MINISTRY OF DEFENCE

Facilitation Pack

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WESSEX
TRAINING
Experience Creative
Routes to Change

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Facilitation Process

Contracting

The contract with the sponsor

- Provide the client with a sense of control
    - Manage the client's role
    - Create an agenda together
- Do not hide potential dangers of participative methods
    - Encourage the client to be 'human' during the workshop
    - Accept that past decisions will be criticized
    - Check the client's intention to implement the resultant actions
    - Watch for difficult issues that may emerge
- Provide information about the benefits and losses from increased participation
- Ensure a match between task, facilitator skill and the organisational setting
- Gain familiarity with the organisation
    - Become familiar with the jargon
    - Understand the management style of the client

Beginning the Session

- Introduce yourself and give a brief personal background
- Clarify the role you'll be playing as the facilitator
- Clarify the roles to be played by any other members
- Go around the room and have members introduce themselves by name and perhaps position, especially if there are people present who don't know each other
- Conduct a warm-up activity to relax the group. Make sure this fits with the time available and activity focus
- Review any data collected from members. Have key points written on flip chart paper or on overheads. Answer questions
- Clarify the goal and the specific objectives for the session
- Review the agenda and invite comments. Make any changes
- Specify time frames. Appoint a timekeeper. Make sure there is true acceptance of the agenda
- Take care of all housekeeping items
- Establish the ground rules
- Set up a parking sheet to keep track of digressions for later review
- Proceed to the first item on the agenda. Make sure everyone is clear about what's about to be discussed
- Explain the *process*, or how you'll be handling this agenda item
- Be sure that the time frame for the first item is set. Have a timekeeper and a minute taker on hand
- Get on with the discussion

Facilitation Process

The facilitation process normally starts long before you enter the workshop and finishes some time after. The following is the 'six-step' process.

Step 1 - Preparation
Step 2 - Contracting
Step 3 - Beginning the Session
Step 4 - Purpose Clarification and Problem Resolution (During the Workshop)
Step 5 - Ending the Session
Step 6 - Follow-Up

Preparation

The participants

- Membership of the workshop groups
- Consider group size in relation to the type of participants
- Consider group size in relation to the task
- Account for possible behaviours - do a stakeholder analysis

Planning the workshop

- Location - off-site is better to avoid disruptions
- Avoiding interruptions - arrange for messages to be held until break
- A different milieu - make it different to focus attention
- Refreshments - arrange for something before the workshop

Room design

- Illumination - is it adequate?
- Wall space - you will need lots to hang flip-charts
- Seating - is it comfortable? Will everyone have enough space?
- Technology - has it been tested?
- Lunch - arrange for it to be taken outside the main workshop room.

The Facilitator

A facilitator is a person who has a role to enable other people to operate effectively in a group in order to arrive at a mutually satisfactory conclusion.

The job of the facilitator is to make it easy for others to conduct their business. The facilitator is essentially focused on enabling others to provide the best and most relevant contributions to the topic in hand and on ensuring an appropriate outcome. The facilitator ensures that group members use the most effective methods to accomplish tasks efficiently with adequate time to consider ideas and alternatives.

Responsibilities of a Facilitator

- remain neutral on content
- draw out participation
- ensure balanced participation
- encourage dialogue among participants
- provide structure and processes for group work
- listen actively and ask others to do the same
- encourage different points of view
- record, organise and summarise input from group members
- move group through stages of group decision making and concensus
- encourage the group to evaluate its own progress and development
- capitalise on differences among group members for the common good
- protect group members and their ideas from attack or from being ignored
- emphasise that the group is a reservoir of knowledge, experience and creativity and use facilitation skills to tap this resource

- Roll or large sheets of white paper
- 'Plastic' paper
- Masking tape
- Flip chart paper
- Portable easel
- Felt tip marker pens for flip charts
- Marking pens for white boards
- Rubber bands
- Paper clips
- Glue sticks
- Blu-Tac
- Push pins
- Scissors
- Pens, pencils
- Note pads
- Transparent tape
- Small stapler
- Pencil erasers
- Several pads of Post-It notes
- Address labels
- Watch or clock
- A supply of 3" x 5" cards
- Blank transparency paper for overhead projectors
- Pens for writing on transparency paper
- Portable printer and photocopier
- Plastic crates to carry everything
- Notes from a previous meeting or workshop
- Your personal notes
- Miscellaneous briefcase supplies, such as business cards, calendar/planner, calculator and important telephone numbers
- Tissues
- Breath mints
- Pain relievers (Paracetamol), antacid tablets
- Prepared material
- Backup equipment / spares
- Aid for facilitator - recorder or scribe
- Video backup
- Briefing packs
- List of ground rules (pre-printed?)

. . . and the person on my right is . . .

- The participants have 4 minutes to find out about the person seated on their right and 4 minutes to describe themselves to the person seated on their left.
- Typical information would be; their name, what they do in the organisation, how long they have been with the organisation and what they like to do in their spare time.
- The introductions now take place randomly with each person introducing the person on their right for 1 minute.

Alphabetic Introductions

- Each participant is asked to choose one letter of the alphabet.
- They are then given 5 minutes in which to list single words that describe themselves beginning only with that letter.
- They are then each given 1 minute to describe themselves to the group from their list of words.
- A variation is to use the letters of their first name as the first letters of the words that describe them.

Ego Ideal

- Ask the participants to think of their 'Ideal Person' or 'Role Model' - someone they either admire or who has inspired them in some way.
- After a minute or so to think about it, ask them what qualities they share or would like to share with their role model
- Invite them in turn to share this with the rest of the group.

Not Many People Know That . . .

- Ask the participants to write down on a piece of paper something that is unique about themselves (or, at least, something that the others in the group are unlikely to know about).
- Collect the slips of paper and type the information on to a PowerPoint slide. All the information will be anonymous. This is best done over a break or overnight.
- Display the information and have each person try to match the information with the people in the room. The facilitator should add something about themselves and perhaps also one or two red herrings.

You need to develop a set of ground rules to suit the issue under discussion, the participants and the situation. There are a number of ground rules that are important in many different facilitation situations and these are included in the list below.

Another important point is that the ground rules must be agreed up front by the meeting. This means more than merely having them displayed on a flip chart. It means asking the participants what they want as ground rules and what they will agree to abide by.

