The Manager as Organization Change Agent

3

Strengthening the Management of
Local Self Government
in Slovakia

The future for us, too, is in our own place, if we can learn to see it differently, and are 'strong in will' to change it.
- Charles Handy

FOREWORD

It has been said that the only certainty in management today is the certainty of change. Unquestionably, the concepts and strategies of management are among the fastest moving targets. They are rapidly changing for a variety of reasons. First, there is competition for scarce resources, particularly in the public domain. This means that managers are constantly challenged to do more with less. Second, demands by customers (and citizens) for better service, higher quality goods, more responsive and open organizations continue to grow. From my perspective, there is little difference between the meaning of the terms *customers* and *citizens*. The adoption and implementation of the concept of *customer* by many progressive local government managers is a good example of how management concepts and strategies change with the times. Third, the increasing speed and ease of communicating new management ideas and their use in the market place have been no less than phenomenal in the past few years. For example, to engage in a bit of instant research on the latest managerial fads, all you need to do is tap into the Internet and the myriad of management related web sites.

Finally, management, both private and public, has become a "legitimate" profession. This means, among other things, that the tools of the profession, management concepts and strategies, are constantly being refined and redefined in the hands of those who research and write about them and by those who use them. In fact, it is almost impossible in this rapidly changing discipline to know where the new ideas come from. Do they emanate from the halls of academia, research institutes and the growing ranks of management consultants who need new wares to market? Or do they originate with aggressive and innovative operating organizations, the users of management concepts, strategies and ideas?

SLOVAK CONTEXT FOR THE TRAINING SERIES

The Local Self Government Assistance Center, funded by the United States Agency for International Development (USAID), has as one of its major program objectives the strengthening of in-country training capacity to serve local government's development needs. The fulfillment of this objective includes the development of training materials, training of trainers, and further improvement in the management of local government training services. These activities are embodied within the larger LSGAC goal to help Slovakia's local governments be more effective, responsive and accountable in service to their citizens. The *Strengthening the Management of Local Self Government in Slovakia* workbook series, therefore, is intended to help local governments achieve higher levels of performance through new and improved management principles and practices gained through on the job learning.

THE TARGET AUDIENCE

For public managers in Slovakia (among them the elected mayors and deputies as well as city managers, department heads and directors of public service organizations), the task of learning new approaches to public management, and putting the learning into practice, is daunting. You and your organization have been thrust into the heart of a country-wide paradigm shift of political, economic and social values and norms. For local governments, these changes have created a host of new problems, but also the potential to pursue new opportunities. Given the dynamic and changing nature of your work environment, this series focuses on concepts and strategies that can help you mold your local government organization to deal more effectively with the political, economic and social changes that are sweeping your country and region.

We have picked a few core topics and competencies we believe are central to your current challenges and demands as local public managers and leaders. Consequently, this series of short learning experiences is not a comprehensive course in managerial theories and strategies. No effort has been made to go back to the early *basics* of management theory that have often set the stage for many contemporary management ideas and fads. Nor was an attempt made to explore all the new schools of management thinking that consume meters of space in full-service book stores in London and elsewhere. Rather, this series is, more modestly, an attempt to help you gain managerial insights and skills in a few targeted areas of managerial practice so you can increase the effectiveness, responsiveness and accountability of your local government organization, as assessed by the citizens you serve.

To reach the goal intended for the *Strengthening the Management of Local Self Government in Slovakia* workbook series, I decided to return to the *Guide for Managing Change for Urban Managers and Trainers*, a workbook I wrote several years ago for the United Nations Centre for Human Settlements (Habitat). The workbook has been substantially altered and updated with the help of an able and experienced Slovak advisory team and David Tees, a colleague I rely upon more and more in crafting learning materials for practitioners in the public service.

EXPECTATIONS

Here is a brief overview of what you can expect from the *Strengthening the Management of Local Self Government in Slovakia* workbook series. Workbook #1, *The Evolving Roles and Responsibilities of the Local Government Manager* and Workbook #2, *The Manager and Organization Culture* are based on concepts from which the users of these materials might benefit: 1) local government management roles and how they have evolved over the last few decades, particularly in the United States and other Western countries; and, 2) organization cultures, how they are invented and how they can be changed to better serve the changing mandates of local governments as keystone institutions in building open and democratic societies. These workbooks are designed to lay the groundwork for planning and managing organization change as defined in Workbook #3.

The core learning module, Workbook #3, *The Manager as Organization Change Agent*, focuses on concepts and strategies associated with the planning and management of changes within organizations and their immediate environments. While much has been written about organization development and planned change, they are still relevant and important topics for discussion.

This module, in a metaphorical sense, will be wrapped around another set of LSGAC supported training materials. These are the skill development workshops on *Consulting Skills* which focus, in more depth, on two phases of the organization change process, contracting and data collection and analysis. Workbook #4, *The Manager as Visionary Strategist,* addresses the issues and processes associated with strategic planning. To many, strategic planning is an ally of the planned change process. To others, it is an overlapping intrusion. Nevertheless, strategic planning is a potentially valuable tool for planning the future of your community. As Tom Cannon reminds us, in his book, *Welcome to the Revolution*, “Managers are craftsmen and strategy is their clay.. ..like the potter, they sit between the past of capabilities and the future of opportunities.”

Finally, some insights are offered on *The Manager as Staff Developer* (Workbook *#5*). The conceptual framework used to describe the institution building role of the manager assumes the manager should use different management styles based on the work situation. Since this approach to leadership styles focuses, in large measure, on the maturity (development) of the work force to determine the appropriate management response to most situations, it offers insights into the potential for staff and organization development. We will also look at the growing use of interdisciplinary and interdepartmental teams as essential to achieving high performance within complex organizations.

