

Facilitation Tools

CQI Conference – November 2022
Dispute Resolution Institute, Inc.

Included in this document are facilitation tools from Dispute Resolution Institute, Inc. to assist in your role in the facilitation process. If you would like assistance in preparing for your facilitation or need an outside facilitator, please feel free to reach out to us for more information at 618.549.1200 or info@dri-inc.org.

Tools:

- Pre-Facilitation Checklist and Considerations
- Sample Facilitation Agenda and Considerations
- Ground Rules Examples and Considerations
- Facilitation Activities and Tools

Pre-Facilitation Checklist and Considerations

Should you use a facilitation process?

Question	Response
Why do you want to have a facilitation?	
What is the objective or goal of the facilitation?	
What data do you hope to collect during the facilitation? How do we plan to collect and capture this data? How will we ensure participants know what data we are collecting and why to ensure we have informed consent to collect.	
Why would facilitation be the best method to reach your goals and objectives?	

Who will be the facilitator?

Question	Response
Is there someone in your organization who can serve as a facilitator? Reminder – this person should be neutral, objective, and not be affected by the outcome of the facilitation.	
If there is not someone in your organization who can serve as facilitator, who should you bring in to handle the facilitation?	

What do you need to do to prepare?

Question	Response
What is your budget to host the facilitation? Don't forget to include the space, food, supplies, and the cost of an outside facilitator if needed.	
Will the facilitation take place in-person or remotely? What considerations do you need to keep in mind when deciding on one of these options?	
Who will be invited? Why are they the right people?	
Decide who will serve in the facilitation roles. Decide if someone will serve in more than one capacity. These roles are coordinator, scribe, meeting designer, and facilitator.	
Once a team is selected, outline the agenda to meet the goals and objectives. Ensure the facilitator reviews the agenda and is allowed to give input.	
Ensure process elements are taken into account in the planning, including but not limited to: meeting flow, communication methods, addressing power/influence, problem-solving process, group participation, and decision-making process.	

Sample Facilitation Meeting Agenda – Internal*

Remove the “Notes, Tools, Activities” Column for the Official Agenda

Time	Agenda Item	Notes, Tools, Activities
Insert Time	Welcome <ul style="list-style-type: none"> - Facilitator Introduction - Review Agenda/Goals - Thank them for attending - Review what data you will be collecting 	Add any notes, tools you need, or activities you plan to use for each agenda item.
Insert Time	Small Group Introductions <ul style="list-style-type: none"> - Allow participants a chance to get to know each other to build community - Depending on the size of the group, do one-on-one, small groups, or the entire group if it is small 	Activity
Insert Time	Ground Rules or Group Agreements Discussion	Use sample rules, and build/modify as the group agrees.
Insert Time	Topic/Question #1 <ul style="list-style-type: none"> - Repeat this for all remaining topics/questions to be addressed 	How will you accomplish this? Full group? Small groups?
Insert Time	Share Feedback on Topic/Question #1 <ul style="list-style-type: none"> - Repeat this for all remaining topics/questions to be addressed 	Opportunity to collect data & feedback. Who will capture this? Each group? A scribe? Facilitator?
Insert Time	Closing <ul style="list-style-type: none"> - Remind them of the reason for collecting this information. - Let them know if there are any next steps. Thank the participants again for their time	Consider if you want to provide a survey on the experience, follow-up later, or let them go knowing they had the opportunity to share throughout the process.

Considerations

Issue or Item	Consideration in the Agenda Design
Goal / Objective	Does your agenda or materials clearly share your goal or objective?
Breaks	Ensure you include breaks every 90 minutes at a minimum. Provide snacks/lunch/refreshments depending on the length of the agenda.
Parking Lot	To ensure you stay on track with your agenda, have a flip chart where people can “park” questions until they can be addressed, or you can follow-up after the process is completed.
Starting and Ending	Ensure you start and end on time to be respectful of the time the participants are providing to you.
Flexibility	If an issue arises that the meeting planners/drafters did not recognize as important to the conversation, but it continues to be brought up, ask the group for a consensus on whether to make time for that item. If knowing more about that topic will help the overall goal/objective, do not shy away from making a change if necessary.

