Catalytic Leadership

Handbook

Partners for
Human Investment

Written by
Darcy Hitchcock and Marsha Willard of AXIS Performance Advisors, Inc.
Ed Warnock of The Cumulus Group.

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"The world hates change,

yet it is the only thing that has brought progress."

– Charles F. Kettering

Welcome

We live in a confusing world of complex interdependencies and systemic change. In order to manage change within this complexity, we must learn new concepts and methods because traditional models of change and leadership have been insufficient. We cannot solve the drug problem without a systemic approach; we cannot reduce crime without getting a handle on the drug problem; we cannot improve our schools without supporting the family; and no solutions will work unless the community and stakeholders are willing to take responsibility for carrying out the actions. We cannot legislate and police our way toward a better future. To make the changes on the scale required, we must find new ways to harness the energies of our communities.

The Partners for Human Investment are launching just such an effort. Using the Benchmarks to focus the activities, the Partners intend to prepare and support Oregon's citizens in their pursuit of a more livable Oregon.

This Handbook is a tool kit for catalytic leaders. It provides a process for catalyzing action and diagnostics for assessing problems along the way. The appendix includes numerous techniques which can be used to move a leadership group toward appropriate action which will empower Oregonians to take control of their own destinies and manage the transformation of our society.

How to Use This Handbook

This Handbook is designed as a reference or guide to help your leadership team work through its community change process. To facilitate its use, the Handbook is divided into three sections. The first section includes background information. The second section describes the prescribed leadership process, and the third section provides a set of tools and techniques for facilitating groups through this process.

Overview

This section provides an overview of the Benchmarks and the Partners for Human Investment as well as the principles of catalytic leadership. Review of this section will introduce your team members to the research behind the Benchmarks and the theories underlying systemic change and the catalytic leadership process.

Steps

This section explains the key tasks within each step in the catalytic leadership process. It also provides a diagnostic flow chart to help you determine your next actions. The diagnostic refers to a specific tools or activities that can help you move your group along and get past the most common obstacles. The tool names are printed in italics. Instructions on how to implement each tool are filed in the Tool Box section of the Handbook.

Tool Box

This section provides step-by-step instructions for using the tools and techniques referenced in the previous section. The tools are inserted in alphabetical order and are summarized on two sides of one sheet of paper. This section is designed to make it easy to pull out and use the tools in a just-in-time fashion. You can also insert your own tools or activities and make this handbook a living reference tailored to your group's needs.

Who Should Use This Handbook

This Handbook is intended for teams of people who have come together to work toward achieving the Oregon Benchmarks. Examples include the Regional Workforce Quality Committees as well as professional and community organizations participating in the Adopt a Benchmark program. The basic tools and concepts, however, can be applied by any group trying to produce systemic change within a community.

This Handbook is *not* for organizations with a narrow mission and a simple task which does not require people to come to consensus on solutions or change their attitudes or behaviors. More traditional project management and leadership techniques will be more appropriate for those groups.

DEFINITIONS

CATALYTIC LEADERSHIP

A catalyst is something which causes a reaction but remains largely unchanged itself so that it can catalyze future reactions. Within the context of leadership, this implies that catalytic leaders do not do most of the "work" themselves but rather catalyze others to get involved. Catalytic leaders manage the process rather than much of the content of the solutions. They are champions of continual learning. They constantly connect people, ideas and resources together in new combinations to foster creativity and innovation. They see to it that the stakeholders are empowered to solve problems themselves while staying aligned to a higher common purpose.[1]

CATALYTIC TEAM

Throughout this Handbook, we will refer to the leadership group as a catalytic team. Leadership does not describe, as is commonly believed, a set of traits or characteristics possessed by a special few people. It is a function and a process that is actually best achieved through the combined efforts of many. The basic tenets of Catalytic Leadership assume that the leadership responsibilities are shared among a team of people joined for the purpose of achieving community change.

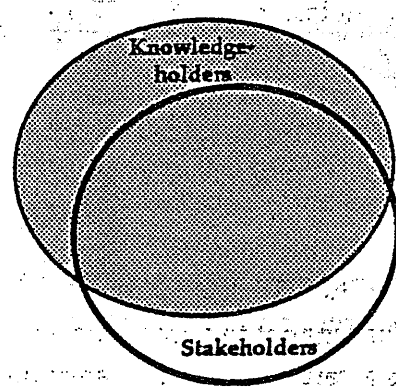
Mental Models

A mental model is the picture that we carry in our heads of the way the world works. It is a set of assumptions or paradigms that define our environment and the way we need to operate in it. We have mental models for everything: for family, for leadership, for authority, for problem solving, for social norms. Our behavior is dictated by our mental models. It is literally "unthinkable" to expect us to contradict them.

When working with diverse groups of stakeholders and knowledge holders, you can expect that they will not all share the same mental models. Police officers, for example, will have a very different model of crime than social workers. Ideally, the process they work through should bring their mental models into alignment. At the very least, their ability to collaborate will depend on recognizing where their models diverge and learning to value the creativity that can result from the differences.

Knowledge Holder

A knowledge holder is someone who knows something about the problem. While this does not exclude "experts" in the field, it is intended to include a diverse set of stakeholders as well. For instance, knowledge-holders for teen pregnancy would include teens as well as school personnel, parents, community health and counseling specialists, and the like.



Stakeholder

A stakeholder is someone who is significantly impacted by the issue and whose buy-in to the solution is critical to its successful implementation.

"Every act of creation
is first an act of destruction."

– Picasso

Overview

Leadership has many different interpretations. For most the term brings to mind a charismatic, decisive person who sets a direction and then convinces others to follow. History provides many shining examples of this style, like Franklin Roosevelt preparing America for our involvement in WWII or Martin Luther King Jr. leading marches to promote civil rights. If we look more closely, however, we discover that their tasks as leaders were really much more complex. They had to inspire leadership in others to carry out their vision. They had to catalyze action. They had to focus the attention of our communities and manage the discomfort our learning entailed.

The challenges Oregon faces will require this kind of catalytic leadership. We cannot count on a small number of "leaders" to set direction and provide a better life for us. We must all participate in the hard work of change. We must leverage the abilities of ordinary people to get extraordinary results. Catalytic leadership is not embodied within an individual; it must be the shared function of your catalytic team.

In this section, we will summarize the key concepts and principles your catalytic team must understand. We will cover:

- Trends in Oregon
- The Oregon Benchmarks
- The Partners for Human Investment
- Principles of Change
- The Catalytic Leadership Process

TRENDS IN OREGON

The news about Oregon's economy and standard of living over the past few years has not been good. The manufacturing base that once supported a large number of Oregonians with well paying, low skill jobs is fast disappearing. Advances in technology, a diversifying, global economy, and changes in organizational structures and practices are demanding a skill level in workers that too few Oregonians possess. Not only are many of those currently in the workforce ill-equipped for the new economy, but the coming generation of Oregonians holds little hope for a change:

- 23% of children born in Oregon have had inadequate prenatal care.
- 32% of children in Oregon are considered unprepared to start school at the determined age.
- 25% of our children live below the poverty level.
- Every year more teenagers become parents.

These statistics foretell a low skill, low wage economy in which the standard of living for every Oregonian is diminished.

THE OREGON BENCHMARKS

While most states in the country acknowledge that traditional means for reversing these kinds of trends are inadequate, Oregon is the first state to implement a systemic, citizen-based approach to achieving change. At the foundation of this effort are the Oregon Benchmarks.[2]

The Benchmarks are an acknowledgment that Oregon's future holds more promise if Oregonians agree on a future vision and work together to achieve it. The Benchmarks are outcome-focused measures derived from the input of Oregonians from across the state that monitor the state's transformation. They are the gauges on the state's instrument panel that provide continuous feedback on each critical component of the social system, and give us knowledge about the system and its interrelated workings.

The Benchmarks are divided into three clusters:

PEOPLE

These benchmarks provide measures for these areas: nurturing families and thriving children, success in school, student health, high school to post-secondary education, adult education, adult skill proficiency, adult health, equal opportunity and social harmony, and adult independence and community participation.

OUTSTANDING QUALITY OF LIFE

These benchmarks provide measures for these areas: natural environment, communities, access to child care, and community involvement.

DIVERSE, ROBUST ECONOMY

These benchmarks provide measures for these areas: diversity of industry, balanced distribution of jobs and income, employment, the State's capacity for expansion and growth, business cost containment, accessibility to markets and information and public finance.

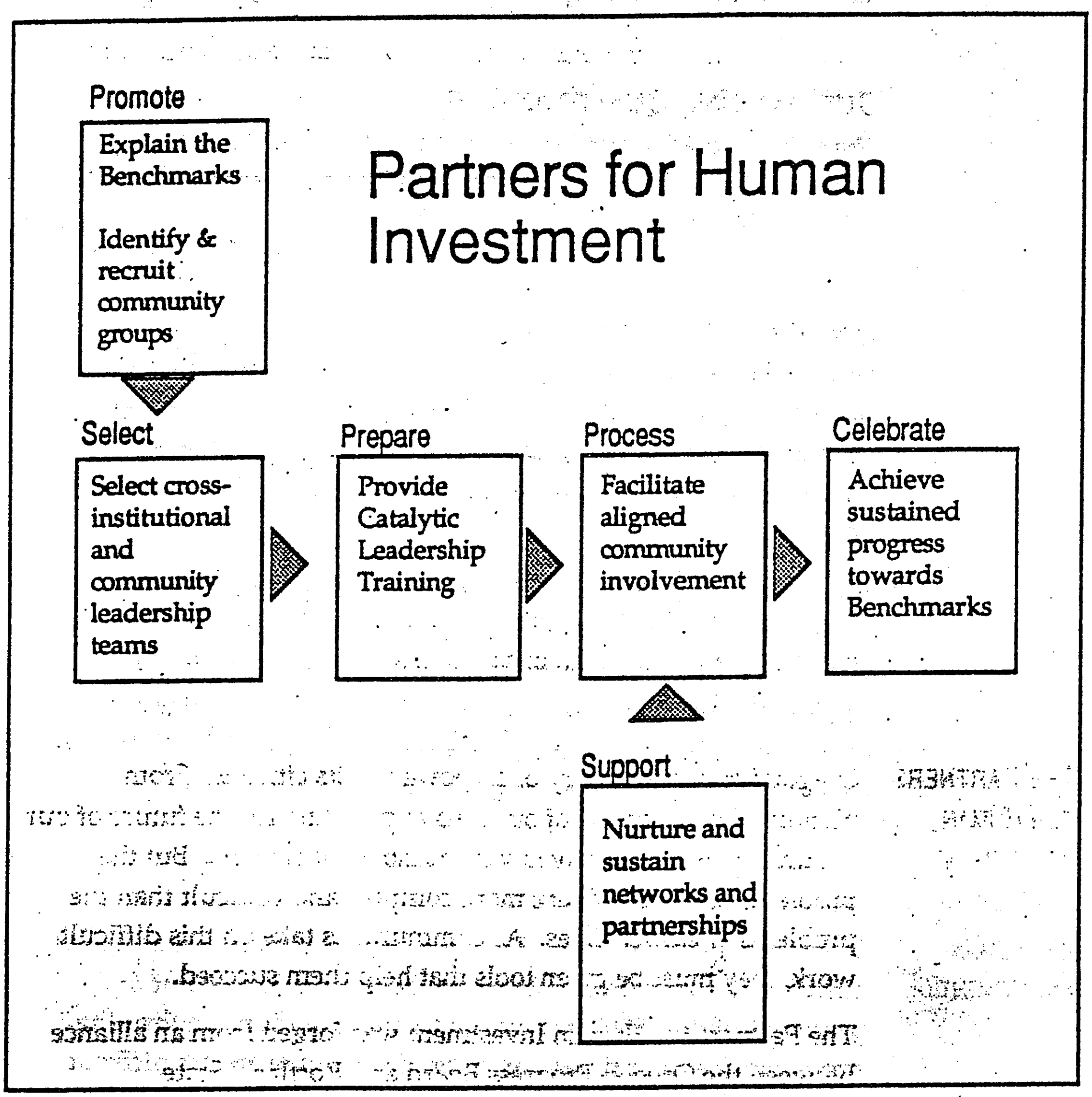
Because it would be impossible to address all benchmarks immediately, some "lead benchmarks" have been selected from each cluster. These represent urgent problems which must be addressed within the first five years. Since many are leading indicators of others, failure to address these may make achieving the other benchmarks an impossibility.

