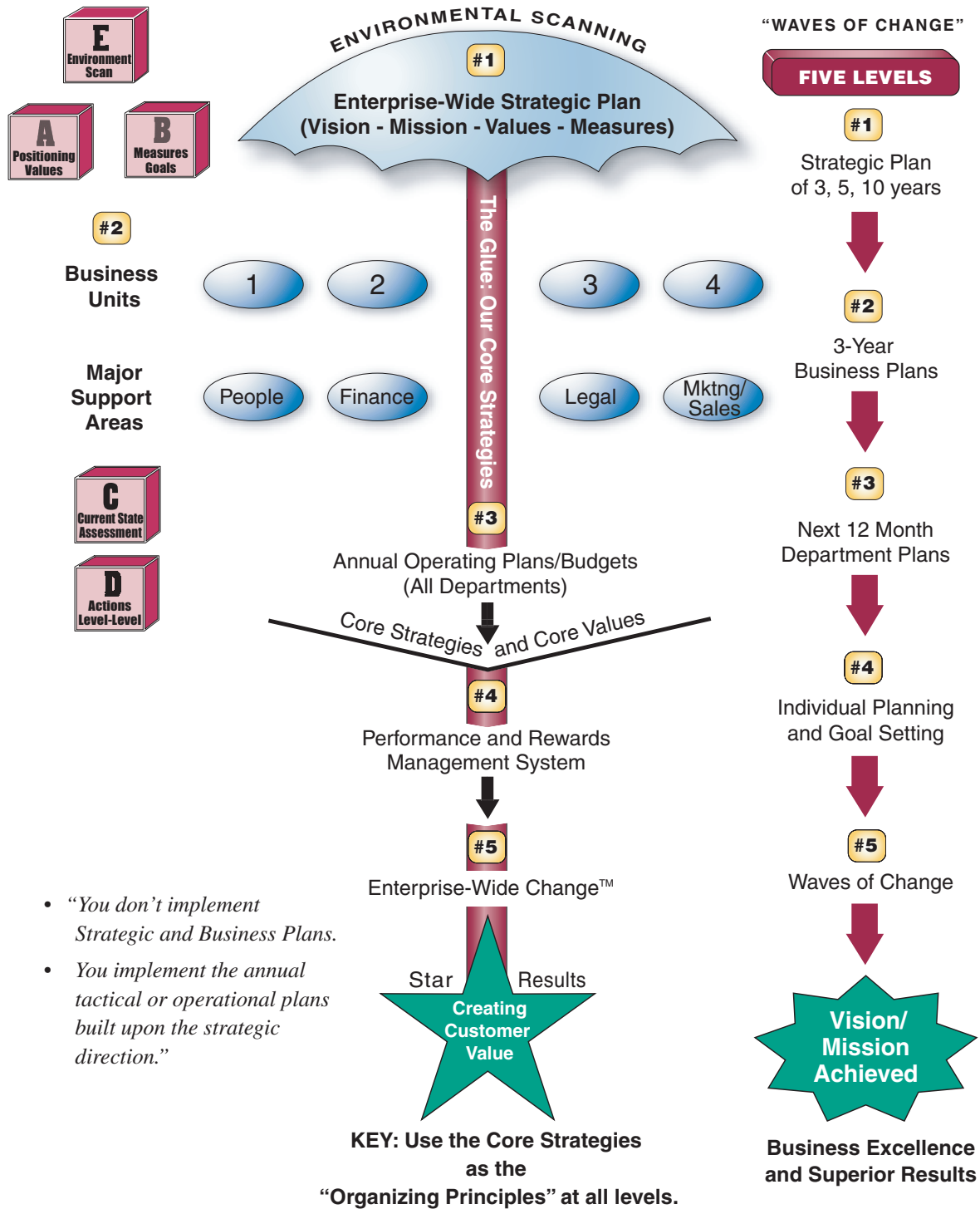
**People Power as a Business Strategy** *(continued)*

Business Strategy Levels	Role of People Power
<div>4. Strategic Management (Making strategy work)</div> <div><ul style="list-style-type: none"><li>• Implementation</li><li>• Leadership</li><li>• Persistence/Details</li><li>• Fit</li><li>• Design</li><li>• Energizing Force</li></ul></div>	<div>4. Change/Transition Management</div> <div><ul style="list-style-type: none"><li>• Transition Technology</li><li>• Organization Models/Fit</li><li>• Organizational Behavior/ Assumptions</li><li>• Organization Development</li><li>• Management Training</li><li>• Human Resource Development</li><li>• Action-Research</li><li>• Unfiltered Feedback/Renewal</li><li>• Executive Advice/Counseling</li></ul></div>

# THE CASCADE OF PLANNING™

## The Systems Thinking Approach™

“STRATEGIC CONSISTENCY AND OPERATIONAL FLEXIBILITY”



## **Staff Roles in Strategic Planning**

### **Three Ways to be Involved and Influence Senior Executives**

1. As a leader, facilitator, or member of a strategic planning and change management team, as its support cadre.
2. Through a strategically aligned staff funded department program.
3. By modeling and conducting a strategic planning/change management process for your staff function.

## Differences Between Organizational Plans and Division Staff Plans

	<b>Systems Thinking</b>	<b>Analytical Thinking</b>
<b>Dimensions</b>	<b>Organizational Plans</b>	<b>Divisional Staff Plan</b>
<b>Purpose</b>	Translating business strategies first into organizational capabilities and then into functional actions.	Building a strategy, organization and action plan focused on making the staff function or department more effective.
<b>Owner</b>	Line Managers	Staff Executives
<b>Measures</b>	Business results through use of HR practices	Effectiveness and efficiency of the staff practices
<b>Audience</b>	<ul style="list-style-type: none"> <li>• Managers who use staff practices for business results</li> <li>• Employees who are affected by staff practices</li> <li>• Customers who receive the benefits of effective organizations</li> <li>• Investors who reap the rewards of organization capabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Staff professionals who design and deliver staff practices</li> <li>• Line managers who use staff practices</li> </ul>
<b>Roles</b>	<ul style="list-style-type: none"> <li>• Line managers as owner</li> <li>• Staff professionals as facilitator</li> </ul>	<ul style="list-style-type: none"> <li>• Line manager as investor</li> <li>• Staff professional as creator</li> </ul>

## Creating a High Performance Organization “The Critical Mass”

**Question:** What are the “critical mass” components that need to function in an integrated, optimized and synergistic fashion?

**Answer:**

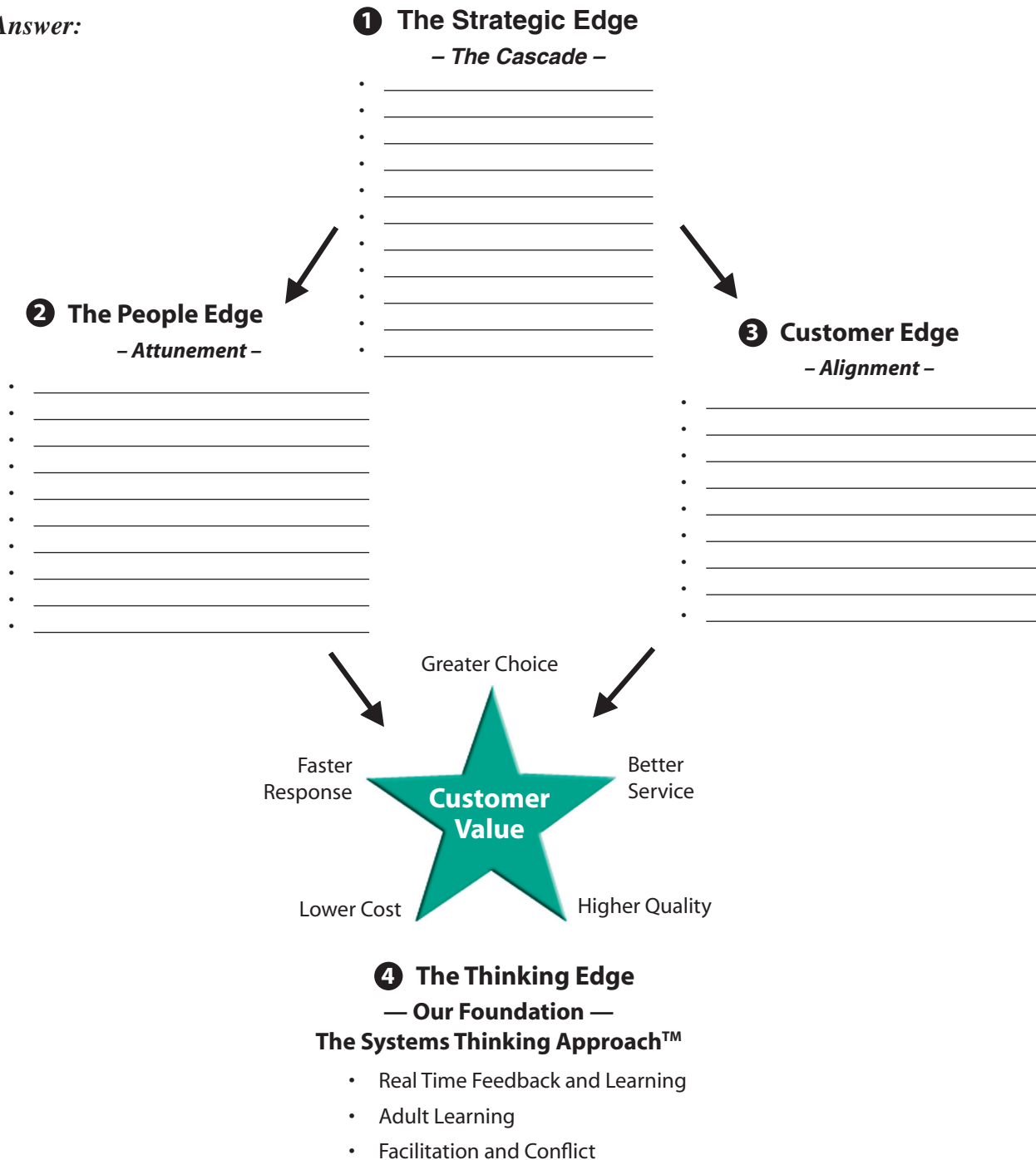


**Sources:** From Best Practices Research: including AQF & Ernst & Young massive four country study (1995), Haines & Associates 1978, 1984, Centre for Strategic Management literature review, 1992, numerous other comprehensive research studies, and constant research, client feedback and experience ever since.

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## Strategic Planning Defined

Is it:

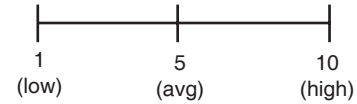
1. An event?
2. A process?
3. A change in our roles?
4. A change in the way we run the business day-to-day?

What's your belief? Why?

If you always do  
what you've always done  
you'll always get  
what you've always gotten.

## Strategy Understanding

*Instructions:* How much do you know about these strategies?



1. \_\_\_\_\_ Choice (Dell Computers)
2. \_\_\_\_\_ Speed (i.e., Toyota)
3. \_\_\_\_\_ Horizontally Integrated — Related products/by-products (i.e., Arco's AM/PM Mini-Marts or Ethanol Plants)
4. \_\_\_\_\_ Networks and Alliances (i.e., Apple/IBM or Japanese Kieretsu's)
5. \_\_\_\_\_ Value Added — More Value for the Money (i.e., Nissan Maxima "Luxury" Sedan)
6. \_\_\_\_\_ Environmentally Improved/Based Products (i.e., Solar Heat; Toxic Waste Clean-Up)
7. \_\_\_\_\_ Mass Customization (i.e., Toyota)
8. \_\_\_\_\_ Commonization/Simplification (i.e., Honda Value Analysis)
9. \_\_\_\_\_ Six Sigma (i.e., Motorola/GE)
10. \_\_\_\_\_ Organizational Learning (i.e., Senge/Beckhard/Peters)
11. \_\_\_\_\_ Employee Morale/Benefits and Focus on Work (Lots of Firms)
12. \_\_\_\_\_ Management and Leadership Practices (GE/IBM)
13. \_\_\_\_\_ Low Cost Structures (Southwest Airlines/WalMart)

These are in addition to the primary strategies of the late 1990s – such as:

14. \_\_\_\_\_ High Quality Products (i.e., Toyota)
15. \_\_\_\_\_ Unsurpassed Customer Reputation (i.e., Nordstrom's)
16. \_\_\_\_\_ Retrenchment, Turn-Arounds, or Cost Reductions (i.e., IBM, GM)
17. \_\_\_\_\_ Divestitures (i.e., Sunoco, LBOs)
18. \_\_\_\_\_ Growth Through Capital Leverage (i.e., Marriott, Disney)
19. \_\_\_\_\_ Business Process Reengineering — BPR (i.e., GE's Workout)
20. \_\_\_\_\_ Strategic Planning and Execution

\_\_\_\_\_ **Total (possible 200 points)**

What else do you need to learn about strategy? (Circle key ones above)

## Strategic vs. Tactical (Operational) Thinking/Planning

<b>I Thinking/Planning Factors</b>	<b>II Strategic Thinking</b>	<b>III Tactical (Operational) Thinking</b>
1. Time Period?	Longest Period Worth Considering	Shortest Period Worth Considering
2. Reversibility?	Harder	Easier
3. Scope?	Broad	Narrow
4. Affected Areas?	Many Functional Areas	Few Functional Areas
5. Goals?	Means/Ends Also	Means Only

## The Strategy/Operations Relationship – Be A Strategic Thinker –

The relationship between strategy and operations can be illustrated in the following way:

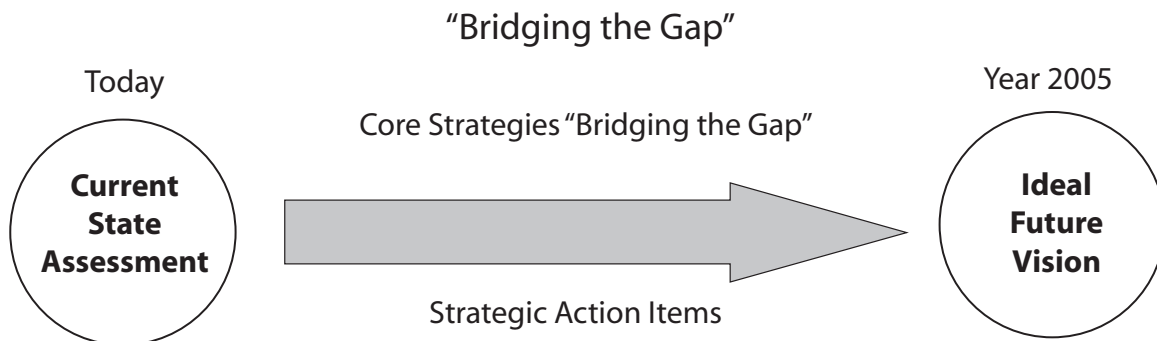
<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">How</div> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 10px;">What</div> </div>		Strategy	
		Clear ↓	Unclear ↓
<div style="display: flex; align-items: center;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg);">Operations</div> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 10px;"></div> </div>	Effective	<b>I Strategic Thinker:</b>  Clear strategy and effective operations have equaled success in the past and will in the future.	<b>II Operational Thinker:</b>  Unclear strategy but effective operations have equaled success in the past, but success is doubtful in the future.
	Ineffective	<b>III Day Dreamer:</b>  Clear strategy but ineffective operations have sometimes worked in the past in the short run, but increasing competition makes success doubtful in the future.	<b>IV Crisis Thinker:</b>  Unclear strategy and ineffective operations have equaled failure in the past and will in the future.

Adapted from Tregoe and Zimmerman, 1980

**Question: Which box (I-IV) is your organization in today? Why?**

## The Critical Difference

Strategy	vs.	Tactics
<ul style="list-style-type: none"> <li>• central organizing statement</li> <li>• spin put on things</li> <li>• road map for marketing plan</li> <li>• doing the right thing</li> <li>• concept</li> <li>• organizing glue</li> <li>• focused</li> <li>• mental, intangible</li> <li>• an "action" statement: verb</li> </ul>		<ul style="list-style-type: none"> <li>day-to-day actions</li> <li>things or tools spun</li> <li>vehicles for the trip</li> <li>doing things right</li> <li>tools of execution</li> <li>what gets glued</li> <li>typically, many things</li> <li>physical, sensory</li> <li>things: nouns</li> </ul>



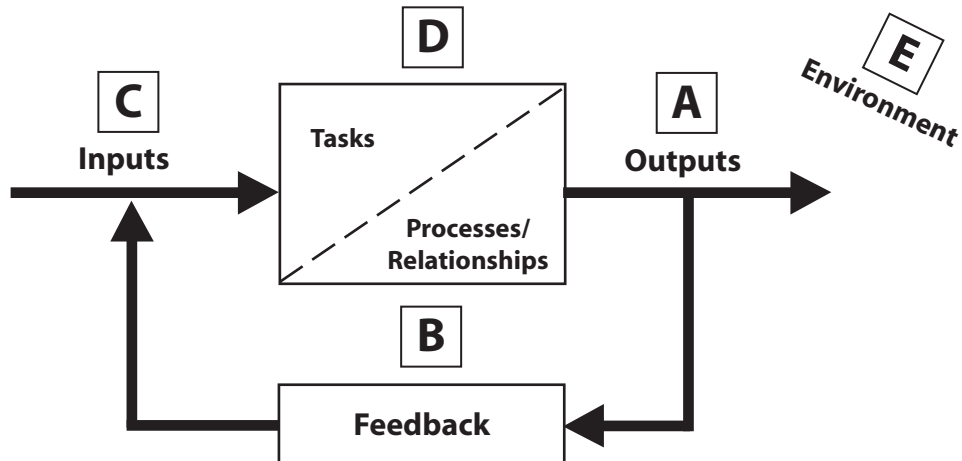
### Strategy and Priorities

The Purpose of having a strategy is to keep yourself from being  
seduced by something that is "nice to do."

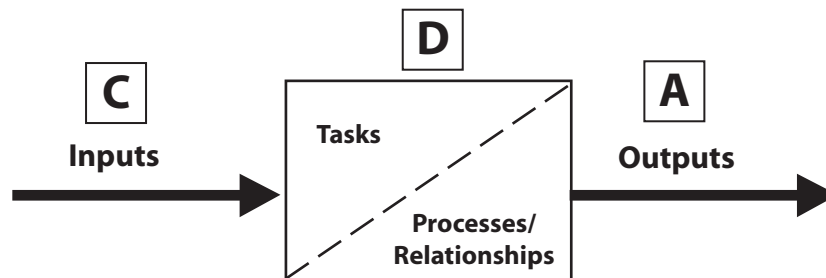
– Anona Miss

## Strategic vs. Operational Thinking

**Right to Left (Strategic Thinking) = E – A – B**



**Left to Right (Operational Thinking) = C – D – A**



**In Sum:**

**Strategic Thinking is “Backwards Thinking”!**

**Systems Thinking and Strategic Thinking:**  
**Means    ➡    Ends**

**Tactical (Means)**



**Means ➡**

- Strategies
- Actions
- How To/Behaviors
- Tasks
- Activities
- Tactics
- Work Plans
- Steps
- Things We Do
- Processes
- Major Functions
- Throughputs

**Strategic (Ends)**



**Ends**

- Vision
- Mission/Purposes
- Values/Culture
- What
- Results
- Outputs
- Outcomes



**Concrete Measures**

- Goals
- Objectives
- Key Success Measures
- Feedback on Relationships



**Future Environment  
Scanning Frequently**

**Strategic Thinkers** focus on the relationships between  
means and ends/measures in their daily work.

## How to Get You Started in Learning More About Strategic Planning or Strategic Change

**Question:** Which 2-3 of these can you do in the next year? Circle your choices.

1. Attend a Strategic Planning Executive Briefing and Plan-to-Plan Day (or just ½ day briefing).  
From this tailor Strategic Planning to your needs.
  - Comprehensive Strategic Planning
  - 3-Year Business Planning
  - Strategic Planning Quick
  - Micro Strategic Planning
2. Attend a Strategic Change Executive Briefing and Plan-to-Implement Day (or just ½ day briefing).  
Since we use a “Systems Thinking” approach and framework, we can enter your system at any point where you need assistance, including:
3. Set up a Strategic Change Leadership Team to guide and coordinate existing (in-process) change in HR.
4. Conduct annual planning via Core Strategy/Goals with top three action priorities for each.
5. Finish budgeting and then set up Strategic Change Project Teams on big, cross-functional issues.
6. Get personally trained and licensed on strategic planning facilitation.
7. Get personally trained and licensed on mastering strategic change.
8. Attend a Visionary Leadership Practices Workshop to “kick-start” strategic planning.
9. Attend a Mastering Strategic Change Workshop simulation to “kick-start” or re-energize a major change project.
10. Attend a pilot strategic planning process for a Major Support Department or an Strategic Business Unit. Use it to learn and to develop internal cadre.
11. Participate in the Strategic Planning phase you need now – such as Visioning, measurements (Key Success Measures) or Core Strategy (issues) development . . . and then put in a Strategic Change Leadership Team to guide implementation.
12. Have your management trained in Strategic Planning concepts through a 2 or 3 day workshop on Strategic Planning (“Reinvented Strategic Planning for the 21st Century”).
13. Have your management conference keynoted with a Strategic Planning/Strategic Change, 1-2 hour topic, using the 4-color models and 8-page summary articles as handouts.
14. Have an Annual Strategic Review and Update conducted as a starting point. Then proceed based on the recommendations/decisions from this audit.



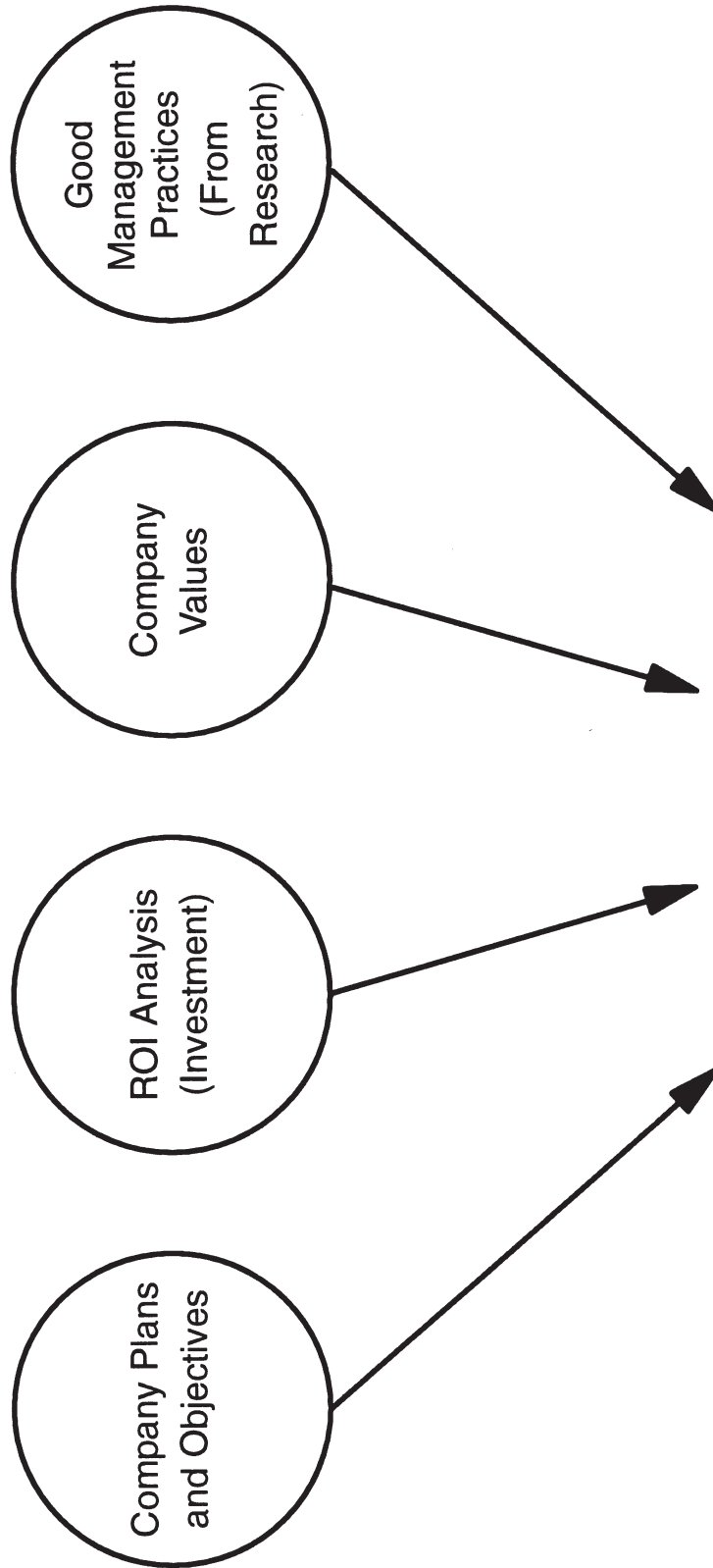
**NOTES:**

## **Section IV**

### **Making the Business Case and Keeping Score**

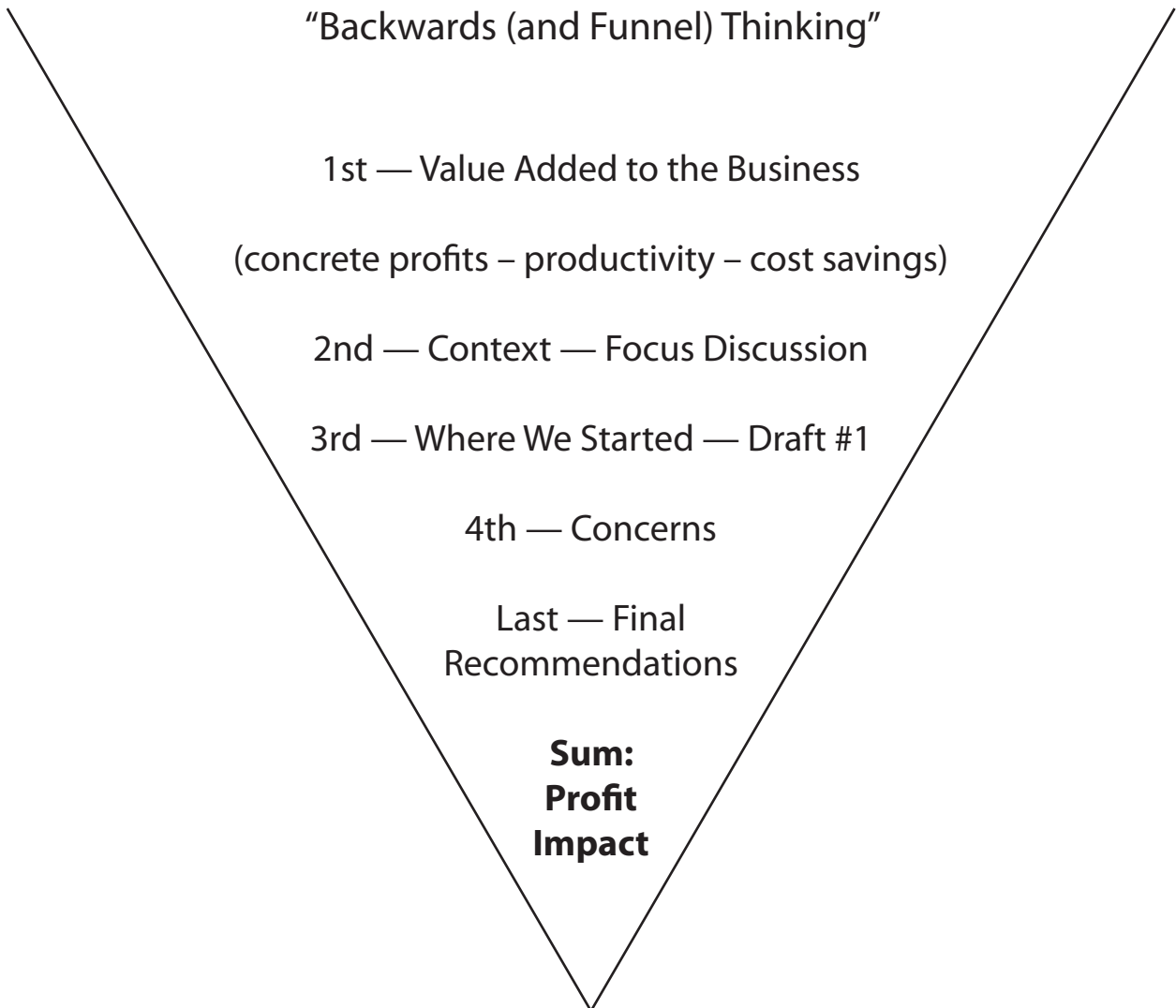
Executives don't speak English...  
They speak finance.

**Business Case Rationale**  
**“Speak Rinance – Not English”**



Why we recommend doing this project/staffing!

## Bottom Line Value Added Presentations



Funnel the Conversation

After

**Giving the Bottom Line First!**

(#1 Systems Question)

## **Executive Presentation Format**

1. Business context—link to company goals
2. Background
3. Objectives of presentation/purposes
4. Specific actions, plans, scope paper
5. ROI justification (speak finance!)
6. Specific approvals requested

## **Tips for Making Your Case to a CEO**

1. Relate your arguments to profit and loss.
2. Present your case from a CEO's perspective.
3. Demonstrate your idea's contribution to important organizational values.
4. Collect supporting data from other successful companies that are similar to yours.
5. Use specific examples, not just generalities, in describing the problem and the solution.
6. Don't be afraid to say what you think.
7. Make posters and visuals for bigger impact.

*— Adapted from Training and Development  
June, 1992*

## **Ten Rules of Business Manners**

1. Always wait a split second after a person finishes talking before you speak.
2. Listen with your entire body.
3. Be positive.
4. Speak well of others.
5. Memorize names.
6. Never try to impress. The effort always shows, and it diminishes you.
7. Never make your conversations – particularly on cell phones – public.
8. Praise but never flatter. Praise makes people feel good; flattery makes them feel manipulated.
9. A simple rule whenever you are in doubt: Be kind.

*Source: Barbara Rapp – adbrty@pacbell.net – Tuesday, July 15, 2003*

## **Surviving the Boardroom**

### ***How to Present to the Big Dogs When You're a Small One***

– Rick Gilbert

***There are two times when you are alone in life:***

1. One is when you die.
2. The other is when you present to senior management.

***How to prepare for, and successfully deliver, a C-level talk:***

1. Make your first line your bottom line. As one executive told us, “Get to the point. It’s not a mystery story.” Meetings at the C-level are marathons of time compression. Therefore, don’t overload your audiences with the minutiae of your proposal.
2. Think “briefing.” Senior executives expect to have a discussion, not sit passively and listen to a monologue or read PowerPoint slides.
3. Follow the 10/30 rule. If you have a 30-minute presentation, prepare about 10 minutes of material. Most of your time with senior executives will be discussion, not presentation.
4. Use data, not stories. While studies show that stories create greater impact and foster longer retention than data alone, they should be used less when you are speaking to higher ranking staff. Stories work great for your own staff meetings, or at offsite presentations.
5. Ride the bull. Executives will take the discussion wherever they want it to go. Your job is to artfully “ride the bull.” Be ready to dump most of your prepared material, if necessary, and then bring the discussion to a successful conclusion at the end.
6. Don’t depend on PowerPoint. Depending too much on visual aids-or worse, reading them-can be career limiting. “It is very distracting when people read their slides.”
7. Don’t expect approval. “The CEO ain’t your dad,” another executive told us. C-level meetings are jam packed and time constrained. Executives are often competing for resources. It’s possible that you won’t get acknowledgement-good or bad-for your hard work. If you go into a senior meeting hoping for a pat on the back and lots of praise, you may be greatly disappointed.
8. Do your homework. Speaking to senior management is one of the most important, stressful, and potentially rewarding opportunities you will have in business. Prepare months in advance. Learn about the politics of the group, and send members advanced materials on your briefing. You should check with other areas that may be affected by your proposal, and give executives time to consider your plans prior to the meeting.
9. Present bad news first. Get the bad news out of the way immediately. Explain why it happened, followed by what you are planning to do to fix it. Be prepared to offer several solutions and let them choose.

*Source: TD September 2005*

## Tips for Experiential Learning Facilitation with a PowerPoint Presentation

Dear Colleagues:

We have compiled some key points that you may find useful prior to using this presentation:

Standard Experiential Learning Cycle

Facilitation Tips

Customizing the Presentation

PowerPoint Tips

### I. Standard Experiential Learning Cycle Module

- An Experiential Learning Cycle should last for about 1 hour to 1.15 hours maximum, then a break should be taken.
  1. **Lecturette: 10-15 minutes.** Needs to be interactive – ask questions and draw them into the topic.
  2. **Individual Exercise: 5 minutes.** On their own situation case. This engages the participant.
  3. **Form Pairs/Trios or Subgroups: 15-30 minutes.** Size depends on time available. Larger subgroups take more time. Start a dialogue (share - compare - synthesize).
  4. **Large Group again: 10-20 minutes.**
    - Questions, comments, reporting, and feedback.
    - Learnings?
    - Applications?
  5. **Break**
    - Build slides for each exercise so you:
      - Do it in the proper sequence
      - Provide clear task guidelines
      - Ask the experiential questions:
    - What?
    - So what?
    - Now what?
      - Keep the lectures experiential, not deadly – max 15 minutes!
    - Build your interactive Lecturette Questions into the PowerPoint Slides. Get the participants to share their experiences and successes/failures vs. doing it all yourself.
    - Build breaks and lunch and end of the day into PowerPoint Slide to keep yourself on track.
    - Build your exercise tasks on PowerPoint Slides – self – subgroups – large groups.



- In tasking the individual and subgroup work, be careful not to give multi-tasking – some people do not do well with this. Give them one task at a time written on slides or flip chart.
- Keep your instructions to the group on PowerPoint Slides visual, simple, clear and at least twice. Check for understanding.

## II. Facilitation Tips

- Speak slowly and clearly with inflection, pauses.
- Repeat for emphasis and raise and lower your voice to keep the participants interested. You are on stage as an Actor/Actress.
- Repeat Key Points for emphasis and retention – it is ok!
- Move around the room and front stage. Use a LCD projector wireless remote. Don't be a cigar-store Indian. Generate energy for the group.
- Sense the audience. Don't let them go passive with the slides. If you are working hard and they are not, something is wrong. Immediately switch the pace and give them some kind of simple individual task/whatever you can think of.
- Know how to pick up the pace if you are getting behind time wise on your ending time commitment. Focus on the desired outcomes, not your agenda.
- People and professionals grow and become more knowledgeable at a faster rate in today's Internet Society. Facilitators have to stay ahead of them and not just regurgitate what they already know. Ask/sense what the participants already know or are doing about the Module/Topic you are teaching, vs. assuming they know nothing. Ask what they know and for their examples of what worked or didn't work.
- Discuss theory and best practices vs. practical application and customizing. There is not usually just one right answer.
- Be flexible. Watch out for arguments over terminology vs. substance.
- Use positive reinforcement of what participants say or have done. The workshop will flow much better if you are not the "shell answer man".
- Don't get caught up or distracted by the technology but remember it's only another tool, like the flipchart and physical props.
- Use slides when it is important, but also turn off the projector or use a white or black slide, so that the attention is back on the Facilitator or Group when using the flipchart or having a group discussion.
- Ask the group for the answers vs. "telling" with bullets.
- Use round tables for lots of individual/subgroup dialogue.
- Use the slide's sequence to force you to clarify and simplify your presentation and facilitation. Focus it and/or have the discipline to leave time for the participant's exercises/case work ("adults learn best by doing").
- Put the key slides also on flipcharts for story boarding. Build a Paper Story Board of flipchart pages around the room for visual reinforcement during and at the end of each day.

### III. Customizing the Presentation

Before using the slides in a group setting, we strongly recommend you customize the presentation and do a practice “dry run”. This includes:

- Rearrange the slides for your logic and flow.
- Reset the times for breaks-lunches-exercises/re-set your timing clearly for each module.
- Read each slide ensure you know it, understand it and be prepared to use it-tailor the words on the slide as needed (KISS).
- At the beginning and end of each module/break/lunch-be sure to go back up to the helicopter view to reinforce key points over and over for best learning and retention.
- Hide slides you wont be using (don’t delete them).
- Check the custom animation to ensure it is what you want – be professional.

### IV. PowerPoint Tips

- Keep the font sizes large enough so that people can see things. Using less than an 16pt font cannot be read clearly from far away. This is also a way to force you to keep the slides less cluttered.
- Don’t over use the PowerPoint features. The focus of the presentation can get off the content and onto the “presentation stuff”.
- Be really clear on your purpose so the slides don’t wander.
- Think through the way the slides unfold; spiral, wipe, fly in, etc. and how much is automatic vs. mouse clicks.
- Sounds should be used very sparingly, if at all.
- Keep the slides simple and clear.
- Use no more than three colors on a slide.
- Be professional, not cute, aim for an executive level professionalism.
- Spice up slides with liberal use of physical analogies (helicopter, Rubik’s cube).
- Reuse key slides to make key points over and over again at the end/beginning of each module/break.
- If you have to reduce the number of slides due to a short timeframe, use the slide sorter on a break to hide all but essential slides (cut to the chase).
- Use an LCD projector that has a “mute” (which is the same as turning the power off without screwing up the machine).

Good Luck and Good Learning!



Founder and CEO

#### **Got Feedback?**

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## **Seven Ways Staff Function Can Build a Partnership with the Board**

— *James A. Kuhns and Linda E. Amuso*

1. Ask the CEO to advocate for your direct interaction with the board.
2. Advocate only for those proposals or programs that you believe are good solutions.
3. Offer alternatives that reflect every perspective.
4. Work with internal partners (such as other departments and line management) to build ownership of programs.
5. Use external resources (such as lawyers, consultants, and accountants) for technical input and competitive information.
6. Keep up with outside business practices and legislation.
7. In all technical matters, be right and complete.

Source: Personnel Journal

## What Does It Mean To “Tie In” to the Business Plan?

- Understand plan of your function
- Influence plan development
- Assess effect of your function on plan
- Understand how it benefits the organization
- Plan your function commitments to advance the plan
- Understand fiscal constraints
- Be flexible – open to changes vs. an obstacle
- Be a change agent – lots of ways
- Develop projects that tie in programs
- Understand health care industry—external environment
- Understand manager's skills/role in achieving the plan
- Willing to state where plan is off track; have negative employee impact
- Monitoring/evaluating impact on your function
- Support of plan (vs. total agreement)
- “Consulting” role to managers
- Look at our programs – support plan – quality
- Be there at beginning/creation
- Understand executive perspective and what their day is like
- Identify who our customers/sponsors are
- **Talk their language/jargon – fluent in ‘businessese’**

## **What Does It Mean To “Tie In” to the Business Plan? (*continued*)**

### Reduce Direct/Indirect Costs of Doing Business

#### **A. Direct**

1. Reduce your function's costs.
2. Reduce use of other function's costs.
3. Monitor employer compliance to safety/health regulations (i.e., avoid fines, etc.).

#### **B. Indirect**

1. Enhance/maintain productivity.
2. Reduce turnover/people costs.

### Produce Revenue

#### **A. New Programs**

1. Case management.
2. Prevention/process implement programs.

### Priorities Needing Resolution

- A. Internal – sell to ourselves.
- B. External – sell to outside.
- C. Understand competition between SBUs
- D. Increase sharing.

## Keeping Score

Keeping score in business  
is the responsibility of  
the accounting department.

Just like scores in sporting events

**What is your staff function's  
response to this?**

## **Economic Cost**

“What is the economic cost of poor people management in your organization?”

### **Issue**

To what extent can (should) performance measures be utilized to track the value/contribution of the Human Resources function and improve its effectiveness?

Do you have a system for tracking it?

## Key Success Measures Defined

Key Success Measures are the **quantifiable outcome measurements of success** in achieving an organization's vision, mission, and values on a year-by-year basis to ensure continual improvement towards achieving an ideal future vision.

In other words:

1. How do you know if you're being successful?
2. How do you know if you're going to get into trouble?
3. Now, if you are off course (in trouble), what corrective actions do you need to take to get the organization back on track to achieve your ideal future vision?

