



LEADERSHIP EFFECTIVENESS INITIATIVE:

Expanding Leadership Capacity

Dr. Sandra L. Hill | CEO
Dr. Joel M. Rothaizer | President
Clear Impact Consulting Group
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LEI TOOLS & RESOURCES

LEI TOOLS & RESOURCES: THREE KINDS OF INTELLIGENCE

***Note:** While we have listed each of these Tools & Resources under one of the three kinds of intelligence, most actually span two or more of the kinds of intelligence. For each Tool & Resource we also indicate in which tab of the binder you can find more information.*

Reflection & Self-Awareness – These are listed first because they underlie the effective use of all of the **LEI Tools & Resources**.

- If you want to grow, cultivate a habit of reflection. Leaders are much more likely to continue to develop if—with curiosity and compassion—they question their own actions and assumptions, seek honest feedback, acknowledge and learn from their mistakes, engage in true dialogue, and frequently consider how the environments we co-create contribute to behaviors and events.

Cognitive (IQ)

- **Clear Impact Decision-Making Model** – Structured process for deciding on a workable next step, particularly in complex situations – the steps include being clear on desired outcomes and identifying most important factors to consider. The process integrates many of the LEI Tools. **DECISION-MAKING MODEL**
- **Perspective taking & seeking** – A developing ability to consider, seek out, and coordinate the viewpoints, beliefs, internal states and contextual influences of other individuals and groups. **Perspective taking** is putting yourself into the shoes of another, and, even if you disagree, asking with genuine curiosity and openness why a reasonable person might feel or act this way. **Perspective seeking** is having the same attitude while asking about others' perspectives, and underlies effective collaboration.
- **Both/and thinking** – A hallmark of post-conventional thinking (Catalyst level and beyond), moving from a tendency to see things as “either/or.”
- **Polarity management** – Polarities are pairs of interdependent positive concepts that appear as opposites, where both poles are needed for sustainable high performance. This tool strongly supports both/and thinking by identifying polarities where, because of individual and/or contextual bias, one of the poles is over-valued (or **privileged**) and the other is under-valued. **POLARITIES**
- **Levels of Development-in-Action** – A model for understanding the different leadership “operating systems,” the lenses through which they view situations, that are sequentially more effective in dealing with complexity, ambiguity and rapid change. They include Conformer, Expert, Achiever and Catalyst. **LEVELS OF DEVELOPMENT-IN-ACTION**

- **Leadership Versatility** – Two polarities that account for most of leadership effectiveness. *How you lead: Forceful* (providing clarity/parameters, holding others accountable, taking charge) & *Enabling* (delegating, empowering, collaborating, helping others feel valued); and *What you lead: Operational* (driving execution, meeting short-term goals) & *Strategic* (setting direction, being visionary, big picture and long-term focus). **LEADERSHIP VERSATILITY**
- **The Story I’m Telling Myself** – Separating fact (what all parties would see as non-arguable) from “stories,” including understanding how we tend to look for what confirms our “stories” while ignoring and not even seeing what does not. **DECISION-MAKING MODEL**
- **Dynamic steering** – Particularly in complex situations, looking for *workable* next steps and acting in short incremental cycles – probe, sense and respond - taking action, gathering data/feedback, reflecting, and planning next steps. **DECISION-MAKING MODEL**
- **Living Systems Perspective** – “The biggest secret in organizations is that people were humans before they were employees” and people are motivated by *meaning*, *connection* and *growth*. **LIVING SYSTEMS**

Emotional (EQ)

- **Neurobiology** – Practical implications of understanding how our brains work, including: (1) the difference between being in reptilian or “hindbrain” (reactivity, fight/flight, seeing others as objects) and being in frontal or “forebrain” (insight, empathy, flexibility, intuition); (2) the tendency to pay much more attention to the negative (“Velcro”) than to the positive (“Teflon”); and (3) the stress/performance connection of too little (disengaged), just the right amount (flow), and too much (frazzle, or cognitive dysfunction). **NEUROBIOLOGY**
- **Internal coherence** – Self-awareness of our internal state (disengaged/flow/frazzle) and how to shift it effectively (e.g. long, slow belly breathing; and reflecting on qualities and things that touch our hearts, because the mind un-cramps when the heart un-cramps).
- **Resonant leadership** – Awareness of “The Wake I Leave” –the impact leaders have on the neurobiology of others, for better or for worse. Helping others be in their forebrains (inspired, connected and creative) rather than in their hindbrains (stressed, reactive, disconnected, and with reduced capacity). **NEUROBIOLOGY**
- **Intentional Change Process** – Paying attention to inspiring desired outcomes as well as current reality, thus evoking the power of having a “positive emotional attractor” for change processes. **INTENTIONAL CHANGE**
- **Leadership Vulnerability** – Understanding that vulnerability is not weakness, that it takes courage and promotes trust. Letting go of “heroic leadership,” acknowledging it’s not possible to have all the answers, willingness to ask for help and to allow “human-ness” to show. **NEUROBIOLOGY**

Contextual (CQ™)

- **Pond Thinking™** - Looking first for the root cause of behavior outside of people (in the organizational context/culture, etc.). This is contrasted with the **Bad Fish!™** approach of first blaming the people involved in what is perceived as not going well (their skills, attitudes, qualities, etc.) **ORGANIZATIONAL CULTURE**
- **Organizational culture** - Understanding the different levels (macro, sub, and micro-cultures) and how they drive behavior; the qualities of a high performance culture; and how leaders can have an impact (e.g. **Schein's 12 Steps for Culture Change**). **ORGANIZATIONAL CULTURE**
- **Complexity model (Cynefin)** – The different kinds of thinking and action needed depending on whether a situation is simple, complicated, complex or chaotic. **COMPLEXITY**
- **Levels of Development-in-Action for organizational cultures** – Differentiating Conformer, Expert, Achiever, and Catalyst cultures. **LEVELS OF DEVELOPMENT-IN-ACTION SLIDES**
- **Leadership versatility** – Applying that model (previously described) to organizational culture. **LEADERSHIP VERSATILITY**

Themed Content Areas

Note: For all themed content areas it is important to be aware of the macro-culture and its impact, as well as identifying the unique aspects of the sub-culture of the team you lead and/or the team you report to.

High Performing Teams

- **Context** – identifying the team's aim & purpose, overall strategy, and strengths & challenges to meet the overall purpose
- **High Performing Teams Checklist**
- **Stages of Group/Team Development** – understanding the natural stages groups and teams move through (Testing/Forming, Control/Storming, Purpose & Task/Norming, and Flow/Performing)
- **Meeting Practices** – separating out strategic, governance, and operational meetings. **Five Paths to Resolve Any Tension** helps to identify which "tensions" are taken to each meeting, and **From Aim to Action** puts these meetings into an overall context.
- **Sociocracy Consent Process** – For efficiently and effectively integrating multiple perspectives and arriving at a workable next step

Coaching

- **Clear Impact Coaching Model:** Three Checklists (Overall, Forward & Back)
- **Coaching Conversation Model** – the different steps in a dialogue integrating coaching skills

- **Powerful questions** – Including those that evoke self-awareness and insight, those that shift brain chemistry (for better or for worse), and that that re-humanize (e.g. Speak the Truth process)
- **Calibrating questions** – Promote reflection and self-awareness
- **Change management coaching questions** – To help uncover resistance to change

Change Management

- **Change Management Checklist**
- **Four Conditions for Driving Culture Change** – Overview model
- **William Bridges: The Three Questions** - The essence of change management in three powerful questions
- **Immunity to Change** – The natural resistance to change, on organizational and individual levels, and how to most effectively address it

Communication

- **Communication Checklists (Forward & Back)**
- **Feed-forward** – Asking for what could be even more effective in the future
- **Effective Feedback** – How to give feedback that is clean and helpful
- **Four-Step Feedback Model** – Giving feedback in a way that honors the co-responsibility leaders have (both individually and contextually) for the performance of their direct reports
 - **Five Conversations** – Five dialogues that comprise effective performance management

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LEI Syllabus



Note: Once curriculum has been introduced, it is integrated throughout the rest of the LEI

| Day 1 | Day 2 | Day 3 | Day 4 | Day 5 | Day 6 | Day 7 (.5) | Day 8 (.5) | Day 9 (.5) |
|------------------------------|---|---|--|------------------------|--------------------------|-------------------------------------|-------------------------------------|--------------------------|
| Reflection | Resonance | Self-awareness & reflection sheet | <input checked="" type="checkbox"/> | Mid-point review | Immunity to Change | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Closure & next steps |
| Perspective taking & seeking | Polarity Management Levels of development-in-action | Decision-making model Dynamic steering | Three kinds of intelligence: Cognitive Intelligence (IQ) | | | | | |
| Resonant Leadership | | Internal coherence | Three kinds of intelligence: Emotional Intelligence (EQ) | | | | | |
| Pond Thinking | Cynefin (complexity) model | | Three kinds of intelligence: Contextual Intelligence (CQ) | | | | | |
| Principles of Adult Learning | | Neurobiology | Organizational culture | Organizational culture | Organizational culture | Organizational culture | Organizational culture | Leadership vulnerability |
| Intentional Change | | Living Systems | Other Curriculum | | | | | |
| | | | Themed Content Areas | | | | | |
| | | | High performing teams | Coaching | High performing teams | Coaching & Communication | Coaching & Communication | |
| | | | Coaching | High performing teams | Coaching & Communication | High performing teams | High performing teams | |
| | | | Change management | | | | | |
| | | | Meeting practices | | | | | |

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partners@clear-impact.com 877-430-0714 (w) 509-692-8297 (f) www.clear-impact.com



WELCOME TO THE COE LEADERSHIP EFFECTIVENESS INITIATIVE

What sets this program apart from other leadership programs

"Everything should be made as simple as possible, but not simpler"
Albert Einstein

Why many training programs fail to yield results

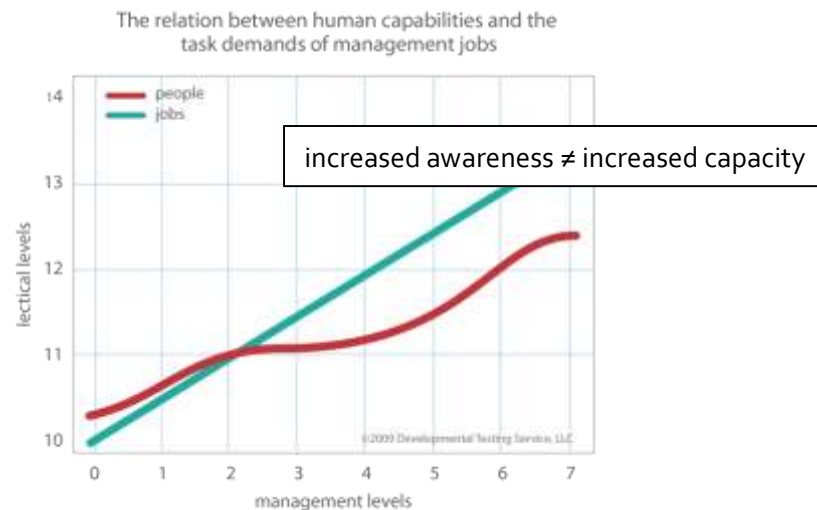
Many conventional leadership programs fall short of achieving desired results because they deliver off-the-shelf content that fails to:

- customize to address the unique needs of the participants and the organization
- assist leaders in understanding and evolving their current organizational culture/context to better align with desired results
- incorporate principles of adult learning and intentional change
- include the multiple aspects that impact effective leadership, including building "resonant" or inspiring relationships (emotional intelligence), increasing ability to think effectively about their challenges (cognitive intelligence), and consciously developing a supportive organizational culture (contextual intelligence)
- have direct application to participants' day-to-day work
- include effective assessment
- build the capacities that leaders need to make the best use of the new knowledge
- dynamically adjust the program as participants learn

About Capacity-Building

"Capacity-building" is so important that it deserves further explanation.

In today's world, many leaders are ill-equipped to handle the uncertainty, rapid change and increasing complexity they face at work. In other words, they lack the internal complexity (capacity) to meet the task complexity of their jobs. The chart below, created by developmental researcher Theo Dawson, illustrates this point.



Adaptive and Acquired Learning

When designing and selecting leadership training programs, most people don't realize that there are two types of learning and development, both of which are important in developing leadership abilities. They typically focus only on *acquired learning*.

Acquired learning

Acquired learning imparts new knowledge and skills. Most organizational training and development programs aim to build awareness of what's important in specific content areas, with the assumption that this will result in successful application of what has been introduced. Acquired learning can be compared to loading additional data and applications onto a computer.

Acquired learning can be appropriate for addressing challenges that require a *quantitative* increase in knowledge and skills, such as learning about how a new regulation will affect the organization, improving time-management skills, or learning how to use a new payroll system.

The problems that exist in the world today cannot be solved by the level of thinking that created them. - Albert Einstein

Adaptive Learning

Other challenges, such as figuring out how to increase collaboration across a "siloe" organization or building an effective team are more complex and require a *qualitative* transformation of capacity: not just an increase in what we know but a shift in *how we think*. This is where adaptive learning comes in to play.

Adaptive learning is like upgrading a computer's operating system. The new system transcends and includes the capabilities of the previous system (much of the same data and applications are retained) and allows for more complex and powerful capabilities that were impossible to achieve under the old system.

Two decades of developmental psychology coming out of Harvard University and other leading institutions suggests that humans also have “operating systems,” sometimes referred to as *meaning-making systems*, which operate at different levels of complexity. Although human operating systems mostly operate behind the scenes, out of conscious awareness, they can be measured – and more importantly, upgraded – in levels of increasing complexity and capacity.

Organizational cultures operate at different levels of complexity as well. Some are catalysts for raising the overall levels of employees, while others hold people back or pull them down from operating at their highest potential. Leaders who have reached the higher levels of development have the capacity to focus on upgrading the operating system of their organizational culture as well as themselves.

***What the world needs most is “critical thinking followed by conscious action” -
The Dalai Lama***

What makes the Leadership Effectiveness Initiative unique

- It will address both themed content areas (communication, change management, coaching, and high performing teams) and ***foundational leadership skills and perspectives*** that underlie the effective implementation of that content.
- By focusing on what it takes to effectively address adaptive challenges, it aims to build the capacity that leaders need to evolve the organizational culture and to work more effectively with complexity, uncertainty, ambiguity and rapid change; as well as to build resonant, engaging relationships with internal and external stakeholders.
- It is custom-designed and will be dynamically adjusted to meet participant needs, address the City’s specific goals and integrate with the “one city” culture.
- Following the principles of adult learning, it includes:
 - Reflective practices
 - Assessment of actual capacity (how you think) rather than simply of content areas (what you think) and ongoing feedback
 - Opportunities to apply the learning to real work
 - Opportunities to understand and evolve the organization’s culture

In addition, this program integrates many well-researched and proven leadership development models and methods to provide a comprehensive learning experience.

***“Intellectual growth should commence at birth and cease only at death”
– Albert Einstein***

You’re in for a powerful development journey!

Kick-Off Slides





Dr. Sandra L. Hill, CEO
Dr. Joel M. Rothaizer, MCC, President
Clear Impact Consulting Group
partners@clear-impact.com

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Some of our Clients: Canadian government

- Government of Canada
- City of Edmonton
- Alberta Federal Council
- Government of Alberta
- Alberta Health Services
- STARS

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Some of our Clients: Canada

| | |
|-------------------------|-----------------|
| • Italian Centre Shop | • ABB |
| • Ledcor | • PeopleSoft |
| • University of Calgary | • Grant MacEwan |
| • STARS | • HSBC |
| • ATCO S&L | |
| • Manasc Isaac | |

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Some of our Clients: Other

- AT&T Bell Laboratories
- Cisco Systems
- General Electric
- Lucent Technologies
- Skidmore Owings & Merrill
- The World Bank
- Los Alamos National Labs
- Wide Open West (WOW)
- NeXstar Pharmaceuticals
- Rehrig Pacific
- ADP
- IBM
- Ferrellgas
- DoubleClick
- StorageTek
- Hagemeyer
- Mellon Bank
- Prologo
- Sanofi-Aventis


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It ain't what you don't know that gets you into trouble. It's what you know for sure that just ain't so.




Mark Twain

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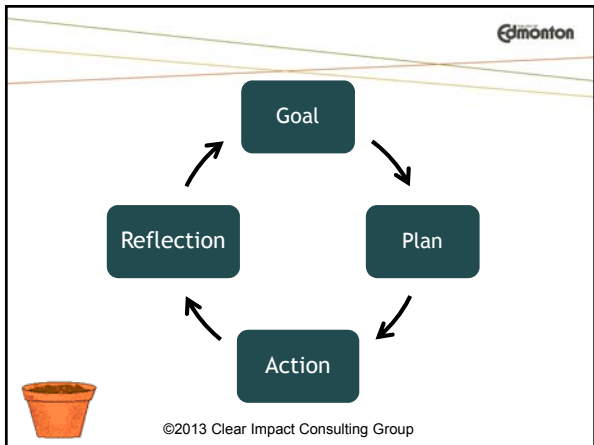
T. S. Elliot

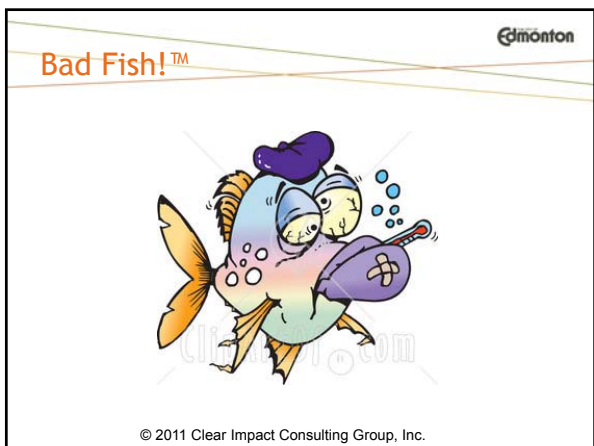


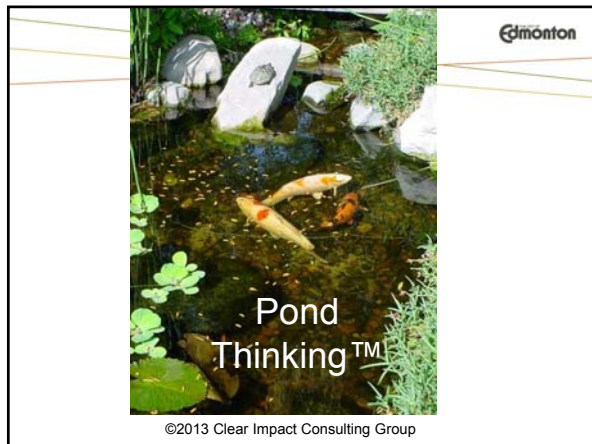
- “Nothing pleases people more than to go on thinking what they have always thought, and at the same time imagine that they are thinking something new and daring; it combines the advantage of security and the delight of adventure.”

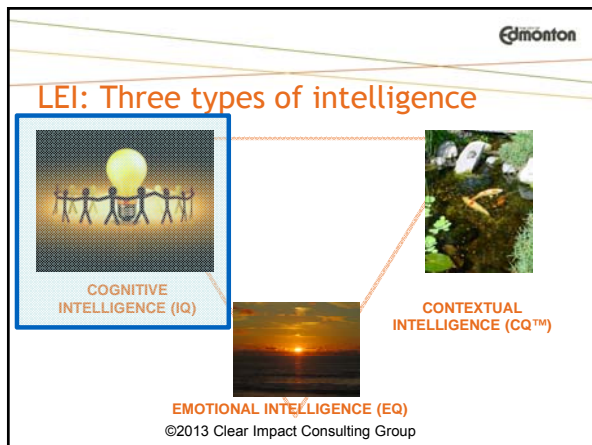
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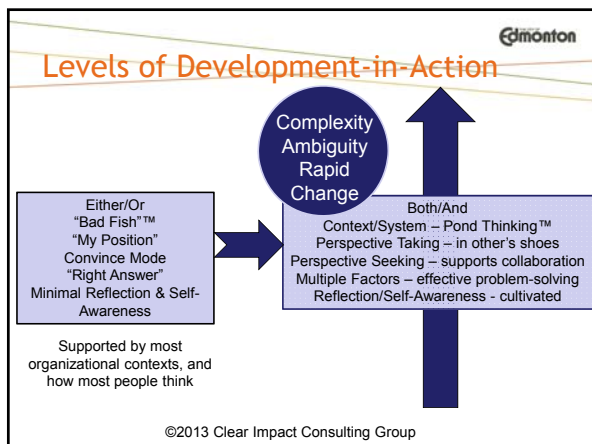












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Perspective taking and seeking

- ...a developing ability to consider, seek out, and coordinate the viewpoints, beliefs, internal states and contextual influences of other individuals and groups.




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Flow Alchemist



Pre-conventional Conventional Post-conventional

Flow Alchemist

1% Systems & principles

4% Co-Creator

5% New perspectives

Results

35% Achiever

45% Expert

Standing out

Leader

Servant Leader

Catalyst

Conformer

8% Fitting in

Own needs

Win/Lose

Win/Win

Transformative Dialogue

Opportunist

2%

awareness/reflection system/context both/and perspective taking perspective seeking complexity & integration

- multiple factors
- stakeholders
- higher principles
- healthy ownership
- agility/versatility

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LEI: Three types of intelligence




COGNITIVE INTELLIGENCE (IQ)

CONTEXTUAL INTELLIGENCE (CQ™)

EMOTIONAL INTELLIGENCE (EQ)

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Engaging Leaders

- Share the characteristics of leaders who inspired you and made you feel good about yourself—the ones you would follow

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Disengaging Leaders

- Share the characteristics of leaders who demotivated you, made you feel hopeless or useless—the ones you wanted to leave

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Emotional Resonance


- Emotions run on an “open loop” - they’re contagious, and generally from the top down



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The wake I leave



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City of Edmonton Leadership Expectation & Principles

Themed Content Areas

Coaching

Change Management

High Performing Teams

Communication

Contextual Thinking (CQ)

Levels of Development in Action (IQ)

Emotional Intelligence (EQ)

Foundational Leadership Skills

HOW you think: lenses and structure
Skills that underlie the effective implementation of content

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Principles of adult learning #1-5

Dr. Theo Dawson 2011

- 1) Find out what individual learners already know and how they think about what they know.
- 2) Provide learning challenges that are in their zone—just beyond their current level of understanding
- 3) Engage their interest
- 4) Balance the introduction of new ideas/skills with ongoing opportunities for application (builds implicit knowledge) and reflection (builds explicit knowledge that can be shared)
- 5) Establish a habit of reflection in the learner, both personal and interpersonal

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Principles of adult learning #6

- 6) Understand that real learning—learning that changes the way we think and behave—takes time and requires a work environment in which ongoing learning, application, and reflection are REQUIRED as part of everyday activities. Without this piece, training is almost useless.

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Building leadership capacity

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Integrative learning cycles


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Individual: Action learning

- Meeting with direct supervisor - choose project to practice leadership (not technical) skills
- Monthly assignments
- Integrative learning cycles - practice and application - goal, plan, action, reflection

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Cohorts: Action learning

- Purpose: mutual support & learning
- Ongoing assignments

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LEI Syllabus




Note: Once curriculum has been introduced, it is integrated throughout the rest of the LEI

| Day 1 | Day 2 | Day 3 | Day 4 | Day 5 | Day 6 | Day 7 (1/5) | Day 8 (1/5) | Day 9 (1/5) |
|---------------------------------|--|---|--|---|---|---|---|---|
| Reflection | Resonance | Self awareness & reflection sheet Feed Forward | Self Reflection & Self-Awareness | All point review | Security to Change | Self | Self | Change & next steps |
| Personalizing talking & writing | Priority Management Levels of development in action | Decision-making model Dynamic planning | Three kinds of intelligence: Cognitive Intelligence (IQ) | | | | | |
| Resonant Leadership | Internal coherence | Three kinds of intelligence: Emotional Intelligence (EQ) | | | | | | Leadership vulnerability |
| Point Thinking | Conflict (complex) model | Three kinds of intelligence: Contextual Intelligence (CQ) | | | | | | |
| Principles of Adult Learning | Neurobiology | Other Curriculum | | | | | | |
| Intentional Change | Leadership variability Living Systems | Themed Content Areas | | | | | | |
| | | High performing teams Coaching | High performing teams Coaching & Communication | High performing teams Coaching & Communication | High performing teams Coaching & Communication | High performing teams Coaching & Communication | High performing teams Coaching & Communication | High performing teams Coaching & Communication |
| | | | Management planning practices | | | | | |

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partners@clear-impact.com 877-430-0714 (us) 509-452-8297 (CA) www.clear-impact.com




LEI schedule

- Full Days: 8:30 am to 4:30 pm
 - Two breaks (10-15 minutes), morning and afternoon
 - Lunch 12 - 1 (can bring lunch)
- Half Days: 8:30 am to noon
 - One break (10-15 minutes)

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Intentional Change

- Choose picture and then share
- My ideal future 
- What I most want to get from the LEI
- My commitments to ensure I get that
- Write answers in binder, page 25
- Share contact info, set up first meeting

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IDEAL FUTURE AND COMMITMENTS

What card did I choose, and why?

What is my Ideal Future as a leader?

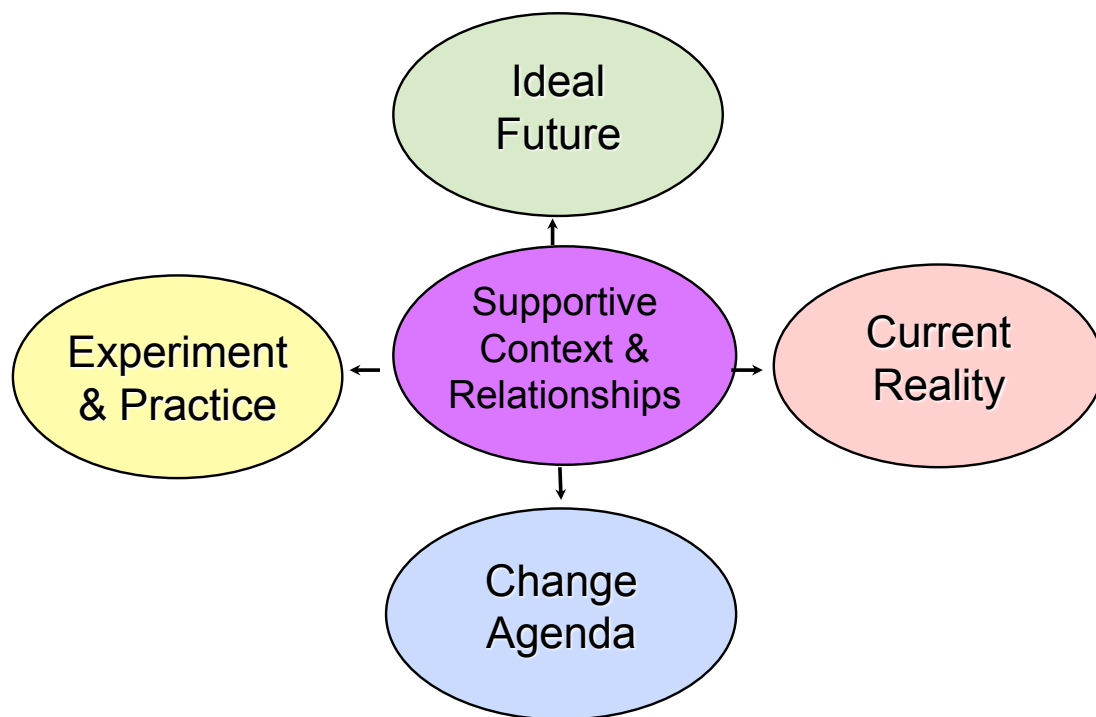
What I most want to get from the LEI

My commitments to ensure that I get that



CURRENT LEADERSHIP CHALLENGES

Intentional Change Process



Based on the work of Richard Boyatzis, Ph.D., Case Weatherhead School of Management

Adapted from Richard Boyatzis, this model will provide a common language for leadership development, change management, and coaching, as well as the other two content areas of communication and high performing teams. Below are the component parts.

Ideal Future

Like sunflowers reaching toward the sun, we grow and change in the direction of our images of the future. If we want a positive future, we can first hold the image of that future in some way, allowing it to become a magnetic force pulling us toward it. It is then what brain researchers call a ***positive emotional attractor***.

- **Ideal Future** is how we want to be, and reflects what matters most.
- This could be an individual vision (what Boyatzis calls **The Ideal Self**). It could also be the goals we have for our team, department, city, province, country, or the world.
- Our **Ideal Future** is influenced by the culture and what it drives.
- It is important that this **Ideal Future** be phrased in a positive way, and that it is truly meaningful for us, rather than a “should” or someone else’s idea of what’s right.
- You have been asked to reflect on your **Ideal Future** for you as a leader and for the organization that you lead (“Me and We”).

Current Reality: Who am I? Who are we? Strengths and Challenges

Most of us have been taught to look more at what’s wrong than at what’s right, to give more energy to our problems than to our visions. In **Buddha’s Brain** Rick Hanson talks about how our brains evolved to focus on negatives, and how negative feedback sticks like velcro while positive feedback non-sticks like teflon. Boyatzis speaks passionately about the importance of getting the sequence right between **Ideal Future** and **Current Reality**.

- His research shows that if we start with **Current Reality** and then come up with an action plan, we get incremental change at best, and often start on a change process that is not sustainable.
- On the other hand, starting with a clear picture of **Ideal Future** supports transformational shifts and sustainable change. This is especially true if there is an organizational context that actively supports those changes.

What is an honest, objective picture of where you are starting from? Your context is clearly part of your current reality. **Current Reality** includes both strengths and challenges. Include any input you have received from assessments, 360 feedback, etc.

Strengths are where ideal future and current reality overlap. What is already true that supports the ideal future?

In most organizational cultures, most leaders skip past strengths and focus their attention on perceived weaknesses or challenges. Boyatzis’ research suggests that there generally needs to be at least a 4:1 ratio of positive to negative in order to optimize successful change. This ratio holds for both what we say to ourselves and what we say to others. What would you say is the current ratio on the team you lead? What about on the team on which you are a member? And what about within your brain, your self-talk?

Gaps. Robert Fritz defined the gap between **Ideal Future** and **Current Reality** as **structural tension** or **creative tension**. This is not the kind of tension we want to get rid of. It is not about anxiety or agitation. Rather, it’s a creative force that helps propel us in the directions that matter most to us.

Fritz used a rubber band as a simple metaphor for this creative tension. Imagine one index finger represents Current Reality and the other your Ideal Future, and a rubber band around the two fingers. The space between those is the gap. Fritz said that if we hold both in our awareness, there is a natural pull toward the Ideal Future.



Notice what happens if we know where we are but do not hold a clear Ideal Future. There is then no creative or structural tension to assist us in moving forward. Also notice what happens if we hold a clear Ideal Future but don't have a clear idea of Current Reality, and believe that we're in fact closer to that Ideal Future than is actually true. Again the creative tension is reduced.

Change Agenda

How can we build on strengths while reducing gaps?

To be effective, a Learning Agenda needs to be as simple as possible, perhaps 3 to 5 actions that will have the most leverage over time. Anything more will be hard to sustain in the midst of a busy life.

Remember also that the most effective Learning Agendas are those that are pulled by the **positive emotional attractors** of our Ideal Future, rather than being fueled by frustration or fear (**negative emotional attractors**), and that forward momentum is supported by focus on strengths while still attending to internal challenges within a supportive organizational context.

Fieldwork: Finding your "most important thing"

What's the single most important thing for you to work on in order to become an even more effective leader? You may have some idea already, but all of us have blind spots.

- Make a list of your key organizational stakeholders (manager, peers, direct reports, perhaps others with whom you frequently interact).
- Ask them, "What's the single most important thing for me to work on? What would make the most difference in my becoming an even more effective leader?"
- Whatever is said, whether you agree or disagree, write it down and say, "thank you." *Do not challenge or argue!!*
- To get an even better jump-start on this process, we suggest you go beyond the work setting and ask this same question others who are important in your life (spouse or partner, children, parents, friends, etc.)
- As a pattern emerges of your "most important thing" to work on, also reflect on who and what would be impacted by positive changes in this area.
- While it is not required, there is strong research that the leaders who make the most successful changes are those who are willing to make a public declaration of their leadership goals and then follow up with key stakeholders for ongoing feed-forward.

Feed-forward

What you are asking for here is *feed-forward* rather than *feedback*. To better understand the value of this approach, please see the article by Marshall Goldsmith on this topic in the Communications section of your binder.

Paradoxically the most effective change begins with self-acceptance. Many of us harbor a belief that if we accepted ourselves as we are we would become complacent, lazy, and never make any changes. We therefore “motivate” ourselves by being frustrated or beating ourselves up. However, the most powerful and sustainable changes arise from first having a compelling ideal future, and then telling the truth about current reality from a place of compassion with ourselves.

Experimentation and Practice: Cycles of Goal, Action, Feedback and Reflection

The most effective leaders build ongoing, regular *reflection* into their lives. They reflect on what they want and on current reality, and then set goals, experiment with new behaviors, collect feedback on the results of those actions, reflect on what they learned, and then repeat the cycle.

Reflection can happen on individual, team, and organizational levels. One characteristic of high performing teams, for example, is that they conduct frequent After Action Reviews following both successes and challenges to promote insights and then integration of new learnings.

There are different levels of reflection. We can reflect on what occurs outside of ourselves. We can also reflect on what is happening on the inside, what is motivating us, what is driving us, what we are telling ourselves that leads us to act as we do, what beliefs and assumptions we are holding that are productive and which are less so. *Cultivating self-awareness* is vital for leadership development.

It is important to remember that growth is not linear and continuous. It happens in fits and starts. When we first try out new behaviors they're often awkward and more effortful. We can feel as if we're going backwards. And sometimes we are! We make progress, backslide, and then move forward again. Over time, with reflection and discipline, effectiveness improves and ease returns.

It is also very important to know that sustainable change, developing new habits of mind and action, takes a considerable amount of time, even with practice and reflection. Patience and persistence are important qualities for the journey. It takes a long time to “rewire” our brains, to develop new pathways that eventually become positive new habits.

Important: This “rewiring” of the brain, the actual creation of new structures of thinking and new patterns of acting, does not happen as a result of insight or awareness alone. This is why short workshops have little if any lasting value. Real change happens when we think and act in ways that are consistent with our new insights, especially when we do so even when it’s difficult.

Finally, do not be overly critical of yourself if you find it difficult to follow through on commitments that you know really matter. We often have a conscious commitment to move in one direction, but we don’t make consistent progress because there are unseen “competing commitments” that are getting in the way. When people set goals and then don’t follow through they can beat themselves up, telling themselves that they must be insincere or weak willed. This isn’t true. You will be introduced to a process called **Immunity to Change** developed by Robert Kegan and Lisa Lahey that helps to ferret out your competing commitments and facilitate forward progress.

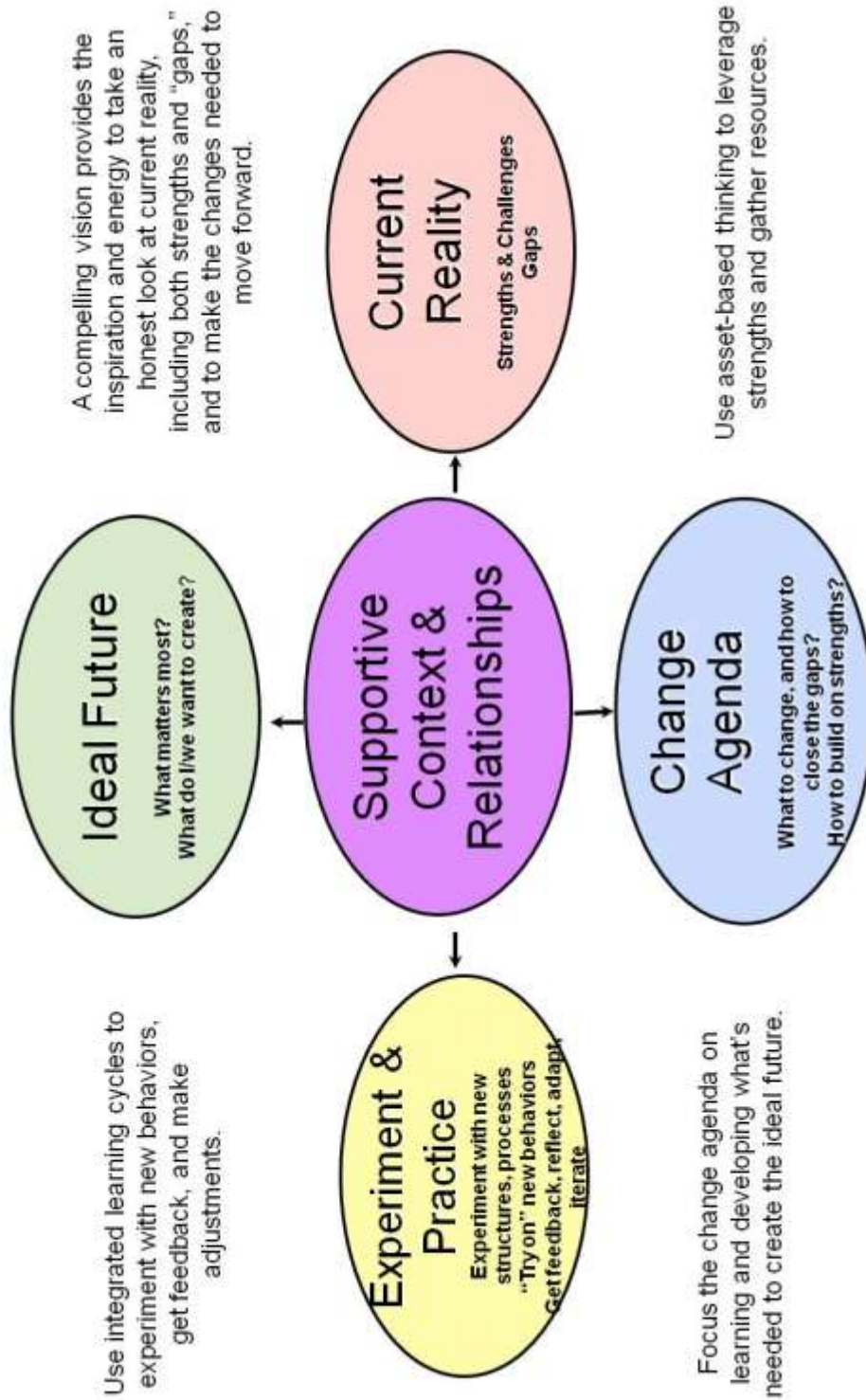
Supportive Context & Relationships

Real learning, learning that changes the way we think and then act, takes time and requires a work environment in which ongoing learning, application and reflection are built into everyday activities. There are at least three aspects of having a supportive context:

- Working in an organizational culture that supports and encourages learning. This includes managers at all levels having regular coaching dialogues with their direct reports about how they are applying what they are learning and together creating an environment of hope, caring, and mindfulness.
- Being surrounded with trusting, resonant relationships that help, support, challenge and encourage each step in the process. Each of you will be in a learning cohort, and can provide this support and encouragement to each other. You also ideally have others, inside and outside the work context, who actively encourage your growth.
- Having a supportive internal context in which you are kind and patient with yourself, while still telling the truth and challenging yourself to grow. It is important for all of us to notice whether our self-talk (what goes on within our heads) supports our ongoing development. Aim for at least a 4:1 positive ratio!

V2.4

Intentional Change Process



Based on the work of Richard Boyatzis, Ph.D., Case Weatherhead School of Management

IDEAL FUTURE WORKSHEET: ME & WE

Leadership Expectation: A leader with the City of Edmonton is a visionary, credible and trusted role model who inspires and challenges others to achieve their full potential.

Leadership Principles: We are one city. We are proud to serve the public. As stewards we lead. We do as we say. I make a difference every day.

This **Leadership Effectiveness Initiative** builds on and supports the **City of Edmonton's Leadership Expectation** and **Leadership Principles**. They provide strategic direction for City of Edmonton leaders on two levels:

- A framework that guides the development of your personal leadership vision
- A guide for your examination of the overall organizational culture and the culture of the team of you lead. It is vital that leaders develop their capacity to identify and alter aspects of workplace culture that support or detract from desired outcomes like those articulated in the City's **Leadership Expectation**.

The most important first step in any change process is to have a clear vision of an **ideal future**. An inspiring vision helps to keep you focused and energized. Co-creating an **ideal future** with your team or organization enhances engagement and a sense of being "in it together."



Like sunflowers reaching toward the sun, people grow and change in the direction of their images of the future. If you want a positive future, first hold the image of that future in some way, allowing it to become a magnetic force pulling you toward it. It is then what brain researchers call a "positive emotional attractor."

Please follow these steps to help you create an **ideal future** for you and for your team or organization. These images will evolve over time, and especially throughout this Initiative. Take some time to reflect thoughtfully and then write down your answers to each question.

1. Think about one or more people in your life who have truly inspired you. You left their presence much of the time feeling uplifted and hopeful, with a sense of purpose. They might have been leaders, teachers, parents, friends, etc.
 - a. What about them was so inspiring?
 - b. What words would you use to describe your experience when you were in their presence?
2. Think about the times in your life and work that you considered peak experiences. Perhaps you sensed that you were really making a difference or were part of something bigger than you. Or perhaps you accomplished something that you were really proud of, and you felt inspired and completely engaged in the effort. Or perhaps you felt so connected to another person that everything seemed much brighter. The experience was so rich and rewarding that you weren't looking for external rewards.
 - a. What was going on that was so moving for you?
 - b. What factors contributed to this experience?
 - c. What did you personally bring to the experience?
3. When you look back at the end of your career, how would you want to tell your leadership story? What would you want others to say about you? What legacy would you want to leave behind?

Now, within the context of the COE Leadership Expectation, please write your answers to these two questions and bring them to the kick-off. Write the answers in present tense, as if it is already happening (i.e. "We have high trust on our team and this allows us to support each other to take risks.")

1. What is your inspiring **ideal future** for you as a leader, one year from now?
 - a. How are you living your deepest values?
 - b. What is so deeply satisfying about how you are being and acting?
 - c. What is the quality of your work relationships?
 - d. What are you able to accomplish?
 - e. How are you serving or improving the lives of others? How are others supporting you?
 - f. How is your health and level of fitness?
 - g. Anything else?
1. What is your inspiring **ideal future** for the team or organization you lead, one year from now?
 - a. When your team is at its best, what qualities describe it?
 - b. What is the level of inspiration and engagement?
 - c. What are you able to accomplish together?
 - d. What is the impact on the City of your team's high performance and effectiveness?

Gaining initial clarity may take some time. Most of us focus more easily on problems than on ideal futures. In fact, brain research has shown that we're biologically wired to have negative thoughts "stick" to us like Velcro while positive thoughts drop off like Teflon!

So relax for a few minutes. Research also shows that when we are relaxed our heart opens, along with our imagination and more creative and subtle aspects of our minds. From that "resonant" state ask what **ideal futures** would be deeply inspiring for you. You can tell you are close when a little smile comes to your face when you envision them.

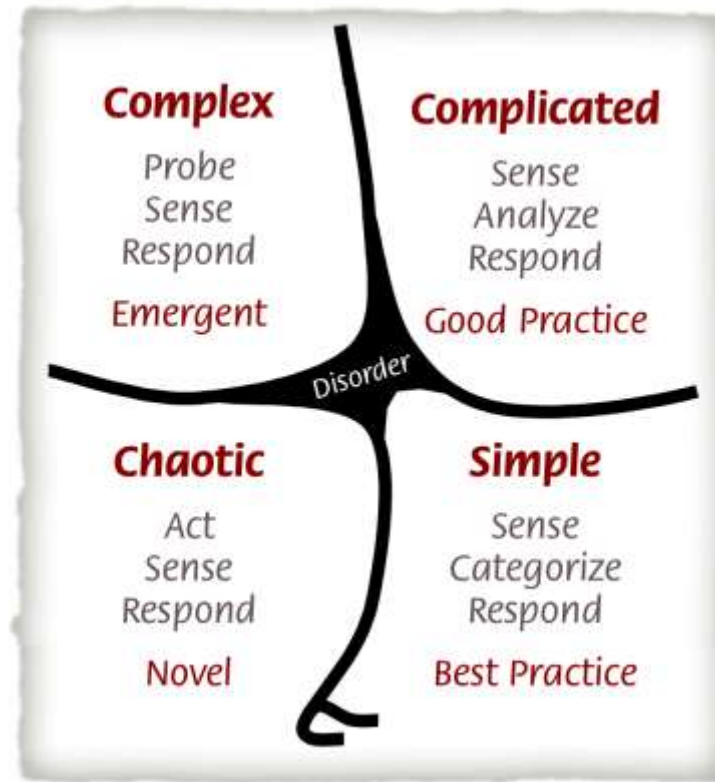
V8

PRINCIPLES OF ADULT LEARNING

Dr. Theo Dawson © Lectica, Inc. 2012

- 1) Find out what individual learners already know and how they think about what they know.
- 2) Provide learning challenges that are in their zone—just beyond their current level of understanding
- 3) Engage their interest
- 4) Balance the introduction of new ideas/skills with ongoing opportunities for application (builds implicit knowledge) and reflection (builds explicit knowledge that can be shared)
- 5) Establish a habit of reflection in the learner, both personal and interpersonal
- 6) Understand that real learning—learning that changes the way we think and behave—takes time and requires a work environment in which ongoing learning, application, and reflection are **REQUIRED** as part of everyday activities. Without this piece, training is almost useless.

COMPLEXITY THEORY: THE CYNEFIN MODEL



This framework from David Snowden of Cognitive Edge describes four different conditions that require different strategies for thinking and acting. He refers to these different strategies for thinking and acting as different ways of **sense-making**. That's a good term, because it's important to make sense of a situation correctly, first, in order to respond appropriately as conditions change. It is a very useful framework because many leaders prefer one strategy of sense-making and then try to fit all leadership situations into that box.

Simple Systems

- Clear cause and effect relationships that are easy to understand and are repeatable and predictable
- There are rules, and therefore predictability. If doing X leads to the result Y, then every time you do X you will get Y. That is, the rules of the system have a consistent impact

on the agents in that system. Solutions are linear and rational. Lend themselves to “best practices,” with standard processes and clear measurement

- Once we know what something is, we know what to do with it. Frederick Winslow Taylor’s Scientific Management improved efficiency by breaking everything down into simple, repeatable steps. Fast food franchises, for example, can do well with high employee turnover because each step is clearly laid out.

Complicated Systems

- Complicated Systems still have a clear relationship between cause and effect, but it takes considerable training to understand that relationship, and analytical techniques to determine a good way forward. This is the area of experts, and realm of good practice, rather than best practice, because different experts may come up with equally good solutions to the problem.
- Complicated systems lend themselves to detailed planning before taking action.
 - Building a 747 or other engineering problems are good examples. Each of the parts are known, including how they work together, but it still takes experts to figure out the right sequence and how to respond to different conditions that may arise.
 - A sign of being in the Complicated realm is that, if the same situation recurs, the same solution will apply. Simple and Complicated Systems are both Ordered Systems. Rules always have the same impact on agents within the system. Solutions are rational and linear, and repeatable.

Complex Systems

- Complex systems have an interrelationship between cause and effect that cannot be predicted in advance, although in hindsight whatever happens will make sense
- This is because:
 - There are too many different factors and interactions to take them all in account
 - The elements of the system (the rules and the agents) change each other as they interact, so they continually co-create each other
 - Sometimes a seemingly small factor has an extremely large effect.
- When a result happens in hindsight it makes sense, but if the same “causes” were applied again a different result would likely emerge
- In a Complex System you can begin with expertise, and apply whatever skills and knowledge are at your disposal, and then you see how the system responds and have that determine next steps. If it works, then do more of it. If not, then shift. This is the realm of **Dynamic Steering**, with rapid cycles of goal, action, feedback and reflection.
- The leadership of people in an organization is a Complex System. Change management, creation of high performance teams and organizations, and employee engagement initiatives all fall in the Complex area. There are not simple rules to follow. The same actions do not always lead to the same results.
- **Leaders who identify primarily with themselves as technical experts tend to use a very ineffective style in Complex Systems.** This is often true for leaders who were promoted for

their technical excellence rather than for their potential as leaders of people, and who were then given little or no training in how to effectively lead.

- Unlike Complicated System, which lends themselves to linear approaches, Complex Systems are non-linear.
 - While Complicated Systems can be figured out and have predictable outcomes, in Complex Systems the solutions are **emergent** because they become clearer over time, especially with frequent learning cycles.
 - For this reason, Complex systems do not lend themselves to hierarchical, top-down, command-and-control solutions.
 - However most leaders were promoted by gaining mastery in Complicated systems, and those systems are more conducive to top-down hierarchical leadership. To the detriment of the organization and its employees, these leaders often continue to apply that hierarchical and linear style of leadership to issues in the Complex domain.

"Everything should be made as simple as possible, but not simpler"

– Albert Einstein

Chaotic Systems

- In a Chaotic System all hell has broken loose.
- There are no rules, or at least no clear ones. The situation is novel and it's a crisis.
- There are no obvious cause and effect relationships, and the leader's role is to first take action to try to stabilize the situation.
- Once stabilized it likely becomes a Complex System.
- Some leaders thrive in chaotic environments, but then have a hard time letting go of tight control when the situation shifts to one of the other systems.

Disordered Systems

- A system is Disordered when it's not yet clear which of the four Systems is actually present.
- When leaders are first exploring Complexity Theory, this isn't a bad thing. Developmentally it's a very good sign when a leader stops to ask, "What conditions are currently present, and therefore what kind of sense-making is needed?"

Recognizing Different Conditions

Let's use the example of building a bridge.