THE PARTNERS FOR HUMAN INVESTMENT

Oregon has a rich history of empowering its citizens. From planning for the future of our land to planning for the future of our children, we have involved vast numbers of citizens. But the problems of the 1990's are more complex and difficult than the problems of earlier times. As communities take on this difficult work, they must be given tools that help them succeed.

The Partners for Human Investment was forged from an alliance between the Oregon Progress Board and Portland State University. The mission of the Partners is to plant Oregon's Human Investment Benchmarks in every community. The Partners for Human Investment will fulfill its mission through several linked activities:

- Explain and promote the Benchmarks.
- Nurture leadership skills in local public, private and non-profit organizations.
- Build networks among those working on similar Benchmarks.
- Help local groups make their cases to government about allocation of resources.



Principles of Change

The Benchmarks provide the feedback on the health of the system. The Partners for Human Investment provide the vision, direction, and support. What, then, must our community members do to bring it all to life?

Achieving the kind of large scale change called for in the Benchmarks requires a new approach and frame of reference. Our single solution approach to social problems has been inadequate. Today's problems are too complex to be resolved by radical, isolated solutions. They require linking and focusing the ideas and energies of all the parties involved, and continually improving on those ideas and innovations that have high value. The leadership model presented in this Handbook is based on the following core principles about change in complex systems.

- Complex, systemic problems are rarely solved by sudden radical changes. They are more reliably solved with steady incremental improvements focused on key leverage points in the system.
- Results come slowly to complex problems; therefore people need to trust the process and take satisfaction in the incremental success and the learning that results from them.
- Solutions to complex problems require collaboratively birthing new ideas, not debating and selecting from among the old.
- The best solutions are created by involving and aligning all critical stakeholders and knowledge holders.
- People give time, energy, and commitment in proportion to their degree of personal ownership.
- Participation is the straightest road to ownership.
- Leadership has more impact when it is shared. Every stakeholder has the potential for contributing to the shared leadership of his or her community.

THE THREE FACES OF CHANGE

All problems can be said to have three different faces. Face 1 deals with that side of a problem which is easy to recognize and understand. In this face both the causes of the problem and the appropriate solutions are clear and readily agreed upon. The necessary actions are easy to identify and implement. On the second face of the problem, the causes are still understood, but there is disagreement on the best solution, or none of the solutions presented are adequate. The third face takes on the larger systems view and acknowledges that we may not understand the causes of the problem well enough yet to identify or create viable solutions. The activities that a group performs will depend on which of the faces they are addressing. The following analysis of these three faces is based on the work of Ron Heifetz of the Kennedy School of Government.[3]

FACE	PROBLEM/ CAUSES	APPROPRIATE ACTIONS	EXAMPLE
1	Clear	Clear; generally agreed upon	Headache → Take an aspirin. Deteriorating roads → Highway department repaves them.
2	Clear	Not clear or generally agreed upon	Headache → Is best response medication? biofeedback? diet? stress management? Deteriorating roads → Is the best response public transportation? wider roads? car pools? alternative paving materials?
3	Unclear	Unclear	Headache → Is the problem more systemic? Deteriorating roads → Is problem inappropriate community design? Transportation models? Work and recreation practices?

TASKS OF LEADERS

Just as the group's actions vary depending on the face of the problem being addressed, so too does the role that leadership plays. When addressing face 1, many of our traditional leadership practices suffice. The leader promotes a solution, rallies support tothat solution, and delegates tasks to accomplish it. For faces 2 and 3, however, the leaders' roles are not to decide how the problem should be solved but rather to act as catalysts and initiate action among the people whose energies and commitment are necessary to successful change. This is the essence of what we call catalytic leadership.

In this new paradigm, the leader must perform the following tasks:

- Empower stakeholders to take responsibility for their own piece of the system.
- Provide and keep stakeholders committed to a structured change process.
- Keep stakeholders focused on a higher purpose so that all change activities are aligned to a common vision.
- Manage the interconnections of the system pieces and champion the growing knowledge of the system.

The table on the following page summarizes how each of these tasks relates to the different faces of change.

FACE	WHO MUST DO THE WORK	LEADERSHIP FUNCTION	LEADERSHIP TASKS
1	"Expert" or leader can do the work.	Break down barriers and leverage resources.	Set goals. Secure resources. Manage the implementation and interconnections. Plan and follow up.
2	Stakeholders must participate in decision making.	Guide them toward solutions upon which they can act collaboratively.	Assemble the stakeholders. Establish forum for collaborative decision making. Focus on higher purpose. Encourage creative solutions which satisfy all.
3	Stakeholders must do the learning and decision making	Manage their learning.	Keep the focus on the issue. Provide a "containment vessel" for frustration and learning. Discourage work avoidance and solution jumping.

CATALYTIC LEADERSHIP PROCESS

Often where catalytic leadership is appropriate, the stakeholders want the leaders to do their work for them. A heart-attack patient, for instance, may tell the doctor, "Just give me some pills; fix me." However, if the leader falls into the trap, he or she will disable the stakeholder, preventing the stakeholder from attending to the real work at hand. On the other hand, the stakeholder has expectations for the leader which cannot be ignored. So the leader's job is to gently and deliberately transfer ownership for solving the problem to the stakeholders and then support them through the process of implementing change..

In the context of the Oregon Benchmarks, these are the six steps your catalytic team will need to work through:

Catalytic Leadership Process

1. Understand the Oregon Benchmarks and Catalytic Leadership Concepts
2. Focus Attention on a Clear Question
3. Identify and Involve the Stakeholders and Knowledge-Holders
4. Elicit Ownership in the Stakeholders
5. Engage the Stakeholders in Learning, Inventing, Aligning, and Implementing Solutions
6. Sustain Stakeholders in the Process and Manage the Interconnections

"A good leader talks little;
but when his work is done, his aim filled,
all others will say, 'We did this ourselves.'"

– Lao-Tse

Steps

1

Understand Oregon Benchmarks and Catalytic Leadership Concepts

If it is successful, the Partners for Human Investment will attract the energy of Oregonians from every strata and sector in the state. The responsibility for coordinating and leading these diverse groups will fall to an equally diverse subset of catalytic teams. These teams will require preparation and support themselves if they are to mobilize and channel an entire citizenry. Thus the catalytic leadership process begins with a training and planning step to enable committed leadership communities to lead Oregonians to a shared future vision for a better Oregon.

OUTCOMES

The key learnings of this catalytic team fall into three categories:

- The group must become familiar with the origin and intent of the Oregon Benchmarks. They will need to understand how the Benchmarks can be used to focus their own change efforts.
- The group must be familiar with high performance systems and how they work. This includes an understanding of how they are different from traditional structures and what they have to offer to competitors in the new economy.
- Lastly the group must understand the underlying principles of catalytic leadership and adopt the catalytic leadership paradigm.

STRATEGIC OPTIONS

The catalytic team must decide the most effective strategies for educating themselves in these topics. Basically you may choose from among the following three options:

- Enroll the group in the training provided by the Partners for Human Investment.

- Send one or more representatives from your group to the training and assign them the responsibility of being the process champions and consultants for your group.

Use this diagnostic tool to help you decide what to do next.

IDENTIFY AND ALIGN THE CATALYTIC TEAM'S MENTAL MODELS

IF	→	THEN
The group is in disagreement with the Catalytic Leadership Process.	→	Modify the process.
The group is unclear how to translate the Catalytic Leadership concepts into new behaviors.	→	Use a *T-Chart* to identify how they might do things differently in various sample situations.

IDENTIFY AND STUDY KEY BENCHMARKS

IF	→	THEN
The group has no common understanding of how to use the Benchmarks in their change efforts.	→	Contact the Partners for Human Investment for assistance.
The group can not agree which Benchmarks relate to their chosen issue.	→	Use *Pareto* to decide.
The group has no local Benchmark data.	→	Use a *T-Chart* to chart the data needed and possible sources for the data. Contact the Oregon Progress Board for assistance.
The group has identified relevant Benchmarks	→	Go to step 2

2 Focus Attention on a Clear Question

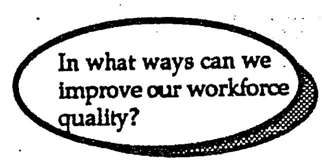
Your leadership prerogative is to frame the question around which your team will catalyze action. Your study and selection of key Benchmarks should provide a solid foundation for defining your framing question or rallying issue. So that it is clear and inspiring, you should reduce your issue to a single question. It should convey your vision and define what is included for consideration and what is not.

OUTCOMES

Your framing question should meet these criteria:

- It should be broad enough to encompass your group's charter or purpose.
- It should be narrow enough to provide a clear focus for selecting and guiding interdependent stakeholders.
- It should be general enough to provide flexibility and attract the right stakeholders.

STRATEGIC OPTIONS



OR

You have two choices for framing your question. You can either frame a question now which is broad enough to cover your entire charter or you can focus your question on a sub-issue. Doing the former usually forces you to remain in your catalytic role and ensures alignment of future efforts. Doing the latter may make sense if your entry point has the potential to begin the change process within other sectors of your system. Selecting a sub-issue also makes sense if your charter is so broad that it includes numerous groups which are not interdependent. Beware the team's tendency to pick a sub-issue, however, just because it seems less intimidating. Lots of small, discrete interventions rarely add up to systemic change.

Use this diagnostic tool to help you decide what to do next.

DEFINE THE FRAMING QUESTION

IF	→	THEN
Team members are describing similar, related framing issues.	→	Use a *Purpose Hierarchy Chart* to clarify the issue.
Team members are promoting significantly different areas of focus.	→	Use a *Pareto Chart* to select the issue with the biggest potential impact.

UNDERSTAND THE PRESENT SITUATION

IF	→	THEN
Your team lacks a vivid, visceral understanding of why change is important.	→	Use *Personalizing Trends* to create an understanding of what will happen if you do nothing.
Your team has no credible statistics on the current situation.	→	Use a *T-Chart* to identify what you need to know and who might have that information.

CLARIFY THE FUTURE VISION

IF	→	THEN
Your team is uncertain what role your team should play or could benefit from a written description of your mission and strategy.	→	Use the *Charter Writing Process* to craft a mission and key result areas for your team.
Your team is unclear what the ideal future state would be.	→	Use *Visioning* to create a clear picture.
The vision will not be compelling or make sense to all stakeholders.	→	Use *Purpose Hierarchy Chart* to craft a more inclusive vision.
Your group shares a common future vision.	→	Go to Step 3

3

Identify and Involve the Stakeholders & Knowledge-Holders

When approaching a problem from its type 2 or 3 face, it is imperative to get the stakeholders and knowledge holders involved in forming solutions and learning collaboratively.

In Face 2 situations, this involvement is primarily important for alignment and ownership. Ownership is necessary to secure the energy and commitment needed to sustain action. Alignment is need to minimize the energy drain caused by in-fighting and disagreements.

