



Facilitation

for the LMR Stakeholder Committee Meeting and Working Groups for Key Commodity Sectors

U.S. Department of Agriculture (USDA),
Agricultural Marketing Services (AMS)
Hall of States, Washington, DC,
November 15-16, 2016

Facilitators: Eileen Barkas Hoffman,
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Commissioners at FMCS



Overview and Objectives

- Welcome, Review of Agenda, Role of Facilitators
- Proposed Procedural Ground Rules / Substantive Ground Rules
- Problem Analysis
 - Problem Solving Cycle
 - Interest-Based Problem Solving
 - Tools / Techniques
- Questions and Summary



Statutory Mission

- 1947: Created as an Independent agency under Taft-Hartley Act
- FMCS' neutral role in assisting Labor & Management in private, federal, and other public sectors
- 1990: Covered by the Administrative Dispute Resolution Act (ADRA) to offer mediation, facilitation, training to federal agencies and part of the 1996 ADRA and Negotiated Rulemaking Act.



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Statutory Mission

FMCS Mediators...

- resolve collective bargaining disputes which threaten the free flow of commerce,
- train in conflict resolution skills,
- provide arbitration services, and
- mediate workplace and employment issues.





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FMCS Structure

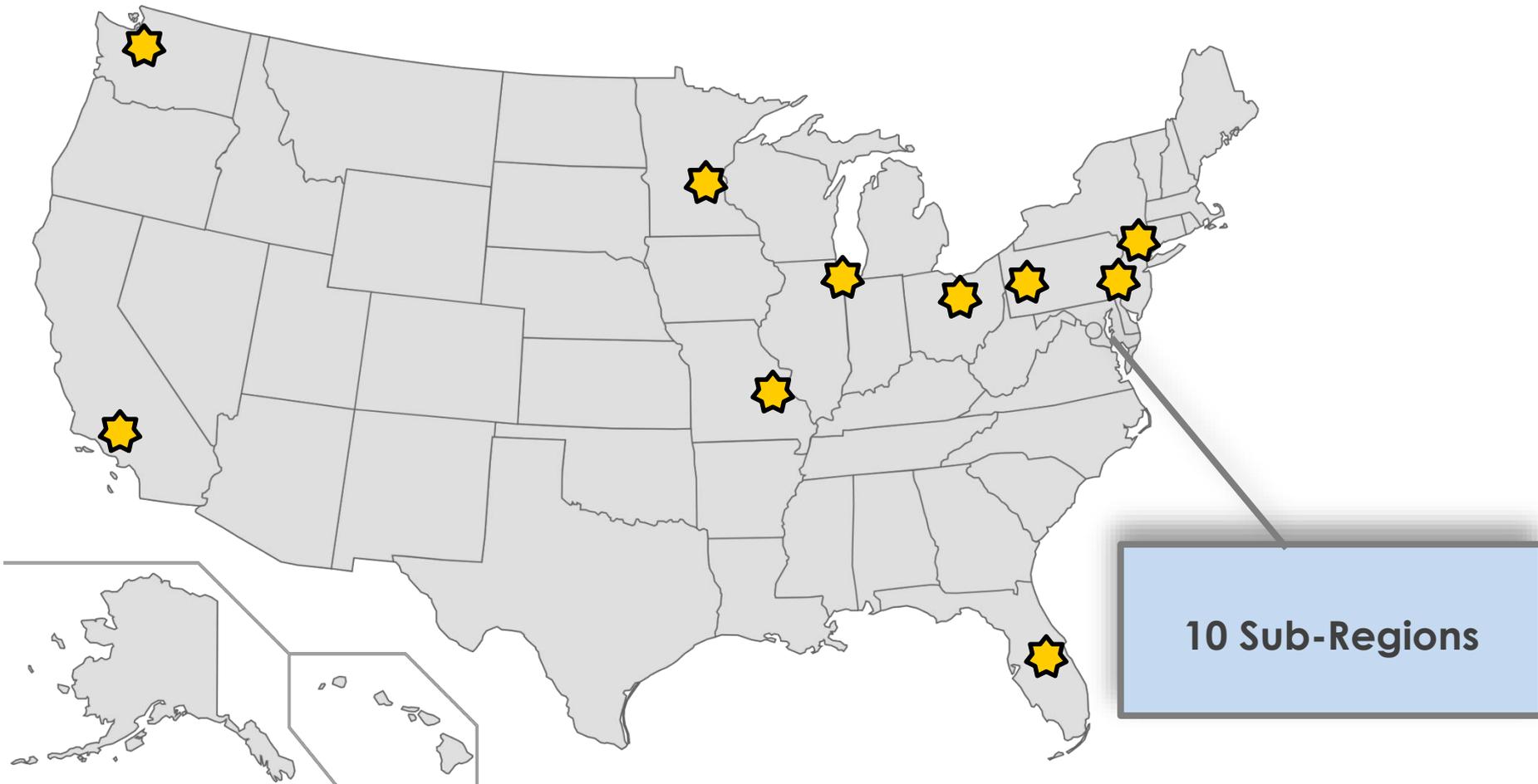




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FMCS Structure