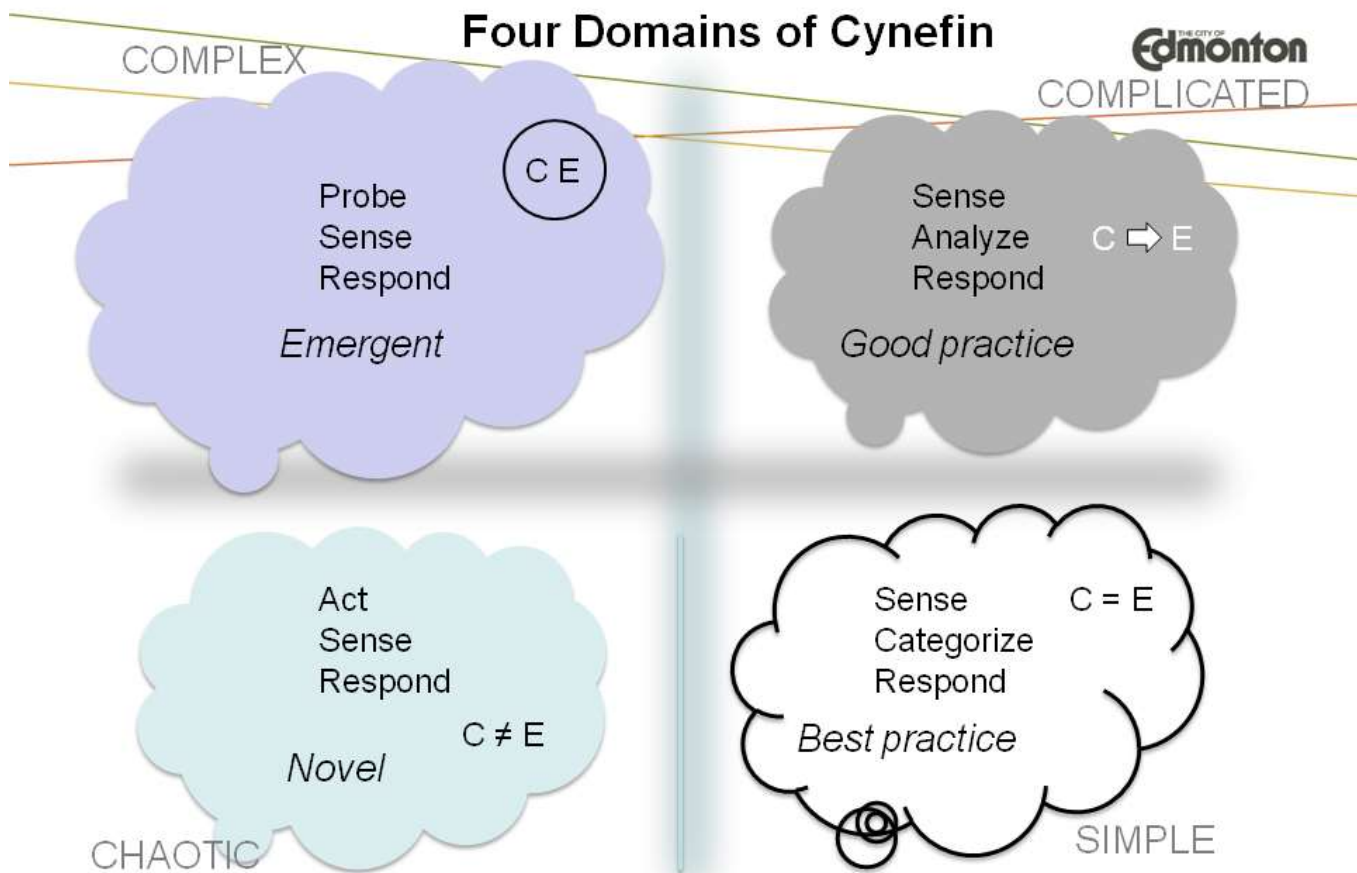
- Prior to construction, experts need to apply their craft and come up with a plan for moving forward. This part of the work is a Complicated System.
- Once the work commences, some of it is in the realm of a Simple System. It's known at what temperature certain paints will adhere, for example, and how to best fasten parts of the structure together. There are known and replicable processes to put into place.
- For both the Simple and Complicated Systems there are rules to follow that work consistently, rationally, and linearly. Both are conducive to more hierarchical, top-down management.

However, maintaining a positive work environment, optimizing engagement and harmony, managing high performance and retaining top talent is Complex. Though there are important models to consider and apply, it cannot all be figured out ahead of time. It requires a different mindset on the part of the leader and the outcome is often emergent.

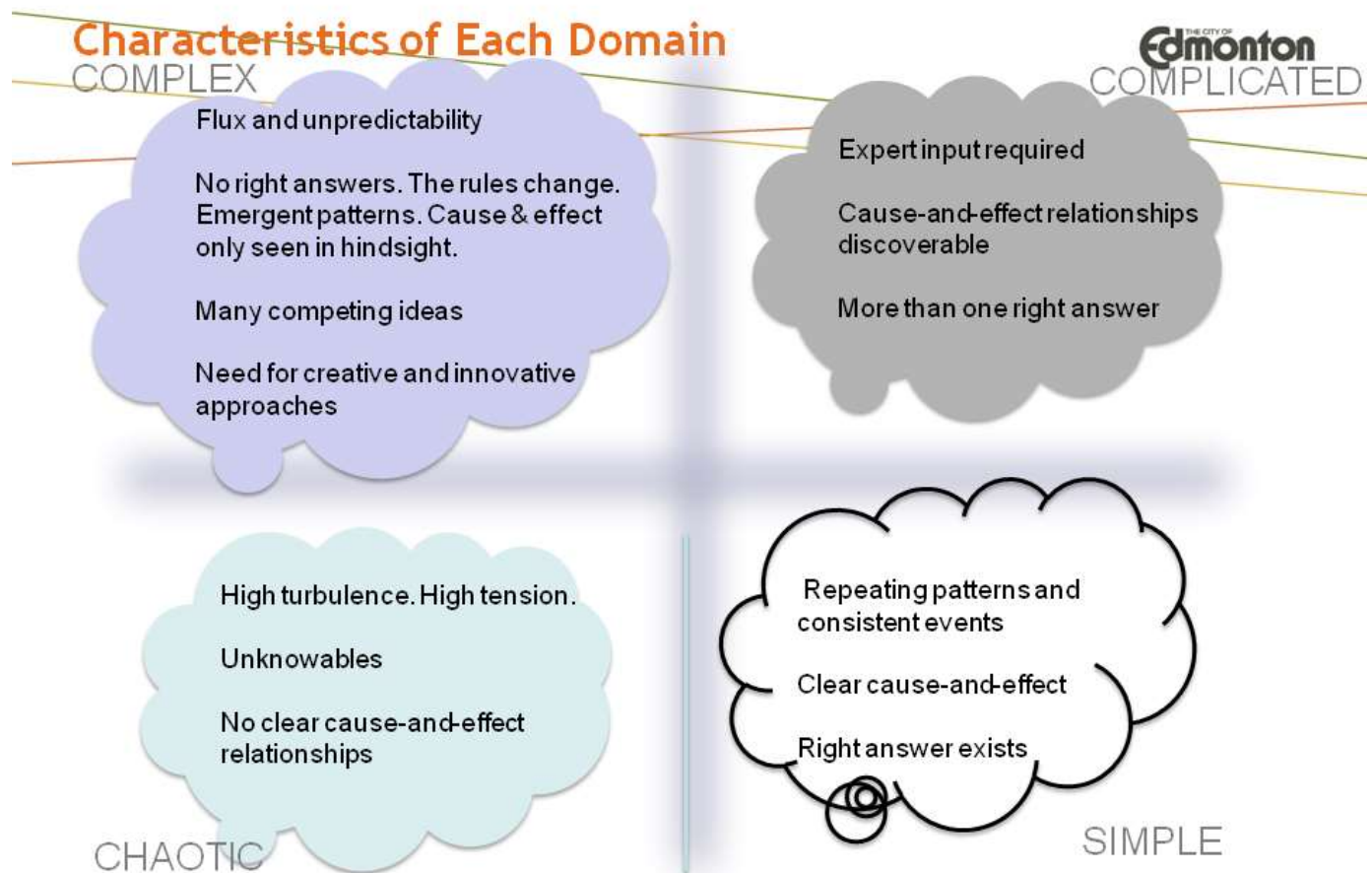
It is very important for leaders to understand what conditions they are facing, and which of the four mindsets or ways of sense-making are most effective given those conditions. Frequently a task will have at least three different conditions present in different aspects of the work.

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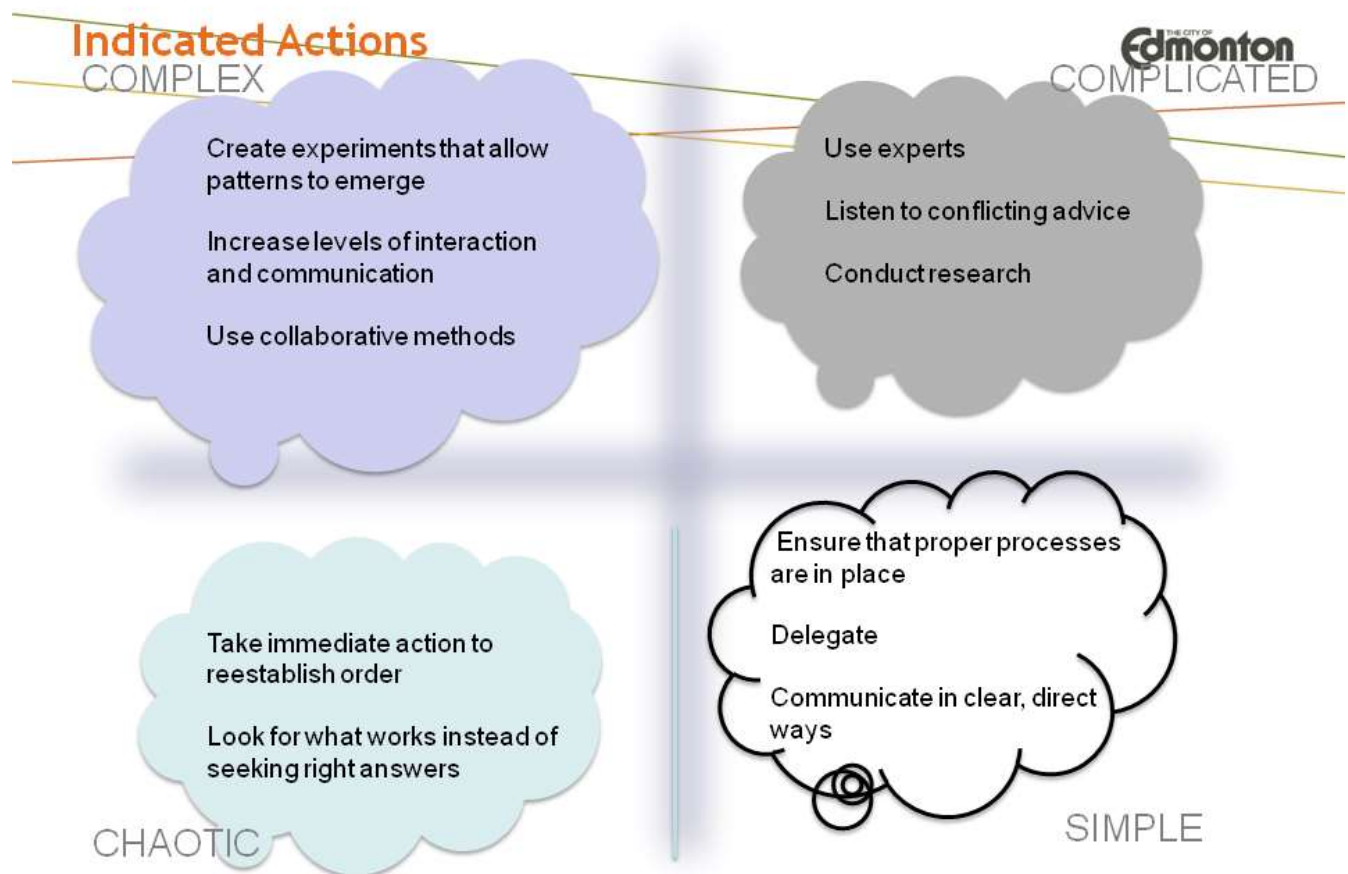
FOUR DOMAINS OF COMPLEXITY



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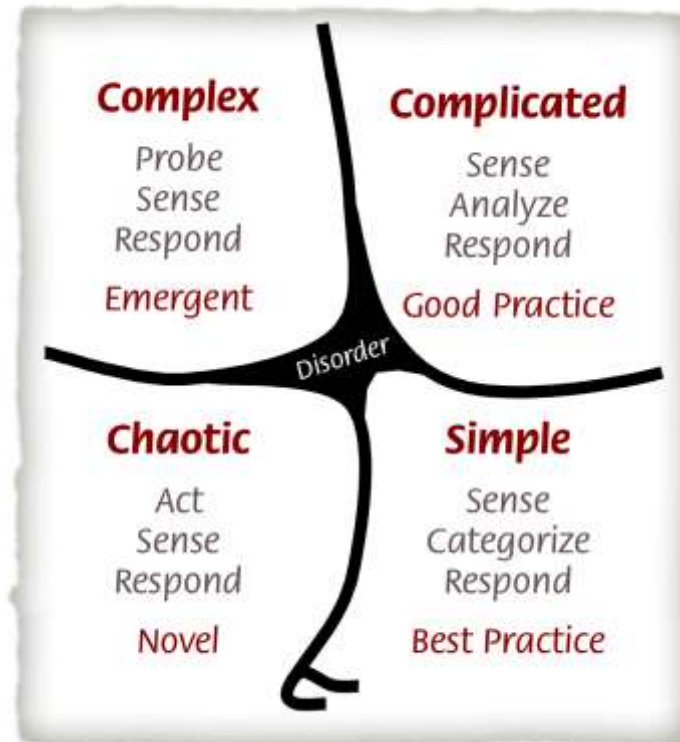


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COMPLEXITY THEORY: VIDEOS



- (1) **The Case for Complexity:**
<http://www.youtube.com/watch?v=WUJviaTi7VA>
- (2) **How to Organization a Children's Party:**
<http://www.youtube.com/watch?v=Miwbg2eZaJg>
- (3) **The Cynefin Framework:**
<http://www.youtube.com/watch?v=N7oz366Xo-8>
- (4) **Lean, Agile & Scrum Conference – Making Sense of Complexity:**
<https://www.youtube.com/watch?v=y6RfqmTZeju>



COMPLEXITY WORKSHEETS

| Simple | |
|--|---|
| Characteristics | Indicated actions |
| Repeating patterns and consistent events | Ensure that proper processes are in place |
| Clear cause-and-effect | Delegate |
| Right answers exist | Communicate in clear, direct ways |
| Decision #1 | |
| Who? | |
| What? | |
| When? | |
| Decision #2 | |
| Who? | |
| What? | |
| When? | |
| Decision #3 | |
| Who? | |
| What? | |
| When? | |

Complexity Worksheets

| Complicated | |
|---|------------------------------|
| Characteristics | Indicated actions |
| Expert diagnosis required | Use experts |
| Cause-and-effect relationship is discoverable | Listen to conflicting advice |
| Consistent set of rules | Conduct research |
| More than one right answer | Develop plans |
| Experts to be used | |
| Who? | |
| What? | |
| When? | |
| Research/analysis to be conducted | |
| Who? | |
| What? | |
| When? | |

Complexity Worksheets

| Complex | |
|---|---|
| Characteristics | Indicated actions |
| Flux and unpredictability | Have a Dynamic Steering mindset – seek workable solutions guided by wisdom and experience, not “best” solutions |
| No right answers. Emergent patterns. | |
| The players change the rules | Create experiments that allow patterns to emerge |
| Many competing ideas | Increase levels of interaction and communication |
| Need for creative and innovative approaches | |
| | Use collaborative methods and coordinate multiple perspectives |
| Experiment #1 | |
| Description | |
| Rationale | |
| Indications of success | |
| Indications of failure | |
| Recovery strategy | |
| Experiment #2 | |
| Description | |
| Rationale | |
| Indications of success | |
| Indications of failure | |
| Recovery strategy | |



POLARITIES

INTRODUCTION TO POLARITY MANAGEMENT

Both/and thinking allows leaders to be more successful during times of ambiguity, complexity, and rapid change. This is in the realm of Complex Systems, where more and more of a leader's time is spent. **Polarity Management**, originally developed by Barry Johnson, is a powerful way for individuals, groups and systems (*me, we, and us*) to grow in this direction.

What is a polarity?

- A polarity is a pair of interdependent positive concepts that need to work together for sustainable and optimal effectiveness, such as **Consistency & Change**.
- This is in contrast to opposites with one positive and one negative pole such as **Generous & Selfish, Strong & Weak, and Confident & Insecure**.
- Most leaders tend to have a positive view of one side of a polarity and a negative view of the other. That is, one side is **privileged** and the other becomes discounted, judged or ignored.

For example, in the polarity of **Individual Focus & Contextual Focus**, some leaders over-privilege the Individual side. They see everything in terms of individual accountability, and see people who focus on organizational culture as making excuses for poor performance. Less frequent are those who over-privilege organizational responsibility and then do not hold individuals accountable for their performance.

Wars are fought in organizations over the **Consistency & Change** polarity, especially in times of change and transition.

- **Tradition Bearers** focus their attention on the strength of what is already working (Consistency) and are afraid of the downside of Change which they see as Chaos. They might say, "Don't throw out the baby with the bathwater! We're already doing well! Slow down!"
- On the other hand **Crusaders** focus their attention on what needs to change, and are afraid of the downside of Consistency which they see as Stagnancy. "If we don't change we'll perish! Can't you see that we're at risk here?!"
- One of the most important Change Management perspectives is seeing the wisdom in both perspectives and being aware that the sustainable success of the organization depends on the effective integration of both.

Why are polarities important?

- Some leadership issues are simply problems to solve. A right answer can be reached through sufficient thought, such as what software program to choose for a particular application.
- However, most leadership problems involve more complexity than that, where the outcome isn't predictable, and frequently require the ongoing management of tension between two or more seemingly opposite but nevertheless interdependent values. If leaders don't recognize polarities and the value each pole brings, their solutions and their systems will be less effective and sustainable over time.
- For most leadership situations **both/and** thinking in order to optimally lead the organization forward.

Another polarity example is **Reflection & Action**. It's important for leaders, their teams and their organizations to make time to step back and consider options. It's also important for them to be actively engaged in action.

- What happens when they over-do Reflection and pay insufficient attention to Action? They just sit around talking and productivity suffers, while judging those who rush into action.
- What happens when they over-do Action and pay insufficient attention to Reflection? They stay very busy, work long hours, but often are working inefficiently or even on the wrong things, while judging those who are sitting around and "just talking when there's work to get done."
- The most effective leaders, teams and organizations see the tension between poles of a polarity as requiring ongoing management over time. Sometimes more attention is appropriately paid to one pole, sometimes more to the other, and anywhere in between. They monitor when they get into the downside of either one (in the example of **Reflection & Action**, frantic disorganized busy-ness or analysis paralysis). They understand that there isn't a "right" answer. They also understand that the poles of a polarity, like **Reflection & Action**, are interdependent and need each other in order to optimize the effectiveness of either one and the system. They are interrelated parts of a greater whole.

Another example of a polarity that tends to not be managed well in organizations is **Advocacy & Inquiry**. In order to have an effective dialogue and optimize organizational results, it is essential to balance Advocacy (taking a strong stand) with Inquiry (asking questions of others to understand their perspective). Similarly, high performance organizations effectively manage the tensions of **Individual Action & Collaboration** and **Guidance & Freedom**.

Do most leaders manage polarities well?

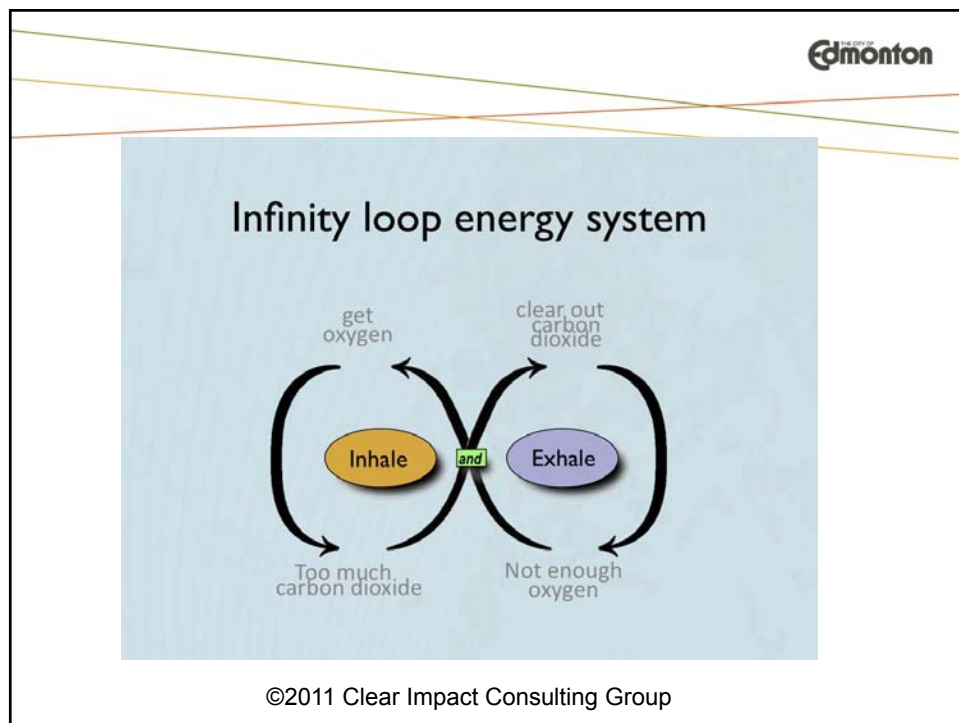
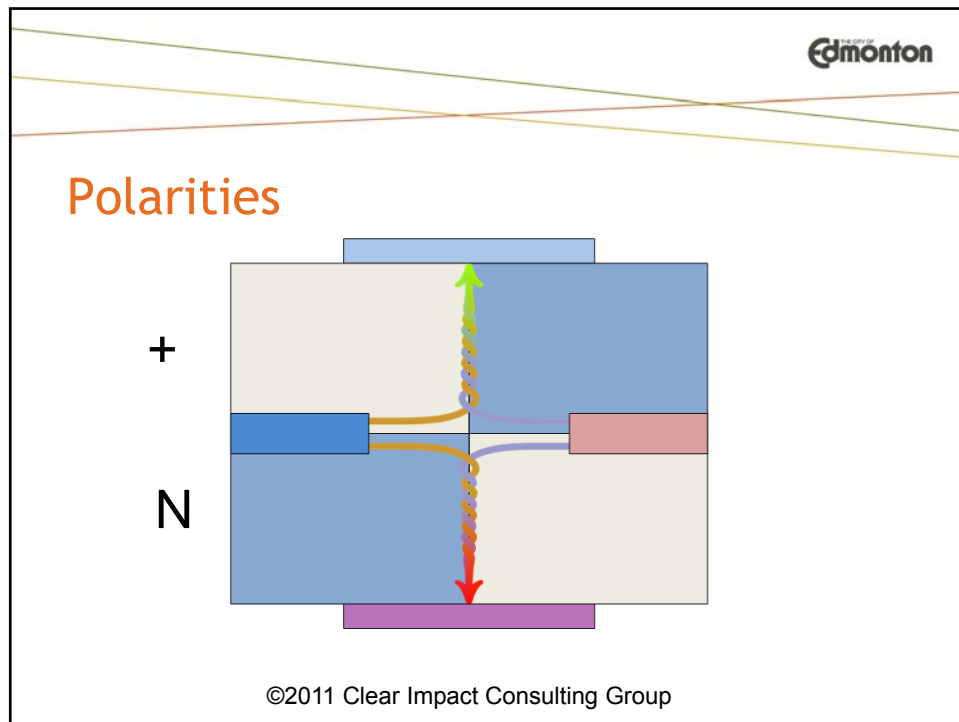
- In a word, no. They tend to over-value one and neglect or fear or devalue the other. This leads them to make overly simplistic decisions that sub-optimize productivity and engagement.
- For example, there is a polarity **Forceful & Enabling**. Forceful leaders provide clarity of direction, hold people accountable, and are willing to take a strong stand. Enabling leaders listen well, empower, and support. Most leaders over-do one of these poles and under-do the other, and then use language to support that imbalance. It is common for organizational cultures to reward favoring Forceful over Enabling, yet both quality and engagement suffer as a result.

Leaders can build their capacity to manage polarities effectively by:

- Examining the wisdom embedded in what may be interpreted as the undesirable or opposite pole in a polarity that they or their context may reinforce, and the potential downside of what is currently being privileged, especially when it's over-done at the expense of the other
- Examining their own biases and assumptions, and those of the organizational culture, because most organizational cultures are "lopsided" in privileging one side and discounting the other
- Understanding that both poles of a polarity need to be optimized for sustainable operational excellence and a high performance system, and that each pole requires the integration of the other side in order to bring out the wisdom of both poles. This is a **dynamic tension** to be managed over time, not a problem to be solved.
- Understanding that over-privileging one pole over another will also jeopardize their preferred pole over time.
- Seeing that the goal is to optimize the wisdom and gifts of both poles while minimizing the downside of each
- Recognizing that either/or fights, stemming from either/or thinking, push the organization into the lower aspects of both poles

V2.0

Polarities Slides



Polarities: Which is better?

| Respect based on merit | Respect based on humanity |
|------------------------|---------------------------|
| Focus on tasks | Focus on relationships |
| Swift decisions | Thorough decisions |
| Individual work | Teamwork |
| Short-term focus | Long-term focus |
| Listening well | Making clear statements |
| Careful | Candor |
| Idealism | Realism |
| Action | Reflection |

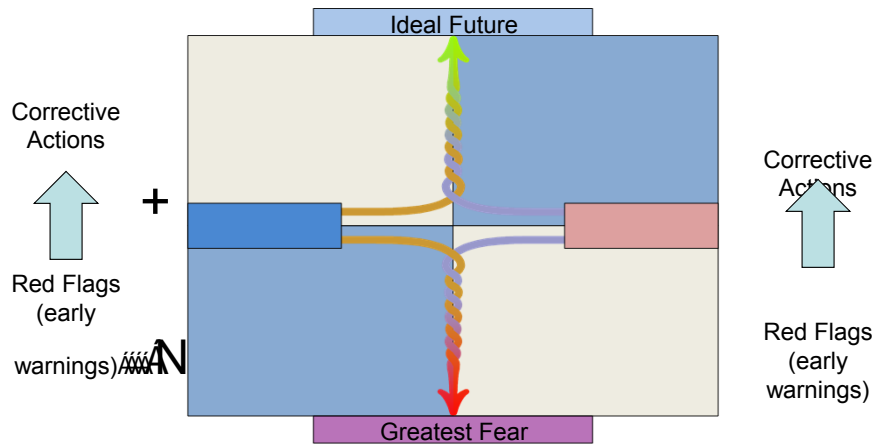
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Polarities

- Two values that can seem like opposites:
 - interdependent, neutral or positive pairs of values, strengths, or concepts
 - where both poles are needed for either pole to work over time
 - and both poles must be integrated to have sustainable high performance

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Polarities: both/and



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Polarity principles

- Polarities are tensions to be managed, not problems to be resolved
- Almost all leaders and all cultures privilege one over the other
- Privileging a pole will undermine that very pole over time and suboptimize any results
- The greater the value, the greater the fear

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Polarities by developmental level

| | |
|------------|---|
| Conformer | Stark, irreconcilable opposites. Just black. Or just white. |
| Expert | Knows there are shades of grey but still tends to polarize: black But white. |
| Achiever | Polarities are related along a continuum. Differences resolved through trade-off and compromise. Black or white, situationally. |
| Catalyst | Willing to “hold” and tolerate the tension of opposites. Rejection of either/or thinking. |
| Co-Creator | Deeply appreciates the interdependence of all polarities viscerally. |

Drawn from work of Bill Joiner, Susanne Cook-Greuter & Beena Sharma

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Opportunist

- | | |
|--|---|
| <ul style="list-style-type: none"> • Embraced Pole • Self-interest/needs • Doing • Acting • Externalizing responsibility | <ul style="list-style-type: none"> • Neglected Pole • Others’-interest/needs • Thinking/Reflecting • Planning • Taking responsibility |
|--|---|

From Sharma and Cook-Greuter © 2010

Conformer

- | | |
|------------------------|-------------------------|
| • Embraced Pole | • Neglected Pole |
| • Other (care) | • Self (care) |
| • 'Us' | • 'Them' |
| • External features | • Internal qualities |
| • Compliance | • Assertion |
| • Standards/Rules | • Context/flexibility |

From Sharma and Cook-Greuter © 2010

Expert

- | | |
|------------------------|-----------------------------|
| • Embraced Pole | • Neglected Pole |
| • Received knowledge | • Examined knowledge |
| • Knowing | • Reflecting |
| • Advocacy | • Inquiry |
| • Unilateral/My way | • Collaborative/Others' way |
| • Efficiency | • Effectiveness |

From Sharma and Cook-Greuter © 2010

Achiever

- | | |
|------------------------|---------------------------------|
| • Embraced Pole | • Neglected Pole |
| • Planned | • Emergent |
| • Linear causality | • Non-linear interrelationships |
| • Future-oriented | • Here and now |
| • Discernment | • Intuition |
| • Objective | • Subjective |

From Sharma and Cook-Greuter © 2010

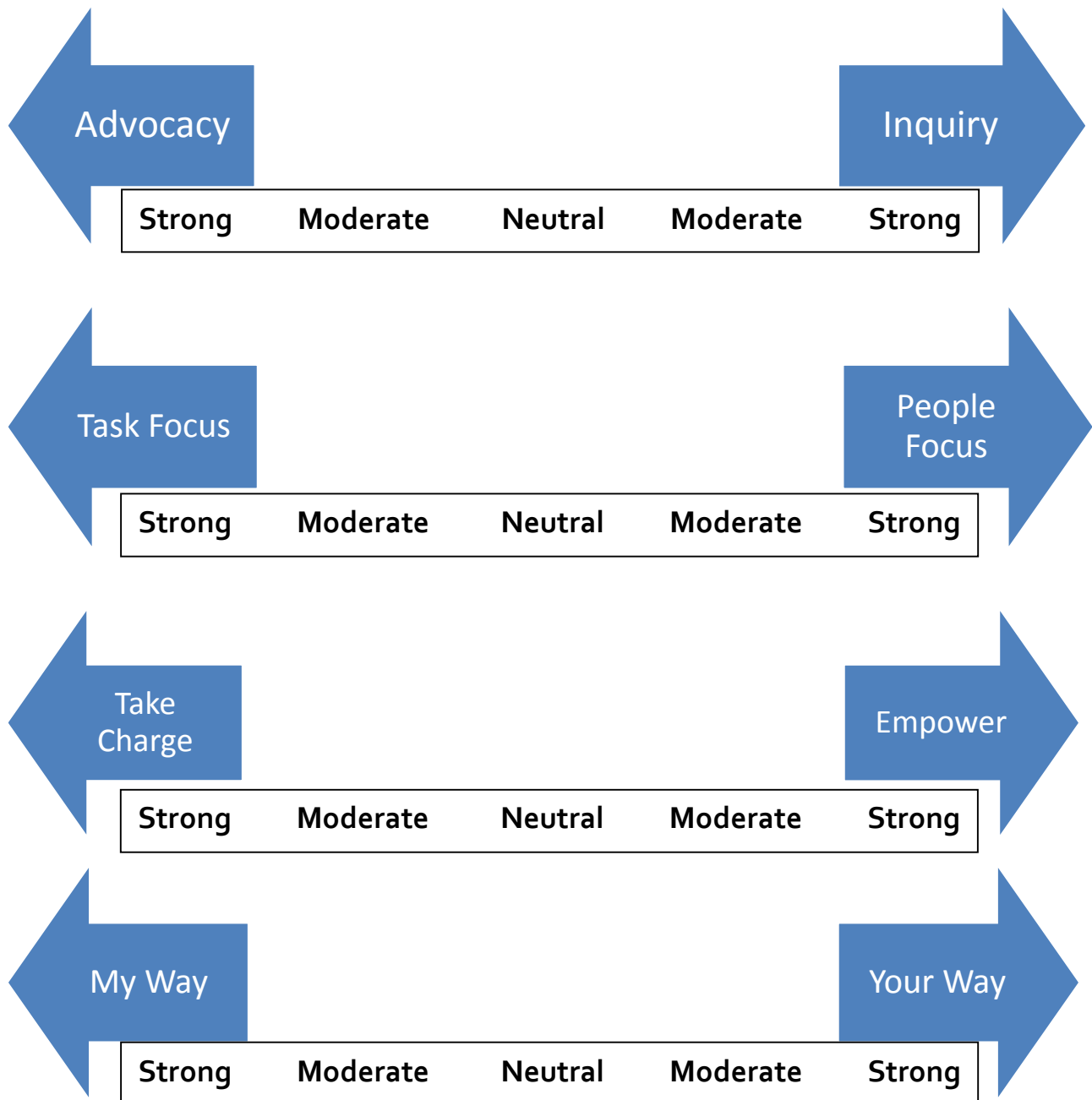
Catalyst

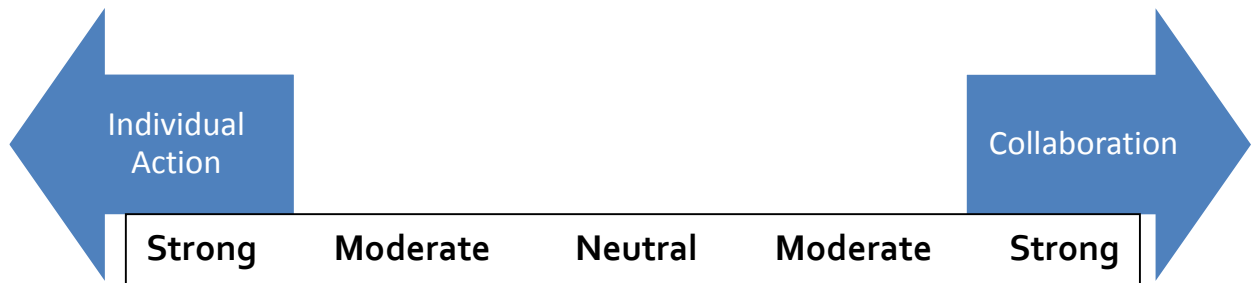
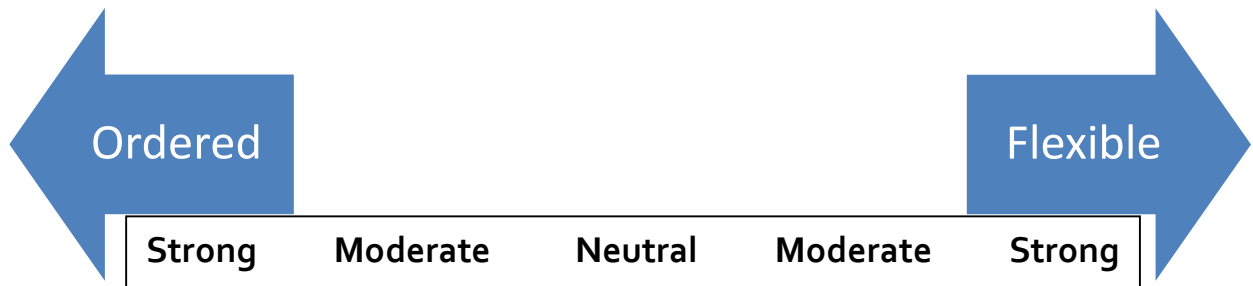
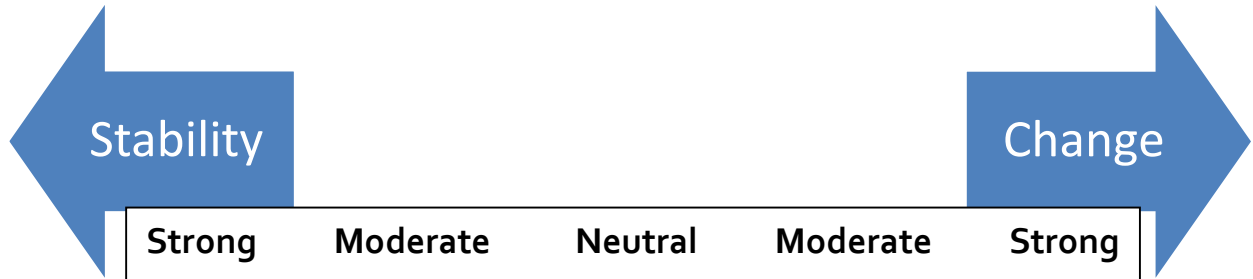
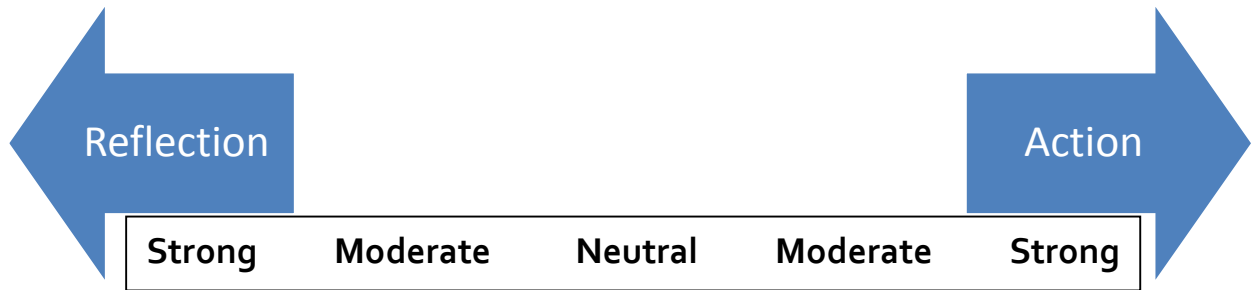
- | | |
|-----------------------------|-----------------------------|
| • Embraced Pole | • Neglected Pole |
| • Horizontal | • Vertical |
| • Consensus decision-making | • Directive decision-making |
| • Being | • Doing |
| • Appreciative | • Evaluative |
| • Personal/subjective | • Objective/analytical |
| • Contextual | • Standardized |

From Sharma and Cook-Greuter © 2010



POLARITY SELF-ASSESSMENT







POLARITY EXAMPLES

| | |
|--|---|
| Part & Whole <ul style="list-style-type: none"> • Individual & Group • Individual & Team • Individual & Organization • Individual & Community • Individual & Country • Individual & World • Team & Department • Team & Organization • Department & Division • Department & Organization • Organization & Community • Organization & Society | Self & Other <ul style="list-style-type: none"> • My Interests & Your Interests • My Interests & Team Interests • Our Interests & Their Interests • Our Team & Other Teams • Our Department & Other Departments • Organizational Needs & Customer Needs • Care for Self & Care for Others • True to Self & Loyalty to Others |
| Communication <ul style="list-style-type: none"> • Inquiry & Advocacy • Listening & Declaring • Prudence & Transparency • Diplomacy/Respect & Candor • Receptive & Expressive | Agency & Communion <ul style="list-style-type: none"> • Independence & Dependence • Differences & Commonalities • Individual Action & Collaborative Action • Asserting & Accommodating • Need to be autonomous & Need to belong • Differentiation & Integration • Individual Responsibility & Contextual Responsibility • Individual Effort & Group Effort |

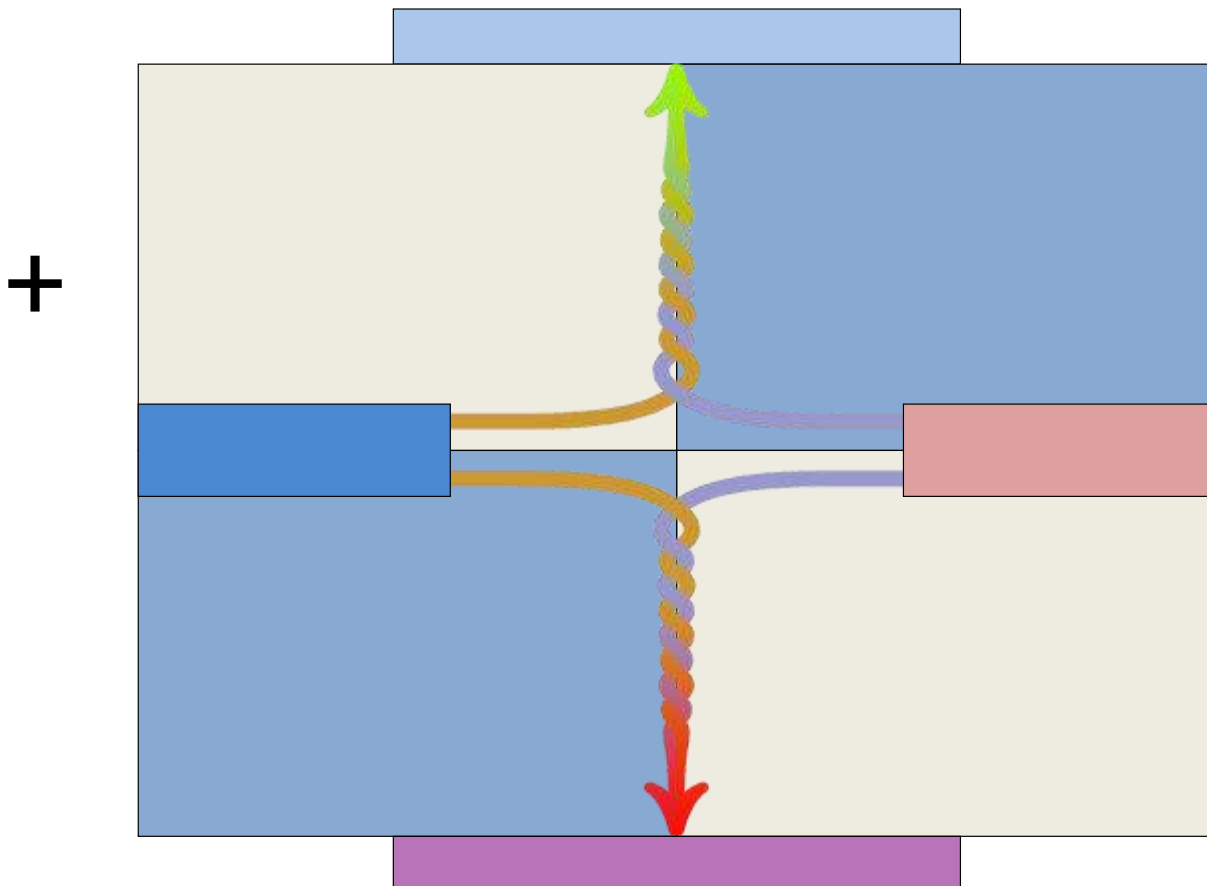
| | |
|---|---|
| Attitude <ul style="list-style-type: none"> • Optimism & Realism • Courage & Caution • Excited & Reserved • Compassion & Detachment • Confidence & Humility • Humor & Seriousness • Knower & Learner | Active & Passive <ul style="list-style-type: none"> • Participation & Observation • Activity & Rest • Action & Reflection |
| Leadership Versatility <ul style="list-style-type: none"> • Operational & Strategic • Forceful & Enabling • Management & Leadership • Consistency & Change • Ordered & Flexible • Control it Myself & Empower Others • Planning & Implementing • Directive decisions & Participative decisions • Detail & Big Picture • Directing & Allowing • Structure & Freedom • Process & Results | <ul style="list-style-type: none"> • Take Charge & Empower • Short Term & Long Term • Challenge & Support • Clear & Flexible • Mandatory & Discretionary • Fairness & Special Treatment • Task & Relationship • Consistent & Adaptable • Present Focus & Future Focus • Growth & Preservation • Taking Responsibility & Allowing Others to take Responsibility • Incremental Change & Transformation • Directive & Emergent • |
| Thinking Styles <ul style="list-style-type: none"> • Objective & Subjective • Linear & Nonlinear • Absolute & Relative • Spontaneous & Disciplined • Dynamic Solutions & Linear Problem Solving • Received Knowledge & Examined Knowledge • Principled & Practical • Planned & Spontaneous • Discernment & Intuition • Knowing & Mystery | Inner & Outer <ul style="list-style-type: none"> • External Features & Internal Qualities • Intrinsic Reward & Extrinsic Reward • Internal & External • Subjective & Objective • |

| | |
|---|--|
| Relating to Others <ul style="list-style-type: none"> • Appreciative & Evaluative • Conditional Regard & Unconditional Regard • Harmony & Discord • Competing & Collaborating • Inclusion & Exclusion • Accepting & Challenging • Learner & Teacher • Initiator & Follower | Convergent & Divergent <ul style="list-style-type: none"> • Simplicity & Complexity • Focused & Expansive • Make a Commitment & Keep Options Open |
| Same & Different <ul style="list-style-type: none"> • Diverse & Homogenous • Innovation & Tradition • Rules & Flexibility • Creative & Standardized | Work Product <ul style="list-style-type: none"> • Cost & Quality • Aesthetics & Functionality • Efficiency & Quality • Efficiency & Effectiveness |
| | Other <ul style="list-style-type: none"> • Centralized & Decentralized • Thinking & Feeling • Managing Job & Managing Career • Vision & Reality • |

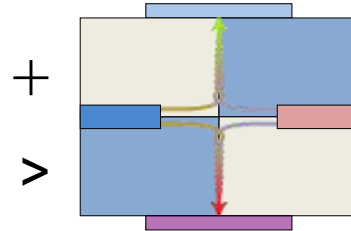
Drawn from different sources including Barry Johnson, Margaret Seidler, Beena Sharma & Susanne Cook-Greuter and our own work

2.11

POLARITY MAP



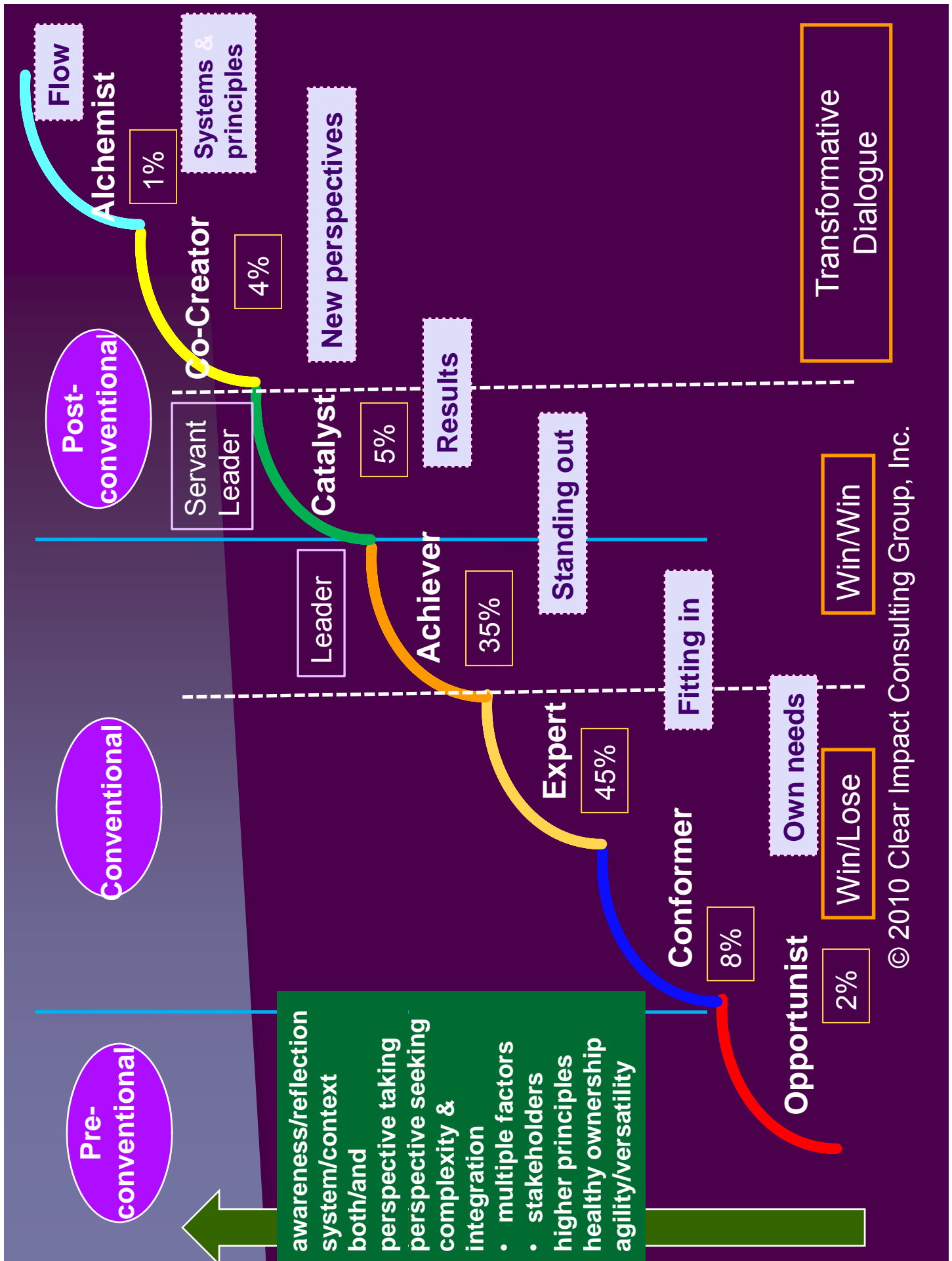
DRAWING A POLARITY MAP



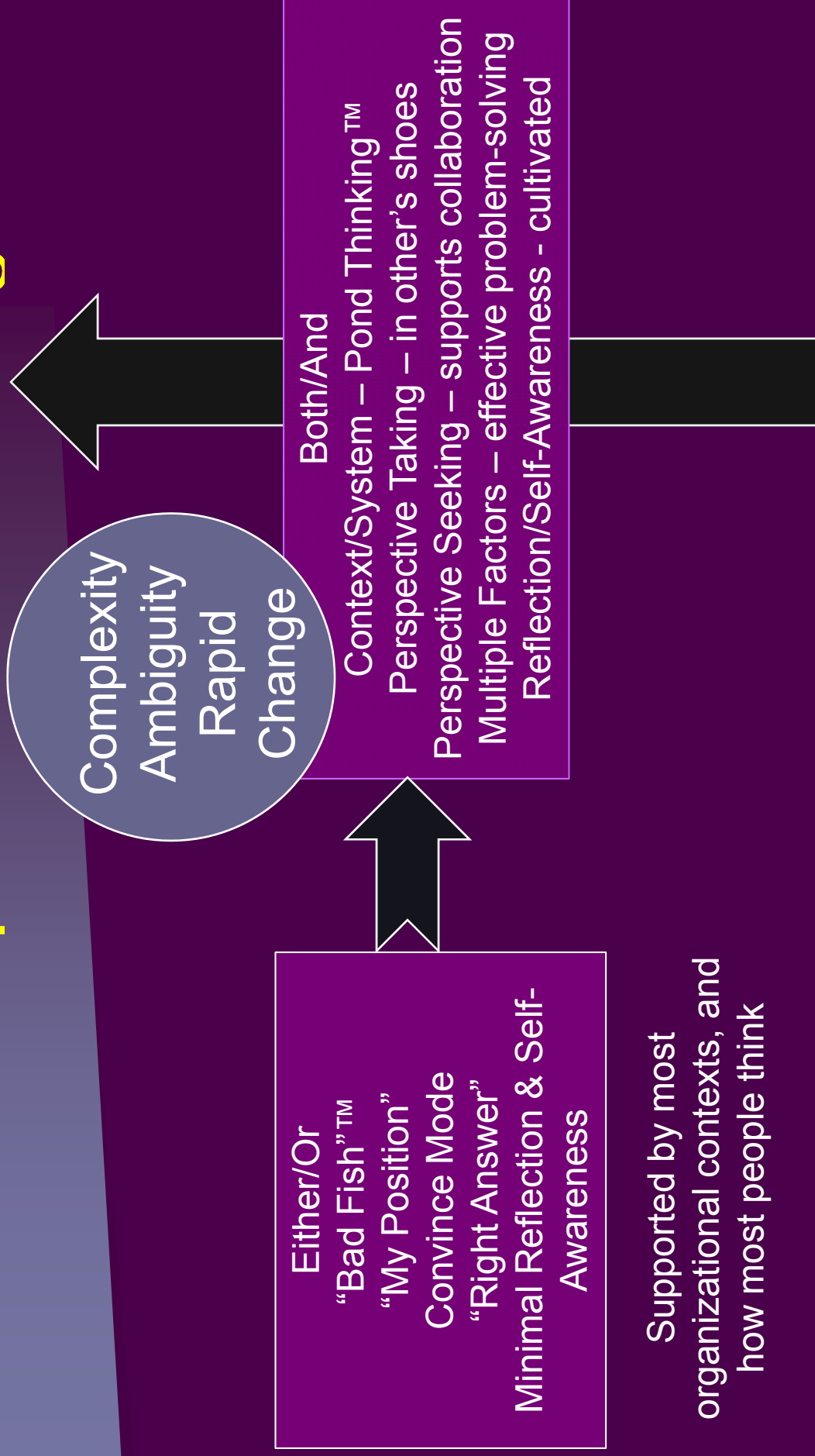
- 1) Choose a polarity that you think would be useful to explore
- 2) Draw a 2 x 2 matrix with space to write the polarity, then put "+" to the left of the top row and a ">" to the left of the bottom row. For this example we'll use Task & People.
- 3) You often will have an idea which of the two is over-privileged, or biased, by you or others. For example, in most organizations Action is privileged over Reflection, Operational over Strategic, and Consistency over Flexibility. Put the over-privileged term on the left and the other on the right. The order doesn't matter if you're not sure.
- 4) Explain that the top left box is for what's good about that pole. In our example, "What's good about being Task focused?" You might hear "get things done" or "success."
- 5) After you've gotten a few words or phrases, move to the top right. In our example, "OK, now, what's good about being People focused?" You might hear "engagement" or "morale."
- 6) Then explain that the bottom left is not what is bad about being Task focused. Rather, it's "What happens if we over-privilege Task over People? That is, what happens if we make focusing on Task very important at the expense of being focused on People?" You might hear "demotivate" or "upset."
- 7) Then move to the bottom right: "This is not about what's negative about being People focused. It's what happens if we make a focus on People very important at the expense of being focused on Task?" You might hear, "Work doesn't get done" or "failure."
- 8) Help people see what happens when we over-privilege either side. For example, even if someone really wants to focus on Task, if they over-privilege Task they get the downside, demotivated, upset employees who will not be optimally engaged to get the Task done. Similarly, even if someone really cares about People, when there is not enough focus on Task then people feel lack of direction, become demoralized or disengaged, and can even lose their jobs. So no matter which one is initially more important to you, over-privileging that side will eventually undermine that side.
- 9) Then look at the very top box. Ask, "What would people who are Task focused and those who are People focused both agree on?" This is the desired outcome. It might be, "Sustainable high performance with highly engaged employees." Then look at the very bottom box. This is what both would agree they are afraid of. It might be, "Poor results, low morale, lose good people." It helps when people who privilege either side see that they actually agree on a deeper level.

