Public Service Design

Handbook for innovative work in administration

CityLAB *Berlin* Innovation laboratory for the city of the future

For all those who are courageously committed to a creative and community-oriented transformation of public administration.

Public Service Design

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This handbook was created with the collaboration of

CityLAB *Berlin*

P**o**litics f**o**r T**o**m**o**rr**o**w

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Book content

Foreword

Let's not beat around the bush: public administration sometimes has a hard time with change. There are many reasons – good and bad – for this, including legal, organizational, and cultural aspects. But that's not what this book is about. Instead, it is based on the conviction that *innovation* – i.e. creative, unpredictable change – can succeed in administration, too. And we'd like to show you how.
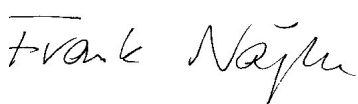
Change is necessary in public administration not least because society itself is undergoing constant change. While civil society actors are right to demand more participation and involvement in shaping public life, digitalization is creating opportunities to fundamentally rethink how administration works, thereby re-assessing the relationship between the state and its citizens. Doing this requires a bold attitude and the openness to be able to embrace the unknown.

At CityLAB Berlin, we have created a place that enables exactly this to happen: joint experimentation with the new and unfamiliar. As a public innovation laboratory where administration and urban society work collaboratively on new ideas, we're involved in shaping change on a day-to-day basis, and we're engaged in an ongoing process of learning. Our aim in this book is to pass on some of what we've learned to date.

Precisely because innovation processes tend to veer off the beaten track, they need methodological foundations that provide structure and orientation. But our experience indicates that this methodological basis is still not widespread in public administration. So in producing this book, we've developed a practical guide that outlines how public innovation can be developed on a systematic basis.

The methods and processes presented here are not to be regarded as fixed instructions for use, but more as a kind of construction kit that can be freely interpreted, further elaborated and adapted to individual needs. We're aware that every innovation process is an adventure that presents its own challenges. And after all, a good adventure always turns out unexpectedly.

We look forward to having you join us on the journey!

Dr. Frank Nägele
State Secretary for Administrative
and Infrastructure Modernization

Dr. Benjamin Seibel
Head of CityLAB Berlin

Innovation in the field of public administration

Public administration has a key role to play in shaping the way we co-exist in society. In doing so, it faces major challenges: the climate crisis, demographic change and digitalization are complex issues that require new responses. Routine administrative processes quickly reach their limits in the face of these dynamic and highly complex developments. But this doesn't have to be the case.

In recent years, new methods, tools and technologies have emerged that make it possible to address contemporary demands more effectively. They offer the opportunity to reshape the interactions between the state and society – and thus open up a wide range of perspectives for public administration, too.

People in focus
Up to now, whenever renewal projects have been started in administration, they have generally been guided by laws, regulations or rules. Public administration services are not used by laws, however: they are used by people. What sounds obvious at first glance is often less so on closer inspection: an administrative service is only a success if it matches the needs and values of the people who make use of it.

The tools of so-called human-centered design take the attitudes, desires and expectations of stakeholders and those responsible as their starting and end point. This underlying approach forms an important basis for the methods described in this book.

Change as a constant

Putting people at the center also means opening up change processes to external feedback and allowing for surprises. The classic "waterfall" model where extensive planning is carried out first and then implemented is proving to be insufficient here. If it is not until after the project has been completed that you discover the end result is neither accepted by its intended users nor does it work as expected, it's too late.

Instead, a step-by-step approach to possible solutions is required for change to be successful. The aim is to find out more about the actual causes of a problem while at the same time testing and continuously developing a range of different strategies for solving it. In a sense, the step to practical implementation is not the end of the learning process but in fact the beginning: this is where the outcome is repeatedly adapted to fresh insights. The underlying principle here is an approach that is agile, i.e. adaptable.

A bold attitude and room to experiment

Agile project development requires a culture that allows and promotes cross-functional collaboration and self-organization among employees. Successful public innovation comes down to skilled individuals who are able to act on their own responsibility. This requires transparency, openness and mutual appreciation.

When an approach of this kind is used in highly hierarchical organizations, it is sometimes necessary to lay the foundations for this type of collaboration first. Innovation projects for which guidance is provided in this book can be deliberately used to break with routine and question existing processes within a defined framework. These kinds of experiences are often so positive that they provide an impetus for more profound change.

In order to experiment with new possibilities, a protected space is needed in which a change of perspective is possible and the potential of failure is permitted – so long as this generates fresh insights. By "space" we don't mean a segregated physical location so much (although that can help), but primarily time, resources, legitimacy, and trust.

Open
to change
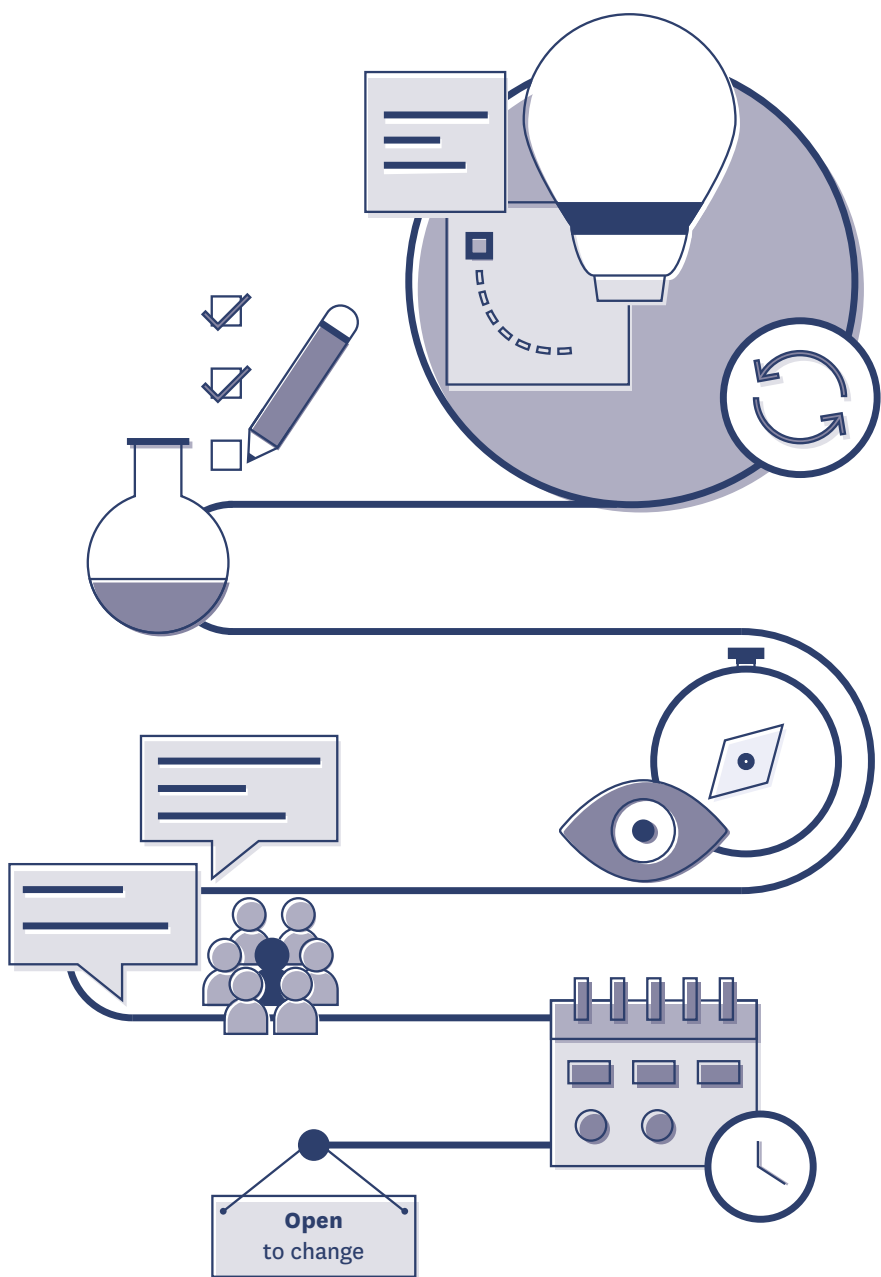
What does this book offer?

A direct start for working innovatively

The purpose of this book is to provide easy access to new and effective ways of working. For this purpose, the necessary basics are taught in a structured manner so as to facilitate the development of public innovations – whether visible products and services, or invisible procedures and processes – in a way that is oriented towards outcomes and needs. Though the methods and procedures described here are well-founded in theory, this is a practically oriented book that should not just be read but above all put to use.

A companion

The book provides a step-by-step guide through the various phases of an innovation process in a way that is specifically designed for use in public administration. It presents the different stages of impact-oriented and evidence-based work: from preparation, team-building, inquiry and brainstorming through to the development and testing of effective solutions. At the end of each section there is a tangible, communicable outcome.

Do-it-yourself guide

The book is aimed at people working in or with public administrations and organizations. It contains the tools needed to be able to carry out innovation processes independently and without external help. This does not rule out the possibility of involving outside expertise, which might be useful as things progress further. The latter is no more than an add-on,

however: it cannot and should not replace the internal development of skills. That's why we've made sure this book is self-explanatory and enables people to act on their own initiative.

An extensive collection of methods
Part of the book consists of a diverse collection of templates and working documents tailored to public administration. These explain innovation methods and describe what is needed to apply them in practice; it sets out how to proceed and what outcomes to expect.

A flexible approach
The order of the methods as presented in this book is intended as a suggestion that can be adapted according to the situation. The modular structure of the method cards allows flexible use and individually tailored combinations. Individual steps can be pursued in greater depth or skipped as needed. The collection is dynamic – it is continuously expanded and updated on our website:
https://www.oeffentliches-gestalten.de/

Golden rules for using this book

Before we get started and dive into the innovation process itself, we'd like to share five guiding principles that are helpful in dealing with potential uncertainties.

1 **Don't just read this book**
This handbook was written not just to be read, but to be used as a team. It is not a theoretical treatise to be read in one go but primarily intended as a guide for self-initiated work. So be sure to alternate consistently between reading and doing, reading and doing …

2 **Decide for yourself**
The approach set out in this book is just one suggestion among many. You must constantly assess and decide for yourself which method is useful at any given moment and which doesn't fit the bill. Methods can be skipped or combined at any time, and the procedure can be adapted.

3 **Start by just doing it**
A good idea can quickly get lost due to unresolved issues or uncertainties. Instead of waiting until every little detail has been clarified, it's enormously valuable to actually do something first. You'll lose out if you get stuck at the thinking stage. Trying things out in practice is always a winning approach!

4 Try again

Failure's a good thing! By failing, you gather experience of what doesn't work and gain a greater understanding of what can potentially work. So if something doesn't work out at the first attempt, don't give up: keep trying.

5 Get support

Sometimes you get to the point where you're simply not getting anywhere. In this case: seek out dialog and support! Consult colleagues or people you know who are willing to listen and offer a fresh perspective on an entrenched problem, or seek out experts and like-minded individuals who are enthusiastic about public service design. The CityLAB is one excellent place to find such individuals, for example.

The basics of the innovation process

The innovation process consists of investigative and formative work phases. It can be broken down into two areas: the problem area (magenta) and the solution area (blue). Within these areas, a distinction is made between *phases* and *stages,* which can be repeated as needed. This flexible structure makes it possible to deal with complex problems for which there is no single correct answer.

The right attitude is fundamental when it comes to successfully carrying out innovation processes. Proceed with curiosity, remain bold and adopt an open-ended approach. Embrace a positive view of people that recognizes diverse perspectives as being valuable. Honest and trusting cooperation enables all participants to create something together that they would not be able to achieve on their own.

Problem area

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential
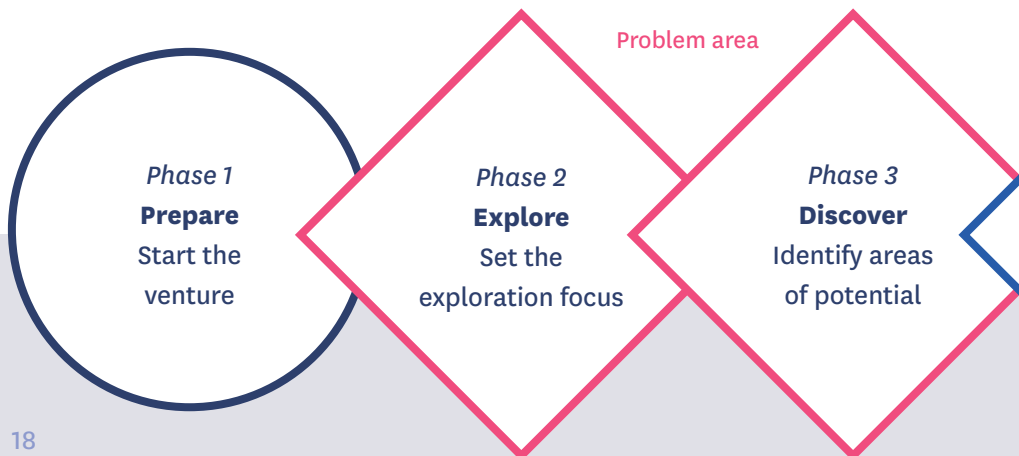
The **procedure** in the diamond-shaped phases involves alternating between opening and closing work steps. "Opening" means exploring or questioning something in order to gather new information. "Closing" means structuring, understanding and collating the new knowledge. This creates a dynamic process between learning and application.

There are numerous **methods** that feature in the innovation process. They are used to perform certain activities and support creative thinking and action. Creativity is not a talent: it's a skill that is practiced and upon which you should build.

The **tools** are common work tools such as sticky notes, markers, and movable wall panels. Depending on availability, standing tables, whiteboards, smartphones and mobile computers can be helpful, too.

Solution area

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations
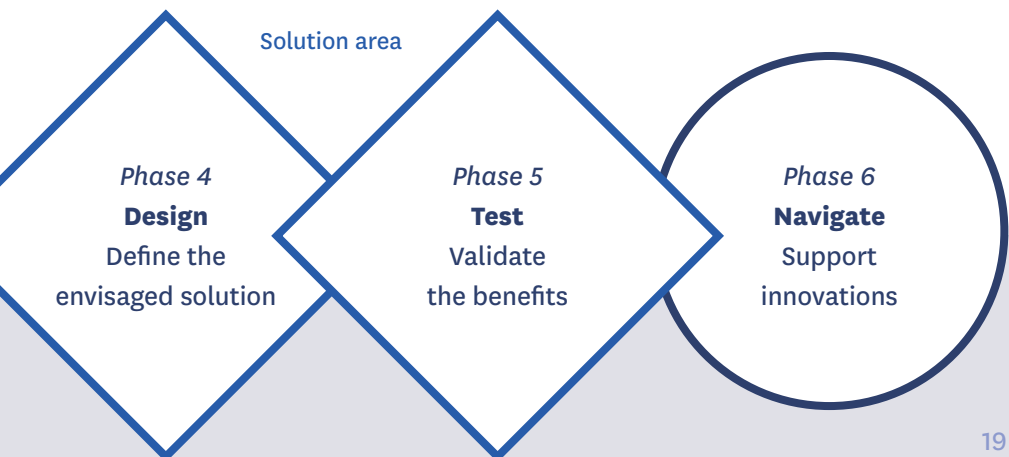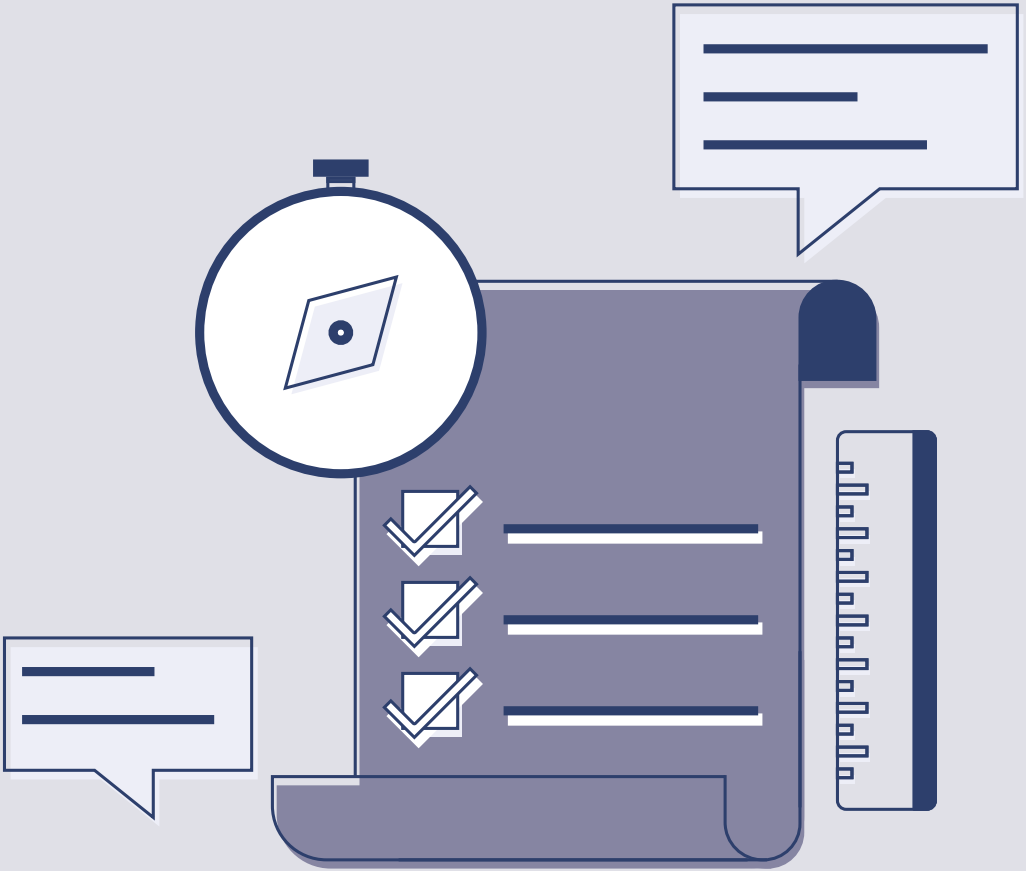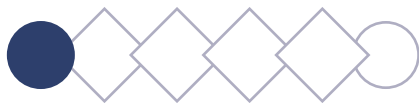
Phase 1

Prepare

" *It isn't where you came from.*
It's where you're going
that counts. "

Ella Fitzgerald

Getting started together

Innovation processes progress in unexpected ways. In order to facilitate them successfully, additional skills are needed besides efficient planning. Unpredictable situations can be constructively incorporated by using an approach that is open-minded, transparent and creative. This makes it possible both to identify potential risks and tap into unexpected opportunities.

In public administration, terms such as *project* and *plan* are often associated with very specific bureaucratic and organizational processes. For this reason, the term **venture** has been selected for the approach adopted in this book. This is to illustrate that innovation processes cannot be carried out by means of conventional project management: they require structured exploration and impact-oriented experimentation.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential

Every **venture** needs a certain amount of preparation in order to be able to proceed deliberately but with a healthy sense of curiosity. Planning a successful innovation process requires concentration, time and patience. After all, the real achievement is to combine the old with the new, not to play them off against each other.

Fundamental questions can be clarified during the *preparation phase*. If you find that both you and your working environment are evolving and changing in the midst of this process, proceed with curiosity and an open mind. Stay bold and look forward to a process that will not just provide structure and support but above all reveal fresh perspectives. Innovation processes thrive on people who are prepared to handle uncertainty in a creative way.

It's great to have you join us on the journey!

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations

Phase objective and stages

In the *preparation phase*, a draft is drawn up that outlines an existing problem and a rough **Process Flow** (p. 32). This basic outline provides an initial orientation framework for further communication and enables a suitable team to be assembled. **The aim of the** preparation phase **is to come up with a plan for the venture as a whole that can be easily communicated**. This plan ultimately serves as a starting point for a successful launch as well as providing guidance throughout the innovation process.

Stage 1
Consider the existing state of affairs

Stage 2
Plan the process

Stage 3
Identify stakeholders

Stage 4
Create a working basis

Stage 5
Start the venture

Methods

Define the work area

A lot of innovation projects begin with the realization that there is a desire to do things differently from before. Those who are willing to try a new approach usually have a sense of what hasn't worked so well to date. Often there may also be some initial ideas about what needs to be changed or how things might be handled better.

The current situation as the starting point
This is exactly where the structured design process begins. The creation of a so-called **Development Matrix** (p. 26) shifts the focus onto the actual challenge at hand. The issue is examined and interpreted from different angles. There are no restrictions in terms of data collection. All facts, assumptions, ideas and experiences relating to the issue are gathered and assessed from four different perspectives: what needs to be improved, continued, redeveloped and consciously prevented?

Getting a fresh perspective on a familiar situation
Filling in the blanks of the **Development Matrix** (p. 26) creates a mental framework without committing to a goal. Unlike the well-worn process of project management, which involves steering goals and strategies, the aim at this point is to broaden the view and look at the issue holistically. This lays the foundation for communicating the project and its elaboration.
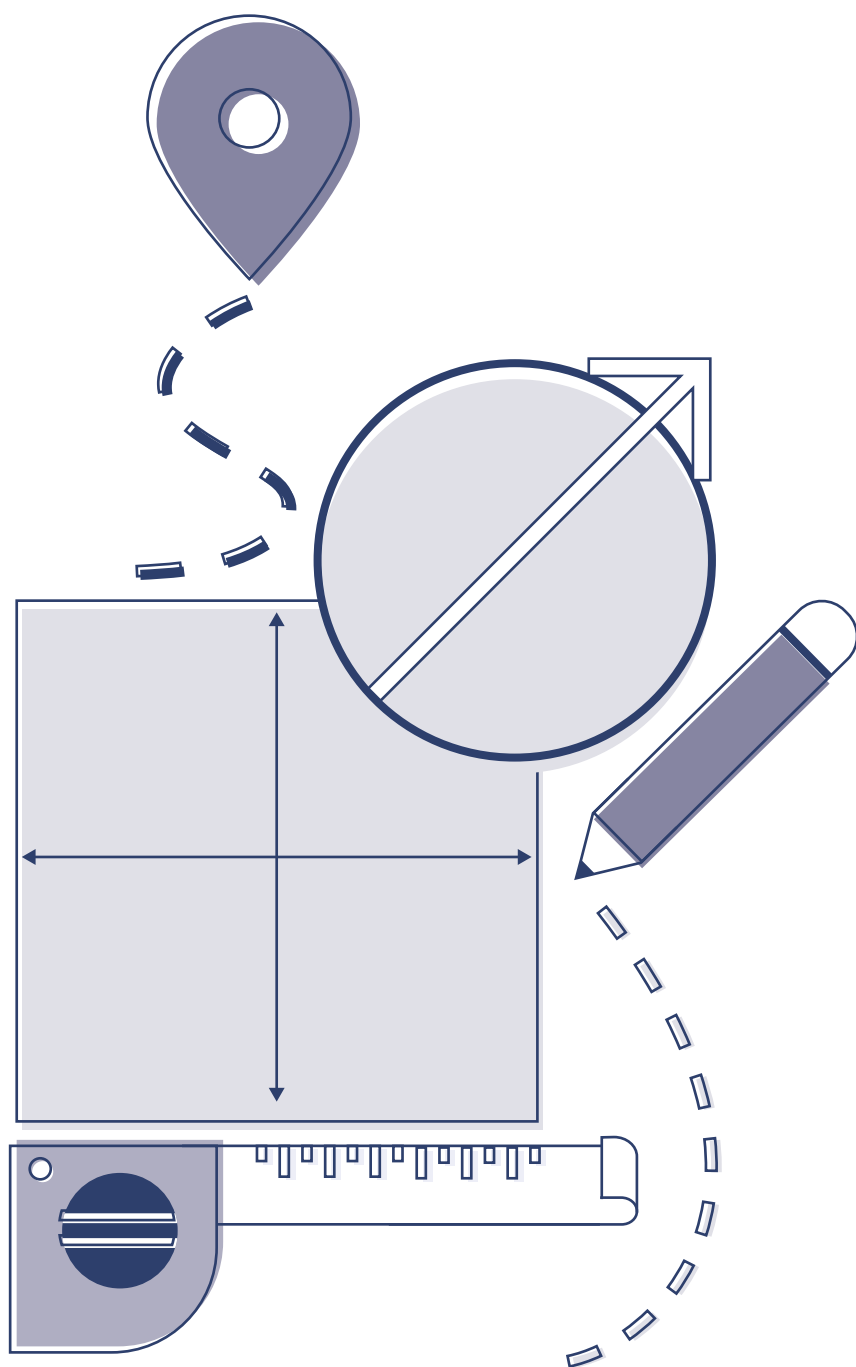
Development Matrix

Time frame
15 – 20 minutes

Level
Simple – Medium

Materials
Template, pens,
sticky notes

Roles
Facilitation,
documentation,
time management

Suggestion
Can be used
repeatedly,
supplemented on
a regular basis and
evolved further; can
also be used as a
discussion guide, e.g.
at strategy meetings

What is it and what purpose does it serve?

The **Development Matrix** clarifies the current situation and enables necessary developments to be recorded. A *bird's eye* view of the topic is taken so as to determine whether an innovation or the removal of a routine that is no longer needed will bring about the desired outcome.

Added value

This matrix is universally applicable. It shows simultaneously in different dimensions which activities can be used to initiate effective change. The product is a living document that provides the necessary orientation and basis for evaluation as the **process** moves forward.

The Development Matrix is based on the so-called adaptive cycle, which is the basis of all change in socio-ecological systems. The principle derived from this provides a conceptual framework that models the relationships and characteristics of all complex systems – stability and change.

Procedure

01 If possible, get together in a group of 2-4 people who are familiar with the topic.

02 Copy template or transfer it to a larger working format in landscape format, e.g. a flipchart sheet.

03 Enter the topic in the center. This is the starting point for creating the **Development Matrix**.

04 Everyone has their own pen and sticky notes. Each person individually (approx. 5 min): Jot down initial ideas, assumptions, information, thoughts, and experiences relating to the four fields. One aspect per sticky note.
Each person successively (approx. 2 min per person): Read out the aspects you have written down to the others and place them in the relevant fields. Identical or similar aspects can be placed directly alongside each other.

05 Prioritize as a group: What causes particular problems and ought to be addressed in the context of the venture? Underline or mark the most important points.

06 Document the focus areas and insights for each field.

🛈 **Note:** Other important issues will often arise in the follow-up. Add them at the appropriate point in the matrix, repeating Step 05 and 06.

Stop

What ought to be contained or discontinued?

Topic

Improve

What ought to be maintained and improved?

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Fig. inspired by Panarchy, 2002;
modified by Paulick-Thiel & Arlt, 2020
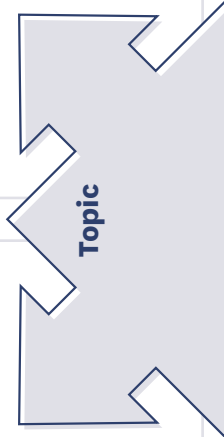
Continue
What's going really well and ought to be propagated?

Supplement
What ought to be developed as a supplement
or as something entirely new?

Estimate the work and resources required

Allow enough time

Innovative concepts and serious outcomes can only emerge within a short period of time if the team is willing, able, permitted and expected to engage in a structured and creative process.

A period of several weeks should be scheduled, including at least four half-day workshops. These workshops are used to run through the individual phases of the venture. Phases of inquiry are conducted in between, as well as internal and external communication.

Define the required foundations

Consider how resources can be organized for the entire period and which supervisors need to be involved. Don't forget to include the potential cost of **organizing workshops** (*p. 48*), too. When making this assessment, it is a good idea to start by thinking through the entire process and describing it. The **Process Flow** (p. 32) method is indispensable when it comes to winning over colleagues to reliably contribute their time and expertise.

You may be reading about the steps required on your own at the moment. But as soon as you want to go ahead with the venture, you will need a team and the support of your superiors.

Anticipate the hurdles

You will encounter challenges and obstacles as part of the innovation process. Envisage different scenarios in advance.

Possible scenarios:

○ Attempts to date have fallen on receptive ears, but internal expertise or capacity is not sufficient to get started. How can it still be made to work?

○ Attempts to date have fallen on receptive ears, but dependencies on other processes have been identified that are delaying your project. How can you get started nonetheless?

○ Previous attempts created a sense of reluctance among key stakeholders. Does this mean the venture should be reworked, completely reconceived, or not implemented at all?

○ Everything is going extremely well, and there's a huge level of outside interest. What needs to be considered, when and for whom?

Process Flow

Time frame
20 – 50 minutes

Level
Simple – Medium

Materials
Template, pens,
sticky notes

Suggestion
Can be used
repeatedly,
supplemented on
a regular basis and
evolved further

What is it and what purpose does it serve?

The **Process Flow** allows all participants to see the time frame of the project at a glance: what is to be done at what stage of the venture? This is less about pinpoint planning and more about sketching things out as a rough draft.

Added value

A schematic overview illustrates the scope of the different phases within the overall process. In addition to the participation formats, the work that goes into them is shown, too. The overview can be used in communication with managers to obtain appropriate support. In addition, it serves to shape the collaboration with team members as well as other internal and external stakeholders. The **Process Flow** becomes a living document that provides orientation and a basis for evaluation as the venture moves forward.

Innovation processes involve parallel communication and coordination. Numerous work steps are required in the different phases, some of which overlap in time. This means that one step often can't be completed before another begins. For this reason, planning must take account of both internally oriented and externally oriented work.

Procedure

01 Transfer scheme to a large sheet of paper or use the template. The bar height and width can be adjusted as required for your venture.

02 Estimate the beginning, end and duration for each phase of the venture.

03 Enter your own milestones for each phase on the time line: What do you want to have achieved at the end of the phase? Known milestones are noted in the respective bars.

04 Now each phase is considered separately: Which participation formats (workshops, consultations, …) are required and when? Are there any key deadlines that need to be observed? Based on the time frames estimated in Step **02**, determine when workshops are to take place and which people need to be informed, recruited, and involved.

05 Document the process flow thus created as clearly as possible for further communication. The template at the end of the chapter, **Document Outcomes** (p. 72), can be used for this purpose.

Start:
Duration: *Duration:*   *Duration:*

Externally oriented work

Time

Phase 1
Prepare

Phase 2
Explore

Phase 3
Discover

Internally oriented work

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Fig. based on Lab@OPM/GSA;
modified by Paulick-Thiel & Arlt, 2020
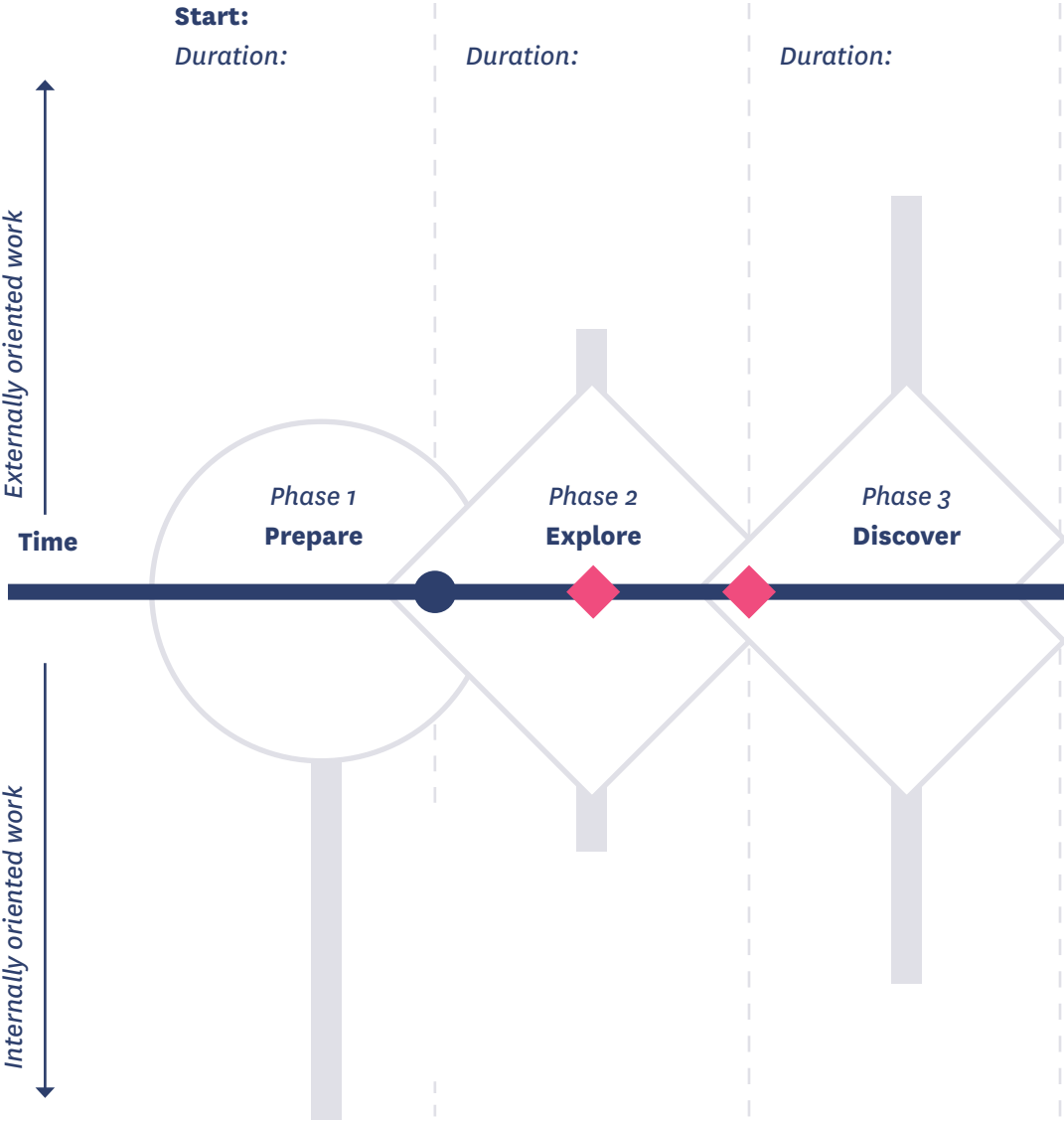
Suggested legend:

● Denotes involvement of (highest) management level

◆ Workshops for the core team (extended team can participate)

▢ Denotes whether the work done during this phase is oriented externally or internally

Duration:

Duration:

End:
Duration:

Phase 4
Design

Phase 5
Test
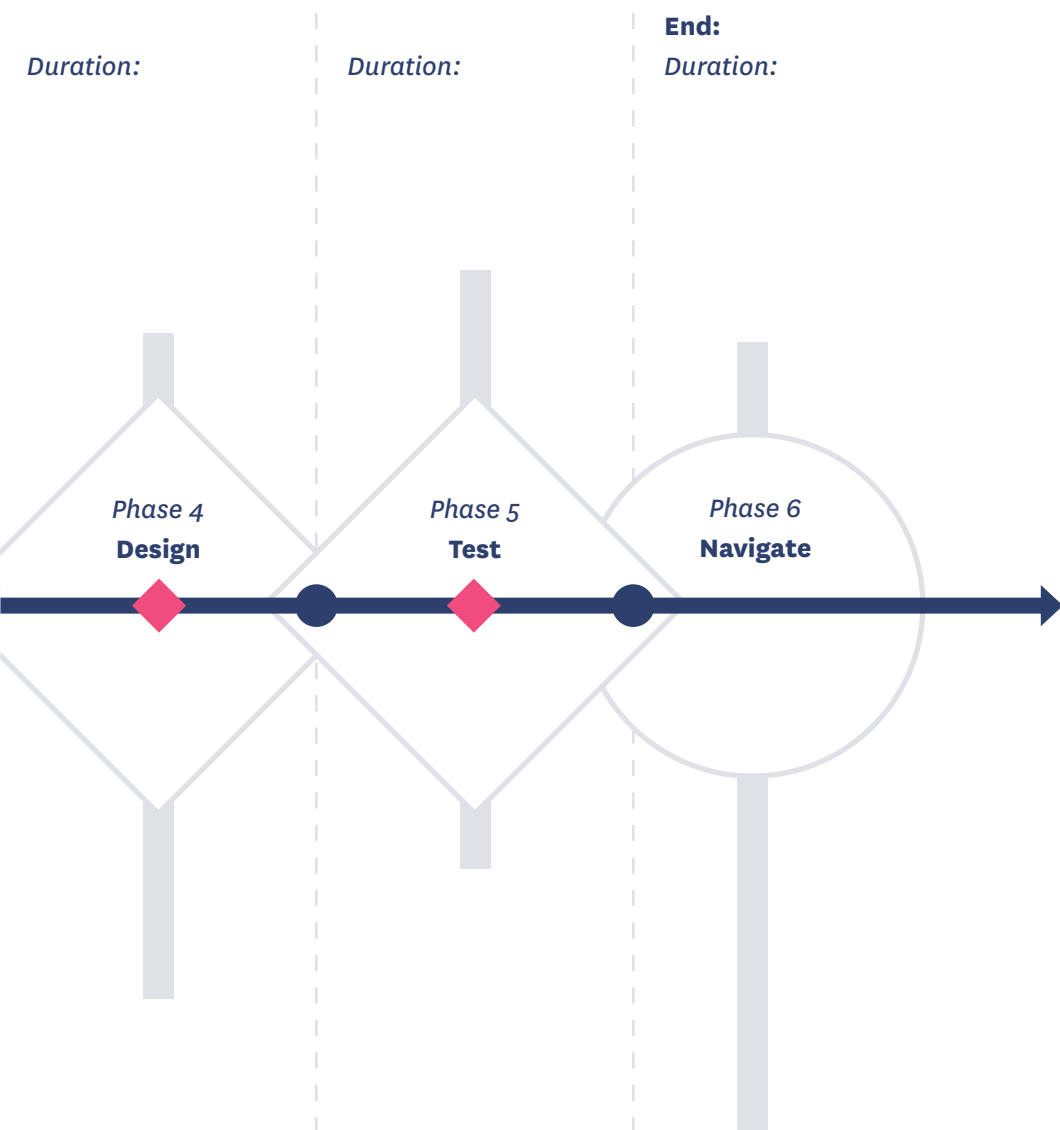
Phase 6
Navigate

Identify the stakeholders

The success of innovation processes in the public sector is mainly determined by the people involved and the way they work together.

So at *Stage 3 of the preparation phase*, the first thing to do is to identify all stakeholders. Once these people have been identified using the **Map Out Players** (p. 38) method, it is extremely helpful to involve stakeholders in the venture at an early stage and on an ad hoc basis, whether in small or large meetings.

The key entities in our process are as follows:

The core team as a pioneering unit with the task of shaping and supporting the process in a way that enables participation.

The extended team, consisting of employees or technical experts who have an interest in the venture and contribute selectively or in phases. Across the hierarchy, they support individual stages of the process, critically reviewing the project or identifying implementation potential.

Pivotal leaders interested in fresh perspectives on familiar challenges. They promote cross-divisional working methods and therefore the further development of the organization. In addition, they provide strategic support for the core team, implement key decisions, and participate in workshops, too.

External individuals need to be addressed and budgeted for in a different way (observe purchasing procedure when planning) so as to enable them to participate in the venture.

Provocateurs and critics should also be considered. These people can help the core team do a better job if they are involved in the right way. To identify players of this kind, ask yourself:
"Who are the people that might have a dissenting opinion or whose needs may not have been addressed?"

Map Out Players

Time frame
20 – 50 minutes

Level
Simple

Materials
Template, pens,
sticky notes

Roles
Facilitation,
documentation,
time management

Suggestion
Involvement can be
conceived in familiar
formats or using new
digital tools

What is it and what purpose does it serve?

Innovation processes require a group effort. There are people inside and outside the organization who can enable, support, or hinder this effort. One important step in terms of preparation is mapping out the players. Their motivation, legitimacy, capability and competence to get involved are assessed in order to channel their energy as potential in the process.

Added value

This can be used to derive strategies for sound collaboration:

O Who are we going to collaborate with in the innovation process, when will this happen and how?

O Who needs to be informed and in how much detail? If necessary, who needs to make decisions?

O Who can be consulted on crucial points or in the event of critical queries?

In this way, it is possible to identify and specifically address additional individuals for the core team, experts for workshops and partners for investigation in the field.

Procedure

01 Copy scheme or transfer to a large sheet of paper and write in the subject of the venture.

02 Within the four fields, use the stimulus questions to collect ideas for possible players. People are needed in all quadrants for the innovation process to succeed.
Which people inside and outside the organization are of interest and relevance to the venture? Distinguish by color and write one sticky note per person, including name, organization and department.

03 Locate the sticky notes within the template. No person can be assigned to a field without an overlap. For this reason, choose the field that promises the highest potential for the process if the person in question is involved. The higher the level of suitability within the selected field, the further in the center the sticky note is positioned.

04 Several people are placed in all fields. At the center, gather those who might be considered for the core team or the extended team. How could these individuals strengthen the team?

05 What is the most useful way to involve the individuals that have been identified?

06 The outcomes produced are documented. How can people be contacted and recruited for the venture?

low **Motivation** high

Multipliers

Who wants to endorse the venture and how?

Influence

low

Personal requirements

high

Influence

Managers

Implementation support

Core team

low

Companions

Who is able to assist the venture and how?

low **Skills** high

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Fig. Paulick-Thiel & Arlt, 2020

Topic:

high **Legitimation** low

Supporters
Who will support the venture and how?

low

Influence

Organizational requirements high

Influence

Extended team
incl. external individuals
Process support

low

Enablers
Who has the authority to enable the venture and how?

high **Capabilities** low

Appoint the core team

For the core team, a diverse mix of doers and thinkers from different organizational areas is fundamental. What counts here is not expertise based on pay scale or university degree but the interplay of knowledge, skill and motivation. The **Team Profile & Self-Assessment** described here is a good way of assessing these three criteria (p. 44).

When assembling the team, it is vital to consider the following:

T for team player
T-shaped individuals are those who have in-depth knowledge in a particular area of expertise while at the same time being able to contribute openness or experience so as to be able to work across disciplines and silos.

Core team size
Group size has a significant impact on how effectively people collaborate. A group of about five people is optimum if everyone is to participate actively. In larger groups there can be bigger discrepancies in contributions to the discussion: this reduces the capacity for decision-making, thereby slowing down the process as a whole.

Important: If more than five people want to actively participate or the aim is to secure their involvement, it makes sense to form another team to work on different aspects at the same time.

Work to be done by the core team

The core team includes the main process designers. They share responsibility for content, methodology and organization, according to their skills. This group ensures communication and participation, both internally and externally. All individuals are familiar with the origins of the venture and have the ability to grasp informal processes. They empower others to collaborate.

Management of the venture

The project is managed by several people. They all belong to the core team and are in direct contact with the decision-makers. As the steering group, they are the main contact persons and share the responsibility for ensuring that all other stakeholders can contribute to the open-ended and structured innovation process to the best of their abilities.

Important: Equipped with the **Development Matrix** (p. 26) and the **Team Profile** (p. 44), you can set out and win your first allies. Start with the people who are easy to reach or to whom you have straightforward access. Shape your team based on skills so as to be able to handle the tasks that lie ahead effectively and professionally.

Team Profile & Self-Assessment

Time frame
10 – 20 minutes

Level
Simple

Materials
Template, pens

Roles
Facilitation, documentation

Suggestion
Fill out the template repeatedly in the course of the process so as to visualize your own development

What is it and what purpose does it serve?

The **Team Profile** can be used to assemble a strong and balanced group that combines all the necessary competencies for effective design work. Here, career stages in a resume and certified skills count for just as much as personal experience and a sense of humor.

Added value

Self-Assessment is used to determine which role is right for each team member. This honest reflection provides a good starting point for restructuring familiar patterns of collaboration and consciously embarking on the journey together.

Everyone has different preferences in terms of the way they think. Based on the *Whole Brain Model*, N. Herrmann developed an HBDI profile that can be used to analyze different styles of thinking. A functional team is made up of people who complement each other, representing the full range of such styles.

Procedure

Team Profile

01 List all eligible people (use **Map Out Players** p. 38). Of these, who should be involved – how, when, and why?

02 Assess the core team as projected. Where might there be individual preferences, strengths and weaknesses?

03 Minimize any analyzed weaknesses or eliminate them entirely.
    Is a certain level of technical expertise required?
    If so, define it. Is this available internally, or should external partners be involved?

04 Enable team building. How is it possible to ensure that the people under consideration are interested in working together?
    What do they need in order to participate?

(!) **Note:** Discuss the choice of potential team members with colleagues and supervisors. Promote collaboration between departments, hierarchical levels and generations.

Self-Assessment

05 Take a pen and mark for each competency what you are ABLE to do particularly well. Connect individual points on the scale to form a shape.

06 Use a second pen color for each competency to mark what you are WILLING to contribute to the process. Connect individual points on the scale again to form a shape.

07 Look at the intermediate space that is formed and consider the *KEEN potential* that this denotes. This area visualizes where there is motivation to proactively learn and try out new things.