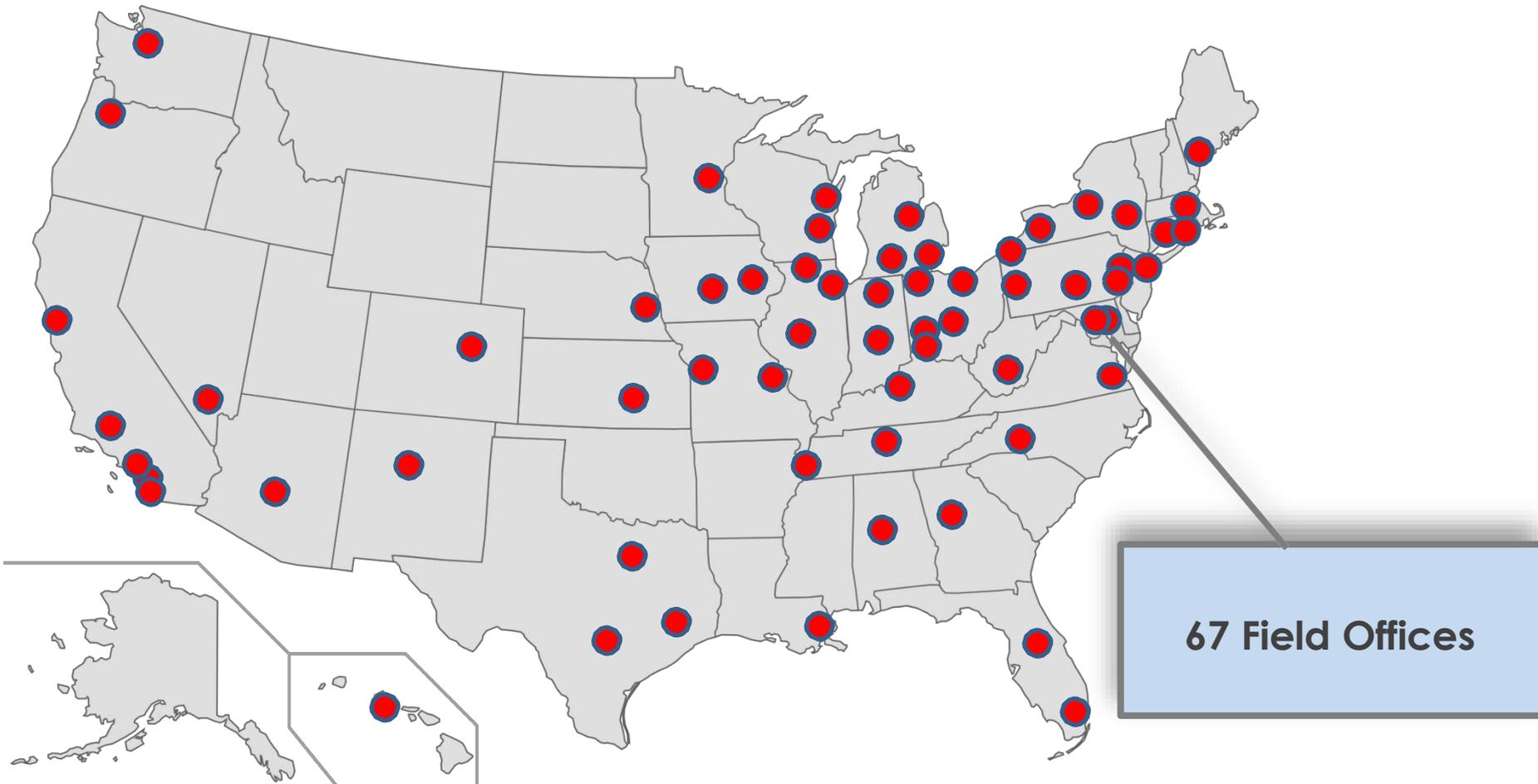




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FMCS Structure





FMCS Facilitator Responsibilities

1. Maintain Neutrality
2. Focus on Process, NOT Content
3. Assist the group in developing and utilizing processes that make the most efficient use of their time in pursuit of their stated objectives.
4. Help the group stay on task and remind the group of their agreed upon processes where necessary.



Stakeholder Roles and Responsibilities

- Identify and clarify objectives
- Work collaboratively with all members
- Be creative, innovative, motivated, and resolution-oriented
- Identify your issues, interests, and concerns and understand other members
- Work towards the preparation of recommendations to USDA, AMS by the deadline to be achieved





Working Group Roles and Responsibilities

- Identify the interests, issues, options, and goals
- Clarify objectives and formulate questions
- Work collaboratively
- Decide on meeting dates for intensive 3-day sessions in early 2017
- Be creative, innovative, motivated, and resolution-oriented.
- Be mindful of others' perspectives



Tools of Collaboration

An “Interest-Based” Approach

- Developed from conflict research to provide the most innovative and durable solutions
- Uses:
 - Tools and Techniques
 - Active Listening
 - Brainstorming
 - Root Cause Analysis
 - Relies on Active Participation



