

Web Appendix 1. Agenda Planning Worksheet

Agenda Planning

Meeting Date	October 7	Day	Wednesday	Time	1:00 p.m.	Duration	One hour
Subject	Team Meeting			Place	Teleconference		
Scheduled by	George			Phone	1-888-888-1234		
Call to Confirm				Phone			

Invitation List/Attendees

Team Members: Pat, chair; Joan, facilitator; George, Susan, Charlene, and Sheila, participants	X	Essential		Optional
Kendra		Essential	X	Optional

Meeting Outcomes

- Understand the basics of meetings
- Clarify the role of the recorder
- Practice listening and writing down key ideas
- Provide tools to help people understand your role

Preparation/Materials Required

Please Bring

Your experiences in meetings

Goals for this workshop

Order of Agenda Items (What)	Person Responsible (Who)	Process (How)	Time (When)
Start up	All	Clearing Agenda review/agreement	1:00
Status updates	All	What outcomes would make this workshop a good use of your time?	1:15

Presentation: What makes a meeting productive?	Joan	Interactive presentation of key ideas	1:25
Small-group discussion	All; volunteer recorder	What are your top five criteria for successful meetings? Discuss and share.	1:40
Wrap-up and close	All	Evaluation and closing comments	1:55

Source: Joan McIntosh, Former Internal Consultant, Medical Device Industry.

Web Appendix 2. Action Items Summary

Subject	Board of Directors Meeting	Date of Meeting	June 25
Prepared by	Joan	Place	Leader/Chair Dave
Participants			
Management Board members			
Joan, facilitator			
Additional Copies to			
Action to Be Taken	Person Responsible	Target Completion Date	Completion
Email communications format: - In the subject line, show the action required with date. For example: Review Minutes; reply by July 6 - “Open This” on relevant attachments to comment on the agenda draft	Those who prepare and transmit the agenda		
Send out wants/deliverables to Dave, who will share with all	All		
Read/embrace the meeting notes and implement in the next meeting	All		
Schedule a facilitated interim meeting to keep going. Dave and Joan will debrief this session. Joan	Dave and Joan	June 30	

will summarize meeting outcomes and send them to board members with alternatives and a recommendation for next steps.

What do we wish had been different? Complete the questionnaire sent out by Dave. All

What worked about this meeting? What would we want to change next time?

Positives—what we liked about this meeting

- Willing to take time to do this
- Listened to each other
- Paid attention to process
- Started using skills/tools
- Different feeling of accountability
- Different atmosphere

Next Meeting (d/m/y)	Time (from/to)	Notes
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August timeframe	TBD	
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Source: Joan McIntosh, Former Internal Consultant, Medical Device Industry.

Web Appendix 3. World-Class Teams

By B. Kim Barnes

Five elements characterize top-performing teams in future-focused organizations. These elements constitute a model for the way successful teams need to operate. They are interactive and mutually reinforcing. These elements, taken together, create a culture of high performance. Each element implies a specific commitment by all team members. The elements are

- alignment of purpose
- ability to learn and change
- attitude of trust
- attention to process
- artistry in action.

Alignment of Purpose

Alignment is evidenced by

- clarity of and commitment to the vision
- focus on the future
- shared values
- high energy.

A team that is aligned, facing in the same direction, and moving in concert is bound to achieve results with more consistency than a group that is confused, conflicted, or directionless. The clear vision provides energy and motivation; a future-focused team is disappointed but not discouraged by failure. The team's shared values enable it to make decisions that will be supported.

Ability to Learn and Change

Skills and abilities that are essential for team success include

- open, swift, and effective communication (express needs, advocate positions, share and solicit information and ideas, listen)
- balance of reflection and action
- multiskilled, continuous learning
- openness to influence by all.

Success in this era is largely determined by the ability to learn quickly and continuously and change appropriately in response to the new information. Team leadership skills and attitudes that contribute to this result include the ability to express, receive, and interpret information through dialogue and discussion, the discipline to take time out to do this on a regular basis, and the commitment to complete the feedback loop by communicating the learning back through the system. Team members should expect to learn new skills as their projects develop; the learning creates new opportunities and needs. A learning team must be an open system. Everyone should have the opportunity to contribute ideas and influence the direction to be taken.

Attitude of Trust

A trustful attitude includes

- respect for one another
- willingness to share risk
- balance of autonomy and interdependence
- spirit of partnership.

Trust is essential in an organization that must operate efficiently and “turn on a dime.” In fast-moving global and virtual teams, trust of one another must be a given—an act of faith. There is no time to build it gradually. However, once lost, trust in such teams may be difficult to rebuild. Team members need to be able to focus on doing their own tasks with skill and dispatch and expect the same from others. In a low-trust team, time is wasted in second-guessing, redundancy, conflict, and unhealthy competition for resources, attention, and rewards. Important information is withheld, and members are not willing to share risks, making innovation unlikely. The spirit of partnership evidenced by top-performing teams shows up in shared responsibility for success and failures, shared glory, and collaborative working relationships.

Attention to Process

A focus on team processes and tasks is demonstrated by

- flexible boundaries and roles
- shared leadership
- commitment to continuous improvement
- efficient and effective meetings.

A team is a system made up of human beings and their roles and relationships as well as responsibilities and goals. To operate effectively, the team must be alert to processes and interactions and goals and tasks—how they do what they do. A conscious, continuous attention to process minimizes the time spent dealing with disruptions, inefficiencies, and conflict. Rigid roles and hierarchies create bureaucratic processes that slow a team down and minimize effective action. Each team member should be able to act as and be seen as a leader when it is in the best interest of the team in accomplishing its vision.

Artistry in Action

A team that achieves remarkable results has a culture that encourages

- cocreativity
- craftsmanship
- accountability
- fun; enjoyment of the work and in being part of the team.

One thing that makes teams such an effective means of accomplishing innovative tasks is the synergy that comes from working together toward achieving a common vision. Individual creativity is heightened by the stimulation of others’ ideas. Many innovations are the results of a

number of people working together in a creative environment. A craftsman-like attitude toward work includes pride in and identification with the end result. Fun, far from being a trivial distraction from work, seems to be associated with high-performing teams. People put out greater effort and are stimulated to greater accomplishments through their commitment to the team itself and to the team's vision.

Source: *Leading Global and Virtual Teams*. Berkeley, California: Barnes & Conti Associates, 1999, 2007.

Web Appendix 4. Productive Partnerships

Partnership is the key to success when externals and internals work on joint projects. Internal Susan Curtis, director, Work Force Development at StorageTek, states, “I believe it is the attitudes of the consultant and the internal staff that make the difference. If both approach the work from a limited pie perspective, there is a tendency to grab what I can for me. However, if the perspective is ‘there’s plenty for everyone,’ the relationship has an opportunity to flourish and grow.”

“I’ve worked closely with the VP of HR at the oldest and largest retail products company in Canada. We have an amazingly open, honest partnership. She understands the internal politics, and I provide the credibility and processes to work with the CEO to build the leadership team. We have collaborated many times to create customized programs ... our relationship is beautiful. We have total trust and respect for one another. We didn’t have any conflicts. I supported her, both professionally and as a personal coach; and she would guide me regarding how to best engage with the senior team. I had a 10-year relationship with the CEO, but I still really needed her guidance and support to deal with some of the other members of the leadership team.”

—Mac Carter, Turning Points, External Consultant

Based on our own experience and the advice of many consultants, we offer the following advice:

For Externals:

- Remember who your client is.
- Recognize the enormous value of the internal as ally rather than neutral observer or, worse, enemy.
- Respect the internal consultant’s authority, expertise, and role in the organization.
- Communicate honestly and frequently.
- Be clear about and deliver on your promises.
- Value the internal’s deep knowledge of the organization.
- Become clear about and respect personal boundaries.
- Stay apolitical and maintain objectivity.
- Maintain the highest of ethical standards.
- Leave the organization better off when you depart than when you entered.
- Transfer skills/knowledge to internals and the client system.
- Bring the organization the benefits of your knowledge of the wider world.

For Internals:

- Go after partnership with externals.
- Ensure that management understands the value and expertise of internal consulting.
- Be politically neutral or politically savvy.
- Don’t be offended, don’t whine about not being included, and don’t act out resentment in

petty ways.

- Recognize that the external consultants become stakeholders in the organization and that they are under the gun to perform also.
- Learn everything you can from externals.
- Help clients understand that they need to play ball and join in the change process.
- Be clear about your role and competencies before confronting the challenges of large-scale change, planned and managed by an external firm.
- Consider using small firms that specialize in partnership with internal consultants.
- When managing an external firm
 - define expectations for the external and internal partners in the project
 - discuss and determine how conflicts and differences will be resolved
 - manage the scope of the project very carefully
 - plan frequent communication; build in scheduled checkpoints.

“Establishing the contract took up most of the time. The conditions were trust; open and honest communication (no matter how harmful that communication is—giving the organization the shock they need); buy-in from executive membership and key people around the business who can influence; a clear understanding of expectations both ways (often things go wrong when you only get expectations from the client and not the consultant); limitations of budget, resources, and knowledge (I expect external experts to challenge me); and respect for each other’s roles. By far the most productive behaviors in this relationship were challenging the status quo, listening and using real time feedback and questioning.”