Typical ground rules:

- Agree not to interrupt each other or talk across each other
- Everyone's opinion is sought
- We seek to resolve differences of opinion.
- If we cannot resolve differences of opinion then we agree to all accept the majority view
- There is a secretary or note-taker for the meeting
- We stick to the agenda and other discussion are postponed until outside the meeting
- We stick to the timetable
- We share all the information we have on the subject
- If we cannot make a decision here we will arrange to meet again by agreement
- Once a decision is made we are all involved in carrying it through.
- All important points are recorded on the flip chart / white board
- The facilitator has the right to enforce the ground rules for the benefit of the meeting as a whole
- Anything we cannot resolve here, we take away and deal with.
- Encourage mutual respect
- Keep an open mind
- The 30 second rule - headline all points raised within 30 seconds
- The 2 minute rule - if a point requires elaboration then 2 minutes are allowed

Facilitation Process During the Workshop

General Considerations

- Encourage participants to contribute freely
- Check participation levels at all times
- Watch for non-verbals (body-language)
- Get participants to contribute early
- Help the group to concentrate on the task
- Ask 'obvious' questions
- Maintain high levels of energy and enthusiasm
- Make the workshops fun as well as productive
- Draw on the facilitator's own energy
- The use of humour
- Physiological low points - stop for a break or exercise
- Create a participative environment
- Make regular reviews of the material
- Show progress by reorganising flip charts
- Check the pace - ask participants how the pace is for them
- Provide the sponsor with the reassurance of control
- Make judicious use of sub-groups
- Use language carefully
- Set a positive tone
- Seek elaboration of cryptic statements
- Watch for too much facilitator control

Tools and techniques used within the workshop

There are generally three categories of techniques:

- Techniques to generate ideas
    - Brainstorming
    - Mind Mapping
    - Stepping Stone Solutions (Excursions)
- Techniques to select ideas / produce alternatives
    - Ishikawa Diagrams
    - Must have / nice to have
    - Force Field Analysis
- Techniques to evaluate ideas
    - Probability-Impact Grid
    - Plusses, Minuses and Interesting (PMI)

Facilitation Process
Ending the Session

One of the most common problems in any meeting is lack of closure. Lots of things get discussed, but there is no clear path forward. One of your key contributions is to ensure that decisions are arrived at and detailed action steps are in place before the group adjourns.

Here are some ways you can help a group bring effective closure to a meeting:

- Make clear statements about what has been decided and write these decisions on a flip chart
- Ensure that they've created detailed action plans with names, accountabilities and dates beside each step
- Round up items not discussed at the meeting, including those on the "parking lot" list, prioritise them, and create plans to deal with them in future
- Create an agenda for the next meeting
- Decide on a means for follow-up, either written reports or a group session
- Help members decide who will take all the flip chart sheets for transcribing
- Conduct a written evaluation of the session
- Solicit personal feedback from participants
- Allow members to express how they felt about the session
- Clarify your role in the follow-up process

Once the session is over, thank the participants for having you facilitate and help clean up.

The Teachers Pet

Impact:

- Spend more energy looking for approval from the facilitator than in focusing on the meeting.
- Supporting 'customer' and disagreeing with everything else
- Reduces breadth and creativity of discussion
- I mpact on impartiality

How to handle:

- YouIf they keep talking to you rather than the other participants then break eye contact and turn towards other in the group.
- They often ask you how the meeting is going. Reverse the situation by asking them how *they* think it is going. The success or failure of the meeting must be shared by all the participants.

Group Assessment Questions

When facilitating a new group perform a stakeholder analysis asking the following questions:

- What's the history of the group?
- How familiar are members with each other?
- Are there team norms or rules?
- Will everyone participate or will a few dominate?
- To what extent are members honest and open?
- Do members listen to and support each other's ideas?
- How does the group handle any conflicts?
- How are important decisions normally made?
- Do people leave meetings feeling like something has been achieved?
- How would you describe the group atmosphere?
- What's the best thing about the group? What's the worst?
- How do people feel about being part of this group?
- Are there any reasons why members might not be open and say what they really think?
- What's the worst thing that could happen at this meeting? What could be done to ensure that this doesn't happen?

The Backseat Driver

Impact:

- This person keeps telling you, the facilitator, what to do.
- Disruptive.
- Damage respect of facilitator.

How to handle:

- You may want to ask them to suggest a tool or technique which you can put to the rest of the group. If they concur then act on the suggestion. If they disagree then the argument is between the 'backseat driver' and the rest of the group.
- If the 'backseat driver' is particularly critical then politely point out that there are different styles of facilitation, there is no one 'right way', and that you would like their co-operation while you adopt your own approach.

The Busybody

Impact:

- This person is always taking phone calls, going in and out of the meeting, receiving messages or dealing with a 'crisis'. Also, they are often senior and feel they have a license to come and go as they please.

How to handle:

- Recommend an adjournment of the meeting until the 'busybody' can attend without interruption.
- Deal with them outside of the meeting. Point out how inefficient this behaviour is. Get them to agree to make an effort to change.
- Hold the meetings off-site or outside of normal working hours.
- It is always good practice to agree among the whole group at the beginning of the meeting that pagers and phones are switched off and that messages should only be picked up at break times. Exceptions can always be made.

The Interrupter

Impact:

- Starts talking before others have finished. Is often excited or impatient. They are frightened that an idea will be lost if it is not voiced immediately.
- Prevents others from talking
- Engenders conflict

How to handle:

- Jump in immediately to referee – but always remain neutral. Between sessions you can point out to this person how their behaviour is disruptive. Suggest that they bring a notepad to write down their ideas until it is appropriate for them to be voiced.
- Remind them of the 'ground rule'

The Doubting Thomas

Impact:

- Constantly puts everything down. "It will never work", "It won't really happen", It can't be scientifically proven", etc.
- Creates doubt.

How to handle:

- While it is healthy to have a sceptic in any group, aggressive negativity is a damper on creative effort.
- Get the whole group to agree to a process of **not** evaluating ideas for a set period of time then use this rule to correct anyone who violates it.
- Acknowledge, don't ignore.

The Headshaker

Impact:

- Disagrees in a dramatic and disruptive manner. They shake heads, roll eyes, slam books shut. It is very disruptive in a meeting.
- Creates doubt.

How to handle:

- Your first strategy should be to ignore them and to focus your attention on the person talking. You may then want to recognise that they are doing it (often they do it habitually and are unaware they do it) by saying, "I see you are shaking your head, perhaps you disagree, would you like to tell us why?"
- The second approach could be to wait until a break in the meeting and let the person know that they are being disruptive and that their actions are just like shouting out load.
- Eventually you may have to confront them in the meeting and ask them to stop the behaviour as it is unfair on the others.