- 10) Sometimes the top box is actually a principle that encompasses or incorporates both poles. Trying to find this principle is a very good exercise. For example, the polarity of Advocacy & Inquiry is encompassed by the principle of Dialogue. Similarly, the principle of Wise Action encompasses the polarity of Action & Reflection, and the principle of Sustained Engagement encompasses Take Charge & Empower.
- 11) At times we also make notes on the right and left side of the polarity map. On the left would be, "What would be some red flags that our team or organization was starting to over-privilege Task over People?" and then, "If we saw those, what are some actions we could take?" The same would be on the right side, with initial red flags for over-privileging People over Task.

Levels of Development-in-Action



Developmental Thinking



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LEADERSHIP

effectiveness initiative

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DR. SANDRA L. HILL | CEO
DR. JOEL M. ROTHAIZER | President

Levels of Development-in-Action

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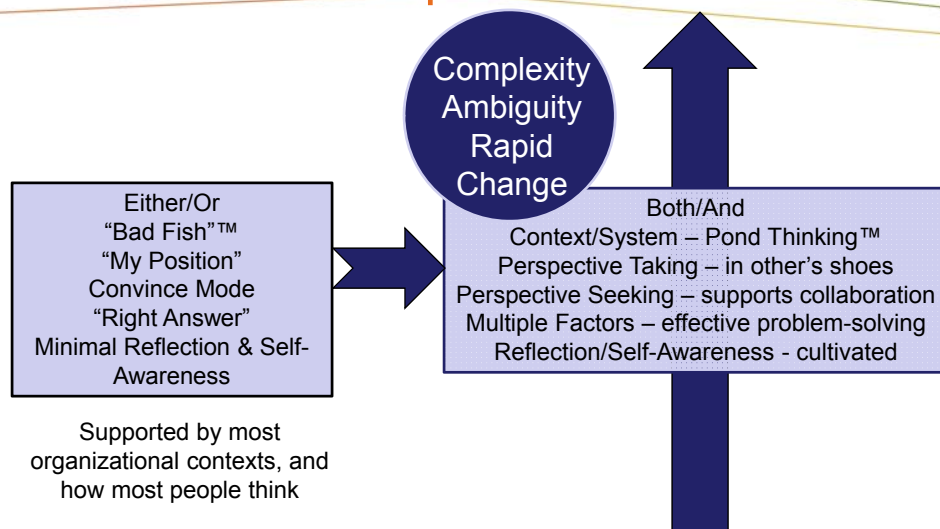
V2.2

Levels of Development-in-Action are not:

- Personality types
 - MBTI, DISC, Enneagram
- Styles of Influence
 - Aggressive, Passive, Concealed Aggressive, Assertive
- Leadership Styles
 - Hay Group: Directive, Visionary, Affiliative, Participative, Pacesetter, Coaching

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Levels of Development-in-Action



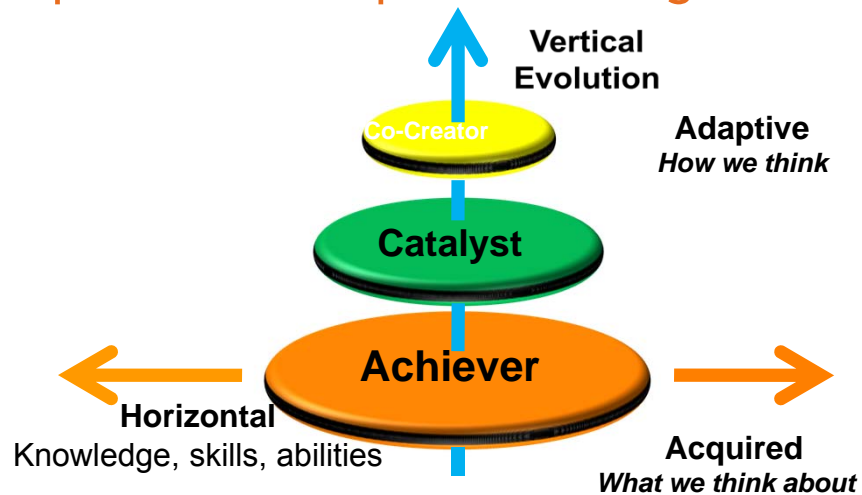
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Shifting operating systems



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Acquired and adaptive knowing



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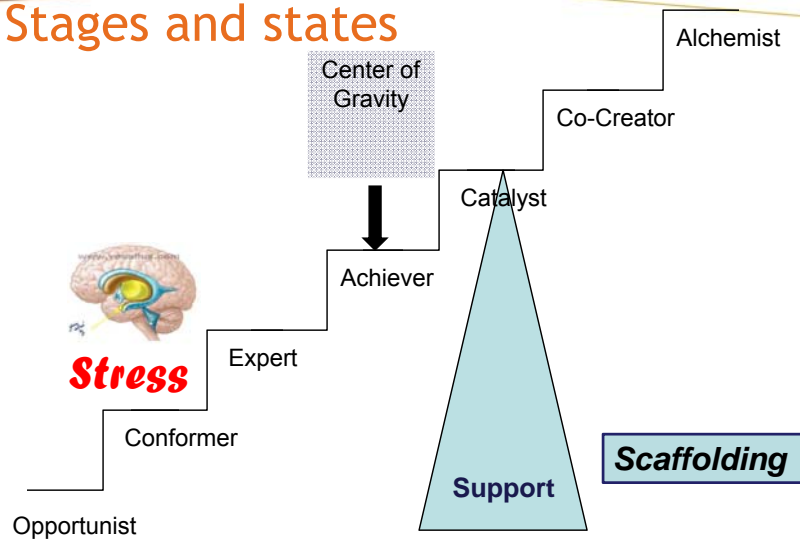
Polarities by developmental level

| | |
|------------|---|
| Conformer | Stark, irreconcilable opposites. Just black. Or just white. |
| Expert | Knows there are shades of grey but still tends to polarize: black But white. |
| Achiever | Polarities are related along a continuum. Differences resolved through trade-off and compromise. Black or white, situationally. |
| Catalyst | Willing to “hold” and tolerate the tension of opposites. Rejection of either/or thinking. |
| Co-Creator | Deeply appreciates the interdependence of all polarities viscerally. |

Drawn from work of Bill Joiner, Susanne Cook-Greuter & Beena Sharma

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Stages and states



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Heroic Leadership

- The limitations of “heroic leadership”



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The relation between human capabilities and the task demands of management jobs



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Opportunist - own needs

- *Wins any way possible*
- Power: "Might makes right"
- Feedback: An attack
- Distrustful of others
- Blames and stereotypes others
- Short time horizons
- Acts quickly, without deliberation
- Two forms: aggressive & self-protective

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Opportunist

- | | |
|--------------------------------|--------------------------|
| • Embraced Pole | • Neglected Pole |
| • Self-interest/needs | • Others'-interest/needs |
| • Doing | • Thinking/Reflecting |
| • Acting | • Planning |
| • Externalizing responsibility | • Taking responsibility |

From Sharma and Cook-Greuter © 2010

Conformer - fitting in

- Power: Affiliation with others
- Time: Past
- Doesn't question authority - traditional, literal
- Obeys and internalizes group norms without examination - you're on our side or you're not
- Avoids independent action, rocking the boat
- "Saving face;" clichés, group jargon, rules
- Feedback: taken very personally (correction)
- Expects own loyalty to be rewarded

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Conformer leadership

- Key assumption: Leadership is about maintaining the status quo. Be loyal, keep your head down, follow the rules.
- Organizational change: Obey superiors and make/enforce rules for subordinates
- Team leadership: Maintaining status quo and personal loyalties outweighs a focus on team performance
- Pivotal conversations: Tendency to avoid or attempt to dominate the discussion - feedback is seen as a personal attack

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Conformer

- | | |
|------------------------|-------------------------|
| • Embraced Pole | • Neglected Pole |
| • Other (care) | • Self (care) |
| • 'Us' | • 'Them' |
| • External features | • Internal qualities |
| • Compliance | • Assertion |
| • Standards/Rules | • Context/flexibility |

From Sharma and Cook-Greuter © 2010

Conformer leadership culture

- “Duck and cover”
- High priority on “not rocking the boat” and avoiding conflict or blame
- Overly hierarchical, decisions get pushed up higher and higher both to avoid having to take responsibility and also at the insistence of those in “control”
- Tendency to Authoritarian leadership whose decisions cannot be questioned
- Avoid feedback which is often seen as a threat

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Expert - standing out

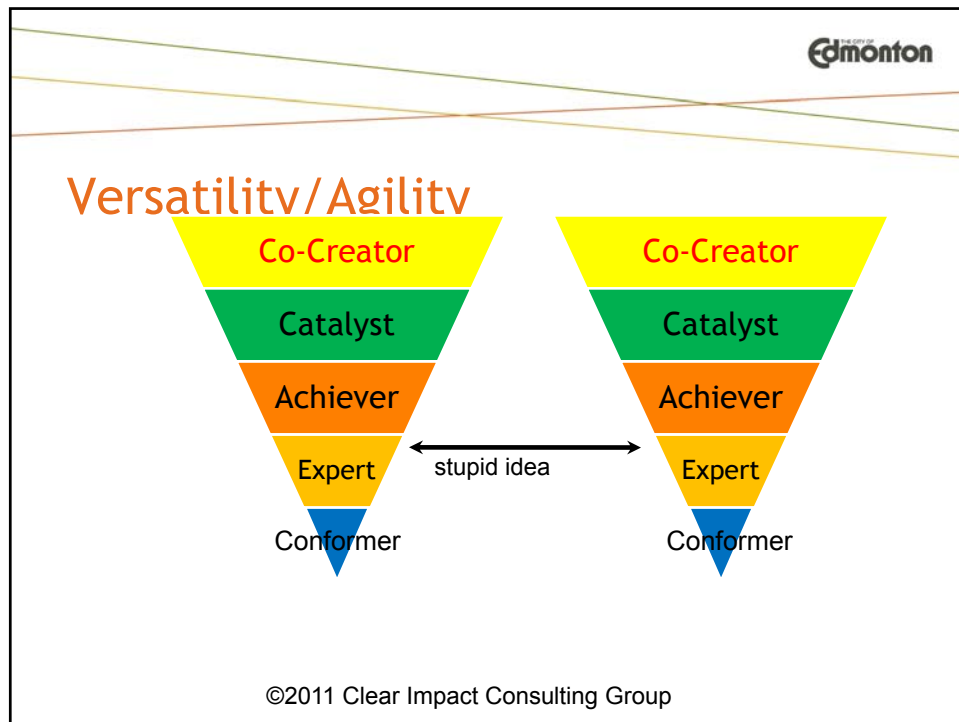
- Craft logic (area of expertise), authoritative sources
- Tactical, short-term, sequential, incremental
- Power: Authority/position and expertise/knowledge
- Feedback and reflection: Avoided
- Life is an equation in one unknown
- Heroic: Difficult to delegate or prioritize
- Limited perspective (e.g. systemic implications)
- Efficient and technical, not effective
- Best suited for relatively stable environments where complexity is fairly low - *in over their heads*


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Expert leadership

- Key assumption: Leaders are respected and followed because of their authority and expertise
- Organizational change: Tactical focus on incremental improvement within one's unit, with minimal stakeholder engagement
- Team leadership: Focuses on one-on-one supervision vs. management/leadership of direct reports as a system
- Pivotal conversations: Low tolerance for conflict: assertive *or* accommodative - advocates *or* inquires

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Expert

| | |
|--|--|
| <ul style="list-style-type: none"> • Embraced Pole • Received knowledge • Knowing • Advocacy • Unilateral/My way • Efficiency | <ul style="list-style-type: none"> • Neglected Pole • Examined knowledge • Reflecting • Inquiry • Collaborative/Others' way • Effectiveness |
|--|--|

From Sharma and Cook-Greuter © 2010

Expert leadership culture

- Managers operate within silos with little emphasis on cross-functional teamwork
- Organizational improvements are mainly tactical & incremental
- Subordinates managed primarily one-on-one. Micro-management, fire-fighting.
- Little time viewed as available for managers to approach their roles strategically

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Orange 4

LEC 11.0-11.5

Achiever - results

- Rational, plans and outcomes, ST & LT goals (3-5Y)
- Power: Ability to motivate & get results through others
- Feedback and reflection: open if increases effectiveness
- Can prioritize, cooperate, delegate
- System effectiveness, beginning contextual awareness
- More solid sense of self, but can be blind to subjectivity
- Open to other perspectives, frameworks, “right ways”
- Training & development
- Effective in moderately complex environments where pace of change is moderate and episodic

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Achiever leadership

- Key assumption: Leaders motivate others by making it challenging and satisfying to contribute to larger objectives
- Organizational change: Strategic outcome focus, making episodic changes to address external changes while seeking stakeholder buy-in
- Team leadership: Treats direct reports as a system that needs to be orchestrated as a team
- Pivotal conversations: Moderate tolerances for conflict: Primarily assertive or accommodative with some ability to compensate using the other style

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Achiever

- | | |
|------------------------|---------------------------------|
| • Embraced Pole | • Neglected Pole |
| • Planned | • Emergent |
| • Linear causality | • Non-linear interrelationships |
| • Future-oriented | • Here and now |
| • Discernment | • Intuition |
| • Objective | • Subjective |

From Sharma and Cook-Greuter © 2010

Achiever leadership culture

- Leaders articulate strategic objectives & create a customer-focused culture
- Leaders initiate changes within & across units and seek buy-in to change
- Leaders orchestrate teamwork in their own teams and across units
- Leaders engage subordinates in group discussions of key issues

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Post-conventional leap



Conformer
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Post-conventional leap

- Ability to question beliefs & assumptions of the system as a whole, and of self: step back & reflect
- First constructing solid identity, then questioning, then taking apart and re-integration at a higher level
- Beyond “hero” -naturally more collaborative
- In complex, rapidly changing environments, heroic leaders over-control, under-collaborate, under-engage and under-utilize others

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Green 4/5

LEC 11.6-11.9

Catalyst - new perspectives

- Relativism, pluralism - questioning assumptions, beliefs
- Multiple perspectives, frames of reference - deeper empathy, appreciation for differences, uniqueness
- Power: Visionary, facilitative, empowering leadership - longer-term view, creative, versatile, collaborative
- Feedback & reflection: Proactive
- Development (as humans), mentoring, support
- Systemic/contextual awareness, complexity
- Two types: communal (green) & individualistic

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Catalyst leadership

- Key assumption: Articulate an inspiring vision and empower & develop others to make it a reality
- Organizational change: Aim through the target: Develop organizational capacity to meet any strategic challenge
- Team leadership: Creates a highly participative, empowered team that leads change together
- Pivotal conversations: Greater tolerance for conflict: Combines advocacy and inquiry as needed in specific situations

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Four conditions for driving culture change through changing mind-sets

1. Compelling vision
2. Aligned organizational context/culture, including formal & informal reward systems that reinforce desired results
3. Developing the required skills & capacity
4. Active modeling from respected leaders
 - “The Psychology of Change Management”
Emily Lawson and Colin Price, The McKinsey Quarterly (2003)

Catalyst

- | | |
|-----------------------------|-----------------------------|
| • Embraced Pole | • Neglected Pole |
| • Horizontal | • Vertical |
| • Consensus decision-making | • Directive decision-making |
| • Being | • Doing |
| • Appreciative | • Evaluative |
| • Personal/subjective | • Objective/analytical |
| • Contextual | • Standardized |

From Sharma and Cook-Greuter © 2010

Catalyst leadership culture

- Leaders articulate a vision of long-term organizational agility
- Leaders value creating highly participative, candid, empowered teams & leadership cultures
- Leaders are proactive in seeking feedback and experimenting with new behavior
- Senior leadership teams see it as essential that they model the culture changes they are seeking

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Co-Creator - systems & principles

- Build contexts that generate organizational and personal transformations
- Moved thru post-modernism & landed on something solid
- Power: Collaboration/engagement through shared purpose, meaning, values
- Feedback & reflection: Profound interest, practices
- Serving the whole - servant leadership, sustainability
- Bringing together multiple perspectives - integrative
- Acceptance of all other levels (downshifting)
- Self-actualization, resolving inner conflicts (shadow)
- Working within paradox, contradiction, complexity
- Shifting of roles, approaches (versatility, agility)

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Co-creator leadership

- Key assumption: Understanding the impact of organizational culture, leaders collaborate with other leaders to build high performance cultures with shared vision and a deep sense of purpose. Leadership is authentically expressed as service.
- Organizational change: Tend to create organizations or units committed to service, sustainability and deep collaboration
- Team leadership: Creates a highly engaged team where each member takes responsibility for the whole
- Pivotal conversations: Assertive and receptive sides are well-integrated. Able to process negative feedback even when it is highly charged emotionally.

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Co-Creator

- | | |
|---|---|
| <ul style="list-style-type: none"> • Embraced Pole • Overarching system goals • Dynamic solutions • Principles • Knowing • Seeking | <ul style="list-style-type: none"> • Neglected Pole • Individual needs/goals • Linear problem-solving • Practicality • Mystery • Non-seeking |
|---|---|

From Sharma and Cook-Greuter © 2010

Co-creator leadership culture

- Leaders put primary emphasis on developing a healthy organizational culture that drives sustainable desired results while engaging multiple stakeholders
- Leaders are catalysts for inspiring a sense of service to something larger
- Leaders are deeply committed to “walking their talk” even when personally challenging. They seek and value feedback in support of that, embodying humility and vulnerability while maintaining strong leadership presence.
- Senior leadership teams focus their attention on building contexts that generate organizational and personal transformations

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Alchemist - flow

- Living Systems
- Power: Presence, flow of awareness, holistic
- Feedback & reflection: Nourishment
- Full engagement in life
- Evolving sense of life purpose
- Joy and wonder of being alive
- Deep intuition guided by meaning, values
- Move fluidly while holding multiple perspectives
- Profound wisdom coupled with humility, ordinariness, and lightness
- Sometimes arrows in their backs

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Alchemist leadership*

- Key assumption: Experiences leadership as participation in a palpable life purpose that benefits others and serves as a means of self-transformation
- Organizational change: Through deep empathy with conflicting stakeholder accesses synergistic intuitions that transform intractable conflicts for mutual benefit
- Team leadership: Fluid, situationally appropriate style that can shape or amplify energy for mutual benefit
- Pivotal conversations: Centered within assertive and receptive energies. Being fully present creates subtle connection with others even during challenging conversations.

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* Joiner & Joseph's term Synergist has been replaced with Alchemist, a term used in *Action Inquiry* (2004) by Torbert et al.

Robert Kegan

- *Transformation occurs with ability to step back and reflect on something that used to be hidden or taken for granted*
- The more elements we can see, respond to, and make decisions about, the more versatile and agile we are

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Kegan: Things that are Subject

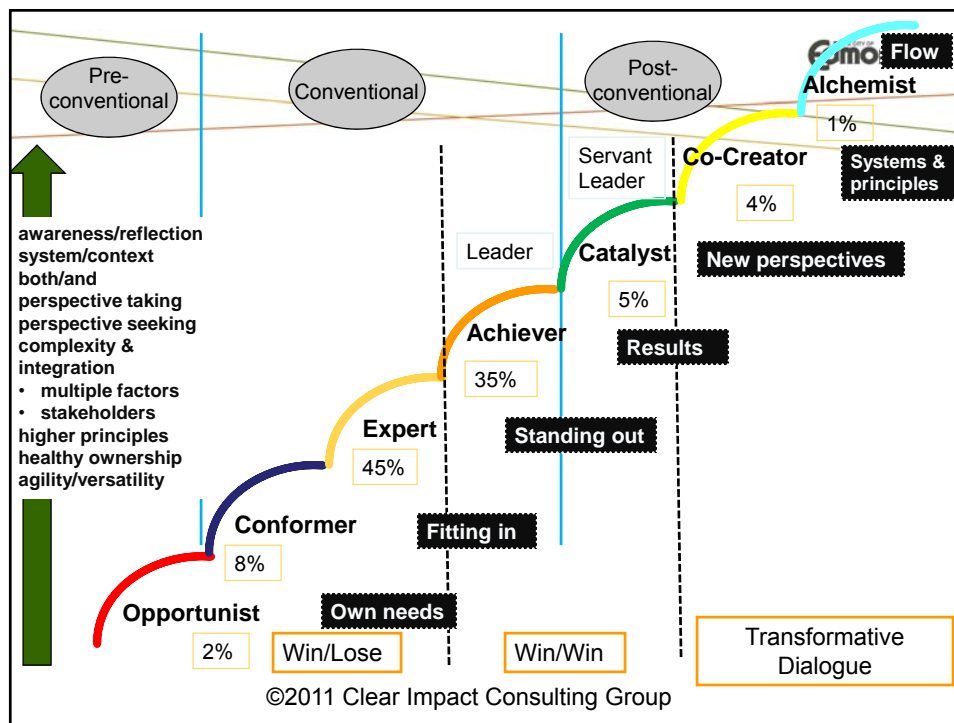
- Experienced as unquestioned, simply a part of the self; taken for granted
- Can't be seen because they're the lenses through which we see
- Generally can't name or reflect on them
- *We don't have things that are Subject; things that are Subject have us*

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Kegan: Things that are Object

- Can be seen and considered, questioned, reflected on
- Rather than these things having us, *we have things* that are Object
- No longer the lens through which we see, they can be held out and examined
- Key aspect of development is moving more and more things from Subject to Object

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QUICK REFERENCE GUIDE TO LEVELS OF LEADERSHIP AGILITY

This chart is adapted from pages 8-9 of *Leadership Agility* (2007) by Joiner & Josephs, used here with permission of the authors

| Level of Agility | View of Leadership | Agility in Pivotal Conversations | Agility in Leading Teams | Agility in Leading Organizational Change |
|----------------------------|--|---|--|--|
| Expert (~45%) | <i>Tactical, problem-solving orientation.</i> Believes that leaders are respected and followed by others because of their authority and expertise. Looks for who or what is at fault. | Style is either to strongly assert opinions or hold back to accommodate others. May swing from one style to the other, particularly for different relationships. Tends to avoid giving or requesting feedback. | Creates a group of individuals rather than a team. Work with direct reports is primarily one-on-one. Too caught up in the details of own work to lead in a strategic manner. | Organizational initiatives focus primarily on incremental improvements inside unit boundaries with little attention to stakeholders. |
| Achiever (~35%) | <i>Strategic, outcome orientation.</i> Believes that leaders motivate others by making it challenging and satisfying to contribute to larger objectives. | Primarily assertive or accommodative with some ability to compensate with the less preferred style. Will accept or even initiate feedback, if helpful in achieving desired outcomes. Attempts to stay "resonant" even under stress. | Meetings to discuss important strategic or organizational issues are often orchestrated to try to gain buy-in to own views. Considers impact of context on team performance. | Organizational initiatives include analysis of internal and external contexts. Strategies to gain stakeholder buy-in range from one-way communication to soliciting input. |
| Post-Heroic levels | | | | |
| Catalyst (~5%) | <i>Visionary, facilitative orientation.</i> Believes that leaders articulate an innovative, inspiring vision and bring together the right people to transform the vision into reality. Leaders empower others and actively facilitate their development. Leaders integrate the value of Living Systems*. | Adept at balancing assertive and accommodative styles as needed in particular situations. Likely to articulate and question underlying assumptions in people and systems. Genuinely interested in learning from diverse viewpoints. Proactive in seeking and utilizing feedback. Holds "resonance" as a deep value. | Intent upon creating a highly participative team. Acts as a team leader and facilitator. Provides and seeks open exchange of views on difficult issues. Empowers direct reports. Uses team development as a vehicle for leadership development. Impacts the organization's culture to optimize engagement. | Organizational initiatives often include development of a culture that promote teamwork, participation, empowerment and other important factors. Proactive engagement with diverse stakeholders reflects a belief that their input increases the quality of decisions, not just buy-in. |
| Co-Creator (~4%) | <i>Oriented toward building effective contexts & cultures.</i> Support shared purpose & collaboration. Believe leadership is ultimately a service to others. Leaders collaborate with other leaders to develop and embody a shared vision that others experience through the power of Living Systems * | Integrates his/her assertive and accommodative sides in pivotal conversations and is agile in using both styles. Consistently considers the impact of context. Able to process and seriously consider negative feedback and maintain resonance even when highly charged emotionally. | Develops a collaborative leadership team, where members feel full responsibility not only for their own areas but also for the unit/organization they collectively manage. Balances collaboration with taking authority. Addresses culture as the major driver of performance and behavior. | Focuses first on developing an organizational culture that is a catalyst for change, including understanding the most important factors. Develops key stakeholder relationships characterized by deep levels of mutual influence and genuine dedication to the common good. May create companies or organizational units where corporate responsibility and deep collaboration are core practices. |

* This sentence in the original has been altered to reference Meg Wheatley's "living systems approach," where meaning, connection and growth are the primary drivers of engagement, and these occur through organizational identity (who we are), purpose (what we're here for), and values (what matters to us). See Meg Wheatley's work for more detail.



DEVELOPMENTAL PERSPECTIVES ON PROBLEM-SOLVING

"You can never solve a problem on the level on which it was created"

Albert Einstein

Pre-Conventional

Opportunist

- Wins any way possible
- Short-term horizon, not guided by precedent
- Acts quickly and without deliberation
- Self-oriented
- Focus on concrete things and personal advantage
- May manipulate, deceive and coerce others to manage them
- Distrusts others, assumes they're manipulative too
- Always finds blame outside of self and negatively stereotypes others
- "I win, you lose" mentality
- See rules as loss of freedom
- Treat what they can get away with as "right"
- Punish according to "eye for an eye"
- Focus is on getting needs met
- Feedback is heard as an attack (and tends to then go on the offensive)
- *"Anger dwells only in the bosom of fools"* – Albert Einstein

Self-questions

- What do I need to do to get what I want?
- What's in it for me?
- How can I turn this situation to my advantage?
- Who is at fault for my troubles?
- How can I get as much as possible?
- How can I get them back for what they did to me (or those I care about)?

Conventional

Conformer

- Avoid inner and outer conflict
- Hyper-aware of feelings and opinions of others
- Observe protocol
- Wants to belong, obey group norms
- Loyal to immediate group rather than the more distant organization or principles
- Rarely rocks the boat
- Rarely questions authority or group norms – takes them as a given

- Rely on group standards
- Particularly doesn't voice disagreement to those more senior in the organization
- Usually nice and pleasant
- Thinks in simple terms and speaks in generalities and clichés
- Focus on membership, status; conform to social norms to belong and get approval
- Avoid negative impressions
- Lack of awareness of inner conflicts
- Avoids situations that call for independent action
- Often highly judgmental of those who don't follow the norms
- Attend to social welfare of own group, however that's defined
- Feedback is heard as personal disapproval
- *"Unthinking respect for authority is the greatest enemy of truth"* – Albert Einstein

Self-questions

- What can I do to maintain the approval of others (especially those in authority)?
- How can I demonstrate loyalty so I'll be rewarded by those in power?
- How can I avoid conflict?
- How can I conform to whatever is expected?
- How can I avoid having to take independent action?
- How can I save face?
- (If leader) What should I tell people to do?

Expert

- Want to stand out
- Value correctness based on authority (technical knowledge, what a well-known person says, etc.)
- Decisions should be based on undeniable "facts"
- There's only one valid way of thinking about a situation – there's a right answer
- Strong belief systems
- Win/lose mentality
- Reactive problem-solvers
- Difficult to delegate to or trust others
- Value efficiency (over effectiveness)
- Values decisions made on technical merit alone, often with a blind spot to context and other contingencies
- Difficult to see wider implications of their actions within the whole system
- Accept feedback only from a limited number of people
- Can be dogmatic, particularly in response to ideas outside their own mental framework
- Can get stuck in details
- Critical and competitive with others
- Serial problem-solving
- Difficult to prioritize among competing demands
- Feedback heard as criticism

"Imagination is more important than knowledge. Knowledge is limited. Imagination encircles the world." – Albert Einstein

"Information is not knowledge" – Albert Einstein

"It is a miracle that curiosity survives formal education" – Albert Einstein

Self-questions

- It's simple. Why are they making it so complex?
- Why don't they see that only one answer makes sense here?
- It must be someone's fault. Whose fault is it? Mine? Someone else?
- Since I'm right (and others are wrong), why should I listen to all this other stuff?
- Why should I have someone else do this? I can do it best.
- What should I do first? I'll just take things one at a time.
- Why should I listen to that person?

Achiever

- Focus on results and effectiveness, rather than just efficiency
- Longer-term goals, future-oriented – strategic perspective
- Sees self as initiator rather than pawn of system
- Seeks proactive ways to address problems
- Team-oriented
- Begins to appreciate unorthodox approaches along with complexity and multiple views, but keeps them separate (difficulty integrating multiple perspectives)
- Doesn't tend to question assumptions of the system as a whole
- Seeks consensus, "agree to disagree," mutuality and equality
- Self-critical, feels guilt when not meeting own standards or goals
- Believes passionately that rationality and objectivity are vital
- Seeks to be fair and consistent
- Tends to believe s/he knows self and others well, and is in control of own emotions
- Starting to be comfortable with self-reflection
- Behavioral feedback more easily accepted
- *"Insanity: doing the same thing over and over again and expecting different results"* – Albert Einstein
- *"It's not that I'm so smart, it's just that I stay with problems longer"* – Albert Einstein
- *"Learn from yesterday, live for today, hope for tomorrow. The important thing is not to stop questioning."* – Albert Einstein
- *"Strive not to be a success, but rather to be of value"* – Albert Einstein

Self-questions

- How can we get this problem solved?
- What can I do to be more successful in this situation?
- What are the [medium time frame] implications we need to consider?
- What can I do to move this forward? What can I contribute?
- What could I have done differently in that situation?
- How can I get better results from my people?
- How can I get buy-in to my ideas of how to move forward?
- Who can I delegate some of this to?
- What's most important to deal with first?
- What are the rules of the system within which I'm working?
- What have I learned in other contexts that I can apply here?
- Are there any courses I can take?

- Might there be any negative consequences to this action?
- Where is the win-win here?
- Who might have a different perspective on this?

Post-Conventional

Required for dealing optimally with change and transition

Catalyst

- Understands the power of a compelling vision to inspire and empower others
- Wants to develop organizational capacity to meet any strategic challenge
- Creates a highly participative, empowered team that leads change together
- Sees the impact of external contexts on behavior, and internal contexts on how problems are perceived
- Intrigued with differences between reality and appearance
- Increased understanding of complexity, systemic connections and unintended effects of actions
- Begins to question own assumptions and those of others
- Realizes subjectivity of beliefs
- Speaks of interpretations rather than truth
- Can play different roles in different contexts
- Uncommon ability to adjust behavior to context
- Systematic problem solving
- Interested in transformative dialogue, moving beyond positions to create something new, moving beyond win-win
- More actively seeks out and values feedback
- *"All that is valuable in human society depends upon the opportunity for development accorded the individual"* – Albert Einstein
- *"Never lose a holy curiosity"* – Albert Einstein
- *"Our task must be to free ourselves by widening our circle of compassion to embrace all living creatures and the whole of nature and its beauty."* – Albert Einstein

Self-questions

- What are the underlying assumptions and perspectives?
- What are the multiple factors that need to be considered?
- How can we create a unique solution that none of us have yet considered?
- What's "right" about each perspective?
- What motivates each person involved?
- How does this look from other perspectives?
- How can I craft a compelling vision that will engage people?
- How can I develop through this experience?
- This problem is embedded in what larger contextual issues?
- Might this solution inadvertently create more problems?
- How can I help others grow and develop?
- What are the different roles I can take? How can I be more versatile?
- What do I see when I step back from the situation and reflect?
- Why don't they understand how complex this is?

Co-Creator

- ***Generates organizational and personal transformations***
- Understanding the impact of organizational culture, collaborates with other leaders in building high performance cultures with shared vision and a deep sense of purpose
- Creates a highly engaged team where each member takes responsibility for the whole
- Can take much longer-term perspective
- Recognizes the importance of ethical principles and mindful judgment for making valid and good decisions
- Sees social construction of reality, complexity and interrelationships
- Promotes transformative dialogue, collaborative inquiry for higher-level problem-solving and decision-making
- Interested in interplay of roles, theory, and context, not just rules and customs
- Can embrace paradoxes and contradictions in self and systems, and allow something new to emerge
- Exercises the power of mutual inquiry, openness and vulnerability for both the short and long term
- Deep appreciation of others, tolerance of differences
- Can find rapid decision-making difficult as they see many sides of an argument or situation and do not like to act prematurely or for action's sake
- Creates "positive-sum" solutions
- Uses power in service of the whole
- Seeks feedback from others and environment as vital for growth and making sense of the world
- *"Everything should be made as simple as possible, but not simpler"* – Albert Einstein
- *"Intellectuals solve problems, geniuses prevent them"* – Albert Einstein
- *"To raise new questions, new possibilities, to regard old problems from a new angle, requires creative imagination and marks real advance in science."* – Albert Einstein

Self-questions

- What are the interplaying systems impacting the current situation?
- What are the longer time-frame consequences, implications and opportunities?
- What are the multiple factors and dimensions that need to be considered?
- What principles should guide this decision?
- How could this situation be leveraged to help move (or even transform) the organization forward?
- How can I serve the whole?
- What do I deeply understand about what's driving each person, and what their perspectives are?
- How can I be truly authentic?
- How can I best draw on the collective wisdom?
- What's my life purpose, and how can my work and my relationships be an expression of that?
- How can I enhance the lives of others? How can I help them develop?
- How can we all move forward with a sense of shared purpose and collaboration?
- How can we go beyond win/win to a truly transformative dialogue?
- What inner conflicts of mine might be impacting this situation?

Adapted from writings of Susanne Cook-Greuter, Bill Joiner & Stephen Josephs, and others v2.4



GROWING UP, CLEANING UP & WAKING UP

These are terms from the American philosopher Ken Wilber. The general idea is that becoming better and better human beings, and more and more effective leaders, requires attention to all three of these factors. Wilber points out that almost no approaches take all three into consideration. He supports our approach to leadership development because we include all three. We'll describe these three factors briefly below.

Growing Up

This is about levels of adult development. There are some stages that almost all humans go through while growing up, but most get stuck at a level that can't adequately meet the complexity of today's world. In our program we use the map *Levels of Development-in-Action* that includes Opportunist, Conformer, Expert, Achiever, Catalyst, and Co-Creator. Wilber points out that each of these is a set of largely unconscious rules. He uses the analogy of grammar. We speak in a way that allows us to understand each other, using a coherent grammatical framework, yet few of us know the rules we're following. Similarly, each of these levels operates on a set of internally coherent yet largely unconscious rules. When exposed to new approaches, most people try to interpret those approaches within the set of rules they already follow. We refer to these levels as *mindsets* or *worldviews*. Shifting our "center of gravity" requires a fundamental shift in how we see ourselves and the world. That's why it takes considerable time to shift levels. Maps like *Levels of Development-in-Action* are also *psychoactive*. That is, being able to see the next levels helps speed development in that direction. There are also "scaffolding tools" like polarity maps that can help speed evolution in Growing Up.

Cleaning Up

This is about understanding the filters through which we see the world, including distortions and blind spots. It includes both positive and negative qualities in ourselves that we tend to not see. We use the Enneagram as our primary leadership tool to assist in Cleaning Up. Each Enneagram type has particular filters that can be identified and reflected upon. The Enneagram has nine Levels of Freedom. We use the three broad categories of High Performance, Average, and Acute & Chronic Stress. At each higher level we see reality a little more clearly, have more options available to use, and are able to respond more effectively to life's challenges and opportunities. At each lower level we're more self-involved and limited. For those of you interested in learning more about the Enneagram we have included information on a place to start. Approaches that explore "psychological shadow," aspects of ourselves that we have not seen or integrated, fall into this category of Cleaning Up.

Waking Up


This is our ability to be more present and self-aware in our lives. We focus on the importance of building a practice of reflection in our lives, stepping back and with spacious thinking asking ourselves important questions. Mindfulness is one aspect of reflection. It is *reflection-in-the-moment*. It's the ability to harness and direct our attention in meaningful ways that allow us to be more skillful and versatile. Increasing mindfulness also reduces stress and allows us to function from what we refer to as adaptive and co-creative "forebrain" rather than reptilian "hindbrain." Mindfulness practices are designed to strengthen an "inner observer" or "watcher." In this way mindfulness is essential to making good use of any self-awareness tool like the Enneagram, because what promotes growth is the developing capacity to observe our habitual patterns, and make more conscious choices, rather than being reactive to those patterns or controlled by them. Mindfulness has also been shown to build compassion toward self and others.

Mindfulness Resources

Now that we've briefly introduced Growing Up, Cleaning Up, and Waking Up, we'll share some Mindfulness resources. We wanted to make sure we first put mindfulness into perspective. It's very important, and it's not the whole picture, although many proponents of mindfulness will speak as if it *is* the whole picture.

- A 60 Minutes episode with Anderson Cooper where he goes through mindfulness training. Just under 13 minutes, and well worth watching: https://www.youtube.com/watch?v=hBh_HM7TtEA
- A follow-up 5 minute episode with Anderson Cooper on how mindfulness changed his life: <https://www.youtube.com/watch?v=7wbfWAU7aho>
- A mindfulness audio program with Jon Kabat-Zinn, the teacher you'll see in the Anderson Cooper episodes. This Mindfulness for Beginners is currently under \$11 for the audio download: <http://www.soundstrue.com/store/mindfulness-for-beginners-4003.html>. This website has other useful resources as well.

FOUR QUADRANTS



| | Intangible/Internal | Tangible/External |
|------------|---|---|
| Individual | <p>MINDSET INFLUENCES</p> <p>Values, Beliefs, Assumptions, Developmental Level</p> | <p>BEHAVIORAL INFLUENCES</p> <p>Individual Actions</p> |
| Collective | <p>INTANGIBLE CULTURAL/CONTEXTUAL INFLUENCES</p> <p>Shared Values & Beliefs, Felt Qualities, What Gets Attention</p> | <p>TANGIBLE CULTURAL/CONTEXTUAL INFLUENCES</p> <p>Systems, Processes, Structures, etc.</p> |

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RESONANT OR INSPIRING LEADERSHIP

The City of Edmonton Leadership Expectation: A leader with the City of Edmonton is a visionary, credible, and trusted role model who inspires and challenges others to achieve their full potential.

Would those around you say that they leave interactions with you feeling excited or charged up?

Would they say that you:

- Are inspirational?
- Create a positive emotional environment?
- Create a sense of purpose, vision, and hope?
- Spread compassion and care to those around you?
- Are “tuned in,” self-aware and mindful of yourself and others?

To what extent are you a leader **who inspires and challenges others to achieve their full potential?**

Drawing on the work of Richard Boyatzis, these are aspects of **Resonant Leadership**. When people interact with a resonant leader, they generally leave feeling uplifted and more energized. They feel supported in being more able to make a difference.

Establishing resonant relationships as a leader does not mean that you ignore problems or challenges. Not at all! It means that your way of addressing those problems or challenges inspires trust and opens the possibility of exploring those issues in a way that engages creativity and helps to bring out the best in all.

We hope that you leave each of our sessions feeling inspired and energized. This will require all of us holding that same intention and interacting with each other in a resonant and inspiring way.

“Our task must be to free ourselves by widening our circle of compassion to embrace all living creatures and the whole of nature and its beauty.”

– Albert Einstein

Resonant leaders:

- Add value and “juice” to their interactions rather than sucking the life force from others
- Create **positive emotional attractors** by focusing on values, strengths and inspiring possibilities rather than **negative emotional attractors** that are associated with fear, anxiety and guilt
- Look more for what’s right than what’s wrong, and make at least three positive, affirming statements for each negative one
- Promote calm alertness in themselves and others (the parasympathetic nervous system), which activates creativity, connection to others, and higher level thinking and action,, rather than stress and tension (the sympathetic nervous system), which activates the fight-flight response and reduces compassion and connection while closing down higher functioning
- Address problems and challenges directly, with compassion and clarity and an interest in being of optimal service to the organization and all its stakeholders
- Understand the importance of facilitating a positive organizational context that brings out the best in people and the organization as a whole

“Strive not to be a success, but rather to be of value” – Albert Einstein

Self-Assessment

Which kind of leader are you, most of the time? We all know in our hearts what good leadership is. Research on resonant leadership finds that 50% of leaders are generally not resonant. They tend to “spend” human capital in pursuit of organizational goals. Another 20-30% are “treading water” with an overall neutral effect. That means that only 20-30% are clearly and actively adding value to the system over time. This research was about supervisors all the way up to the most senior levels of management.

Some sobering news to incorporate into your reflection: a Business Week study in 2007 found that 90% of all managers think that they are in the top 10%. Hmmm.....

A small suggestion: Right before you communicate with someone or work with your team, if you first think of someone in your life who has been “resonant” — someone who embodied hope, inspiration, and caring—then your “resonance” will increase in a positive way.

RESONANT LEADERSHIP - SELF-REFLECTION

Resonant leadership is the ability to act with wisdom and compassion while maintaining inner and outer calm, regardless of the situation, and especially under stress. When leaders are being **resonant** they create a **positive emotional environment** in which others are left inspired, uplifted, and energized in a positive way.

Resonance engages the parasympathetic nervous system, fostering calm alertness with an open mind and an open heart. **Non-resonance** engages the sympathetic nervous system, leading to increased negative stress and tension, agitation, and the fight/flight response.

Resonance increases creativity, options and brings out true potential, while non-resonance increases reactivity, contraction and reduces potential. . Daniel Goleman recently wrote that “the essential task of a leader is to help people get and stay in the brain zone where they can work at their best. For more details, see our handout in the Emotional Intelligence tab of your notebook, **Resonant or Inspiring Leadership**.

At least three times a week take a few moments and reflect on your recent interactions with peers, direct reports, and others. What impact did you have on them in terms of resonance? Put a rating from 1 to 5, where:

- “5” – **positive resonance**: through interacting with me, they were more positively energized, uplifted, creative and inspired
- “3” – **neutral**: I had little impact on those around me in terms of their emotional state
- “1” – **negative resonance**: through interacting with me, they were more stressed, fearful, and/or reactive

Perhaps more importantly, what was your internal resonance? Were you open, relaxed, alert and engaged (“5”) or stressed, contracted and reactive (“1”)? Add some comments about any insights that come through this self-reflection.

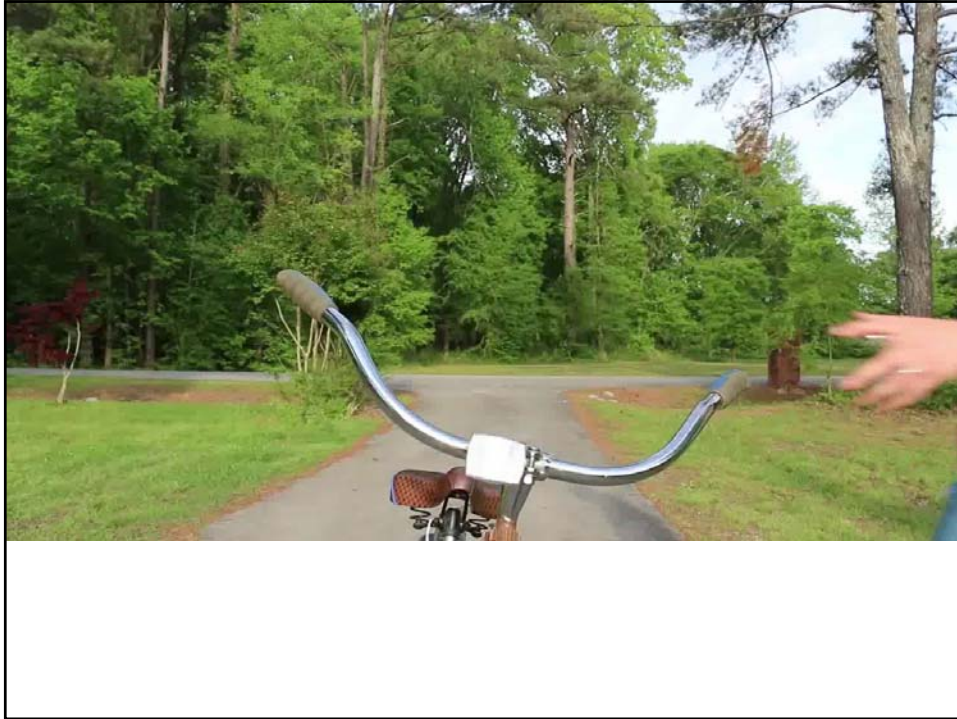
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What I learned through this self-reflection, and what I will do in response:

V2.0

Neurobiology Slides



Edmonton

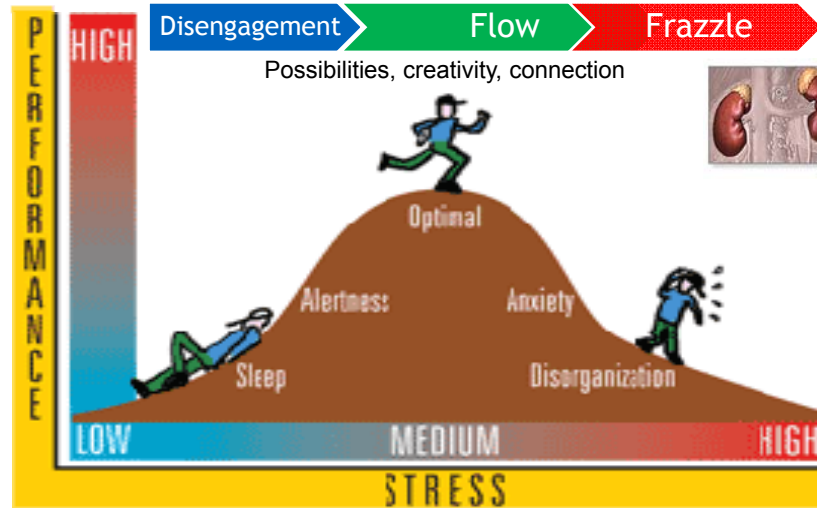
“Neurons that wire together fire together”
- Donald Hebb

A stylized illustration of a neuron with glowing blue and orange connections. The neuron has a central cell body with a bright orange nucleus and several branching processes. The connections are represented by glowing blue lines with small orange dots at the points of contact, set against a black background.