Team Profile

For each person who is to join the core team, circle the two most pronounced competencies and check off what the person is particularly good at*:

A
E   B
D   C

*assign at least two names per competency to ensure rotation
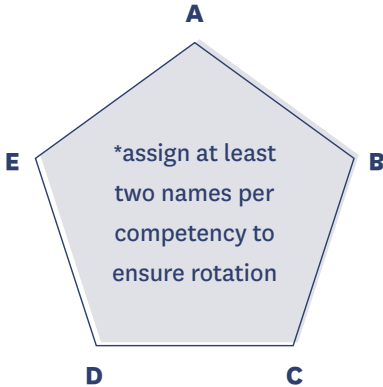
A Connecting competencies
Who is especially:
- ☐ communicative _____
- ☐ appreciative _____
- ☐ able to negotiate _____
- ☐ strategic _____
- ☐ willing to learn _____
- ☐ groundbreaking _____

B Emotional competencies
Who is especially:
- ☐ intuitive _____
- ☐ empathic _____
- ☐ emotional _____
- ☐ sensitive _____
- ☐ symbolic _____
- ☐ expressive _____

C Experimental competencies
Who is especially:
- ☐ curious _____
- ☐ creative _____
- ☐ spontaneous _____
- ☐ conceptual _____
- ☐ artistic _____
- ☐ risk-taking _____

D Rational competencies
Who is especially:
- ☐ analytical _____
- ☐ logical _____
- ☐ factual _____
- ☐ quantitative _____
- ☐ critical _____
- ☐ realistic _____

E Organizational competencies
Who is especially:
- ☐ structured _____
- ☐ detailed _____
- ☐ planned _____
- ☐ controlled _____
- ☐ on time _____
- ☐ reliable _____

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Fig. based on Hermann, 1996; modified by Paulick-Thiel & Arlt, 2020

Self-assessment of team members

Each person fills in the middle circle for themselves:

O What am I ABLE to do particularly well

O What am I WILLING to contribute to the process

O Identify KEEN potential

A
Connecting competencies

E
Organizational competencies

B
Emotional competencies

Not so much

Excellent!

D
Rational competencies

C
Experimental competencies
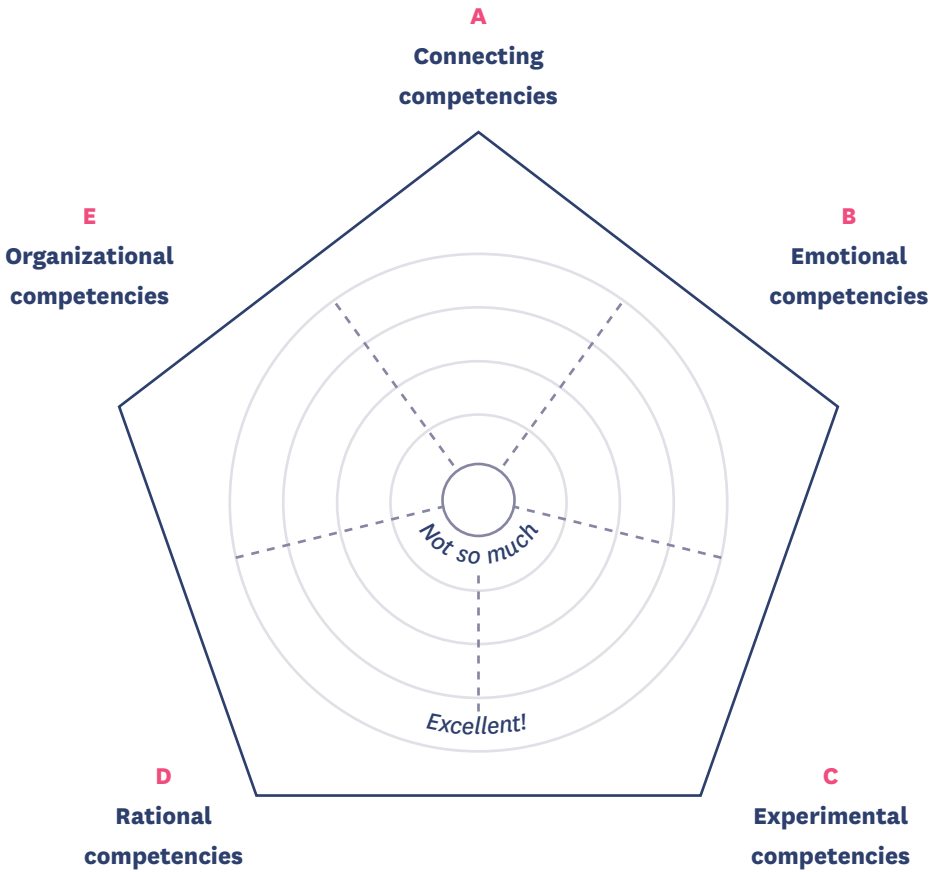
Prepare the working environment

Public innovation derives from participation, and this can take a variety of formats. In the course of the venture, the core team will want to involve others to generate knowledge and develop, test or advance interim outcomes. Various participation formats can be conducted to enable collaboration such as interviews or workshops. It is not only the extent of the cooperation that counts: quality is the most important factor. Thorough preparation is crucial here, too.

Create the space to enable effective work to take place
An adequate setting is essential for collaboration, enabling the kind of mental gymnastics that is required to come up with solid interim outcomes within a period of just a few hours. There are other arrangements to be made in addition to organizing the workshop itself. The rooms should be bright and fitted with mobile furniture so as to create flexible working situations and promote personal encounters between contributors as effectively as possible. This also includes arranging for common break times and providing healthy catering.

(!) **Important:** All the elements of a successful workshop should be taken into account when planning the budget as part of the **Process Flow** (p. 32).

Checklist

Workshop Organization

☐ **Space:** inviting, no disturbances, safe

☐ **Furniture:** mobile tables and chairs, not fixed into place, preferably including movable wall panels and standing tables

☐ **Materials** (recyclable if possible):
  - ☐ Flipcharts or large sheets of paper (e.g. the back of posters that are no longer needed)
  - ☐ Adhesive tape and pinboard pins
  - ☐ Sticky notes (Post-Its) in different colors
  - ☐ Flipchart pens, felt pens, ballpoint pens
  - ☐ Creative materials, e.g. pictures, cardboard boxes, costumes, plasticine, etc.
  - ☐ Printed templates, A4 paper

☐ **Technology:** Projector, pointer, computer, timer and a *plan B*

☐ **Food and drink:** Brain food such as nuts, raw chocolate, fruits, vegetables, lots of water

☐ **Agenda** with goals, interim outcomes, content, methods:
  - ☐ Check-in: Demonstrate ways of contributing
  - ☐ Method-based collaboration
  - ☐ Check-out: Reflection

☐ **Brief presentation** when involving internal stakeholders to answer the following questions:
  - ☐ Why is your participation important?
  - ☐ What are you participating in?
  - ☐ What is your role?
  - ☐ What are we going to do with your input?
  - ☐ Who will make the decisions further down the line?

Promote collaboration

Everyone in the core team is both a leaner and a teacher.
When the teamwork gets underway, it's crucial to agree on the principles of an appreciative and productive working attitude. This makes it easier to rehearse new routines and then build on these to focus energy on the really important creative moments.

Draw on multiple perspectives

A range of different perspectives are the lifeblood of good teamwork. In order to work on a common cause in a problem-oriented manner, it is vital to tap into different opinions constructively and temporarily discard any hierarchies: personal views, mundane perceptions and whims of the moment can all be included on an experimental basis.

Value the time spent together

Time is an important resource that is always scarce. So-called *timeboxing* – i.e. the strict time limitation of individual work steps – helps both small teams and large groups make the most of collaborative impetus in a disciplined manner. Everyone is to be heard and every idea is to be considered. This approach often unleashes creativity. With a little practice, the focus shifts precisely onto the subject itself rather than rambling descriptions.

Rotational documentation

The comprehensible documentation of individual steps is fundamental to enable interim outcomes to be taken further on a collaborative basis. It acts as a knowledge base that enables people to easily find out information and discuss issues on the basis of data, as well as helping prepare and arrive at solution-oriented decisions. Documentation is a demanding task that is taken on by different individuals on a rotating basis. Use the second to last page of each chapter, **Document Outcomes** (p. 72), to draw up a summary.

Teams are more important than tools

Handbooks or innovation management guides with details of countless tools and methods fill entire bookshelves – in the public sector, too. Ultimately, however, it is often not the tools that determine the success of a venture, but the way in which they are used and the aims being pursued. As such, it is attitude that ultimately defines the design process. The key to innovation is people and how they interact with each other.

Promote communication

"Communication is a bit like love – it's what makes the world go round, but nobody really knows how it works"
Krogerus, Tschäppeler. 2018. *The Communication Book*

Innovation processes thrive on communication. A basis for communication is needed that promotes openness, understanding and learning – especially when a dynamic approach and a flexible attitude are required. In the course of the iterative development steps, team members get close and by the end of the innovation process will have gone through *thick and thin* with each other.

☐ Deliberately address problems in your team. This is all part of the success of the innovation process. Conflict helps identify blind spots and detect elements that are lacking or disruptive; it also provides guidance in establishing an appreciative **teamwork routine** (p. 54)

☐ Use the four steps of **Nonviolent Communication** (p. 62) as a means of support or reflect on what you have experienced using the **Five Finger Feedback** method (p. 58). This will help you discover the value behind a conflict or incorporate what you have experienced into the ongoing process as a lesson learned.

☐ By saying *yes, and …* instead of *yes, but …* you are taking what was said before and adding your own perspective.

The three methods used in Stage 4 are explained below.

Teamwork Routine

Time frame
30 minutes – several hours

Level
Simple – Medium

Materials
Everything required for the meeting or workshop

Roles
Facilitation, documentation, time management

Suggestion
Plan and conduct regular meetings according to this procedure in your day-to-day work routine as well

What is it and what purpose does it serve?
The **Teamwork Routine** helps structure the flow of work meetings, taking into account the organizational culture. As an agenda, it opens up a creative space within a very short time and closes it again in a way that is oriented towards results.

Added value
This procedure is not only useful for team meetings: it can also be used in a modified form for other sessions – regardless of whether they last 30 minutes or 4 hours. The added value is to make the best possible use of the time available for the joint development of interim outcomes.

Agility is a word that is on everyone's lips in the public sector, too. **Teamwork routines** allow work meetings to be held on a self-organized basis and follow a clear structure. This lays the foundation for agile working. An open yet disciplined and collaborative approach is necessary in order to be able to deal with complex issues in a cooperative manner.

Procedure

The following steps can be used to open and close a learning cycle that is limited to a set period of time:

01 Check in with a good mood or on a personal note
02 Assign roles or rotate roles at each meeting
03 Communicate focus of the meeting or indicate the stage of the process
  1 Set agenda and interim outcomes
  2 Collaborate methodically
  3 Define next steps
  4 Assign and distribute tasks with date and deadline
  5 Check out on a note of thanks

04 Complete template based on the steps. This produces the agenda for the meeting.
05 Before the start of the meeting, agree on who will take on which role, e.g. facilitation and documentation of the individual work steps.
06 Ensure meeting agenda is visible to everyone so as to be able to make adjustments as needed.

Note: The two most important roles for successful meetings are the facilitator and the time manager. The facilitator doesn't lead the team but provides support in *adhering* to the work routine and helps ensure that the group experience is a positive one. The facilitator is a participant just like everyone else and can make their own contributions. The time manager helps the team work in small units of time, ensuring the focus is maintained.

1 Check in
with something light-hearted or personal, e.g. something you don't know about me yet: […]

2 Assign roles
and rotate these at each meeting, e.g. facilitator, record-keeper, time manager, motivator, well-being agent

8 Check out
on a note of thanks, for example using the **Five Finger Feedback** method or

What I especially liked today: …
What I would like to see next time: …

7 Tasks with a deadline
Appoint the individuals responsible and assign concrete individual tasks with deadlines

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Fig. Paulick-Thiel & Arlt, 2020

Date: **Contact person:**

3 Communicate focus

Clarify the goal and intention of the meeting or show where the meeting stands within the process

4 Interim outcomes

Set agenda and outcomes, e.g. based on stages and the relevant method cards

6 Next steps

Look at what the meeting has not yet accomplished or what still needs to be explored in greater depth and break this down into task packages

5 Methodical work

Collaborative work with a set time limit, e.g. the use of selected activities from the handbook

Five Finger Feedback

Time frame
10 – 15 minutes

Level
Simple

Materials
Pens, sticky notes

Roles
Introduction, documentation, time management

Suggestion
Introduce feedback routines in your day-to-day work; you can document and celebrate even small changes

What is it and what purpose does it serve?
The **Five Finger Feedback** activity promotes quick and structured reflection. The method can be used at the end of workshops or meetings or to round off a day of team work.

Added value
This multi-layered feedback enables experience to be integrated in the ongoing process as a lesson learned. Visual documentation creates transparency and shows that every opinion in the team is valued.

Interpersonal dialog and contact thrive on constant feedback. It is an often unconscious process that can be articulated and elucidated by means of various methods. With a little practice, this improves how people perceive themselves and are perceived by others. Feedback is not an evaluation of performance: it is used for individual and shared learning. Individual feedback methods are now very common in the evaluation of learning experiences.

Goetz, Reinhardt. 2016. Führung: Feedback auf Augenhöhe

Procedure

01 Take the **Five Finger Feedback** template and make it clearly visible as a guide for all participants.

02 Convey the goal of providing feedback so as to give a sense of purpose to this shared reflection.

03 Feedback is written in the *first person* because it is intended to clarify the individual's personal perspective. Everyone takes three minutes to formulate feedback for each finger:
   1   What I really liked …
   2   What I found remarkable …
   3   What I'd like to see next time …
   4   What I learned …
   5   What I felt got too little attention …

04 Take it in turns to present the completed sentences to the group. Everyone listens attentively. No one is interrupted in the process. Everyone has the same opportunity to comment briefly and concisely on what they have experienced. Feedback is provided without justification.

🛈 **Note:** Phrases such as **"You** did …" or **"Your** work is …" should be avoided when providing constructive feedback.

What I found remarkable

What I'd like to see next time

What I learned

What I felt got too little attention

What I really liked

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Fig. based on Leibniz Universität Hannover, 2017;
modified by Paulick-Thiel & Köbler, 2020

1 What I really liked

2 What I found remarkable

3 What I'd like to see next time

4 What I learned

5 What I felt got too little attention

Nonviolent Communication

Time frame
30 – 45 minutes

Level
Simple – Medium

Materials
Pens, sticky notes

Suggestion
Communicate appreciatively on a regular basis in day-to-day working life

What is it and what purpose does it serve?

The Four-Step Model of Nonviolent Communication helps people in intense work-related contexts or day-to-day situations resolve conflicts instead of trying to win them.

The following routines should be avoided:

- **Analysis:** This is wrong because …
- **Criticism:** Your mistake was that …
- **Interpretation:** You do this because …
- **Judgment:** You are …
- **Threat:** If you don't do this, then …

These reinforce a bad atmosphere by not directly addressing hidden desires.

Added value

This kind of communication enables routines to be turned upside down without apportioning blame. Instead of putting the blame on the other person, you take responsibility for improving the situation yourself in a constructive and appreciative way.

Procedure

Go through the following steps for yourself:

01 **Observe without judging:** What do I see, hear, observe without judging myself or others?

02 **Perceive and articulate your own feelings or those of others:** What do I feel without blaming anyone else? What do others feel without me taking it personally?

03 **Recognize needs and take them seriously:** What unfulfilled needs do my feelings or those of others indicate to me?

04 **Articulate clear and achievable requests** based on needs: What would I like to ask of someone else? And what do I want to do myself?

05 **Reflect on responses and cluster them.** What are the essential points of **01-04** that need to be communicated to improve the situation or resolve the conflict?

🖊 **Note:** Nonviolent communication requires a little practice. At the beginning, it helps to write down the most important points for each step.

06 **Decide** if and when to communicate the essential points of the four steps. Experience indicates that reflection can produce fresh perspectives on a situation. This may mean that the conflict can potentially be resolved without actually speaking.

Four steps towards appreciative communication

Goal: I want to be understood

1 Perception
What we observe, describe, e.g. using our *inner camera*.

2 Feeling
How we respond to this emotionally, without apportioning blame.

3 Need
Articulate what is important to us or what has not been taken into account.

4 Request
Articulate what we want in concrete terms without demanding anything.

Goal: I want to be understood

Appreciative connection

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Fig. based on Rosenberg, 1960s

1 Observe without judging

2 Perceive and articulate your own feelings or those of others

3 Recognize needs and take them seriously

4 Express clear and achievable requests based on needs

Involve the management level

Innovation processes often don't fit into classic hierarchical patterns. In order to be successful, they require intrinsically motivated allies at all levels of the organization.

It should be possible to create innovations at various different points. A lot can be achieved through personal initiative. However, numerous examples show that the efficiency and effectiveness of innovation projects depend to a large extent on the support of the (highest) levels of management. The **Development Plan** (p. 68) provides a very good basis for familiarizing management with the venture so as to secure the latter's involvement in it.

Connect and communicate skillfully

You know your superiors best. What is most likely to convince them: initial visible outcomes, a good pitch or joint planning?

Solid proposals regarding outlay and team composition are a good basis for making an appointment with your superiors. Demonstrate why the venture ought to receive support and resources. Put together arguments that clearly show what added value it will have for management and for your organization as a whole.
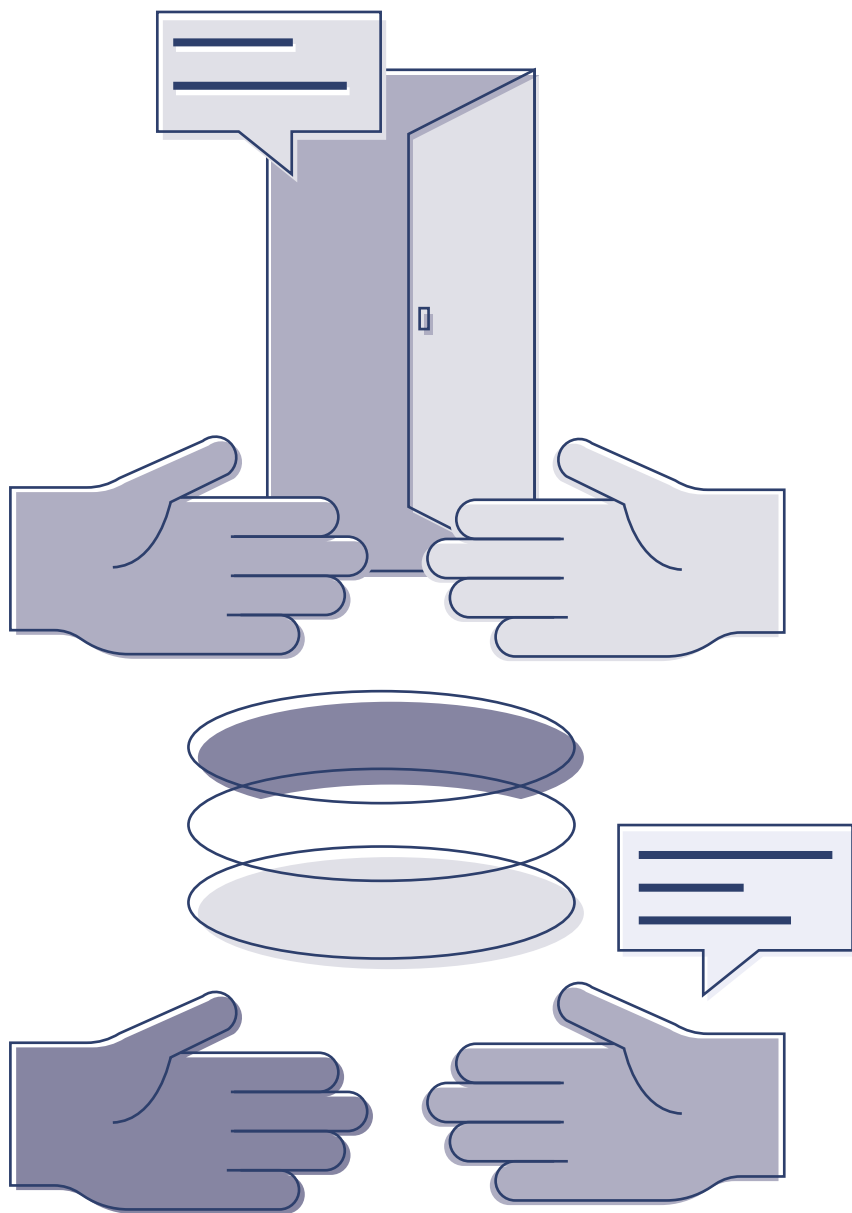
Development Plan

Time frame
40 – 60 minutes

Level
Medium – High

Materials
Template, pens,
sticky notes

Roles
Presenter and
test subjects for the
presentation

Suggestion
Can be used
repeatedly,
supplemented on
a regular basis and
evolved further

What is it and what purpose does it serve?

It is common practice to draw up a project plan including a brief presentation, objectives, work input and anticipated outcomes. The **Development Plan** additionally includes the most important outcomes of the *preparation phase* such as the **Process Flow** (p. 32) and the **Team Profile** (p. 44).

Added value

Put across convincing arguments to convey clearly what purpose the venture serves within the organization. Communicate the core of the venture in such a way that it can be conveyed strikingly and vividly by others in their own words.

Communication research shows that people respond less to logical facts than to good stories. Public institutions can take advantage of this by making more use of communication methods such as the *Golden Circle*. According to this scheme, the story begins with the WHY, then describes the HOW and ends with the WHAT.

Procedure

01 Answer all the questions on the template to bring together the essential points of the previous steps. Now it is possible to actively tackle the communication of the venture.

02 A successful presentation is prepared to suit the specific addressee and their needs. The ABC questions can be used for this purpose:
   - **Attitude:** What is the recipient's attitude?
   - **Background:** What general conditions are of importance to the recipient(s)?
   - **Concern:** What is the recipient most interested in?

03 Structure the presentation such that a decision can be made at the end if necessary. What is the minimum goal of the presentation? Communicate information, inspire participation, initiate subsequent action. A concrete goal promotes focused preparation of the presentation.

04 Underpin arguments for the venture based on existing documentation. Are there reports or calculations that it is possible to build on? What other benefits does the venture offer?

05 Stories are more memorable than pure information. Try out the storyline of the presentation and test it on colleagues. The more convincingly you get to the point, the better people will respond.

Background

Development Matrix

What challenge do you want to tackle?

Why is this challenge relevant to you and your organization?

Target groups

Who would benefit from an improvement in the current situation?

Who would not benefit?

Personnel & Team

Team Profile & Self-Assessment

Who could collaborate and what resources would be required (labor/time)?

Who would need to be on the core team?

Who will assist the process from a methodological point of view?

Map Out Players

Which managers need to be involved?

Who else is relevant?

Approximate time frame

Process Flow

By when would you like to have implemented a solution to the challenge? Don't go into too much detail. Show that there will be a structured process and convey an understanding of how decisions can be made within this.

CityLAB *Berlin*   Politics for Tomorrow   Fig. Paulick-Thiel & Arlt, 2020
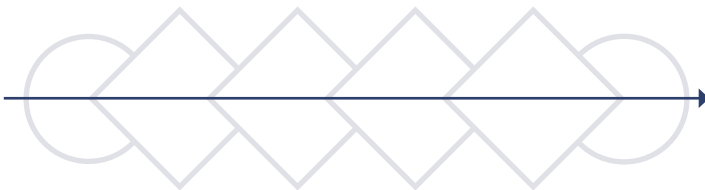
Topic:

Resources

Which resources are already available or could be made available if necessary?

Finance:

Time:

Prior knowledge, reports, data:

How much time is needed for active collaboration?

Who is responsible for the venture?

Who is leading the project?

Title

Internal designation:

Date:

Contact:

Presentation

Tell a **STORY**.

Sense – provide inspiration and build a connection: For what purpose? How? What?

Transfer – convey information and emotions: How will we know that the problem no longer exists?

Originality – build up a sense of expectation and set a focus: What surprising facts are there on the subject?

Reduction – use short formula BCR (Background – Complications – Resolution) for easier recall: What narrative sequence is compelling?

Yes factor – translate into (mental) images: What is a memorable metaphor for the venture?

Document Outcomes

The documentation of the main outcomes of this phase gives us a keener perception of the work that lies ahead of us. What key insights can be drawn from the individual stages?

Stage 1 **Consider the existing state of affairs**
What is going particularly well? What isn't going so well?

_____

_____

_____

Stage 2 **Plan the process**
What deadlines, resources and time periods have been scheduled?

_____

_____

_____

Stage 3 **Identify and analyze stakeholders**
Who is on the core team? Who else is important?

Stage 4 **Create a working basis**
What aspects of the working basis are functioning well?

Stage 5 **Start venture**
Where do we go from here, and when?

Conclude the preparation phase

Things to celebrate:
During the preparation phase, at least one person initiated the process, assembled a team, laid the groundwork for an innovative, exploratory process, and got the green light from management.

Things that might have been strenuous:
Innovation processes have the potential to put familiar patterns of collaboration to the test. This can lead to difficulties and tensions that not only have a personal impact but can also affect various aspects of the organization such as the handling of responsibilities and communication channels.

Things that can be helpful in dealing with the above:

- Collaborate using a methods-based approach when working together in a regular setting, too
- Communicate openly and address problems in an appreciative manner
- Get to the bottom of the problem
- Stay the course as a team
- Incorporate surprises in the process

Myself and the process

Innovation processes hold enormous potential for personal development. For each phase, there's space here to reflect on your own path.

Celebrate	**Try it out**
More in-depth inquiry	**Change**

Based on my experience at this stage, my advice to colleagues who are planning to do something similar is as follows:

> 66

Phase 2

Explore

" *Curiosity is the key to problem solving.* "

Galileo Galilei

Getting to the bottom of the causes

Now that all preparations have been made to ensure sound collaboration, let's get started together: as far as this handbook is concerned, that means a switch to a more collaborative form of address, namely **"*we*"**.

In times of scarce resources and growing demands, it's tempting to draw conclusions and think about solutions as soon as a problem turns up. Full of vigor and wanting to get things done right away, we often forget the most important thing: genuinely understanding the problem.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential

This is because what we see at first is often only a symptom of a deeper problem. If we only treat the symptoms without addressing the underlying challenge, whatever success we find won't be sustainable. Thus, we need to take a step back and identify the causes of the problem more precisely. In order to do this, we will illuminate the causes from various perspectives, incorporate external sources of knowledge and experience, and analyze dependencies within the system, including all the relevant actors and stakeholders.

The basis for any exploratory, collaborative work is a positive view of people in which a range of different perspectives are recognized as being valuable.

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations

Phase objective and stages

In the *exploration phase,* we will develop a comprehensive understanding of the problem and explore the stakeholder landscape as it relates to the problem. We will gather all the insights and sources gained from our inquiry into the topic and develop assumptions for further analysis. **The goal of this phase is to delineate the exact scope of the analysis and capture this in a Situation Report.**

Stage 1
Refine how the problem is understood

Stage 4
Question assumptions

Stage 5
Set the exploration focus

Stage 2
Connect systems and actors

Stage 3
Detect blind spots
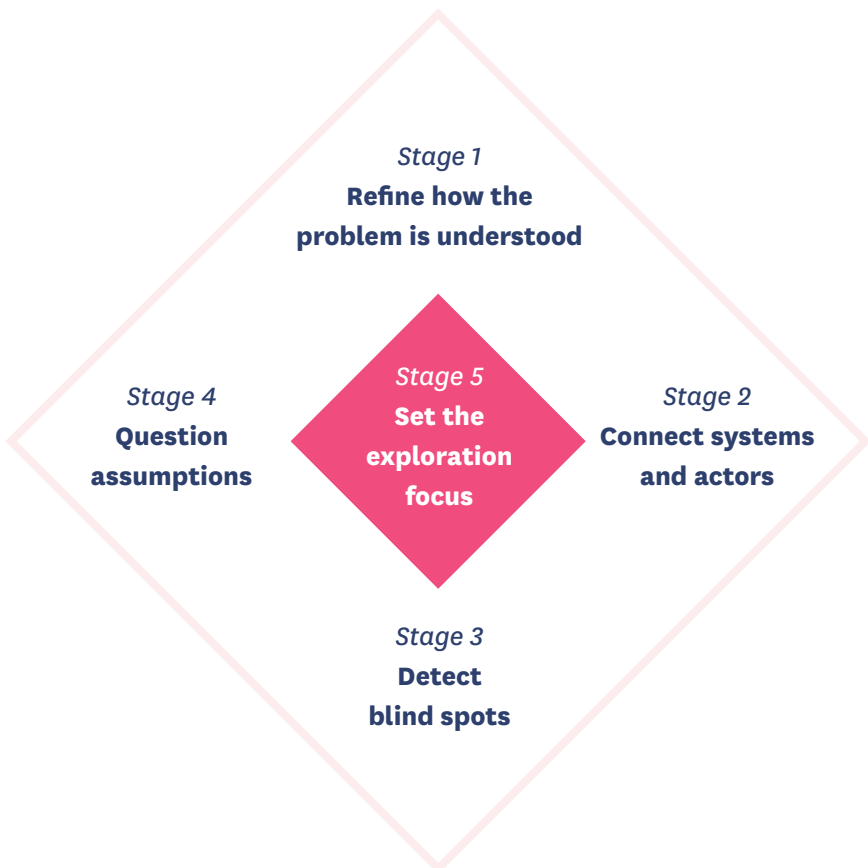
Methods

Stage 1

Refine how the problem is understood
Explore causes and effects.

Stage 2

Connect systems and actors
Identify actors and stakeholders, determine dependencies.

Stage 3

Detect blind spots
Investigate internal and external knowledge.

Stage 4

Question assumptions
Visualize suppositions.

Stage 5

Set the exploration focus
Summarize insights.

Consider the milieu

When problems are dealt with, the consequences are not necessarily always positive. Friction often arises whenever organizational routines are altered. In order to identify such patterns early on, the exploration phase begins with an attempt to gain a better understanding of the challenge to be addressed. The basis for this is the **Development Plan** (p. 68) from the previous chapter. Here, the general situation was provisionally recorded and described, with details of which problems are to be remedied, who might benefit from a solution and which resources are necessary in addressing the situation as a team.

These initial descriptions initially contain no more than what is obvious. It's like when we first look at a tree: we rarely focus immediately on the new leaves high up in the canopy or the roots underground that are so essential. Using the **Tree Analysis** method (p. 84) , we look at the challenge in a similar way so as to identify the causes and effects of the problem we want to solve.
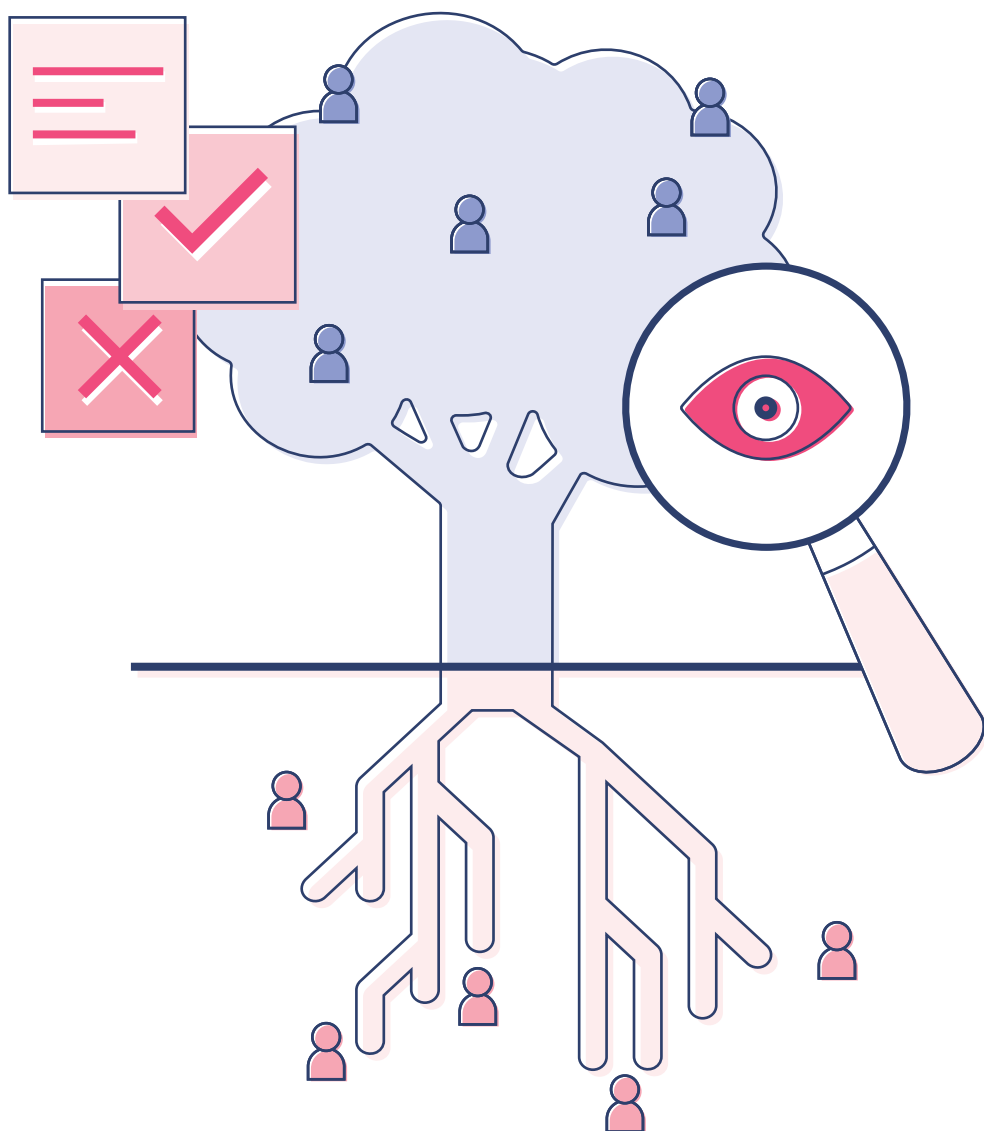
Tree Analysis

Time frame
30 – 50 minutes

Level
Depending on depth
Simple – High

Materials
Pens, sticky notes,
a large piece of
paper, e.g. flipchart
or back of a poster

Roles
Facilitation,
documentation,
time management

Suggestion
For beginners and
advanced users; can
be used to differing
degrees of depth

What is it and what purpose does it serve?

The **Tree Analysis** promotes consideration of the context of a problem based on an examination of the root causes of a challenge and identification of the relevant effects. Using this information it is possible to set the focus for further elaboration more precisely, laying the foundation for a targeted inquiry.

Added value

The field of vision is expanded in relation to the problem. Different points of view and concerns can be collected in a factual manner and effectively sorted by the team. This process helps visualize patterns or dependencies, thereby enabling a systematic approach to tackling the problem.

The **Tree Analysis** is a simple cause-and-effect diagram that can be used as a basis for a system analysis. Cause-and-effect diagrams include the graphic representation of causes that lead to or significantly influence an outcome.

Procedure

01 Transfer tree scheme onto a large sheet of paper.
All team members have sticky notes and markers to hand.

02 Enter **central problem** in the middle. The center represents the
trunk, which is the starting point from which to explore the problem.

03 In order to determine **causes** of the problem, ask several times:
"What is the *deeper* cause of a cause?". Write down all aspects
and, in dialog with each other, place them in logical order below
the central problem. This is where the causes of the problem are
collected.

04 In order to determine the **effects** of the problem, ask several times:
"Which effect triggers which other effect?". Write down all aspects
and place them up above the central problem in logical order. This is
where the symptoms of the problem are collected.

05 Consider all aspects in the root system or tree canopy as a whole.
What is relevant to tackling the problem? What causes or effects are
to be specifically addressed? Highlight the most important points.

06 Clearly document the focus areas that have emerged. Take a detailed
look at the area with the most highlighting.

Note: Other important issues will often arise in the follow-up.
Additions are useful.

Effects

What does it result in?

Central problem:

Causes

Why is this the way it is?

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Fig. based on Luma Institute;
modified by Paulick-Thiel & Arlt, 2020

3rd order effects

2nd order effects

1st order effects

Central problem

1st order causes

2nd order causes

3rd order causes
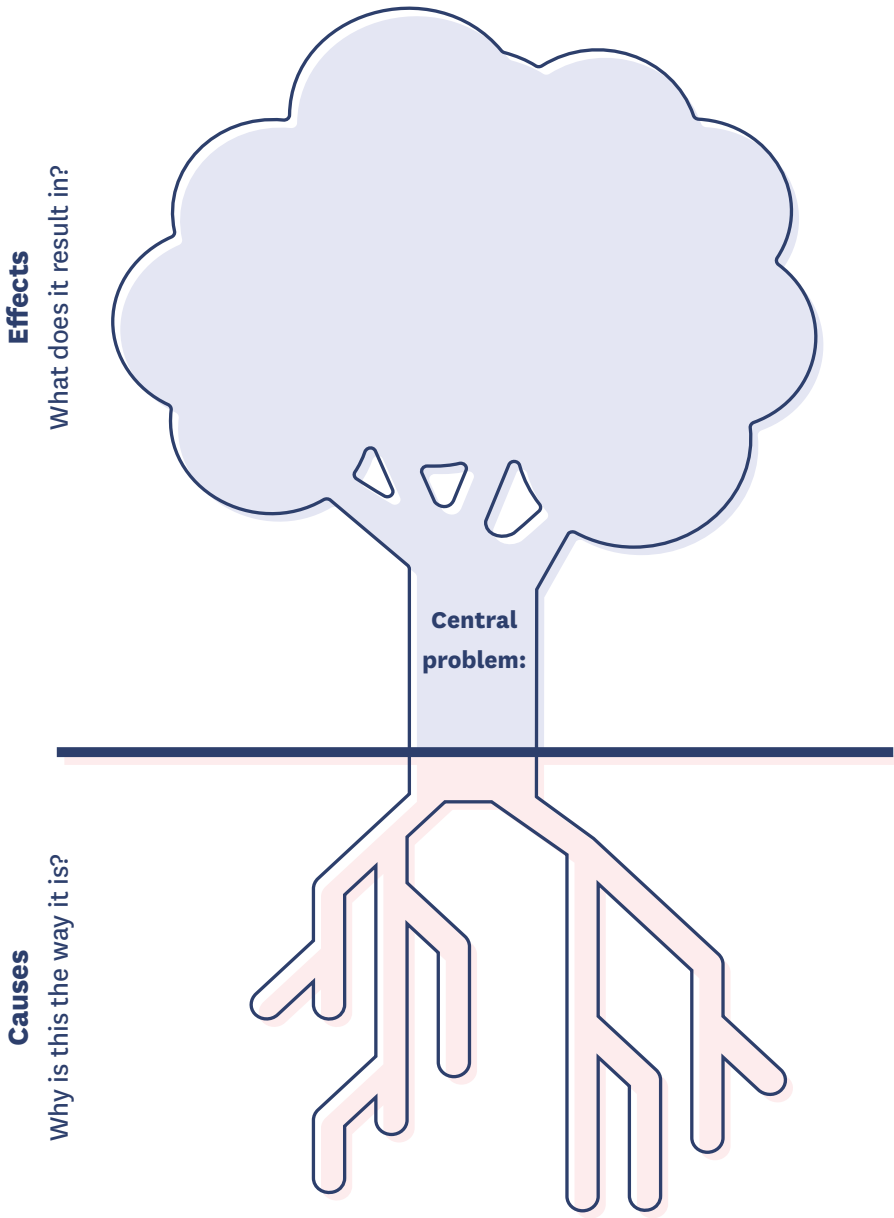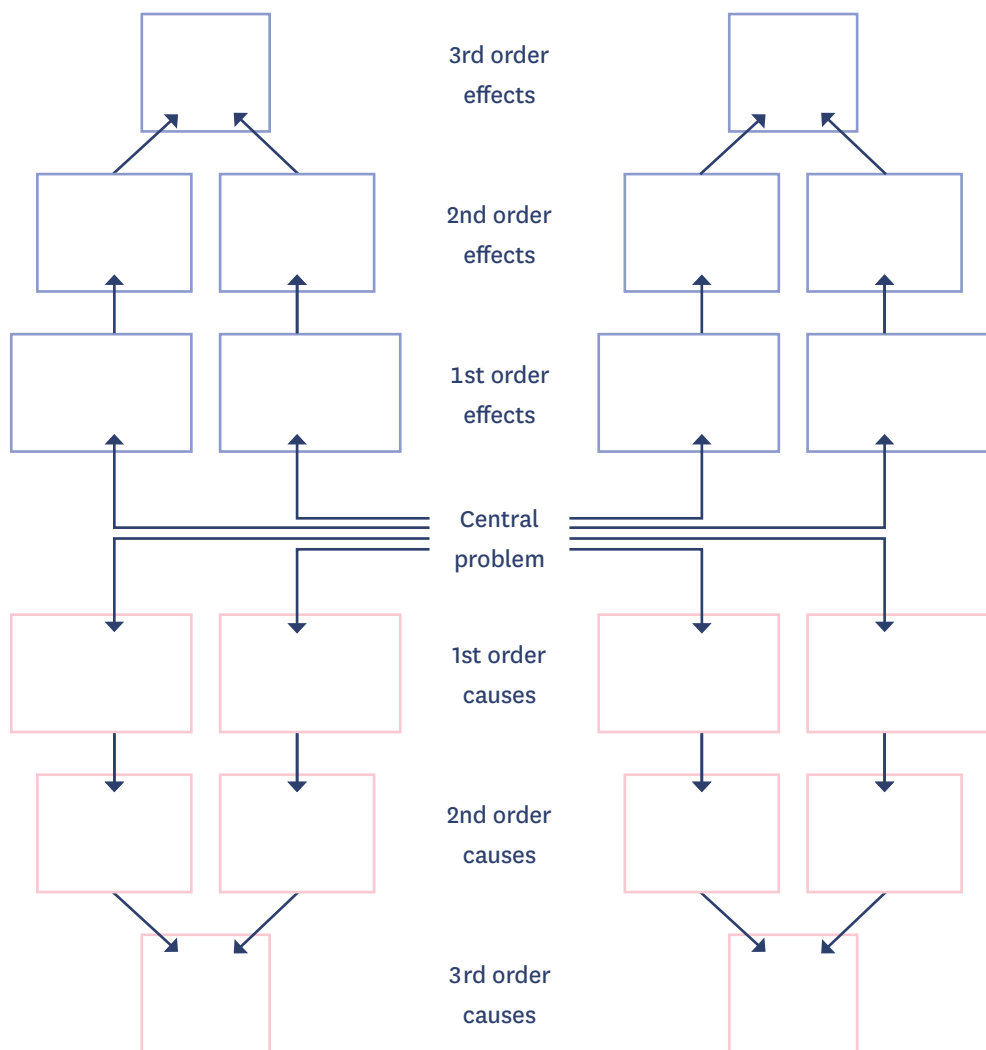
Identify key actors

Based on a better understanding of the causes and effects of our challenge, we have set a focus for further development by means of the **Tree Analysis** (p. 84). This can mean that our attention is no longer focused on the original problem: it may now shift toward the roots, for example, as we take a closer look at deeper causes.

Bring together what belongs together
Why are things the way they are? What can we do to make them different? The links between tangible events and the individuals actively involved in them are very important – even in the age of the digital transformation. For this reason, our next focus is on the people who are linked to the effects and causes we have identified. At this point, we make an initial distinction between two groups of actors:

- those **impacted** by the effects
- those **responsible** for the causes

Depending on the problem at hand, these two groups can be referred to as users, citizens, employees or service providers, for example – but they don't have to be.

We can use the insights gained from the **Tree Analysis** to identify initial actors (see figure). The players mapped out in the *preparation phase* can be used here, too.

Which of the individuals mentioned in the latter belong to one of the two groups of actors? After making a note of initial people (or groups), we condense our understanding of these actors and the relationships between them using the **Map Out Actors** (p. 90) method.

Who is directly or indirectly impacted by the effects of the problem?

Central problem:

Who is directly or indirectly responsible for the causes of the problem?
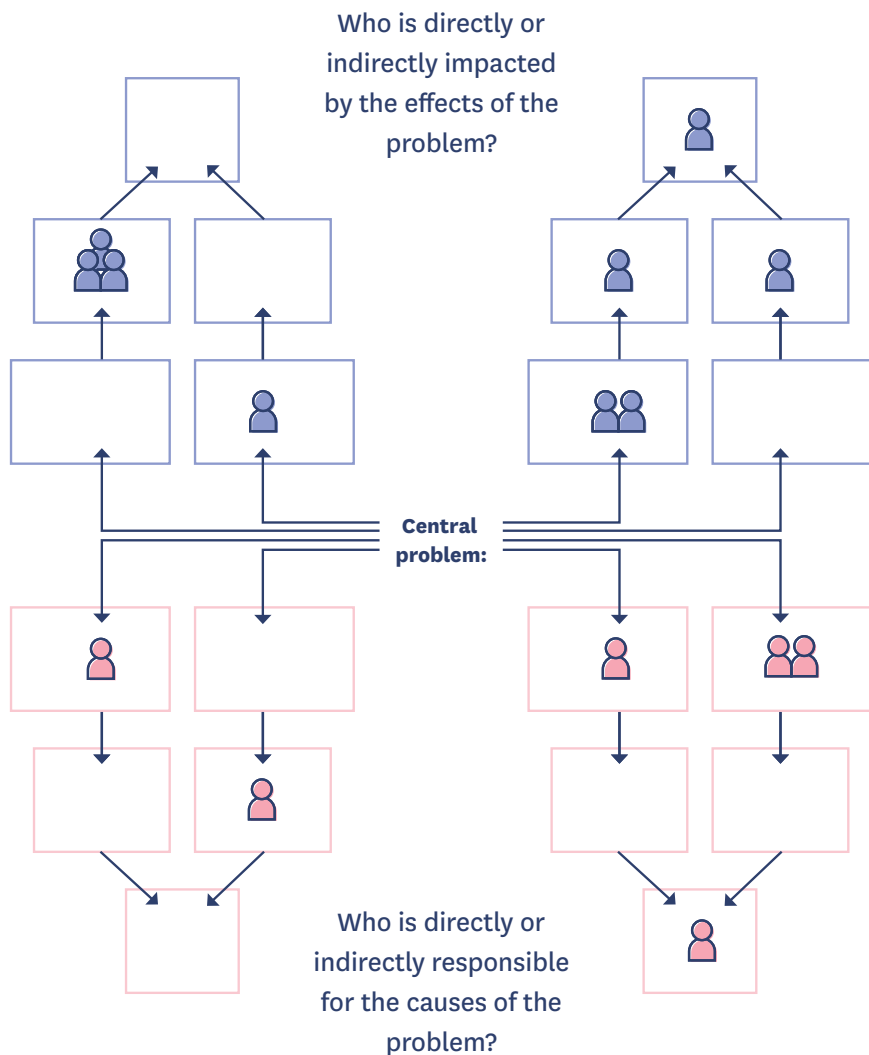
Map Out Actors

Time frame
30 – 50 minutes

Level
Moderate – High

Materials
Pens, sticky notes, facilitation card, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

What is it and what purpose does it serve?