—Faran Johnson, Vice President of Organization Development, First Data Corporation based in London and York (UK)

When internal/external partnerships fail, there are missed opportunities for the transfer of skills and knowledge, and a failed implementation can mean disastrous results for the organization and its employees. When externals rather than internals are managing the process, the final insult is a departing consulting firm that leaves the internal function to clean up the mess. However, a successful partnership draws on the strengths of both the internal and the external. The organization benefits, and the consultants all learn from the partnership.

Source: Excerpt from Scott, B., and J. Hascall. “Inside or Outside: The Partnerships of Internal and External Consultants.” *The 2006 Pfeiffer*, editor E. Biech. San Francisco: John Wiley & Sons/Pfeiffer, 2006.

Web Appendix 5. The Fire Next Time

By B. Kim Barnes

In the aftermath of the terrorist attack of September 11, 2001, I, along with legions of others around the planet, was horrified and nearly paralyzed. I wanted to do something, anything, to help those directly affected or to take some action that would guarantee that no such hateful act should ever take place again. As the months and years have passed, it has become more and more clear that the most important thing that any of us experiencing devastating change can do is to be part of the healing process for ourselves and others. We need to look for ways to transform the energy tied up in anger, fear, and stress into productive and positive action.

I first learned this lesson a number of years ago when a huge fire that raged through the hills of Oakland, California, destroyed our house. We were fortunate—we lost property, not lives. We were well insured. We rebuilt our house and moved on. As part of the healing and rebuilding process, I wrote an article focusing on sudden change, titled “The Fire This Time: Coping With Sudden Imposed Change.” The article came to me at midnight in a sleeper car of a train across central Europe about six weeks after the fire.

It seemed to me that the article wrote itself—as if the lessons I had learned from the experience could suddenly be articulated. Now we are facing, as a society, the uncertainty of a change that we did not choose, plan for, or anticipate. No insurance can cover the loss of trust in certain institutions that we have come to take for granted. We will never feel quite the same way about working in a skyscraper, living in a city, or flying on a commercial plane. We must face and overcome our own suspicions and mistrust of people we have lived and worked with. We must find ways to heal the destruction in our hearts and in our buildings and institutions. Following are some of the ideas that were so helpful to me in what seems to me now like a minor event compared to what we are currently experiencing. I think the principles apply to those of us who are coping with the aftermath, with recovering our faith in the future and in one another.

I have always been uncomfortable with psychological interpretations that suggest that human beings are at the mercy of a series of emotions, or stages, and must wait helplessly for them to pass to get on with their lives. There is certainly value in understanding the natural grieving process, but as one who by culture and personality prefers to be in charge of my life as much as possible, I look for ways to take action on my own behalf rather than waiting for things to happen. In this article, I will describe a set of actions that were extremely helpful in moving me and others toward acceptance of the situation after the fire and through the early stages of rebuilding our lives.

In the immediate aftermath of the fire and the ensuing months, I paid attention to my own reactions and responses and those of family and friends. I began to see how this experience could be a powerful metaphor that would help me gain understanding about coping with sudden, imposed change.

Looking back, I am, for the most part, comfortable with the actions my family and I took to restore our lives to something that is not the same but absolutely acceptable and even interestingly different.

I'll make some applications to other situations in which change occurs that you didn't ask or prepare for and that causes serious loss. In doing so, however, I recognize that our loss was mitigated by a very good insurance policy; this doesn't exist for most people caught up in a large-scale organizational or political change. For those directly affected by catastrophic events

such as a terror attack, I don't pretend to have any answers, only deep support and empathy. These thoughts are primarily for the benefit of those individuals and organizations who are caught up in the uncertainty of the changes wrought by events over which you have no control. I am also aware that the particular action steps that were so useful to us may need to be modified to accommodate differences in personality, cultural values, and life experiences.

Following, then, is a set of actions that had real value in adapting to and taking practical action toward recovery from a change that involved serious loss. The first four involve the past. The fifth moves you from the past to the future, and the sixth focuses on the future. Having created a path from the past to a positive future, you are now free to be active and productive in the present and so the rest of the actions are focused on the here and now.

- Assume the worst. When we were evacuated from the fire area, our house had not yet begun to burn, although a few houses near it were already ablaze. Of course, I hoped our home would be spared, but I realized that it would be better to be surprised by learning it had survived than to expect it to be there and find it gone.
- Let go of any illusions of control or magical thinking. The combination of assuming the worst and letting go shortened the “neutral zone” (Bill Bridges’s term for the time between when the old way ends and the new way begins) period for me. Friends who did not do this consciously later reported that they stayed in a suspended state for many days and delayed taking practical actions to re-create their lives. Visualization of a positive future, which you can help bring about, is productive; imagining that you can control the forces of nature, of the economy, of global politics is not. Letting go is a conscious choice—I found it helpful to use a mental image of letting go, such as opening my hand. Until you are able to do this, you will remain fixed in the past. Time spent reviewing how you or others could have prevented the disaster or how you might still rescue the situation is not productive. That time is better spent in grieving and then getting on with life after the firestorm. The time for learning how to prevent repetition of the loss will come later in the process when you can make a realistic assessment of what you can control and what you can't.
- Take time to grieve, but not more than you need. Two days later, after the fire was out, we were allowed to walk in to see what was left. Although we really knew what we would find, it was a shock to see our neighborhood looking like a bombed-out city. Our home was gone; in its place a strangely beautiful ruin. We cried and hugged. Then we got out the shovels we had brought and began to dig for what remained of our life there.
- There was more grieving to do, of course, but it happened from time to time as a natural part of the work of remembrance, healing, and rebuilding and never after that day was grieving the central focus of our lives.
- Celebrate the best of what was lost; bring it symbolically with you toward the future. The first thing I found intact was a plate my grandmother had painted in the 1920s. The glaze a little rearranged but otherwise perfect, it seemed a loving message from the past.
- Later we found our favorite breakfast mugs, recast as multimedia pieces. That night, the sunset was especially glorious, almost echoing the fire of two days earlier. The full moon shone at the same time through what had once been our bedroom window. We brought fruit and flowers (for life) and candles (for hope) and had a small, quiet ceremony in which we appreciated all that the house had meant to us, then let it go and made a promise to ourselves to keep that which was best in our hearts until we could build it again.
- Visualize a positive future; it does not need to be specific. The ability to envision a positive future at a difficult time arises from your resources, both inner and outer. Confidence in

yourself and those around you to achieve in the face of adversity is both reflected in and stimulated by your vision. Our vision shortly after the fire was not specific but rather a sense that we would find a good way to live our lives until we could rebuild. Much later, we began to imagine the kind of house we wanted to build. Having the knowledge that we would be whole again, although changed, helped us through the most difficult time.

- Revisit your values, and appreciate what you still have. We were all alive and well; things are just things. We were temporarily homeless, but we did not face it as a permanent condition as so many do. It does sound trite now to say that appreciating one's blessings is healing, but we are seldom faced in our fast-moving lives with an opportunity to learn what is deeply important. I was surprised to learn how easily my attachment to things—even wonderful things like works of art and antiques—was overcome.
- Empower yourself to take action on your own. I found my energy focused in the few days after the fire. Because of the excellent support I received from family, friends, and the staff of my company, I was free to find a house to rent, buy necessities, and get organized to start living normally again. The more I did things that moved us toward normalcy, the more the vision became realized. After an experience of complete powerlessness, it seems especially important to be active on your own behalf.
- Use your energy for building, not blaming. For some time after the fire, there was a great deal of speculation about whose fault it was. People asked us about this as if having someone or something to blame is a necessary part of the healing process. It is not. The immediate cause of the fire may or may not have been someone's carelessness. The more important cause was that people like me choose to live in a part of the world that is prone to wildfires and earthquakes and choose unsuitable building and landscaping material. We can do something about the latter if we are willing to learn from this experience (as we have not from previous fires in the area). The former is a choice that involves risk, and we need to accept that or make a different choice. Energy spent on blaming others for our troubles is not being spent on resolving the problem. It is part of the fantasy of control that prevents us from moving on. In the case of loss due to hostile acts, focus on blame and retribution rather than prevention and justice can lead to endless cycles of mindless conflict.
- Guide and use your support system. For many months after the fire, people, out of kindness and concern and perhaps also their own fears, showered us with sympathy. It would have been easy to accept this, perhaps even dwell on it, had we been less eager to start rebuilding our lives. Instead, after a short while I found myself uncomfortable with it. It was much easier to accept help than sympathy; friends who showed up in work clothes and with tools to help us dig or who offered to shop for necessities were deeply appreciated. We learned to ask frankly and directly for the kind of help we needed and came to realize how important this was to those who wanted to help and didn't know how.
- Be forgiving toward yourself and others. For several weeks I was aware of being more snappish than usual. I was impatient and irritable with anyone in my way. An airline that temporarily lost luggage containing newly purchased clothes was the object of my wrath practically nonstop for 48 hours. I wryly noted that I seemed to be reacting out of all proportion about something relatively trivial when I had accepted the loss of everything with much more equanimity. Later I realized that while I could accept the inevitable, I was not in the least prepared to accept the incompetent. My reactions were magnified by the fact that the target was concrete and at least theoretically more responsive to railing than a hot wind from the wrong direction. Even while this was going on, I found it a little amusing and tried to

communicate that to the poor baggage control officers who had to take my calls. Knowing that the overheated reactions are temporary helps to keep them from escalating, especially if you can let the recipients know that you are blowing off some steam in addition to being genuinely concerned about the problem. Forgiveness and graceful self-disclosure can help heal important relationships with family, friends, and colleagues at the time you need one another the most.