In Face 3 situations, involvement is important for learning. Like a puzzle, knowledge is distributed across the system. All the pieces are needed to get an accurate and complete picture of the problem.

OUTCOMES

You should make sure that your list of stakeholders and knowledge holders includes all relevant populations beyond the traditional power bases. Depending on your issue, these may include often under-represented groups such as welfare recipients, students, racial minorities, and the homeless.

Your list of stakeholders and knowledge holders should also be considered a living document that grows and changes as you learn more about your own issue. As a group, you should re-examine on a regular basis who should be involved to assure that you have included everyone whose participation is needed.

STRATEGIC OPTIONS

Who you include in your stakeholder/knowledge holder list will depend on the face of the issue you are addressing. Use the following criteria to help you create your list.

Face 1 — In this situation stakeholders are valued for *what they can do.* This implies looking for people who are good at planning or implementation. In particular, look for people who have relevant experience or resources.

Face 2 — For Type 2 situations, you value stakeholders for *who they know* or can influence. Identify those who can represent the perspectives of the major stakeholder groups so that solutions will be acceptable to all constituents. In particular, select those who are considered with respect by the stakeholder constituents.

Face 3 — For Type 3, you want people for *what they know.* Gather a critical mass of knowledge holders who understand pieces of the issue and stakeholders who must carryout the solutions.

IDENTIFY GROUPS OF STAKEHOLDERS

IF	→	THEN
Your issue and system are complex	→	Use *Mind Maps* to organize the information.

IDENTIFY KEY INDIVIDUALS

IF	→	THEN
You are not familiar with the stakeholders groups or if the stakeholder groups are large.	→	*Brainstorm* associations which serve those stakeholder groups and enlist their help in selecting individuals.

PLAN AN INVOLVEMENT STRATEGY

IF	→	THEN
You do not know the key individuals.	→	Involve the leadership of their associations to help enlist their involvement.
You know key individuals.	→	Go on to Step 4

4 Elicit Ownership in the Stakeholders

Leaders and others who share comprehensive knowledge of the system are certainly in good position to propose and advocate effective solutions. As citizens we have come not only to expect leaders to solve our problems for us, but we frequently insist upon it. When they propose something we don't like, which they inevitably do, we sabotage their efforts to implement it. What this custom overlooks is the simple axiom that all solutions, regardless of who creates them, depend upon the stakeholders to implement and sustain them.

OUTCOMES

The problem then, is not one of trying to find the perfect solution, but of getting stakeholders to take ownership for whatever solution is proposed. Just because they are critical to the process, however, does not ensure they will immediately get involved and accept responsibility.

STRATEGIC OPTIONS

The first step in transferring ownership to the stakeholders is to convince them of the importance of their involvement. To achieve this, you must convince them of the following three conditions[4]:

> **Stake** - That the issue at stake is significantly important to them.
>
> **Interdependence** - That they will be affected by the outcomes whether they choose to participate or not.
>
> **Contribution** - That they play a contributing role in the issue and therefore have influence over it.

The next step is to get all participating stakeholders to reach a mutually agreeable vision of the future. This step is critical to aligning and channeling all subsequent actions. Once a preferred future has been designed, then the stakeholders must identify activities for which they have passion and energy. It is important to let them identify and self-select around these activities as it assures the dedication and ownership necessary to see change through to the end.

Use this diagnostic tool to help you decide what to do next.

COMMUNICATE THE ISSUE TO STAKEHOLDERS

IF	→	THEN
Stakeholders don't recognize themselves as having a stake in the issue	→	Use *Personalizing Trends.*
Stakeholders don't see themselves as being interdependent	→	Use *Purpose hierarchy.*
Stakeholders don't believe they can contribute to the outcomes.	→	Use *Triplet Questioning* to identify what they need and what they know.

COLLABORATIVELY DESIGN A PREFERRED FUTURE

IF	→	THEN
Stakeholders continue to define the future in terms of individual agendas or programs	→	Use *Catalytic Ground Rules.*
Stakeholders can't let go of historical solutions	→	Use *Visioning.*
The group is stuck in adversarial relationships	→	Use *Alignment Matrix.*

MOBILIZE STAKEHOLDERS

IF	→	THEN
An insignificant number of stakeholders commit to the chosen actions	→	Find new actions or new stakeholders
Stakeholders divide along predictable "party" lines and select activities which work at cross purposes.	→	Use *Alignment Matrix.*
Stakeholders commit to the actions they have designed	→	Go to step 5.

5

Engage Stakeholders in Learning, Inventing, Aligning, and Implementing Solutions

The prime directive of a catalytic leader is to "get the right people doing the right work." The "right" work and the "right" people will depend on which face of of a problem you are addressing. Remember that in step three, when we mapped the stakeholders and knowledge-holders, the criteria for selecting appropriate people depended on the face of the problem that was being addressed.

OUTCOMES

The work that needs to be done in this step also varies depending on which of the three faces of the problem the group addresses. Knowing the correct work to be done is one of the key skills of the catalytic leader.

STRATEGIC OPTIONS

FACE 1

These are the times when adequate solutions are in hand and the stakeholders are ready to act in alignment. The leaders' focus in this instance is on facilitating action.

FACE 2

In these situations the stakeholders maybe polarized or in disagreement on different courses of action. The goal is to get enough support to implement "sustainable" change. The leaders should focus on aligning the stakeholders.

FACE 3

These are those situations in which the solutions in hand are inadequate because we don't understand the problem well enough. Here the task of the catalytic leader is to see that the stakeholders learn enough to invent viable, workable solutions.

Use this diagnostic tool to help you decide what to do next.

INVENT SOLUTIONS

IF	→	THEN
The group is missing key pieces of information needed to solve the problem.	→	Use *Boundary Chart* to add the knowledge-holders and find a way to engage them in the learning process.
The problem seems too complex to solve.	→	Engage the knowledge-holders in a *Dialogue* process.
You don't know what all the options are for possible action.	→	Use a *Stakeholder Conference.*

ALIGN STAKEHOLDERS

IF	→	THEN
There is not enough power or influence to carry out the plan.	→	Use *Boundary Chart* to identify stakeholders whose support you need and transfer ownership to them.
Stakeholders will not align.	→	Use *Triplet Questioning* to discover each person's interest behind their position.
People don't know or trust each other well enough to align.	→	Use a *Stakeholder Conference* to search for the "common ground."
All of the stakeholders' positions seem reasonable, but are so different that alignment seems unlikely.	→	Use a *Purpose Hierarchy* to look for third way solutions that satisfy everyone's higher purpose.
Anger is blocking alignment.	→	Use *Negotiation* to move beyond the anger.

PREPARE FOR ACTION

IF	→	THEN
The goals are good, but we lack a workable plan.	→	Use *Project Management* skills to write an implementation plan.
The people involved don't have the skills necessary to implement the plan.	→	Use *Boundary Chart* to redraw the stakeholders to include "doers."
We don't have the necessary resources to carry out the plan.	→	Use *Boundary Chart* to redraw the stakeholders to include the controllers of resources.
Group is aligned and ready for action.	→	Go to Step 6

6

Sustain Stakeholders in the Process and Manage the Interconnections

Getting stakeholders aligned and energized is no small task. keeping them working and committed to the end of the process, however, is no less of a job. The leaders' responsibility once the ball has started rolling, is to ensure that it maintains its momentum after the excitement has faded and the working groups begin to hit obstacles.

OUTCOMES

There are three main objectives that leadership teams must achieve in this phase of the change process:

- Sustain the attention and energies of the stakeholders until change can be achieved.
- Manage the interconnections to build the synergy of all community efforts and prevent the drain that occurs with isolated random actions.
- Keep from being assassinated.

STRATEGIC OPTIONS

Managing the energies of diverse stakeholders is like cooking with a pressure cooker. You need to keep the pressure high enough to keep things cooking, but not so high that the whole thing blows up.

One strategy is to address the three faces of your problem simultaneously so that you can get the satisfying immediate or short term results from face one activities while at the same time devote energy to creative problems solving and system learning.

Another strategy is to celebrate your the groups successes frequently and publicly and document your progress and learning. Teach the group to take satisfaction in learning as an outcome and get them experienced at using it as building block.

Use this diagnostic tool to help you decide what to do next.

IDENTIFY WHAT'S DOABLE IN SEASON

IF	→	THEN
Stakeholders are reluctant to address faces 2 & 3 of the problem.	→	Identify tasks for Face 1 and create a project plan. Then use *Face Filter*.
The group is unable to see what they have learned or accomplished.	→	Use a *Learning Log* to help them recognize and value the learning they have done.
The problem or project they have undertaken has become too big to handle.	→	Use *Project Management* to manage the scope and *Celebration Techniques* to re-energize.
The group is disappointed with the results of their actions.	→	Use *Triple Loop Learning*.

CELEBRATE AND LEVERAGE SUCCESS

IF	→	THEN
Members of the group feel that recognition has not been fairly distributed.	→	Use *Celebration Techniques*.
The group's achievements and learnings are not getting shared outside the group.	→	Use *Innovation Diffusion* and *Learning Networks*.
The group has suffered a remarkable set back or failure.	→	Use *Triple Loop Learning*.

MANAGE INTERCONNECTIONS

IF	→	THEN
Different factions of the stakeholders seem to be working at cross purposes.	→	Use *Stakeholder Conference* to bring into alignment.
The group fears that its efforts may be redundant with other groups.	→	Use *Learning Networks*.
Information about the system indicates that there are parts of the problem that are not being addressed.	→	Go back to Step 2 and reframe the question.

"Genius begins great works;
labor alone finishes them."

– Joseph Joubert

Alignment Matrix

Large scale sustainable change is only possible when the actions of a critical mass of stakeholders are aligned to a common goal. Too frequently, however, stakeholders are polarized by their own strongly held assumptions, models, or agendas. The Alignment Matrix is a tool to help identify the source of the differences among stakeholders and lead to discussion and resolution.

WHEN TO USE:
Use the Alignment Matrix when your group exhibits any of the following behaviors:

- They can't participate in a constructive dialogue.
- They continue to sell their own positions and ideas.
- They are unable to suspend their agendas to do creative problem solving.

1. Create the Matrix

SIX AREAS IN WHICH GROUPS CAN DIFFER

List down one side of a sheet of chart paper the six general sources of differences among groups: information base, goals, roles, values, assumptions or mental models, and past history or experiences. Feel free to add any that are not included in the list that have particular relevance to your group. Spend some time if necessary clarifying what each one means in your particular context. For example, parents and teens bring different historical perspectives and experiences to a situation, while schools and legislators may have differences in goals.

Along the top of the matrix, list all the key stakeholders involved in your issue.

Example:

Sources of Differences	Stakeholders: Teens	Schools	
•Information			
•Goals			
•Roles			
•Values			
•Assumptions			
•History			

2. FILL-IN THE STAKEHOLDER POSITIONS

SUMMARIZE THE VIEWS OF EACH STAKEHOLDER

Divide the group into small, homogeneous stakeholders groups and have them briefly describe their position for each of the six categories. This can be a challenging task for the group, but it forces them to clarify their own positions and make it easy for the group to identify where the major differences lie. Have the small groups report summarizing their descriptions on the master matrix.

ANALYZE THE RESULTS

IDENTIFY THE FOCUS AREAS

Help the group to process the data and identify where the biggest rifts occur. Have the group discuss the implications of these differences.

UNDERSTAND THE DIFFERENCES

Sometimes just listening to everyone's position and coming to a new understanding is all the group needs. If it is necessary, remind them of the value of diversity as well as the common purpose that brought them together in the first place.