Sample Ground Rules

How to Set Ground Rules (Group Agreements)

- Remind the group they are there to discuss, not debate or argue.
- Provide a beginner set of rules or agreements you see work in other facilitations.
- Have the beginner rules in writing and read them aloud.
- Ensure the facilitator clarifies which rules are the facilitators that will not be changed (such as staying on time).
- Ask the group if they have anything to add, change, modify, or create, to fit their dynamic. This opportunity increases buy-in by the group to follow them.
- Remind the participants that whatever rules or agreements the group puts into place, the facilitator will agree to uphold them.

Ground Rules to Consider*

- Keep an open mind. Be open to learning something new today.
- One person will talk at a time.
- Everyone will have the chance to participate.
- Raise your hand to be called on.
- Explain the use of a talking object if you decide to have one (an object that allows only the person holding it to speak).
- Listen to others.
- No mocking or attacking.
- Be on time, end on time.
- Respect each other.
- Know when to agree to disagree.
- Give constructive feedback.
- Be open to constructive feedback.
- Ask questions when you want to understand an issue/comment further.
- Be present and authentic.
- Phones and distractions put away to bring all of yourself to the conversation.
- Know we all have different lived experiences, and trust everyone's lived experience.

Additional Grounds Rules to Consider when Facilitating Virtually*

- Stay muted unless speaking.
- Use the raise hand feature to be called on.
- Decide if and how you will use breakout rooms for small group discussions.
- No multi-tasking (no checking email, phone, etc.).
- Know how to use the tool (explain how to use the chat, reactions, or other tools you will use).
- Decide on video rules – On all the time? On when talking only? Not on at all?
- Do not drive during the facilitation.
- Consider shorter facilitations if being conducted virtually, which may create a ground rule of commitment to show up for the follow-up session.

* You do not need to use all of these ground rules. These are for your consideration, and rules will depend on who is at the table and will possibly change with each facilitation.

Facilitation Activities and Techniques

Activity or Technique	Description	Why	Supplies Needed
Parking Lot	Location to “park” <ul style="list-style-type: none"> - Topics off tangent - Topics off subject Questions that need answers	Keep group on topic and moving through the agenda and discussion at hand. Ensures everyone feels heard, even if their point needs to be saved for later.	Easel and paper, tape, sticky notes markers
Dot Exercise	Participants put dots (stickers or with markers) on topics/issues being reviewed by the group.	Allows all participants to have a say in any votes held during the facilitation.	Easel and paper, tape, markers, stickers
Post-Up	People post stickies on a wall or flip chart with ideas.	Generates a wide set of ideas on a specific topic.	Sticky notes, marker/pen
Affinity Diagramming	Group ideas or post-ups into similar groups and give those group theme names	Shows patterns across a wide view of ideas on a specific topic.	The sticky notes from a post-up or flip chart to write them into groups.
Force Ranking	Give people a number of votes. The people use the votes to rank issues by their order of importance. They can use all their votes on one idea/issue or spread them out.	Once everyone votes, you can see from the groups votes what is the most important thing to focus on.	List of ideas/issues they are voting on (on flip charts or sticky notes), a set number of stickers per person to serve as their votes.
Round-Robin / Go-Rounds	Every participant gets an opportunity to answer a question or voice an opinion on a topic or issue.	Ensures all voices are heard and have the opportunity to speak. Participants are given the option to skip if they are not comfortable commenting on a specific question or issue.	None.
Ping-Pong Back / Throw Back	When asked a question, turn it around and ask the group the question.	Ensures neutrality of the facilitator and ensures sharing from the group.	None.
Ideastorms	Start with one issue/topic. Ask everyone to call out all their ideas regarding that issue/topic without censoring or discussing them.	Allows participants to share without judgment and without over thinking. May allow for out of the box thinking.	Easel and paper, markers, scribe
Roleplays	Participants act out a situation in front of the group. After the group discusses the roleplay.	Allows participants to explore different reactions and practice skills.	Roleplay instructions and facts
Personal Take-Aways	Participants share key take-aways from the process.	You get more feedback than you might have with a survey or through written words.	None.