The key is to measure:  
**what's important**  
*not*  
**what's easy!**

## Key Success Measures are Specific and Quantifiable

i.e.,

1. Quality
  - as perceived by customer (surveys?)
  - internal (zero defects)
2. Quantity
  - numbers (#)
  - ratios
  - specific existence/non-existence of "x"
3. Time
  - 1998-year/Jan-month
  - 3 times a year
4. Cost
  - dollars (\$)
  - percents (%)
  - ratios



## KSM Screening Criteria

### ***Regarding a KSM:***

1. It is a “key one” organization-wide (10 or less).
2. It is preferably an output (vs. a means to an end).
3. It has three parts:
  - a. area
  - b. indicator
  - c. measurable targets (baseline, intermediate, and target goal for end of the planning horizon)
4. It has no overlapping or duplicate KSMs among them.
5. It is specific and measurable/quantifiable.
6. It is a key indicator of organization success; it is **not** a comprehensive list – the “comprehensive list” is better served at each department or division (and is even questionable there).
7. It is one you can physically see the status of, so you know factually whether or not it has been achieved.
8. It is a report card (not activities/work plan).
9. It is one you are willing to be a “**monomaniac with a mission**” to achieve year after year.

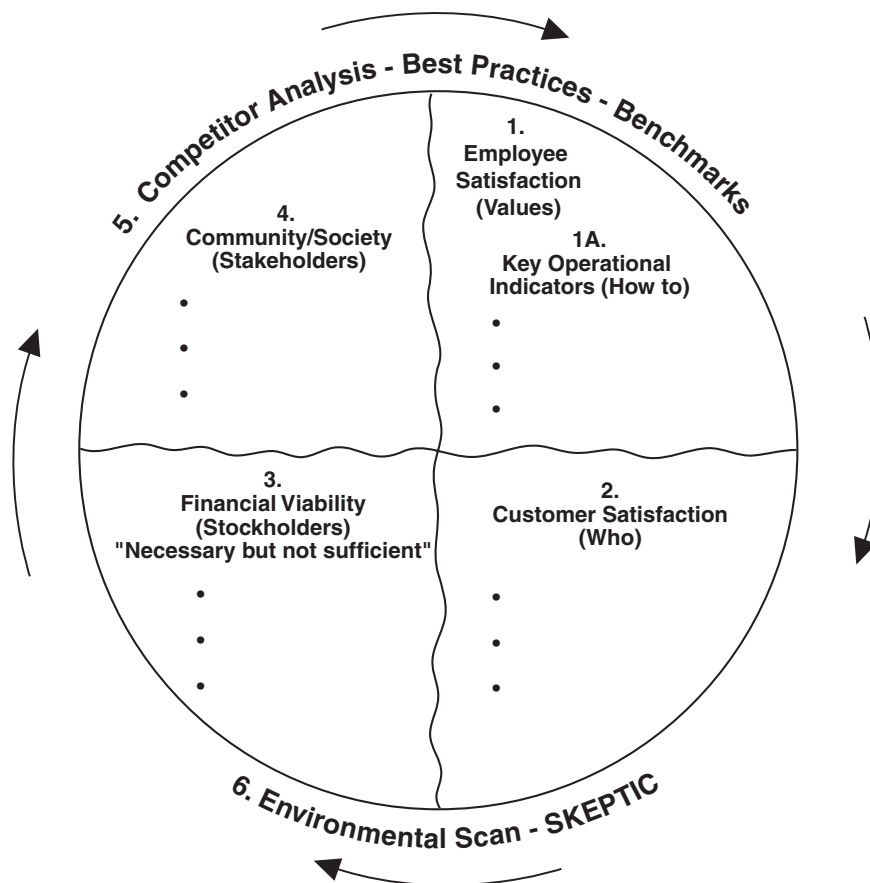
## The Quadruple Bottom Line™ – Balance

### The Systems Thinking Approach™ to Key Success Measures (KSMs)

1. Employees
  - a. Operations
2. Customers
3. Stockholders (Owners)
4. Stakeholders (Community/Society)

**Note:** The popular “Balanced Scorecard” concept is not a systems approach, but it covers some of the same KSM areas that we do, especially 1, 2, and 3.

### Holistic View—Key Success Measures



## **KSM Areas Determined**

Individually:

1. What are the key words and phrases from our vision, mission, core values, and driving force(s) statements (that define “success”)?

List them here:

2. What are other key important financial/operational success areas?

List them here:

3. Combine your answers to the above with the rest of the planning team members into a consolidated list. Then prune it to 10 or less KSM areas.

## KSM Continuous Improvement Matrix (Backwards Thinking)

PRIVATE SAMPLE

KSM Overall Coordinator for is *Bob Brown, MIS Manager* (Name/Title)

KSM Areas (Headers) with Specific Factors for Each	Baseline Target 2006	Intermediate Targets			Target 2010	Ultimate Target	Specific KSM Coordinator	KSM Achievement Accountability
		2007	2008	2009				
1. Employee Satisfaction Factor: Conduct a yearly survey (vs. our Core Values) with a valid sample of our employees (use 10 point scale)	— Develop survey — Conduct it — Revise future targets	6.0/10	7.0/10	8.0/10	8.5/10	10/10	SH	
2. Customer Satisfaction Factors: A. Conduct a quarterly survey of a valid sample of our customers	— Determine their wants for quality products/services (Focus Group) — Develop/conduct survey — Revise future targets — Benchmark vs. top 3 — Conduct assessment vs. 7 Tracks — Develop full program with milestones set	7.5/10	8.0/10	9.0/10	9.5/10	10/10	CH	
B. Develop a "close to the customer culture"			Full re-assessment/refine plan		Full re-assessment/refine plan	Culture achieved		
C. Set up a successful "Mystery Shopper Program"	— Use customer wants to set up program with evaluation scale; milestones	— To be determined during baseline (1999)	— To be determined during baseline (1999)	— To be determined once program set (1999)	— To be determined once program set (1999)	10/10	DM	
3. Financial Viability Factors: A. ROE B. % Profit (NIAT) C. EPS D. Revenue Growth per Year	— Measures all factors — Revise future targets	TBD 10%/year TBD 15%/year	—	—	—	—		

Note: These baseline targets must go on Priority Actions List for first year's Annual Planning.

# KSM Continuous Improvement Matrix (Backwards Thinking)

PUBLIC SAMPLE

KSM Overall Coordinator for is Mary Smith, Controller (Name/Title)

KSM Areas (Headers) with Specific Factors for Each	Baseline Target 2006	Intermediate Targets			Target 2010	Ultimate Target	Specific KSM Coordinator	KSM Achievement Accountability
		2007	2008	2009				
1. Teamwork/Partnerships Factors: A. # of partnerships in existence B. Yearly evaluation of their effectiveness vs. their charter (10 pt. scale)	— 0 — Develop Eval. System & Charter Format	5 9/10	8	10	13	All key areas 10/10	SH	
2. Strategic Plan Effectively Implemented (i.e., Strategic Management System) Factors: A. SCLSC meets regularly B. Yearly comprehensive map developed and followed each year C. All management evaluated in new appraisal form (using strategies and values as tools)—HR Audits D. Vital Few projects completed successfully	— 1 day/quarter — yes — 100% — develop appraisal; train mgmt.	— — 100% eval.	— — —	— — —	— — —		DM	
E. Yearly SMS Review conducted — Action Plan developed — SP & Annual Plan updated	— develop plan to phase in all 4 with targets — leadership program completed — N/A	Organization Restructuring Completed yes	Quality/Service Completed yes	BPR Completed yes	New Game Plan Developed (all 4) yes	100% of all targets met		
3. Self-Funding Factor: A. Percent of budget self-funding	— Develop game plan — Begin implementation with time tables	20%	40%	60%	90%	100%	CH	
4. Decentralized Site Based Management Concept Functioning Effectively	— Develop concept and terminology/evaluation tool — Train mgmt. on it — Benchmark it vs. top 3 competitors	Yearly independent assessment 33% effective	50% effective	75% effective	95% effective	100% effective	JM	

Note: These baseline targets must go on Priority Actions List for first year's Annual Planning.

## **KSM Coordinator**

1. Keep KSM Matrix up-to-date.
2. Coordinate the collection and reporting of KSM status.
3. Report on actual vs. target – every 2–3 months – to the Strategic Change Leadership Team.
4. Coordinate with others to develop specific KSMs that are not in existence today.
5. Coordinate baseline data development actions and then baseline data collection.
6. Other duties as assigned:
  - Fully responsible for some specific KSM data collection and reporting
  - Communications of plan/KSM to organization
  - Coordinate Strategic Change Leadership Team agenda and logistics

### ***SKILLS/QUALIFICATIONS***

1. Highly respected
2. Access to senior management
3. Good with numbers and economics
4. Good computer skills
5. Good lateral skills and relationships

Who is your KSM Coordinator? \_\_\_\_\_

## Cascading KSMs and Measuring Performance

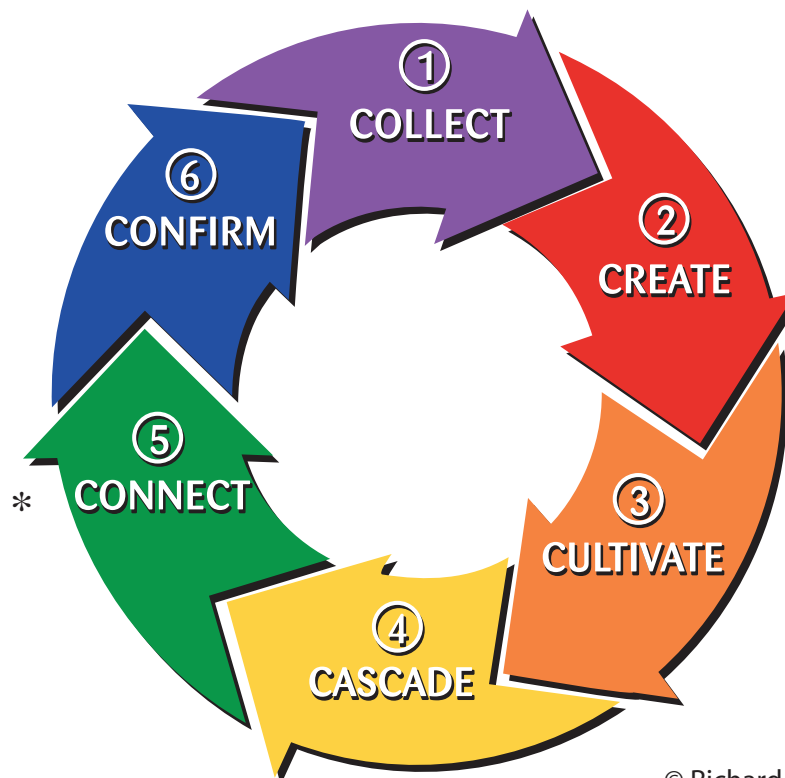
### Business Performance Management System

Organizations that effectively *manage performance* through an integrated and aligned Business Performance Management System achieve superior business results.

*A "Business Performance Management System" uses scorecards and good measures as a foundation for effective deployment and alignment of plans.*

## Annual Deployment Cycle

(Performance Scorecard Management Cycle™)



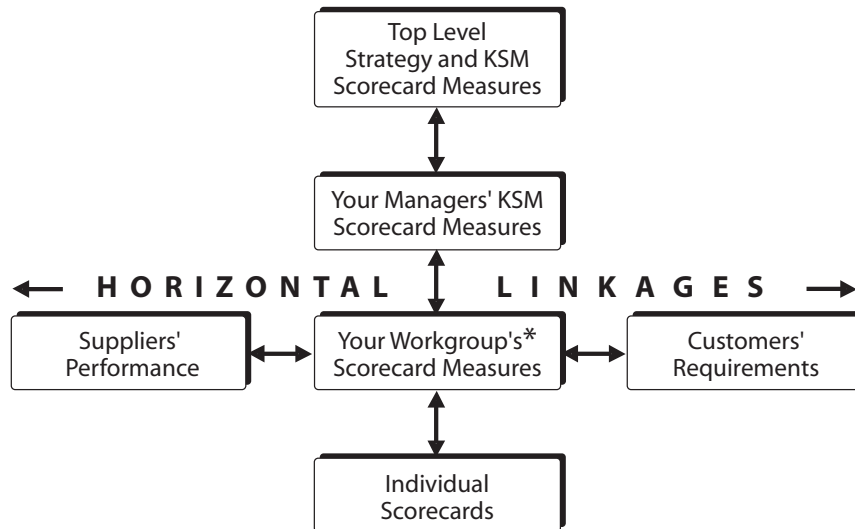
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\* Phase 5 - "Connect" is where you link to our "High Performance Management Cycle"

## Scorecard Linkage: "Line of Sight"

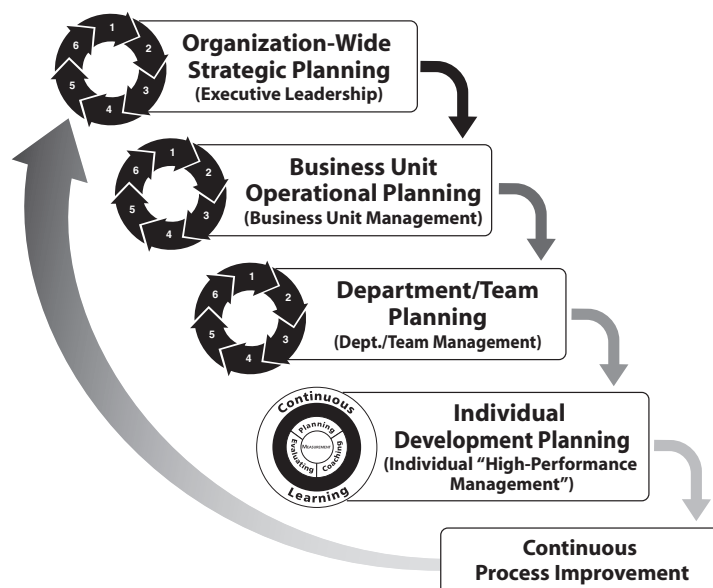
### Vertical and Horizontal Linkages

*Scorecards are not isolated; they are linked vertically and horizontally to other scorecards in the organization*



\* Workgroup denotes a business unit, major function, department, or team.

### The Cascade-Vertical Linkages



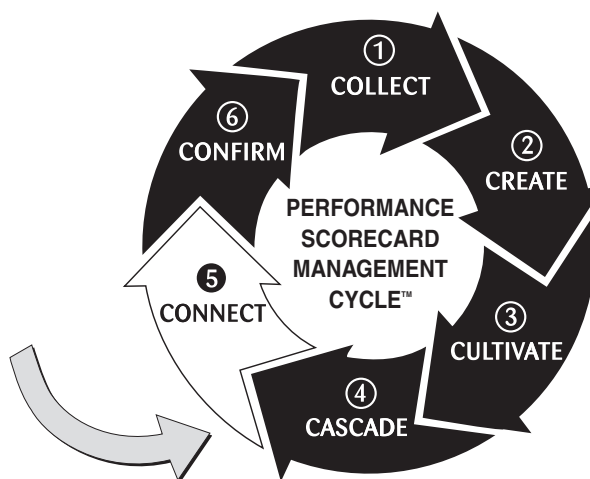


## Line of Sight: Connect Your Scorecard (To Your Individual “High-Performance Management System”)

In the Connect phase, you continue the cascade process to individual employees, connecting scorecard measures with individual performance scorecards and results. You then provide on-going coaching support, and eventually, hold employees accountable through their performance evaluations.

### Phase 5: CONNECT

1. Individual Performance Plans  
(for focus)
2. Individual Scorecards  
(for feedback and continuous improvement)



### “Connect” to the High-Performance Management Cycle

The Performance Management Cycle Consists of Three Phases:  
Planning, Coaching, and Evaluating



## **Economic Cost**

“What is the economic cost of poor people/functional management in your organization?”

### **Issue**

To what extent can (should) performance measures be utilized to track the value/contribution of your function and improve its effectiveness?

Do you have a system for tracking it?

## **Your Management Information System (MIS)**

### **Steps:**

1. Vision/purpose
2. Where are we now?
3. Develop MIS indicators/date  
(from senior management perspective)
4. Package up MIS
  - a. money/charts/graphs/percentages
  - b. purpose of each
  - c. what data says
  - d. executive summary
5. Delivery system

### **Related Questions**

- **Why** measure your performance?
- **What** should be measured?
- **How** can measures be developed?
- **Who** should be involved?
- **When** (how often) should you do it?

– SAMPLE –

**Administrative Group**  
**Management Information System**  
**2nd Quarter**

**SAMPLE** *(continued)***Estimated Excess Corporate Costs Summary**

All costs shown below are projected, annual figures for costs to the Corporation that are considered excessive due to factors which are in the control of managers and employees. This summary has been compiled in order to bring to light the magnitude of potential savings for potentially simple changes in behavior. These numbers are all presented in further detail within the detailed report attached.

	<b><u>Direct</u></b>	<b><u>Indirect</u></b>
1. Cost overruns for exceeding salary budgets	\$1,392,000	
2. Cost of incorrect/late payroll/personnel paperwork	\$78,783	
3. Cost of staff time on commission plan exceptions	\$87,850	
4. Cost of exceptions above authorized amounts on commissions	\$778,124	
5. Cost of noncumulative draws not offset by commissions	\$578,000	
6. Cost of benefits paid by company due to functionally stressed employees (employee burnout)	TBD	
7. Cost of retirement supplements paid to retirees allowed to retire rather than being confronted to correct performance problems	\$39,432	
8. Annual average termination costs		\$3,954,618
9. Cost of voluntary turnover with replacement employees hired		\$13,275,600
10. Cost of "no shows" for internal training programs	\$16,000	
<b>Subtotals</b>	<b>\$2,970,189</b>	<b>\$17,330,218</b>
<b>Projected Yearly Total Excess Administrative Costs</b>	<b>\$20,300,407</b>	

## **Human Resources as a Finance and People-Oriented Business Function**

### **Areas to Measure**

1. Objectives: Benefits/Compensation
2. Recruitment/Internal Job Posting
3. Audit Human Resources Department/Staff
4. Human Resources Management Information System
5. Terminology (“Speak Finance, Not English”)
6. “Finance for Non-Financial Managers”
7. Termination Process
8. New Executive Start-Up
9. Long-Term: Succession Development
10. ROI Based Training
11. Human Resources as a Bottom Line Competitive Business Advantage
12. Values Audit

## The Business Case

### I. Productivity Ratios Improved or Maintained

1. Staffing =  $\frac{\text{Number of Employees}}{\text{Volume of: Loans; People Hired; Facilities Managed; Classes Run; Mail or Forms Processed; Promotions Run; etc.}}$
2. Show increase, even with request and added staff
3. Convert productivity increase into profitability or cost savings on an annual basis
4. Note: Employee cost includes:
  - a. direct salary/T & E
  - b. facilities/overhead support
  - c. benefits cost
5. Set up standard ratios to add one person (full or part time) every time the volume of “X” above increases by “Y” amount
6. What is the added cost of foregoing the extra person anyway (i.e., overtime, temporaries, errors, etc.)

### II. Increase Company Profits

1. Added company revenues/volumes converted to bottom line profit contribution
2. (–) subtract costs to achieve above
3. = net income increased by “X”

### III. Reduce costs

1. What current costs are being expended that are generally hidden from view (i.e., poor leases, maintenance, EEO suits, extra processing, higher meetings or recruiting costs, turnover, poor promotions, external training costs, temporaries, overtime, etc.)?
2. What are the costs of adding employee to do the work instead? (See Note #I.4 above)
3. What is the return to the company (#1 minus #2)?

## **Seven Principles of Learning**

1. Learning involves both support and challenge. You'll be encouraged to take risks, question assumptions and fully engaged in the learning process. Grow as a result.
2. Learning involves changing both thinking and action. You'll examine your own thought process and consider new insights and perspectives. Change your view of the world!
3. Learning is an ongoing process of self-discovery. The Centre's Experiential Learning Cycle will help you become more self-aware, gaining understanding of your strengths, weaknesses, values and principles-over and over again. Grow your skills.
4. Participants need to feel that the learning experience is both relevant to their situation and authentic to them as a person. The Centre's learning experiences will relate the material directly to your own experiences through using your own case situation and critical issues throughout the event. Immediately apply your learning.
5. Learners and facilitators should be involved as equal contributors in the immersion and learning process. The Centre's learning experiences are designed to encourage you to become full partners in immersing yourself in the learning experience. Experience learning that lasts
6. Learning is a social activity and happens best in the context of a trusting community. The Centre's learning experiences provide a friendly, welcoming, family-oriented environment. We build personal connections and a sense of community among participants, day and night. Build lasting relationships.
7. Learning experiences should surprise and delight participants. The Centre's learning experiences include laughter and are passionate, fun and personally meaningful. Come enjoy yourself and others.



**NOTES:**

## **Section V**

### **The Iceberg Theory of Change**



#### **The Iceberg**

“He who only sees the obvious, wins his battles with difficulty.

He who sees below the surface of things wins with ease”

– Sun Tzu

### **Three Strategic Management Goals: Designing, Building and Sustaining a “Customer-Focused, High-Performance Organization for the 21st Century”**

Requires a balance in how organizations spend their time and energy between:

1. **Content**, tasks, goals, and focus of the business;
2. **Processes** and “how” we go about our behaviors while working on the tasks;
3. The **Structure** (or context/arrangements) within which the content and process operate.

**Content**

**Process**



**Structure**

*It requires persistence, disciplined persistence,*

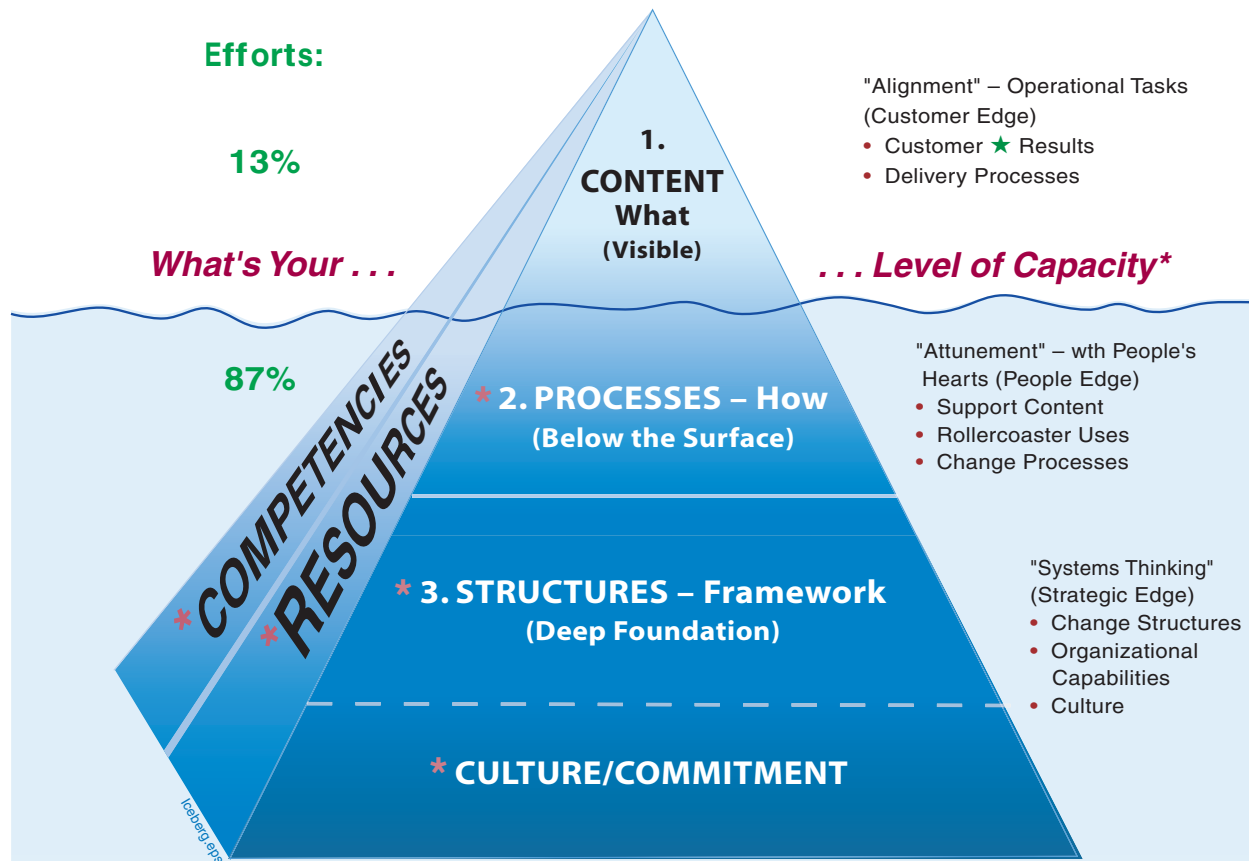
*for*

*success in Enterprise-Wide Change*

## THE ICEBERG THEORY OF CHANGE

### The Systems Thinking Approach™

(The **CAPACITY\*** to Achieve Your Competitive Business Advantage)



### CONTENT MYOPIA

is our failure to focus on Process and Structure.

Yet,

Change is dependent on good *Processes and Structures*  
in order to Achieve the *Content* of the desired changes.

### **The Difficulty of Enterprise-Wide Change Management**

1. Managing the Day-to-Day Business/Organization
2. Managing the Change Process

Under stress and a heavy load, which management activity above loses out?

### **The Iceberg Theory of Change**

***What sinks change efforts are the same things that sink ships:***

**The “stuff” below the waterline that is not readily visible.**

- In an iceberg, it is the 87% of the iceberg below the water line.
- In organizations, it is the lack of focus on two of the three levels of the “reality of life”:
  - *i.e., lack of focus on the underlying processes and structures needed for effective change.*

## Structure Influences Behavior

Infrastructures are one of the most powerful influences of behavior there are – they are the “context” within which change occurs.

1. Having the right structures in place to begin a change is critical.
2. Desired behaviors need desired structures – both physical and mental/emotional/cultural.
3. Even colors, shapes, and visuals are effective structures.
4. Structures create chain reactions – slow at first, faster later on – Lily Pond Theory.
5. Structures need flexibility – too rigid or soft are both bad.
6. In the absence of structures, we create them – they slowly emerge.
7. The linkages of the structures to each other are key.
8. Without structures – complacency and chaos reign.
9. Persistence with the structures is key to change.
10. Artificial structures/boundaries can be a mistake.

## **“Structure Influences Behavior”**

### ***Structure Creates Clarity and Simplicity***

*Many “little” High Impact Structures in Strategic Management Center:*

1. Simplicity wins the game every time (KISS)
  - 1 page documents – Strategic Planning Trifold
    - Annual Plan Priorities
    - Measures/goals
    - Yearly Map of Implementation
  - ABCs Model and Template
  - Monthly Strategic Change Leadership Team Meetings
  - One-Agenda Meeting
  - To Do List
  - Meeting agendas flow: 1st change topics
    - Then day-day topics
  - Rule of Three: 3 goals/3 premises
  - Rollercoaster of Change (only things you need to know)
2. Change Leadership Team
3. Four Players of Change Roles – especially support leader and PMO office
4. Structure of decision – working: consensus = “actively support” the decision
5. Structure of Dialogue – “Skeptics are my best friends”
  - “People support what they help create”
6. Parallel Involvement Process
7. Smart Start Two-Day Session – Plan-to-Implement
8. Plan-to-Plan Day (Educate-Organize-Assess-Tailor)
9. “SKEPTIC” as future Environmental Scan Framework
10. ESS (Environmental Scanning System)
11. Systems Thinking = Disciplined Thinking
12. Business Excellence Architecture – framework of an “organization as a system”
13. Iceberg Theory of Change (content-process-structure) – focus comprehensive thinking
14. Helicopter and Rubik’s Cube Analogy-Physical Structures

## Enterprise-Wide Change Management

### *“A Menu” – Structures and Roles*

#### MAIN STRUCTURES – SENIOR LEADERSHIP

1. **Visionary Leadership** — CEO/Senior Executives with Personal Leadership Plans (PLPs)
  - For repetitive stump speeches and reinforcement
  - To ensure fit/integration of all parts and people towards the same vision/values
2. **Internal Support Cadre** — Informal/kitchen cabinet
  - For day-to-day coordination of implementation process
  - To ensure the change structures and processes don't lose out to day-to-day activities
3. **Executive Committee**
  - For weekly meetings and attention
  - To ensure follow-up on the top 15-25 priority yearly actions from the Strategic Plan
4. **Enterprise-Wide Change Leadership Team (formal)**—replaces or is the Strategic Planning Team
  - For bimonthly/quarterly follow-up meetings to track, adjust and refine everything (including the Vision)
  - To ensure follow-through via a yearly comprehensive map of implementation
5. **Program Management Office** — Joint internal and external experts
  - For Enterprise-Wide Change requiring management of multiple change processes and projects
  - To ensure “Watertight Integrity” to your Vision, Positioning, and Values (Strategic Business Design)

#### SUB-STRUCTURES—PROJECT/PROCESS TEAMS

6. **Strategy Sponsorship/Project or Process Teams**
  - For each core strategy and/or major change effort/Key Initiatives
  - To ensure achievement of each one, including leadership of what needs to change
7. **Employee Development Board (Attunement of People's Hearts)**
  - For succession—careers—development—core competencies (all levels)—performance management/appraisals
  - To ensure fit with your desired values/culture—and employees as a competitive edge
8. **Technology Steering Committee/Group**
  - For computer, telecommunications, and software fit and integration
  - To ensure “system-wide” fit/coordination around information management
9. **Strategic Communications System (and Structures)**
  - For clear two-way dialogue and understanding of the plan/implementation
  - To ensure everyone is heading in the same direction with the same strategies/values
10. **Measurement and Benchmarking Team**
  - For collecting and reporting of Key Success Measures, especially customers, employees, competitors
  - To ensure an outcome/customer-focus at all times
11. **Accountability and Responsibility System—all levels**
  - For clear and focused three-year business plans and annual department plans that are critiqued, shared and reviewed, as well as individual performance appraisals
  - To ensure a fit, coordination and commitment to the core strategies and annual top priorities
12. **Whole System Participation Team (can combine with #8)**
  - For input and involvement of all key stakeholders before a decision affecting them is made. Includes Parallel Processes, Search Conferences, Annual Management Conferences, etc.
  - To ensure a critical mass in support of the vision and desired changes
13. **Rewards and Recognition Programs (can combine with #6)**
  - For recognizing and paying people for strategic management accomplishments
  - To ensure reinforcement of the accountability and responsibilities system
14. **Organization Redesign Team**
  - For studying and recommending what redesign of the organization is needed
  - To ensure synergy of the strategies, structures, processes, policies, values and culture
15. **Environmental Scanning System**
  - For collecting data from the environment (SKEPTIC)
  - To ensure advance awareness of coming changes to the environment



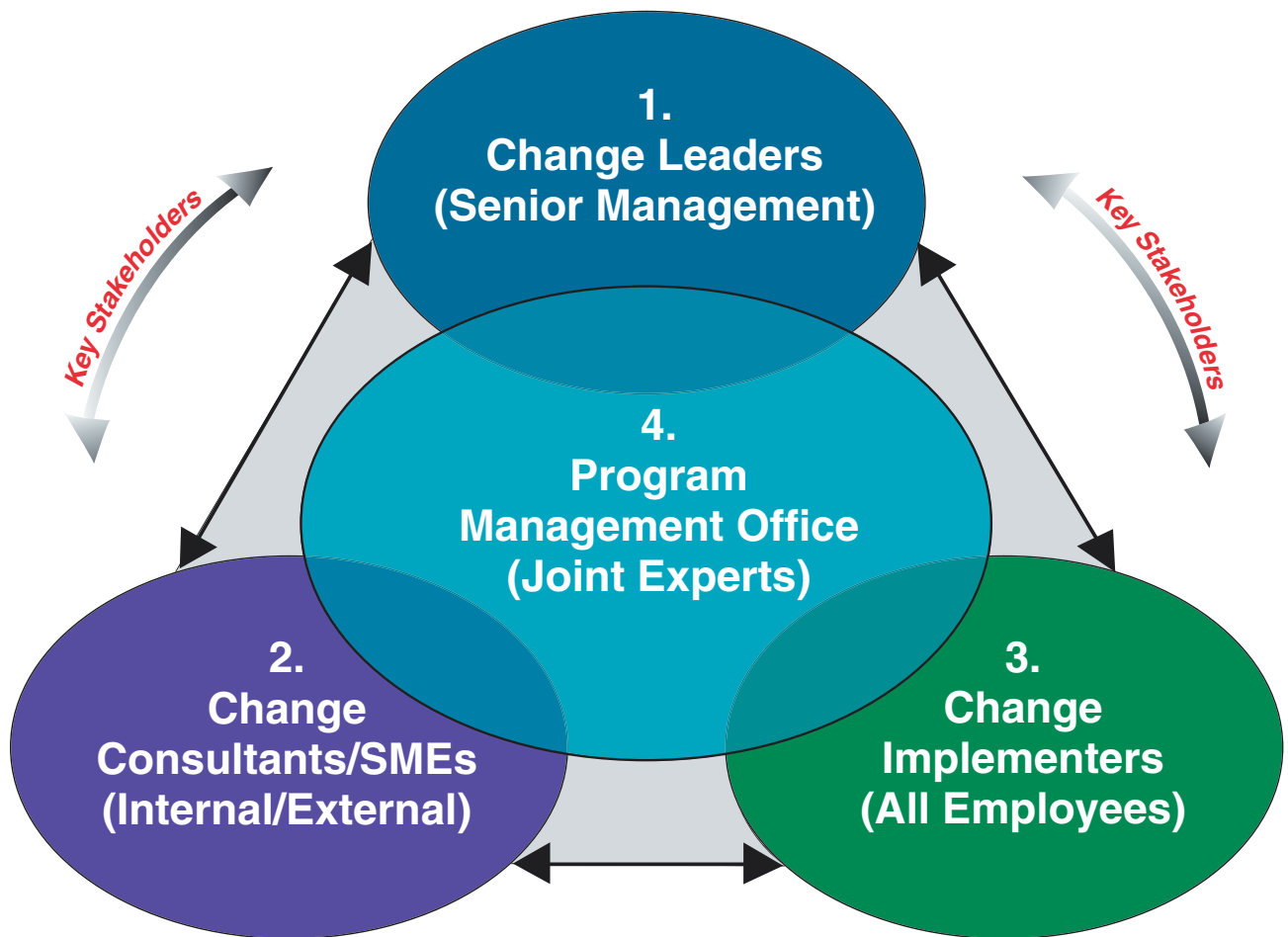
Primary Enterprise-Wide Change Management Structures

Instructions: Fill in this matrix based on all input reviewed to date:

Infra-Structures	Membership? Comments? Primary Tasks?
1. Visionary Leadership	
2. Internal Support Cadre	
3. Executive Committee Weekly Meetings	
4. Change Leadership Team	
5. Program Management Office	
6. Project Teams	
7. Employee Development Board	
8. Technology Steering Committee	
9. Strategic Communications System (and Structures)	
10. Measurements and Benchmarking Team	
11. Accountability and Responsibility System	
12. Whole System Participation Team	
13. Rewards and Recognition Programs	
14. Organization Redesign Team	
15. Environmental Scanning System	

## THE PLAYERS OF CHANGE

### Enterprise-Wide Change™: *The Systems Thinking Approach™*



POC.eps

**The Multi-Year Cascade of Change Journey:**  
**Person-by-Person ♦ Level-by-Level ♦ Unit-by-Unit**

## **The Players of Enterprise-Wide Change**

### **1. Change Leaders/Champions (Player and Role #1):**

- The individual or group that recognizes that change is needed and accepts responsibility for initiating the required change. Must include CEO and senior management.

### **2. Change Consultants/Facilitators (Player and Role #2):**

- The individual or group that agrees with the need for change and accepts responsibility for facilitating the required change. Must be SMEs (Subject Matter Experts) on the processes and structures of change.

### **3. Change Implementers (All Management and All Employees) (Player and Role #3):**

- The individuals or groups that understand and accept the need for change and actually implement the desired change within their daily work and behaviors.

(Always includes the Change Leaders/Consultants because they must “walk the talk”.)

### **4. Program Management Office: Enterprise-Wide Change (Player and Role #4):**

- Joint internal and external experts (executive and consultant) in content, process, structural knowledge, and skills of successful Enterprise-Wide Change efforts.
- It requires both an executive and a consultant who are well-respected and have high credibility, reporting directly to the CEO. They must have no other day-to-day responsibilities except the Enterprise-Wide Change effort (e.g., the same way that Boeing builds aircraft to create future business).
- Be sure to provide them, at minimum, with support staff, a financial analyst, space, and a budget.

## Some Principles of Change – the Process

The principles of change are research-based; they are not matters of personal opinion.

1. Any change in any one part of the organization affects other parts of the organization – the “Ripple Effect.” (An organization is a system and a “web of relationships.”) Leaders need constant attention to an integrated fit/alignment and attunement. If not, entropy will take over.
2. People are funny. Change they initiate is viewed as good, needed, and valuable. Change that is forced on them is met by some form of resistance, no matter what the nature of the change.
3. People need predictability – physical, psychological, and social. It’s an offshoot of the basic need for security.
4. People will feel awkward, ill-at-ease, and self-conscious; they need information and reassurance over and over again (repetition – repetition – repetition).
5. People will think first about what they will have to give up – their losses. Let people have the time to cry, mourn and grieve the loss.
6. People will feel alone even though others are going through the same change. Structure interactions and involvement for people to feel a sense of community.
7. People also need variety – new experiences, growth, breaks in routine, and creative outlets.
8. The communications power in explicit vision and values is enormous. People want to believe.
9. Only one to three themes (maximum) should be chosen in order to focus people.
10. People change at different rates, depths and speeds; they have different levels of readiness for change.
11. Excellence is doing 10,000 little things rights – that’s strategic management in execution.
12. “Structures” exist – their design influences everything else.
13. “Processes” exist – only issue is their focus and effectiveness.
14. There is a need for a continual “change management” process – the hierarchal organization has a difficult time changing itself.

*continued...*

## Some Principles of Change – the Process

15. The stress of change on people is enormous...but can and must be managed for successful change to occur. People can only handle so much change; don't overload—it causes paralysis.
16. Being open to feedback doesn't have to be a sacred cow...but it can be painful; yet growth inducing, as you have more of reality with which to improve.
17. Employees can be a bottom line competitive business advantage—but only if management first becomes the advantage.
18. People will be concerned they don't have enough resources; help them get “outside the Nine Dots.”
19. If you take pressure for change off, people will revert back to old behaviors; relapses are natural and will occur.
20. We rarely use what works despite the fact that proven research is in on change management.
21. What else?