Process Tools

- Ground Rules
- Agenda
- Work Processes and Group Dynamics
- Document Creation and Sharing (Group Memory)





Meeting Procedural Ground Rules

1. Start and stop on time
2. Cell phones off or silent
3. Recognize and accept that your partners may have different views
4. Listen attentively and don't talk over one another
5. Participate! Participate! Participate!
6. Learn from each other



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Fist Exercise





10 Principles of Cooperation

1. Voluntary Engagement
2. Trust
3. Openness
4. Civil Behavior
5. Equality in Influence
6. Inquiry Directed Processes
7. Constructive Communications
8. Use of Cooperative Methods and Tools
9. Merit Based Analysis
10. Mutually Beneficial Outcomes



Problem Analysis

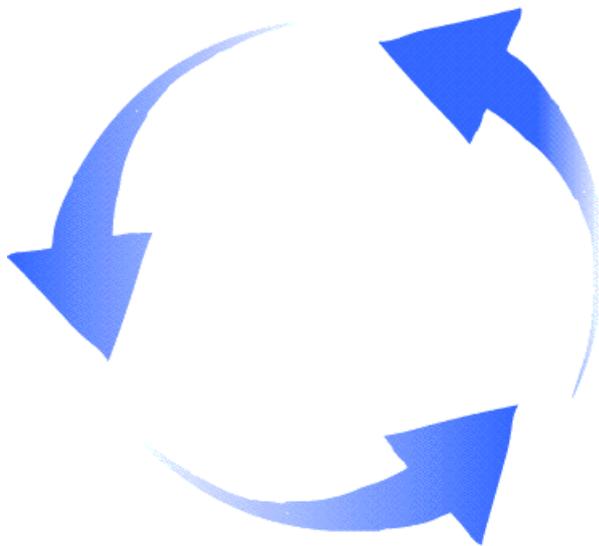




Problem Analysis

Information
Gathering

Issue
Identification



Action Plan

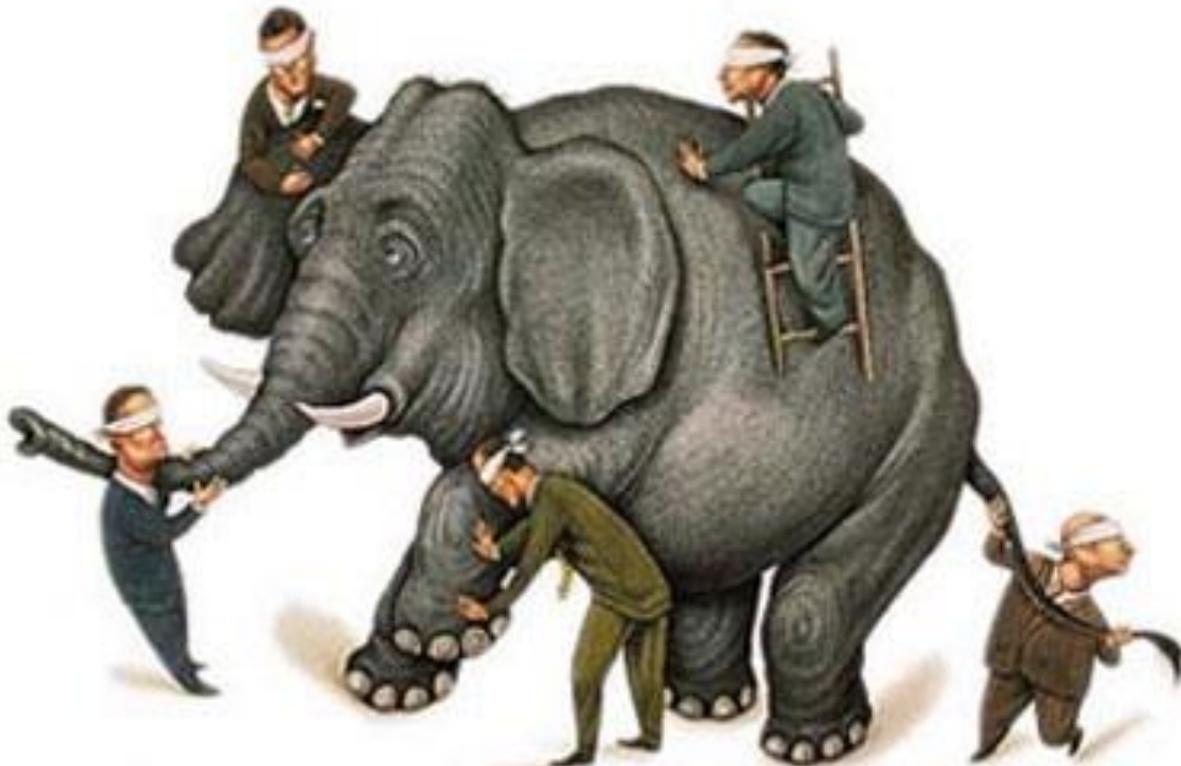
Developing
Ideas / Solutions



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We Know What We Know



What Don't We Know?

