Theory U Toolbook 1.1

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I. Stakeholder Interviews

Stakeholder Interviews

At a Glance

Stakeholder Interviews are conversations an individual conducts with his or her key stakeholder: customers, bosses, subordinates or peers both within and outside the organization. The interviews allow you to step into the shoes of your interviewees and see your role through the eyes of these stakeholders.
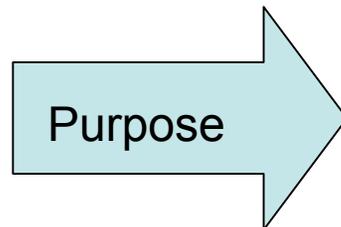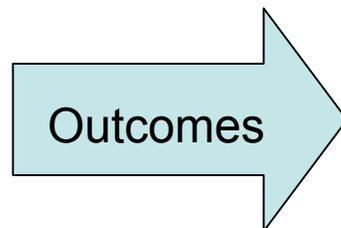
Stakeholder Interviews:
1. Purpose & Outcomes

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Purpose →

The purpose of a stakeholder dialogue interview is to see your work from the perspective of your stakeholders. It answers the questions: What do my stakeholders want from me? What do they need me for?

Outcomes →

- Enhanced clarity about how my work matters from the viewpoint of my stakeholders.
- An understanding of how my stakeholders assess the value that I create for them.
- Ideas for quickly improving a situation.
- The identification of barriers and roadblocks that need to be removed.
- A better and deeper personal relationship with my key stakeholders.
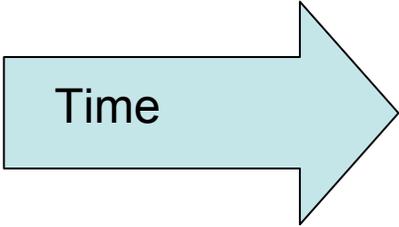
Stakeholder Interviews:
2. Logistics
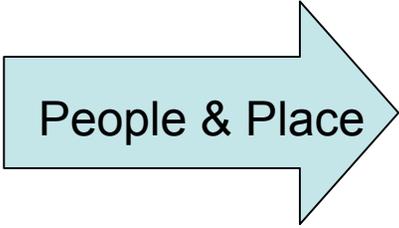
People & Place

Stakeholder interviews work best face-to-face. If in-person interviews are not possible, conduct them by phone.

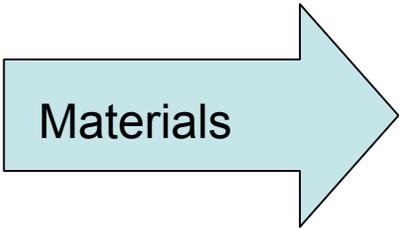**Time**

- 30-45 minutes for a phone interview.
- 30-90 minutes for a face-face interview.
Both figures are estimates and need to be adjusted to the specific context.
- Prepare for an additional 30 min. before the interview to prepare and 30 min after review.

Materials

Use the interview guidelines (questionnaire), but feel free to deviate where necessary.

Paper and pen to take notes.

Stakeholder Interviews:
3. Process

Preparation:

Step 1

Identify the stakeholders who are relevant to your current situation or challenge/opportunity.
Define/revise questions to adjust to the specific context. Schedule appointments.
Decide whether to send the questions to the interviewee in advance.

Step 2

Before you meet the interviewee allow for some quiet preparation or silence.
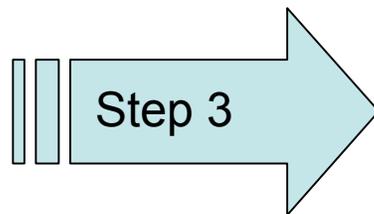
For example, take 20-30 minutes prior to an interview to relax and anticipate the conversation with an open mind and heart.

Stakeholder Interviews:
3. Process (cont.)

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Step 3

During the interview, listen with your mind and heart wide open, take notes, follow the principles below.
Ask questions spontaneously: Feel free to deviate from your questionnaire if important questions occur to you. The questionnaire is designed to serve you and your work—not the other way around.

Sample questionnaire:

1. *What is your most important objective, and how can I help you realize it? (What do you need me for?)*
2. *What criteria do you use to assess whether my contribution to your work has been successful?*
3. *If I were able to change two things in my area of responsibility within the next six months, what two things would create the most value and benefit for you?*
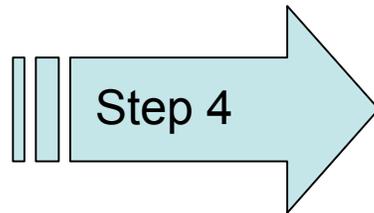4. *What barriers in the current systems or other issues have made it difficult for people in my role to meet your expectations?*

Stakeholder Interviews:
3. Process (cont.)
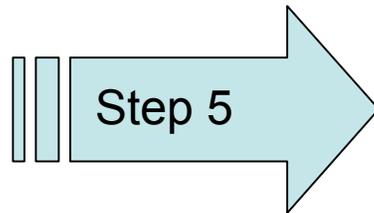
Step 4

Right after the interview, take time to reflect on key insights, capture your key thoughts in writing.

Step 5

Close the feedback loop
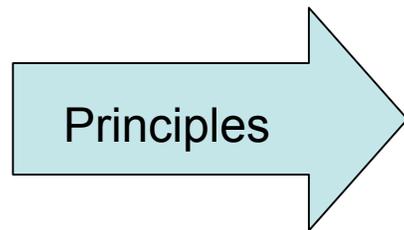Right after each interview, send a thank-you note to your interviewee (within 12 hours).

Stakeholder Interviews:
4. Principles

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Principles

Create **transparency and trust** about the purpose and the process of the interview; establish a personal connection early on.

Suspend your **voice of judgment** (VOJ) to see the situation through the eyes of your interviewee. What matters at this point is not whether you agree with what your interviewee is telling you. What matters now is that you to learn to see the situation through the eyes of your stakeholder.
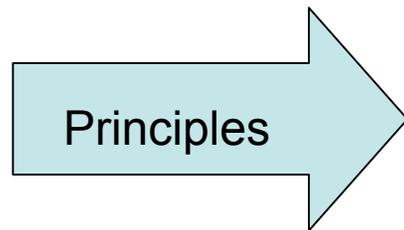
Access your ignorance (access your open mind): As the conversation unfolds, pay attention to and trust the questions that occur to you; don't be afraid to ask simple questions or questions you think may reveal a lack of some basic knowledge.

Stakeholder Interviews:
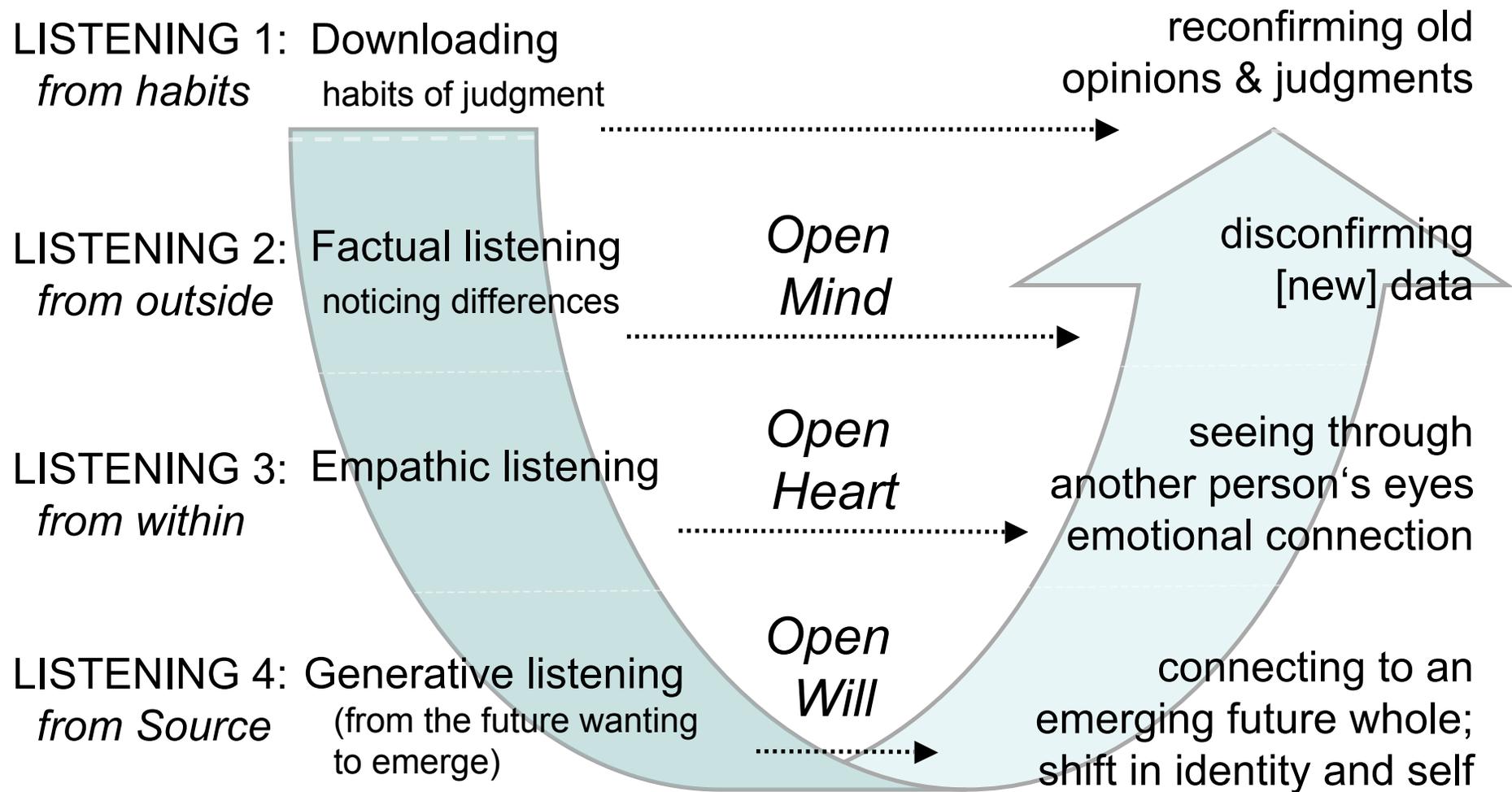# 4. Principles (cont.)