- Make a conscious effort to learn from the experience. Noticing your own reactions in a tough situation is a little like the eye trying to see itself, and certainly too much self-consciousness is distracting. Still, at least for people who are always curious and questioning, this kind of experience offers tremendous opportunities to learn. Learning creates meaning and value from an experience that is otherwise cruel and senseless.
- Don't be afraid to take time off from the serious business of rebuilding your life; relax and renew yourself. Sometimes we allow our situations to define us. A "fire victim" should be suffering. He or she under no circumstances should be found having a good meal in a restaurant, attending a play or movie, or taking a vacation. I found that the moments I spent enjoying my grandchildren, having a relaxing evening out with my husband or friends, reading a good mystery, or taking a long hot bath enabled me to conduct my more complex life with renewed energy and grace.

So how does this relate to coping with other kinds of changes—those that are or seem sudden and are not in one's control? I do not include here loss through death or illness of loved ones, but rather the kinds of changes that inevitably occur in the life of organizations and their employees. The loss of a job, a major contract or customer, a change in leadership or reorganization, or the sudden announcement of a change in corporate mission or philosophy can feel like an earthquake or fire. The loss of certainty and the temporary loss of faith in the future are losses many of us suffer. I think of the many times I have consulted with companies whose employees were still grieving for the "good old days." (I've seen this in young companies that have lost their early entrepreneurial drive and become "corporate" and in companies that have been around for more than 100 years and have chosen to change their management practices and their technology.) The loss of productivity and morale that can occur during and after rapid, large-scale change is well known.

The principles above may be useful to implementers of large-scale change, especially when that change is sudden and not of your making. You can apply these principles both to yourself and to help those whom you represent, serve, or direct. A sudden change that causes serious loss is not unlike a firestorm to those in its path. You can't stop it, but you can survive it; you can even grow and change in unexpected and interesting ways because of it. As I stated earlier, good insurance helps. The best insurance for coping with sudden change is a good support system and a sophisticated set of skills. Individuals and groups that have put these in place before the change have the best chance of surviving and even thriving under otherwise adverse circumstances. Fire consumes; it also refines.

Source: *The Mastery of Change: Thriving in Difficult Times*. Berkeley, California: Barnes & Conti Associates, 1998, 2008.

Web Appendix 6. Potential Questions for Client Contact Meeting

Change

- What are your personal beliefs and experience with change?
- What benefits and difficulties have you experienced in implementing other change efforts?
- What did you learn from a recent effort similar to the one we are discussing?
- What is motivating you to make changes in behavior, the organization, systems, or business processes?

Business/Organization

- What is the background that led to your decision to call me?
- What have you done or tried so far?
- What business issues are you currently facing? What is the background?
- What employee/organization/performance issues are you currently addressing? What is the background?
- How is this issue affecting the business, customers, or employee results?
- How is it affecting the employees and the ability of the team or the organization to function effectively?
- What has been successful in the past?
- What is working now?
- If these issues were resolved, what would the business/organization/performance look like?
- What may impede or get in the way of accomplishing the desired outcomes?
- What will support or help achieve the desired outcomes?
- What opportunities are opening up for your business/organization?
- How would your ideal organization function?
- How do you see the organization three to five years from now?
- What are your ideal performance outcomes/results?
- Who else needs to be involved in this project?
- May I talk to your boss/employees/colleagues to get a broader perspective?
- Whose commitment do we need for this project? How will we secure that?
- Are there parts of the project we can break into smaller pieces?
- I would like to spend time on the shop floor / ride with the sales team / listen in on customer service calls to learn more about your business. Can you set that up for me?
- What administrative or other needed support is available?

Client

- What is driving or motivating your interest in this effort?
- What interests you in doing X?
- What else is taking your time right now?
- How much time and attention are you willing to devote to this initiative?
- What role are you willing to play?
- What are your personal goals for the future?

- Have you had prior experience with a similar change effort before?
- What benefits and difficulties did you experience?
- What did you learn?

Relationship

- How do you see us working together?
- How will we resolve differences or conflicts?
- How will we communicate? How often?
- How will decisions be made?
- How will we manage changes from outside the project?
- How will we handle changes needed within the project?
- What ground rules or agreements will guide our work together?
- How and when would you like to hear feedback about your support and leadership of the project?
- How often do you want progress reports?

Web Appendix 8. Meeting Agenda

Date:		Title:	Xxxxxx Project Goals & Metrics
Time:		Facilitator:	
Location:		Attendees:	Key attendee is the project sponsor along with all potentially affected stakeholders or critical subject matter experts.

Meeting Purpose

- Review project objectives and desired outcomes.
- Identify and select several SMART success metrics to support the project business case and measure achievement of project benefits.

SMART is an acronym:

- Specific—Goal/deliverable is clear cut and unambiguous.
- Measurable—Goal/deliverable can be evaluated according to quality, cost, productivity, and time.
- Achievable—Procedures, tools, and capabilities needed to get the work done are in place; objectives are challenging but attainable.
- Relevant—Goal/deliverable objective is in line with overall business vision and maps to strategic goals.
- Time-bound—Goal/deliverable is expected to complete by a certain date/time, including interim metrics to trace progress toward goals.

Meeting Outcomes

- Agree on desired outcomes of a successful project.
- List potential metrics.
- Make initial selection of metrics to include in business case.

Agenda Topics

	Description	Process	Owner	Time
1	Why are we doing this project? What are we trying to fix/improve?	Sponsor describes flipchart goal statements ⁽¹⁾	Sponsor	20 min.
2	What's getting in the way?	Brainstorm and flipchart current state barriers and issues	All	15 min.
3	If this project is wildly successful, what will be different?	Brainstorm and flipchart future state outcomes	All	15 min.
4	How could you prove/measure achievement of goals/results?	Facilitate discussion	All	20 min.
5	What metrics shall we use?	Dot vote to identify/rank order top metrics	All	15 min.

(1) Facilitator captures on flipchart as many goal-oriented statements as possible and attempts to put each in SMART terms, i.e., what problem/opportunity will be addressed (increase/decrease), by how much and by when. Check back with sponsor, and clarify/validate the sponsor's goal and the level of alignment from participant stakeholders. The goals from step 1 are critical inputs for step 2.

Additional Notes and Comments

Consider attaching some background materials for pre-reading, prework instructions, or definition of suitable substitute attendee in this area and send out agenda two to three days in advance of meeting.

Source: Chris Foley, Former Process and Six Sigma Internal Consultant, Consumer Products Industry.

Web Appendix 9. Current and Future State Analysis Tool

Using this tool will let you quickly gather input from a diverse set of stakeholders about why a project is important and what they expect the project to deliver. The benefits of using this tool are to

- surface latent requirements that would otherwise surface as scope creep or unmet expectations at a later date
- understand stakeholder views and set priorities on which problems and solutions are most critical (essential versus nice to have)
- understand cross-functional/organizational implications and effects of the future state changes
- identify the top business drivers that can be linked to corporate goals and measurable benefits
- define measurable benefits for justifying the project
- gain critical insights regarding scope, order of magnitude size, deliverables, resource requirements, and timeline for completing the project charter, due diligence, and scope.

How to Use the Tool

Use this tool in individual interviews or with a group:

- Brainstorm the business and problem drivers for the project, identify current unwanted effects, who or what is affected, and rate the importance of fixing/addressing the problem. Move quickly and ask only clarifying and “so what” questions. Do not engage in discussion about solutions.
- Brainstorm the improvements that a successful project implementation would deliver. Ask clarifying questions about what capabilities or results would improve and what current state problem would be solved. Discuss solutions at a high level, but don’t discuss specific software, vendors, and approaches.

During the second brainstorm, refer back to the first brainstorm list. Verify that you don’t overlook how the future state would eliminate or improve any of the high- or medium-priority current state problems or limitations.

Step 1: Ask, “Why are we considering doing this project?”

Understand symptoms of the current state:

- What’s not working today?
- How and where do problems show up?
- Why is it a problem? Who is it a problem for, in what work group?

Current State Problem Symptom or Limitation	Who or what is most affected?	Priority? (H/M/L)

Web Appendix 10. Departmental Training Request / Consult Assessment

Requester: Phone:
Position: Dept.:
Leader: Contacted? Y or N
Levels of Performance Change:
Awareness Skills Behavior Group/Organizational

Request for training/consult occurs; consultant returns call to ask the questions below:

1. Identify reason for request.

Tell me about your reason for this training/workplace consultation.

2. Identify desired outcomes.

What do you want your group to achieve as a result of this training? On what do you base this?

3. Identify behaviors.

What specific behaviors would you like to see more or less of?

4. Identify history.

Has training / workplace consultation been offered before to this group for these reasons?
What? When? To what effect?

5. Identify participant need.

What would the participants think about this training possibility?

If request is at behavior change level:

6. Identify barriers.

What has been the barrier in the past to change?

7. Identify behaviors.

What specific behaviors would you like to see more or less of?

8. Identify the scope.

How many of the participants are in need of change?

9. Identify metrics.

How would we measure success?

10. Identify effect on business/organizational results.

What will be the benefit for the organization if desired change occurs?

11. Identify leader support.

In what ways would leadership support the changes?

12. Identify evaluation.

We have a process to send electronic evaluations at three and six months. Does that work for these participants?

13. Identify challenges.

Describe current workplace changes and issues that may influence participants' willingness to improve.

14. Identify logistics.

Who is in the audience:

Dept./job classifications:

No. in audience:

Date/time:

Place:

Length of session:

Possible topics:

Presenter assigned:

Source: Teresa Kulper, Director, Organizational Effectiveness, Higher Education.