COMMIT TO ACTION

If a shared understanding or reminder of the common purpose is insufficient to overcome the obstacles created by the differences, get the group to commit to some action for overcoming the obstacles. Use the diagnostic below as a starting point for your discussion.

If the difference is in . . .	**Then try . . .**
Information	Sharing information across stakeholders
Roles	Clarifying roles and expectations for each
Goals	Using a *Purpose Hierarchy*
Values	Using *Dialogue*
Mental models	Using a case study to reveal
History	Using *Triplet Questioning*

> **TIPS FOR USE:**
> It may not be necessary to force the group to address every category if it becomes clear early on where the biggest differences are. Let the discussion flow naturally.

Boundary Charting is a tool used to identify the stakeholders and knowledge holders that should be involved in your process to ensure the success of your efforts. It helps you illustrate the territory coverd by your framing issue and decide who falls within that territory and who falls without. Without the committed energy of the people who will be directly impacted by your solutions, even the best plans will lack the support needed to see them through to fruition.

WHEN TO USE:
Boundary Charting is an appropriate tool for any of the following situations:

- You are not sure you have identified all the possible, viable solutions.
- There are people missing who could contribute to the knowledge of the issue or to the creation of inventive solutions.
- Those who have to implement the changes have not been involved or accepted ownership of the problem.

1. FRAME A CLEAR QUESTION

BE CLEAR ABOUT WHAT YOU ARE ADDRESSING
Once the issue or question has been framed and agreed upon, write it in the center of a sheet of chart paper.

Example:

How can we provide students with relevant exposure to the work setting?

2. BRAINSTORM A LIST

RECORD ALL IDEAS OF WHO SHOULD BE INVOLVED

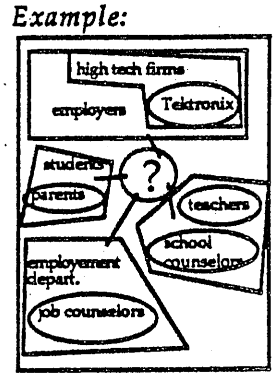
Record the group's suggestions for stakeholders in the space around the framing question. Use the questions below to help the group generate ideas:

- Who is going to have to participate?
- Whose support is needed in order for change to occur?
- Who might know something useful?
- Who is going to have to change the way they think?
- Who is going to have to do something different?

SORT AND ORGANIZE THE LIST

When the group has run out of ideas, examine the list for redundancy and overlapping. Remove any redundant suggestions. Illustrate the relationships among the entries on the list by drawing boundaries around those that are members of the same larger group or subsets of a larger group.

Example:



3. SELECT STAKEHOLDERS

IDENTIFY KEY STAKEHOLDERS AND KNOWLEDGE HOLDERS

The chances are that you have identified more people than will be practical to involve. Using a different color marker, draw a line around those that you consider essential to your efforts. If the list includes large groups of people, you will need a method for deciding who from that group should be involved.

> **TIPS FOR USE:**
> This exercise will likely need repeating as you learn more about your issue. You should regularly revisit your stakeholder list to ensure that it is as inclusive as possible at all times during your work.

Brainstorming

Brainstorming is a technique to generate creative options. Brainstorming encourages groups to list and build from wild ideas which often can lead to better ideas. It accesses the knowledge of all members. The resulting list is unstructured and usually requires evaluation and prioritization.

WHEN TO USE:
Use brainstorming whenever you want to gather the creative ideas of the group and do not need the information to be organized. (If you need the information organized, see Mind Maps.) Examples include listing:

- stakeholder groups
- possible methods for communication
- possible issues to frame
- possible solutions to an identified problem.

1. IDENTIFY THE ISSUE OR PROBLEM

WRITE THE ISSUE, PROBLEM, OR QUESTION ON A FLIP CHART
Frame the issue or problem you want the group to address. Make sure everyone is clear on the issue. Write the issue on the top of a flip chart.

Example:

Who are our stakeholders?

- Parents
- Teachers
- School administrators
- Students
-

2. BRAINSTORM

REMIND THE GROUP OF THE BRAINSTORMING RULES
Since most people have participated in Brainstorming, you probably won't need to spend time explaining the process. It is a good idea, however, to remind the group of the rules so that creativity and energy are encouraged. Generally, the rules include:

- Don't evaluate ideas until after brainstorming
- Encourage "crazy ideas"
- Build off other ideas
- Allow repetitious ideas

FACILITATE THE BRAINSTORMING SESSION

List all ideas that members of the group suggest. If an idea is too long to list, ask the person to reframe it; don't put words in their mouths. Keep asking, "What else?" to keep the group listing ideas. Often, a group will reach a lull. Let them think for a minute and see if any new creative ideas are generated. Stop when the group runs out of ideas.

3. EVALUATE THE LIST

MAKE SENSE OUT OF THE INFORMATION

Next, ask the group to put on their evaluation hats. Depending on your reason for brainstorming, you may want to:

- discuss criteria for evaluation
- combine ideas
- assign responsibility for enhancing or implementing ideas to individuals or teams
- hold a general discussion about the list
- have the group vote on ideas.

One technique for group voting is to give everyone a set of colored dots which they can place next to ideas on the flip chart. You can also assign values to the dots (such as 1 through 5) so that people can indicate the relative value of the ideas.

TIPS FOR USE:
If some members of your group tend to talk more than others, you can ask everyone to write down their ideas. Give them a time limit such as 2 minutes. Then go around the room asking each person to read one of their ideas which is not yet up on the flip chart. Keep going around the room until all ideas are listed. If you use this method, it is still a good idea to let the group add ideas afterward since one idea may stimulate others.

Catalytic Ground Rules

Every group will function more effectively if each member has a clear understanding of the ground rules which govern its operation. In addition to most of the traditional rules and procedures that help all groups, catalytic leadership teams and the groups of stakeholders they lead need to establish rules that reflect the principles of empowerment and collaboration.

> WHEN TO USE:
> Ground rules are best established when groups are first formed so that they can operate with clear understandings of the roles and policies from the beginning. In any event, it may be useful to use this tool whenever the group process breaks down.

1. HOPES AND FEARS

IDENTIFY THE GROUPS GREATEST CONCERNS

Rather than blindly adopting another group's standards and rules, each group should first examine the hopes and fears of its own members. On a flip chart have each member of the group express what it is they hope for most from the group and what it is they most fear will happen in the group.

1. DRAFT INITIAL GROUND RULES

USE THE LIST TO IDENTIFY HELPFUL POLICIES

For each non redundant hope or fear listed on your chart, have the group brainstorm operating procedures (rules) or responsibilities (roles) that would resolve the concerns and help ensure the hopes. For example, if one concern is that no one is willing to step forward and lead the group, then establish policies for rotating that role or dividing the responsibility and distributing it among several people.

The list below provides examples of typical roles and some considerations for rules which may help stimulate your groups thinking:

Roles	Rules
Meeting facilitator	How will decisions be made?
Time keeper	How will conflict be handled?
Record keeper	Where, when and how long
Agenda setter	will each meeting be?
Meeting evaluator	

3. CATALYTIC RULE AND ROLES

WHAT IS SPECIAL ABOUT CATALYTIC GROUPS

In addition to the normal kinds of ground rules that groups need, catalytic groups need to be sure that they operate under the principles of empowerment and collaboration. Make sure the group assigns members to the following roles and establishes policies to address the following rules.

Catalytic Roles	Catalytic Rules
Catalytic process champion	How to encourage and document learning?
Goal champion	How to share leadership and responsibility?
	How to ensure dialogue as well as discussion?
	How to recognize differences and still work collaboratively?

TIPS FOR USE:

Your ground rules should be revisited regularly to ensure that the group stays true to their intentions. Feel free to revise and update them as needed.

Celebration Techniques

Recognition and rewards are very useful and important motivators. They are especially important when a group's energy must be sustained through a long and arduous process. Celebrations have a way of feeding a group on its own energy. In the same way that two logs burn brighter and more intensely together than apart, celebrations seem to rekindle and intensify the spirits of a team.

> WHEN TO USE:
> Celebrations are important rites that honor achievements and motivate people to go on. Celebrating too frequently, however, diminishes its value. The list below provides some suggestions for when celebrations are appropriate:
>
> - When the group achieves a milestone or significant success.
> - When one or more individuals make a special contribution.
> - When the group's spirit and energy is lagging.
> - At regular intervals or anniversaries.

1. LOOK FOR VALUE

IDENTIFY REASONS TO CELEBRATE

Most of the time your successes and achievements will be clear cues for a celebration. When you need to use a celebration to re-energize the group, you may have to look a little harder for the excuse.

When doing the slow, hard work of systemic change, tangible results are often too infrequently achieved and the less tangible achievements – like learning – go unrecognized. Get in the habit of documenting and celebrating your group's learning (See *Learning Log*.) This not only re-energizes the group, but also reinforces the value of group learning.

2. BALANCE RECOGNITION

CELEBRATIONS SHOULD BE FOR EVERYONE

Since your work depends so heavily on the effectiveness of your team, you want your celebrations to build and reinforce the team. Be careful that your celebrations are balanced and shared. While there will be times when it is appropriate to single out individuals for recognition, be sure that it is not the same people every time or that certain individuals never experience the positive attention of the group.

FIND OUT WHAT IS VALUED

Your celebrations should be meaningful and varied. Prizes or rewards are only useful if they are valued by the recipients. While simple recognition is one of the most powerful and meaningful methods of rewarding, be sure to take into account your group's preferences. Get the group to share their ideas about what kind of celebration or recognition would make them feel good. Identify several options so that you can vary the events.

3. EXTEND THE CELEBRATION

REVEL PUBLICLY IN YOUR ACHIEVEMENTS

Share your successes and learnings beyond your own group. It's important to not only garner the kudos you deserve, but also to support the larger system by facilitating the learning of other groups and diffusing innovations and best practices.

TIPS FOR USE:

It might be a useful team building exercise to ask the group to consider the criteria for celebrating. So that you don't short change yourselves, you may even want to include these criteria in your ground rules so that you are sure to adhere to them.

Before a group can function effectively, its members must be clear on its purpose. One way to clarify and document a group's purpose is to write a "charter" which includes a vision statement, a mission, and indicators of success.

WHEN TO USE:
Ideally, a charter should be one of the first tasks a team performs, though it can be helpful any time a group is experiencing confusion about its purpose.

1. CREATE A VISION STATEMENT

BRAINSTORM INSPIRING STATEMENTS
Ask the team to list phrases or statements which describe their vision for the team. Ideally, the statements should be inspiring, something to strive for but not necessarily something which will be attained.

CRAFT A FINAL VISION STATEMENT
Discuss the common themes in the list. Pull together the most compelling themes into a final phrase or sentence. The final statement should be easy to remember and focused on meaningful outcomes. ("To boldly go where no one has ever gone.")

(For more tips see *Visioning*.)

2. WRITE A MISSION

DESCRIBE THE PURPOSE OF THE GROUP
Ask the team to complete the following sentence:

We exist to [end result] by [actions] for [customers] within [boundary conditions]. End result describes the ultimate outcome you hope for the team's work. Actions describe the types of services your team will offer or tasks they will complete. Customers include those stakeholders to whom you will provide services. Boundary conditions are constraints or bounds for your team (e.g., geographic boundaries, market segments, age groups, ethnic groups, etc.).

CRAFT A MUTUALLY AGREEABLE SENTENCE.
Combine the ideas and successively edit them until all team members can buy into the mission statement. Eliminate any unnecessary words. It should not exceed two sentences.