Principles →

Access your appreciative listening (access your open heart): Connect to your interviewee with your mind and heart wide open; thoroughly appreciate and enjoy the story that you hear unfolding; put yourself in your interviewee's shoes.

Access your listening from the future field (access your open will): Try to focus on the best future possibility for your interviewee that you feel is wanting to emerge. What might that best possible future look like?

Leverage the power of presence and silence: One of the most effective interventions as an interviewer is to be fully present with the interviewee and the current situation—and not to interrupt a brief moment of silence. Moments of silence can serve as important trigger points for deepening the reflective level of a conversation. More often than not, these opportunities go unused because the interviewer feels compelled to jump in and ask the next question. Be courageous. Stay with the opening of the NOW.

Stakeholder Interviews:
4. Principles (cont.)

LISTENING 1: Downloading
from habits   habits of judgment

reconfirming old
opinions & judgments

LISTENING 2: Factual listening
from outside   noticing differences

Open Mind

disconfirming
[new] data

LISTENING 3: Empathic listening
from within

Open Heart

seeing through
another person's eyes
emotional connection

LISTENING 4: Generative listening
from Source   (from the future wanting
to emerge)

Open Will

connecting to an
emerging future whole;
shift in identity and self

Stakeholder Interviews:
5. Sources

Sources

- C. Otto Scharmer, *Theory U*: Chapter 21
- www.theoryu.com, www.presencing.com
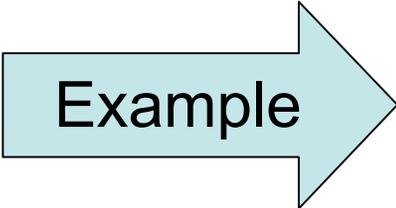
Stakeholder Interviews:
6. Example

Example

One participant in a leadership capacity-building workshop:

"As a newcomer, I sensed that there wasn't a lot of trust in the organization. With all these questions in mind, I was asked to do 'stakeholder' interviews as a preparation for a leadership seminar. The first thing I realized was that stakeholder interviews are 180 degrees different from normal conversations. No checking out and bargaining over my pre-prepared plans and trying to convince the other person. On the contrary, I had to shift my perspective and put myself into the stakeholders' shoes: 'How does she or he look at my job? I had to find out how I could serve my stakeholders so that they could be successful…

But then it was amazing: The interviews were incredibly helpful. They saved me months of work and communication! I learned things from the perspective of my stakeholders in this open way that I would never have heard in 'normal communications'. Shortly after the interviews, people I didn't know came along and said, 'We've heard about these open communications you've had. We must tell you that they've created a lot of trust. How did you do that?"
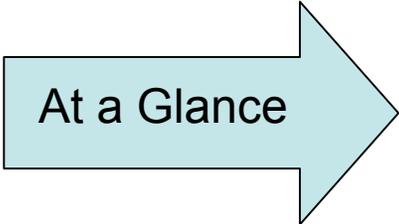
II. Dialogue Interviews

Dialogue Interviews

At a Glance

Dialogue interviews are intended to engage the interviewee in a reflective and generative conversation. This tool can be used to prepare for projects, workshops, or capacity building programs.

Dialogue interviews:

- provide you with insights into questions and challenges that the interviewees face;
- may help you to find partners for a project,
- prepare participants for to an upcoming event;
- begin to build a generative field for the initiative you want to co-create.
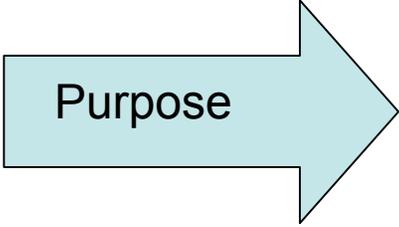
Dialogue Interviews:
1. Purpose & Outcomes

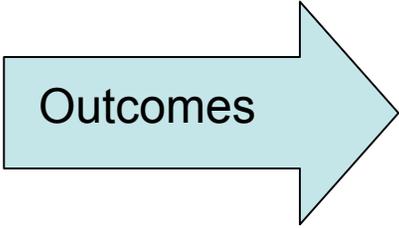**Purpose** → To create a generative conversation that allows for reflection, thinking together and some sparks of collective creativity to happen.

Outcomes →

1. Data on the participants' current challenges, questions, and expectations.

2. Increased awareness among participants about the upcoming event and how it might serve their needs and intentions.

3. An increased level of trust between facilitators and participants that helps to create a generative field of connections.

Dialogue Interviews:
2. Logistics

People & Place → Dialogue interviews work best face-to-face. If not possible, use phone interviews.

Time →
- 30-60 minutes for a phone interview.
- 30-90 minutes for a face-to-face interview.
Both figures are estimates and need to be adjusted to   the specific context.

Materials → Use interview guideline (questionnaire), but feel free to deviate when necessary.
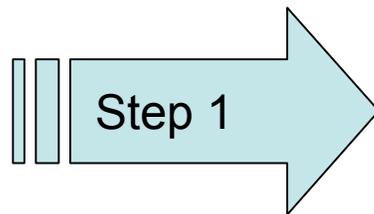
Paper and pen to take notes
Sometimes a tape recorder

Dialogue Interviews:
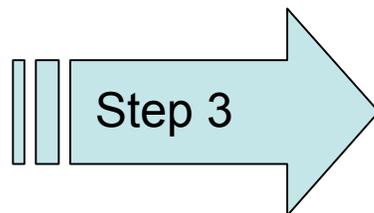# 3. Process

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Preparation:

Define/revise questions to adjust to specific context and purpose.
Schedule interviews.
If the interview will be conducted face-to-face find a quiet space.
Get information about the interviewee and her or his organization.
If several interviewers will conduct the interview agree on roles
(primary interviewer, note taking).

Step 1
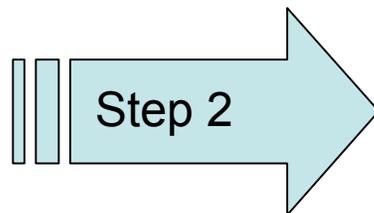
Before you meet the interviewee allow for some quiet
preparation or silence. For example, 15-30 minutes prior to a
face-to-face interview begin to anticipate the conversation with
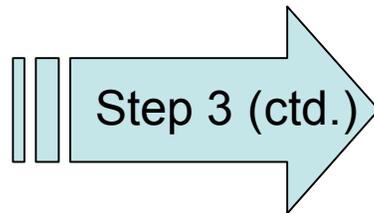an open mind and heart

Step 2

Begin the interview. Use the interview questionnaire on next
page as a guide, but depart from it to allow the conversation
to develop its direction.

Step 3

Dialogue Interviews:
# 3. Process (cont.)

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Step 3 (ctd.)

Sample questionnaire

1. Describe the leadership journey that brought you here.
2. When have you faced significant new challenges, and what helped you to cope with them?
3. Describe your best team experience. How do they differ from your other team experiences?
4. What top three challenges do you currently face?
5. Who are your most important stakeholders?
6. On the basis of what outcomes will your performance be considered a success or a failure - and by when?
7. In order to be successful in your current leadership role, what do you need to let go of and what do you need to learn? What capabilities do you need to develop?
8. How will you develop your team? What do you need from your team, and what does your team need from you?
9. Nine to twelve months from now, what criteria will you use to assess whether you were successful?
10. Now reflect on our conversation and listen to yourself: what important question comes up for you now that you take out of this conversation and into your forward journey?

Dialogue Interviews:
3. Process (cont.)

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Step 4
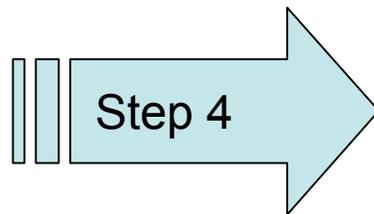
Reflection on the Interview:
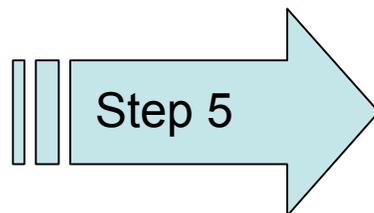
Take some time immediately after the interview to review
1. What struck me most? What surprised me?
2. What touched me?
3. Is there anything I need to follow-up on?

After all interviews have been completed, review the interview data, and summarize results.
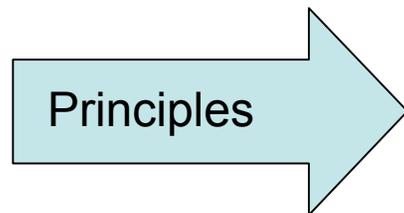
Step 5

Close feedback loop:

After each interview (by the following morning) send a thank-you note to your interviewee.

Dialogue Interviews:
4. Principles (cont.)

Principles →

Create transparency and trust about the purpose and the process of the interview.

Practice deep listening (figure next page).

Suspend your "Voice of Judgment": look at the situation through the eyes of the interviewee, don't judge.

