Facilitation in Action
How are you using facilitation in your work in partnership?
Participation and Facilitation

Participation
A process of collective analysis, learning and action focused on agreeing and achieving shared objectives.

Participation relies on an environment of trust in which people share their skills, knowledge, ideas and resources to reach and act on shared decisions.

Facilitation
The act of making this process easier.

The responsibility of creating this environment.

Credit: VSO Participatory Approaches: A facilitator’s guide
PROCESS

CONTENT
Facilitation and the ADR Continuum

**Facilitation (OPM):** Individual provides non-directive leadership. Process that enables others to meet objectives.

**Alternative Dispute Resolution – ADR (EPA):** Procedure to resolve issues in controversy. Includes facilitation, mediation and other methods. Voluntary process guided by a 3rd party neutral with no stake in the outcome.

Credit: Adapted from NY State Unified Court System
To Facilitate, or not to Facilitate?

Scenario A:
You are an employee of the USFS.
An area wildlife nonprofit has a lawsuit pending regarding trail development in a Wilderness Area managed by USFS.
This nonprofit contacts the FS District Ranger and Outdoor Recreation Planner, and requests a meeting to discuss alternatives to agency decisions regarding the trail development.
To Facilitate, or not to Facilitate?

Scenario B:
You are an employee of the USFS.
The NPS and USFS have invited community partners (composed of representatives of youth groups, nonprofits and area teachers) to a meeting to discuss development of the Great America’s Outdoor Initiative.
Youth group leaders are reluctant to attend due to the past experience of working with the USFS grazing permit concerns of the parents.
To Facilitate, or not to Facilitate?

**Scenario C:**

You are an employee of the BLM. Representatives of a national nonprofit and the BLM are both troubled by the implementation of a stewardship contract. Both have threatened to walk away from the partnership. Communication is characterized by accusations and a desire to place blame. In a last ditch attempt to move forward they have agreed to a face to face meeting.
Facilitation: Process, Role, & Practice
Facilitation Process

Prepare
- Environment
- Logistics
- Communication
- Process design
- Set the agenda
  - Participant prep
  - Space prep

Act
- Welcome / Introductions
- Facilitator role
  - Ground rules
  - Manage agenda
  - Decision process
  - Engage
  - Guide discussion
  - Closing

Follow-up
- Record
- Share information
- Keep commitments
- Evaluation
- Follow-up actions
Process Design and Agenda

**WHO**
- Attendees
- Positions/interests
- Roles
- Responsibilities

**WHAT & WHY**
- Issues
- Goals/Objectives
- Desired outcomes

**WHEN & WHERE**
- Place and space
- Energy
- Equipment
- Resources

**HOW**
- Engage/involve
- Multi-modal
- Decision process
- Closing
Spheres of Facilitation

- Public
- Partners
- Teams
- Individuals

- Planning
- Time for Discussion
- Complexity
- Formality
- Neutrality
A Role with Many Hats

- Build relationships and trust
- Use effective language and communication
- Use a variety of skills and methods
- Champion the process
- Advocate for clear roles & responsibilities
- Manage conflict and difference
- Provide leadership when needed
- Allow outcomes to emerge from dialogue
- Empower groups to become independent

Credit: Adapted from Rixon et al 2007
Personal Qualities & Effective Behaviors

Credit: VSO Participatory Approaches: A facilitator’s guide
Some Best Practices

<table>
<thead>
<tr>
<th><strong>DO</strong></th>
<th><strong>DON’T</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Be present and neutral, clear and confident</td>
<td>Make assumptions based on appearance</td>
</tr>
<tr>
<td>Review and enforce ground rules</td>
<td>Downplay people’s ideas</td>
</tr>
<tr>
<td>Model respect</td>
<td>Push personal agendas</td>
</tr>
<tr>
<td>Watch body language (yours &amp; theirs!)</td>
<td>Dominate or allow others to dominate</td>
</tr>
<tr>
<td>Make eye contact</td>
<td>Take a stance with one sub-group</td>
</tr>
<tr>
<td>Summarize and pause</td>
<td>Tell inappropriate or offensive stories</td>
</tr>
<tr>
<td>Keep things flowing and on track</td>
<td>Tell stories that are too personal</td>
</tr>
<tr>
<td>Manage conflict and disruptions</td>
<td></td>
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<tr>
<td>Consider cultural norms and differences</td>
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<tr>
<td>Use appropriate humor, stories and examples</td>
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<tr>
<td>Use appealing visuals and flip charts</td>
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<tr>
<td>Be available during breaks</td>
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</tbody>
</table>
Facilitation Process