THANKS TO MANY WHO MADE THIS POSSIBLE

Many individuals and organizations have contributed to this effort. These training materials were originally written under the sponsorship of the United Nations Centre for Human Settlements (Habitat) and the guidance of Dr. Tomasz Sudra, Chief, Training and Capacity Building. This revision is funded by the United States Agency for International Development (USAID) and managed by the International City/County Management Association (ICMA) through its affiliate, the Local Self Government Assistance Center (LSGAC) in Bratislava, Slovakia. LSGAC, initiated and funded by USAID, is devoted to strengthening local governments in Slovakia through capacity building endeavors with local support institutions.

These Slovak support institutions include: the Foundation for Training in Self Government of the Slovak Republic; the Regional (Local Self Government) Training Centers; the Slovakia City Managers Association; the School of Public Administration, Academia Istropolitana, and the newly established Association for Management Training and Development. In the development of this series, special thanks go to Dr. Anastazia Kozakova, who directed the local advisory committee, and to the team of experts she assembled to provide their insights and good judgment. They included: city managers Jana Blazejova, Jan Dreisig, Richard Hojer, and Maria Pfliegelova; management trainers Stefania Hrivnakova, Daniela Halasova and Luba Vavrova; and, Peter Bercik, an advisor to the Slovak Ministry of Interior. Holly Ingram provided an invaluable service as layout and design artist and computer specialist in transmitting complex documents via the Internet. I want to recognize the invaluable contribution of Luba Vavrova, my colleague at LSGAC. Without her continuing assistance, the development of these training materials would not have been possible. And of course, thanks to my colleague, David Tees, University of Texas at Arlington, who provided valuable inputs to the development of learning exercises for the series.

In my short stay in Slovakia, I have come to appreciate the valuable contributions that mayors, city managers and other senior local government officials are making to secure an open and democratic society for their citizens. I hope this series of management materials will help you perform your roles and responsibilities in strengthening local self-governments to be more effective, responsive and accountable.

Fred Fisher
Bratislava, Slovakia 1998

CONTENTS

PART 2: WORKSHOP ON THE MANAGER AS ORGANIZATION CHANGE AGENT

INTRODUCTION

The purpose of this workbook is to provide you with an in-depth learning experience in the concepts, strategies and tactics of *organization change*. It is the longest workbook in the series and designed to cover the full spectrum of activities associated with managing a planned change process.

We have made several assumptions in writing this particular workbook.

- The manager's role as organization change agent is best learned by applying the process to a real problem with a group of like minded managers.
- Given this, we expect each participant to come to the workshop with either a statement of a problem to be solved or an opportunity to be realized.
- This is a learning experience that managers might want to share with other members of their management team. If so, you will have an opportunity to work and learn together in a workshop setting on an organizational issue of your own choosing.
- While the other modules in this series can be used for self study, we believe this *managing change* process provides greater opportunities to learn the various skills required when working with others.

Each of the workbooks in this series includes: (1) concepts and strategies on the specific topic being covered; (2) reflection exercises to help you think about your own experience in relation to the written materials; and, (3) training designs for group learning. The materials covered in this particular workbook will be offered in either 1 1/2-day workshops (to introduce the concepts and strategies to senior elected and appointed local government officials who want to consider the longer program for managerial team development); or, 4-5-day workshops for either management teams from various local governments or individual managers in skill development workshops. Both options will be organized by the Foundation for Training in Self Government in collaboration with the Slovakia City Managers Association on the topics covered by this workbook and others in the series.

Each workbook include a series of materials and activities, They are:

- Trainer's Notes: describing trainer-assisted learning events and the trainer's role;
- Concept materials with reflection exercises for use by participants; and,
- Self assessment questionnaires or task sheets to be used by the training participants as individual and group learning exercises.

In most of the workbooks, this sequence of events is repeated several times. The layout is designed to provide the trainers and individual learners with the full set of learning materials to be used in whatever way seems most appropriate and effective.

PART 1: THE ESSAY

CHANGE! CAN IT BE PLANNED AND MANAGED? OR, AS A LOCAL GOVERNMENT MANAGER, WILL IT EAT YOU ALIVE?

> *The art of progress is to preserve order amid change and to preserve change amid order.*
> *– Alfred North Whitehead*

This workbook is designed to provide some answers to the first question, and help you and your colleagues stay out of the "mouth of the lion," as suggested by the second. The first impulse, as we begin to address this issue, is to provide you with a clear definition of *change* as it relates to the Slovak condition. It seems like a reasonable way to start the discussion. On the other hand, you and other local government leaders in Slovakia have lived in the midst of rapid, incessant and often disrupting changes ever since the so-called velvet revolution swept across central Europe. In the past few years, local government leaders in Slovakia have been bombarded with what one author calls 2nd order changes, revolutionary changes that bring about fundamental shifts in the social, economic and political institutions that define societal norms and values.

- Democracy: CHANGE!
- Local self-governance: CHANGE!
- Market driven economy: CHANGE!
- Open borders: CHANGE!
- Telecommunication revolution *(could you possibly live without your mobile phone?):* CHANGE!
- Multiple political parties and agendas: CHANGE!
- Major industries crumble: CHANGE!
- Holes in the social safety net: CHANGE!
- Infusion of new money: CHANGE!
- Growing crime: CHANGE!
- Privatization of public assets: CHANGE!
- Flaunted wealth: CHANGE!
- EU standards regarding local government performance: CHANGE
- AND ON, AND ON, AND on…

Daunting, isn't it? Perhaps the Chinese symbols for *change* says it as clearly as any definition we can find. Separately, they define danger and opportunity. Together, they spell *change*.