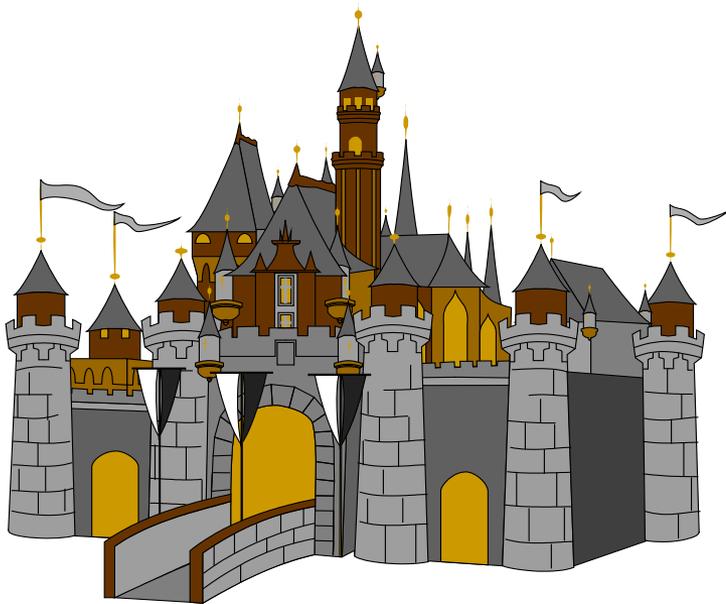


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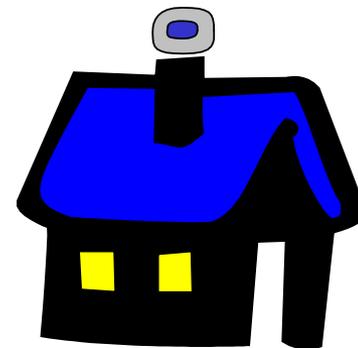
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Perceptions

Your house as you see it as the seller



As a buyer sees it





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Perceptions...





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Information Gathering





Develop Your Data Needs

- What facts, information, and examples are relevant?
- What question(s) do we need to answer?



Information

- Schedule relevant presenters and presentations
- Gather and prepare pertinent data and records
- Record and provide newly discovered data needs





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Issue Identification





Discuss / Brainstorm

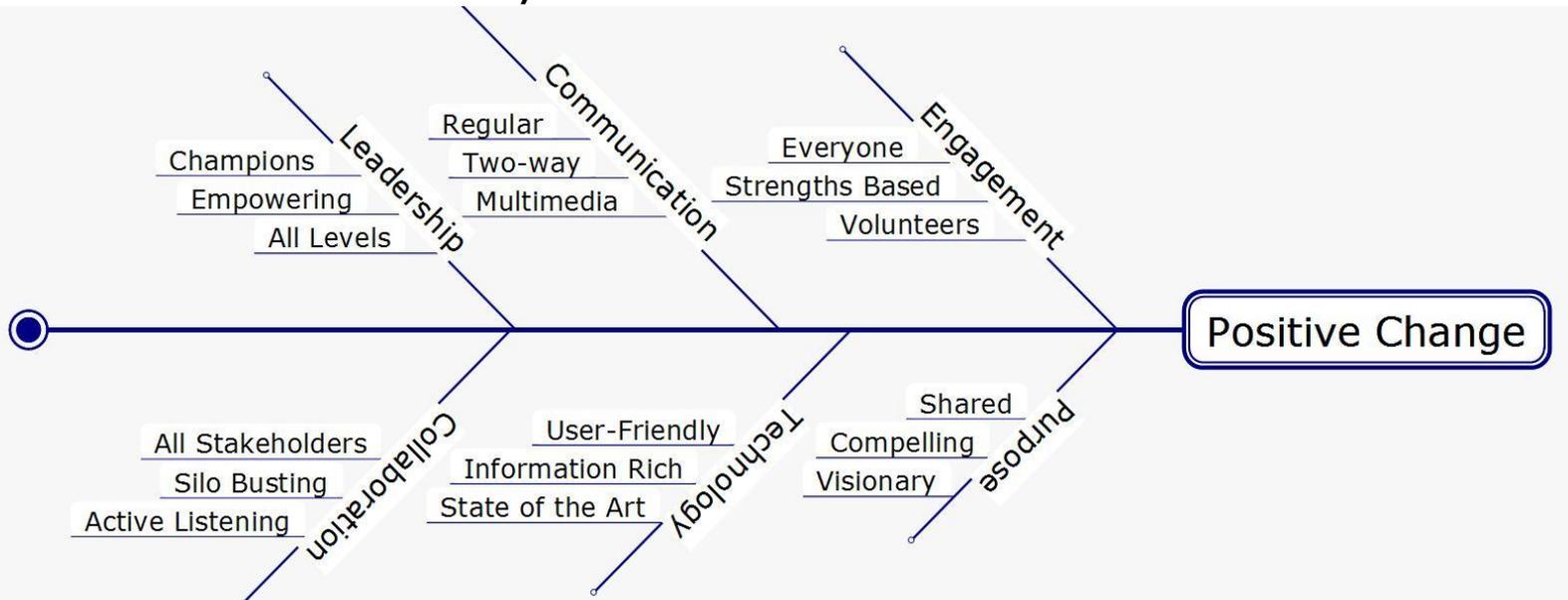
- What is the current state?
- What is working?
- What is not working?
- What are the interests of all parties?