Public innovation aims to solve complex problems and improve systems. But changes of this kind can only be brought about for and with the people who are active in the setting concerned. Mapping out the relevant actors identifies those groups of people who are impacted by the effects or responsible for the causes.

Added value

The actors unconsciously or consciously influence the situation due to their different roles and interests. It is possible to involve them in the process by taking their perspective on board as a valuable body of knowledge. This helps identify key actors to involve in the process. Their perspective inspires the design of valuable solutions.

Actor or stakeholder maps are a basic tool of participatory processes. They provide a key starting point for engaging diverse perspectives so as to implement legitimate decisions and effective measures. The mapping should always be regarded as a snapshot since the constellation of actors is constantly changing.

Procedure

01 Assign actors or groups of actors to the causes and effects shown in the **Tree Analysis** (p. 84). Who is impacted by each individual effect? Who is responsible for the causes?
Inspiration here can also come from the **Map Out Players** activity in (p. 38) *Phase 1*.

02 Transfer the scheme of this template to a large sheet of paper.
Enter the central problem above. Include notes from Step **01** in the following steps.

03 Identify the impacted stakeholders in the organization or society. Which people or target groups are impacted by the problem inside and outside the organization? Write down one actor or group per sticky note. The more relevant the problem and its impact on the actor, the closer the sticky note moves to the center.

04 Locate responsible actors in the organization and society. Which persons or units inside and outside the organization are responsible for eliminating the problem or are responsible for its causes?

05 Key actors are collected at the center.
Consider which of these individuals should be contacted representing each actor group to be interviewed about the topic in *Phase 3*.

06 Finally, describe the relationship between the key actors at the center in more detail. To do this, use the **Actor Relationships** template (p. 94).

Level of impact in the organization

low   high

low

Relevance

Impacted
Who is impacted by the effects and to what extent?

Key actors involved

organizational

high

Relevance

low

Responsible
Who is responsible for dealing with the root cause and to what extent?

low   high

Responsibility in the organization

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Fig. Paulick-Thiel & Arlt, 2020

Central problem:

high **Level of impact in society** low

low

Impacted
Who is impacted by the effects and to what extent?

Relevance

high

social

Relevance

Key actors
responsible

Responsible
Who is responsible for dealing with the root cause and to what extent?

low

high **Responsibility in society** low

Name of actor group:

How many of them are there?

How many do we interact with? How often?

What do they want from us?

What do we want from them?

Who am I?

What is my role/mission?

What interests does this involve?

What motivates me personally?

(E.) Connection

Goals

Conflict

Secrets

(Emotional) connection

Goals

Conflict

Secrets

(E.) Connection

Goals

Conflict

Secrets

Name of actor group:

How many of them are there?

How many do we interact with? How often?

What do they want from us?

What do we want from them?

Who am I?

What is my role/mission?

What interests does this involve?

What motivates me personally?

(E.) Connection

Goals

Conflict

Secrets

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Fig. based on Dark Horse, 2016;
modified by Paulick-Thiel & Arlt, 2020

Central problem:

Who am I?

What is my role/mission?

What interests does this involve?

What motivates me personally?

Name of actor group:

How many of them are there?

How many do we interact with?
How often?

What do they want from us?

What do we want from them?

(Emotional) connection

Goals

Conflict

Secrets

Who am I?

What is my role/mission?

What interests does this involve?

What motivates me personally?

Name of actor group:

How many of them are there?

How many do we interact with? How often?

What do they want from us?

What do we want from them?

Assess existing knowledge

When dealing with complex problems, we need to broaden our horizons.

Internal knowledge
At the beginning of any inquiry process, those who possess internal knowledge have to be involved first. Often, more know-how is available inside our own organization than we might think at first glance.

Where is work being done on similar issues? What ongoing projects, programs, or internal organizational processes are there within our own organization? What is already happening? Through our innovation process, we can build on hurdles or unanswered questions that have already arisen in other departments, avoiding duplication of effort and involving the colleagues responsible in an efficient manner.

Internal knowledge holders
In large organizations in particular, it is difficult to involve the relevant knowledge holders without the necessary personal contacts and internal network structures – as well as the permission to use them. Regular network meetings are ideal for getting an overall picture of ongoing activities, the people involved, relevant solutions and the knowledge available. **Topic-Based Networking** (p. 98) is an effective and entertaining approach that can serve as a stimulus here.

External data

Statistics allow us to gain an understanding of whether we should expand or limit the problem focus. Historical data can be helpful in this regard, too. The Federal Statistical Office collects and processes such data and makes it available for use at *www.destatis.de*.

External knowledge

Positive and negative examples can also come from the private, nonprofit, or academic sectors, and they may be available in other communities and administrations, too. We can improve our work by being aware of what others are developing and how they are going about it. Cross-sector dialog contributes to knowledge transfer and network building.

Note: The inquiry phase can be carried out efficiently between two workshops by distributing the assignments among different team members. To do this, agree on a common format for the team in which to make a note of the various sources used. Collect the results of the inquiry in the **Knowledge Atlas** (p. 102) .

12 minutes of focused dialog

01 **Before networking:** Write down your own name and topics you'd like people to talk to you about on a sticky note.

02 **While networking:** Get together with someone you haven't met before and make a note of the topic shown on their name tag. Choose the topic you find most interesting and explore it based on the questions. After six minutes, indicate your appreciation and switch roles.

Name

My topic

My topic

My topic

We will spend six minutes asking each other:

O How did you come to be involved in this topic?

O If I wanted to delve deeper into your topic, what would I have to know?

O What book, magazine, podcast would you recommend?

O Who else should I talk to about this?

Engage in the moment spontaneously.
Inspire the other person to explore fresh ideas.

Express your appreciation.

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Fig. based on Flipped Job Market Facilitated Networking, Narriman, 2018; modified by Paulick-Thiel & Arlt, 2020

Three minutes of network documentation

03 **After networking:** Spend three minutes on your own noting down things to remember and what the topics are on which you might like to pursue dialog further. Get ready to meet the next person.

Spend three minutes making notes on the following:

Topic:

Recommendations for:

More in-depth inquiry:

Materials:

People:

Why would I like to stay in contact with this person?

Thank-you card

Thank you, what I found especially thought-provoking was …

Contact details:

(!) **Note:** Follow up with a thank-you postcard or an e-mail to the individual concerned. This is a means of reflection and a way of rounding off the dialog by showing your appreciation.

Take a look at the state of research

Depending on the scope of the venture, it is useful to determine the state of research in relation to the topic or problem in question. In order to find out what is already known, we need to carry out a literature search and read relevant studies or reports that relate to the venture.

This approach is both informative and gives us guidance. If we know what other people or organizations have already researched, we can build on this. In this way, we can focus on discovering something genuinely new as we move forward.

This "desk research" culminates in the collaborative structuring of insights into knowledge that:

o concerns the process or substance of the matter in question
o is more or less relevant
   and
o is located inside or outside our organization(s).

In addition to online academic portals such as *researchgate.net* and *academia.edu*, a lot of useful publications and articles are issued by **federal research institutions***. To avoid being completely overwhelmed:

01 Read summaries of research reports that sound interesting.

02 Take a look at the bibliographies in these articles and possibly seek out sources that are cited in different articles.

03 Select articles that seem most relevant (preferably from different authors and years), read them in full, and note down what is important for the team to know – always citing your sources!

All the relevant insights we gather during this time in relation to the topic are compiled briefly and concisely in the **Knowledge Atlas** (p. 102). This can only represent a portion of the information that exists: full coverage is neither necessary nor possible.

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*www.bundesregierung.de/breg-de/themen/forschung/forschungseinrichtungen-des-bundes

Knowledge Atlas

Time frame
60 – 120 minutes

Level
Moderate – High

Materials
Pens, sticky notes, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

Suggestion
Gather knowledge offline and online over an extended period of time

What is it and what purpose does it serve?

New questions and possibly doubts are bound to emerge during the inquiry process, in addition to the knowledge collected. During mapping, it is important not to neglect any knowledge gaps but to actively engage with these so as to identify concrete areas of potential. In this way, both knowledge and knowledge gaps can be integrated precisely into the ongoing process.

Added value

By using this 2x2 matrix, we acknowledge that we're operating in a complex environment.
The blind spots we uncover form the basis for further exploration: we can draw on these to solve the problem. We can see what is most relevant moving forward. As a team, we start talking not just about similar things, but about the same things.

The *known/unknown* matrix was created by American psychologists J. Luft and H. Ingham. Established in 1955, their Johari window is a visual representation of what you know about yourself and what others know about you.

Procedure

Before doing the mapping, note down the sources of inquiry used throughout the process and agree on a common format as a team.

01 Transfer matrix to a larger working format, e.g. flipchart sheet. Enter the topic or problem as a starting point for filling out the matrix. Each person in the group has a pen and paper or sticky notes.

02 Start in **Field A** by inserting existing knowledge gained from inquiry, including the sources.

03 Collect relevant points in **Fields B, C, D** using stimulus questions. *Each person individually (approx. 15 min):* Write down your initial thoughts about the three fields. One aspect per sticky note. *Each person successively (approx. 5 min per person):* Read out aloud the aspects you have written down and place them in the relevant fields. Identical and similar aspects can be placed directly next to each other. If necessary, repeat **03.**

04 Existing knowledge is noted in all fields. Now the group can set priorities. What is particularly relevant to solving the problem? The most important points are placed at the center.

05 Focus on **Fields C** and **D**. This is where important issues are located that will need to be explored in greater depth through an investigation in *Phase 3,* involving key actors. Note which key actors could be consulted about these aspects.

06 Document the outcomes thoroughly and keep the originals for use later in filling in sections of the **Assumptions Triangle** (p. 108).

Validated references

What is known to us and to others?

A

Known knowledge

Acquired knowledge

T o p i c /

B

Known knowledge gaps

Specific knowledge

Appropriate transfer

What is known to us but unknown to others?

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Fig. based on Luft & Ingham, 1955;
modified by Paulick-Thiel & Arlt, 2020

Field investigation required

Who will support the venture and how?

C

Unknown knowledge

Accessible knowledge

Problem

D

Unknown knowledge gaps

Blind spot

Key factor for innovation

What is unknown to us and to others?

Question your own assumptions

Looking into existing knowledge sources or involving experts can sometimes be a sobering experience. We will often ask ourselves: with so much knowledge available, what else can our venture contribute? The answer is: quite a lot! After all, this is not just about acquiring knowledge: the real point of the exercise is to use this knowledge to design solutions that improve people's lives.

Challenge bias
In doing so and to avoid creating a solution that only reflects our own ideas and aspirations rather than those of the people who are actually impacted, we need to understand and challenge our own assumptions.

To this end, we'll soon be in contact with the key actors. Meanwhile, in preparation for the next step, we're now going to differentiate our most important insights one last time. For this purpose we'll use the following **Assumptions Triangle** (p. 108) to distinguish actual facts from our personal inclinations and suppositions.

This subdivision clearly demonstrates the perspectives from which we view the world. The precise formulation of our assumptions allows us to test the underlying hypotheses based on talking to or observing others.
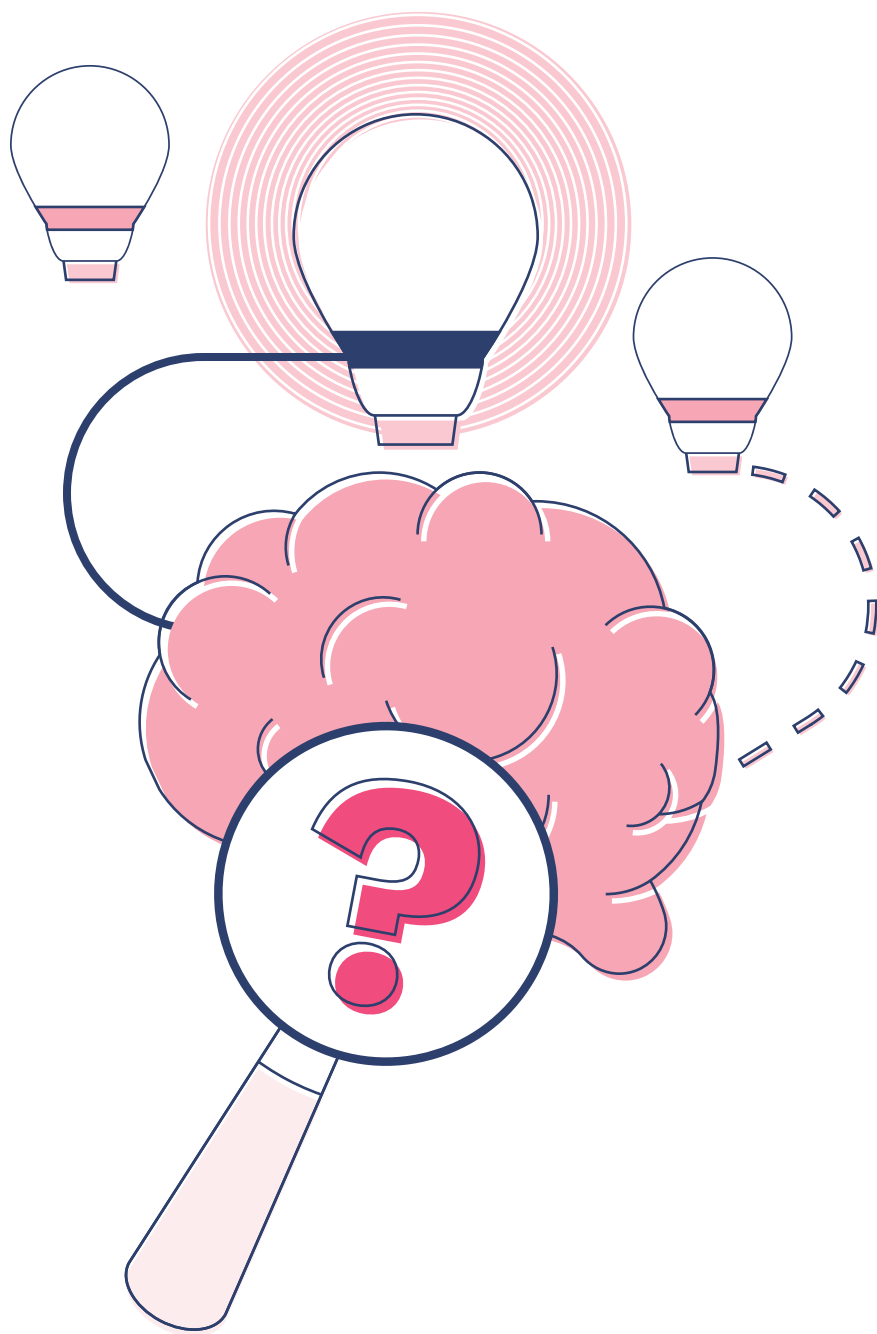
Assumptions Triangle

Time frame
60 – 240 minutes

Level
Medium – High

Materials
Pens, sticky notes, facilitation card, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

Suggestion
Put on the *Assumption Glasses* in your day-to-day work routine, separating day-to-day statements from facts and suppositions, and build on your insights.

What is it and what purpose does it serve?
The **Assumptions Triangle** helps separate facts from bias and assumptions. This can reveal any conscious or unconscious bias regarding the problem. As a result, it is possible to harness existing prejudices that are rarely talked about so as to gain a better understanding of the problem.

Added value
Assumptions can be sensitively and accurately verified through contact with key actors. They provide the basis for later observations or an **interview guide**.

It is rarely the case that our behavior and the way we reach conclusions is based on facts alone. Nobel laureate D. Kahneman identifies two strategies for dealing with the modern world: fast thinking, which is constantly in active mode and involves making rapid, automatic judgments, and slow thinking, which is exhausting, consumes energy, and is activated only when something complex or unexpected arises within the stream of fast thinking.

Procedure

01 Transfer triangle to a large sheet of paper or movable wall panel.

02 Enter topic/problem in the middle. What are the sub-areas of the problem under consideration? Use material from the **Development Plan** (p. 68), the **Tree Analysis** (p. 84) and the **Knowledge Atlas** (p. 102).

03 Place existing facts on the left-hand side of the triangle and organize them thematically as appropriate. Use **Field A of the Knowledge Atlas** for inspiration.

04 Discuss bias. This might include anecdotal evidence, individual beliefs, or *anchor information* that has shaped the development of all further thinking on the topic. Write down one aspect per sticky note and place it on the right-hand side of the triangle. Use **Field B of the Knowledge Atlas** for inspiration.

05 Identify assumptions. Use **Field C** and **D of the Knowledge Atlas** as a starting point and focus on the sub-areas of the problem. Discuss ideas, write them down, then thematically organize and condense them. Focus on three relevant assumptions to be explored in dialog with key actors.

06 Document the interim outcomes that have emerged. Formulate the most important assumptions in concrete terms as complete sentences. The **Interview Guide** (p. 130) will be created in *Phase 3*.

(!) Note: Other important issues will often arise in the follow-up. Additions are useful.

Facts

Bias

Problem or topic

Assumptions

1.

2.

3.

Known knowledge gaps

Unknown knowledge gaps

Interview Guide

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Fig. based on Lab@OPM/GSA, 2018; modified by Paulick-Thiel & Arlt, 2020
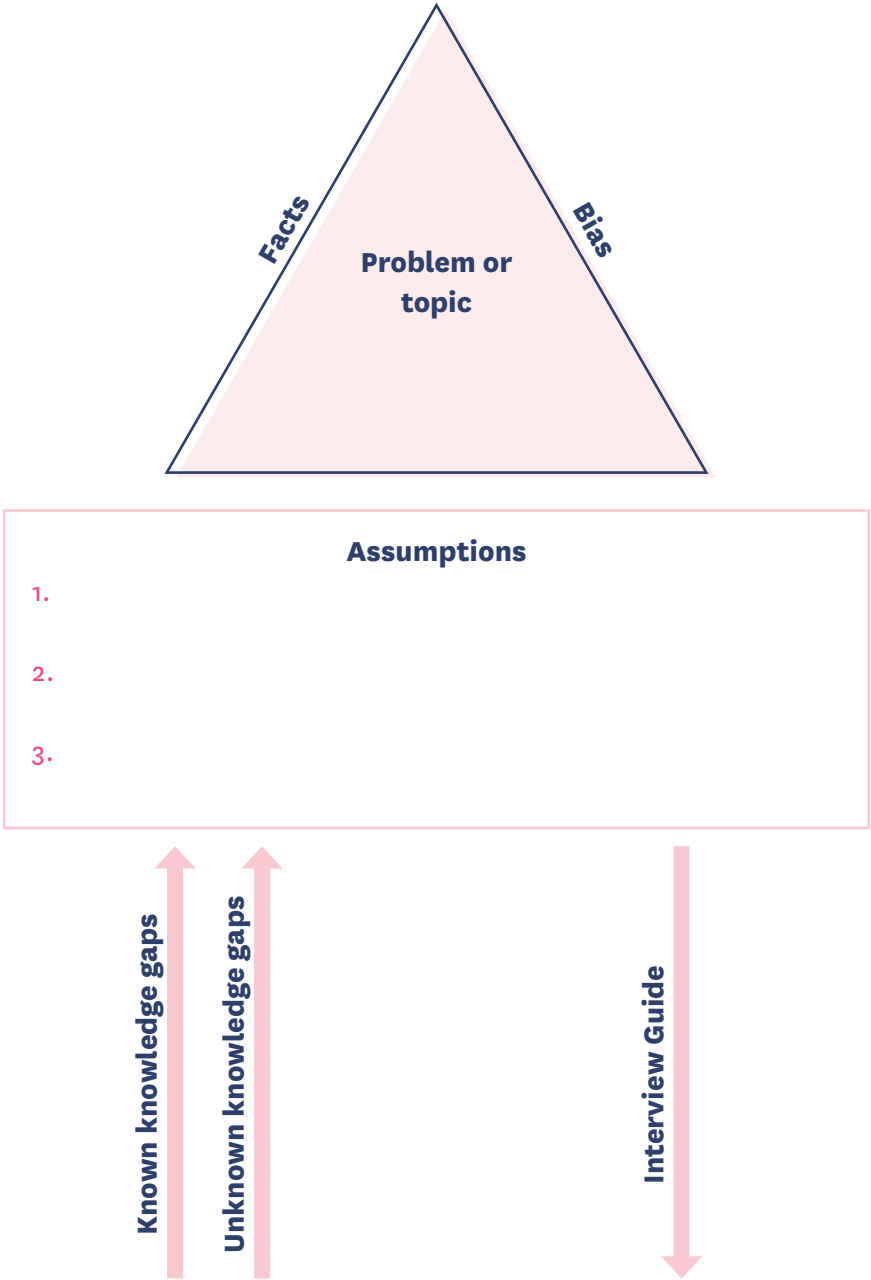
Facts are based on verified knowledge. They are accepted, scientific realities. The knowledge gathered so far in relation to the problem will provide a solid basis for further investigations. Draw on points from **Field A of the Knowledge Atlas** (p. 102).

Bias is a cognitive pattern that distorts how we perceive, remember, think, and judge. In stressful situations in particular, our brain uses these *shortcuts* so as to stay functional when confronted with too much or too little information. For example:

- **Omission bias:**
  "The risk of addressing this problem is too high."
- **Optimism bias:**
  "That's their problem, not ours."
- **Status quo bias:**
  "If it isn't broken, don't fix it."

Points from **Field B of the Knowledge Atlas** can be used here, too.

Assumptions are suppositions that something is possible or impossible without being based on proof. Assumptions largely derive from real, vicarious, or imagined experiences. Questions that need to be identified:

- What is considered possible or impossible with respect to the problem without its validity having been proved?
- What do we lack certainty about?
- What might be true or false with respect to the problem?
- What can be easily disproved or proven?
- What additional points can be found out by talking to key actors?

Draw on points from **Fields C** and **D of the Knowledge Atlas**, too.

Summarize insights

As a team, we've gone through a knowledge-building process that is difficult for outsiders to comprehend. Now is a good time to communicate an interim status to our superiors.
The wording we use for this will also help us when it comes to recruiting interview partners.

Interlink the insights gained to date
With the results of the tools **Tree Analysis** (p. 84) and **Map Out Actors** (p. 90), the foundations are in place for us to be able to formulate the exact focus of the investigation in *Phase 3*. Based on the state of knowledge to date and the assumptions identified, we will now determine together what else needs to be found out.

This summary of the full extent of our knowledge facilitates internal and external communication. Reporting creates a reliable basis for communication between core team and management.
The communication format can be agreed on with the decision-makers.

The only requirement for the preparation of the **Situation Report** (p. 114) is that all aspects are to be described without prescribing a particular solution. This point must be observed – regardless of whether the venture is self-initiated or has been commissioned by management.
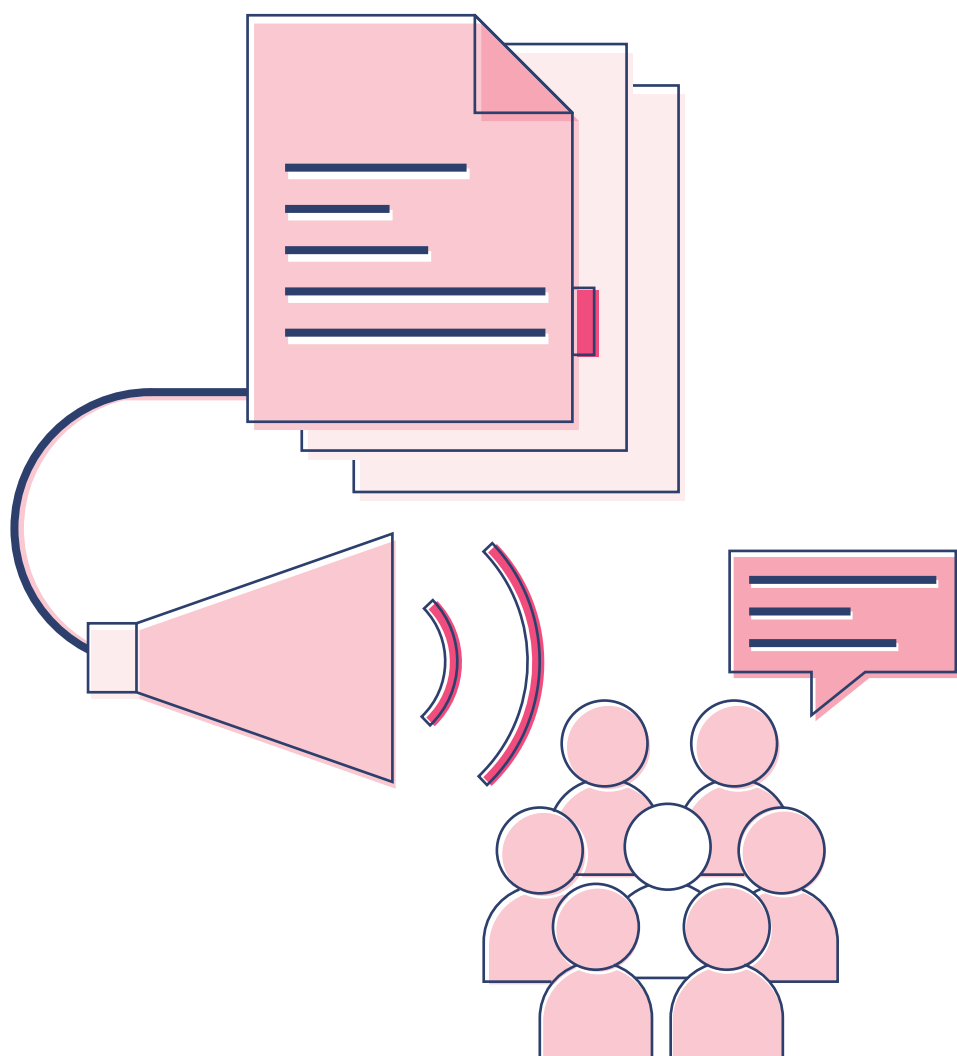
Situation Report

Time frame
45 – 60 minutes

Level
Simple – Medium

Materials
Pens, sticky notes, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

Suggestion
Prepare directly after the assumptions have been defined

What is it and what purpose does it serve?
Focusing on knowledge gaps that require further investigation and pursuing unconfirmed assumptions is one of the most important requirements in terms of legitimizing the departure from a familiar environment. All questions in the template have to be answered in order to communicate clearly and simply why key actor participation is necessary.

Added value
In addition to looking back at what has been accomplished, it shows what is planned next. This will enable team members and managers who are committed to moving away from existing routines to successfully communicate to their next level of management why the venture should continue to be supported.

The exploratory focus forms the basis for investigation in the field. So-called *grounded theory* (Glaser in Walsh, Holton et al. 2015) is based on detecting patterns in behavior, data, and theories. By incorporating the perspectives of key actors, patterns can be deciphered, enabling fresh evidence and theories to be derived.

Procedure

The **Situation Report** summarizes the interim outcomes of the *exploration phase* to date. In this way, all documentation is made accessible and put into context. When drawing up the documentation, follow the **STORY** from the **Development Plan** (p. 68), possibly using the same presentation format and working visually.

01 Recall the essential points from the knowledge work done to date.

02 First of all answer the first question of the investigation focus verbally, speaking it out loud. Take care to use clear, precise language. As a team, repeat, refine, write down and rewrite the answers over and over to get to the point.

03 Repeat the procedure from Step **02** for all further questions pursued in the investigation focus.

04 Complete the **Situation Report**. To do this, embed text modules from the investigation focus in the Situation Report.

05 Use this material to create a successful presentation that resonates.

(!) **Note:** If any resistance or concerns arise during the process, these can be incorporated afterwards.

Investigation focus

WHO is at the center of our investigation?

Key internal actors:

Key external actors:

WHAT are we trying to understand?

What do we lack certainty about?

What is presumed to be true or false?

What can be easily disproved or proven?

What can be measurably studied with the involvement of key actors?

WHY? What problem does this relate to?

Problem:

Effects:

Causes:

The OBJECTIVE of our investigation is to find out how we ...

1

2

3

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Fig. based on Lab@OPM/GSA, 2018;
modified by Paulick-Thiel & Arlt, 2020

Situation Report

Relevance to the addressee, e.g. link to strategic project:

_____

_____

What we have achieved in terms of the venture so far:

_____

_____

What we plan to do next:

_____

_____

Possible hurdles and how to deal with them, as well as the support we would like to have:

_____

_____

Key opportunities and how we plan to take advantage of them:

_____

_____

Appreciative conclusion:

_____

_____

Document Outcomes

The documentation of the main outcomes of this phase gives us a keener perception of the work that lies ahead of us. What key insights can be drawn from the individual stages?

Stage 1 **Refine how the problem is understood**
What are the key causes and effects?

Stage 2 **Connect systems and actors**
What key actors have been identified? What are the relationships between them?

Stage 3 **Detect blind spots**
What crucial knowledge has the inquiry produced?

Stage 4 **Question assumptions**
What assumptions need to be reassessed?

Stage 5 **Set the exploration focus**
What is the goal of the exploration in the next phase?

Conclude the exploration phase

Things to celebrate:
In the *exploration phase* we became a team, building a shared picture of the challenge and identifying key actors. Based on this, we investigated existing knowledge to challenge related assumptions.

Things that might have been strenuous:
Working without a hierarchy can give rise to uncertainties and problems. Giving honest and appreciative criticism is an art. This is one of the big challenges, especially when the teamwork initially gets going. To some extent, looking into existing data and facts throws up more questions than answers. This can lead to disorientation and doubt, which in turn impacts on motivation to continue searching.

Things that can be helpful in dealing with the above:

○ If there is a lack of knowledge, be bold to enough to admit it
○ Refrain from blowing your own trumpet
○ Draw on group intelligence to establish a focus
○ Get out into the fresh air when energy levels are low
○ Take breaks to relax
○ Try out and rehearse new procedures

Myself and the process

Innovation processes involve intense teamwork. Personal space is important along the shared journey so as to allow each individual to reflect on what has happened.
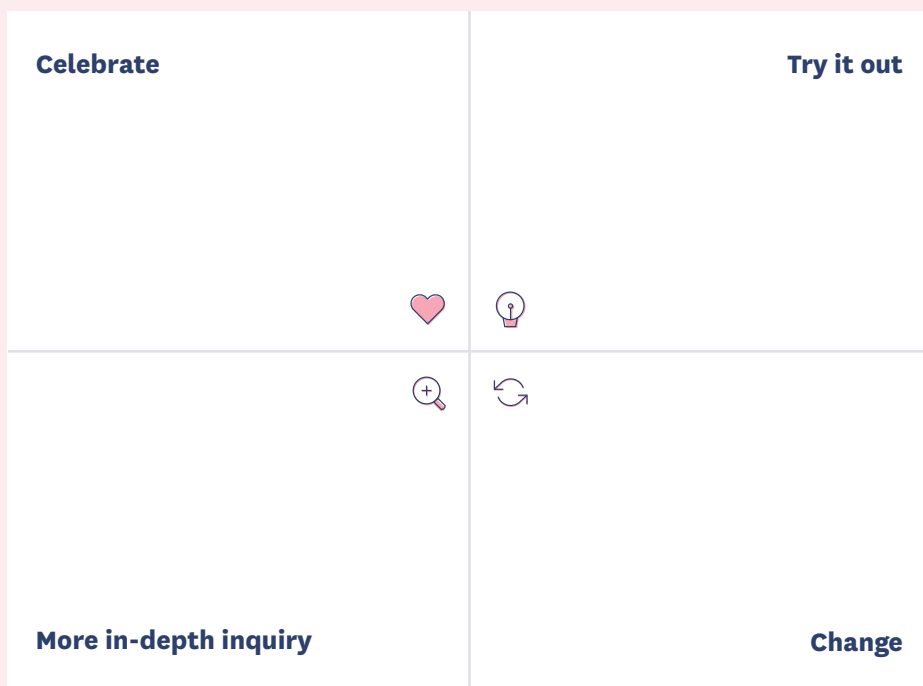
Celebrate	**Try it out**
More in-depth inquiry	**Change**

Based on my experience at this stage, my advice to colleagues who are planning to do something similar is as follows:

"
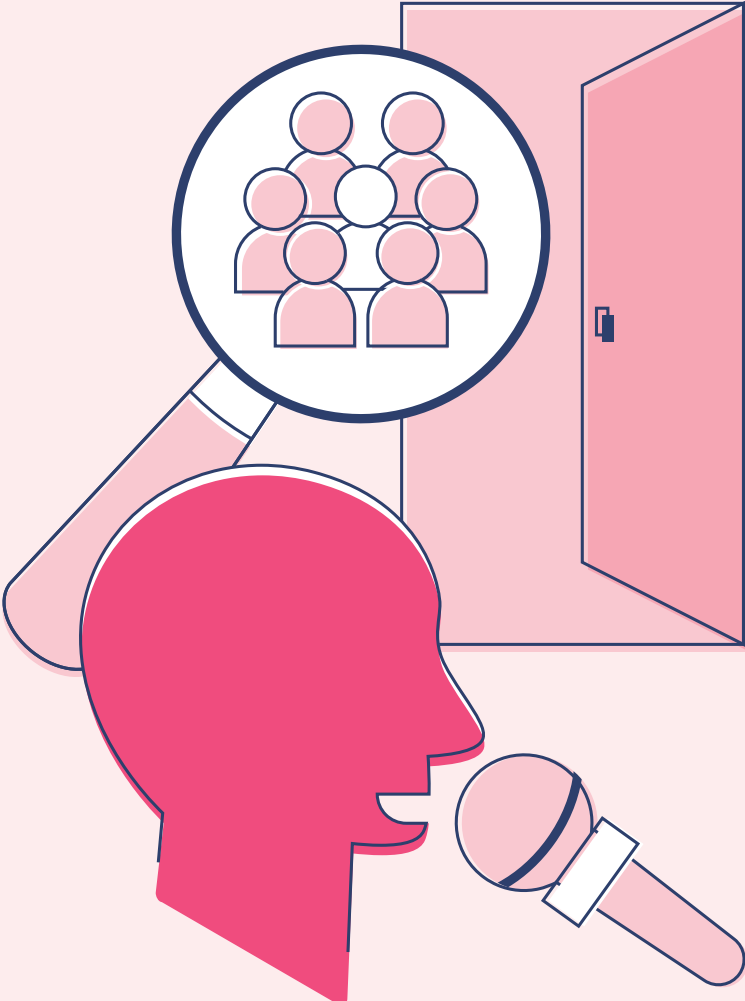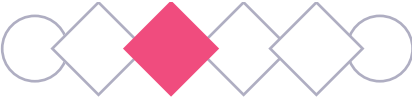
Phase 3

Discover

" *Everything we hear is an opinion, not a fact. Everything we see is a matter of perspective, not truth.* "

Heinz von Förster

Empathize with new perspectives

Working closely with others and learning from them is at the heart of our approach to innovation. In concrete terms, we need to understand the different perspectives of our key actors in order to identify potential for resolving the causes and negative effects of the problem.

In order to find out about these perspectives, we have to leave our office and seek out the people who are most impacted by the challenge or who are responsible for it.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus
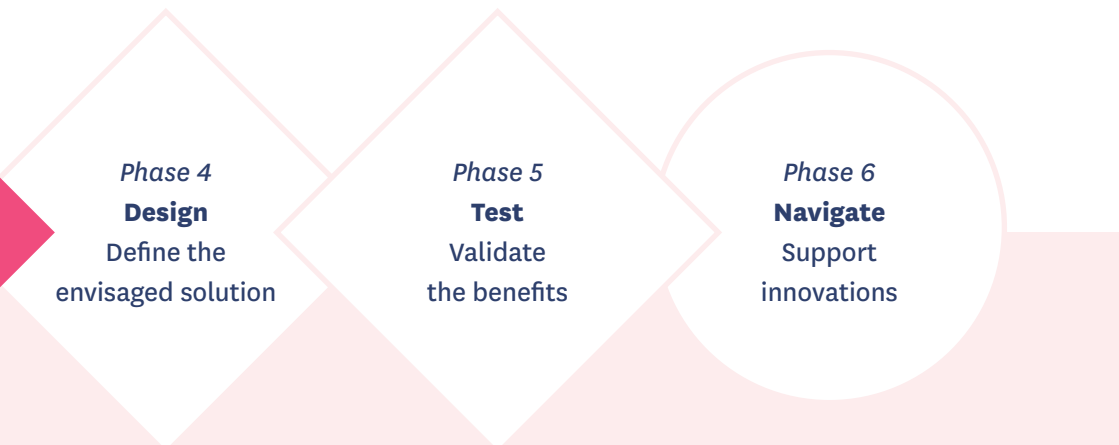
Phase 3
Discover
Identify areas
of potential

In dialog with our key actors, we can get valuable answers that allow us to see beyond what we know and what is obvious. Based on an empathic approach, we can test our assumptions and expand our knowledge. This is essential in order to develop a better understanding of the causes of the problem before going on to identify a potential solution.

A successful discovery process is based on a combination of quantitative and qualitative approaches. These can help us understand and shape human interaction more effectively.

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations

Phase objective and stages

We will now be leaving our own environment and immersing ourselves in the world of our key actors. Based on conversations and on-site observations, we will come across perspectives that are not visible from our desk. **The team will evaluate these different perspectives so as to identify the needs and barriers they contain. This offers potential for our key actors - potential that we will seek to identify and evaluate in terms of opportunities and risks.**

Stage 1
Establish a basis for dialog

Stage 4
Narrow down potential

Stage 5
Identify areas of potential

Stage 2
Go out and meet people

Stage 3
Formulate insights

Methods

Prepare interview structure

Finally the time has come! The heart of our discovery process lies before us: after all the intensive preparatory work carried out by our team, it's now time to dive into the perspective of the key actors – both those impacted and those responsible.

Examine assumptions

We completed the *exploration phase* by gathering knowledge and defining our assumptions about the problem. In order to deepen this knowledge and challenge our assumptions, we will now develop an **Interview Guide** (p. 130) that allows us to engage in open dialog with those who are particularly linked to the effects and causes of the problem under consideration.

There are many qualitative methods for reaching out to people – interviews, focus groups, participant observation and video analysis, for example. In the steps that follow, we will focus on interviews and on-site observations: this is an approach that involves personal encounter, which generates added value for everyone involved. If we prepare the interview structure in advance, it's easier to evaluate the interviews from a qualitative point of view.

Listen and observe

Every good dialog has a dramaturgy that builds the trust required to share experience and possibly even engage in unconscious communication. For this reason, the **Interview Guide** is based on a small number of open questions. The questions contain points of reference such as difficulties, behavior and attitudes that are to be discussed with all interview partners. These questions seek to find out about personal stories relating to relevant experiences.

Incorporate the physical setting

By engaging in dialog, we are able to empathize as far as possible with the perspective of our opposite number. But this works even more effectively if we go to the place where the problem actually occurs – whether at the workplace, at a street crossing or in a public building. When we experience the problem in the day-to-day context of our key actors, we may notice other things we hadn't previously considered. So in our **Interview Basics** (p. 134), we don't just note down what is said but also what we observe about the setting as a whole. This sharpens our perception and helps depict the situation holistically based on key points.

Interview Guide

Time frame
30 – 90 minutes

Level
Medium – High

Materials
Pens, paper,
sticky notes

Roles
Facilitation,
documentation,
time management

Suggestion
The guide promotes
an exploratory
approach that can
also be tried out in
day-to-day routine
or used for virtual
interviews.

What is it and what purpose does it serve?

Unlike a quantitative survey, the planned interview does not follow a rigid sequence of questions. The use of open-ended and in-depth questions forms the basis for our semi-structured interview. The **Interview Guide** can and should be adapted according to the situation. This gives us the flexibility to let our interview partner talk freely and allows us to ask specific questions about interesting aspects.

Added value

In addition to the predefined topic areas, the guide leaves enough room to accommodate new points that arise during the interview. In this way, we can remain open to discovering new things while still keeping our focus on what it is we want to find out. We get better at this the more interviews we conduct.

The quality of the relationship established before and during the interview significantly determines the depth of the interview data we are able to collect. The Interview Guide supports us in that it involves preparing not only the collection of data but also the interaction between the partners.

Procedure

01 Transfer template to a larger piece of paper.

02 Have the outcomes of the **Situation Report** (p. 114), **Assumptions Triangle** (p. 108) and **Knowledge Atlas** (p. 102) at hand. Transfer relevant aspects to the structure level and adapt if necessary.

03 Using bullet points and examples along the arc, develop simple open-ended questions that allow for unique and surprising answers.
   o General questions address ideas and points of view on the subject.
   o Experiential questions focus on positive, negative, and surprising experiences.
   o Follow-up questions enable us to pursue a specific experiential question in greater detail and find out more about particular aspects or contradictions. Alternate between experiential questions and follow-up questions.
   o The interview is concluded with wish questions. The wish scenarios described often provide input regarding additional goals.
   o Come to a conclusion and request a personal summary of the most important aspects.

04 Write down questions from each category for your venture.

(!) **Note:** Different interview guides can be created for impacted and responsible key actors. It may also be worthwhile adapting the guide within the group of actors.

Structure level

What subject areas or assumptions are we dealing with?
What is the objective of our investigation?
What are we trying to understand through this interview?

Fig. based on IDEO & Lab@OPM/GSA, 2018;
modified by Paulick-Thiel & Köbler, 2020

Make targeted
follow-up inquiries

Explore
emotions

Have your interview
partner express wishes

Summarize key
statements

Express your thanks,
end the interview and
arrange a follow-up
appointment if
necessary
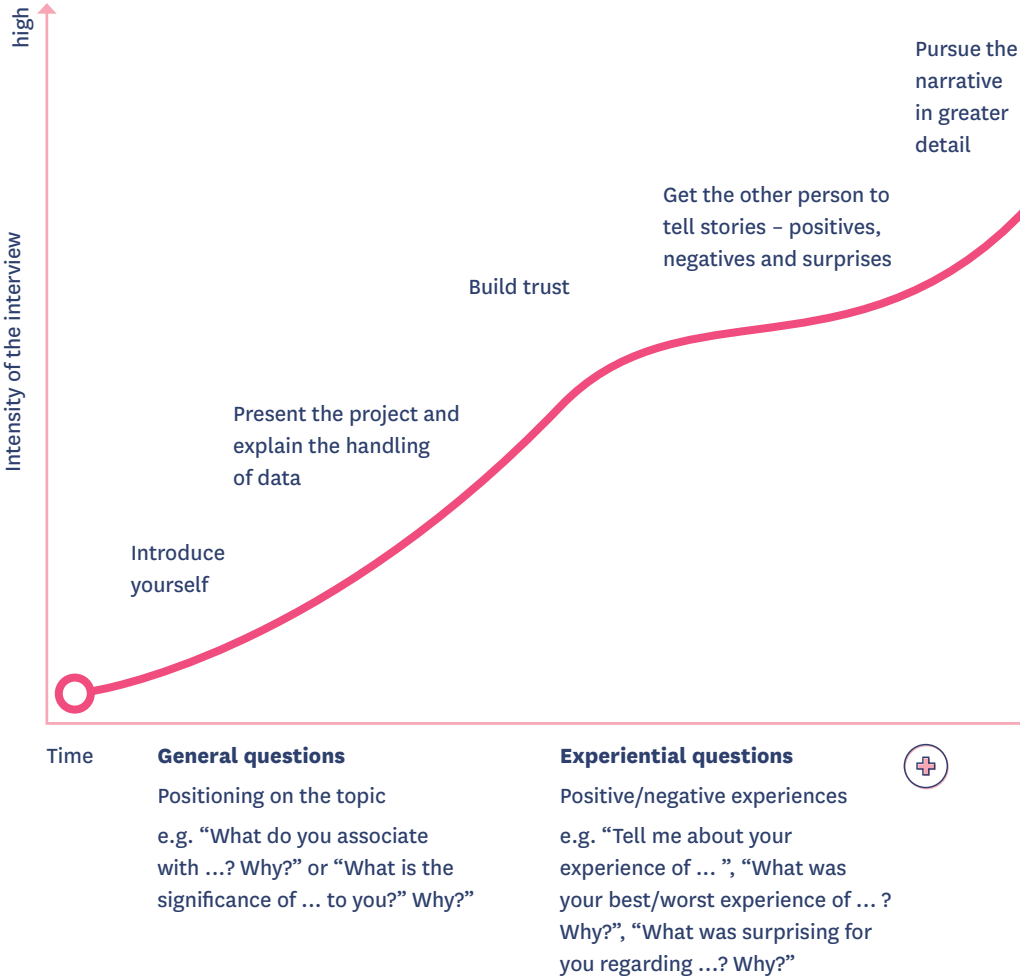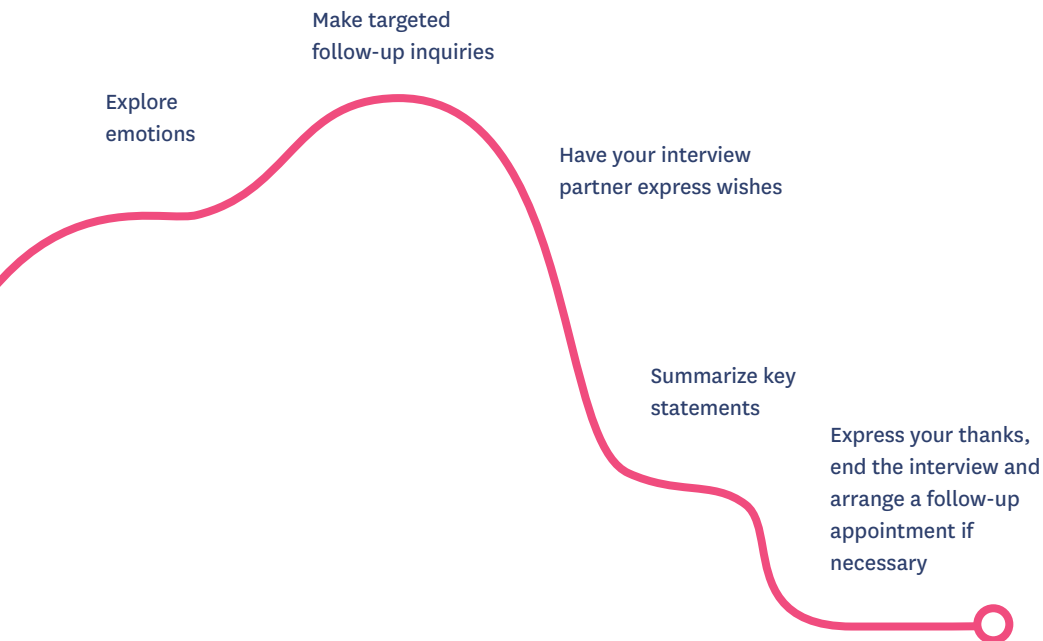
Follow-up questions

Conscious/unconscious attitudes,
developments, contradictions

e.g. "In connection with …
can you give me a more detailed
description?", "What has changed for
you over time?" "Why?", "How did
you feel about that? Why?"