Access you ignorance: As the conversation unfolds, pay attention to and trust the questions that occur to you.
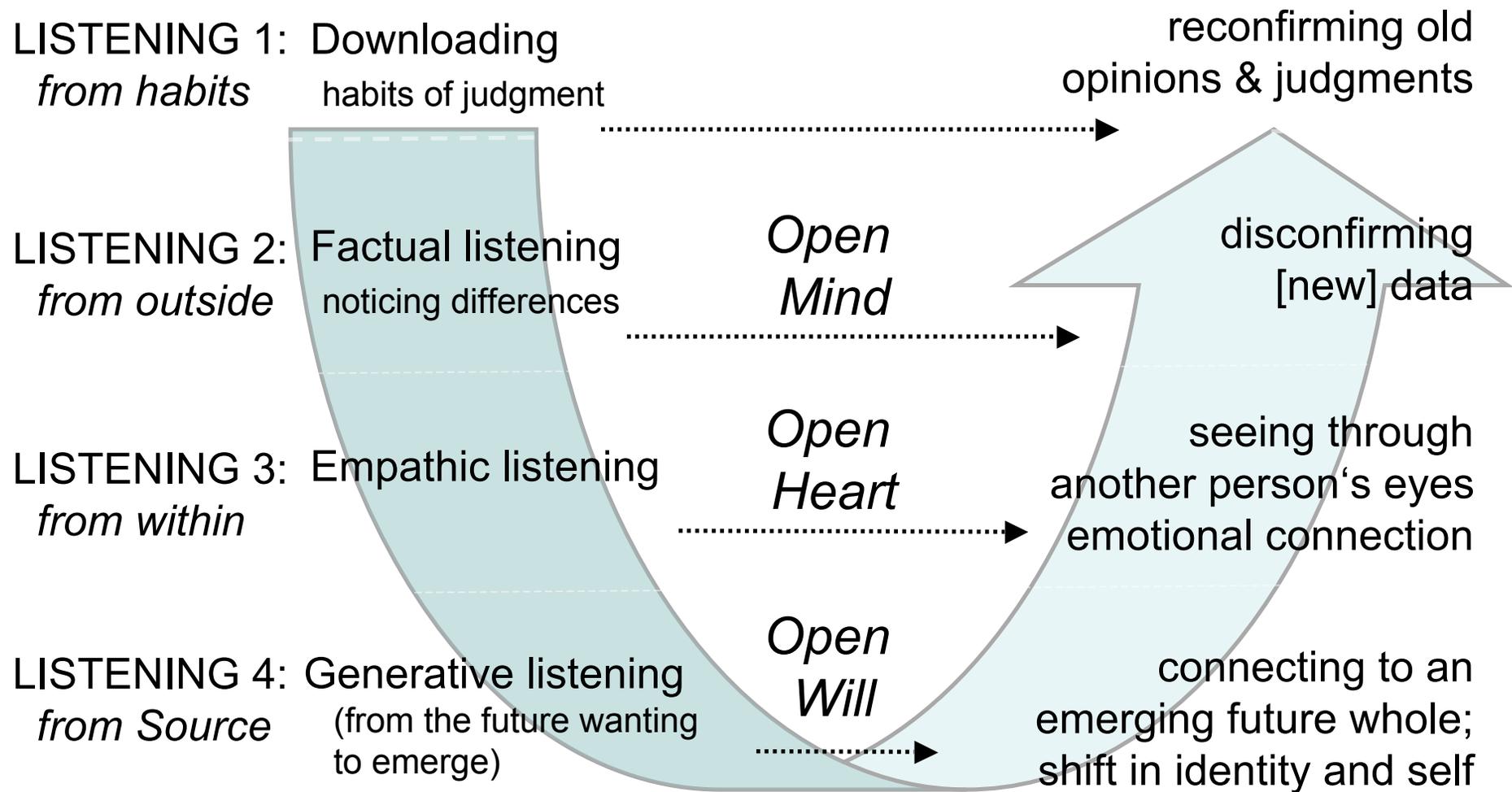
Access your appreciative listening: Thoroughly appreciate and enjoy the story that you hear unfolding. Put yourself in your interviewee's shoes.

Access your generative listening: Try to focus on the best future possibility for your interviewee and the situation at hand.

Go with the flow: Don't interrupt. Ask questions spontaneously. Always feel free to deviate from your questionnaire if important questions occur to you.

Leverage the power of presence and silence: One of the most effective "interventions" as an interviewer is to be fully present with the interviewee—and not to interrupt a brief moment of silence.

Dialogue Interviews:
4. Principles (cont.)

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LISTENING 1: Downloading
from habits   habits of judgment

reconfirming old
opinions & judgments

LISTENING 2: Factual listening
from outside   noticing differences

Open Mind

disconfirming
[new] data

LISTENING 3: Empathic listening
from within

Open Heart

seeing through
another person's eyes
emotional connection

LISTENING 4: Generative listening
from Source   (from the future wanting
to emerge)

Open Will
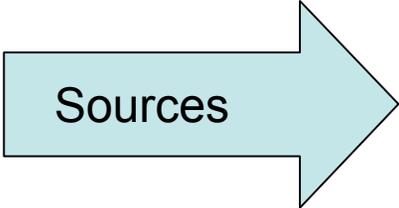
connecting to an
emerging future whole;
shift in identity and self

Dialogue Interviews:
5. Sources

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Sources

- C. Otto Scharmer, *Theory U*: Chapters 17, 21
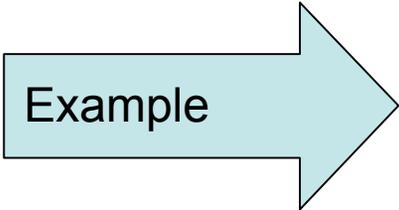- www.theoryu.com, www.presencing.com

Dialogue Interviews:
6. Example

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Example

Ursula Versteegen, who co-developed this method with Otto, describes one of her experiences:

"A while ago, I had a dialogue interview with Walter H. For me the toughest challenge in a dialogue interview is when I have "to jump off of the bridge." The moment of pushing myself off the safe ground into a total "presence" is the most laborious moment of the interview, and I am really scared when I sense it building up. But once I have dared to jump and have overcome my inner reluctance and clumsiness, it's the most effortless, beautiful way of being.

"Walter is an engineer in a global car company. 'I knew at age ten,' Walter started off, 'that I wanted to become an engineer, working with cars. As a kid, I spent more time in junkyards than on playgrounds.' For more than a decade he had been working as a quality expert in different positions and plants. When Walter spoke about cars he was enthusiastic: I enjoyed listening: 'Everyone linked arms with me right from the beginning. I was given responsibility early on.' I could almost touch his pride about building good-quality cars.

Dialogue Interviews:
6. Example

"'For a few weeks now,' he continued, 'I've been in HR/Industrial Relations. It's an exotic country for me. There is a huge list of things'—and he started reading the list—'that I am responsible for now: work organization; reorganization; leadership organization in plants; unions; health management; sick-list reports; health maintenance; occupational safety; aging workforce... My challenge is: How do I convince people in the plant to participate in health management? How do I negotiate with the unions, sell them our concepts? How can I make decisions without formal authority about the people who need to comply with all of these rules?'

"After he had read that list to me, I felt funny. It took me a moment to realize that my energy level had dropped from one hundred to zero. Why was that? What had happened? Listening to him while he was continuing to speak about his challenge, I noticed that he had changed as well. His voice had become more formal, he was talking much faster, the manner in which he was talking felt more distant, closing up and maybe even more decisive and resolute. My listening was dropping off. It sounded as if he had shifted from the nice, enthusiastic hands-on production guy into the role of a formal bureaucrat who knew exactly what all these plant people needed to do. I felt distant, too. I asked him about his stakeholders: 'Who would be the most critical people to talk to and get different perspectives from on your new job?' I was silently hoping that the stakeholders would tell him what I felt I couldn't. 'Oh, I have done these already,'Walter quickly said, 'I told my stakeholders what my responsibilities were and asked them for comments.'

Dialogue Interviews:
6. Example

"I saw myself standing on the bridge, and I knew I had to jump to make a difference. But an incredible inner gravity was holding me back. Part of me said, 'Tell him why his way of doing stakeholder interviews is useless.' The other, the scary part, said, 'Open your heart. Allow him to change you.' In that moment a memory was welling up in me: not long ago, when I was working at the headquarters of a pharmaceutical company, I had been in exactly the same situation as Walter. I had to convince business units and production sites of lots of conceptual positions, statements, and 'to-dos' that didn't relate to my own experience. The more useless I felt, the more my communication style changed from learning to teaching or instructing them.

"I jumped: 'While I'm listening to you, I'm starting to wonder about the difference between working for a plant and working at headquarters.' I heard him nodding. Our distance started melting. I slowed down, speaking out of the inner place of the lost and useless person I felt to be at the time: 'I don't know whether and how this experience may be relating to you at all.' I talked as if I were walking on tiptoes, waiting for the right words to come, not knowing what the next word would be. 'When I, in my case, asked people from production what they needed me for, their answer was 'Honestly, Ms. Versteegen, we don't need you at all for the things you're doing right now, we're sorry to tell you.'

Dialogue Interviews:
6. Example

"Silence. I could hear a pin drop. But the silence was pure energy. I heard a sound of very deep relief, and then Walter said, 'That is exactly what they told me.' In that moment, the whole conversation shifted. I asked him, 'Before, you had mentioned that one of your key learnings in production was that things always appear to be different when you look at them from the outside, as compared to when you're looking from within. How does that learning apply to your situation now?'

"Time slowed down. Finally he said, 'Well, one interview was different. It was the one where I spoke to a production head who I know well and respect a lot. I wasn't talking to him as an industrial relations person, I spoke to him as if I still was a peer, in my former role of also being a production head. He said, 'Walter, as a corporate person you're bringing answers to questions I don't have. But I have a lot of questions and issues that I need your help on as a peer practitioner, to help me find new and innovative answers.''

Then Ursula asked him, "Why could he say that to you?" Walter replied, "I guess I put myself into the shoes of my colleague, looking from production to corporate. In the other interviews, I was looking from the outside, corporate, into production."
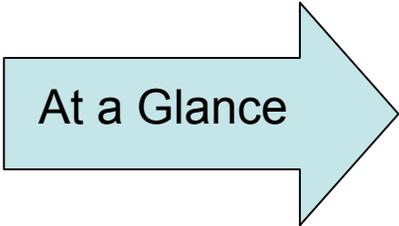
III. Shadowing

Shadowing

At a Glance

Shadowing means to accompany a person for a period of time for example 1/2 day to observe him/her during work, and learn from this observation.

Shadowing allows the person who shadows someone to:

- observe and learn from an experienced practitioner/leader

- step into someone else's daily work experience
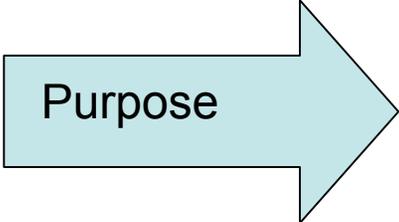
- connect to someone who is facing similar challenges

Shadowing:
1. Purpose & Outcomes

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Purpose → The purpose of the shadowing exercise is to observe and absorb practical and intuitive knowledge from a colleague, customer, or an otherwise interesting person.