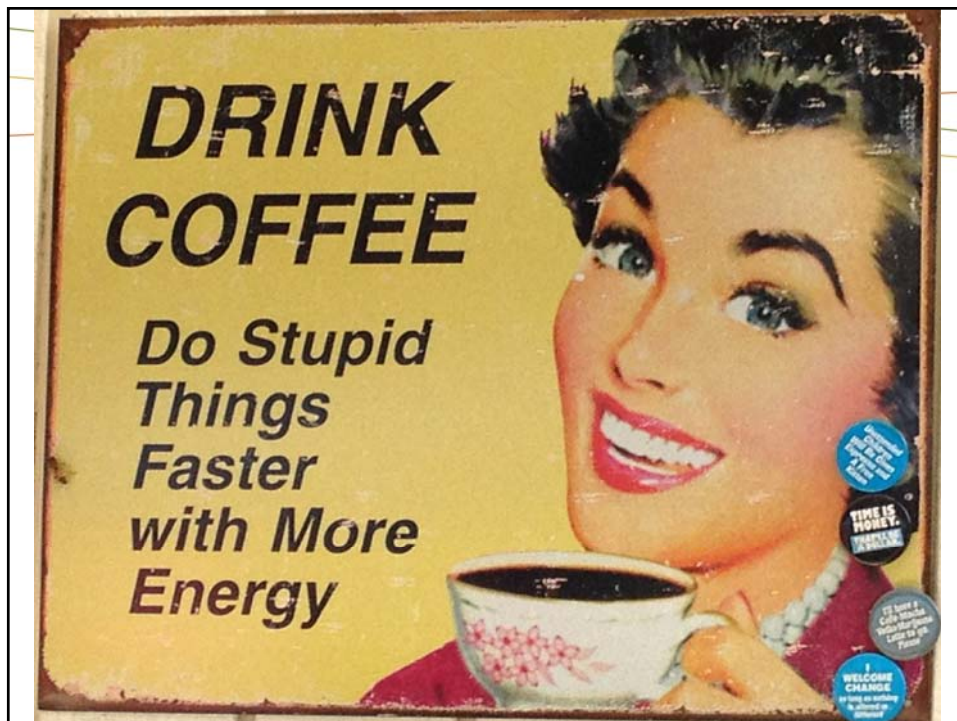
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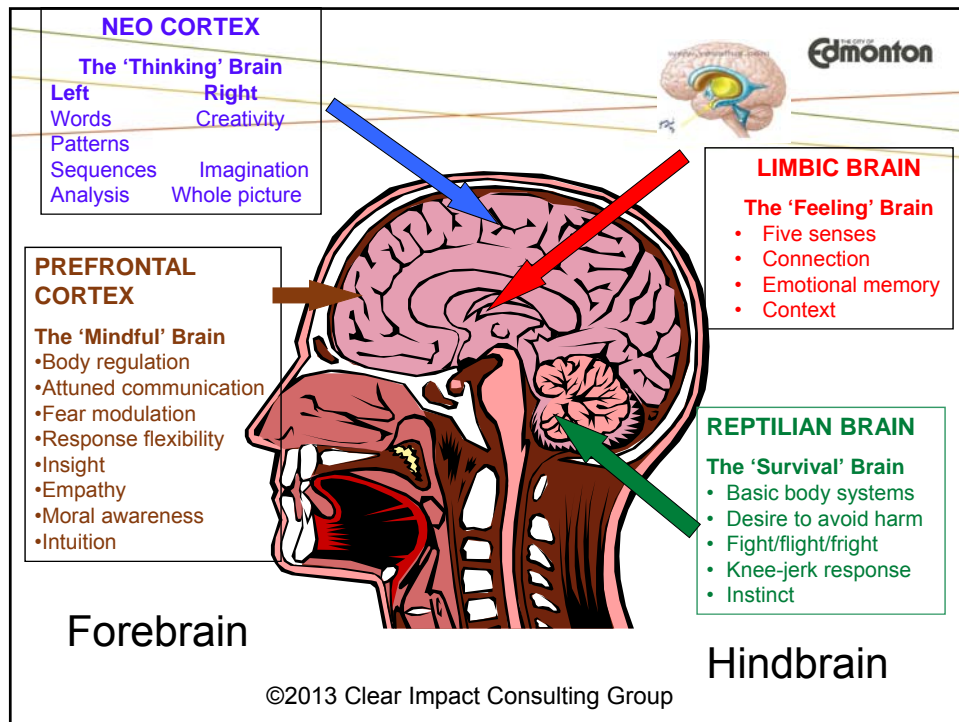
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Stress Performance Connection



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The Biology of Being Frazzled

- “When we are under stress, the amygdala commandeers the brain’s executive center....We lose our ability to think at our best. The more intense the pressure, the more our performance and thinking will suffer. [This process] handicaps our abilities for learning, for holding information in working memory, for reacting flexibly and creatively, for focusing attention at will, and for planning and organizing effectively. We plunge into what neuroscientists call ‘cognitive dysfunction.’....In this zone of mental misery, distracting thoughts hijack our attention and squeeze our cognitive resources....,undermining our very capacity to take in new information, let alone generate fresh ideas.”

Amy Arnstein, Science (1998)

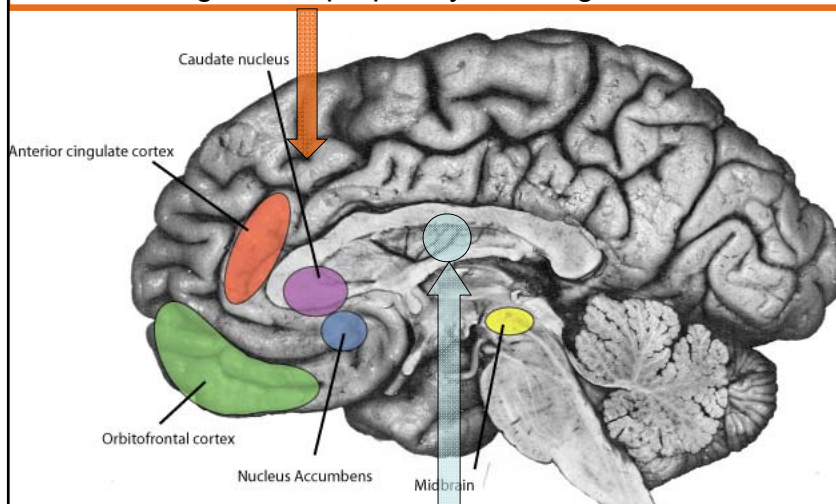
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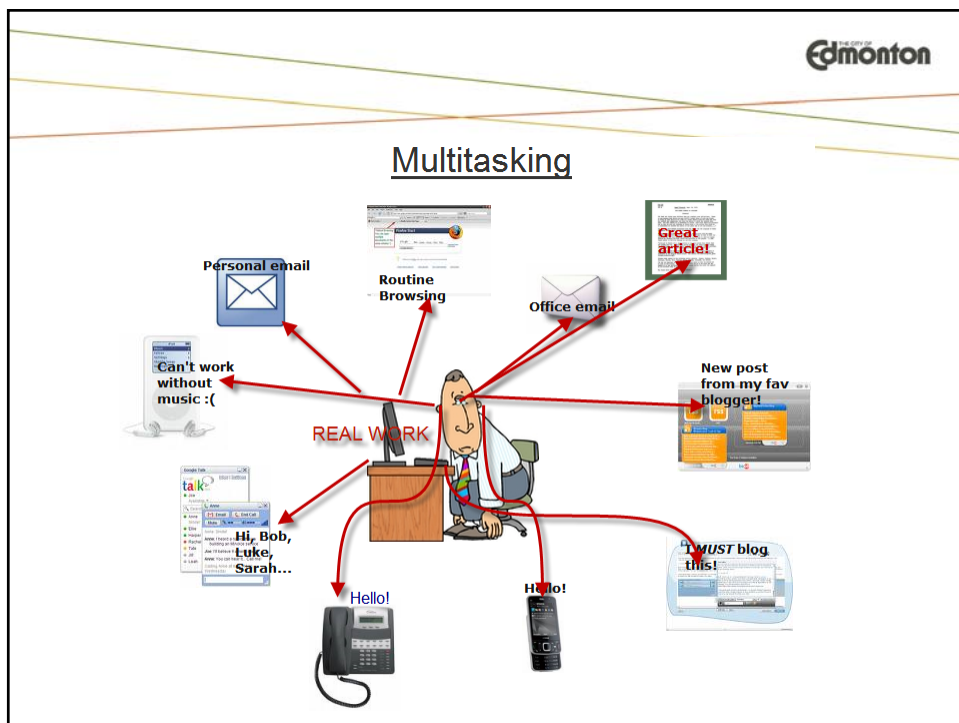
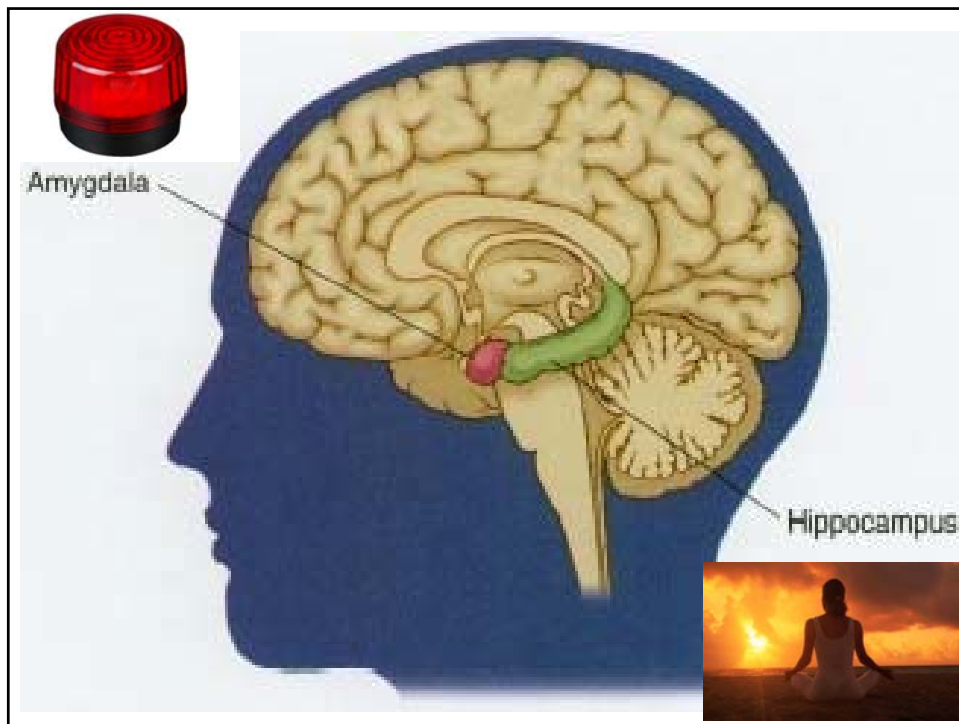
Mindfulness

- Jon Kabat-Zinn: The awareness that arises through paying attention, on purpose, in the present moment, non-judgmentally
- The ability to focus and direct your attention, including connecting to self and others, in a way that optimizes your ability to respond effectively to life's challenges

ACC: Self-regulation, purposely directing attention and behavior



Insula: Self-awareness & empathy

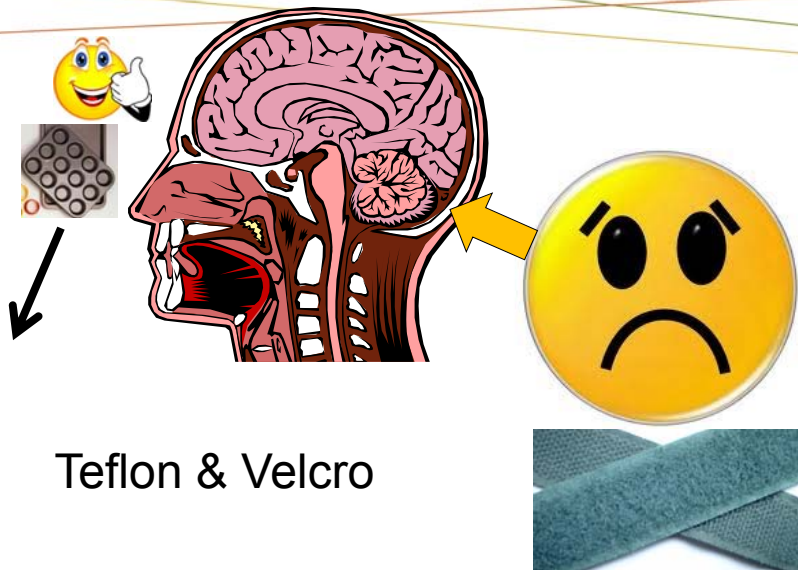


Amy Cuddy research



2 minutes

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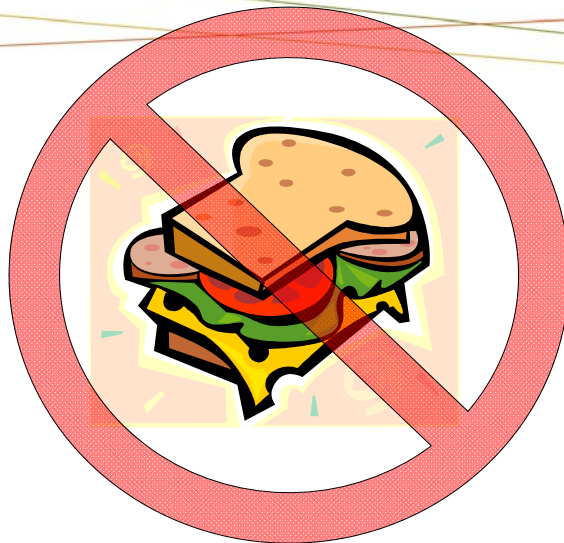
Teflon & Velcro

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Reverse Negativity Bias

- **AWARE** - letting good facts become positive experiences
- **SAVOR** - intensify for 10 to 30 seconds
- **PRIME** nervous system - like water being absorbed by a sponge in the heart and mind

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Emotional Resonance

- Emotions run on an “open loop” - they’re contagious, and generally from the top down



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The wake I leave



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Importance of Sleep

- *Starting in the mid-1980s, researchers from University College London spent twenty years examining the relationship between sleep patterns and life expectancy in more than 10,000 British civil servants. The results, published in 2007, revealed that participants who obtained two hours less sleep a night than they required nearly doubled their risk of death.*
 - Richard Wiseman, Night School: Wake up to the power of sleep (2014)

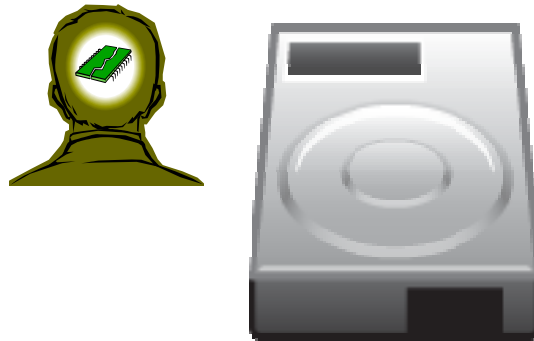
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Naps Make You Happier

- *Negative stimuli get processed by the amygdala; positive or neutral memories gets processed by the hippocampus. Sleep deprivation hits the hippocampus harder than the amygdala. The result is that sleep-deprived people fail to recall pleasant memories, yet recall gloomy memories just fine.*
 - Po Bronson, Nuture Shock (2009)
- *Even a few minutes can be good. In a comparative study 10 minutes was better than 5, 20, or 30 minute naps.*
 - “A Brief Afternoon Nap Following Nocturnal Sleep Restriction: Which Nap Duration is Most Recuperative?” from the journal “Sleep”

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Limited RAM



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Which of these trigger you the most?

- 1) Things out of line with your values & principles
- 2) Not being acknowledged for how helpful you are, or not being able to help
- 3) Not being appreciated or valued; anything that interferes with your getting things done
- 4) Your uniqueness not being valued
- 5) Being pushed to reveal things about yourself (too much exposure); your expertise not being respected
- 6) Having to make a quick decision; having possible negative consequences not acknowledged
- 7) Being tied down to things that seem tedious and routine
- 8) Feeling vulnerable and unable to make a difference
- 9) Your peacefulness or harmony being disturbed; conflict and disagreement

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NEO CORTEX

The 'Thinking' Brain

| | |
|-------------|---------------|
| Left | Right |
| Words | Creativity |
| Patterns | |
| Sequences | Imagination |
| Analysis | Whole picture |

PREFRONTAL CORTEX

The 'Mindful' Brain

- Body regulation
- Attuned communication
- Fear modulation
- Response flexibility
- Insight
- Empathy
- Moral awareness
- Intuition

LIMBIC BRAIN

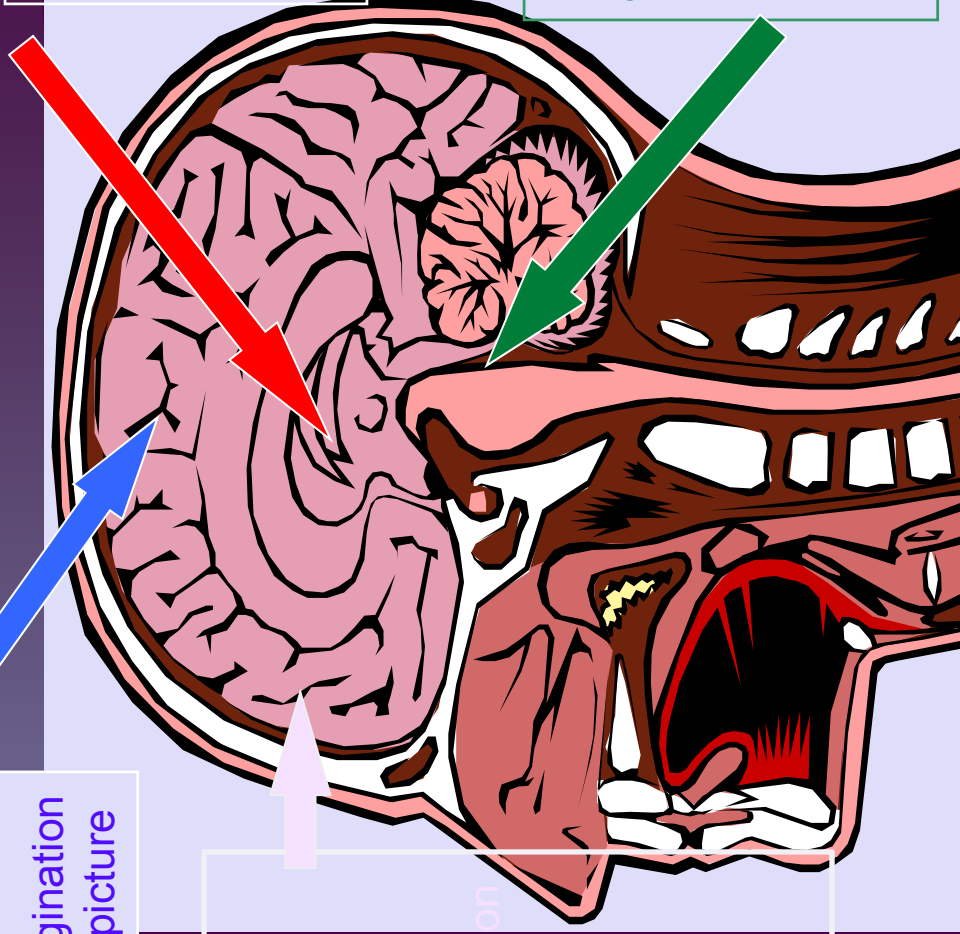
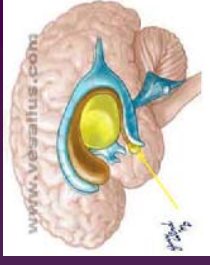
The 'Feeling' Brain

- Five senses
- Connection
- Emotional memory
- Context

REPTILIAN BRAIN

The 'Survival' Brain

- Basic body systems
- Desire to avoid harm
- Fight/flight/fright
- Knee-jerk response
- Instinct



FIVE TYPES OF POWER

Instructions

Circle the likely outcome, in column three, when a leader uses a particular type of power.

| 1. Power Type | 2. Definition | 3. Likely Outcome | 4. Notes |
|-----------------------|--|--|----------|
| Authority | Leaders make legitimate requests as necessary because, in accepting employment, followers have agreed to be led. | Resistance Compliance Commitment | |
| Coercive power | Leaders impact others by punishing or withholding resources. | Resistance Compliance Commitment | |
| Expert power | People are willing to follow because they believe that the leader knows what is best. | Resistance Compliance Commitment | |
| Referent power | A leader's values, integrity and vision create loyalty, a natural followership, and a desire to please. | Resistance Compliance Commitment | |
| Reward power | Leaders influence others by using formal incentives and reinforcements. | Resistance Compliance Commitment | |

Adapted from Gary Yukl and Tom Taber, *The Effective Use of Managerial Power*, Readings in Management, South-Western Publishing Co. 1986.

Leadership Vulnerability Slides



Brene Brown: Organizational cultures that support vulnerability - permission to say:

- I don't know
- I need help
- I'd like to give it a shot
- It's important to me
- I'd like some feedback
- I'm here for you
- It didn't work out but I learned a lot
- I disagree, can we talk about it?
- What can I do better next time?
- Can you teach me how to do this?
- You know what? I played a part in that.
- Yes, that didn't work out, let's move on.
- I accept responsibility for that
- Here's how I feel about this



Edgar Schein

- *"I would like to emphasize that unless leaders become learners themselves—unless they can acknowledge their own vulnerabilities and uncertainties—then transformational learning will never take place. When leaders become genuine learners, they set a good example and help create a psychologically safe environment for others."*

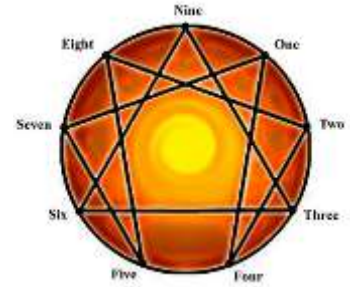
Supporting a Culture of Collaboration

- *"To create a culture of collaboration and responsibility, organizational leaders must set a personal example of openness, of admitting fallibility and mistakes, and of striving for continuous improvement."*
- Ben Dattner, *The Blame Game* (2012)

Brene Brown TED Videos

- 2010
- http://www.ted.com/talks/brene_brown_on_vulnerability.html
- 2012
- http://www.ted.com/talks/brene_brown_listening_to_shame.html

LEADERSHIP VULNERABILITY INSIGHTS & REFLECTION



Exploring the Enneagram

The Enneagram is a *typology* system, a way of understanding differences among people. It describes nine unique worldviews, filters through which we see the world. It is a respectful and dynamic system of self-awareness with remarkable power and depth. When applied properly, it helps people better understand themselves, each other, and those they serve by seeing through “new eyes.” This results in greater capacity, effectiveness and connection for individuals and organizations.

Catalyst-level leaders are continually deepening their understanding of their own filters, blinders, and worldviews. They are earnestly interested in developing themselves and others, and know that it is only through this ongoing investigation that they increase their ability to be optimally effective. With our approach, the Enneagram does not put people into boxes. Instead, it helps them learn to recognize and expand the boxes they’re already in, and most importantly allows more freedom of response. Energy can be freed for productivity and creativity that was previously lost in frustration and agitation.

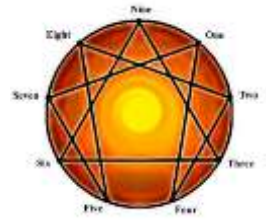
The Enneagram is focused on much more than surface behavior. It instead illuminates what most likely actually drives surface behavior, the underlying motivations. Without uncommon development, however, the Enneagram types operate quite unconsciously in us. We have limited awareness of the assumptions we make, the beliefs we hold, and our particular emotional and mental patterns. We instead operate on autopilot. When people initially learn the Enneagram they tend to be surprised that so much of what they considered “spontaneous” behavior was accounted for by their type. Later they’re equally surprised at the increase in their ability to lead and perform more effectively.

Our favorite Enneagram authors are Don Riso and Russ Hudson. We are both ***Certified Enneagram Teachers*** through Riso & Hudson’s Enneagram Institute. An excellent introduction is *Discovering Your Personality Type*. Their best book coming from a more personal growth orientation is *The Wisdom of the Enneagram*. Business-centric books include Ginger Lapid-Bogda’s *Bringing Out the Best in Yourself at Work*, Oscar David’s *The Enneagram for Managers* and Michael Goldberg’s *The Nine Ways of Working*.

We have included on the next page some ways to begin investigating the Enneagram Institute website. Joining is free, and there is much useful information. We do not recommend either their free or paid Enneagram assessments. In our opinion they are not accurate enough, and most people put too much stock in the numerical results. Reliably determining type takes more reading and/or work with an experienced Enneagram teacher. We have an assessment available that, while not perfect, is much more accurate.

v3.2

Exploring the Enneagram Institute Website



1. Go to www.enneagraminstitute.com
2. Click on **My Account** in the upper right and register as a member – it's free
3. While the website suggests you take their RHETI assessment to help determine your type, we suggest you **not** do so. It is often inaccurate. There are better assessments we can offer, and there's a danger in "believing" an assessment rather than doing your own investigation and reflecting on what really drives you in life.
4. Go to the **Menu** (upper left) and choose **Learn the Enneagram**. Read through this section.
 - a. Under *Identifying Your Basic Personality Type* look at the four-word sets of traits. They are in order from more to less positive. Make a note of which are most "you" on both your good and bad days.
 - b. *The Centers* talks about the negative emotions that can drive us. See which one(s) you most relate to. Compare them to the ones you already identified.
 - c. We use different words for *The Levels of Development*: High Performance, Average, and Acute/Chronic Stress.
 - d. *Directions of Integration and Disintegration* will make more sense after you've identified your type.
 - e. Read through *The Three Instincts* and see if you can identify your primary one.
5. Go back to the **Menu** (upper left) and choose **The 9 Personality Types**
 - a. For each of the nine types, look at the two-word descriptions, as well as the four key descriptors (listed from more-positive to less-positive). Do the two-word descriptions help you identify your type?
 - b. At this point you may have settled on just one, two, or three possible types. For each of these, click on the type and read *Type in Brief*, *Key Motivations*, and listen to the one-minute video from Russ Hudson regarding that type. See if this helps to narrow down what your type might be.
 - c. Take this narrowed-down list and read more about those types, including *The Meaning of the Arrows*, *Type Overview*, and *Levels of Health*, as well as the audio from Don Riso.
6. At this point you may have tentatively identified your type. If you are considering two or three possibilities, go to the **Menu** under **The 9 Personality Types** and choose **Not Sure About Your Type?** At the bottom of this page you can click on links to compare any two types to each other. Read these carefully to help you decide between each pair of possible types.
7. If you now have a good idea of what your type might be, or even still be considering two or three types, read the information about each type in more detail. In particular look at the *Levels of Health* (what we refer to as *Levels of Freedom*) and see if you can identify your "center of gravity" and where you move when you're doing particularly well and when you're under acute or chronic stress.
8. Have fun exploring! We look forward to working with you.



CLEAR IMPACT DECISION-MAKING MODEL

CLEAR IMPACT DECISION-MAKING MODEL

1. What is the situation?
2. What's most important (values, principles, other factors)?
3. Is this situation primarily simple, complicated, complex, chaotic, or a combination?
4. Clarify desired outcome and current reality, including:
 - Contextual factors impacting the situation
 - Self-awareness factors including strengths, relevant polarities, patterns, filters, blind spots, etc.
5. Who are the important stakeholders whose perspectives I will take and/or seek?
6. Who to involve in designing an initial step forward (is this a decision I should make individually or collectively, and why?)
7. If appropriate, consider what decision-making process to use (e.g. one person with input; democratic; etc.)
8. If others are involved, cycles back through steps 1 through 5 together ("I" becomes "we" etc.)
9. Consider next steps with a dynamic steering mindset – making workable decisions with steering points – rapid cycles of taking action, gathering data/feedback, reflecting, and planning next action
10. Determine who needs to know and/or be involved in other ways, and what needs to be communicated (consider all three types of intelligence)

v.3.0



DYNAMIC STEERING

- Probe, sense and respond
- Focus on present tensions
- Get real data, steer continuously
- The goal is a workable decision, not the “best” decision
- Any issue can be revisited at any time
- Wait to make decisions until the last responsible moment
- Short cycles, incremental steps – taking action, gathering data/feedback, reflecting, and planning next steps

Adapted from Agile Software, Holacracy™ & Sociocracy



CLEAR IMPACT DECISION-MAKING MODEL - workbook

1. What is the situation?



2. What's most important?

Values that I'd like to have guide me

COE Expectation & Principles that can guide me

Other factors

- ☐ Increased employee engagement
- ☐ Improved relationships (resonance)
- ☐ Improve my leadership skills
- ☐ Higher team performance
- ☐ More clarity with my direct supervisor
- ☐ Other _____
- ☐ Other _____
- ☐ Other _____

3. This situation is primarily:

- ☐ Simple (obvious answer)
- ☐ Complicated (can be figured out by applying skill)
- ☐ Complex (involves people, and requires “dynamic steering”)
- ☐ Chaotic (a crisis requiring immediate stabilization)
- ☐ I’m not sure, or a combination

4. Clarify desired outcome and current reality

Desired outcome

Current reality: what are the facts?



Current reality: what is the story I’m telling myself?



Pond Thinking™: Contextual factors affecting the situation



Interpersonal: how we're treating each other, what we say to each other, how much we accept or don't accept each other, etc. Pay particular attention to the quality of resonance, and the wake you and others are leaving.

Team/organization factors: Clarity of roles and goals, expectations, whether we have enough resources, amount of stress or pressure, etc.

The larger "ponds": the team/organization we're part of, union issues, the organizational culture of my branch or department or COE, etc.

Things I know about myself (strengths, challenges, patterns, etc.)

Polarities where I have a strong preference (“privileging”) of one side or the other:

- ☐ Advocacy (stating my position) & Inquiry (asking about other positions)
- ☐ Task focus & People focus
- ☐ My way & Your way
- ☐ Take charge & Empower
- ☐ Action & Reflection
- ☐ Continuity & Change
- ☐ Individual action (doing it myself) & Collaboration (doing it together)
- ☐ Operational (getting things done) & Strategic (stepping back & big picture)
- ☐ Challenge others & Support others
- ☐ Following rules & Being flexible
- ☐ Short-term & Long-term
- ☐ Other _____
- ☐ Other _____
- ☐ Other _____

Through what worldview or lens am I primarily looking at this situation?

- ☐ Opportunist: All that really matters is my own self-interest
- ☐ Conformer: Stay out of trouble, please my supervisor and other important stakeholders, not say or do anything that could be disapproved of
- ☐ Expert: Heroic leadership (I should have all the answers, asking for help is a sign of weakness, etc.) There is one right answer, I just have to find it.
- ☐ Achiever: How to build a strong team and drive the results that others expect of me, without showing too much vulnerability (still Heroic)
- ☐ Catalyst: How to inspire others and bring out the best in them. I recognize that complexity requires that we collaborate effectively. I’m OK asking for help, admitting that I don’t have all the answers. I’m also willing to challenge the goals, process, or thinking we’re using.


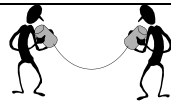
What is my current level of internal coherence (forebrain, hindbrain), and which of these feelings most reflect my inner state?

| | | | | |
|-------------|--------------|--------------|-------------|---------------|
| Afraid | Calm | Embarrassed | Irritated | Resentful |
| Angry | Caring | Engaged | Kind | Resistant |
| Annoyed | Confident | Enraged | Loving | Righteous |
| Anxious | Confused | Enthusiastic | Numb | Sad |
| Appreciated | Courageous | Excited | Open | Satisfied |
| Blame | Defensive | Frustrated | Optimistic | Stressed |
| Blamed | Disappointed | Grateful | Passionate | Supported |
| Brave | Disengaged | Happy | Pessimistic | Unappreciated |
| Burdened | Distracted | Hurt | Proud | |
| Burned Out | Doubtful | Inspired | Relaxed | |

5. Who are the important stakeholders whose perspectives I will take or seek, including direct reports, peers, my direct supervisor, other teams, other leaders, citizens, the union, etc.?



When putting yourself “in the shoes” of others, try to do that in a respectful and curious way: why might a reasonable person (or team) be thinking, feeling, and/or acting that way?

| Stakeholder |  Perspective taking |  Perspective seeking (ask) |
|-------------|--|---|
| | | |
| | | |

| | | |
|--|--|--|
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| | | |

6. Who to involve in designing an initial next step forward (is this a decision I should make individually or collectively, and why?)

7. If appropriate, what decision-making process will we use?

- ☐ I decide, with others giving input
- ☐ Consensus (we all need to agree)
- ☐ Majority rule
- ☐ Delegating the decision to someone else
- ☐ Other _____

8. If others are involved, cycle back through steps 1 through 5 together (“I” becomes “we” etc.)
9. With a “dynamic steering” mindset (making workable decisions with steering points—rapid cycles of taking action, gathering data/feedback, reflecting, and planning next action) – and making use of all three types of intelligence— what is my/our next step?



10. Who needs to know and/or be involved in other ways, and what needs to be communicated?

3.2



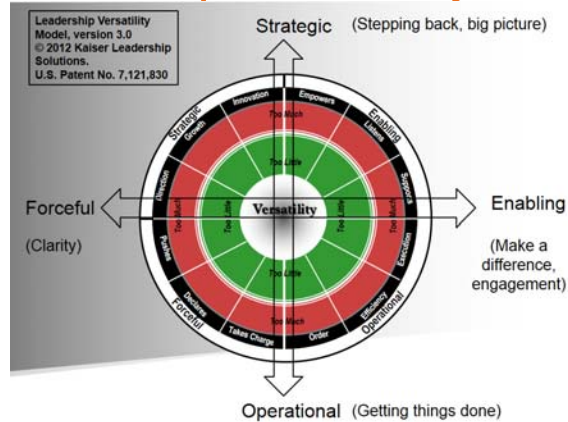
“STORY” SHEET



- (1) What is the current situation I am (or we are) dealing with?
- (2) What are the facts (unarguable – stated in such a way that no one could disagree)?
- (3) What story am I telling myself (or are we telling ourselves) about those facts?
- (4) What alternative story could I tell myself (or we tell ourselves) about those facts?
- (5) What are the implications on my/our leadership effectiveness of holding each story?
Reflect on this carefully.

V1.1

Leadership Versatility



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Polarity principles

- Polarities are tensions to be managed, not problems to be resolved
- Almost all leaders and all cultures privilege one over the other
- Privileging a pole will undermine that very pole over time and suboptimize any results
- The greater the value, the greater the fear

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Polarities by developmental level

| | |
|------------|---|
| Conformer | Stark, irreconcilable opposites. Just black. Or just white. |
| Expert | Knows there are shades of grey but still tends to polarize: black But white. |
| Achiever | Polarities are related along a continuum. Differences resolved through trade-off and compromise. Black or white, situationally. |
| Catalyst | Willing to “hold” and tolerate the tension of opposites. Rejection of either/or thinking. |
| Co-Creator | Deeply appreciates the interdependence of all polarities viscerally. |

Drawn from work of Bill Joiner, Susanne Cook-Greuter & Beena Sharma

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Most Current Approaches Ignore That:

- Leadership consists of opposing strengths
- Over-doing is as much a problem as under-doing

From Virtue to Vice

- Going overboard corrupts an otherwise valued quality
- "Strengths taken to extreme become weaknesses"

When presented with two opposing approaches

Leaders tend to polarize, placing high value on one and overlooking or demeaning the value of the other

Effectiveness of Leaders/Managers

Hinges on ability to appropriately gear their leadership qualities and skills to circumstances at hand

Versatility

Freedom to use opposing styles with equal ease, unencumbered by bias in favor of one and prejudice against the other.

- Skill at applying each approach
- Wisdom to recognize which to use
- Appreciation of the virtues and vices of each
- Versatility isn't moderation in all things. Sometimes extreme measures are called for.

Challenge of Versatile Leader

- F. Scott Fitzgerald: “The Test of a First Rate Intelligence”
 - Ability to hold two opposed ideas in the mind at the same time and still retain the ability to function

The Two-Sidedness of Leadership

- For every truth about leadership, there is an equal and opposing truth
- Two dualities stand out:
 - Forceful-Enabling** (*how you lead*)
 - Strategic-Operational** (*what you lead*)
- Each is a pair of things that are important
 - without both, performance suffers

How You Lead

- Forceful Leadership

based on the leader's own intellect and energy - taking charge, taking stands, having leadership presence, being decisive, setting challenging expectations for people, holding them accountable, making tough calls, asking probing questions, and so on.

- Enabling Leadership

creating conditions for other people to be forces in their own right - empowering them, being receptive to where they stand on issues, being responsive to their needs, being understanding when they don't deliver, sharing the limelight, and so on.

What You Lead

- Strategic Leadership

positioning the organization for the future - setting long-term direction, thinking broadly about the organization, seeking ways to grow the business, aligning people with the vision and strategy, and the like.

- Operational Leadership

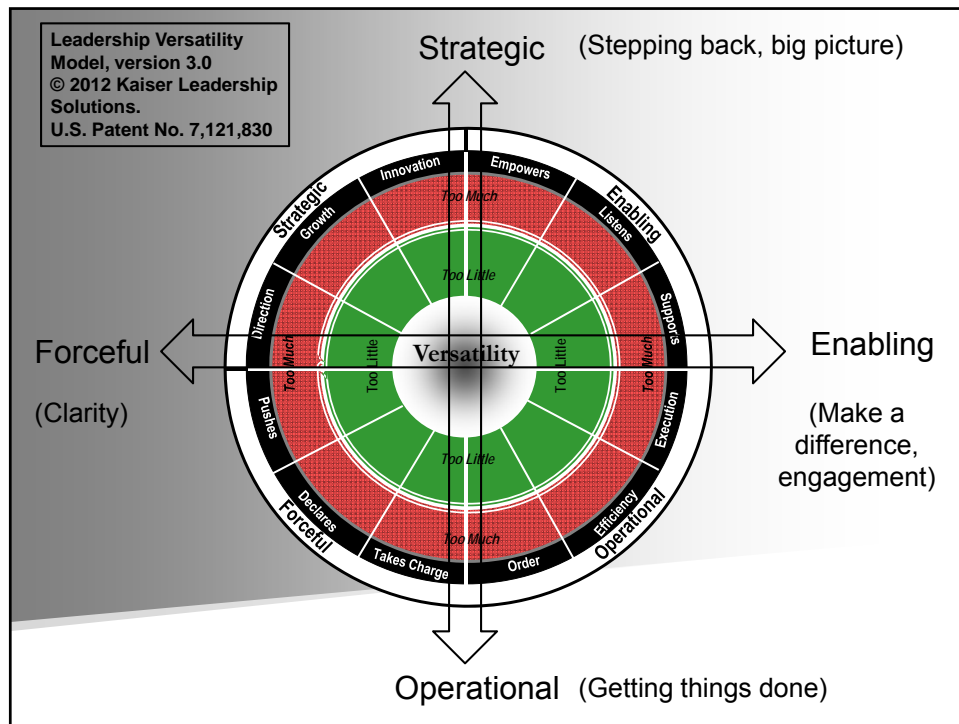
driving the organization to get things done now - focusing on short-term results, getting involved in operational detail, being grounded in the realities of implementing strategy, using processes to keep people on track, and so on.

Why is versatility so difficult?

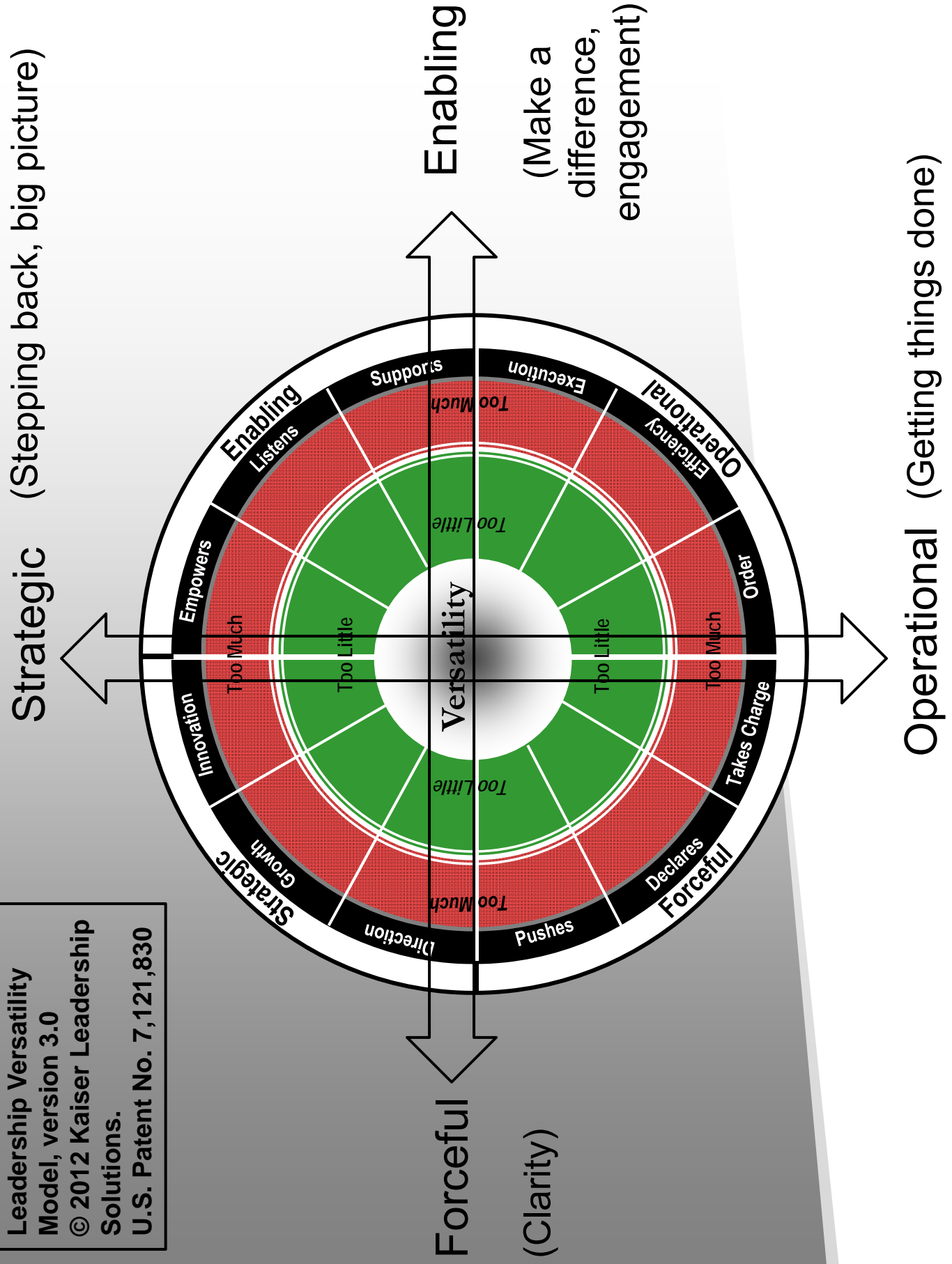
- Uneven Skill Development
- Skewed Mental Models
- One-sided Values
- Tendency to Polarize
- Fear of Inadequacy
- Contextual/Cultural Influence

Developing Versatile Leadership

1. Awareness of what's entailed in each side of the two dualities
2. Strengthening the underused side and moderating the overused side
 - *What is responsible for the lopsided behavior is often a one-sided mental model, usually a highly charged one.*
 - *Explore the opposite of what is usually identified with*
 - *Find blindspots*
 - *Learn to value the "other side"*
3. Individual leadership development plans
4. Skill practice (action learning)



Leadership Versatility
Model, version 3.0
© 2012 Kaiser Leadership
Solutions.
U.S. Patent No. 7,121,830



LEADERSHIP VERSATILITY MODEL

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The proprietary method of assessment used by the LVI is covered by
U.S. Patent No. 7,121,830
Robert E. Kaplan & Robert B. Kaiser

What is the Leadership Versatility model?

We at Clear Impact have been working with the Leadership Versatility Model as Certified Practitioners for over eight years. To us, this model reflects what we see as the essential elements of leadership. **Versatile Leadership** (Kaplan & Kaiser) is the ability to respond effectively to a variety of different and changing conditions by having a wide range of possible responses, as well as the wisdom to know how and when to apply them. The model focuses on two specific polarities that account for most of what it takes to be an effective leader. Many leaders see them as opposed to each other. The most effective leaders, however, are those who can fluidly integrate seemingly contradictory approaches. They're the ones who can listen well and also take a strong stand, the ones who can hold people clearly accountable while also creating a deeply engaging context.

The first polarity is **what you lead**: **Operational Leadership** (driving execution, meeting short-term goals, aligning resources) & **Strategic Leadership** (setting direction, being visionary, big picture and long-term focus). The other is **how you lead**: **Forceful Leadership** (taking a tough stand, holding others accountable, taking charge) & **Enabling Leadership** (delegating, empowering, collaborating, helping people feel valued). These dimensions alone account for so much of what it takes to be an effective leader. If a leader is balanced on these dimensions, he or she is almost certainly in the top 10% of all leaders on multiple factors including ability to drive sustainable results. The power of this model, coupled with its elegant simplicity, makes it an ideal choice for integrating into the organizational culture.

What does it mean for a leader to be "balanced"?

This model is one of the very few that explores over-doing as well as under-doing, and that presents leadership competencies as paired complements. Most leaders are imbalanced on these key dualities (too much of one, not enough of the other). Even more important, they are often out of touch with the direction of these imbalances, and thus greatly benefit from a 360 degree feedback tool based on this model. Otherwise, even the most earnest of leaders will often be addressing the wrong behaviors. Productively addressing imbalances requires attention to the biases of the organizational context, as well as individual beliefs and assumptions that drive leadership behavior. We provide customized support for organizations

to develop effective leadership strategies, including the development of versatile leaders who can think contextually and build and maintain effective high performance organizational cultures.

How does personal development impact leadership ability?

With higher development leaders are more inner-directed, fulfilled, versatile and effective. They make decisions that are aligned with their deepest values and the good of multiple stakeholders. At lower levels of personal development, leaders are overly driven by a combination of their context and their self-oriented wants and needs, rather than being driven by what's right for the organization from a larger perspective and aligned with their deepest values and wisdom. For this reason, we integrate the Leadership Versatility Model with other developmental approaches.

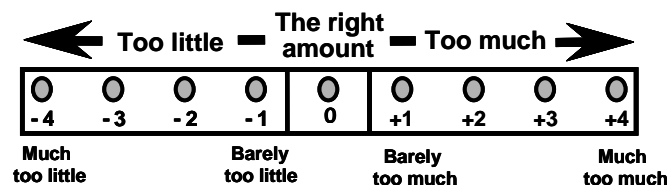
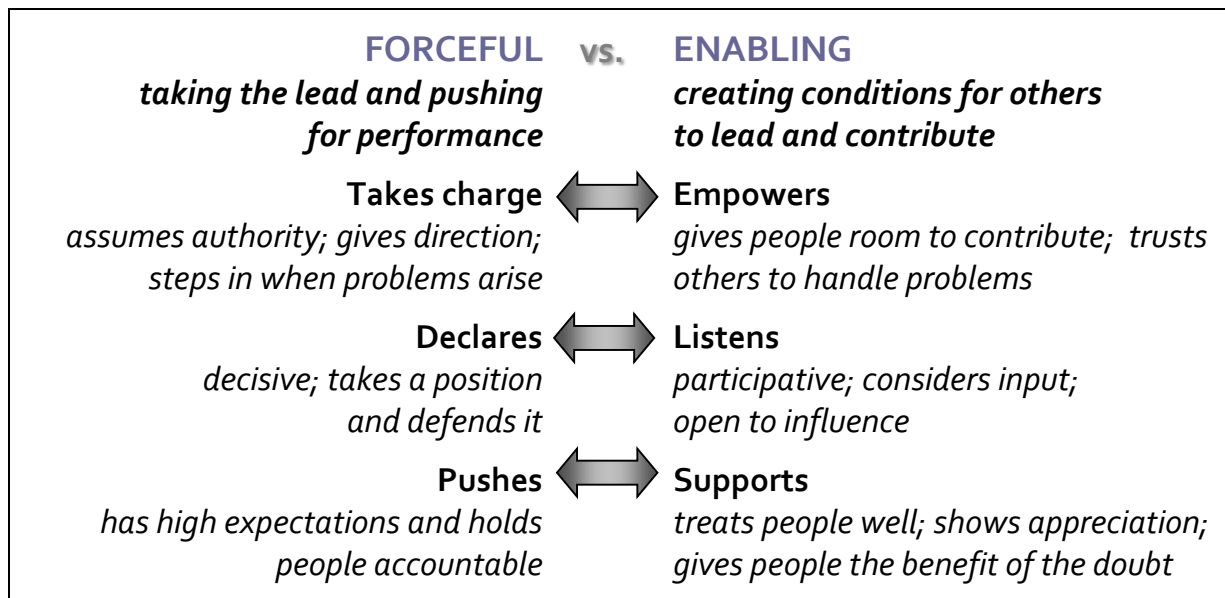
Information on the next two pages

The first page summarizes the three factors under each overall competency of the **Leadership Versatility Model** (© 2012 Kaiser Leadership Systems). Note that they're always paired. For example, on the first pairing, the most versatile leaders are able to effectively balance **taking charge** and **empowering**. Versatile on both ends of the duality and along the full continuum, they are able to take strong leadership when appropriate while also having their team members feel able to truly make a difference. Most leaders, however, over-do one side and under-do the other. The second page shows each item within the Leadership Versatility model. Notice again how they are always paired in ways that non-versatile leaders would see as contradictory, e.g. **assumes authority** and **gives people room**.

How do we measure the versatility of an organizational culture?