Wish questions and conclusion

Wishes, goals, visions

e.g. "If you had magic powers,
what would you like to change
…? Why?", "Is there anything else
you'd like to share that we haven't
talked about?"

approx.
45 min

Interview Basics

Time frame
60 – 90 minutes

Level
Moderate – High

Materials
Interview Guide
(p. 130),
pens, paper, camera,
recording device

Roles
Small groups of
three:
questioner, record-
keeper, *fictitious*
interview partner

What is it and what purpose does it serve?

In order to skillfully conduct interviews with key actors, a dress rehearsal should be held using the **Interview Guide**. This trial run aims to simulate the interview situation with a key actor. This is how we know if we're asking the right questions and if our approach is working within the given setting.

Added value

We can experience the situation for ourselves before the interview takes place. The rehearsal hones our perception and allows adjustments to be made to the Interview Guide. Once we've been through the interview situation ourselves, we're ready to engage with the actual person we're going to meet.

Clarify handling of data. All external participants must officially give their consent to the recording of the interview and be given the opportunity to withdraw this consent if they wish. Differing data protection requirements must be observed depending on the procedure. The most important aspects should be summarized on a **Consent Form** (p. 144), which may also cover internal regulations.

Procedure

01 Form a test group with three people. Allocate roles. Two persons form a tandem to lead the discussion as the questioner and the record-keeper. Another takes on the role of the potential key actor.

    ○ The questioner uses the **Interview Guide** (p. 130) and interview tips in the template. In contrast to a work discussion in which two experts exchange views on a topic, the questioner acts rather like a reporter. Make use of the interview tips.
Show genuine interest so as to help the other person articulate their perspective.

    ○ Record-keeper uses **Transcript Template** (p. 137)to note down key points, if possible in quotations, and records impressions of the physical setting on a separate sheet.

    ○ Potential key actor answers the questions asked to the best of their ability.

02 Find a setting that is as close to the real thing as possible. Take in the physical situation and the setting with all senses.
Note down key impressions.

03 Carry out a test run. Afterwards, use the **Interview Documentation** (p. 148) method to carry out an initial analysis.

04 Reflect on the test as a team: How did it feel? Was there a pleasant interview atmosphere? Did the questions and the procedure work? Adapt **Interview Guide** and scheduled times as needed.

Interview Tips

Engage with new perspectives. Before we start the interviews, we need to tune into the moment with a sense of curiosity:

- The person we'll be speaking to is an expert in terms of their own personal experience. We're meeting this person in order to listen, understand and learn from them.
- The interviewee should do 80 per cent of the talking.
- We don't interrupt interviewees, and we pause to allow them time to pursue their thoughts.
- Any statements they make are correct from their perspective. There are no wrong answers.
- We mute calls and text messages, remaining focused and open to the stories and perspectives provided by the person we're talking to.

Be flexible. We may deviate from the **Interview Guide** or change the order of questions if it benefits our investigation.

Follow-up inquiries: Why? What is the reason or purpose? If our interview partner expresses themselves vaguely or ambiguously, it's worth asking directly: "Why is that the case?" or "What does 'good' mean in that context?". If we do this repeatedly and build on the answers, we'll begin to see causes emerge.

Sense when to provide guidance. The interview may go in various directions. Our job is to maintain the focus and steer our interview partner back onto the topic at hand if they start to digress.

Know when enough is enough. It takes time to build a relationship through dialog. But experience shows that attention starts to drop off after 45 minutes. In the case of particularly interesting and open interview partners, it's worth arranging a follow-up appointment or asking whether they'd be interested in taking part in a workshop.

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Transcript Template

General questions	Experiential questions	Follow-up questions	Desired questions
Positioning on the topic	Positive, negative, surprising experiences	Conscious/unconscious attitudes, developments, contradictions	Wishes, goals, visions

Separate sheet for impressions of the setting

Context **Room** **Interview partner**

Before the conversation, briefly sharpen your senses:
cover your eyes and just listen, cover your ears and just look.

Recruit interview partners

Address key actors

Based on a brief description of the venture and the purpose of the interview, we can write a cover letter for the **preliminary talks** (p. 140). The focus of our investigation determines which people we meet and how many. Our focus is fundamentally on the key actors.

Consider diversity

In the selection process for our interviews as we look at our group of key actors, we should consider individuals who reflect diverse underlying attitudes*, life circumstances, genders, ethnicities, and age groups. For example, a key actor who is a *tax-paying freelancer* might reflect considerably diverse factors: open-minded or disenchanted, a single parent with two children or childless, a young professional, someone who speaks a different native language, Generation Y, baby boomer and so on.

Quality rather than quantity

Instead of conducting a large number of interviews, it makes sense to select specific partners and get to know the different perspectives thoroughly – possibly at more than one meeting. Meanwhile, new contacts will often emerge during the interviews, and these will need to be taken into account as well – a time buffer should be scheduled to allow for this.

* www.dieandereteilung.de

Engage allies

Before we begin recruiting interview partners, we must consult with individuals or organizations who might benefit from the insights yielded by our investigations. We compiled these in Phase 1 using the **Map Out Players** (p. 38) method.

Find partners

If we want to meet people who are not part of our day-to-day environment or who we can't address directly, e.g. recipients of public benefits, it's important to work with partner organizations such as trade unions, associations or institutions for people with special needs. In doing so, we must clearly communicate the need for the interview. Only in this way can outsiders understand what we are investigating and why we want to meet these people.

Respond to critical feedback

When contacting allies and partners, they may well question the effectiveness of our approach and the fact that it is qualitative. We respond to this calmly and openly: quantitative data describes *what* people do and *how often*, while qualitative insights explain *why* people do things and provide information about their attitudes and behavior.

Conduct Preliminary Talks

Time frame
45 – 60 minutes

Level
Moderate – Medium

Materials
Actor card, pen and paper for notes, medium (e.g. Excel spreadsheet) for collecting information

Roles
Questioner, record-keeper

What is it and what purpose does it serve?

By selecting key actors, we have theoretically narrowed down who appears to be important for our knowledge acquisition process. The next step is to compare this with reality. In preliminary talks, we can decide whether or not the personality behind the key actor really can help us. For this reason, in-person meetings are not simply scheduled: they are initiated individually based on contact made at the preliminary talks.

Added value

Preliminary talks are important when it comes to selecting our interview partners based on relevance – and not according to their position in the organization or statistical metrics. Valuable interviews are voluntary and derive from a mutual interest in taking a closer look at a topic.

Procedure

01 Look at the overview of key actors from the **Map Out Actors** (p. 38) activity and decide who is going to contact which key actor. Have a template ready for the **Preliminary Talks** (either analog or even better: in digital form as an Excel spreadsheet).

02 Start by describing briefly and clearly the venture and the purpose of the interview. Enable anonymity as needed, address and clarify data handling, use the **Consent Form** (p. 144) if necessary.

03 Ask the interviewee to talk about personal experiences linked to the topic of investigation. In doing so, use short, open-ended questions such as: "Can you tell me about an experience relating to …?" or "Why was this experience so … for you?".

04 Document relevant touch points in the template to explore in more detail in a lengthier interview. Ensure that it is mutually worthwhile to invest more time. If not, thank the other person for sharing their personal story.

05 Note down the information: after all **preliminary talks** have been completed, the team gets together to select the most interesting and diverse interviewees.

(!) **Note:** Assign catchy abbreviations (e.g. initials of the actor group + consecutive number) to the individuals selected. These abbreviations are used in connection with other methods too, ensuring verifiability and forming the basis for evidence-based work.

Actor group Organization/company and relationship to the problem	Actor Name, first name and contact details	Abbreviation Initials of the actor group and consecutive number

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Selection incl. rating (scale from 1 to 10) Brief rationale	Main focus areas Key points from the preliminary talks	Appointment coordination Name of person responsible

Consent Form

For the collection and processing of personal interview data*

The background and objective of the interview are explained verbally.

The interview is recorded using a recording device and written up afterwards by the person conducting the interview. No scientific analysis of the interview is carried out. The text of the interview is used solely as a basis for identifying key statements.

Scientific publication is ruled out.

Personal contact data is stored separately from interview data and remains inaccessible to third parties. After completion of the project, the contact data is deleted automatically unless further use is expressly requested for related projects. The data subject can of course object to storage of the data at any time.

Participation in the interview is voluntary. At any time, it is possible to terminate an interview, refuse to do a further interview or withdraw consent to the recording and transcription of the interview, without incurring any disadvantages.

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Generic template used in social science research projects. Please adapt to your own context.

Institution:

Project title:

Interviewer:

Interview date:

Name of interviewee:

I agree to be available for interview in connection with the above project and subject to the above conditions.

☐ Yes
☐ No

I agree to be contacted for future topic-related projects. For this purpose, my contact details will remain stored beyond the end of the project. I can revoke this consent at any time.

☐ Yes
☐ No

First name, last name
Place, date, signature

Meet key actors

When it comes to arranging appointments, the team decides who is responsible for which interview partner throughout the entire investigation phase. The key points from the **preliminary talks** (p. 140) can be taken into account when arranging interviews.

Arrange interview dates and venues

Interviews are conducted in pairs to facilitate documentation and subsequent evaluation. It's important to make appointments well in advance, usually about two to four weeks. For this purpose, we provide information about the project and clarify when and where a meeting or video call can be held lasting 45 – 60 minutes. We use our interview partner's preferred communication channel when arranging an appointment.

Reliability and interview situation

We adapt to our interview partner's schedule and postpone the appointment only in the event of an emergency. We send a friendly reminder just before the interview. For the interview itself, we choose a venue that is linked to the situation being explored. Here we establish a protected, focused atmosphere in which our interview partner can speak honestly about the topic.

Checklist

Interview

The day before the meeting:

☐ Prepare for the interview by taking a look at background information, publications and the curriculum vitae.

☐ Assign roles. Who is going to ask questions, who will take care of the documentation? Prepare mentally for the process of active listening.

On the day of the meeting:

☐ Pack all necessary materials including the Interview Guide, Consent Form, interview tips, and your own templates for documentation.

☐ Make sure you're able to describe the project in two minutes, practice/rehearse together.

☐ Drive to the venue and focus prior to the interview: we are just going to observe. What do we see? What do we hear?

☐ **Document the interview** in tandem (p. 148).

☐ Follow up by sending a brief thank-you note or an invitation to a presentation of interim outcomes.

⚠ Note: Allow at least three hours per appointment to get to the meeting place, mentally engage with the person, conduct the interview, and prepare the initial documentation.

Interview Documentation

Time frame
60 – 90 minutes

Level
Simple – Moderate

Materials
For each interview:
Interview Guide,
paper and pen
for taking notes,
recording device if
necessary, camera
for documentation
purposes

Roles
Conducting the
interview, taking
notes, observing

What is it and what purpose does it serve?
The interview documentation is a transcript based on original quotes and observations. It enables us to undertake a joint analysis afterwards which takes in body language and interactions with the physical setting in addition to the actual subject of the interview.

Added value
By documenting the situation before, during and after the interview, we can discover aspects that are often overlooked. Information that seems unimportant becomes relevant when viewed in context. In addition, experience has shown that visualizations are always enriching!

In terms of the interview itself, striking combinations of what the person says, their body language and their tone of voice are of particular interest. Investigations in real-life contexts are remarkably effective: they provide observational opportunities that make even the most controversial and complex issues easier to understand.

Procedure

01   Work as a tandem before, during, and after the interview. Prepare a folder or binder with all the necessary materials for each interview.

02   On your way to the interview, make the most of the time to sensitize yourself and take in the physical setting with all your senses. Note down your impressions.

03   Define roles for each interview: one person conducts the interview and asks questions, the other person notes down what is said, if possible in original quotes, and makes a note of any impressions.

04   Start the interview with a brief introduction and explain the distribution of roles to the interviewee. Remember the **Consent Form** and the recording, point out that the interview will remain anonymous. Establish an open atmosphere.

05   During the interview, act as a tandem in paying attention to body language, facial expressions, tone of voice and choice of words. Underlying thoughts, attitudes, emotions and needs can only be derived based on careful observation.

06   The questioner gives the record-keeper the opportunity to ask brief comprehension questions in between sections of the interview.

07   Fill in the template together immediately afterwards. This is when the experience is still at its freshest. The person who took notes shares their impressions while the questioner fills in the template.

	General questions Positioning on the topic	**Experiential questions** Positive, negative and surprising experiences
What did we expect? Our assumptions		
What did we find out? Note down in quotes		
What did we observe? Draw a line to indicate how the interview progressed, e.g. openness upwards and reticence downwards Add a brief description		
What surprised us or was contradictory? Our *wow* moments Include impressions of the physical setting (person, space, surroundings)		
What can we learn or conclude from this? Our *aha* moments Include impressions of the physical setting (person, space, surroundings)		

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Interviewee abbreviation: Date:
Key phrase: Venue:

Follow-up questions   **Desired questions**
Conscious/unconscious attitudes,   Wishes, goals, visions
developments, contradictions

Filter relevant information

A lot of information is amassed in the course of several interviews lasting 45 – 60 minutes. After all team members have spoken to various key actors, we structure our insights using the **Individual Interview Analysis** (p. 154) method.

Indicate frictions
Our interview documentation contains qualitative data that reflects diverse and possibly irrational behavior. Key insights are often to be found among the experiences, perceptions and impressions described by our interview partners. Statements that are surprising, emotional or contradictory in relation to the problem will be especially relevant to our search for solutions.

Understand motivations
Our analysis is based on the search for the causes of certain attitudes, feelings or behavioral patterns. Why do our key actors perceive something the way they do? Only by understanding the motivations behind actions can we identify approaches to change. These insights will be the key to actual innovation.

Analyzing and interpreting overarching core aspects is a group effort, which is why we share the most interesting outcomes of the individual analyses as a team and continue to work on these together.

Discover overlaps

The insights gained from the individual interviews are differentiated into desirable and hindering aspects using the **Need-Obstacle Filter** (p. 158). Within these fields, similar aspects gain importance and patterns emerge based on groupings. From this collection of needs and obstacles, pairs can be combined that are mutually dependent, providing a guiding context of meaning for our venture.

Ensure plausibility

In order to maintain an overview during this phase, the data that has been collected needs to be consistently labeled. A cogent system of abbreviations should be used that is applied stringently so as to ensure verifiability for decision-makers as well as guaranteeing the link to the key actors in the further course of the process. Finally, we can use the **Misconception Check** (p. 162) to detect biased conclusions and avoid follow-up errors.

Individual Interview Analysis

Time frame
60 – 90 minutes

Level
Medium – High

Materials
Interview
documentation,
pens, sticky notes,
a large piece of
paper, e.g. flipchart
or back of a poster

Roles
Facilitation,
documentation,
time management

Suggestion
Write short memos in
your day-to-day work
and try to discern
patterns

What is it and what purpose does it serve?
Analyzing information involves teamwork: the aim
is to make the wealth of existing qualitative data
manageable and usable. Key aspects are elaborated
for each individual interview.

Added value
The framework for feeding in the content from the
interviews is flexibly adaptable. All team members
are invited to fill it in: this ensures that the focus
is not just on the obvious but also on underlying
insights that might not otherwise be identified.

Instead of proving hypotheses or trying to project an image of
a social domain, the aim is to stick close to the reality of the
key actors. This is important if we are to develop a solution that
is genuinely relevant to the real-life situation and contributes
to improving it. Practice in the field of so-called *synthesis* is
constantly evolving: there are countless ways of reporting on and
collectively interpreting the experiences narrated by key actors.

Procedure

01 Have all the information relating to an interview to hand. Write down one quote or aspect per sticky note. Select key statements and observations that seem particularly surprising, emotional or contradictory:
- What were particularly positive or negative perceptions?
- What were motivating or obstructive elements?
- What conflicts or dependencies are there?
- What interests and goals are there?
- What are the fears or other factors that limit behavior?

02 Transfer the template into a large format for each individual interview. Talk briefly and concisely about what is written on the sticky notes. Intuitively stick a piece of paper next to one of the four fields in the outer part of the template *(Parking Space)*.

03 Once all the sticky notes have been gathered in the Parking Space, look for patterns. Discuss as a team which slips of paper belong together and cluster similar aspects in the inner part of the fields. Condense individual slips of paper into areas to indicate a link between their content.

04 Summarize the content of intersections in your own words and write down on new sticky notes. These are the insights we have gained for ourselves. Write the actor abbreviation on each one and add the initial letter of the field (M, L, F, G).
Stick these slips of paper in the central circle.

05 Document everything and keep the key insights from the individual interviews in order to continue working with them in the **Need-Obstacle Filter** (p. 158).

Parking Space **All the key statements and observations of an encounter**

Motivation
Willingness
What does the person want/not want?

Insights from the individual interview

Skills
Capabilities
What is the person capable/incapable of?

CityLAB *Berlin* Politics for Tomorrow Fig. Paulick-Thiel & Arlt, 2020

Interviewee abbreviation:
Actor abbreviation:

Legitimation
Necessities
What should/shouldn't the person do?

Opportunity
General conditions
What is the person allowed/not allowed to do?

Need-Obstacle Filter

Time frame
90 – 120 minutes

Level
Medium – High

Materials
Insights from the individual interviews, pens, sticky notes, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

Note
Draw up a verifiable documentation of the original data on which interpretations are based

What is it and what purpose does it serve?
The filter is used to break down all the insights of the individual interviews into needs and obstacles. Repeated statements are condensed into significant patterns. In this way, pairs can be combined that will point us in the right direction in terms of our venture.

Added value
Even with limited experience, this method offers a reliable, high-quality basis for identifying motivations and barriers that are interrelated.

Needs and obstacles influence people's level of motivation to do things. Here, motivation refers to the totality of all intrinsic and extrinsic motives that result in a willingness to act purposefully. Motivation theories are used extensively to study social relationships. They are particularly relevant to public administration in the context of industrial and organizational psychology.

Procedure

01 Transfer template into a large format. Collect all insights from the **individual interview analyses** (p. 154) in the *Parking Space*.

02 Sift through individual aspects and differentiate them into needs and obstacles based on the stimulus questions. Classify the key actors according to **Field A, B, C** or **D**.

03 Condense insights. To do this, start in **Field A** with the needs of those who are impacted. Search for similar aspects and group them together. What is the common denominator? Formulate the core aspect in your own words. Write this down on a sticky note. Note source by adding the relevant abbreviation and put it in the inner section of the field. Tip: Use the **Misconception Check** (p. 162) to verify consistency and adapt as needed.

04 Repeat Step **03** for **Field B** .

05 Consider core aspects from **Field A** and **Field B** together and look for combinations. Which need most closely matches which obstacle? There will be several pairings that fit. What causes the most difficulties? Agree on the 1-3 most relevant pairs and place them in the middle.

06 Repeat Steps **03** – **05** for **Field C** and **Field D**.

07 Document outcomes. Keep need-obstacle pairs carefully as interim outcomes. These will be needed for further work with the **Potential Construction Kit** (p. 166).

(!) **Note:** Some insights may not fit into a pairing: these are indicative of further investigative questions.

Parking Space

Insights from all interviews

A: Those who are impacted
What are the people who are impacted aiming to achieve?

Core aspects

Example: Reduce
packaging waste in
day-to-day life

Needs

Relevant need-obstacle pairs

C: Those who are responsible
What are the people who are responsible aiming to achieve?

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Fig. inspired by Dark Horse, 2016;
modified by Paulick-Thiel, Köbler & Arlt, 2020

B: Those who are impacted
What keeps them from doing it?

Example: Everyday products
are often only available
in packaging

Obstacles

D: Those who are responsible
What's stopping those who are responsible?

How we can eliminate prejudices

In complex situations, our brain unconsciously falls back on familiar thought patterns. These habits keep us from being overwhelmed, providing us with guidance within the flood of incoming information. This approach often leads to erroneous conclusions and cognitive bias, however. Based on the *Cognitive Bias Codex*, the most important forms of cognitive bias are listed here, along with a description of how they can be avoided.

⊕ **Error in reasoning**   ⇒ **Way out or solution**

Information bias
⊕ We collect more and more information, even if it has no influence on our actions.
⇒ People can often make better predictions or decisions with less information.

Loss aversion
⊕ We react more strongly to losses than to gains. That is why we usually judge short-term costs to be higher than long-term benefits.
⇒ Weigh up which long-term impact to invest in as of now.

Sunk cost fallacy
⊕ The more time, money or energy we have already invested in a project, the more we stick to it – even if it is hopeless.
⇒ Rather than basing a decision on the past, assess future prospects instead.

Optimism bias
⊕ We assume that we face lower risks than others. Other people are more likely to face disaster than we are.
⇒ Optimism is fine, but it makes sense to maintain a sense of realism. We're just as subject to environmentally harmful influences and probabilities as others.

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Fig. based on The Cognitive Bias Codex; modified from Niebert & Geuchen 2018; adapted by Paulick-Thiel, 2020

Stereotype trap

(!) We have very strong opinions about a lot of things without ever having tried them ourselves.

(⇒) Change is about letting go. Start with your own preconceptions: try out new things and don't form an opinion until you've done so.

Confirmation heuristic

(!) We're tempted to interpret information in way that fits in with our beliefs.

(⇒) Investigate contradictions specifically rather than defending existing opinions or seeking to confirm them per se.

Authority trap

(!) In the presence of an authority, we take our independent thinking down a notch.

(⇒) Critically question propositions and data. Even experts can be mistaken and biased.

Subsequent justification error

(!) When we've made a choice, we ignore or downplay the disadvantages of our decision, while also highlighting the disadvantages of alternatives.

(⇒) Recognize wrong decisions for what they are, acknowledge the error, and revise or adapt as necessary.

Hanger-on effect

(!) We tend to be influenced in our opinions by statistics, forecasts, supposed majorities and charismatic individuals.

(⇒) Don't wait and see what others come up with – think for yourself. Weigh up the pros and cons so as to able to contribute your own position.

Open up scope for action

The generation of knowledge in innovation processes passes through several stages. In order to open the space for a solution to form, we have to further refine our soundings. This can sometimes feel like passing through the eye of a needle. There are various approaches to narrowing down innovation potential.
What they all have in common is an enormous mental effort combined with prescient intuition.

Identify opportunities
We can use the **Potential Construction Kit** (p. 166) to locate and analyze identified needs and obstacles at various insight levels. This allows us to build chains of reasoning that help us access potential for systemic improvement. The spectrum ranges from foreseeable results to sustainable effects.

From status quo to useful principle
Once we have identified what conditions the status quo, we can draw on that knowledge to identify one or more useful principles. These principles can reveal approaches that are conducive to identifying the keys to effective change.

In the course of our venture, we pave the way to solutions by means of ambitious questions. In innovation work, questioning techniques are established tools for getting to the heart of challenges and defining the space within which a solution can emerge. Really good questions are the starting point for thinking from new perspectives.

Questions as a mindset

In terms of our **"How Can We …" Questions** (p. 170), two aspects are crucial: a focus on the problem to be worked on and a solution track that motivates us to develop something for which we don't yet have an answer. Here, we consider different versions in order to formulate questions that skillfully cluster our existing knowledge:

Too open-ended:
Too many ideas are generated,
creating a sense of overload.

abstract

Just right:
The question inspires us to find a
solution without predefining it.

specific

Too uninspiring:
The answer or solution is already
contained in the question.

Fig. Köbler & Várnai, 2019

Potential Construction Kit

Time frame
60 – 180 minutes

Level
High

Materials
Need-obstacle pairs, pens, sticky notes, or digital work tools

Roles
Facilitation, documentation, time management

Note
Make sure a link is made to the source data from interviews or observations for the purpose of verification.

What is it and what purpose does it serve?
The **Potential Construction Kit** promotes differentiated further processing of needs and obstacles. By distinguishing between different insight levels it is possible to identify systemic patterns and areas of potential for innovation.

Added value
The analysis of desirable states and hindering factors opens up perspectives that otherwise remain implicit. Once the structural level becomes clear, it is possible to derive useful principles. These can indicate potential for change, which can in turn serve as the key to a solution.

According to innovation researcher K. Dorst, the primary challenge in an innovation process is thinking back from the consequences and effects to the causes. This is why it is essential to crystallize out how things work or are used in order to identify the logic that is hindering innovation.

Procedure

01 Transfer template with layers and fields into a large format.

(!) **Note:** It's useful to read the descriptions out loud as you go along, working together to categorize and formulate the insights or answers.

02 Select a concise pair from the **Need-Obstacle Filter** (p. 158).

03 Start with the *desirable states*. First of all, place the need in the individual insight level. Discuss whether it matches the description. If not, move the sticky note to the functional or structural insight level and decide which level fits best. Based on this, reread the remaining two field descriptions. Derive appropriate points and note these down.

04 Repeat the procedure from **03** for the *hindering factors*.

05 When the fields of the three insight levels are filled on both sides, focus on the structural level and work on the *useful principle* area. Follow the three steps to identify the principle, formulating and noting down essential aspects together.

06 Save the outcomes of this round coherently as a construction kit. They will serve as a working basis for creating the **"How Can We …" Questions** (p. 170).

07 Repeat **02** to **06** to work through further need-obstacle pairs.

Needs as
desirable states

Potential for foreseeable outcomes

Potential for a lasting impact

Individual insight level
gathers aspects that impact on or limit the subjective or personal scope of action.

I+ describes a subjectively perceived need, with a desire to meet it.

Example: Reduce packaging waste in day-to-day life

Functional insight level
gathers aspects that are generated or obtained by certain procedures.

F+ describes a method or option with the intention of achieving a certain state.

Example: Opt for day-to-day products with minimal or reusable packaging

Structural insight level
gathers aspects that significantly influence the extent to which changes are likely or unlikely.

S+ describes a system-relevant approach to be able to achieve a future target state.

Example: Packaging-neutral shopping is widespread and simply regulated

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Fig. Paulick-Thiel & Arlt, 2020

Obstacles as **hindering factors**

I- describes a difficulty that limits individual room for maneuver.

> Example: Everyday products are often only available in packaging

F- describes a reason or rule that influences the ongoing persistence of the individual obstacle.

> Example: Packaging regulations favor portioning and a convenient purchase

S- describes a logic or underlying principle that significantly determines the hindering factors.

> Example: The focus is on selling packaging instead of reusing it

Useful principle

The useful principle arises from the further derivation of S- and S+:

1 Exaggeration:
How can the hindering influence of S- be exaggerated into the absurd? Example: Buy something and only take the packaging home

2 Reverse exaggeration:
What is the opposite of this exaggeration? Example: Leave all the packaging in the store

3 Derive useful principle
What principle involves a reverse exaggeration that is useful in terms of achieving S+?

N+
describes an approach that is fundamental and conducive to change towards achieving the future target state.

> Example: Understand and leverage business as a *packaging transaction zone*

"How Can We …" Questions

Time frame
60 – 120 minutes

Level
Medium – High

Materials
Pens, sticky notes, a large piece of paper, e.g. flipchart or back of a poster

Roles
Facilitation, documentation, time management

Note
Establish verifiability by showing which original data the questions are based on.

What is it and what purpose does it serve?

"How Can We…" Questions cluster insights gained by meaningfully combining desirable states and hindering factors in an open-ended question. With their simple and flexible structure, they point in the direction of possible solutions but without prescribing them.

Added value

HCW questions strengthen individual and collective problem-solving skills. Their challenging nature stimulates the development of multiple, less obvious ideas that are targeted towards a common goal.

"How Can We …" questions can be regarded as a form of solution-oriented thinking. By starting the sentence in this way, it is possible to articulate challenges constructively and work on them with a focus on the matter at hand. They're usually applied to the formulation of a guiding problem hypothesis. But they can in fact be used at different points in the innovation process: as a leading question before contact with key actors, for example, or as a provocation to develop particularly crazy ideas.

Procedure

01 Transfer template into a large format. Provide all insights from the **Potential Construction Kit** (p. 166). If there are several Potential Construction Kits, compare the Fields I+ to S- and if necessary N+ individually in order to identify overlapping aspects and continue working with them.

02 Select a *desirable state* and place it at the center column. Note the associated actors or groups of actors on sticky notes in the left-hand column.

03 In addition to the selected *desirable state*, assign various *hindering factors* in the right-hand column and try out which combinations offer intriguing potential. What goes together? Proceed according to the trial-and-error principle. Say out loud "How can we enable WHO to do WHAT WITHOUT …" several times and adapt it so that it becomes a rounded question. Don't note it down until this has been done.

   Check: Does the question already contain a specific solution? Is the question too abstract and lacking in direction? If this is the case, look for new combinations.

04 Repeat steps **02** and **03** several times at your own discretion. Document all reasonable variations, take a look at them again with a certain detachment and refine them. Elements that can't be combined can be included later on in the process, e.g. during brainstorming.

   Joker: If a useful principle has been identified in advance, it is possible to apply the variant "How can we enable WHO to do WHAT BY …".

How can we enable **WHO** to do **WHAT WITHOUT**?

Key actor	Desirable state	Preventing factor
Consumers in society **Key actors involved**	Example: Packaging-neutral shopping is widespread and simply regulated	Example: Packaging regulations favor portioning and a convenient purchase

Those who are impacted

Those who are responsible

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Fig. based on Dark Horse, 2018;
modified by Paulick-Thiel, Köbler & Arlt, 2020

How can we ...

enable consumers to shop with minimal packaging as a matter of course, **without** disregarding the regulations governing sales?

enable consumers to choose reusable packaging **without** making the shopping experience complicated and stressful?

enable consumers to reduce their packaging waste in day-to-day life **without** making portions too large and shopping inconvenient?

Joker question: How can we ...

enable consumers to reduce their day-to-day packaging waste **by** understanding and using the point of purchase as a "packaging transaction zone"?

How can we ...

_____ ?

_____ ?

Present areas of potential

After formulating several questions that point us in the direction of an appropriate solution, we illustrate what development opportunities this presents.

By describing areas of potential, we are summarizing the relevant interim outcomes of this phase, as well as revealing untapped opportunities and possible risks relating to the issue. Based on the **Area-of-Potential Profile** (p. 176), it is possible to derive concrete recommendations as well as measures that can be implemented right away. In turn, this allows our organization to invest energy and resources in solutions that have a positive impact, not only for key actors but also for the organization itself.

The presentation of the interim outcomes from the phases of exploration and discovery is an important milestone in the overall process. In doing this, we are aware we may be presenting outcomes that are outside the familiar framework of thought and action.

After the presentation, our players, allies, partners, colleagues, and managers will tell us about how they feel about our venture and what, if anything, they can contribute to its further development. We take their feedback on board with a sense of curiosity and condense it into suggestions that we consider in the course of further development.

Checklist

Presentation

The presentation of interim outcomes is successful if we:

- [ ] provide a brief, visual overview of the stages of our venture so far
- [ ] show transparently how we arrived at the recommendations and immediate measures
- [ ] use photos, quotes, or workshop materials to tell a simple story that goes beyond a project report
- [ ] report on human encounters, as well as sharing insights and surprises
- [ ] demonstrate public, organizational, and personal value-adds so as to encourage supervisors to give us their support
- [ ] give allies, partners and staff the opportunity to discuss our work and give feedback, e.g. using the **Feedback Matrix** (p. 183) or the **Five Finger Feedback** (p. 58) method
- [ ] are able to understand why something meets with a positive response or possibly reticence
- [ ] support social interaction and networking among attendees before and after the presentation, e.g. by means of **Topic-Based Networking** (p. 98)
- [ ] show appreciation of our work as a team and celebrate what has been created through cooperation and perseverance

Potential Profile

Time frame
30 – 60 minutes

Level
Simple – Medium

Materials
Interim results from
the entire phase,
pens, sticky notes,
possibly computer
with presentation
program

Roles
Documentation,
time management

What is it and what purpose does it serve?

Areas of potential show as yet unexploited opportunities for the development of innovative solutions. Based on the outcomes to date, areas of potential are created that guide us towards recommendations and measures that can be implemented right away.

Added value

By describing areas of potential, we conclude our field investigation in an evidence-based manner. The depth, interest, and richness in the insights developed are engagingly conveyed in summarized form. The compilation of diverse knowledge allows the core team to make a strong case for outcomes based on encounters with key actors.

Areas of potential may include changes in direction that still need to be communicated: after all, no selection has been made yet. The censorship or non-communication of important areas of potential is unacceptable, e.g. due to political developments or internal power struggles.

Procedure

01 Have previous interim outcomes and material ready. Use the template as a structure for creating presentation slides.

02 Start from the **HCW questions** (p. 170). Sift through all of them and group similar questions. Use one profile per group.
Enter appropriate **HCW questions** as a starting point.

03 What are the insights and data on which the **HCW questions** are based?
Enter the most striking aspects in terms of desirable states, hindering factors, and associated evidence.
If useful principles have been identified, note these down as well.

04 Review previous profile entries for topic priorities, specific problems, and promising options. Briefly describe the topic, problem, and option in context. Come up with a catchy working title; use metaphors and visual language for support. Number the area of potential.

05 Finally, consider what concrete recommendations result from this, as well as measures that can be implemented right away.
Use the **Development Matrix** (p. 26) for support.

06 In order to process more **HCW questions**, repeat steps **02** to **05**.

07 Prepare presentation in an appealing way that is tailored to the target group. Look at all of the potential profiles and consider what might generate the most interest. Start with this.

Area of potential N°:

"How Can We ..." questions
Which HCW questions have similar core aspects?

Desirable states
Which are those underlying the individual, functional, structural level?

Evidence
What quotes or core aspects of the interviews and inquiry support this?

Useful principles
What useful principles have emerged from this?

Designation of the area of potential
Working title and brief description:

Concrete recommendations
What is necessary to exploit this area of potential?
Where are more resources and strategic decisions needed?

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Hindering factors

Which are those underlying the individual, functional, structural level?

Evidence

What quotes or core aspects of the interviews and inquiry support this?

Immediate measures

What steps can be taken towards implementing the recommendations with little effort?
What can be implemented visibly in the short term?

Document Outcomes

The documentation of the main outcomes of this phase gives us a keener perception of the work that lies ahead of us. What key insights can be drawn from the individual stages?

Stage 1 **Establish a basis for dialog**
What guiding questions structured the interviews?

Stage 2 **Go out and meet people**
Who did you meet for the interview? What was particularly impressive?

Stage 3 **Formulate insights**

What key needs and barriers were identified?

What misconceptions have we fallen prey to?

_____

_____

_____

Stage 4 **Narrow down potential**

What key potential has been identified?

_____

_____

_____

Stage 5 **Define areas of potential**

What recommendations were made?

What immediate measures have been/are being taken?

_____

_____

Conclude the discovery phase

Things to celebrate:
As a team, we ventured beyond our familiar environment during the *discovery phase*. Engaging with selected key actors, we were able to immerse ourselves in the context of the problem and experience the physical setting for ourselves. Needs and obstacles have emerged based on the collected impressions and unique perspectives provided by our interview partners. We conclude this phase in the knowledge that we have gained valuable inspiration for our topic.

Things that might have been strenuous:
Figures, data and facts are part and parcel of day-to-day life and are perfectly legitimate. Questioning the status quo in qualitative terms can create tension in the organization. Analyzing interview data and recognizing patterns are not common tasks and require practice. Interview situations can be difficult when contradictions occur or closed questions are asked. Anticipating answers or making snap judgments will lead to confirmation of the team's pre-existing beliefs.

Things that can be helpful in dealing with the above:

- Stay curious from interview to interview and only then condense thoughts into key insights
- Rather than simply reinforcing your own opinion, allow yourself to be surprised
- Practice pattern recognition on a day-to-day basis
- Be patient with yourself

Myself and the process

Gathering, structuring and understanding knowledge requires a lot of energy. We can make the most of the reflection to round off this phase for ourselves at the personal level, too.
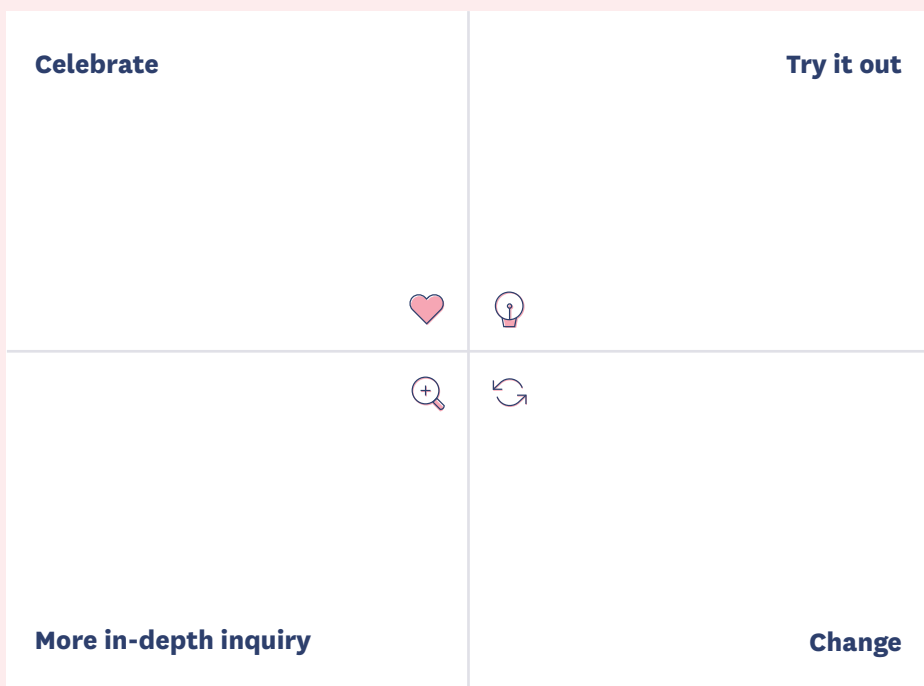
Celebrate ♥	**Try it out**
🔍 **More in-depth inquiry**	↺ **Change**

Based on my experience at this stage, my advice to colleagues who are planning to do something similar is as follows:

"

Phase 4

Design

" *If we want to achieve what is possible, we must attempt the impossible again and again.* "

Hermann Hesse

Arrival in the solution area

As we move on from *Discover* to *Design*, we leave the problem area and immerse ourselves in the solution area. Based on the potential identified, we will now set about systematically developing ideas. In order to arrive at solution concepts that are innovative and relevant to our venture, the key actors will remain at the center of our work.

A creative approach is essential in the development of public innovations. Here we draw a fundamental distinction between creativity of ideas and artistic creativity. Creativity of ideas does not depend on talent: it's something that can be acquired by everyone.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential

Through the use of imaginative, visual, and expressive techniques, we can train our brains in areas of thinking that are essential to the development of innovation.

Being creative means thinking and doing new things. For this purpose, we have to leave our familiar environment and go out in search of ideas and solutions with a sense of curiosity. Our collective intelligence and imagination as a team can be set ablaze by external stimuli!

Designing things is fun – but it involves work, too. It means being prepared to improve on valuable ideas by means of constant adjustments and in certain circumstances letting go of ideas we've grown fond of.

In this phase, the kind of crazy ideas that would lead you into previously unimaginable areas and which would ordinarily be quickly discarded in your day-to-day work are exactly the types of ideas we want to encourage here!

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations
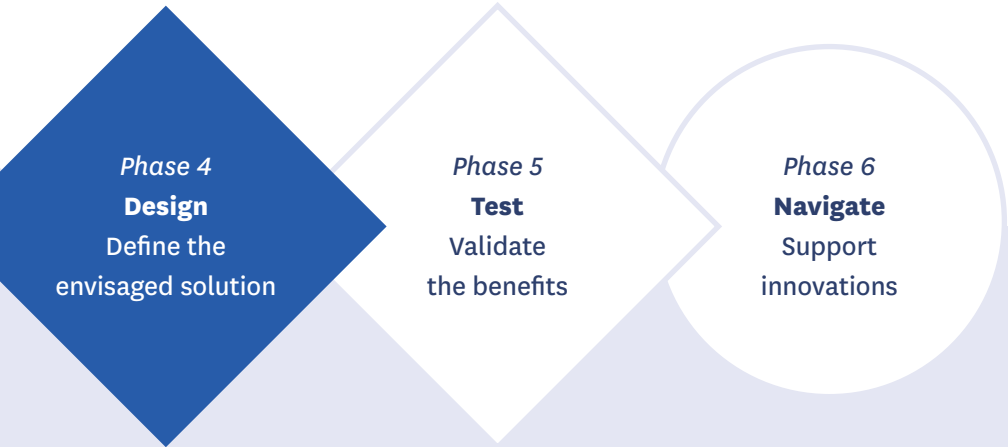
Phase objective and stages

In the *design phase,* we allow new things to emerge. Drawing on inspiration from those around us, dialog with experts and creative techniques, we collect a variety of approaches to solutions in response to the areas of potential elaborated previously. **From this diverse collection we select the most valuable ideas and pursue the concepts in greater depth. The goal of this phase is not to arrive a finished solution but to tease out the core of an idea.**

Stage 1
**Select area
of potential**

Stage 4
**Elaborate
an idea**

Stage 5
**Define the
envisaged
solution**

Stage 2
**Gather
inspiration**

Stage 3
**Develop multiple
ideas**

Methods

4 Design

Filter out the most promising potential

In the previous phases, we **identified** different areas of **potential** (p. 176). Since we can't work on all of these at once, we now focus on a few areas of potential or a single one. Extensive areas of potential that require collaboration with other departments have to be tackled with the necessary planning and using the appropriate additional resources.

Filter areas of potential according to relevance
We will place our focus on an area of potential that we can continue to work on independently as a team and where it is likely that development of a successful solution is possible. Feedback from the presentation in the last phase will be an important indicator when it comes to assessing this.

When selecting the area of potential using the **Relevance Funnel** (p. 192) method, we must bear in mind that a key systemic improvement is only achieved if a large number of people benefit from it. This applies both to the key actors and to our organization as a whole. In order to come up with solutions that go beyond the current horizon of our experience, we will take care to include the perspective of future generations.
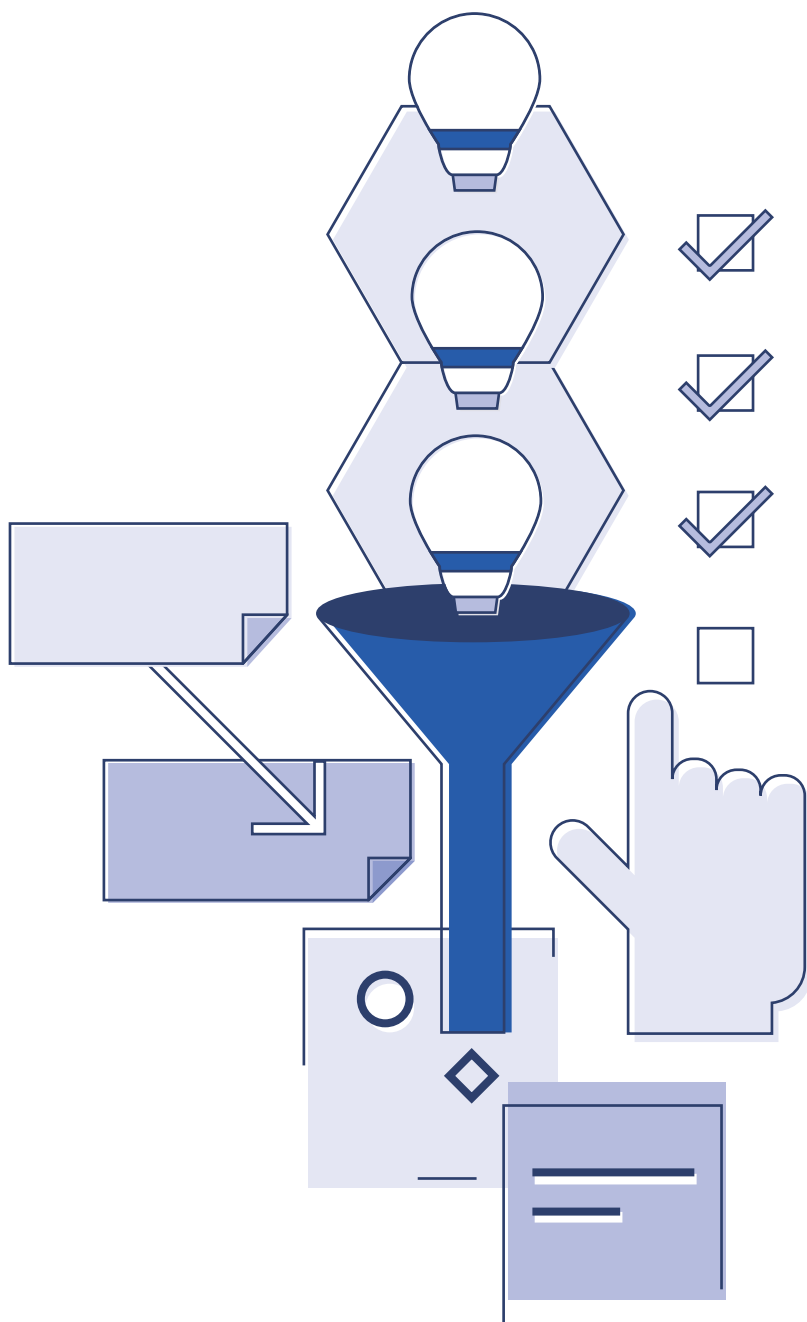
Relevance Funnel

Time frame
45 – 60 minutes

Level
Simple – Medium

Materials
Pens, sticky notes

Roles
Facilitation,
documentation,
time management

Suggestion
Advocate the
perspective of
future generations
when making
decisions in
day-to-day work.