TEST YOUR MISSION.
Since people often have different ideas about the meaning of certain words, you should test the understanding of your mission statement. Brainstorm a list of things which are and are not implied by the mission statement. To do this, create a T-chart which has "This implies we will..." on one side and "This implies we will not ..." on the other. Then have the team brainstorm items for both sides of the T-Chart. If team members disagree about which side of the chart an item belongs, you should discuss the item and then consider if the mission should be modified.

3. WRITE INDICATORS OF SUCCESS

WRITE AN INDICATOR OF SUCCESS FOR EACH STAKEHOLDER
On a flip chart, list all your stakeholders down the left side. Next to each stakeholder, write a statement which describes what that stakeholder would consider success. Write it in present tense. For example, "Students recognize the relevance of what they are learning."

4. TEST YOUR CHARTER ON OTHERS

GET FEEDBACK ON YOUR CHARTER
Take your charter to others outside your team to see if it communicates well. Then modify it as appropriate.

TIPS FOR USE:
The charter should be posted in every meeting and should be referred to regularly to ensure the team is on track. Encourage all to view the charter as a living document which should be modified as appropriate. An effective charter acts like a compass, keeping a team on track and providing guidance. If your charter is not referred to regularly by members of the team, you should consider improving it.

Dialogue is an important tool for facilitating team learning. Dialoguing is not a single process so much as an attitude that a group has about how to collectively approach a problem or question. In a dialogue participants agree to openly talk about a particular subject suspending all values and assumptions. The ultimate goal of a dialogue is to invent as many ways as possible to make all the positions of the participants correct and valid at the same time.[5]

The three blind men and the elephant provide a good metaphor. As long as the three blind men argue about whether the animal they have encountered is a rope, a tree, or a wall, they will never arrive at an image of an elephant. If they talk together long enough, holding in their minds the possibility that they are all correct, they can invent ideas about what an elephant is out of the pieces of the puzzle that each person possesses.

WHEN TO USE:
A dialogue will be helpful in any of these situations:

- When your diverse group is trying to invent new solutions.
- Any time people begin to argue over who is right.
- When the solutions invented don't seem adequate to the problem.

1. GATHER TOGETHER THE KNOWLEDGE HOLDERS

REVISIT YOUR STAKEHOLDER/KNOWLEDGE HOLDER LIST
Be sure that you have all the knowledge you will need participating in the dialogue. This may mean reviewing your original list of stakeholders and knowledge holders to see if you have sufficient knowledge for the dialogue. (See *Mind Map* or *Boundary Chart* for more information.)

2. ESTABLISH RULES

CLARIFY THE PRINCIPLES OF A DIALOGUE
Make sure everyone understands and agrees to the rules of a dialogue. Agree in advance how much time the group is willing to

dedicate to this task. Post and review the list of rules provided below. Explain any that may be unclear to participants.

- Everyone has equal opportunity to speak.
- No speaker may be interrupted.
- Everyone will make the commitment to listen attentively.
- Everyone must agree to accept whatever is said as true and correct without argument or disagreement.

People should be encouraged to share their hopes and needs rather than their positions.

3. RECORD THE VIEWS

CREATE THE PUZZLE

Give each person a piece of chart paper and have them record their views. Have them draw a shape around their view so that it looks like a puzzle piece. Each person may then take a few minutes to share their views adhering to the rules of the dialogue.

CONSTRUCT THE PUZZLE

Now ask the group to invent as many solutions or stories that include as many of the puzzle pieces as possible. Encourage creativity, even silliness. Write down the inventions.

4. SYNTHESIZE LEARNING

DEBRIEF THE ACTIVITY

The point of this final conversation is not to find the "right" solution, but to see if any creative ideas came up that might be useful. It could take several dialogues before something feasible and innovative is invented, but each dialogue moves the group closer to this end. Use the questions below to lead this discussion:

- What did you learn?
- Do you have any insights about possibilities that you didn't have before?
- Do any of our inventions look like they are worth experimenting with?

TIPS FOR USE:
Use your *Learning Log* to record your learnings. You may want to add a special section to the log just for the results of dialogues. Be sure to review the log after each dialogue to reinforce what the group has learned to date.

Diffusion of Innovations

New ideas and new ways of acting are not accepted within groups or communities all at once. They spread from one person to another until enough people begin to act in the new way to say the group has "changed." The process is known as the diffusion of innovations.

WHEN TO USE:
Look into whether all of the "diffusion" roles are being adequately filled when beginning a change process. When a change process is stalled, ask if one of the necessary roles is not being performed. Continually ask whether by strengthening one of these roles the change process would speed up or be more likely to endure.

1. FILL THE ROLES

LOOK FOR PEOPLE WHO CAN FILL EACH ONE OF THE DIFFUSION ROLES

Their are a number of roles that need to be played for the new ideas to spread and take root successfully. Analyze the stakeholders with whom you have been working to see how they match up to these roles.

- Innovators: the small group of people who originally invented or advocated the change.
- Change Agents: the people who understand the value of the new idea and are willing to teach it to new people.
- Bridge People: the people who early on adopt all or part of the new idea. They tend to use and model the ideas rather than talk them up to others.
- Translators: The people who can stand along side others and explain the new idea in language they will understand. They make sense out of the new idea for people who are slow to change or catch on.
- Pioneers: The earliest people to act in the new way. These are people who are comfortable with being in the minority.

- Influence Makers: When these people adopt a change, a whole lot of other people are likely to come along with them.
- Adapters: The majority of people will adapt to the new idea over a period of time, but only when the change agents, bridge people, translators, pioneers and influence makers have done their work.

2. Prepare Your Advocates

PREPARE THOSE WHO WILL HELP SPREAD THE CHANGE

Care must be taken to see that these key people fully understand the change. Take special efforts to make sure that their questions and concerns are addressed. If they don't support the change or if they don't understand the change, they may in the end work to your detriment.

Decide as a group what you can do to prepare and support these people for your own change. Create a project plan for accomplishing these steps. Check in with your "agents" frequently to see what support or resources they need to continue to support the change.

3. Network Your Agents

INTRODUCE AGENTS TO PEOPLE THEY CAN INFLUENCE

It is important to play match maker and help get the agents of diffusion in front of or along side of those that need to hear their particular message. Managing these interconnections is an important leadership function.

> TIPS FOR USE:
> During the introduction of change identify, recruit, and train people to fill all the roles. The catalytic leader takes great care to see that all of these roles are filled. The change will go more slowly or may fail altogether if key roles are omitted. Take care to see that the roles that are needed earliest are identified and involved first. Don't allow your self to be discouraged before the various players have had a chance to do their work. The process of change can be hurried by recruiting more people into these key roles.

Face Filter

In our action-oriented culture, we tend to focus a disproportionate amount of our energy on just face one of a problem. We are enticed by the possibility of quick fix solutions. While face 1 work is critical to any solution, it is generally insufficient for the scale of problems described by the Benchmarks. The leader's responsibility is to encourage and manage work on faces 2 and 3 at the same time keeping some energy devoted to face 1 activities. The Face Filter is an activity designed to help groups recognize when they have failed to adequately address the more complicated sides of a problem.

WHEN TO USE:
It is appropriate to use the Face Filter whenever groups become to preoccupied with face 1 activities and neglect or refuse to address faces 2 and 3. It is also good to take time at regular intervals or after each major milestone is achieved to make sure you are not overlooking other important tasks.

1. CELEBRATE THE PAST

ACKNOWLEDGE YOUR PROGRESS TO DATE

Begin on a positive note by acknowledging the achievements or progress you have made to date. This is a good time to review your learning Log and assess the lessons you have learned on your journey. (See *Celebration Techniques* for more help.)

2. DETERMINE NEXT STEPS

WHAT SHOULD WE DO NEXT?

Get the group to discuss where they see themselves going from here. They may be ready on their own to begin face 2 or 3 work. If they are reluctant, or if they seem to be overlooking this work in favor of the more immediately satisfying face 1 work, use the series of questions below to help them acknowledge what they may be overlooking.

FACE	ACTION IF YES	QUESTION	ACTION IF NO
1	Mobilize, implement, measure, share learning, celebrate.	Are we sure that we have the commitment and energy of all the people needed to carry out the solution activities?	Transfer ownership, invent new solutions, find out what stakeholders have energy for. (See *Boundary Chart, Stakeholders Conference.*)
2	Same as above	Have we exhausted all the possibilities for inventing viable, innovative solutions?	Involve as diverse a group of stakeholders as possible and invent new solutions. (See *Stakeholders Conference, Brainstorming, Dialogue.*)
3	Same as above	Is our knowledge of the problem complete enough to ensure success?	Expand the boundary of our knowledge holders and engage them in dialogue. Review Benchmark data and tap Learning Networks for new insights.

TIPS FOR USE:
It may be necessary to ask the questions several times before you get honest answers. If the group is still avoiding the tough work, it may be necessary to review the principles of Catalytic Leadership as well as your charter to make sure everyone is in agreement about what the group's purpose is.

High Interest Negotiating

It is common for people to get "stuck" in adversarial positions. High Interest Negotiating techniques are designed to discover people's interests behind their positions and attempt to invent new solutions that satisfy the various stakeholders' highest interests.

WHEN TO USE: Use High Interesting Negotiating when people are caught in these situations: • When everyone seems to be fighting instead of engaging in constructive dialogue. • When progress is blocked because stakeholders are advocating different courses of action.

1. DISCOVER UNDERLYING INTERESTS

SEPARATE INTERESTS FROM POSITIONS

People tend to explain what they want in terms of positions and programs rather in terms of interests. Interests, however, cut closer to the heart of an issue and are easier to meet because they are more general.

Keep asking "why" to identify the real interest. Why is that solution important to you? What would it achieve for you? Stay positive and focused on the future during this discussion to avoid having to place blame for past disasters. Look for common points of view and higher interests which can be shared. This often re-focuses people on cooperation and starts healing frayed nerves and feelings.

Example:

Position 1: "I insist we eat out tonight." Position 2: "I refuse to go." Interst of 1: "I need a break from the kids." Interest of 2: "I'm concerned about the cost."

2. SEEK CREATIVE SOLUTIONS

INVENT BEFORE YOU COMPROMISE

When the true interests of the position are known, it is easier to invent new solutions that meet both interests though they may be different from the original position. In the example situation, sending the kids to a friend's, going for a long walk, taking a hot bath, all satisfy both interests.

New solutions are better than compromises. Compromises involve people giving up something they really wanted. While they are necessary at times, we tend to jump to them prematurely.

Often the most creative solutions come after many tries. Don't settle on the first good idea that comes along. Work hard to give yourselves a wide range of possibilities to select from. This generates a feeling of real choice among the participants.

3. REVISIT THE FINAL SOLUTION

DO A POST AGREEMENT IMPROVEMENT

Once a solution has been settled on by all of the stakeholders, go back to the table one more time and invent an improvement to the solution that will meet the highest interests of the stakeholders. This seals the sense of having done exceptionally good work and helps heal any bruised feelings that may still be persisting.

> TIPS FOR USE:
>
> Conflicts are normal. They are a sign that someone's underlying interests are not being met. Treat conflicts as an opportunity to discover important issues that must be solved to have lasting change that all of the stakeholders can support.

A Learning Log is a record of the collective learning of your group. It is a place to record your activities, outcomes, obstacles, and lessons learned. It is difficult to manage team learning without some systematic method for collecting and documenting what a team does. It also prevents groups from repeating mistakes or continuing with non-value added activities. It provides the records and data for assessing progress, achievements and outcomes. It facilitates the sharing of what you have learned and accomplished with others outside your group. And it teaches the group to value learning as an outcome itself.

WHEN TO USE:
All groups that plan to meet more than a few times or who have assembled for the purpose of achieving a particular objective should devise a means for documenting their learning.