We have pioneered the use of the Leadership Versatility Model to assess perceptions of leadership at different levels of the organizational culture. When doing so, we've adapted the questions and used an internet-based program to have employees assess what is typical of leaders at different levels.

This is very important, as organizational culture drives behavior. Our most effective leadership development programs provide new skills and perspectives to leaders while also facilitating the development of a more versatile organizational culture (as referred to above, **Strategic/Operational** and **Forceful/Enabling**) that supports these new approaches and behaviors.



Model Behaviors

| FORCEFUL | ENABLING |
|-------------------------------|-------------------------------------|
| <i>Takes Charge</i> | <i>Empowers</i> |
| 1f. In control | 1e. Empowers people |
| 2f. Assumes authority | 2e. Gives people room |
| 3f. Gives direction | 3e. Hands-off |
| 4f. Steps in | 4e. Trusts people |
| <i>Declares</i> | <i>Listens</i> |
| 5f. Decisive | 5e. Participative |
| 6f. Takes stands | 6e. Relies on input |
| 7f. Speaks up | 7e. Open to influence |
| 8f. Doesn't back down easily | 8e. Receptive to push-back |
| <i>Pushes</i> | <i>Supports</i> |
| 9f. Pushes people hard | 9e. Shows appreciation |
| 10f. Expects a lot | 10e. Treats people well |
| 11f. Direct when dissatisfied | 11e. Sensitive to people's feelings |
| 12f. Holds people accountable | 12e. Gives the benefit of the doubt |

| STRATEGIC | OPERATIONAL |
|------------------------------|--------------------------------|
| <i>Direction</i> | <i>Execution</i> |
| 1s. Future-oriented | 10. Short-term focus |
| 2s. Thinks strategically | 20. Tactical |
| 3s. Big-picture perspective | 30. Attention to detail |
| 4s. Anticipates change | 40. Follows up |
| <i>Growth</i> | <i>Efficiency</i> |
| 5s. Aggressive about growth | 50. Conservative about risk |
| 6s. Launches many changes | 60. Practical about change |
| 7s. Bold moves | 70. Incremental change |
| 8s. Entrepreneurial | 80. Efficient |
| <i>Innovation</i> | <i>Order</i> |
| 9s. Questions the status quo | 90. Goes by the book |
| 10s. Embraces change | 100. Stays with tried and true |
| 11s. Open to new ideas | 110. Organized |
| 12s. Encourages innovation | 120. Process-oriented |

Leadership Versatility Activity

| FORCEFUL LEADERSHIP | | ENABLING LEADERSHIP | |
|----------------------|---|---|---------------------|
| Taken to an extreme | Virtues | Virtues | Taken to an extreme |
| | Takes charge—in control of his/her unit. | Empowers subordinates to run their own units—able to let go. | |
| | Lets people know clearly where he/she stands. Declares himself/herself. | Draws people out—wants to know where they stand. | |
| | Holds people accountable—firm when they don't deliver. | Cuts people slack—takes extenuating circumstances into consideration. | |
| STRATEGIC LEADERSHIP | | OPERATIONAL LEADERSHIP | |
| Taken to an extreme | Virtues | Virtues | Taken to an extreme |
| | Thinks broadly—takes a big-picture perspective. | Tactical—gets involved in solving day-to-day problems. | |
| | Expansive—aggressive about growing the business. | Careful not to outstrip the organization's capacity to grow. | |
| | Encourages innovation—creates a safe environment for trying new things. | Manages the flow of work in an orderly fashion—plans, organizes, conducts regular reviews, etc. | |

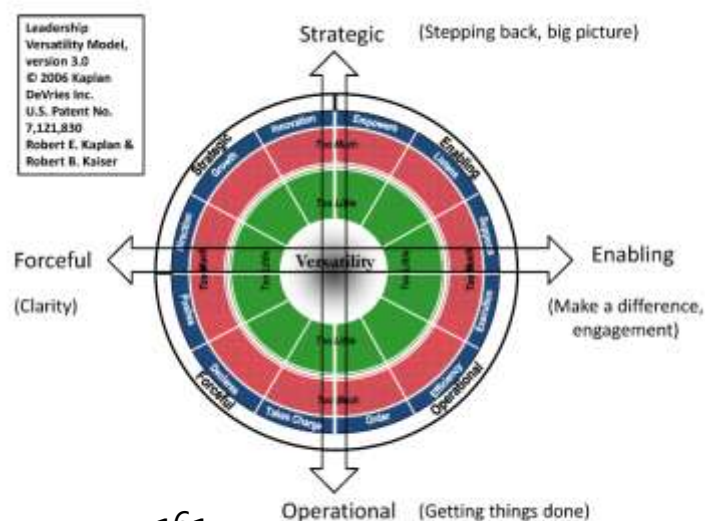
Copyright 2006 by Kaplan DeVries Inc. All rights reserved.

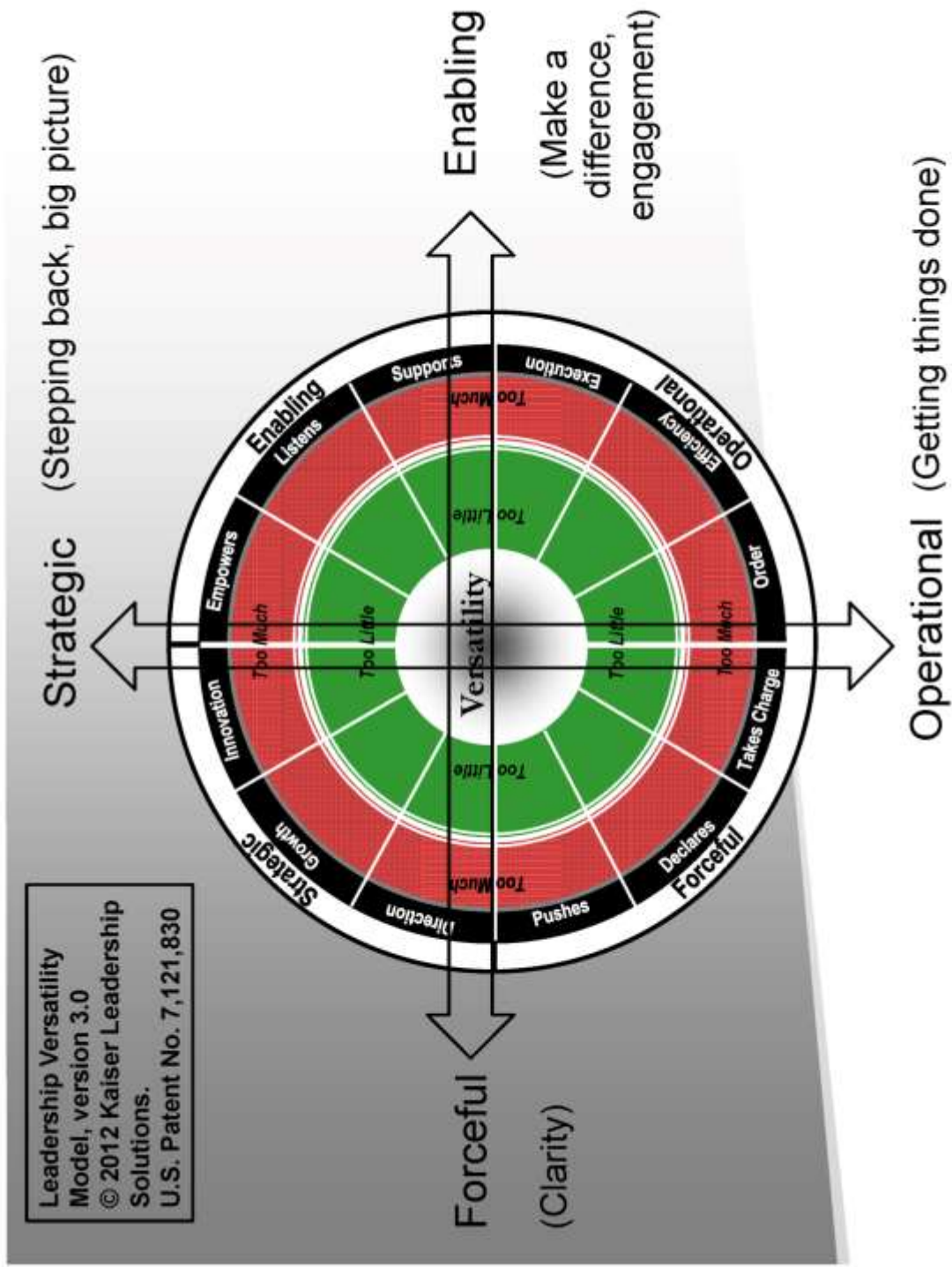
KAPLAN DEVRIES INC.

LEADERSHIP VERSATILITY ASSESSMENT

| Forceful Taking the lead and pushing for performance | | | | | | | | | | Enabling Creating conditions for others to lead and contribute | | | | | | | | | |
|--|----|----|----|----|---|----|----|----|----|---|----|----|----|----|---|----|----|----|----|
| | -4 | -3 | -2 | -1 | 0 | +1 | +2 | +3 | +4 | | -4 | -3 | -2 | -1 | 0 | +1 | +2 | +3 | +4 |
| Takes Charge <i>assumes authority; gives direction; steps in when problems arise</i> | | | | | | | | | | Empowers <i>gives people room to contribute; trusts others to handle problems</i> | | | | | | | | | |
| Declares <i>decisive; takes a position and defends it</i> | | | | | | | | | | Listens <i>participative; considers input; open to influence</i> | | | | | | | | | |
| Pushes <i>has high expectations and holds people accountable</i> | | | | | | | | | | Supports <i>treats people well; shows appreciation; gives people the benefit of the doubt</i> | | | | | | | | | |

| Strategic Positioning the organization for the future | | | | | | | | | | Operational Focusing the organization on the short term | | | | | | | | | |
|--|----|----|----|----|---|----|----|----|----|--|----|----|----|----|---|----|----|----|----|
| | -4 | -3 | -2 | -1 | 0 | +1 | +2 | +3 | +4 | | -4 | -3 | -2 | -1 | 0 | +1 | +2 | +3 | +4 |
| Direction <i>looks ahead; takes a big- picture perspective; thinks strategically</i> | | | | | | | | | | Execution <i>manages the day- to-day details of implementation; follows up</i> | | | | | | | | | |
| Growth <i>aggressive about growing, making change, & seizing opportunities</i> | | | | | | | | | | Efficiency <i>practical about change; conserves resources</i> | | | | | | | | | |
| Innovation <i>questions the status quo; tries new things; encourages creativity</i> | | | | | | | | | | Order <i>consistent; organized and methodical; uses process discipline</i> | | | | | | | | | |





Living Systems Approach



- “The biggest secret in organizations is that people were humans before they were employees.”
- People are engaged by *meaning, connection, and growth*
 - Through organizational identity (who are we?), **purpose** (what are we here to do?) and **values** (what matters to us?)

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LIVING SYSTEMS CHART

Edmonton

Living Systems

| Mechanistic | Living Systems |
|---|---|
| Newtonian (17 th century) | New science |
| People are machines and parts of machines (2 nd Law of Thermodynamics) | People inherently seek meaning , connection and growth |
| Individuals, parts, reductionism | Connections, patterns, context |
| Command and Control | Collaboration and Participation |
| Hierarchy | Self-governing teams |
| Information is power | Information is nourishment |
| Predictability & certainty | Curiosity & openness |
| Engagement and retention are done to employees | Engagement and retention are done with employees |

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INTRODUCTION TO A LIVING SYSTEMS PERSPECTIVE



“Our organizations rarely reflect our need for meaning, connection, and growth. Organizations can keep searching for new ties that bind us to them—new incentives, rewards, punishments. But organizations could accomplish so much more if they relied on the passion evoked when we connect to others, purpose to purpose. So many of us want to be more. So many of us hunger to discover who we might become together.”
– Meg Wheatley, *A Simpler Way*

Living systems.

Understanding organizations through the lens of Living Systems is extraordinarily helpful in effectively guiding their evolution, enabling them to become more sustainably flexible, resilient, agile and intelligent. Such a dynamic organization can respond more effectively in an environment of increased uncertainty, facing complex problems that don’t easily lend themselves to simple solutions.

From a Living Systems perspective deep engagement comes from organizational members finding **meaning, connection, and growth** through their work. These come from clarifying **identity** (who we are), having an **inspirational purpose** (not the kind that just gets framed at the front door, but rather one that engages hearts, minds, and spirits), and identifying **values** that live as guiding beacons within the organization.

Also arising from a Living Systems perspective is the profound importance of **contextual thinking**, addressing the whole before focusing on the parts. In understanding how to address root causes rather than energy-sapping symptoms, you can achieve the greatest impact with the least expenditure of organizational resources.

Scientific underpinnings.

A Living Systems approach is based on much of the new science research in physics and biology. It is contrasted with a Mechanistic approach whose roots are in seventeenth century Newtonian physics, which later became the foundation of the Industrial Revolution and then “scientific management.”

How are they different?

The Mechanistic perspective sees people as machines and parts of machines. It tries to reduce everything down into parts that can be analyzed and controlled. This orientation sees employees as operating on the principle of inertia (second law of thermodynamics): people are inherently lazy and will only do their work if poked, prodded, rewarded, punished, and/or wrapped with reams of rules and regulations. Without such control, they will do nothing (or worse!). For a Mechanistic image, think of employees as chess pieces moved around the board by leadership.

From a Living Systems perspective, people are viewed as inherently seeking **meaning, connection and growth** in their lives and in their work, and to the extent that they find it through organizational **identity, purpose and values** they'll naturally be enthusiastic and engaged. Living Systems (as contrasted with Mechanistic ones) see relationships and whole systems as the primary units rather than individuals, and they focus on collaboration and generation of collective wisdom rather than pure command-and-control.

How pervasive is the Mechanistic perspective?

It's important to recognize the characteristics of Mechanistic systems because they are so pervasive, though sometimes in subtle form, even in the most seemingly enlightened organizational cultures. Many leaders, some overtly but many more inadvertently, are still looking through mechanistic lenses. We say "inadvertently" because very few leaders would consciously agree with this mechanistic perception of their employees, yet, without consciously exploring the assumptions underlying organizational models, they perpetuate the mechanistic myths. Many would be surprised that much terminology in organizations is Mechanistic and comes from the 19th century military, such as command and control, hierarchy, front lines, line and staff functions, chain of command, and officers. The good news is we can interrupt the impact of Mechanistic thinking if we are aware that it exists in us and in our organizations, and if we have models that enable us to align our organizations with a more adaptive, fluid and integrated perspective.

How do the two perspectives view employee retention and engagement?

From a Mechanistic perspective, retention and engagement are done **to** employees. This underlying belief results in leaders attending workshops and consulting experts on how to further engage employees. They then sit in meetings and make new policies aimed at stemming the tide of employee disengagement. Yet despite the importance placed on these topics, organizations on a worldwide level are truly in crisis, with employee engagement currently at an all-time low of 26%, because most organizational cultures including their leaders perpetuate the old model. For example, stock options and other benefits may retain employees, but won't engage them, and organizations are left with more "dead in place" employees who are disengaged but can't leave. Further, as we face a world of increasing uncertainty and anxiety, the most natural response from a Mechanistic perspective is to

centralize and assert more authority, reverting to a more command-and-control model of leadership, yet this is a root cause of disengagement throughout our organizations. From a Living Systems perspective, engagement and retention are done **with** employees, rather than done **to**, collaboratively and sustainably, and we can show you how.

Shifting perspective.

It is so exciting to re-introduce our clients to Living Systems. We say re-introduce because when most people hear of Living Systems they naturally “recognize” them. This perspective has just been obscured by more pervasive ideas that are anything but natural, though common, in almost every aspect of organizations. However, clearly the real value of becoming reacquainted with Living Systems is being able to translate the concepts into practical reality in the organization’s system/culture.

A Living Systems perspective focuses on Contextual Thinking.

The single most important perspective that arises from Living Systems is **contextual thinking or understanding the impact of environment on results**. It is a vital leadership competency, as well as the perspective that assists leaders in consciously guiding the evolution of high performance cultures.

For example, imagine a car mechanic tells you that one of your tires is wearing very unevenly. You wouldn’t just replace that tire. Why? Because you know you have to first get the car in alignment. Otherwise a new tire will also wear very unevenly. Yet, in our organizations, when someone isn’t performing well most leaders tend to try to correct that employee’s performance or look for a new employee, rather than considering what was out of alignment in the organization/group context that might have led the first employee to be struggling.

Assessing and addressing the context surrounding an organization, team or individual, rather than just looking directly at the organization, team or individual, is the essence of contextual thinking. For example, minimum requirements for a context that maximizes the possibility of success of a team include an aim aligned with the larger organization’s purpose, and members who are the “right people in the right jobs” with clearly defined, mutually agreed up and aligned roles and goals, with sufficient resources and autonomy to make a difference. Common symptoms associated with the lack of any of these include interpersonal conflict, team and individual performance problems, and low morale, to name a few.



MEG WHEATLEY QUOTES

"The scientific search for the basic building blocks of life has revealed a startling fact: there are none. The deeper that physicists peer into the nature of reality, the only thing they find is relationships. Even sub-atomic particles do not exist alone. One physicist described neutrons, electrons, etc. as ". . . a set of relationships that reach outward to other things." Although physicists still name them as separate, these particles aren't ever visible until they're in relationship with other particles. Everything in the Universe is composed of these "bundles of potentiality" that only manifest their potential in relationship. We live in a culture that does not acknowledge this scientific fact. We believe wholeheartedly in the individual and build organizations based on this erroneous idea. We create org charts of separate boxes, with lines connecting the boxes that indicate reporting relationships and alleged channels of communication. But our neatly drawn organizations are as fictitious as building blocks are to physicists. The only form of organization used on this planet is the network—webs of interconnected, interdependent relationships. This is true for human organizations as well. Whatever boxes we stuff staff into, people always reach out to those who will give them information, be their allies, offer support or cheer them up. Those lines and boxes are imaginary. The real organization is always a dense network of relationships."

Relationships: The Basic Building Blocks of Life, ©Margaret Wheatley 2006

"Our organizations rarely reflect our need for meaning, connection, and growth. Organizations can keep searching for new ties that bind us to them—new incentives, rewards, punishments. But organizations could accomplish so much more if they relied on the passion evoked when we connect to others, purpose to purpose. So many of us want to be more. So many of us hunger to discover who we might become together." (A Simpler Way, 1998, p. 63)

Real change happens only when we take time to discover what's worthy of people's attention. Does change enable us to contribute more of what we see as important?

"People are creative and meaning-seeking. We need places to nurture our passions, places where we can become more. Work is one of those places. Instead of denouncing us as irresponsible, disloyal or lazy, our organizations need to notice how they have become disengaged from us." (ASW, p. 63)

"If we took time to ground our work in the deep connections that engage us, we would be overwhelmed by the energy and contributions so willingly given" (ASW, p. 59)

"Frequently, as we look into the organization, we see multiple selves—messages, goals and behavior that tell conflicting stories. How do we know what's important to the organization? Organizations with multiple personality disorder confuse us with their incoherence. The only antidote to the unnerving effects of such incoherence is integrity. People and organizations with integrity are wholly themselves. At their center is clarity, not conflict. We can't resolve organizational incoherence with training programs about values, or with beautiful reports that explain the company's way, or by the charisma of organizational leaders. We can resolve it only with coherence, fundamental integrity about who we are." (ASW, p. 59-60)

"Too many organizations ask us to engage in hollow work, to be enthusiastic about small-minded visions, to commit ourselves to selfish purposes, to engage our energy in competitive drives. Those who offer us this petty work hope we won't notice how lifeless it is. They hope that life's great motions are somehow absent from us. When we respond with disgust, when we withdraw our energy from such endeavors, it is a sign of our commitment to life and to each other." (ASW, p. 103)

"Effective self-organization is supported by two critical elements: a clear sense of identity and freedom. In organizations, if people are free to make their own decisions, guided by a clear organizational identity for them to reference, the whole system develops greater coherence and strength. The organization is less controlling but more orderly." (Leadership and the New Science, 2006, p. 87)

"When leaders strive for equilibrium and stability by imposing control, constricting people's freedom and inhibiting local change, they only create the conditions that threaten the organization's survival." (LNS, p. 89)

¾ of change efforts fail because they're mostly technical and mechanistic, ignoring how you build trust, need for meaningful work, desire to contribute and be thanked for that contribution, and our need to participate in changes that affect us.



LEARNING JOURNAL

REFLECTION & SELF-AWARENESS: LEARNING JOURNAL

Current reality: what am I doing that currently supports my Ideal Future?

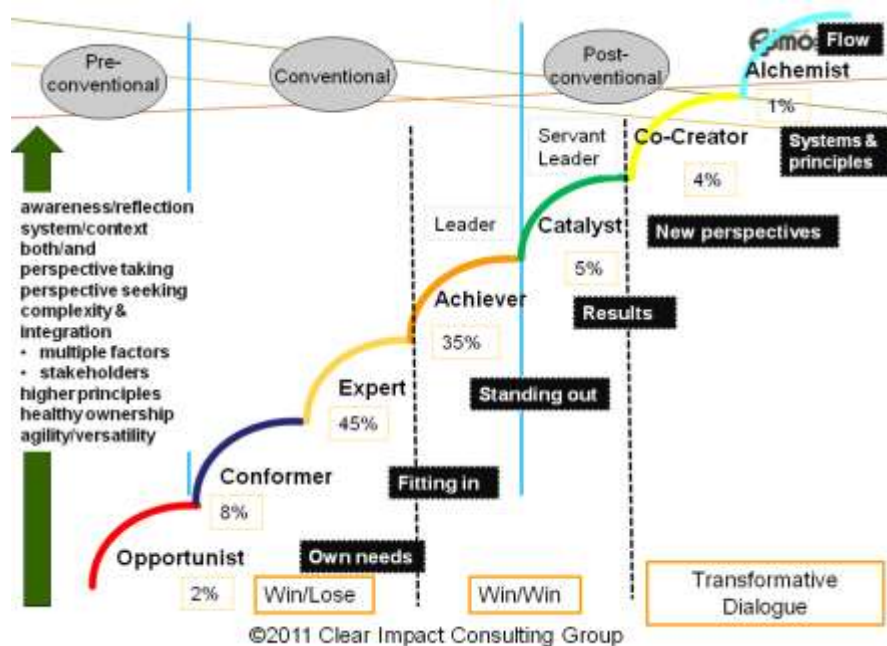
- What is my progress to date? Objectively, what would someone notice following me around, day to day? Use **LEI Tools & Resources** as a reference.

Current reality: what am I doing that does not support my Ideal Future?

- Objectively, without any self-judgment, what would someone notice following me around, day to day? Use **LEI Tools & Resources** as a reference.

Self-awareness: What did I learn from feed-forward, and any other self-awareness activities? What strengths can I build on to help me to move in my desired direction, and what is most important for me to work on?

Levels of Development-in-Action: individual

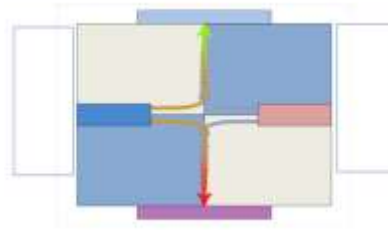


- What is my current center of gravity? What is my typical range?
- How does this help me see what I can build on, and what might be getting in my way of moving faster toward my Ideal Future?
- What are some actions I can take? (these are all developmental activities that support cognitive development)
 - Reflection
 - Perspective taking & seeking
 - Attention to important polarities I privilege
 - Attention to stories that I tell myself
 - Dynamic steering mindset
 - Leadership Versatility
 - Development of neural pathways with conscious practice of new ways of thinking and acting

Levels of Development-in-Action: contextual

- Resources: slides in Levels of Development-in-Action to see different levels of culture: Conformer, Expert, Achiever and Catalyst
- What is the current level of development (center of gravity and range) of the Pond that most immediately impacts me, and of the team or organization I lead?
- How does this help me see what I can build on, and what might be getting in my way of moving faster toward my Ideal Future? What is supporting and what might be impeding?
- What are some actions I can take?

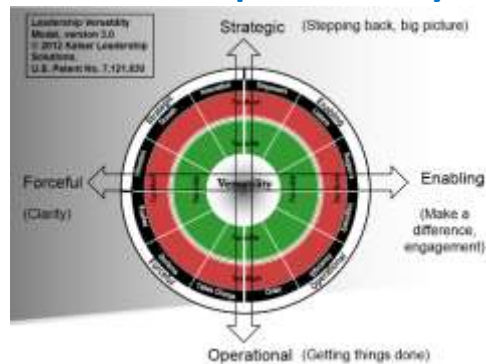
Polarities



What are 3 or 4 polarities that I manage particularly well, strengths I can build on?

What 3 to 4 polarities are most important for me to manage more effectively in order to have the greatest leverage on increasing my leadership capacity?

Leadership Versatility



What did I learn about Leadership Versatility in general?

What did I learn from self-reflection about my own general level of versatility? On what polarities am I likely most versatile and least versatile (or imbalanced)?

Forceful & Enabling (overall)

- Takes Charge & Empowers
- Declares & Listens
- Pushes & Supports

Strategic & Operational (overall)

- Direction & Execution
- Growth & Efficiency
- Innovation & Order

What did I notice about the versatility of the Pond(s) that most directly influence me?

What actions would most assist my overall leadership versatility?

Complexity: Cynefin model



What is my “default” assumption about situations? Do I tend to view them as:

- Simple (“just follow the process”)
- Complicated (requiring careful analysis)
- Complex (in a state of flux and uncertainty, and therefore requiring a dynamic steering mindset with rapid cycles of action & reflection)
- Chaotic (out of control and needing to be stabilized)

Does that change under stress? What is my default in those situations?

How often do I regularly step back and assess which complexity condition is present?

How often do I deal with situations using a less than optimal type of thinking? What’s the impact of doing so? What would help me to apply this model more accurately?

Emotional intelligence: resonant leadership, neurobiology

- From what I have learned about resonance, what do I know about my internal resonance (coherence) and that of the team/subculture I lead or participate in?
- What have I learned about how I affect others and myself, for better or for worse (the wake I leave)?
- What is currently supporting movement toward my Ideal Future, and what might be getting in the way?
- What are some actions I can take?
 - Increase internal “coherence” with breathing and positive thoughts
 - Create more “positive emotional attractors” that inspire me and others
 - Being more acknowledging, honoring (3:1)
 - Helping others to be more “coherent”

Themed content areas (use checklists for reference)

What are my main strengths and challenges in the area of communication?

What are my main strengths and challenges in the area of coaching?

What are my main strengths and challenges in the area of change management?

What are my main strengths and challenges in the area of leading high performing teams?

Given what I've explored, what are the most important actions I can focus on, moving forward, to support my desired outcomes?



Blue Ocean Four Square

| | |
|---|---|
| ELIMINATE What acts and activities do leaders invest their time and intelligence in that should be eliminated? | RAISE What acts and activities do leaders invest their time and intelligence in that should be raised well above their current level? |
| REDUCE What acts and activities do leaders invest their time and intelligence in that should be reduced well below their current level? | CREATE What acts and activities should leaders invest their time and intelligence in that they currently don't undertake? |

The Blue Ocean Leadership Grid is an analytic tool that challenges people to think about which acts and activities leaders should do less of because they hold people back, and which leaders should do more of because they inspire people to give their all

Blue Ocean Leadership, Harvard Business Review, May 2014

REFLECTION SHEETS

Reflection on Today's LEI Session

Date:

What did we cover (materials, concepts, etc.) and how will I apply that to my leadership challenges?

EQ: resonance, internal coherence (hindbrain/forebrain), ideal future, intentional change, neurobiology, reflection

IQ: decision-making model, perspective taking & seeking, multiple factors, levels of development-in-action, polarity thinking, "the story I'm telling myself," leadership versatility

CQ: Pond Thinking™, organizational culture, complexity, leadership versatility, high performing cultures, living systems

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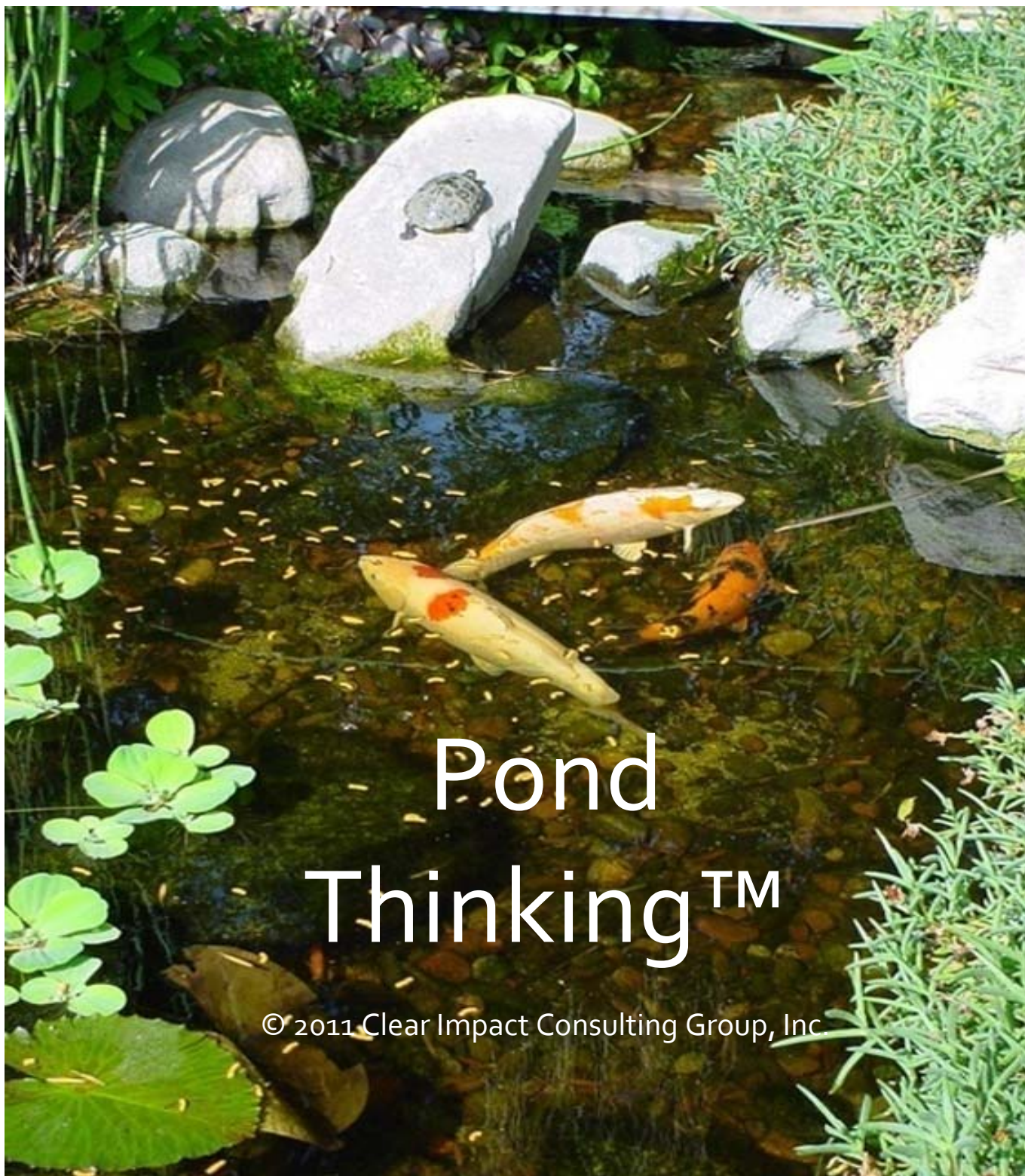
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Pond Thinking™

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Bad Fish!™



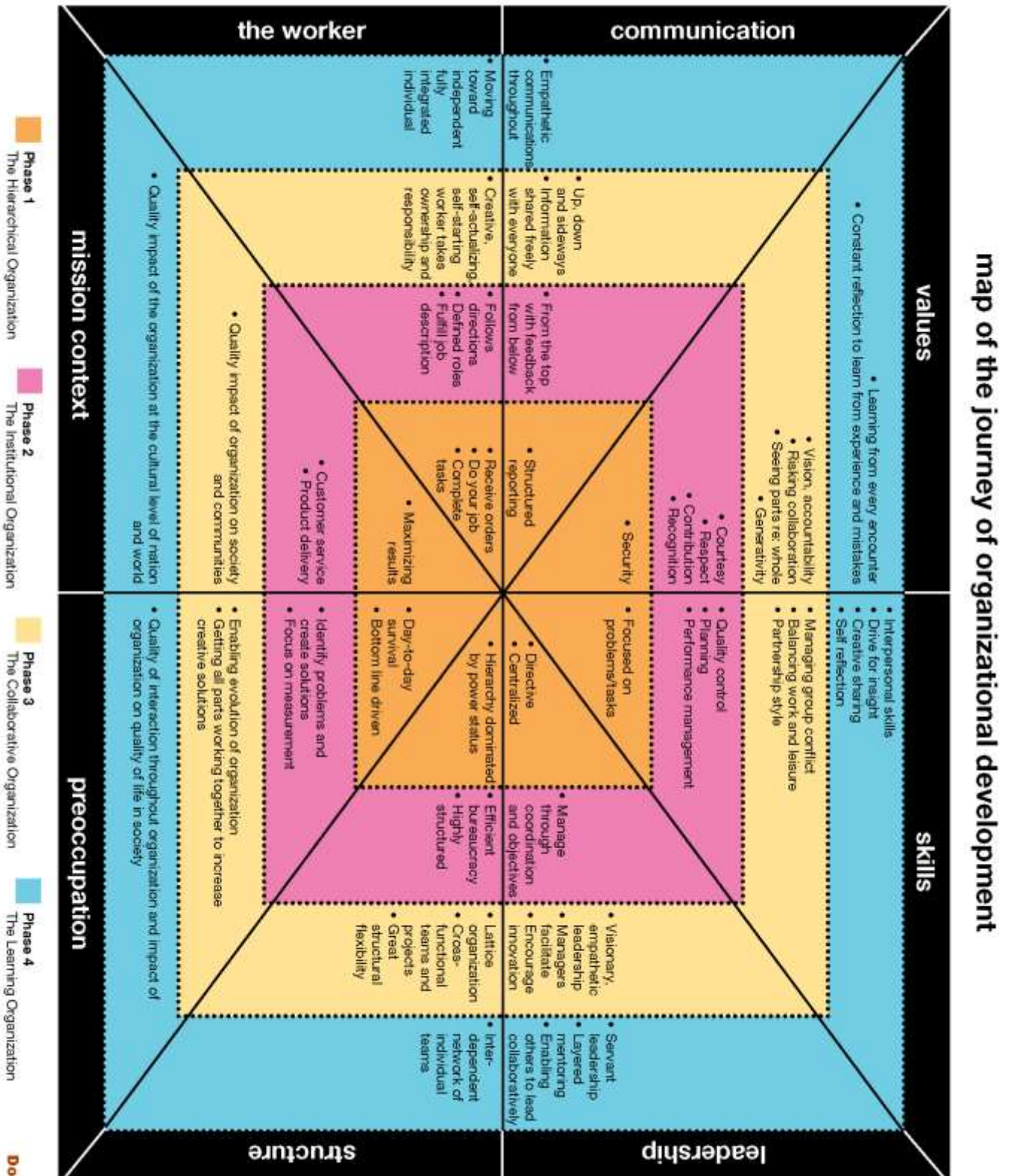
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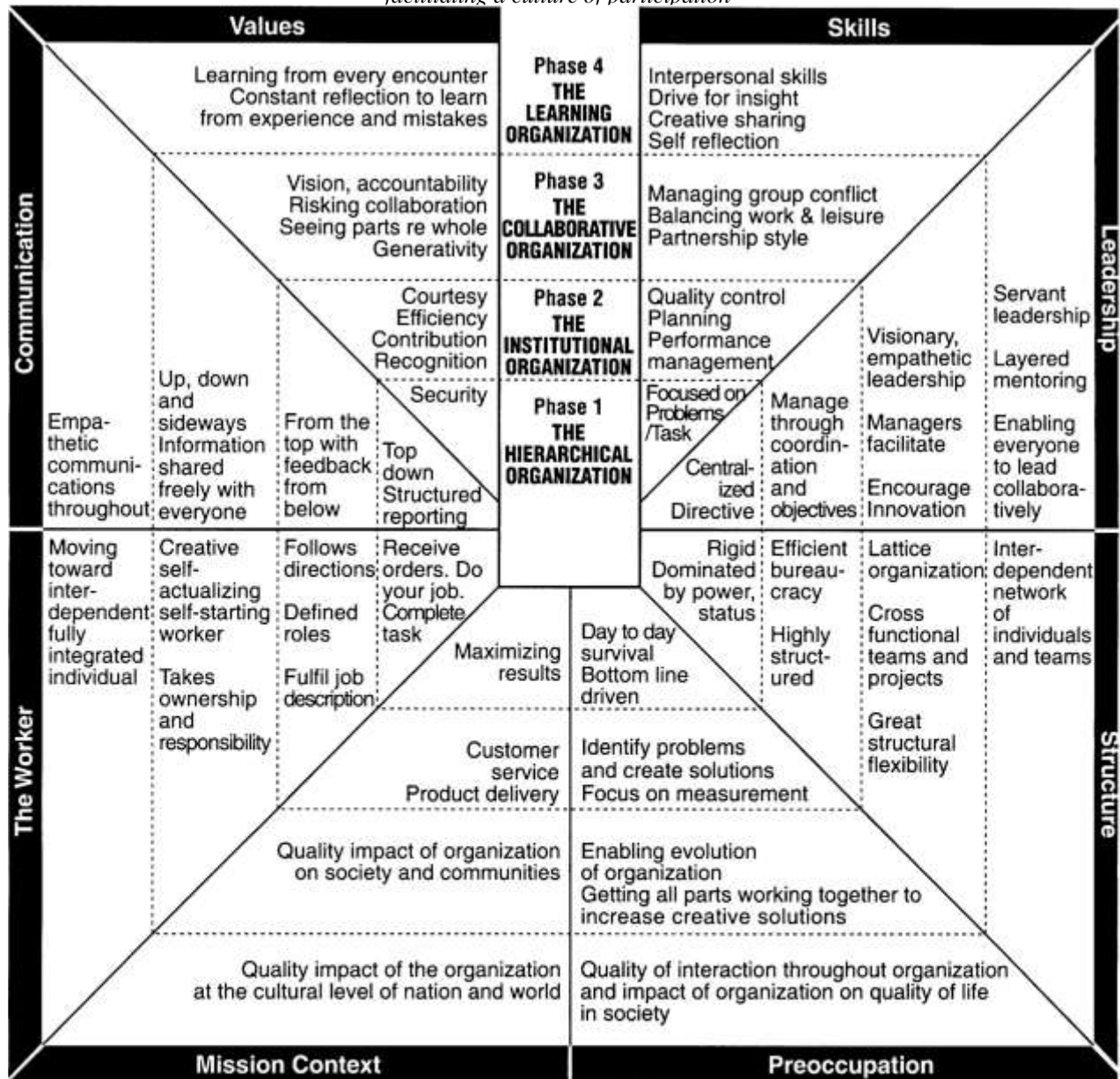
© The Canadian Institute of Cultural Affairs, 2005



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Map of the Journey of Organizational Development

© The Canadian Institute of Cultural Affairs, 2002

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The Four Developmental Stages of the Organization

Phase 1 - The Hierarchical Organization

Leadership in the hierarchical organization operates in the style of benevolent paternalism. Orders and incentives come from the top down. Management may believe in spending time listening to what subordinates say, but this feedback is commonly ignored in the real process of management. The worker is imaged as a child who is cared for by a fatherly leader, and who, by following the rules and working hard, can win favour in the organization. The top-rated skills involve problem-solving, administrative effectiveness and “keeping calm.” Basically, this style is reactive. The main agenda is responding to problems and crises as they occur. A major preoccupation of management is keeping labour submissive, which may involve discouraging unions. Harrison Owen in his book, *Spirit*, has a telling description of the reactive organization: “It doesn’t seem to make much difference what you do, just do something: react. Things get done but what things and to what purpose is not always clear.” Overly zealous accountability means the workforce sees keeping and looking busy as a prime value.

One gift of hierarchical organizations is their capacity to ride out storms and survive—witness the religious orders of the Roman Catholic Church. Another gift is their obvious structure of management and accountability. Such groups exhibit vulnerabilities such as the failure to use the intellectual capital and creativity of their staff, and setting priorities by crisis rather than vision.

It is worth noting here that “hierarchical” refers to a style of top-down communication where staff/worker participation is minimized, while the status and power of top management are maximized. This style does not automatically flow from all hierarchical structure, and hierarchy in an organization is not, ipso facto, bad.

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Phase 2 - The Institutional Organization

While the hierarchical organization at its worst is characterized by the “big boss” style and the crisis mode, the institutional organization is a miracle of organization. There are the board of directors, the shareholders, the CEO, the vice presidents of this, that and the other, the managers, the supervisors, the workers.

This is the large, efficient bureaucracy. Its style is that of responsiveness. As Harrison Owen remarks, this kind of organization “is truly a pleasure to work with, for they seem to recognize what the business is, and are prepared to go all the way to ensure that you, the customer, are fully met, even if they do not understand all the details of the operation.”

This organization is preoccupied with customer service. Communication is from the top, but informed by feedback from below. The mode is task-oriented and output-focused. This is the kingdom of the team, quality control and management by objectives. The bureaucracy works well, as a carefully designed clock works well, but the work is clockwork, and the universe is Newtonian. Loyal subordinates know their functions, but often find themselves acting out the same scripts for every performance. Brian Hall remarks that, in spite of incredible loyalty to their workers, most Japanese corporations tend to be stuck on this level.

The gift of the institutional organization is the gift of the Newtonian universe: great order, great predictability, great loyalty to staff and to customers. The responsiveness to clients is rapid; responsiveness to social change is glacial. Attempts to change the organization bog down in a morass of business as usual.

The shift from an institutional style (phase 2) to a collaborative style (phase 3) really involves a whole-system transition which happens only over time.

Phase 3 - The Collaborative Organization

If the first two phases were primarily concerned with the patterns of power relations, profit, efficient production and customer service, the preoccupations of the last two phases are with maximizing vision, creativity, interaction, communication and collaboration. If the first two phases are all about structure, the last two are more about process, though structure remains important.

Interaction is the core characteristic of the collaborative phase. These organizations aim for real teamwork between all members and departments. Their missional goal is to make a quality impact on society. Structurally, this is a lattice organization. All the parts are integral to the whole, and no part may be replaced without altering the whole. They are concerned about reducing rigidity, and increasing the flow of creativity.

This type of organization has great structural flexibility. The leadership is enthusiastic, visionary, empathetic. Their management style is facilitation. Key skills at this level are delegating responsibility, managing group conflict, balancing work with leisure; growing from experience, and helping others do the same.

Management may even conduct humour workshops, to help the staff laugh at their mistakes rather than feel defensive. The main difference between collaborative and lower-phase organizations is the free flow of ideas. Management is more concerned about stimulating creativity than preventing unauthorized action. Communication is up, down, and sideways. People talk about how to make the institution more humane. The staff are self-actualizing, and seek to serve society through their work.

The gifts of this situation are obvious: synergy and alignment between the parts of the organization, and a mission related to social service. The danger occurs when the organization begins to image itself as one big happy family and staff trust and enjoy one another too much to really hold each other accountable. In that case, management must restore due balance between the needs of internal clients, and the objective requirements of external clients.

Phase 4 - The Learning Organization

The learning organization is blessed with a high degree of interactive learning, an emphasis on human resource development and concern with "making a difference." To some extent, the organization itself becomes a message to the world, offering its own vision of human relations for the future. This phase involves a new take on "quality" and "learning." The learning organization is necessarily a network, made up of self-directed teams.

Using the model of servant leadership, the leaders quietly enable others to maximize their performance through a system of layered mentoring. The quality of communication is empathetic throughout. The worker is a microcosm of the organization, and is encouraged to assume responsibility for the whole, beyond his or her job description. Outside involvement in the community and personal growth are encouraged as relevant to the organization's vision.

In such a team, every encounter is regarded as a learning situation. Interpersonal and reflective skills for gaining insight are crucial here. A core set of values is built or changed by consensus. A superb flexibility enables the organization to deal with rapid change.

Unlike the single-minded focus on a bottom line, or the single programme of a silver bullet, this vision of quality involves balance. The organization works to perfect a juggling act, honouring the needs of the person, the group, and the greater community. The danger at this phase is a collapse of structure in favor of "networking." With limited structure consensus is more difficult to create. Accountability can slip, and with it, quality work.

Four conditions for driving culture change through changing mind-sets

1. Compelling vision
 2. Aligned organizational context/culture, including formal & informal reward systems that reinforce desired results
 3. Developing the required skills & capacity
 4. Active modeling from respected leaders
- “The Psychology of Change Management”
Emily Lawson and Colin Price, The McKinsey Quarterly (2003)

SYSTEMS THINKING

| Systemic | Non-systemic |
|--|---|
| <ul style="list-style-type: none"> Looks at the whole structure of systems that input upon an issue | <ul style="list-style-type: none"> Looks only at component parts in isolation from other possible influences |
| <ul style="list-style-type: none"> Looks for interrelationships across systems. | <ul style="list-style-type: none"> Does not look for interrelationships |
| <ul style="list-style-type: none"> Seeks to understand the long standing causal factors which generate problems | |
| <ul style="list-style-type: none"> Looks for the key levers of influence across the whole system | |
| <ul style="list-style-type: none"> Looks to see how one sector or organisation's actions or influence impacts upon the rest of the system both short and long-term. | |
| <ul style="list-style-type: none"> Consciously avoids 'shifting problems' to other parts of the system | |
| <ul style="list-style-type: none"> Looks for the main sources of resistance to change, rather than pushing harder to overcome resistance and barriers by increasing the driving forces. | |
| <ul style="list-style-type: none"> Generally is geared to the long-term and seeks to identify the slow, subtle and often hard to detect changes which over time can have powerful implications. | |

From Systems Thinking – Partnerships for Literacy: transforming literacy achievement via systemic, whole-community partnerships. Neil McClelland, Director National Literacy Trust, November 1999



WHAT IS ORGANIZATIONAL CULTURE?

Denison Consulting: What is Organizational Culture?

What is culture?

Late nineteenth and early twentieth century studies of social anthropology gave us the term "culture." These studies of "primitive" societies - Eskimo, South Sea, African, Native American - revealed ways of life that were not only different from those in America and Europe, but were very different from each other among themselves. Each society revealed its own unique way of *adapting* as a social system. The concept of culture thus represents, in a very broad and holistic sense, the qualities of any specific human group that are passed from one generation to the next because they are believed to be *useful for survival and adaptation*. The American Heritage Dictionary defines "culture" more formally, as the "totality of socially transmitted behavior patterns, arts, beliefs, institutions, and all other products of human work and thought characteristic of a community or population."

What is organizational culture?

Every organization has its own way of doing things that influences virtually every aspect of working life -- from how long coffee breaks are to how products and services are sold. Thus, organizational culture refers to the underlying values, beliefs and principles that serve as a foundation for an organization's management system, as well as the set of management practices and behaviors that both exemplify and reinforce those basic principles. These principles and practices persist because they have meaning for the members of an organization. They represent strategies for survival that have worked well in the past and that the members believe will work again in the future.

Some aspects of organizational culture, such as individual behavior and group norms, are very *visible*. "Working hard," "dressing conservatively" or "acting friendly to customers" are aspects of culture that are easy to observe. Other aspects of culture are harder to observe, since they represent the *invisible* assumptions, values and core beliefs. Examples of this less visible level of culture might be a belief in the importance of "doing things right the first time," "being honest and ethical in all transactions," or "going beyond expectations to satisfy the customer."

The messages that come from an organization's culture are closely linked to the organization's strategy and management practices, and have great impact on the people who work there. The cultural system cannot be easily seen or touched -- yet it is there all the same. And more importantly, the people in the organization know it very well. The law of the culture often outweighs any other law. In many organizations, it may be the strongest message of all.

Where do organizational cultures come from?

The ideas, behavior patterns and solutions that become embedded in a culture can originate anywhere, from an individual or group, or at the bottom or top of the organization. Organizations with strong cultures usually internalize ideas associated with a founder or other early leaders, and articulate them as a vision, a business strategy or a philosophy.

Organizations have cultures because the conditions needed for their creation are commonplace. Solutions that repeatedly appear to solve problems tend to become part of the culture. The longer the solution seems to work, the more deeply it becomes embedded in the culture.

Cultures can grow to be extremely strong, reinforced by common values, behavior patterns and practices, with many close connections between deeply held assumptions and visible concrete behaviors. When a culture is strong, it can have very powerful consequences. It can enable a group to take rapid and coordinated action to respond to a competitor or to satisfy a customer. Unfortunately, during changing times, a strong culture can also lead intelligent people to walk, in concert, off a cliff.

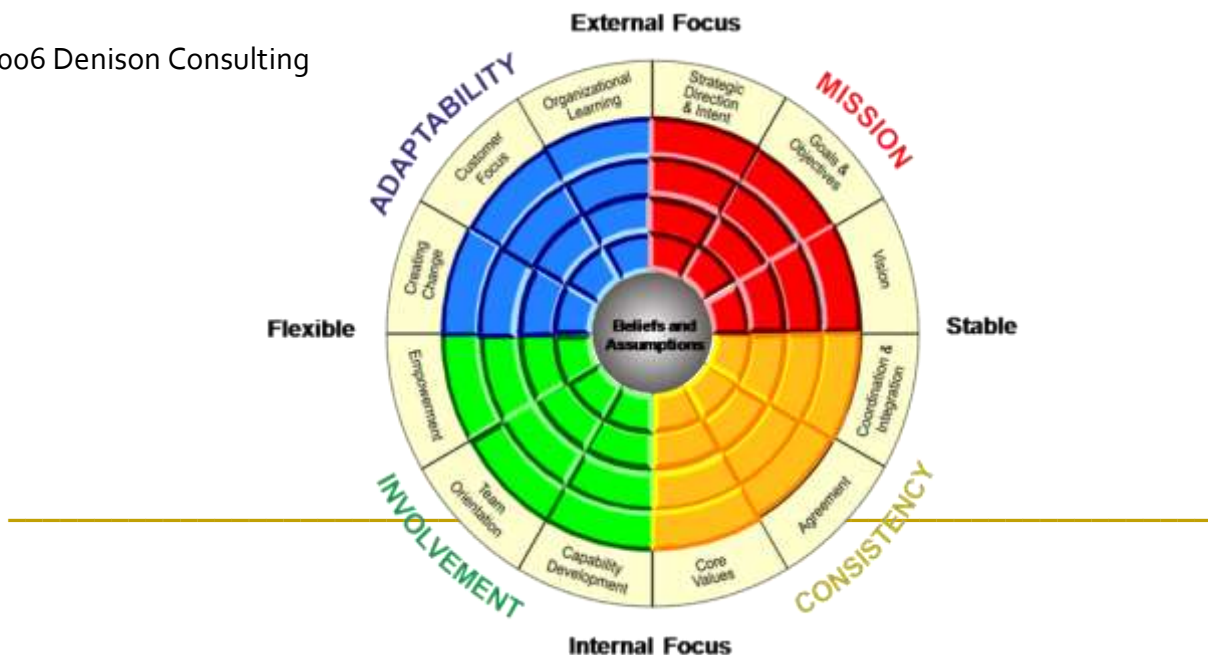
Why is organizational culture important?