Outcomes →

Real-time insights on practices of an experienced leader

Informal access to the daily routines of leadership work without being "on stage"

A deeper understanding of the leader's work
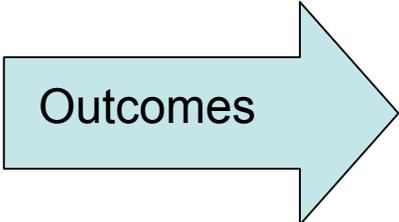
The identification of barriers to and opportunities for leadership that need to be addressed

An expanded personal network

New ideas for your own leadership practices

Enhanced clarity about your own leadership challenge profile through the lens of the shadowing experience.

Shadowing:
2. Logistics

People & Place → Participants identify a possible shadowee

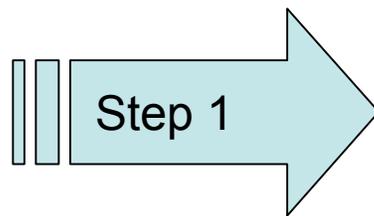**Time** → Minimum of half a day; a full work day is preferred
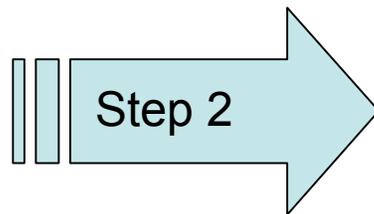
Materials → ./.

Shadowing:
3. Process

Step 1

Preparation:

Define the objective of the process and identify an appropriate target person to shadow. The target person and it's context should be both interesting (from the viewpoint of the shadower) and unfamiliar.

Shadowing:
3. Process

Step 2

Make an appointment with your shadowee.
Let the person you wish to shadow know that you are interested in just following his daily practice and routines and that there is no need for any special program or treatment. There is no need for him/her to set aside extra time for you except at the end of the day for the closing/debriefing interview (about 30 minutes – 1 hr.). But this could also be done during lunch or dinner. Let the shadowee know what you are particularly interested in learning about. Then the shadowee can select the best day for your shadowing experience.
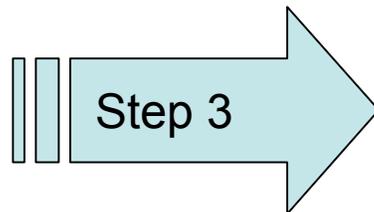
Confidentiality: clarify that anything you observe or hear will be handled confidentially.

Shadowing:
3. Process (cont.)

Step 3

On the morning of the shadowing day, prepare and take 10-20 minutes prior to the exercise to:

- focus on the purpose of the shadowing: what do you want to learn?
- imagine the best possible outcome of the day for you and for your shadowee);
- Connect to the future that you want to create—and think about how your shadowing might be a small first step in that direction.

Once you arrive in the office of your shadowee, create transparency and trust about the purpose and the process of the shadowing exercise; establish a personal connection early on; use observations in your interviewee's office or return to themes that came up during the first moments of the conversation to establish a personal connection. Let your shadowee know that whatever you learn during the day is for your personal use only and won't be shared with others.
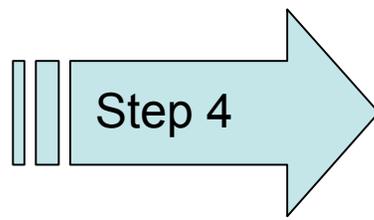
During the shadowing exercise, listen with your mind and heart wide open, take notes, follow the principles below.

Shadowing:
3. Process (cont.)

Debriefing Interview:

Step 4

At the end of the day or during lunch conduct a brief interview with the person you shadowed. Bring up any questions that the observations throughout the day sparked in your mind. Here are a few questions that you might consider.

Sample questions for de-briefing:
1. What journey brought you to your current position?
2. What good and bad examples of leadership have you experienced?
3. What key challenges are you currently dealing with?
4. What is your work as a leader? What in your organization would be missing without you? What value do you add?
5. When you started in this position, what did you have to let go of (unlearn), and what new competencies did you have to develop?
6. What barriers exist in the current system that prevent your team/organization from realizing its potential more fully?
7. What personal practices do you use to tap into your best potential?

Shadowing:
3. Process (cont.)

Step 5
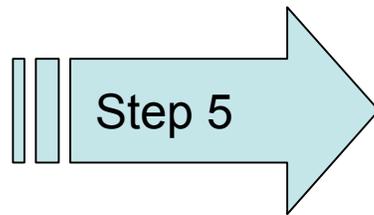
"Debrief" and crystallize right away; capture observations and insights in your journal; don't make phone calls or have conversations between your shadowing experience and recording your thoughts and impressions; use a structured debriefing process as suggested below, if possible.

1. What are your 2-3 key observations from today?
2. What are their implications for your own work?
3. What were 2–3 important leadership challenges your shadowee was facing today?
4. What was an intervention the shadowee made that changed the course?
5. Reflect on interventions that have failed.
6. Were there moments I felt uncomfortable with how things went? Why?
7. Were there moments I felt inspired during [with] the day? Why?
8. What other things did you notice about your self?
9. Other observations or key take aways?

Shadowing:
3. Process (cont.)

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Step 6
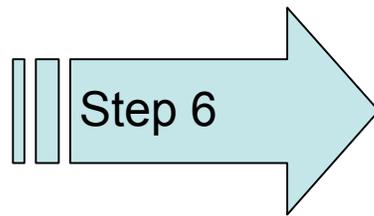
Send a thank-you note: close the feedback loop by dropping your shadowee a brief email or voice mail to say thank you for the day (within 24 hours). You can also use it to say something about the most important insight you gleaned from the day or the closing interview.
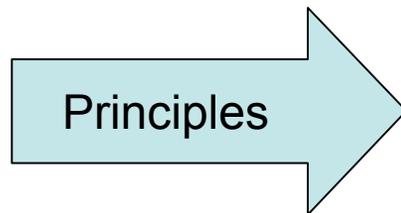
Shadowing:
4. Principles

Shadowing works best when participants select a person they don't know and a business area that is unfamiliar or "at the other end of corporate universe."

Shadowing is not an interview or a visit with an old buddy. It does not follow a structured program.
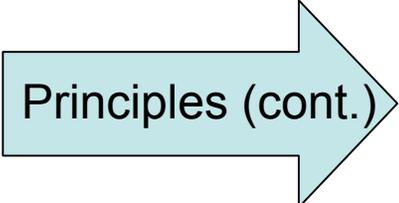
Principles

Intention setting:

Take 10-20 minutes prior to the shadowing to:
• focus on the purpose of the shadowing: what do you want to learn?
• imagine the best possible outcome of the day for you and for your shadowee;
• connect to the future that you want to create—and think about how your shadowing might be a small first step in that direction.

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Principles (cont.)

Suspend your voice of judgment (VOJ) to see the situation with fresh eyes. Observe. Observe. Observe. Try to look at the situation from the perspective of a video camera, or a first day at work, or that of a researcher. You haven't visited or been to meetings in this company before. You just see this person working through the day trying to get things done. What matters at this point is not whether or to what extent his working environment, meetings, or colleagues are similar to or different from yours. You can assess that at a later point. You are there to observe and become immersed in how the day is evolving.

Access your ignorance: As the day unfolds, pay attention to and trust the questions and observations that occur to you; record questions and important observations in your Notebook.

Be empathic with the person you shadow and his/her environment: try to observe from the other person's perspective. Sympathize with the person and his/her task, and appreciate his/her approach and way of handling things.

Shadowing:
5. Sources

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Sources →

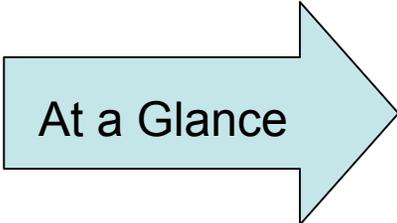- C. Otto Scharmer, *Theory U*: Chapter 21
- www.theoryu.com, www.presencing.com

IV. Sensing Journey

Sensing Journeys

At a Glance

Sensing Journeys are a way of experiencing the system through the lens of different stakeholders. Together with other users of the system, participants will undertake small journeys to different places in that system.

These Learning Journeys allow participants to:

• move into unfamiliar environments;
• immerse themselves in different contexts;
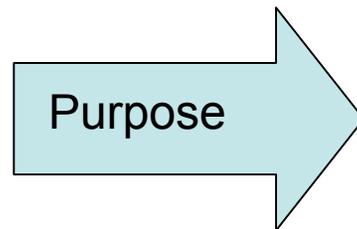• step into relevant experiences
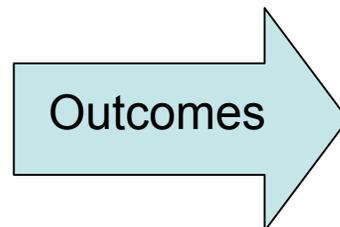
Sensing Journeys:
1. Purpose & Outcomes

Purpose

To engage stakeholders of a system in a series of immersion, listening, inquiry, and dialogue activities that create:
- a network of relationships among key stakeholders in that system
- a shared understanding of the systemic forces at play
- input for prototype ideas that could catalyze profound change

Outcomes

- Increased awareness of the different aspects of a system and their relationships.
- Enhanced awareness of the different perspectives of the stakeholders and participants in the system.
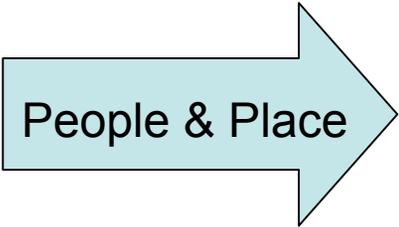- Connections between stakeholders and participants

Sensing Journeys:
2. Logistics

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The group splits up into sub-teams of 5 or so participants. The group composition matters because the impact of the sensing journeys is enhanced by a mix of perspectives.