What is it and what purpose does it serve?
In order to draft an innovative solution, the areas of potential developed are viewed from three perspectives and evaluated in three stages. In the funnel, areas of potential are selected step by step until an intersection is formed in the middle. These areas of potential reflect the highest level of relevance with regard to the question under investigation.

Added value
The **Relevance Funnel** is a simple way of promoting multi-perspective thinking. The focus is on designing a solution that will continue to improve in the future for everyone involved.

Procedure

01 Transfer template into a large format and place on a table that is easily accessible from all sides. Have sticky notes and several pens ready in Fields **A, B**, and **C**.

02 Review all **areas of potential** (p. 176) and the feedback from presentation participants and assign these to Fields **A, B** and **C**. Use the following stimulus question when sorting: Which of the potential areas and feedback points are
A: important to all key actors, **B:** particularly relevant to our organization, or **C:** worth striving for with a view to future generations?

03 Each tandem decides on a **Perspective A, B** or **C** and adopts this for further processing.

04 Each tandem:
- answers the first question in their field (5 min).
- decides on three areas of potential.
- presents the decisions to the others, briefly giving reasons (3 min each).
- provides room for discussion and adapts selection if necessary.

05 Repeat Step **04** for the second and third questions in the fields.

06 As a team, look at the intersection at the core and work together to select the most relevant area of potential or combination. In the case of a combination, a reformulated **HCW question** (p. 170) may be required.

Note: Ideally, three tandems (consisting of two people each) should carry out this method.

1A 1B

2A 2B

3A 3B

3C

2C

1C
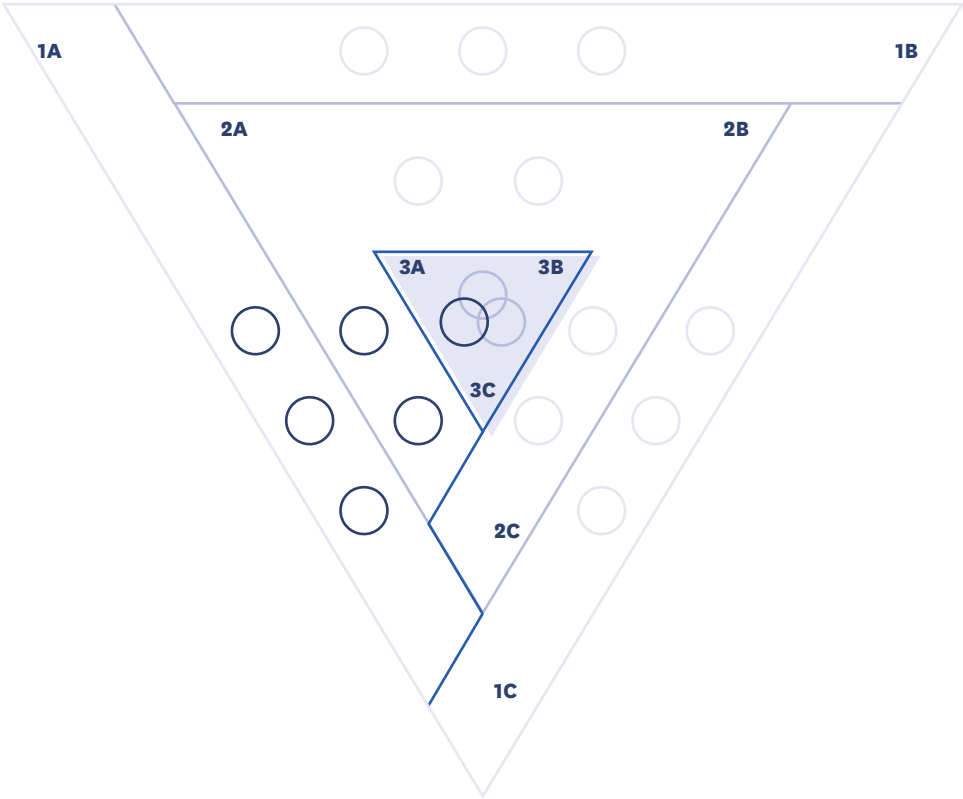
Area of potential selection
(or combination of the selected AP in new HCW question) Working title:

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Fig. Paulick-Thiel & Arlt, 2020

Perspective A: Key actors

1: Which three areas of potential might all groups of actors agree on?

2: Which two areas of potential are particularly valuable?

3: Which is the most relevant in terms of the venture?

Perspective B: Organization

1: Which three areas of potential might all members of the organization agree on?

2: Which two areas of potential are particularly critical to success?

3: Which is the most relevant in terms of the venture?

Perspective C: Future generations

1: Which three areas of potential might future generations agree on?

2: Which two areas of potential are particularly sustainable and solidarity-based?

3: Which is the most relevant in terms of the venture?

4 Design

Find and experience new things

Once the most relevant area of potential has been identified, we systematically investigate what others have already implemented successfully on this key topic. To this end, we also look at other service sectors or industries outside our specialist field. In this way, we avoid reinventing the wheel and are able to identify concepts that can be adapted to our context. What successful approaches are there in other sectors? What have public institutions already developed in other countries (or in other federal states in Germany)?

Public innovations are often imitations
We gather inspiration at our desks and in contact with our networks. Here, we definitely focus on quantity and on describing specific aspects that seem interesting to us. We structure these brief descriptions in an **Inspiration Database** (p. 198) which can be further expanded during the process and shared with the extended team and relevant people as a valuable source of knowledge.

In the course of our investigations we will collect lots of fascinating inspirations. A joint assessment of the examples will indicate which project or organization we should take a closer look at.

When it comes to discovering something completely new, competitive comparisons and judgments are out of place: what counts here is the collaborative sharing and advancement of knowledge and practices so as to generate systemic answers to complex questions.

Look behind the scenes

By visiting selected innovation projects or sites, we can expand our imagination and understanding of how others have arrived at their solution. We don't necessarily need to take a trip to Silicon Valley for this to happen. A successful **Innovation Journey** (p. 202) can take place around the corner or digitally. This experience can be fed into the development of our ideas without having to be a one-to-one copy of what already exists.

Bear values in mind

By experiencing a new field of action, it is possible to familiarize ourselves with the impact of a particular solution at first hand. Why do we like something? What functions or benefits does it offer? Using the **Value Tower** (p. 206), we can reflect on what we have experienced and work out together which values are linked to the inspirational examples we have seen. Through team discussion we learn to exchange ideas about the crucial core of an example and integrate these insights in our own ideas: after all, it is these insights that are valuable in the truest sense of the word.

Inspiration Database

Time frame
30 – 50 minutes

Level
Moderate – Medium

Materials
Recording medium
(e.g. Excel
spreadsheet),
existing inquiry
outcomes, e.g. from
the Knowledge Atlas
(p. 102)

Roles
Facilitation,
documentation,
time management

Suggestion
Systematize
important interim
outcomes for
the venture in a
database and use
these for future
ventures

What is it and what purpose does it serve?

The **Inspiration Database** is a systematic approach
to organizing, archiving and retrieving inspirational
examples relating to a specific area of potential. By
assigning different categories such as focus, format,
scope and target group, we can compare the concepts
or practical examples that have been collected.

Added value

The greater the interest in systemic innovation, the
more it is possible to find. Even though the set-up
can appear fairly labor-intensive, the database is a
valuable contribution not only in terms of the present
but also for future ventures. This also gives decision-
makers an easy way to quickly look up something new.

Databases thrive on maintenance and a certain amount of
discipline. This is facilitated if access is also possible via
a smartphone or new entries are synchronized on several
devices simultaneously.

Procedure

01 Set inquiry focus. Selected area of potential or related **HCW Question** (p. 170).

02 Define columns for the relevant categories for keywording so as to make information findable and create comparability between entries. What is of particular interest? What are possible limitations? One column per category.

03 Set up database. Use accessible and user-friendly software such as a cloud-based spreadsheet with a search function.

04 Find practical examples. Incorporate existing material from the **Knowledge Atlas** (p. 102). Browse international websites such as *oecd-opsi.org* and follow the links. Subscribe to newsletters, join networks, e.g. *PersDiv, 9to9000, Next e.V.*

05 **Enter** selected information in the database **.**

06 Identify touch points (relevance) with the venture and describe these.

07 Invite the extended team to enter their inspirations, too. Schedule initial short deadline or organize online session.

08 Compare and prioritize inspirations. What is there a lot of in the collection? Are there a handful of practical examples that are particularly fascinating? What should we look at on site?

09 Sort the inspirations by prioritizing them accordingly.

ID	Name of the inspiration Predefined or catchy title	Source Agree on uniform format	Description Key aspects of the solution
001	Experimentation Directive (Canada)	Link, John Smith January 1, 2020	The purpose of the policy is to create a work environment that …

Venture A	Venture B	Venture C	-

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Fig. based on Solution Database, 101 Design Methods,
2013; modified by Paulick-Thiel, 2020

Touch points Key links to the venture	Category: *Format* Define type	Category: … Define type	Prioritization Scale from 1-5 and rationale
Set budget for innovation to experiment with mandate	Guideline	…	4 out of 5 because …

Innovation Journey

Time frame
Preparation:
45 – 60 minutes
Implementation:
approx. 1 day
Debriefing:
45 – 60 minutes

Level
Medium – High

Materials
Inspiration Database
(p. 198), sticky
notes, pens

Roles
Organization,
documentation,
time management

Suggestion
Start with places or
departments that are
easy to get to.

What is it and what purpose does it serve?
Visiting innovative projects is the most direct way to find out about new things. The **Innovation Journey** promotes strategic exploration of tomorrow's trends – whether in other countries or cities or just around the corner.

Added value
By experiencing innovative and unfamiliar things on site and by entering into dialog with the people who have enabled them, we gain first-hand experience and a deeper understanding. In this way, we can reflect on what we have experienced and develop it further in our own organization.

In addition to the **Innovation Journey**, experience can also be gained through so-called "innovation shadowing". This involves being allowed to look over somebody's shoulder for a day, for example, so as to gain insights into their innovation work. By accompanying key individuals to simply observe and collect impressions, it is possible to gain inspiration and also acquire knowledge before going on to reflect on this. (Stangl, 2020).

Procedure

01 Transfer the outer lines of the fields into a large format. Have material ready.

02 Read through notes on success factors so as to be able to work through all fields in succession.

03 Start with the first field. Read stimulus questions out loud. Each person answers the questions for themselves in silence and jots down the most important aspects on sticky notes. One aspect per slip of paper (approx. 2 min per field).

04 One after the other, each person briefly presents the aspects they have written down and sticks the slips of paper in the relevant field. Identical or similar aspects can be placed directly alongside each other (approx. 1 min per person).

05 Repeat procedure from **03** and **04** for the other five fields.

06 Finally, discuss the points in all fields as a team and make decisions for each field as to what to consider for the journey. Write these down and derive assignments from this. Distribute assignments with schedule and make a note of who is to organize what by when. Look forward to the journey!

Note: In order to document the journey, use the templates for **Document Interview** (p. 148) or the matrix under **Myself and the Process** (p. 246). Involve all those traveling in the documentation and allow time for analysis and knowledge transfer after the journey.

1. Select a suitable context for the selected area of potential

For what purpose are we going on a discovery tour? What do we want to find out? How will our experience help us shape what we want to do? The following might be of interest: new forms of work and leadership, new business models, social innovations and start-up culture, building and work architectures, use of technology and dealing with digitalization; also specific topics such as sustainable supply chains, dealing with food or new family models.

2. Get out of your comfort zone to experience the unfamiliar

What have we heard about but never experienced for ourselves? Where is it possible to experience something that is genuinely different from our familiar environment? What are we respectful of and perhaps even a little hesitant to try out?

For a genuinely authentic experience, it is important to leave our familiar environment and comfort zone. A climate demo is different from an environmental conference in an air-conditioned hall. An Airbnb accommodation is different from a suite at a five-star hotel. Start-ups work differently from a large corporation in the automotive industry.

3. Draw on diversity to gain holistic impulses

What are the approaches in different disciplines? Which sectors do we want to visit? How do different people deal with new approaches? Interdisciplinarity and diversity are key imperatives – in terms of both participants and what is offered. After all, the aim is to enable all participants to come into contact with new perspectives and receive stimuli.

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Fig. based on Grabmeier, 2017;
modified by Paulick-Thiel & Arlt, 2020

6. Enable knowledge transfer through artifacts

How can we ensure that the experience – especially fleeting impressions – can be documented on a lasting basis and benefit the organization as a whole? What materials do we need for this to happen? What needs to be organized to ensure the knowledge is transferred to the organization afterwards?

Those returning from the journey into innovative new territory should be able to share what they have experienced in a targeted manner. This can be done by means of digital reflection elements such as short statements recorded on video or voice message, or notes pages livened up with visual images. This is where we can get creative.

5. Interactive approach in order to cement impressions

When and how can participants try things out for themselves during the journey? What will it be possible to observe up close and where is active involvement an option?

We acquire most of our knowledge through experience.

The most lasting way to cement impressions is through direct contact combined with lots of *hands-on activities*.

4. Assemble travel group selectively

Which people are passionate, change agents, or organizational rebels? Which members of top management are relevant to the journey in the selected area of potential?

People should participate in the **Innovation Journey** who, by virtue of their position or role, have the *power to change* and who are capable of taking what they see and developing it further in a carefully considered manner. Only with a diverse participant mix of people who possess the power of implementation will this high level of resource input be worthwhile.

4 Design

Value Tower

Time frame
45 – 60 minutes

Level
Medium

Materials
Information collected from the Innovation Journey (p. 202)

Roles
Facilitation, documentation, time management

Suggestion
Assign *value tags* in your day-to-day work, e.g. which information embodies which values?

What is it and what purpose does it serve?
The **Value Tower** helps prioritize values associated with attitudes and positions underlying current action. The method creates clarity in terms of the development or analysis of ideas. It can be used in a variety of ways to reflect on experience, highlight value propositions, or engage in strategic planning.

Added value
Personal assessment allows aspects that we take for granted to be discussed openly and objectively within the group. Jointly defined core values serve as a point of reference as the process moves forward. They facilitate development and communication of the innovative solution.

The values in the tower are taken from the study *Wertewelten Arbeiten 4.0* conducted in 2016 based on 1,200 interviews with a representative selection of people on behalf of the German Federal Ministry of Labour and Social Affairs. The key result of the study is a cultural space reflecting the diversity of the experience of working and living in Germany.

Procedure

01 Copy template. Have material ready. Cut out the eight values from the copied template. Alternatively, each person writes down the eight values on small pieces of paper.

02 Tune in together. By spreading out information and inspirations collected from the **Innovation Journey** (p. 202) and the **Inspiration Database** (p. 198), for example. Each person chooses something particularly appealing. Taking turns, everyone briefly introduces what is interesting about it: "This appealed to me or surprised me because …", "I found out that …", etc.

03 Based on this impression, place the relevant aspects in the first column of the table and the values base. Next, each person considers for themselves which values are particularly important to the venture and the solution. Work silently to build a tower with the eight pieces of paper. The most relevant value forms the base of the tower.

04 Once everyone has individually ranked the values, share the results with the group. Place the towers next to each other and connect equal values with a line across all towers.

05 Discuss the resulting image. What is essential for further development? Agree on a maximum of three core values. Document the outcomes.

Sense of purpose	Stability
Room for maneuver	Power

Experiential aspects	Value base	Values
Plannable routines, social justice, accessibility, carefree, considerate	Cohesion, appreciation	**Common good**
Trust, esteem, sustainability, loyalty, practical knowledge, personal, unselfish	Comfort, safety	**Solidarity**
Education, esteem, self-reliance, sense of security, privileges	Further development, productivity	**Prosperity**
Fairness, safeguarding of interests, willingness to learn, ambition, consensus-seeking, responsibility, educational attainment	Efficiency, progress	**Achievement**
Freedom, creativity, flexibility, opportunities, slowing down, fairness, safeguarding of interests, influence	Opportunities, aspiration	**Room for maneuver**
Independence, creativity, joy, relaxation, balance, individuality, freedom	Independence, initiative	**Self-development**
Protection, modesty, uniqueness, initiative, altruism	Democratization, harmony	**Sense of purpose**
Routine, regulation, preservation, balancing, recurring, reliable	Comfort zone, discipline	**Stability**

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Fig. based on Kruse, Wertewelten, 2016; modified by Paulick-Thiel & Arlt, 2020

| | Prosperity | Self-development |
| Solidarity | Common good |

8.			
7.			
6.			
5.			
4.			
3.			
2.			
1.			
Rank	**Person A**	**Person B**	**Person …**

4 Design

Think and do the unusual

Learn to think differently

Here, we don't look at reality through just one pair of glasses, but through 10 or 20 pairs, one on top of the other: as we try to influence, replace or remove these, we address the provocation this perception produces.

Our conscious thinking is based on analysis and judgment. Many excellent techniques exist for understanding what exists, but there are very few aimed at deliberately creating something new. These stimulate the brain and break out of regular patterns of thinking. Thought processes that involve less conflict are important when it comes to acting efficiently, and familiarity is beneficial when reliable action is required. When it comes to engaging in a creative process, however, these are a hindrance. So: do the **Creativity Muscle Warm-Up** (p. 212).

Creative thinking – the ability to imagine something new – is needed as a core skill in public administration. It's the only way to respond to new and complex challenges. This approach can be exhausting at times, but it results in pleasant surprises in the short term and produces creative and sustainable strategies in the long term.

Here's a brain teaser to get you in the mood:
how can the following nine points be connected with a maximum of four straight lines without putting down the pen? Feel free to try several times.
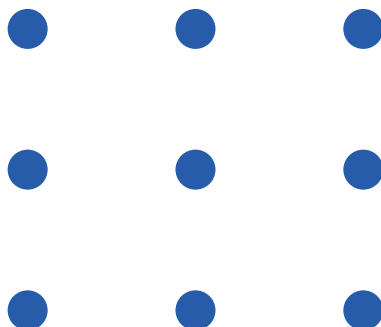
Practice creativity
Creativity can be practiced – preferably with others. The art is to include different people's perspectives even as you start out in search of a new idea. So at this stage, it's essential to build on each other's thoughts and develop these collaboratively. Using the **Creative Cartwheel** (p. 216) and the **Ideas Generator** (p. 220), you can come up with things nobody could ever have thought of on their own.

Creativity Muscle Warm-Up

Time frame
5 – 15 minutes
per exercise

Level
Simple

Materials
Varies. Paper and
pen, voice and body
are often sufficient.

Roles
Facilitation,
time management

Suggestion
Make warm-ups
a ritual for
establishing a
new mindset.
Note the energy
level of the
team and adapt
the warm-up if
necessary.

What is it and what purpose does it serve?

Warm-ups are brief sessions lasting 5 to 15 minutes maximum that playfully help teams adopt specific work attitudes. Creativity warm-ups are especially appropriate before generating new ideas because they encourage the production of wild and crazy thoughts. This way, the team can prepare to turn off their inner censor and build courage for extraordinary ideas.

Added value

Creativity warm-ups break down barriers, foster empathy and weld teams together. They are easy to implement and can be used in almost any room situation for a wide variety of work formats. They encourage *out-of-the-box thinking* in teams, because each individual's imagination is stimulated and the body is also activated in the process.

It's not the economic crisis that's the problem but our way of thinking, claims creativity researcher Edward de Bono. If you want to develop new ideas, you have to proceed methodically. His credo: The only way to change mindsets is through provocation.

Procedure

01 Make targeted use of the warm-up methods **30 Circles** and **Creative Aikido**, e.g. just before developing ideas.

02 Put on the agenda and impose a time limit. Consider warm-up exercises in agenda planning and keep them short. The time constraint helps turn off the inner censor and allows the creative juices to flow freely.

03 Stay in the comfort zone. Choose warm-up exercises that create a good mood. Only when we feel good in ourselves can we be sure of a feelgood atmosphere in the group, too.

04 Create a safe atmosphere and have fun. There is no right or wrong with warm-ups. Lead by example and create a non-judgmental atmosphere.

05 Allow space for reflection. Warm-ups are not *games*. Finally, explain the purpose of each exercise to participants and invite them to engage in a brief reflection.

Two selected warm-ups show how the dormant creativity of a team can be awakened to promote collaborative thinking: **30 Circles** and **Creative Aikido**. These warm-up methods have proven particularly useful in developing ideas. Other options can be found on the internet, e.g. *66+1 Warm-Up Posters*.

30 Circles

Who thinks they can't draw? This quick and easy warm-up will prove otherwise. **30 Circles** is a visual brainstorming session that can be done alone or in a group. The goal is to awaken the dormant creativity of each individual.

01 All participants are equipped with a pen. You will be given a sheet of paper with 30 blank circles of the same size or else you can draw these yourself on a blank sheet of paper.

02 In the space of three minutes, each person transforms as many circles as possible into recognizable objects, e.g. car tires, soccer balls, apples or clock faces, etc.

03 At the end of the three minutes, compare the results in the group, paying attention to the following aspects:
- How many people got *into the flow* and filled ten, fifteen, twenty or more circles? It is rare for anyone to manage all 30 circles.
- Are the ideas related (a soccer, a tennis ball, a baseball) or are they distinct (a planet, a cookie, a happy face)?
- Were rules broken and circles combined (pair of glasses or set of traffic lights)? That's good.

04 In conclusion, show that generating ideas often involves a certain balancing act: on the one hand, we want to generate a lot of ideas quickly, but on the other hand we want them to be as distinct and as varied as possible. Value bold and wild approaches.

Creative Aikido

Who knows what aikido means? Literally a *way of harmonizing energy*, it is a Japanese martial art that mainly draws on the power of the opponent. The basic idea of Creative Aikido is to build on each other's ideas and conceive of something collaboratively that would not be possible without the other person.

It follows a simple structure that requires reciprocal thinking and speaking:
Accept the force and listen to the suggestion of the other person.
Integrate the force and understand the suggestion.
Build on the force and use the other person's suggestion as a foundation on which to add something of your own – without criticizing or judging. **Offer the force back** for the other person to build on further.

01 Focus jointly on a fictitious, random issue such as vacation planning. Engage in a *ping-pong* dialog.

02 Form pairs. One person begins to answer the question or make a suggestion, e.g.: "We should go to Mexico".

03 The other person inwardly follows the scheme and responds with the following sentence structure: "YES, your suggestion is great because … AND what I would like to add is …".

04 Stop after two minutes. Thank the other person.

05 Finish by presenting the outcomes to the group. Reflect on how the "yes, and …" mode – rather than the "no, but …" mode – fosters a mood of innovation that promotes the creation of new ideas. Apply **Creative Aikido** in the next stages.

Creative Cartwheel

Time frame
30 – 45 minutes

Level
Simple

Materials
Copied templates, pens, sticky notes, HCW Question (p. 170)

Roles
Facilitation, documentation, time management

What is it and what purpose does it serve?
Creative cartwheeling involves alternating positive and negative thinking. The method is based on the principle of collective authorship. By always referring to the ideas of other team members, a collection of ideas is created that no single individual could have come up with on their own.
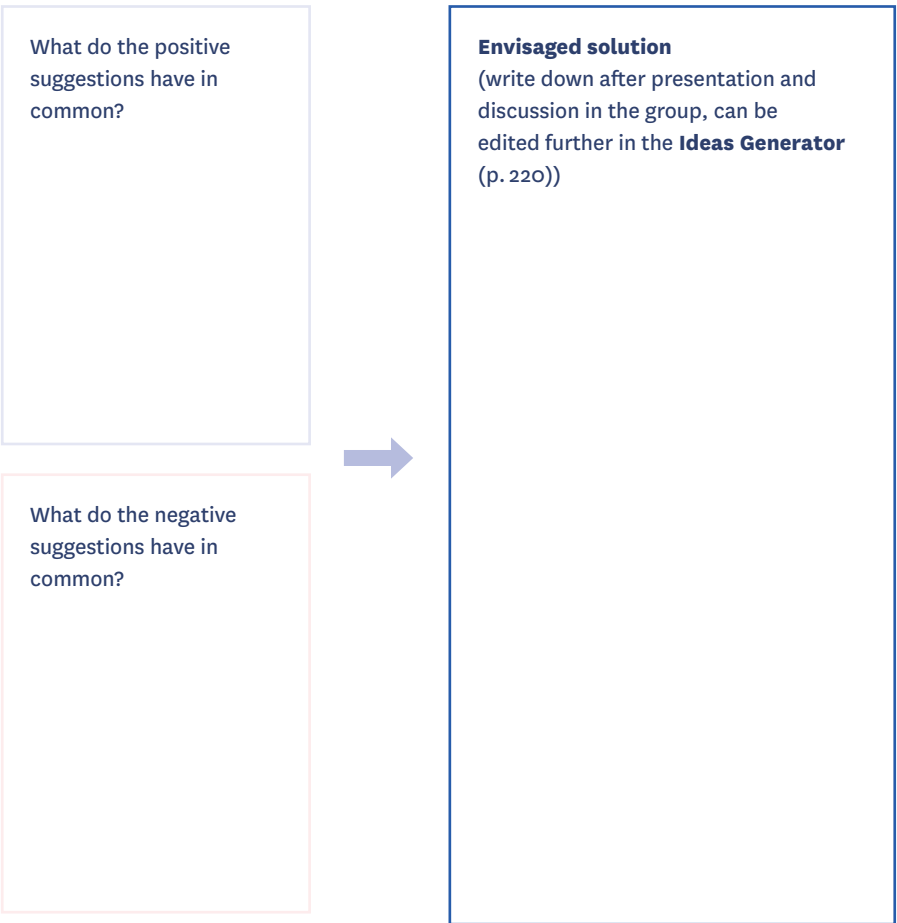
Added value
When an idea is passed from one person to the next, it can grow and change in unexpected ways. If we alternately stretch our imagination by means of exuberant approval and devastating criticism, amazing and original solutions emerge. Even if the individual ideas seem weird or impossible, the core often includes conceptual signposts that point in a promising direction.

The Creative Cartwheel is linked to the *headstand technique* and Edward de Bono's *provocation technique,* which exists in many variations. Mental provocations throw habitual thinking off its well-worn tracks and activate less-used synapses in the brain.

Procedure

01 Form teams of no more than five people standing or sitting around a table. Print out the template for each person or transfer to an A4 sheet. Work on Steps **02** to **06** in silence.

02 Together, choose a **"How Can We …" question** or a problem and write it at the top of the sheet. To do this, each person individually considers an unconventional solution and writes it down in **Field A**. Pass the sheet clockwise to your neighbor. (5 min)

03 Read through the solution. Think about what nasty sabotage prevents this idea. Write down your thoughts in **Field B**. Pass the sheet clockwise to your neighbor. (5 min)

04 Read through solution and the sabotage. Consider how to deal with this proactively: find a way to implement the positive suggestion anyway. Write it down in **Field C**. Pass the sheet clockwise to your neighbor. (5 min)

05 Repeat Step **03** for **Field D**, repeat Step **04** for **Field E** and so on.

06 Last round: Read through all the solutions. Note down similarities in Fields A/C/E on sticky notes. Read through all the sabotages. Note down similarities in Fields B/D/F on sticky notes. (10 min)

07 Present and discuss the content of the sticky notes out loud in the group. Identify overarching points in common and write down the concept.

"How Can We ..." question or problem
(write down before starting silent work)

What extraordinary idea
could solve the problem?

How could the obstacle
be circumvented?

How could the obstacle
be circumvented?

How could this definitely
be prevented?

How could this definitely
be prevented?

How could this definitely
be prevented?

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Fig. based on Luma Institute, Round Robin, 2012;
modified by Paulick-Thiel & Arlt, 2020

What do the positive
suggestions have in
common?

Envisaged solution
(write down after presentation and
discussion in the group, can be
edited further in the **Ideas Generator**
(p. 220))

What do the negative
suggestions have in
common?

4 Design

Ideas Generator

Time frame
45 – 60 minutes

Level
Moderate – Medium

Materials
Ideas from the
Creative Cartwheel
(p. 216)

Roles
Facilitation,
documentation,
time management

Suggestion
In day-to-day work,
ask "What if …"
more often and
experiment
with reversals
or extensions of
routines.

What is it and what purpose does it serve?
The **Ideas Generator** involves a problem or issue being viewed from different perspectives. Nine provocative approaches are used to develop ideas or create entirely new ones. This enables a large number of surprising notions to be formulated and considered quickly and comprehensively.

Added value
The **Ideas Generator** extends the thinking around a concept in different directions. This creates the basis for stimulating discussions that strengthen the solution. To use the tool effectively, the starting point (a concept from the **Creative Cartwheel** (p. 216), problem or suggestion) should be clearly presented.

Methods such as the **Ideas Generator** are variations on the so-called *morphological box* developed by the physicist Zwicky in the 1930s. Morphology means "transformation" and is used primarily in the study of biological relationships.

Procedure

01 Have all materials ready and print out or copy one template per concept idea from the **Creative Cartwheel** (p. 216).

02 Enter core concept or solution in the upper left-hand corner of the sheet.

03 Consider what a *normal rule* (default settings, operating mode, …) might be for this concept. Write down assumptions. Start description with "The way this will work from now on is that …".

04 Select and apply a suggested provocation. Referring to the concept, consider the following: "How does it work now?". Note down the new rule in the relevant line.

05 Provocation reveals a new aspect.
Referring to the new rule, consider the following: "What consequences does this have for the idea? How might it need to be adapted?". Note down the new aspect in the relevant line.

06 Repeat Step **04** and **05** for further selected provocations or all of them.

07 Sift through and review all new aspects. If necessary, use the **Visual Vote** (p. 226) to prioritize.

08 Select best ideas. Write them down in the field at the top right so they can be used as the innovation process moves forward. Document outcomes.

Core concept of the idea or approach to solving a problem:

The rule
As of now, this works in such a way that …

The provocation

Reversal: Turn the suggested rule on its head

Integration: Combine current idea with other ideas

Extension: Extend short term or temporary aspects

Differentiation: Segment an idea

Addition: Add a new element

Subtraction: Take something away

Translation: Transfer rule to another subject area

Refinement: Refine rule with elements from another area

Exaggeration: Take the rule to its most extreme form

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Fig. based on DIY Toolkit, 2013;
modified by Paulick-Thiel & Arlt, 2020

Prioritized aspects for the solution:

1.

2.

3.

The new rule How does it work now?		**New aspects** What does this mean in terms of the idea?
	→	
	→	
	→	
	→	
	→	
	→	
	→	
	→	
	→	

Select and try out ideas

The use of creative techniques has given rise to lots of great and perhaps unconventional ideas that have not yet been tested for feasibility. We can tease out the core of a solution using methods such as the **Visual Vote** (p. 226) in combination with the **Value-Added-Effort Matrix** (p. 230).

The format is not set until the end.
Once ideas have been developed and solutions formulated, it is tempting to plan their implementation directly based on milestones using an action-oriented approach. But it's important to pause here first and familiarize ourselves better with the desired state we are trying to achieve. For this we need an open mind and a little patience. Instead of defining a specific format or medium for our solution, we start by using the **Future Theater** (p. 234) to gain a better understanding of the benefits to our key actors, before we go on to define the functions of a product, for example. By using ourselves as a resonance space, we can get tangible access to the future without having to work out a concept or slide presentation.

Only once the target experience has clearly emerged do we consider what formats are available to the administration to enable this future experience to happen. In this way, the desirable experience projected for the future will be directly related to common options available for action by public administrators. Its impact may be to influence, reinforce or even change them.

Legislative theater

By formulating stories, we come to realize what really matters. This type of methodological aid has already been put to successful use in administrative practice in isolated cases.

A new law came into force in Tyrol on July 1, 2018. The Participation Act regulates support to allow people with disabilities to participate in society. The project *Mach mit! Es geht um uns!* ("Get involved! It's about us!") helped shaped the development of this law in a participatory and creative way. Forum theater was used as a method of political co-determination. In forum theater, the people concerned – i.e. the experts – point out difficulties and problems before getting together with the audience to look for potential improvements. The legislative context turned forum theater into legislative theater.

Visual Vote

Time frame
10 – 15 minutes

Level
Simple

Materials
Adhesive dots
or alternatively
different colored
pens

Roles
Facilitation,
documentation,
time management

Suggestion
The Visual Vote can
also be carried out
and documented
digitally. Try out
online tools.

What is it and what purpose does it serve?

The **Visual Vote** is a quick and easy way to prioritize ideas. All members of a group are involved when it comes to making a choice and preparing decisions. By applying dots for individual aspects or suggestions, a visual trend is created within a few minutes.

Added value

This type of vote can be used universally and extended as desired: for single-color variants, the quantity determines the color; for multi-color variants, the colors are important, too. By placing colored dots or elements, each person can vote individually on the importance of multiple aspects that require prioritization.

Dot selection should not be used for final decisions. The procedure requires participants to know, review, and compare all options before sticking on their dots. For this reason, the recommendation is to summarize similar aspects in thematic groups in advance and evaluate them.

Procedure

01 Write down all vote options on sticky notes and group them together or write them down as a list on a large piece of paper.

02 Communicate the subject of the vote. Remind participants of the purpose of the exercise before they cast their votes. Why is this vote being held and how will the result be used?

03 Establish rules for the vote together (see examples).

04 Announce the number of votes each participant has. Rule of thumb: The number of votes should be equivalent to about a quarter of the options to be voted on.

05 Votes are cast silently and simultaneously. During the voting process, it is important not to influence and lobby each other. There is no discussion until after votes have been cast.

06 Analyze the outcome. Then discuss the options with the most votes. Which focus areas can be identified? Who voted for certain options and why? Work together to create a ranking list.

In case of a tie: carry out another vote for the most popular options from the previous vote (max. 4) for the purpose of clarity. Repeat Steps **03** to **06** for this purpose.
Or use **Value-Added-Effort Matrix** (p. 230).

Establish the voting rules collaboratively

In order to counteract biased voting, it is important to jointly define the voting rules. Here are some options:

Make a decision in advance and write it down. Each person writes their votes on a sticky note before placing their dots. This method helps ensure that everyone is held accountable for sticking to their original vote.

Dictate order of voting to prevent biased voting due to the HIPPO effect (*Highest Paid Person's Opinion*). *Junior participants* have their turn first, while the stakeholders or subject matter experts come last. This approach protects the votes of those who might otherwise be led to make less authentic contributions and automatically follow their superiors.

Agree on further restrictions, such as: Votes are only cast where there is 1. ownership or 2. expertise.

Vary voting types, for example: Use small and large dots to rate relevance, or use multiple colors for categories such as "This is absolutely the way we should do it", "We need to understand this better or discuss it in more detail first", "We shouldn't consider this", "We should consider this".

CityLAB *Berlin* Politics for Tomorrow Fig. Köbler, 2020

Example of instructions for online voting

In the virtual context, detailed preparation and small-step instructions are needed for the chosen medium. Meeting participants can comment on the content of a shared screen.
Sample media: *Zoom*, *Jitsi, Miro* and *neXboard*

○ Share screen.
○ Prepare together: Ask everyone to study the content first.
○ Explain the comment function: At the top of the shared screen, click on Options. Select a stamp here, e.g. star. Don't use it yet!
○ Explain commenting procedure: Communicate the subject of the vote.
○ Establish voting rules.
○ Votes are cast silently and simultaneously: Only after a sign has been given by the facilitator do video conference participants cast their vote synchronously.
○ Analyze the outcome.
○ Discuss the next steps.

4 Design
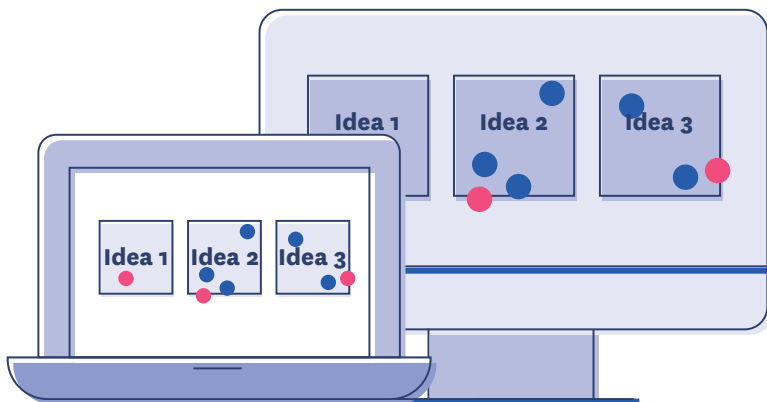
Value-Added-Effort Matrix

Time frame
30 – 60 minutes

Level
Moderate – Medium

Materials
Ideas in the form of sticky notes from the stages covered so far

Roles
Facilitation, documentation, time management

Suggestion
Create a digital matrix, e.g. in *GroupMap*.

What is it and what purpose does it serve?

This matrix supports decision-making processes. Individuals or teams can analyze ideas and concepts based on the effort required and the added value to be expected. Depending on these factors, the 2×2 matrix produces a recommendation as to which ideas are to be given preference moving forward.

Added value

The recommendations can be used to prioritize ideas. This makes it easier to coordinate the selection of activities, indicating how best to invest time and resources.

The matrix is often used to maximize team productivity. Because of its simplicity and versatility, it is a true *all-rounder* and can be used for everything from day-to-day to-do lists to strategic action plans.

Procedure

01 Write down all voting options on individual sticky notes. A headline or keyword is sufficient for this purpose.

02 Present one idea at a time, sharing thoughts with the group and assessing them based on the following stimulus questions.
Added value for key actors: How impressive is the idea?
What added value does it create?
Work required in the organization: How quickly or how easily can the idea be implemented? What effort is involved?

03 Place in the appropriate field, depending on suitability. Place all ideas in the matrix in turn.

04 Stimulate open discussion. Look at the distribution of ideas. What stands out? Where are there positive or negative surprises? Engage in group discussion about these ideas and where to place them. Make adjustments as necessary. Ideas that are not addressed in this step can be left in the selected field without comment.

05 Analyze the outcome. Look more closely at the ideas in the "YES!" field and select those aspects/ideas that the team agrees on most and is most committed to.

Added value for key actors

YES!
Definitely develop further
high added value, low effort

PERHAPS
Repeat **Ideas Generator** or consider combinations of ideas
low added value, low effort

low

Effort for the organization

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Fig. based on open educational resources labs;
modified by Köbler, 2020
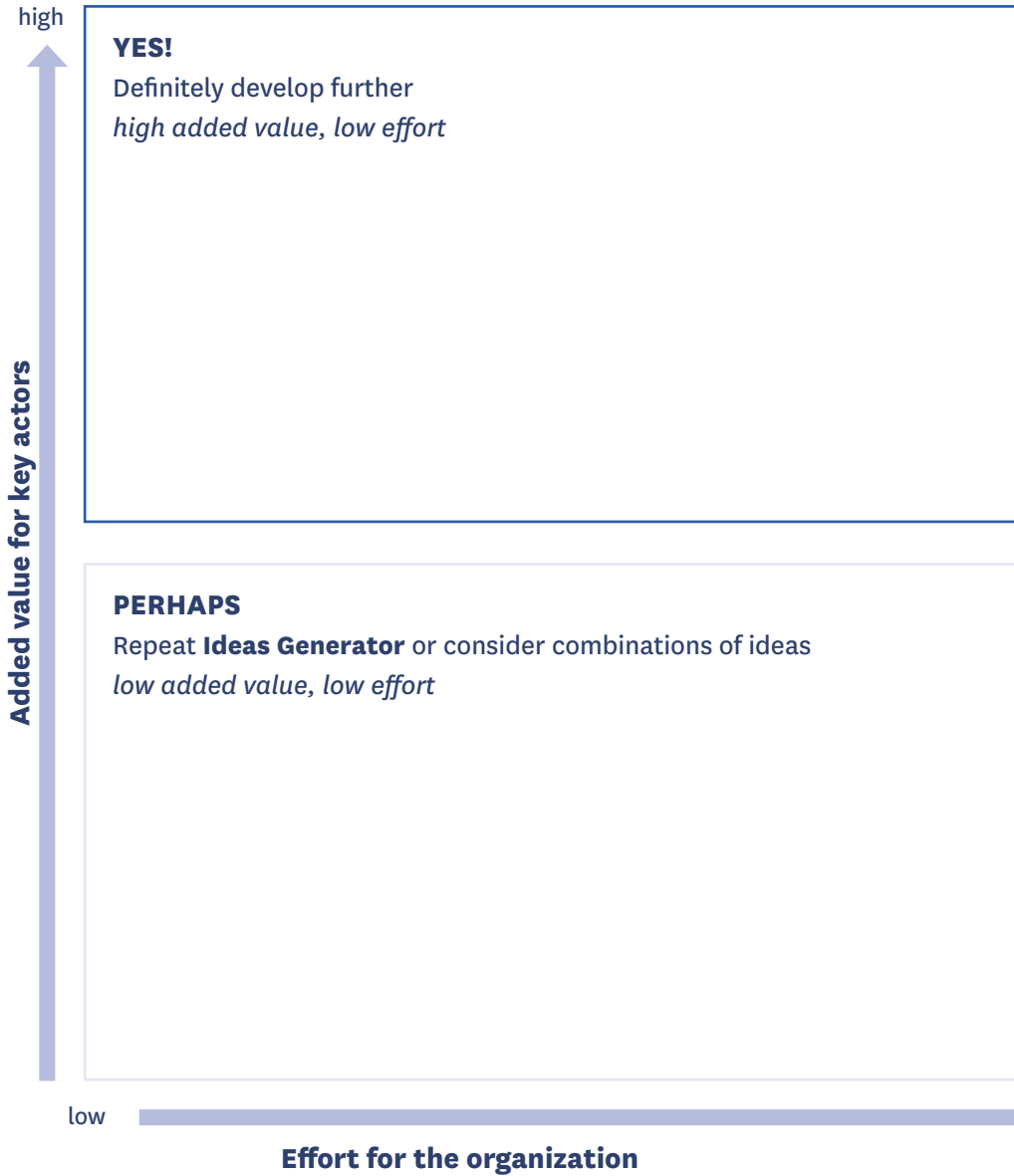
PERHAPS
To be considered in more detail
high added value, high effort

NO
Better to be avoided
low added value, high effort

Future Theater

Time frame
90 – 150 minutes

Level
Medium – High

Materials
If desired: props to be able to slip into different roles

Roles
Facilitation, observation, documentation, time management

Suggestion
Identify *crunch scenes* in day-to-day work and consider together with colleagues how they might be changed.

What is it and what purpose does it serve?
The **Future Theater** gives participants the opportunity to put themselves in a desirable situation in the future. A situation is presented in which the problem no longer exists after application of the solution. This enables both the performers and the audience to experience what the innovation feels like.

Added value
Rather than getting bogged down in discussion about the innovative solution, it is possible to experience what feels right or wrong about it at first hand using all your senses. By stopping or freezing individual scenes, participants can be specifically questioned about aspects of their role.

The **Future Theater** is based on *Improv Prototyping by* Liberating Structures. Here, three levels of knowledge are tapped into simultaneously: explicit knowledge shared by participants; tacit knowledge discovered by observing other participants' performance; and emerging knowledge, i.e. new ideas that emerge and are developed collaboratively. This powerful combination is a seriously fun exercise and can be the source of transformative experiences.

Procedure

01 Visualize the solution developed up to this point and, as a team, imagine a situation in which the solution has been used successfully or has had an impact.

02 Define which key actors are important in this situation and assign their roles to people on the team. All participants take an active role.

03 Set up room and use props if necessary. Transfer documentation templates into a large format or copy them onto A4 sheets.

04 Consciously act out the role, ensuring you're entirely in the moment:
   - Briefly describe the scenario and the different roles (3 min).
   - Play out the desired situation (3-5 min).
   - Pause and reflect on **Column A** & **B**: first alone (2 min), then as a group (10-15 min). Where did you particularly sense an awkward crunch?

05 Act out *crunch scene* again and get the people involved in the situation to speak: What doesn't feel right here? Why? What would make it feel better? Why? Take the new, better element on board and experiment for a few minutes until a situation is found that everyone agrees with (10-15 min).

06 Conclude the role-play and reflect on **Column C** & **D**: first alone (2 min) and then as a group (10-15 min). Finally, note down the most important aspects for further development of the innovative solution.

Idea to be acted out:

A: Obvious knowledge	B: Tacit knowledge
Discuss the situation: What do the performers say when a scene is paused or after the role-play, for example?	**Observe the situation:** What did the performers or spectators observe during the play?