Web Appendix 11. Alignment Checklist

Vision, Goals, and Outcomes

My client and I have

- developed a common vision for the desired future
- made an agreement about desired outcomes and results
- set goals for our work together
- written a provocative proposition.

Relationships

My client and I have

- established a working partnership
- developed trust and credibility
- made an agreement to give and receive feedback
- agreed that I will provide coaching
- set a clear agreement regarding levels of confidentiality
- identified key stakeholders.

Organization and Stakeholder Involvement

My client and I have

- confirmed support and agreement from appropriate senior management
- clarified the role of my client's boss or other senior managers
- agreed on participation of members in the department, unit, or function
- clarified roles of other stakeholders, such as human resources or other departments
- identified the role of customers or vendors.

Schedule and Timelines

My client and I have

- agreed to a schedule with milestones and completion dates
- scheduled critical meetings or off-site events
- identified key decision points
- developed alternative or contingency plans.

Roles and Responsibilities

My client and I have

- developed a mutual understanding of both our roles
- agreed on the usage and role of outside consulting resources
- set clear expectations of design, project, or transition teams
- agreed on arrangements for administrative, logistic, and clerical support.

Communication

My client and I have

- determined how we will communicate and keep each other current
- developed key messages and symbols needed to communicate the vision and purpose of the change process
- decided who will be primary communicator to project, design, or transition teams
- agreed who needs to be kept informed of our progress
- identified vehicles, such as newsletters or critical meetings, to reinforce key messages.

Decision Making

My client and I have agreed on

- who has what level of decision-making authority
- how decisions related to this intervention or project will be made
- who will be involved in key decisions
- how differences will be revealed.

Additional Information or Knowledge

My client and I have

- discussed what further information I need about the business or the organization
- agreed on how additional information will be gathered
- identified areas about which my client needs further education or knowledge
- determined who in the organization needs to receive further information.

Systems Perspective

My client and I have

- discussed the wider implications of this project
- clarified the connection to the other initiatives in the organization
- agreed on extrinsic and intrinsic rewards for members who support the change process
- agreed about organizational systems and structures that need to change to support this effort
- shared our views on the effect of organizational politics.

Change and Intervention

My client and I have

- agreed on how change will be managed in the organization
- discussed the importance of transition for members of the organization
- agreed on how the change process will proceed
- discussed and selected intervention approaches to accomplish the desired outcomes and to create the desired future.

Costs and Budgets

My client and I have

- clarified who has budget approval for this project
- agreed on the cost parameters
- discussed the anticipated expenses for learning materials, travel, and off-site expenses and determined how those expenses will be covered
- reviewed procedures for charge-backs and identified budget codes.

Evaluation

My client and I have

- determined the measures of success or change
- agreed on the method for evaluating this project
- identified data to be used in establishing a baseline.

Learning

My client and I have

- developed a shared understanding of the importance of learning
- agreed to set aside time periodically and at the project's close to exchange information on what we are learning
- committed to feedback and reflection on what we have learned
- planned to create processes and structures for organizational learning.

Potential Problems

My client and I have

- identified potential problem areas and how the project could be derailed
- developed preventive actions and alternatives.

Web Appendix 12. Project Tracking Chart Example

Meeting Team					Meeting Date	
	<i>Task</i>	<i>Person responsible</i>	<i>Plan date</i>	<i>Actual date</i>	<i>Deliverable (what, to whom)</i>	<i>Customer/Comments</i>
	Add a module on mental models to off-site agenda	Kate	[6/11] postpone		Mental models module developed to share with organization change (OC) staff	OC not done due to lack of time on agenda of 6/11. To be rescheduled at a later date, if still requested.
	Add time for discussion of budget to off-site agenda	Karen	[6/11] postpone		Time added to 6/12 agenda	OC not done due to lack of time on agenda of 6/12
	Develop individual goals, values, and behaviors for consultation and culture survey Bring to next off-site event	All	[6/12] postpone		Goals, values, and behaviors relating to consultation and culture survey brought to 6/12 meeting	OC done, but didn't review all at 6/12 meeting. Do we want to finish this activity?
	Capture lessons	All	Ongoing		Documentation of	Daniel Denison

	learned, results, etc., on the culture survey as you come across them; archive for later use in Denison's book		through 20XX		culture change results, lessons, learned, etc., archived for easy retrieval	
	Type up sheets for off-site	Jen	8/12	8/19	Give to Nancy electronically	Team typed and distributed by Nancy
	Draft memo/proposal of structure/plan	Nancy	8/21		Draft circulated to team	OC
	Provide input on draft	All	8/24		Input provided to Nancy for incorporation into document; document sent to Karen.	Karen

Source: John D. Adams, Manager, Former Internal Consultant, Insurance Industry.

Web Appendix 13. Change Management Model

The change is an attempt to capture a benefit opportunity. The event initiating that change can be the introduction of a new strategy, new technology, new organization, or new skill. And that event presents an opportunity to be successful at best, maintain status quo if we're lucky, or fail at worst.

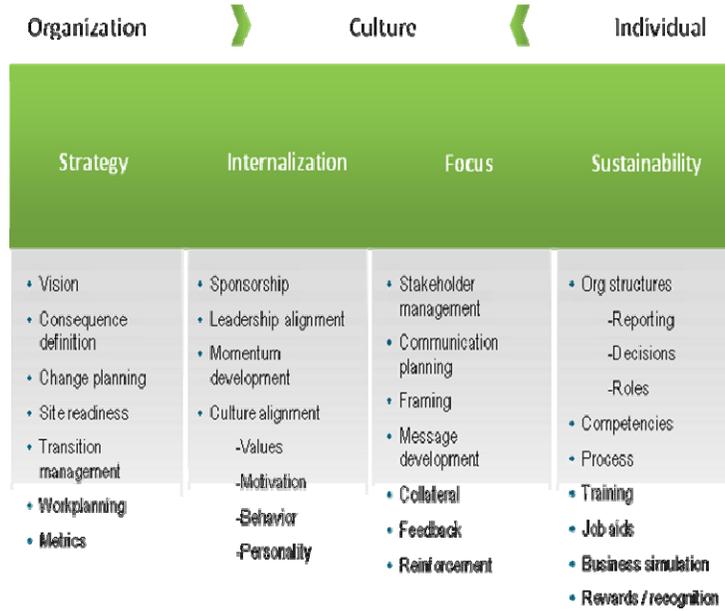


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The management targets human performance. All of the following elements must be addressed, or the whole performance system breaks down:

- *Strategy*: What is the overall purpose and direction for this initiative, and how will the change be managed?
- *Internalization*: What behavioral changes do we expect?
- *Focus*: Have we appropriately directed people's attention to the change?
- *Sustainability*: What infrastructure ensures the change will continue?

These elements must be addressed with the whole system in mind, at the individual, culture, and organization levels.



Source: Emerson (2010).

Web Appendix 14. Two-Year Process Improvement Process

Process Outline

- description (excerpt below)
- structure (excerpt below)
- roles and responsibilities (excerpt below)
- design of team outcomes (excerpt below)
- communication process
- decision-making process
- resources needed
- estimated budget
- timeline
- design of team guidelines
- training curriculum for design teams
- glossary

Description (excerpt)

We will use a steering committee to provide direction and focus for the redesign efforts. Design teams will be selected and directed to clarify a project's scope, parameters, and goals and to gain alignment from the steering team. Roles, communication, and decision making are described further in this document.

Baselines and Measurements

Baselines will be established at the front end of the project within the education, definition, and analysis phase. Project consultants will assist the design teams in establishing the criteria and baseline. Baselines will serve as

- measurements for the existing process to help establish improvement goals and targets
- data points for redesign
- benchmarks against which to measure design efforts and improvements internally and externally for best practices
- measurements to gauge postimplementation effectiveness of design team effort. Postimplementation measurements will also serve as baselines for subsequent, ongoing, continuous process-improvement efforts.

Responsibilities and Roles

Steering Committee

- Establish mission for design teams.
- Define focus and scope of redesign efforts.
- Supply necessary resources.
- Remove barriers and obstacles.

- Encourage and reward design-team efforts and contributions to the business goals.
- Be keepers of the vision, and promote change efforts throughout the organization.
- Provide one-on-one guidance to design team leaders.
- Promote partnerships between team leaders and project consultants.

Project Consultants

- Provide guidelines to steering committee and design teams through a formal framework and process for redesign efforts.
- Establish the plan, do, check, act (PDCA) cycle as the theoretical, continuous process-improvement underpinning for the redesign efforts.
- Establish effective and productive working relationships with steering committee and design team leaders.
- Assist team leaders with formation of design teams, and be available to consult as needed.
- Provide or outsource consultation services to project participants as needed.
- Develop and implement redesign curriculum, methodology, and tools.
- Assist design teams in formulation of baseline measurements and criteria.
- Serve as facilitators for design teams and steering committee meetings.

Team Leaders

- Select design team members, and establish team, customer, and stakeholder roles.
- Establish team ground rules, mission, and scope of project.
- Establish process mission, vision, and scope.
- Lead, direct, and guide design team efforts.
- Lead, direct, and guide team meetings: agenda, content, deliverables.
- Be responsible for overall performance of the design team, including implementation and evaluation.
- Be the information conduit, providing timely progress reports to project champions and the steering committee, as well as a communications link to design team, customers, stakeholders, and project consultants.
- Establish working partnerships with project consultants to help achieve project goals.
- Work with project consultants before and after team meetings to continually improve team effectiveness, efficiency, and productivity.
- Identify resource needs (people, budget, materials, time, machines, knowledge, skills) to project champions, steering committee, and project consultants as appropriate.
- Work with project consultants to formulate baseline measurements and criteria.
- Carry out the redesign process, and attain project goals.