> *The beginning of wisdom is to call things by their right names.*
> *- Chinese proverb*

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What do all these changes mean in the management of local governments? Are they all *disruptive, unsettling, unmanageable, even dangerous?* Or do they spell challenge and *opportunity?* The reality is, of course, somewhere in between and it often depends on the mental mindset of the person involved. One certainty seems secure. Change will continue to define the parameters and pace of Slovakia's political processes, economic development, social inventions, technological breakthroughs, environmental crises, personal lifestyles, and organizational reality. Given the conventional wisdom that *change* will be an ever present constant in our personal and organizational lives, it makes sense to either *plan for it* (if you are not the instigator of the change), or to take charge of changes within your control and influence and become an *organization change agent.*

"But", you say, *"these are national issues and concerns, regional happenings, often sparked by global events. What, if anything, can I do as a mayor, city manager or senior department head in my city to be an organization change agent?"*

Sometimes the steps are seemingly small and incremental. This is the change process most managers are familiar with. It is continuous and occurs within a stable system (or organization) that itself remains unchanged (what one author has *called first-order change).* These are the kind of changes that are necessary if the local government is to remain viable, efficient and effective in service to its constituents. By contrast, *second-order changes* occur when fundamental properties or states of the system are changed. The initiation of local self governance and the free election of local leaders in Slovakia were second-order change events. These actions not only changed the fundamental way local communities conduct public business, they altered the norms and values that define governance process in villages, towns and cities throughout Slovakia. Here are local examples of what being an *organization change agent* is all about.[1]

Example: After members of his management staff attended a skill development workshop on line operation management, the Vice Mayor of Trnava said, *"my employees came back changed! They no longer think in little boxes."* These individuals, who work in different city operating and staff support departments, are now thinking about, and acting upon, ways to share information and other resources across departmental boundaries. They see opportunities to work together in teams to solve problems, using a combination of public and private resources. They see opportunities in working together, opportunities to not only contribute to the goals of their individual departments, but to benefit the common good of the organization and its citizens. A small step, perhaps, but if sustained, one that could have a profound impact on the delivery of all public programs and services in Trnava.

Example: The City of Lucenec has made major changes to its annual budgeting process. For example, the chief finance officer and her staff developed a *capital budgeting process* that separates recurrent incomes and expenditures from major fixed asset community investments. This structural change in the financial management system will serve Lucenec's capital expenditure needs when longer term borrowing mechanisms become more readily available within the greater Slovak financial community. This will be reinforced by publishing a "user friendly" annual report on the new budget each year. This small pamphlet, to be distributed to all households in the city, brings a new level of openness and understanding to municipal finances and how the city is managing public funds.

Example: Perhaps the finance director took her lead to be an organization change agent from the mayor. He has forged successful alliances with the private sector and several regional institutions to promote Lucenec as a regional center for long term economic development. These opportunities have been made possible by the kinds of epic changes that all of Slovakia has experienced in recent years. While not specific to Lucenec, the mayor and his staff have seen opportunities for their community in the growth of private enterprise and the expanded potential for local government's involvement in economic activities (both confined to national institutions before the revolution). More importantly, the mayor had a vision about what the future might be for his city. Vision, and re-vision, are central to bringing about organization change.

Organization change can be as simple or profound as:

- a change of habits *(treating citizens like customers, not nuisances);*
- a change in organization norms and values *(open meetings with citizens to prepare a long range plan for economic development)*;
- a change in how the organization is structured and operates *(using project teams from different municipal departments and external organizations to solve a thorny problem that spills over many departmental and organizational boundaries, e.g., drug use in the community)*; and
- a change in how employees are rewarded for contributing to the organization's long term mission and goals *(a yearly dinner for them and their family members to recognize employee contributions and celebrate their achievements).*

Fortunately, there is a rich body of knowledge, research and experience about the phenomenon of change, how it affects managers and organizations, and how to cope with it more successfully. The idea that organizations can "plan and manage change" has been a part of management theory and practice for many years. Professional management books and journals are replete with references to *planned change*, *managing change*, *organizational change*, *change agents* and, more recently, *change master*. They are efforts to make available, in usable formats, a collection of theories, principles and practices about change and how it can be more effectively harnessed to serve the needs of organizations and their clients. This workbook is designed to glean from these efforts a practical and effective strategy and set of tactics that will help you become a more effective *organization change agent*.

> *Just Because Everything Is Different Doesn't Mean Anything Has Changed.*

REFLECTION

Think about profound changes that may have happened in your organization, or perhaps your personal life, and jot down what they were and how you felt about these changes at the time. As you look back on them, do you wish your response had been different than it was at the time? If so, what could you have done differently, and why?

A BIT OF HISTORY

As mentioned above, *organization change*, and the broader theme of *managing change*, have a well documented history. Historians were writing about these phenomena long before there were academic disciplines like management and public administration. Rather than regale you with a blow by blow description of how *organization change* and *managing change* became mainstream to managerial thinking, we will focus on one individual who has had a major influence on much of what we know about managing change at the present time. This person is Kurt Lewin, a social scientist who emigrated to the United States from Germany in the early 1930s.

At least five of Lewin's research interests and contributions have found their way into contemporary organizations and form the basis for much of modern management theory and practice. They will also be used as the foundation for the strategy and tactics to be recommended in this workbook. Lewin's contributions include:

1. the role of *democratic leadership* in non-political settings, including the sharing of power, authority, responsibility and decision-making at all appropriate levels of organizations and societies (a major theme in contemporary and enlightened management practices);
2. *group dynamics* (human relations) and its impact upon the effectiveness of individuals and teams in task-oriented settings;
3. *experiential learning* (learning by doing) as an approach to developing skills and changing attitudes and behaviors;
4. *action research*, as a practical decision-making and problem-solving process; and,
5. the analysis of forces at work within and among social systems — an important contribution to *the concept of organizations as open systems*. Open systems are those that are influenced by, and in turn influence, their external environment.

These five major themes in the management of complex organizations and institutions did not always fall on fertile ground in the years following Lewin's initial research and writings. It has taken decades for his collective efforts to become widely accepted as valuable contributions to the management of contemporary organizations. Nevertheless, many of the contemporary management schools of thought and action owe their success to Lewin's early efforts to define the basics in managing organization change. This workbook will build its case on how you can become a more effective organization change agent by focusing on one of his major contributions, the process of *action research*.