*Adapted from John Laurie, Ken Blanchard, Bill Pfeiffer, and Steve Haines*

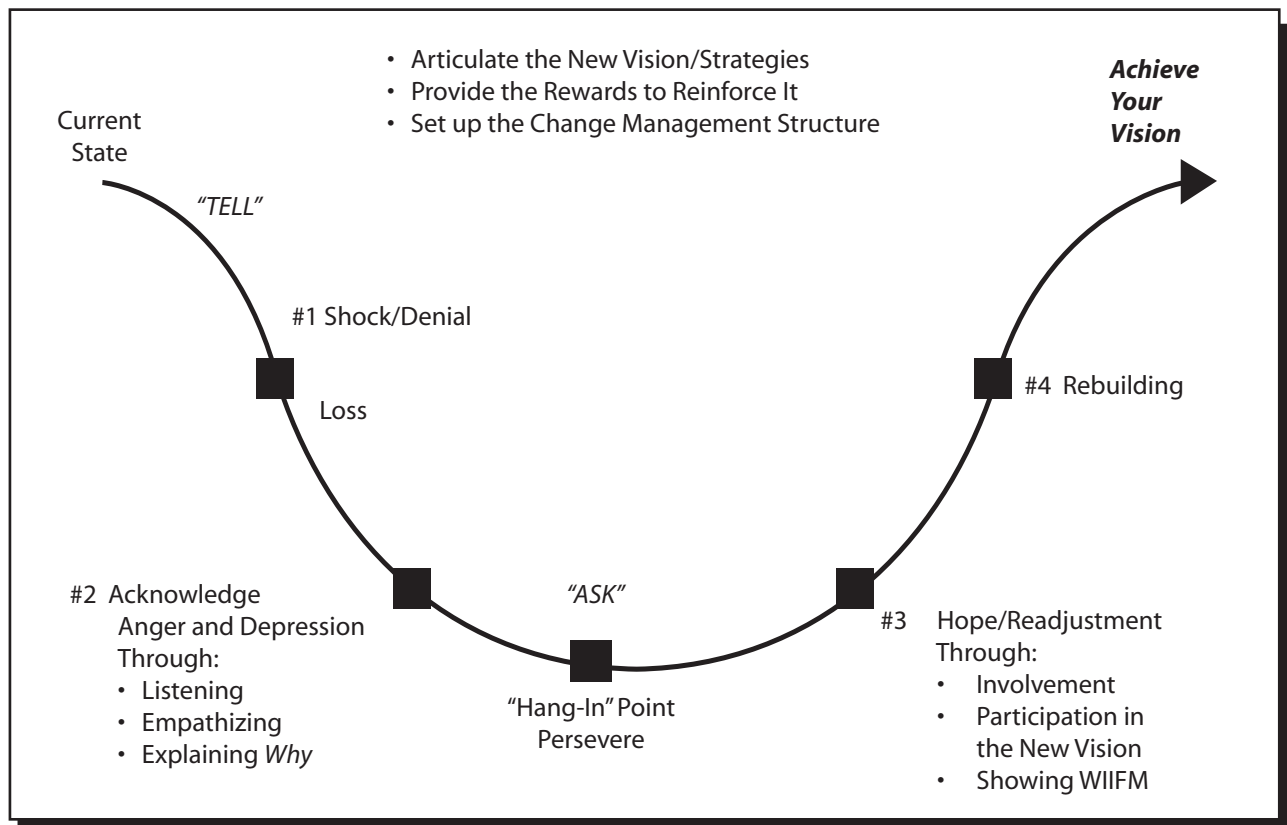
### —A Challenge—

Be deadly serious over the long term...  
or don't even attempt change...  
You'll screw it up!

*“In life, what you resist, persists!”*  
Constant reinforcement is needed.

## Rollercoaster of Change – Process

### “Persevere”—The Key to Strategic Change

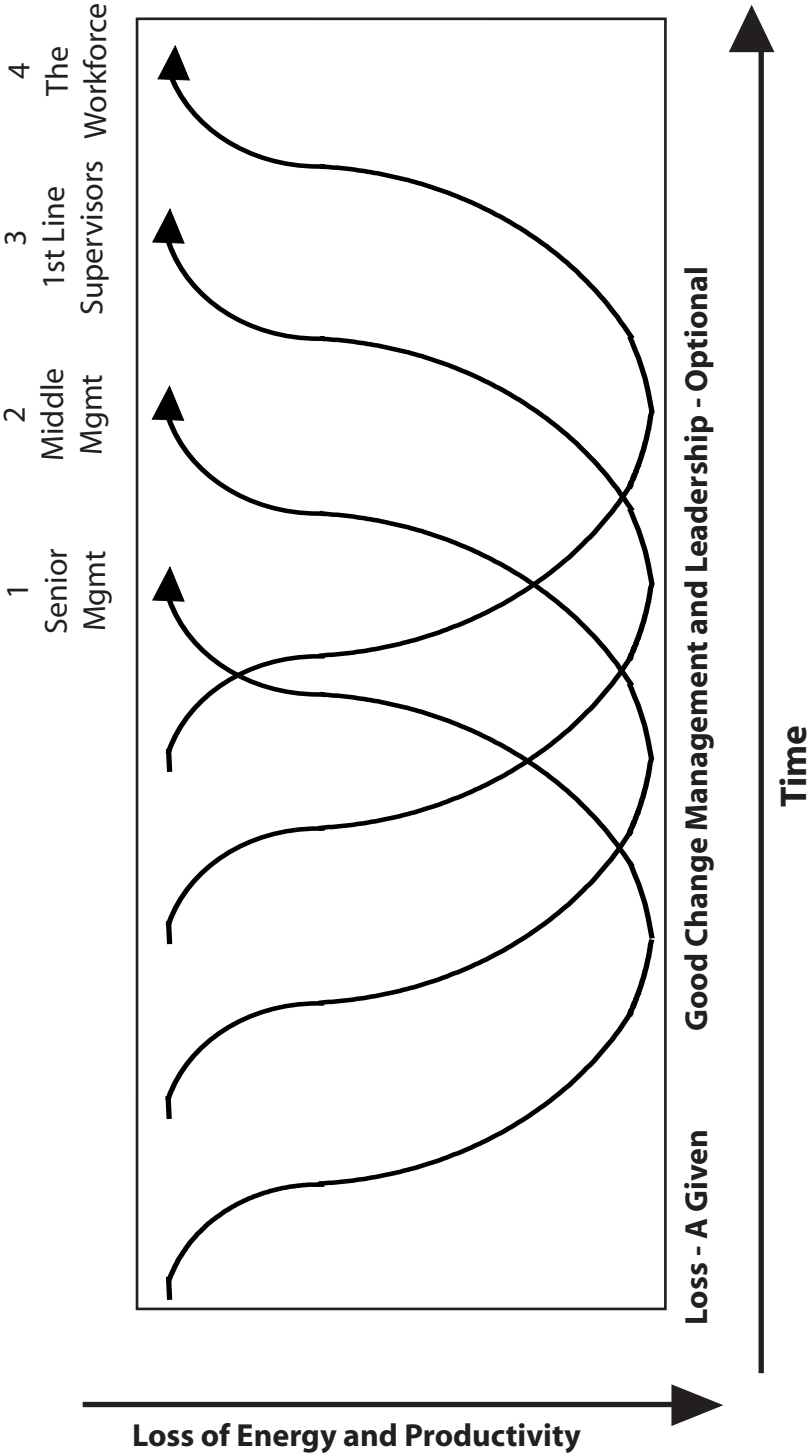


### Major Questions

1. Not “if” but “when” will we start to go through shock/depression?
2. How deep is the trough?
3. How long will it take?
4. Will we get up the right (optional) side and rebuild?
5. At what level will we rebuild?
6. How many different rollercoasters will we experience in this change?
7. Are there other changes/rollercoasters occurring?
8. Will we “hang-in” and “persevere” at the midpoint (bottom)? How?
9. How will we deal with normal resistance?
10. How will we create a “critical mass” to support and achieve the change?

**Levels and Waves of Change  
in the Rollercoaster of Change**

*– Even If All the Leadership Performs Well –*



*So, how does anything productive get done during this time?*

## Persistence...Hang In

“Nothing in the world can take the place of persistence. Talent will not; nothing is more common than unsuccessful men with talent. Genius will not; unrewarded genius is almost a proverb. Education will not; the world is full of educated derelicts. Persistence and determination alone are omnipotent.”

*Source: Calvin Coolidge*

“A basic truth of management — if not of life — is that nearly everything looks like a failure in the middle...persistent, consistent execution is unglamorous, time-consuming, and sometimes boring.”

*Source: Rosabeth Moss Kanter, July 1990*

### All Change is a Loss Experience

1. **Loss** creates a feeling of depression for most people. One loses preferred modes of attaining and giving affection, handling aggression, dependency needs—all those familiar routines which we have evolved and usually taken for granted.
2. **Loss** is a difficult experience to handle, particularly if what one leaves behind is psychologically important.
3. **All loss** must be mourned and the attendant feelings disgorged if a restitution process is to operate effectively.
4. **Most** organization change flounders because the experience of loss is not taken into account. *To undertake successful organizational change, an executive must anticipate and provide the means of working through that loss and all four phases of it.*

Adapted from Harry Levinson, *Psychological Man*



## Rollercoaster of Change™

*Question:* Which concerns do we have in our changes? Circle them. Next, develop strategies to deal with them.

Issues/Concerns	Issues/Concerns
1. Loss of influence	10. Loss of professional identity
2. Loss of control	11. Loss of territory
3. Loss of money	12. Concerns about ability to handle new group
4. Concerns about family reaction to change	13. Loss of role
5. Loss of social status	14. Loss of employment
6. Concerns about starting over—"new kid"	15. Loss of meaning
7. Loss of future	16. Concerns about competency
8. Loss of relationships, networks	17. Fear of failure
9. Loss of autonomy	18. Loss of satisfaction
	19. Loss of support

### Changing Habits

"Changing people's habits and way of thinking is like writing your instructions in the snow during a snowstorm. Every 20 minutes you must rewrite your instructions. Only with constant repetition will you create change." — *Donald L. Dewar*

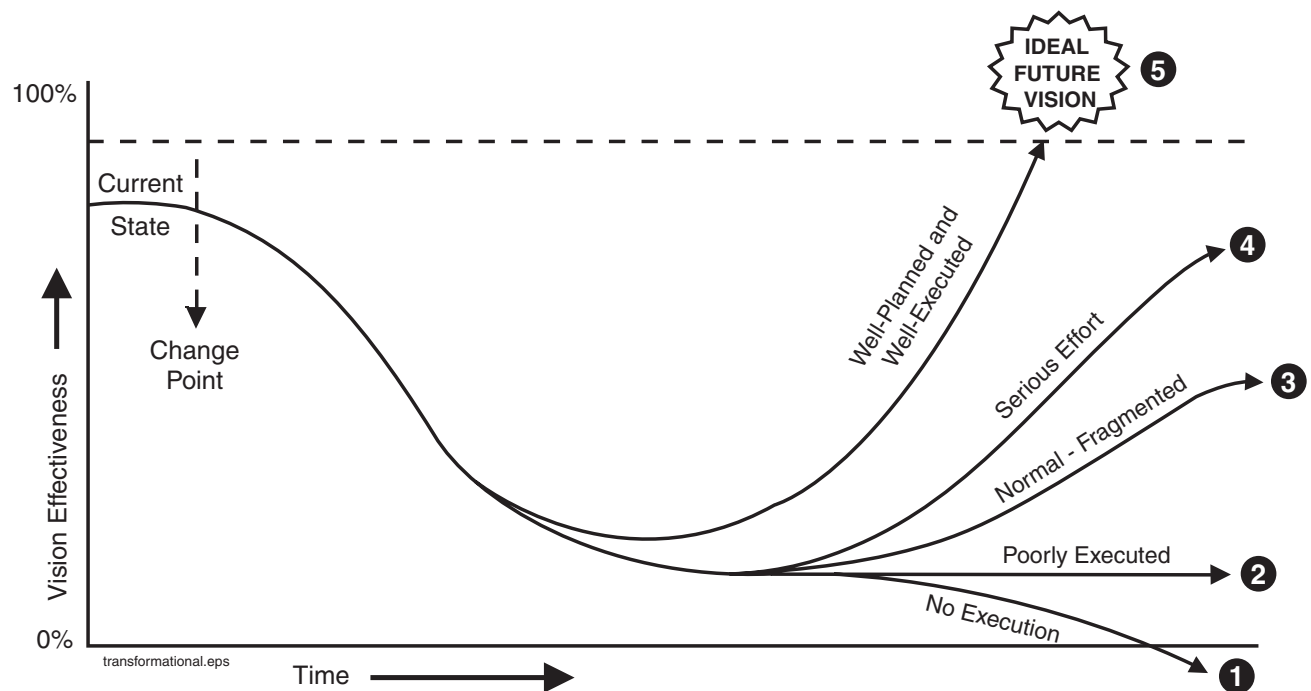
"The history of mankind is strewn with habits, creeds, and dogmas that were essential to one age and disastrous to another." — James Reston, New York Times columnist

**Attitudes:** "Attitudes are habits of thinking." — *Steve Wilson*

**Comfortable With Behavior Changes:** "It takes 18 months to 2 years of steady disciplined effort to feel comfortable with new behavior." — *Harles Cone*

## Transportational Change and Excellence

### The Five Choices of Change and Levels of Excellence



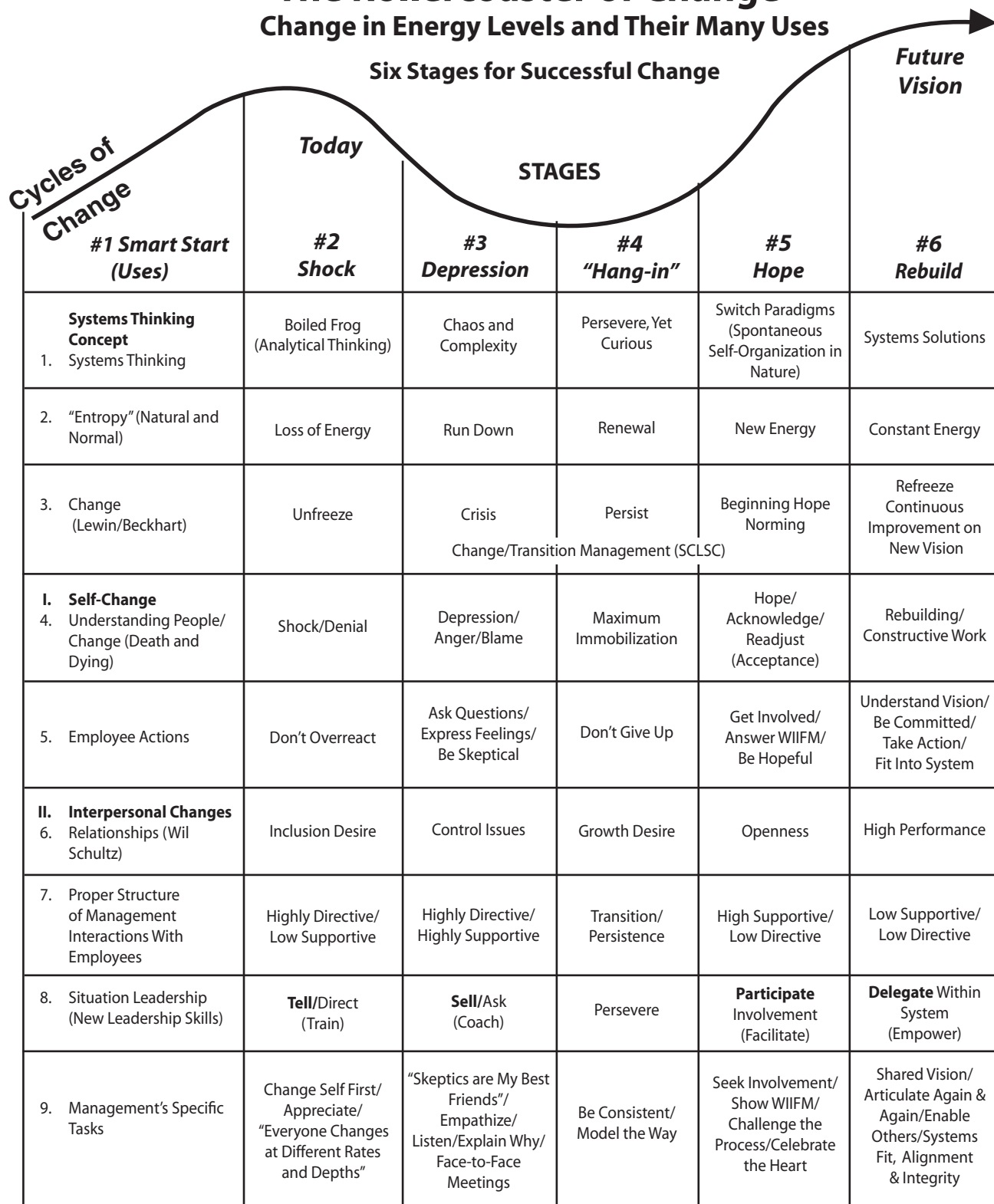
Which will you be?

- \_\_\_\_\_ **1 Incompetence** — “Going Out of Business”
- \_\_\_\_\_ **2 Technical** — “Dogged Pursuit of Mediocrity”
- \_\_\_\_\_ **3 Management** — “Present and Accounted For Only”
- \_\_\_\_\_ **4 Leadership** — “Making a Serious Effort”
- \_\_\_\_\_ **5 Visionary Leadership** — “Developing an Art Form”

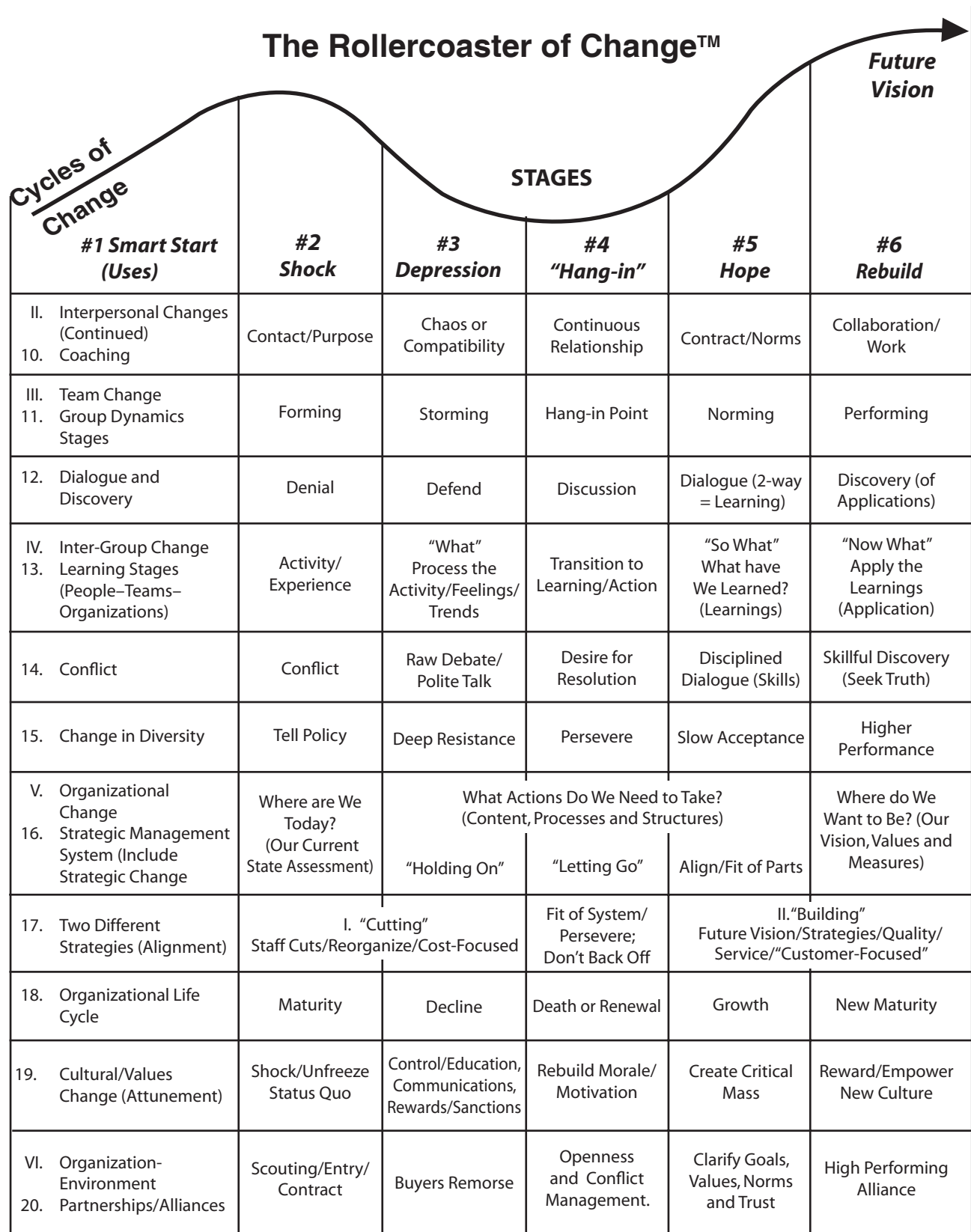
# The Rollercoaster of Change™

## Change in Energy Levels and Their Many Uses

### Six Stages for Successful Change



<i>Cycles of Change</i> <b>#1 Smart Start (Uses)</b>	<i>Today</i>	<b>STAGES</b>			<i>Future Vision</i>
	<b>#2 Shock</b>	<b>#3 Depression</b>	<b>#4 "Hang-in"</b>	<b>#5 Hope</b>	<b>#6 Rebuild</b>
<b>Systems Thinking Concept</b> 1. Systems Thinking	Boiled Frog (Analytical Thinking)	Chaos and Complexity	Persevere, Yet Curious	Switch Paradigms (Spontaneous Self-Organization in Nature)	Systems Solutions
2. "Entropy" (Natural and Normal)	Loss of Energy	Run Down	Renewal	New Energy	Constant Energy
3. Change (Lewin/Beckhart)	Unfreeze	Crisis  Change/Transition Management (SCLSC)			Refreeze Continuous Improvement on New Vision
<b>I. Self-Change</b> 4. Understanding People/Change (Death and Dying)	Shock/Denial	Depression/Anger/Blame	Maximum Immobilization	Hope/Acknowledge/Readjust (Acceptance)	Rebuilding/Constructive Work
5. Employee Actions	Don't Overreact	Ask Questions/Express Feelings/Be Skeptical	Don't Give Up	Get Involved/Answer WIIFM/Be Hopeful	Understand Vision/Be Committed/Take Action/Fit Into System
<b>II. Interpersonal Changes</b> 6. Relationships (Wil Schultz)	Inclusion Desire	Control Issues	Growth Desire	Openness	High Performance
7. Proper Structure of Management Interactions With Employees	Highly Directive/Low Supportive	Highly Directive/Highly Supportive	Transition/Persistence	High Supportive/Low Directive	Low Supportive/Low Directive
8. Situation Leadership (New Leadership Skills)	<b>Tell</b> /Direct (Train)	<b>Sell</b> /Ask (Coach)	Persevere	<b>Participate</b> Involvement (Facilitate)	<b>Delegate</b> Within System (Empower)
9. Management's Specific Tasks	Change Self First/ Appreciate/ "Everyone Changes at Different Rates and Depths"	"Skeptics are My Best Friends"/ Empathize/ Listen/Explain Why/ Face-to-Face Meetings	Be Consistent/ Model the Way	Seek Involvement/ Show WIIFM/ Challenge the Process/Celebrate the Heart	Shared Vision/ Articulate Again & Again/Enable Others/Systems Fit, Alignment & Integrity



## **Enterprise-Wide Change: Some Ways to Deal With Initial Resistance**

***(How to “unfreeze” executives and organizations both)***

**People are “frozen” and resist for three main valid reasons:**

1. Rational-logical reasons
2. Political-personal reasons
3. Cultural reasons-“the way we’ve always done things” (norms of behavior-core values)

### **Some specific ways to deal with Resistance**

1. Conduct future environmental Scan (Socio-demographics K Competition/Substitutes Economics/Ecology Political/Regulatory Technical Industry Customer/Citizens)-especially technology and customers.
2. Conduct Current State Assessment-especially an Enterprise-Wide Change Assessment (use the Business Excellence Architecture).
3. Appeal to the executive’s desire to leave a “legacy”.
4. Show what industry leaders and “excellent” firms are doing.
5. Share what competitors are doing.
6. Explain your organization’s finances and P/L statement.
7. Share your organization’s Ideal Future Vision.
8. Conduct an organizational and/or values survey. Feed it back to staff.
9. Collect interview data and feed it back to staff.
10. Change the reward/recognition system (individual-team-organization-wide).
11. Examine and share employee data, such as turnover, etc.
12. Conduct and unfiltered “upward feedback meeting”.
13. Feed back customer perceptions and data.
14. Conduct focus groups of employees or customers.

*continued*

## **Enterprise-Wide Change: Some Ways to Deal With Initial Resistance *(continued)***

15. Change the location of management offices to be closer to the workers.
16. Set up Cross-Functional task forces to analyze issues and recommend solutions.
17. Explicitly evaluate employees (including senior management) on your espoused values.
18. Allow executives and employees to vent their feelings in the following sequence:
  - a. “What does it feel like?”
  - b. Empathize with them
  - c. Prove to them that you’ve heard them (ethical persuasion).
  - d. Ask people to put themselves “in the shoes” of the other person.
  - e. Finally, deal with the content of the issue:
    - Brainstorm solutions clarify their purpose (true brainstorming).
    - Next, go for agreement and troubleshoot solutions.  
 (“Facilitate solutions rather than giving them.”)
19. Have methods by which people affected by the change can participate in some aspect of change to influence their destiny. (Parallel Involvement Process)
20. Develop a positive climate about the change by evoking a clear and positive “common vision” of what the end state of the change will look like.
21. Show executives how the change can personally help them and their needs (WIIFM).
22. Work closely with, and influence the informal leaders of the organization.
23. Provide executives with an opportunity to increase their learning and competence about their jobs and about Change Principles and Behavioral Science Principles both.

*continued*

## **Ways to Institutionalize Change in an Enterprise**

### **(Phase VI-Rebuilding)**

#### **Refreezing/Renewing and Maintaining**

##### ***Stability/Flexibility in an Organization***

**Note:** While it may be good to think of institutionalizing change in an organization, the practical reality is that once you institutionalize this new changed state, you will immediately begin to make other incremental changes in response to changing conditions. This continues indefinitely! (i.e., continual improvement/renewal)

There are ways to insure changes are successfully completed and maintained. They include:

1. Conduct an organizational assessment to see the status of the change and problems that need improvement in order for the change to reach its full effectiveness.
2. Conduct refresher-training courses on the change topic.
3. Hold yearly conferences on the subject (renewal).
4. Have the basic change and also the improvements listed in #1 above as part of senior line management's goals and performance appraisal.
5. Conduct a reward system's diagnosis and make appropriate changes so that the rewards (both financial and non-financial) are congruent and consistent with the changes.
6. Set up an ongoing audit system. Also find ways to statistically measure the change effectiveness. Line managers are used to statistics and generally like them.
7. Have ways to discuss and reinforce the change at periodic staff meetings of top management and department heads.
8. Set the changes into policies and procedures on the ongoing organization; then have someone accountable for them. Set up permanent jobs to maintain the changes or put the accountability into existing job descriptions.
9. Use a variety of communications avenues and processes for both one way and two-way feedback on the change.
10. Hold periodic team meetings on the subject across the organization.

## Section VI

### How to Work with Senior Executives

1. Focus on their needs; timing
  - not mine
  - low ego
2. Give options vs. “telling them”
  - VI (valid information)
  - IC (informed choice)
  - IC (internal commitment)
3. Model openness, disclosure first; build intimacy
4. Clear contracting; know what to expect; “no surprises”
5. “Talk their talk” – ROI, business, industry
6. Truly care for them; personal relationship; build total confidence

#### **- AGE -**

- Acceptance
  - Genuineness
  - Empathy
7. Use “thank you” cards
    - Recognition
    - Reinforce positives (not negatives)
  8. Educate them by osmosis; mini lecturettes; models; vignettes
  9. Share a Systems Model; fit; integration of parts
  10. Appreciate their web of relationships and complexities

Tap Into Their Dreams – Visions – Values

(Market to Reinforce This)



## Manage Your Manager

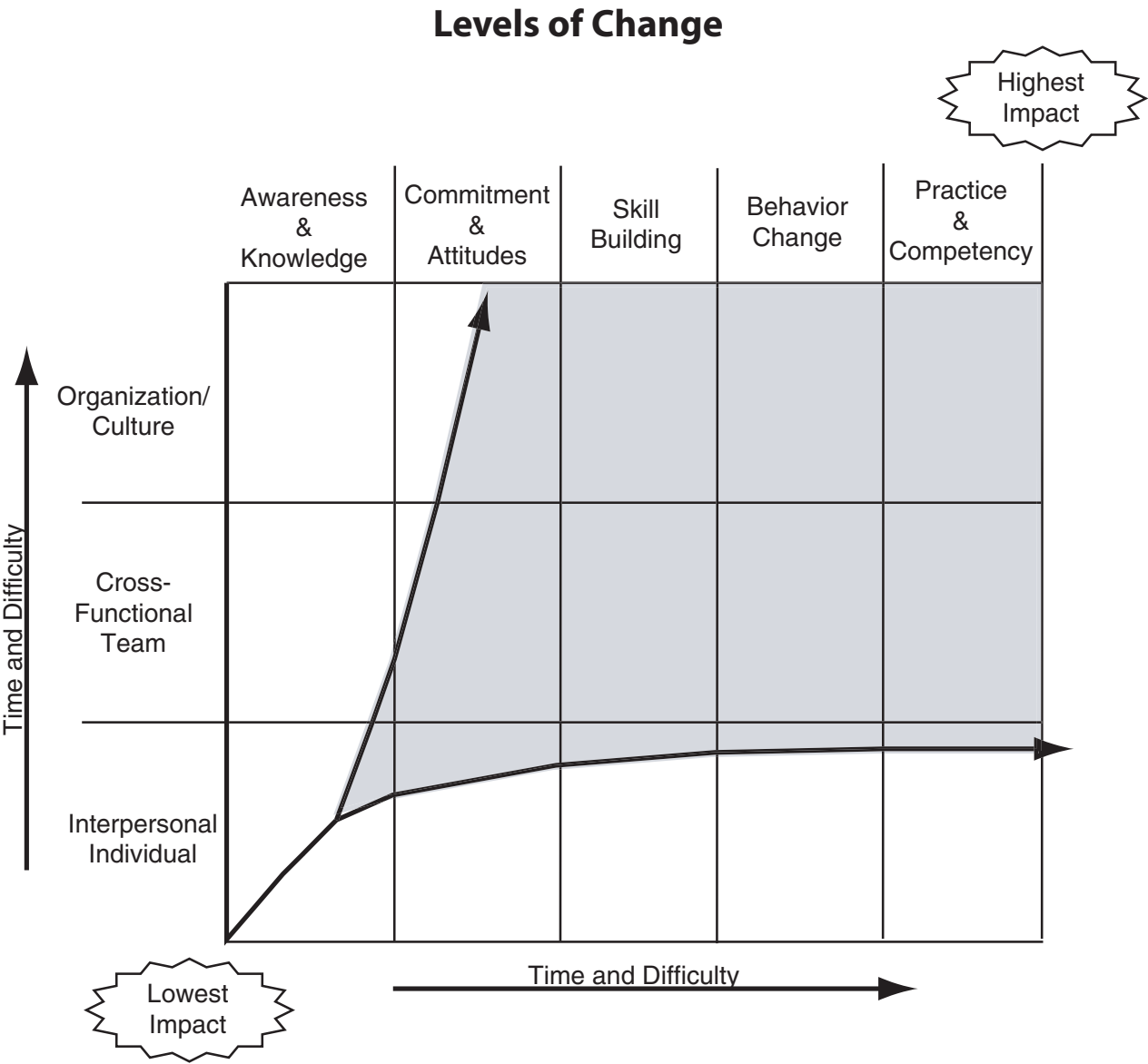
*(Excerpt from TD Magazine November, 2005)*

- Ask, what's the problem? Determine exactly what the issue is.
- If he overloads you with work, ask what the priorities are, and for options to help you manage the workload.
- Have regular meetings. Many of the frustration employees experience with managers are because of a communication breakdown. Set up regular meetings to tell your boss about your career goals and discuss what you need to get there. In addition, ask her what her goals are and how you can help. You may also want to try to talk your boss's language.
- Toot your own horn. Make sure your manager knows your accomplishments and the extra work you put in. In addition, share a few details of your personal life so she sees you as a person, and not just as an employee. If your boss isn't listening, toot your horn to others in the chain.
- Learn from it. Stop and think whether your attitude is feeding the problem. Ask yourself and your boss what you could do differently. If you start being more flexible, your manager may be as well.
- Know when to bail. Sometimes there's just no way to make it work.

## Individual Executive Change

Individual change is hard –  
Changing one's habits  
is like writing your name in the snow,  
in a snowstorm.

Many researchers believe it takes 18-24 months  
for a person to change their habits –  
the ruts in the road that help and hinder us.



**Successful Individual Change**

**Do they have the Knowledge, Skills, Attitude?**

- K** = **IU** = Intellectual Understanding
  - S** = **AI** = Through Active Involvement/Participation
  - A** = **ES** = Emotional Support by Others
- and

Can they identify WIIFM?

## Five Phases of Behavioral Change

C H A N G E   T A K E S   T I M E

### 1) **Awareness**

- First, we must become aware of what it is we are doing.

### 2) **Understanding**

- Then, we must develop a real understanding of the impact of our current behavior.

### 3) **Belief**

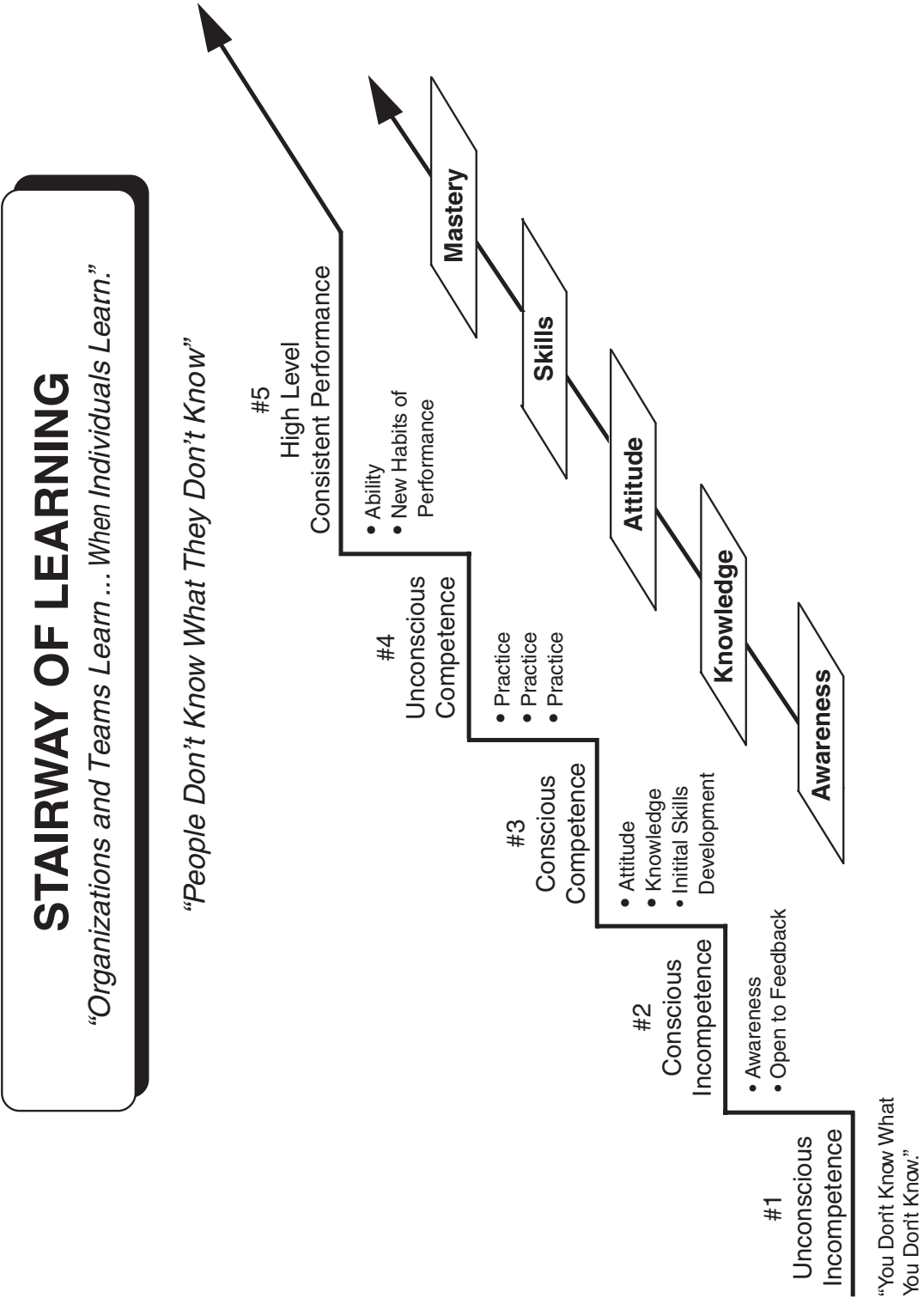
- Then, we must firmly believe that this impact isn't helpful and needs to be changed.

### 4) **Commitment**

- Then, we must develop a strong commitment to focus on changing the behavior.

### 5) **Action**

- Finally, we must be prepared to act consistently in a way that demonstrates the new preferred behavior, so that the preferred impact occurs. This new behavior must become habitual.



## Individual Change Questionnaire

– Research by Stephen G. Haines

Instructions: Check the following numbers if you are an employee who is:

- \_\_\_\_\_ 1. Older (50+ years of age)
- \_\_\_\_\_ 2. Male
- \_\_\_\_\_ 3. A long-term service employee (10+ years of service)
- \_\_\_\_\_ 4. A more senior or corporate/ministry/government officer
- \_\_\_\_\_ 5. Highly paid (\$150,000+ annual compensation)
- \_\_\_\_\_ 6. More experienced in the business/industry sector (10+ years)
- \_\_\_\_\_ 7. Have completed no more than an undergraduate college degree
- \_\_\_\_\_ 8. Experienced or have worked in a lower number of different organizations/ corporations (1 to 3)
- \_\_\_\_\_ 9. Experienced in or have worked only in smaller, rather than larger-sized corporations (under 1000 employees)
- \_\_\_\_\_ 10. A more traditional and conservative person by nature (married children wife not working)

= \_\_\_\_\_ **TOTAL NUMBER OF CHECKS**

### **FLEXIBLE AND ADAPTIVE TO CHANGE?**

**Scoring:** The higher number of checks, the less your probability of being flexible and adaptive to change.

## Resistance to Change

### I. Individuals

*There are a variety of valid reasons why individuals resist change.*

- There is a basic need of individuals for certain degree of stability and security. Fear of the unknown, anxiety, I'm afraid I can't do it.
- To the extent that change is imposed on individuals, it reduces their sense of autonomy, self-control – or lack of trust in the leaders.
- Change means executives will have to find new ways of managing their own environment. Individuals typically have developed patterns for coping with or managing their current structure and situation.
- Executives have a vested interest in status quo. Those with power in the current situation may resist change because it threatens their power.
- Individuals may resist change for ideological reasons: they truly believe the way things are done currently is better than the proposed change.
- Individuals may face a loss of competence – anger over having your expertise made irrelevant.
- Individuals may see a threat to one's values.
- Past history with change – lack of clarity of the consequences, lack of information.
- Doubts about the long-term success of the new way to do things.
- Jealousy because someone is better at the new way than I am.

*Or, they may really be worse off after the change – WIIFM?*

## How to Detect Change Resisters: It's In Their Talk

It's as much a law of work as it is a law of physics: For every action, there's an equal and opposite reaction. Change insurgents are bound to evoke their opposite: change resisters. **How can you tell who's a change resister and who's not? Listen to what people say.**

1. "That seems risky." Of course it's risky. The question is whether the risk is worth it, given the chance that it might work – and also the inherent risk of not changing.
2. "Let's go back to the basics." What basics? Mass production? Command-and-control organizations? The idea that "basics" exist is usually wrong, because the world has changed profoundly since the time when there was one right way to do everything.
3. "It worked before." Past success is the enemy of change – especially when it's offered as a safe alternative to blazing a new trail.
4. "We're fine just the way we are." Maybe – but it's unlikely that you'll stay fine unless you change. Success breeds complacency.
5. "There's no threat." There's always a threat, there are always dangers – and if they're not "out there," they're "in here": Internal threats are often the most destructive.
6. "That's not in our core competence." Too bad. You'd better learn. Any organization that lets itself be bound by its old competencies is building its own coffin.
7. "The numbers don't work." Old models are often irrelevant to the new economy. Pay attention to cash flow, but don't let the "green eyeshades" prevent change from happening.
8. "It's a slippery slope. Once we start down that road, there's no stopping place." The real message: I'm not in control anymore! That part is true: Customers are in control. Old-fashioned control freaks are not in control. Anything that's not working can be ended immediately. What can't be stopped are successes.
9. "There will be unforeseen consequences." Naturally there will be, because the new economy is nothing but unforeseen consequences – which is why constant change is necessary.

*Robert Reich, "Your Job is Change," Fast Company, October 2000. On the web at:  
<http://www.fastcompany.com/online/39/jobischange.html>*

*Robert Reich is the author of The Future of Success, a professor, a former US Labor Secretary, and a self-described change insurgent.*



## How to Detect Change Resisters: It's In Their Talk *(continued)*

### *You Can Be a Change Insurgent*

In the lexicon of job titles of the future, being a “change insurgent” is something that anyone can claim. In fact, “change insurgent” is the kind of title that you can add to your existing title, like an abbreviation for an honorary degree: “vice president, marketing, CI.” Here’s how you can qualify.