Design Teams

- Support the leadership of the team leader.
- Define and analyze the process, including mapping, establishing baselines, and assessing the effectiveness and efficiency.
- Redesign the process: propose modifications, changes, and implementation plans.

- Serve as members of implementation team(s).
- Be evaluated according to contributions to the overall effectiveness of the team in attaining its goals.

Implementation Teams

- Implement process improvements including technical (for example, management information systems) and social (for example, human resources / work redesign) components.
- Evaluate process improvements.
- Launch continuous process-improvement efforts.

Project Outcomes

The consultants see their work consisting of five phases:

1. planning
2. education, definition, and analysis
3. redesign
4. implementation
5. evaluation / continuous improvement.

Phases 1 and 2 will encompass 80 percent of our start-up efforts and will be the focus for six months. The outcomes for each phase are outlined in table 1.

The roles of consultants will be consultant, educator, trainer, and facilitator. Consultant objectives are to provide the necessary methodology, tools, and ongoing support to help design teams to be as efficient, effective, and successful as possible in their work.

Table 1. Outcomes for Five Phases of Consultant Projects

Project Phase	Date (projected)	Outcomes	PDCA Cycle
Planning		<ul style="list-style-type: none"> • Agreement on charter, framework, baseline methodology, design knowledge, and skills curriculum • Assembly of design teams • Begin strategic partnership with team leaders • Assess current projects with associated team leaders 	Plan
Education, definition, and analysis		<ul style="list-style-type: none"> • Teams understand redesign principles, are able to map their process, collect and assess customers' needs, and analyze the process and internal/external challenges • Structured site visits conducted 	Plan
Redesign		<ul style="list-style-type: none"> • Proposed process modifications and changes (systems, structure, skills, etc.) to the extent appropriate • Organizational effect assessed • Congruence with organizational goals • Strategies for implementation 	Plan
Implementation		<ul style="list-style-type: none"> • Fail-safe strategies (pilots, early warning systems) • Implementation plans • Evaluation plans 	Do
Evaluation		<ul style="list-style-type: none"> • Evaluation of redesign efforts underway with modifications and continuous process-improvement steps taken 	Check Act

Source: Helm Lehmann, Author, Former Organization Development Manager, Retail Industry.

Web Appendix 16. Trust-in-a-Box Facilitator’s Guide

Objectives:

- Build a collaborative work environment across the organization
 - Build empowerment within the organization
 - Build trust within the organization

Time	Topic	Method	Speaker	Instructions	Objectives
Start: 0:00 0:10 (8:10 a.m.)	Welcome and introductions	Large-group discussion			1. Meet and greet
0:10 (8:20 a.m.)	Objectives and ground rules	Large-group discussion			1. Clarify and communicate “why we are here” 2. Review agenda
0:30 (8:50 a.m.)	Ice breaker: Team Picasso!	Small-group activity		1. Divide group into six smaller groups. Select spokesperson. 2. Three groups will illustrate on a flipchart (no words) what a high-functioning team would look like (i.e., in art form). List out attributes that validate each illustration. 3. Three groups will illustrate on a flipchart (no words) what the dynamics are of a dysfunctional team. List out attributes that validate each illustration. 4. Report out to large group and discuss. 5. Post on wall for entire day.	1. Foster a little out-of-the-box thinking as it pertains to team building 2. Provide framework for group 3. Common vision around team development 4. Creative activity versus just “writing out words”

Time	Topic	Method	Speaker	Instructions	Objectives
				6. Segue into organization's values and behaviors piece.	
0:15 (9:05 a.m.)	Review of organization's mission, values, and behaviors	Large-group discussion			<ol style="list-style-type: none"> 1. Remind group of organization values and operating behaviors 2. Discuss to achieve an understanding and alignment of values and behaviors with current dynamics of a high-functioning team
0:45 (9:50 a.m.)	Report card: Phase 1	Small-group activity		<ol style="list-style-type: none"> 1. Break out into small groups. (# of groups = # of values). Each group is assigned a value and the correlating behaviors. 2. Assess how well we put in practice as the group's assigned value and correlating by assigning the value and behaviors a letter grade from A to F. 3. Provide real-life examples to validate your "grade," both positive and negative examples. What is getting in our way of always getting an A for each value and behavior? 	<ol style="list-style-type: none"> 1. Assess each value, and get it on the table where we need to improve and what we are doing well
0:10 (10:00 a.m.)	BREAK				

Time	Topic	Method	Speaker	Instructions	Objectives
0:45 (10:45 a.m.)	Report card: Phase 2	Large-group discussion		<ol style="list-style-type: none"> 1. Post and report out each report card. 2. Discuss grades and examples. 3. Agree, disagree, surprises, observations... 	<ol style="list-style-type: none"> 1. Speak to the elephant in the room; get some of the ugly stuff out on the table 2. Call out finger-pointing, e.g., “us versus them”
0:30 (11:15 a.m.)	Report card: Phase 3	Small-group activity		<ol style="list-style-type: none"> 1. Return to assigned small groups. 2. Groups are now assigned a different value and correlating behaviors than what they had before. 3. Based on the value they have now been given, what is one team practice they will put forth to the larger group to uphold this value? 4. Report out to larger group. 5. Garner agreement from larger group on each of the team practices. 	<ol style="list-style-type: none"> 1. Create a set of agreed-upon team practices based on our values
0:30 (11:45 a.m.)	Going forward	Small- and large-group discussion		<ol style="list-style-type: none"> 1. Each participant writes and signs a pledge containing: <ul style="list-style-type: none"> - A specific action step each participant will implement and maintain to support trust within the organization - What they will need (e.g., support) from their colleagues in the room to accomplish their action item. 2. The pledges are collected and 	<ol style="list-style-type: none"> 1. Have each individual commit to one action they will take to work differently in order to move the organization and this team forward 2. Individuals should pledge to take specific actions

Time	Topic	Method	Speaker	Instructions	Objectives
				distributed and read aloud by each participant to the large group. 3. All team pledges will be put into a team handbook and sent to all participants for future reference.	regarding changes or enhancements to their behavior vs. a generic pledge of “I pledge to be a good teammate”
0:15 (12:00 p.m.)	Wrap-up	Large-group discussion		1. How will we know if we are succeeding or failing? 2. What does this group need to do next to sustain this process and move it forward?	1. Create a dashboard/method to measure team effectiveness 2. Clarify and commit to next steps

Source: Paul Larsen, Human Resources Business Partner, Pharmaceutical Industry.

Web Appendix 17. Team-Building Designs

One-Day Design

<i>Time</i>	<i>Activity/Topic</i>
15 min.	Warm-up exercise for breaking the ice and getting to know each other better
15 min.	What kind of team are we? Discussion of interdependence
60 min.	Herrmann Brain Dominance Instrument Review of the model and the mentality preferences of the group
30 min.	Communication: How do we communicate?
30 min.	Team development <ul style="list-style-type: none">• Post four stages of group development: forming, storming, norming, performing• Using six factors of team development (commitment, purpose, involvement, trust, communication, how we work), conduct a living/moving survey by asking people to stand by group development state for each factor
60 min.	Lunch
90 min.	“Value-added” presentations <ul style="list-style-type: none">• Individuals prepare presentation on “What I bring or contribute best” and “How am I underused?” Group feedback Individual confirmation
90 min.	Needs exchange <ul style="list-style-type: none">• “What I need more of from you is...”• “What I want less of from you is...”• “Please do not change...”
30 min.	Standard setting <ul style="list-style-type: none">• How will we work in the future?
10 min.	Closure

Six-Meeting Design

<i>Duration</i>	<i>Timing</i>	<i>Topic</i>
Meeting I		
4 hr.	At your convenience	Review of survey data Defining a “team” Criteria for teams Review of Herrmann Brain Dominance Instrument and communication implications Homework: A quality team
Meeting II		
4 hr.	2-3 weeks later	How we work What makes a quality team? Criteria for team membership Team membership obligations Factors that influence team effectiveness Homework: Team player survey <ul style="list-style-type: none"> • “Value I bring to the team”
Meeting III		
3 hr.	2-3 weeks later	Review of team player survey and implications for team Review of “Value I bring” exercise Exercise: “What I need you to know about my work and how I work” Homework: Positive feedback
Meeting IV		
3 hr.	2-3 weeks later	Trust Treating each other as “prime customer” Giving and receiving feedback Helping each other to learn (part 1) Homework: Helping each other to learn (part 2)
Meeting V		
3 hr.	2-3 weeks later	Helping each other to learn (part 2) Unfinished business
Meeting VI		
3.5 hr.	2-3 weeks later	Conflict-resolution workshop

Source: Jim McKnight, Former Organization Development Consultant, Financial Industry.