Issue Identification Tools

- Root Cause Analysis
- SWOT
- Force Field Analysis





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Developing Ideas / Solutions





Brainstorm Options

- Fully utilize the breadth and diversity of all participants' perspectives
- Explore a full range of creative ideas
- Propose ideas that satisfy common interests



Option Development Tools

- Brainstorming
- Best Practice
- Expert Panel
- Straw Design





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Action Plan





Write a Summary of Results

- Summarize experience with the problem solving process
- Report results to the executive sponsors
- Make recommendations for soliciting more information in specific areas
- Resubmit problem to problem solving phase if solution did not achieve objectives
- Celebrate success



Issues, Interests and Positions

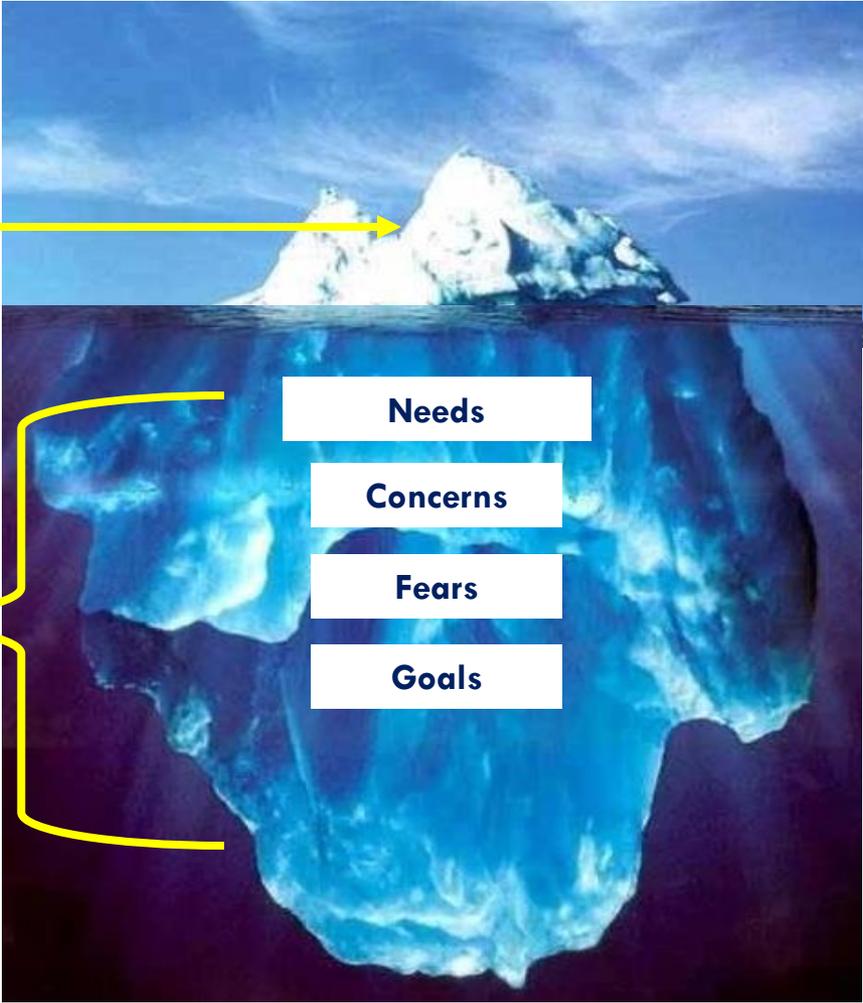
- Issue: Subject of discussion; problem to be solved
- Interests: Needs, concerns, desires, goals or fears that underlie the issue
- Positions: One party's solution to the problem





**The issue/problem;
what is talked about
publicly and/or openly
addressed.**

**Interests are thought,
felt, concealed, ignored
or avoided factors that
are underlying the issue**





Issues, Interests and Positions

- Interests underlie the issues.
- Therefore, parties can find common ground.





Issues, Interests and Positions

- Interests: The “Why?” behind the problem
- Positions: The “How?” to solve the problem.
- Start with the why, then move to the how





Issues, Interests and Positions

- Position statements are inherently contentious.
 - They “draw a line in the sand”
 - They create a “take it or leave it” dynamic.
- Convert position statements to interest statements by asking:
 - “Why do you feel that way?”





