
Facilitating Collaborative Partnerships

Syracuse, NY
June 14, 2010

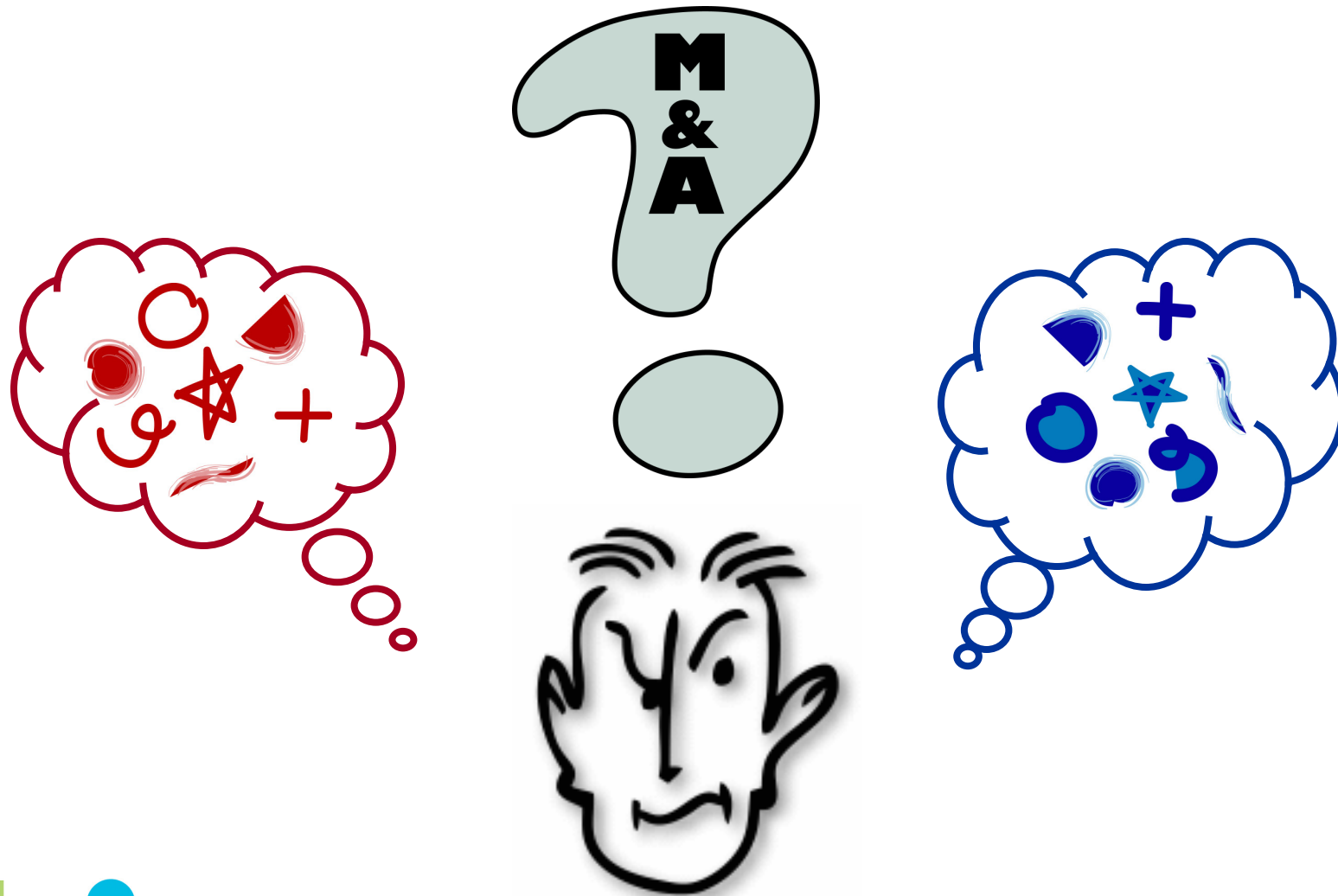
Kate Harvey



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- **WHAT