The Drop-out

Impact:

- Sits at the back, reads a book or doodles. You are trying to engage everyone and they are sitting yawning.
- Reduces buy-in, lose benefit of input

How to handle:

- Some people think better while doodling so be cautious. They may even be structuring their thoughts for a useful contribution. There may no good reason for them to be at the workshop and they are irritated by being 'sent'.
- Often just walking near this person is enough to get them engaged. Or wait until you have eye contact and ask them a question.
- During a break ask why they are not participating. It may be because they meeting is not effective, that the topic is irrelevant to them or that they are preoccupied with something else.

The Latecomer

Impact:

⌖ Always comes late, makes a commotion and makes the facilitator feel they should recap the story so far.

⌖ Disruption, delay.

How to handle:

⌖ Do not confront the chronic 'latecomer' in front of the group. After the meeting ask them why they are always so late. They may not think the session is very important, don't believe it will start on time, or simply try to schedule too much.

⌖ The only way to start on time is to start on time. If not, soon everyone will time their arrival to their personal estimate of when the meeting will begin.

⌖ Focus the seating arrangements away from the door. When people come late, do not stop to recap. If they are a key person then stop briefly and review progress but waste as little of everyone's time as possible.

The Early Leaver

Impact:

⌖ Drains the energy of the group by leaving before the end of the session.

⌖ Not part of consensus.

⌖ Disruption, subsequent disagreement, trend setter, will miss feedback.

How to handle:

⌖ Do not confront in public. Find out later why this behaviour is happening. Maybe your meetings are too long or too loose. Perhaps there is something you can learn from the 'early leaver'.

⌖ At the beginning of the session check to make sure everyone can stay until the scheduled finish time. If the commitment is there, a potential 'early leaver' is less likely to sneak out.

⌖ It is always important to have a published start and finish time for every meeting. It is the facilitators responsibility to make sure this 'time contract' is met.

The Broken Record

Impact:

⌖ Keeps bringing up the same point over and over again.

⌖ Closed mind, not creative, difficult to include, delays.

How to handle:

⌖ Demonstrate that the point has been heard and noted several times – write it on a flip chart or have the 'scribe' read out the note they have taken. Try asking if there is anything else they want to add. If the person is still persistant then impose the '3 minute' rule to allow the person to have their say and them move on to other topics on the agenda.

The Interpreter

Impact:

- This person speaks for other people, e.g. 'What Susan is trying to say is.."
- Time waster.

How to handle:

- Either jump in immediately and note that 'Susan' can speak for herself, or at the end of the interruption ask 'Susan' if it was an accurate representation of what she said. This sends a message to the 'interpreter' that they are not required by the group as a mouthpiece.

The Gossiper

Impact:

- Introduces unsubstantiated hearsay to the workshop wasting a lot of time in arguments over whether something is true or not.

How to handle:

- When you hear information being introduced with vague qualifiers, stop the discussion and ask if someone has hard information to verify the story. If the response is weak then use the 'Parking space' to defer the information to be checked at a later date. If the information is key then stop the workshop (have a break) until someone makes the necessary telephone calls to verify the information.

The Know-it-all

Impact:

- This person uses credentials, age, length of service or professional status to make a point – 'I've worked here for 20 years , and I can tell you that idea will never work'.
- Can dominate meeting
- Discourage others

How to handle:

- Acknowledge their experience but explain why the group is considering the matter. Remind them that the discussion may identify some alternatives that may be valid in the current environment. Ask for their indulgence even although the some of it may not make sense to them.
- Invite to do introduction (time limit) then get other to comment.

The Whisperer

Impact:

- One of the most irritating difficult people in a meeting or workshop. Very disruptive making it difficult to concentrate.
- Reduces focus and shifts control.

How to handle:

- Try walking up close – this works most of the time. If there are several 'whisperers' then bring the group to order by reminding the to keep focused and that only one person should be talking at any given time.
- If you get a persistent pair whispering then suggest that they share their conversation with the rest of the group. If you know that known 'whisperers' are attending then try getting them to sit apart.
- If all else fails then ask them to hold their conversation elsewhere and to return when they have completed it.

The Loudmouth

Impact:

- This person dominates the conversation. They are encountered quite often in meetings and workshops. They are often senior people or key decision makers.
- Time waster, removes other from process.

How to handle:

- Move close to them while maintaining eye contact until you are standing in front of them. Your physical presence – you standing and them sitting – will often make them aware of their behaviour and they will stop talking. Immediately shift your focus and call on someone else to speak.
- Some people just have to voice an idea as soon as they think of it.
- Deal with the problem outside the workshop. Point out that they are dominating the conversation and preventing others from participating.
- Reinforce the ground rules.

The Attacker

Impact:

- Launches personal attacks on others present.
- Time wasting, divisive.

How to handle:

- Cut off the line of fire by moving between the two parties. Ask them to sort out their differences outside during the break.
- If it is you, the facilitator, who is being attacked then try to resist denying the charges or defending yourself. If it is your leadership or choice of facilitation tool that is under attack then thank the 'attacker' for their comments. Ask if you are not giving them enough opportunity to state their case and also how the imbalance could be corrected.
- Change the environment.

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Facilitation Techniques
Stepping Stone Solutions (Excursions)

Another brainstorming technique that encourages more creative solutions.

The Process:

- Clarify the topic being brainstormed. Write it on a flip-chart and ensure that all the participants agree with the problem statement. Write it in the form, "How to…"

- Take the flip-chart with the problem statement down from the wall, fold it up and put it aside.

- Ask the participants to name a household object. Whatever they suggest write one of them at the top of a flip chart. (i.e. a kettle, a sofa, a toilet brush)

- Ask the participants to identify the attributes or characteristics of the object.

- Write them down on the flip chart as they are called out. Number each attribute. They will probably run out of attributes after about 25 have been identified. Listen for humorous attributes and write them down also

- Ask for another object and repeat the process adding attributes and characteristics to the original list until you have about 50 attributes. (I usually use a weather condition for the second phase - snowy day, tornado, etc.)

- Bring out the original problem statement and attached it to the wall.

- Ask the participants to take a piece of paper and working quietly by themselves, think about whether any of the attributes suggest a solution to the problem. They should write down the number and the solution. The rationale of how they arrives at the solution is not important.

- After about 10-12 minutes start asking for solution using the attribute numbers to give it structure. Record the ideas either on a flip chart or on Post-It notes (one idea per note) and proceed as per normal brainstorming.

Facilitation Techniques
Brainstorming

What is it? A technique for generating ideas. It puts a full range of ideas on the table before decisions are made.

When should you use it? To generate a free flow of creative ideas. To get everyone involved. To create energy. To generate a wide range of potential solutions to a problem.

What is its purpose? Allows people to explore new ideas and challenge traditional thinking. Lets people put ideas on the table without fear of being corrected or challenged. It separates the creation of ideas from the evaluation activity.

What is the outcome? A long list of creative ideas from which to work.