You don’t have to be at the top of the organization. In the old economy, leadership was another way of saying “formal authority.” In the new economy, power comes from knowledge and creativity – which means that change insurgents can, and should, be anywhere.

Power lies with people who know the technology. People closest to the technology (programmers, designers, engineers) are in the best position to discover what the technology is capable of doing – what can be tweaked or altered to get a different result. Geeks are also most likely to be in the “gossip circle” about what’s cooking elsewhere. The job of every change insurgent is to bring that information to bear on the company’s operations.

Power lies with people who know the market. People closest to the customers are in the best position to know what the customers want. They’re in the best position to gauge competitors – and to detect the next competitor. And they’re also most likely to pick up hints from companies in other industries that are dealing with the same customers.

Change **insurgency can be a team sport**. The most effective change insurgents aren’t loners, mavericks, or revolutionaries. They work the system. They enlist others. They sell their ideas upward and outward, and they grab good ideas from others.

The **best managers foster change insurgency throughout their organization**. People in positions of responsibility know that high-performing organizations are rife with change insurgents. So they reward people for their ability to sell their ideas. The more someone is imitated, the higher that person’s value. Good managers also reward insurgents for finding good ideas and spreading them. Great organizations create a culture of insurgency.

*Robert Reich, “Your Job is Change,” Fast Company, October 2000. On the web at:  
<http://www.fastcompany.com/online/39/jobischange.html>*

*Robert Reich is the author of The Future of Success, a professor, a former US Labor Secretary, and a self-described change insurgent.*

***The Top 10 Secrets for  
Healthy, Positive and Productive Communication***

1. Check your motive.
2. Get to the point.
3. Stick to the point.
4. Remember that your body speaks volumes.
5. Check your tone.
6. Say what you mean and mean what you say.
7. Listen first for understanding.
8. Practice, practice and practice.
9. Get help with tough communications.
10. Simplicity is best. Don't hide behind language.

*This piece was originally submitted by Catherine and Steve Martin, Relationship Experts, who can be reached at: [positive-way@mail.com](mailto:positive-way@mail.com)*

## The Top 10 Ten Ways to Deal With Negative or Angry People

Most of us, at one time or another, have been confronted with people who seem to be perpetually negative, or have a proverbial “chip on the shoulder.” Here are 10 ways to deal with these kinds of people.

### 1. Don't react!

Easier said than done, you say, but that's exactly what your angry or negative opposite number won't expect! Instead of reacting and zinging off the first thing that comes to mind, take a moment, count saliently to ten if you need to, step back mentally and create some space between you and your angry/negative person.

### 2. Listen for the message behind the words.

Something like 90% of anger is mis-directed. Anger is often a function of fear or frustration about something that has little or nothing to do with you. Often, in or behind the words, there's a clue as to what's really bothering your troubled friend. Listen for it with all your senses.

### 3. Acknowledge that you heard what was said.

When you acknowledge what the other person has said, you aren't necessarily agreeing with him or her. You're simply letting them know that they've been heard. *Example:* “I can see that you're not happy about this.”

### 4. Ask a clarifying question.

There are two reasons for asking a question at this point. First, it tends to defuse the anger by causing the person to expand upon what he or she has said initially. Second, it lets the person know that you're really interested in finding out what's going on. *Example:* “Can you tell me more about what concerns you?”

### 5. Repeat back.

This is the first of three steps designed to further defuse the situation prior to looking for a solution. Repeating back lets the other person know that you really did “get” what was said. *Example:* “If I understand you correctly, you are concerned that \_\_\_\_\_. (Here, try to use some of the exact words used initially by the other person.)

### 6. Expand upon what has been said.

Get in the other person's shoes and take it a step further. Done properly, this lets the other person know that you really do understand and, in the brief time allotted, have thought about what he/she said. *Example:* “In light of your concern, that would mean \_\_\_\_\_. Is that correct?” Ending with a question encourages the other person to confirm to you that he/she feels you're open.

### 7. Legitimize.

As in #3 above, to legitimize does not mean to agree. It simply means that, based on where the other person is coming from, you can understand why he/she said what was said. *Example:* “I can certainly understand why you feel the way you do.”

## **The Top 10 Ten Ways to Deal With Negative or Angry People *(continued)***

### **8. Offer to explore solutions.**

Different from “offer solutions”. Chances are, if you offer a solution out of hand, you’ll be shot down. Better to ask permission to participate in the problem solving process. *Example:* “Would it be helpful to you to consider what can be done to resolve this?” Of course, a negative response alerts you to the fact that the person really doesn’t want to resolve it! Notice that you didn’t say “we” consider what can be done. Putting it that way can inadvertently place you in the position of assuming responsibility for the solution, and it may not be yours to assume. Keeping the question generic allows you to get additional feedback as to just how willing the person is to assume responsibility for finding a solution.

### **9. Establish your boundaries.**

You’ve asked a reasonable question and you’re entitled to a reasonable and courteous reply. If you don’t get it, stand your ground. Point out, if necessary, that your question was prompted by your concern that this person be able to resolve the situation. Sometimes, at this point, you simply ask: “What can I do to help?” Surprisingly, that can trigger an awakening in the other person that it really isn’t your responsibility to solve the problem.

### **10. Use as much force as necessary to enforce the boundaries you’ve set.**

Occasionally, you’ll encounter someone who, like an old dog with a bone, just won’t let go. They’ll return to the same litany and begin all over, or they’ll toss in a nasty dig or accusation which is probably wide of the mark. The fact is, you’ve listened, acknowledged, explored, legitimized and offered, and that isn’t good enough. *Some examples:* “I believe I understand your concern, and I’ve offered to help you reach a solution. What more do you want?” If the person becomes verbally abusive after all this, you can simply say: “I’m sorry. I don’t believe that I can help you any further, and I don’t appreciate your tone. If you’re going to speak to me in that manner, I’m afraid you’ll have to work it out for yourself. I don’t appreciate abuse.” You’ll have to judge just how far you want to go with this by observing the other person’s demeanor, and whether or not you feel the situation might still be salvageable.

This piece was originally submitted by Shale Paul, who can be reached at [shale@shalecoach.com](mailto:shale@shalecoach.com), or visited on the web at <http://shalecoach.com>.

## **My Biggest Learnings (As An Executive)**

*– Stephen G. Haines*

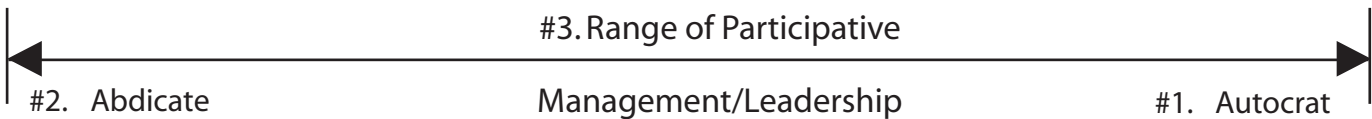
1. Timing of implementation versus systematic phase-in better institutionalization.
2. Logic of being faithful to “fit” versus traditional solutions.
3. Importance of all staff functions to successful implementation.
4. Importance of vision versus who to share it with (overwhelming).
5. Importance of high-quality staffing versus development.
6. Lack of corporate view and integrated fit
  - No one’s job
7. The power in explicit corporate values.
8. The power in human resources, training, planning, and all staff functions working together.
9. Importance of “what execution means”
  - Rollouts
  - Rewards, sanctions
  - Follow-up audits

## **The Challenge of Innovation**

- Have a clear vision of the future.
- Have an internalized organization model.
- Study business plans (understand corporate goals/mission.)
- Understand corporate values. (Make them explicit.)
- Assess your reputation. (Build a high-quality department.)
- Shift your priorities to meet senior management needs. (Institutionalize your vision components one at a time.)
- Work the issues of “fit” (between these components of your vision).
- Work closely with all Staff Functions, Public Relations, Planners, Senior Management (network).
- Understand the organization development technologies and dynamics of change, transition, and facilitation (implementation tools).

**COMMUNICATIONS:**  
**Communicate – Communicate – Communicate**  
**Involvement – Involvement – Involvement**

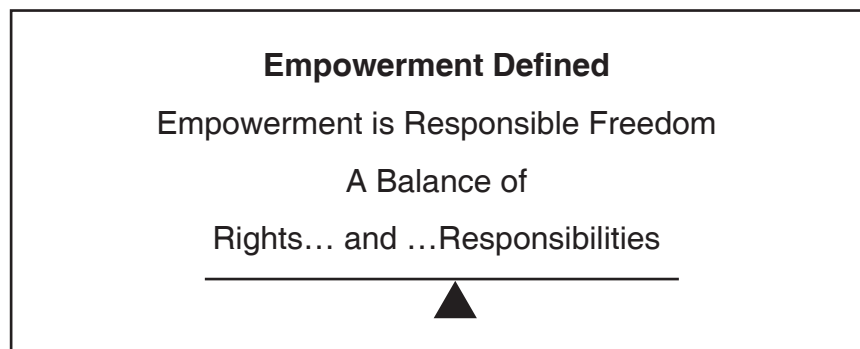
**Main Premise #2:**  
**“People support**  
**what they help create.”**



**So it follows:**

***Involve people in decisions that affect them...***  
***prior to the decision being made.***

**Skeptics are my best friends!**



## **Empowerment Thoughts – Simplicity Too**

1. “What’s got the monkey?”
2. Make decisions closer to the customer
3. Less politeness and politics – deal with reality
4. Simplify work/tasks/processes
5. “I handle the problem” (no pass off)
6. “Will I get in trouble if I violate our policies/procedures?”
7. Are we making errors of omissions or commissions?
8. Can I give up some decision-making to subordinates? (Reporting results only)
9. Do mistakes lead to “learning” as the point of discussions?
10. Are our capabilities growing?
  - a. Dependence
  - b. Independence
  - c. Interdependence
11. Can I be flexible/have the freedom to do what is right to do to serve the customer?
12. “People support what they help create”
13. Is there positive recognition for empowered actions?
14. Can we eliminate approval levels?
15. Can we eliminate or simplify work?
16. “Skeptics are my best friends” – Seek them out/encourage them – Cynics need to go away
17. Do we seek job enrichment or just job enlargement to build on people’s strengths/interests?
18. Simplifying is hard work – you must capture the complexity and then find its essence
19. Herzberg has a list of 8 job enrichment criteria – use them
20. Simplicity is the essence of beauty – encourage it
21. “Everything is simple you see, but you just have to see it”
22. Delegate what is boring/routine – it may be challenging to others



## Healthy Ground Rules

### Meeting Guidelines for Team Learning and Effectiveness

I. Participation	II. Dialogue	III. Consensus
<p><b>1. Everyone participates with an organization-wide view</b> (<i>broad, not parochial/functional</i>)</p> <p><b>2. Protect</b> everyone's <b>right</b> to be <b>heard</b> (<i>minority view; show respect</i>)</p> <p><b>3. Be hard</b> on the <b>issues</b> and <b>soft</b> on the <b>people</b> (<i>okay to disagree; don't be disagreeable</i>)</p> <p><b>4. Maintain the schedule – start/end on time or renegotiate</b> (<i>return from breaks on time</i>)</p> <p><b>5. Limit interruptions – phones, personal matters, operational issues</b> (<i>low side conversations</i>)</p> <p><b>6. Listen to the skeptics – “Skeptics are my best friends”</b> (<i>they make you think, show why ideas might fail</i>)</p> <p><b>7. Being an honest devil's advocate is fine</b> – (<i>ask why, logic, rationale to test your thinking</i>)</p>	<p><b>8. Actively listen; don't dominate</b> (<i>one person talk at a time</i>)</p> <p><b>9. Be creative and think out of the box</b> (<i>“what if”</i>)</p> <p><b>10. Share our logic, rationale and why underneath our opinions</b> (<i>logic is key – not view</i>)</p> <p><b>11. Stay on track – focus–focus–focus</b> (<i>be disciplined personally</i>)</p> <p><b>12. Be intellectually honest with yourself</b> (<i>“leave your shield at the door;” be willing to let go</i>)</p> <p><b>13. Beware of false “X” vs. “Y” arguments – say “yes, both”</b> (<i>no win-lose games</i>)</p> <p><b>14. Focus on one topic at a time</b> (<i>no “topic jumping”; use self-discipline, be self-aware; no unbridled behaviors</i>)</p>	<p><b>15. Use consensus decision making where possible</b> (<i>“actively support”; okay to state agreement, even violent agreement</i>)</p> <p><b>16. Identify and crack the nuggets; hang in there, even when frustrated</b> (<i>difficult, complex issues</i>)</p> <p><b>17. If everything is going smoothly, we're doing something wrong</b> (<i>differences and conflict are normal, be persistent, hang in, make the tough issues</i>)</p> <p><b>18. Listen, dialogue and learn; discover the answers together</b> (<i>no one has all the answers</i>)</p> <p><b>19. Spend more time on substance</b> (<i>less wordsmithing</i>)</p> <p><b>20. Search for common sense and future direction: Strategic Thinking</b> (<i>be willing to change your view vs. “being right” and position taking</i>)</p> <p><b>21. Focus on/assist with closure, agreements</b> (<i>no 4th of July fireworks or monologues of the deaf; facilitators cannot do it alone</i>)</p>

#### IV. And Finally, “Stop Checks”

**22. Improve our teamwork and group effectiveness** (stop and check our progress against these, use straightforward and honest feedback, be direct in talking with each other, toughen up)

**23. Ask the #1 Systems Thinking Question:** What is our purpose, desired outcome, goal? (ask it over and over again)

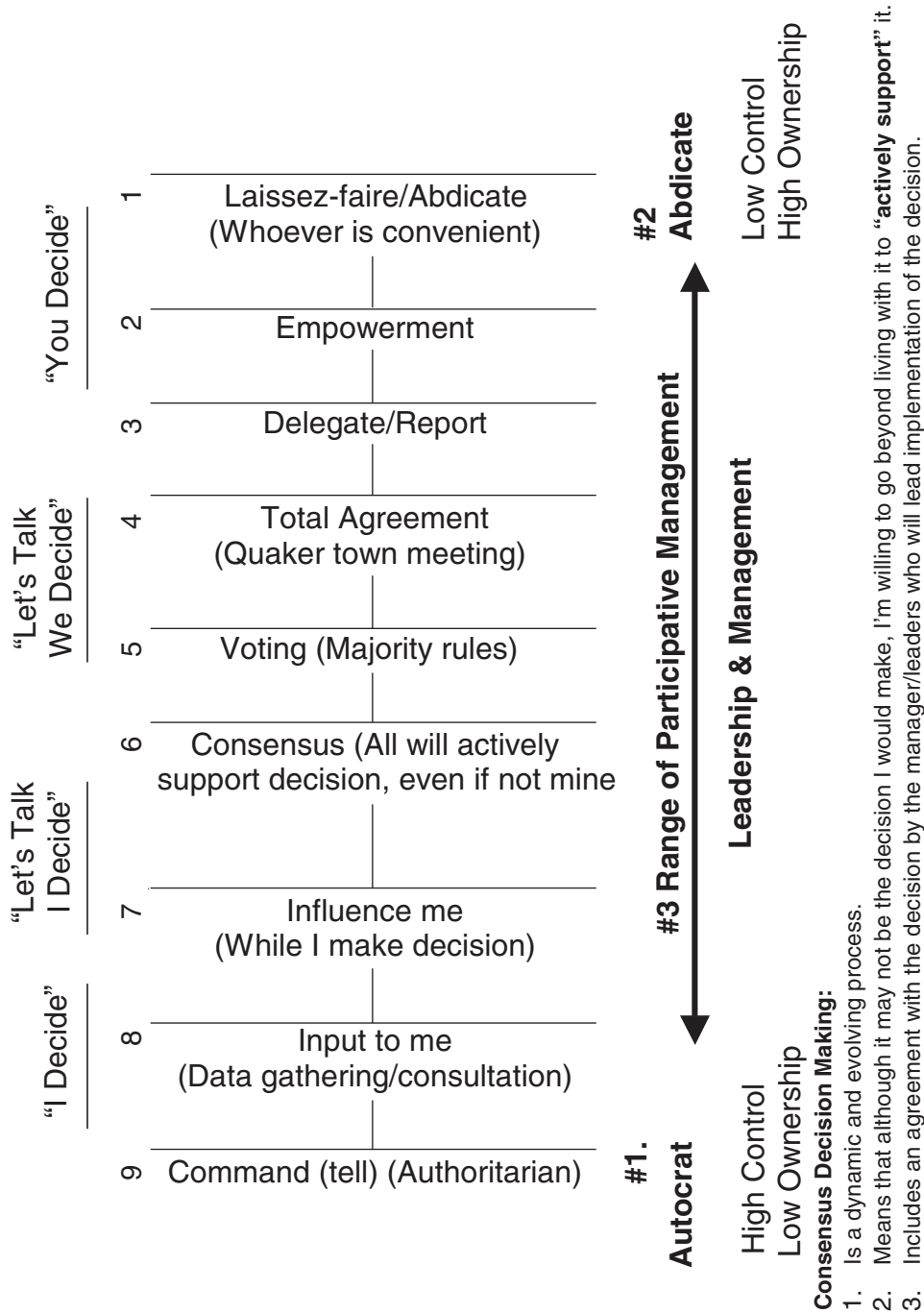
## If People Are Reluctant to Speak Up (To An Executive)

- Have the executive be open first – be vulnerable.
- Don't have the executive be "The Shell Answer Man."
- Have the executive withhold his or her opinion/judgment.
- Evaluate people if they don't speak up.
- "If two of us always agree, one of us is unnecessary."
- Focus on the goal, which is performance and results (vs. telling them "how to" do it.)
- Keep in mind "The Facts are Friendly" – the more data, facts, opinions, knowledge the better the decision-making.
- Take time to listen to your subordinates; it's a priority.
- Admit it when you don't know – ask what they think.
- "Don't ask a question if you don't want to know the answer."
- Be sure to agree with points others make *before* you disagree with other points.
- Assess yourself; ask others whether you give out more recognition and rewards or are you more into correcting and/or blaming others.

## Decision-Making Styles

### "People Support What They Help Create"

Premise #2



***So it follows - involve people in decisions that affect them...prior to the decision being made.***

Source: Steve Haines

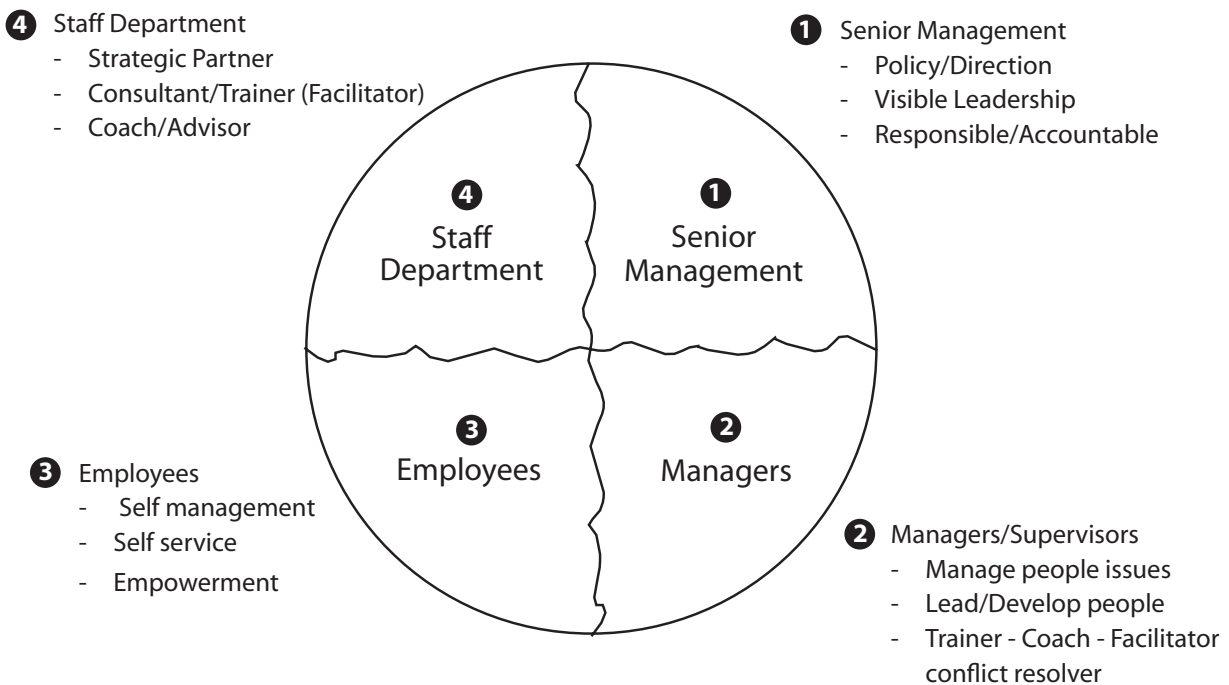
## Section VII

### Becoming an Internal Consultant

#### Four “Staff” Roles

Best Practices in Organizational Research emphasizes the importance of staff partnering with Line Management to develop and implement high impact people management practice.

**Question:** What is the accountability of each group for management and creating the results in our organization?



**Key Organizational Roles**

Staff Department		Senior Executives	
1.		1.	
2.		2.	
3.		3.	
4.		4.	
5.		5.	
6.		6.	
Employees		Managers	
1.		1.	
2.		2.	
3.		3.	
4.		4.	
5.		5.	
6.		6.	

## **Six Different Helping Roles and Careers In the “Helping” Professions**

### **I. Internal Roles**

- 1) Executive of Multiple Staff Support
- 2) Functional Staff Leadership-Planning-Finance-OD-Training-Quality-etc.
- 3) Staff Professional
  - SME
  - Trainer
  - Consultant

### **II. External Roles**

- 1) Entrepreneur/Business Owner
- 2) Subject Matter Expert (SME) Consultant/Trainer-Do it to them
  - A. Loaned Executive
  - B. Focus on Business Acumen/Technical Areas
  - C. Expertise in helping profession
- 3) Facilitator-Do it with them  
("People support what they help create")
  - A. Trainer
  - B. Consultant

### **Which are you?**

---

#### **Successful Strategic Change:**

$$E_1 = f(Q \times A)$$

#### **Effective Implementation = function of two issues:**

**Q = Quality of answer**

**A = Acceptance/ownership of the change**

## The Consulting Process (Both Internal and External)

### Eight Phases

1. **Scouting** Helping to identify or develop or clarify a *need for change*. There may or may not be the sense of pain. The initiation may be the client's or the consultant's.
2. **Entry** Exploring *readiness for change effort* and for collaboration with the change-agent.
3. **Contract** Formulating and testing a *working relationship contract*. This involves achieving a balance between clearly state mutual expectations and flexibility to modify the agreement as needed.
4. **Diagnosis** *Diagnosis and goal setting*: Articulating goal images and assessing the causes of dysfunction and resources for movement.
5. **Action Planning** Designing and *planning change efforts*: Exploring alternatives and consequences, planning steps of action.
6. **Action** *Involvement in and implementation* of plans. Who must be involved to make it happen? Anticipatory practice, risk-taking, steering action.
7. **Evaluation** *Evaluation* of progress, feedback, redirection. What are the criteria of movement? How to assess? How to use feedback to replan, correct for "side-effects", etc.
8. **Termination** *Support for continuity, follow-up, termination*. Development of internal renewal resources, support systems, mutual expectations regarding termination of consulting relationship.

– Lippitt and Lippitt, 1978

The Eight Phases of the Consulting Phases

Question: How skilled am I at this?

Phases	Skills (H-M-L)	Comments
1. Scouting		
2. Entry		
3. Contract		
4. Diagnosis		
5. Action planning		
6. Action		
7. Evaluation		
8. Termination		

Source: Lippitt and Lippitt, 1978

List your top three strengths and weaknesses.

Strengths	Weaknesses	Action Implications
1.	1.	1.
2.	2.	2.
3.	3.	3.



## What Do You Sell?

**1. What is the best salespeople sell (in order):**

- A. themselves first
- B. their company
- C. their service or product
- D. price

***Sell yourself first.***

**2. What ordinary salespeople sell (in order):**

- A. price first
- B. their services
- C. themselves
- D. their company

***Sell your price last.***

***Source:*** Barbara Rapp - [adberty@pacbell.net](mailto:adberty@pacbell.net) - Wednesday, July 16, 2003

## **Guiding Principles for Consulting Interventions**

### **(Possible Use by LRET's Customized Support Teams)**

1. Do it WITH them, not TO them.
2. Be honest and straight with people to BUILD TRUST.
3. You are attempting a Systemic Change effort. So, use a Systems Thinking Approach and the ABCs of STRATEGIC THINKING TEMPLATE.
4. Ensure CLARITY OF PURPOSE before moving forward into actions.  
(Shared Vision, Values and Mission)
5. TRANSFERRING LEARNINGS and skills to the Clients as a specific purpose of what you do.
6. Use a Framework of Core Strategies for your work – Become Strategically-oriented, not functionally-oriented.
7. To accomplish effective change, you must first BUILD AN EFFECTIVE TEAM of the Change Leadership Team.
8. And prior to that, you must first BUILD AN EFFECTIVE TEAM of the Consultants, Trainers, and Support Personnel (Internal and External) who will collaborate with each other in support of the change effort.
9. UNDER-PROMISE AND OVER-DELIVER – on the change. Systemic Change is extremely difficult and the research is clear that 75% of all major changes FAIL.
10. Keep the ROLLERCOASTER OF CHANGE in mind at all times – teach it to all involved in the changes.
11. Build both BUY-IN and STAY-IN over the long term to the Desired Changes and Desired Vision.
12. “*SKEPTICS ARE MY BEST FRIENDS*” - If you want to prevent failure, missteps, and “engineer success up-front.”
13. Use CONSENSUS DECISION-MAKING where possible (Can you “*ACTIVELY SUPPORT*” the decision?)
14. Also use the Three Main Premises of the Centre regarding change:
  1. Planning and Change are the primary jobs of leaders
  2. People support what they help create
  3. Use Systems Thinking – focus on Outcomes: Serve the customer.

## **New Consultant Advice**

1. Go for the experience and the money will come
2. Be a duck on a pond
  - focus on where you are going- destination thinking
  - but don't go in a circle-Focus-Focus-Focus forward
  - keep peddling and thrashing in the short time
  - to stay afloat
  - take any job you get
3. Sales is from simple to complex
  - find the simple sales
  - do simple/local/pro bono work
4. Work up the 8 black belt levels slowly
  - lifetime learning
  - don't jump too high too fast and fail
5. Build Strategic Life Plan-ABCs first
6. Build a Strategic Business Plan for yourself
7. Build a Local Marketing Plan for yourself
8. Build a Self Development Plan for yourself
9. Do what you love-and the money will come
10. Immerse yourself-like getting a practical PhD in business
  - Don't underestimate difficulty it is to succeed at this
  - Don't fall back into the comfortable
11. Be sure you become highly skilled in:
  - Group facilitation
  - Marketing
  - Sales

***Lack of these 3 skills are why people fail in their consulting and training business!***

## Top Ten Facilitator and Trainer Skills

1. Mastery knowledge of topic – necessary/not sufficient
2. Presentation Skills – Dynamic – pace/timing/inflection
  - Passionate/energetic
3. Ensure participant learning
  - Accelerated learning
  - Experimental learning
4. Empathy with participants/positive reinforcement
  - SKEPTICS are my best friends
5. Authentic – Be open and be yourself
  - Genuine
  - Sincere
6. Engage the participants
  - Questions
  - Dialogue
  - Interactive lecturette
7. Use stories, examples, humor (self depreciating best)
  - Use studies of participants
8. Synthesis – integrated PowerPoint slides/concept
  - Helicopter view
9. Customize – tailor – flexible in the moment
10. Balcony view – of yourself as another person
  - Split mindset

And on 11th: Continuous daily self-evaluation/improvement

Assess myself daily – Did I do my best?

- What one thing can I improve?

## A Variety of “Tips” from the “Successful Consulting Workshops”



### Tips on Influencing the Client

- Do complete preplanning, not just scheduling the meeting.
- Do your homework; know your stuff.
- Co-consulting is difficult; plan together beforehand.
- Be creative regarding the setting.
- Adapt your style to the time allowed/available.
- Find out how the client operates.
- Keep the larger context in mind.
- Understand the client's concerns.
- Engage in rapport-building.
- Relate to what is important to the client in this situation.
- Work to create a dialog, focusing on something *valued*.
- Be authentic—no secrets/unknowns; clients value honesty.
- Test your assumptions.
- Simply ask for what you want.
- Be flexible.
- Adapt to situations; be prepared for changes.
- Be willing to see the client's side of things.
- *Listen* to clients; be willing to change.
- Watch and be sensitive to the client's responses, then follow up.
- Don't make promises you can't keep.
- Have alternatives ready.
- Ask, "What if...?"
- Ask, "Why not?"
- Focus on the positive rather than the negative.    Appeal to logic.
- Do not assume agreement or disagreement.
- If you don't believe in it, say "no" or negotiate about it.
- Remember: clients talk with one another.

### Tips for Information Gathering

- Believe in what you are doing.
- Be honest about the situation.
- Stay focused on the goals of the interview.
- Help the client to see the importance of his/her data.
- Emphasize, "We are in this together."
- Help the client to see alternatives.
- Acknowledge resistance but don't get hooked by it.
- Deal with resistance by backing off and trying another route.

### Tips on Role Shaping

- Have a plan before you begin.
- Develop the structure of the meeting ahead of time.
- Identify the meeting's purpose at the beginning.
- Engage in self-disclosure if you want reciprocal behavior.
- It is useful to probe when you realize that there is something *behind* a person's remark or question.
- Use restatement, summary, etc.—active listening.
- Stay focused on your purpose.
- Do not load your boss down with information during the role-shaping discussion.

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*We are project managers, implementers, staff experts, who use consulting skills to be effective/ successful in serving our customer/clients.*

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# What Makes A Facilitator Effective?

– Gloria Bader

The skill of the facilitator is key to the success of the focus groups. Select someone who demonstrates these skills and characteristics:

- **Energetic:** A high-energy facilitator keeps the discussion lively, interesting, and productive.
- **Personable:** The facilitator who is personable puts participants at ease early in the session, so that they can comfortably and actively participate in the discussion.
- **Agile thinker:** Successful facilitators can respond to rapid changes in group dynamics. No two sessions have the same participant reactions and discussions.
- **Organized:** The well-organized facilitator develops an effective, written agenda and produces results within the preferred time frame.
- **Listener:** The facilitator must attend to each participant, clarifying the participant’s meaning by using techniques such as paraphrasing.
- **Good memory:** An effective facilitator connects a participant’s current statement to a previous statement, developing a better understanding of the employee’s feelings and stimulating more discussion.
- **Experienced:** Facilitators improve with practice. Choose one with experience.
- **Knowledgeable:** The facilitator possesses background knowledge on the particular industry and the organization’s environment. This background comes from previous sessions in the same type of organization or a good briefing by internal sponsors.

**Good facilitators follow these guidelines.**

<b>DO:</b> <ul style="list-style-type: none"><li>• Create an open environment.</li><li>• Encourage discussion.</li><li>• Follow up on topics; probe.</li><li>• Clarify all meanings.</li><li>• Paraphrase statements.</li><li>• Connect current and earlier comments.</li><li>• Involve everyone in the discussion.</li><li>• Thank participants.</li></ul>	<b>DON'T:</b> <ul style="list-style-type: none"><li>• Criticize any comments or participants.</li><li>• Stray from the issues.</li><li>• Assume the meaning of any statements.</li><li>• Let one person control the discussion.</li><li>• Ignore shy participants.</li><li>• Interject personal opinions on the topic.</li></ul>
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## How Does A Facilitator Work With People?

– Gloria Bader

Groups vary widely, but the facilitator must ensure that all participants join the discussion and stay on topic. This is often more difficult than it sounds. Effective facilitators use multiple questioning styles to elicit input from every member of the group, including those who are difficult or shy. The following techniques help.

1. **Asking open-ended questions** leaves room for discussion. They lead participants to elaborate on insights, experiences, opinions, and observations, unlike questions that invite yes or no responses.
2. **Using probing questions** encourages more discussion. Probes include follow-up questions and comments like: “Why?” “Tell me more about that.” “Explain what you mean.”
3. **Posing feeling questions** requests a response about the participants’ needs and values. This is sometimes the hardest question for participants to answer, especially if they are uncomfortable with the facilitator. When used correctly, however, the feeling question elicits the reasons behind a feeling, thought, or action.
4. **Employing steering questions** returns the focus group to the issue if the discussion has strayed from the intended topic

*Example:* “How do you feel about having an opportunity to review your peers?” This invites discussion. Compare with: “Would you like the opportunity to review your peers?”

*Example:* The facilitator responds to a vague statement such as “I don’t like the way we hear about new information,” with the question, “What don’t you like?” or suggestion, “Describe an experience that causes you to say this.”

*Example:* A participant states that she likes one benefit better than another one. The facilitator asks, “Why do you feel that way?” or “How is benefit ‘A’ better than ‘B’?”

*Example:* In a focus group addressing employee ownership of stocks and savings, a group strays to the topic of retirement benefits. To return to the agenda without abruptly ending the discussion of the retirement plan, the facilitator asks, “How will employee owned stocks and bonds affect employee savings before and after retirement?”

## Further Suggestions

– Gloria Bader

1. **Allowing silence** is sometimes the best tool. Often, silence indicates thought or consideration of a particular point or question. Sometimes, a person has developed an answer, but waits for someone else to respond first. Generally, group members will respond eventually to break the silence. Facilitators also use silence to allow responders time to elaborate on their answers.
2. **Giving encouragement** often inspires participants' to continue active discussion. Facilitators prompt engagement in the process by thanking group members for their participation, appropriate praise of contributions, or injecting light humor to ease tensions: "Good comment." "Good question." "Don't we all!"
3. **Handling "difficult" people** requires finesse learned with experience. Sometimes a participant will dominate the discussions, expressing personal views to the facilitator, but blocking others' contributions.

"Difficult" people interrupt, endlessly talk in circles, criticize individuals involved in the issue, over-personalize the discussion, and demonstrate pessimism. The facilitator must restrain the overbearing person to prevent muting the others, and to keep the discussion constructive.

4. The facilitator's **body language** rather than verbal criticism best achieves this goal. Criticism not only frustrates "difficult" people, but also makes others uncomfortable.

The following techniques effectively gain more speaking time for others:

- Extend a finger to mean "one moment."
- Use two hands like a "T" to mean "time out".
- Avoid eye contact.
- Turn away from the speaker.
- Move to chalkboard, overhead, etc.

Body language is subtle yet clear to people and permits personal behavior adjustment without public embarrassment.

5. **Shy participants** also present a challenge. While difficult people threaten the quality of focus-group data by preventing group input, the shy person hampers the process by withholding his or her input. Facilitators encourage response by maintaining an accepting, nonjudgmental environment. Body language, such as eye contact and gestures inviting participation, helps shy individuals overcome their fear.

*Focus Groups: A Step-By-Step Guide*



## Deciding to Hire an External Consultant

— Gloria Bader

### When to Hire a Consultant:

- Independence and objectivity are important for the success of the project.
- A short, specific consultant project is more cost-effective than hiring a full-time employee.
- A broader view is important.
- Speed is necessary.
- Technical or process expertise and education are necessary.
- Hard decisions are needed.
- A recurring problem exists that no one has had time to address.

### When NOT to Hire a Consultant:

- The decision or conclusion has already been reached.
- Key stakeholders are in conflict on the basic assumptions of the project.
- No energy or commitment on the topic exists.
- Financial resources are lacking.
- In-house resources and talent are available.
- No one wants to make a decision.
- The leader(s) has a poor track record on implementation.

## **The Ideal Consultant...**

— *Gloria Bader*

- Listens, does not sell
- Fits in, loves the mission and culture
- Teaches us, makes us independent
- Provides good customer service
- Is confidential
- Produces and quantifies results
- Challenges our assumptions
- Is a recognized expert
- Provides perspective and objectivity
- Delivers a product or a report
- Celebrates with us

## **Progress Meetings – Some Questions to Ask the Consulting Team(s)**

— Gloria Bader

- What are your major accomplishments thus far?
- What barriers keep you from successful progress?
- How can we support your efforts?
- What have you learned about the organization?
- Are you in concert with the mission, values, and objectives of the organization?
- How do we know we are obtaining our money's worth from your work? What impact does it have, and are you measuring it?
- What are the strengths and development needs of my staff?

## **A Road Map to Successful Consulting Projects**

— Gloria Bader

1. Set clear objectives for the project.
2. Invite several consultants to submit a proposal that includes their qualifications.
3. Review proposals to check references. Consider value-added aspects of the proposal (e.g., willingness of the consultant to work collaboratively with others).
4. Invite the top-rated candidate for an interview.
5. Negotiate and reach agreement. Ask for such requirements as mentoring your staff, attending an orientation, and meeting with other consultants.
6. Request a contract and time line that includes deliverables.
7. While the project is underway, meet with the consultant and review objectives, assist with political issues, and refine expectations.
8. Check on the fit of the consultant within the organization by talking with selected participants.
9. Request a written and oral summary of the project, clarify recommendations, and discuss implementation steps.
10. Ask the consultant what would have improved the project.
11. Review objectives and measure the cost effectiveness of the project.
12. Implement your decision.

## **Managing External Consultants – More Axioms and Summary Lessons**

— Gloria Bader

- Take time in selection.
- Look for quality and experience rather than price.
- Discuss fees early to determine whether the range is right for your budget.
- Consider having the consultant start with a small project before you involve the consultant in a major one.
- Discuss special constraints and your own time schedule. Managing a consulting project takes time.
- Hire an external consultant only to accomplish a business need.
- Ask for and add valuable features to the contract.
- Require that the external consultants support, link, and reinforce the work of any other change projects underway.
- Throughout the project, explicitly review and update both the primary and secondary goals with all key players.
- Provide feedback and suggestions for the consultant.
- Consider smaller firms who can usually offer better pricing and responsiveness rather than large, multioffice companies.
- Speak not with the firm's salesperson but with the consultant, who will actually do the work.

## **Four Key Questions on Change**

### **(From a Consultant's Perspective)**

Once a decision to implement a change is made:

1. What is to be changed?
2. What assumptions about people and change do I make?  
Do others make?
3. How is the change to be accomplished?
4. What consulting approaches are important for me?

## Learnings to Be a Successful Internal Consultant

**Instructions:** Please rate yourself on the following needed skills.



### Needed Skills

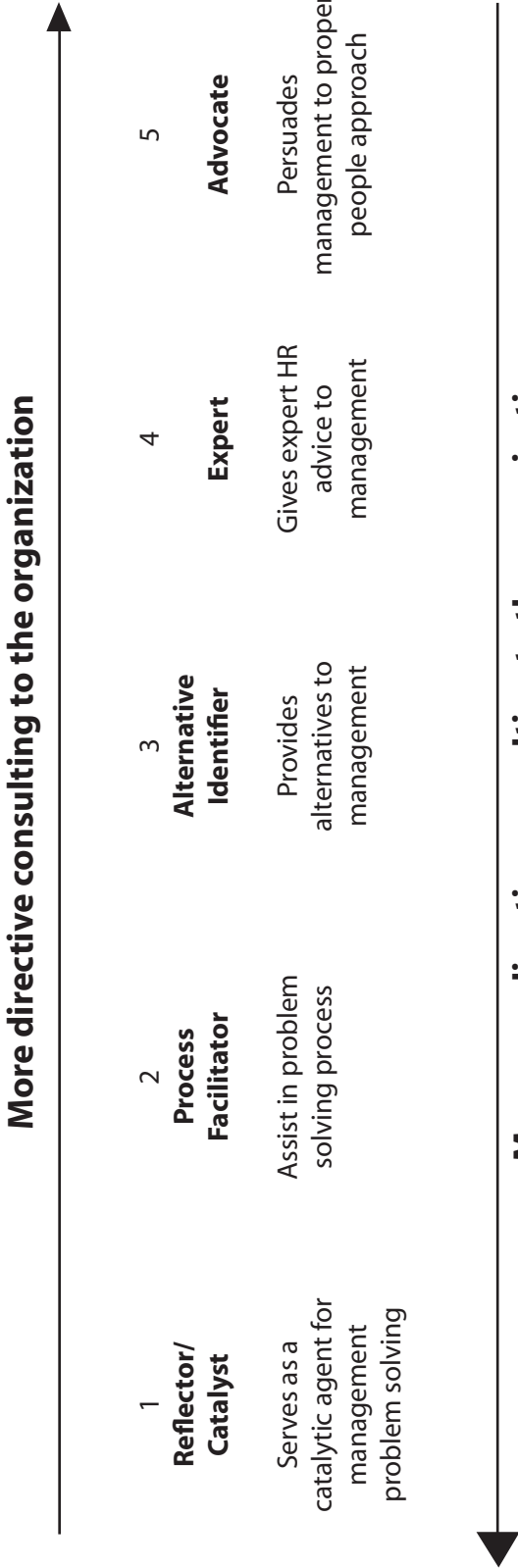
1. \_\_\_\_\_ Self-confidence, esteem, personal growth
2. \_\_\_\_\_ Facilitation skills with groups/meetings
3. \_\_\_\_\_ Coaching skills with one-to-one
4. \_\_\_\_\_ Strategic planning content, models, workshops
5. \_\_\_\_\_ Strategic change content, models, workshops
6. \_\_\_\_\_ Consulting business understood
7. \_\_\_\_\_ Consulting sequence/model
8. \_\_\_\_\_ Marketing of self and products, brochures, etc.
9. \_\_\_\_\_ Breadbasket of workshops, content, models
10. \_\_\_\_\_ Network increased dramatically
- \_\_\_\_\_ **Total (possible 100 points)**

*Question:* Where do I need to improve? (Circle it above)

#1. Intervention Roles

Multiple Consulting Approaches

Question: What roles do you play?