ACTION RESEARCH AND MANAGING CHANGE

Action research is very much an operating strategy, thus defying the conventional wisdom about research being an academic venture. As an operating strategy it produces both knowledge and change as explicit outcomes. In the dynamic world in which most organizations and managers operate, increased knowledge and understanding are critical and planned change is expected. Action research is an approach that can accomplish both.

For example, a training program for city managers conducted many years ago in the United States focused on *action research* as a management change strategy. The participants carried out an action research project in the small mining town where the four week workshop was conducted. Over one hundred local leaders and citizens were interviewed to determine what changes they would like to bring about in their community. The results were analyzed by the workshop participants and presented at a town meeting called by the mayor and open to all citizens. During that meeting, local officials and citizens learned the number one change they wanted for their town (as identified by the action research process) was a primary health care center. The data collection and analysis process had validated a need that was widely shared but never articulated by either the citizens or the town's leadership. Within a year, the town had a primary health care center that was operating with a full time staff.

The action research process involved: building a problem solving relationship between the town officials and citizens (and the visiting workshop participants); information collection, analysis and feedback to various stakeholders; mutual efforts to develop an action plan; and follow-up efforts to assure the plan was carried out as decided by the citizens and town leaders. In this case a group of city managers, while learning about ways to become organization change agents in their own organizations, were able to apply their new-found knowledge and skills to help another community plan and manage an important change within theirs.

This example demonstrates how action research, as a decision making process, feeds on itself by recycling what is learned in the conduct of inquiry back into the decision making process. While most basic and applied research efforts are concerned about the cumulative weight of their findings, action research is an impatient form of inquiry, devouring every new insight to improve decisions as the process unfolds. In the example just described, the action research process was brought to the local government by outsiders, (*external consultants* or change agents). This workbook and workshop are intended to help you acquire the knowledge and skills required to become an *internal change agent* who can plan and manage changes within your own organization.

ACTION RESEARCH CHARACTERISTICS

- *Action research (AR) is a conceptual framework for thinking about problems as well as a managerial philosophy that can be used to center all activities*. LSGAC, for example, used an action research approach to form coalitions of organizations and individuals to develop the elected leadership training program for local government officials in Slovakia.
- *Action research involves widespread consultation and participation.* Everyone involved in the problem is seen as capable of making a contribution. AR is based on the fundamental belief that people are

more likely to change if they participate in exploring the reasons for, and the means of, bringing about change.

- *Action research puts a premium on learning by doing.* Learning, and consequently training, is built into the heart of the process. The intent is not simply to solve immediate problems, but to help those involved in solving current problems gain the knowledge and skills needed to solve future problems.
- *Action research is practical and direct.* It is carried out within the context of real issues and concerns defined by those involved.
- *Action research is developmental.* It develops individuals, teams and organizations to become more self-reliant.
- *Action research is experimental.* It encourages experimentation and practice; recognizing the importance of using that which is learned to guide that which is yet to be done.
- *Action research is sensitive to the cultural context of its involvement.* While the process of action research may not be totally free of cultural biases, it can and should be responsive to cultural differences, given its built-in feedback and self correcting features.

Think of action research as: the overall *conceptual framework* within which we manage organizational changes; a set of *principles and values* that encompass the change process; and, the *strategy* that drives each of the tactics we will discuss as integral to managing change.

Think like a man of action;
act like a man of thought.

– Henri Bergson

MANAGING ORGANIZATION CHANGE IS A STRATEGIC PROCESS INVOLVING EIGHT TACTICAL STEPS

The strategic nature of the managing change process has been discussed in some detail (using action research as the defining principle). Now we will look at the specific steps, or *tactics*, in the organizational change process. "*Tactics*," as defined in one dictionary, is *the art or skill of employing available forces with an end in view ... a device or expedient for accomplishing an end.* Tactics are, therefore, never ends in themselves; they are only means for achieving ends. Edward de Bono says *tactics are the servants of strategy.*

Managing organization change involves eight interrelated steps or tactics, within the overall strategy. These steps are only summarized below. They will be described in greater detail later in the workbook and are shown graphically in the diagram on page 14.

1. ***Awareness and Vision.*** Awareness is the ability to see problems as they are; vision is perceiving opportunities that don't yet exist. Both are invaluable skills in bringing about organizational change. We will explore the differences and how important each is to effective management.

   Applying awareness to problems and vision to opportunities are also the times when we think "who else should I involve, can I involve, in helping me solve my problem, realize my vision." This process is often called *doing a stakeholder analysis*. As Chiu Ming said many centuries ago, "the way of war is to know your opponents." We will put a more positive spin on this proverb by saying "the way to manage change is to know your stakeholders."

2. ***Building A Problem Solving Relationship.*** Like the foundation of a house, the relationship of the people engaged in problem-solving is the base upon which all future actions rest. When that relationship is one of mutual trust and understanding, the process of making decisions and solving problems is greatly improved.

   Building the relationship means:

   - Sharing expectations and values
   - Setting ground rules
   - Assuming useful roles and responsibilities
   - Learning how to work as a team

3. ***Problem Finding and Analysis.*** Deciding what problem to solve or what opportunity to realize is not as easy as one would think. Sometimes it is necessary to *redefine* the problem or opportunity, even if the elected council or some other authority has decided what it is. For example, managers and elected officials may identify symptoms as problems (which they often are). The *problem* with "solving a symptom" is that the real problem will still exist. Or, managers may define a solution as the problem. This, of course, eliminates all other options as potential solutions to the problem. *Finding the real problem* is, for many managers, a very difficult task. Perhaps this is because it is so much easier, in the short run, to solve symptoms and to implement solutions, even if the real problem continues to exist. After determining what the *real problem or opportunity is*, the task of analyzing it becomes much easier.