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- Closing

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- Record
- Share information
- Keep commitments
- Evaluation
- Follow-up actions
Tips for Ground Rules:

- Early on
- Agreed upon
- Posted
- Revisit and revise

**Ground Rules**

1) Honor Time Limits
2) Be Additive, Not Repetitive
3) Participate Fully - Take Risks
4) Be Open To New Ideas
5) Be Respectful Of Those Talking Or Presenting (No Sidebars)
6) Turn Walkie Talkies Off

**Basic Ground Rules**

- Get it in writing.
- Be punctual & prepared.
- Strive to reach consensus.
- One conversation at a time.
- Respect the views of others.
- Keep the discussion relevant.
- The group is responsible for the outcome.
R-E-S-P-E-C-T

Shared by John Garn, USFWS
Posted as a resource on the Course Notebook
Clarify Decision Process

IAP2 Spectrum of Public Engagement

Consensus Decision Process
Encouraging Participation

- Too Much or Not Enough
- Disruptive Behaviors
- Staying on Track and on Time

- Disagreement or Conflict
Too Much or Not Enough

- Ground rules!
- Clarify roles and decision process

Too Much
- Thank, restate & connect
- Emphasize time limits
- Ask to explain relevance
- Give a non-talking role
- Flip charts / Parking Lot
- Share ideas ahead of time

Too Little
- Eye contact and simple question
- Pair-share or Small group discussion
- Recognize contributions, ask for more
- During break, ask how it’s going
- Invite everyone to take a turn
Keeping on Track and on Time

**Issues:**
- Returning from breaks
- Rabbit holes
- Running out of time
- Never-ending discussions
  - Lost in the weeds
  - Scope creep
  - Need information
  - Personal agendas

**Solutions:**
- Revisit agenda
- Parking Lot for off-topic issues or things to follow up later
- “We’re running out of time…”
- “What do you need to close?”
- Group ruling
Disagreement and Conflict

Engage in advance

Ground rules & peacekeepers

Clarify the issues:
  • Ask for a clear problem statement
  • Ask questions to reveal underlying issues

Redirect attacks on people or process
  • “What is your concern with this issue?”
  • “What is going on here?”

Private aside, group check-in or ruling
Disruptive Behaviors

• **Ground rules & group signals**

• **Interaction or Break**

• **Sidebar conversations:**
  • One at a time ground rules
  • Ask if clarification or contribution

• **Repetition:** summarize and relate
Humor, used appropriately, can help to defuse tension and refocus the group from the people to the problem.
<table>
<thead>
<tr>
<th>Encouraging Participation: Strategies</th>
<th>Too Much</th>
<th>Too Little</th>
<th>Sidetracks or Rabbit Holes</th>
<th>Disagreement or Conflict</th>
<th>Disruptions</th>
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</thead>
<tbody>
<tr>
<td>Ground rules!</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Clarify roles or decision process</td>
<td>X</td>
<td></td>
<td>X</td>
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<td>X</td>
</tr>
<tr>
<td>Recap and connect back / Ask to explain relevance</td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Time/agenda check</td>
<td>X</td>
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<tr>
<td>Non-talking role</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Parking Lot</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Pair-share / Small group dialogue</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Flip charts &amp; sticky notes</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Use eye contact / Body language</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Take a break</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
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<tr>
<td>Honesty / humor</td>
<td></td>
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<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Group check in or ruling</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Quiet aside / individual check in</td>
<td>X</td>
<td>X</td>
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</table>
Creative Facilitation Tools
Facilitation Across the Partnership Life Cycle