Question: What other roles should you play?

Question: What added skills do you need?



## #2. Seven Levels of Attention

1. Cell

2. Organ

3. Organism/Individual

4. Group

Organizational  
Focus

5. Organization

6. Society/Nation

7. Supranational System/Earth

Source: Kenneth Boulding

**Strategic Change: “Seven Rings of Reality”**  
(Taken from “Seven Levels of Living Systems”)



Note: Rings 3–4–5 are 3 of the “Seven Levels of Living Systems.”

Rings 3A–4A–5A are “Collisions of Systems” interacting with other systems.

Source: Stephen G. Haines, 1980; updated 1988, 1994, and 2003.

## General Purposes of Working at Each Ring

### “Seven Natural Rings of Reality”

*Effectiveness (H–M–L):*

**Ring #3: Individuals (“Self-Mastery”)**

- Improve personal competency and effectiveness.
- Trustworthiness issues.

**Ring #3A: One-to-One Relationships (“Interpersonal Skills/Effectiveness”)**

- Improve the interpersonal and working relationships and effectiveness of each individual.
- Trust issues.

**Ring #4: Workteams/Groups (“Team Empowerment/Effectiveness”)**

- Improve the effectiveness of the workteam as well as its members.
- Empowerment issues.

**Ring #4A: Intergroups (“Conflict/Horizontal Collaboration”)**

- Improve the working relationships and business processes between teams/departments horizontally to serve the customer better.
- Horizontal collaboration/integration issues.

**Ring #5: Total Organization (“Fit”/Strategic Plan)**

- Improve the organization’s systems, structures and processes to better achieve its business results and potential; and develop its capacity to provide an adaptive system of change and response to a changing environment while pursuing its vision and strategic plan.
- Alignment issues.

**Ring #5A: Organization-Environment (Alliances)**

- Improve the organization’s sense of direction, response to its’ customers and proactive management of its environments/stakeholders by Reinventing Strategic Planning for the 21st Century (includes Goal #1: Plans, Goal #2: Successful Implementation, and Goal #3: Sustaining Performance).
- Adaptation to the environment issues.

**Ring #6: Community/Society**

- Improve the community’s quality of life and its sense of health, well-being, safety, and prosperity.
- Any of the big or small diverse societal issues that exist, among cultures, special interests, professions, languages, neighborhoods, etc.

**“Seven Rings of Reality”**

Seven Rings	Effectiveness (H–M–L)	Fit and Integration to Overall Vision
3. Individuals		
3A. One-to-One Relationships		
4. Workteams/Groups		
4A. Intergroups		
5. Total Organization		
5A. Organization- Environment		
6. Community/Society		

## Classifying OD & Change Interventions

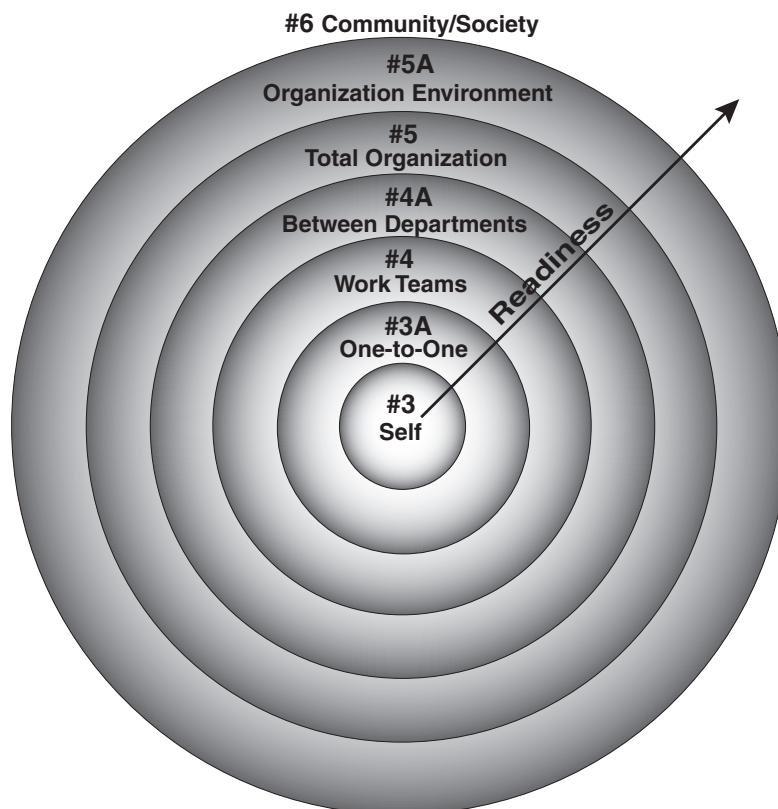
### ***Seven Natural Rings Of Reality***

The Seven Natural Rings of Reality hold a key to holistic and long-lasting change that cascades through all the levels of an organization, because they call attention to all six levels of reality in Enterprise-Wide Change.

These Seven Rings illustrate why organization-wide change is so difficult to achieve: Enterprise-Wide Change requires not only changes at each of the three levels of individual, team, and organization, but also at each of the three collisions and collaborations between the levels.

Traditional Organization Development interventions are valid and helpful within an Enterprise-Wide Change journey that uses a Systems Thinking framework. So long as change consultants and executives keep in mind that relationships between the levels are just as important as the levels themselves, these OD interventions are proven and reliable tactics for building change at the various levels. The Seven Natural Rings of Reality framework can help change consultants select which interventions are appropriate based on the level(s) of desired change they are dealing with.

In any application of the Seven Rings, keep in mind that implementation complexity and difficulty increase as we move from the inner ring (individual) toward the outer ring (community/society).



## Seven Levels: Change Intervention

### Levels of an Organization as a System

Levels	OD Techniques
#3 Self-Individuals	<ul style="list-style-type: none"> <li>• Self-change</li> <li>• Training flow/needs analysis</li> <li>• Experiential learning concept/cycle</li> <li>• Job design—Herzberg</li> </ul>
#3A One-to-One	<ul style="list-style-type: none"> <li>• “Facts are Friendly” meeting</li> <li>• “Pinch Theory”</li> <li>• Coaching-4 Ways</li> <li>• Employee Effectiveness Profile (EEP)</li> </ul>
#4 Workteams	<ul style="list-style-type: none"> <li>• Problem solving/decision making</li> <li>• Team building/teamwork</li> <li>• Force field analysis</li> <li>• Understating group dynamics</li> <li>• Group facilitation</li> <li>• Empowerment</li> </ul>
#4A Between Departments	<ul style="list-style-type: none"> <li>• Responsibility charting</li> <li>• Conflict management/ADR</li> <li>• Cross-functional teamwork</li> </ul>
#5 Total Organization	<ul style="list-style-type: none"> <li>• Organizational diagnosis/the Learning Organization</li> <li>• People Performance Profile (PPP) survey</li> <li>• Leadership Practices Inventory (LPI)</li> <li>• Strategic human resources systems (performance/rewards)</li> <li>• Transition management</li> <li>• Systemic change sequence</li> <li>• Crisis sequence</li> <li>• Unfreezing organizations/reducing resistance</li> <li>• Customer-focused quality-service</li> <li>• Reengineering</li> </ul>
#5A Organizational Environment	<ul style="list-style-type: none"> <li>• Shared vision</li> <li>• Reinvented Strategic Planning               <ul style="list-style-type: none"> <li>– values</li> <li>– mission</li> <li>– key success measures</li> </ul> </li> <li>• Customer satisfaction</li> </ul>

## Seven Even Natural Rings Of Reality

### Classifying OD & Change Interventions

RING	GOALS	OD AND CHANGE INTERVENTION TOPICS
<b>Ring #3</b> <b>Self-Mastery</b>	Improve personal competency and effectiveness  Trustworthiness issues within oneself	<ul style="list-style-type: none"> <li>• Presentation Skills</li> <li>• Communication Skills</li> <li>• Core Competencies</li> <li>• Distance Learning</li> <li>• Leadership Development</li> <li>• Executive Development</li> <li>• Management Development</li> <li>• Training Programs in General</li> <li>• Core Values</li> <li>• Knowledge/Skill-based Pay</li> </ul>
<b>Ring #3A</b> <b>One-to-One Interpersonal Relationships</b>	Improve the interpersonal and working relationships with others  Trust issues between individuals	<ul style="list-style-type: none"> <li>• Performance Improvement</li> <li>• Performance Evaluation</li> <li>• Personal Styles</li> <li>• Coaching</li> <li>• Mentoring</li> <li>• Counseling</li> <li>• Performance Management</li> <li>• Employee Selection</li> <li>• Recognition/Thank You Cards</li> <li>• 360° Feedback/Peer Reviews</li> <li>• Incentive Compensation Programs</li> <li>• EEO/Harassment/Diversity</li> <li>• Retention of Employees</li> <li>• Situational Leadership</li> <li>• Job Rotation/Cross Training</li> <li>• Individual Development Plans</li> <li>• Human Interaction Labs</li> <li>• T-Groups</li> <li>• Conflict Management</li> </ul>

## Seven Natural Rings Of Reality

### Classifying OD & Change Interventions

RING	GOALS	OD AND CHANGE INTERVENTION TOPICS
<b>Ring #4</b> <b>Work Teams/ Groups</b>	Improve the effectiveness of the work team  Empowerment and role/relationship issues	<ul style="list-style-type: none"> <li>• Problem-Solving</li> <li>• Decision-Making</li> <li>• High Performance Technology</li> <li>• Conflict Management</li> <li>• Group Development</li> <li>• Team Building</li> <li>• Empowerment Processes/Involvement</li> <li>• Group/Team-Based Compensation</li> </ul>
<b>Ring #4A</b> <b>Inter-Group/ Cross Functional Groups</b>	Improve the working relationships and business processes between departments  Horizontal collaboration/integration issues	<ul style="list-style-type: none"> <li>• Project Management</li> <li>• Quality Circles</li> <li>• Task Forces</li> <li>• Problem-Solving Teams</li> <li>• Productivity Improvement</li> <li>• Process Improvement</li> <li>• Total Quality Management</li> <li>• Business Process Re-Engineering</li> <li>• Conflict Management</li> <li>• Advocacy and Inquiry/Dialogue</li> <li>• Appreciative Inquiry</li> <li>• Self Directed Work Teams</li> <li>• Workout/Blow Out Bureaucracy</li> <li>• Causal Loop Learning/Archetypes</li> <li>• Cost Accounting</li> </ul>



## Seven Natural Rings Of Reality

### Classifying OD & Change Interventions

RING	GOALS	OD AND CHANGE INTERVENTION TOPICS
<b>Ring #5</b>  <b>Total Organization</b>	<p>Improve the organization's structures and processes to achieve business results</p> <p>Alignment and attunement issues (two failure issues in Enterprise-Wide Change)</p>	<ul style="list-style-type: none"> <li>• Culture Change/Transformation</li> <li>• Values Development</li> <li>• Installing a Strategic Management System</li> <li>• Strategic Change Management/Implementation</li> <li>• Customer Service</li> <li>• Key Success Measures/Metrics</li> <li>• Force Field Analysis</li> <li>• The Balanced Scorecard</li> <li>• Human Resource Planning</li> <li>• HR Strategic Planning</li> <li>• The Learning Organization</li> <li>• Transition Management</li> <li>• Whole Systems Approach</li> <li>• Whole Scale Change</li> <li>• Real Time Strategic Change</li> <li>• Knowledge Management</li> <li>• Workforce Management</li> <li>• Experiential Learning Cycle</li> <li>• Accelerated Learning</li> <li>• Power and Influence/Org. Workshop</li> <li>• Open Space Technology</li> <li>• Gestalt Organizations</li> <li>• Systems Engineering</li> <li>• Systems Dynamics</li> <li>• Self-Organizing Systems</li> <li>• Complex Adaptive Systems</li> <li>• Chaos Theory</li> <li>• Profit Sharing/Gain Sharing</li> <li>• Merger Integration Teams Search Conferences</li> <li>• Strategic Communications</li> <li>• Organization/Strategic Business Design</li> <li>• Strategic Marketing and Sales</li> <li>• Operational Planning</li> </ul>

## Seven Natural Rings Of Reality

### Classifying OD & Change Interventions

RING	GOALS	OD AND CHANGE INTERVENTION TOPICS
<b>Ring #5A</b>  <b>Organization-Environment</b>	Improve the organization's sense of direction, response to its customers, and proactive management of its environment  Adaptation to environmental issues	<ul style="list-style-type: none"> <li>• Strategic Planning</li> <li>• Strategic Thinking</li> <li>• Business Unit Planning</li> <li>• Vision and Mission Development</li> <li>• Scenario Planning/Contingency Planning</li> <li>• Value-Chain Management</li> <li>• Corporate University</li> <li>• Systems Thinking</li> <li>• Creativity/Innovation as a System</li> <li>• Critical Thinking</li> <li>• Needs/Stakeholder Analysis</li> <li>• Six Sigma</li> <li>• Future Environmental Scanning</li> <li>• Community Development</li> <li>• Survey Feedback</li> <li>• Action Research</li> <li>• Baldrige Criteria for Performance Excellence</li> <li>• ESOPs (Employee Stock Ownership Programs)</li> <li>• Benchmarking</li> </ul>
<b>Ring #6:</b> <b>Environment</b> <b>(Community/ Society)</b>	Societal/ Community improvement	<ul style="list-style-type: none"> <li>• Societal Change Initiatives</li> <li>• Community Activism</li> <li>• Political Involvement</li> <li>• Special Interest Groups</li> </ul>
<p><b>Notes on the Change Intervention Classifications:</b> These interventions are not listed in any form of priority order. If you are dealing with change at a high level (such as Ring #4, Work Teams), you are automatically also dealing with all the Rings lower than #4 – the Self and the One-to-One Levels as well. This is not intended to be an exhaustive list of change intervention topics, and we make no claim that we have included every one.</p>		

## Areas of Focus to Resolve Issues

### Systems Levels of Attention

Levels of OD Interventions	Typical Issues	Typical OD Processes
#3 Intra-Personal (Self)	<ul style="list-style-type: none"> <li>• Personal Mgmt. Issues</li> <li>• Job Issues</li> <li>• Life Planning</li> <li>• Self Development</li> <li>• Self Awareness</li> <li>• Management of Time</li> <li>• New Learning/Education</li> <li>• Training for Change</li> <li>• Individual Needs</li> <li>• Career Counseling</li> <li>• Job Requirements</li> <li>• Upward Feedback</li> </ul>	<ul style="list-style-type: none"> <li>• Values Clarification</li> <li>• Mgmt. Training/Development</li> <li>• Outside Seminar Referral</li> <li>• Private Consulting</li> <li>• Individual Feedback</li> <li>• Feedback Instruments</li> <li>• Diagnosing the Situation</li> <li>• Interviews with Others</li> <li>• Behavioral Job Description</li> <li>• Testing</li> </ul>
#3A Inter-Personal (1-to-1)	<ul style="list-style-type: none"> <li>• Interpersonal Relationships</li> <li>• Communications</li> <li>• Goal Setting</li> <li>• Performance Appraisal</li> <li>• Day-to-Day Coaching</li> <li>• Management Style</li> <li>• Improving Individual Performance</li> </ul>	All Above Plus: <ul style="list-style-type: none"> <li>• Coaching and Counseling</li> <li>• Role Negotiation/Clarification</li> <li>• Third Party Consulting</li> <li>• Communication Skills</li> <li>• Training</li> <li>• Process Consultation</li> <li>• Performance Counseling</li> <li>• Responsibility Charting</li> </ul>
4. Intra-Group (Workteams)	<ul style="list-style-type: none"> <li>• Communications</li> <li>• Task Accomplishment</li> <li>• Meeting Effectiveness</li> <li>• Time Management</li> <li>• Team Effectiveness</li> <li>• New Team Start Ups</li> <li>• Problem Solving/Decision Making</li> <li>• Defining Missions/Strategies</li> <li>• Planning Strategies for Change</li> <li>• Job Design</li> <li>• Increasing Creativity</li> <li>• Transitioning to New Mgrs.</li> <li>• Improving Managerial Processes</li> </ul>	All Above Plus: <ul style="list-style-type: none"> <li>• Interviews with Team</li> <li>• Team Leader Transition Process</li> <li>• Team Building Processes</li> <li>• Time Mgmt. Processes</li> <li>• A-V Feedback Session</li> <li>• Unfiltered Feedback Mtg.</li> <li>• Implementation/Action Plan</li> <li>• Goal Clarification</li> <li>• Problem Solving/Action Planning Process</li> <li>• Open Systems Planning</li> <li>• New Team Start-Up</li> <li>• Group Dynamics</li> <li>• Creative Problem Solving</li> <li>• Role Playing</li> </ul>

### Areas of Focus for Organization Development *(continued)*

Levels of OD Interventions	Typical Issues	Typical OD Processes
4A. Inter-Group (Between Departments)	<ul style="list-style-type: none"> <li>• Coordination of Work</li> <li>• Problem Solving</li> <li>• Communication</li> <li>• Task/Liaison Teams</li> <li>• Reduce Competitiveness</li> <li>• Promote Mutual Awareness/Understanding</li> <li>• Inter-Team Effectiveness</li> <li>• Defining Interfaces</li> </ul>	<p>All Above Plus</p> <ul style="list-style-type: none"> <li>• Conflict Resolution</li> <li>• Interface Meetings</li> <li>• Organization Mirroring</li> <li>• Inter-Group Building/Problem Solving</li> <li>• Interviews/Diagnosing Interdependencies</li> <li>• Group Diagnostic Instruments</li> </ul>
5. Total Organization	<ul style="list-style-type: none"> <li>• HR Mgmt. Systems &amp; Processes Developed and Maintained</li> <li>• Improve Policies/Procedures</li> <li>• Capital Decision Making</li> <li>• Measuring/Improving the Use of Human Resources</li> <li>• Measurement Processes</li> <li>• Employee Satisfaction/QWL</li> <li>• Improving Organization Climate</li> <li>• Improving Productivity</li> <li>• Resolving Business Problems</li> <li>• Managerial Control Systems</li> <li>• Organization Restructuring</li> <li>• Overall Training Needs and Processes</li> <li>• Defining Mgmt. Philosophy</li> <li>• Developing a Self-Correcting Organization</li> <li>• Managing an Effective Business</li> <li>• Reward Systems Improved</li> <li>• Union-Mgmt. Issues</li> <li>• Management Issues</li> <li>• Communication Systems</li> <li>• Union-Free Maintenance</li> </ul>	<p>All Above Plus:</p> <ul style="list-style-type: none"> <li>• New Plan Start-Up</li> <li>• Quality of Working Life Process</li> <li>• Transition Management</li> <li>• Evaluation Processes</li> <li>• Large Group Problem Solving</li> <li>• Capital Control/Improvement Process</li> <li>• Survey Feedback/Action Planning</li> <li>• OD Task Forces</li> <li>• Large System Change Process</li> <li>• Steering Committees</li> <li>• Multi-Year Organization Improvement Efforts</li> <li>• Productivity Improvement Programs</li> <li>• Diagnosing Reward Systems</li> <li>• Norm Census</li> <li>• Open Systems Planning</li> <li>• Systems Redesign</li> <li>• Yearly Management Conferences</li> <li>• Human Asset Accounting/Valuing</li> </ul>

### Areas of Focus for Organization Development (*continued*)

Levels of OD Interventions	Typical Issues	Typical OD Processes
#5 Total Organization Cont.	<ul style="list-style-type: none"> <li>• New Organization Start-Up</li> <li>• Organization Design/Redesign</li> <li>• Successfully Implementing Organizational Change</li> <li>• Orientation/Assimilation</li> <li>• Management Committees</li> <li>• Participative Committee Systems</li> <li>• Improving Trust and Openness</li> </ul>	<ul style="list-style-type: none"> <li>• Organization Design Process</li> <li>• Organization Renewal Process</li> <li>• Organization Diagnosis</li> </ul>
#5A Environment–Organization	<ul style="list-style-type: none"> <li>• Long Range Planning</li> <li>• Future Analysis and Forecasting</li> <li>• Strategic Planning</li> <li>• Defining Mission and Strategies</li> <li>• Customer Relations</li> <li>• Relationships with Corporate Headquarters or Other Divisions</li> <li>• Organization Environmental Relations</li> <li>• Competitor Analysis</li> </ul>	<p>All Above Plus:</p> <ul style="list-style-type: none"> <li>• Open Systems Planning</li> <li>• Data Gathering From External Demand Systems</li> <li>• Interface Meetings</li> <li>• User Meetings</li> <li>• User Feedback Processes</li> <li>• Planning Meetings</li> <li>• Environmental Scanning</li> <li>• Applied Strategic Planning</li> <li>• Contingency Planning</li> </ul>

## **Organizational Systems Model – Applied**

### **Diagnosing Potential Problem Areas in Organizations**

**A.****Vision/Mission/Outcomes**

- stockholders
- mission
- vision
- employee needs
- government/community
- values

**B.****Feedback Loop**

- performance measurements
- maintenance of stability
- problematic/changing environment
- stagnant organizations
- reward systems

**C.****Current State Assessment**

- seven modules of business excellence architecture

**D.****Processes/Throughputs****1. Strategies/Plans**

- strategic plans
- change management plans
- operations plans
- tactical/functional plans
- contingency plans

**2. Goals/Tasks**

- operations problems
- new start-ups (individual/team/organization)
- productivity/QWL
- union-management issues
- annual goals/individual standards of performance
- TQM/TQS

**3. Leadership**

- vision/clarity
- details/persistence
- fit/alignment
- energizer
- competence

**3A. Individuals/Staffing**

- competence
- role clarity
- selection
- management/leadership/authority
- individual performance
- team/groups
- new manager start-up

*continued*

## **Organizational Systems Model – Applied (*continued*)**

### **3A. *Individuals/Staffing***

- competence

### **4. *Resources & Technology***

- money
- materials/equipment
- physical facilities
- communications
- information systems
- telecommunications
- new materials
- genetics

### **5. *Organizational Structure/Design***

- structure/work flow
- job design/evaluation
- power issues
- differentiation/integration
- physical working conditions

### **6. *Organizational Processes/Systems/Reengineering***

- planning/budgeting system
- information/control system
- performance management system
- new product development system
- communication
- problem-solving/decision-making
- using/developing human resources
- conflict/cooperation/coordination
- HR policies/systems
- marketing processes
- customer-focused

### **7. *Teams***

- department teams
- time management/meetings
- informal teams
- task forces
- teams/everywhere
- cross-functional teams

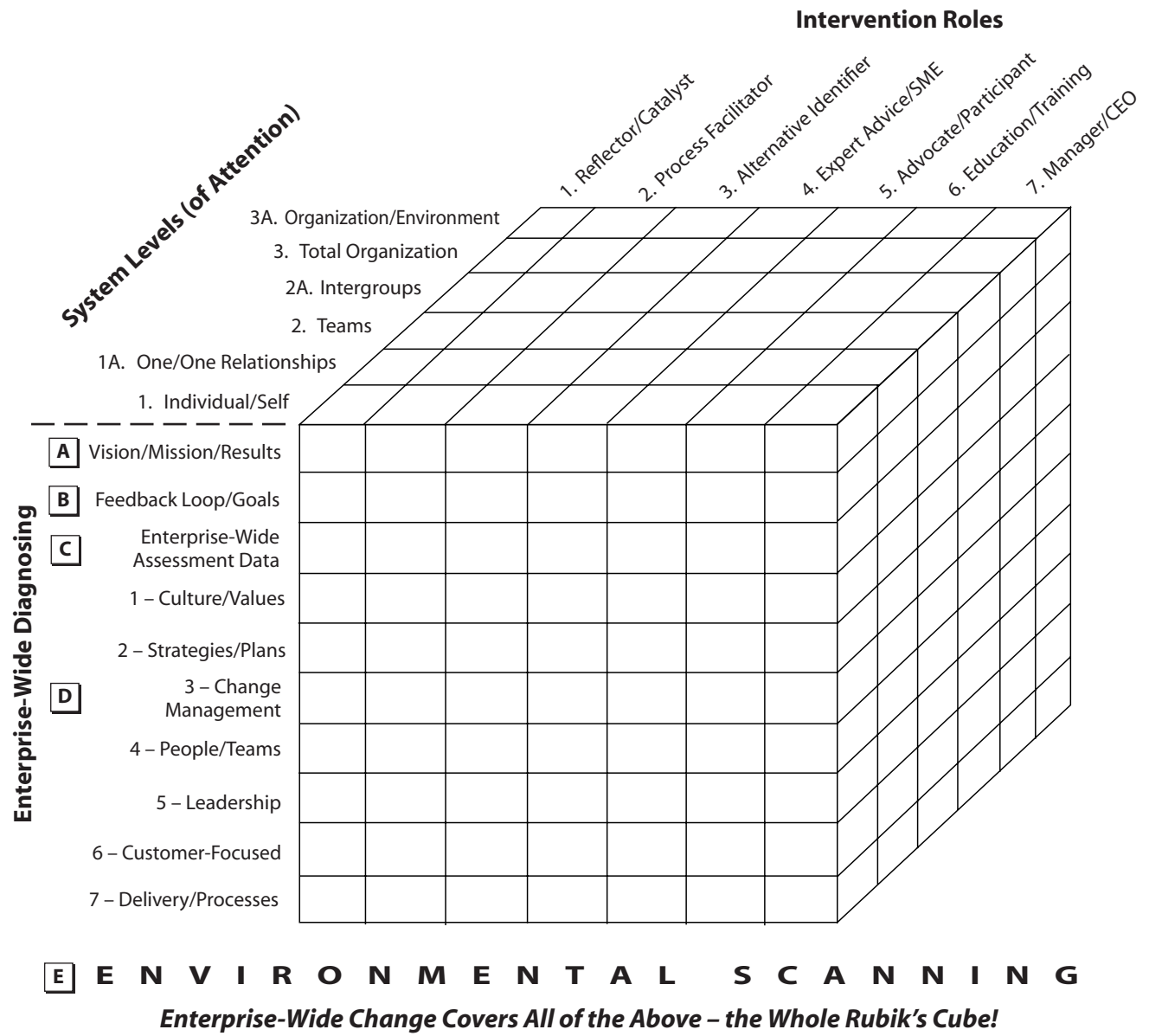
### **8. *Culture***

- values
- informal organization
- Strategic Change Leadership Team  
(change management questionnaire)
- norms/climate
- sum of all seven modules

<b>E.</b>
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**External Environment/Stakeholder Relationships**

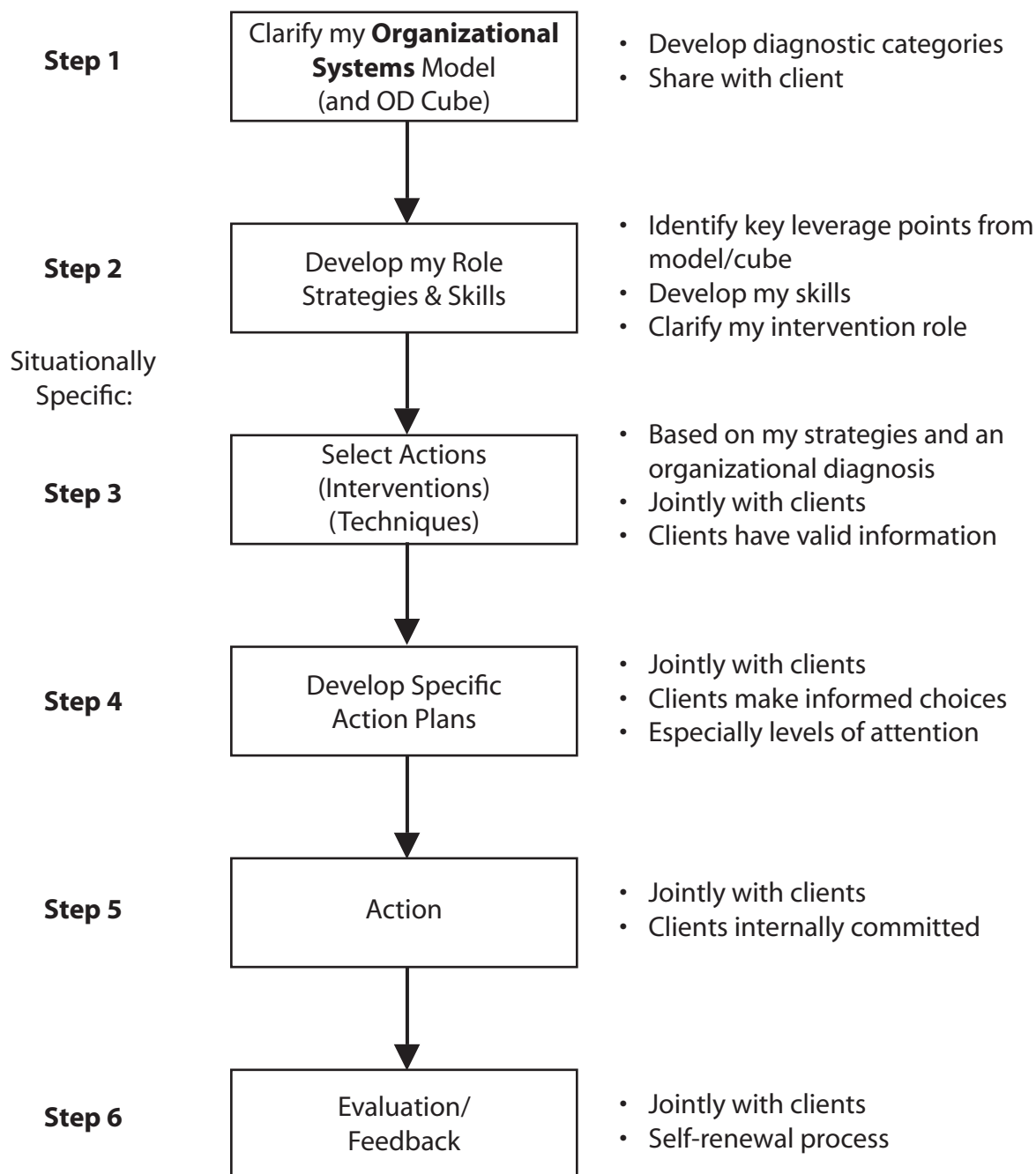
– Summary –  
**Organization Development Cube**  
*A Scheme for Classifying and Clarifying Change Projects*  
*(Roles, System Levels, Diagnosis)*





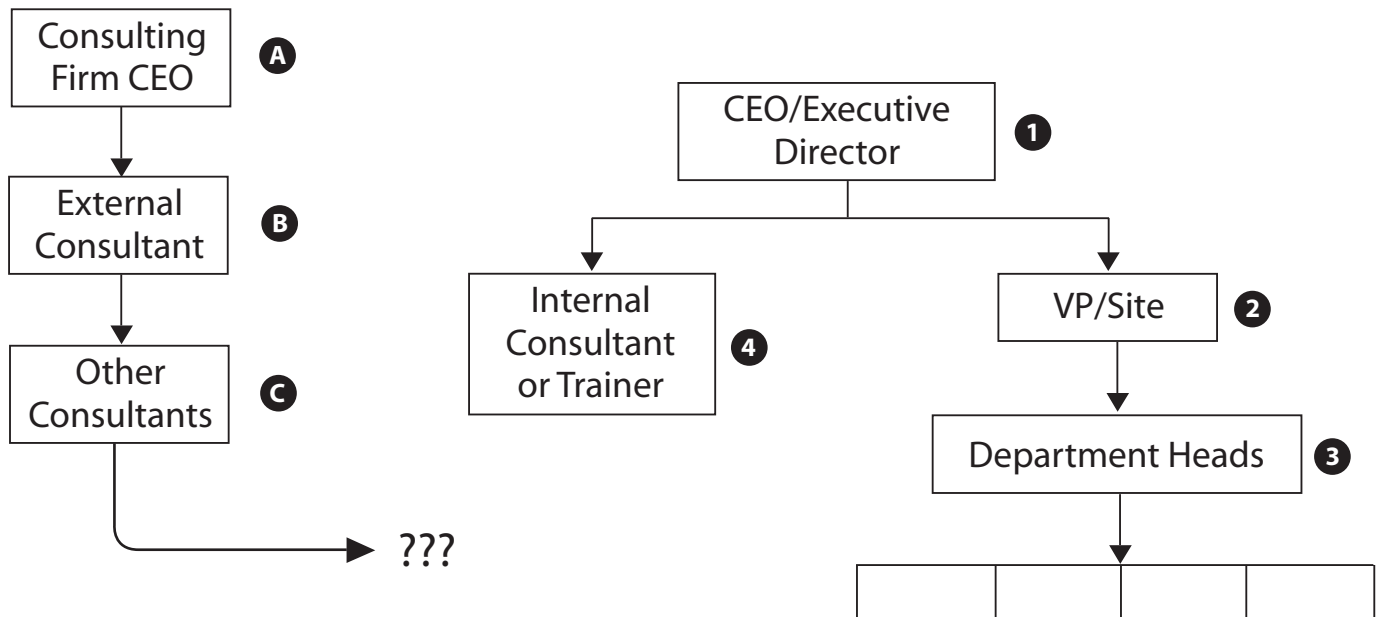
## – Summary –

### OD Consultant Thought Processes



## Confidentiality Issues

### Multi-Level Consulting in an Organization



Questions (You are **B**):

1. Who is your client? Who is the sponsor?
2. What are your agreements/contracts/expectations with:  
1, 2, 3, 4, A, C?
3. What are the confidentiality issues between:
  - **B** (You) and 1, 2, 3
  - **B** (You) and **A**, **C**
4. What can you share publicly/can't share?
5. Who are other key stakeholders? What are their expectations/sharing issues?
6. What are the potential "public" issues?
7. Other issues?
8. What are the implications IF this confidentiality is broken?
  - to **B**
  - to 1, 2, 3
  - to **A**, **C**

**NOTES:**

## Section VIII

### Developing Your Influence Strategy

#### Influence Skills (TEQ)

– Bill Bachrach,  
*Leadership Edge, Vol. 1, Part 2*

#### ***Requires a High TEQ™ Process***

***T*** = ***Trust***

***E*** = ***Emotion*** created on purpose

i.e.

- Listen with empathy
- Ears-eyes-heart
- For feeling and meaning
- For true understanding

***Q*** = ***Questions*** that stir emotions

“No appeal to logic is ever as successful  
as an appeal to emotion.”

– Aristotle

## Develop Your Influence Strategy

Having Assessed:

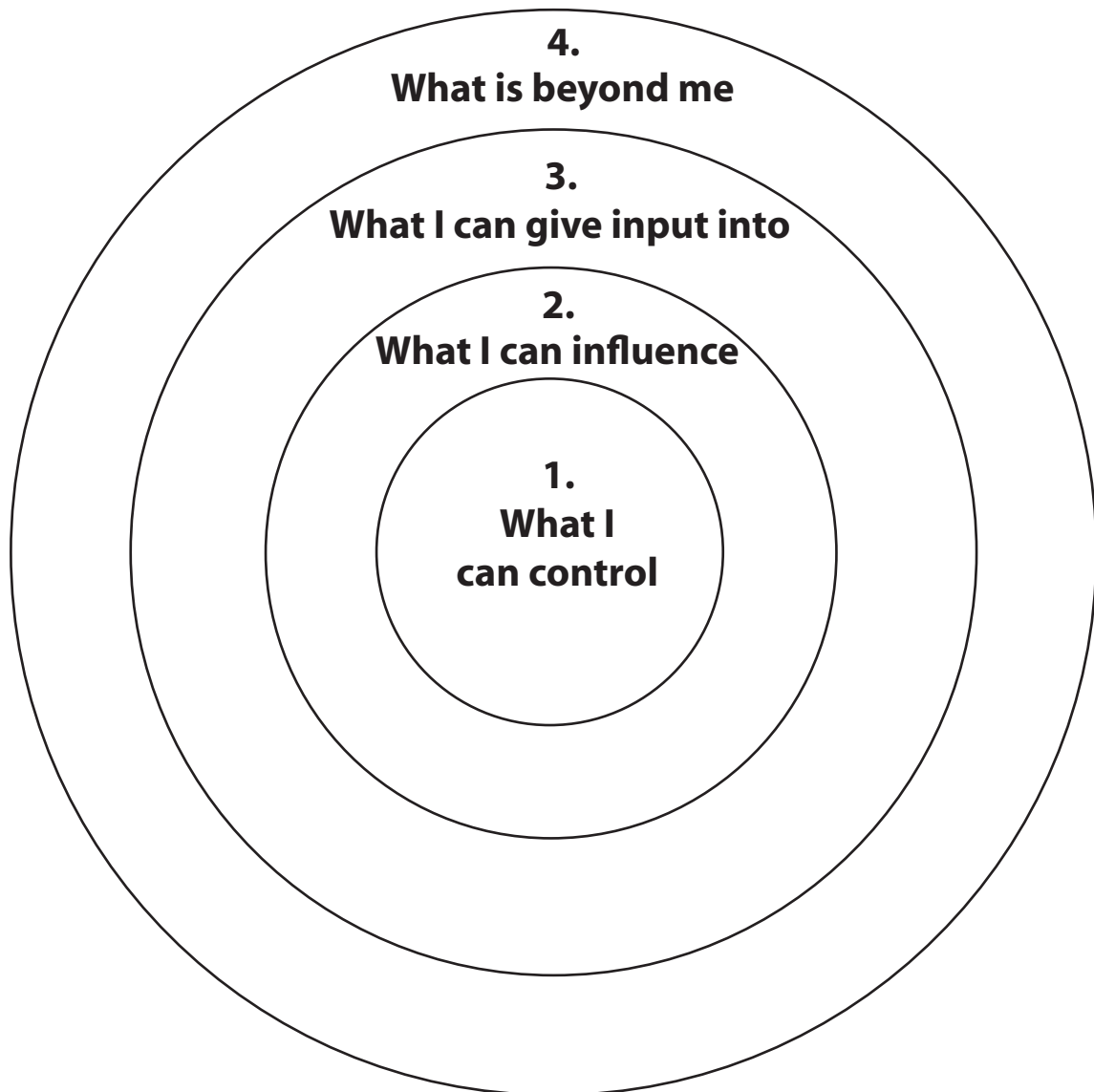
- The corporate goals/business plan
  - Your reputation
  - Your organization model issues
  - Key organizational fit issues
1. Select the 1-2 corporate goals that you want to influence more effectively.
  2. Develop an action plan to reach your ideal state of influence

Corporate Goal	What to Do	By When	Measurement

Now, shift your priorities and change how you spend your time.