Define places of high potential for the sensing journeys: the whole group of participants should go to several places that can provide insights into:
-the different perspectives of the system's key stakeholders
-the different aspects of that system
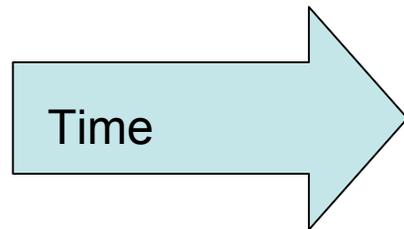-the 'voiceless': people in the system, those who usually are not heard or seen.
-A good way to get a sense of the system is to look at its "extreme users": those with special requirements, such as a person living in a remote area needing access to a health system.
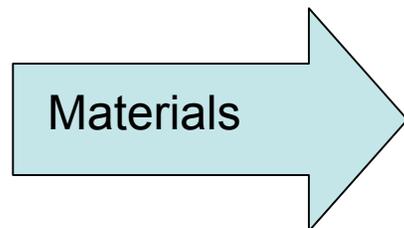
People & Place

Sensing Journeys:
2. Logistics (ctd.)

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Time

The length of a sensing journey depends on the size of the geographic area being covered. It is recommended to allocate at least 1 day (or so) to sensing journeys in a workshop context and several days or weeks (sometimes spread over a period of months) in a larger project setting.

Materials

If the hosts agree, it is advised to take pictures and/or videos during the journey. These can be useful during reviews with the other groups and as a reminder for the participants.

Other materials may be collected as well, after seeking permission from the hosts.

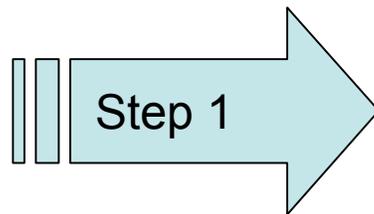A pen and journal are required for taking notes during and after the journey.

Sensing Journeys:
3. Process

Step 1

Preparation:

Establish common ground by discussing with your group members:
- What is the context you are going into?
- Who are the key players that you need to talk with?
- What are the questions are you most interested in exploring?
- Share your most eye-opening sensing experience to date

Start by developing a short questionnaire (7-10 questions) that guides your inquiry process. Keep updating your questionnaire as your inquiry process unfolds.
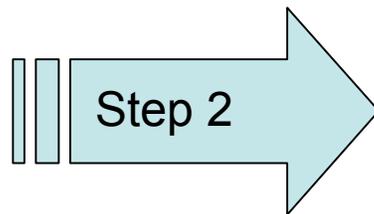
Communicate the intention of the exercise with the hosts.
Request that they give the group some insight into their "normal" daily operations, rather than a staged presentation. Try to avoid "show and tell" situations.

Sensing Journeys:
3. Process (cont.)

Step 2

Small groups travel to the host's location.

While at the site:
Trust your intuition and ask authentic questions.
Pay attention to and trust you intuition in asking questions raised by the conversation. Asking simple and authentic questions is an important leverage point in shifting or refocusing the attention on some of the deeper and systemic forces at play.

Use deep listening as a tool to hold the space of conversation. One of the most powerful intervention by a listener is deeply attentive silence. When your interviewee has finished responding to one of your questions, don't jump in automatically with the next question. Attend to what is emerging from the now.
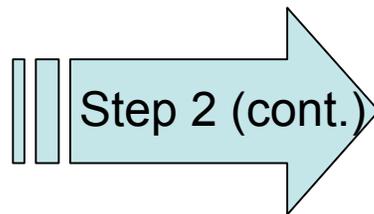
# Sensing Journeys:
3. Process (cont.)

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Step 2 (cont.)

Example of questions to ask the visit:

1. What personal experience or journey brought you here?
2. What issues or challenges are you confronted with?
3. Why do these challenges exist?
4. What challenges exist in the larger system?
5. What are the blockages?
6. What are your most important sources of success and change?
7. What would a better system look like for you?
8. What initiative, if implemented would have the greatest impact for you? And for the system as a whole?
9. If you could change just a couple of elements what would you change?
10. Who else do we need to talk to?

Sensing Journeys:
3. Process (cont.)

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Step 3
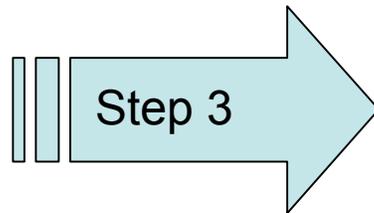
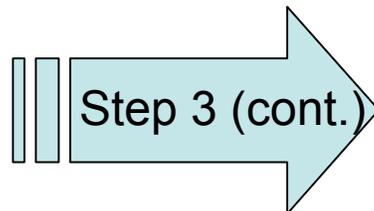**After the visit: Reflect and debrief**

To capture and leverage the findings of your inquiry process, conduct a disciplined debriefing process after each visit right after each visit. Don't switch on cell phones until the debriefing is complete.

Sensing Journeys:
3. Process (cont.)

Step 3 (cont.)

Here are a few sample questions for the debriefing:

1. What struck me most? What stood out?
2. What was most surprising or unexpected?
3. What touched me? What connected with me personally?
4. If the social field (or the living system) of the visited organization or community were a living being, what would it look and feel like?
5. If that being could talk: what would it say (to us)?
6. If that being could develop—what would it want to morph into next?
7. What is the generative source that allows this social field to develop and thrive?
8. What limiting factors prevent this field/system from developing further?
9. Moving in and out of this field, what did you notice about yourself?
10. What ideas does this experience spark for possible prototyping initiatives that you may want to take on?
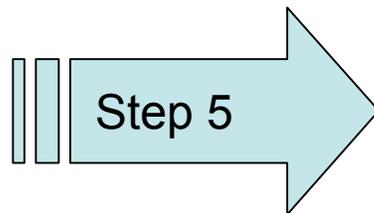
Sensing Journeys:
3. Process (cont.)

Step 4
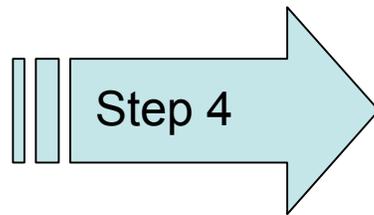
Close the feedback loop with you hosts:

Send an email (or other follow-up note) expressing a key insight you took away from the meeting (one or two sentences), and your appreciation.

Step 5

Debrief as a whole group

After a one-day learning journey this debriefing would take place in next meeting with the whole group.
In the case of a multi-days learning journey you plan to meet between the individual days if logistics allow.

Structure of the whole group debrief meeting

1. Get everyone on the same page by sharing concrete information about the Journeys: Where did you go, who did you talk to, what did you do?
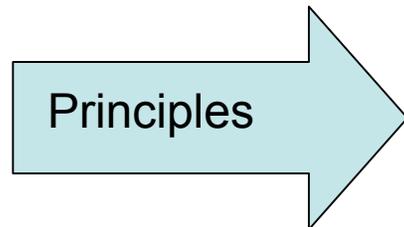2. Talk about your findings and generate new ideas.

Sensing Journeys:
4. Principles

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Principles

A deep-dive sensing journey requires engaging in **three types of listening:**

- Listening to others: to what the people you meet are offering to you
- Listening to yourself: to what you feel emerging from within
- Listening to the emerging whole: to what emerges from the collective and community settings that you have connected with.

Go to the places of most potential. Meet your interviewees in their context: in their workplace or where they live, not in a hotel or conference room. When you meet people in their own context you learn a lot by simply observing what is going on. Take whatever your observe as a starting point to improvise questions that allow you to learn more about the real-life context of your interviewee.
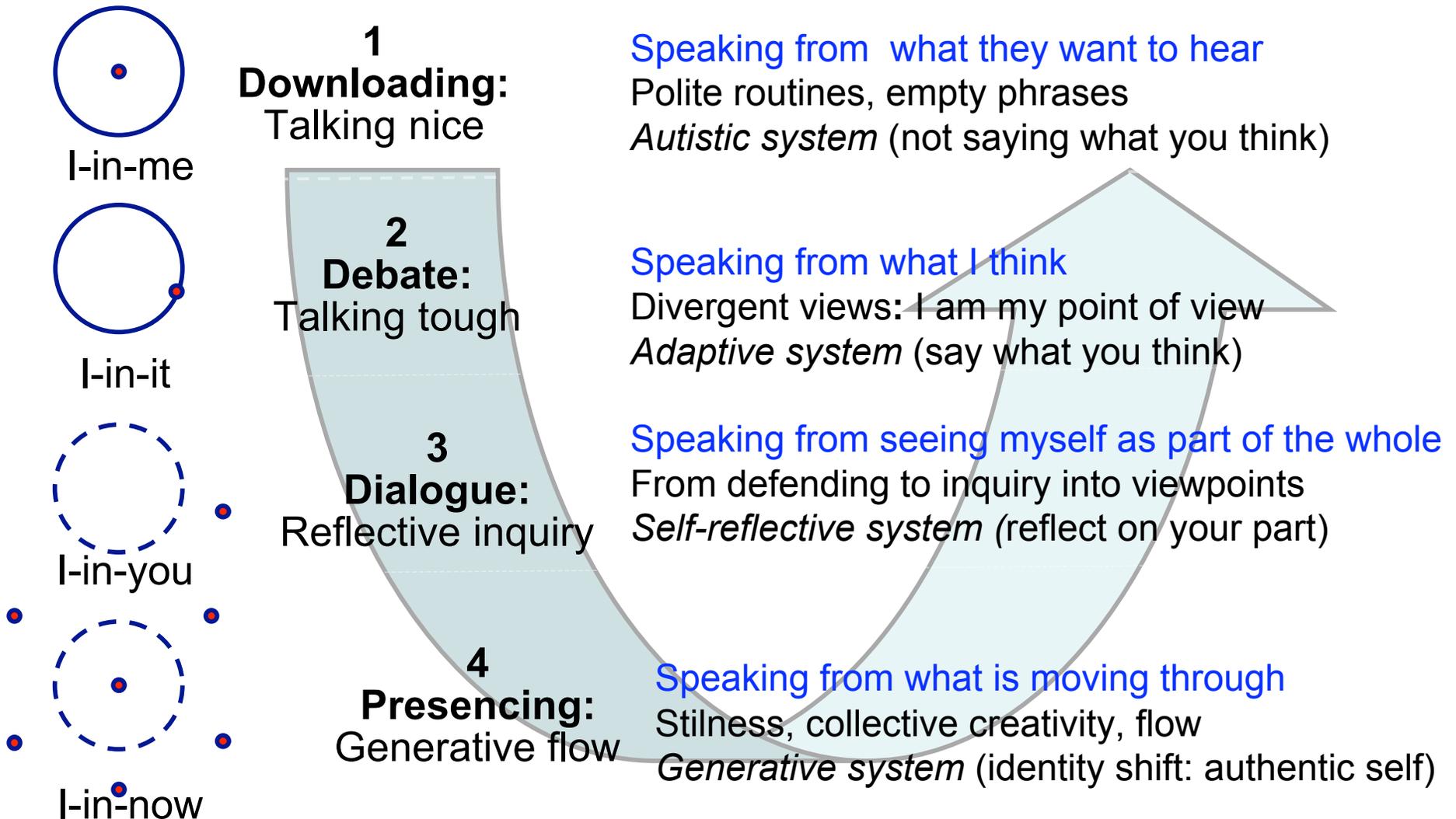
Sensing Journeys:
4. Principles (cont.)
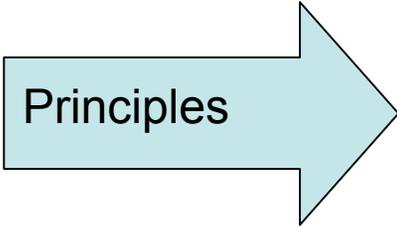
Principles ➡