4. ***Planning a Course of Action.*** Having identified the real problem (or opportunity) and analyzed it, the next step is to decide how best to plan for its implementation. This involves:

   - Narrowing your choices to one priority action;
   - Looking at the potential consequences (what will be the impact, short term and long range); and,

- Developing a plan of action (to implement the best action, or a combination of actions)

Choices are the manager's best friend. Without choices, it is impossible to *manage*. No choices, no need to decide. If there is no need to decide, who needs a manager? Planning a course of action is deciding *who will do what with whom, within what time frame and other valuable resources, and determining how you will know your plan was successful.* Planning is decision making, and therefore an important management responsibility.

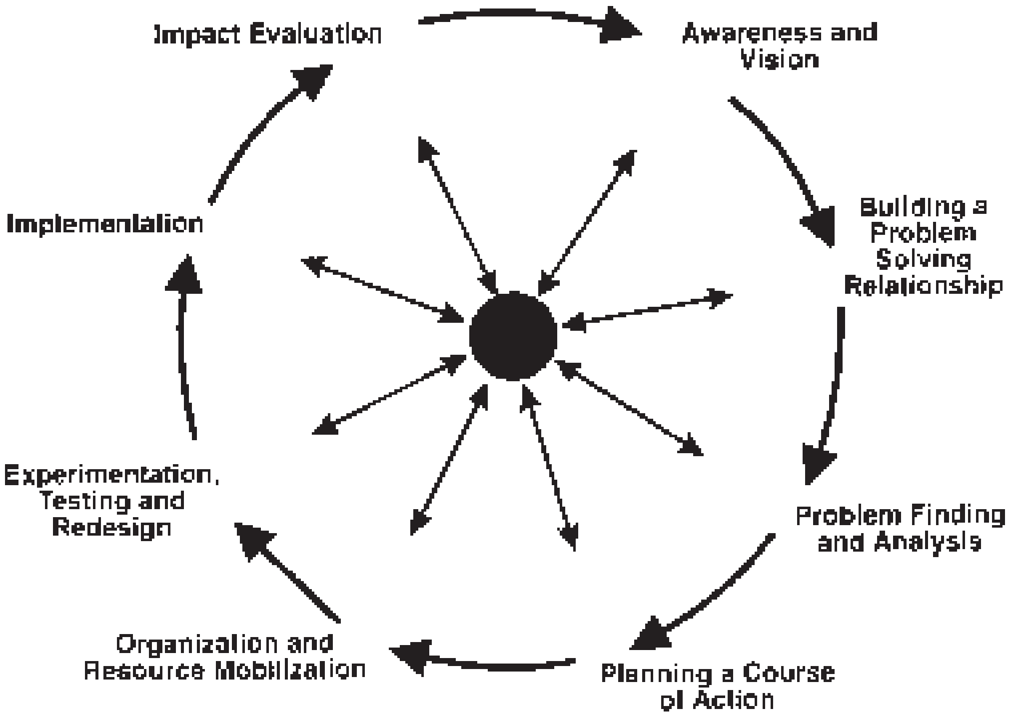
5. ***Organization and Resource Mobilization.*** In most local governments, the organization and its employees are the biggest single, on-going, most immediately available resources. How they are organized and deployed to accomplish any organizational change strategy is important. So are all the other resources: money, expertise, equipment, materials, time, commitment, political goodwill, "power" connections (those with sufficient clout to help you clear an important unexpected hurdle, if you need to), citizens (customers of the planned change products or outcomes), and many more.

6. ***Experimentation, Testing and Redesigning.*** Too many promising solutions are "implemented" without a field test, controlled experiment, or trial run. Before you dive into deep water with a major untested organizational change endeavor, it makes sense to try your plan out in "the shallow end of the pool." This allows the problem solving team to assess how effective and workable its proposed plan of action will be, and to redesign it if necessary.

7. ***Implementation.*** This is where you put your plan into action and manage the intentional and unintentional consequences of the rigorous planning that went into it. Even if your plan of action is well thought out, anything can happen. (There is a saying, referred to as Murphy's Law: *If anything can go wrong, it will*). Consequently, it is important to have back-up plans. Other important managerial tasks associated with implementation are: directing, coaching, supporting, and delegating (developing and motivating staff resources).

8. ***Impact Evaluation.*** This involves asking such questions as: *did we do what we intended to do? If not, why not? Did the change have the intended impact (outcome) we anticipated? If not, why not?* Summative evaluations ("summing up" the consequences of planned change) are important, but formative evaluations are more important to managers. Why? Because they feed back information, data, and insights as the change process unfolds so those involved can *re-formulate* and *re-plan*). So, impact evaluation is one of those steps in managing organizational changes that follows our progress like a shadow.

Action Research



> *Anyone can break something up into small pieces. The trick is to knit them back together again into a whole without compromising their autonomy.*
>
> *– David Nadler*