1. DETERMINE THE FORMAT

CHOOSE A MEDIUM FOR STORING YOUR RECORDS

The first step in creating a Learning Log is to decide on the most appropriate means for documenting or storing your data. Depending on your resources, you may choose to use a computer database or simply a three-ring binder or file folder system. In making this decision, keep these criteria in mind:

- The data should be easy to access.
- The records should be easy to update or append.
- The log should be easy to store.
- Your format should facilitate duplication and dissemination.

DETERMINE YOUR DATA CATEGORIES

Next you will need to decide what information you will want to document. Remember the log should add value to your processes so do not feel compelled to document everything; just that which will be useful. Below are some suggestions for categories or data fields:

- Meeting minutes
- Key learnings
- Resources
- Project plans
- Success measures
- Team process evaluations

2. CREATE A DATA COLLECTION SYSTEM

MINIMIZE THE WORK OF DATA COLLECTION

Data collection can be a labor intensive process if not done thoughtfully. The last thing you want is to trivialize this important task, or make it so tedious that no one will want to do it. Try to create systems that make it easy or automatic. Outcome Based Agendas are a good example of a system that facilitates data collection. As another example, taking just a few minutes out of your meetings to rate and record on the spot the effectiveness of your meetings eliminates the need to make this a separate activity.

3. CONDUCT PERIODIC REVIEWS

ASSURE THE USE AND RELEVANCE OF THE LEARNING LOG

Take time at regular intervals or milestones to review the contents of the log. Your review should accomplish these tasks:

- Assess the relevance of the data that is being collected. If your learning or information needs have changed, take the time to revise the log and your systems rather than continue to use valuable energies to collect meaningless data.
- Analyze the data for trends, achievements, and new insights. (See *Celebration Techniques* for more information.)
- Synthesize the data and identify the lessons the group has learned. Record your new insights and the activities or systems you have used to correct mistakes or overcome obstacles. Also take time to explore the strategies that have high impact and how they might be leveraged or generalized to other situations.

Learning Network

Team learning should be both internally and externally focused. The *Learning Log* is a good device for managing the learning that goes on within the team. Learning Networks provide the infrastructure that supports learning from external sources. A Learning Network is intended to connect your leadership team with other leadership teams as well as with other resources and role models in order to facilitate your own success.

> WHEN TO USE:
> A Learning Network should be established fairly early in the life of a leadership team. It also works best if the network is continually nurtured and expanded.

1. Identify Learning Resources

START WITH THE OBVIOUS

As a group, Brainstorm a list of all the possible useful resources or connections. Your list should include other people or organizations like the Partners for Human Investment, and other leadership or Benchmark teams. It should also include all the important knowledge holders for your particular issue of Benchmark.

APPLY BENCHMARKING PRINCIPLES

Go beyond the obvious and include in your list any other organizations or people who have a reputation for being the best in some activity that relates to your own issue. For example, if your issue has to do with retraining dislocated workers, connect yourselves with leading edge companies like Motorola who deal with this issue internally to find out how they handle it.

2. ESTABLISH LINKING MECHANISMS

DETERMINE THE MOST APPROPRIATE VEHICLE

How you link yourselves with your identified resources will depend on your own circumstances. Electronic bulletin boards, for example, are a fast, efficient means for sharing information and staying connected, but they are not a media that are available to everyone. Be creative, but realistic. Use the list below to start your thinking:

- Conferences
- Newsletters
- Electronic bulletin boards
- E-mail
- Site visits
- Joint meetings
- Sending a representative to cross functional council
- Social or informal events and gatherings

3. LOG LEARNING

MAXIMIZE THE BENEFITS OF THE NETWORK

The network is only valuable if it facilitates learning or results. Don't waste its potential by letting what has been learned go unshared or forgotten. Get into the habit of documenting your learnings (see *Learning Log*) and explicitly analyzing the use and importance of what you have learned.

TIPS FOR USE:

You may choose to make information sharing a regular agenda item for your meetings. (See *Outcome Based Agendas*) This not only assures the learnings are shared, but also assures they get recorded and archived.

Connect your own learning infrastructures to your Learning Network to facilitate the learning of others. For example connecting information from your success measures into Benchmark data collection systems not only provides much needed data up to the state level, but also gives you updated state level data against which to compare your own progress.

Managing People's Reaction to Change

Redisgning a system to accommodate an innovation or change is generally the easy part. Getting the people who operate within that system to adapt to and support the change is the hard part.

People do not naturally change quickly. It takes time for most people to find their comfort within a new structure. While people are adjusting, it is not uncommon for dysfunctional behaviors to crop up or for morale to decline. This period of adjustment is referred to as the "transition."

WHEN TO USE:
Use these techniques when the change you are proposing will alter people's living or working conditions. These include changes in:

- What they do at home, work or elsewhere.
- Who they associate with.
- The purpose of their activities.

1. PLAN PEOPLE SIDE OF CHANGE

MAKE PLANS FOR TAKING CARE OF THE PEOPLE INVOLVED
Give considerable thought to the full range of how people will react to the change. Build into your plans methods for helping people with their reactions. Facilitate those reactions that are necessary and healthy; preempt those that are avoidable and dysfunctional.

PLAN "ENDING" CEREMONIES
Include in your plan activities which will help people deal with their sense of loss over the departure of the familiar and comfortable old way. A natural grieving period is healthy and will promote more rapid adaption if it is encouraged and facilitated. This may include acknowledging the losses by having ending ceremonies or events.

2. CREATE AN INFORMATION SYSTEM

BE FREE AND THOROUGH WITH INFORMATION
Unnecessary reactions stem usually from lack of information about the change and its intent. Without sufficient, reliable, and accurate information rumors will feed the worst fears and expectations of the participants in the change.

When planning your communication system, make sure that you keep these criteria for good information flow in mind:

- Information must be timely. If it comes before people are ready to hear it, it will be hard to process and understand. If it comes too late, you will have reinforced mistrust and created misunderstandings.
- Information must be complete. Make sure that all the critical facts and points are included in your messages.
- Information is judged by the source it comes from. Make sure that your information eminates from a credible source otherwise it might not be taken seriously.
- Information should be repeated. Build in sufficient redundancy to make sure the information sticks.

3. IMPLEMENT THE CHANGE

CREATE A SENSE OF BEGINNING
Launch your change with enough pomp and ceremony that it is acknowledged and recognized as something significant.

EXPECT PEOPLE TO FLOUNDER FOR A WHILE
Even if everyone responds to the new beginning positively, you can still expect them to enter a period of confusion. People are not only grieving the loss of the old way, but the new way is likely not working smoothly yet either. Be sure to let people know that this period is normal. Provide support, training, information, and recovery systems to help people through this transition.

3. CELEBRATE OUTCOMES

CELEBRATE PEOPLE'S SUCCESSFUL TRANSITIONS
As the change starts to take hold, start celebrating the successes and achievements. It is hard to celebrate too much. Celebrations encourage people and acknowledge the hard work they have done.

Mind Map

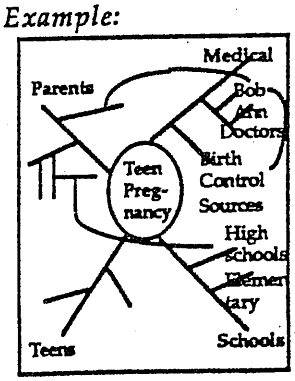
When people are listing ideas, they usually come out in random order. Standard brainstorming methods do nothing to organize this information; nor does brainstorming ensure you have considered all sides of an issue. Mind maps, on the other hand, provide a useful way to organize information as you generate it and show interrelationships between the ideas. Mind maps use a process similar to fishbone diagrams but they are less structured in that you can use any number of "bones" or branches.

> WHEN TO USE:
> Use a mind map to organize your personal thoughts or to guide a group when it is generating ideas. Examples include:
>
> - Identifying the issues within your charter
> - Targeting stakeholders and knowledge-holders
> - Listing actions or tactics to solve a problem.

FRAME THE ISSUE

WRITE THE ISSUE/PROBLEM/PURPOSE
In the center of the flip chart, write the central issue you will be focusing on. This may be framed as an issue, purpose, question, or problem. Draw a circle around the issue. For example, your framing issue may be, "Who are the stakeholders involved in teen pregnancy?"

Example:



NAME THE BRANCHES

DEFINE HOW TO ORGANIZE THE INFORMATION
Draw branches or spokes off the circle and label them. For teen pregnancy, you might use these labels: teens, parents, schools, medical professions.

You can add branches any time during the idea-generating session as needed.

BUILD THE DIAGRAM

ADD DETAIL TO THE DIAGRAM

As the group generates ideas, attach them to the appropriate branch. Add "twigs" to the branches to indicate sub-categories. Keep asking, "What can we add to this branch/diagram?" and "What does that idea relate to?"

DRAW INTERRELATIONSHIPS

Some ideas may relate to several branches of your diagram. Draw lines to connect these ideas.

MAKE DECISIONS

ANALYZE THE DIAGRAM AND USE IT TO MAKE DECISIONS

When the group runs out of ideas, use the available information to make decisions. There are many ways to do this. For instance, you may simply ask the group, "What actions should we take based on this information?" Or you could give everyone colored dots and ask them to vote on the priority items. You could also assign branches of the chart to different people.

TIPS FOR USE:

Use different colored markers for the various branches to enhance interpretation of the chart.

Don't constrain the group to addressing one part of the chart at a time; let the ideas flow freely. When the ideas wane, see if portions of the chart need to be enhanced.

Items which have many lines coming in to them may represent leverage points. For instance, you may find a stakeholder who is connected to many agencies.

Outcome-Based Agendas

Meetings are notorious time wasters. However, they don't have to be. One method for getting control over meetings is to establish outcome-focused agendas. Instead of focusing on topics, these agendas define the outcome required. This provides a clear focus and simplifies note-taking for meeting minutes.

WHEN TO USE: Use outcome-focused agendas for any meeting. These may include: • Committee meetings • Planning meetings • Interviews

1. ESTABLISH A MEETING STRUCTURE

DEFINE THE PURPOSES WHICH THE MEETING SHOULD ACHIEVE.

Meetings can serve many purposes. They may be focused on learning, information exchange, creative discussion, problem solving, planning, or decision making. These focuses each imply a different method for running the meeting.

Repetitive meetings (such as committee meetings or staff meetings) often serve several purposes. Establishing a recurrent structure which is used in each meeting is helpful. Determine what your meeting structure should be. We suggest allocating a portion of each meeting to learning.

SEQUENCE THE PURPOSES INTO A LOGICAL FLOW

Once you have identified the purpose(s) of the meeting, you should sequence them. Information from one might feed into another. Also, take into account energy levels of the participants and the need for variety during long meetings. Establish an appropriate structure.

Meeting Structure

- Information exchange
- Dialoguing
- Decision making

2. DEFINE THE OUTCOMES & RESPONSIBILITIES

WRITE OUTCOMES FOR THE SPECIFIC MEETING.

Within the structure, define the outcomes for each part of your next meeting. These outcomes should be written so that all participants will be clear when the outcome is achieved. See the comparison between topics and outcomes below.

TOPIC	OUTCOME
Strategic planning subcommittee report	Identify changes to strategic plan and approve plan
Presentation on Benchmarks	Identify relevant Benchmarks
Brainstorm implementation options	Develop at least three creative implement strategies using Dialoguing technique
Presentation on high-performance systems	Build a common understanding of high-performance strategies and terminology

To translate a topic into an outcome, ask, "What do we want to get out of this topic?" or "Why do we want to include this topic on our agenda?"

ESTABLISH RESPONSIBILITIES, PROCESS, AND TIME.

