11.255
Negotiation and Dispute Resolution in the Public Sector
Spring 2021
Class #11
Question

What’s the worst mistake a facilitator of a public advisory committee meeting can make?
What makes facilitation (in)effective?

- Have you seen a meeting fall apart? What happened?
- Have you experienced a particularly effective facilitator in practice?
- What made them effective? How did they prevent meetings from falling apart?
- Why does this matter? Why emphasize effective facilitation as a skill?
Preparation (before the meeting)

- What does Straus say we should do to “set up for success”?
  - Determine the purpose of the meeting
  - Decide who should attend and how
  - Determine the desired outcomes
  - Draft an agenda
  - Delineate roles and responsibilities
  - Draft ground rules and decision-making responsibilities
  - Propose when and where the meeting should be held
How should the facilitator behave during the meeting (according to Straus)?:

- Believe in the possibility of consensus
- Value diversity and conflict
- Listen as an ally
- Let the group do its work
- Do not be defensive
- Teach about problem solving and conflict resolution
- Be sensitive to strategic moments
- Remain committed to a mutually agreeable solution
Preventions and Interventions

• What do we mean by **preventions**? Why emphasize them? What leverage do preventative measures give facilitators?

• How can a facilitator **intervene** to encourage an effective process?

• What are some typical problems in meetings, in your experience? How might facilitators help overcome these problems?
Core values – what is the role of the facilitator:

The Role of the Facilitator

Table 1.2. Core Values Guiding Facilitation.

<table>
<thead>
<tr>
<th>Core Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Valid information</td>
<td>People share all relevant information.</td>
</tr>
<tr>
<td></td>
<td>People share information in a way that others understand it.</td>
</tr>
<tr>
<td></td>
<td>People share information in a way that others can independently validate it.</td>
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<tr>
<td></td>
<td>People continually seek new information to determine whether previous decisions should be changed.</td>
</tr>
<tr>
<td>Free and informed choice</td>
<td>People define their own objectives and methods for achieving them.</td>
</tr>
<tr>
<td></td>
<td>People are not coerced or manipulated.</td>
</tr>
<tr>
<td></td>
<td>People base their choices on valid information.</td>
</tr>
<tr>
<td>Internal commitment to the choice</td>
<td>People feel personally responsible for their decisions.</td>
</tr>
<tr>
<td></td>
<td>People find their choices intrinsically compelling or satisfying.</td>
</tr>
</tbody>
</table>

Source: Adapted from the work of Chris Argyris and Don Schön (Argyris, 1970; Argyris & Schön, 1974).
Figure 2.1. Group-Effectiveness Model.
11 Steps to Optimize Group Effectiveness

1. Agenda
2. Participants
3. Logistics
4. Ground rules
5. Opening
6. Building understanding
7. Identifying interests and options
8. Prioritizing and deciding
9. Closing
10. Action items
11. Summary
Help from the Facilitator’s Toolkit
Group Dynamics
Stages of Development

**FORM**
- Goal: "Count me in."
- Task: Orientation
- Concern: Inclusion

**STORM**
- Goal: "We're all in charge."
- Task: Organization
- Concern: Control

**NORM**
- Goal: "Speak your mind."
- Task: Communication
- Concern: Openness

**PERFORM**
- Goal: "We're succeeding!"
- Task: Collaboration
- Concern: Success

Characteristics of a Successful Team:
- Gets the job done
- Openness, team work
- Members are in charge
- Members want to be on the team

Initial Concerns:
- Will we succeed?
- Will we be open?
- Will I have some degree of control?
- Do I want "in"?

*Figure 1. Stages of Group Development*  
Thayer-Hart, p. 2

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Decision Making

Basic Steps to Making a Good Decision

1. Identify Root Issues/Challenges
   - Identify real challenge:
     - State the real problem, not the surface one
     - State the problem in specific terms
     - State the problem as a question

2. List Options
   - Collect data.

3. Collect Data
   - List needs clearly.
   - List alternative solutions:
     - How do each compare to the others?
     - What are the outcomes of each selection?

4. Weigh the Alternatives
   - Choose one of the options.
     - Check back to Step 2 to see if this choice is consistent with the needs you stated.

5. Choose One
   - Take action on your choice:
     - How can you implement your choice?
     - What action can you take now?
     - What action will you need to take later?

6. Do It!
   - Review your choice periodically: Evaluate the decision's effectiveness

7. Evaluate
   - Do it periodically: Evaluate the decision's effectiveness

Figure 21. Basic Decision-making Steps

Thayer-Hart, p. 45

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Decision Rules and Techniques

The decision rule(s) must be supported unanimously

Working with a “consensus” decision rule

  Overwhelming majority
  “Who cannot live with this?”

Techniques

  Dot voting
  “0 to 10” rating
  Impact/effort matrix
  Criteria matrix
Example: Criteria Matrix

<table>
<thead>
<tr>
<th>Criteria/Weight (from Step 5)</th>
<th>Computer 1 PC</th>
<th>Computer 2 Mac</th>
<th>Computer 3 Sony Laptop</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterion A: Compatibility</strong></td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Weight: 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Criterion B: Cost</strong></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Weight: 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Criterion C</strong></td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Weight: 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Criterion D</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Weight: 3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Weight</strong></td>
<td>*8</td>
<td>7</td>
<td>5</td>
</tr>
</tbody>
</table>

*Probably your best bet

Thayer-Hart, pp. 47-48

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Example: Impact/Effort Matrix

- **High Impact**
  - **“B” Priority**: Worth the Work
  - **“A” Priority**: Low-Hanging Fruit

- **Low Impact**
  - **“D” Priority**: Don’t Bother
  - **“C” Priority**: Quick Hits

- **Easy Effort**
  - **Difficult Effort**

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Intervening when the group’s effectiveness is at risk
Goal of intervention is to encourage the group’s autonomy and increase their effectiveness
Some techniques:
  Refer to ground rules and the group’s goals
  Embrace concerns (listen and restate)
  Use opportunity to teach a concept or method about group development
  Call for a break and then speak with the person individually
  Name the problem and ask the group to suggest ways to resolve it
Meeting “Dominators”?

Ticket to Talk

Thayer-Hart, p. 22

Evil Star

Please, no critique or evaluation during brainstorming.

Thayer-Hart, p. 23

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Unique Tools/Techniques

Moving a group forward
  Appreciative inquiry: working from strengths rather than weaknesses
Generating options
  Unstructured vs. structured brainstorming
  Affinity process: organizing the results of brainstorming into categories/groups
Visual representations of issues/processes
  Flowcharts
  Cause and effect diagram
  Interrelationships
  Importance/satisfaction diagram