IS THE THING THAT YOU AND YOUR STAKEHOLDERS ARE DOING?**

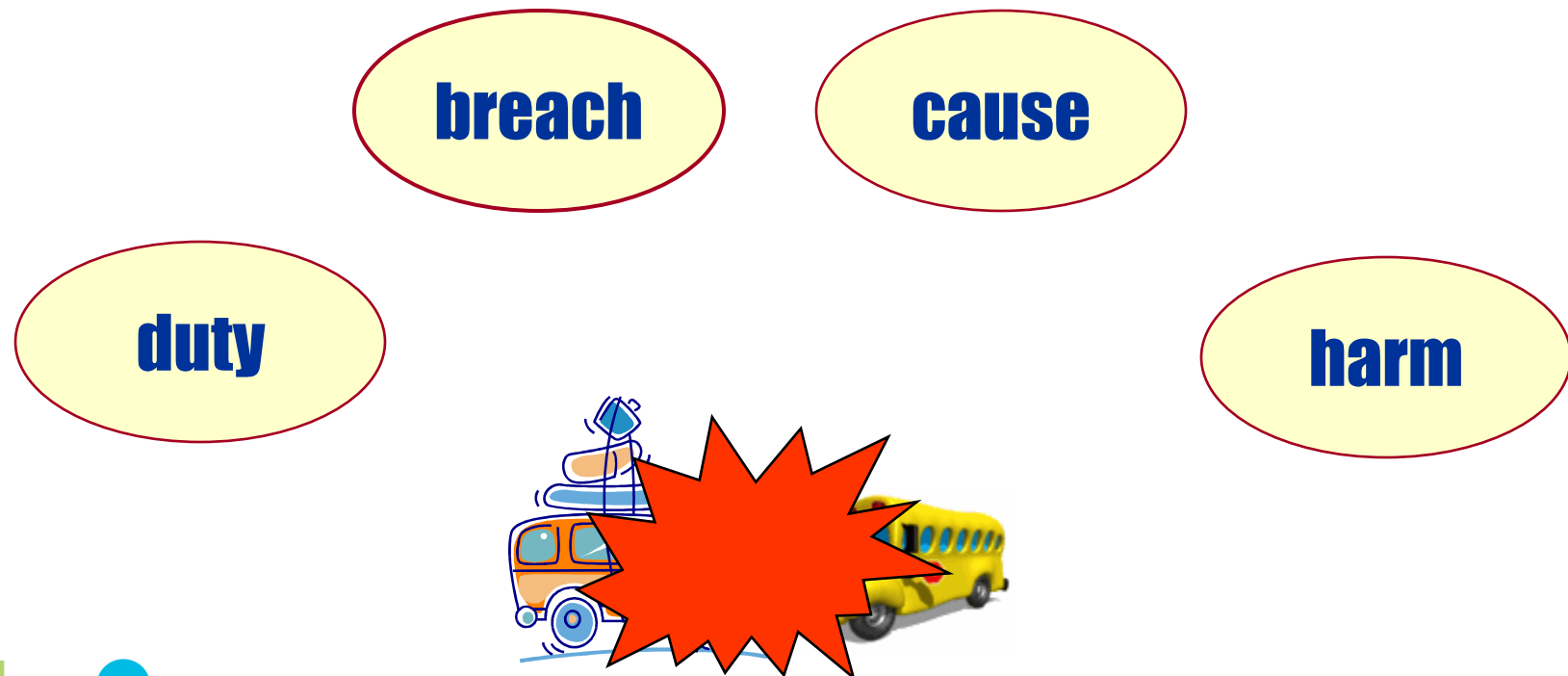
Business Decision-Making

Strategy, organization, hierarchy, singular metric (\$\$)