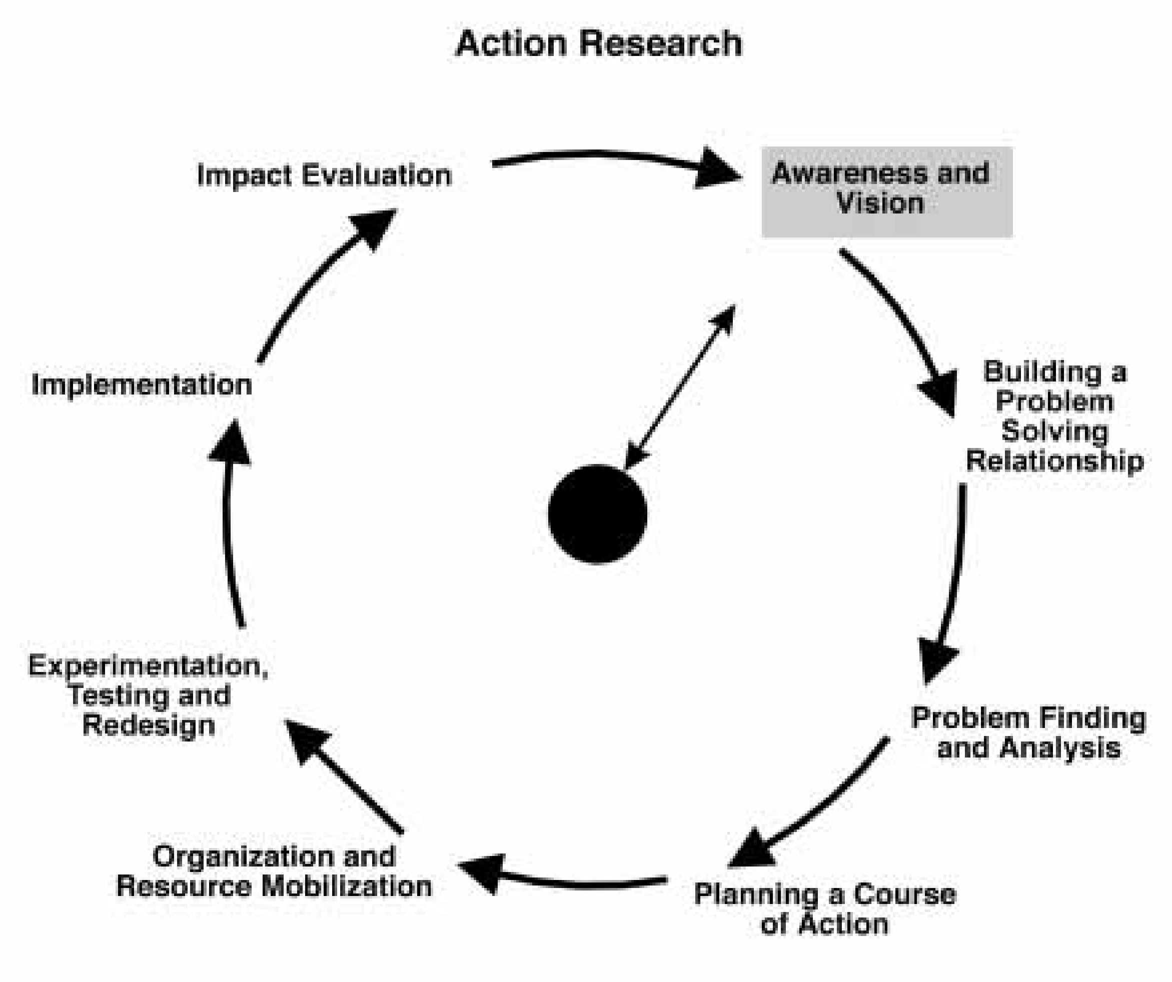
REFLECTION

Stop for a moment and reflect on the action research strategy and tactics just defined. How similar, or different, are they from the way your organization goes about planning and implementing organization changes now?

MANAGING CHANGE IS A MESSY, AMBIGUOUS PROCESS

One final set of comments before closing this overview of the organizational change process. The steps in the process are deliberately shown, in the preceeding diagram, as a cyclical and not a straight line process, for several reasons:

- The idea of recycling is built into the approach. Once the cycle is complete, it should lead to another cycle, based upon what has been learned and accomplished.
- The process can be entered into at any stage in the life of an organization and the implementation of its roles and responsibilities. In other words, it is not constrained, from a time perspective, by such things as a budget cycle, or "we just went through a strategic planning process," or, a host of other reasons why the time is not right to *manage change.*
- The process is often untidy (yes, messy!) moving back and forth among the steps in the process, as required. It is often necessary to return to a previous step for one reason or another. One may realize, for example, that it is impossible to *plan a course of action* (step 4) without a better understanding of what the *"real" problem or opportunity* is you are trying to address (step 3). At other times, you will be able to skip steps in the process. For example, the need for *planning a course of action* (step 4) may be so clear and the time so short that *testing and re-design* (step 6) doesn't make sense. The important point is to view the process as dynamic, one that is flexible and responsive to the needs and desires of those who use it.


Action Research
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation
Impact Evaluation

TACTIC 1: AWARENESS AND VISION

Planned change, whether it happens at the individual, team, department, organization or community levels of the local government domain, is precipitated by two major human attributes: *awareness* and *vision*. These attributes are most likely triggered by two phenomena: *problems* and *opportunities*. Or to put it a bit differently, awareness of problems and visions of opportunity, when acted upon with deliberation, trigger the planned change process.

Making decisions and solving problems are two of the most important tasks that managers perform. Seizing opportunities, and acting on them (which is also decision making), is another. There are some significant differences between problems and opportunities and the thought processes required to address them successfully. *Problem solving* is, by its very nature, *reactive*. You, as a manager, have a problem and *react* to solve it. *Opportunities* require a *proactive* style of management, reaching out to pursue a course of action that is important but not urgent. Problems are urgent, or they would not be seen as problems. On the other hand, problems are not always important which may explain why so many go unsolved.

Here are some other distinctions between problems and opportunities:

- *Problems* are often oriented toward maintenance (fix it, solve it, get on with it). By contrast, *opportunities* are focused on something we call development, be it economic, social, physical or political.
- *Opportunities* are, nevertheless, problematic. They almost always involve some risk and uncertainty. Is it feasible? Will it work? If it works, will it result in the intended benefits? Will the benefits outweigh the costs? *Problems*, on the other hand, can become more risky and uncertain if they aren't solved.
- *Opportunities* live in the future and the risks must be calculated against a future not always predictable. *Problems* emerge from the past, resulting from actions or inactions that have or have not happened. The results of solving problems, or not solving them, is often more predictable. On the other hand, Peter Senge reminds us that, "today's problems come from yesterday's solutions."
- *Opportunities* require foresight — a vision about what can be. *Problems*, more often than not, require hindsight — determining what went wrong.
- When tapping *opportunities*, the critical question is *What if?* The most important question, when solving *problems*, is *Why?*
- When dealing with *problems*, we seek *solutions*. With *opportunities*, the search is for *benefits*.
- *Opportunities* can be ignored. *Problems*, in most cases, shouldn't be ignored.