How to Determine Interests

First step – Discovery

- Examine underlying concerns, needs, fears, goals, and expectations.
- Independent or collaborative process
- Chart or record interests
- Limit to 5-10 interests based upon relevance and significance



How to Determine Interests

Second Step – Presentation

- Explain interests and answer any questions
- Identify Common interests, which are:
 - Identical interests to yours
 - Conceptually similar interests
 - Interests of others you can support



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Differentiating Issues, Interests and Positions

Group Exercise





Problem Analysis – Tools and Techniques

- Active Listening
- Framing the Issue
- Brainstorming
- Root Cause Analysis
- Art of Inquiry



Active Listening

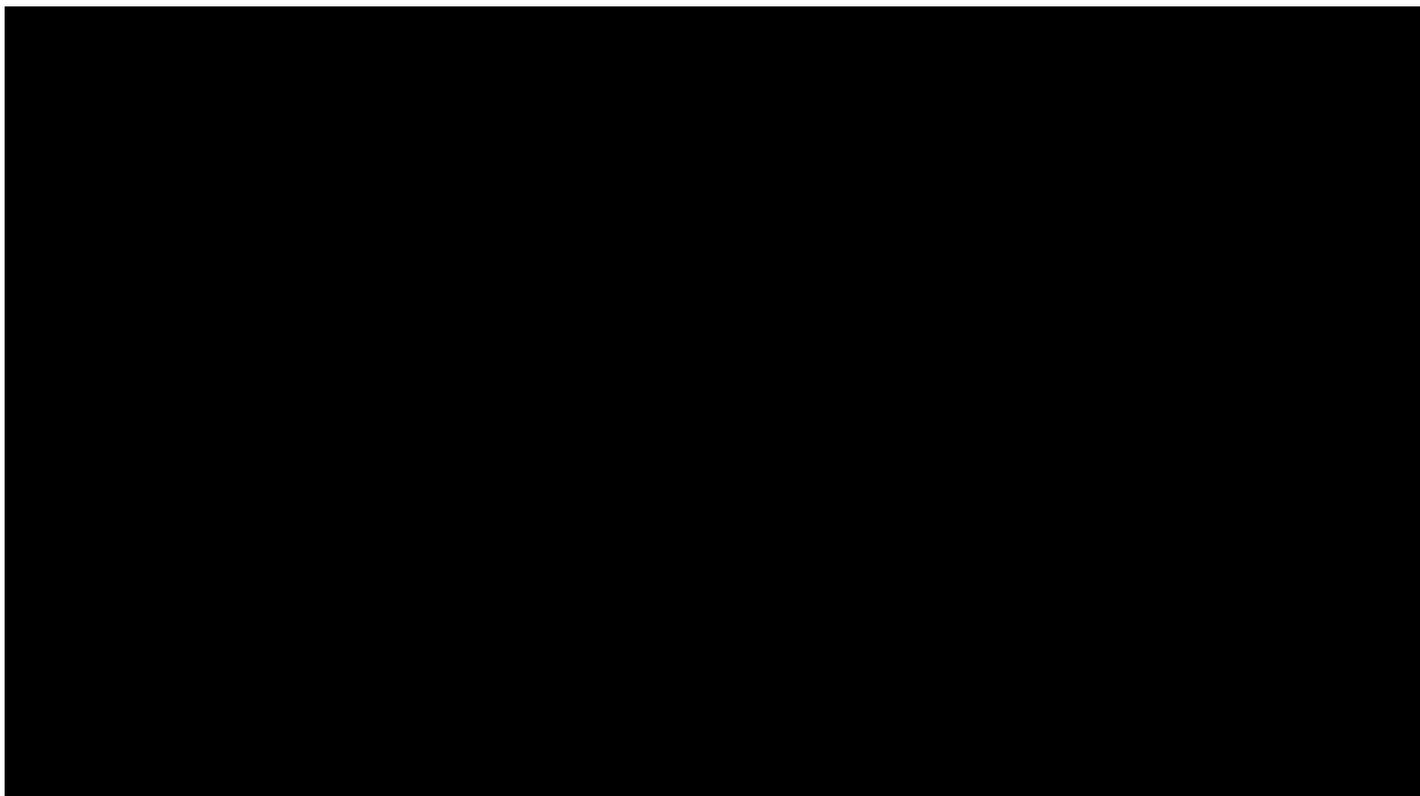
- What is it?
 - Fully concentrating, understanding, responding and remembering what is being communicated
- How do you do it?
 - Acknowledge
 - Paraphrase
 - Clarify
 - Summarize
 - Listen carefully
 - Reflect and Summarize
 - Ask Open Ended Questions



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It's Not About the Nail...





Framing the Issue

- Develop a question or task statement with:
 - Subject- What the problem is about
 - Issue- Identifies the change sought
- Begin with “How might we...” or “Our task is to...”
- Open-ended question that cannot be answered “Yes” or “No”
- Contains no solutions
- Contains no accusations or inflammatory wording