Web Appendix 18. Human Resources Development Process

1. Understand Business Context

- Review corporate vision, mission, strategy
- Consider external market conditions
- Link to corporate critical business issues
- Determines business unit issues and individual competencies

2. Envision Future Needs

- Determine future business needs
 - Performance productivity
 - Critical issues process improvements
- Determine future career development needs
 - Competency modes: Knowledge, skills, attitudes, outputs/tasks
- Use breakthrough thinking
- Map “should” process
 - Conduct visioning process
 - Form training advisory committee
 - Conduct focus groups to develop competency models
 - Form curriculum committee
 - Identify master performers

3. Assess Current Realities

- Determine business performance
- Determine individual competencies
 - Map “is” process
 - Benchmarking
 - Statistical data analysis
 - Self-assessment
 - Peer assessment
 - Manager assessment
 - Subordinate assessment

4. Analyze Gaps

- Compare future needs with current realities
 - Prioritize results
- Is the “gap” caused by a skill deficiency?
 - No
 - Yes
- Staffing problem?
- Financial problem?
- Poor organizational structure?

5. Design Learning Strategy

- Establish learning objectives
- Determine best learning method(s)
- How can the gaps be addressed?
- Strategic off-sites
- Self-study
- Classroom delivery
- Job rotation
- Mentoring
- Degree programs
- Competencies and issues
- Business learning strategy
- Best learning practice
 - Just-in-time
 - Applied
 - Modular
- Individual learning strategy
 - Design a team approach to address the gap
 - Design individual development plans
 - Establish success measures

6. Implement Learning Strategy

- Identify resource—make or buy?
- Schedule activity
- Implement
- Follow up / Reinforce activity

7. Evaluate/Measure

- Add value?
- Address original business issue?
- Level 1: Reaction evaluation
- Level 2: Learning evaluation
- Level 3: Behavior or skill application
- Level 4: Impact or results evaluation

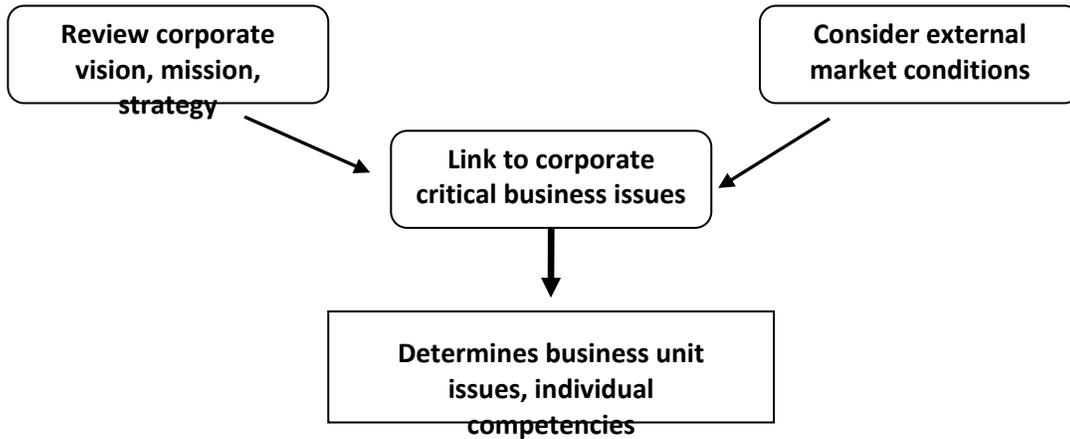
8. Continuous Improvement

- Apply evaluation/measure results or reanalyze steps to
 - Improve design and delivery
 - Increase use of learning on the job
 - Make informed decisions

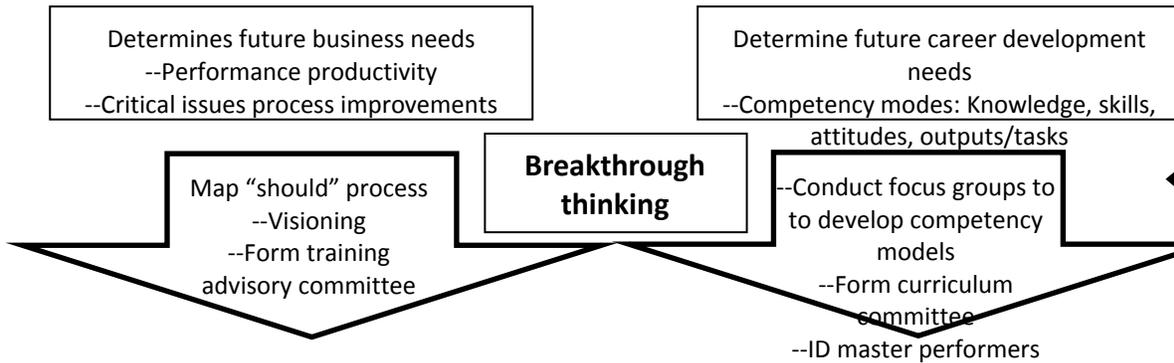
Source: Kevin B. Wheeler, Global Learning Resources, Former Internal Consultant, Charles Schwab Corporation.

Human resources development process.