C: Emerging knowledge	D: Conclusions
Design the experience: How can the future experience be adapted so that it feels right for everyone involved?	**Narrow down the solution format:** What does this mean for the format of the solution being developed? Which functions are relevant?

4 Design

The most important aspects for further development of the solution:

Distill the essence of the idea

Looking into the future can be a bit wild and chaotic – and that's fine. At this stage, quantity promotes quality. Much of what has been developed and thought about, reversed and mirrored, now has to be recapitulated and condensed into its essence to create a solution that can be tested.

Ensure creative output is communicated in a serious way
Challenging, creative thinking needs moments of lightness. There is evidence to show that people work better and more efficiently when they are in a good mood and feel optimistic. In order to ensure this valuable work is not dismissed as "insanity" or a "leisure activity", it has to be translated.

Critical simplification of information is a capability that goes beyond the value of the information itself. By creating an **Ideas Napkin** (p. 240), we can clarify the essence of our solution. This promotes persuasive communication without anticipating the final format. In addition, a poster or a regular presentation can be created in which the interim results from this stage are presented in a comprehensible and appealing way to colleagues and key actors.
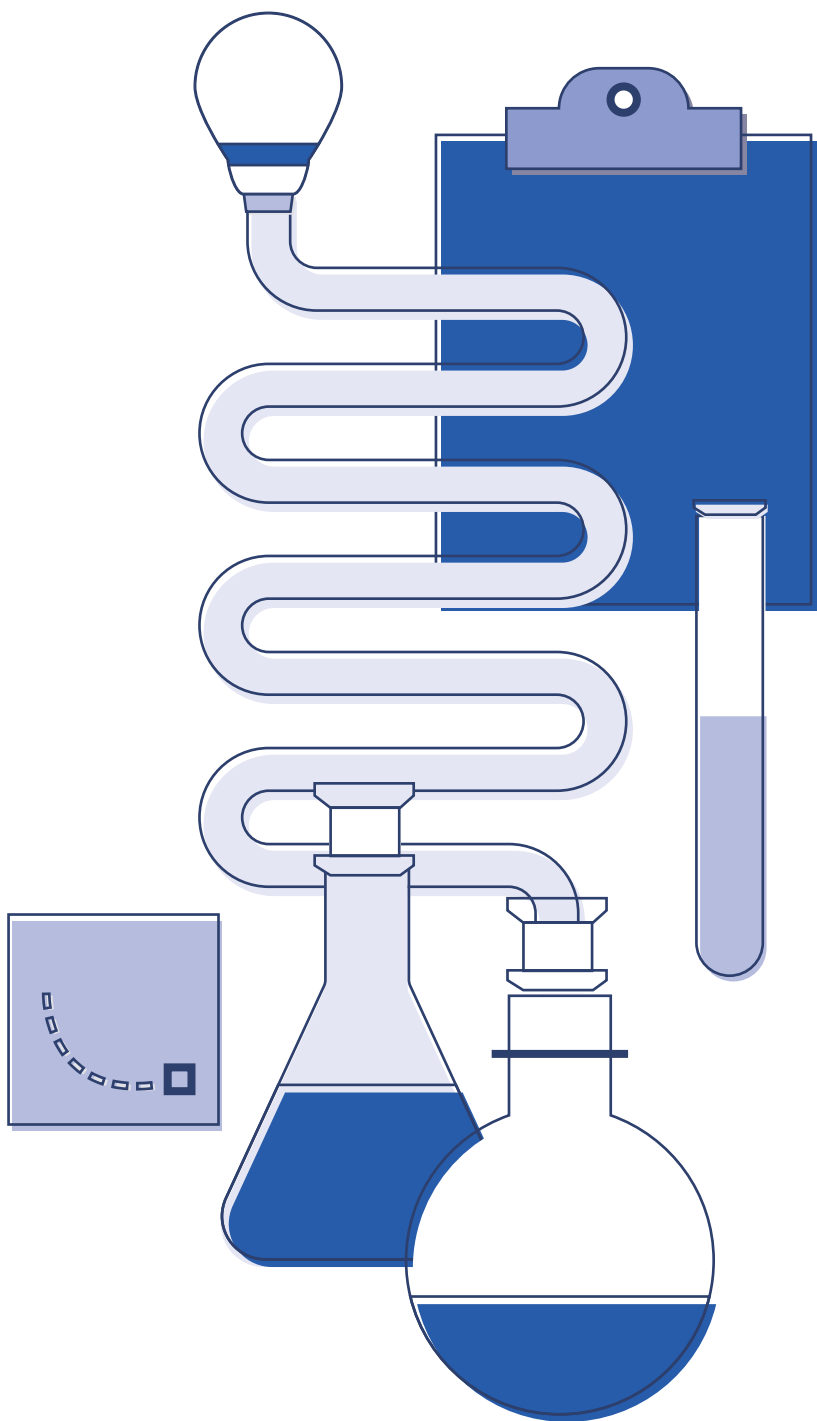
Ideas Napkin

Time frame
30 – 45 minutes

Level
Simple – Medium

Materials
Previous interim outcomes relating to the solution, pens, sticky notes

Roles
Facilitation, documentation, time management

What is it and what purpose does it serve?

The **Ideas Napkin** helps compile the outcomes of an intense work phase. It contains only the central elements of an idea. In clear and succinct form, it describes the challenge, its solution, and how it benefits one or more groups of actors.

Added value

The brief description states what the team has agreed on as being the central elements of the idea. This brings the innovative quality of the idea to life and makes it easier to communicate. A digital napkin is useful for many ideas and can also form part of a larger database of ideas.

The *D'Artagnan model* by S. Fischer describes ideas systematically. Ideas always have a starting point: An unsolved problem has been encountered or an unmet challenge has been identified. The solution is what is newly introduced, often understood as an *idea*. The value describes the particular importance of the solution to those *impacted by* the idea.

Procedure

01 Transfer template into a large format. Start on the left-hand side.

02 Describe the starting point: Ideas always have a starting point. What is the problem or challenge that needs a solution? Summarize in your own words how the venture was initiated.

03 Summarize the solution concept: What is the new or special way of solving the problem?

04 Describe the value: What makes the solution valuable to key actors, our organization, and future generations? What importance do they attach to it?

05 Elaborate the core of the idea:
   O Describe its mechanism: What logic is the idea based on? What is the useful principle behind it? Draw on insights from the **Potential Construction Kit** (p. 166) for inspiration.
   O In what formats could the idea's mechanism be usefully implemented? Write down or outline at least three different options without committing to any one of them.
   O What working title and hashtag describe the core of the idea?

06 Keep the **Ideas Napkin** carefully and document it so that you can continue working with it in the next phase.

Elements of the idea

Starting point

Envisaged solution

Value

for the key actors:

for our organization:

for future generations:

Fig. based on Fischer, 2012;
modified by Paulick-Thiel & Arlt, 2020

Core of the idea

Possible format 1:

Mechanism

Possible format 3:

Possible format 2:
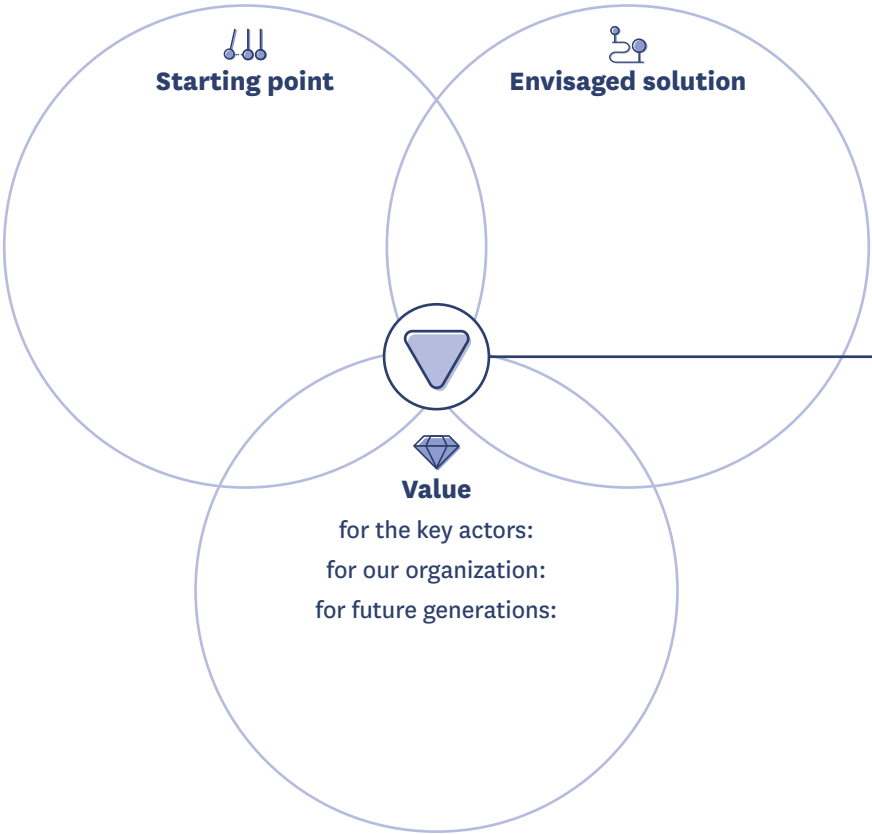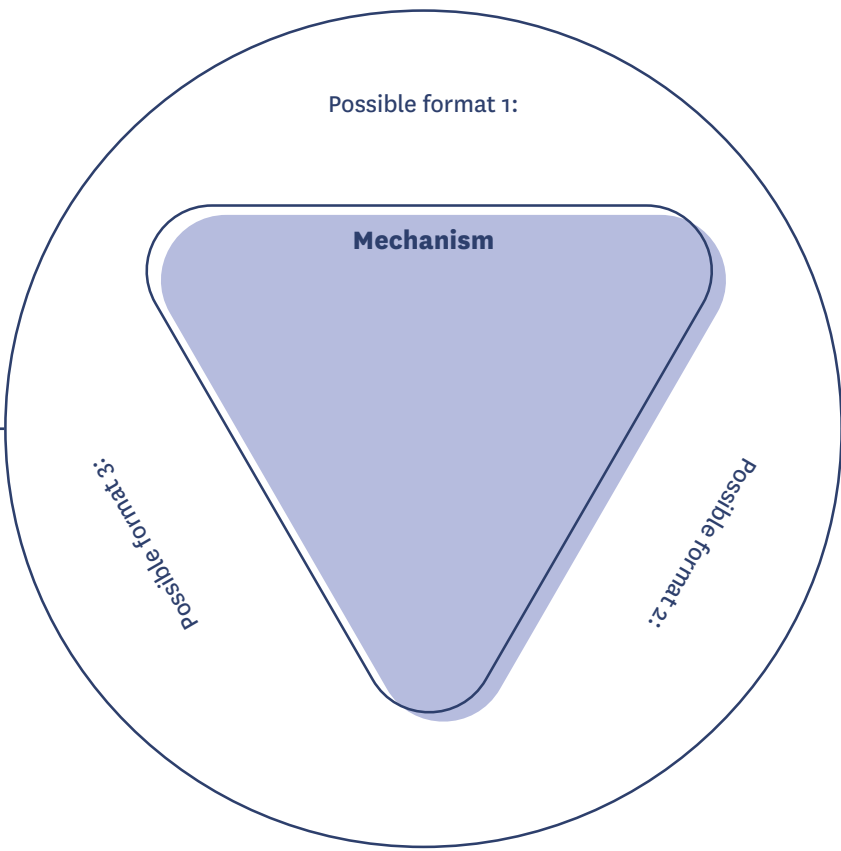
Working title:

Hashtag:

Document Outcomes

The documentation of the main outcomes of this phase gives us a keener perception of the work that lies ahead of us. What key insights have we been able to glean from the individual stages?

Stage 1 **Select area of potential**
What are the outstanding characteristics of the selected area of potential?

_____

_____

_____

Stage 2 **Gather inspiration**
What key insights did we gain from our inquiry?

_____

_____

_____

Stage 3 **Develop multiple ideas**

What interesting or surprising aspects were found for the solution concept?

Stage 4 **Elaborate an idea**

Which solution concept was developed?

Stage 5 **Define the envisaged solution**

What is the mechanism at the core of the idea?
What formats might be considered for implementation?

Conclude the design phase

Things to celebrate:

The *design phase* was a joy! Taking pleasure in our work, we've succeeded in breaking out of habitual thought patterns and inspiring others to strike out on a new path. We've gained experience of innovative projects and drawn inspiration from them. It may have surprised us to see how initial ideas for solutions change when we look at them through the eyes of future generations.

Things that might have been strenuous:

We're used to underpinning our arguments with hard evidence and contributing our expertise in a factually based manner. A well-rehearsed approach of this kind may have made the start of this phase more difficult. It is precisely by means of creative processes that thoughts conceived of by individuals merge into a single idea produced by a group. Only through collaboration can this be cultivated into a viable solution. This creative process can be turbulent because it requires us to step out of our comfort zone.

Things that can be helpful in dealing with the above:

- Give yourself and the team the chance to digest impressions in a familiar setting
- Ensure that breaks from creative thinking are deliberately scheduled into the process
- Use **Creative Aikido** (p. 215) on a routine basis

246

Myself and the process

Creativity needs patience and practice. As we alternate between comfort and learning zones, there may have been some things we experienced in the design phase that will stay with us.
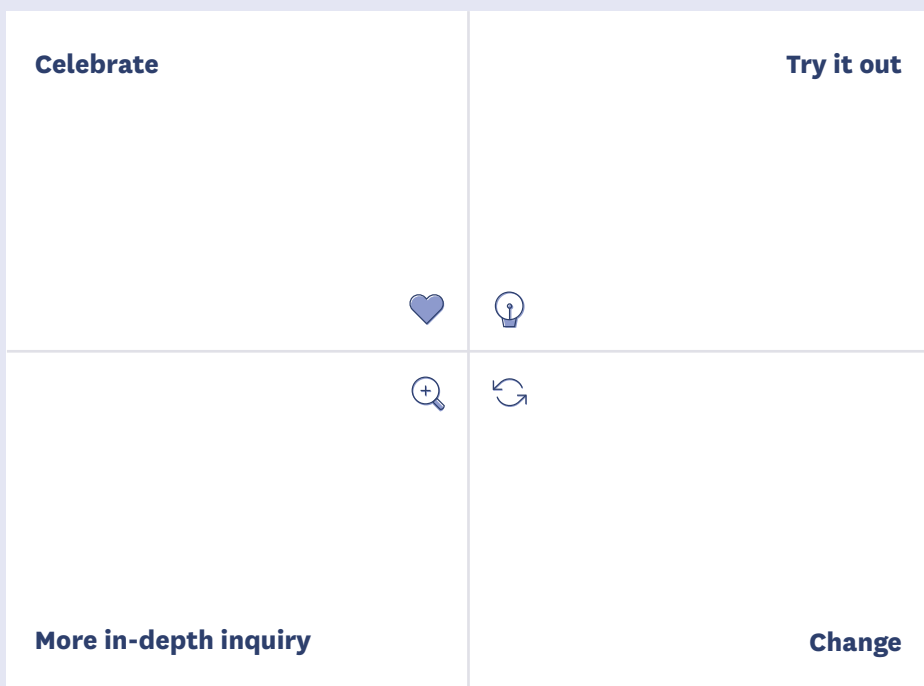
Celebrate	Try it out
♥	💡
🔍	↻
More in-depth inquiry	Change

Based on my experience at this stage, my advice to colleagues who are planning to do something similar is as follows:

❝
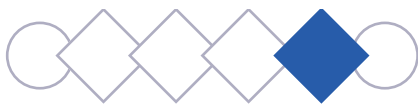
Phase 5

Test

Pippi Longstocking

Dare to experiment

Our approach to innovation aims to design solutions that contribute to perceptible, positive change in the context of our key actors. In the test phase, our idea takes on its initial form. By giving the solution a tangible dimension, we can test it while at the same time refining our understanding as a team for the purpose of further development.

A prototype can be used to find out what the innovation feels like and what it does or does not improve. Prototypes are tools for interacting with stakeholders at the earliest stage of a solution to find out what is valuable and what may need to be changed. Experimenting in real-world contexts opens up additional perspectives that are only partially foreseeable when an idea is first conceived.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential

Test formats are diverse and can involve a wide variety of elements and dimensions in public administration, such as forms, digital processes or even regulatory experiments. In the case of far-reaching changes, pilot tests are required that allow systemic consequences to be observed and scaling to be modeled based on data. This handbook guides us through up to the conception of a Minimal Viable Process or Product (MVP), ensuring we are ideally equipped for further implementation steps.

We can't wait to see what works in reality! If we want to produce results that contribute to solving the problem, we have to be willing to give space to our idea rather than holding on to it too tightly.

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations
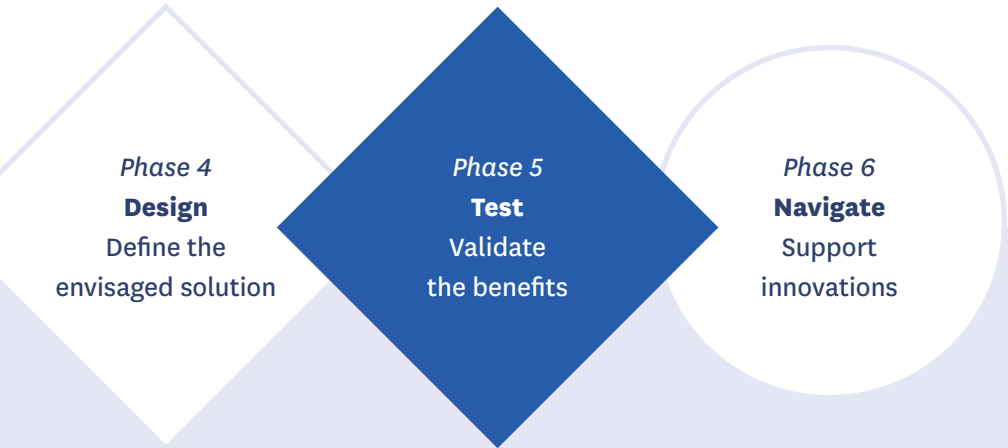
Phase objective and stages

In the test phase, we become aware of the added value of test formats and rapid learning cycles. We develop prototypes to turn our idea into an experience that can be tried out on key actors. **Testing gives us the inspiration to adapt and refine our idea that we wouldn't have been able to come up with on our own.** We analyze these suggestions and draw on the insights gained in the test as a basis for designing an MVP.

Stage 1
Prepare test

Stage 4
Learn and adapt

Stage 5
Validate the benefits

Stage 2
Create prototypes

Stage 3
Run test

Methods

5 Test

Make ideas tangible

Equipped with a promising idea, we now embark on the test phase. By casting our idea swiftly and simply into a concrete form, we are able to put our solution to the test.

Experiment with a sense of curiosity
In day-to-day life we're constantly trying out how things taste or feel, or what reaction they evoke. Prototyping is based precisely on this principle of curiosity, combined with a structured approach. By determining early on what works and how, development of the idea can be honed based on values and then discarded or advanced with a view to saving resources. The Prototyping Basics (p. 255) indicate the dimensions and well-established formats available to enable rapid learning and adaptation.

Breathe life into the concept
In order to go beyond following our intuition when developing solutions, prototype testing enables us to collect qualitative and quantitative data that supports evidence-based decisions. Before we start creating a prototype, we plan our approach to testing using the **Assemble Test Base** template (p. 260).

Prototyping Basics

Almost all patterns of action in public administration can be experientially redesigned and tested according to different "orders of design" (Buchanan, 2001):

- **Communication:** Signs, visualizations, simple language
- **Construction:** Products, rooms, furniture, hardware
- **Interaction:** Services, processes, software
- **Integration:** Organizational structures, laws, systems

Achieve your goal more cheaply, quickly and effectively

The need for structured experimentation will increase in the public sector in the future. This is because working with prototypes can produce key insights and data bases, especially in the case of complex problems. Instead of implementing a solution at great expense, it can be validated first. This also allows for better preparation and implementation of legal amendments.

The German government supports this approach:

"In order to be able to better assess the practicality and effectiveness of regulatory alternatives, the Federal Government will, in appropriate cases, test them in practice with […] persons/organizations concerned […], e.g. by means of business games, simulations or model trials. […] Only then are the corresponding draft regulations to be adopted by the Federal Government."
Arbeitsprogramm Bessere Rechtsetzung, 2018

CityLAB *Berlin* · Politics for Tomorrow · Fig. Paulick-Thiel & Arlt, 2020
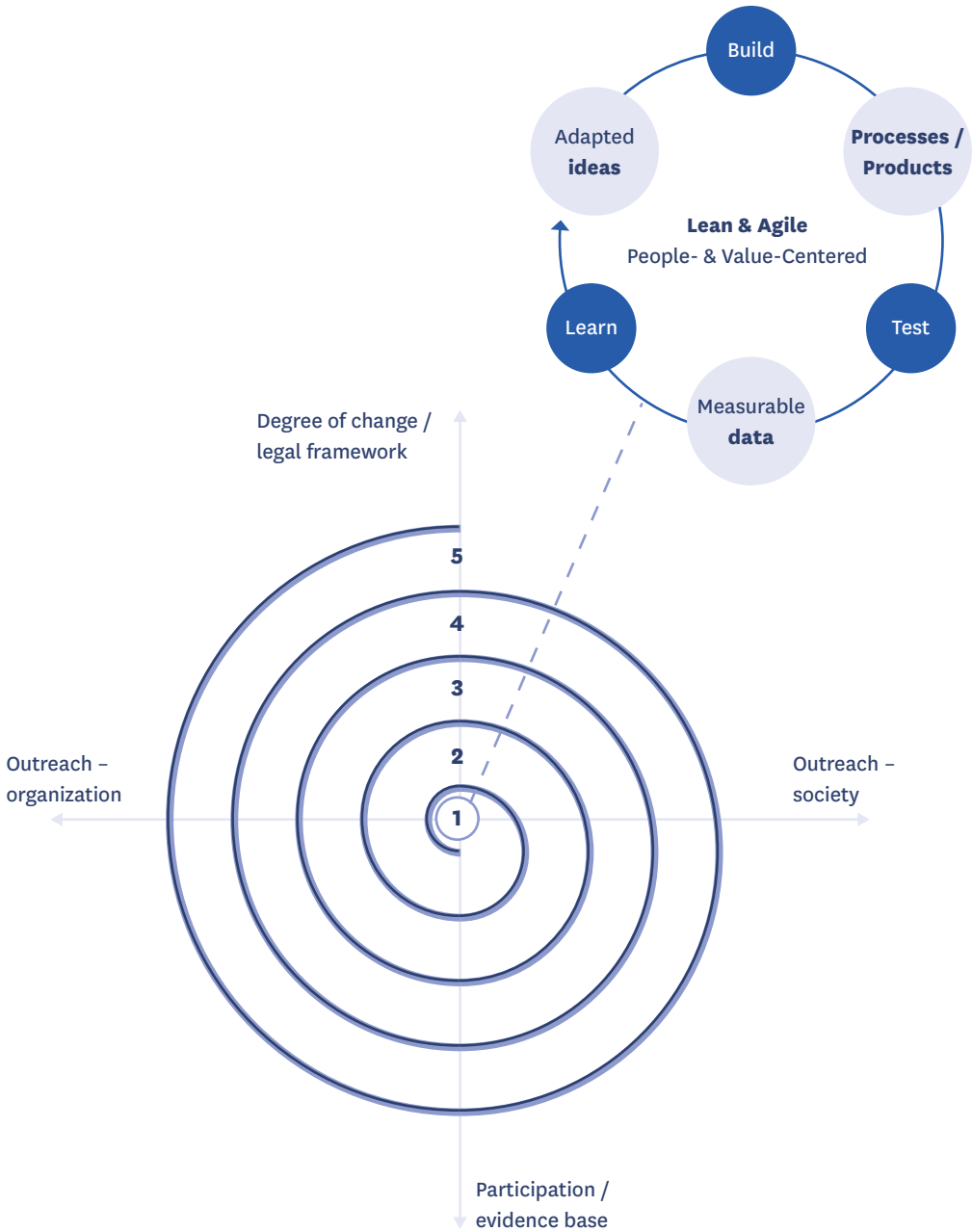
Work on prototypes is carried out in cycles. As the scope of experimentation grows, so does its outreach in society and within the organization. The horizontal axis shows that the development of something new not only concerns the outside: it is always relevant to the inside, too. On the upper vertical axis, it is possible to show the experimental formats and their influence on the degree of change and the legal framework. Approaches to data collection need to be adapted accordingly in relation to this and expanded so as to increase participation and with this, the evidence base. Possible test dimensions include the following:

1   **Concept or imitative prototype** (e.g. paper prototype, role-play)

2   **Concept for Minimal Viable Process/Product** tested on selected groups of actors to collect data, evaluate, and enable improvement (e.g. service mock-up)

3   **Concept for Maximum Viable Process/Product** to be tested subject to limited time and space so as to collect and evaluate representative data and understand what regulatory implications arise (e.g. service regulation)

4   **Time-limited testing of the innovation** in the public space, taking advantage of regulatory requirements, possibly using experimentation clauses so as to specifically collect legally relevant data, assessing and understanding what regulatory changes are needed for scaling purposes (e.g. a living lab)

5   **Widespread adoption of innovation**, modifying and adapting the regulatory framework if necessary, based on a comprehensive evidence base and appropriate participation, and achieving outreach in society and the organization (e.g. regulation on innovation tenders)

5 **Test**

The figure illustrates different **prototype formats** in relation to the level of implementation and the expertise required, as well as the time and resources needed:

Evidence of feasibility in principle

Minimum Viable Process/Product

Aligned value proposition and understanding

Implementation and expertise

Concept prototype

Imitative prototype

Functional prototype

Time and resources

1
Instructions in the handbook

2   **3**
Further training required, e.g. provided by CityLAB or other experts

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Fig. based on IDEO, Design for Europe, Nesta, 2017; modified by Paulick-Thiel & Köbler, 2020

1   Concept prototype

O   **Formats:** Provide tangible insight into the concept of the solution, must be contextualized and explained, e.g. role-play, paper prototype, storyboard

O   **Areas of application:** Establish a basis for understanding, try out in the team and on users to see how the idea can be improved and altered to achieve the desirable goal and overcome obstacles

O   **Outcomes:** Aligned value proposition and understanding, foundations for imitative prototype

2   Imitative prototype

O   **Formats:** Look and feel like the solution, can be experienced, and address concrete needs, e.g. experiential prototype, service role-play, simulation, business game, click dummy

O   **Areas of application:** Design experiences with a view to value and feasibility and test these out on users to see how features can be improved and altered to achieve the desirable goal and overcome obstacles

O   **Outcomes:** Basics for Minimal Viable Product/Useable Process (MVP)

3   Functional prototype

O   **Formats:** Work like the solution, can be applied, e.g. alpha version, and show an impact, e.g. Minimal Viable Product/Process (MVP), 3D prototype, context prototype

O   **Areas of application:** Compare actual results with the original intention, compare the impact of different solutions, try out on users to see how the application can be improved and altered, find out what is needed in terms of feasibility and scaling

O   **Outcomes:** Basics for Proof of Concept, Proof of Principle or Randomized Control Trials (RCT)

5 Test

Assemble Test Base

Time frame
30 – 45 minutes

Level
Simple – Medium

Materials
Interim outcomes
from the
Ideas Napkin
(p. 240),sticky
notes, pens

Roles
Facilitation,
documentation,
time management

What is it and what purpose does it serve?

The test base provides the foundation for creating a prototype and testing it. This overview contains all the necessary information required here: from the key data required to develop the prototype through to details of how to organize the test situation.

Added value

All knowledge and task packages are presented coherently at a glance. This creates a communication basis for involving test subjects, reporting to managers or delegating tasks within the team.
The test basis can be used to summarize the limited amount of resources required to test an idea with a view to its value.

The mistake is often made of designing a solution that is based too much on the project team's assumptions. Ultimately, however, the deciding factor will be what is important to future users. So before we design the prototype, we start by defining who the test subjects will be.

Procedure

01 Transfer template into a large format. Have material ready. When it comes to processing, follow the suggested flow and answer the stimuli questions in the individual fields. Note down key points. The further stages involve methodological elaboration of these basic ideas.

02 Start with the *prototype development* area. First, briefly describe the idea to be tested in order to set the framework for further elaboration (1). Based on this, formulate test hypotheses to clarify which functions are to be tested using the prototype (2).

03 Consider who should be included in the test group based on the components to be tested. In addition to previous key actors, include individuals with strong or extreme needs. These marginal groups can determine the specifications for the prototype and point the way to a suitable format (3). Develop key points for the **concept prototype** (p. 270): these will provide an important basis for effective prototyping (4).

04 Move on to the *organize test* area. First outline the test situation. What is the context in which test subjects provide the most authentic feedback? Describe the situation and the setting (5). Plan implementation based on this (6).

05 Determine the resources required (7). Consider who has contact with the people in the defined test group. As with the **preliminary talks**, (p. 140) *involve allies and partners:* in *Phase 3* to recruit test subjects.

Note: Testing on marginalized groups enables aspects to be investigated that can in turn contribute to a solution that is beneficial to everyone.

DEVELOP PROTOTYPE – area to be mapped out in concrete detail in Stage 2

1 Brief description of idea
Use the outcomes from the **Ideas Napkin**
(p. 240)
Name/hashtag:
Mechanism:
Conceived formats:

4 Key points relating to the concept prototype
How can we clearly convey the value of our idea to different test subjects in a simple way? Do we need different versions, e.g. for those impacted and those responsible? Elaborate based on **concept prototypes** (p. 270)

2 Write test hypotheses
What do we lack certainty about?
What is presumed to be true or false?
What can be easily disproved or proven?
What can be measurably tested with key actors?
Functions/components to be tested:

3 Define the test group
Which key actor groups have particularly strong or special needs that we should consider when designing the prototype? Describe by means of a **Persona Profile** (p. 266)

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Fig. based on Design on Ageing, Connected Living, IDEO, 2017, modified by Paulick-Thiel, Köbler & Arlt, 2020
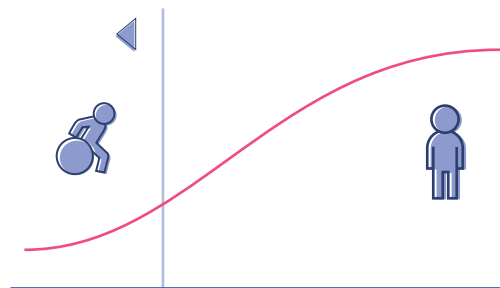
ORGANIZE TEST – use **Plan Test** Procedure (p. 278) to map out area in concrete detail

5 Outline test situation
What venue or context would be ideal for the test? Is it necessary to carry out the test in different situations, e.g. inside and outside the organization?

6 Plan implementation
What do we need to organize for the test situation to happen?
How will we evaluate our test?
Use **Document Test** (p. 282) to collect the necessary data

What key actors should be involved in testing the hypotheses?

7 Resources needed
Time:
Personnel:
Finance:
Knowledge:
Contacts:
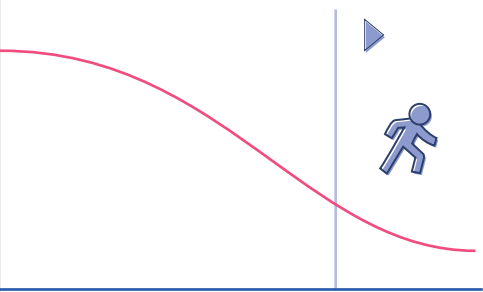
Structured experimentation

Public innovation comes from trying out and learning from prototypes. This is the only way to arrive at a common understanding of the developed concept within our team.

Incorporate different living situations
In order to ensure the key actors stay at the center of our innovation process, we create **Persona Profiles** (p. 266) that effectively remind us of the specific behaviors, interests, and expectations of specific groups of people. We also consider marginalized groups with special needs when developing **Persona Profiles**. Finally, by carrying out tests with extreme groups, it is possible to develop a holistic prototype.

Invite critical feedback
Equipped with a lot of knowledge, we set about creating a **concept prototype** (p. 270). The simple construction of this prototype puts ideas into a concrete form that key actors can interact with. The test data collected can be used to measure whether the direction is still on target or whether the prototype or our solution needs to be adapted. Critical feedback is particularly valuable here. It accelerates the learning process and contributes significantly to the efficient development of an impact-oriented public benefit.

Checklist

Build Concept Prototype

Define goal:

☐ Decide jointly what the prototype aims to achieve. Is a solution to be tested, or are we going to start with a specific interaction?

Narrow down the choice of materials and resources:

☐ **Concept prototypes** are effective but never finished – this can and should be visible.

☐ Usually a pen, paper and scissors are enough to make a prototype – and there are no limits to the imagination.

Create versions:

☐ It often takes only a few minutes to build different variants of a solution. Think with your hands without saying much. Surprise yourself as you see what emerges.

☐ The less time spent on production, the easier it is to discard ideas. Test subjects critique rough drafts more honestly than they do polished designs.

☐ Try out different formats.

Have fun strengthening the team's collaborative spirit:

☐ Creating **concept prototypes** should be enjoyable and actively involve all contributors.

Persona Profile

Time frame
30 – 180 minutes

Level
Medium

Materials
Findings and data from field investigation, Persona Profile, flipcharts, pens, sticky notes

Roles
Facilitation, documentation, time management

Suggestion
Personas stimulate the imagination and facilitate the communication of ideas.

What is it and what purpose does it serve?

Persona Profiles describe fictional characters. Each one usually represents a group of people, such as our key actors, with their shared interests, behavioral patterns, or demographic similarities. They're initially based on aggregate assumptions that are enriched and substantiated with insights from the investigation.

Added value

Different key groups of actors have different needs, experiences, and expectations that can be empathetically highlighted through **Persona Profiles**. Profiles of extreme or marginal actors support the development of solution concepts that are of value to a wide range of users.

The term *persona* is derived from ancient Greek theater. Here, the persona was a mask worn by players to underpin their role and serve as a mouthpiece. Today, a persona is a mouthpiece for a certain type of user.

Procedure

01 Define groups of actors in the organization and in society to be illustrated based on personas. Select at least three distinctive key or marginal groups.

02 Have investigation data ready according to the selection. Make artifacts, key images, quotes, screenshots easily accessible to everyone. Transfer template into a large format for each actor group, e.g. on two flipcharts. When developing the **Persona Profiles**, work in parallel in small groups if necessary.

03 Start by answering the question *"What am I like?"*. Use presorted data from the field investigation for inspiration. Write down answers on sticky notes and condense them into striking statements for each question. Based on this, answer the questions in the area *"Who am I?"*. Put a face to the data: round off the process with a drawing or collage.

04 Check whether the profile is realistic or feels too contrived. The most common pitfall in creating **Persona Profiles** is making idealizations that don't reflect reality. Ask colleagues who have real-life contact with the groups in question to see what they think. Adapt **Persona Profiles** accordingly.

05 Document outcomes. Personas are highly memorable because of their background stories and distinctive behavioral patterns. For this reason, the recommendation is to use them not just for the **concept prototype** (p. 270) but to communicate them physically or digitally within the organization, too.

Who am I?

Key phrase
(e.g. from the interview documentation)

Illustration

(e.g. drawing or collage)

About me
What is my name?
What type of person am I?
What is my gender? (m/f/d)
How old am I? (range)
My profession
What did I train as? Where do I work? What is
my area of work in the organization?
Personal background
Where do I come from?
What is my life story in miniature?

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Fig. based on Development Impact & You, 2015;
modified by Paulick-Thiel & Köbler 2020

What am I like?

My interests
What do I spend my free time doing? What do I like?
What do I read, watch and listen to regularly?

My challenges
What is challenging in my work? In day-to-day life?
What gives me trouble or causes me headaches?

My behavior
What are my routines, rituals, daily habits like?

My moments of success
What are my moments of professional success?
In my private life? What do I particularly enjoy about my work?

My needs
What do I need? At work?
In day-to-day life?
What is essential to me?
What am I lacking?

My goals
What am I striving to achieve?
Where am I heading?
What is my personal goal?

What do I think about the idea?

Fictitious quote
(e.g.: What conclusion do I draw after the first application?)

Pros:
What value does the idea offer me?
Why do I like the solution?

Contra:
What is stopping me from applying the solution? What causes resistance?

Concept Prototypes

Time frame
30 – 120 minutes

Level
Simple – Medium

Materials
Compile interim
outcomes from
Assemble Test
Base (p. 260)
and Persona Profile
(p. 266),
various pens, paper
(different types),
glue, scissors,
Lego, cardboard
plasticine, etc.

Roles
Facilitation,
time management

Suggestion
Make prototypes in
day-to-day work to
communicate your
ideas more clearly.

What is it and what purpose does it serve?

Concept Prototypes enable simple and cost-effective implementation of the core idea to be validated. This can be a visualized process, a simple drawing, or even a physically tangible object such as a paper prototype.

Added value

This allows the solution to be experienced at first hand. By having actors interact with the prototype in a usage context, problems can be identified early on and be fixed before money is spent on implementation. In addition, this approach often reveals aspects of the idea that were previously unknown or had not been thought of. As a result, valuable information can be collected on how to refine the idea and add what was previously lacking.

Studies on user experience show that changes in the product development process in the early stages are about 100 times more beneficial than changes made at later stages. Prototyping is particularly relevant to public administration when it comes to promoting targeted developments that are funded with public money.

Procedure

01 Sift test base together. The aim is to convey the mechanism and value at the core of the idea. Which **concept prototypes** or combinations are best suited to achieving this? Select one or more formats:

   A. **Storyboard** – *Visualization in scenes:* illustration and brief description of the main events relating to the envisaged solution.

   B. **Chain of experience** – *Process description with touch points:* individual steps before, during and after the interaction with the solution are captured in detail from the persona's perspective.

   C. **Paper prototype –** *Sketch of an object that belongs to the solution:* simply constructed object that brings the new interaction to life.

02 Have **Persona Profiles** ready. In what situation would they encounter the solution? What would their reaction be? Create storyboard and/or chain of experience to describe context and usage. If applicable, the description of the solution should include a medium or object that can be made as a paper prototype.

03 Have material ready. How can this medium or object be recreated from the materials at hand so as to enable a first-hand experience? Make paper prototype. Example: An illustrated software interface as a click dummy. Make different variants. Select the best one for interaction in the test.

04 Check **concept prototypes** for consistency. Does this clearly convey the experience with the solution, including the value it offers? If necessary, repeat Steps **02** and **03**.

Paper prototype

Cause

Solution

Storyboard

Before

During

A Description of touch point

C

B

D

E

Chain of experience

66 Quote by key actor 99

66 . . . 99

+ / -

A

B

C

D

E

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Fig. based on Nielsen Norman Group; modified by Paulick-Thiel, Köbler & Arlt, 2020

Value

After

F ————————
    ————————

G ————————
    ————————

"   . . .   "

G

F
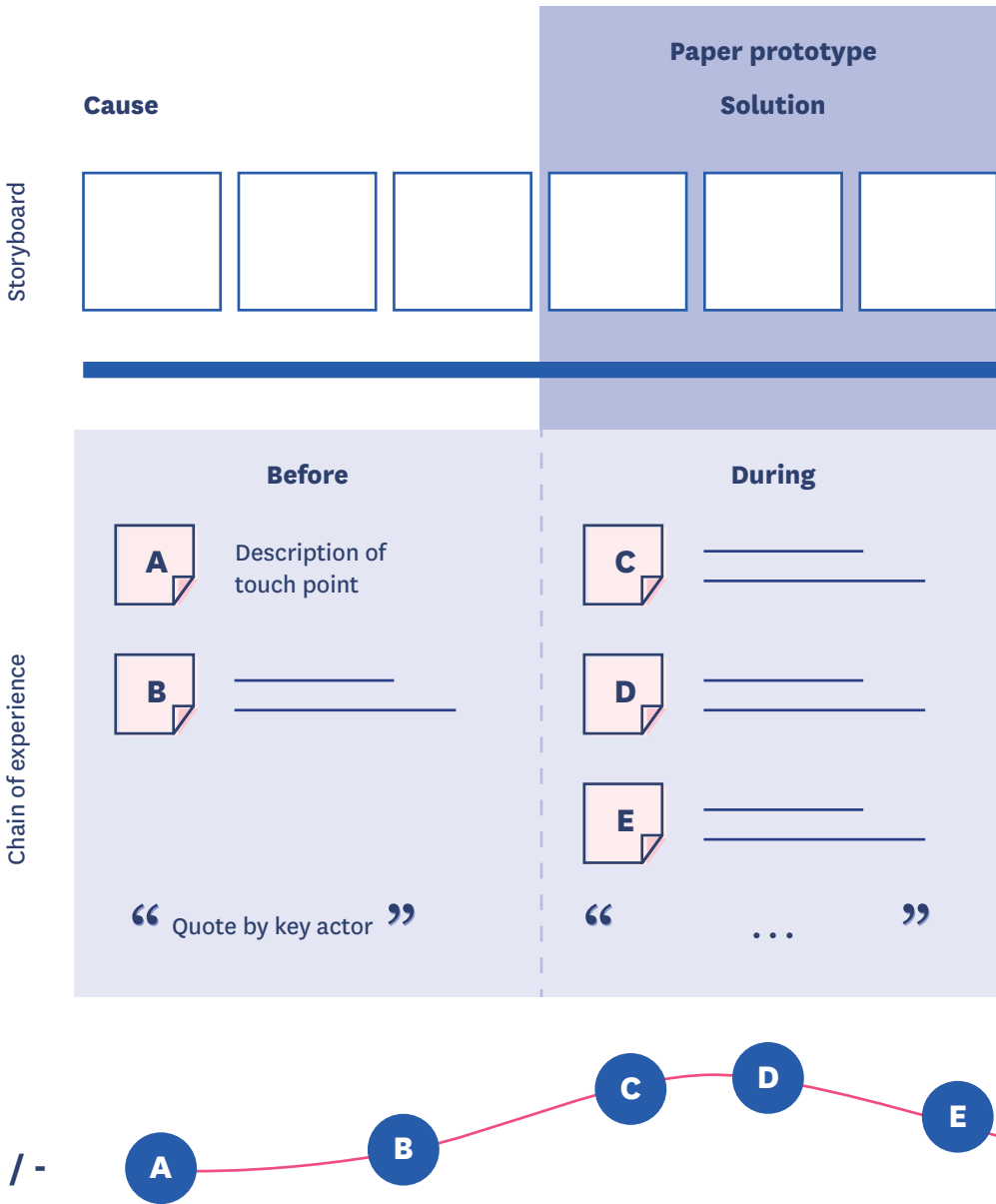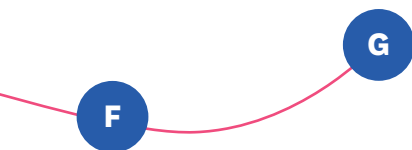
Storyboard

Storyboarding is used to depict interaction with the envisioned solution in pictures in a chronological, informal and easy-to-understand manner. No artistic talent is necessary for this. The focus is on telling a plausible story in a specific context.

Chain of experience

Based on the storyboard, a process can be described using the chain of experience (user journey map) as an overview of individual touch points involving the solution.

Paper prototype

Storyboards and chains of experience can be ideally complemented with a paper prototype. Drafts of this type invite honest feedback due to their unfinished state. Test subjects often interact with them more intuitively and may even be willing to help redesign them.

5 Test

273

A. Storyboard

01 Select one or more **Persona Profiles** (p. 266). Sketch out the golden thread of the story. To do this, embed the starting point, solution, and value of the idea in a narrative context. Who comes into contact with what? When and where does this happen? What are the goals and needs of key actors?

02 Create storyboard template. To do this, put up nine blank A4 sheets next to each other. Each sheet represents a moment in the story you're developing.

03 Sketch out the experience step by step and describe it in bullet points. To do this, start with the cause or problem on the first sheet. On the last sheet, show the value or experience in the target state. Use the sheets in between to describe the path from 1 to 9, including "introduce solution", "clarify interaction of personas with solution", "show how the solution is provided", etc. Address emotions in and between scenes.

04 Round off the story. To do this, check the sequence of scenes and, if necessary, move, recombine or adapt them. Visualize each scene in a striking manner. Work with simple drawings, photos, or supplemental details (e.g. speech bubbles with quotes) to illustrate the experience.

05 Repeat Steps **01** to **04** to map out different aspects of the solution or the views of different personas.

B. Chain of experience

01 Identify key scene in storyboard where the solution is introduced. Up to which scene does the interaction with the solution last? Break up the scenes to show three areas of interaction with the solution – before, during and after.

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02 Start in the area in *before* this, then look at how often, why and how the persona comes into contact with the solution. Write this down on sticky notes and place them in a logical sequence. Briefly describe the touch points: What happens? Who or what enables this step? Who else is impacted or responsible? How does the persona feel about this step? Round it off with an appropriate quote. Repeat the procedure for the other two areas.

03 Record the persona's emotion for each touch point. Arrange positive points at the top and negative points at the bottom, then join them together to form a mood curve. This might give rise to further test hypotheses or indicate previously overlooked hurdles.

04 Repeat Steps **01** to **03** to map out the perspectives of additional personas.

C. Paper prototype

01 Within the storyboard or chain of experience, select one or more interactions with the solution that seem particularly critical and require review.

02 Using pen and paper or even digital drawings, quickly explore different options for interacting with the solution. In order to sketch a software user interface, A3 sheets are suitable as a basis with the addition of colored sticky notes for user interaction areas such as buttons or input fields. A paper prototype can consist of several components or sheets for each interaction step.

Learn through interaction

Similar to the interview situation in Phase 3, the test situation needs to be well prepared in order to enable maximum learning from interaction with key actors or users.