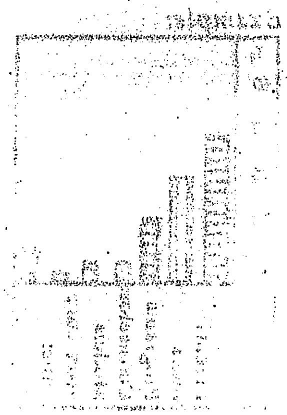
Now that outcomes are clear, establish who will be responsible for each outcome, what process they will use to achieve the outcome, and how much time will be necessary to achieve the outcome.

TIPS FOR USE:

The agenda and any supporting information should be distributed to participants before the meeting so that they can come prepared.

If you leave room on the agenda next to each outcome for the results of the meeting, you can use that space to keep minutes. Then the agenda (with the minutes) can easily be copied, thus avoiding the tedious process of typing meeting minutes after the meeting.

Pareto Chart



A Pareto chart lets you graphically represent the relative importance of various problems or possible causes of problems. The information is displayed in a series of charted bars with the largest entered first on the left and the others charted in descending order across the chart to the right.

WHEN TO USE:
A Pareto Chart will help you identify where to concentrate your energies. Use it to decide where to start on a problem or to display the relative importance of various components or causes of a problem.

1. ITEMIZE THE IDEAS OR PROBLEMS

IDENTIFY THE ISSUES RELEVANT TO YOUR GROUP
Determine the categories you want to analyze. List your categories on a flip chart. Be sure that they are all related to the same problem and are not redundant or overlapping. This method of ranking and weighting your problems or options will work best if you can limit the items under consideration to fewer than five or six.

Example:

Causes of Drop Out Rate

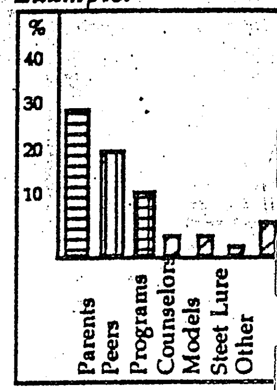
- Irrelevant school programs
- Lack of role models
- Lure of street life
- Peer pressure
- No parental involvement
- Too few school counselors

2. DETERMINE MEASURES

DECIDE HOW YOU WILL WEIGHT OR MEASURE YOUR ISSUES

If the ideas or problems lend themselves to quantifiable evaluation, use whatever data you have to assign a value to each item. Make sure that you are using the same measurement scale for each; for example cost to community, or number of people affected, or percentage of the problem accounted for.

Example:



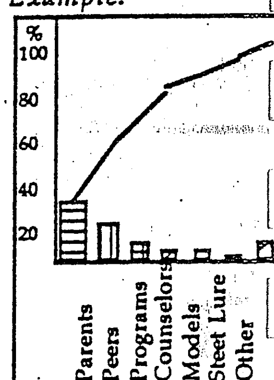
3. DISPLAY THE DATA

CONSTRUCT THE CHART AND GRAPH THE DATA

To construct the chart list your measurement value on the vertical axis and your measured items on the horizontal. Enter your items in order with the largest first and the smallest last.

TIPS FOR USE:
You can also use the graph to show the cumulative effects of the items. Use a line graph which indicates the value of each item added to the total of all the items before it.

Example:



Personalizing Trends

Personalizing Trends is an activity designed to help stakeholders recognize the stake that they have in an issue.

WHEN TO USE:
You can use the activity to help establish the preconditions to transferring ownership. Personalizing trends will help stakeholders:

- Identify the personal importance of an issue.
- Recognize their interdependence with other stakeholders.
- Acknowledge the influence they have over the issue.

1. IDENTIFY AN ISSUE

FRAME AN ISSUE OR PROBLEM
Presumably the groups involved in this activity have been convened because they have a common issue or problem. Assuming that they may not recognize this, you need to be careful to frame the issue in such a way that it encompasses all the participants' concerns. The Benchmarks may provide good fodder for this activity.

Use *Brainstorming* or *Dialoguing* techniques to generate a clear and concise statement which describes the higher purpose which unifies the group.

Example:

Too many teens in our community become pregnant before the age of 18.

2. SPECULATE ON THE IMPACT

ASK "WHAT WOULD HAPPEN?"

Divide the group into workable sized teams (4-8 people). Have them speculate on what the community would be like in five years if nothing is done. Encourage them to be free with their thinking without being unrealistic. Also encourage them to think about the side effects of the problem; that is what else might be impacted if the situation goes unchecked. Have them list their ideas on chart paper in preparation for sharing them with the rest of the group.

Example:

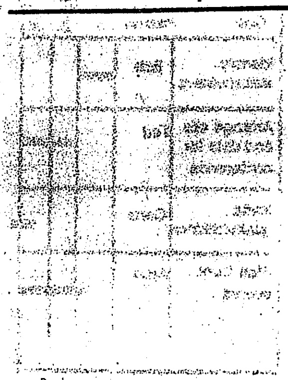
- Increase in abortion rates
- Increase in school drop out rates
- Increase in welfare expenses
- Increase in child abuse and neglect
- Reinforced irresponsible sexual behavior
- More children growing up in poverty

3. ACKNOWLEDGE PERSONAL IMPACT

ASK "WHY DO YOU CARE?"

Have participants examine the impact of the problem and then answer the question, "Why do I care about this problem" or "How does this effect me?" Have each group share their conclusions.

TIPS FOR USE:
This is a good lead activity to creating a shared vision.



The successful implementation of any project depends on the ability to manage details. A simple project management scheme will help groups manage and coordinate their many tasks.

> **WHEN TO USE:**
> Project Management will help you take an organized approach to any project. It is especially helpful, however, in the following situations:
>
> - When there are too many details to handle efficiently with one "to do" list.
> - When the number of people involved make it hard to effectively track activities.

1. LIST ALL PROJECTS

IDENTIFY ALL THE PROJECTS YOU ARE TRYING TO MANAGE
We define a project as any related group of activities that need to be accomplished in order to obtain a targeted result. List all the major projects on a sheet of chart paper. Include the following information for each project:

- The project name
- The outcome sought
- The estimated hours of effort required
- The start date and completion date

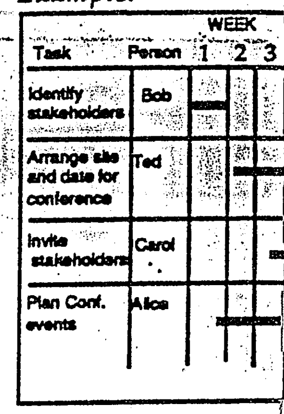
2. LIST ALL TASKS

DEVELOP A DETAILED LIST OF TASKS FOR EACH PROJECT

List for each project all the separate activities that need to be completed in order to accomplish the entire project. If some of the items on your task list require more than one person for more than one day, then it is probably a sub-project and should be listed on the project list and detailed separately.

Your detailed task list should describe the task and identify the person responsible for the task. You should also determine a due date for each task and some estimate of how long it will take to accomplish. The easiest way to record all of this is in chart form as illustrated in the example.

Example:



3. CHECK YOUR PROGRESS

CONDUCT REGULAR REVIEWS

Establish some regular interval for checking progress on your various projects. Acknowledge people who have successfully made their deadlines. Problem solve and determine options or alternative plans where deadlines are not being met. Also, be sure to update your plan to account for changes in direction or schedule.

STANDARDIZE YOUR PROGRESS CHECKS

The checklist below will help conduct a thorough and consistent review of each of your projects:

- Look at each project from the master project list.
- Add any new items to the detailed task lists that have come up since the last review.
- Schedule all activities for each project that need to be accomplished before the next review.
- Engage the group in a problem solving session to resolve any obstacles the project team may be encountering.

Purpose Centered Planning

Complex changes require a high degree of flexibility because of the constant learning and adapting that goes on in the process. Planning for this process, then, should allow flexibility putting as few constraints on the decision making process as possible. Purpose Centered Planning focuses on creating very clear but general goals or outcomes. Specific details are omitted until the very last minute to account for late breaking information and changes in the system.

WHEN TO USE:
Use Purpose Centered Planning whenever establishing goals for face 2 or 3 of a problem.

1. DETERMINE OUTCOMES

WRITE AN OUTCOME FOCUSED PLAN

Use your focusing question or the results of a Purpose Hierarchy to establish your end goal. From there identify all the relevant sub-goals that must be achieved in order to achieve the end goal.

Example:

Ensure that high school graduates are prepared to enter the workforce.

REPLACE SPECIFIC PROGRAMS AND TASKS WITH GENERAL OUTCOMES

The group will undoubtedly be compelled to describe specific activities. Every time they do, replace it with more general descriptions of outcomes or success criteria that describe the purpose behind the specifics. In other words ask them what it is they are trying to achieve with the activity they included?

These examples should help illustrate the difference between purposes and activities:

Activity	Purpose
Take students on tours of local businesses.	Students should be familiar with local employment opportunities.
Put each high school senior in a resume writing workshop.	Each graduating senior should have an acceptable resume.
Create work study programs.	Each graduating senior should have some previous work experience.

2. SCHEDULE DECISIONS

WHEN DOES A DECISION <u>HAVE</u> TO BE MADE?

The specific details will of course need to be added to the plan at some point. The trick is to postpone them as long as possible while still leaving enough time to implement them. Postponing decisions allows for changes in conditions that might affect the decisions you make. Allowing as much time for learning, late breaking innovations, or changes in the system helps you make the best, most cutting-edge decision possible.

For each outcome on your plan, identify the absolute latest date that the decision can be made.

3. ANTICIPATE SIDE EFFECTS

WHAT PROBLEMS WILL THIS CHANGE WILL GENERATE?

When working with complex systems, it is almost inevitable that solving one problem generates six new problems. Good leaders get the diverse stakeholders involved in a brainstorming process that attempts to predict as many future problems as possible. Then plans are made now to begin to anticipate those problems. In our example it might happen that fewer seniors choose to finish high shcool or go on to college as a result of getting a good job.

> TIPS FOR USE:
> Write "draft" on the top of all your plans, even finished products, to remind yourselves that solving complex problems requires a high degree of flexibility.

Purpose Hierarchy Chart

Purpose Hierarchy Charts help to clarify a groups understanding of their purpose. You create a list of purposes from quite general to quite specific. With these options in front of you, it becomes easier to understand the implications of any particular purpose statement and thus helps the group decide on one. These charts can also be used to highlight differences between stakeholders and to identify a higher purpose which might provide for common ground among divergent groups.

WHEN TO USE:

Use a Purpose Hierarchy Chart whenever your purpose is not clear. Examples include:

- selecting a framing issue for your catalytic team
- framing a purpose for a Stakeholder Conference
- selecting a purpose for a subcommittee, or
- identifying a purpose for a major meeting.

1. WRITE A PURPOSE STATEMENT

FRAME A POSSIBLE PURPOSE STATEMENT

Ask someone to frame a possible purpose statement. Write their suggestion on a flip chart. Make sure it begins with a strong, action verb which prescribes instead of measures – e.g., establish or provide instead of increase or minimize.

Example:

Provide high-school students with exposure to the work setting

2. LIST A SET OF POSSIBLE PURPOSES

ASK "WHY" REPEATEDLY

Ask, "why would we do this?" about the purpose statement to reveal a higher purpose. Write that purpose above the previous one. Then ask "why" again. Repeat until you feel the purposes are too high to be helpful.

ASK "HOW" REPEATEDLY

If the first purpose listed seemed too broad, ask "how would we do that?" repeatedly to reveal more specific purposes. Write these below. Do this until you feel the purposes are getting too narrow.