Observe, observe, observe: Suspend your voices of judgment (VOJ) and cynicism (VOC) and connect with your sense of appreciation and wonder.

Without the capacity to suspend judgment and cynicism, all efforts to conduct an effective inquiry process will be in vain. Suspending your VOJ means shutting down the habit of judging and opening up a new space of exploration, inquiry, and wonder.

Use the power level 3 and 4 conversations (dialogue and presencing--see next slide).

Field-Structure Of Attention

Field

I-in-me

1
Downloading:
Talking nice

Speaking from what they want to hear
Polite routines, empty phrases
Autistic system (not saying what you think)

I-in-it

2
Debate:
Talking tough

Speaking from what I think
Divergent views: I am my point of view
Adaptive system (say what you think)

I-in-you

3
Dialogue:
Reflective inquiry

Speaking from seeing myself as part of the whole
From defending to inquiry into viewpoints
Self-reflective system (reflect on your part)

I-in-now

4
Presencing:
Generative flow

Speaking from what is moving through
Stilness, collective creativity, flow
Generative system (identity shift: authentic self)

Sensing Journeys:
5. Sources

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Sources →

O. Scharmer, *Theory U*: Chapter 21.
Free download:
http://www.theoryu.com/documents/TU-ch21.pdf
http://www.presencing.com
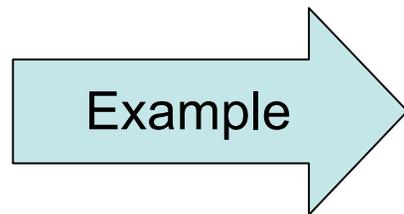
Sensing Journeys:
6. Example

Example

An automobile manufacturing firm's product development team decides to use Sensing Journeys to broaden their thinking and to generate new ideas. Their task is to build the self-repair capacity of their cars' engines. The team visits a broad selection of other companies, research centers, and even experts in traditional Chinese medicine (TCM). As it turned out, the visits with TCM experts generated the most innovative ideas for this project (including the idea to design self-repair functions for the "dream state" of the car--that is, for those periods when the car is not in use).
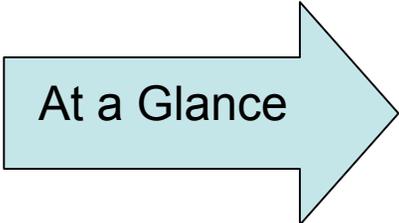
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V. U Journaling Practice:

A Journey through Your Field of the Future

Power of Intention Practice

At a Glance

This practice uses guided journaling to lead participants through a U based reflective process. This practice allows participants to:

• experience the U-Process in about 40 minutes
• access deeper levels of self-knowledge and self-knowing
• develop practical ideas for creating the future they want to bring about.

U Journaling Practice:
1. Purpose & Outcomes

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Purpose

To connect to a deeper level of self-knowing, and to begin acting from that place.
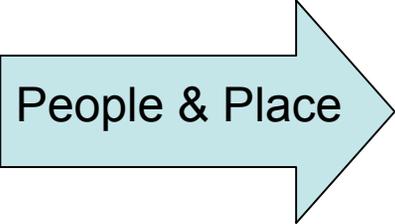
Outcomes

1. A heightened level of self-knowing.

2. A shift in the state of attention (consciousness) of the group to a deeper level.

3. A new awareness and new questions about who I am and what I want do with the rest of my life.

U Journaling Practice:
2. Logistics

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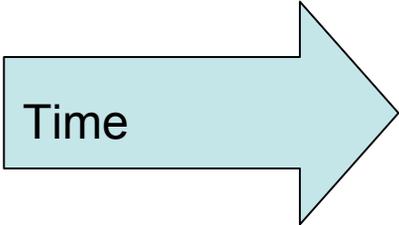
People & Place

The Power of Intention Practice can be used in groups of any size.

This practice opens the space at the bottom of the U (it is good to do it after an initial sensing phase).

-Quiet room. No noises or other distractions in the environment. Make sure that you can leverage the deeper state of awareness at the end by sending people on a dialogue walk.

Time

A minimum of 40 minutes is required. Then, ideally, you would have another 40 min for a paired dialogue walk upon completion of the journaling to share what came up during the exercise. So plan on about 90 or so minutes.
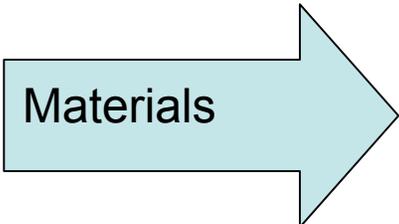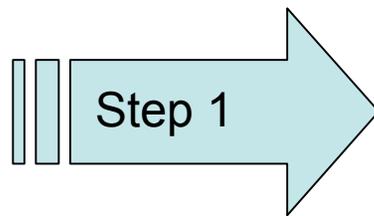
Materials

Pen and a journal (or lots of paper) for each participant

U Journaling Practice:
3. Process

Step 1

Preparation:
Create a space that makes participants aware of the deeper aspects of their work and life journey: Who is my Self? What is my Work? You can do that by playing a video clip or sharing a personal story. But make it personal.

Then, with participants working in pairs, let them share some of their own stories (of such a deeper experience) with each other: "Share the story of an experience where something that happened clarified or changed your sense of who you really are."

When everyone has connected with some concrete aspect of that deeper place, you can start. You will usually want to modify the first question or two according to the specific context that the group brings and what they did in the preparatory step.

Begin by explaining the essence of the journaling process: listen to the question posed by the facilitator and just start writing (do not think about it, just go with what comes through your hand, heart and mind)

U Journaling Practice:
3. Process (cont.)

Step 2
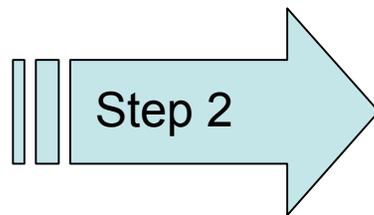
Start the journaling:

Read each question, and ask the participants to just start writing.

Continue with the next question when you sense that the majority of the group is ready.

Don't give participants too much time. It is important to get into a flow and not to think too much.

Tell them they can slow you down by raising their hands (signaling they needed more time).

Use questions 1 - 18 on next pages.

U Journaling Practice:
3. Process: Journaling questions

1. **Challenges:** Look at yourself from outside as if you were another person: What are the 3 or 4 most important challenges or tasks that your life (work and non-work) currently presents?

2. **Self:** Write down 3 or 4 important facts about yourself. What are the important accomplishments you have achieved or competencies you have developed in your life (examples: raising children; finishing your education; being a good listener)?

3. **Emerging Self:** What 3 or 4 important aspirations, areas of interest, or undeveloped talents would you like to place more focus on in your future journey (examples: writing a novel or poems; starting a social movement; taking your current work to a new level)?

4. **Frustration:** What about your current work and/or personal life frustrates you the most.

5. **Energy:** What are your most vital sources of energy? What do you love?

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6. **Inner resistance:** What is holding you back? Describe 2 or 3 recent situations (in your work or personal life) where you noticed one of the following three voices kicking in, which then prevented you from exploring the situation you were in more deeply:
Voice of Judgment: shutting down your open mind (downloading instead of inquiring)
Voice of Cynicism: shutting down your open heart (disconnecting instead of relating)
Voice of Fear: shutting down your open will (holding on to the past or the present instead of letting go.

7. **The crack:** Over the past couple of days and weeks, what new aspects of your Self have you noticed? What new questions and themes are occurring to you now

8. **Your community:** Who makes up your community, and what are their highest hopes in regard to your future journey? Choose three people with different perspectives on your life and explore their hopes for your future (examples: your family; your friends; a parentless child on the street with no access to food, shelter, safety, or education). What might they hope for if they were looking at your future through their eyes?

9. **Helicopter:** Watch yourself from above (as if in a helicopter). What are you doing? What are you trying to do in this stage of your professional and personal journey?

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10. **Helicopter II:** Watch your community/organization/collective movement from above: what are you trying to do collectively in the present stage of your collective journey?

11. **Footprint:** Imagine you could fast-forward to the very last moments of your life, when it is time for you to pass on. Now look back on your life's journey as a whole. What would you want to see at that moment? What footprint do you want to leave behind on the planet? What would you want to be remembered for by the people who live on after you?

12. **Help:** From that (future) place, look back at your current situation as if you were looking at a different person. Now try to empathize with and help that other person from the viewpoint of your highest future Self. What advice would you give? *Empathize, and sense, what the advice is—and then write it down.*

13. **Intention**: Now return again to the present and crystallize what it is that you want to create: your vision and intention for the next 3-5 years. What vision and intention do you have for yourself and your work? What are some essential core elements of the future that you want to create in your personal, professional, and social life? Describe as concretely as possible the images and elements that occur to you

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14. **Letting-go:** What would you have to let go of in order to bring your vision into reality? What is the old stuff that must die? What is the old skin (behaviors, thought processes, etc.) that you need to shed?