Legal Problem-Solving

Disaggregation into discrete issues



Technical Analysis

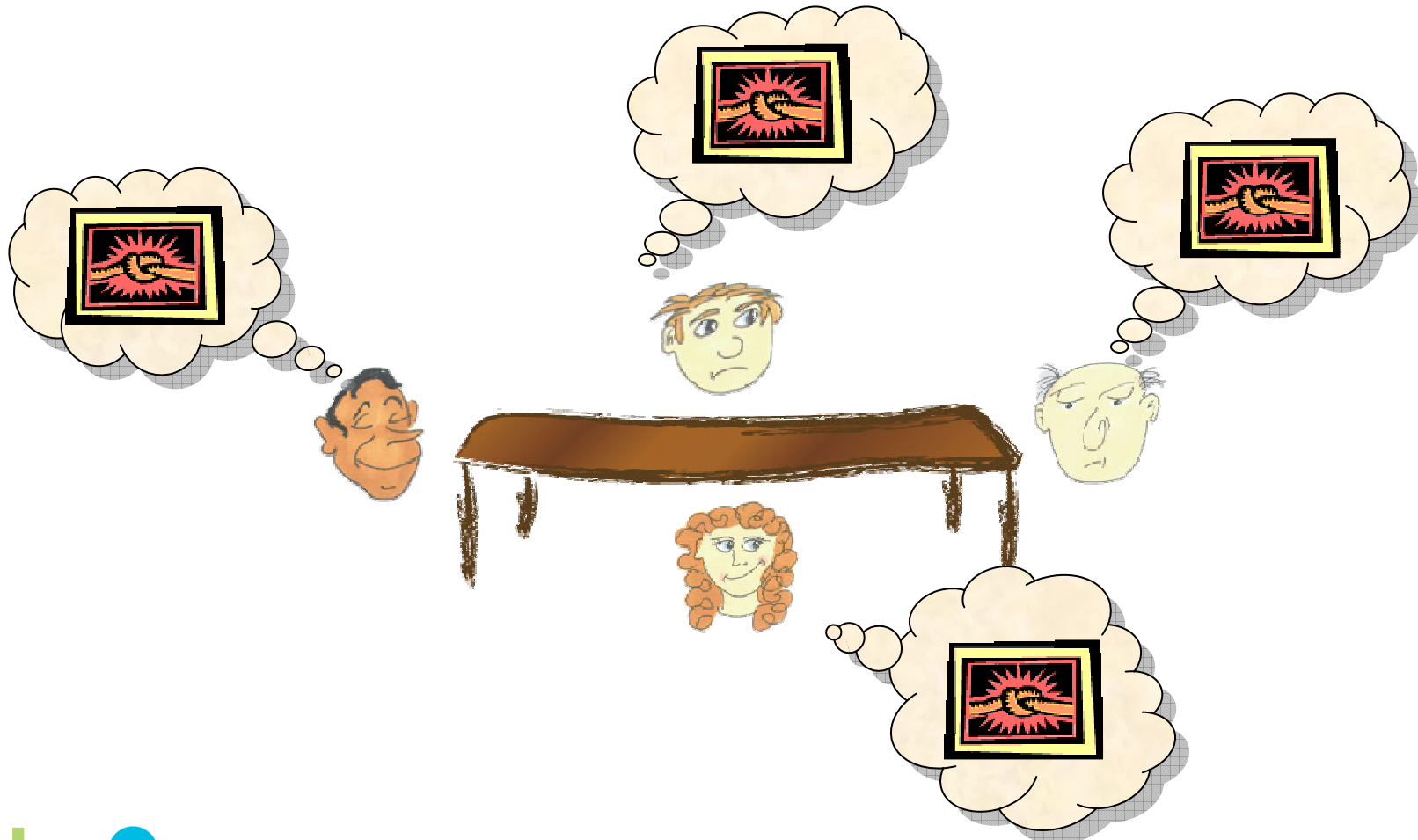
Alternatives Weighting Evaluation
Criteria

$$\sum_{i=1}^N \sum_{j=1}^T \frac{(S_{ij}A_{ij} - P_{ij}C_{ij})}{(1+r)^j}$$

THE ANSWER!