Prepare participation carefully

Organization of the test situation includes **preliminary talks** (p. 140), selection of test subjects, a friendly reminder in advance and the signing of the **Consent Form** (p. 144) – if audio or video recordings are planned. In order to be able to verifiably record and analyze the data generated, it is advisable to assign anonymous abbreviations again.

Work as a team

The test is conducted by at least two people. One person facilitates, the other takes care of the documentation. One to three test subjects should be invited per test run. Ideally, the same number of observers from the team should be involved to **document the test** for each test subject (p. 282).

Clarify logistics

The preparation effort will vary depending on the prototype and test format. When it comes to testing a **concept prototype** (p. 270), the effort should be kept low so as to be able to effectively manage the expectations of those involved at this early stage.

Checklist

Test Prototype

The day before the test:

☐ Send test subjects a reminder with details of time and venue.

☐ Prepare required materials and prototype.

☐ **Plan test sequence** (p. 278).

☐ Assign roles. Who will carry out the test, who will take care of the documentation? If necessary, run through the process with colleagues.

On the day of the test:

☐ Print or copy templates of **Consent Form** (p. 144) and **Document Test** (p. 282).

☐ Make sure you're able to describe in a few minutes what the test subjects are to expect – without distorting the test result by providing too many details.

☐ Engage in the learning process. Accept feedback as a gift, ask in-depth questions, don't justify or explain anything in great detail, and use **Interview Basics** (p. 134) as a source of inspiration for interactions with test subjects.

☐ Welcome test subjects.

☐ Carry out the test!

After the test:

☐ **Analyze Test** (p. 288)

☐ Send out a brief thank-you note to the test subjects or an invitation to a presentation of the results.

Plan Test Procedure

Time frame
30 – 90 minutes

Level
Medium

Materials
Pens, paper, sticky notes

Roles
Facilitation, documentation, time management

Suggestion
Use the test structure and questions to gather feedback in your day-to-day work.

What is it and what purpose does it serve?
The test procedure describes the stages of the test situation over a defined period of time (e.g. 45 min). Detailed planning of important interaction points with the test subjects promotes the implementation of a methodically guided test run, combining dramaturgy and content with roles and attitudes.

Added value
Acting out the test situation focuses on strengthening effective interaction in the team, enabling an optimum test experience for those involved. By adapting the stimulus questions, specific assumptions relating to the solution can be assessed and adapted.

The structure of the test situation is based on *participatory observations*. The advantage of this method is that it creates an investigation situation that is close to the day-to-day life of the user. Truly authentic insights can be gained by uncovering routine patterns of behavior that often occur unconsciously.

Procedure

01   Transfer template to a larger piece of paper.

02   Using the bullet points along the route, consider the following:
Interaction: Who will be deployed and when?
What form of interaction is appropriate at which points?
Roles: Assign roles. Who will carry out the test, who will take care of the documentation? If necessary, run through the process with colleagues.
Time frame: How long should testing take?
Materials: What is needed in terms of material in order to:
- set up the room?
- redesign the path to the room if necessary?
- carry out the test?

Information: What information is needed in order to:
- communicate the test?
- prepare the test subjects?

Questions: What questions are to be answered? See hypotheses under **Assemble Test Base** (p. 260). Use stimulus questions from the template and adapt if necessary.
Think of a **conclusion**. For example, ask for a personal summary of the most important aspects, express gratitude and possibly offer further involvement.

03   Draw up a brief description for testing in the context of the venture. Write cover letters to contact test subjects.

04   Assemble working materials for the test persons, e.g. clipboard with paper, pen, sticky notes.

Test subjects
N° of total:
Test run
N° of total:
Recommendation:
max. two test subjects
per run

1

Welcome everyone

2

5 min

Briefly present the background to the test
Have them sign the Consent Form in verbal or digital form, depending on prototype format.

7

5 – 10 min

Ask key questions that the prototype is intended to answer
Select relevant questions:
What would motivate you to apply this solution?
How easy or difficult is it to understand the value?
What needs to be clarified? What are the advantages of the solution? What functions or aspects could increase the benefit?
Involve test subjects in quick interview.
Possibly invite them to draw something themselves.

8

5 – 10 min

Move away from specialist expertise and ask conceptual questions
Select relevant questions:
If you wanted to design desirable goal X, how would you go about it? What would need to be done to prevent this goal from being achieved? How could the obstacle be overcome? What would need to be considered in developing this further?
Have test subjects make verbal associations based on drawings or artifacts.

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3   **Warm-up – explain the role of the test subject**

3 min

Briefly introduce the context of the test and what it is attempting to achieve, answering any comprehension issues, but without explaining, anticipating or pitching anything.

4   **Start test situation**

Be prepared for follow-up questions and answer them later if necessary. From now on: **Document Test** (p. 282).

6   **Ask for honest feedback on the prototype**

5 – 10 min

Select relevant questions:
What do you think about this idea in general? What questions occur to you? What would you change? How? What would you keep? Why?
Listen with interest and ask comprehension questions only if necessary, don't engage in dialog.

5   **Have test subjects interact with the prototype**

10 – 15 min

Observe and document interactions.

Allow the prototype to take effect – don't try to sell it or explain it!

9   **Thanks and conclusion**

5 min

Say that the test outcomes will be analyzed anonymously; possibly round off with a brief summary and a look ahead to what comes next.

5 Test

Document Test

Time frame
60 – 90 minutes

Level
Simple – Moderate

Materials
Test procedure,
pens, sticky notes,
possibly paper or
pad for record-
keeping, recording
device, camera
for the purpose of
documentation

Roles
Facilitation,
observation,
documentation

Suggestion
Use matrix to
write short memos
at lectures or
congresses, for
example.

What is it and what purpose does it serve?

The test situation and application of the prototype is documented using a simple matrix.
Documentation is based on specific observation points and original quotes. It should be carried out in a focused manner for each test subject throughout the entire course of the test.

Added value

After the test, the documentation is jointly reviewed by a team. In addition to the test questions, users' body language and interactions can also provide relevant insights into the functionality of the solution. The insights are condensed in the template **Analyze Test** (p. 288).

In the case of multiple test situations, it is advisable to meet as a team immediately after each test run and reflect on the experience. As an addition to the documentation drawn up during the test – which is fundamental for the overall analysis – an ad hoc assessment allows spontaneous adjustments to be made to the prototype or the test situation, thereby accelerating the learning process.

Procedure

01 Work as a team before, during and after the test. Assign roles. In case of multiple test subjects, determine one observer for each test subject, each using a separate documentation template.

02 Facilitator guides everyone through the test run using **Plan Test Procedure** (p. 278): Welcome test subjects (1), explain the background to the test (2) and prepare participants for their role as test subjects (3). If necessary, answer questions about the procedure or any comprehension questions that might arise about the test situation. Remember the **Consent Form** (p. 144) and the recording; point out to test subjects that all data will be anonymized. Establish an open atmosphere.

03 Introduce and start the test situation (4). Have the test subjects interact with the prototype. Documenters observe, noting down interaction and behavior (5). Pay attention to body language, facial expressions, tone of voice, and choice of words. Use the template to record observations:
- **A.** What works?
- **B.** Where do questions arise?
- **C.** What new ideas emerge?
- **D.** What doesn't work?

04 Facilitate honest feedback (6), ask core questions about the prototype (7) and the concept (8) so as to understand test subjects' underlying thoughts. Documenters make further notes in Fields A,B,C and D. Original quotes are of particular interest.

05 Bring the test situation to a close (9). Complete notes and conclude by formulating a key phrase or observation.

A: What works?

What was fascinating?
What was most appreciated?
What generated resonance in terms of the idea?

B: Where do questions arise?

What was critically challenged?
What needs further investigation?
What made us curious?

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Fig. based on Design Kit, Acumen/IDEO, 2015;
adapted by Paulick-Thiel, 2020

C: What new ideas emerge?

Were there any suggestions for improvements?

What surprised us?

What would we like to try next?

D: What doesn't work?

What generated resistance?

What was rejected?

What was not understood in terms of the idea?

5 Test

Learn from the test results

The test situation threw up a wide range of different impressions. We documented the tests in full. This means that sufficient data is available: this now needs to be analyzed so as to incorporate the findings into advancing the core of our solution.

Reflect on the test
Similar to the interview analysis, the analysis of our test subjects' feedback requires a mental framework. By sorting and condensing the observations and original quotes, patterns emerge that allow us to better understand what minor adjustments or major changes our solution needs.

Take the solution to the next level
The analysis of test results is a collective thought process undertaken by everyone on our team. This is not about defending the prototype as developed but about drawing systematic conclusions. From these it will be possible to derive the next steps and concrete measures to improve the solution. The **Analyze Test** template (p. 288) makes it easy to structure test outcomes.

Once we have identified what the test subjects liked most about our idea, we make sure this knowledge is prioritized and reinforced in the further development of our solution.

Failure is part and parcel of success

In addition to positive feedback, we're particularly interested to know what didn't work or what met with resistance. We questioned these aspects in the test situation to gain a better understanding of why someone didn't like something. In conversation with the test subjects, we discovered what improvements they would like to see and how they would approach further development. We take these suggestions on board with a sense of curiosity and make sure they're integrated in the next development stage so as to help us improve the prototype in this way.

Creative destruction

We get our creative juices flowing again so as to be able to master this potentially sobering task with a sense of curiosity and joy. Before or during the analysis, warm-ups are a great way of lifting our mood. Working in Yes-And mode or a round of **Creative Aikido** (p. 215) are ways of providing more light-hearted support as we come to draw conclusions or plan the next steps.

Analyze Test

Time frame
30 – 45 minutes

Level
Simple – Medium

Materials
Paper, sticky notes, pens

Roles
Facilitation, time management, documentation

Suggestion
Use the *3 x What* question formula to conclude meetings or workshops

What is it and what purpose does it serve?

The *3 x What* reflection method enables us to review a shared experience in a structured way. This is accomplished by going through three stages: gathering facts *(What?)*, interpreting the facts and deriving conclusions *(So what?)*, and deciding on the next logical steps (*Now what*?).

Added value

Every voice is heard, allowing key insights and new directions to emerge. This joint approach prevents the kind of misunderstandings from arising that otherwise tend to fuel disagreement about what to do next.

What? So What? What if? Now What? is a *Liberating Structure* developed by Henri Lipmanowicz and Keith McCandless. Chris Argyris published this *ladder of inference* in *Reasoning, Learning, and Action*: *Individual and Organizational* (1982). Peter Senge popularized the concept through his book The *Fifth Discipline*: *The Art and Practice of the Learning Organization* (1990).

Procedure

01   Transfer template into a large format and have material ready. Envision test situation once again. Use documentation from the test run for this purpose.

02   **WHAT?** Working in silence, use stimulus questions in Field A to reflect on the test. Note down the main aspects on sticky notes (2 min). Each person presents what they wrote down and places the slips in the relevant section in Field A (1 min per person). Working together, look for similarities and place sticky notes in Field A accordingly (5 min).

03   **SO WHAT?** Look at patterns and consider for yourself what might be derived from these. Use stimulus questions in Field B; this might involve taking leave of aspects you'd grown to like. Note down the main aspects on sticky notes (2 min). Each person presents what they wrote down and places the slips of paper in the appropriate area of the matrix in Field B (2 min per person). Once all the slips are in place, group similar aspects in the inner part of the fields.

04   **NOW WHAT?** Look at the patterns and consider for yourself what this means moving forward. Use stimulus questions in Field C. Each person presents what they wrote down and places the slips in the appropriate section in Field C (2 min per person).

05   Document all the outcomes and keep them in the **MVP Canvas** (p. 294) for further processing.

A: WHAT?
What happened during testing? What was striking?
Observations:
What did we observe?
Opinions:
How do we assess this?
Evidence and facts:
How can we tell that the opinion is based on evidence?

B: SO WHAT?
What can we say based on the data in Field A? What conclusions can be drawn from the observations, opinions and facts?

What is available?

What is not available?

remove

avoid

What is not desirable?

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Fig. based on Liberating Structures & Dark Horse, 2016; modified by Paulick-Thiel & Köbler, 2020
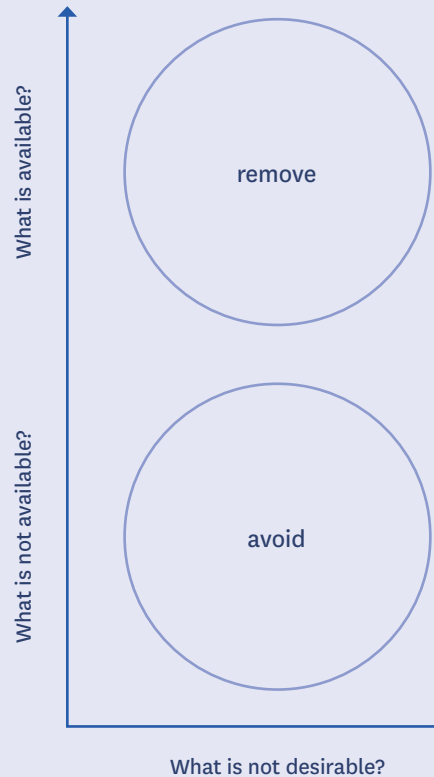
maintain

achieve

What is desirable?

C: NOW WHAT?
What do we need so as to be able to learn from the conclusions in Field B?
Confirmed assumptions:
Which assumptions have been confirmed?
Foundations for further development:
Which aspects should we definitely incorporate and pursue in greater depth?
New test hypotheses:
Which assumptions should be investigated in a new test situation?

5 Test

Follow the innovation trail

We finish off the test phase with valuable outcomes. Drawing on the results of the prototype test, we can incorporate what we learned into a working prototype and then test this again.

Responsible development

The tests showed that we were wrong in some of our suppositions. Based on a tested prototype, it would be irresponsible to assume that our solution can now be implemented in the system with all its reciprocal effects. In order to be able to examine risks and critical assumptions at the lowest possible cost, we still need real-life experience with real-life people.

Consolidate what has been learned

We're interested in a solution that leads to direct improvements as quickly as possible. The evidence gained through the **Concept Prototype** (p. 270) forms the basis for extension to operational capability and functionality. The core value remains in focus. When designing imitative or functional prototypes, details are omitted, as are almost all capability features.

So now we're looking for the basic functionality that will allow our solution to be used in the real world at the lowest level. This so-called *Minimal Viable Product/Process (MVP)* is a functional prototype.

Design as much as necessary, as little as possible

When developing new products or processes, the challenge is to find a feature set that both solves a real problem and can be created using very little time and resources.

Use value as a basis

There are lots of definitions and implementations for MVPs. People agree that a value basis is needed to make the functions fit precisely. For this reason, our MVP is based on desirable and effective features that are already rudimentary in the **concept prototype** and gratifying to our key actors. In the **MVP Canvas** (p. 294) we collect the main insights for the design of a functional prototype. This creates an overview that provides a sound basis for discussing the next steps with managers. MVPs are basic tools in the development of digital-social applications that are directly linked to agile, collaborative approaches. These cultural aspects should be considered at an early stage.

MVP Canvas

Time frame
45 – 90 minutes

Level
Medium

Materials
Test documentation (p. 282), test analysis (p. 288), sticky notes, pens

Roles
Facilitation, time management, documentation

What is it and what purpose does it serve?
This canvas enables us to develop the foundations of a *Minimal Viable Product/Process*. This is the version of our product or process that validates the value of our solution for selected users with the least possible effort. The MVP approach is based on the principle of creating a product or process as quickly as possible and equipping it only with the basic functions.

Added value
MVPs are essential to minimize risk factors in the course of the further development process. By creating and testing only a rough, low-cost version first, more elaborate features and functions can be developed incrementally.

Thinking in terms of MVPs offers new opportunities for public administration: in this sector it is particularly important to be able to set up experiments during the planning of (large-scale) projects that quickly illustrate the assumed value for citizens or employees at a low cost.

Procedure

01 Document the interim outcomes obtained so far from **Document Test** (p. 282) and have **Analyze Test** (p. 288) ready. Transfer template to a larger piece of paper or use as a structure for creating presentation slides.

02 Using the stimulus questions under the triangle, consider what should go into developing the MVP concept. Work methodically and let each person have their say. Note down initial suggestions (15 min).

03 Focus on the right-hand side of the template, briefly presenting all headings. Split up into small groups of 2-3 people and collect the most important aspects of each heading, with the groups working at the same time. Use stimulus questions (20 min).

04 Present interim outcomes and discuss them to capture the essence (15 min).

05 Clarify any outstanding questions and decide on who will elaborate individual aspects, e.g. a cost projection, and by when.

06 Prepare presentation of results and further actions.

MVP Basics

functional

operational

effective

desirable

Maximum Viable Product/Process

**Minimum Viable Product/Process
Functional prototype**

**From the concept prototype
Foundations for further development:**
Which aspects should we definitely incorporate and pursue in greater depth?

New test hypotheses:
Which assumptions should be investigated in a new test situation?

Desirable: What could be improved?

Effective: What should be expanded on?

Feasible: What conditions would enable the solution to be put to real-life use for the first time? Signpost for further shaping.

Functional: What does the product/process definitely have to be able to do to prove or disprove the assumptions? Signpost for core function.

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MVP Development Plan

WHO?
Who is the MVP to be developed for? Has prototyping and testing changed (narrowed or broadened) the target group?

WHY?
What value is to be created by means of the MVP?
What overall goals are we aiming to contribute to?

WHY?
What problem does the MVP solve? What actions does it seek to improve or simplify? What experiences does the MVP seek to enable?

WHAT?
What tasks are to be performed? What is the main function that can be derived from this? What format is relevant in terms of testing this function?

Assumptions (target behavior)
What do we want to find out? What do we assume the MVP achieves?

Data basis (actual behavior)
How do we measure the results of the MVP? When do we know they have been achieved?

Resources
What are the costs and time line for the MVP? What expertise do we need to create the MVP?

5 Test

Document Outcomes

The documentation of the main outcomes of this phase gives us a keener perception of the work that lies ahead of us. What key insights can be drawn from the individual stages?

Stage 1 **Prepare test**
What hypotheses formed the basis for the tests?

_____

_____

_____

Stage 2 **Create prototypes**
Which **concept prototype** was created for which personas?

_____

_____

_____

Stage 3 **Run test**
Which key actors tested the prototype?

_____

_____

_____

Stage 4 **Learn and adapt**
What worked well and what needed to be adjusted?

_____

_____

_____

Stage 5 **Validate the benefits**
Which product or process with basic functions was designed to demonstrate added value?

_____

_____

Conclude the test phase

Things to celebrate:
In the test phase, our solution emerged as a visible and tangible prototype. We were able to watch how the test subjects got to grips with the solution we had in mind in an initial test run. During this process, we found out what is important to and valued by the people we're doing this for. We had fun creating personas, and they will stay with us beyond the process.

Things that might have been strenuous:
We're proud of the prototype we developed, so it was difficult not to praise it in the test or defend it in the aftermath. Sobering feedback has not left us indifferent. Surprisingly, having our assumptions refuted has noticeably refined the core of the solution.

Things that can be helpful in dealing with the above:

- Critical feedback is a valuable treasure for further development
- Rather than seeking to justify ourselves, we should question criticism positively and be aware of the opportunities it offers
- Encourage test subjects to describe their experience with the prototype using all their senses

Myself and the process

Innovation processes demand a lot of us personally, especially when it comes to testing. Here we can learn to deal constructively with critical feedback.
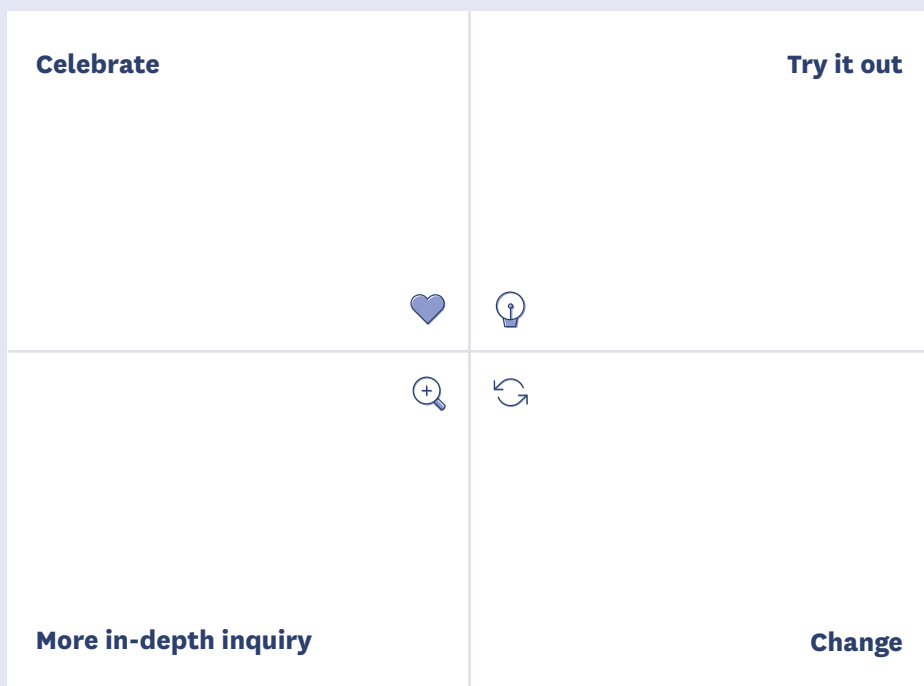
Celebrate ♥	**Try it out**
🔍 **More in-depth inquiry**	↺ **Change**

Based on my experience at this stage, my advice to colleagues who are planning to do something similar is as follows:

> "
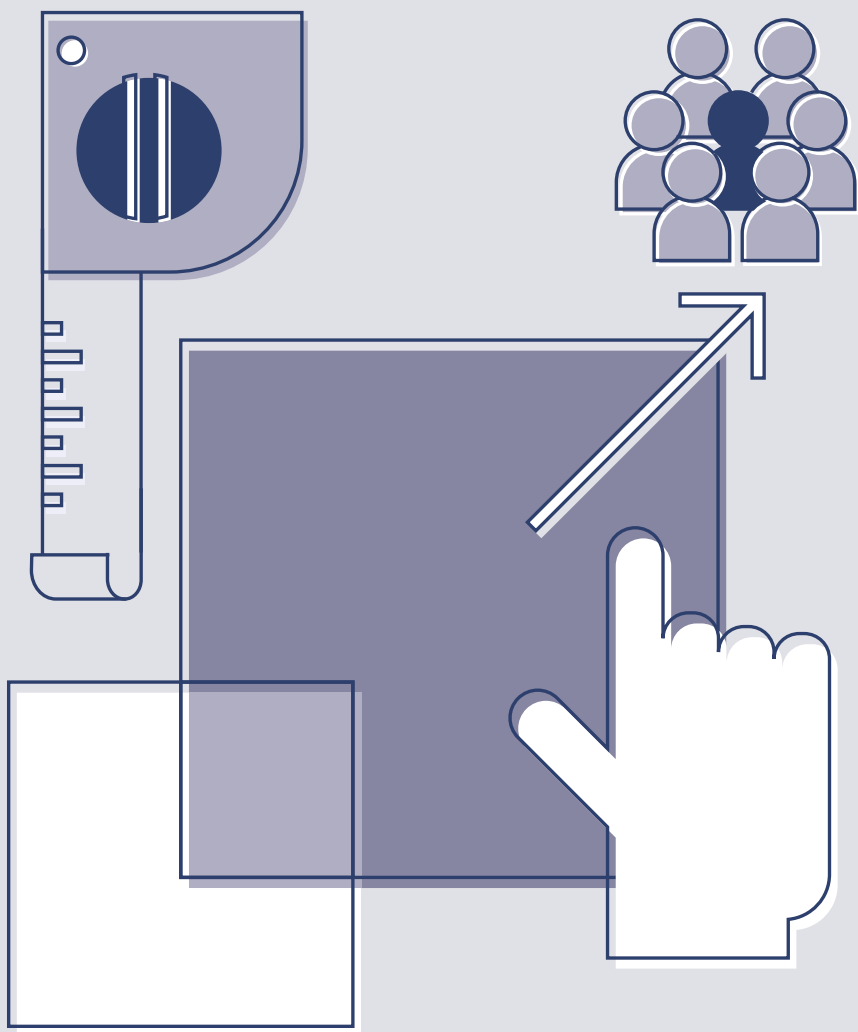
Phase 6

Navigate

" *If we take the future seriously,*
we must stop leaving it to others
and take action ourselves. "

Jane Goodall

Deal with ambiguity

The structured process of discovery has paid off! By engaging intensively with the problem area, we were able to understand what drives our key actors and clarify the relationships between the individual and the system. In the solution area, we deepened this understanding and tested the core of our idea. This approach is a much-validated method that is worth taking to the next level, scaling and evolving.

The next steps are numerous and diverse, and they will depend very much on context. Navigating ambiguity is a key feature of public innovation capability. This chapter provides a brief perspective on how our new product or process can become established within an ever-changing environment.

Phase 1
Prepare
Start the
venture

Phase 2
Explore
Set the
exploration focus

Phase 3
Discover
Identify areas
of potential
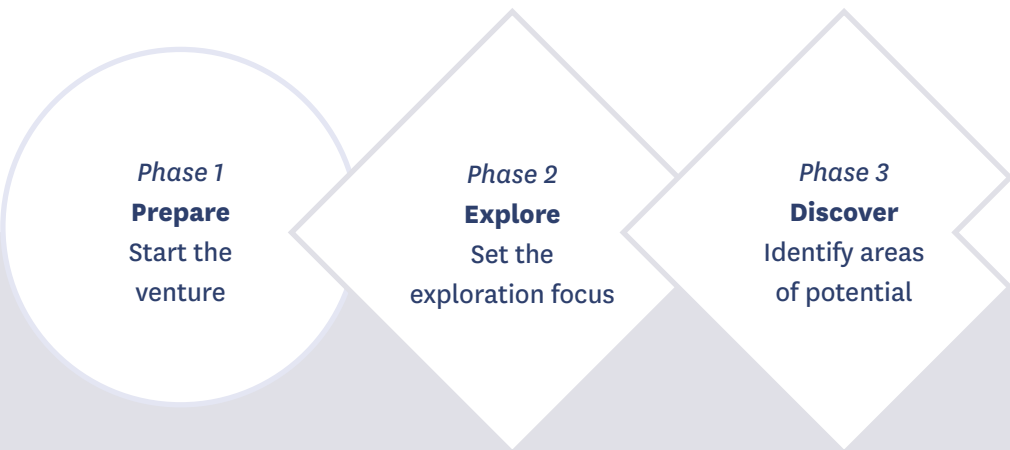
Our venture started with a view to systemic interactions, also taking into account the requirements of the systems in which implementation is to take place moving forward. In order to help us stay on course, the accompanying impact analysis is supported by an evaluation approach developed specifically for public innovations.

Any innovative approach challenges the adaptability of people and the organization. The friction that this generates is a sign of our success. We will use this constructively to establish a culture of innovation in the long term.

Phase 4
Design
Define the
envisaged solution

Phase 5
Test
Validate
the benefits

Phase 6
Navigate
Support
innovations
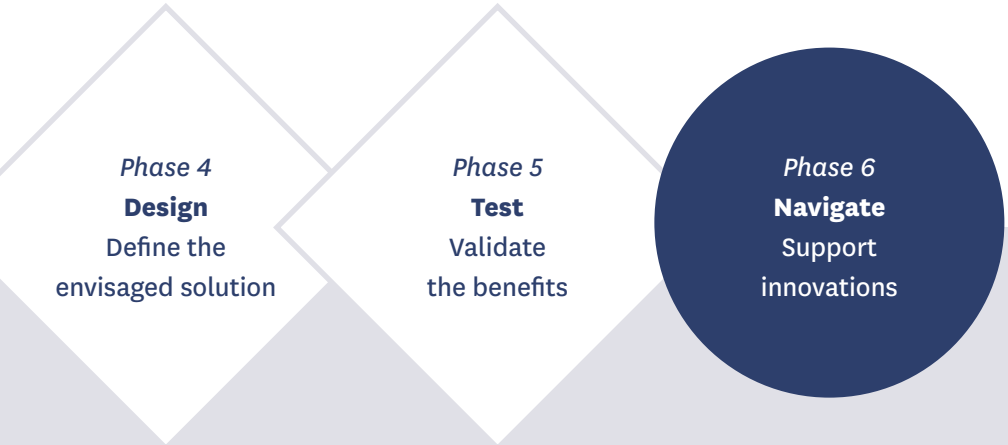
Phase objective and viewpoints

In the *navigating phase,* we break away from the individual stages and present a selection of relevant viewpoints. As such, this chapter provides a 360° view, showing in excerpts how the outcomes and experiences we have accumulated so far can be used as a knowledge base. In order to promote innovative work beyond this venture, we will create a navigation tool to facilitate knowledge transfer and communication with managers.
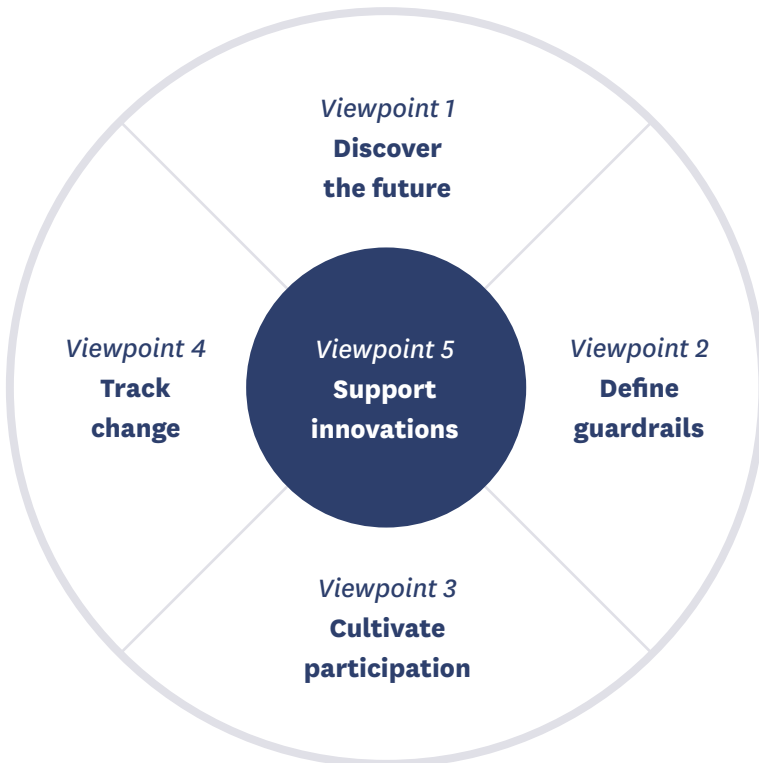
Viewpoint 1
**Discover
the future**

Viewpoint 4
**Track
change**

Viewpoint 5
**Support
innovations**

Viewpoint 2
**Define
guardrails**

Viewpoint 3
**Cultivate
participation**

Methods

Broaden the field of vision

Public innovation claims to help shape a future that is difficult to predict. The next steps toward transfer and scale can only be taken if a variety of options are considered.

Based on the **Impact Staircase with Consequence Analysis** (p. 310) we can design a future scenario to which our solution aims to contribute and which should be desirable for us and our key actors. In doing so, we open up a long-term target corridor that indicates which decisions need to be made and which steps are necessary. By incorporating positive and negative consequences in our projection, assumed results and impacts can be questioned at an early stage and adjusted if necessary.

Since the future is full of surprises, it makes sense to develop not just one scenario, but several. Futurology has attracted the interest of many public organizations in recent years. Unlike linear forecasts, this primarily involves an impact-oriented approach and describing clearly distinguishable scenarios.

Consideration of critical and uncertain factors stimulates the development of multiple scenarios that include less positive future projections and expand the horizons of the venture. By addressing **Critical Uncertainties** (p. 314) we prepare ourselves to proactively respond to and constructively deal with surprises, crisis situations or unexpected problems.
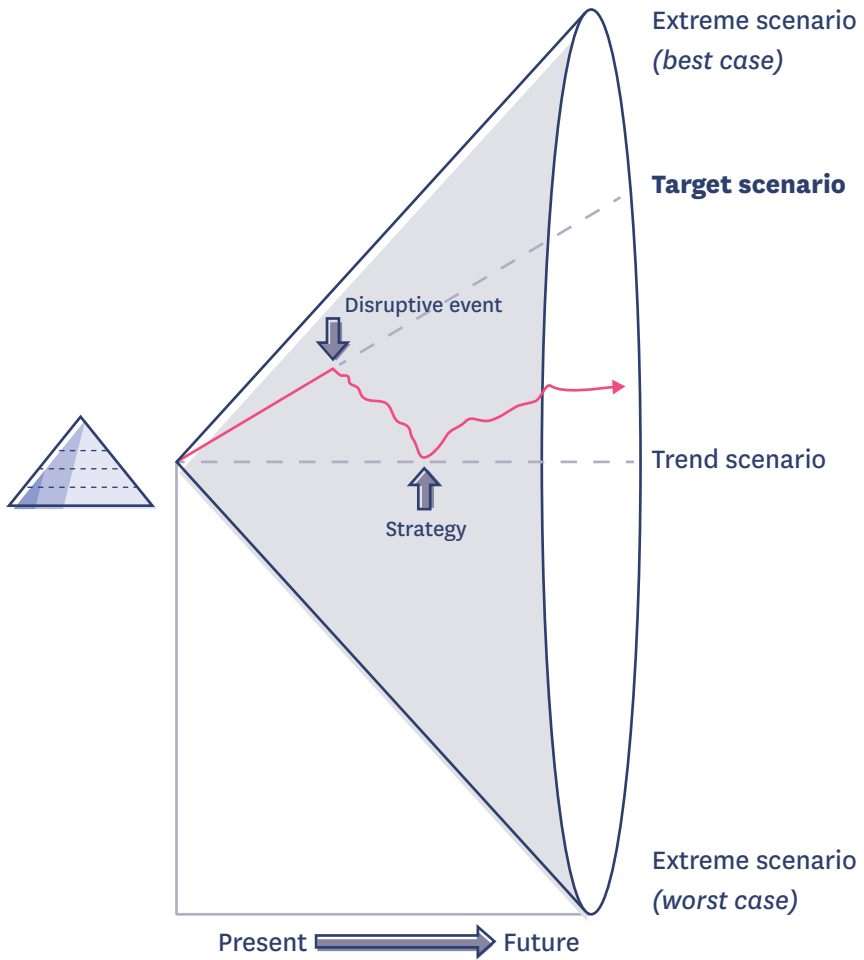
Extreme scenario
(best case)

Target scenario

Disruptive event

Trend scenario

Strategy

Extreme scenario
(worst case)

Present ➡ Future

Impact Staircase with Consequence Analysis

Time frame
30 – 45 minutes

Difficulty
Medium

Materials
MVP Canvas
(p. 294),
sticky notes, pens

Roles
Facilitation,
documentation,
time management

Suggestion
Break down output
and input into the
smallest units of
action and try out on
a day-to-day basis
how minimal changes
can have an impact.

What is it and what purpose does it serve?

The **Impact Staircase** promotes thinking from the future to the present. The long-term impact goals (*impact*) provide guidance by strategically linking the achievement of medium-term results (*outcome*) to the implementation of planned services and measures (*output*). The functioning of a project is clearly illustrated and related to the effort that goes into producing it (*input*).

Added value

Long-term projection into the future makes it easy to describe dependencies between the impact and the immediate benefits of a solution. The inclusion of unintended consequences prevents a one-dimensional view.

Impact logic is a proven tool for estimating and assessing the quality and cost-effectiveness of planned interventions. All dimensions of impact are relevant in gaining a better understanding of the relationships between intervention, outcomes, impact, and consequences.

Procedure

01 Transfer the right-hand side of the template into a large format. Have material ready. Enter the name of the venture and the groups of actors. Read through the seven *state descriptions* on the left-hand side beforehand.

02 First work on the *target states* column. Start in Field 1. Read the state description out loud. What target state can our solution bring about? Working in silence, write down characteristic aspects that indicate this state has been achieved. One aspect per sticky note.

03 Briefly introduce the aspects written down one by one and put up sticky notes accordingly. Identical or similar aspects can be grouped right away.

04 Repeat Steps **02** and **03** for the other six fields.

05 Finally, engage in a group discussion on the points collected in all the fields, then elaborate and note down the core aspects for each field.

06 Switch to the second column. Derive possible consequences for each target state: If the target state is achieved, what are the positive and negative consequences? Write this down and put it up on the template.

07 Finally, consider what activities are required to achieve the target states and how negative consequences can be mitigated. Document interim outcomes thoroughly, possibly use again with **Critical Uncertainties** (p. 314).

State descriptions

Future

Impact

1. Social, economic, ecological changes are desired for a whole organization, region, society, etc.

2. The living situation of the groups of actors within the scope of the outreach was changed in a desirable way (socially, economically, ecologically, etc.)

3. Changes are desired in the actions of the groups of actors within the scope of the outreach?

4. The groups of actors within the scope of the outreach have gained new knowledge or skills, have consolidated/changed attitudes, formed opinions, etc.

Outcome

5. The groups of actors within the scope of the outreach accept the services/measures and are satisfied with these

6. The groups of actors were addressed within the scope of the outreach and make use of the services/measures in the desired numbers, etc.

7. The services and measures are implemented on time, on budget, in exchange with the groups of actors (functionality, operability are guaranteed, etc.)

Present

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Fig. based on Univation (originator) and PHINEO gAG (further development), modified by Paulick-Thiel, 2020

Venture:

Groups of actors:

Target states

1. State can be recognized by:
2. State can be recognized by:
3. State can be recognized by:
4. State can be recognized by:
5. State can be recognized by:
6. State can be recognized by:
7. State can be recognized by:

Possibly use Development Plan (p. 68)

Potential consequences

Positive
Negative
Positive
Negative
Positive
Negative
Positive
Negative
Positive
Negative
Positive
Negative
Positive
Negative

Adapt MVP Canvas (p. 294) if necessary

Critical Uncertainties

Time frame
40 – 90 minutes

Difficulty
Simple – Medium

Materials
Possibly outcomes of
the Impact Staircase
with Consequence
Analysis (p. 310),
sticky notes, pens

Roles
Facilitation,
documentation,
time management

Suggestion
Identify critical
uncertainties in
existing workflows so
as to ensure robust
protection of key
processes.

What is it and what purpose does it serve?
By considering critical and uncertain factors,
a spectrum of scenarios emerges that are relevant
to the implementation of the solution. Robust and
protective strategies are designed for the different
scenarios in order to be able to respond proactively.

Added value
This method promotes adaptive thinking and focuses
resilience to unpredictable stress. By thinking
about surprises early on, it is possible to increase
responsiveness and foster reliance on decentralized
solutions.

Scenarios are based on forecasting techniques that are mainly
used in strategic planning in politics, science and business. The
aim is to analyze possible future developments and present them
in a coherent manner. This *Liberating Structure* was invented by
H. Lipmanowicz & K. McCandless and inspired by J. Ogilvy.

Procedure

01 Transfer fields and axes of the template into a large format. Have material ready.

02 To prepare, draw up a list of critical and uncertain factors on which the success or failure of the project depends. Use stimulus questions from A to do this. Prioritize the factors listed.

03 Select the two most relevant factors (X and Y) and plot them on the X and Y axes of B. The axes create four quadrants, each corresponding to a scenario. Develop the four scenarios one after the other. Start with 1: What would it be like if X and Y were to come about in a very striking way? Assign a concise scenario name and note it in the field. Repeat for the other scenarios with their respective characteristics.

04 Describe one suitable example for each scenario, e.g. as a role-play conducted in parallel in small groups. What happens if the scenario comes about? Note down the most important aspects. Use stimulus questions from C to develop three strategies for each scenario that make it possible to take action in an impact-oriented manner despite the uncertainties. Document interim outcomes and share with the other small groups.

05 Work together to identify overarching strategies. Very robust: What strategies can be successful in multiple scenarios? Very protective: Which strategies are only successful in the relevant scenario but provide effective protection in the event of a crisis? Document outcomes and consider them as development progresses.

A: Draw up a list of critical and uncertain factors

What factors are unpredictable or uncontrollable in our work environment? What social, technological, economic or environmental factors pose a threat to successful action?

B: Develop scenarios, e.g. in role-plays

4. Scenario:
(X low/Y high)

+ high

Critical Uncertainty Y:

– low   **Critical Uncertainty X:**

– low

3. Scenario:
(X low/Y low)

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Fig. Liberating Structures combined with Board of Innovation, 2020
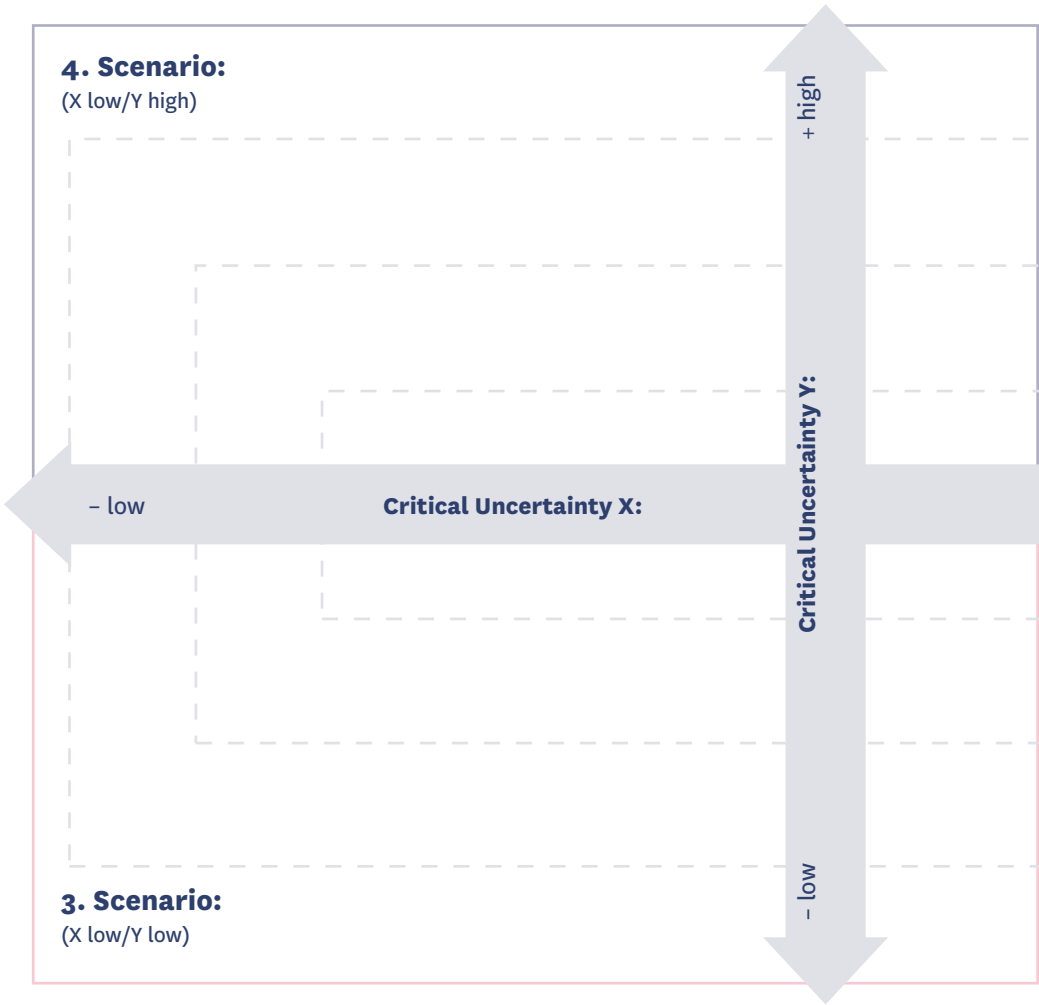
C: Derive strategies

How can we ensure within this scenario that our solution contributes to desirable change? Describe what strategic activities are needed to achieve this in 6, 18 and 36 months.

1st Scenario:
(X high/Y high)

Strategy for 36 months

Strategy for 18 months

Strategy for 6 months

+ high

2nd Scenario:
(X high/Y low)

Experiment legitimately

Public innovations often aim to deliberately improve administrative and political processes. As a result, social, ethical and legal implications always have to be taken into account. Instead of viewing these as a barrier, we use these requirements as guardrails for the further development of our innovation.

The current demands on public administration have set a lot of things in motion in recent years. From nationwide digitalization labs to international declarations in favor of innovation in the public sector, a variety of approaches exist to promote new administrative action. By consciously looking at whether and how the requirements could stand in the way of our approach, we can find room for maneuver which allows us to experiment right away.

The following **checklist** contains a selection of relevant guidelines supporting responsible innovation processes and legitimately expanding the principles of administrative action. In addition to the categories listed here, look out for subject-specific guardrails. The *Amsterdam City Doughnut*, for example, provides a sound basis for combining choices in such a way that social and environmental factors can be considered locally and globally from the outset.