- Achieve your influence goal
- Meet senior management’s needs

## Circle of Influence



## How I Influence Upward?

### **Steps:**

1. Learn their wants and purposes
2. Ask their aspirations and visions
  - WIIFM?
3. Prove to them
  - You'll help them with their agendas, wants, visions
  - "Yes, I agree"
4. Then share the implications or negative by-products of their "how-to's"
  - Feedback to them, unintended consequences (or no outcome identified for this consequence)
5. Show them the relationships/between X  Y they are missing
6. Give them positive and honest feedback
  - i.e., find areas of agreement

## How to Sell to Your Boss

Wondering how to get the boss to love your next idea? Increase the odds of getting him to buy in with these techniques:

- **Link the idea** to something the boss thought or did in the past. That way it becomes partly his or her idea. “Boss, remember when you rented a Model-T for the trade show? We came up with something like that.”
- **Do a cost-benefit analysis**, so if the boss says, “That sounds expensive,” you can say, “It’ll cost X dollars, but we estimate the investment will bring us about Y additional sales.”
- **Think of some alternatives**, in case the boss is dug in against the idea. “Suppose we use B (a less expensive alternative) instead of A?”
- **Find examples** of other departments or companies that have used similar ideas successfully. This will help to dispel pessimistic feelings that it will never work.
- **Get some allies**. If someone with the boss’s respect likes the idea, be sure to tell the boss, or have the person tell your boss himself.

Source: William N. Yeomans, *7 Survival Skills For A Reengineered World*



**What’s Hindering Your Effectiveness?**  
**One Person’s List of HRs Barriers to Influence**

*Instructions:* Circle the ones that relate to you. Ask a close peer to verify/add to this.

- 1. Giving “business orientation” lip service.
- 2. Allowing your own needs to dominate your actions.
- 3. Using your “tool kit” because it is there
- 4. Showing your ego.
- 5. Being reactive/passive or subservient.
- 6. Focusing on employee needs as an end in themselves.
- 7. Being naive to organizational politics.
- 8. Making “waves.”
- 9. Allowing “your” values top priority.
- 10. Focusing on your sense of fair play.
- 11. Not understanding your organization’s goals and priorities.
- 12. Identifying with your profession totally.
- 13. Being humanistic, not realistic.
- 14. Not being results oriented.
- 15. Trying to make everyone happy.
- 16. Being manipulative.
- 17. Not learning behavioral science concepts and techniques.
- 18. Not having a framework to diagnose your organization or your work.
- 19. Seeing “politics” as a dirty name.
- 20. Thinking executives are either totally dumb or totally correct.

**Question:** What actions do you need to take to change these barriers?

Actions	By When

## Positive Politics

– Robert W. Barner  
*Crossing the Minefield*

Political competence is an essential survival skill. Allies can support your goals, warn you of trouble, and extend your range of influence in the company.

Six basic qualities separate negative politics from positive politics. For a positive approach, follow these principles:

- Assume that everyone is a potential partner. Help colleagues retain a big-picture focus on the company's overall goals.
- Try to understand partners' views and work processes and how your actions affect them.
- Be honest. Lay your objections on the table and try to work them out directly with the person instead of resorting to manipulation or outside pressure.
- Make and keep commitments and maintain a high level of integrity in your relationships.
- Deal directly and informally instead of hiding behind memos.
- Remain flexible. Adapt your approaches according to changes in the organization.

## **Characteristics of an Effective Change Agent**

### **A Change Agent's performance is optimized when:**

1. He or she works within the parameters set by the sponsor towards common goals.
2. The principles and dynamics of change are understood and the knowledge of them is applied.
3. Value is placed on the human as well as the business and technical aspects of the change project.
4. Differing frames of reference are understood and appreciated – focus on a systems approach is developed.
5. Diagnostic data are collected and integrated into coherent plans of action.
6. Synergistic relationships are built and maintained.
7. Communications styles are appropriately diagnosed and used.
8. Two-way commitment is built and maintained.
9. Resistance is identified and appropriately addressed.
10. Power and influence skills are appropriately applied.
11. Professional behavior and integrity is demonstrated.

*Adapted by Jim McKinlay and the Centre for Strategic Management, Inc.  
All rights reserved. 1999, updated 2003.*

## Managing Your Own Energy – As a Change Agent

**Question:** Which do I do? Circle them.

Which should I do? Box them.

1. Co-consulting—enriching
2. Claiming strengths and successes—boasting/reward yourself
3. Compartmentalizing concerns—let their concerns; be their concerns
4. Using “shadow consultants” —strategy/catharsis
5. Soliciting feedback on your contributions—focus it from sources you respect
6. Forcing yourself to relax—at night even at client sites
7. Observing long-term processes, in perspective
8. Turning off your motor from time to time—personal growth once/year
9. Confronting SITNAs (Situations That Need Attention)—clean them up
10. Rewarding yourself
11. Showing up prepared to be fired—no retainers/just add value; no OD readiness/just walk away
12. Testing personal alignment—95% values (personal) overlap with client or walk away
13. Varying your clients—public/private
14. Doing your homework—don’t wing it; show up prepared (we are far more transparent than we think we are!)
15. Have clients come to you

*Adapted from Organizational Universe Systems*

## Rules of Thumb for Change Agents

– *Herbert A. Shepard*

### **Rule #1: Stay alive.**

This rule counsels against self-sacrifice on behalf of a cause that you do not wish to be your last.

### **Rule #2: Start where the system is.**

This is such ancient wisdom that one might expect its meaning had been fully explored and apprehended. Yet in practice the rule—and the system—are often violated.

### **Rule #3: Never work uphill.**

This is a comprehensive rule, and a number of the other rules are corollaries or examples of it. It is an appeal for an organic rather than a mechanistic approach to change, for building strength and building on strength.

#### **Rule #3, Corollary 1: Don't build hills as you go.**

#### **Rule #3, Corollary 2: Work in the most promising arena.**

#### **Rule #3, Corollary 3: Don't use one when two could do it.**

To be less cryptic, don't do anything alone that could be accomplished more easily or more certainly by a team.

#### **Rule #3, Corollary 4: Don't overorganize.**

The background of democratic ideology and the theories of participative management that many change agents possess can sometimes interfere with common sense.

#### **Rule #3, Corollary 5: Don't argue if you can't wait.**

#### **Rule #3, Corollary 6: Play God a little.**

The change agent's life is his own, and it is as short as any other man's.

*continued*

## Rules of Thumb for Change Agents

**Rule #4: Innovation requires a good idea, initiative, and a few friends.**

As implied above, little can be accomplished alone, and there is evidence from experiments on the effects of group pressure on individual perception to suggest that the change agent needs a partner, if only to maintain perspective and purpose.

An alternative statement of Rule 4 is as follows: Find the people who are ready and able to work, introduce them to one another, and work with them.

**Rule #5: Load experiments for success.**

This sounds like counsel to avoid risk-taking. But the decision to experiment always entails risk. After that decision has been made, take all precautions.

**Rule #6: Light many fires.**

Not only does a large, monolithic development or change program have high visibility and other qualities of a good target, it also tends to prevent subsystems from developing ownership of, and consequent commitment to, the program.

**Rule #7: Keep an optimistic bias.**

Our society grinds along with much polarization and cruelty, and even the helping professions compose their world of grim problems to be “worked through.” The change agent is usually flooded with the destructive aspects of the situations he enters.

## **Process and Action Research**

"The more I am involved with people, the more I am convinced that process consultation as a philosophy of being helpful is critical."

David's firm view of OD is that the core philosophy is action research. "The T-group emerged out of the experience of the New Britain workshop. Its focus was the experiential learning process of the participants. Team building and OD emerged out of the T-group, where reflection on experience led to reformulations of what organizations needed. OD itself is both the fruit of action research and mirrors the action research process."

Source: *OD Journal*, Winter 1997, Volume 15, Number 4.

Our Love-Hate Relationship with Organizations

ORGANIZATION LOVE-HATE MATRIX		
	HATING	LOVING
HELP	How does hating organizations help you?	How does loving organizations help you?
HARM	How does hating organizations harm you?	How does loving organizations harm you?

By Geoff Bellman



## Intimidation

Three aspects of OD are likely to bring past experiences with intimidation into play for either consultant or client.

**First**, OD is fundamentally about the redistribution of authority and power. High value is placed on each individual's right to influence those events, processes, and people shaping the culture of the workplace. We advocate moving from the hierarchical and position-based exercise of power to a functional and flexible distribution of power, depending on the situation. This almost always involves conflict, stress, and the arousal of anxiety - prime breeding grounds for trouble.

**Second**, we often promote disclosure and the exploration of vulnerability as an avenue of growth through feedback - the opening up of the Jo-Hari Window. When vulnerability is on the table, intimidation is not far behind.

**Third**, we are often in the business of exploring hopes, aspirations, and dreams - for ourselves and for those we wish to serve - through strategic planning based on personal and organizational visions and values.

With these three factors in play, our intentions often blind us to the fact that we are perceived as figures of authority. This perception is often amplified when our activities produce 'magical' results that foster deep change, learning and relationships. We may even remind our clients of previous relationships in which power was indeed a formidable factor, evoking feelings of fear, pain, humiliation, or futility.

*Source: Charlie Seashure, OD Practitioner*

## **Facilitating Closure**

### **Key Tips on “Facilitating Closure” in Executive Groups**

1. Set up ground rules in the beginning; especially consensus = “actively support”.
2. Have a one-to-one conversation with the CEO about the bottom line of participation and participative management.
3. Get closure by being focused and disciplined. Force the discussions to one topic at a time. (List all topics on a flip chart.)
4. Get closure on easy topics first to get both positive movement and to isolate the difficult issues until last.
5. Wait to talk or intervene until they start repeating their ideas – i.e., saying the same thing or “going around the barn” a second time.
6. Test for closure – “I may be wrong, but are you saying that...”
7. Take a neutral position; help them get an answer that makes sense or is logical for them.
8. Getting closure is the goal – be non-judgmental/neutral as to what it is.
9. Stay above the debate; don’t get caught up in one-to-one’s with participants.
10. Often it is best to just sit and observe for ten minutes or more. Let them discuss and frame the issues; you just actively listen.
11. Follow where the energy takes them – passion vs. logic. Passion is great in support of the decision, but be sure logic backs it up. Be a devil’s advocate; ask “dumb” questions.
12. Randomly write down logic patterns on a flip chart; often the answer emerges.
13. Don’t skip over resistance. Go into it by asking “why” – have them explain the logic/rationale behind their opinion.
14. Your job is to make it easy for the group to focus and talk openly. Protect the minority point of view.
15. Impartiality is key. When you have a bias, turn it into an open-ended question instead.
16. Too much content expertise can be a liability, as can too much commitment to the organization. Be calm, centered, neutral.
17. Come back later to reaffirm and solidify/clarify the earlier decision (two consensus checks) – i.e., sleep on it!
18. Root out hidden agendas: Ask “Why?” up to five times.
19. Influence often goes to whoever has the last word.
20. Ask them to collaborate on reaching consensus closure; you can’t do it alone. In the extreme: “If you don’t focus on closure, why should I? It’s your meeting.”
21. Go around the room to give everyone a chance to be heard. Closure often emerges as you do this.
22. Even the CEO must share the logic of his/her opinions and decisions. Is he/she willing to listen, be naive, learn, and be wrong?

## **Facilitation Skills (Towards Systems Solutions)**

### **1. Discovery**

Allow people to discover:

- The answers/truth
- Things for themselves
- Use our mini-instruments, checklists, thought starters

### **2. Executive Development = Bite-size**

Executives don't like training and development. They prefer:

- Executive briefings (short)
- Bite-sized chunks, five minute lecturettes – “Learnings in the moment”
- Models/visuals – faster learnings

### **3. Preserve Dignity**

Make sure executives are not surprised or look stupid.

### **4. Self-Change First**

Change occurs inside out, self-organizational (i.e., tree rings: individual team organizational)

### **5. Dialogue – Expand Amount of Information**

Increase Executive's amount of information to:

- Make better decisions
- Keep the focus on their Vision/Values

### **6. Be Intentional About Process**

Be intentional, conscious, and willful in all you do, especially on structure/process of change and group dynamics.

### **7. Intellectual Honesty – Reach Closure**

Key skill is helping executives get/reach closure.

- Be naive, no ego to protect or solutions to protect
- Honest search for the common sense answer
- Pursue logic wherever it takes you (without fear of answer)

### **8. “Yes, Both” is the Answer**

The one best answer search using “either/or” questions is an analytic approach to systems problems. The answer to this either/or question is yes, both.

### **9. Don't Ignore Resistance**

If resistance is in the room, deal with it as the here and now topic. Don't ignore! Go with the flow/resistance—see where it takes you.

## The Ten Commandments Of Powerful Listening

– Adapted from Dr. Tony Alessandra

**Note:** *The more senior position you occupy, the less you tend to listen – agree or disagree?*

1. Fight Off Distractions – Train yourself to listen carefully to others' words despite external distractions.
2. Do Not Trust Your Memory – Take notes. However, keep your notes brief, as listening ability is impaired while you are writing.
3. Let Others Tell Their Own Stories First – Then, you can tailor your discussion to their particular needs, goals, and objectives.
4. Use Feedback – Constantly try to check your understanding of what you hear.
5. Listen Selectively – You must listen in such a way that you can separate the wheat from the chaff.
6. Relax – When others are speaking to you; try to put him/her at ease by creating a relaxed and accepting environment.
7. Listen Attentively – Face them straight on with uncrossed arms and legs, and lean slightly forward. Establish good eye contact. Use affirmative head nods and appropriate facial expressions when called for, but do not overdo it.
8. Create a Positive Listening Environment – Take great efforts to make sure that the environment is conducive to effective listening.
9. Ask Questions – Ask open-ended questions to allow them to express their feelings and thoughts.
10. Be motivated to listen – Without the proper attitude, all the foregoing suggestions for effective listening are for naught. Try to keep in mind that there is no such thing as a disinteresting speaker; there are only disinterested listeners.

If you are really willing to learn how to listen, it will take a lot of hard work to learn the skills, and constant practice to keep them in shape.

**NOTES:**

## Section IX

### Creating the People Edge

#### HR Specific Business Partner Problems

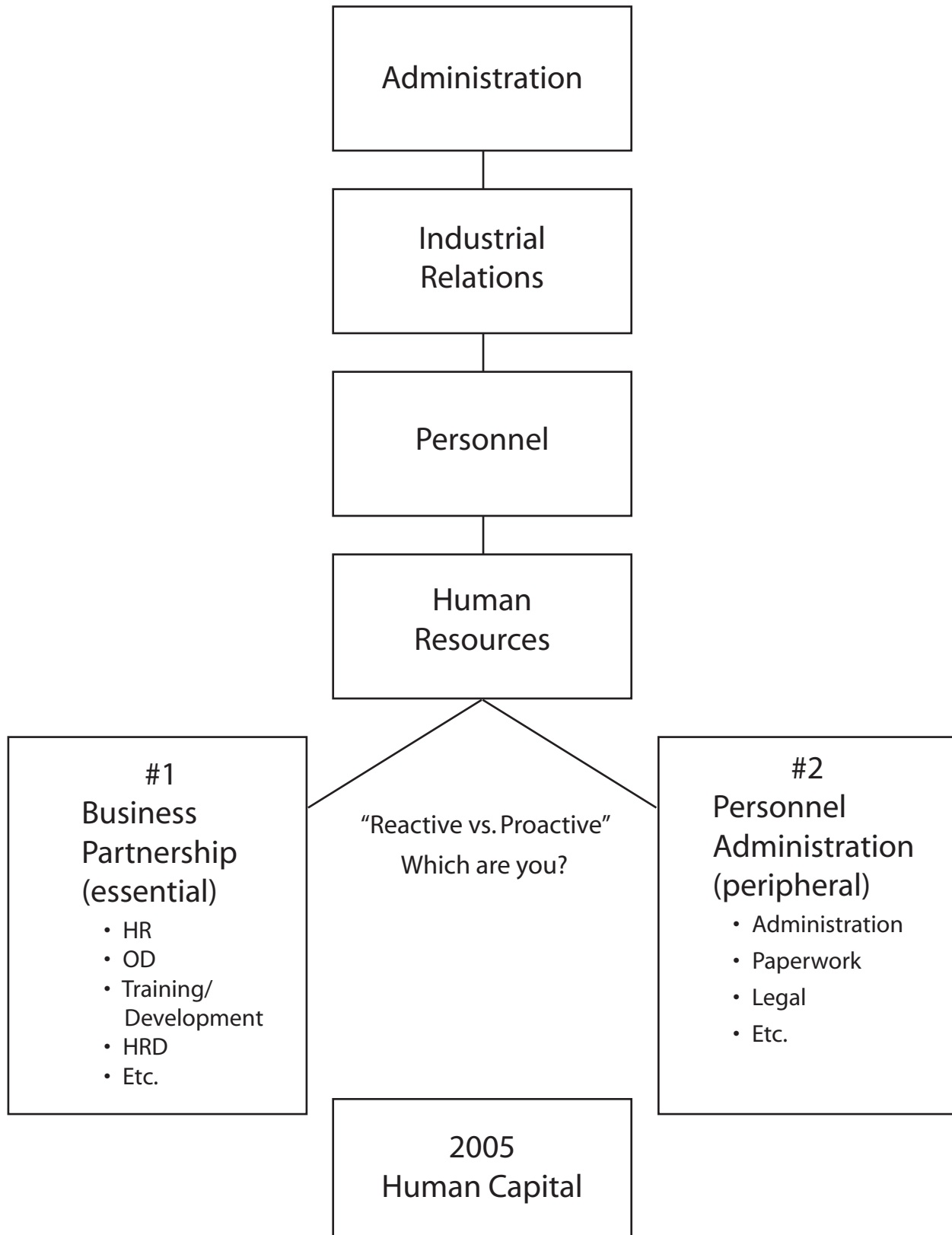
If you always do  
what you've always done,  
you'll always get  
what you've always gotten.

#### Mintzberg on "Human Resources" Term

It's horrible. Are you a human resource? I'm not a human resource. I'm a person. Personnel at least was neutral. "Human Resource" is a dreadful term. It's one of the worst terms ever coined in management. But fear not because we've got a worse one now: the current one now is "Human Capital." We're "Human Capital," which is even worse than being a "Human Resource." At least a resource does something. Capital just sits there. These things are dreadful.

*Henry Mintzberg, "Henry Mintzberg in Conversation: The Cult of Management."  
Ideas, CBC Radio, December 1999.*

## Two Branches of Human Resources



## Boost the HR Profile

*by Charles F. Bischoff  
President, Goodrich & Sherwood Co.  
Personnel Journal*

1. Human Resources executives must be business people first and functional professionals second. Bischoff says such a stance will inevitably make the Human Resources Department more proactive.
2. It is essential to have a global outlook in all arenas. It is important to consider what does on in the corporate boardroom, but also away from it; to monitor what goes on nationally and internationally; and to watch congress, academia, and other influential institutions.
3. Human Resources executives must take a multi-disciplined approach to the function. They must have a hands-on working facility in the tasks of the department. But, they must also understand labor relations and be able to develop strategy and tactics.
4. Compensation and benefits must be responsive to employee needs.
5. Training and development is crucial, particularly for executives. Such training must incorporate both internal and external resources.
6. A Human Resources executive must see him- or herself as a confidante of the CEO. If such a relationship doesn't exist, the HR executive must develop his or her boardroom skills and with the CEO's confidence.
7. Human Resources executives must take a leadership role in mergers, acquisitions, downsizing, and restructuring.
8. Strategic human resource plans must be developed.
9. Human Resources executives must have a clear perception of themselves and their staffs. Those who understand their role have authority and succeed; those who do not understand their role have no power and therefore fail.
10. The Human Resources Department is a prime catalyst to move people.
11. The absence of change will eventually lead to corporate death. Human Resources executives, therefore, must be change agents.
12. Personnel executives must foster creativity and innovation.



## Some Strategic People Trends

– Compiled by the Centre

1. **Intellectual Capital**—The attraction and retention of intellectual capital continues to be a challenge. Greater emphasis is being placed on developing people as a critical asset for the organization's future growth and development.
2. **Recruitment Challenges**—One of the greatest challenges facing organizations is actually finding the right people to do the job. The importance of recruitment and selection is increasing and the need to use more innovative ways of recruiting has become a priority.
3. **Performance Management**—Performance Management continues to be important and still needing improvement in guiding performance development and in forming pay decisions. 360° Appraisal Systems are being increasingly utilized. A key performance management challenge is the ability to clearly state and measure employee goals and objectives.
4. **Profitability and Growth**—Organizations will need to continue to increase revenue and reduce costs. The HR function will need to be delivered in a more cost effective way, as well as ensuring the cost effective utilization of organizational resources.
5. **Individual Capability and Organizational Competence**—A key source of organizational competitiveness will be the development of the distinctive competence of the organization, that will allow it to sustain a competitive advantage, along with the specific individual capabilities required by the individuals to deliver it.

*Competency models continue to be used as a means to develop and measure performance.*

6. **Globalization**—Organizations continue to grow nationally and internationally, requiring different skills and approaches to manage the organization's customers and staff on a national scale.
7. **Culture Change**—Shaping organizational culture to sustain a competitive culture and reach desired outcomes continues to be a major organizational challenge.
8. **Information Technology**—The growth of technology applications in both HR and organizations continues. This has implications for the overall workforce where there will be a requirement for changing skills to meet the demands of technology, especially as a source of competitive advantage.

*Additionally, HR will need to use the new technology to become more cost efficient and enable line managers to carry out their Human Resource responsibilities more easily through 'self-service' concepts, etc.*

9. **The Changing Workforce Agenda**—There is an increasing shift regarding the relationship with employees in the workforce. The issue of diminished loyalty to individual employers has been reinforced by the increased emphasis being placed on individuals for their own success. This is placing greater emphasis on the need for managers to develop ways to motivate, reward and recognize employees.
10. **Balancing Work and Personal Life**—Surveys continue to show that employees are working significantly longer hours, and often under greater pressure. The challenge is for employees to be able to effectively balance personal and work time.

## The Human Resource Function – Some Directions and Challenges

– *Compiled by the Centre*

### 1. Business Partner and Leader

The need for the Human Resource Function to become a true business partner and leader with management, in order to meet business and customer needs, will continue to grow.

### 2. Strategic Focus

The Human Resource Function needs to be able to help in strategically positioning the organization to achieve its business success. At the same time, it will need to be able to execute HR strategy, through the development and implementation of specific HR practices and actions.

### 3. An External Focus

The need for the Human Resource function to focus on customer, investor and community needs, as well as employees, continues to be a major trend.

### 4. Value-Added Approach

The Human Resource Function is being increasingly challenged to demonstrate its value-added or return on investment approach to the organization. Emphasis is placed on deliverables rather than the “doables”.

### 5. HR as a Change Agent

HR professionals need to continue to assist in the facilitation of the change process, to ensure the establishment and maintenance of the culture desired to sustain competitive advantage.

### 6. HR Staffing Structure and Ratios

Staffing ratios for the HR Function have remained the same or continuing to decrease.

Outsourcing selected Human Resource functions continues and is expected to continue both in the U.S. and internationally. Some key areas of outsourcing include:

- Employee Assistance Programs
- Benefits and Pension Administration
- Recruitment and Selection
- Organizational/Employee Surveys
- Training
- HR Administration

### 7. Cost Reduction/Self Service

Cost reduction has become a key strategy for Human Resource Practitioners. This occurs through eliminating non-value added work, outsourcing, self service and streamlining the HR Function.

### 8. Use of Technology

Technology becomes one of the key drivers for streamlining and automation. It also provides a valuable aid in assisting managers to manage their own resources effectively. The increasing use of “service centers” takes advantage of new technology.

### 9. Integrating People Practices to Business Direction

Maximum impact occurs when people practices are fully integrated with business direction and strategy.

### 10. Partnerships

The challenge is to establish strong partnerships not only with managers but customers and shareholders alike in the management of the HR Function.

## Possible HR Strategic Planning Issues...

*(...that Stephen G. Haines is fully qualified to teach and consult on,  
as he has been responsible for the HR function eight times in his career)*

1. Stages of professional growth in HR (two branches of Human Resources)
2. HR Strategic Planning (Strategic Change/Strategic Planning Model)
3. Four levels of business strategy and HR strategic role
4. Organization and job structure/design
5. New role of managers (coaching for commitment vs. bosses)
6. Executive Succession and Development Committee (human resource management flow and continuity)
7. Performance management system (goal setting, coaching, appraisals)
8. Rewards for total performance (financial and non-financial rewards)
9. Excellence in hiring: A system
10. New executive start-up and effectiveness (i.e., Smart Start)
11. Effective team functioning model (goals, roles, procedures, relationships)
12. Organizational culture and employee surveys as a competitive advantage
13. How to work with CEOs and senior executives (learning to be a successful internal consultant)
14. Strategic education model and adult learning theory (improving the training and development function and learning courses)
15. Managing strategic change (dealing with resistance, emotions, politics, cultural issues)
16. Joint union-management relationships (creating a win-win environment)
17. Stages of group development/facilitation/meetings management
18. Effective decision-making and problem solving
19. Conflict management (triangulation and other issues)
20. HR MIS (critical success indicators for HR)
21. "Speak Finance, not English" (make the business case for HR proposals)
22. Customer service for HR (parallel process of involving your clients)
23. HR department/function audit framework
24. Employee motivation (empowerment, participation, involvement, corrosive effect of authority)
25. Communication skills and differences, diversity (social styles)
26. Leadership Practices Inventory (vs. management practices)

## Charting the Top 10 Concerns of Today and Tomorrow

Will the human resources problems today, be the same in 2005? According to a survey by the Human Resource Institute at Eckerd College in St. Petersburg, Florida, many of HR's top issues are changing. See if your concerns are the same as these priorities.

### HR's Concerns: 1995

- #1 Managing change
- #2 Skill level of the work force
- #3 Rising healthcare costs
- #4 Management issues
- #5 Work ethics, values and attitudes
- #6 Improving productivity
- #7 Focus on the customer
- #8 Employee communications
- #9 Information technology
- #10 Reengineering

Source: *Personnel Journal*

### HR's Concerns: 2005

- #1 Skill level of the work force
- #2 Managing change
- #3 Information technology (was #9)
- #4 Aging of the work force\*
- #5 Management issues
- #6 Quality of education\*
- #7 Work ethic, values and attitudes
- #8 Managing diversity\*
- #9 Improving productivity (was #6)
- #10 Employee communications (was #8)

\*New

## **The Seven “Must Do” HR Projects (Once Strategic Planning is Complete)**

1. Redo your performance appraisal form/procedures to reward your core strategies and values.
2. Redo your executive “Performance Management System” to ensure the Strategic Plan gets down to individual executive accountability . . . and to reinforce and model your core values and strategies
3. Audit and modify your entire formal and informal rewards system (pay and nonpay) to ensure they reinforce and support your future direction.
4. Redo your recruiting, hiring, succession planning, and promotional criteria and processes to promote your Strategic Plan and direction.
5. Redo your orientation and assimilation processes (i.e., Smart Start) to start people off with the right values and culture of your future vision.
6. Redo your training and development systems to build and reinforce your core values, culture, and future vision — especially management skills (not just knowledge and awareness) to carry this out successfully.

– and –

7. Develop a Strategic Human Resource Management Department 3-year “Business Plan” to support the organization-wide Strategic Plan.

## Productivity Building Strategies: Worker Morale

A worker-friendly (i.e., nonnegative) job environment boasts six general characteristics **besides teamwork**, according to Jeffrey Pfeffer, author of *Competitive Advantage Through People* (Harvard Business School Press, 617-495-2600).

- *Job security* motivates workers to please;
- *High wages* attract and retain good workers;
- *Performance-related pay* encourages and rewards effort;
- *Employee ownership* reduces friction between workers and management;
- *Training* boosts productivity, fosters worker pride and reduces turnover;
- *In-house promotion* (starting all staff at a basic level) improves communications and forestalls misunderstandings.

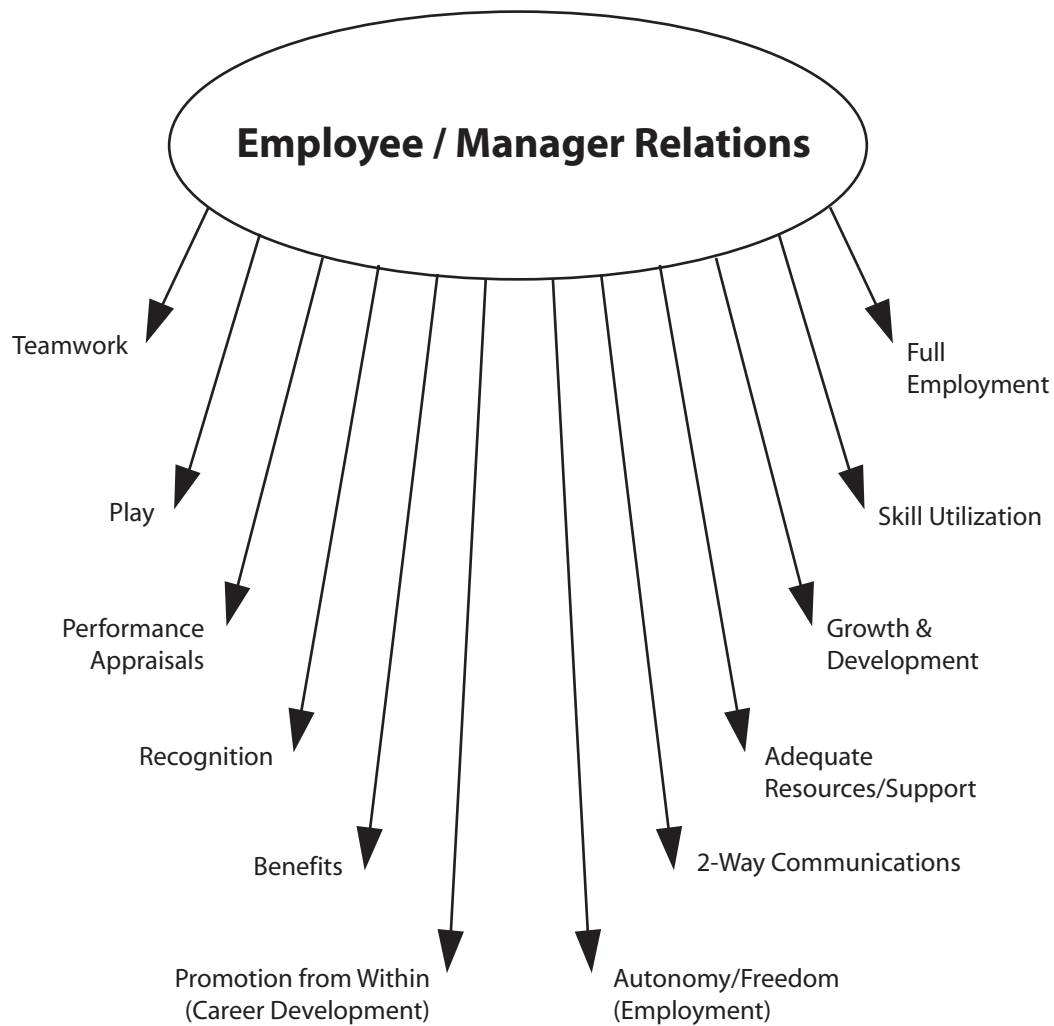
— John Naisbitt's *Trend Letter*, April 28, 1994

### Job Satisfaction

Note: Worker satisfaction/needs from their job also consistently show (in numerous research studies) a need for:

- Recognition for a job well done
- Opportunity for growth and development
- Freedom for independent thought/action (empowerment)

## **Respect for Individual Needs (i.e., Good People Management)**



### **The Foundation**

Treat other human beings with dignity  
and respect at all times

## The State of HR: Do or Die!

— Lesley Young

**It's do or die time for strategic HR.** For decades HR has been talking about what it is and how it works. But worldwide failure to execute has dangerously undermined HR's chances of ever becoming business players, shows the industry's most comprehensive study.

Execute or be executed is the resounding prediction of The Human Resources Planning Society 1999 fourth annual international state of the HR industry report.

**"Now is the time for HR. Either we blossom or be blown away (because) HR is on the brink of extinction,"** said Michael Takla, coauthor of the report.

"On the other hand, HR professionals might not have the skills to pull through with what they are asked to so," Takla added.

While all respondents agreed that the two top HR functions for the next five years are improving business-partner skills and linking HR practices with strategy, they gave the current HR functions barely passing grade.

He said the future of HR rests with organizations' top HR professionals. They have to establish credibility, be personable and make contacts with management. "They need to be seen first as a business partner – HR professional second – to be taken seriously at the table."

Takla said establishing a balance between short-term needs and long-term HR strategies is the number one challenge for HR professionals... To be strategic... HR has to be on the top of the larger issues as opposed to only offering up knee-jerk responses.

The report also found internal divisions within HR departments over functions is further perpetuating the crisis.

As long as HR talks that talk, it will be hurting itself, he said. "There is always going to be a requirement for HR expertise. But the HR function is going to look a lot different in the future."

He said a lot of HR will be outsourced. "We are already seeing that, especially with recruitment and processing transactions (i.e., payroll). I am not predicting extremes... but the HR function will definitely be shrinking down the road."

Source: *"Dire Future Predicted for Non-Strategic HR Leaders,"* Canadian HR Reporter, October 18, 1999



## **What Federal Express HR Guaranteed Its Internal Customers**

- Timely response
- A 24-hour turnaround for feedback on important requests
- A 24-hour response to E-mail and phone messages
- Two-hour response time to emergency calls
- Critical feedback on EEO and employee grievances
- Semi-annual training sessions on topical subjects
- Updates on employee relations issues
- Meetings with managers to review recruitment, plans, goals and results
- Bi-monthly meetings with employees at their workplace.

*Source: Personnel Journal*

## Executive/Employee Development Board (EDB) Concept

**"Invest in Your People First"**

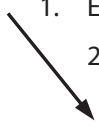
The people management practices of any organization should be viewed as a system of people flow from hiring, through their careers, and through retirement and/or termination. See the Centre's copyrighted HR Systems Model and assessment tools. Making this all happen is the responsibility of senior management; usually best done through an "EDB" (Executive/Employee Development Board) focused solely on this framework and "creating people as a competitive business advantage." (*The "People Edge"*)

**For example:** As a Board, this reinforces senior management's responsibility to carry out your "stewardship" responsibilities towards yourselves and the rest of your employees. The best way to explain this fully is example (on the next page) from the author's days as an Executive Vice President of Imperial Corporation of America (ICA), a \$14 billion financial services company formerly in San Diego, California.

In essence, this Executive Stewardship Board is responsible for the Human Resource Management flow and continuity. It is executive responsibility to link staffing to business strategy via:

- hiring
- selection (up/lateral)
- succession planning/core competencies
- developmental jobs/experiences
- Leadership Development System
- training: classroom (internal, external)
- organization design/structure
- socio-demographic trends
- employee surveys of satisfaction/360° feedback
- rewards/performance system
- workforce planning

A mechanism/structure of how to achieve management continuity is needed (i.e., a linking pin of Boards):

1. Executive Development Board (EDB)—executive team
  2. Management Development Board (MDB)—all department heads/teams
  3. Employee Development Committees (EEDC)—all supervisors/section head areas
- 

**The desired outcomes include:**

***Right person — Right job — Right time — Right organization — Right skills!***

### Sample Monthly Executive Meetings

- |                |  |
|----------------|--|
| <b>Week 1</b>  | Operational/Business Issues                      |
| <b>Week 2</b>  | Strategic Planning and Change Process/Status     |
| <b>Week 3</b>  | Strategic Change Issues                          |
| <b>Week 4</b>  | Customer Satisfaction                            |
| <b>*Week 5</b> | Executive/Employee Development Board (EDB)       |
| (Quarterly)    | Staff, promotion, succession, development        |
|                | – HR Executive as secretary to Senior Management |

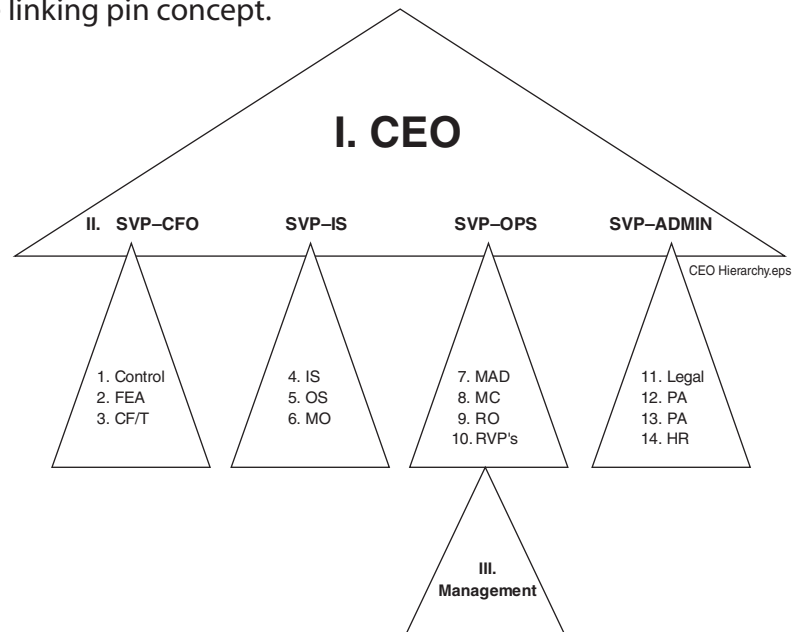
## Executive/Employee Development Boards (EDB)

1. **Purpose:** To proactively manage and create the organization's People Edge
2. **Number of EDBs:** Using the linking pin concept.

I. 1st level  
"Executive EDB"

II. 2nd level  
4 "SVP EDBs"

III. 3rd level  
14 "Management EDBs"



### 3. Management of Each EDB

- **Chair**

- Senior officer responsible for stewardship of area
- Manage the EDB
- Links to higher level EDB
- Responsible for EDB decisions/actions/follow-up

- **Members**

- Direct reports of each Chair
- Responsible for succession presentations
- Must wear a corporate hat in the meetings for them to be successful
- Represent their employees as well

- **Secretary/HR Rep**

- Provides content input
- Ensures employee fair treatment
- Handles minutes and logistics
- Ensures process properly occurs as desired
- Is the linkage person laterally to EDBs
- Provide follow-up continually on EDB desired actions

4. **Meetings:** As necessary but initially quarterly or monthly depending on rollout of tasks.
5. **Rollout:** Recommend initially that only Executive EDB and SVP EDBs (4) be established so that officers can gain experience with process prior to involving Directors in 14 officer areas.

## Executive/Employee Development Board Process

### **Step 1: Chairman forms EDB and holds first organizational meeting.**

- Timing/Agenda is set for first year
- Briefing/understanding of entire EDB concept is completed

### **Step 2: Conduct Strategic People Plan for the organization during the People Planning.** Each member can put goals on the agenda for their area of responsibility. Sample ones might be any of the following:

- reducing turnover to 17%
- succession planning
- executive development
- management development
- department transfers (corporate assets)
- careers at the organization
  - Career Management System
  - career ladders
  - for professionals/for managers
- Performance Management System
  - goals/coaching
  - appraisals/careers
- organizational reward systems/pay for performance
- core people competencies needed for future
- recognition programs
- hiring profile for organization/recruiting and selection system
- employee expectations (psychological contract)

### **Step 3: Once succession planning is desired to be a part of the EDB agenda:**

- The Succession/Career Management System must be completely understood.
- Appropriate training must be undertaken to ensure managers are coaches on careers.

### **Step 4: Actual EDB succession planning process:**

1. Follow steps 1-4 above to prepare for succession planning.
2. All candidates will need to fill out our Career Development forms.
3. Managers fill out their Performance Appraisals.
4. Each member present their succession plans for their position (may also do it for next level).
5. Review/critique plan/candidate by entire EDB.
6. EDB make decisions/recommendations on each plan/candidate's development.
7. HR representative take good notes/summarize discussion for future use.
8. HR Rep issue confidential minutes.
9. Each member provides feedback to candidate/personnel as appropriate for their development.
10. Each member take specific action as directed by EDB with HR assistance.
11. EDB follow-up semiannually as to results achieved by each member and their candidates.
12. EDBs update succession plans yearly.
13. EDBs implement plans as appropriate succession needs arise.
14. HR Rep provides linkage/input to other EDBs as appropriate to ensure interdepartmental/cross-functional considerations are a part of all EDB decisions (eliminate stove pipe careers).

## The Employee Development Committee (EDC) “Our Commitment to Our Employees”

### What’s the purpose of the Employee Development Committee (EDC)?

It serves as a forum to carry our employee stewardship responsibilities. We realize that our success and profitability come from the strength and capabilities of *all* of our employees.