A clear understanding of organizational culture is important for all leaders because it influences the way that their organizations react to the changing demands of the business environment. At any given time, the culture of an organization is strongly influenced by the past successes and past learnings about how to adapt and survive. As the business environment changes, leaders must constantly anticipate the necessary changes and actively monitor the relationship between the demands of the environment and the capabilities of the organization.

When there is a “gap” between the capabilities of the organization and the demands of the business environment, many organizations attempt to close that gap by re-engineering or by making broad structural changes. These changes are often helpful, but most successful organizational changes also require changes in the mindset, values and behavior of the organization’s members. Without creating these changes, changes in basic capabilities of the organization are impossible. That is why many organizations are discovering that successful change requires careful attention to the “soft” side of organizations – the values and beliefs that are the “heart of the company”, the policies and practices that put those values into action, and the importance of teaching the members of the organization an understanding of how they create value for their customers.

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EDGAR SCHEIN'S TWELVE STEPS FOR CULTURE CHANGE - QUIZ

Edgar Schein studied the factors that are most important in shaping an organizational culture, and therefore the ones that are also most important for consciously shifting an organizational culture. The organizational culture is “the way we do things around here” – how people behave towards themselves and others. Rank these from most to least important, where #1 is the main factor affecting culture.

- ☐ Organizational design and structure
- ☐ Criteria for recruitment, selection, promotion, performance management and dismissal
- ☐ Rites and rituals of the organization
- ☐ Formal mission statements, charters and ethical code
- ☐ How leaders react to critical incidents and organizational crises (do you or they get defensive, go on the attack, support, blame?)
- ☐ Organizational systems and procedures
- ☐ What a leader attends to, measures, rewards and controls
- ☐ How leaders allocate resources
- ☐ Deliberate role-modeling and, teaching and coaching
- ☐ Design of physical space and buildings
- ☐ Stories and myths about key people and events
- ☐ How leaders allocate rewards and status

From Edgar Schein, Organizational Culture and Leadership, 4th edition (2010) 2.0

Edgar Schein 2014 Culture University Interviews

Culture Fundamentals

<https://www.youtube.com/watch?v=4Fw5H7GWzog>

Culture, Leadership & Humble Inquiry

<https://www.youtube.com/watch?v=7MwebWXtKBs>



ORGANIZATIONAL CULTURE AND LEADERSHIP

"The culture of a group can be defined as a pattern of shared basic assumptions, learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to think and feel in relation to those problems. Thus, culture by this definition tends toward patterning and integration." Schein (2010), p.17

"Culture and leadership are two sides of the same coin in that:

- Leaders first start the process of culture creation when they create groups and organizations.
- After cultures exist, they [the cultures] determine the criteria for leadership and thus determine who will or will not be a leader.
- But if elements of a culture become dysfunctional, it is the unique function of leadership to perceive the functional and dysfunctional elements of the existing culture and to manage culture evolution and change in such a way that the group can survive in a changing environment.
- The bottom line for leaders is that if they do not become conscious of the cultures in which they are embedded, those cultures will manage them. Cultural understanding is desirable for all of us, but it is essential to leaders if they are to lead." Schein (2010), p.22

"Cultural forces are powerful because they operate outside of our awareness. We need to understand them not only because of their power but also because they help to explain many of our puzzling and frustrating experiences in social and organizational life. Most importantly, understanding cultural forces enables us to understand ourselves better." Schein (2010), p.7

"Too often the approach to culture change is to use change management practices such as building a guiding team, communicating for buy-in, empowering people to take action and creating short term wins. While these are supportive of culture change, they are inadequate to ignite and turbo-charge changes to group norms of behavior. Change management practices are simply not enough to shift deeply embedded beliefs, assumptions and behaviors at play in most workplaces. Specific culture change strategies must be used to create meaning, build adoption of new behaviors and beliefs into everyday work life and create diffusion across networks of people who work together across boundaries." Culture-Strategy Fit Inc. © 2010

SYSTEMIC & CONTEXTUAL CHALLENGES

Many of these challenges have their origin in a context much larger than the City of Edmonton. Some are common to governmental organizations in general or municipalities in particular, some to North American organizational culture. These are not challenges that can easily be “solved” —nor are they criticisms directed at City leaders – rather they are challenges that need conscious attention and ongoing dialogue in order to be able to enhance leadership capacity and lead more effectively in these times of increasing complexity, ambiguity and rapid change.

| Root Causes: | Symptoms |
|--|--|
| Western culture/government | |
| <ul style="list-style-type: none"> • Heroic leadership ethic, including vulnerability viewed as weakness • Limited partnering with those served • Difficulty saying “no” & disagreeing • Not honoring the polarity of Careful & Candor • “More is better” • Conventional level of development – either/or thinking rather than both/and • Mechanistic thinking • Limited understanding of systems & organizational culture • Limited understanding of complexity, and tendency to see problems as simple or complicated • Limited understanding of how to manage change in complex systems | <ul style="list-style-type: none"> • “Do more with less” • Unreasonable workload • “Traditional” definition of hierarchy • Lack of normalized cross-hierarchical dialogue • Short term focus • Low tolerance for risk • Viewing “negative” results in complex systems as mistakes rather than opportunities to learn • Lack of leadership versatility • Not holding people accountable • Overly operational focus • Lack of modeling by senior leaders • Lack of accountability for leading consistently with organizational initiatives • Too much freedom without parameters • Opt-out culture • Dictating change • Unclear mutually understood desired outcomes • “Flavor of the month” • Overly compliant and conforming • “Duck and cover” • Bias of action over reflection • Disagreement or pointing out limiting factors perceived as being “negative” • Limited application of capacity already built • Less effective decision-making • Limited effective performance management • Lack of effective leadership development |

ELEMENTS OF ORGANIZATIONAL CULTURES

Three levels of culture:

1. **Observable:** Visible and feelable structures and processes; individual and group behavior. This includes organizational "climate."
2. **Espoused beliefs and values:** ideals, goals, values, aspirations; ideologies; rationalizations (may or may not be congruent with behavior and other observables)
3. **Basic underlying assumptions:** Unconscious, taken-for-granted beliefs and values that determine behavior, perception, thought, and feeling

Observable events and underlying forces within a culture:

- **Observed behavioral regularities when people interact** - including the language they use, the customs and traditions that evolve, and the rituals they employ
- **Group norms** - the implicit standards and values that evolve in working groups
- **Espoused values** - the articulated publicly announced principles and values that the group claims to be trying to achieve
- **Formal philosophy** - the broad policies and ideologies principles that guide a group's actions towards external and internal stakeholders
- **Rules of the game** - the implicit, unwritten rules for getting along in the organization
- **Climate** - the feeling that is conveyed in a group by the physical layout and the way in which members of the organization interact with each other, with customers, or with other outsiders
- **Embedded skills** - the special competencies displayed by group members in accomplishing certain tasks, often passed on informally
- **Habits of thinking, mental models, and/or linguistic paradigms** - the shared cognitive frames that guide the perceptions, thought, and language used by the members of a group
- **Shared meanings** - the emergent understandings that are created by group members as they interact with each other
- **"Root metaphors" or integrating symbols** - the way that groups evolve to characterize themselves, which may or may not be appreciated consciously, but that get embodied in buildings, office layouts, and other material observables - this is the emotional and aesthetic aspect of the culture, as contrasted with the cognitive or evaluative
- **Formal rituals and celebrations** - the ways in which a group celebrates key events that reflect important values or important "passages"

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Drawn from *Edgar Schein, Organizational Culture and Leadership, 4th edition (2010)*



ORGANIZATIONAL CULTURE QUESTIONS

1. When things are going well and people are at their best, what do you most appreciate about your organization?
2. What are the chronic tensions or recurring issues?
3. What 10 words would you use to describe your organization?
4. What seems to be really important in your organization?
5. Who gets promoted in your organization?
6. What behaviors get rewarded in your organization?
7. Who and what are immune to criticism (people, ways of working, processes or systems, etc.)?
8. In your organization, who fits in and who doesn't?
9. How do decisions get made around here?
10. How does change actually happen in this organization? What blocks change from happening?

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ORGANIZATIONAL CULTURE FACTORS

INVOLVEMENT

- ❖ Employees see a connection between the work they do and the goals of the organization.
- ❖ Most employees are highly engaged.
- ❖ People in organizations showing low involvement understand only what goes on in their part of the organization, and they don't feel they have much control over the work they do.
- ❖ Productivity in high involvement organizations is more than twice that of low involvement organizations.

Empowerment *In this organization . . .*

- Accountability, authority, and responsibility are well defined and sufficient for most peoples' roles
- Most employees are highly involved and engaged in their work.
- We motivate more through inspiration than fear.
- Decisions are usually made at the level where the best information is available.
- Information is widely shared so that everyone can get the information he or she needs when it is needed.
- Everyone believes that he or she can have a positive impact.
- Planning is ongoing and effectively involves everyone in the process to the right degree.
- Participation and ownership are encouraged at every level of the organization.
- Employees receive regular feedback and coaching that promotes their engagement in improving their performance and meeting their goals.
- Employees have the resources to do their jobs well.

Team Orientation *In this organization . . .*

- Cooperation across different parts of the organization is actively encouraged and rewarded.
- People work like they are part of a team in their areas.
- With clear goals and expectations, teamwork is effectively used to get the work done.
- Teams are our primary building blocks.
- Work is organized so that each person can see the relationship between his or her job and the goals of the organization.
- Meetings are energizing, focused and productive.

Capability Development *In this organization . . .*

- Authority is delegated effectively so that people can act on their own.
- The "bench strength" (capability of people) is constantly improving.
- There is continuous investment in the skills and development of employees.
- The capabilities of people are viewed as an important source of being able to reach desired results.
- Employees generally have the knowledge, skills and abilities to do their jobs.
- Leaders receive ongoing training and support for developing in their roles.
- Limiting stress is viewed as integral to building capacity.

CONSISTENCY

- ❖ Points to how effectively an organization coordinates the different jobs that need doing to meet its goals and objectives.
- ❖ How well do its people speak the same language, share the same values?
- ❖ Does the leadership "walk their talk"?
- ❖ Does the organizational structure support the defined strategy of the organization?

Core Values *In this organization . . .*

- The leaders and managers "practice what they preach."
- There is a characteristic management style and a distinct set of management practices.
- There is a clear and consistent set of values that governs the way we work.
- Ignoring core values (guiding principles) will get you in trouble.
- There is an ethical code that effectively guides our behavior and tells us right from wrong.
- Effective internal relationships are as important as effective external relationships.
- Leaders are accountable for being inspiring and engaging.
- We demonstrate valuing the well-being of all employees.
- Work/life balance is a supported, reinforced and lived value.

Agreement *In this organization . . .*

- When disagreements occur, we work hard to achieve "win-win" solutions.
- There is a strong culture.
- We use an effective decision-making process.
- We seldom have trouble reaching agreement on key issues.
- There is a clear agreement about the right way and the wrong way to do things.
- We constructively surface disagreement and conflict, even if it is uncomfortable.

Coordination & Integration *In this organization . . .*

- Our approach to our work is very consistent and predictable.
- People from different parts of the organization share a common perspective.
- It is easy to coordinate projects across different parts of the organization.
- Working with someone from another part of this organization is like working with someone from a different organization. (this is a reversed scale)

- There is good alignment of goals across levels.
- Policies, processes, and procedures help rather than impede desired results
- People hold each other accountable for being aligned with the organization's goals and values.

ADAPTABILITY

- ❖ Ability to handle change constructively.
- ❖ Ability to recognize mistakes and learn from them.
- ❖ Capacity to track and respond to changes in the internal and external environment.
- ❖ Willingness to be client driven

Creating Change *In this organization . . .*

- The way things are done is very flexible and easy to change.
- We respond well to changes in the internal and external environment.
- New and improved ways to do work are continually adopted
- Attempts to create change are welcomed and thoughtfully evaluated.
- Different parts of the organization often cooperate to create change.

External Stakeholder Focus *In this organization . . .*

- When reasonable, citizen comments and recommendations often lead to changes.
- Citizen input directly influences our decisions.
- Employees have a deep understanding of citizen wants and needs.
- Employees have an appropriate understanding of Council wants and needs.

Organizational Learning *In this organization . . .*

- We view failure as an opportunity for learning and improvement.
- Appropriate innovation and risk taking are encouraged and rewarded.
- Few things "fall between the cracks".
- We have a work environment in which ongoing learning and reflection are required as part of our day-to-day activities.
- In addressing situations, we regularly integrate multiple perspectives.
- We regularly step back and reflect on strengths and challenges in a supportive environment.
- We make certain that the "right hand knows what the left hand is doing."
- Employee input is sought and directly influences decisions.

MISSION

- ❖ Clarity of direction that keeps the efforts of the total group in alignment.
- ❖ Understanding long-term direction.
- ❖ Clarity regarding more immediate tasks and actions.

Strategic Direction & Intent *In this organization . . .*

- There is a long-term purpose and direction.
- Our strategy leads other municipalities to try to model us.
- There is a clear mission that gives meaning and direction to our work.
- There is a clear strategy for the future.
- Our strategic direction is clear to me.

Goals & Plans *In this organization . . .*

- There is widespread agreement about goals.
- Leaders set goals that are ambitious, but realistic.
- The leadership has "gone on record" about the objectives we are trying to meet.
- We continuously track our progress against our stated goals and principles.
- People understand what needs to be done for us to succeed in the long run.
- Policies, processes and procedures are aligned with the organization's purpose and values

Vision *In this organization . . .*

- We have a shared vision of what the organization will be like in the future.
- Leaders have a long-term viewpoint.
- Short-term thinking seldom compromises our long-term vision.
- Our vision creates excitement and motivation for our employees.
- We are able to meet short-term demands without compromising our long-term vision.

Many of these items are drawn or adapted from the Denison Organizational Culture Survey © 2000 -2006
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CULTURE BY DESIGN CHECK

Give your organization a score of 10 (consistently demonstrated), 8 (frequently but not always demonstrated), 6 (sometimes demonstrated, some parts of the organization), 4 (starting to be demonstrated), 2 (rarely), 0 (never) and then go to the next page to score your survey.

| <i>Culture By Design Progress Check</i> | <i>Score</i> |
|---|--------------|
| 1. Each member of the executive team agrees why paying attention to culture matters to future success | |
| 2. Top leaders have a shared perspective about how the future-state culture needs to operate | |
| 3. There is a shared story of the culture past, present and future | |
| 4. The way culture operates to both support and impede goals is well understood | |
| 5. There is an appreciation of sub-culture differences and their value and risks | |
| 6. Leaders embrace their role as amplifiers of culture | |
| 7. 1-2 areas of culture that require collective attention have been communicated | |
| 8. Pivotal groups that will act as catalysts of behavior change are in action | |
| 9. There are actions underway to create a network effect of changes to practices, behaviors and beliefs in priority areas | |
| 10. Practices and group norms of behavior that have better results are being identified | |
| 11. There is lots of informal recognition of new behaviors that are getting results | |
| 12. Groups trying out new practices and behaviors receive needed capability development | |
| 13. Networks of people are in conversation about what they are learning from their experiences in shaping culture | |
| 14. Each manager includes culture work as part of his/her team/department plans | |
| 15. A conscious effort is being made to use real life stories to create new heroes and legends | |
| 16. There are culture feedback loops so groups can continuously adapt and learn | |
| 17. Talent management decisions include consideration of specific future-state culture needs | |
| 18. Structures, systems, space and processes are being aligned to support the culture required for the future | |
| 19. Competing behaviors are being extinguished | |
| 20. Measures illustrate that culture risks and benefits are being actively managed | |



ORGANIZATIONAL CULTURE INSIGHTS & REFLECTION



Clear Impact High Performing Team Checklist

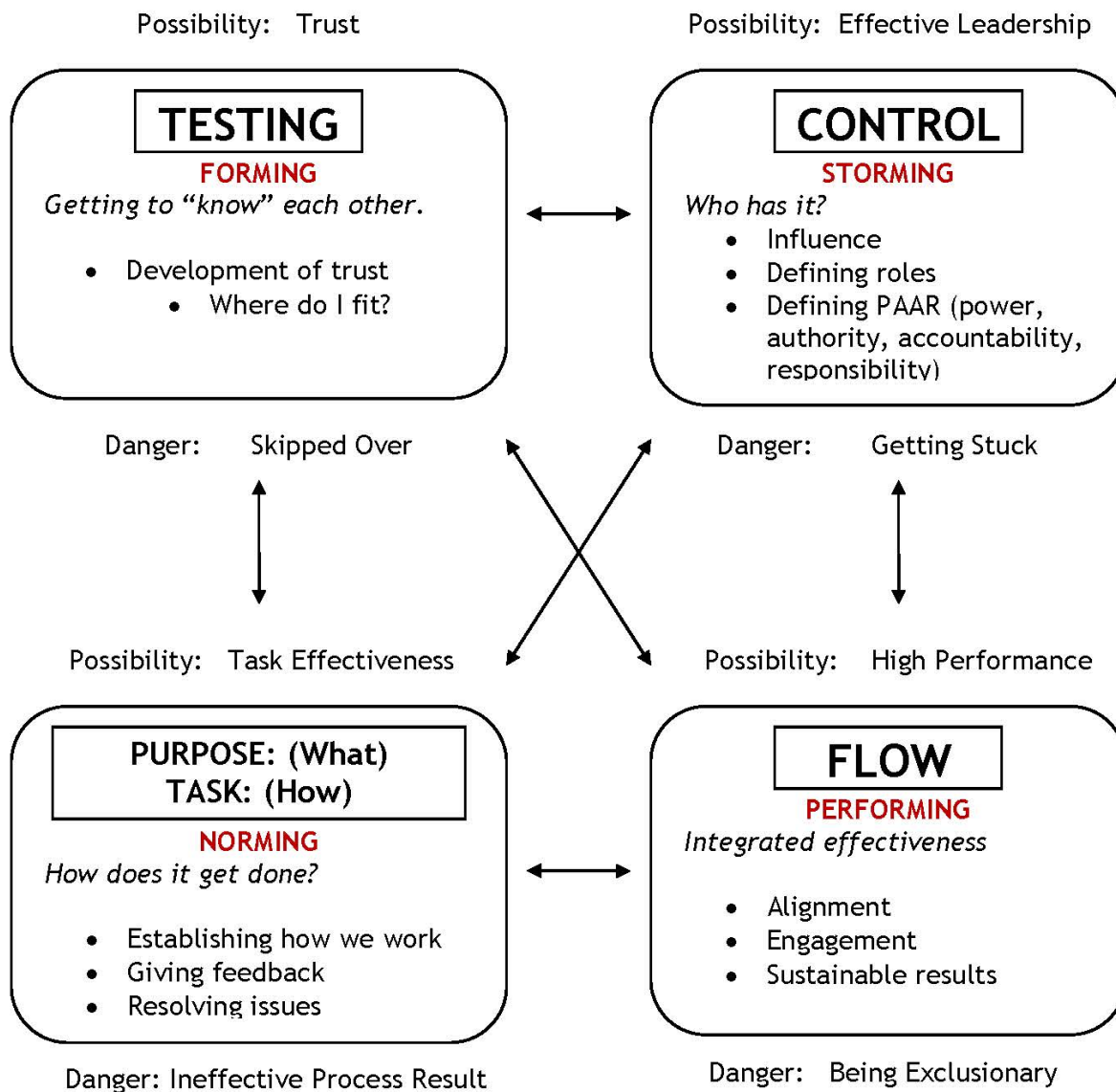
Respond on a scale of 1 to 10

| | | |
|---|--|--|
| Leadership, Management & Organizational Culture | | |
| • Regularly considers and honors the COE Leadership Expectation & Principles : | | |
| • Versatile leader who through team engagement facilitates effective: | | |
| ○ Operational Leadership by regularly identifying needed resources and short term plans to “get the job done”. | | |
| ○ Strategic Leadership by having an up-to date strategy and long term plans to meet the aim | | |
| ○ Forceful Leadership by operating within clearly identified parameters or “river banks” and hold themselves and each other accountable. | | |
| ○ Enabling Leadership through delegating, empowering, and ensuring individuals and their perspectives are valued and able to make a difference individually and collectively | | |
| • Leader who: | | |
| ○ Is willing to take a tough stand and/or take charge when needed | | |
| ○ Ensures understanding of the team context | | |
| ○ Is fair and equitable, avoiding favoritism | | |
| ○ Ensures that the team has the needed resources and support from the greater organization | | |
| ○ Provides ongoing coaching and mentoring | | |
| ○ Consciously models and encourages team members to leave a positive wake (resonance) | | |
| Team Purpose and Values | | |
| • A strong sense of identity, purpose and values (who we are, what we’re here for, and what matters to us) | | |
| • Alignment with strategy and goals of the larger organization | | |
| • Operating as if a team effort is needed to consistently achieve desired results | | |
| • Consider this team their “primary” team | | |
| • Honor the polarity of individual and team contribution | | |
| Intentional Change | | |
| • Evolving and clear vision of the team’s Ideal Future | | |
| • During times of change: | | |
| ○ Current reality and strengths and challenges to reach desired outcome are identified | | |
| ○ An effective change agenda is crafted based on what is learned | | |

| | | |
|--|--|--|
| <ul style="list-style-type: none"> ○ The team experiments and adapts (dynamically steers) in a supportive context | | |
| <ul style="list-style-type: none"> • Bridges' 3 Questions: (1) Team members know what is changing and why (compelling vision); (2) what will be different as a result; and (3) who has what to lose | | |
| | | |
| Team Members | | |
| <ul style="list-style-type: none"> • Have clearly defined roles with necessary power and authority to carry them out effectively | | |
| <ul style="list-style-type: none"> • Have challenging and achievable goals | | |
| <ul style="list-style-type: none"> • Are the "right" people in the "right" roles: complementary needed skills and expertise | | |
| <ul style="list-style-type: none"> • Have opportunities to grow and develop | | |
| <ul style="list-style-type: none"> • Actively demonstrate reflection, perspective taking & seeking, and both/and thinking | | |
| <ul style="list-style-type: none"> • Have the information they need to do their jobs effectively and make a difference | | |
| | | |
| Work Environment And Processes | | |
| <ul style="list-style-type: none"> • Clear rules of engagement promoting effective communication: resonant relationships (being aware of the "wake they leave") while having clear direct and difficult conversations | | |
| <ul style="list-style-type: none"> • Regularly stepping back and reflecting (strategic), and actively taking and seeking perspectives, to achieve operational excellence | | |
| <ul style="list-style-type: none"> • Consistent use of effective decision-making process including Dynamic Steering | | |
| <ul style="list-style-type: none"> • Regularly examines relevant polarities, fostering both/and thinking | | |
| <ul style="list-style-type: none"> • Incorporates all the three types of intelligence | | |
| <ul style="list-style-type: none"> • Promotes continuous improvement | | |
| <ul style="list-style-type: none"> • Regularly assesses the Complexity domain(s) they're working in: simple, complicated, complex or chaotic and adjusts accordingly | | |
| <ul style="list-style-type: none"> • Members give and seek regular constructive feed-forward | | |
| | | |
| Acknowledgment and Celebration | | |
| <ul style="list-style-type: none"> • Successes are regularly recognized, rewarded and celebrated | | |
| <ul style="list-style-type: none"> • Team members actively cultivate a 3:1 ratio of positive to negative comments | | |
| | | |
| Meetings—separates the three types: | | |
| <ul style="list-style-type: none"> • Effective strategy meetings: Where we are going; how we will achieve our purpose | | |
| <ul style="list-style-type: none"> • Effective governance meetings: How we'll work together. Clarify policies, procedures, roles and accountabilities to resolve tensions and optimize all members' contributions | | |
| <ul style="list-style-type: none"> • Effective operational meetings: Getting the work done with appropriate transparency | | |
| | | |
| Accountability, Responsibility And Results | | |
| <ul style="list-style-type: none"> • Team follows through on its commitments, or responsibly renegotiates them | | |
| <ul style="list-style-type: none"> • The team individually and collectively evaluates effectiveness, builds on strengths while examining root causes of challenges to meet their purpose and goals | | |
| <ul style="list-style-type: none"> • Members have an attitude of shared accountability | | |
| <ul style="list-style-type: none"> • Team delivers timely, desired results consistent with its aim and stakeholder needs | | |

V3.0

STAGES OF GROUP/TEAM DEVELOPMENT





THE ROCKET MODEL

The Top 10 Reasons Why Groups and Teams Fail

1. Misunderstanding the team context
2. Lacking a common purpose or goal
3. Issues with team composition
4. Bad followership
5. Poor meetings, decision-making, and communication processes
6. Favoritism
7. Differing levels of commitment
8. Shortfalls in resources (funding, equipment, or authority)
9. Personal animosity and interpersonal conflict
10. Being unable to achieve superior results

Lack of effective leadership is the common thread in all the above

Groups vs. Teams: A team consists of 3 to 25 people who:

- Work toward a common set of goals
- Work jointly—the members' performance is interdependent
- Share common leadership
- Share a common fate that depends on the performance of the team
- See themselves as being part of a team with common goals and shared fates

Gordon Curphy & Robert Hogan, The Rocket Model (2012), used with permission

v1.1

FIVE DYSFUNCTIONS OF A TEAM

By Patrick Lencioni (2002)



How members of a cohesive team behave

- 1) They trust one another
- 2) They engage in unfiltered conflict around ideas
- 3) They commit to decisions and plans of action
- 4) They hold one another accountable for delivering against those plans
- 5) They focus on achieving collective results



BUILDING A HIGH PERFORMANCE TEAM

Foundation

Even though they are likely to evolve, it is important for all members to have a mutual understanding of:

- **The purpose of the team:** including its alignment with the city's strategic objectives and how it ultimately supports citizens of Edmonton
- **The strategy of the team:** Identifying the strategy and making certain it matches the team's subculture
- **The relevant parameters (river banks):** organizational expectations such as deadlines and availability of resources
- **Engagement and Effectiveness:** clarity of members' roles and that their full participation is valued and required for being successful as a team
- **Expected Behaviors:** all members need to know what is expected of them behaviorally, including the **COE Leadership Expectation & Principles**
- **Strengths and Challenges:** the team identifies and honors its existing strengths and identifies its challenges to achieve its purpose as a high performing team
- **Stages of Team Development:** The importance of regularly monitoring the team's movement through the stages of team development
- **The impact of Culture/Context:**
 - Identifying the impact of The City of Edmonton's culture (the macro-culture) on the team
 - Identifying and honoring the strengths of the team's subculture supporting and promoting effectiveness. These can offset some of the negative aspects.
 - See **Edgar Schein's 12 steps** and other information in the **Lenses for Understanding and Developing Systems** section of your LEI binder.
 - Focus on a few critical shifts in behavior
 - Integrate formal and informal interventions (see **Schein's 12 steps** and Culture Change that Sticks, Harvard Business Review July/August 2012 for more detail)
 - Formal: includes reporting structures, performance management, decision-making processes, business processes, compensation & rewards, internal communications, training & development programs
 - Informal: includes behavior modeling, meaningful manager/employee connections, peer-to-peer interactions, organizational stories, cross-organizational networks
 - Measure and monitor the development of the subculture
 - Peter Drucker: "Culture eats strategy for breakfast"

Using the High Performing Teams Checklist

1. All members regularly complete the **High Performing Teams Checklist**. For many teams it is helpful to have this done anonymously and then compiled. Team members rate each item on a scale of 1 to 10, for current reality and for desired outcome (what's needed for the team's success).
2. After results are compiled, the team identifies 2 to 3 priority items to focus on that are timely and will enhance its effectiveness.
3. One way of prioritizing the items on the checklist is to use the following IMULL formula (originally developed by Mike Jay) as a guideline:
 - Important
 - Motivating
 - Urgent
 - Leveraging (which items, if addressed, will impact several other important ones)
 - Low Hanging Fruit (which items, if addressed, will lead to some "quick wins")

Note that it may be tempting to divide up the ongoing monitoring of some of the items. Because of the complexity involved in building high performance teams, it is essential that all members be able to contribute to, and be aware of, the results of the assessment process.
4. Develop plans for addressing the priority items.

Other important considerations in building high performance teams

- **Communication:** Developing and using the three types of intelligence included in the LEI will greatly assist in promoting effective communication on the team and reduce the energy drain that comes from not paying attention to all three
- **Polarities:** Regularly identifying most important polarities – both strengths and those that are "biased" or privileged and most in need of being addressed - can greatly enhance its effectiveness
- **Decision Making:** Using the **Clear-Impact Decision-Making Process**
- **Change Management:** Using **Bridges' Three Questions**, the **Immunity to Change** handout, and the **Change Management** checklist
- **Coaching**
- **Leadership Versatility**
- **Complexity:** the Cynefin model

Basic Questions to Resolve

Neurobiology tells us that we have a set of highly developed cognitive functions. We have emotions that must be managed and we have intentions or will that must find outlets. There are questions that every member of a new group or organization must resolve in order to be able to focus on the task to be accomplished. Until these questions are answered to some satisfactory degree, the person will be anxious and preoccupied with his or her own personal issues instead of focusing on the group's task:

What problems must be resolved?

- **Identity and Role:** Who am I supposed to be in this group and what will be my role?
- **Power and Influence:** Will my needs for influence and control be met?
- **Needs and Goals:** Will the group's goals allow me to meet my own needs?
- **Acceptance and Intimacy:** Will I be accepted, respected, and valued in this group? How close will our relationships be?

Some kind of solution must be found for people to get past self-oriented defensive behavior and be able to function in the group and establish a reliable and meaningful social order that provides answers to these basic questions. (Edgar Schein, *Organizational Culture & Leadership*, 2010, p.150)

Subcultures

All the quotes below are from Edgar Schein, *Organizational Culture & Leadership (2010)*

"Much of what goes on inside an organization that has existed for some time can best be understood as a set of interactions of subcultures operating within the larger context of the organizational culture or macroculture. These subcultures share many of the assumptions of the total organization but also hold assumptions beyond those of the total organization, usually reflecting their functional tasks, the occupations of their members, or their unique experiences." (p.55)

One of the cultural traps that new organizations/groups/teams face is the failure to note that new members come from very different subcultures and need to establish a common set of understandings and a common language. (p.96)

Most communication breakdown between people result from their lack of awareness that at the outset, they are making basically different assumptions about what things mean. (p. 94)

Defining Group Boundaries and Identity

For a group to function and develop, one of the most important areas for clear consensus is the perception of who is "in" the group and who is "not in," and the criteria by which such decisions are made. New members cannot really function and concentrate on their primary task if they are insecure about their membership, and the group cannot really maintain a good sense of itself if it does not have a way of defining itself and its boundaries. ...We will be maximally comfortable with others who share the same set of assumptions and very uncomfortable and vulnerable in situations where different assumptions operate because either we will not understand what is going on, or, worse, we will misperceive and misinterpret the actions of others. (p.97)

Changes in the reward and punishment system are one of the quickest and easiest ways to begin to change behavior and, thereby, begin to change some of the elements of the culture. (p.108)

Groups must develop clear assumptions about what is reward and what is punishment so that group members can decipher how they are doing. And, finally, groups must develop explanations that help members deal with unpredictable and unexplainable events. Stories develop around all of these issues that provide meaning and are sources of affirming the organization's identity. (p. 112)

2.01



GETTING COMFORTABLE WITH COLLABORATION

Collaboration is often praised for its ability to improve problem solving, and increase creativity and innovation along with employee engagement. All this can happen when it is done correctly. However, it can also be scary, and individuals and organizations often have resistance to collaboration. These are three facts, drawn from “Eight Dangers of Collaboration” by Nilofer Merchant (Harvard Business Review, 2011), that you have to accept, and embrace, about collaboration before it can work.

- 1) **You won’t know the answer.** There’s no point in collaborating on a complex problem if you assume that you have the best approach to solving it. Be comfortable with ambiguity and accept that you aren’t necessarily the expert.
- 2) **Roles will be unclear.** Responsibilities are often fluid. Be ready for the role you play to change with each phase of the work.
- 3) **You will fight.** If you avoid conflict, nothing will happen. Knowing how to debate tradeoffs between options means knowing how to productively argue.



MEETING PRACTICES

Separating three types of meetings

- **Strategy:** long-term vision, big picture
- **Governance:** how we'll work together – clarify roles, accountabilities, policies
- **Operational:** getting the work done – including daily stand-up meetings, weekly tactical meetings, and other meetings as needed
- Each meeting has a different pace and a different focus – combining them within one meeting tends to lead to frustration and lack of clarity

Strategy Meetings: long-term vision, big picture

Strategic Meetings: *focusing on overall direction and the broad "big" issues.* These are held monthly, quarterly, and/or annually, depending on what is necessary.

Governance Meetings: how we'll work together

Governance Meetings: *uncover and clarify the roles and authority needed to get the work done.* Without a strong focus and a clear space held for governance, it's easy for an organization to get so caught up in the day-to-day operations that governance just doesn't happen. Regular governance meetings are vital to the effective practice of organizational agility.

- The output of each meeting are roles, accountabilities, authorities, and policies
- "Tensions" are the sign that there are governance issues to clarify. "Tensions" are not negative. Rather, they're signs that more alignment or clarity is needed.
- Governance meetings are **not** about addressing specific issues. Specific issues are often raised, however, to surface the underlying tensions: "How can we work better together?"
- **Governance is about roles, not people!**
- Roles are activities needed to help the team or organization achieve its aim. They are best expressed as action words (ending in __ing) to indicate what the person holding that role is accountable for. What can others count on this role to do? For example, "Manager" does not tell you what someone is accountable for. Action words do: **providing** quarterly performance reviews: **assigning** daily tasks; etc.
- The **Consent Decision-Making Process** is often used in Governance meetings to effectively integrate multiple perspectives (see that handout). This process requires a trained facilitator, generally not the leader of the organization or team.

- Governance questions include:
 - What decisions are needed?
 - Who will make what decisions?
 - How will we make decisions?
 - How can we best organize ourselves?
 - What roles are needed, and what is the power, authority, accountability and responsibility (PAAR) for each role?
 - What processes will we follow?
 - What limits are needed around certain roles?
 - What policies will guide our work together? (a policy is essentially an accountability for every role)

Operational Meetings: getting the work done

Operational Meetings: *the specific business of the organization*. Regular Governance Meetings pave the way for smooth operational meetings that facilitate the effective execution of day-to-day business. Operational meetings are a forum for exchanging relevant information and making specific decisions that require integration of multiple roles. These include: Daily stand-up meetings (usually 5-10 minutes, near the start of each work day), and Tactical meetings (typically held once per week).

- Daily stand-up meetings make sense for some teams and not for others. They can be highly effective if appropriate: What did each person get done yesterday? What's the plan for today? What sort of coordination among us is needed?
- Weekly tactical meetings will have agendas that are appropriate for that team. Some examples:
 - What did I do last week, and what are my plans for this week? (60 seconds or less per person)
 - What metrics or other data can we share to help us stay aligned toward our goals?
 - What issues need to be addressed in order to move forward most effectively?

Why is it important to have clearly differentiated and effective meetings? ***Because the ultimate point is to get things done, rather than sit in meetings!*** And, in an agile organization, most of the work is done outside of meetings.



CLEAR IMPACT MEETINGS CHECKLIST

Date:

- ☐ As needed, we have all three types of meetings: operational – to get the day-to-day work done, governance – developing roles and accountabilities to address tensions, and strategic – big picture or longer term direction.
- ☐ We regularly and collaboratively review the Aim of our department/team/project.
- ☐ We regularly identify (and update as needed) what needs to be accomplished to achieve our Aim, and record in a central location. Make sure every item has an owner.
- ☐ We regularly identify (and update as needed) the 3-5 most important things to accomplish, the strengths and challenges to accomplish those things, and what success would look like for each of those. When one item has been handled, at least for now, new items from the list are added.
- ☐ We regularly review ideas for being even more effective at reaching our Aim and honoring our values.
- ☐ We regularly review what we learned from relevant stakeholder data.
- ☐ We acknowledge and celebrate, as appropriate, our gains in dealing with the Most Important Things to Accomplish.
- ☐ We have a way of regularly reviewing our Aim, 3-5 Most Important Things, and relevant stakeholder data.
- ☐ We have a way of keeping track of the decisions made from each meeting/proposal and progress made.

Meeting Checklists: to be completed by Supervisor

Strategic Meeting Checklist: long-term vision, big picture

- ☐ Review long-term vision and “big picture” issues to see if any adjusting/updating is needed at least every six months
- ☐ Record the meeting results and any follow-through needed, including any impact on governance (roles, responsibilities, policies, procedures) and/or operational issues

Operational Meeting Checklist: getting the work done

Operational Meetings: *the specific business of the team*. Operational meetings are a time for exchanging information and making decisions that require coordination of multiple roles.

- ☐ Initial check-in for each person
- ☐ What needs to happen today/this week? Are there any issues all of us need to know about, or where some kind of coordination is needed for us to be effective?

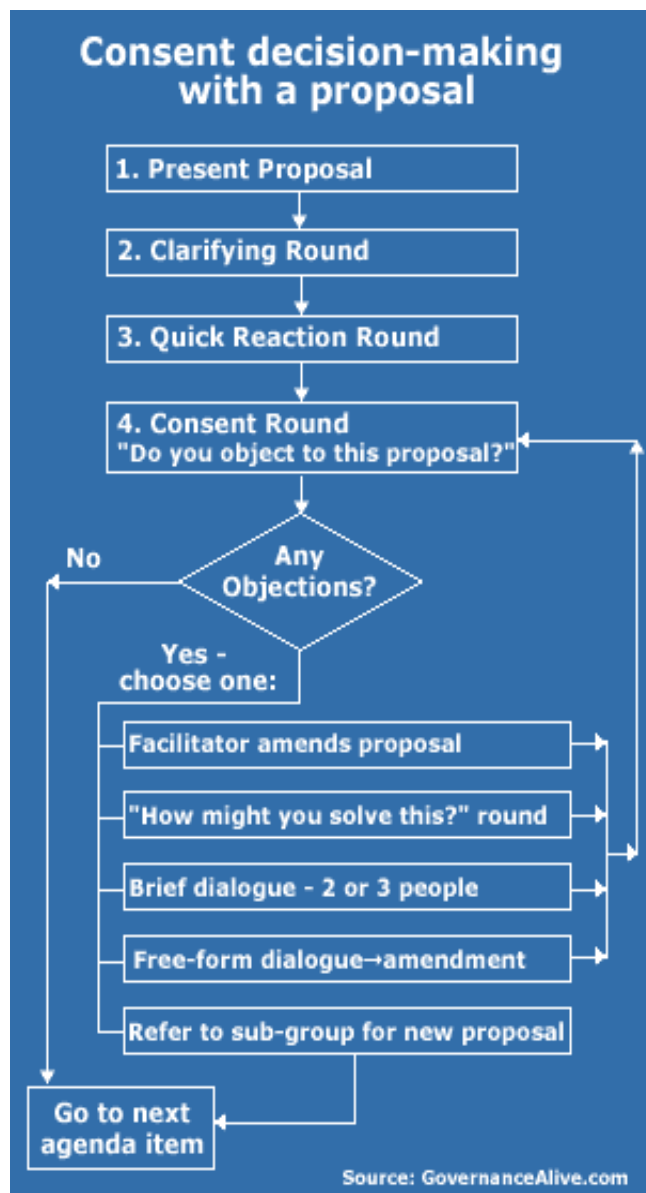
Governance Meeting Checklist: how we'll work together

Address any tensions to uncover and clarify the roles and authority needed to get the work done. “Tensions” aren’t negative. They’re a sign that that we could work together more effectively, that something is getting in the way of the team moving towards its Aim such as roles clashing, something important not being handled that requires a new role, policies and procedures not being effective enough, etc. After employees bring their ideas for proposals, supervisors hold Governance Meetings unless the proposals are outside the Aim.

- ☐ Initial check-in for each person.
- ☐ Create agenda: what proposals are being presented today, and what new tensions need to be addressed (consider sending this out before the meeting).
- ☐ Ownership of accepted proposals.
- ☐ For any new tensions without a proposal, after some initial discussion, assign owner(s). Owners are one or more team members tasked with speaking to as many team members as possible after this meeting, integrating their ideas, doing whatever research is needed, and crafting an initial proposal for the next Governance meeting.
- ☐ For any proposals brought to this meeting, use the **Sociocracy Consent Process**.



SOCIOCRACY CONSENT PROCESS



This process is used in Governance meetings ("how we'll work together," including clarifying roles, policies, and accountabilities). It can also be chosen for sticky issues in Operational meetings where integrating the perspectives of all members is helpful and/or necessary.

Issues are often identified through "tensions" – something is getting in the way of the team moving toward its Aim such as roles clashing, something important not being handled that requires a new role, policies and procedures not effective enough, etc.

When a Governance issue is identified, after some initial discussion, one or more team members are generally tasked with speaking to as many team members as possible and integrating their perspectives, doing whatever research is needed, and crafting an initial proposal for the next Governance meeting.

At the next Governance meeting the Team Lead generally facilitates this process:

1. **Present Proposal.**
2. **Clarifying Round:** Clarifying questions to the Proposer, rather than other ideas, objections, or challenges.
3. **Quick Reaction Round:** Non-dialoguing, everyone has one turn. After this round the Proposer may make some modifications to the original proposal.
4. **Consent Round:** Key question: *Is this workable, for now?* Can we live with it, for now? Everyone must say either "no objection" or "I object because ____." This needs to be a

paramount objection: not just “I have a better idea” or “I don’t like it;” but rather, “This would cause clear harm to the organization or team, taking it off purpose and/or compromising one of its values, because...”

5. **If there is at least one objection:** There are several options listed before another Consent Round is attempted by the Facilitator. This includes (a) have a short open dialogue and see if the objections can be quickly resolved; (b) the Facilitator modifying the proposal based on what was shared; (c) asking the Proposer(s) to have more dialogue and/or do more research and then bring a new proposal to the next meeting. Option (c) is likely needed if after 2 or 3 Consent Rounds there are still objections.

The principles of **Dynamic Steering** are very helpful here. According to cybernetics—the science of steering and control—the highest quality outcome in the shortest time is produced by navigating and correcting one’s course as you move toward your goal. These are rapid cycles of taking action, gathering data/feedback, reflecting, and planning next steps.

Sociocracy was founded by the Dutch engineer Gerald Endenberg.

Dynamic Steering Principles

- Probe, sense and respond (the best approach for Complex systems – see Cynefin model)
- Focus on present tensions
- Get real data, steer continuously
- The goal is a workable decision, not the “best” decision (the 80% solution)
- Any issue can be revisited at any time
- Delay all decisions to the last responsible moment
- Short cycles, incremental steps – taking action, gathering data/feedback, reflecting, and planning next steps

Adapted from Agile Software & Sociocracy

Some important points

- 1) By effectively and non-tediously integrating diverse perspectives, the consent process allows teams to make decisions at a higher developmental level than any of the individual members.
- 2) It’s important for the team or organization to have an overall aim, as well as a clear set of values and principles within which it functions.
- 3) Consent is *not* about consensus. Everyone does not have to agree. Everyone only has to agree that it’s a workable next step, for now. An “objection” has to have a clear reason why the proposed solution would cause harm to the organization, team, or individual.
- 4) It’s easier to gain “consent” because any decision can be revisited at any time if something appears to not be working and there’s reason to have a new “steering point.”
- 5) In “consent” everyone has a voice. The meeting is not dominated by the loudest or strongest opinions.



FIVE PATHS TO RESOLVE ANY TENSION

A “tension” is a perceived gap between Current Reality and Desired Outcome, where “desired outcome” is based on organizational or team purpose, goals, values, vision, etc. Robert Fritz described this as healthy or creative tension, the kind that generates action toward a Desired Future.

Four Paths to Resolve Any Organizational or Team Tension

| What’s Needed | Where to Take It |
|--|---|
| Do Something We need to coordinate around a project or task and identify next actions | Tactical Meeting |
| Work Differently We need to clarify or change our sub-culture or how we work together—define roles, accountabilities and/or policies—who does what, how, with what authority and limits | Governance Meeting |
| Change Our Course We need to clarify or change the strategic direction we’re taking toward our desired outcomes—select new goals, or select a different path toward achieving those goals | Strategy Meeting |
| Change Our Macro-culture What’s needed is beyond the scope of our authority or span of control—we need to influence the broader context that determines our goals, resources, overall purpose or desired outcome, etc. | Higher Level in the Organization |

One Other Path

At times the tension we’re experiencing is a personal one, rather than one about our team or organization (although we may tell ourselves a different “story”!) Something is occurring that pushes against one of our patterns, has us be uncomfortable, puts us in unfamiliar territory, asks something of us that’s difficult. Having this level of self-awareness is vital for effective leaders, because the solution is not to try to shift something outside of ourselves, but rather to work on what is going on inside of us. Without this awareness, we create unnecessary friction.

v.1.0 Adapted from the work of Holacracy™



FROM AIM TO ACTION

Organizational or Team Aim/Purpose—what is our work?

→ Given by the greater organizational context

Strategic Direction to meet that aim/purpose

→ Created and adjusted in Strategy Meetings

Roles, Accountabilities, Authorities, Policies to support that strategic direction—how will we work together?

→ Structured in Governance Meetings

Projects

→ Identified and managed in Tactical Meetings

Actions—getting the work done

→ Dynamically surfaced and executed, each role responsible for prioritizing and carrying out actions in support of overall aim/purpose

Drawn from Holacracy™



DEE HOCK ON HIRING

“Hire and promote first on the basis of integrity; second, motivation; third, capacity; fourth, understanding; fifth, knowledge; and last and least, experience. Without integrity, motivation is dangerous; without motivation, capacity is impotent; without capacity, understanding is limited; without understanding, knowledge is meaningless; without knowledge, experience is blind. Experience is easy to provide and quickly put to good use by people with all the other qualities.”