Framing Group Exercise

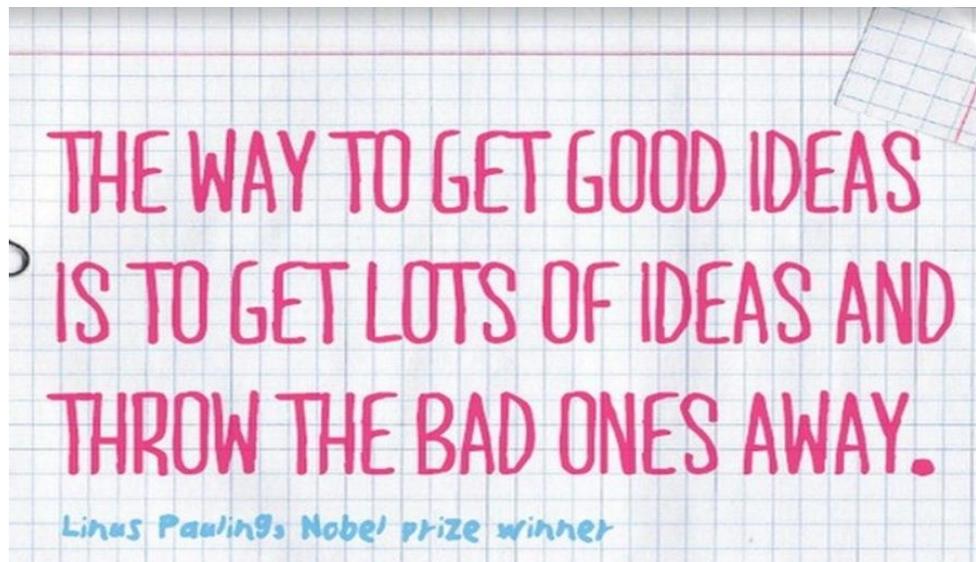
“Since management is not concerned about us, we need a fire alarm in every office.”

- Question: Subject & Issue
- Begin with ... “How might we”
- Cannot be answered with yes or no
- Does not suggest a solution
- Contains no accusations



Brainstorming

- Free, uninhibited generation of ideas
 - No criticizing or evaluating
 - Build on ideas: combine and hitchhike
 - Be creative





Brainstorming

- Select a Method
 - Round – Robin
 - Free – Wheeling
 - Breaking into smaller groups may be helpful
- Record All Contributions
- Verify and Consolidate Ideas





Best Practice

- Conduct research
 - Assign participants to collect solutions that have been implemented at other locations, both internal and external, dealing with the same or similar problem before the group.
- Ask follow-up questions
 - Interview the users to determine the effectiveness of and satisfaction with their practice, and to solicit other instructive comments.



Expert Panel

- Arrange visits to the organizations or individuals who are subject matter experts and conduct an interview.
- Have organizations send representatives to your meetings to market or present their proposed solution.





Straw Design

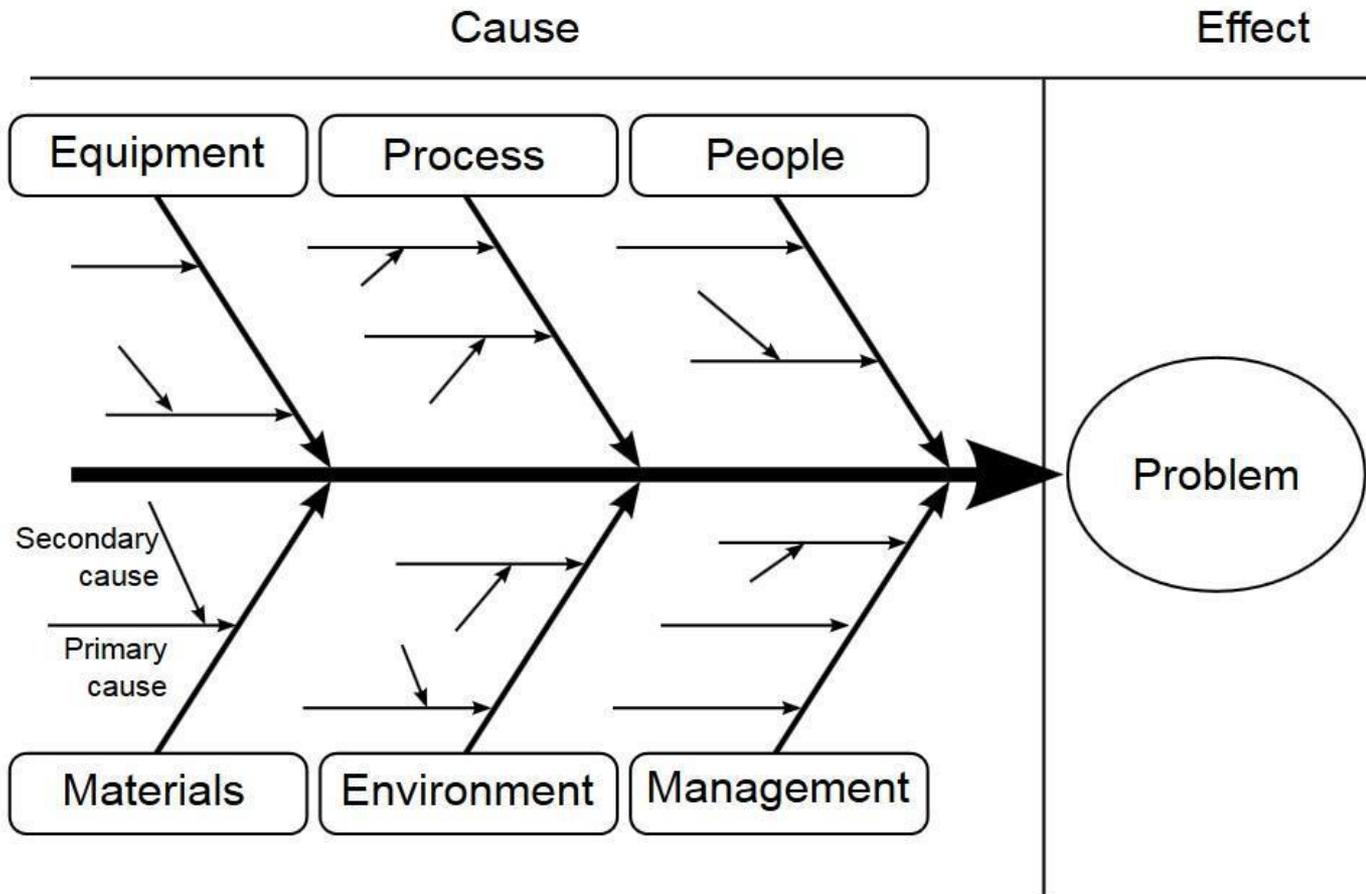
- Tool involving subcommittees
- Subcommittees develop a comprehensive draft solution to an issue
- Best used in complex scenarios
- Initiated after all interests have been generated