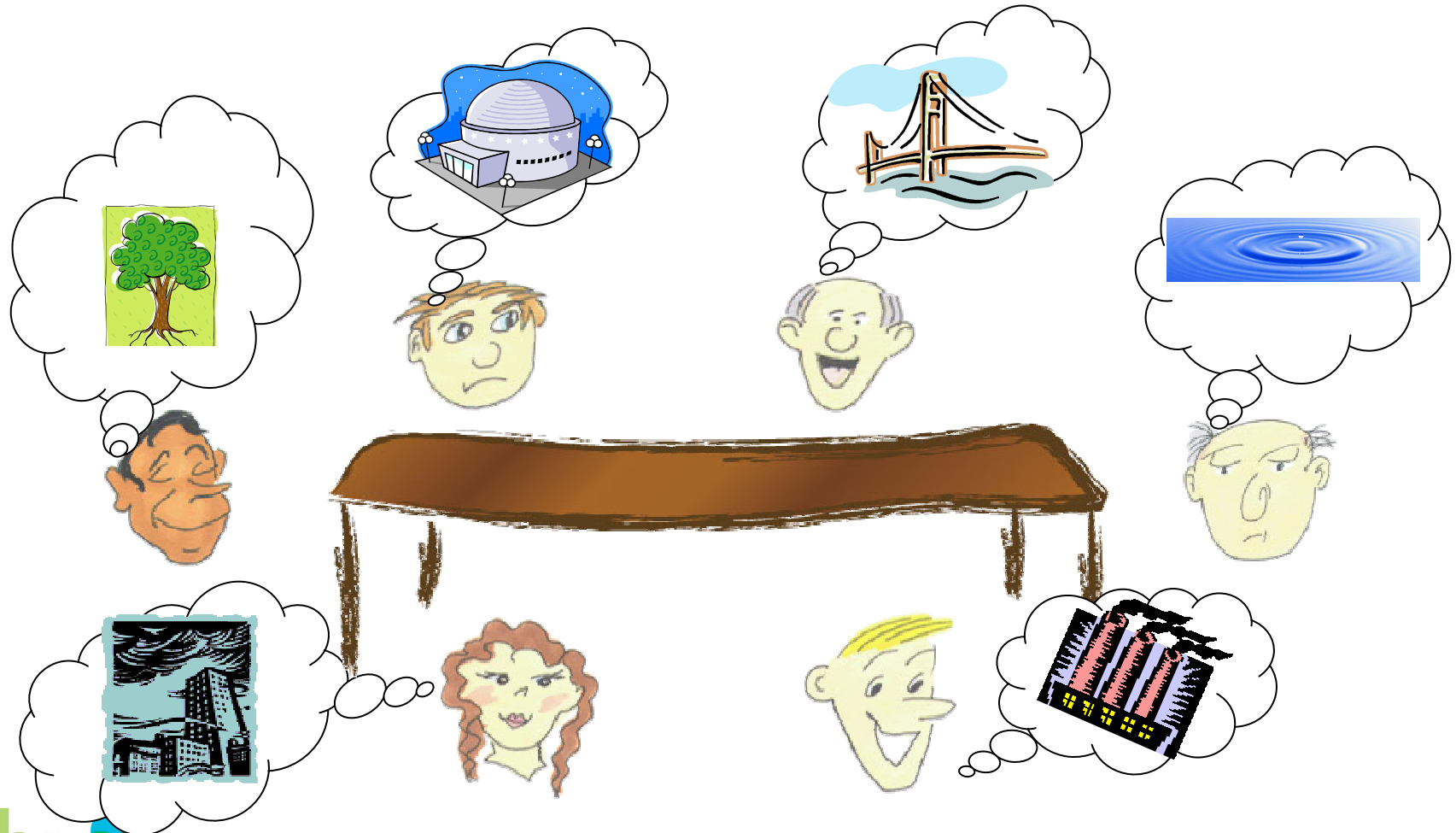
Problem-Solving

Knowing the problem, finding the solution

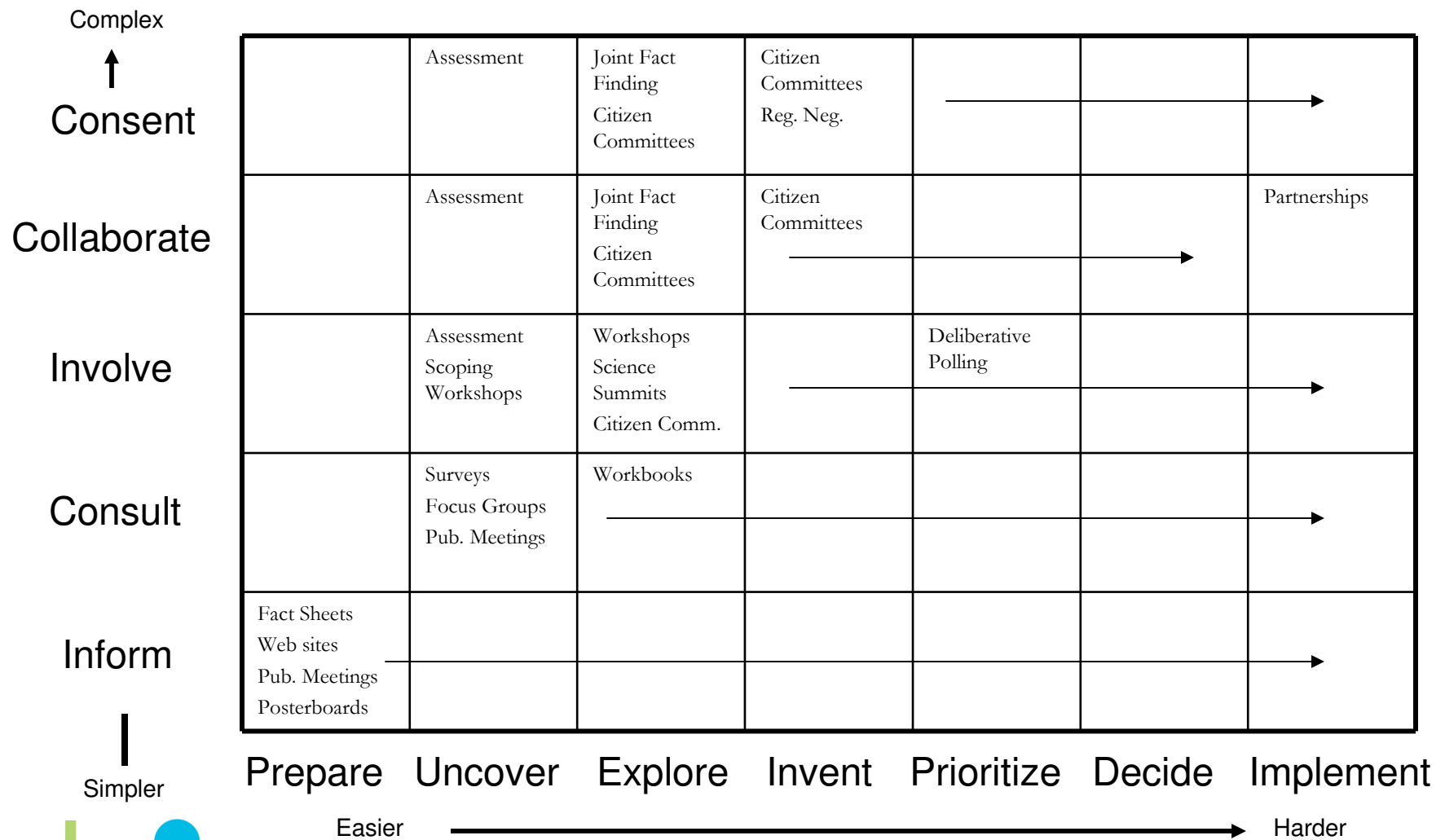


Consensus-Building Model

Negotiating the problems and the solutions



Negotiation & Public Process Matrix



INQUIRY

Low

High

A
D
V
O
C
A
C
Y

High

Imposing	Mutual Learning
Withdrawal	Easing In

Low



THE Bridgeway Group



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MUTUAL GAINS APPROACH TO NEGOTIATION

PREPARE

*Clarify your mandate and
define your team*

*Estimate your Best
Alternative to Negotiated
Agreement (BATNA)
and theirs*

*Improve your BATNA
(if possible)*

Know your interests

*Think about their
interests*

*Prepare to suggest
mutually beneficial
options*

CREATE VALUE

*Explore interests
on both sides*

Suspend criticism

*Invent without
committing*

*Generate options and
packages that
"make the pie larger"*

*Use neutrals to improve
communication*

DISTRIBUTE VALUE

*Behave in ways that
build trust*

*Discuss standards
or criteria for
"dividing" the pie*

*Use neutrals to suggest
possible distributions*

*Design nearly
self-enforcing
agreements*

FOLLOW THROUGH

*Agree on monitoring
arrangements*

*Make it easy to live up to
commitments*

*Align organizational
incentives and controls*

*Keep working to improve
relationships*

*Agree to use neutrals to
resolve disagreements*

Facilitation principles

- **Impartial**
 - At least fair toward all interests
- **Respectful**
 - You model how others ought to behave toward each other
- **Process-focused**
 - Your job is good process first and foremost
- **Clear and transparent**
 - You are clear and transparent about your role, what you are doing, and how you are doing it (most of the time)