This committee’s only purpose is to discuss and decide on human resources issues, policies and programs so that we can continue to “grow” the talent we have in the organization and make ICA a great company in which to work, learn and develop.

This EDC provides a direct link to the Personnel Committee of the Board of Directors, ensuring that sound investment in our human resources remains a corporate priority.

### What are the goals of the EDC?

Simply stated, the goals of the EDC are to effectively carry out the following ICA Management Principles:

3. Achieve and reward outstanding performance.
4. Also confront and correct poor performance.
5. Use human and financial resources wisely in support of the corporate direction.
9. Involve our employees by providing opportunities to contribute.
10. Develop productive employees. Delegate, train and motivate employees to their maximum potential.

### The EDC philosophy sounds good. But how will this translate into action?

Some of the employee benefit programs and development concepts that have come out of EDC meetings include:

- Shared Savings Plan – 401 (k)
- Employee banking program enhancements
- Employee Pension & Benefits program changes/enhancements
- Performance management system and the rewards for performance concept
- Team and individual non-financial rewards, recognition and incentives
- Merit increase programs and plans
- Career development and succession planning commencing with executive level assessment and slated to progress through the entire organization in later years
- Training and development program for managers/supervisors in:
  - Performance Planning & Review
  - Goal Setting
  - Coaching & Counseling  
...to name a few

### Who is a member of the Employee Development Committee?

Chairman:  
President & CEO

Members:  
Exec. V.P., Retail Banking  
Senior V.P., Legal  
Exec. V.P., Administration  
Exec. V.P., Mortgage Banking  
Exec. V.P., Finance  
Exec. V.P., Corporate Information Systems

Secretary:  
Sr. V.P., Human Resources

This committee is supported by an implementation team from the following departments:

Benefits  
Communications  
Employee Relations  
Employment  
Training & Development

### When does the EDC meet?

Quarterly, or more often, if necessary.

### How do I find out what the committee is doing for us?

Primarily through articles in “Inside ICA” and other employee publications. We want to inform you on an on-going basis that much time, effort and attention is being spent on you – to help you develop and grow as you contribute to the success of the ICA team.

## **Executive/Employee Development Board**

**Instructions:** Establish an “Executive/Employee Development Board” (EDB) to manage the planning succession and development of the people in the organization to create “The People Edge.”

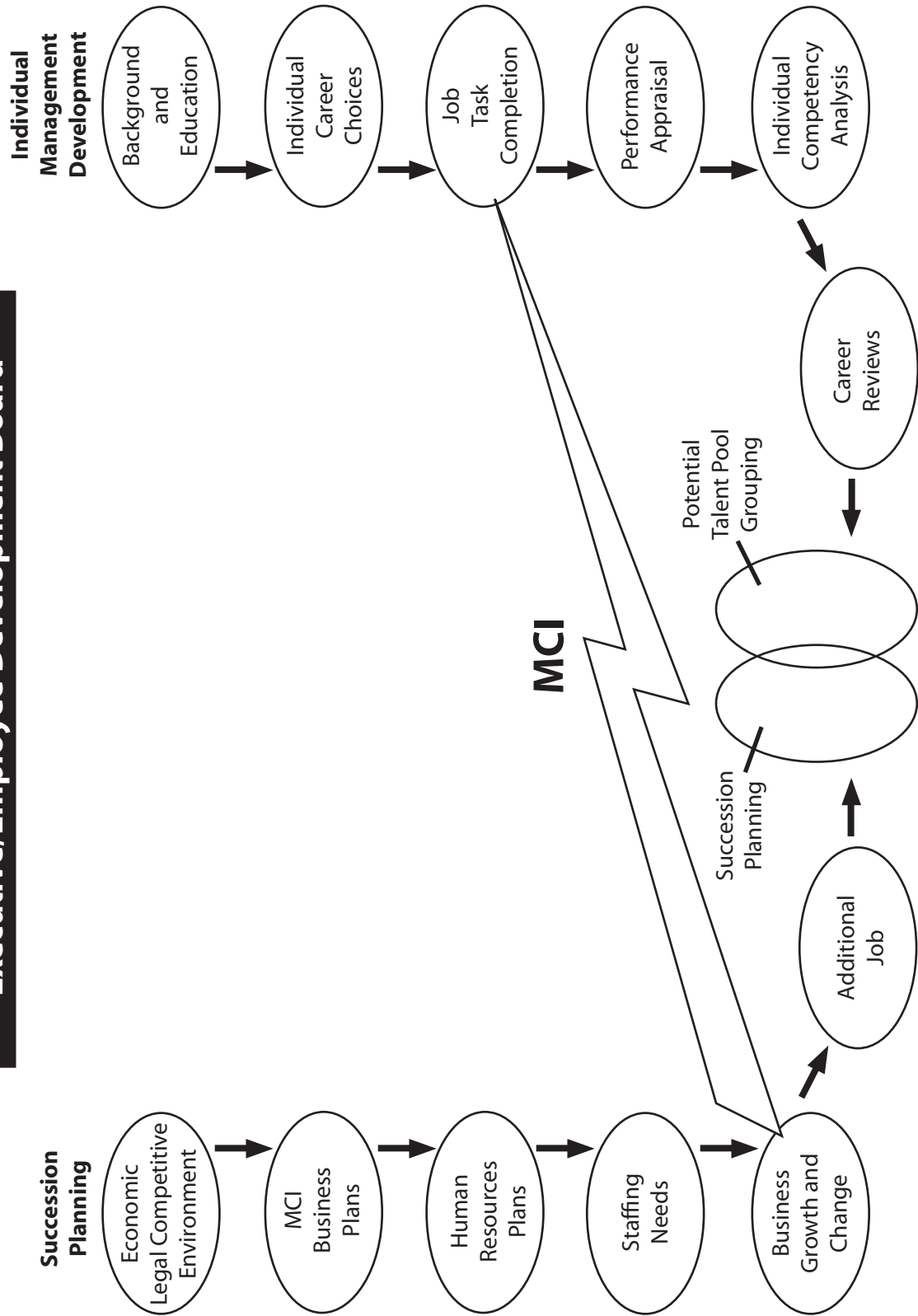
### **Establish an Executive/Employee Development Board (EDB)**

1. Purpose
2. Goals
3. Membership
4. Meeting Frequency
5. Communications Methods
6. Secretary/Assistant

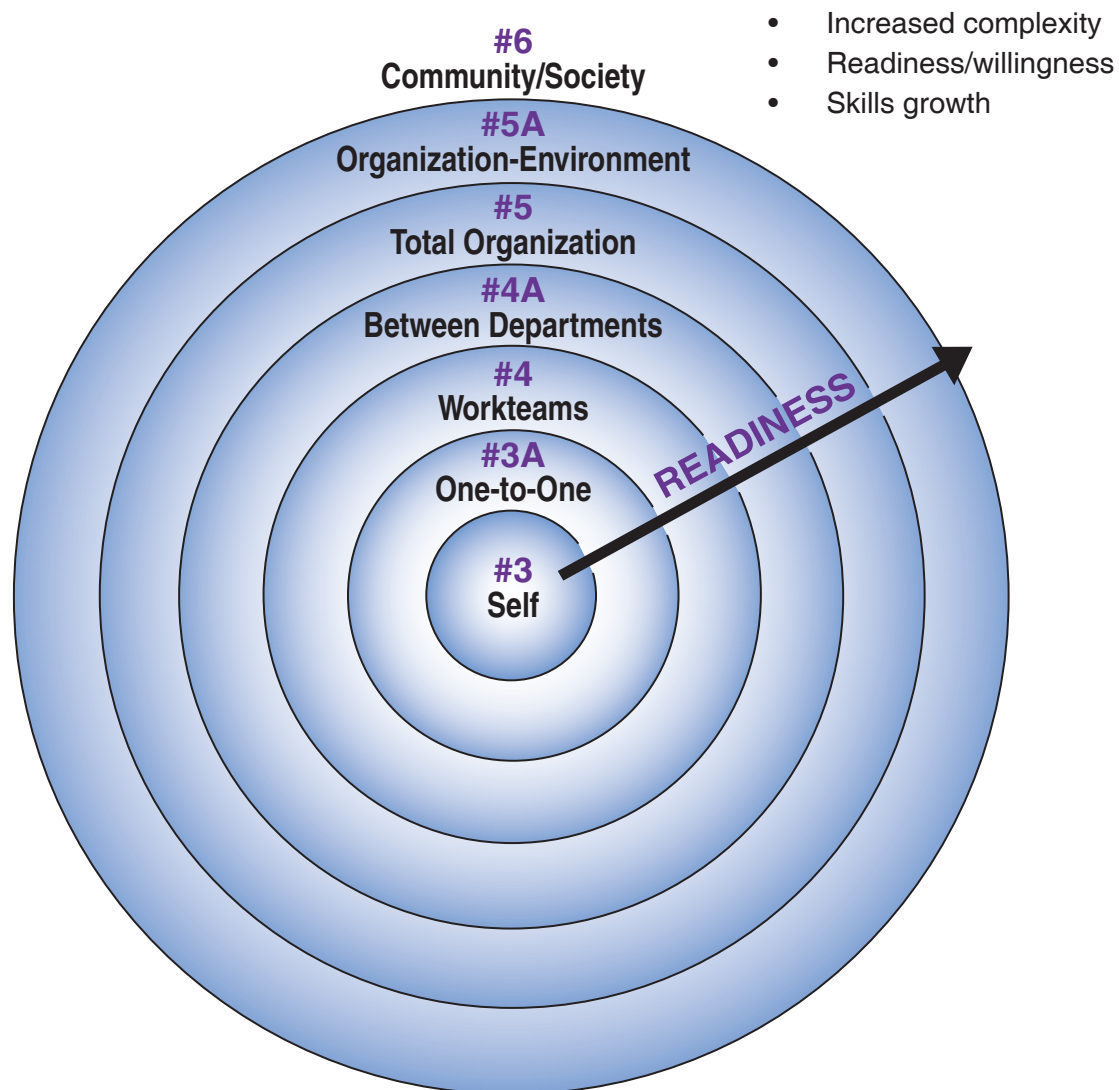
## Linking Individual Management Development MCD Succession Planning

– *through an* –

### Executive/Employee Development Board



## Six Best People Edge Practice Areas (Based on the Seven Levels of Living Systems)



Note: Rings 3-4-5 are 3 of the “7 Levels of Living Systems”  
Rings 3A-4A-5A are “Collisions of Systems” interacting with other systems

Source: Stephen G. Haines, 1980; updated 1988 and 1994



## Step 6: Six People Edge Best Practice Areas

**Best Practices Research:** Over 30 authors research (see HR bibliography)

Centre for Strategic Management	Key HR Authors
1. <b>Acquiring the Desired Work Force</b> (Level #1: Self)	1. 6 out of 8 had a similar item
2. <b>Engaging the Work Force</b> (Level #2: One-to-One)	2. 8 out of 8 had a similar item
3. <b>Organizing High Performance Teams</b> (Level #3: Teams)	3. 1 out of 8 had a similar item
4. <b>Creating a Learning Organization</b> (Level #4: Cross-Functional Teams)	4. 5 out of 8 had a similar item
5. <b>Facilitating Cultural Change</b> (Level #5: Organization-Wide)	5. 5 out of 8 had a similar item
6. <b>Collaborating With Stakeholders</b> (Level #6: Organization-Environment)	6. 5 out of 8 had a similar item

Note:

- None had all 6 competencies.
- Only 2 out of 8 even had any of the beginning elements of a systems oriented approach to strategic human resource management and planning

CSM does not do basic research. We do **action research** as well as summarize and synthesize the research of others. We are **translators and interpreters**.

## People Management Strategies

*Instructions:* Based on your assessment using our People Best Practices - Organizational Assessment, list below the key areas where your organization needs to place greater attention in creating attunement with its people management strategies.

**Area 1**     *Acquiring the Desired Workforce*

**Area 2**     *Engaging the Workforce*

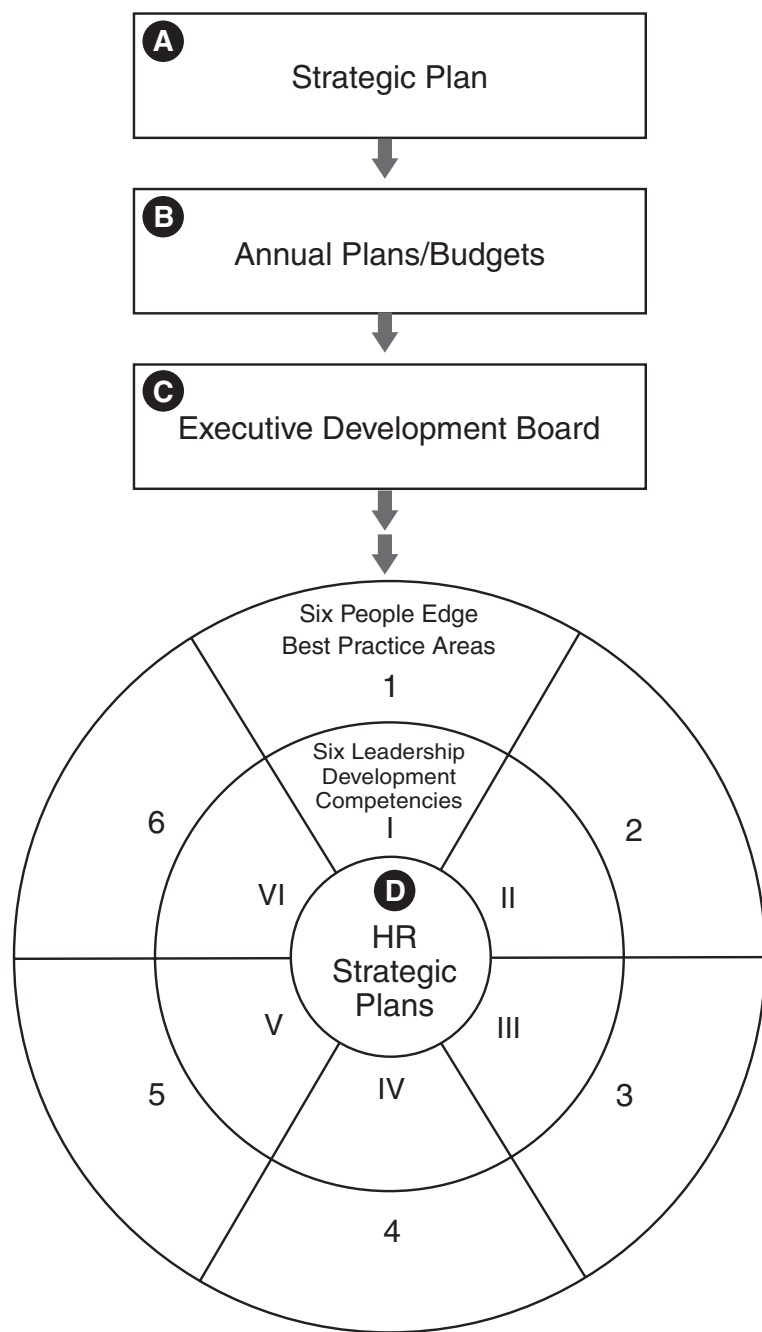
**Area 3**     *Organizing High Performance Teams*

**Area 4**     *Building a Learning Organization*

**Area 5**     *Facilitating Cultural Change*

**Area 6**     *Collaboration With Stakeholders*

## Creating the People Edge™ — Overview —



CPE Overview.eps

### People Edge Best Practices

#### 1. Acquiring the Desired Workforce

- Core Competencies
- Workforce Planning
- Succession Planning
- Career Development
- Recruitment, Hiring, Selection

#### 2. Engaging the Workforce

- Performance Management System
- Rewards & Recognition

#### 3. Organizing High Performance Teams

- Developing Teams
- Developing Empowered/Involved Employees
- Developing Small Unit Leadership

#### 4. Creating a Learning Organization

- Spreading Learning
- Institutionalizing Systems Thinking
- Encourage Creativity

#### 5. Facilitating Cultural Change

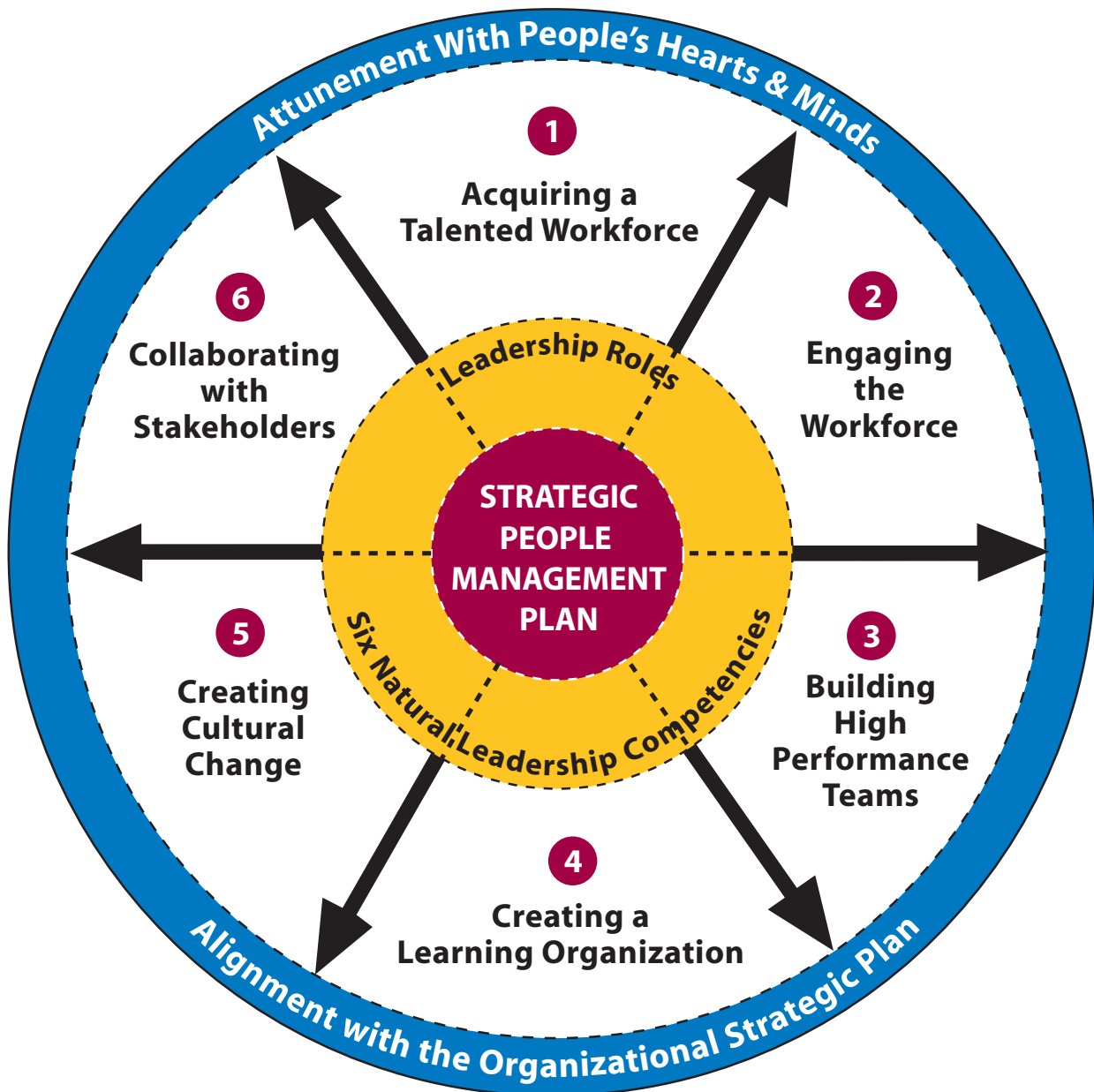
- Developing the Desired Organizational Culture

#### 6. Collaborating With Stakeholders

- Positive People Environment

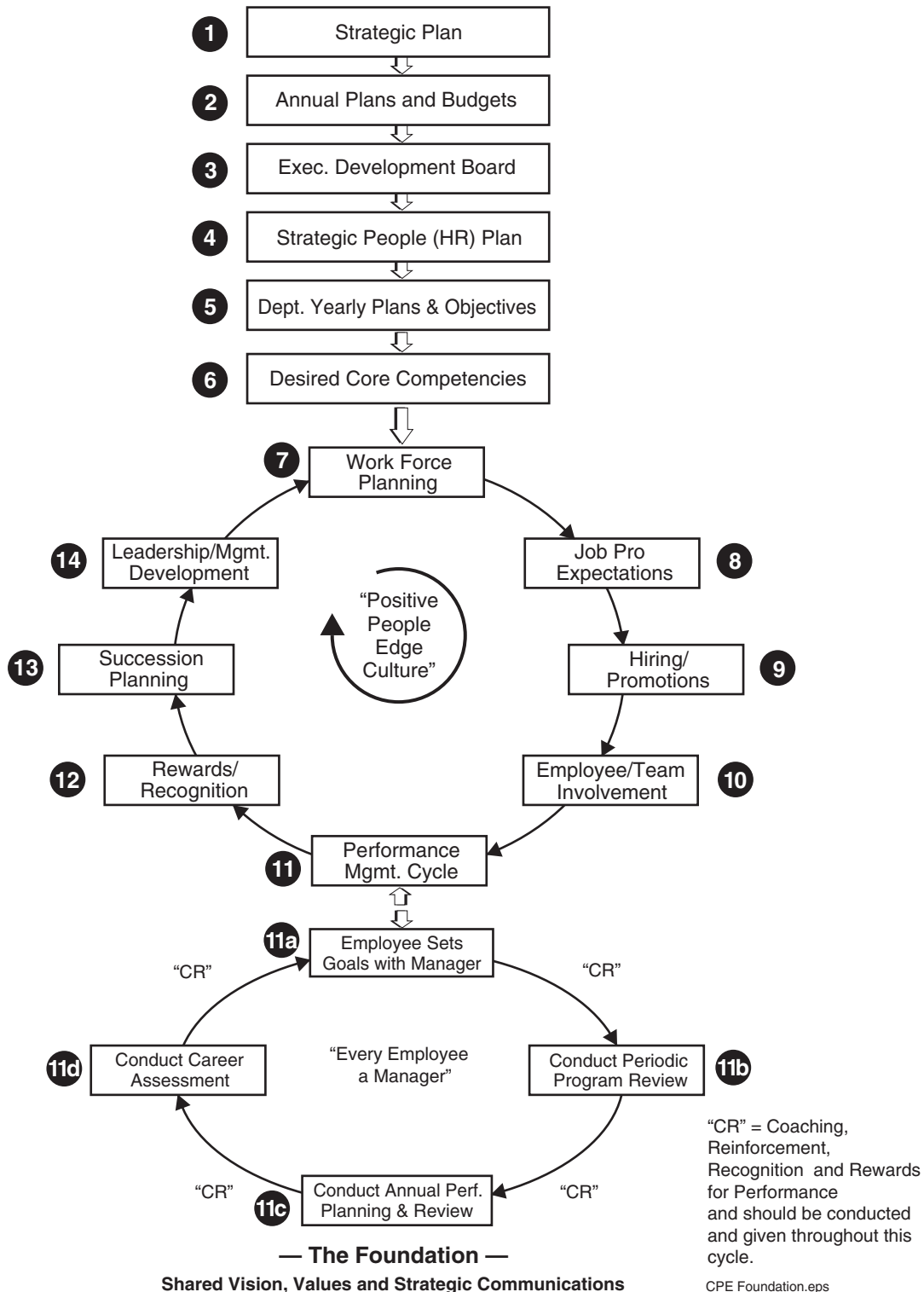
# HUMAN RESOURCES BEST PRACTICES

THE SYSTEMS THINKING APPROACH™ TO **SIX** HR BEST PRACTICE AREAS



## Creating the People Edge™

### A Multi-Year and Multi-Phase Change Process



## Human Resources Best People Practices



### ***Creating the People Edge™ Based on:***

1. *The Systems Thinking Approach™ to the Six Natural Levels of Best People Practice Areas.*
2. *Research of over 30 of the best authors in HR Management.*

### **Instructions:**

1. Please fill out the attached assessment of your organization. Do not ponder over the questions, but answer with your first instinct. Fill out both questions (#1 and #2) on the next pages for each Best Practice Area before going on to the next one.
2. In selecting each answer, list the extent to which the Best Practices is important to your organization's future business performance and the extent your organization has a current level of performance/skill in utilizing this Best Practice Area.



Organization evaluated by:

---

Instructions: #1 How **important to your organization** are these best people practices? Circle the number that applies.  
 #2 What is **my organization's current performance** in these best people practices? Circle the number that applies

#### BEST PEOPLE PRACTICES

#1 Business Importance					#2 Current Performance						
Not Relevant	Not Important	Some Importance	Very Important	Critical	Comments	Poor	Below Average	Average	Above Average	Out-standing	Comments

#### I. The Throughput Processes: People Edge Best Practice Areas

##### Area #1—Acquiring the Desired Workforce

1. Identifying <b>core organizational competencies</b> and individual capability requirements.	1	2	3	4	5		1	2	3	4	5	
2. Developing <b>alternative workforce arrangements</b> (diverse, flexible, safe).	1	2	3	4	5		1	2	3	4	5	
3. Conducting <b>workforce</b> , succession and retention <b>planning</b> .	1	2	3	4	5		1	2	3	4	5	
4. Installing <b>career development</b> programs that assist employees in managing their own careers and lives.	1	2	3	4	5		1	5	3	4	5	
5. Implementing <b>recruitment</b> , selection and hiring methods to assimilate the desired employees.	1	2	3	4	5		1	2	3	4	5	
AREA #1 AVERAGE (total score / 5) =							AREA #1 AVERAGE (total score / 5) =					

##### Area #2—Engaging the Workforce

6. Installing <b>Performance Management Systems</b> that align individual and team behavior with strategic direction and core values.	1	2	3	4	5		1	2	3	4	5	
7. Linking <b>compensation systems</b> to individual performance.	1	2	3	4	5		1	2	3	4	5	
8. Creating <b>recognition systems</b> that reinforce strategic direction and core values.	1	2	3	4	5		1	2	3	4	5	
9. Providing <b>flexible benefit programs</b> to meet changing employee and employer needs.	1	2	3	4	5		1	2	3	4	5	
10. <b>Dealing effectively with poor</b> or inadequate <b>performance</b> /discipline problems and grievances.	1	2	3	4	5		1	2	3	4	5	
AREA #2 AVERAGE (total score / 5) =							AREA #2 AVERAGE (total score / 5) =					

BEST PEOPLE PRACTICES	#1 Business Importance					#2 Current Performance						
	Not Relevant	Not Important	Some Importance	Very Important	Critical	Comments	Poor	Below Average	Average	Above Average	Out-standing	Comments
I. The Throughput Processes: People Edge Best Practice Areas (continued)												
Area #3—Organizing High Performance Teams												
11. Understanding, designing and developing teams, task forces and team skills.	1	2	3	4	5		1	2	3	4	5	
12. Developing small unit team leaders/supervisors.	1	2	3	4	5		1	2	3	4	5	
13. Developing empowered, self-directed work teams and accountability.	1	2	3	4	5		1	2	3	4	5	
14. Establishing participative management skills for management to lead teams in conducting operations.	1	2	3	4	5		1	2	3	4	5	
15. Developing programs that reward and reinforce teamwork.	1	2	3	4	5		1	2	3	4	5	
Area #3 AVERAGE (total score / 5) =							Area #3 AVERAGE (total score / 5) =					
Area #4—Creating a Learning Organization												
16. Developing and sharing learning across the organization.	1	2	3	4	5		1	2	3	4	5	
17. Institutionalizing Systems Thinking as the new approach to a better way of thinking, understanding and behaving.	1	2	3	4	5		1	2	3	4	5	
18. Developing Human Resource measurements and information to help the sharing of learning.	1	2	3	4	5		1	2	3	4	5	
19. Promoting the value of debriefing and learning from our experiences, mistakes and successes.	1	2	3	4	5		1	2	3	4	5	
20. Creating ways to encourage creative thinking and innovation.	1	2	3	4	5		1	2	3	4	5	
Area #4 AVERAGE (total score / 5) =							Area #4 AVERAGE (total score / 5) =					



BEST PEOPLE PRACTICES	#1 Business Importance					#2 Current Performance						
	Not Relevant	Not Important	Some Importance	Very Important	Critical	Comments	Poor	Below Average	Average	Above Average	Out-standing	Comments
I. The Throughput Processes: People Edge Best Practice Areas (continued)												
Area #5—Facilitating Cultural Change												
21. Engaging in a continuous process of communications and dialogue to deepen shared understanding of the organization's vision and <b>desired culture</b> .	1	2	3	4	5		1	2	3	4	5	
22. Shaping & developing the <b>collective management skills</b> in support of the desired culture.	1	2	3	4	5		1	2	3	4	5	
23. Aligning <b>all Human Resource processes</b> , programs and systems with the core values and strategic direction.	1	2	3	4	5		1	2	3	4	5	
24. Designing <b>structures</b> and management roles needed to facilitate desired change to the desired culture.	1	2	3	4	5		1	2	3	4	5	
25. <b>Developing change experts</b> and the capabilities of all employees to support and implement the desired organizational changes.	1	2	3	4	5		1	2	3	4	5	
	AREA #5 AVERAGE (total score / 5) =						AREA #5 AVERAGE (total score / 5) =					
Area #6—Collaborating with Stakeholders												
26. Developing the knowledge, awareness and <b>skills</b> of employees to <b>operate in a global environment</b> .	1	2	3	4	5		1	2	3	4	5	
27. Developing and <b>maintaining strategic alliances</b> and networks.	1	2	3	4	5		1	2	3	4	5	
28. Maintaining the <b>positive people environment</b> and competitive advantage in the marketplace	1	2	3	4	5		1	2	3	4	5	
29. Creating an <b>intense customer focus</b> and commitment by all employees	1	2	3	4	5		1	2	3	4	5	
30. <b>Contributing to society</b> , including customers, shareholders, community, cultures and countries	1	2	3	4	5		1	2	3	4	5	
	AREA #6 AVERAGE (total score / 5) =						AREA #6 AVERAGE (total score / 5) =					

BEST PEOPLE PRACTICES

II. More Inputs: Leadership Roles and Six Leadership Development Competencies

31. <b>Defining roles</b> in leveraging People as a Competitive Advantage (management, staff and human resources.)	1	2	3	4	5			1	2	3	4	5
32. <b>Installing a Strategic Leadership Development System</b> with an Executive or Employee Development Board.	1	2	3	4	5			1	2	3	4	5
33. <b>Developing Leadership Competencies/skills.</b>	1	2	3	4	5			1	2	3	4	5
34. <b>Partnering</b> between staff, management, customer and Human Resources.	1	2	3	4	5			1	2	3	4	5
35. Integrating Human Resource processes with the <b>Strategic Plan.</b>	1	2	3	4	5			1	2	3	4	5
36. <b>Repeatedly articulating</b> the strategic direction and core values to everyone.	1	2	3	4	5			1	2	3	4	5
II. MORE INPUTS AVERAGE (total score / 6) =							II. MORE INPUTS AVERAGE (total score / 6) =					

III. The Fundamental Core Input: Strategic People/HR Planning

37. Developing a Strategic People/HR Plan to position the organization's People practices to add value to employees, customers, shareholders and the community.	1	2	3	4	5			1	2	3	4	5
III. CORE INPUT AVERAGE =								III. CORE INPUT AVERAGE =				

IV. The Outer Circle: Outcomes and Results

38. <b>Alignment with the Corporate Strategic Plan</b> —need for the entire organization to have people-related values and vision.	1	2	3	4	5			1	2	3	4	5
39. <b>Attunement with People's Hearts and Minds</b> —so their hearts and minds are fully invested/motivated in their work.	1	2	3	4	5			1	2	3	4	5
40. <b>Number One Core Competency</b> —how close are we to <b>Creating People as a Competitive Advantage</b> through increasing the range and depth of our <b>leadership competencies</b> (and associated skills) by each of our collective first line, middle and sr. mgmt. members.	1	2	3	4	5			1	2	3	4	5
IV. THE OUTER CIRCLE AVERAGE (total score / 3) =								IV. THE OUTER CIRCLE AVERAGE (total score / 3) =				

## Human Resources Best People Practices Scoring Sheet

### SCORING

#### Best Practice Areas

- #1: Acquiring the Desired Workforce
- #2: Engaging the Workforce
- #3: Organizing High Performance Teams
- #4: Creating a Learning Organization
- #5: Facilitating Cultural Change
- #6: Collaborating with Stakeholders

- I. People Management Best Practices (Q's 1-30)
- II. Leadership Roles & Competencies (Q's 31-36)
- III. Strategic Human Resource Planning (Q 37)
- IV. Outcomes and Results (Q's 38-40)
- V. Best HR Practices (Q's 1-40)

#1 Business Importance		#2 Current Performance	
Average Score	Relative Ranking (1 = high, 6 = low)	Average Score	Relative Ranking (1 = high, 6 = low)

Total Score	Average	Total Score	Average
/ 30 =		/ 30 =	
/ 6 =		/ 6 =	
/ 1 =		/ 1 =	
/ 3 =		/ 3 =	
/ 40 =		/ 40 =	

Circle your organization's importance:  
(200 possible)

- A. 161-200
- B. 131-160
- C. 110-130
- D. 80-109
- E. 40-79

Critical

Very Important

Some Importance

Not Important

Not Relevant

Circle your organization's current performance:  
(200 possible)

A. 161-200

B. 131-160

C. 110-130

D. 80-109

E. 40-79

Critical

Very Important

Some Importance

Not Important

Not Relevant

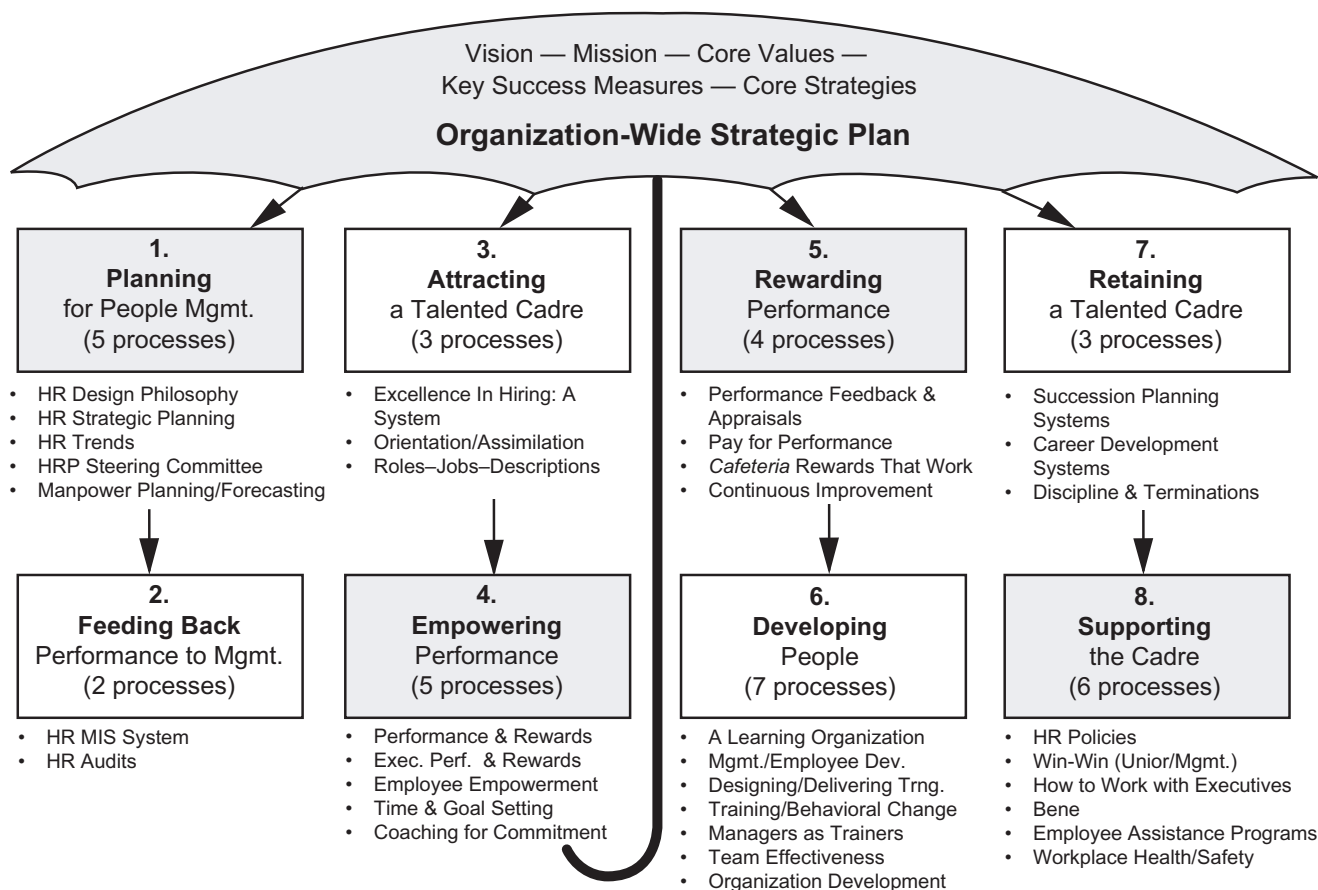
### ACTION PLANNING

Which People Management Practices Need Most Improvement?	Priority Order?	Who Is Lead?	Time Frame?
1.			
2.			
3.			
4.			
5.			
6.			

## Strategic Human Resource Management (HRM) Systems Model

### 8 Areas and 35 Key HRM Processes to Creating High Performance Organizations

Goal #3: To ensure people are a *competitive business advantage*



# Human Resource Management Processes

## How Skilled in All Areas of HR Are You?

Instructions: Fill out the status of your skill in HRM process today (1) to (10).