If problems and opportunities are the objects of our managerial affections, how do we sharpen our skills to address them more effectively. The skills, and human attributes (because more than skill is involved), are essentially *heightened awareness* and *enlightened vision*. Let's look at these managerial skills and attributes more closely.

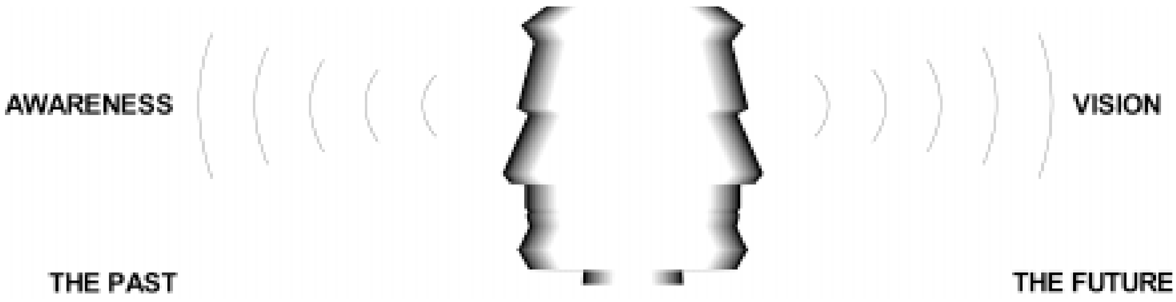
Tapping opportunities and solving problems, as managers, begins with the basic *awareness* that something is wrong (or about to be) and a *vision* that things could be better than they are. Both *awareness* and *vision* involve many things: *insights* (seeing things that are not obvious to others); *perspective* (looking at things from different points of view); *intuition* (hunches from our collective experiences that are lingering somewhere in our subconscious library); *increasing our peripheral vision* (taking off the blinders to widen our scope).

Both of these managerial attributes, *awareness* and *vision*, can benefit from *reflection* ("stewing time"). Often it is necessary to *stew* in a problem or opportunity, in order to understand and appreciate all its many ramifications. Stewing time can often keep us from solving problems that are best unsolved, and forgetting opportunities that are better forgotten.

While *awareness* and *vision* ride some common brain waves, they are also quantitatively and qualitatively different as managerial tools required to bring about organizational changes. Let's see if we can make more sense out of these managerial attributes.

- Managerial *awareness* is more *tactical*, a short range skill. *Vision* has a longer range, *strategic* quality.
- *Awareness* is about *being*. *Vision* is about *becoming*. The time perspective required to exercise each skill is different.
- *Awareness* attends to *details*. *Vision* paints the *big picture*.
- *Awareness* often requires *hindsight* (determining what went wrong) and *re-vision* (how can we fix it). *Vision* operates from *foresight* (what's over the horizon?) and *en-visioning* (seeing a future that is not yet invented).
- *Awareness* involves *convergent thinking* (focusing in). *Vision* is best achieved when our thoughts *diverge* from the beaten path.
- *Awareness* is often an *intense* endeavor, seeking out the most minute clue. *Vision* comes best when we *transcend* our immediate environment.
- *Awareness* is enhanced by the *analytical* ability to put two and two together and get four. *Vision* benefits from *conceptual* thinking, taking two and two and putting them together so they equal multiple digits.

Both are important and valuable management skills. Each requires its own set of tools and most of us are better at one than the other. Collectively, the organization must increase its awareness of what is and expand its ability to visualize what can be. Without awareness and vision, there are few possibilities for managing organizational change. As Peter Block reminds us, "the future, in some ways, is the cause of our current behavior." Or, to phrase it somewhat differently, we are what we want to be.



REFLECTION

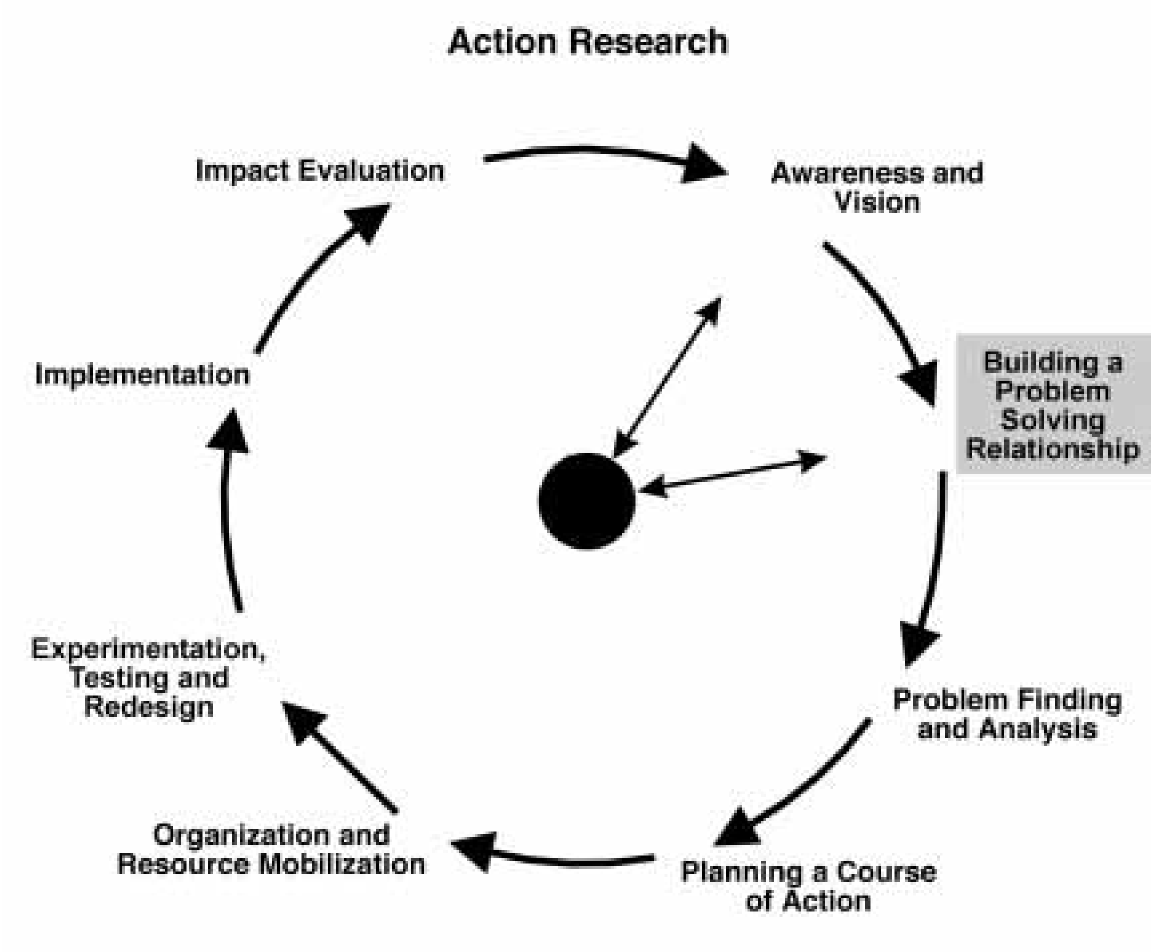
What about your own approach to management? Are you more oriented toward *solving problems* or *creating visions*? Record those awareness and vision characteristics listed above that you would most like to become more effective in using as a manager. Limit your choices to two or three in each category.