- **Accountable to the group**
 - You are accountable to the group first, individuals within it second, your organization third (?), yourself fourth
- **Adaptable**
 - You adapt to the needs of the group and individuals
 - You balance clarity, formality, structure with the expected confusion, informality of the process, and rapidly changing dynamics

The Tools: Hierarchy of Intervention

- LISTEN
- QUESTION
- EMPATHIZE
- RESTATE
- SUMMARIZE
- REFRAME
- EXPLAIN
- PROBLEM- SOLVE



Increasing Action &
Increasing Risk

LISTEN AND QUESTION

- **LISTEN**

- **DO:** Use non-verbal cues: eye contact, open body posture, sitting/standing
- **DON'T:** Interrupt, quiz, explain or advise

- **QUESTION**

- **DO:** Ask clarifying (“do you mean that . . . “) and open-ended questions (“what do you want to happen?”)
- **DON'T:** Quiz or Interrogate (On the night of, were you . . . ?) -- this is not “The Spanish Inquisition”

EMPATHIZE AND RESTATE

- **EMPATHIZE**

- **DO:** acknowledge, express understanding (“It sounds like you feel cheated”)
- **DON’T:** necessarily agree or take sides (“That’s terrible. You’re right”)

- **RESTATE**

- **DO:** Use their own words and yours -- goal is to ensure you understand
- **DON’T:** Jump to conclusions based on your own perspective or seek to recraft the issue in your favor

SUMMARIZE AND REFRAME

- **SUMMARIZE**

- **DO:** Summarize in an organized & concise fashion
- **DON'T:** Expound, evaluate, or analyze

- **REFRAME**

- **DO:** Reframe to defuse, to allow others to hear, to highlight. “Those cheats just want a fast buck” --> “So you are looking for a fair deal.”
- **DON'T:** Restate in way that minimizes or distorts the speaker's tone or meaning. “I want to kill him” --> “So you're irritated.”