The Process:

- Announce you will be using brainstorming. Review the rules:
    - Let ideas flow freely
    - No evaluating ideas until later
    - Build on the ideas of others
    - Be humorous and creative
    - There are no bad ideas
    - No debating
    - Everyone participates
    - Keep discussion moving

- Clarify the topic being brainstormed. Write it on a flip-chart and allow a few minutes for the participants to think about solutions.
- Give each participant a pad of Post-It's.
- The participants write their possible solutions on the Post-It's (one idea on a Post-It)
- Gather the Post-It's and place randomly on a wall (large piece of white paper)
- Encourage the participants to review the ideas that are now on the wall to see if it encourages any 'builds' of new ideas
- Once the ideas stop coming have the participants arrange the ideas into logical groups and to remove duplicates.
- Use a technique to select ideas and produce alternatives.

Facilitation Techniques
Probability/Impact Grid (PIG)

The probability verses impact assessment is carried out for each option in turn. The result of this process is a visual representation illustrating the spread of opinion among the participants. If you have consensus, then you may have confidence in what actions to take. If the results of the probability/ impact assessment show that you do not have consensus, then time can be devoted to further discussion of the issues involved.

Probability / Impact	Low Impact	High Impact
High Probability	Although likely to happen, the low impact means that you can take small steps to ensure it does not effect operation	This is a high-risk issue, and needs careful planning and consideration
Low Probability	Little consideration is needed with this risk	You need to identify signs that this is going to happen, so that you can plan appropriate action should it occur

The probability / impact grid is very useful in determining how much effort you should put into discussing and planning around an option.

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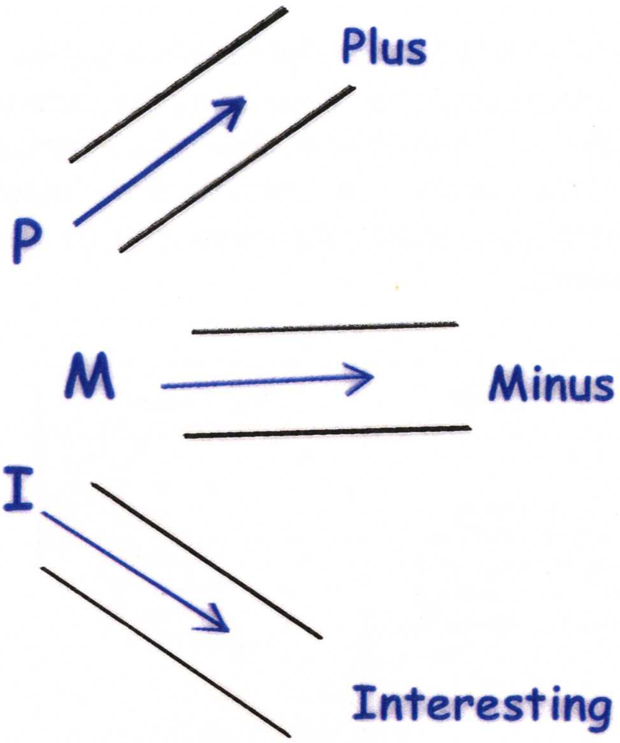
Facilitation Technique
Plusses, Minuses and Interesting (PMI)



An attention directing tool

Have the term "lets's do a PMI" enter into your organisations culture for the greatest effect.

Use to identify solutions to problems, decide on alternatives, identify new opportunities.

Use to 'sell' your ideas. Who would complain about a 6 minute exercise?

Method

A simple and effective decision making tool. It is most effective when the rules are strictly adhered to.

- Decide on what decision you are trying to make. Remove any ambiguity.
- For 2 minutes list only all the positive aspects of your idea. Do not deviate.
- For 2 minutes list only all the negative aspect of your idea. Do not deviate.
- For 2 minutes list only all the interesting aspects of your idea. Do not deviate. ("It would be interesting to see what happens if …")
- You will have a clear resolution to the decision.

Explanation

The greatest enemy of clear thought is deviation - thoughts can be ignored by opposite or distracting ones.

This exercise excludes all but a single train of thought and the sequence of PMI takes your brain through the 3 emotions of optimism, pessimism and excitement in short intense bursts.