Checklist

Guardrails

The digital world:
- ☐ *Digitale Verwaltung 2020,* Verwaltung Innovativ
- ☐ Publications issued by *Kompetenzzentrum Öffentliche IT*
- ☐ *Handbuch Krisenresilienz von Verwaltungen,* Code for Germany
- ☐ *Digitaler Servicestandard für Deutschland,* Public Service Lab

Sustainability:
- ☐ *Toolbox Koinno,* BMWi
- ☐ *Kompass Nachhaltigkeit,* Öffentliche Beschaffung
- ☐ *Ökodesign Richtlinie,* Wikipedia
- ☐ *Amsterdam City Doughnut,* Kate Raworth

Participation:
- ☐ *Leitlinien für gute Bürgerbeteiligung,* BMU
- ☐ *Leitlinien Beteiligung,* berlin.de
- ☐ *Netzwerk Bürgerbeteiligung,* Stiftung Mitarbeit

Regulation:
- ☐ *NKR-Gutachten 2019,* Nationaler Normenkontrollrat
- ☐ *Arbeitsprogramme Bessere Rechtsetzung,* Bundesregierung
- ☐ *Testräume für Innovation und Regulierung,* BMWi

Innovation:
- ☐ *Verwaltung Innovativ,* Bundesregierung
- ☐ *Strategische Normung,* Deutsches Institut für Normung
- ☐ *Declaration on Public Sector Innovation,* OECD

Consolidate innovative working methods

Public innovation processes in administration often involve cross-level design, which is unusual for a formal environment. Since new interactions with the outside world almost always require an adjustment of internal work processes and decision-making procedures, defined areas of responsibility and work structures are put to the test.

Even small changes such as using first names in workshop situations can cause irritation in the system. If resistance can be addressed, formal and informal organizational rules can be revealed and recast. In order for a cultural change to take place, courage is needed and managers who are willing to provide guidance and invest in the skills of their employees despite uncertainty.

Self-organized and targeted impact initiatives enable behaviors that strengthen ownership and collaboration. By making our accumulated knowledge available and supporting other colleagues to carry out their own innovation process, we can bring our venture to a successful conclusion.

Implementing our solution on a larger scale will require several initiatives running in parallel. Through the establishment of **Competence Teams** (p. 322), the required skills can be assembled independently of hierarchy and department. After all, it is not the level of superiority or affiliation to an organizational unit that is the key factor in terms of successful implementation but networked and motivating collaboration between individuals with diverse backgrounds.

The **Competence Teams** implement initiatives to scale innovation. Similar to the development of the solution, these processes consist of different phases that have to be designed with the participation of different stakeholders. The **Participation Options** (p. 326) allow common or uncommon patterns of public action patterns to be combined and reflected on in different ways.

By this means, a process can be designed that involves impacted and responsible actors as designers at crucial points. This joint, networked action is vital to promoting the coordinated and effective dissemination of the solution in an existing context while at the same time embedding new design approaches within the organization.

Competence Teams

Time frame
40 – 60 minutes

Difficulty
Medium

Materials
Impact Staircase
with Consequence
Analysis (p. 310),
MVP Canvas
(p. 294),
Sticky notes, pens

Roles
Facilitation,
documentation, time
management

Suggestion
Assign core team
members to different
initiatives so as
to systematically
embed the acquired
methodological
knowledge within the
organization.

What is it and what purpose does it serve?

This method can be used to divide up larger innovation projects into initiatives, distributing the knowledge and skills required for them across departments and disciplines. Initiatives are parallel, coordinated measures with a common focus that are handled independently by **Competence Teams**.

Added value

This approach not only scales the solution: it is also an innovative way of thinking and working. Existing organizational structures are respected, used and if necessary expanded based on expertise.

Cross-functional teams are teams of experts whose members are drawn from differing complementary disciplines. Their goal is to take on independent responsibility for working on a specific topic or section of a project from start to finish. Methodologies such as *Objective Key Results* (OKR) are often used in this context, e.g. in conjunction with *SCRUM*.

Procedure

01 Transfer template into a large format. Have material ready.

02 Start with Column A. Use stimulus questions and define what is needed to scale and launch the innovative solution most effectively. Develop and note down approximately four to six relevant initiatives.

03 Switch to Column B. Start with the first initiative and determine what expertise is needed to achieve the goal most effectively. Note down all the required expertise and collect it in B1. Consider where expertise is most likely to be found.
Distribute all sticky notes from B1 to B2, B3 or B4.

04 Switch to Column C. Find a suitable team designation for taking on the initiative. Define a key outcome that is essential to the implementation of the overall project. Note down both.

05 Repeat Steps **03** to **04** for all initiatives from Column A.

06 In Columns B2, B3, and B4, identify which expertise is required for all initiatives. Consider what qualities are required for successful collaboration. Based on the requirements identified, it is possible to formulate descriptions for secondments, tenders or assignments which can then be passed on to the HR department.

07 Document outcomes and consider further aspects.

Agile teams – expertise-based implementation

A: Initiatives	B: Expertise/organizational units	
What measures are required to scale and introduce the solution as it stands as effectively as possible? Define action packages and their goals. Translate to: **Initiative with overriding mission**	What specialized knowledge, expertise, or skills are needed to achieve the goals? **B1: Collection column**	Where are these most likely to be found? In our own organization, for example? **B2: To be found in our own administrative structures**

Note: When selecting experts from inside or outside the organization, what matters is the actual expertise and motivation of the individual to successfully implement the initiative. It is not sufficient here to select a person based on their position or responsibility.

CityLAB *Berlin* · Politics for Tomorrow · Figure based on Team Formation Plan, 101 Design Methods

Project:

Where are these most likely to be found? At other levels such as federal, state, local, for example?
B3: To be found in other administrative structures

Separately mark the expertise to be integrated from the outside and categorize under *Special*
B4: *Special*

C: Team

What name memorably describes the team contribution?
What is the key outcome to be developed independently?
Teams with independent responsibility

➡ **Further aspects:** For each initiative, consider which core team member will serve as the contact person. Discuss the outcomes with managers and consider how the teams can be coordinated across initiatives, how effective communication can be ensured, etc.

Participation Options

Time frame
30 – 60 minutes

Difficulty
Medium – High

Materials
Pens (red, green, blue, …), sticky notes, flip charts

Roles
Facilitation, time management

Note
Clearly communicate for each form of participation what purpose it serves, what is being participated in, what the role is, how the outcomes are to be handled, and who will make further decisions.

What is it and what purpose does it serve?

An overview of **Participation Options** available to public administration promotes reflection on common, uncommon, and desirable practices and encourages consideration of how these can be newly combined. The focus is on implementing solutions: this might concern such things as digital services, help for refugees and care services, or else laws or strategies.

Added value

This method raises awareness of how innovation processes and initiatives can be effectively designed using a combination of **Participation Options**.
It allows us to link the known to the unknown and scale a solution collaboratively with the involvement of stakeholders and managers.

This matrix was developed by S. Junginger to identify and discuss existing organizational design practices without bias. She suggests that innovators should pay more attention to the options already available so as to ensure new design approaches are effectively integrated.

Procedure

01 Transfer all nine matrix fields from 1) schematically onto sticky notes. One piece of paper for each letter. As a group, consider what **Participation Options** are common practice, which are not practiced at all and which would be desirable. Use stimulus questions and outline relevant fields or slips of paper with the relevant color.

02 Consider the outcome obtained. Focus on the (blue) fields of the necessary options and mark them as follows:

+   **for overlaps of blue/green:** These options are accepted in the system and potentially implemented in particularly good quality.
! for overlaps of blue/red: These options are uncommon in the system and may require more effort to implement legitimately.
? for fields outlined in blue only: For these options, we should specifically investigate first-hand experience so as to be able to draw on this as a field of experimentation in the course of the process.

03 Transfer the diagram from 2) into a large format and sort the sticky notes from Step **01** into it in such a way that meaningful combinations are created inside the three areas. Use stimulus questions and examples. Make use of additional sticky notes in the case of multiple responses. In addition, discuss how external service providers could be replaced by **Competence Teams** or how cooperation with niche actors could be supported.

04 Transfer the sequence of **Participation Options** to a time line as in 3). Consider what intermediate outcomes and phases can be derived from this. Derive phases. Document participation process including phases and outcomes.

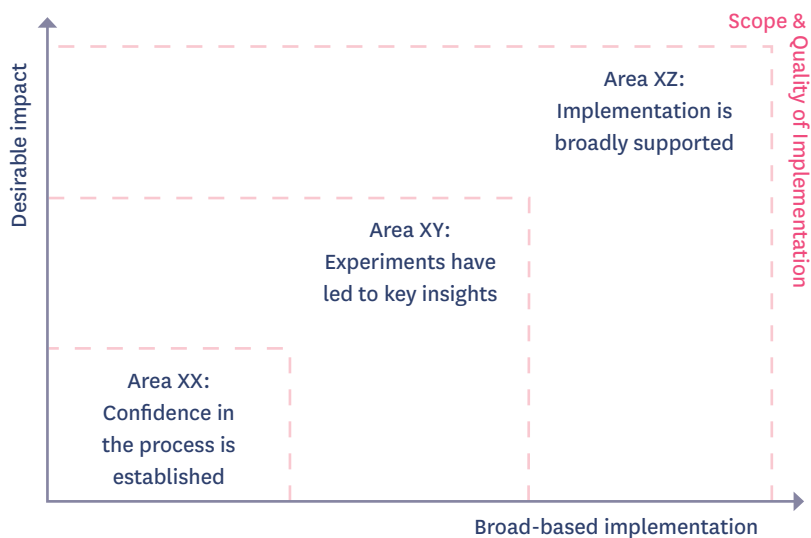# Participation Options available to public administrations

1. Consider Participation Options

Starting point: Which external (consulting) service providers have been used for the implementation of change processes to date? This may throw up indications of some of the **Participation Options** which were used previously. Which of the nine options are common/accepted? Outline in green, possibly noting down examples. Reflect on which of the nine options are rare/uncommon. Outline these fields in red, possibly noting down the reasons. Which of the nine options are necessary in order to design innovation processes in such a way that the solution is widely adopted? Outline these fields in blue.

	FOR stakeholders	**WITH stakeholders**	**BY stakeholders**
FOR public administration	External service providers implement solutions for stakeholders and public administration without involving either of them ⒜	External service providers implement solutions with stakeholders without involving public administration ⒟	Stakeholders implement solutions for public administration without involving external service providers ⒢
WITH public administration	External service providers implement solutions together with public administration without involving stakeholders ⒝	External service providers implement solutions with the participation of public administration and stakeholders ⒠	Stakeholders implement solutions with the participation of public administration without involving external service providers ⒣
BY public administration	Public administration implements solutions for stakeholders without involving them or external service providers ⒞	Public administration implements solutions with stakeholders without involving external service providers ⒡	Public administration and stakeholders implement solutions together without involving external service providers ⒤

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Fig. based on Sabine Junginger, 2016; modified by Paulick-Thiel & Arlt 2020

2. Combine Participation Options

How can desired and common options best be combined to broadly implement the solution with a desirable impact? Sort options according to impact: e.g. in order to ensure a high level of process quality at the beginning, give preference to common options in XX. Try out unusual or new options in XY, and then decide which options to use in XZ for broad implementation.

Desirable impact

Scope & Quality of Implementation

Area XZ: Implementation is broadly supported

Area XY: Experiments have led to key insights

Area XX: Confidence in the process is established

Broad-based implementation

3. Shape the change process

What combinations of **Participation Options** lead to a concrete interim outcome or measurable change?

Phase XX ◇ Phase XY ◇ Phase XZ ◇
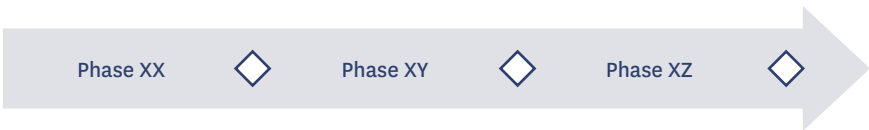
Set observation points

Public innovation has many faces: an innovation can be completely new and bring about radical change to existing processes, services, products. At the same time, it can have different goals, such as responding to changing living conditions, enabling better civic participation, or actively managing instability. This makes them difficult to measure, though this is still necessary in order to systematically promote public innovation.

Innovations in the public sector have rarely been evaluated to date. Innovation processes often happen spontaneously and informally. As a result, they are hardly documented in a structured way. That is why the National Centre for Public Sector Innovation in Denmark has developed an **evaluation concept** (p. 332) that makes it easier for public employees to track their own innovations.

The success of our innovation depends on its impact. For this reason, it is essential to show whether the solution benefits anyone and if so, who. Measurement methods that use key figures to check planned results are inadequate for this purpose. The evaluation approach presented here enables us to establish perceptive observation points: In a non-linear **Process Flow**, the focus can be on the value of a solution and its impact.

Orientation Framework

Evaluation

In five areas, selected stimuli support the creation of an **evaluation concept** for the implementation of our innovation.

01 **Clarify:** Define the actual recipients of the evaluation, create a basis for decision-making on the scope, frequency and perspective of the evaluation.

02 **Plan:** In relation to the key actors, define success criteria and indicators for how value can be measurably experienced. Create a measurement basis.

03 **Survey:** Design data collection, select and specify tools and data collection methods, assign roles, collect data.

04 **Analyze:** Draw conclusions, discern patterns, and analyze data, make decisions relating to results and knowledge gain.

05 **Communicate:** Make actual use of the outcomes, if necessary even before the innovation process is completed. Ensure that all stakeholders are adequately informed, consider when and how committees need to be involved, for example.

Evaluation Concept

1. Clarify

1A: Determine the goals of the evaluation

Prioritize the purpose

Manage the innovation process	1 2 3 4 5
Provide evidence of the value	1 2 3 4 5
Learn	1 2 3 4 5
Disseminate	1 2 3 4 5
Document	1 2 3 4 5

Reconcile goals at regular intervals during the evaluation and innovation process and discuss whether priorities have remained coherent.

1B: Evaluation requirements

What kind of data is useful – qualitative or quantitative? Why?

What resources are available to conduct the evaluation –
are they plentifully available or limited?

When are results expected to be available – sooner or later? Why?

Type of data	quanti. _____	quali.
Resources	limited _____	plenty
Delivery period	sooner _____	later

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Fig. based on *Center for Offentlig Innovation*; adapted by Paulick-Thiel & Arlt, 2020

1C: Decide on how the evaluation will be used

Who are the recipients of the evaluation?

What do they need an evaluation for?

How are they included in the evaluation?

How are the results and value of the innovation communicated to them?

How can/will they influence innovation?

1D: Combine evaluation and innovation

Describe the purpose of the innovation and draft evaluation questions

What is the overall goal being pursued through the innovative initiative?
Which question(s) does the evaluation seek to answer?

Describe the innovation process and locate the evaluation within the process

How and when is the evaluation linked to the innovation process?
At what key points does the evaluation fit into the process?
Record, possibly using the **Process Flow** (p. 32)

Incorporate good examples

Have others worked with similar innovation or evaluation questions?
What insights did they gain? How can we draw on these insights?

2. Plan

2A: Define success criteria and indicators

Who will be aware of the value? (one column for each group of actors)	Actor group X	Actor group Y
What value do we want to create?		
What are the success criteria for achieving this value?		
How will we be able to see that the value has been created? (Indicators)		
Can value come from something other than innovation?		
How can we measure whether the value derives from the innovation or something else?		
How can we identify positive impacts that can't be predicted?		

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2B: Define success criteria and indicators

Please tick as appropriate; combinations are possible.

| The introduction of the innovation has not yet started. No data has been collected to date. | ☐ Yes ⟶ ☐ No | **Measurement baseline** We can evaluate and measure the current state before we introduce the innovation. |

| Some of the innovation has been introduced, but no data exists yet. | ☐ Yes ⟶ ☐ No | **Here and now measurement baseline** Some of the innovation has already been introduced and we are now starting to measure. |

| Work is already underway to introduce the innovation and data was available before this process started. | ☐ Yes ⟶ ☐ No | **Existing measurement baseline** Where can the data be found? Does it contain enough information or does it need to be supplemented with new data? |

| There is a group of people that can be compared to the innovation target group. | ☐ Yes ⟶ ☐ No | **Control group** What are the main characteristics of the innovation target group? How many people must there be in the control group? Who can we consider for this? |

3. Survey

3A: Select survey method(s)
Who will be aware of the value?
(see Actor Group 2A)
Who do we collect data from?

What indicators do we measure?
(see Indicators 2B)
How many indicators do we use for data collection?

What is the best method to collect the data we need?
When do we collect the data?

Why are we choosing this method rather than another one?
Who will analyze the data?

Who will collect the data?
What is the anticipated time frame for collecting and analyzing the data?

Note: Does the data collection need to be supplemented by other methods? If so, answer these questions for each of these methods. Consider data accessibility, privacy, and publication. Use the **Consent Form** (p. 144)

3B: Specify methods
Who will be aware of the value?
(See Actor Groups 2A)
How relevant is the data collected?

What indicators are to be used for measurement?
What is the essential information contained in the data collected?
What knowledge did the collected data give us?

Who collected and analyzed the data?
What can be done with this essential information?

○ Is more data needed?
(If so, select methods again and collect more data)

○ Is there a need to adapt the innovation?
Where can supporting documents be found relating to the investigation to date?
Who could we discuss this information with now?

Note: Answer and complete all questions depending on the selected method.

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Fig. based on Center for Offentlig Innovation; adapted by Paulick-Thiel & Arlt, 2020

3C: Assign roles

Who will coordinate the evaluation?

The task of the coordinators is to ensure that the evaluation really is carried out and that everyone knows what is to be evaluated, how and when. These people ensure effective collaboration.

Who is responsible for the data infrastructure and data collection?

The task of the data collectors is to ensure that the required data really is available for evaluation. These people ensure that the evidence is handled in accordance with data protection regulations.

Who is responsible for analyzing the data?

The analysts' role is to ensure that the evaluation methods are applied to process the data collected. They are responsible for arriving at key outcomes.

Who communicates the evaluation results?

The communicators' responsibility is to disseminate the results of the evaluation so that all relevant groups of actors have access to them. There is no need to wait until the project has been completed before doing this. It is useful to share selected evaluation outcomes while the process is still underway.

4. Analyze

4A: Draw conclusions

Who will be aware of the value?	Actor group X	Actor group Y
What value do we want to create? (see 2A)		
What was the core of what we wanted to achieve with the innovation?		
What worked?		
What didn't work?		
What value has the innovation created?		

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Fig. based on Center for Offentlig Innovation; adapted by Paulick-Thiel & Arlt, 2020

5. Communicate

5A: Manage
- What is it important to know now?
- What changes were made:
    - What was being done before? How?
    - What is being done differently now? How?
- What are the next steps in working with this innovation?

5B: Learn
- What have we learned about the innovation?
- What is the most important lesson?
- What knowledge generated by the evaluation process now needs to be secured?
- How shall we disseminate it to other relevant persons or recipients?

5C: Document and disseminate
- What can be communicated to the recipients of the evaluation about the innovation?
- Who else should this knowledge be shared with? (e.g. use guide to spreading innovation *coi.dk/spreadinginnovation*)

Change is constant

Public administration plays a key role in social change processes in dynamic systems. This design task is less about optimization and more often about structural change or transformation that challenges existing routines.

Many conventional control and regulation approaches were designed assuming a certain stability, so they reach their limits when faced with unstable situations. By definition, there are no blueprints for transformative change. As such, procedures based on trial and error are not only legitimate, they are necessary. Innovation processes continue to be indispensable for this because they structure joint experimentation, value-based collaboration and iterative design.

Innovating for, with and through public administration opens up space for experimentation. This is important when it comes to deliberately creating uncertainty and, by incorporating multiple perspectives, developing intelligent responses. Only if conscious experimentation is allowed – and therefore also assessable risks – can the creative potential of individuals be harnessed for collective change. Transitioning into new routines and managing different dynamics depends on individual attitudes and organizational culture.

The strategic expansion of a public culture of innovation is critical when it comes to the fitness of our democratic systems and the knowledge-based transformation of public infrastructures. Because our venture is temporary, we don't expect to change the invisible levels of culture overnight. However, our impulses trigger a discourse that will mobilize internal willingness to venture into larger projects.

For our work to have a broad impact, we need more than just a sustainable transfer of knowledge. Curiosity about change is vital, as is low-threshold entry into exploratory ways of thinking and working. In order to convey our experience in a striking and compatible way, we will write a **Future Article** (p. 342).

What if we were to be working in a learning organization from now on? How can we inspire employees to try out new approaches to collaboration themselves in order to deal with complexity and uncertainty more openly? The **Innovation Compass** (p. 348) can be used to navigate strategy developments, participation processes and closed-door meetings. A clear structure makes it possible to become familiar with the working attitude underlying innovative processes in a thematically focused way. When used regularly, hidden problem structures are identified more easily and paths to solutions within the system become accessible more quickly.

Future Article

Time frame
60 – 90 minutes

Difficulty
Medium – High

Materials
Paper, pens

Roles
Facilitator,
time management,
small groups of
three people:
reporter, editor and
interviewee *of the
future*

Suggestion
Round off conceptual
work with a miracle
question, e.g. "What
if…" so as to set your
sights on where to go
from here.

What is it and what purpose does it serve?
The **Future Article** enables collaborative exploration and description of a new reality. Held in the future, the interview triggers a process of discovery which can potentially reveal the path to implementation.

Added value
What if we could beam ourselves into the future, where the innovation has already been successfully introduced? We would find out how day-to-day routine has changed. We could experience the impact and report on it. Which milestones were really important to success? Which activities and sponsors were crucial? What hurdles were overcome? This information can be summarized in an article, making it easier to inspire fellow designers.

Sweeping change often evokes anxiety. It is important to practice the skills of thinking and leading from the future so as to awaken a desire for something new. This approach is especially promoted by *Theory U* , which was developed by MIT management researcher O. Scharmer.

Procedure

01 Facilitator prepares interview situation. To do this, choose a specific date in the future when the innovation has already been implemented and people in the administration are working with it. Fill in gaps in the *introduction*. Provide *stage directions* and the *Article Guide* for each small group.

02 Imagine you are in the future: Facilitator reads out the *introduction* strikingly and memorably to all participants.

03 Form interview group consisting of three people. Assign roles and hand out *stage directions* accordingly:
    - A **reporter** from a daily newspaper conducts the interview.
    - The **interviewee** is an employee from the administration of the future; they answer the questions in a spirited manner.
    - The **editor** is a silent observer who documents the formula for success.

    Participants each read the *stage directions* for their role. Take on role and start interview right away. Reporter starts the interview. Stay in the roles until the interview is over. (15 min)

04 Reflect on the interview together. Use the *Article Guide* to gather core information such as success factors, hurdles, metaphors, and figurative words on a flip chart. Based on this, draw up a summary in journalistic style and write the article as a team. (40 min)

05 Publish the article! Share with colleagues and managers. Have it prepared by the press office and use it for communication.

Introduction: The administration of the future

Read out loud for all those present:

Today is the [insert date in the future]. The innovation process started with the venture [number] years ago. During the first six months, discussions were held and ideas were developed and tested before the committees approved the initiatives that had been developed. The solution was successfully introduced. We've been working in this way since [insert date three months before the date in the future] and are now seeing the first results and effects.

I'd like to invite you to experience the future with us here and now. Please join me as we go to [repeat date in the future as stated above]:

o It's a sunny day. You're getting ready for a new week at [name of your organization].
o A lot has happened in the last few years. You're looking forward to the work ahead.
o In your mind, you're walking through the building: What do you hear? What do you see? What do you feel? What do you hear your colleagues talking about?

Article Guide: journalistic summary

A captivating headline:

What compelling tagline or headline can you use to summarize the interview? How would it appear on the front page of a popular newspaper? What words can be used to attract the reader's attention?

The style should encourage the reader to read on:

- **Spectacular opening**: Write an impressive introduction, picking up on the exciting idea captured in the headline.
- **Every sentence is carefully crafted**: Use powerful words and metaphors to engage the reader and articulate just what needs to be said.
- **Capture the reader's interest:** Use subheadings and bulleted lists to deliberately keep up visual interest and maintain the focus.
- **A seductive story ...:** Embellish the story with tales of everyday heroes and the hurdles they had to overcome, portraying their accomplishments in emotional style. Include statements and moments of active learning that will stimulate the reader to read on.
- **The image with that certain something:** Choose powerful images that are memorable and will encourage people to recommend the article to others.
- **Great finish:** Write an effective ending that leaves the reader motivated and with a fresh outlook.

Stage directions: Three roles for the interview

Reporter – You want to find out the secret formula of innovative administration.

It's a sunny Monday morning and you're ready for your long-awaited interview appointment. This innovative agency is the talk of the town! Even other reporters envy you in getting an assignment like this where you get to look behind the scenes. You go into the interview feeling very excited and full of interest. Encourage your interviewee to give you an animated description. You're looking for the key to success – the exact ingredients for the secret recipe.

A possible interview starter: Thank you so much for taking the time to meet me today. I've heard a lot about your work here. Tell me all about it. What exactly do you do? What has work been like since the changes were introduced? How did it all come about?

For support during the interview: That really is an achievement! How exactly did you manage it? Who has helped you in recent years? How did you manage not to give up? What kept you going in spite of all the hurdles? What are you doing differently now? How does it feel?
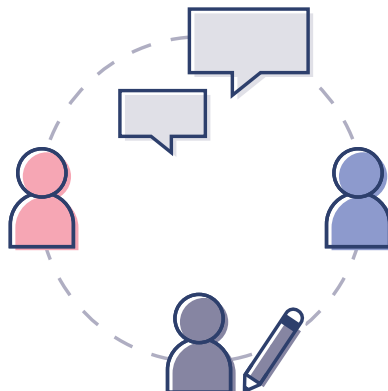
Interviewee – Your administration is known for its innovation. You report on this.

It's a sunny Monday morning. You're getting ready for a new week at work. A lot has happened in the last few years. You're looking forward to the work ahead. A reporter will be coming in today – the press office made the appointment with you. An editor from the newspaper will be attending the interview to take notes. A lot of inquiries have been coming in from other agencies and you're pleased to see so much public interest, too.

Before the interview starts: Trust your instinct. The reporter will ask you questions out of interest. Try to use them as a way of tapping into your thoughts and the images in your mind. Engage freely in the interview and make the most of the dialog to openly reveal your ideas.

Editor – You want to try and write down the secret formula of innovative administration.

It's a sunny Monday morning. You've only recently joined the staff at the daily newspaper and other colleagues are eager to read your report on this innovative agency. Your task during the interview is to listen with interest. You want to enable others who were not involved in this process to understand what has been so special and new about the change.

For your information, this is how the reporter will start into the interview: "I've heard a lot about your work here. Tell me all about it." Try to take in as much as you can from what the interviewee says. Write down quotes and metaphors and develop your own imagery, too.

Innovation Compass

Time frame
10 – 60 minutes
depending on context

Difficulty
Simple – Medium

Materials
Pens, sticky notes,
flipchart

Roles
Facilitation,
documentation,
time management

Suggestion
Have the template
at hand in small
format in your pocket
so as to be able to
use the Compass in
between times and
tackle difficult or
deadlocked situations
in day-to-day life.

What is it and what purpose does it serve?
The **Innovation Compass** is a tool which is used to
navigate change processes on both a small and large
scale. The flexible structure allows context-specific
application to find out what is relevant to further
development, according to needs.

Added value
If used intuitively, the Compass supports authentic
learning and self-organized work on the part of
both individuals and teams. Because it is based
on the essence of various innovation approaches
(*SCRUM, Design Thinking, Theory U*), it offers
a methodologically validated foundation for
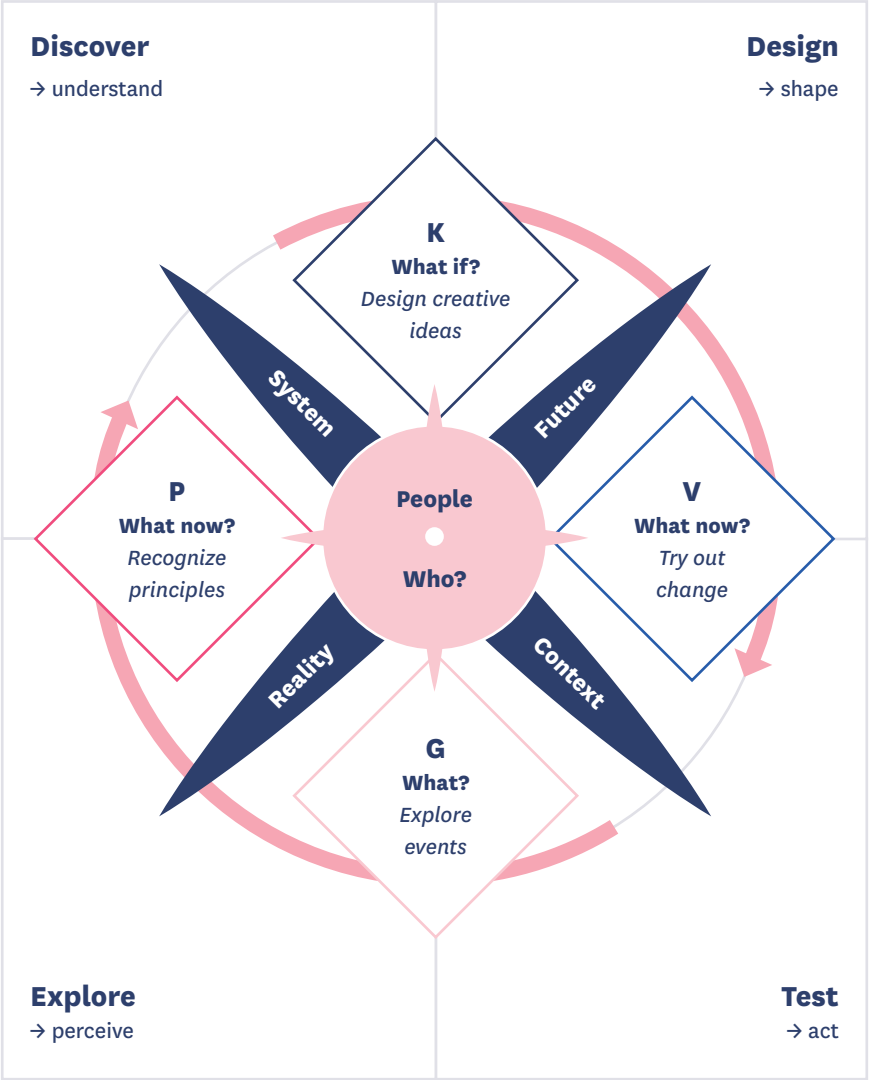consciously shaping a collaborative work culture.

Many public administrations are currently wondering how they
can adapt to constantly changing social needs. By sharing and
reorganizing leadership in the area of personnel, specialist
expertise and coordination, a work culture can be strengthened
that dynamically draws on the potential of all employees in the
system.

Procedure

01 Transfer template into a large format. Using the stimulus questions, determine a topic for the Compass. Mentally incorporate everyone involved so that the views not represented here can be incorporated in further steps, too.

02 Start in Compass Field G. Read through the stimulus questions and jot down thoughts on them individually. One sticky note for each thought. Everyone reads their thoughts out loud in turn and posts them in Field G. Cluster similar thoughts and decide together what is particularly striking. Write down keywords on new sticky notes. Collect these core aspects in the *Explore* quadrant for further use in Step **04**.

03 Repeat Step **02** for the remaining three Compass Fields P, K and V. Place the core aspects in the quadrants *Discover*, *Design*, and *Test* accordingly.

04 Consider all aspects of the four quadrants in context to find out which points are important moving forward or how the direction should be adapted. Decide what the next steps are and compile them clearly, e.g. in the form of a *to-do list*. Arrange a follow-up meeting and decide who can implement what by when.

Note: This involves a constructive, appreciative team reflection which, if conducted regularly, contributes to the learning capacity of the organization as a whole. As with the **Teamwork Routine** (p. 54) , time should be scheduled for a group check-in and check-out.

Topic: What is to be worked on, reflected on, developed further or completed? Decide what the Compass will be used for, e.g. planning, reporting, reviewing guardrails, etc. Note down the topic.

Discover
→ understand

Design
→ shape

K
What if?
Design creative ideas

System

Future

P
What now?
Recognize principles

People

Who?

V
What now?
Try out change

Reality

Context

G
What?
Explore events

Explore
→ perceive

Test
→ act

CityLAB *Berlin*

Politics for Tomorrow

Fig. based on Innovatorscompass; modified by Paulick-Thiel & Arlt, 2020

Topic:
Team:

People: Which people are important in connection with the topic? Who is involved but not present? Write down the names of team members who are present and of those who are absent.

< Recognize principles
What is of key importance? What are the enabling and hindering principles? Think about what is less important than assumed at the beginning.

> Understand the system
Identify dependencies between events. Reveal inconsistencies.
Refine questions

< Design creative ideas
What if the impossible were possible? How can obstacles be overcome and useful principles strengthened? Consider what could be changed and how.

> Shape the future
Focus direction, clarifying what it is that ideas are to be developed for and which routines have to be left behind.
Imagine lane change

< Explore events
What happened? Why? Describe the specifics and consider why something happened or was said, done, thought, or felt.

> Perceive reality
Map out spectrum and perspectives. Turn suppositions into questions that can be investigated.
Enhance mindfulness

< Try out changes
What can be tried out? What can be done to give shape to these ideas? Describe in detail what can be tried out, where and by whom.

> Act in context
Using 15% solutions, try out small pattern breaks without making direct lane changes.
Implement concrete steps right away

Appreciate your own worth

Extend your left arm above your head. With your palm facing backwards, bend your arm and tap on your left shoulder!

It's great that you've joined us on this journey. Take a second to reflect on what has happened since the start of the venture. What do you want to change in the future?

Stay bold, you're ready for the future!

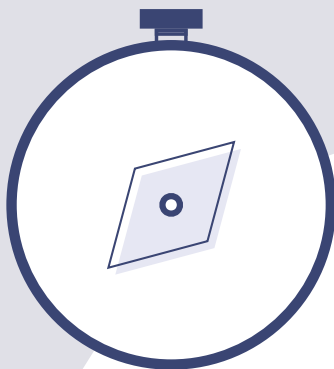**Change achieved in work environment and self**

Impact demonstrated

Allies found

Small projects implemented

Keep going!

Dare to transform?

Moment reached where previous routines no longer work

New processes and practices established

People connected

Tools disseminated and developed further

Support beyond the book

This book aims to enable independent innovative work. Support beyond this will continue to be important and necessary at times, of course. Whenever that is the case, get in touch with CityLAB Berlin. Here are some examples of when that might occur:

Workshop facilitation
If things get stuck at a very specific point in the process and fail to move on, CityLAB offers flexible formats for support. We can provide one or more workshops on the methods, stages, or phases described in this book, for example.

Process support
Before things get started or are pursued further, CityLAB offers advisory or accompanying support for entire processes and projects.

Expert input on selected aspects of the book
If there are questions internally or at management level about the book, methods, or administrative innovation that are not readily answered, the authors are willing to assist with a brief introduction, talk, or expert discussion.

Methods training

If different colleagues and departments are interested in using the methods set out in this book, we can instruct on individual or combined methods to larger groups.

Networking event

We're more than happy to support you in planning and implementing events for networking innovation drivers.

The authors regard this book as the first version of a living document. This means the content, templates and methods will continue to be developed in the future. It also means critical feedback on this book is most welcome. Further, the authors hope this dialog will create a networked community of interested and motivated administrative innovators.

Up-to-date information can be found on the book website: *https://www.oeffentliches-gestalten.de/*

Stay in contact

Congratulations, you have acquired fundamental knowledge on how to design innovation processes. We hope you learned at least as much by reading this book as we did by writing it.

We have incorporated our extensive experience in the field of public innovation into this handbook with the aim of making a practical contribution to sustainable and digital administrative practice for the state of Berlin and beyond. We hope you didn't get discouraged by the trial and error process – innovation processes are fragile and challenging. Keep trying again and again. The public administration of the future is emerging now! Share your experience generously and support each other.

We'd like to meet you, too. Some questions have probably been resolved by trying out the ideas in the book. But new ones will certainly have arisen as well. We want to hear all about it. Maybe you work in administration and want to launch an innovative project with us? Or perhaps you have an idea about what can be done better.

Get in touch with us – we look forward to hearing from you!

CityLAB Berlin & Politics for Tomorrow

CityLAB is Berlin's public innovation laboratory at the former Tempelhof Airport. Together with the Berlin administration and numerous partners from urban society, we develop projects and prototypes to shape the future of urban living. CityLAB combines elements of a digital workshop, co-working, event space and interactive exhibition to create a place where innovation and participation are conceptually combined.

www.citylab-berlin.org

Politics for Tomorrow is a non-partisan initiative that advocates for the people-oriented and values-centered design of public systems. We have been working with political and administrative institutions from the local to the highest federal level in Germany and internationally since 2015. Our focus is on building competencies for and with people in politics and administration in order to promote an empathetic, innovative and forward-looking approach throughout the entire policy cycle – whether in defining initial situations, developing strategies and scenarios or designing and testing new services.

www.politicsfortomorrow.de

About the team
of authors

Caroline Paulick-Thiel

As the Director of Politics for Tomorrow and co-founder of the Creative Bureaucracy Festival Academy, I am committed to responding creatively to concrete public issues. For me, this book is a resilient bridge between theory and practice dedicated to shaping public innovation processes in an independent and responsible way.

Joshua Pacheco

Enabling collaboration and participation in design for public interest is what I am involved in as a service designer at CityLAB Berlin. A variety of approaches are possible to achieve sustainable and impactful results as we navigate these complex challenges – this book is one of the more promising.

Henrike Arlt

How can change be enabled when for decades the key success factor of administration has been consistency? As an innovation agent and consultant in the in-house consulting department of the Federal Employment Agency, I try to turn this leitmotif on its head and reinterpret it. My most important insights along the way have been incorporated into this book.

Andrej Balaz

From oops? to aha!

The journey from innovation issues and insight generation to creating better services is something I've been involved in as a service designer for more than eight years. I see this book as the perfect catalyst for trying out new things today – so that the better world of tomorrow no longer has to wait for us.

Andrea Ramírez Sabat

As a designer, I know how important it is to have a reliable set of tools and methods that teams can use to embark on an innovation journey. I firmly believe this book is more than just a guide for those who want to make a difference in the public sector. It has the potential to support long-term competence building in public administration.

Bettina Köbler

As a service designer and lecturer, I guide multidisciplinary teams to develop an unbiased and radically user-centered view of creating potential innovations. Through this handbook, I want to enable public administrations to establish innovation processes and to be guided by the needs of their citizens when tackling social challenges.

Thank you very much!

Anna Várnai

Alex Roberts

Alexander Grünwald

Amélie Bonarius

Arthur Paulick-Thiel

Arthur Alexander

Birgit Strahlendorff

Cathy Narriman

Christin Hentschel

Claudia Chawlisz

Dirk Heyer

Doreen Fox

Enrique Martinéz

Franziska Mahlow

Jahn Harrison

Jan-Ole Beyer

Karen Laßmann

Lene Krogh Jeppesen

Mahreen Zaidi

Małgorzata Magdon

Marcel Otto Yon

Mike Weber

Nicolas Rebolledo

Oliver Rack

Peter MacLeod

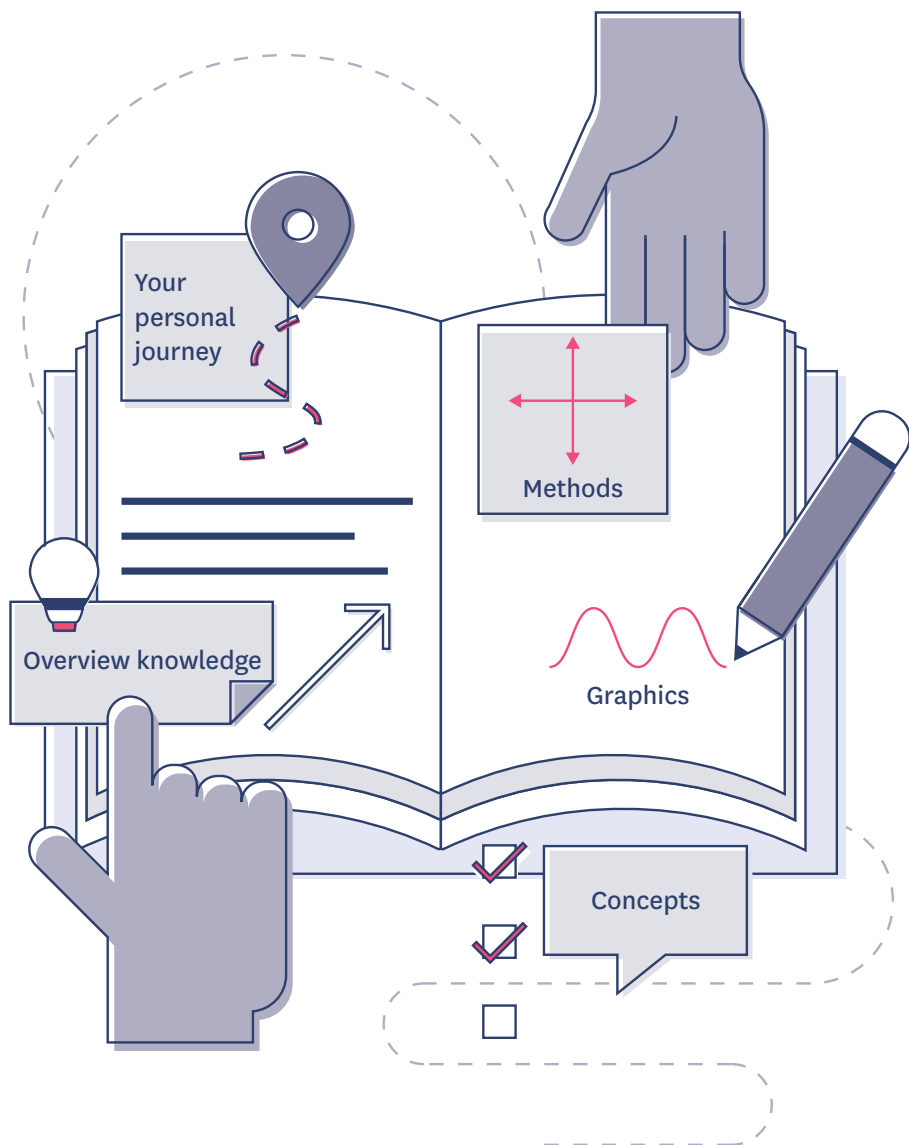Ramona Rocktäschel

Rolf Alter

Rubina Zern-Breuer

Sabine Junginger

Sina Beckstein

Stephan Naundorf

Susanne Stövhase

Tobias Drossmann

Your
personal
journey

Methods

Overview knowledge

Graphics

Concepts

Impact-oriented
Understand the status quo, uncover blind spots, generate target knowledge, develop for the common good

Human-centered
Pursue qualitative and quantitative inquiry, proceed empathetically, turn stakeholders into participants

Evidence-based
Make decisions based on data and evidence that is informed by theory and practice, critical thinking and action

Design-led
Visualization, prototyping, testing, error-friendliness, iterative processes, legitimized experimentation space
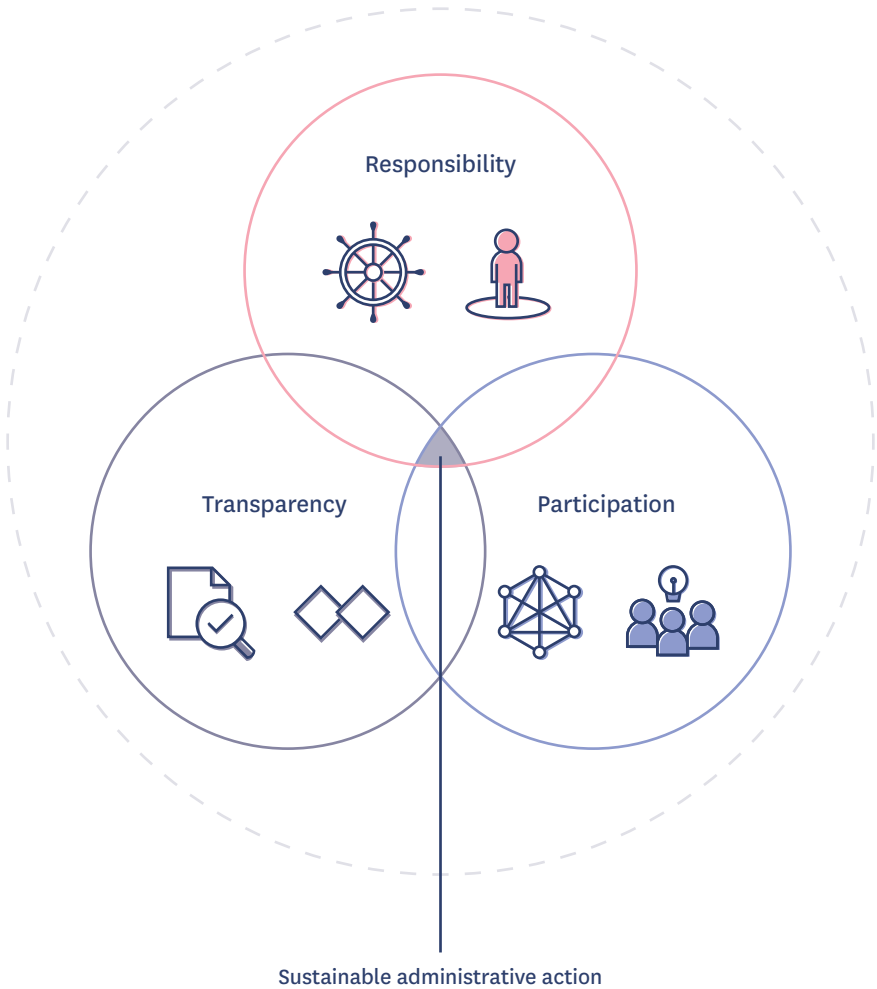
Multi-perspective
Cross-disciplinary or cross-departmental collaboration, understanding between types of professional language, diversity through accessibility

Co-creative
Collaborative knowledge generation, structured involvement of a wide range of actor groups in the development process

CityLAB *Berlin*   Politics for Tomorrow   Fig. Paulick-Thiel & Várnai, 2017

Public Service Design

Responsibility

Transparency

Participation

Sustainable administrative action

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*" We all have talent.
It's how we use it that
makes the difference. "*

Stevie Wonder

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