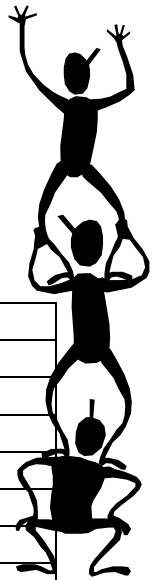
Dee Hock (founder and former CEO of Visa)



HIGH PERFORMING TEAMS - INSIGHTS & REFLECTION



COACHING CHECKLIST - FORWARD



| | |
|--|--|
| PREPARATION | |
| • Have I set expectations for how people present issues/concerns? | |
| • Have I set and kept (or rescheduled) regular times to meet? | |
| MY GENERAL ATTITUDE/MINDSET: | |
| • Am I curious and open, present and available (not multi-tasking)? (EQ) | |
| • To what extent am I genuinely caring and seeing the positive (EQ)? | |
| • To what extent am I willing to see value in perspectives other than mine? (IQ) | |
| • How much have I been exploring my own blind spots, filters, beliefs, assumptions? (IQ) | |
| ATTITUDE TOWARD THIS PERSON: | |
| • What are my assumptions, judgments, beliefs, stories about this person? ("box") (IQ) | |
| • How open am I to other perspectives, to suspending my judgments? (EQ) | |
| • What has been the quality of resonance, in both directions? (EQ) | |
| • Anything in the way of me being open, present, caring, and seeing the positive? (EQ) | |
| ATTITUDE TOWARD THIS SITUATION (if I know it ahead of time): | |
| • What is most important to me? Are there any "river banks"? Have I set clear expectations, if appropriate? | |
| • What is the desired outcome? (EQ) | |
| • What perceptions, assumptions, judgments, beliefs, stories are impacting the issue/situation? (IQ) | |
| • Are facts and stories being separated? (IQ) | |
| • Pond Thinking™: what contextual factors may be affecting the situation? (CQ) | |
| • Resonance factors and their impact? (EQ) | |
| • My willingness to take healthy individual (IQ) and collective (CQ) ownership, including clarity of expectations? | |
| SELF-AWARENESS | |
| • How will I put myself in an optimally "resonant" state? (EQ) | |
| • Polarities: Any I might over-privilege? (IQ) If so, how will I manage that? | |
| ○ Inquiry & Advocacy (asking & telling) | |
| ○ Reflection & Action | |
| ○ Our Needs & Your Needs | |
| ○ Individual Accountability & Contextual/Pond Factors | |
| ○ Carefulness & Honesty | |
| ○ Others? | |
| • Coaching skills: what are my strengths and challenges in developing effective coaching relationships with my direct reports? | |

V2.0



COACHING CHECKLIST - BACK

As appropriate, respond yes/no, or on a scale of 1 to 10

| | |
|--|--|
| PREPARATION | |
| <ul style="list-style-type: none"> Had set expectations for how people present issues/concerns | |
| ATTITUDE | |
| <ul style="list-style-type: none"> Stayed curious and open; present and available (not multitasking) (EQ) Was genuinely caring and seeing the positive (EQ) Was willing to see value in perspectives other than mine (IQ) Was willing to take healthy individual (IQ) and collective (CQ) ownership, including about clarity of expectations | |
| COACHING CONVERSATION | |
| Connection: the foundation | |
| <ul style="list-style-type: none"> Established and maintained rapport, resonance (EQ) | |
| Focus: the "container" | |
| <ul style="list-style-type: none"> Clarified the situation Clarified what was most important for both of us (values, principles, etc.) Clarified current reality and desired outcome | |
| Awareness: exploring the situation | |
| <ul style="list-style-type: none"> Set "river banks" (expectations & what is non-negotiable) if appropriate Helped to separate facts and story Used Pond Thinking™ (contextual factors affecting the situation) Explored the impact of resonance Facilitated other's self-awareness (strengths, challenges, patterns, relevant polarities, etc.)? Facilitated stakeholder perspective taking & seeking | |
| Clarity: Generated new insights and wisdom | |
| Action: Came to clear next steps, with a dynamic steering mindset | |
| Ecology: Had a reality check; who else needs to be involved; resources needed; etc. | |
| Summary: Ended with clarity on what was learned and who would do what by when | |
| Reflection: Explored how did we do | |
| MY DEVELOPMENT AS A COACH | |
| <ul style="list-style-type: none"> What were my strengths and challenges? How well did I manage any of my typically out-of-balance polarities? Are there any next actions for further strengthening my coaching skills? | |

V2.0



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COACHING SUMMARY

| | |
|--|--|
| PREPARATION | |
| • Set expectations for how people present issues/concerns | |
| • Set regular times to meet with my direct reports | |
| • Set regular "open" times when I'm available (or easily accessible) | |
| • Reschedule when I'm unable to keep a scheduled time | |
| • Minimize times when I need to reschedule | |
| ATTITUDE (in general) | |
| • Curious and open; present and available (not multitasking) (EQ) | |
| • Genuinely caring and seeing the positive (EQ) | |
| • Willingness to see value in perspectives other than mine (IQ) | |
| • Ongoing exploration of my own blind spots, filters, beliefs, assumptions, etc. (IQ) | |
| • Willingness to take healthy individual (IQ) and collective (CQ) ownership, including clarity of expectations and regular application of Pond Thinking™ (contextual factors affecting situations) | |
| COACHING CONVERSATION (specifically with an individual) | |
| Connection: the foundation: build rapport, resonance (EQ) (including all Attitude factors) | |
| Focus: the "container" | |
| • What is the situation? | |
| • What's most important to each of you with this issue/concern (values, principles, etc.)? | |
| • Current reality and desired outcome? | |
| Awareness: exploring the situation | |
| • As leader, are there any "river banks" (specific and/or non-negotiables & expectations)? | |
| • Exploration of facts and story? | |
| • Pond Thinking™ (contextual factors affecting the situation)? | |
| • Resonance? | |
| • Self-awareness (strengths, challenges, patterns, relevant polarities, etc.)? | |
| • Stakeholder perspective taking & seeking? | |
| Clarity: Emergence of new insights and wisdom | |
| Action: next steps, with a dynamic steering mindset | |
| Ecology: reality check; who else needs to be involved; resources needed; etc. | |
| Summary: what did we come to? | |
| Reflection: how did we do? | |
| CORE COACHING SKILLS | |
| • Deep listening | |
| • Facilitating insight | |
| • Sharing perspectives (including advising and guiding, feedback & feed-forward) | |
| • Making requests | |
| • Facilitating a positive and safe context, including acknowledging and celebrating | |
| • Neutral language | |



CLEAR IMPACT COACHING MODEL

For a Leader integrating Coaching Skills for Greater Effectiveness

Initial Comments

Role of a Leader Integrating Coaching Skills

A leader integrating coaching skills is very different from a “pure” coach. A “pure” coach allows his or her client to set the agenda. Especially when using coaching skills with a direct report, a leader typically brings an agenda (getting done the work of the organization). This is an important distinction. On the other hand, when a leader is integrating coaching skills with someone outside his or her immediate organization, or when having career development discussions, there may be very little agenda on the part of the leader other than to serve. In addition, while a “pure” coach often has sessions of 30 to 60 minutes, the average “coaching session” for an organizational leader is five minutes. Can you think of other differences?

Three Parts of the Coaching Model

1. **Attitude** – What internal states lead to the most effective outcomes?
2. **Process** - What are the “steps” of a coaching conversation?
3. **Skills** – What are the skills of a coaching conversation?

Language

When we use the word “leader” we’re referring to a leader/manager integrating coaching skills for greater effectiveness. These skills will often be used with direct reports, but can be equally used with peers, those at higher levels in the organization, and other stakeholders (citizens, suppliers, etc.). We’ll just say “the other” to refer to the person with whom you’re participating in a coaching conversation.

Sometimes two people can be using coaching skills with each other. Also, these skills are equally useful in group settings, and in fact are ideal tools for leading high performance meetings.

The Inner Attitude of an Effective Leader Integrating Coaching Skills

Without the right inner attitude, a leader can use an effective coaching conversation process, and integrate seemingly effective skills, and yet be very ineffective in the actual coaching dialogue.. Some of the essential inner attitudes are:

1. Deep curiosity and openness, rather than coming with a closed perspective or an attitude of, "I know the right answer already."
2. Willingness to be present and available, including not multitasking (not checking email, etc.) Giving full attention to the dialogue.
3. Genuinely caring about the person being dialogued with, wanting what's best for him or her, rather than just seeing that person as an object to meet your needs or that of your team. This relates to a polarity, Our Needs & Your Needs.
4. Actively engaging in perspective taking and perspective seeking, with a willingness to look from the position of the other, and not to assume he or she has the same wants, needs, etc. as you.
5. Sincere interest in uncovering your own inner attitudes, beliefs, and assumptions that reduce your ability to work effectively with others.
6. Willingness to take healthy ownership within the situation, to see how you may be contributing to any difficulties, either through your individual actions or through how you have set up your organization. This is a powerful antidote to any tendency to blame others.

What would you add to this list?

These are also attitudes you are trying to cultivate in those you coach. Qualities that make someone "coachable" or open to positive change include being open, curious, having a sincere interest in increasing self-awareness, taking healthy ownership, etc.

The Coaching Conversation Process

Important Note: You won't always go through these stages of a coaching conversation in order. It's not necessarily a linear or step-by-step process. Depending on the situation, and the amount of time, you'll use whatever is relevant. Don't feel like you're a slave to a model! At the same time, even in a short dialogue, addressing the first two steps (Connection and Focus) is critical, as well as making sure there's shared understanding at the end.

1) Connection. Connection is the foundation of a good coaching conversation. Everything else builds on this, and depends on this. This is about building rapport and openness.

- a) You can't connect with another human being until you're connected with yourself. Are you present? Are you available? How's your inner "resonance"? You're not fully present or available if you're (a) multi-tasking; (b) checking (or answering!) email; (c) looking at

your Blackberry, cell phone, etc.; (d) actually thinking about something else. When you're not present and available you've lost full access to your inner wisdom as well as your heart. You also lose access to your highest level of contextual (Pond) thinking and developmental leadership skills and instead operate from habitual patterns. ***Remember that your ability to lead and coach effectively depends on your accessing the highest level of your development in the areas of cognitive, emotional, and contextual intelligence.***

- b) Once connected to yourself, you can connect with the other inwardly first. We can see others as objects or as people. When we see them as objects we may see them in the way a chess player sees a chess piece – something we need to move around the board in order to win the game. Or we may see them through the eyes of annoyance, anger, frustration, or need. Do you know how you feel when you're seen that way? That's how they feel, and they know it, no matter how nice your language is, and they resent it. It breaks connection. When we see them as people we recognize them as having inherent worth, and we care about their perspective as well. Yes, there's still work to be done, and there may even be a hard message to deliver, but that doesn't stop us from valuing them.
- This shift from seeing them as object to seeing them as people is the movement from having a closed heart to having an open heart, and it may only take a fraction of a second.
- c) Now, how do you demonstrate your connection? ***If you use behaviors to demonstrate it, without first actually "living" that connection internally, it will be superficial and hollow, and on some level they'll know it..*** But once genuinely connected, it's good to demonstrate that in some way. Turn toward them. Make eye contact. Ask how they are doing in a way that is not just empty words. Offer a cup of something. Turn off your computer screen. Mute or turn off your phone, pager, etc. In your own way, let them know this is a human-to-human interaction (regardless of any differences), and that you are "in it together."

2) **Focus.** The second step is to focus the coaching conversation. Focus is the *container* for the coaching conversation.

- a) ***What's the situation?*** Why are we talking to each other? What's the ***tension***? Remember that ***tension*** arises when there's a ***gap*** between how things are and how we'd like them to be.
- Sometimes the conversation starts out with a tension that you communicate as leader ("I haven't yet received the data you'd committed to delivering, and it's holding up the project.")
 - Sometimes the tension originates from the other ("I'm having a major problem with a customer, and would like your help in strategizing what to do.")

- Sometimes it's a jointly owned tension ("We agreed to sit down for a few minutes and decide who to place on the new project.")
- b) ***What's most important?*** This is a crucial question. Depending on the situation, you may each clarify what is most important, or just the person you're coaching will answer this question. "Most important factors" can include values and principles that can guide taking effective action. It can also include factors such as ensuring that, in dealing with the current situation, employee engagement and/or overall team performance are enhanced. Taking the time to identify "most important factors" often has a powerful impact on the resulting discussion. It's a question to always ask!
- c) ***What is current reality and the desired outcome?***
- The second part of ***intentional change*** (see that handout) is identifying the ***desired outcome***. This could be a short-term desired outcome ("I'd like to speak with you for a few minutes to get some ideas about how to move forward with that client") or a long-term goal ("We'll be having some ongoing discussions around career development.") We often start "solving problems" without clear definition of the desired outcome. Ideally the desired outcome is motivating, positive, and even inspiring.
 - The first part of ***intentional change*** is being clear about ***current reality***. What's happening right now? What's happened since the last time we spoke?
 - Keep it simple at this point. You should be able to define the "gap" in one sentence. As you explore the topic, particularly using the three kinds of intelligence (cognitive, emotional, and contextual) it often turns out that the identified gap isn't the "real" gap—it is a symptom and it would be much more powerful to address the root cause.
- d) How much time do we have for this discussion? Remember that the average "coaching conversation" is 3-5 minutes, although some conversations need considerably longer. Some coaching conversations are planned ("Let's schedule a time this week to discuss your career development") while others arise spontaneously.

3) Awareness. Working together to understand the current situation. This is divergent thinking, like unraveling a knot and examining it from multiple perspectives. The exploration is open and curious. You may think you already know the right answers, but can you suspend that assumption?

- a) Use of all three kinds of intelligence are crucial here! Is the "problem" really the problem? What might this have to do with the context/culture of your organization or team? What might it have to do with you as leader? Are you seeing things only through your own eyes, or also through the other's? Are you examining together multiple factors that may impact the current situation, or be impacted by it? If you're able to do these things, you can help the person you're coaching to do so as well!

- b) ***As leader, is there anything you need to define as non-negotiable ("river banks")?*** If so, it's important to clarify this early in the dialogue.
- c) ***Separating fact and story.*** This is such an important skill.
- Two people viewing the same situation will start out collecting different data, and then process this data differently, and therefore come to different conclusions. These differences are based on preference, experience, training, stress levels, etc.
 - Yet they will often see their conclusions as "facts" rather than stories they have told themselves based on those so-called facts. Those stories may be based on a great deal of experience, but they are still different from the facts. What other stories or conclusions could be told about those same facts?
 - You know that you're dealing with "facts" if no one involved in the situation could argue with them. Clarifying "facts" in this way takes practice!
 - Separating facts from stories is one of the most powerful ways to generate new perspectives. It's like a lubricant that allows any mental "stuckness" to loosen.
- d) ***Pond Thinking™. What contextual factors might be impacting the situation?***
- This could be on the interpersonal level of how people are treating each other, and their stress levels, in which case it also relates to ***emotional resonance***.
 - This can also be on the level of team/organizational factors such as clarity of roles and goals, availability of resources, etc.
 - Finally it can be about contexts in which this team/organization functions, including the greater organization (such as amount of support and resources given), unions (such as the WRA), Council decisions, the greater economy, etc.
- e) ***Self-awareness.*** How do individual strengths, challenges, filters, typical blind spots, etc. impact the situation? And are there any relevant ***polarities*** to manage? (See other sections of this training for more detail about polarities). Increasing self-awareness is the engine for being able to have more effective relationships and driving sustainable results.
- f) ***Stakeholder perspective taking and seeking.***
- Who are the important stakeholders?
 - It takes practice to take perspectives (putting oneself "in the shoes" of someone else). What assumptions are being made about others? If those assumptions are negative, why might a reasonable person be acting in that way?
 - Whose perspectives are important to gather to better address this situation?
- g) Deep Listening, Facilitating Insight, and Sharing Perspective skills, as defined below, are all used here.

4) **Clarity.** The awareness generated is now moved into new insights and wisdom. This is convergent thinking, or bringing things together. The new understandings are generally best if they can be stated simply and clearly.

Often this clarity will be on multiple levels, including contextual, individual and collective.

The principles of *healthy ownership* come into play. In understanding the current situation:

- What does it have to do with each of us individually?
- What does it have to do with our context or Pond (at the organizational and team level)?
- Leaders who use coaching skills effectively live in a *collaborative, co-creative world*. They know that they play a role in whatever is happening around them, and that their taking healthy ownership doesn't mean that others don't have healthy ownership as well. What does happen, however, when we live in a collaborative, co-creative world, is that "blame" and "victim" become increasingly off-limits.

5) **Action.** From this new awareness and clarity, what are the next steps? What will happen? Who will take what steps? What actions do you own as leader? What is the time frame?

a) The principles of *Dynamic Steering* are very useful here. We will introduce them in the Leadership Effectiveness Program.

- Focus on the next action to take, in light of the overall aim
- Experiment and adapt
- Focus on present tensions
- Get real data, steer continuously
- The goal is a workable decision, not the "best" decision
- Any issue can be revisited at any time
- Delay all decisions to the last responsible moment
- Short cycles, incremental steps

b) It's important for each person who owns an action step to state what that is (rather than, for example, you as leader stating what each person has agreed to do). This adds to the sense of commitment, as well as ensuring that there's shared understanding.

6) **Ecology.** Before finalizing the action steps, it's important to see the entire situation in context.

a) All three kinds of intelligence again become crucial here. Who else is affected by the current situation, and by whatever actions we've proposed? Who is in a position to assist or block effective action? What resources might be needed? What could get in

the way, contextually or otherwise? Are there any potential unintended negative consequences?

b) Examining the **ecology** of the situation often leads to refinement of the action plan.

7) *Summary.* Each of you, in your own words, summarizes the awareness and clarity gained, as well as the action plan. This may lead to the need for further clarification.

8) *Reflection.* How did we do? What could have made this coaching session even more productive? You might both want to ask a question like, "Is there anything I could have done to have this conversation be more useful or productive?"

The Core Coaching Skills

1) *The foundational skills of this program from the three kinds of intelligence: Cognitive or IQ (including the decision-making process, perspective taking & seeking, leadership versatility and polarity management), Emotional or EQ (including resonance and the Intentional Change process), and Contextual or CQ (including Pond Thinking™ and a Living Systems perspective).*

2) *Dynamic Steering (defined above)*

3) *Ongoing self-reflection and cultivation of self-awareness (including Immunity to Change)*

4) *Ongoing assessment of organizational and team culture factors*

5) *Deep Listening.* Listening is a skill we will never master, but can hopefully continue to improve over time.

a) The more present you are, the more your heart is open, the more you're seeing the other as a valued human being, the better you'll be able to listen.

b) Another factor is ongoing development of the kinds of intelligence. When the other is talking, are you just focused on him or her, or are you also "listening" for what might be being revealed about the context or Pond? Can you hear polarities that are being over-privileged? Are you aware of signs of the brain states, such as resonance or dissonance, peak performance or frazzle? Can you listen on multiple levels at once? Can you be aware of your perspective and the other's perspective? Can you also reflect on the perspective of other stakeholders? It takes practice!

c) A third factor is your own ongoing self-awareness. The more you understand your own filters, beliefs, and blind spots, the better you'll be able to listen to someone else.

d) Listen for what is being said, and for what's not being said. Where appropriate inquire (perspective seek) whether or not you are hearing accurately.

- e) Regularly feed back what you think you are hearing. If you are accurate the other will appreciate your listening. If not accurate, this will help reestablish alignment toward your goals.
- f) There are many things to listen for including:

| | | |
|---------------------|--|-------------------------------|
| Current reality | What's really important | How they work best |
| Desired outcomes | What they care about | Clarity about roles |
| Contextual factors | What's motivating | Clarity about expectations |
| Gaps | What's engaging | Clarity about processes |
| Strengths | What touches their heart | How they work best |
| Challenges | What they enjoy | Worldview |
| Concerns | What they feel best about doing | Creative/reactive orientation |
| Passions | What makes them feel good about themselves | What's not being said |
| Skills, Abilities | What excites them | Signs of stress, worry, fears |
| Developmental areas | What brings out the best in them | Attitude toward self |
| Values | How they like to be managed | Stories being told |
| Principles | What helps them be successful | Themes in the stories |
| Beliefs | | |
| Assumptions | | |

6) *Facilitating Insight.* Generally through the asking of skillful questions, shared wisdom is generated.

- a) One level of questioning is about the facts, things that are generally observable. Who did what and when? What has been accomplished thus far? Make sure you're asking questions guided by contextual thinking, or what's taking place in the context that could be impacting the situation.
- b) Another level of questioning explores governing variables. ***Governing variables*** are the beliefs, assumptions, values, principles, filters, etc. that guide our behavior. One question might be "What assumptions are you making?" Another is, "What values would you like to drive how you handle this situation?" A powerful question is, "What would you like to be able to say about yourself regarding how you handled this?"
- c) ***Perspective-taking questions*** are very important. For example, if someone is talking about how annoyed they are by someone else's actions, it's powerful to ask questions like, "Do you think s/he was deliberately trying to annoy you?" "Can you imagine why a reasonable human being may have acted that way?" "How do you think the situation looks from his/her eyes?" "What do you know about the context that might make this reasonable behavior?"
- d) ***Perspective-seeking questions*** invite the other to check out assumptions about others.

- 7) **Sharing Perspectives.** Leaders integrating coaching skills don't just ask questions. They also share their own perspectives and wisdom. They find a balance of asking and telling based on the current situation, and with awareness of the dual goals of handling the current situation and assisting the other in becoming more effective in the future.
- a) Sharing ideas about how a situation might be handled is different from knowing that this is the right approach. Can you share ideas and still allow the other to digest what's been said and determine whether this, from his or her perspective, is the best approach?
 - b) Corrective feedback is always about a person's behavior ("you consistently come late to meetings....."), not about who they are ("you are selfish and unmotivated."). See our handout on Effective Feedback.
 - c) Feed-forward (see that article) is used whenever possible.
- 8) **Making Requests.** If dialoguing with a direct report, you are positioned to make explicit requests or even to demand certain behavior. Sometimes you provide clear parameters ("river banks" or clear expectations) and ask the other to come back to you with an action plan based on those parameters.
- 9) **Facilitating a Positive and Safe context, including Acknowledging and Celebrating.** There's a very large body of research suggesting that people are able to bring out the best of their abilities in a **resonant** context where they feel valued and accepted, and where people are encouraged to be collaborative and respectful. The opposite is true in a context of fear, mistrust, unhealthy competition, etc. When feeling constricted by tension or fear our level of development can drop two or more levels!
- a) Acknowledge, celebrate, or endorse positive intention, behavior, and results
 - b) Create a context of appreciation, engagement, being valued and positive energy
 - c) Focus on specific behavior, as well as personal qualities – what the person did, and what positive attribute those actions reflect to you
 - d) Acknowledge and celebrate along the way, not just at the end!
 - e) PNR: positive/negative ratio of comments: Barbara Frederickson & Marcel Losada found that, in work teams, those with a PNR greater than 3:1 were significantly more productive. This continued until it became more than 13:1, at which point a team is likely not focusing on reality!
 - f) The Gallup organization found that fewer than 1 in 3 workers can strongly agree that they have received praise from a supervisor in the last seven days. ***They also found that employees not adequately recognized at work are three times more likely to quit in the next year!***
 - g) ***For an even more striking research finding, reflect on this result:*** The Gallup organization examined the proportion of employees who are actively disengaged,

meaning that, rather than just not being engaged, they are miserable, angry, and actively fermenting negativity and discontent:

- For those being ignored by their direct supervisor, 40% were actively disengaged
- For those whose direct supervisor focused on their problems and what they were doing wrong, 20% were actively disengaged
- For those whose direct supervisor focused on their strengths, only 1% were actively disengaged.

10) Neutral Language is:

- Respectful
- Without “charge”
- Without judgment or blame or “making wrong”
- Centered on facts, not assumptions
- Curious and open
- Supportive of the other in staying open and curious

Corrective Just-in-Time Coaching (5 minutes) - SPARK

Stay open and curious, rather than blaming. Stay **Connected** and looking for anything that might need to be addressed in the **Context**.

S – Specify the Gap

In this case it's often the leader who directly identifies the gap:

"I noticed you didn't deliver that report on Monday morning" or

"You've been late for meetings several times recently."

- Notice that in all these statements the leader is **reporting on objective behavior observed** with a **neutral tone**.
- "I noticed you didn't deliver that report on Monday morning" is very different from "What the ____ happened to that report I was expecting?!!!"
- Have your statements be as **inarguable** as possible.
- After specifying the gap, always **pause** and give the other a chance to speak. Remember to stay neutral here (eyes relaxed, not glaring!)

P – Possibilities

The other may carry the conversation from here and facilitate further dialogue. If not, begin to explore what happened. The first step may be determining whether the other understood that this was an expectation (unless it's absolutely obvious).

After that, begin to explore the situation, again with a neutral tone:

- "What happened?"
- "What got in the way?"

It's **very important** here to be willing to take healthy ownership, both for your own actions and for the context of the other.

- Have you been clear about expectations?
- Have you been modeling what you're asking for?
- Do people often have the same troubling behaviors without any negative consequences?
- What are the norms of your organizational context/culture? What kind of behaviors are reinforced?
- Are there unreasonable demands that make it virtually impossible to successfully follow through on all of them?
- Have you given enough information regarding why this expectation is important?

- Have you assisted the other in having equal ownership for reaching desired outcomes?

Allow your questions to reflect this attitude of healthy ownership:

- “How could I have been clearer?”
- “How can I be of assistance in making sure this doesn’t happen again?”

A – Action Planning

Action planning often involves both of you. Given what you learned in **Possibilities**, what can you each do in the future that will lead to more effective results?

R – Reality Check – for example,

“What might get in the way of doing that?”

Be thinking about and listening for anything in the **context** that might be getting in the way.

K – Knowing What’s Next – for example,

“Please summarize what you understand and what actions you will take, and then I’ll do the same.

V2.0



CLEAR IMPACT COACH TRAINING WORKBOOK

1. Connection

2. Focus

3. Awareness

4. Clarity

5. Action

6. Ecology

7. Summary

8. Reflection

Clear Impact Coaching Training: Shifting to a Coach Approach

| | Traditional Approach | Coach Approach |
|----|-------------------------------------|--|
| 1 | Mostly telling | Balancing asking and telling |
| 2 | Top-down, command-and-control style | Collaborative, engaging style |
| 3 | Motivating employees | Assisting employees to be internally motivated |
| 4 | Focus on the employees' behavior | Focus on optimizing the context so employees can succeed |
| 5 | A we/they culture | An "us" culture, "in it together" with employees |
| 6 | Managing only for results | Creating sustainable results while engaging employees |
| 7 | Controlling employees' actions | Empowering employees to take effective actions |
| 8 | Focusing on what's not going well | Focusing on strengths as well as challenges |
| 9 | Being the problem-solver | Assisting employees in better solving their own problems (and preventing new ones) |
| 10 | Carefully guarding information | Intention of a free flow of information |
| 11 | Focus on short-term results | Focus on long-term capability development |
| 12 | What's urgent | What's important |
| 13 | Leaving heart at the door | Being a warm, caring leader |
| 14 | Employees are interchangeable parts | Employees are whole human beings |
| | | |

Clear Impact Coach Training: Questions for Different Levels of Development-in-Action

1. Conformer: how would you recognize this pattern of thinking and acting, and what questions could be helpful in opening new perspectives?
2. Expert: how would you recognize this pattern of thinking and acting, and what questions could be helpful in opening new perspectives?

3. Achiever: how would you recognize this pattern of thinking and acting, and what questions could be helpful in opening new perspectives?

4. Catalyst: how would you recognize this pattern of thinking and acting, and what questions could be helpful in opening new perspectives?

Clear Impact Coach Training: Neutral Language

- (1) I'm tired of having to remind you to follow that process!
- (2) You've come to me three times with the same issue. Do you think I'm deaf?!
- (3) We're having to re-do the work you thought you completed. This is the second time! Can't you do anything right?!
- (4) Hey, I'm trying to be helpful, but it doesn't seem like you're listening to a word I'm saying!
- (5) Can you just get to the point and stop giving me all those details?!
- (6) When are you going to stop making excuses and just take some action?!

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LEADERSHIP

effectiveness initiative

Coaching Workshop

V3.7

DR. JOEL M. ROTHIZER | President
DR. SANDRA L. HILL | CEO

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Definitions of Coaching

- Coaching is partnering with others in a thought-provoking and creative process that inspires them to maximize their personal and professional potential
 - International Coach Federation

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Definitions of Coaching

- Coaching is collaborative communication that engages and brings out the best in everyone in the organization
- Coaching is a *style of relating* that focuses on the development of human potential

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Leader integrating coaching skills

- How is this different from being a “pure” coach?



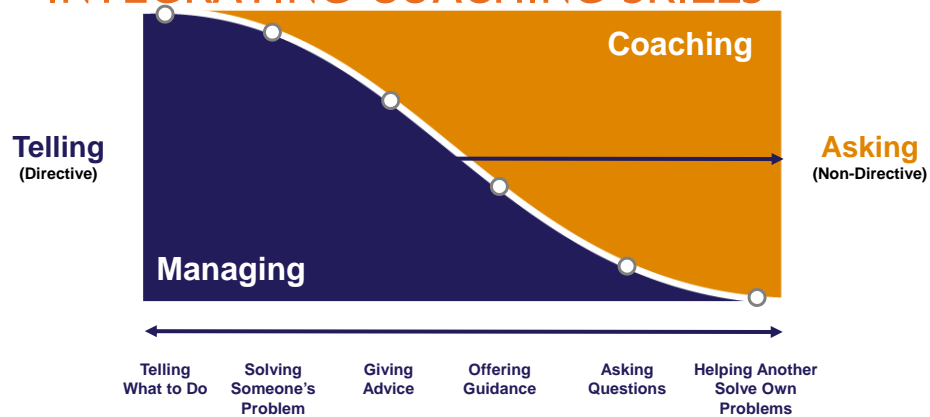
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Telling - Asking Continuum



TELLING - ASKING

INTEGRATING COACHING SKILLS



Calibrating Questions

How confident
are you that....

Is X enough?



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Guides for developing powerful questions

- You cannot optimally develop capacity without asking the kind of powerful questions that invite others to reflect, become more aware and stretch their thinking

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Powerful questions:

- Are respectful, neutral, and promote resonance
- Are short and open-ended (can't be easily answered with "yes" or "no")
- Are not multiple choice
- Are not advice with a question mark at the end!
- Most importantly, lead the person being coached to reflect and have new awareness & insight for creating more effective next steps

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Reflective questioning

- What questions are you asking yourself?
- What assumptions are you making?
- What do you believe that would have you act in that way?
- What are the facts, and what story are you telling yourself about those facts?
- What's another way of looking at this?
- What could be right about the other perspective?
- What are the most important factors?
- What's your desired outcome?
- Who are the stakeholders, and what do you see when you put yourself in their shoes? What matters to them and why?

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Powerful questions may help the person being coached to:

- Identify what is most important
- Clarify current reality & desired outcome (the “gap”)
- Identify if the situation is simple, complicated or complex
- Separate “fact” from “story”
- Take perspectives
- Decide to seek perspectives
- Examine the impact of resonance on the situation
- Examine contextual factors impacting the situation

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Powerful questions may help the person being coached to:

- Be more engaged and inspired
- Reflect on his or her own strengths and challenges
- Reflect on his or her assumptions, beliefs, values, mental models and judgments
- Identify relevant polarities, especially ones which are off-balance
- Identify the appropriate decision-making method
- Have a dynamic steering mindset
- Consider who needs to know and/or be involved, who will be impacted, and what needs to be communicated

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Change management questions

- William Bridges:
 - What is changing?
 - What will actually be different because of the change?
 - Who's going to lose what?
- Why might you not want to change?
- What's at risk?
- What benefits are you getting from things staying the way they are?
- What change in you would this outer change require?
- What would be uncomfortable, unfamiliar, or make you feel vulnerable?
- What would you have to give up or let go of?
- What's your biggest fear or worry?
- If you're successful, what would you then have to deal with?
- What's your concern about how others will react?

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Questions that shift brain chemistry

- Yes, this is a major challenge. What are some possibilities for moving forward?
- If you were your supervisor, what's the single most important advice you'd give yourself?
- I understand you were really frustrated by that interaction. Why might a reasonable person have acted that way?
- What is your responsibility in the situation?
- If I wasn't here, what would you do and why?
- I know a lot is out of your control. What is under your control, or at least under your influence?

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Questions that put people into hindbrain

- Is that the best you can do?!
- WHAT WERE YOU THINKING????
- What are you going to do? (making clear that there's a right answer and they had better come up with it!)
- How could that possibly have made sense to you?
- Why are you so slow?
- Why would someone at your level do that?!

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| | Intangible/Internal | Tangible/External |
|------------|--|--|
| Individual | MINDSET INFLUENCES Values, Beliefs, Assumptions, Developmental Level | BEHAVIORAL INFLUENCES Individual Actions |
| Collective | INTANGIBLE CULTURAL/CONTEXTUAL INFLUENCES Shared Values & Beliefs, Felt Qualities, What Gets Attention | TANGIBLE CULTURAL/CONTEXTUAL INFLUENCES Systems, Processes, Structures, etc. |

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| | Intangible/Internal | Tangible/External |
|------------|---|--|
| Individual | MINDSET INFLUENCES Values, Beliefs, Assumptions What's most important? What values can lead you? What's your desired outcome? Why do you think s/he did that? What story are you telling yourself? | BEHAVIORAL INFLUENCES Individual Actions What did you do? What did they do? How long has this been an issue? Who else is involved? |
| Collective | INTANGIBLE CULTURAL / CONTEXTUAL INFLUENCES Shared Values & Beliefs What are the organizational beliefs? Who gets promoted around here? What behaviors get rewarded? What seems not OK to say or do? What values drive behavior here? | TANGIBLE CULTURAL / CONTEXTUAL INFLUENCES Systems, Processes, Structures Do you have the resources needed? How is your work space organized? What's the process for that? Whose approval is needed? How's your workload? |

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Effective Feedback: CBIR Model

- Context
- Behavior
- Implications/Impact
- Responsibility
 - What might this result have to do with me?
 - What might this result have to do with us/context?

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Feedback: Common Mistakes - The feedback.....

| | |
|-------------------------|---|
| Is blaming | Blames others for our feelings |
| Goes on too long | Focuses on something that can't be changed |
| Is demanding | Is followed by making excuses |
| Is vague | Is coupled with un-requested advice |
| Is exaggerated | Is delivered with insensitive words |
| Is delivered indirectly | If (-) is about character instead of behavior |
| Is too delayed | Is judgmental instead of descriptive |
| | Is delivered through inappropriate humor |
| | Is offered in a "sandwich" |
| | Isn't about our direct experience |
| | Analyzes the motives behind behavior |

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Four-Step Feedback:

Healthy individual & collective ownership

first set the context for the discussion

1. Leader to employee about leader:
 - *"Here is how I think I/we can assist you to perform even better"*
2. Employee to leader about leader:
 - *"Here are some ideas of what I need from you to deliver improved results."*
3. Employee to leader about employee:
 - *"Here are some ideas I have about what I should do differently"*
4. Leader to employee about employee:
 - *"Here's how I think you could improve your performance"*

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Speak the Truth:

Seven steps to radical truth with compassion

1. What do you want *for* them?
2. What do you want for you?
3. What are your opinions, judgments and concerns about this situation? [story]
4. How are you feeling about having the conversation with this person?
5. What are they (the other party) thinking, feeling and seeing about this situation/potential conversation?
6. How have you contributed to this situation?
7. How has this been helpful in moving forward? How will you start the dialogue?

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Speak the Truth:

Seven steps to radical truth with compassion

1. What do I want *for* them?
2. What do I want for me?
3. What are my opinions, judgments and concerns about this situation? [story]
4. How am I feeling about having the conversation with this person?
5. What are they (the other party) thinking, feeling and seeing about this situation/potential conversation?
6. How have I contributed to this situation?
7. Given that, how can I best start the dialogue?

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FIVE CONVERSATIONS

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Conversation #1: Setting the Stage

- When a change takes place in organizational goals, a new employee is hired, and/or there is a substantial change to an employee's current role
- Intro to organization & team, including culture, values, goals, and how employee's role will contribute to those goals
- Learning more about the employee, including how s/he likes to be managed, what's motivating and engaging, unique skills and experiences, etc.

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Conversation #2: Role clarity

- **Clarifying Performance Standards and Role PAAR (Power, Authority, Accountability, Responsibility)**
- Yearly and when roles or goals change, or when there is a new employee
- Two-way dialogue clarifying specific of employee's role including performance standards and PAAR
- Employee states understanding of the goals, desired results, and how s/he will deliver those results
- Employee is responsible for taking the initiative to re-negotiate goals and plans that will not be met

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Conversation #3: Career development

- At least once a year
- Leader seeks out information on long-term interests of employee: "How would you like to develop in your current role?" "What are your long-term interests here?" "What would you like to be doing one year from now?"
- Clarify strategic directions of the organization
- Look for opportunities to build more effectiveness in current role and/or prepare for a different role, and for optimizing engagement

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Conversation #4: Ongoing coaching

- Coaching for sustainable high performance
- At least quarterly and as needed
- Two-way discussion including teams and individuals taking responsibility for initiating and preparing a progress discussion
- Progress, need for assistance including resources, brainstorming possibilities and feedback
- How to be even more effective in the future
- How leader can be helpful (healthy individual and collective responsibility); clarify “river banks”
- Major focus on what’s gone right, celebrating successes and positive impact on organization

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Conversation #5: Intervening

- Intervening in crisis situations
- Saving employee from performance slippage or outright failure
- Leader problem solves, provides clarity, offers solutions or steps in and takes over
- Ensure that employee always learns from the experience

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Neutral Language

- Respectful
- Without “charge”
- Without judgment or blame or “making wrong”
- Centered on facts, not assumptions
- Curious and open
- Supports other in staying open and curious
- Non-leading
- One message at a time

Situational coaching

| | Low | Medium | High |
|------------|-----|--------|------|
| Confidence | | | |
| Competence | | | |
| Commitment | | | |

Some coaching questions

- What's the change you're wanting to make?
- Why is that change important to you?
- What's your desired outcome?
- What values or principles would you want to embody?
- What have you already considered?
- What have you already tried, and what was the result?
- What are your internal strengths and challenges in moving forward?
- What in your Pond is supporting this change, and what might be getting in the way?
- Whose perspectives are you taking and seeking—why and how?
- Are there people who could help you move forward?
- To whom would you want to communicate your plan?
- (Calibration): On a scale of 1 to 10, how confident are you of making progress in moving forward on this?

CLEAR IMPACT COACHING: ACTION LEARNING

1. Review the slides in the Coaching section, particularly on asking powerful questions.
2. When you meet with your cohort, discuss what it takes to make a question powerful.
3. Practice coaching each other on real issues, ideally in triads, 10 minutes for each coaching dialogue. If there's a triad, have a coach, a person being coached, and an observer, rotating until all have coached and been coached.
 - a. Don't push to "get somewhere" or feel that you have to come to a clear action plan. Instead, relax and enjoy the opportunity to explore asking powerful questions that generate reflection, awareness, and insight. If you're the coach, try to have at least 4 questions for every one statement.
 - b. If there is an observer, be prepared to give feedback to the coach using the **Effective Feedback** model in your binder. Context ("at this point in the coaching"), Behavior ("when you asked this question, or made this statement"), Impact ("here is the result I noticed").
 - c. After the 10 minutes, stop and debrief. Let go of the desire to talk about the issue that was discussed, even if this is hard! Instead, talk only about what kinds of questions were more effective than others, and why. First the observer, if there is one, provides feedback.
 - d. After everyone has coached, go back to the pages on powerful questions. To what extent did questions have this impact?
 - e. Record your insights and bring them with you to our next class.
4. For at least one coaching conversation during the month (not the practice one with your cohort), fill out **Coaching Checklist – Forward 2.0** before the coaching interaction, and **Coaching Checklist – Back 2.0** afterwards. Record the extent to which it was helpful.
5. **Optional:** Go to implicit.harvard.edu. This is a fascinating Harvard University website that allows us to measure aspects of our unconscious programming, biases that we may not even be aware of. Try 2 or 3 of the assessments, and be prepared to discuss what you learned.



V2.3

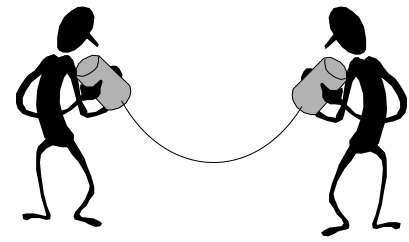


COACHING INSIGHTS & REFLECTION





COMMUNICATION

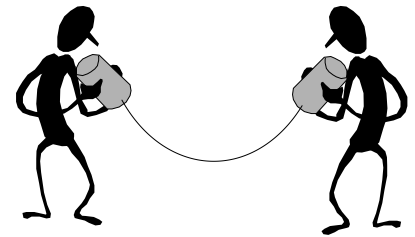


COMMUNICATION CHECKLIST - FORWARD

- Dealing with a particular situation

| | |
|--|--|
| What is the situation? | |
| What's most important to me (values, principles, other factors)? | |
| What is my desired outcome? (EQ) | |
| What do I see as the "gap" between desired outcome and current reality? (EQ) | |
| What are the facts, and what story am I telling myself? (IQ) | |
| Where do I see agreement between us? Where might we diverge? | |
| What do I see about contextual factors (Pond Thinking™) (CQ)? | |
| What do I know about myself (strengths, challenges, patterns, polarities I privilege, etc.) that might be important to keep in mind? | |
| What might be "right" and reasonable about the other's perspective? (IQ) | |
| What will help me remember to actively perspective take & perspective seek (IQ), knowing how important these are particularly when there are differences to work through? | |
| Am I starting with any biases, assumptions, etc. (IQ) that may get in the way of my staying curious, open, respectful, caring and positive? (EQ) or that would keep me from effectively taking the perspective of the other? | |
| What might get in the way of my taking healthy ownership, individually (IQ) and collectively (CQ)? | |
| How can I focus more on positive feed-forward than potentially negative feedback? (EQ) | |

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COMMUNICATION CHECKLIST - BACK

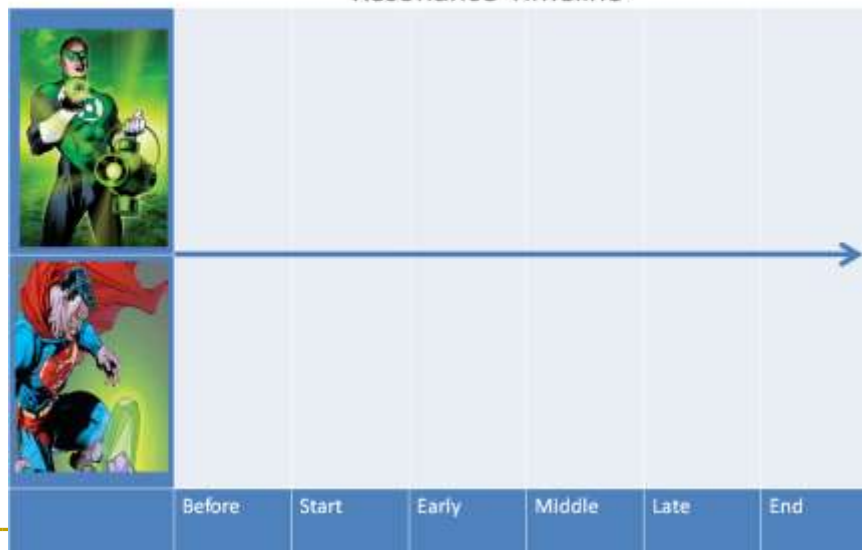
- Dealing with a particular situation

As appropriate, respond yes/no, or on a scale of 1 to 10

| | |
|---|--|
| Took time to build rapport, connection (EQ) | |
| Clarified how much time we had (if appropriate) | |
| Mutually clarified the situation and what was most important to each of us | |
| Mutually clarified the desired outcome, looking for areas of agreement (EQ) | |
| Clarified the "gap" between desired outcome and current reality (EQ) | |
| Explored the facts, and the stories we were telling ourselves (IQ) | |
| Considered relevant contextual factors (Pond Thinking™) (CQ) | |
| Shared and integrated our perspectives (actively using perspective taking & perspective seeking), and I sought first to understand (IQ, EQ) | |
| Interacted in a way that built resonance between us (EQ) | |
| I managed any of my potentially derailing patterns and polarities well (EQ) | |
| I stayed present and engaged, with an attitude of curiosity and openness (EQ) | |
| I focused more on positive feed-forward than on potentially negative feedback (EQ) | |
| I took healthy ownership, individually (EQ) and collectively (CQ) | |
| Mutually decided where we agree and disagree, and next steps | |
| Reflected on how we did (EQ) | |

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Resonance Timeline



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FEED-FORWARD

Adapted from *Leader to Leader*, Summer 2002

by **Marshall Goldsmith**

Providing feedback has long been considered to be an essential skill for leaders. As they strive to achieve the goals of the organization, employees need to know how they are doing. They need to know if their performance is in line with what their leaders expect. They need to learn what they have done well and what they need to change. Traditionally, this information has been communicated in the form of "downward feedback" from leaders to their employees. Just as employees need feedback from leaders, leaders can benefit from feedback from their employees. Employees can provide useful input on the effectiveness of procedures and processes and as well as input to managers on their leadership effectiveness. This "upward feedback" has become increasingly common with the advent of 360 degree multi-rater assessments.

But there is a fundamental problem with all types of feedback: it focuses on a past, on what has already occurred - not on the infinite variety of opportunities that can happen in the future. As such, feedback can be limited and static, as opposed to expansive and dynamic.

Over the past several years, I have observed more than ten thousand leaders as they participated in a fascinating experiential exercise. In the exercise, participants are each asked to play two roles. In one role, they are asked provide feedforward - that is, to give someone else suggestions for the future and help as much as they can. In the second role, they are asked to accept feedforward - that is, to listen to the suggestions for the future and learn as much as they can. The exercise typically lasts for 10-15 minutes, and the average participant has 6-7 dialogue sessions. In the exercise participants are asked to:

- Pick one behavior that they would like to change. Change in this behavior should make a significant, positive difference in their lives.
- Describe this behavior to randomly selected fellow participants. This is done in one-on-one dialogues. It can be done quite simply, such as, "I want to be a better listener."

- Ask for feedforward - for two suggestions for the future that might help them achieve a positive change in their selected behavior. If participants have worked together in the past, they are not allowed to give ANY feedback about the past. They are only allowed to give ideas for the future.
- Listen attentively to the suggestions and take notes. Participants are not allowed to comment on the suggestions in any way. They are not allowed to critique the suggestions or even to make positive judgmental statements, such as, "That's a good idea."
- Thank the other participants for their suggestions.
- Ask the other persons what they would like to change.
- Provide feedforward - two suggestions aimed at helping the other person change.
- Say, "You are welcome." when thanked for the suggestions. The entire process of both giving and receiving feedforward usually takes about two minutes.
- Find another participant and keep repeating the process until the exercise is stopped.

When the exercise is finished, I ask participants to provide one word that best describes their reaction to this experience. I ask them to complete the sentence, "This exercise was ...". The words provided are almost always extremely positive, such as "great", "energizing", "useful" or "helpful." The most common word mentioned is "fun!"

What is the last word that most of us think about when we receive feedback, coaching and developmental ideas? Fun!

Eleven Reasons to Try FeedForward

Participants are then asked why this exercise is seen as fun and helpful as opposed to painful, embarrassing or uncomfortable. Their answers provide a great explanation of why feedforward can often be more useful than feedback as a developmental tool.

1. We can change the future. We can't change the past. Feedforward helps people envision and focus on a positive future, not a failed past. Athletes are often trained using feedforward. Racecar drivers are taught to, "Look at the road ahead, not at the wall." Basketball players are taught to envision the ball going in the hoop and to imagine the perfect shot. By giving people ideas on how they can be even more successful, we can increase their chances of achieving this success in the future.

2. It can be more productive to help people be "right," than prove they were "wrong." Negative feedback often becomes an exercise in "let me prove you were wrong." This

tends to produce defensiveness on the part of the receiver and discomfort on the part of the sender. Even constructively delivered feedback is often seen as negative as it necessarily involves a discussion of mistakes, shortfalls, and problems. Feedforward, on the other hand, is almost always seen as positive because it focuses on solutions - not problems.

3. Feedforward is especially suited to successful people. Successful people like getting ideas that are aimed at helping them achieve their goals. They tend to resist negative judgment. We all tend to accept feedback that is consistent with the way we see ourselves. We also tend to reject or deny feedback that is inconsistent with the way we see ourselves. Successful people tend to have a very positive self-image. I have observed many successful executives respond to (and even enjoy) feedforward. I am not sure that these same people would have had such a positive reaction to feedback.

4. Feedforward can come from anyone who knows about the task. It does not require personal experience with the individual. One very common positive reaction to the previously described exercise is that participants are amazed by how much they can learn from people that they don't know! For example, if you want to be a better listener, almost any fellow leader can give you ideas on how you can improve. They don't have to know you. Feedback requires knowing about the person. Feedforward just requires having good ideas for achieving the task.

5. People do not take feedforward as personally as feedback. In theory, constructive feedback is supposed to "focus on the performance, not the person". In practice, almost all feedback is taken personally (no matter how it is delivered). Successful people's sense of identity is highly connected with their work. The more successful people are, the more this tends to be true. It is hard to give a dedicated professional feedback that is not taken personally. Feedforward cannot involve a personal critique, since it is discussing something that has not yet happened! Positive suggestions tend to be seen as objective advice - personal critiques are often viewed as personal attacks.

6. Feedback can reinforce personal stereotyping and negative self-fulfilling prophecies. Feedforward can reinforce the possibility of change. Feedback can reinforce the feeling of failure. How many of us have been "helped" by a spouse, significant other or friend, who seems to have a near-photographic memory of our previous "sins" that they share with us in order to point out the history of our shortcomings. Negative feedback can be used to reinforce the message, "this is just the way you are". Feedforward is based on the assumption that the receiver of suggestions can make positive changes in the future.

7. Face it! Most of us hate getting negative feedback, and we don't like to give it. I have reviewed summary 360 degree feedback reports for over 50 companies. The items, "provides developmental feedback in a timely manner" and "encourages and accepts constructive criticism" almost always score near the bottom on co-worker satisfaction with leaders. Traditional training does not seem to make a great deal of difference. If leaders got better at

providing feedback every time the performance appraisal forms were "improved", most should be perfect by now! Leaders are not very good at giving or receiving negative feedback. It is unlikely that this will change in the near future.

8. Feedforward can cover almost all of the same "material" as feedback. Imagine that you have just made a terrible presentation in front of the executive committee. Your manager is in the room. Rather than make you "relive" this humiliating experience, your manager might help you prepare for future presentations by giving you suggestions for the future. These suggestions can be very specific and still delivered in a positive way. In this way your manager can "cover the same points" without feeling embarrassed and without making you feel even more humiliated.

9. Feedforward tends to be much faster and more efficient than feedback. An excellent technique for giving ideas to successful people is to say, "Here are four ideas for the future. Please accept these in the positive spirit that they are given. If you can only use two of the ideas, you are still two ahead. Just ignore what doesn't make sense for you." With this approach almost no time gets wasted on judging the quality of the ideas or "proving that the ideas are wrong". This "debate" time is usually negative; it can take up a lot of time, and it is often not very productive. By eliminating judgment of the ideas, the process becomes much more positive for the sender, as well as the receiver. Successful people tend to have a high need for self-determination and will tend to accept ideas that they "buy" while rejecting ideas that feel "forced" upon them.

10. Feedforward can be a useful tool to apply with managers, peers and team members. Rightly or wrongly, feedback is associated with judgment. This can lead to very negative - or even career-limiting - unintended consequences when applied to managers or peers. Feedforward does not imply superiority of judgment. It is more focused on being a helpful "fellow traveler" than an "expert". As such it can be easier to hear from a person who is not in a position of power or authority. An excellent team building exercise is to have each team member ask, "How can I better help our team in the future?" and listen to feedforward from fellow team members (in one-on-one dialogues.)

11. People tend to listen more attentively to feedforward than feedback. One participant in the feedforward exercise noted, "I think that I listened more effectively in this exercise than I ever do at work!" When asked why, he responded, "Normally, when others are speaking, I am so busy composing a reply that will make sure that I sound smart - that I am not fully listening to what the other person is saying. In feedforward the only reply that I am allowed to make is 'thank you'. Since I don't have to worry about composing a clever reply - I can focus all of my energy on listening to the other person!"

In summary, the intent of this article is not to imply that leaders should never give feedback or that performance appraisals should be abandoned. The intent is to show how feedforward can often be preferable to feedback in day-to-day interactions. Aside from its effectiveness and efficiency, feedforward can make life a lot more enjoyable. When managers are asked, "How

did you feel the last time you received feedback?" their most common responses are very negative. When managers are asked how they felt after receiving feedforward, they reply that feedforward was not only useful, it was also fun!

Quality communication - between and among people at all levels and every department and division - is the glue that holds organizations together. By using feedforward - and by encouraging others to use it - leaders can dramatically improve the quality of communication in their organizations, ensuring that the right message is conveyed, and that those who receive it are receptive to its content. The result is a much more dynamic, much more open organization - one whose employees focus on the promise of the future rather than dwelling on the mistakes of the past.

Marshall's personal website, www.MarshallGoldsmithLibrary.com, contains hundreds of his articles and videos.