- **Caterpillar**
  - Concept
  - Visioning

- **Chrysalis**
  - Research & Development
  - Implementation Planning

- **Butterfly & Egg**
  - Active
  - Evaluation & Recognition
# Facilitation across the Life Cycle

<table>
<thead>
<tr>
<th>Stage</th>
<th>Caterpillar</th>
<th>Chrysalis</th>
<th>Butterfly/Egg</th>
</tr>
</thead>
</table>
| **What the group may be doing** | Questioning  
Leadership  
Roles & Responsibilities  
Action! | Brainstorming  
Disagreement  
Frustration  
Withdrawal | Performing  
Participating  
Optimistic  
Change Cycle |
| **What you can do to help** | Introduce  
Purpose  
Definitions  
Vision  
Objectives  
Structure | Ground rules  
Restate/clarify  
Recognize  
Carry on  
Reassign  
Rotate leadership | Resource  
Celebrate  
Learn  
Closure  
Expand  
Evaluate |
## Concept to Visioning

<table>
<thead>
<tr>
<th>Stage</th>
<th>Caterpillar</th>
<th>TOOLS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What the group may be doing</strong></td>
<td>Questioning Leadership Roles &amp; Responsibilities Action!</td>
<td>Brainstorming Dump the Legos Pair-Share or Corners Open Space / Marketplace</td>
</tr>
<tr>
<td><strong>What you can do to help</strong></td>
<td>Introduce Purpose Definitions Vision Objectives Structure</td>
<td>Open or guided visioning Preference surveys Asset mapping Bridge planning</td>
</tr>
</tbody>
</table>
Getting the Issues in the Room

**Think-Pair-Share**

Invite the group to reflect on the issue they are most passionate or concerned about.
Pair up and share issues, ideas, perspectives.
Pairs share back with the group.

**Four Corners**

Assign 4 key issues to a “corner” of the room, where you post a few related discussion questions.
Invite people to pick the issue they are most interested in, and move to its designated corner.
Have one person report back from each corner.
Ideas Marketplace / Open Space Technology

1) Explain the rules
2) Invite people to post a topic
3) Participants choose groups/topics
4) Small group discussions
5) Report back

# R&D to Implementation

<table>
<thead>
<tr>
<th>Stage</th>
<th>Chrysalis</th>
<th>TOOLS</th>
</tr>
</thead>
<tbody>
<tr>
<td>What the group may be doing</td>
<td>Brainstorming, Disagreement, Frustration, Withdrawal</td>
<td>Write it Down &amp; Post on the Wall, Collaborative Mapping, Flow Diagrams for Problem Solving: Five Whys, Fishbone, Six Thinking Hats, Prioritizing Matrix, NGT / Ranking, Open &gt; Narrow &gt; Close, Delphi Technique</td>
</tr>
<tr>
<td>What you can do to help</td>
<td>Ground rules, Restate/clarify, Recognize, Carry on, Reassign, Rotate leadership</td>
<td></td>
</tr>
</tbody>
</table>
Flow Diagrams for Problem Solving

5 Whys

Visualize problem context, identify root causes for complex issues.

Fishbone Diagram
### Open > Narrow > Close

<table>
<thead>
<tr>
<th></th>
<th><strong>Open</strong></th>
<th><strong>Narrow</strong></th>
<th><strong>Close</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Activities</strong></td>
<td>Introduce topic</td>
<td>Narrowing activities: prioritize, eliminate</td>
<td>Close and transition: combine and build agreement, next steps</td>
</tr>
<tr>
<td></td>
<td>Open activities: e.g., brainstorm, survey, discussion</td>
<td>duplicates, vote, consensus</td>
<td></td>
</tr>
<tr>
<td><strong>Process</strong></td>
<td>Are we ready to brainstorm?</td>
<td>Are we ready to organize the information?</td>
<td>Are we ready to make a decision?</td>
</tr>
<tr>
<td><strong>Agreement</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Content</strong></td>
<td>Is this the complete record of all of the focus groups’ responses?</td>
<td>Are these the right categories?</td>
<td>Is this our final list of recommendations to take to the board?</td>
</tr>
<tr>
<td><strong>Agreement</strong></td>
<td></td>
<td></td>
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</table>