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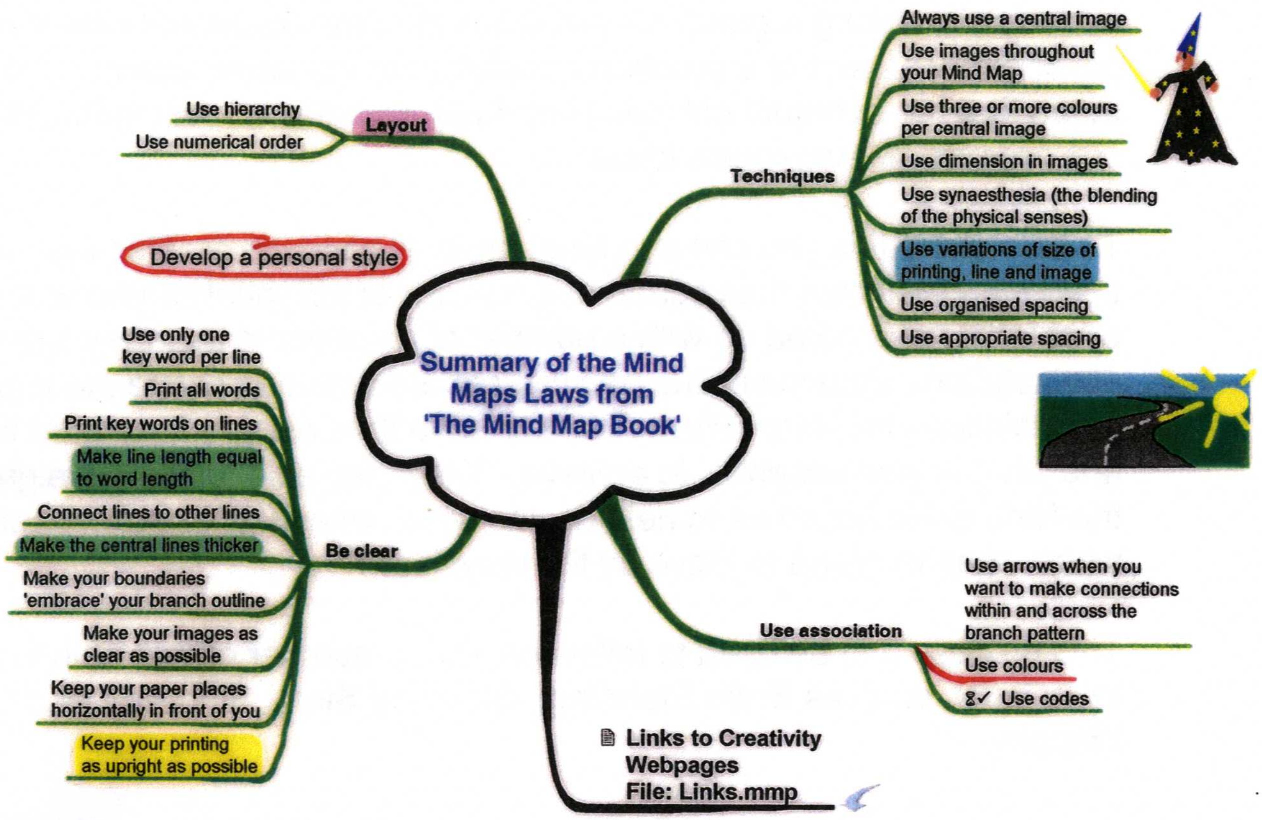
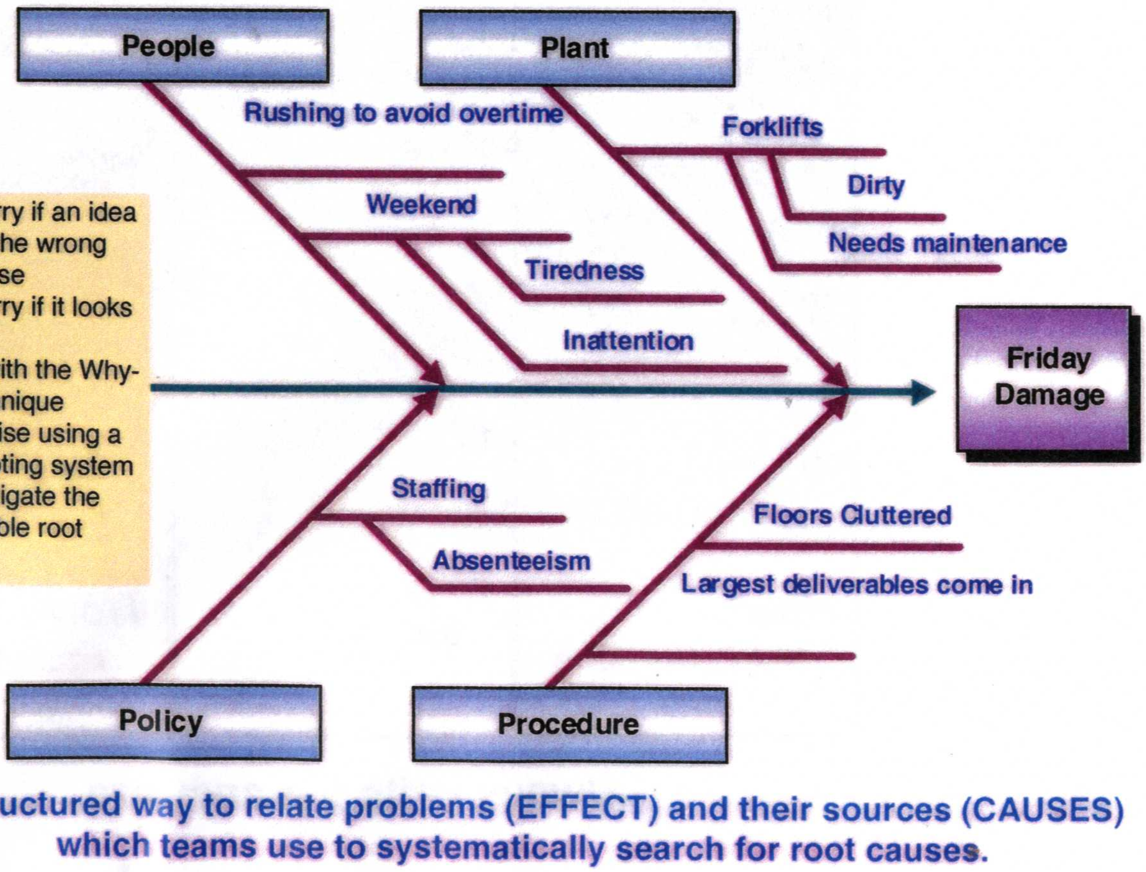
Facilitation Techniques
Mind Mapping



From the MindManager software tools for mind mapping

Facilitation Techniques
Ishikawa Diagrams



Don't worry if an idea is under the wrong main cause
Don't worry if it looks messy
Do use with the Why-Why technique
Do prioritise using a simple voting system
Do investigate the top possible root causes

A structured way to relate problems (EFFECT) and their sources (CAUSES) which teams use to systematically search for root causes.

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Facilitation Technique
Must have / nice to have

In decision making a group may at times become obsessed with trying to cover every aspect of a problem or solution to the same extent. Thie can mean that the eventual solution is unduely complex and an ineffective compromise of everyone's ideas.

To help avoid this you can use Must have/ Nice to have. This technique is used after the group has surfaced a number of potential solutions to a problem or at least have come up with a number of ingredients that they want to see in any solution. Essentially the participants are asked to divide the ingredients of any solutions into Must Have / Nice to have thus establishing what is essential and what is less essential to achieve. They may also place a weighting on the Nice to Haves so as to help decide which ones to still try and achieve and which ones to agree to leave by the wayside.

This process can be used to follow on from a number of the main tools and techniques such as Brain Storming, Stepping Stone Solutions and Mind Mapping.

Facilitation Techniques
Critical Review

What is being done	**Why** is it being done	**What Else** could be done
Who is doing it	**Why** are they doing it	**Who Else** could do it
When are they doing it	**Why** then	**When Else** could it be done
Where is it being done	**Why** there	**Where Else** could it be done
How is it being done	**Why** that way	**How Else** could it be done

Always write the answers

Force Field Analysis is a means of analysing the 'forces' that are at play on an issue or problem. These are broken into two categories:

- The 'Resistors' - the forces that will resist the change and maintain things the way they are or send them backwards and
- The 'Driving forces' that will encourage and enable change.

By weighting and comparing the Resistors and Drivers we should then be better able to identify where and how progress can be made in changing things.

The Process

Step 1

The participants agree a scoping statement for the problem/issue. This should represent the 'desired state' - that is the best resolution of the problem that is felt could be achieved. A brief statement of the current state may also be drawn up and posted elsewhere as this will help appreciation of the gap between the current situation and the desired situation.

Step 2

The group will then brain storm the Resistor and Driver influences that will respectively inhibit and enable change. These items are put in the appropriate column on the flip chart/white board as shown below. The number and significance of the entries will give an early indication as to whether the forces for change are greater or lesser than the forces for keeping the situation the way it is.