EXPLAIN AND PROBLEM SOLVE

- **EXPLAIN**

- **DO:** Ask if they want you to share your understanding; state your understanding --> “It’s my understanding that; share facts and information
- **DON’T:** Expound; defend; seek to convince or correct; speculate

- **PROBLEM-SOLVE**

- **DO:** Focus on interests and possible actions; consider and generate options; listen for ideas; make suggestions
- **DON’T:** seek to “fix it” too soon; focus on what can’t be done; offer unrealistic options

Key Challenges and Common Problems

- **Developing Agendas**
- **Framing Statements and Positions**
- **Facilitating the Good, Bad, and Ugly**
- **Facilitating with an Interest**

Agendas

- **What makes up a “bad” agenda for a meeting or workshop**
- **What makes up a “good” agenda**
- **What makes up a “GREAT” agenda**

Framing

- A way to shape issues, problems and solutions through careful language: words, phrases and invocations matter
- How we name problems

Framing traps

- **Defining the problem in terms of villains to blame:**
 - “The problem with our bike system is that bikers do not follow traffic rules.”
- **Defining the problem in terms of a preferred solution:**
 - “The problem is the roadway must be wider.”
- **Defining the problem one-dimensionally as if there were a single cause and single effect:**
 - “The problem is that drivers aren’t motivated to share the road.”
- **Defining the problem as a fixed pie with only distributive losses or gains:**
 - “The problem is we can only really establish a bike lane if we get rid of parking.”

Interests

- **Positions – what you want (Means)**
 - Demands, solutions, first offers
 - A single answer or solution
 - Usually impossible to accommodate multiple positions
- **Interests – why you want it (End)**
 - Needs, desires, concerns, and fears
 - Can be satisfied in a variety of ways
 - Usually possible to accommodate multiple interests
- **Interests are building blocks of an agreement**

Reframing

- The process of changing how a person or a party conceptualizes his or her own, or another's, attitudes, behaviors, issues or interests; or changing how the structure of a situation is defined
- Reframing can be used to
 - Define or redefine the conceptualization of a situation
 - Define or redefine a specific issue in a conflict
 - Identify underlying interests that a position satisfies
 - Transition from positional to interests-based bargaining
 - Soften or harden demands
 - Remove emotions from communications
 - Remove value-laden language from communications

General procedures for reframing

- Change the person who communicates the message
- Change the syntax or wording of the message
 - Paraphrase, summarize, expand, generalize, remove emotions
- Change the meaning of a statement
 - Focus away from positions and on interests
 - State interests in terms that are more mutually acceptable
 - Broaden or narrow the meaning of a statement by generalizing or fractionating the issue or interests
- Change the context of the situation
 - Identify the positive value in a perceived negative attitude
 - Identify commonalities in the parties' situation
 - Minimize differences between the parties' situations

Reframing Practice

- Individually write down challenging statement or position.
- Divide up into two sides: the positioners and the reframers
- State who you are: toss out the statement.
- The Reframers take a crack at reframing.
- Feedback
- Go to the next.
- Switch sides.

The Good, Bad and Ugly

- Late entrants (vignette)
- Dealing with technical information
- Angry people (hypotheticals)
- Facilitating with an Interest

Now they want to join?!

- **WHAT TO DO WITH LATE ENTRANTS...?**

Late Entrants

You as facilitator have developed a work plan for a new Downtown sidewalk planning study. However, as you dive into the work in the third meeting, some 50 citizens pack the fire station on a dry, hot summer evening. Things are not going smoothly. During the mid-meeting public comment period, a few new, vocal citizens in the audience claim that their interests are not represented at the table. “Those people don’t represent my interests,” they say of committee members. “Where are the property owners? These planners will do what they have to do to quiet the PTAs, including compromising with you who want to take our American right to free use of our property. We want a seat at the table and for no further action to take place until we have that!”