Issue Identification

- Root Cause - Fishbone





Issue Identification

SWOT

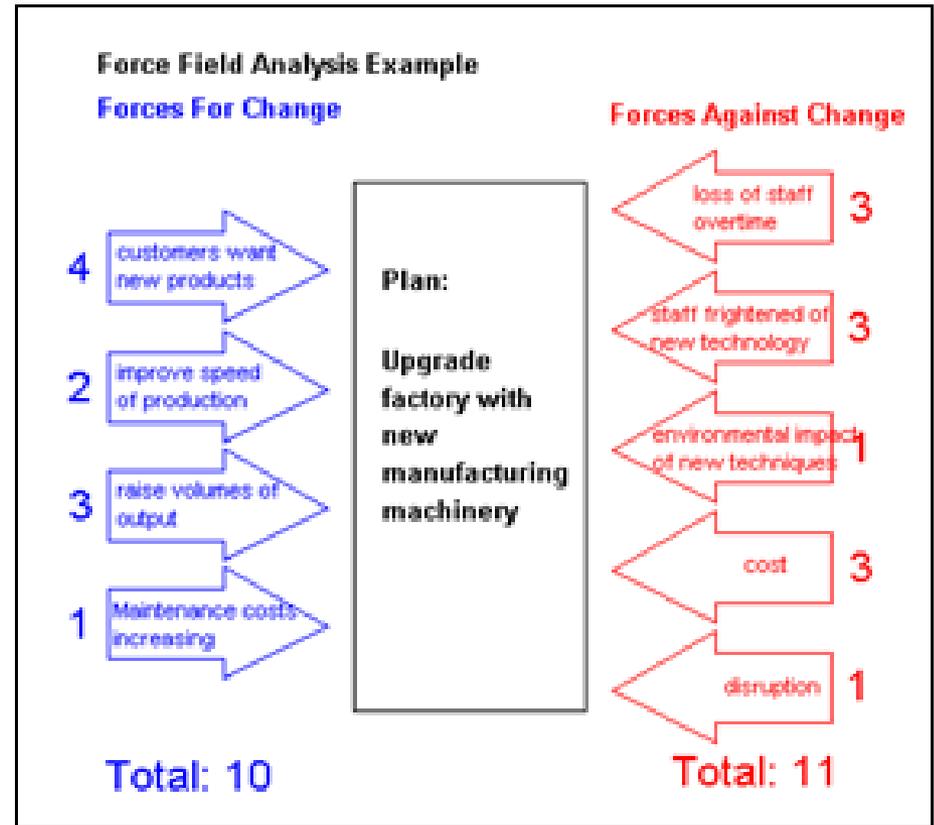
- Identifying the internal and external factors that are favorable and unfavorable to achieve an objective.





Issue Identification

- Force Field Analysis
 - Brainstorm driving and restraining forces
 - Score each force (1-5; 1= hardest)
 - Identify aggregate score
 - Apply strategies to modify the forces





Art of Inquiry

- Disempowering Questions
 - Implicitly Judgmental
 - Triggers Defensiveness
- “Why did you do that?”





Art of Inquiry

- Empowering Questions
 - Focuses on the Positive
 - Implies voluntary nature of responding
 - “What would resolution look like to you?”





The Intent Behind the Question

- **Be self-aware**, asking yourself, “*WHY* are *YOU* asking that question?”
- **Be careful** about assumptions you bring to the question
- **Be curious** *before* being helpful



Reframing with Questions





Summary of the Day

- Defined meeting scope and goals
- Reviewed Agenda
- Defined Facilitators' Roles
- Discussed and developed ground rules
- Shared initial expectations
- Heard from industry experts about the LMR Reauthorization process and state of the market
- Heard from facilitators who will show to utilize active listening, facilitation, and questioning
- Learned about Interest-Based Problem Solving
- Participated in group problem-solving activity
- Prepare for Day #2



Thank You!



- Any Questions?
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