Step 3

The various forces can then be weighted. A simple numbering or similar process can be agreed by the group. This step in the process serves to get the participants discussing and agreeing the relative strength of the various factors at play. It is then easy to do a further level of analysis and discussion to see which is the stronger - the Resisting forces or the Driving Forces.

Step 4

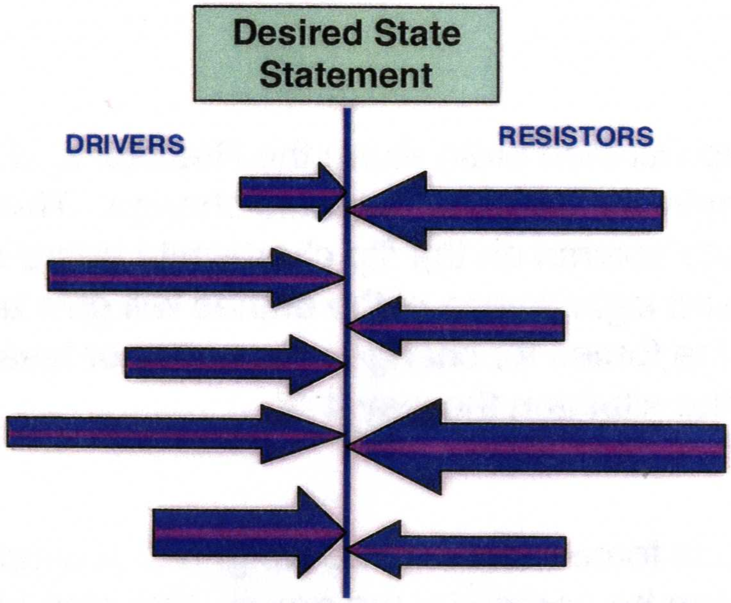
The group should then underline those forces that can be managed and group them into relevant categories. (e.g. machinery, administration, checking etc).

Step 5

Any related Resistors and Drivers are then identified. For example, will a driving force deal with a particular resistor. It might be possible for example to deal with the quality problem with a particular product component by (a) increasing quality assurance checks and/or (b) changing component supplier.

Step 6

The process of seeing which resistance forces can be reduced or eliminated continues. The meeting should also examine which of the driving forces for change can be best utilised and if necessary increased. Overall the group is seeking to specify what and how it will specifically act on to change the current situation.



There is an argument that says that it is often better to try to reduce the Resisting forces rather than trying to increase the corresponding driving forces for change. This is because the driving forces may cause a reaction from and an increase in the resisting forces. For example if certain staff do not comply with a particular process then any direct attempt to get them to do so might produce an even greater resistance on their part.

Skills
Voice

Each person has a unique voice. When you speak, a mood or feeling is set. Become aware of the impact your voice has on a group. The tone you use affects the atmosphere of the room. Pay attention to the following aspects of your voice:

Tone

Tone of voice involves the pitch of the voice (high or low) and the emotional overtones (enthusiastic, sad, bored, anticipatory, fearful). A higher pitched voice usually elicits excitement or tension in listeners. A lower pitched voice is generally claming and helps people slow down or relax. Vary the vocal pith of your voice to help the group along. Too much variation may cause people to feel manipulated.

Inflection

This is the way a person varies the tone of voice when sp[eaking. Little or no variation produces a monotone voice. Be aware that the inflection of your voice is a part of your message.

Pace

Too fast a pace may make the group hyperactive or tire them out. Too slow a pace may put them to sleep. Vary the pace of your speaking to fit the task.

Skills
Bridging

To stop one activity and move on to the next summarise what has just taken place and say a few words about what will happen next. It is an excellent technique for encouraging continuity in the workshop.

Skills
Eye contact

Facilitators must maintain eye contact with the group member who is speaking (active listening). If you look away then the speaker loses a sense of focus. Eye contact shows that the listener is really paying attention.

It does not mean that you stare into the speakers eyes. You can blink occasionally and move to different areas of the persons face.

Be aware that in certain cultures direct eye contact is considered to be rude.

Skills
Including quieter members

Be aware of who is contributing and who is not. Use a few basic techniques to balance participation at all times. Here are few techniques for drawing out quieter group members:

- Use a direct but gentle approach. Call on the person by name and ask for his or her input.
- Ask everyone in the workshop to respond to the same question. Go around the group asking each person to respond.
- Refer back to comments made earlier by quieter participants. This continues to draw them into the group.
- Break the group into pairs or subgroups of three or four members each. Ask each small group to come up with responses and then report back to the whole group. This will give quieter participants an opportunity to speak.

Sometimes groups are accustomed to meeting leaders who act as authority figures, presenting, but not inviting participation. Overcome this by demonstrating willingness and skill in listening to and recording people's ideas. After the group sees that it can be productive it will generally loosen up and discussion will flow more freely.

Skills
Giving positive reinforcement

Responding positively to efforts made by participants to speak out is one way to encourage people to take risks in group work. Care should be taken to ensure that neutrality is not jeapordised.

Skills
Shifting perspective

Sometimes you must help a group shift perspective so that it sees things from another vantage point. For example, when a group is caught up in the detail intervene by asking them to look at the big picture. When the group is focusing on the disadvantages of an idea shift the perspective by encouraging them to also look at the advantages.

Skills
Summarising

This is an important technique to keep a group focused. From time to time, generally after a lot of points have been made, or activities completed, briefly summarise what has been said or done before moving on. You may also ask someone in the group to summarise what has been said so far in the workshop.

Actively listening to another person is a powerful technique for building trust, increasing openness, fostering collaboration, encouraging creativity and demonstrating respect. It can be defined *as the act of listening to another person with the intent to fully understand what he or she is saying*. The listener must focus on the verbal and nonverbal messages coming from the speaker.

Some techniques which you may find useful:

Learn to Listen on Two Levels

Try to understand both the content and what is behind it (feelings, needs, point of view, attitude). Verbal clues are – tone of voice, pace of speaking, emotional quality of the voice, use of words and language difficulties. Nonverbal clues include – facial expression, gestures and eye contact.

Try to Understand Without Judging

Simply listen for the whole message. Do not judge the speaker to be right, wrong on target, off base, etc. Your role is to increase understanding within the group. If you judge you risk losing your neutrality.