EFFECTIVE FEEDBACK

Premise

It's not necessary to build a case for the importance of effective feedback. It's a vital component of a high performance culture. Without effective feedback, how can people modify their behavior correctly? How can people know what they're doing well, and where their challenges are? Despite this, most managers and leaders rate themselves low on providing good, consistent feedback to the people they work with, and their people agree with that assessment. Why is that? What gets in the way? The purpose of **Effective Feedback** is to assist you in being able to consistently deliver respectful, clear, and effective feedback. Please also read the Marshall Goldsmith article on **Feed-Forward** for the importance of, whenever possible, focusing more on what someone can do better in the future, rather than on the past that's already occurred.

Common Mistakes in Giving Feedback

1. **The feedback is blaming.** When a leader/manager gives feedback to a direct report regarding some result (for example, a deadline being missed) it generally has something to do with both of them, as well as with the system in which they're working. The same is true of feedback from peer to peer on a team. Unless the giver of the feedback has first taken healthy individual and collective ownership for the result, the feedback can be perceived as blaming.
 - This means asking, with sincerity and curiosity, "What might this result have to do with me?" and "What might this result have to do with us?"
2. **The feedback is about character instead of behavior.** People are much more likely to be defensive if we are implying something about who they are as people, rather than how they're acting. Consider the difference between, "You were irresponsible" and "You didn't turn in your report as agreed." Also, focusing on behavior makes it much easier for people to see the possibility of change.
3. **The feedback is judgmental instead of descriptive.** No one likes being judged. Feedback cast in words that imply right/wrong or good/bad are almost certain to create defensiveness and resistance. When people are defensive they invest their energy in counterattacking or justifying, rather than in understanding. Consider the difference between, "You bullied him" and "When you spoke loudly to him, he withdrew from the conversation and there didn't seem to be a real resolution."

4. ***The feedback is vague.*** Much feedback that's given is generalized, such as "You did a good job in that presentation." While we like to hear positive comments, that's not sufficient to let us know where to focus our attention or what we should do more of. Compare that to "That presentation was done well. You were organized, you gave a clear and brief overview, discussed your points fully, and responded even to difficult questions in a calm and reasoned manner."
5. ***The feedback is exaggerated.*** As soon as we use words like "always" or "never" people get defensive and their minds are busy thinking of counter-examples.
6. ***The feedback is offered in a "sandwich."*** It is popular to suggest that feedback be given in a "sandwich," where we say one positive thing, then one negative thing, then another positive thing. There are several potential problems with this. For one, it can come across as gimmicky and insincere. Secondly, the receiver may not pay sufficient attention to the message we're trying to convey. The sandwich isn't needed if the feedback is delivered respectfully and descriptively and focuses on behavior. On the other hand, sometimes it's sincere and appropriate to say something like, "Normally you're very respectful and considerate to others. Today, though, I saw you speaking loudly and sharply to several people."
7. ***The feedback isn't about our direct experience.*** Sometimes we give feedback that's based on what others have told us. This tends to create defensiveness, because the receiver knows that we don't know the full picture of what happened, and also knows that we're talking behind his/her back.
8. ***The feedback analyzes the motives behind behavior.*** We can observe behavior. We can only guess at underlying motives, yet often we give feedback that implies that we know those underlying motives. We see facts, and then tell ourselves a story about these facts as if it's true. "I think the real reason you got upset is because of your problems at home." "You did that because you don't really care about quality." "I think you treated her that way because you have problems with women." "Your being late several times shows you don't care about the team." Respectful feedback focuses on behavior and doesn't attribute underlying motives to the behavior. On the other hand, it can ask open and curious questions about motives.
9. ***The feedback is delivered indirectly.*** Sometimes we phrase feedback as a question, "Do you think you can be on time for the next meeting?" This is often interpreted as sarcastic and thus disrespectful. It's better to be clear and direct.
10. ***The feedback is delivered through inappropriate humor.*** As with phrasing feedback as a question, this is another indirect approach. An example would be saying "Good afternoon!" to someone who comes late to a morning meeting. Besides being indirect, it can come across as sarcastic or demeaning. At times humor is a very effective tool. What's important here is perspective taking: How will it be received by the other?
11. ***The feedback goes on too long.*** Respectful feedback is best given simply and directly. It goes on too long when we start telling stories, offering advice, or trying to solve the problem for that person. It's generally better to give the person time to reflect on what's been said.

12. ***The feedback is demanding.*** People often need time to take in feedback, particularly if it touches something sensitive. It's often better to give people time to digest feedback, rather than demanding an immediate response. However, it may be necessary to set up another specific time to meet if resolution is important.
13. ***The feedback blames others for our feelings.*** We're responsible for our responses to another's behavior. We often say things like "You made me feel upset" or "You made me feel small." It may be true that you felt that way, but that has as much to say about you as it does about the other. We can give feedback about the behavior of others, and we can even share how we reacted emotionally, as long as we're taking responsibility for those thoughts and feelings.
14. ***The feedback focuses on something that can't be changed.*** The purpose of effective feedback is to help someone to shift their behavior to achieve better results. For example, what's the value of saying, "I don't see how someone with such a high voice can be seen as credible"?
15. ***The feedback is followed by making excuses for the other.*** Feeling uncomfortable with the feedback we've given, we offer an excuse. "Sure, you blew up at that co-worker, but we're all under a lot of stress."
16. ***The feedback is coupled with un-requested advice.*** We can ask if the receiver would like some suggestions, or wait and see if they ask, but don't offer your own good ideas without asking first. Asking is respectful. Clearly communicated expectations and requests are different from advice, and are often appropriate to share. However, there's an important distinction to be made between giving advice, and making a direct request as a leader based on clarity of expectations.
17. ***The feedback is delivered with insensitive words.*** If we use words that trigger emotional reactions, the receiver will have a much harder time hearing the message.
18. ***The feedback is too delayed.*** The longer we wait, the more awkward it is to deliver feedback. Some managers wait until the once or twice a year performance discussion to provide feedback, rather than giving it consistently throughout the year.

Delivering Effective Feedback: The CBIR Model

What follows is a simple model for delivering constructive, effective feedback that assists others in improving their organizational performance. In the **CBIR Model** we identify the **context** for the feedback, the **behavior** we observed, and the **implications** or **impact** we see. Where appropriate, we also take healthy individual and collective ownership or **responsibility** for what we observed.

Context

Feedback should be specific rather than fuzzy or vague. The first step is to identify the context in which we observed the behavior. "Yesterday, in the staff meeting, after John introduced his

proposal..." or "While you were talking to Joan today..." This also helps the receiver to recollect what you're talking about.

Behavior

It's an art to describe behavior in nonjudgmental terms. The first step is to make sure the feedback describes a person's actions ("You spoke loudly and banged your fist on the desk") rather than describing personal attributes ("You were raging"). Consider these contrasting examples:

| Describing Personal Attributes | Describing Actions |
|---|--|
| You were disrespectful during the meeting | When John presented his ideas, you rolled your eyes and said that it was a stupid idea |
| You seemed bored during the presentation | During the presentation you were doodling, talking to people around you, and looking out the window |
| You were really engaged in that meeting | During the meeting I saw you actively taking notes and asking insightful questions that engaged other people in the discussion |
| You're a very productive employee | Over the last couple of months you've been meeting or exceeding all of your goals, as well as helping out team members |

Notice that the last two examples are of effective positive feedback. Even when saying something positive, until we've identified behaviors the receiver may not know what we're referring to, so they don't know what they can do more of.

It takes practice to describe behavior effectively. For example, it means paying attention not only to verbal content (what people say), but also nonverbal cues (how they say it). There are two categories of nonverbal cues: Tone of voice and speaking manner (pitch, speed, volume, pauses, mannerisms), and body language (including facial expressions, eye movement, body posture & hand gestures).

We can send messages through our verbal content ("When questioned about your project, you said, 'That's ridiculous.'"), as well as through tone of voice and speaking manner ("When questioned about your project, you started speaking rapidly and loudly") or through body language ("When questioned about your project, you rolled your eyes and tightened your jaw").

Action: How do you practice describing behavior? Start noticing people at work, people in meetings. Notice the impressions you get ("he's really engaged," "she's not interested in this topic") and ask yourself what behaviors are feeding those perceptions. If someone is doing

something now, and you'd like to give them feedback in private later, try writing down what behaviors you're observing.

Implications/Impact

When giving feedback, there are different levels of implications or impact. Let's say that the context is "in the meeting yesterday" and the behavior is "when you raised your voice, interrupted several times, and banged your fist on the table." We can talk about our perceptions of:

- ◆ How the behavior impacted us ("I became defensive and stopped contributing").
- ◆ How the behavior impacted the team ("People all got quiet, and then stopped discussing that issue").
- ◆ How the behavior impacted the organization ("That kind of behavior gives the impression that our working agreements are just a piece of paper").
- ◆ How the behavior impacted the person ("It hurt your credibility").

Notice that we're talking about our **perceptions** of the implication or impact. We don't **know** that these things are true. Remember that two people can see the same behavior and infer very different things. In addition to **implication** and **impact**, three other related words are **impression**, **interpretation** and **inference**. They all suggest that we're drawing conclusions without knowing that they're accurate.

It's important to take responsibility for our perceptions. Avoid words like, "When you acted that way, **it made me feel** this way." That's not accurate. It may be that I felt that way, but someone else in the same situation might have felt differently, so how can I attribute all the responsibility to you?

Let's put the first three parts together with some examples:

- ◆ "Jerry, yesterday when you called me into your office and asked for my opinion on that project, I felt valued and respected."
- ◆ "Sally, during the project meeting this morning you were looking out the window and checking email on your Blackberry. I thought that was disrespectful to the presenter, and I felt uncomfortable about it."
- ◆ "Bill, in the customer meeting you were asked some tough questions, but your voice stayed level and your answers were clear and respectful. I was impressed with your preparation and poise."

Responsibility

Before delivering any feedback, ask yourself, with curiosity and openness:

- ◆ "What might this result have to do with me?"
- ◆ "What might this result have to do with us? Or the context?"

and then be willing to share what you saw.

Why is this so powerful and important? Let's say that you're Joan's manager, and your feedback is, "Joan, in the customer meeting, in response to the questions about safety your voice started shaking, you broke eye contact, and your voice got so low that it was hard to hear you. It gave me the impression that you weren't prepared, and I think it led our customers to question our ability to handle the job."

What might this result have to do with you as the manager?

- ◆ You didn't take the time to prepare Joan for the kind of questions that might get thrown at her
- ◆ You'd seen similar behavior before, but didn't make the time to share what you saw

What might this result have to do with the collective or the context?

- ◆ We haven't taken the time as a team to share collective wisdom regarding how to handle difficult customer questions
- ◆ Our organization hasn't invested resources in training in effective communications and presentation skills

Sharing your perceptions of individual and collective/contextual ownership doesn't absolve Joan's responsibility to improve her performance, but it does take the blame out of it. This is a good example of **both/and** thinking. Joan is accountable for her behavior **and** so are you **and** so is the organization.

Sometimes it won't be appropriate or relevant to share your responsibility for the result. Perhaps the feedback is positive, or matter-of-fact. But, particularly if you have an emotional charge about the person's behavior, first taking reflecting on healthy individual and collective ownership can make the difference between a productive and a disastrous conversation.

The Responsibility of the Receiver of Feedback

A responsible receiver of feedback:

- Solicits feedback regularly
- Explores **individual and collective ownership of results** and applies that to the feedback given
- Listens for what's **right** about feedback, instead of what's wrong with it
- Repeats back what was heard and acknowledges the other ("You said that in a clean and respectful way, and I appreciate that").
- Reports back on the results/implementation of the feedback

Organizational Cultures that Support Effective Feedback

Regular effective feedback is mostly likely to occur in organizations where:

- ***Healthy individual and collective ownership of results*** is practiced by both the deliverer and receiver of feedback
- Everyone is giving the opportunity to learn how to give constructive feedback
- Employees take equal responsibility for evaluating their own performance
- All employees feel “in it together” to ensure the success of the organization
- There are working agreements around respect, collaboration and appreciation
- Employees are actively engaged in developing action plans towards departmental and organizational goals
- Employees are held responsible for soliciting feedback and are held accountable for their results
- While it is necessary to ensure regular feedback be given to employees, if employees experience value from the feedback they receive, they will ask for more. The effective goal setting/planning process is one that includes valued, positive feedback for development. It is important to ask employees to take responsibility for building feedback solicitation into their plans.
- Constructive feedback is seen as not only valuable but essential for effective performance. It is well worth the time it takes, and that time is reduced considerably when it is built into regular meetings with employees and when employees are encouraged to value soliciting feedback.

Effective feedback is most likely to occur in organizations where leaders:

- Model asking for feedback and providing effective and timely feedback
- Are catalysts for their employees being motivated to evaluate and improve their own progress, and therefore to request and value descriptive feedback. This happens when leaders asks their direct reports to set agreements and/or goals that have an evaluation process built into them for which the employee and the leader are responsible.
- Are catalysts for employees setting mutually agreed upon expectations, goals, and plans to reach those goals. Feedback is then generally related to expected behavior and performance. If employees fail to meet the expectations they participated in setting, then leader and employee revisit the plans and adjust them accordingly. If the employee is meeting those expectations, effective feedback reinforces the steps already taken and adds positive momentum. The emphasis is on helping the employee succeed. V2.0



THE FIVE CONVERSATIONS

Manager/Leader

Adapted from the process developed by Homestore, Inc.

1. Setting the Stage – yearly, whenever a change takes place in organizational goals, when a new employee is hired, and/or when there is a substantial change to an employee's current role

- a) For new employees: The leader introduces him/her to the organization and the team. This includes organizational culture, values, goals, and how the employee's role, actions and performance will contribute to achieving those goals.
- b) For changes in organizational or team goals or roles: The leader clarifies new goals and objectives, and how the employee's role, actions, and performance will contribute to achieving those goals and objectives.
- c) This is also the time to learn more about employees, including how they like to be managed, what motivates and engages them, what unique skills and experiences they bring, etc.

2. Clarifying Performance Standards and Role PAAR (Power, Authority, Accountability, Responsibility) – yearly and when roles or goals change, or when there is a new employee

- a) In a two-way dialogue, the leader and employee clarify the specifics of the employee's role, including performance standards and PAAR.
- b) The employee states his or her understanding of the goals and desired results, and how s/he will deliver those results.
- c) Each employee is responsible for taking the initiative to re-negotiate any goals or plans that will not be met as initially agreed.

3. Career Development: at least twice a year

The leader seeks out information on the long-term interests of the employee. "How would you like to develop in your current role?" "What are your long-term interests here?" "What would you like to be doing one year from now?" Clarify the strategic direction of the company, and possible options for the future. Look for opportunities for building more effectiveness in the current role, and/or preparing the employee for a different role, and for optimizing engagement and retaining productive employees.

4. Ongoing Coaching for Sustainable High Performance: scheduled at least quarterly, and then as needed

- a) This is a two-way discussion that includes teams and individuals taking responsibility for initiating and preparing a progress discussion.
- b) These discussions include reporting progress, any need for assistance (including changes in PAAR), whether needed resources have been provided, brainstorming possibilities and feedback, as well as describing the impact of performance on organization and team goals.
- c) Coaching can focus on how to be even more effective in the future.
- d) Leaders ask what they can do to be more helpful, and take healthy individual and collective ownership of any problems that have arisen.
- e) Leaders also clarify “river banks” or the expectations of the role.
- f) Major focus on what’s gone “right,” celebrating the successes and their positive impact on the organization.
- g) For “as needed” discussions, the coaching should be as timely as possible

5. Intervening in Critical Situations

- a) These are times when a leader’s broader and balanced perspective can help save an employee from performance slippage or outright failure.
- b) The leader must make an objective assessment and:
 - a) Problem solve with employee(s)
 - b) Provide clarity of expectations
 - c) Offer potential solutions
 - d) Step in to take over the situation
- c) The manager should always ensure employees learn from the experience by engaging them in the problem solving process.

Employee

1. Setting the stage

- a) Ask questions such as: "What is the overall purpose or need that this role is attempting to address?"; "How does my work support the direction the organization is headed?"

2. Clarifying Performance Standards and Role PAAR (Power, Authority, Accountability, Responsibility)

- a) This is where you need to get clarity on what is expected of you, both in terms of *what* the results are as well as *how* they should be accomplished.
- b) Make sure you ask questions to understand what standards need to be followed in terms of quality, timeliness, accuracy, scope, budget, etc.
- c) If you need to negotiate for the amount of authority you have in your role, or you need to get clear on the scope of your responsibilities, this is the time to do so.

3. Career Development

- a) Before having this conversation with your leader, take time to realistically assess your skills, your interests, and your abilities. Also do some research into those jobs you have some interest in exploring. Talk to your peers or people in those jobs to get an idea of what they do.
- b) Be prepared to talk about how you would develop skills in your present job that might lay the foundation for your next role.

4. Ongoing Coaching for Sustainable High Performance:

- a) Seek input on your performance frequently. Getting small, mid-course corrections is much easier than discovering much later on that your performance has not been satisfactory.
- b) Seek ideas from your manager on how you should approach certain tasks; don't assume anything.
- c) Be open and non-defensive to receiving feedback on your performance.

5. Intervening in Critical Situations

- a) Immediately seek your manager's involvement when you feel you are in need of guidance on a crisis or important business issue.
- b) Be prepared for your manager to take over the situation, and then set aside time later to de-brief the event and learn from your experience.

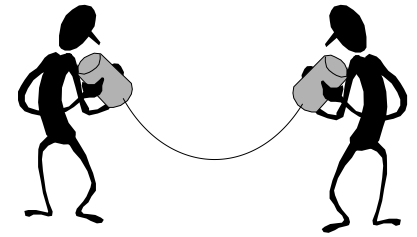
Four-Step Feedback: Healthy individual and collective ownership

An excellent technique for getting the "feedback engine" started is for the manager to lead a four-way feedback discussion. This is based on the premise that leaders are co-responsible for the behavior of their direct reports, and therefore, before having a performance dialogue, leaders take **healthy individual and collective ownership** by asking themselves these two questions about any issues that have arisen:

1. ***What might this result have to do with me?*** (my actions, clarity of expectations, how consistent I've been in modeling certain behaviors, how attentive I've been to signs of overload, etc.)
 2. ***What might this result have to do with us?*** (the context of my team's subculture as well as the impact of the overall organizational macroculture, including clarity of roles, goals, availability of resources, cultural expectations and norms, etc.)
- The manager/leader first clarifies the current result that is being discussed, using clear and objective, non-blaming words.
 - The manager takes **healthy individual and collective ownership** for what has happened, and offers ideas on how he or she might provide better support to the employee, based on a careful and honest self-evaluation. For example, the manager might think that he/she could be devoting more time to coaching the employee, provide more resources, make adjustments in roles or goals, or involve the rest of the team in some way.
 - The next step is for the manager to ask the employee for his or her ideas on how the manager (and the team/organization) can provide better support.
 - The third step is for the employee to offer ideas on how he or she might perform better.
 - The fourth step is for the manager to suggest ideas to the employee on how to improve performance.

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|---|
| Successful Four Way Feedback Process |
| <u>Leader to employee about leader:</u> "Here is how I think I have individual & collective ownership for this current situation, and how I/we can assist you to perform even better" |
| <u>Employee to leader about leader:</u> "Here are some ideas of what I need from you to deliver improved results " |
| <u>Employee to leader about employee:</u> "Here are some ideas I have about what I should do differently to deliver improved results and performance" |
| <u>Leader to employee about employee:</u> "Here's how I think you could improve your performance" |

V1.0



COMMUNICATION: INSIGHTS & REFLECTION



CHANGE MANAGEMENT

CHANGE MANAGEMENT CHECKLIST

| | |
|--|--|
| Do we understand the dynamics of change and transition? Endings, neutral zone, and new beginnings? Do we understand the risks and opportunities in the neutral zone? | |
| | |
| Establish Urgency – This is where motivation is built | |
| What is the situation? What is changing? What are the internal & external factors pushing for change? Why change? Why now? Why is this change <i>required</i> ? What happens if we don't? (CQ) | |
| Develop Direction: This is where the ideal future is built | |
| What's most important in dealing with this change? What values, principles, and other factors can guide us? | |
| What is the desired outcome? Is it a compelling & inspiring vision? (EQ) | |
| How is the desired outcome aligned with city strategic initiatives, including the Leadership Expectation & Principles? | |
| What is the "gap" between desired outcome and current reality? (EQ) What will actually be different because of the change? | |
| What is a compelling story that will engage commitment and alignment among key leaders and stakeholders? (EQ) | |
| Examine Current Reality: This is where support for change is built | |
| Honoring the value of both continuity and change in current reality (IQ): what's important to keep in current reality, and who will have to let go of what in the change process? | |
| What are the current facts, and what stories are being told about those facts? Which stories assist the desired change, and which stories impede it? (IQ) | |
| What are contextual factors (Pond Thinking™) (CQ) supporting and inhibiting change, including policies & procedures? | |
| What is the current level of emotional resonance, and what is the impact of that? (EQ) | |

| | |
|---|--|
| What are current strengths we can build on? (EQ) What challenges could get in the way? | |
| What knowledge, skills and abilities are needed to support the change? | |
| To what extent are leaders modeling the desired change? | |
| What organizational and personal patterns, biases, beliefs, assumptions, etc. may get in the way? This includes polarities that I, others, and the overall culture tend to over-privilege? (IQ) | |
| Create a Change Team: This is where support for change is built | |
| Who else to involve in designing a next step forward? | |
| If appropriate, what decision-making process will we use? | |
| Take action using a Dynamic Steering Mindset: This is where change and transition are facilitated | |
| Whose perspectives are important to take and/or seek? (IQ) | |
| Communicate, communicate, communicate – face-to-face as much as possible | |
| Are we paying attention to both change (shifts in the external conditions) and transition (the internal shifts that people must undergo to let go of the old and embrace the new)? | |
| Are we monitoring the progress of transitions: Endings, Neutral Zone, and New Beginnings? | |
| Are we staying aware of both the dangers and opportunities of the Neutral Zone? | |
| Are we staying aware that raising awareness, by itself, does not lead to change? | |

v2.0

WILLIAM BRIDGES: WHY CHANGE FAILS

<http://managementconsultingnews.com/interview-william-bridges/>

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William Bridges: Why Change Fails



William Bridges

William Bridges is an internationally recognized authority on managing change in the workplace. For more than two decades, he has been helping clients with mergers, reorganizations, leadership changes, and cultural shifts.

Bridges is the author of ten books, including the best sellers *Transitions* and *Managing*. He is a frequent keynote speaker at corporate meetings and professional conferences, and the *Wall Street Journal* named him one of the ten top executive development presenters in America.

We had the opportunity to get both practical and inspirational tips from Bridges about how consultants can improve results for clients in a world of continuous flux.

McLaughlin: Why do so many change initiatives seem to cost too much, take too long, and fail to meet their objectives?

Bridges: Because they do only half the job. **They are change-heavy and transition-light.** Change and transition are different, and both are necessary for any significant change to work.

As I use the term, change is a shift in the externals of any situation: a new boss, setting up a new program, the death of a relative, a move to a new city, or a promotion.

By contrast, transition is the mental and emotional transformation that people must undergo to relinquish old arrangements and embrace new ones.

Transition has three phases: an Ending, a disorienting sort of “nowhere” that I call The Neutral Zone, and a new Beginning. If people don’t deal with each of these phases, the change will be just a rearrangement of the furniture. And then we say, “It didn’t work.”

Maybe we start over again, or maybe we throw more resources at the problem, or maybe we fire the original consultants and hire a new batch. In all those cases, the change exceeds the time and cost estimates. And in most of them, the change doesn’t do what we said it’d do.

Look at the batting average in Mergers and Acquisitions. Look at those “big reorganizations” that were supposed to save tons of money. Look at how often joint ventures and outsourcing projects fail to meet the promised profit or cost figures.

McLaughlin: How is managing change different from managing transition?

Bridges: Well, the first difference is the one I just mentioned—change is the **way** things will be different, and transition is **how** you get people through those three stages to make the change work. But there are other distinctions too.

Change is made up of events, while transition is an on-going process. Change is visible and tangible, while transition takes place (or more often, doesn't take place) inside of people.

Change can happen quickly, but transition takes weeks or months or even years. Change can, and usually should be, speeded up. **Transition, like any organic process, has its own natural pace.**

Change is all about the outcome we are trying to achieve; transition is about how we'll get there and how we'll manage things while we are en route.

McLaughlin: Often, the biggest challenge to change is an organization's legacy of change initiatives. How can a consultant help an organization overcome the track record of the past and put a change program on a solid path?

Bridges: Our initial assessment of "transition readiness" provides an important early indicator of what lies ahead, and one of the things we inquire into is the organization's history of changes, both those that worked and those that didn't. Both the successful and the unsuccessful ones leave scars.

And part of leading an organization—which is, of course, leading individual people—is dealing with those scars and showing people, with action more than words, that this is not just the same old same-old.

McLaughlin: When you work with executives sponsoring change initiatives, what's the most common area you see that needs improvement?

Bridges: Not surprisingly—given what I've already said—it's that they are so obtuse about the human side of the change they are trying to bring about. **Too often, they just don't recognize that unless people, real live individuals, stop doing things the way they've been doing them, new things won't take root.**

They don't understand that "explaining the change" and "justifying it" do very, very little to encourage people to let go of the assumptions they've always had, the relationships they've always depended on, or the behaviors they've always used to get results.

These executives' detachment from the everyday work-work, which is so often defended as necessary to be "strategic," keeps these people from understanding what has to happen for changes to work as planned.

But it is no accident that the great leaders, from Moses and Caesar to Lincoln and Lee, were people who deeply understood the people they were leading.

McLaughlin: The consulting industry is full of "change" consultants. How would you assess their competence?

Bridges: As experts on the planning and execution of change, some are excellent and others aren't. As people who know how to help an organization carry out a change, from first concept to final action, they are, by and large, very weak.

But I shouldn't complain. I've never had to do any formal marketing for my transition-management services because I've gotten so much business from organizations that spent big bucks with well-known consulting firms, and then called me up at the eleventh hour and said, "The change isn't working like they promised it would."

McLaughlin: What is the appropriate role for a consultant in a change initiative?

Bridges: The “right way” flows naturally from recognizing the transition-dimension of the change in question. It starts by encouraging the change leaders to ask, “Who has to let go of what for this is to be successful? For this to happen, what has to end? What is it time for people to let go of?”

Once that is clear, the consultant then helps the client consider how to lead people through the ending and to manage the losses that people experience in that phase. Chapter three of the book is about “How to Get People to Let Go.” These things aren’t hard to do, but people don’t do them because they are so intent on change and so unaware of transition.

McLaughlin: If you could give managers one piece of advice as they wrap up a change initiative, what would it be?

Bridges: It would be to do a careful debrief of what worked and what didn’t. **Usually, companies are so anxious to get on to the next change that they fail to learn from the last one.** I first realized that after helping a 50,000-person technology company close a fabricating plant. It went very well—they actually doubled productivity per person during the closedown process!

But when they called to ask for help in shutting another facility, I discovered that they had “forgotten” what they had done with the previous shutdown.

Organizations won’t learn to manage change (and, of course, transition) until they treat every case of it as a tutorial program set up especially for their edification. What worked? What didn’t? What surprised us? What ‘mistakes’ turned out to be fortunate ones? What assumptions almost sank us?

McLaughlin: Last question, what’s on your reading list these days?

Bridges: I still read the business pages and I check out several magazines whenever I fly, but I’ve pretty well stopped reading business books. The “blockbuster!” mentality, the “hottest new idea” approach turns me off. In the past five years, I’ve found myself reading a lot more fiction and poetry. It feeds my heart better than business books, and the business world is seriously short of heart these days.

I think that if I was in charge of an executive development program, the first book on my reading list would be Roger Housden’s *Ten Poems to Change Your Life*. I think the next book that I write—if there is one—will be a novel for young people. It’s strange, but you can say much more important things to children than you can to adults.

McLaughlin: Thanks for your time.



WILLIAM BRIDGES: THE THREE QUESTIONS

http://www.wmbridges.com/articles/article-three_questions.html

Getting ready to talk to the executive director of a large non-profit organization the other day, I found myself jotting down three questions that I wanted to ask her. I realized that I had been using these questions with clients, in one form or another, for some time now but had never written them out and reflected upon why I was using them. When I did so, I realized how central they are to my practice. Here they are:

1. What is changing?
2. What will actually be different because of the change?
3. Who's going to lose what?

Here is why I think that they are so important:

1. What is changing?

It still surprises me how often organizations undertake changes that no one can describe very clearly. "What's changing?" I ask. "We're changing the whole way we manufacture our product." Or, "We're developing a world-class HR infrastructure." Or, "We've come to believe that it is time to rethink the way that we go to market *competitively* and *differentiate* ourselves from the other niche players in our industry. And, also, *blah, blah, blah.*"

The trouble with these answers is that they convey a very unclear picture of the change to those who have to make it work.

Now, in fairness to the speakers, it is often true that at an early stage in the process they themselves have only a vague idea of what, specifically, is going to have to change. The planners know only that there needs to be change in response to some threatening presence or some great opportunity "out there."

But until that vagueness can be cooked out of the undertaking and until the leaders of the change can not only explain it clearly, but do so in a statement lasting *no longer than one minute*, there is no way that they are going to be able to get other people to buy into the change. Longer explanations and justifications will also have to be made, of course, but it is the one-minute statement that will be the core of people's understanding.

Don't get me wrong. I am not urging you to do a *Readers Digest* version of all your strategic plans. I'm only saying that the successful leader is a person who can take a complex change and reduce it to statements that are readily comprehensible to the people who are going to have to make the changes

work. The Communications Department may offer editorial help, but the statement itself needs to express the understanding and intention of the leader.

So the first thing to check is whether there is, in fact, a short statement describing and justifying the intended change, one that doesn't use jargon. (What is a "world class HR infrastructure," anyway?)

And be sure that the statement ties the change to whatever situation it is that makes the change important. The way we often say that to our clients is, "Sell the problem before you try to sell the solution." In other words, don't try to make a change to meet a challenge, solve a problem, or seize an opportunity unless you have already established the challenge, the problem, or the opportunity in people's minds.

Remember: *one minute!*

2. What will actually be different because of the change?

Explaining the *what* and *why* of the change is essential, but it is not enough. I go into organizations where a change initiative is well underway, and I ask what will be *different* when the change is done—and no one can answer the question. One of my students arrived to run a transition management seminar at a large oil company and asked, in all innocence, what was going to be different because of the change. "We thought that you were going to tell us," replied the room full of managers.

Many change projects are designed and launched at such a high level in the organization that all the planning is unrelated to the everyday, operational details that make up the lives of most workers. In such cases, the decision-makers often have no idea how changes will actually make anyone's life or job, or even the function of a whole department, different. Yet that is all that people need to know before they can embrace and support a change.

Leaders find this frustrating. "The workers can't even see the crisis the organization is facing!" they growl. True. But who is responsible for that fact? Leaders are paid to understand the organization's larger problems, but at most companies the people under them are paid to do their jobs. When we tell the leaders that they ought to share the state of the business, in all its financial detail, with their followers, they say, "That'll just worry them. Besides, they don't need to know that stuff to do their jobs."

A change may seem very important and very real to the leader, but to the people who have to make it work it seems quite abstract and vague until actual differences that it will make begin to become clear. Some of those differences will be behavioral (answering customer complaints within 24 hours, for instance), while others will be structural (realigning sales teams by product rather than region or reducing the layers between CEO and line workers from twelve to five).

The drive to get those *differences* clear should be an important priority on the planners' list of things to do. If the differences simply cannot be spelled out at this time, then tell people how they will be established (by whom, using what criteria?) and when the differences will be explained. If you miss that date, by some mischance, explain why you missed it and give a new date. The thing to remember: Say what you'll do and do what you say.

3. Who's going to lose what?

The previous two questions, as important as they are, concern the *change*—the shift in the situation. The *transition*—the psychological reorientation that the people must go through to make the change work—does not start with a new situation. It starts when the affected people let go of their old situation. Endings come first. You can't do something new until you have let go of what you are currently doing. Even the transitions that come from "good" changes begin with *losses* of some sort, for letting go of the old way is experienced by the people who were used to it as a *loss*.

For that reason, we often say in training programs that you don't cross the line separating *change management* from *transition management* until you have asked "Who will lose [or has lost] what?" Some of our clients resist asking that question. "That's negative," they say. "We want to be positive about this change." Or they argue, "Let's don't talk about what is ending. What we want them to understand is the new things that are beginning." Or they rationalize: "It isn't as though they were going to lose their jobs. It's just a reorganization, for heaven's sake"—as if leaving the team or the boss you've worked with for a year weren't a loss. Sometimes they argue, "If we talk about losses, we'll just trigger off a lot of bitching and moaning," or that "I don't think that loss-stuff has even occurred to them. We don't want to be putting ideas into their heads."

There must be a hundred other versions of this objection to dealing with endings and losses, but they are all variations on a single theme: the mistaken idea that the best way to get people through a transition is to deny that they are even in a transition. In fact many communications projects are based on this central misconception that you can (and should) talk people out of their reactions to the change.

Transition management is based on another idea: that the best way to get people through transition is to *affirm their experience* and to help them to deal with it. It is not a question of agreeing with people or being nice to them. It is simply a question of understanding how the world looks to them and using that as the starting point in your dealings with them.

When you do that, you bring issues out on the table, build trust and understanding, and give people the tools they need to move forward through a difficult time. When you speak to where people actually are in the transition process rather than telling them that they ought to be somewhere else, you are bringing people along with you.

If, on the other hand, you deny endings and losses and act as though they did not need to let go of anything, you are sowing the seeds of mistrust and talking in a way that simply convinces people that you don't know or care anything about them. That is not your intent, of course. But that is why "Who is going to lose what?" is such an important question.

For it is by asking that question, that you open the door to the transitions that people will have to make if the change is to work. It is that question that helps them to let go of the old way, so that the new way can be established and work.

More than half of "communication" is the result of listening rather than speaking. That is why three questions are so important in a time of change:

1. What is changing?
2. What will be different because of the change?
3. Who is going to lose what?

They not only create a climate of listening which reassures people and defuses opposition. They also generate information that you may not, yourself, know yet. And, hey, you're in transition too.

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IMMUNITY TO CHANGE

What is the Immunity to Change Process?

- Created by Robert Kegan and Lisa Lahey and described in their 2009 book, *Immunity to Change*.
- When we have goals that inspire us, but we find ourselves not moving consistently in the direction of those goals, we tend to judge ourselves as lazy, weak, insincere, dishonest, etc.
- In many cases, desire and motivation are not sufficient until we have uncovered our **competing commitments**. That is, not “walking our talk” isn’t about being a hypocrite, but rather about not understanding other forces at play that get in the way of our **inspiring commitments**.
- We are conscious of an inspiring goal. We can see it, question it, and reflect on it. In Kegan’s words it is therefore an **Object** of our awareness. Another way of saying this is that **we have it**.
- There are other goals of which we may not be fully conscious. They generally are unquestioned, taken for granted. They cannot be easily seen because they are the lenses through which we see. We generally cannot name them or reflect on them. In Kegan’s words, we do not have things that are **Subject**; things that are **Subject have us**.
- The **Immunity to Change** process helps us to see those previously unseen commitments. With this awareness we can make new choices that help us move more easily toward our inspiring or desired goals.
- Kegan And Lahey say that when we’re stuck we’re usually facing an adaptive challenge rather than a technical challenge. Adaptive challenges require us to increase capacity in order to deal with them effectively, by bringing elements into our awareness that previously were outside our awareness. We need to increase our internal level of mental complexity.
- Therefore, the first step is to reframe our improvement goals as developmental challenges that require us to grow as people, and the second step is to explore our internal belief system, particularly our implicit or **competing commitments**.
- Transformation occurs with the ability to step back and reflect on something that used to be hidden or taken for granted. A key element of development is moving more and more things from Subject to Object. That is the purpose of the *Immunity to Change* process.

What is an Individual or Organizational Immune System?

- Individuals and organizations have a desire to change, and often an equally strong desire to not change, to maintain stability. This is their immune system, and it's a powerful barrier to change.
- When we uncover the hidden dynamics of the immune system we can release the energy that has gone into resistance and turn it toward supporting change.
- Our competing commitments generally made a great deal of sense at one time. They were meant to protect us from perceived danger. They have positive intentions, although they are now operating on "autopilot" and may no longer serve us.
- The ***Immunity to Change*** process is designed to identify the big assumptions that underlie our immune systems and to then disrupt them.
- Individuals, teams, and organizations can all benefit from this process. Big assumptions exist not only within individuals, but also operate at a collective level within organizations or parts of organizations.
- At the individual and collective levels, in order to engage in this work, leaders need to be committed to their own deep learning. This means being willing to experience vulnerability, stepping out of the need to prove themselves or protect themselves or portray an image of already knowing how to solve the problem.

Implications for Organizational Change

- Organizational leaders frequently express desire for certain changes to occur. They have ***inspiring commitments***.
- There are often strong ***competing commitments*** that interfere with the desired change, and these often operate beneath conscious awareness. Examples would be:
 1. "I want the system to change without my having to change"
 2. "I want to be able to keep doing what I'm doing but get different results"
 3. "I want to change as long as I don't have to do anything uncomfortable, unfamiliar, or feel vulnerable in any way"
 4. "I want the benefits of the change without losing the benefits I'm getting from the current system"
- For this reason, it is necessary to prepare the leadership system to face—and guide—the organization to adapt to the disruption that the desired changes will inevitably create.
- All significant organizational change thus presents both an ***intellectual challenge*** and an ***emotional challenge***. It is often the emotional component that is more challenging, and it calls for awareness, courage and commitment in order to continue to move forward.
- Perhaps the single most important factor in determining the success (or failure) of an organizational change effort is how leaders anticipate and respond to the natural resistance and disruption that change provokes.
- These principles about the way human systems respond to change is adapted from Roger Taylor and Mary Beth O'Neill (2007):

1. First Principle: Change is disruptive—period—and the system will protect itself.

- There are always ripples from a change – every person will go through some sort of emotional process to adapt to it.
- Emotional reactivity can show up as denial, distraction, or drama.
- Even though there are attractive payoffs, the costs of changing can be so disruptive that the payoffs are compromised.
- Humans ,organizations and systems naturally fight the disruption of change like an immune system fights a virus.
- The immune system is seeing more value in familiarity than in change.
- The immune system is often not conscious or intentional, nor sinister or incompetent.
- The immune system functions at least partly by confusing rational awareness with emotional reactivity.
- As William Bridges says, all change necessarily involves loss, so organizational members protect the status quo, not because of bad intentions, and not even because they don't want the change, but rather because they can't help trying to avoid loss—the force of comfort is stronger than the force of reason.
- Because of the immune system, generally operating out of conscious awareness, both individuals and systems tend to choose to enact familiar, less effective activities over new, more effective activities.
- When individuals try to change, or when they try to change systems, others in the organization tend to exert pressure to go back to the previous way of operating.
- Both change and change agents threaten the system, like a “virus”, and trigger the immune system.
- Individuals and organizations thus tend to strongly resist change, not intentionally or consciously, but automatically.

2. Second Principle: People opt for the *chronic* anxiety of avoidance over the *acute* anxiety of change.

- It seems to be part of the human condition to resist change, even if we don't know why.
- We avoid potential loss, even if we're not conscious of what that loss would be.
- Effective change requires organizational members to learn to initially tolerate the anxiety of change.
- As change builds momentum, that anxiety gets turned into energy for moving forward.
- The immune system is an emotionally sensible response to change, but it's not rational.

3. **Third Principle: Avoiding change is contagious. Change agents catch it too.**
 - Even those internal and external to the system who are siding with change are impacted by the organizational and individual immune systems, and infected with its anxiety. The immune system neutralizes the “virus.”
4. **Fourth Principle: Developing awareness of, and readiness for, effectively dealing with resistance to change is the critical challenge in order to sustain individual and organizational development.**
 - Leaders finding the nerve to face challenges becomes just as contagious as the anxiety to avoid them.
 - The ***Immunity to Change*** process can be very helpful in bringing the organizational “immune system” to light.
 - One of the signs of this immune system is ***anxious reactivity*** that overpowers clear thinking. Another sign is a “duck and cover” mentality. A third sign is turning others into objects and then sacrificing them for one’s own safety, commonly called “throwing people under the bus.”
 - Change agents can help make others conscious of the choice between “the frightening uncertainty of growth” and “the ‘safe’ misery of remaining static.”
 - Once this choice has become conscious—and the ***Immunity to Change Process*** is one excellent way of becoming so—new informed choices can be made about how to proceed.

The Immunity to Change Process

Complaint

What gets in the way of me doing a better job at work, or being happier or more fulfilled at work, or in other areas of my life?

- This step may sometimes be bypassed.
- We generally only complain about something if it is getting in the way of something that really matters. What is it that really matters to me?
- In order to begin this process, it's important to move from a complaint (what I can't stand) to an inspiring commitment (what I want to stand for).
- **Example of one person's process:** In meetings I realize, after the fact, that I let my image, how I'm seen by others, be more important than standing for what's right. I'm too externally directed rather than internally directed, especially under pressure. I let my team members carry too much of the heat.

Step #1: Commitment

What is the one big thing that I am committed to improving, so that my work can be even more effective or satisfying? What is it that is important to me, and why?

- What are the commitments reflected in my complaint?
- What is the change that, if I don't change, something I deeply care about is at risk?
- List all the reasons it is inspiring for me. How would moving in this direction serve me, those around me, and (if it's work-related) my team and the organization as a whole?
- This commitment needs to be internally motivating. We have to really want to change, rather than just changing because of external forces/pressure.
- **Example of one person's process:** My commitment is to make more of a difference and to be a better team member. If I did so:
 - I'd better serve my values and principles
 - I'd be a better co-worker and leader
 - I would gain more respect
 - I'd be happier with myself
 - I'd make more of a difference

Step #2: "Blocking" Behavior

What am I doing or not doing that prevents my commitment from being fully realized, or undermines it?

- This is straightforward if we are honest with ourselves.
- For this step, simply list what I am doing or not doing that is in the way. No judgments here, no self-blame. Be as objective and straightforward as possible.
- The point is to understand these behaviors, rather than trying to will them away. We need to understand what generates these behaviors.
- If we're not clear on this step, we can ask others!
- **Example of one person's process::**

- I listen for opportunities to be seen in a positive light
- I try to shift the focus when I perceive the discussion is getting heated – I try to come across as smooth and reasonable
- I let others be seen in a negative light rather than standing up for them

Step #3A: “The Fear/Worry Box”

What am I afraid or worried would happen if I didn’t do each of those “blocking” behaviors?

- Answer this for each of the blocking behaviors: What am I afraid would happen if I did the opposite of the blocking behaviors?
- Example of one person’s process:
 - If I didn’t look for opportunities to be seen in a positive light, I’m worried I would be seen as unimportant
 - If I didn’t try to shift the focus I’m afraid I or my team would be seen negatively and things could fall apart quickly
 - If I stood up for others the negative feelings would be directed at me as well and I’d be flustered or lose respect or not be valued

Step #3B: Competing Commitments

Given those fears and worries, what must I be committed to?

- If I’m worried that the fears and worries in #3A **might** happen, then I might also be actively committed to spending too much of my time and energy making sure that those fears and worries **don’t** happen
- We’re on the right track in identifying **competing commitment** if these competing commitments start to feel uncomfortable, or are difficult to admit to ourselves and others
- These are all forms of self-protection that, at least at some time in our lives, made total sense
- “I’m committed to not being seen as ____”
- “I’m committed to not having ____ happen”
- “I’m committed to avoiding ____”
- Example of one person’s process:
 - I’m overly committed to approval seeking, to being seen as important
 - I’m committed to avoiding negative perceptions and keeping everything calm
 - I’m committed staying calm and having others like and respect me

Step #4: Big Assumption(s)

What would have to be true for me to be committed to those things I wrote under 3B?

- Identifying the hidden assumptions under the competing commitments is the key to loosening the grip of the immune system.
- A **big assumption** is the theory embedded in each **competing commitment**, a theory about us and the world.

- If there is a negative in my competing commitment, try removing it: “I assume that if I was seen as ____, then.....”
- If there is no negative in my competing commitment, try adding it: “I assume that if I did not avoid ____, then.....”
- These often takes some time to explore
- Once hearing the big assumptions we may say, “Of course I know this is not true” while still operating as if it is.
- Remember these are things operating in the background that interfere with our conscious commitments
- When uncovered accurately:
 - These “big assumptions” make the “competing commitments” from 3B absolutely necessary and justify the “blocking behaviors” from column 2.
 - They point out an extreme or “big time” bad conclusion, something really at stake.
 - They display a contracted world (pointing out some limitation in perspective).
 - They “feel real” and feel powerful.
- There is often an element of truth in **big assumptions**, but they have been over-generalized. We tend to hold them unquestioningly as truths rather than testing their validity. We take them as given.
- **Example of one person’s process:**
 - I assume that if I lost approval I would be devastated
 - I assume that if things get too tense my anxiety will overwhelm me and I won’t be able to function
 - I assume that if I’m not liked then I have no value – my value is in what others think of me

Exploring Big Assumption(s)

Exploring big assumptions bring them from Subject to Object and decreases their impact

- Be aware of the assumption when it arises – see it, accept it without judgment. Take a reflective stance.
- Explore its history: when did it start? Where might it come from?
- Actively look for experiences that cast doubt on these assumptions

This summary also draws from an article by Allison Conte in **Mobius Strip**, March 2011.

Immunity to Change Worksheet

Complaint

What gets in the way of me doing a better job at work, or being happier or more fulfilled at work, or in other areas of my life?

Step #1: Commitment

What is the one big thing that I am committed to improving, so that my work can be even more effective or satisfying? What is it that is important to me, and why?

Step #2: “Blocking” Behavior

What am I doing or not doing that prevents my commitment from being fully realized, or undermines it?

Step #3A: "The Fear/Worry Box"

What am I afraid or worried would happen if I didn't do each of those "blocking" behaviors?

Step #3B: Competing Commitments

Given those fears and worries, what must I be committed to?

Step #4: Big Assumption(s)

What would have to be true for me to be committed to those things I wrote under 3B?



5 THINGS TO GIVE UP TO BE HAPPY

From Amy Chan in the Huffington Post Blog 5/18/12

http://www.huffingtonpost.com/amy-chan/happiness-tips_b_1523289.html

1. Give up the habit of blaming

- Take responsibility instead of pointing fingers
- The energy of blaming takes away from finding a constructive next step

2. Give up your need to impress

- Accept who you are
- Be more comfortable and confident internally, so there's then less need for external validation

3. Give up being a victim

- Life can be unfair, but this attitude interferes with taking responsibility and optimally moving forward in your life

4. Give up feeling entitled

- Nobody owes you anything
- This attitude feeds resentment and disappointment
- Instead, practice gratitude for what you do have

5. Give up pretending

- Let go of role playing that you're someone you're not
- Be willing to be vulnerable and real—to be human—and to be loved and liked for that
- Being authentic is the gateway to true connection with others



CHANGE MANAGEMENT INSIGHTS & REFLECTION

ACTION LEARNING EXPERIENCE TEMPLATE

1. Along with your manager, list and reflect on **most important factors** for your Action Learning Experience. Your **Ideal Future** is one of the most important factors, as well as ensuring that the selected project is an ongoing challenge, and primarily a leadership challenge rather than a technical one.
2. For any proposed projects, consider the following:
 - a. **Ideal Future**
 - i. What is the desired outcome? (short-term, long-term)
 - ii. How would it meet the most important factors you and your manager have identified?
 - iii. How would addressing this challenge increase your overall leadership effectiveness? How would it make you more of a resonant leader?
 - iv. How would addressing this challenge positively impact your team?
 - v. How would addressing this challenge help to evolve the context(s) you work in?
 - vi. How would addressing this challenge contribute to the citizens of Edmonton?
 - b. **Current Reality**
 - i. What perspectives have you taken and/or sought in determining current reality, strengths and challenges?
 - ii. What aspects of your current context would support and/or detract?
 - iii. What alternative perspectives are there of current reality?
 - c. **Initial Change Agenda**
 - i. Proposed approach, including any resources needed
 - ii. What additional perspectives are important to take and seek?
 - iii. What strengths can be built on?
 - iv. How would success be measured/evaluated?
 - v. Who needs to know about your action learning project, and/or be involved in other ways?

V1.1



ACTION LEARNING EXPERIENCE AGREEMENT

Name of Participant: _____

Name of Direct Supervisor: _____

Description of my Action Learning Experience (primarily a leadership, not a technical challenge)

This Action Learning Experience supports what city strategic initiative(s) (e.g. The Ways, the Leadership Expectation & Principles)? And how will it serve the citizens of Edmonton?

This Action Learning Experience will help me “stretch” and grow as a leader in what ways?

Participant Signature _____ Date: _____

As this participant’s direct supervisor, I agree that this Action Learning Experience is aligned with the city’s strategic initiatives, and that it is a good vehicle for increasing his or her leadership capacity.

Direct Supervisor Signature _____ Date: _____ v.1.1



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Audio Series

The Enlightened Business Summit 2010: <http://enlightenedbusinesssummit.com/library>.

Many strong presentations including John Mackey, Tony Schwartz, Tim Ferriss, Tony Hsieh. Most of the interviews are 30 minutes.

The Enlightened Business Summit 2011: <http://enlightenedbusinesssummit.com/>. The focus was on emotional intelligence. The interviews are mostly 30 minutes.

Waking Up the Workplace: <http://www.wakinguptheworkplace.com/>. Many interviews from a developmental perspective (Bill Joiner, Bill Torbert, Susanne Cook-Greuter, Bob Anderson) along with many other strong interviews (Rand Stagen, Brett Thomas, Tony Schwartz, others).

Coaches Rising: <http://www.coachesrising.com/>. Many good interviews with very interesting people. We particularly recommend Robert Kegan who speaks on the Immunity to Change process.

YouTube

Cynefin Model

<http://www.youtube.com/watch?v=WUJviaTi7VA>

<http://www.youtube.com/watch?v=N7oz366Xo-8>

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Brene Brown, 2012 – Listening to shame
http://www.ted.com/talks/lang/en/brene_brown_listening_to_shame.html

Amy Cuddy, 2012 – Your body language shapes who you are
http://www.ted.com/talks/amy_cuddy_your_body_language_shapes_who_you_are.html

Dan Pink, 2009 – The surprising science of motivation
http://www.ted.com/talks/lang/en/dan_pink_on_motivation.html

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http://www.ted.com/talks/lang/en/itay_talgam_lead_like_the_great_conductors.html