15. **Seeds:** What in your current life or context provides the seeds for the future that you want to create? Where do you see your future beginning?

16. **Prototyping:** Over the next three months, if you were to prototype a microcosm of the future in which you could discover "the new" by doing something, what would that prototype look like?

17. **People:** Who can help you make your highest future possibilities a reality? Who might be your core helpers and partners?

18. **Action:** If you were to take on the project of bringing your intention into reality, what practical first steps would you take over the next 3 to 4 days?

U Journaling Practice:
3. Process (cont.)

Step 3
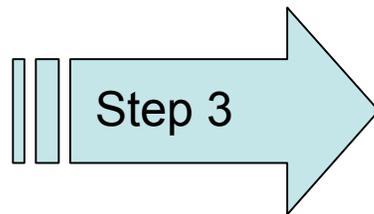
Dialogue walk:

At the end, ask them to team up with another person (someone they don't know) and go for a walk in which they share whatever came up for them during the journaling. Ask them to take turns, 15-20 min each. The listener tries to listen deeply and to be helpful.
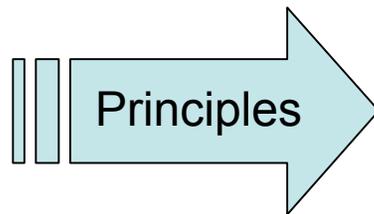
U Journaling Practice:
4. Principles

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Principles ➡

Journaling is a personal process. **Never ask participants to share their journaling notes in public.**

After completing a journaling practice you may create an opportunity to reflect on the experience of journaling. Again: emphasize that participants decide what they want to share.

Journaling means that you think through the writing—the writing is the thought process. You do not to think, reflect, and then write up the reflection. Instruct the participants that they should just start writing and see what emerges.

U Journaling Practice:
5. Sources

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Sources

- C. Otto Scharmer, *Theory U*: Chapter 21
- www.theoryu.com, www.presencing.com

U Journaling Practice:
6. Example

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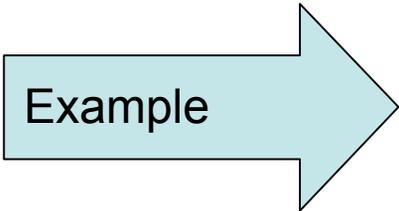
Example →

Alan Webber recalled what kept him going on his journey to co-create *Fast Company* despite all the obstacles he encountered:

"People who have genuinely been taken over by an idea or a belief usually can't answer the question 'Why are you doing this?' in rational terms. Years ago my father bough me a collection of interviews of great fiction writers. The interviewer was George Plimpton. He' say, 'Why did you become a writer? Why do you get up in the morning and write?' The answer invariably was 'Well, I can't not.'

People would ask me 'Why are you doing Fast Company?' *At first, the answer was very rational: 'Well, you know, it's a magazine about this and that, and the world doesn't have one.' But I soon realized that those reasons weren't the real ones.* **The reason you do it is because *you can't not do it*.** *But it's hard to explain that to people without sounding like a lunatic."*

(see Scharmer, 2007, pp 400)

The Power of Intention practice is a tool to explore and crystallize what it is for you that you "can't not do."

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VI. Case Clinics
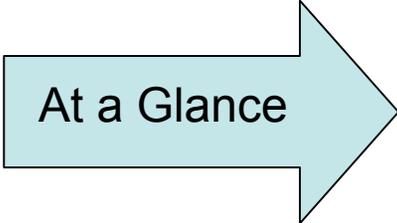
Case Clinics

At a Glance

Case Clinics guide a team or a group of peers through a process in which a case giver presents a case, and a group of 3-4 peers or team members move into a helper or consultant role based on the principles of the U-Process and process consultation.

Case Clinics allow participants to:

• generate ways of framing the issue and
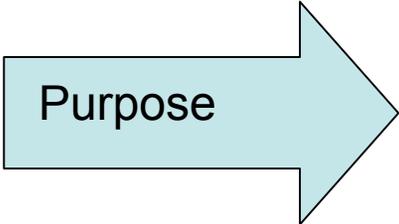
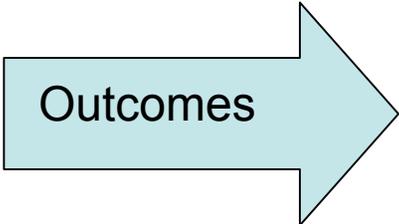• develop new approaches for responding to it.

Case Clinics:
1. Purpose & Outcomes

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Purpose → To help a colleague responding to an important and immediate leadership challenge better and more effectively.

Outcomes →
1. Concrete and innovative ideas for how to respond to the pressing leadership challenge.

2. High level of trust and positive energy among the peer group.

3. A rapid collective U experience in about 70 minutes.

Case Clinics:
2. Logistics

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People & Place

Groups of 4-5 peers each.
Sufficient space so that groups can work without distractions.

Time

A minimum of 70 minutes is required.

Materials

Chairs for each group to sit in a circle or around a table.
Flipchart and marker.

Case Clinics:
3. Process

Step 1
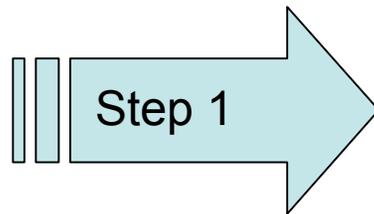
Preparation:

Have people think about a leadership situation
- that is current, concrete, and important;
- the case giver happens to be a key player in;
- can be presented in 10 min, and
- could make a big difference moving forward.

Step 2
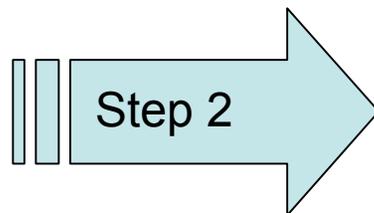
Put group into teams of 4 or 5.
Give each group a process hand-out with the instructions, and introduce the process.
Send the groups off (detailed instructions see next page).

(0)	2 min.	Select case giver and timekeeper
(1)	10-15 min.	**Intention Statement by case giver** ➤ <u>Situation</u>/Problem/Opportunity/Project= What do you want to address? ➤ Your <u>intention</u>: What do you want to create? ➤ Your <u>edge</u>: what do you need to let go of and learn? ➤ <u>Help</u>: Where do you need input and help? Consultants ask clarifying questions if necessary
(2)	5-10 min.	**2-3 min Stillness. Then mirroring by each consultant** ➤ What <u>images</u> and <u>feelings</u> come up for me now? ➤ What <u>questions</u> are evoked in my mind?
(3)	30 min.	**Generative Dialogue and solution brainstorming by all** ➤ Case giver <u>reflects</u> on the images and emotions that the case evoked ➤ Consultants ask <u>questions</u> to deepen understanding ➤ Generative Dialogue: <u>Co-create</u> ideas for solutions.
(4)	10 min.	**Concluding Remarks by consultants** ➤ What is the key issue to be addressed [diagnosis]? ➤ What solution/action do I propose?
(5)	5 min.	**Concluding remarks by case giver** ➤ What new insight do the solutions offer to me? ➤ How could I use/combine these ideas going forward? ➤ Thank you!
(6)	3 min.	**Journaling—Capturing the key learnings by all**

Case Clinics:
4. Principles

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Principles ➡
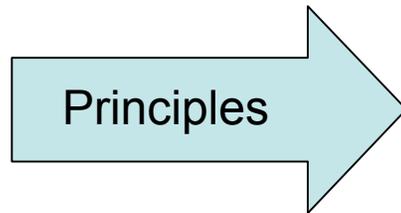
The case giver must own the case, meaning that she or he needs to be a key player in the situation at issue.

The participants in the case clinics are peers, so there is no hierarchical relationship among them.

One participant assumes into the role of the timekeeper and ensures that participants move through the outlined process.
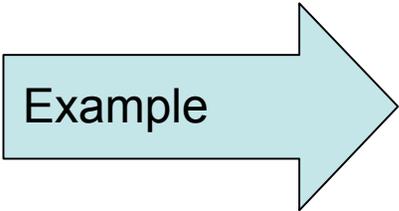
Case Clinics:
5. Sources

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Sources →

- C. Otto Scharmer, *Theory U*: Chapter 21
- www.theoryu.com, www.presencing.com

Case Clinics:
6. Example

Example

Representatives from 12 corporations meet with the goal of improving their performance from a sustainability perspective. They use case clinics to learn from each other. For a entire day they work in small groups of four. Each participant presents a case. The result is practical progress, some breakthroughs, great networking, and a very high level of positive energy.