Remain Fully Attentive

Show attentiveness through:
- good eye contact
- occasional head nodding
- an occasional encouragement to continue
- not interrupting
- taking notes
- avoiding distracting movements
- facial expressions (open, interested)

Focus On the Message

We think much faster than we talk. Therefore when we listen we must ensure that thinking does not wander. Some techniques to keep you focused:
- Think about what the speaker is saying, not what you are going to say next
- Periodically mentally review and summarise what has been said
- Repeat to yourself what the speaker is saying. This will keep you focused and reinforce the speaker's message.
- Listen between the lines for any additional meaning.
- Listen for clues about what the speaker may be thinking but not saying.
- Do not get caught up in the facts. Use them only to understand the bigger message or idea behind them.
- Consider what the speaker is *not* saying. This may give you an idea of how to probe for further information.

Focus on the Person Talking

In addition to understanding the message, try to understand the person. What do the person's words convey about him or her? Can you find a connection to that person that will increase your understanding and sensitivity to him or her?

Skills
Silence

You do not have to have people talking all the time. Let the group think from time to time. A good example is just after you have asked an open ended question. Be silent and let the group think.

Skills
Body language

When you sit, move, stand or make a gesture these actions (or non-actions) have an effect on the group. It is generally a good idea not to stand with your arms crossed. This can send a message that you are closed or defensive. The most relaxed and open posture is arms to the sides.

Skills
Distracting habits

These are the unconscious nervous habits. They can be very distracting when someone is facilitating in front of a group. Some of the more common habits are: rattling coins or keys in pockets (always empty your pockets before facilitating a group); fiddling with clothes, jewelry or hair; clicking the top of a pen; scratching and arm, ear or nose; pacing nervously; moving papers, chats or other material around without purpose; and squinting or frowning.

Many distracting habits are the result of not knowing what to do with your hands while other people are talking. Writing on a flip chart helps. Practice a relaxed stance, arms to your sides or holding a marking pen.

Skills
Facial expressions

Your facial expressions do affect the group. Try to match your expression to the mood you wish to set

Skills
Enthusiasm

At times it is important for the facilitator to convey enthusiasm and other positive feelings such as anticipation, confidence and assurance that the group is going well. Enthusiasm must be in harmony with your own style.

Skills
Questioning

There are two basic types of questions when working with groups: open-ended and closed-ended.

Open-ended questions cannot be answered with a simple ‘yes’ or ‘no’ nor can they be answered by supplying a fact. These questions encourage participants to supply ideas, opinions, reactions or information.

Open-ended questions start a group thinking but closed-ended questions are used to find facts or guide the group towards a closure. A closed-ended question is directive, calling for a ‘yes’ or ‘no’ or a fact. Closed or fact finding questions are used to move the group on to the next step of the process, to wrap up a discussion, to obtain more specific information or to direct group members to reach consensus.

Fact-finding questions are targeted at verifiable data such as who, what, when, where, and how much. Use them to gather information about the current situation.

“What kind of computer equipment are you now using?”
“How much training did staff receive at the start?”

Feeling-finding questions ask for subjective information that gets at the participants’ opinions, feelings, values, and beliefs. They help you understand views. Usually contain words like ‘think’ or ‘feel’.

“How do you feel about the effectiveness of the new equipment?”
“Do you think the staff felt they received enough training?”

Tell-me-more questions can help you find out more about what the participants are saying. They encourage the speaker to provide more details.

“Can you elaborate on that?”
“Can you be more specific?”

Best/least questions help you understand potential opportunities in the present situation. They let you test for the outer limits of participants’ wants and needs.

“What is the best thing about receiving a new computer?”
“What is the worst thing about the new equipment?”

Third-party questions help uncover thoughts in an indirect manner. They’re designed to help people express sensitive information.

“Some people find that computer training is too time consuming. How does that sound to you?”
“There is some concern about overly autocratic managers in many factories. Can you relate to that concern?”

“Magic wand” questions let you explore people’s true desires. Also known as “crystal ball” questions, these are useful in temporarily removing obstacles from a person’s mind.

“If time and money were no obstacle, what sort of a computer system would you design for the department?”

Imagine you're at a meeting at which no one is putting the real issues on the table. Everyone is being polite and the problems of the group aren't being resolved. In this situation, the facilitator needs to stop the action and give feedback so the participants can resolve their problems and move on. It's never easy giving direct feedback, so use the right language and follow the steps outlined below:

Step 1: Ask permission to offer feedback

Asking permission lets people tell you if this is a bad time to hear feedback, and ensures that they're ready to pay careful attention. Asking permission is a way of signalling that you intend to give feedback.

"I'm going to stop this meeting now and give you some input that I think you need to hear. Is that OK?"

Step 2: Describe specifically what you are observing

Give a clear and specific description of what you observed. Avoid generalising, exaggerating or offering emotional accounts.

"During the interviews I held with more than half of you, the issue of some people not pulling their weight was mentioned by everyone as the most serious problem facing this team. We have been talking about team problems for two hours and yet no one has mentioned this issue."

Step 3: Tell them about the direct impacts of their actions

Describe the impact on individuals, the program or the department. Keep it very objective and don't get personal. Avoid blaming. Deal with the facts of the current situation.

"Since the issue of people not pulling their weight has not been mentioned, there's a good chance that these discussions are not going to resolve your most serious team problem."

Step 4: Give the other person(s) an opportunity to explain

Listen actively, using attentive body language and paraphrase key points.

"You're telling me that this problem isn't being discussed because it's too sensitive and people are concerned about offending each other."

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Skills
Probing

A technique to find out more information and to keep someone talking. A key skill as it can make a positive difference in the quality and depth of the discussion and can unblock a group that is stuck. Probing can be used effectively in the following ways:

- to find the root cause of a problem or issue
- to enlighten other group members
- to explore a concern or idea that may otherwise be overlooked
- to encourage group members to explore issues in greater depth and to value their own thinking process
- to open the group up to more honest sharing of information and concerns
- to increase the trust level of the group
- to uncover key facts that have not been brought out to increase creativity and open-mindedness

Some of the most effective ways to probe are nonverbal: nodding the head, keeping direct eye contact and remaining silent.

Caution: do not overdo probing as it may result in the following:

- group members may feel interrogated
- other group members may feel left out while a dialogue goes on between you and one other person
- you lose, or appear to lose, neutrality
- it may appear that you have a hidden agenda
- probing may lead the group down a path that goes nowhere.

Skills
Paraphrasing

The act of restating, in your own words what a person has said. It is a useful technique to check understanding with the speaker. It also gives the rest of the group an opportunity to check their understanding. Used primarily to increase understanding in a group. Be careful not to give the impression that you are trying to improve on, or add to, what was said. Here are some tips on how to use the technique:

- paraphrase only to check for understanding
- do not paraphrase to improve upon the speaker's wording
- avoid adding or changing what the speaker has said
- try to use the speaker's exact words when possible
- use when a group member is having difficulty expressing ideas more clearly
- paraphrase, or simply restate what was was said, when you think other members did not hear the speaker.