-
- **Anticipate**
 - **Ask group to take responsibility**
 - **Watch demographic changes**
 - **Understand interests**
 - **Seek ways to socialize new entrants with group**

You're losing people on the details

- **HOW DO YOU MANAGE
COMPLEX TECHNICAL
INFORMATION... ?**

You're losing people on the details

Representatives transportation and highway interest groups have argued from the beginning of the process that a bike lane study should be based on sound scientific and technical information, not politics. Based on their own research, and the views

of a professor at the local university, they are very concerned about some of the information on demographic and economic trends, origins and destinations data; and social and environmental impacts. The representatives have asked the MPO to spend the next six months reviewing the scientific and technical information on which the plan is based.

Others are concerned about discussing this data because the current information does not support their interests. They want to push for new data that supports their position.

Dealing with technical information

- Agree on what you know, don't know, and want or need to know;
- Clarify the nature of the dispute - identify areas of agreement and disagreement;
- Agree on what level of uncertainty is acceptable;
- Agree on what questions should be asked;
- Employ outside technical experts, multi-disciplinary panels, and/or an independent fact finder;
- Articulate the worst case scenario;
- Seek out precedents;
- Create a subcommittee with technical expertise;
- Jointly review draft studies;
- Set-up a poster/open house to allow the experts to discuss their information;
- Develop conflict specific fact sheets for the group;
- Conduct joint fact-finding;
- Adopt a learning/adaptive attitude; and/or
- Use contingent agreements.

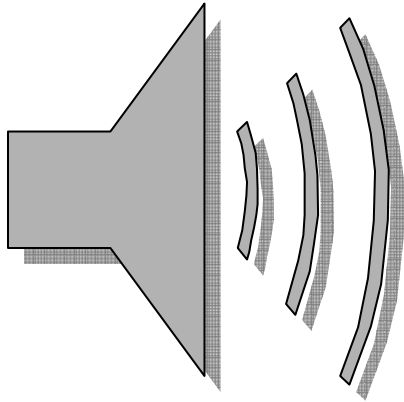
Why are People Angry?

- **PEOPLE ARE SPITTING-MAD
BECAUSE . . . ?**

Dealing with Angry Stakeholders

- **Be utterly non-defensive**
 - Nature say flight, fight, or freeze, so, it ain't natural
- **Listen**
- **Listen for interests**
- **Choose when to absorb, ignore, push back respectfully**
- **Use your own feelings as a barometer for the group**
 - And watch and be aware of your own feelings
- **Often times, less is more**
- **Enlist help from others**
 - Allies
 - The group as a whole
- **People tolerate conflict differently (you included!)**