*Credit: Bonner Curriculum Facilitation 201*
## Active, Evaluation, Recognition

<table>
<thead>
<tr>
<th>Stage</th>
<th>Butterfly / Egg</th>
<th>TOOLS</th>
</tr>
</thead>
<tbody>
<tr>
<td>What the group may be doing</td>
<td>Performing Participating Optimistic Change Cycle</td>
<td>Situation Report Evaluation Logic Mapping Self-assessments Surveys</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ORID Reflective Process Appreciation + / - / Delta</td>
</tr>
<tr>
<td>What you can do to help</td>
<td>Resource Celebrate Learn Closure Expand Evaluate</td>
<td></td>
</tr>
</tbody>
</table>
# O-R-I-D Reflective Process

<table>
<thead>
<tr>
<th></th>
<th>To evaluate an event</th>
<th>To reveal lessons learned</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OBSERVE</strong></td>
<td>What did you notice, feel, see?</td>
<td>What happened during this period?</td>
</tr>
<tr>
<td><strong>REFLECT</strong></td>
<td>How did you react, feel about it?</td>
<td>What worked well or was satisfying? What did not? What was unexpected?</td>
</tr>
<tr>
<td><strong>INTERPRET</strong></td>
<td>What does it mean to you? What was the significance of the event?</td>
<td>What did we learn? What could the unexpected mean?</td>
</tr>
<tr>
<td><strong>DECIDE</strong></td>
<td>What should we do next? What should we do differently next time?</td>
<td>What should be done differently in the future? Where do we go from here?</td>
</tr>
</tbody>
</table>

WHY
People don't think in charts, graphs, we think in pictures.

STUDIES SHOW THAT PEOPLE LEARN BETTER WHEN INFORMATION IS ACCOMPANIED BY VISUALS.

HOW
BY LISTENING
SYNTHESIZING THEMES + METAPHORS
DRAWING WITH TEXT + IMAGE

DELIVERABLES
A DIGITAL IMAGE LIVES ON AS AN ENGAGING RECORD OF THE DISCUSSION.

WHO
IMAGETHINK ENABLES CREATIVE COMMUNICATION+ LEARNING FOR MANY FORTUNE 500 COMPANIES.

HEATHER WILLIAMS + NORA HERTING ARE BASED IN NEW YORK CITY.

WWW.IMAGETHINK.NET 347-735-9620

GRAPHIC FACILITATION
IS THE PROCESS OF TRANSLATING COMPLEX IDEAS INTO WORDS AND PICTURES IN REAL TIME.
Resources


• The Community Toolbox: many resources on meetings and facilitation including: http://ctb.ku.edu/en/table-of-contents/leadership/group-facilitation/facilitation-skills/main


• And MANY others!

Instructional Video (18 mins)

http://www.partnership-academy.net/video-studio/facilitation/
Facilitation Competency Framework (EQ)

Self-awareness
- Emotional self-awareness
- Accurate self-assessment
- Self-confidence

Social awareness
- Empathy
- Contextual awareness

Self-management
- Emotional self-control
- Achievement orientation
- Adaptability

Relationship management
- Developing others
- Co-facilitation

Skills
- Group management
- Enquiry strategies
- Designing processes / experiences

Knowledge and understanding
- Learning
- Facilitation
- Leadership
- Impact

Adapted from: “Exploring facilitation competencies” – National College of Teaching and Leadership, UK, based on work by Daniel Goleman, Annie McKee and Richard Boyatzis (2004), and McClelland (1973).
Source: [https://www.nationalcollege.org.uk/transfer/open/facilitation/fac-s4/fac-s4-t2.html](https://www.nationalcollege.org.uk/transfer/open/facilitation/fac-s4/fac-s4-t2.html)
Questions and Comments