Processes	Current State Self-Assessment										Score
	(1)	(5)				(10)					
	Reactive Orgn -Survival Only	2	3	4	5	6	7	8	9	10	
<b>#1 Planning</b>											<b>#1 Planning</b>
1. Organization's HR Design Philosophy Clear	(1)	2	3	4	(5)	6	7	8	9	(10)	Total Score: _____/5 = _____ (average)
2. HR Strategic Planning	(1)	2	3	4	(5)	6	7	8	9	(10)	
3. HR Trends: Year 2000 Clear	(1)	2	3	4	(5)	6	7	8	9	(10)	
4. HRP Steering Committee Established	(1)	2	3	4	(5)	6	7	8	9	(10)	
5. Manpower Planning & Forecasting Completed	(1)	2	3	4	(5)	6	7	8	9	(10)	
<b>#2 Feeding Back</b>											<b>#2 Feeding Back</b>
6. HR MIS System in Place	(1)	2	3	4	(5)	6	7	8	9	(10)	Total Score: _____/2 = _____ (average)
7. HR Audits Done Regularly	(1)	2	3	4	(5)	6	7	8	9	(10)	
<b>#3 Attracting</b>											<b>#3 Attracting</b>
8. Excellence in Hiring: A System in Place	(1)	2	3	4	(5)	6	7	8	9	(10)	Total Score: _____/3 = _____ (average)
9. Smart Start (Orientation/Assimilation) Done	(1)	2	3	4	(5)	6	7	8	9	(10)	
10. Roles — Jobs — Descriptions Clear	(1)	2	3	4	(5)	6	7	8	9	(10)	
<b>#4 Empowering</b>											<b>#4 Empowering</b>
11. 1990s Performance & Rewards System in Place	(1)	2	3	4	(5)	6	7	8	9	(10)	Total Score: _____/5 = _____ (average)
12. Exec. Performance & Rewards System in Place	(1)	2	3	4	(5)	6	7	8	9	(10)	
13. Employee Empwrmt & Performance Allowed	(1)	2	3	4	(5)	6	7	8	9	(10)	
14. Practical Time & Goal Setting Tools Used	(1)	2	3	4	(5)	6	7	8	9	(10)	
15. Coaching for Commitment & Results Used	(1)	2	3	4	(5)	6	7	8	9	(10)	

*continued*

## Human Resource Management Processes

Processes Continued	Current State Self-Assessment					Score
	(1)	(5)			(10)	
		–Reactive Orgn –Survival Only	–Responsible Orgn –Traditional Control		–1990s High Performing Orgn –Proactive Empowerment	
<b>#5 Rewarding</b>						
16. Performance Feedback & Appraisals Required	(1) 2	3	4	6	7 8 9	<b>#5 Rewarding</b> Total Score: _____/4 = _____ (average)
17. Pay for Performance: Failures/Solutions Found	(1) 2	3	4	(5) 6	7 8 9	
18. "Cafeteria" Rewards That Work Established	(1) 2	3	4	(5) 6	7 8 9	
19. Continuous Improvement/Suggestions Rewarded	(1) 2	3	4	(5) 6	7 8 9	
<b>#6 Developing</b>						
20. A Learning Organization Created	(1) 2	3	4	(5) 6	7 8 9	<b>#6 Developing</b> Total Score: _____/7 = _____ (average)
21. Management/Employee Development System Exist	(1) 2	3	4	(5) 6	7 8 9	
22. Designing & Delivering Training (Adult Learning)	(1) 2	3	4	(5) 6	7 8 9	
23. Training/Behavioral Change Reinforced	(1) 2	3	4	(5) 6	7 8 9	
24. Managers as Trainers: A How To Guide Established	(1) 2	3	4	(5) 6	7 8 9	<b>#7 Retaining</b> Total Score: _____/3 = _____ (average)
25. Team Building and Effectiveness	(1) 2	3	4	(5) 6	7 8 9	
26. Organization Design and Development	(1) 2	3	4	(5) 6	7 8 9	
<b>#7 Retaining</b>						
27. Succession Planning Systems Institutionalized	(1) 2	3	4	(5) 6	7 8 9	<b>#8 Supporting</b> Total Score: _____/6 = _____ (average) <b>Grand Total:</b> <b>(350 possible) /35 =</b> _____ (average)
28. Career Development Systems Institutionalized	(1) 2	3	4	(5) 6	7 8 9	
29. Progressive Discipline & Terminations Effective	(1) 2	3	4	(5) 6	7 8 9	
<b>#8 Supporting</b>						
30. HR Policies (Supporting Service vs. Control)	(1) 2	3	4	(5) 6	7 8 9	<b>#8 Supporting</b> Total Score: _____/6 = _____ (average) <b>Grand Total:</b> <b>(350 possible) /35 =</b> _____ (average)
31. Win—Win (Union/Management) Relationship	(1) 2	3	4	(5) 6	7 8 9	
32. How to Work With Senior Executives Clear	(1) 2	3	4	(5) 6	7 8 9	
33. Benefits as Supportive	(1) 2	3	4	(5) 6	7 8 9	
34. Employee Assistance Programs Established	(1) 2	3	4	(5) 6	7 8 9	<b>#8 Supporting</b> Total Score: _____/6 = _____ (average) <b>Grand Total:</b> <b>(350 possible) /35 =</b> _____ (average)
35. Workplace Health/Safety	(1) 2	3	4	(5) 6	7 8 9	

# Strategic Human Resource Management Systems

*Instructions:* List your top three strengths and weaknesses.

Strengths	Weaknesses
1.	1.
2.	2.
3.	3.

What actions do I need to take to improve?

Actions	By When?	Involve Who?

## Section X

### Systems Thinking Applications and Techniques

- *Knee-Jerk Techniques*
- *Change Impact Exercise - Action Planning*
- *Booster Shots and Feedback*
- *Growth/Certification in Your Career*

#### Standard “Knee-Jerk” Simplistic Implementation Techniques

#### Quick Fixes That Fail: The Analytic Approach

**Question: Which do you do? Check the #.**

1. \_\_\_\_\_ Form a team or committee; hold a meeting.
2. \_\_\_\_\_ Set up a suggestion/recognition system.
3. \_\_\_\_\_ Set up a training program(s).
4. \_\_\_\_\_ Improve communications—videos, policy, newsletter, memos.
5. \_\_\_\_\_ Define a Vision, Mission, and Values.
6. \_\_\_\_\_ Improve our performance appraisal form.
7. \_\_\_\_\_ Empower people.
8. \_\_\_\_\_ Hire a staff expert/delegate it (i.e., HR, QC, T/D, MIS, Planning).
9. \_\_\_\_\_ Hold a yearly retreat.
10. \_\_\_\_\_ Problem solve it one issue at a time.
11. \_\_\_\_\_ Cut costs across the board.
12. \_\_\_\_\_ Have a hiring freeze.
13. \_\_\_\_\_ Hold someone accountable; punish or terminate him or her.
14. \_\_\_\_\_ Set up a merit increase, “pay-for-performance” program.
15. \_\_\_\_\_ Have a flurry of activity (but short-lived).

\_\_\_\_\_ **Total Points**

**What Else?**

16. \_\_\_\_\_
17. \_\_\_\_\_
18. \_\_\_\_\_
19. \_\_\_\_\_
20. \_\_\_\_\_



## Analytic vs. Systems Thinking

(Strategic Consistency yet Operational Flexibility)

(Outside—In—Outside Again: Both Are Then Useful)



**Success Key: Organizational Systems Fit, Alignment, and Integrity**

<b>Analytic Thinking (Analysis of Today)</b>	<b>vs.</b>	<b>Systems Thinking (Synthesis for the Future)</b>
1. We/they	vs.	1. Customers/stakeholders
2. Independent	vs.	2. Interdependent
3. Activities/tasks/means	and	3. Outcomes/ends
4. Problem-solving	and	4. Solution seeking
5. Today is fine	vs.	5. Shared vision of future
6. Units/departments	and	6. Total organization
7. Silo mentality	vs.	7. Cross-functional teamwork
8. Closed environment	vs.	8. Openness and feedback
9. Department goals	and	9. Shared core strategies
10. Strategic Planning project	vs.	10. Strategic Management System
11. Hierarchy and controls	and	11. Serve the customer
12. Not my job	vs.	12. Communications and collaboration
13. Isolated change	vs.	13. Systemic change
14. Linear/begin-end	vs.	14. Circular/repeat cycles
15. Little picture/view	vs.	15. Big picture/holistic perspective
16. Short-term	and	16. Long-term
17. Separate issues	vs.	17. Related issues
18. Symptoms	and	18. Root causes
19. Isolated events	and	19. Patterns/trends
20. Activities/actions	and	20. Clear outcome expectations
<b>Sum: Parts are Primary (goals/values)</b>	<b>vs.</b>	<b>Whole is Primary</b>



**Using “Analytic Approaches to Systems Problems”**

### Systems vs. Analytic Thinking

*In Systems Thinking* —the whole is primary and the parts are secondary  
vs.

*In Analytic Thinking*—the parts are primary and the whole is secondary.

## **“Top 10” Clues to Analytic Thinking**

**You know you are in the presence of *analytic thinking* when:**

1. A lack of *clear purposes or outcomes* is missing from the discussions.
2. People are asking or debating “*artificial either/or*” questions.
3. Discussions are about the “*one best way*” to do something without asking those closest to the issue for their solutions (“people support what they help create”).
4. Discussions are focused on a direct “*cause and effect*” without considering circular causality or environmental factors.
5. *Simplistic knee-jerk solutions and quick fixes* are being suggested without digging for the multiple root causes.
6. Issues and projects are being separated into silo discussions instead of *looking for the relatedness, the impact and the integration* of them with other parts of the organization.
7. Discussions are activity-oriented without *Clarity of Purpose*.
8. *An early project activity is an assessment* of the situation (SWOT?) instead of first starting with a future environmental scan and desired outcomes.
9. Decisions are being made without first exploring their *Unintended Consequences*.
10. *Feedback and openness are being sacrificed* in the name of politeness and fragile egos (“skeptics are my best friends”).
11. The complexity of the discussions, terminology and proposed solutions are such that they will die of their own weight (simplicity wins the game every time).

**Simplicity and Systems Thinking Win The Game Every Time!**

## Raise Your Strategic I.Q.™ 50 Points

Living systems concepts  
are the way the world naturally operates.

**AND**

To know them makes life easier.

**SO**

Learn these concepts

**AND**

Raise your Strategic I.Q.™ 50 points.

## Don't Live in An Analytic Prison

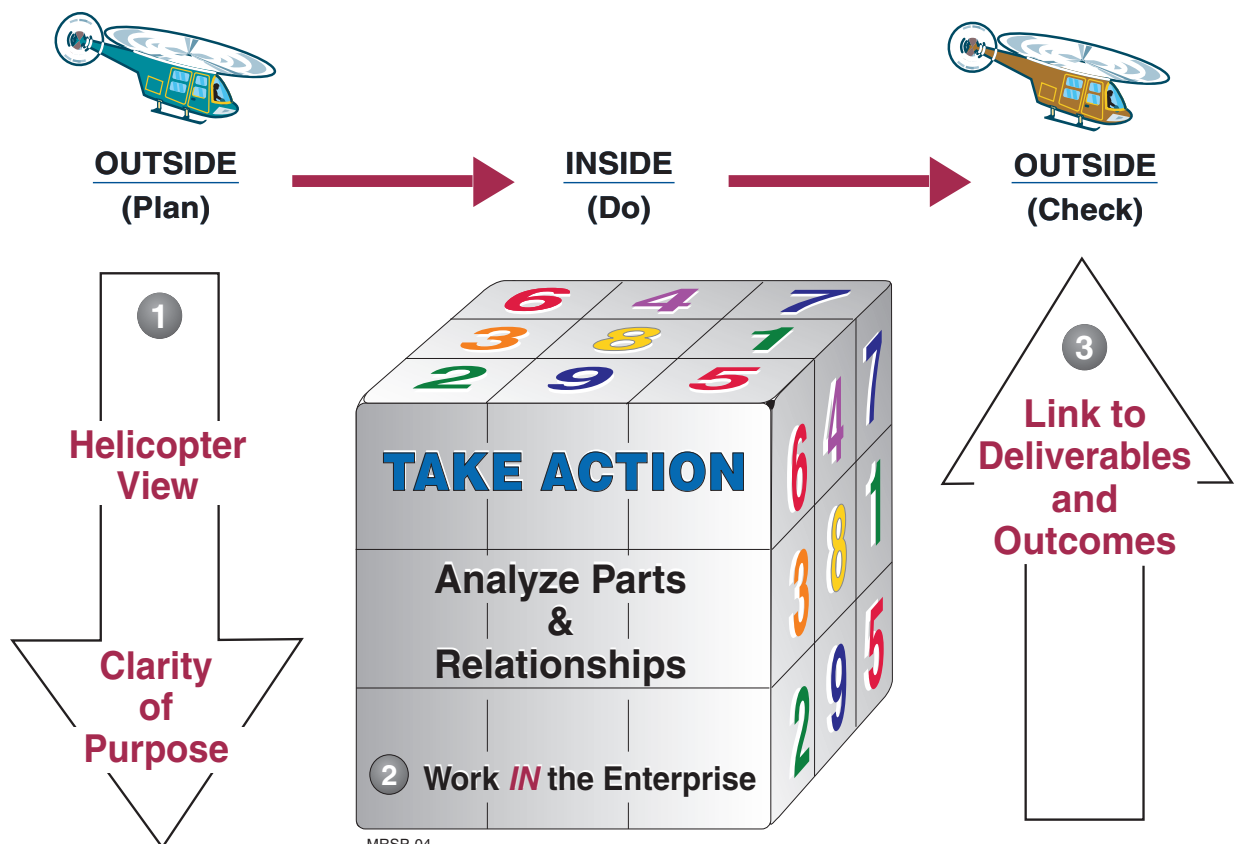
"We live and work in an analytic prison. Working hard within this prison produces nothing. We cannot remodel the prison, we must get out of it.

To do this, a transformation is required. Cooperation between people, companies, government, countries. There will be joy in working. Everyone will win."

– Dr. W. Edwards Deming, April 21, 1992  
presentation, *The New Economics*

## Work *ON* the Enterprise First – Three Steps –

### SYSTEMS and ANALYTIC THINKING



**1 Work *ON* the Enterprise**

**3 Check *ON* the Enterprise**

**2 Work *IN* the Enterprise**

### Backwards Thinking

“Life can only be understood backwards,  
but must be lived forwards.”

— Soren Kierkegaard  
famous 19th century Danish philosopher

# Change Impact Exercise

## Creating a High-Performance Organization

(Using the A-B-C-D-E Phases and the "Business Excellence Architecture" Model)

What components of your organization will/should be impacted by the change/strategy you propose?

Which change/strategy recommendations?:

Which Components are Impacted and How?	Action Needed/Implications
<p><b>Phase <span style="border: 1px solid black; padding: 0 2px;">E</span> Environment</b></p> <p>1. _____ Environmental Scanning System</p> <p>2. _____ Key Environmental Stakeholders</p> <p>(List): _____</p>	
<p><b>Future Environmental Trends/Scan:</b></p> <p>3. _____ S = Socio-demographics</p> <p>4. _____ K = Competition</p> <p>5. _____ E = Economics</p> <p>6. _____ E = Natural Environment</p> <p>7. _____ P = Political/Regulatory</p> <p>8. _____ T = Technology</p> <p>9. _____ I = Industry</p> <p>10. _____ C = Customers</p>	
<p><b>Phase <span style="border: 1px solid black; padding: 0 2px;">A</span></b></p> <p><b>Module #8—Creating Customer Value (Quadruple Bottom Line):</b></p> <p>1. _____ Customer Satisfaction</p> <p>2. _____ Employee Satisfaction</p> <p>3. _____ Shareholder Satisfaction</p> <p>4. _____ Community Satisfaction</p> <p><b>Customer Positioning Choices:</b></p> <p>5. _____ Quality Services</p> <p>6. _____ Quality Products</p> <p>7. _____ Customer Service (Feelings)</p> <p>8. _____ Customer Choices</p> <p>9. _____ Lower Cost Products/Services</p> <p>10. _____ Speed/Responsiveness/Convenience</p>	

continued

## Change Impact Exercise

Which Components are Impacted and How?	Action Needed/Implications?
<p><b>Module #2—Reinventing Strategic Planning:</b></p> <ol style="list-style-type: none"> <li>1. _____ Vision</li> <li>2. _____ Mission</li> <li>3. _____ Organizational Values</li> <li>4. _____ Organizational Positioning</li> <li>5. _____ Organizational Identity/Image (Brand)</li> <li>6. _____ Strategic Business Units</li> <li>7. _____ Annual Operating Priorities</li> <li>8. _____ Annual Department Plans</li> <li>9. _____ Operating Budgets</li> <li>10. _____ Capital Budgets</li> <li>11. _____ Financing/Banks/Investors</li> <li>12. _____ Annual Strategic Review (and Update)</li> </ol>	
<p><b>Phase <span style="border: 1px solid black; padding: 0 2px;">B</span></b></p> <ol style="list-style-type: none"> <li>13. _____ Key Success Measures— Outcome Measures (List): _____ _____ _____</li> <li>14. _____ Cascade of Metrics to all Management Levels</li> </ol>	
<p><b>Phase <span style="border: 1px solid black; padding: 0 2px;">C</span></b></p> <ol style="list-style-type: none"> <li>15. _____ Other Core Strategies (List): _____ _____ _____ _____</li> </ol>	

*continued*

## Change Impact Exercise

Which Components are Impacted and How?	Action Needed/Implications?
<p><b>Phase <span style="border: 1px solid black; padding: 0 2px;">D</span></b></p> <p><b>Module #1—Culture of Performance Excellence:</b></p> <p><b>The Foundation:</b></p> <p>16. _____ Systems Thinking Language/Skills</p> <p>17. _____ Organization as a Learning Organization</p> <p>18. _____ Innovation and Creativity Language/Skills</p> <p>19. _____ Adult Learning Theory (Experiential Learning)</p> <p>20. _____ Group Facilitation</p> <p>21. _____ Fact-based Decision-making</p> <p><b>Module #3—Leading Strategic Change:</b></p> <p>22. _____ Change Management Structures</p> <p>23. _____ Team Development</p> <p>24. _____ Strategic Business Design</p> <p>25. _____ Strategic Communication Processes</p> <p>26. _____ Empowerment</p> <p>27. _____ Key Internal Stakeholders (List):</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>28. _____ Change Management Plans/Processes</p> <p><b>Module #4—Attunement with People's Hearts:</b></p> <p>29. _____ Job Design/Definition</p> <p>30. _____ Staffing Levels (Recruitment/Downsizing/Selection)</p> <p>31. _____ Performance Appraisal</p> <p>32. _____ Rewards System (Pay/Non-Pay)</p>	<div style="height: 100px;"></div> <div style="height: 100px;"></div> <div style="height: 100px;"></div>

## Booster Shots and Feedback

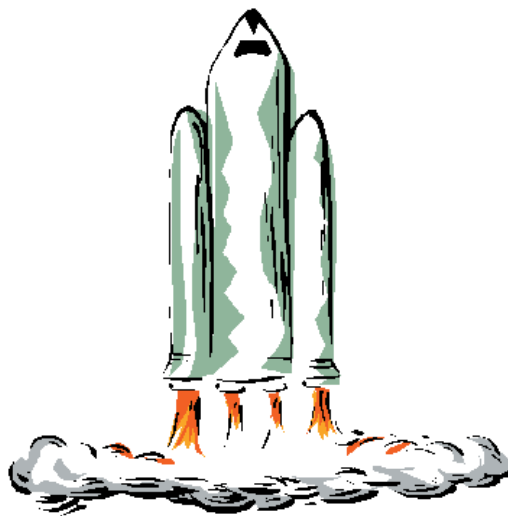
### Definitions:

#### **SYN-ER-GY: Must be fostered**

- The working together of two or more parts of any system to produce an effect greater than the sum of the individual effects.
- Increasing the outcome by working together in a particularly effective way.

#### **EN-TRO-PY: Must be reversed**

- A measure of the amount of energy unavailable for work on a system.
- A tendency for any system to run down and eventually become inert.



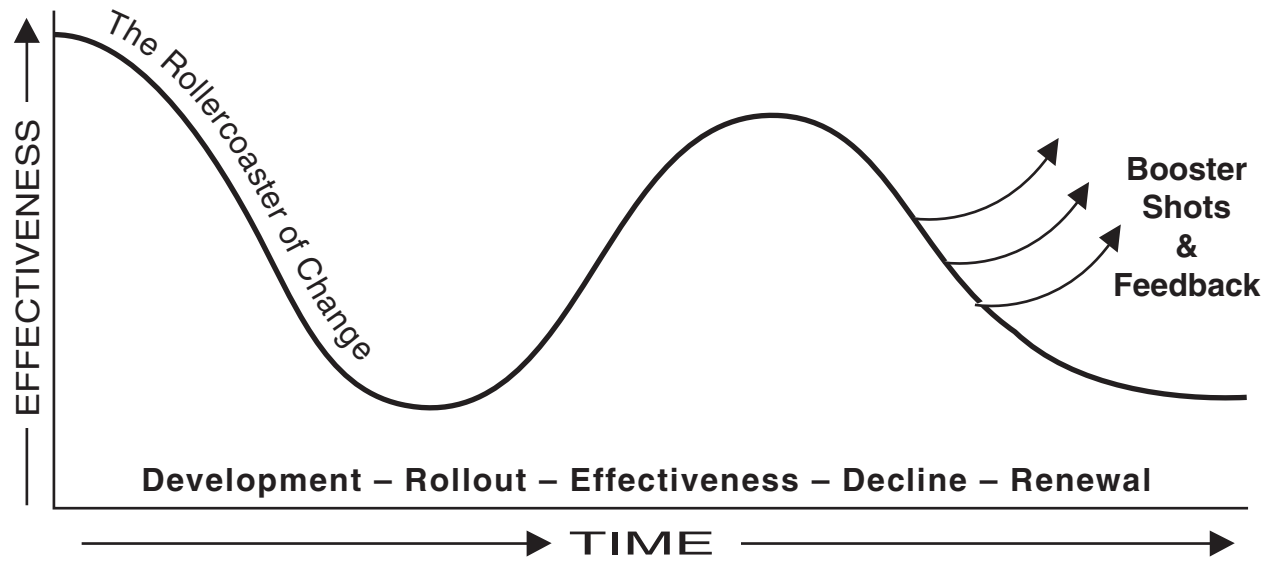
#### **Booster Rockets**

"Booster Shots" are required for the Space Shuttle to reach orbit.



## Entropy: “Buy-In” and “Stay-In” “Booster Shots” and Feedback are Key

A tendency for any system to run down  
and eventually become INERT



booster shots-feedback.eps

### ***System Maintenance***

Any system requires continual attention, booster shots, stop check, etc. (i.e., neg-entropy) in order to be effective over time.

***Reverse the Entropy – Give Booster Shots!***

## Organization Renewal Program

*(Regain the Synergy)*

**Instructions:** During the second year of Enterprise-Wide Change implementation, each organization needs to set up a specific “**Organization Renewal Program**” to counter the natural forces of entropy and incremental degradation.

### Entropy

All business problems  
conform to the laws of inertia  
—the longer you wait,  
the harder the problem is to correct.

### Incremental Degradation...

is the main barrier to achieving  
the “fit” of all organization  
processes and actions  
with the  
espoused corporate values/vision.

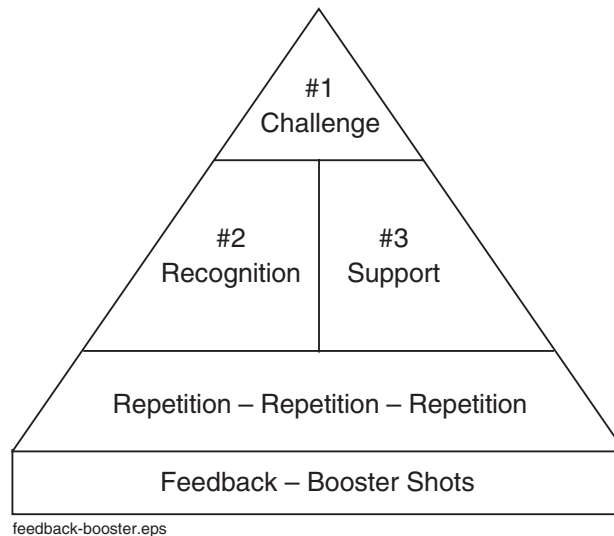
## Signs of Organizational Entropy

From: *New Management* by Max DePree, CEO, Herman Miller

- A tendency toward superficiality.
- A dark tension among key people.
- No longer have time for celebration and ritual.
- A recurring effort by some to convince others that business is, after all, quite simple. The acceptance of complexity and ambiguity and the ability to deal with them constructively is essential.
- When problem-makers outnumber problem-solvers.
- When folks confuse heroes with celebrities.
- When leaders seek to control rather than liberate.
- When the pressure of day-to-day operations pushes aside our concern for vision and risk.
- An orientation toward the dry rules of business school rather than a value orientation which takes into account such things as contribution, spirit, excellence, beauty, and joy.
- When people speak of customers as impositions on their time rather than as opportunities to serve.
- When manuals grow in size.
- When leaders rely on structures instead of people.
- When a loss of grace and style and civility occurs.
- When a loss of respect for the English language occurs.

## **Reinforcement Systems**

***“Feedback is the Breakfast of Champions”***  
***To Sustain New Behaviors***



### ***Management as a Profession***

1. Resource library, newsletter
2. Subscriptions:
  - Newsletters
  - Executive book summary
3. Visual reinforcement symbols (walls, conference rooms, plastic cards)
  - Slogans
  - Concepts
  - Models
  - Key points
4. Management networks (just like professional associations)
  - Buddy systems
  - Breakfast management association
  - Bag lunches, films
5. Celebrations of successes, events – regarding learnings
6. Skills assessment, development planning (use of assessment tools, surveys)
7. Performance system, accountability
8. Weekly – monthly – quarterly review meetings, mini meetings

## Reinforcement System Example

### **Eight Points:**

1. Once per month each of the 12 teams will hold team meetings to reexamine their “living agreements” (i.e., continue, more of, less of).
2. Once per quarter hold organization-wide meetings to problem solve key issues and to review the organization’s direction and values.
3. Conduct a “52-week” training reinforcement program of the initial training (i.e., 30 minutes per week).
  - The general design is:
    1. Key concept with model/quotes.
    2. 5 key points.
    3. 2-3 questions on application of the concept.
  - The program is conducted by line management (coordinators, advisors, and managers) but is managed by the team trainers.
4. Posters for the top 10-15 team training models and quotes will be made up and posted throughout the facilities.
5. A “visual control board” to track the status of 1-4 above will be posted and maintained by training.
6. Buddy system, lunches, etc.
7. Small groups, teams teach, review each section:  
i.e., - what’s working.  
- what’s not working.
8. Free floating agenda – built at meeting.

## Business “Survival Skill”

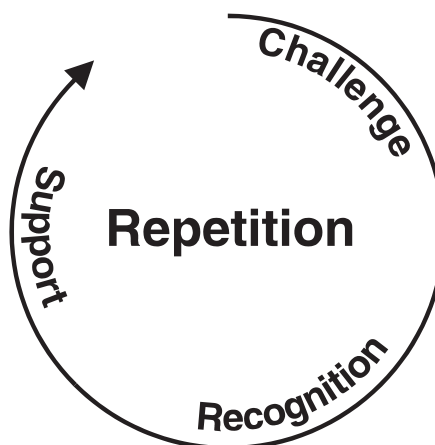
***“Feedback is the Breakfast of Champions”***

***Feedback is a gift; allow others to give it to you!***

*Question:* Where do you get “feedback” today?

- It is the skill of being open and receptive to...and even encouraging feedback from:
  - \_\_\_\_\_ All your customers,
  - \_\_\_\_\_ All your employees,
  - \_\_\_\_\_ All your direct reports and peers,
  - \_\_\_\_\_ And anyone who can help you to learn and grow, as a person and human being, as a professional, as a leader of your organization,
- Why is this important?
- How do you develop self-mastery (i.e., the external *style* and *inner psyche* to genuinely encourage others to help you with this *gift* of feedback, even when it *hurts*)?

### Reinforcement/Feedback Systems To Sustain New Behaviors



## Consensus on Feedback

1. “Feedback is the breakfast of champions.”
2. Feedback is descriptive, not evaluative (if possible).
3. Even constructive feedback can be painful.  
“Growth is painful.”
4. Am I expanding my range of information about myself?  
– or – Am I defending myself and my ego (and limiting my feedback)?–i.e.  
*Do I want to be right or effective?*  
*Which is it?*
5. So, are we willing to talk about the “pink elephant” in the middle of the room?  
–i.e. *“Be honest and straight forward.”*
6. If we “value” feedback, then it guides our behavior by processing each session at the end and giving each of us feedback.–i.e.
  1. Have an observer for our meeting/or each person assigned to observe another, or have “Feedback Roll-Up” sheets for us to give everyone feedback:
    - What did “X” do well today?
    - Where could “X” improve their interpersonal/team skills based on today’s behavior?

### Practice and Feedback

For decades, great athletic teams have harbored one simple secret that only a few select business teams have discovered, and it is this:  
to play and win together, you must practice together.

– Lewis Edwards

(and get brutally honest feedback on your practice/performance)

– Stephen Haines

## **Summary: Key Ways to View Change (And How to Fit/Integrate Them Together)**

### **I. 6 Levels of Change (Where)**

- |                 |                              |
|-----------------|------------------------------|
| 1. Individual   | 1A. One-On-One               |
| 2. Team         | 2A. Cross-Functional         |
| 3. Organization | 3A. Organization-Environment |

### **II. Content (What)**

- **Change Management:**

- Alignment*

- 1. Organization Redesign
  - 2. Resource Allocation
  - 3. Business Process Improvement
  - 4. Technology
  - 5. Enterprise-wide
  - 6. Customer-focused/Service
  - 7. Strategic Marketing/Sales
  - 8. Quality Products/Services

- Attunement*

- 1. Strategic Communications
  - 2. Leadership Development
  - 3. Strategic HR Management
  - 4. Employee Involvement
  - 5. Teamwork – Everywhere
  - 6. Cultural Change

- **Vital Few Leverage Points**

- 1. Quality/Service – Positioning
  - 2. Leadership
  - 3. Systems/Processes
  - 4. Organization Design/Structure – Watertight Integrity

### **III. Psychological (How)**

- 1. Rational – logic
  - 2. Political – mental
  - 3. Cultural – emotional

### **IV. Framework for Change**

- 1. Pace of Change
  - 2. Degree of Change
  - 3. Breadth of Change

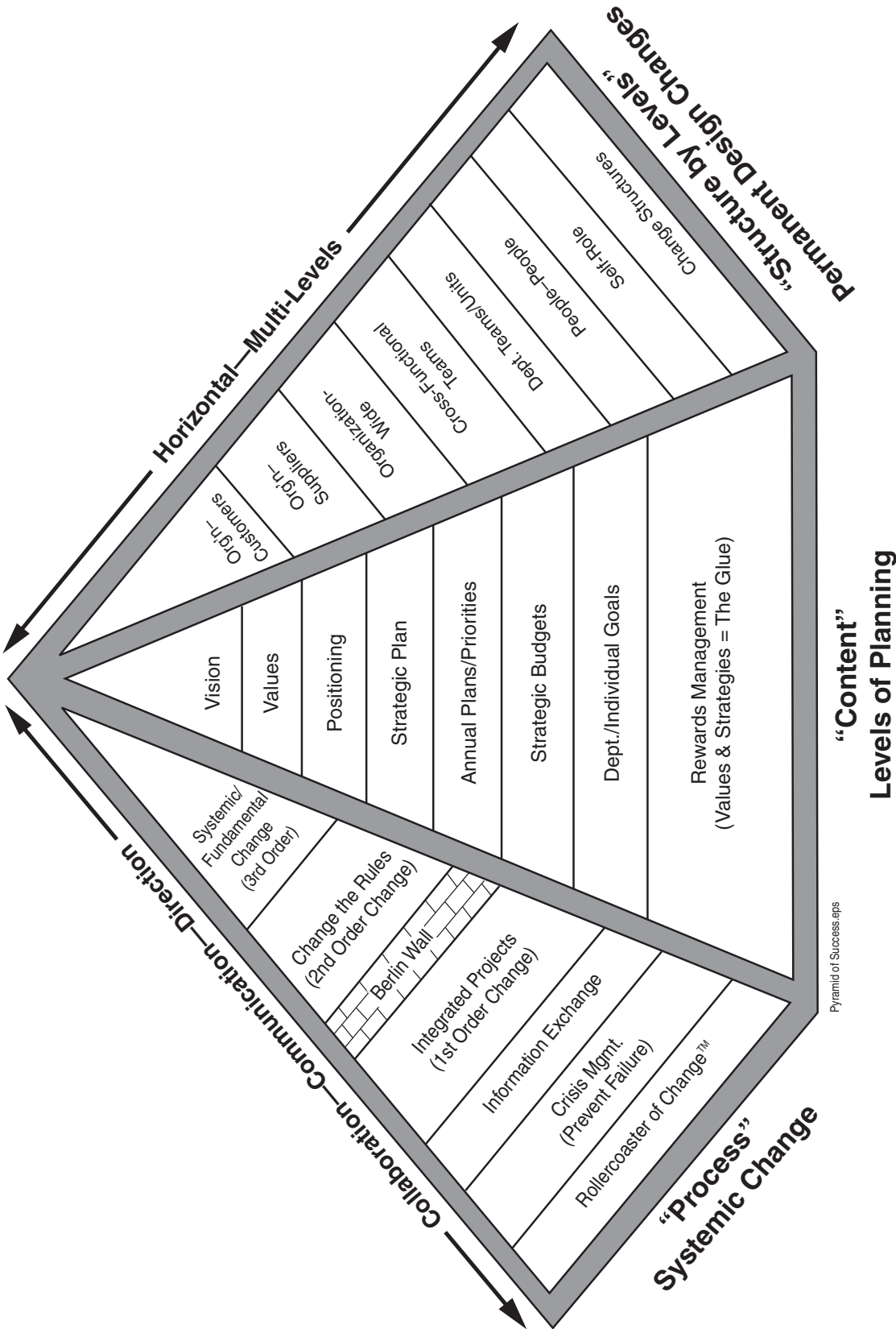
### **IV. Kinds of Change**

- 1. Evolutionary
  - 2. Transitional
  - 3. Transformational



THE PYRAMID OF SUCCESS

Content—Process—Structure



Pyramid of Success.aps

## Summary: Management of Changes — New Language

### I. Terms

1. Backwards thinking/begin with the end in mind
2. Clear organization model
3. Environmental scan/analysis
4. No pain, no gain
5. “Old culture dies hard”
6. “Get outside the 9 Dots/Box”
7. “Fit” with other components
8. Two full-time jobs: managing the day-to-day; managing change
9. Old state – transition state – new state
10. “Letting go” of the old state
11. “Informal organization is the key”
12. “Strategies and core values as the glue”
13. Rewards for new behavior
14. Three types of change: evolutionary, transitional, transformational

### II. Needed for Each Change to be Successful

1. Change management strategy and structure
2. Clear and agreed upon future vision of new state
3. Change coordinator or manager
4. Master work plan/yearly map
5. Periodic evaluations and meetings
6. Unfreeze – change – refreeze phases all paid attention to
7. Commitment plans developed for key players
8. Rewards changed to reinforce strategies/values
9. Feedback – constant feedback
10. Leadership – shared leadership

### III. Four Steps in Stress of Change (Rollercoaster of Change)

1. Shock/Impact
2. Depression/Emotion  
– PLUS – Persevere & Hang-in Between Steps 2–3
3. Adjustment/Hope
4. Reconstruction/Rebuilding  
and the key point of “hanging in” at the bottom (2–3) when things look their worst

### THREE TASKS OF CHANGE

1. Motivating change (Culture) – Emotional
2. Managing change (Rational) – Physical
3. Managing the political dynamics (Political – Mental)

### CORE CHANGE AGENT GOALS FOR CLIENTS (by Chris Argyris)

1. Valid information
2. Informed choice
3. Internal commitment – *Who is the client?*

## 10 Secrets to Success

**Investor's Business Daily** has spent years analyzing leaders and successful people in all walks of life. Most have 10 traits that, when combined, can turn dreams into reality.

### 10 Success Traits

- #1. **How you think is everything:** Always be positive. Think success, not failure. Beware of a negative environment.
- #2. **Decide upon your true dreams and goals:** Write down your specific goals and develop a plan to reach them.
- #3. **Take action:** Goals are nothing without action. Don't be afraid to get started now. Just do it.
- #4. **Never stop learning:** Go back to school or read books. Get training and acquire skills.
- #5. **Be persistent and work hard:** Success is a marathon, not a sprint. Never give up.
- #6. **Learn to analyze details:** Get all the facts, all the input. Learn from your mistakes.
- #7. **Focus your time and money:** Don't let other people or things distract you.
- #8. **Don't be afraid to innovate:** Be different. Following the herd is a sure way to mediocrity.
- #9. **Deal and communicate with people effectively:** No person is an island. Learn to understand and motivate others.
- #10. **Be honest and dependable; take responsibility:** Otherwise, numbers 1-9 won't matter.

## **Employees Learn What They Live**

If an employee lives with fear, he learns to avoid risk taking.

If an employee lives with deceit, she learns to stretch the truth.

If an employee lives with small expectations, he learns to have a limited scope.

If an employee lives with a heavy hand, she learns to beat the system.

If an employee lives with ridicule, he learns to keep his ideas to himself.

If an employee lives with formality, she learns how to be a bureaucrat.

If an employee lives with mistrust, he learns to be suspicious.

If an employee lives with hostility, she learns how to fight.

If an employee lives with indifference, he learns not to care.

If an employee lives with appreciation, she learns to make an extra effort.

If an employee lives with leadership, he learns how to take initiative.

If an employee lives with openness, she learns how to be honest.

If an employee lives with experimentation, he learns how to be innovative.

If an employee lives with clear values, she learns how to set priorities.

If an employee lives with customer respect, he learns how to provide outstanding service.

If an employee lives with encouragement, she learns to be confident.

If an employee lives with positive visions, he learns how to perform miracles.

If an employee lives with challenge, she learns how to master change.

*Jim Clemmer, in "The V. I. P. Strategy," 1988.*

*Inspired by Dorothy Law Nolte's poem "Children Learn What They Live".*

**What we think, or  
What we know, or  
What we believe**

**Is, in the end,  
of little consequence.**

**The only consequence ...**

**...is what we do.**

# Mastery of Systems Thinking and Reinventing Strategic Management (Planning, People, Leadership and Change)

Seminars / Consulting

## The Progression



1. Do a Strategic Life Plan
2. Learning/Education and Self-Study
  - 2a. Attend Strategic Planning/Strategic Change Workshops
  - 2b. Attend Strategic Planning/Strategic Change Train the Trainer Workshops
  - 2c. Learn to conduct the Strategic Planning/Strategic Change Workshops
    - Trainee/Intern
    - Co-Facilitator
    - Check Ride
    - Solo
3. Experiences – “Consultants Learn Best By Doing”
  - In your own organization
  - Do it for an association/or a small not-for-profit
  - Do it for a small company
  - Do it for a company in an industry I know
  - Do it for a government organization

-or- Intern as a #2 to Steve Haines/Jim McKinlay along the way
4. Graduate to Full Mastery
  - Private sector
  - Larger organization
  - Variety of industries

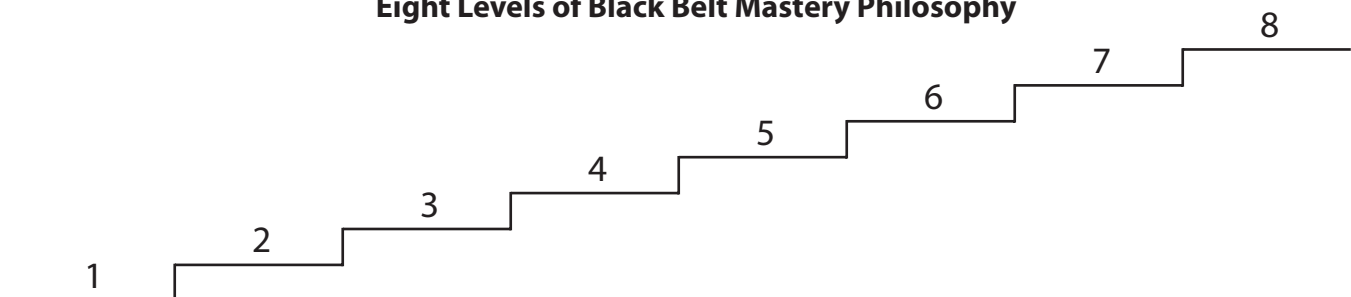
## **Go for the Experience**

### **10 Steps to Self-Development and Mastery**

#### **CSM Specialist in Strategic Management (Certified Business Partners)** **(vs. “the Great Pretender” – John Ash)**

1. Do a Strategic Life Plan - Yourself / Family
2. Do Strategic Planning for your business and practice
3. Do a Marketing and Sales Plan for your business
4. Attend all three Strategic Managing workshops (SP - EWC - SST)
5. Attend all three Strategic Managing Certifications (get below the surface)
6. Do a Strategic Plan for 2 - 3 associations or very small firms
7. Do lots of Executive Briefings and talks (1 hour to half a day) – Free is just good marketing
- 8. Progress up the ladder to become a public workshop lead facilitator:**
  1. Attend workshop
  2. Observer - take detailed notes
  3. Rookie - #3 facilitator
  4. Qualified #2 facilitator
  5. “Check Ride” - solo lead
  6. Fully qualified lead facilitator
- 9. Make institutionalizing a “Strategic Management System” as the primary aim of your personal practice - 5 Phases:**
  1. Executive Briefing / Plan-to-Plan
  2. Strategic Planning / Annual Planning
  3. Executive Briefing / Plan-to-Implement
  4. Enterprise-Wide Change
  5. Annual Strategic Review and Update: Build an “Annuity Practice” - year after year

#### **Eight Levels of Black Belt Mastery Philosophy**





## **How to Work With Executives** **Another in the Pearls of Wisdom Series**

Dear Colleague,

I sincerely hope that you have found the ideas and learnings in this book useful and helpful.

If there are any additional techniques, concepts, or wisdom you'd like to see in a future edition, please feel free to email them to me and we can include your cited "Pearl of Wisdom" in this "How to Work With Executives" book.

Any feedback, positive or negative, about these "Pearls" is always appreciated. I really do believe that *"skeptics are my best friends"*, and I'm always looking for new friends.

Warmly,

Stephen G. Haines  
stephen@hainescentre.com

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