Responding to Their Strong Feelings



First, don't trigger them *more*: What
NOT To Say

“What did you expect?”
▪ Belittling

“What you need to understand
is...”
▪ Educating

“Why don't you just...?”
▪ Problem-solving

“On another topic...”
▪ Avoiding or ignoring

“Calm down!”
▪ Telling them how to feel

“It's not so bad...”
▪ Minimizing

“This is horrible!”
▪ Maximizing

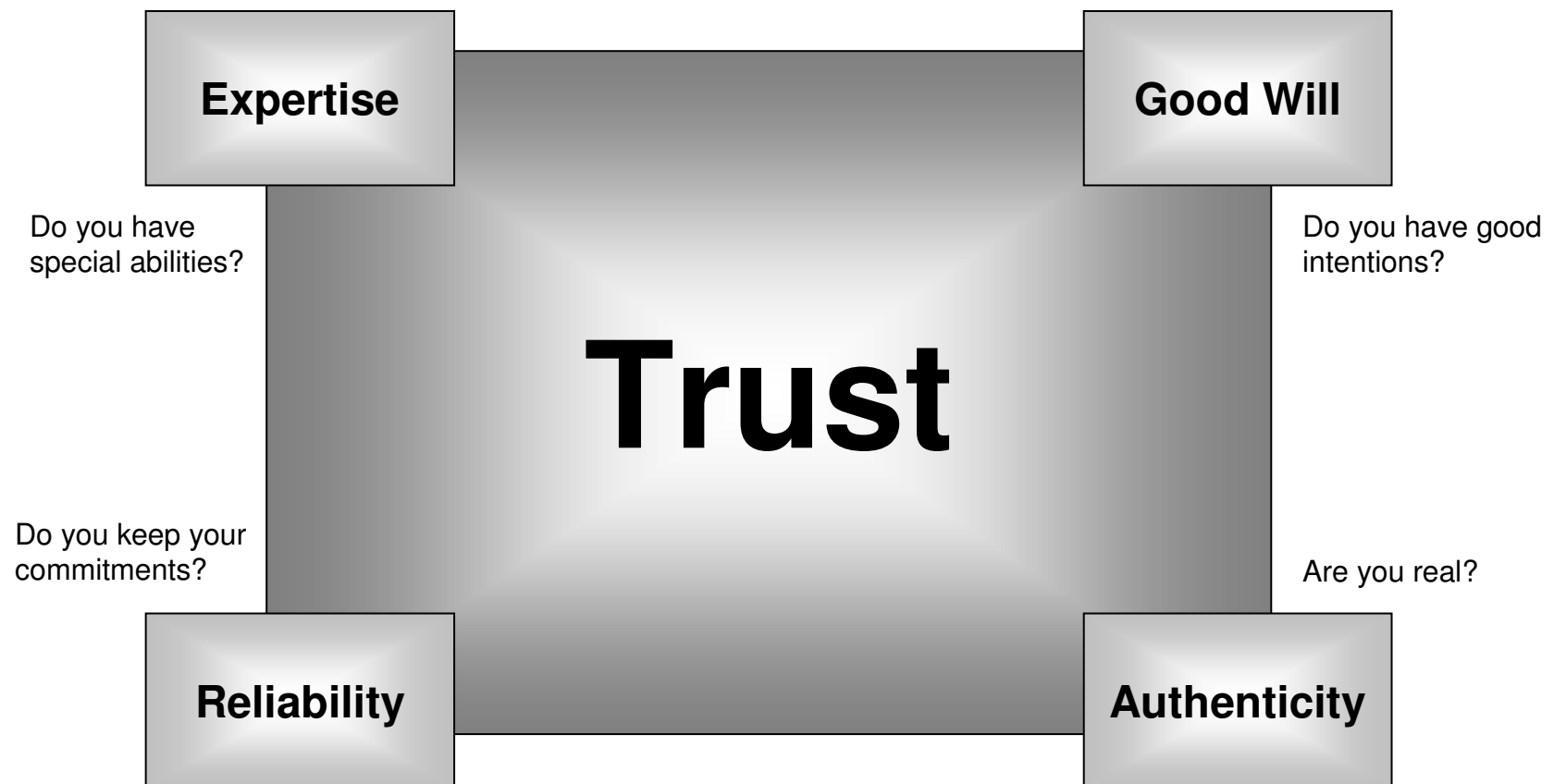
And more

- **The angrier the crowd, the more you need:**
 - Allies in the room to help you
 - Very basic ground rules
 - Structured, managed time for speaking
 - A place for frustration and anger to go where people believe they will at least be listened to
 - Small groups, individual time, care and feeding
- **Other ideas?**

Practice at Dealing with Anger

- Write-down an angry or difficult interaction either in a one-on-one exchange or public setting
- Describe the person's role and the context
- Act as that person
- A facilitator responds
- Coach and advise

The 4 cornerstones of Trust



Facilitating with an Interest

- **CAN YOU FACILITATE EFFECTIVELY WHEN HAVING A SUBSTANTIVE INTEREST?**

A few words of Advice

- **Always try and separate roles among staff in meetings:**
 - Facilitator -- focused on process
 - Proposer -- focused on ideas and practical suggestions
 - Negotiator -- focused on trading
 - Sideboarder -- focused on explaining constraints
 - Decider -- s/he who decides
- **Be careful of ideas & suggestions beyond process**
 - They'll be construed as offers or positions, even if clearly not meant as such
- **Move into the planning role only when:**
 - No one else can
 - You've worked with the group and increased trust over time
 - You've tried everything else
 - You make clear you are switching hats
 - You seek the group's o.k. (?)

Hard Ball Clinic

- Trying out a fish-bowl facilitation to practice a variety of techniques, styles, and interventions.

Strategies to narrow and decide

- **From the beginning, have:**
 - Clear decision rules
 - Clear ground rules
 - Clear objectives
 - Clear expectations
 - Clear roles and responsibilities
 - Plenty of Dialogue and Questions and Answers
- **In the middle:**
 - Use work groups and subcommittees
 - Identify and explore bridge options
 - Identify evaluation criteria
 - Decision matrices
 - Dot polling
 - Call out progress
 - Sequence appropriately
 - Seek trades that result in mutual gains
 - Use can live withs and cannot live withs

Strategies to finalize agreement

- Toward the end:
 - Explore packages
 - Use caucuses
 - Use deadlines
 - Use single text documents
 - Use drafting committees
 - Always look for linked issues that unlock the puzzle
 - Remember: you are “inventing” agreement, not just “finding” it

What happens when not everyone agrees?

- Ask the objecting participant or group if they have an alternative proposal that would overcome the objection
- Have a go-around where each person speaks his or her views on the question without response from other group members and then test for consensus on the old proposal or a modified new one
- Take a break or postpone the decision to a later date

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