VII. Prototyping

Prototyping
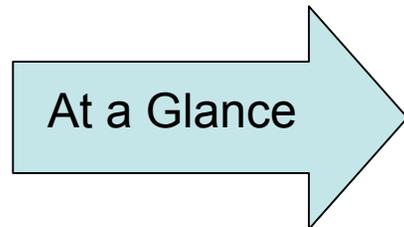
At a Glance

After a group moves through the sensing and presencing stage of the U-Process, the U continues by crystallizing ideas and then prototyping them. Prototyping means to create a landing strip for the future you want to create, and to build something that allows you to explore an emerging idea or concept by doing something. Prototypes are an early draft of what the final result might look like. Prototyping often goes through several iterations based on the feedback that you generate from other stakeholders.
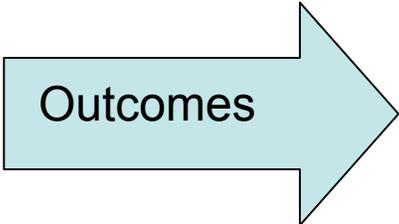
Prototyping :
1. Purpose & Outcomes
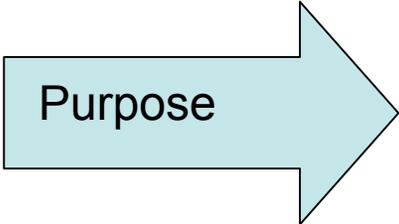
Purpose

The purpose of prototyping is to create a microcosm that allows you to explore the future by doing. Prototypes work on the principle of "failing early to learn quickly." (IDEO)

Outcomes

- Valuable feedback from stakeholders on an idea that helps to refine the concept and its underlying assumptions
- A practical and tested mini-version of what later could become a pilot project that can be shared and eventually scaled.
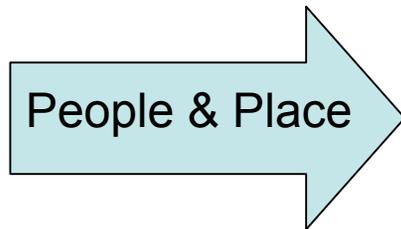- Ideas to refine the existing and invent new concepts
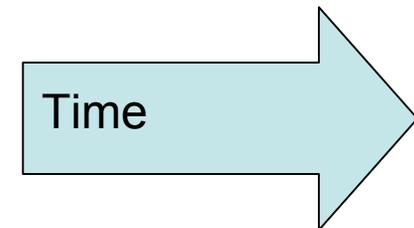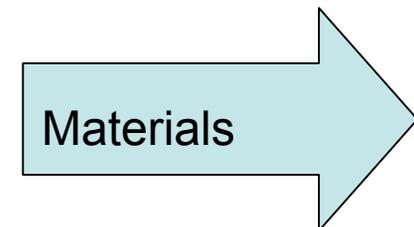
Prototyping :
2. Logistics

People & Place → Participants go through a process that includes both systems sensing (seeing the system through the view of all key stakeholders), systems thinking (identifying root causes and leverage points) and a moment of shared and individual stillness (connecting to source) before brainstorming and selecting possible prototyping ideas.

Time → Depending on the project, a prototype can take a few days, weeks, months or years. Usually it takes 1-6 months.

Materials → Depends on the concrete project.
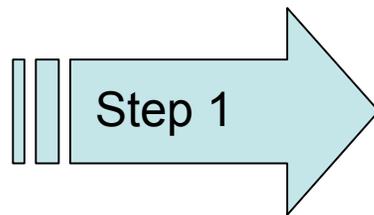
For details go to http://www.ideo.com/thinking/approach/
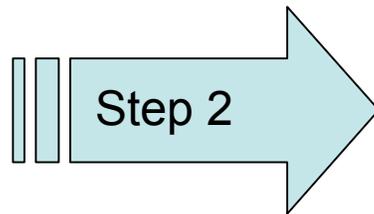
Prototyping :
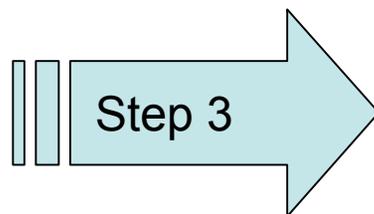# 3. Process

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Step 1

The process of prototyping is a mini U in itself, and follows the three stages of Co-Sensing, Co-Inspiring, and Co-Creating.

Note: Prototype can differ in scale and scope. The following steps describe the core milestones in the process but the process needs to be adapted to the specific situation.

Step 2

Clarify intention and form highly committed core teams that truly care about the purpose of the prototype project.

Based on the outcomes of the first stages of the process (co-sencing, co-inspiring) the facilitators or team leaders help to clarify the intention of the next stage (prototyping).

Step 3

Brainstorming ideas and selecting the project: On the next page are seven questions to ask yourself as you brainstorm, select and evolve an idea for prototyping.

1. Is it **relevant**--does it matter to all the key stakeholders involved levels: individually (for the person involved), institutionally (for the organizations involved), and socially (for the communities involved). Very often, the relevance for each stakeholder is framed in a quite different language and way.
2. Is it **right**--can you see the whole in the microcosm that you focus on? Get the dimensions of the problem or project definition right. In a prototype you put the spotlight on a few selected details. Select the right ones that address some of the root causes (rather than symptoms). For example, ignoring the patients' perspective in a health project, the consumers in a sustainable food project or the students in a school project misses the point.
3. Is it **revolutionary**--is it new? Could it change the game? Does it change (some of) the root issues in the system?
4. Is it **rapid**--can you do it quickly? You must be able to develop experiments right away, in order to have enough time to get feedback and adapt (and thus avoid analysis paralysis)
5. Is it **rough**-can you do it on a small scale? Can you do it locally? Let the local context teach you how to get it right. Trust that the right helpers and collaborators will show up when you issue the right kinds of invitations "to the universe".
6. Is it **relationally** effective--does it leverage the strengths, competencies and possibilities of the existing networks and communities at hand?
7. Is it **replicable**--can you scale it? Any innovation in business or society hinges upon its replicability, whether or not it can grow to scale. In the context of prototyping, this criterion favors approaches that activate local participation and ownership and excludes those that depend on massive infusions of external knowledge, capital, and ownership.
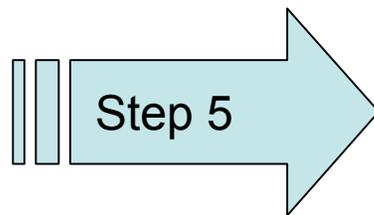
Prototyping :
3. Process (cont.)

Step 4
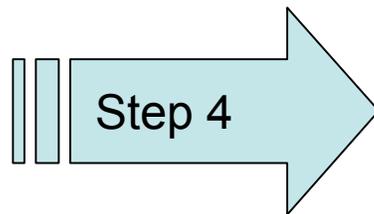
After you have selected key ideas for prototyping initiatives, form a core team for each of them. Often at this stage you need to bring in new people to complement the existing competencies and players that are necessary for co--creating a successful prototype. In cross-sector work this phase often takes some time because you want to bring the right people on board and because you need a process to "onboarding" them. At this stage it is often best to take another little sensing journey to the places and partners of most potential that you want to connect with in your prototyping initiative. This is an iterative process.

Step 5

Each time you return you share everything that has been learned with your core team that drives the prototyping initiative. After you have finished the sharing, when you have the time, move into a period of stillness and deep reflection. Allow the inner knowing to emerge. Options: Take a solo walk, do individual journaling, move into a moment of stillness. Then, share with the team what is emerging and speaking from that stillness to you.
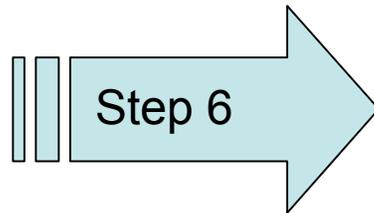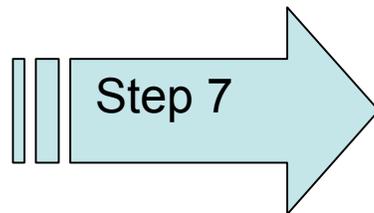
Prototyping :
3. Process (cont.)

Step 6

Jointly crystallize the results of the co-sensing and co-inspiring and then reframe your prototyping idea.

Step 7

Evolve your prototype by creating a small living example quickly (particularly by connecting and relating to people in the community and in the field who are already doing some of this work) and then learn from the feedback you are receiving. Always be in dialogue with the Universe and continue to iterate, iterate, iterate.

Prototyping :
4. Principles

Principles

Connecting to the inspiration: First and foremost, when moving into prototyping you need to stay connected to the inspirational spark of the future "that stands in need of you" (Buber).

In dialogue with the context: a prototype has to be grounded in what is possible.

"Fail Early to Learn Quickly" (IDEO).

Infrastructure: Prototyping teams need different types of help: (1) a place (a cocoon) that helps the team focus on its creative work with minimal distractions; (2) a timeline with strict milestones that forces the team to produce preliminary prototypes early on and generates fast-cycle feedback from all key stakeholders; (3) content help and expertise at important junctures and process help that enables the team to go through rapid experimentation and adaptation every day (after-action reviews), and to benefit from peer coaching that focuses on the key challenges of the way forward.

Prototyping :
4. Principles (cont.)
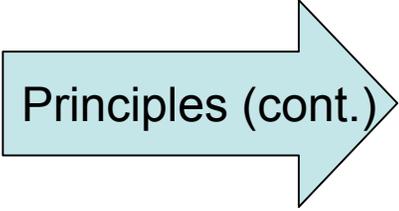
Principles (cont.)

Linking head, heart, and hand: As the master coach puts it in the novel and 2000 movie *Baggar Vance* when helping a golfer who has lost his swing: "Seek it with your hands-don't think about it, feel it.The wisdom in your hands is greater than the wisdom of your head will ever be." That piece of advice articulates a key principle about how to operate on the right-hand side of the U. Moving down the left-hand side of the U is about opening up and dealing with the resistance of thought, emotion, and will; moving up the right-hand side is about intentionally reintegrating the intelligence of the head, the heart, and the hand in the context of practical applications.

Core team: Form a highly committed prototyping core team and clarify essential questions. It is important for the prototyping core team to reflect the diversity of players and stakeholders mentioned above and to commit itself to making the prototype projects the number one priority over a certain period of time.
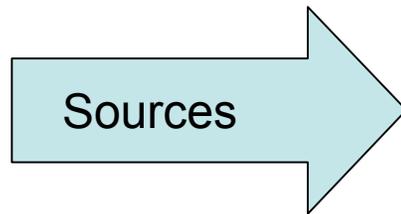
Prototyping :
5. Sources

Sources →

- http://www.ideo.com/thinking/approach/

- / http://www.ideo.com/publications/

- C. Otto Scharmer, *Theory U*: Chapter 21

- www.theoryu.com, www.presencing.com

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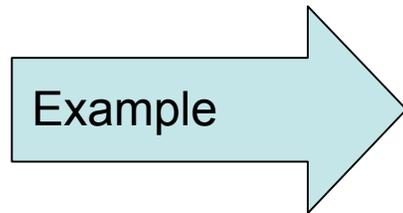
Example ➤ At Cisco Systems, the world leader in networking equipment, the prototyping imperative begins with what that company calls principle 0.8: regardless of how long-term the project, engineers are expected to come up with a first prototype within three or four months--otherwise the project is dead. The first prototype is not expected to work like a 1.0 prototype--it is a quick-and-dirty iteration that generates feedback from all key stakeholders and leads to the 1.0 version.