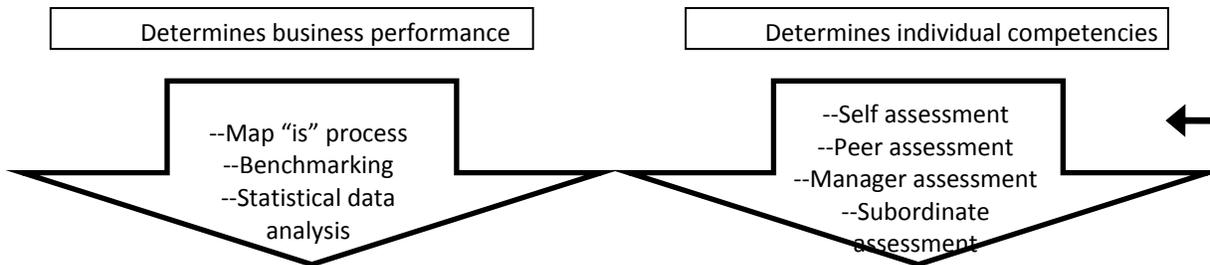
1. UNDERSTAND BUSINESS CONTEXT



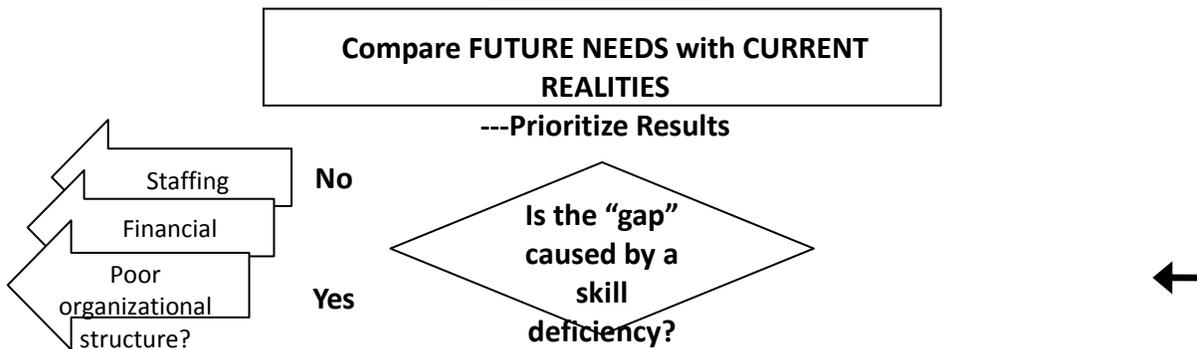
2. ENVISION FUTURE NEEDS



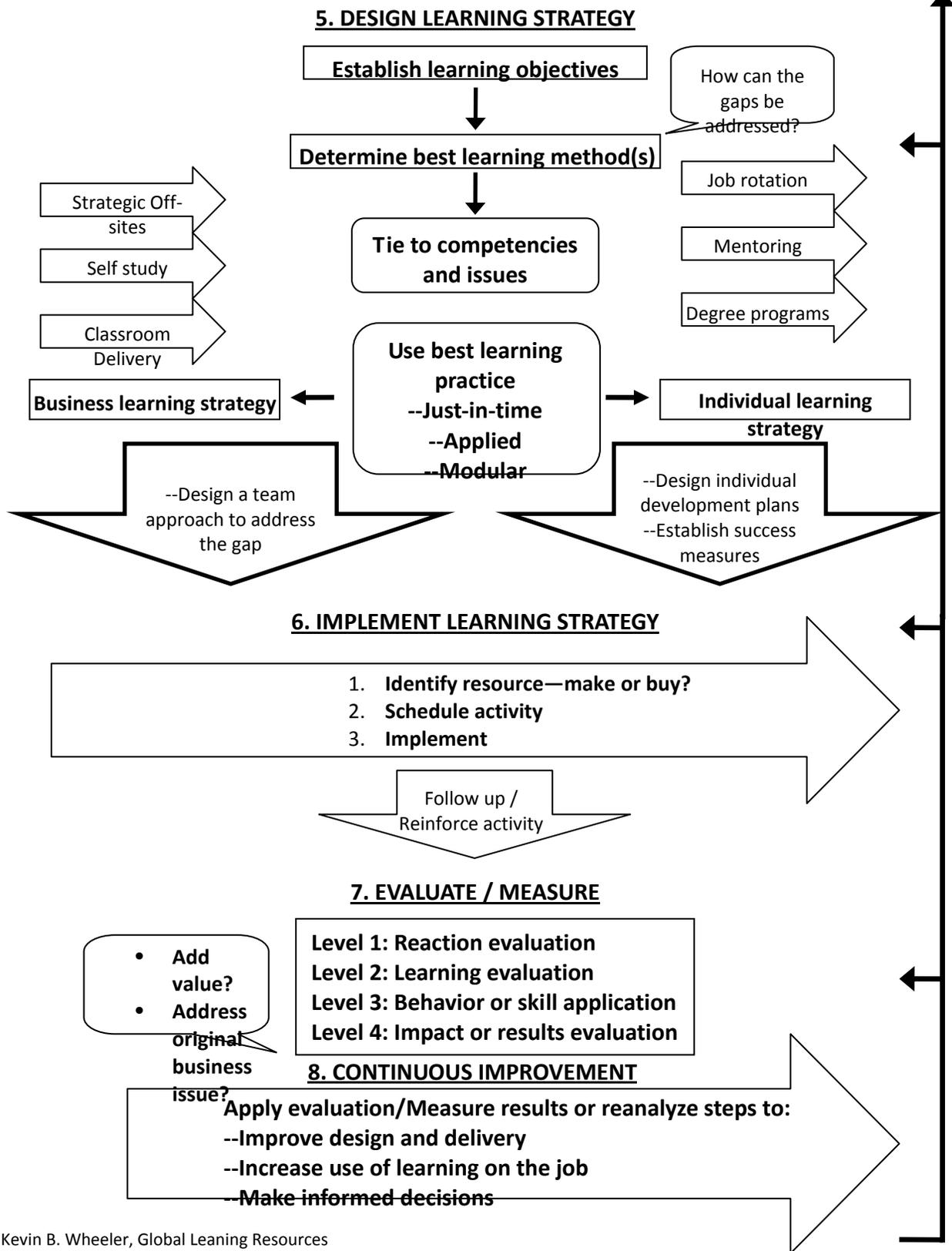
3. ASSESS CURRENT REALITIES



4. ANALYZE GAPS



Human resources development process (continued).



Web Appendix 19. Return-on-Investment Evaluator Template Example

Average Cost of Third-Step Grievances (based on salary data below)

Labor relations' time, 2 hours @ P&S rate
Department managers' time, 1 hour @ P&S rate
Department human resources' time, 2 hours @ P&S rate
Supervisor's time, 2 hours @ P&S rate
Union steward's time, 2 hours @ merit rate
Employee's time, 2 hours @ merit rate
Total

Average Cost of Arbitration (based on salary data below)

Labor relations' time in prep and meetings, 8 hours @ P&S rate
Department managers' time in prep and meetings, 8 hours @ P&S rate
Department human resources' time in prep and meetings, 8 hours @ P&S rate
Supervisor's time in prep and meetings, 8 hours @ P&S rate
Union steward's time in meetings, 4 hours @ merit rate
Employee's time in meetings, 4 hours @ merit rate
Portion of arbitrators' fee, \$4,000 / 2
Cost of third-step grievance
Total

Estimated Average Cost of Lawsuit Settled out of Court

(potential savings accrued per case according to legal counsel)

Cost of Turnover

Hourly
Salaried

Productivity per Year in Dollars = Roughly Two Times Salary

According to Hunter, Schmidt, and Jackson (1982).

Average estimated cost of Ombudsperson involvement in dispute resolution

Ombudsperson's time	10 hours	/Hr.
Employee's time	3 hours	/Hr.
Human resources rep's time	2 hours	/Hr.
Supervisor's time	3 hours	/Hr.

Total

Employee Group	Average FTE Salary	Benefit %	Benefit Cost	Total Cost per Year
Hourly			\$0	\$0
Salaried			\$0	\$0
Faculty			\$0	\$0

Source: Teresa Kulper, Director, Organization Effectiveness, Higher Education.

Web Appendix 20. Summary Report: Organizational Effectiveness Consult

Consult ID:	Unit Name:	Primary Consultant:
-------------	------------	---------------------

Total Number of People Involved: _____ Close Date: _____

Contact Name: _____

Assessed Problem (please describe):

Objectives	Measures of Success	Progress Toward Objectives	Recommendations	Ratings	
				Consultant	Client
1.	1.	1.	1.		
2.	2.	2.	2.		
3.	3.	3.	3.		
4.	4.	4.	4.		
5.	5.	5.	5.		

Overall objectives rating, as reported by the consultant:

<input type="checkbox"/> 1 Not met at all	<input type="checkbox"/> 2 Met somewhat	<input type="checkbox"/> 3 Met adequately	<input type="checkbox"/> 4 Met well	<input type="checkbox"/> 5 Exceeded objectives
---	---	---	-------------------------------------	--

Overall objectives rating, as reported by the client:

<input type="checkbox"/> 1 Not met at all	<input type="checkbox"/> 2 Met somewhat	<input type="checkbox"/> 3 Met adequately	<input type="checkbox"/> 4 Met well	<input type="checkbox"/> 5 Exceeded objectives
---	---	---	-------------------------------------	--

Comments:

Source: Teresa Kulper, Director, Organization Effectiveness, Higher Education.

Web Appendix 21. Leading Virtual Teams

Key Aspects of Virtual Teams

According to Lipnack and Stamps (1997), four aspects make up the essence of virtual teams:

- **People:** leaders, members, and those who provide tangible or intangible resources to the team
- **Purpose:** vision, mission, and values of the team
- **Links established by the team:** channels of communication, media, and relationships
- **Time:** the team's schedule, milestones, and calendar.

In addition, like all teams, virtual teams require tangible (people, equipment, money, and so forth) and intangible (influence, access, support, good will, and so forth) resources to get the work done.

The Virtual Team

All of these aspects need to be taken into consideration when launching a virtual team. The leader and his or her sponsor and customer need to set aside time to think through how they want to form and launch the team. What competencies will be required? What resources will be needed? Who are the people they want to attract to be part of or contribute resources to the team? What business is the team in, and what will success look like? How will the team communicate and connect? What issues exist regarding location of key resources? How will the team relate to the rest of the organization? What is the timeframe for the work of the team? Steps in the planning process include the following:

- Create an identity for the team.
- Draft a mission and vision statement with key players (sponsor, customer, core team members, and so forth).
- Identify needed resources and how to acquire them.
- Set goals and determine milestones.
- Identify additional members and resource people and integrate them into the team.
- Establish relationships with one another and with sponsor or customer(s).
- Clarify how and when you will communicate, and choose the media that you will use.
- Agree on meeting norms.
- Establish key processes such as decision making.

Virtual Team Communication Channels

Virtual teams are even more dependent on good communication than colocated teams, but fewer channels are available to them. Making a good choice about the channels of communication is a key to the success of the virtual team. These channels can be sorted according to whether members are attending the meeting in the same or different place and at the same or different times.

Duarte and Snyder suggest three criteria for making the choice: social presence, information richness, and permanence. When social presence is important, as when you are developing relationships on the team, you may want to choose a synchronous channel that allows some interaction among members, such as a videoconference. When information richness is

important, such as when you are developing ideas, a web-based meeting format may work best, and when permanence is desired, such as “lessons learned,” an additive email or threaded discussion recorded on a “learning space” on the team website might be most useful. A key question is whether meetings should be synchronous (same time / same or different place) or asynchronous (different time / same or different place). This may be largely determined by the time zones that are represented by the team members, although most teams will need some synchronous meetings and should be willing to shift the meeting times to accommodate different members. Most veterans of virtual teams suggest that a face-to-face startup meeting is ideal and that occasional colocated meetings build the cohesiveness of the team. Serious problems and conflicts are also best resolved, when possible, through face-to-face meetings. The leader should be empowered to decide when to call a face-to-face meeting with one or more members of the team.

Synchronous channels include

- videoconferences
- teleconferences
- web-based conferences
- face-to-face meetings.

Asynchronous channels include

- emails
- group calendars and schedules
- web pages and bulletin boards
- wikis
- podcasts and vodcasts
- database sharing and conferencing
- workflow applications.

Key Competencies for Members and Leaders

Certain competencies are extremely important for members of virtual teams. They must be skilled in

- project management tools and techniques
- networking across boundaries
- using communication and collaboration tools effectively
- interpersonal communication and influence
- setting boundaries and managing time.

Leaders of virtual teams require the same set of skills and in addition

- coaching and performance management
- cross-cultural awareness
- trust-building
- change and transition management
- negotiation and conflict management
- familiarity with and ability to select from a variety of communication and collaboration tools.

Leading a virtual team requires that the leader keep the team aligned. Some ways to do this include

- hold frequent (weekly if possible) synchronous meetings with each member (face-to-face, video, or telephone)
- schedule regular reviews with each member focusing on successes, challenges, adjustment of priorities, performance, and support
- hold regular team meetings and schedule ad hoc meetings as needed
- facilitate the entry and re-entry of new members by updating them on team vision, mission, values, history, and progress to goals and by introducing them to other members.

Planning and Conducting Virtual Team Meetings

Under most circumstances, virtual meetings should not take much longer than one hour—two at the most. Meeting fatigue and distractions will begin taking their toll after that. Preparation is the key to effective virtual meetings. When preparing for a virtual team meeting, use the following checklist:

- Identify purpose
- Select participants
- Choose type of interaction needed and appropriate technology
- Schedule meeting
- Develop and distribute agenda and prework

Often the team leader is responsible for facilitating the meeting. Synchronous virtual meetings can be very effective with good facilitation. When facilitating a synchronous virtual meeting, the leader's responsibilities include

- providing easy opportunities for members to contribute
- reminding group as needed of norms and processes they have agreed to
- making sure that contributions are acknowledged and not devalued
- knowing when to switch from identifiable to anonymous techniques and technologies
- managing time
- keeping team focused on agenda and process
- mixing modes and styles of activity to prevent process fatigue
- making sure that key ideas and decisions are recorded where everyone has access to them
- summarizing the discussion on a regular basis
- providing a written summary to participants after the meeting.