Skills
Redirecting questions and comments

Redirecting invites group members to respond to questions that were directed to the facilitator. This encourages dialogue among the participants. It encourages group members to identify their own thoughts and solutions as much as possible. This acknowledges the groups own abilities and opinions and creates more buy-in to the process.

Skills
Referring back

This is the technique of referring back to something one of the group members said earlier for the purpose of enhancing the discussion and tying group member's ideas to one another. It encourages participants to build on one another's ideas. It also give the opportunity to disagree and identify the differences between the ideas.

CATWOE

When to use it

Use it when identifying the problem, to prompt thinking about what you are really trying to achieve.

Use it when seeking to implement the solution, to help consider the impact on the people involved.

Quick		X				*Long*
Logical	X					*Psychological*
Individual		X				*Group*

How to use it

Use the areas below to stimulate thinking about the problem and/or implementing the solution.

C = Customers

- Who is on the receiving end?
- What problem do they have now?
- How will they react to what you are proposing?
- Who are the winners and losers?

A = Actors

- Who are the actors who will 'do the doing', carrying out your solution?
- What is the impact on them?
- How might they react?

T = Transformation process

- What is the process for transforming inputs into outputs?
- What are the inputs? Where do they come from?
- What are the outputs? Where do they go to?
- What are all the steps in between?

W = World View

- What is the bigger picture into which the situation fits?
- What is the real problem you are working on?
- What is the wider impact of any solution?

O = Owner

- Who is the real owner or owners of the process or situation you are changing?
- Can they help you or stop you?
- What would cause them to get in your way?
- What would lead them to help you?

E = Environmental constraints

- What are the broader constraints that act on the situation and your ideas?
- What are the ethical limits, the laws, financial constraints, limited resources? regulations, and so on?
- How might these constrain your solution? How can you get around them?

Example

Situation: Thinking about way of putting advertisements inside cars.

CATWOE:

- Customers: Advertisers, drivers, passengers. May see things differently!
- Actors: Garage attendants, mechanics, car washes: Extra revenue for them.
- Transformation process: Putting sticker on car now in return for discounts next time.
- World View: Drivers seeking every economy, or fashion victims, maybe?
- Owner: Car owner - must be persuaded of value.
- Environmental constraints: Limits on marketing budget, which will be needed.

How it works

CATWOE was defined by Peter Checkland as a part of his Soft Systems Methodology (SSM). It is a simple checklist for thinking. Like many checklists, it can be surprisingly useful when used appropriately to stimulate open thought.

See also

Exploration, Blocks to creativity

CATWOE: CNI Strategy workshop

Customer, **A**ctors, **T**ransformation, **W**orld-view, **O**bjectives, **E**nvironmental constraints

	Discussion
C	- NISCC / home office (civilian level) - MOD = DGS+S - Strategic level customers – ministerial level (*where responsibility falls with the application of the model)* - Tactical level customers – those who run and use each network. *Network and asset management e.g. Transco, BT* <u>Notes</u>: *Industry – government link – different uses. Are there competing customers? A two-way link between industries and the government is needed in order to account for the different uses of the model and to ensure the model is accurate and meets the needs of each industry.*
A	- Industry partnership. *This has the potential to be multinational and potentially incomplete. Who owns the companies? Issues to consider include security, information transfers internationally and ownership of modelling theory. How many steps back to go?* - Central government: military dimension (defence), civilian element. - Study team - Wider community - Commercial constraints - Owners / operators and regulators. *<u>Issues</u>: Implications of their regulations on the applicability of the model. Response of the owners to dismiss their network modelling in favour of the CNI model. Perceived profitability of the actors' interests versus the safety, security and resilience of the network.*
T	- Harnessed abstract research – model of CNI - <u>Means to do risk assessment – THE crucial question - better risk management</u> - Cost effective ways to decrease risk relative to the market place each industry operates in. - Testing of policy implications - Nutty questions and theme areas - Service level provision agreements – limitations forced on the models applicability - Senior policy makers – min decisions - Understanding of tension between commercial operations and security. These are fuelled by economics. Tensions between resilience, security ← Costing → Profit, growth and stability with the emphasis changing in relation to the company size.
W	- This will be different depending on the industry, i.e. BT are likely to take the view that they need enough form the model to keep OFTEL off their back. - Common security (international) leading to global security - Increased appreciation of vulnerability - Modelling can help – the cutting edge research is in universities - Important and need to address the problem - Must have a national capability - Tension between reinforcing existing research and cherry picking. Need the right people and the right insights <u>Note</u>: *Overall spend by Dstl versus the bigger picture and US research is creating tensions between whether this model reinforces original research or explores new pastures. PCS need the capability to get and insight into this field in order for the model to work.*
O	- Provide a platform for better risk management - Trusted model of CNI network (and representations) - Access, open doors - People skills: more competent decision-makers and operators who better understand the

	consequences of their actions.
E	- Lots of actors - Conflicting objectives: commercial and government - Team isn't know, which may make getting time with people difficult - Getting data - Scarce information - Commercial sensitivities - IPR - Degree of know truth about ground level – audit trail

CATWOE

CATWOE

'CATWOE' is a mnemonic for a checklist for problem or goal definition (Checkland and Scholes, Soft Systems Methodology in Action, 1990). CATWOE is applied to the system which contains the problem, issue or solution, rather than to the problem or goal itself – i.e. to: 'A system to ...' 'A system for ...'; or 'A system that ...'. Such a definition should include:

C. The 'customers of the system'. In this context, 'customers' means those who are on the receiving end of whatever it is that the system does. Is it clear from your definition who will gain or lose?

A. The 'actors', meaning those who would actually carry out the activities envisaged in the notional system being defined.

T. The 'transformation process'. What does the system do to the inputs to convert them into the outputs.

W. The 'world view' that lies behind the root definition. Putting the system into it's wider context can highlight the consequences of the overall system. For example the system may be in place to assist in making the world environmentally safer, and the consequences of system failure could be significant pollution.

O. The 'owner(s)' – i.e. those who have sufficient formal power over the system to stop it existing if they so wished (though they won't usually want to do this).

E. The 'environmental constraints'. These include things such as ethical limits, regulations, financial constraints, resource limitations, limits set by terms of reference, and so on.

Just working through CATWOE, adding each element as you go, can lead to an unwieldy definition. It may be better to look at which are the important elements of CATWOE for any given system and use the relevant sub-set.

See also: **Criteria for idea-finding potential** and **goal orientation**; related checklists such as **Five Ws and H** or **Dimensional analysis**; and concepts such as the NLP 'well-formed outcome'.

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