Example:

Why?	Prepare students to be successful in the workplace
	Align student expectations with the needs of the workplace
	Provide high-school students with exposure to the work setting
How?	Establish a work-study program with business

3. SELECT AN APPROPRIATE PURPOSE

DISCUSS THE OPTIONS AND SELECT ONE

Ask the team to discuss the benefits of the various purpose statements. Select the one which seems to best describe what your team wants to accomplish. Remember: It should allow for lots of stakeholder flexibility since your job is to catalyze, not prescribe solutions. If appropriate, combine two or more of the purpose statements to craft your final one.

TIPS FOR USE:

If different stakeholders would have vastly different purposes in mind, you can ask them to come up with their own purpose hierarchy and then craft a purpose statement which encompasses all stakeholder needs. Ask yourselves, "What would the solution be like that meets all these needs?"

The Stakeholder Conference – sometimes called a future search or visioning process – is a meeting of all stakeholders (or representatives) where the entire group explores its history and present situation while forging a shared visions for the future. Stakeholder Conferences have been successfully used with groups as large as 900. While to be most effective they require several full days, they have proven their worth in bringing disparate groups together and aligning them to a common purpose.[6]

> WHEN TO USE:
> The best use for a Stakeholder Conference is to build community and a sense of common purpose among widely diverse groups of stakeholders. It is also an effective means of transferring ownership and getting a sense for where the stakeholders have energy.

1. IDENTIFY THE RALLYING ISSUE

DEFINE AN UMBRELLA ISSUE OR QUESTION

This first step is critical as it will determine who should attend the conference. The framing issue or question needs to be broad enough to be relevant to all the critical players, but not so broad as to be overwhelming. Use a *Purpose Hierarchy* if you need to define your framing issue.

Example:

> How can we develop a world class workforce in our community?

2. CREATE A CONFERENCE PLAN

DECIDE WHO, WHEN AND WHERE

The conference planning needs not only to determine times, dates and place, but also careful consideration of who should attend and how you will entice them to come. Use the following list of questions to help you create a project plan and time line:

- Who are the stakeholders groups who should be invited?
- How can we offset adverse impact on certain groups so that we get full representation?
- Who specifically from each stakeholder group do we want

in attendance?

- Where will the conference be held and what administrative details need to be addressed (meals, equipment, materials, facilitators, etc.)
- How will the conference be promoted and how will participants be invited?
- How can we best communicate and diffuse the results of the conference to all stakeholders?

3. CONFERENCE FORMAT

STRAW MAN SCHEDULE

Each Stakeholder Conference is different; however, many follow this basic flow:

Start-up	Explanation of Stakeholder Conference, ground rules, groupings, roles
Past	Activity examines collective past on three dimensions: self, community, society
Present	Activity examines the present from two perspectives: external and internal to the community
Future	Activity where participants draft preferred futures and present in creative way
Action Steps	Participants select issues for which they have energy and draft a plan
Closing	Final reports, next steps, congratulations

TIPS FOR USE:
While you will be tempted to shorten the time frame, keep in mind the trade-offs you are making when you do this. Research indicates that in order to build true community among a group of diverse people, at least two consecutive days are needed. Many subtle human dynamics come in to play that cannot be short cut. Also the intense schedule helps keep momentum going and increases the likelihood that you will reach your end goals.

The T-Chart is a simple tool that can be adapted to a variety of uses and situations. It gets its name because the lines used to construct the two columns on the chart form the letter "T."

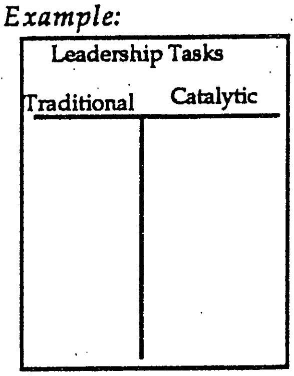
WHEN TO USE:
Use a T-Chart when you want to analyze the comparative features of an issue or to force polarity of issues. The following are some example uses:

- List the advantages and disadvantages of a chosen solution.
- List data items and their associated sources.
- Compare traditional leadership activities with the activities of the catalytic leader.

1. CHOOSE CATEGORIES

CONSTRUCT THE T-CHART
Construct two columns on a sheet of chart paper by drawing a large "T." Enter the headings for the two columns at the top on either side of the center line.

Example:



2. ENTER DATA

FILL IN THE TWO COLUMNS

Most often the chart is filled-in during a group discussion. The group's comments or ideas are recorded on the chart as they are raised. This is also an efficient way to display and report data collected by other means such as statistical research, questionnaire responses, or nominal group techniques.

Example:

Leadership Tasks	
Traditional	Catalytic
Make decisions	Empower stakeholders
Identify solutions	Transfer ownership
Lead meetings	Facilitate process
Correct mistakes	Monitor learning

3. INTERPRET THE RESULTS

WHAT DOES IT MEAN?

In many cases analysis may be as easy as counting or quantifying entries in each column, for example when comparing advantages or disadvantages. Other times the analysis leads to new learnings or understandings as in the example shown above. In either event be sure to let participants discuss the implications of the information. If necessary, record any actions items which the discussion calls for.

> TIPS FOR USE:
>
> Another variation – often called a PMI chart – uses three columns. These charts are used to show the Pluses, the Minuses, and the comments that are Interesting but neither positive nor negative. More than three columns diminishes the value of the tool, however.

Learning loops are one of our best tools for getting better at solving problems or improving systems. It is rare that one action will by itself fix all that needs to be fixed. Usually a whole series of incremental steps must be taken before significant changes are seen. The good news is that these incremental steps give us an important opportunity to make mid-course corrections while at the same time garner knowledge of the larger system. If we are careful to glean all of the lessons and insights we can from our early efforts, we can get better and better results over time. Without availing ourselves of the opportunity to learn, early errors can be unnecessarily magnified as time goes on. Triple Loop Learning is designed to guide our learning at each face of a problem.

WHEN TO USE:
Use Triple Loop Learning in these situations:

- Whenever an action has been completed.
- Whenever the results obtained from an action were different than expected.
- Whenever you want to improve the outcomes that you are getting.

1. LOOK FOR CONTINUOUS IMPROVEMENTS

FACE 1 – LOOK TO SEE IF THE RESULTS YOU GOT CAN BE IMPROVED

Your group has completed some face one activities and celebrated the outcomes of those activities. This is an appropriate time to work through the first learning loop.

Examine whether the actions you have taken gave you the results you predicted. Spend some time learning from the feedback you get from your actions to determine how you might improve the solution you implemented to get better results next time.

2. CONSIDER NEW SOLUTIONS

FACE 2 – MIGHT AN ENTIRELY DIFFERENT SOLUTION HAVE WORKED BETTER?

You had a good understanding of the problem, but initially had some debate about the appropriate line of action. Begin the second loop of learning by examining other the solutions not tried. What might have happened had another solution been implemented? What latitude do you have for trying another solution now? Has the feedback from your initial activities given you any new ideas for other solutions not thought of before?

3. RE-EXAMINE THE LARGER SYSTEM

FACE 3 – WHAT MORE DO WE KNOW ABOUT THE SYSTEM?

Our understanding of very complex systems will always be imperfect, but the insights gained from our experiments will continually improve our model. Once some action has been taken, you have a unique opportunity to observe how the system actually works. Did the experience support your initial assumptions about how the system would react? All unexpected results are an opportunity to improve your model of the system which will lead to successively better decisions in the future.

TIPS FOR USE:

It is not important to make this review and learning process formal. What is important is that the opportunities not be lost. Check with as many stakeholders as your feel practical and ask them what they learned in each one of these areas. You will be surprised at how many opportunities you will have to improve system performance. Don't forget to redefine success to include lessons learned.

Triplet Questioning

Triplet Questioning is a technique for gaining a deeper understanding of what someone is saying. It is more than "active listening." It is a discovery process that assumes there is more here than the literal meaning of the words being used. Triplet Questioning is a dialogue which makes use of three types of questions:

- A question which asks for information
- A question which asks for illustration
- A question which asks for feelings

WHEN TO USE:
Use Triplet Questioning in these situations:

- As a structure for a dialogue.
- When people are beginning to argue.
- When you suspect that people are not "hearing" each other.

1. ASK FOR INFORMATION

BEGIN WITH ANY SIMPLE QUESTION
Any question can begin the process. Open ended questions, or yes or no questions are both fine. The only rule is that the question has to be an honest one and not one that is argumentative or baiting.

2. ASK FOR ILLUSTRATION

TELL A STORY
Once the first question has been answered, immediately ask the person to tell a story that would illustrate the answer. Avoid commenting on what you have heard just yet. Refer to the question samples below for ideas about how to phrase this second question.

- Can you tell me what that would look like?
- How would you know if you achieved that?
- Can you tell me a story about when that happened?
- What do you see in your mind's eye when you say that?

3. Ask for Feelings

HOW DOES THAT MAKE THEM FEEL?

Out of the story you will probably hear some point or points that you think are the "meat" of the subject. Ask the person to tell you in their own words how important that point is to him or her.

- On a scale of one to ten, how important is that to you?
- Compared to (something else), is your idea more important?
- Of all the things you shared with us, which is the most important to you?

4. Repeat the Process

CONTINUE THE SEARCH FOR DEEPER UNDERSTANDING

One round of Triplet Questioning will likely be insufficient. Repeat the process as many times as you need to continue to get new information about what each person feels is valuable. Formulate new questions from what you have heard in previous answers or start a new line of questioning from some other direction.

> TIPS FOR USE:
> While the three types of questions are designed to give you the full picture of someone's meaning, your particular situation may suggest you focus on one more than the other two. If your groups is struggling with alignment, for example, you will want to pay special attention to the answers to the third question. If people are questioning their contribution, having them tell a story about how they wish they could contribute could be very enlightening. If your issue is discrepant information among group members, then your attention will be on why someone thinks something is true.

A team requires a shared vision to guide individual action. This vision should provide inspiration and alignment. If the vision statement created in the charter process has not provided sufficient clarity, this visioning process should help.

WHEN TO USE:
Visioning may help under these circumstances:

- Team lacks energy.
- Team members seem to have different ideas of their purpose.
- Team has trouble communicating to others the importance of the team's work.

1. CONSIDER THE PAST

LIST PROUD'S AND SORRY'S
Create a T-Chart with "proud" on one side and "sorry" on the other. Ask the team to list what in the past made them proud and what they were sorry about from the past. Allow them to tell stories and describe the feelings associated with these incidents.

IDENTIFY THE THEMES
From the "Proud's and Sorry's," identify the common themes. Proud's should lead to things you should reinforce or maintain. Sorry's should be avoided in the future.

2. EXAMINE FORCES AFFECTING THE PRESENT

LIST THE TRENDS WHICH ARE AFFECTING THE PRESENT
Use Brainstorming or a Mind Map to list current trends. These may include macro/global trends, industry trends, demographics, and competitive pressures.

3. DEFINE THE PREFERRED FUTURE

DESCRIBE A POINT OF TIME IN THE FUTURE

Ask team members to describe how things would be different at a specific point in time in the future (e.g., 5, 10, or 20 years hence). They should be encouraged to describe it as if it were true, in the present tense.

Creativity should be encouraged. In addition to just discussing options, the team can break up into groups and prepare skits or pictures which dramatize the changes. One format which works well is having them prepare a TV news clip.

DOCUMENT THE MAIN THEMES

After the team reports and discusses, extract the main themes and document them on a flip chart entitled, "Our vision for the future."

TIPS FOR USE:
Visioning is most effective when it engages both the right and left side of the brain, the intuitive and logical portions of our mind. To that end, using techniques which help get access to the right, intuitive side are helpful. Drawing, acting, and mental imagery are all methods which help access the right brain.

Suggested Reading

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