Virtual teams greatly expand an organization's potential to use resources globally and to be agile and versatile. When team leaders are wisely selected and well prepared, and the organization provides financial, technical, and political support, there is no limit to what virtual teams can accomplish.

Source: Leading Global and Virtual Teams: Succeeding Across Boundaries. © 2001, 2010. Barnes & Conti Associates.

Web Appendix 22. Self-Assessment: Self-Management Challenges

Five Typical Self-Management Challenges for the Internal Consultant

Directions: Choose a rating to describe the rate of occurrence in your internal consulting practice of each item below. Enter the rating on the right side of each item. Add your ratings for each category to provide a subtotal.

Scale: 1-Never; 2-Seldom; 3-Sometimes; 4-Often; 5-Frequently

1. Failing to challenge common wisdom or refusing to take an unpopular but rightful stand	
2. Succumbing to pressure from authority figures in senior management or complying with political pressure or threats	
3. Failing to say no to inappropriate requests	
4. Failing to confront resistance	
5. Failing to walk away when circumstances and your ethics tell you to do so	
Subtotal	

6. Participating in company gossip	
7. Sharing confidential or insider information	
8. Allowing personal relationships to overshadow what is good for the organization	
9. Becoming so identified with the culture that you lose objectivity and differentiation	
10. Failing to respect personal boundaries	
Subtotal	

11. Failing to collaborate with other functions	
12. Making decisions independent of your client	
13. Failing to recognize the limitations of your own business knowledge	
14. Being overly critical of past practices or traditions	
15. Being unwilling to work behind the scenes and allow others to take credit	
Subtotal	

16. Failing to examine and learn from mistakes or failures	
17. Not recognizing or acknowledging your own weaknesses and how they undermine you	
18. Taking on more projects than you can handle effectively or taking on the wrong projects	
19. Not taking time to renew and refresh	
20. Becoming ineffective and experiencing burnout	
Subtotal	

21. Failing to develop new skills and knowledge	
22. Seldom asking for feedback from others who may have valuable insights	
23. Going too far out on a “skinny branch” without the needed depth of experience	
24. Being unaware of your own limitations	
25. Failing to get critical support from your client or ignoring important signals from the client regarding readiness	
Subtotal	

Please transfer the subtotals to the appropriate lines below:

Subtotals:

Questions 1-5: _____ Choosing Approval Over Effectiveness

Questions 6-10: _____ Choosing Belonging Over Integrity

Questions 11-15: _____ Choosing “My Way” Over “Our Way”

Questions 16-20: _____ Choosing Multitasking Over Taking Time to Reflect

Questions 21-25: _____ Choosing Confidence Over Competence

Add above to give total score: _____

Interpretation:

25-30 Points: Probably not self-aware or honest with yourself

31-45 Points: Mastery: Self-aware and self-managing most of the time

46-56 Points: Approaching mastery but have areas needing development

57 and above: Need to learn and develop self-management

Web Appendix 23. Self-Assessment Inventory for Internal Consultants

Directions: Given the feedback you have received, your own self-knowledge, and what you have learned in this book, please complete the self-assessment inventory of your level of competence as an internal consultant.

1-Doing well; 2-Doing okay; 3-Needs improvement

Some behaviors and activities may be important to you but are not listed here. Write those on the blank lines at the end. When you have finished your assessment, go back over the list and choose three or four items that you would most like to improve. You may wish to take the assessment every six months to see how you are progressing and developing your skills.

I. Have knowledge of theoretical constructs and framework used by internal consultants

Agreement/Contracting

- Understanding the issue/need before saying yes _____
- Being clear about my competence and approach _____
- Checking out assumptions and expectations _____
- Negotiating differences for mutual satisfaction _____
- Negotiating and redefining role from past work with client as needed _____
- Seeking balance of ownership for project _____
- Explaining my theoretical foundation and biases if needed _____
- Knowing the client's wants and goals _____
- Determining how decisions will be made _____
- Accepting the client's limits and restrictions _____
- Saying no if the request is not strategic _____
- Clarifying issues with both primary and secondary clients _____
- Finding other resources to meet clients' needs _____
- Refusing projects when I don't have the competence _____
- Assessing relevance and fit with clients' needs _____
- Reviewing agreements regularly with clients _____
- Checking out clients' capacity to give attention to project _____
- Addressing conflicts with clients promptly _____
- Setting realistic goals and timelines for projects _____
- Seeking needed resources to support projects _____

Analysis/Assessment

- Having or acquiring the technical skills required _____
- Asking for resources to supplement my skills as needed _____
- Using a framework to analyze the data/information _____
- Identifying patterns and themes in the data/information _____
- Identifying underlying structures or causes of problems _____
- Using information-gathering techniques to involve the client system _____
- Summarizing information and analysis clearly and succinctly _____
- Gaining an independent view of issues _____
- Identifying organization problems and issues in early stages _____

Collecting descriptive, neutral data/information to analyze problems before drawing conclusions _____

Feedback

Preparing my client to hear difficult information _____

Being aware of sensitivities and concerns in my client _____

Surfacing and addressing resistance _____

Using effective feedback skills _____

Preparing for data-feedback presentation _____

Using a practical vs. a conceptual approach _____

Considering concerns of multiple clients in presentation _____

Presenting data from clients' points of view _____

Reminding clients of goals, outcomes, and desired future _____

Acknowledging positives and strengths _____

Using reframing to present opportunities _____

Offering alternatives to address the problems _____

Presenting the advantages/disadvantages or cost/benefits _____

Being able to accept the clients' decision _____

Alignment / Change Targets / Implementation

Clarifying clients' goals and outcomes _____

Seeking alignment with clients' desired future _____

Breaking down the project into small pieces _____

Obtaining necessary support for the project _____

Involving those affected _____

Planning and managing projects _____

Identifying systems and processes to change _____

Transferring skills and knowledge to client system _____

Possessing the knowledge base and skills required for the project _____

Involving other functions/specialties as needed _____

Using a variety of interventions _____

Making formal presentations _____

Facilitating groups at any level _____

Understanding the dynamics of groups _____

Being comfortable with ambiguity and unpredictable changes _____

Communicating with all of the stakeholders _____

Building/leading effective teams in person or virtually _____

Helping others cope with change _____

Evaluation

Providing alternative methods to evaluate _____

Helping clients see quantitative and qualitative results _____

Seeking client participation in evaluation _____

Building in time for client learning and reflection _____

Soliciting feedback from the client and others _____

Taking time to reflect on my own learning _____

Acknowledging both successes and failures _____
Finding ways to celebrate _____

- II. Use expertise, influence, and personal skills to facilitate a client-requested change without formal authority to implement recommended actions
- Listening and understanding clients' points of view _____
- Supporting and not judging a client _____
- Helping to explore alternatives without pushing solutions _____
- Clarifying my role—expert or process _____
- Establishing rapport easily _____
- Being comfortable with ambiguity _____
- Developing a business partnership with my client _____
- Committing to clients' success _____
- Having credibility and trust with clients and others in the organization _____
- Confronting unpleasant issues with my clients _____
- Being sensitive to my clients' feelings _____
- Helping clients see their own issues _____
- Giving sensitive feedback in a way it can be heard _____
- Discussing feelings appropriately _____
- Choosing the right time to discuss bad news _____
- Giving the clients recognition and positive feedback _____
- Inspiring clients' confidence in my ability _____
- Drawing out hidden information or feelings _____
- Actively listening and clarifying my understanding _____
- Creating a safe environment for clients to express feelings _____
- Asking questions that provoke further thought _____
- Helping clients to see and value their own competence _____
- Seeing the clients realistically _____
- Maintaining relationships with prior clients _____
- Positioning myself when entering new organizations _____
- Understanding business/culture of client organization _____
- Maintaining balance between being supportive and thinking critically _____
- Maintaining confidentiality _____
- Collaborating with other functions and external vendors _____
- Seeing organizational challenges as opportunities _____
- Working across boundaries both internal and external _____
- Being sensitive to issues of cultural difference _____
- Offering appropriate and timely information _____
- Using receptive influence skills effectively _____
- Using expressive influence skills effectively _____
- Balancing receptive and expressive influence behaviors _____
- Using coaching to build clients' skills as appropriate _____

- III. Leverage expertise with honed consulting skills and self-development
- Working easily with authority figures _____
- Letting others take the credit _____

- Saying no without guilt or fear _____
- Managing my fear of rejection _____
- Taking responsibility for my actions _____
- Understanding my stewardship role _____
- Turning off my issues and listening to the client _____
- Resisting finger-pointing or blaming _____
- Limiting tendency to toot my own horn too much _____
- Being willing to promote the work I do appropriately _____
- Staying grounded and centered when under pressure _____
- Finding meaning and purpose in my work _____
- Knowing my boundaries and limitations _____
- Promising only what I can deliver _____
- Working with people I don't particularly like _____
- Working through my personal self-management issues _____
- Investing in both personal and professional development _____
- Practicing integrity _____
- Maintaining and developing confidence in my skills and ability _____
- Practicing the discipline of personal mastery _____
- Recognizing my signals of anxiety and tension _____
- Holding clear personal and professional values _____
- Practicing self-care _____
- Using power resources responsibly _____

Other: _____