WHAT ABOUT STAKEHOLDERS?

It's not too early to think about the role of stakeholders in your efforts to solve problems, or to seize opportunities. So, who are these stakeholders? Well, they are probably a contradictory and mixed group of people and organizations. For example, there will be *those who want you to succeed in your plans to manage change* (solve problems; seize opportunities) and *those who would like to see you fail!* Those who are willing to bet on either your success or failure. (*Betting* means willing to invest in helping you succeed, and those who are willing to bet their resources to make sure you fail.) Also, those who would be willing to support your efforts openly, and those who you can count on "behind the scene." And, don't forget all those who will be affected one way or another by the change you want to bring about.

The term *stakeholder* tends to take our deliberation on this important step outside the organization, perhaps because we often take our own staff and employees for granted. After all, they should be committed stakeholders in any program or process we come up with to bring about organization change. Don't be so sure! Employees may feel the most threatened of all stakeholders when major changes are contemplated in the organization and the way it operates. To assure the human resources within your organization are rightfully brought on board as partners in the change process, it might be helpful to engage in a separate stakeholders mapping exercise to cover those in the organization who can contribute, support, stonewall, or even sabotage your efforts to bring about planned change.

Mapping your stakeholders should be a reoccurring activity, an exercise to be engaged in at various points in the organizational change process. It is good to map the stakeholders, in a more general way, even as your awareness or vision for bringing about change is forming. The list of *critical, important* and *useful* stakeholders might begin to change as you engage in serious problem finding, and definitely when you begin the process of resource mobilization. However, these later thinking and acting endeavors might involve stakeholders who are with you from the beginning (Tactic #1, Awareness and Vision) and continue as members of your "*change team*" through all stages (tactics) in the change process. So, plan to return to this important step in Tactic #1 whenever it seems useful or important.


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Implementation
Experimentation, Testing and Redesign
Problem Finding and Analysis
Organization and Resource Mobilization
Planning a Course of Action

TACTIC 2: BUILDING A PROBLEM SOLVING RELATIONSHIP

Whatever problems or opportunities you and your organization want to address, the outcome of these endeavors will depend in large measure on your ability to grow effective relationships, to forge an explicit agreement among significant partners regarding your expectations of each other and how you are going to work together. The relationship among members of an organization has a great deal to do with its ability to solve problems, to learn from each other, and to plan and manage organizational change. Like the foundation of a house, the problem solving relationship needs to be built from the very beginning, and constantly maintained, since almost every other action depends upon the strength of this relationship. This is what Peter Block and his colleagues call the *contracting* phase of developing productive consulting relationships.

> *Building problem-solving relationships is an endeavor that seeks mutual consent by those involved.*

EXPECTATIONS

What expectations do various parties to the problem-solving process have about their working together? Within a training session, for example, it is important for the trainees to also know the expectation of the trainers and the sponsoring organizations. Likewise, the trainers need to know what the trainees expect from the program. If these expectations are very different, it could lead to serious problems in communicating and working together. To the extent possible, it is important to work toward a common set of expectations. The expectations of large groups of employees in many organizations never get surfaced. They continue to be hidden and the organization's ability to make decisions and solve problems is hindered.

Peter Block, in his book *Flawless Consulting,* talks about the importance of each side declaring their wants. What does each partner in the problem solving relationship *want* from the others. In conducting consulting skill workshops in Slovakia (based on Block's model) we found that many have a difficult time stating "wants." For whatever reason, saying the words is difficult. However, this may not be only typical to Slovakia. Believe it or not, many Americans have the same reaction to the task. But, think about how important it is, when working together, to be able to express your *wants*.

If a pickpocket
meets a holy man,
he will only see his pockets.

VALUES

People who join organizations and groups often have strongly held beliefs and values. For example, many trainers value shared responsibility for, and involvement in, learning — the belief that individuals are not taught — they learn if they are so motivated. This suggests active involvement in setting learning goals and contributing to the learning of others. The participants also come with their own values and they may be in conflict with those of the teaching staff. Since values are a part of every interaction we undertake, they need to be mutually understood if people are to work well together. If employees believe in shared decision making as an organizational norm and top managers are not willing to "value" these beliefs, the relationship will be, at a minimum, strained.

GROUND RULES

A good problem solving relationship involves establishing ground rules that are understood and agreed upon by all parties. How many times have you gone into a situation when you did not know what the ground rules were? Not a comforting feeling, is it?

A group that strives to make quality decisions and to solve complex problems needs to establish ground rules on how it is going to operate. These include:

- how the group will go about analyzing and solving problems;
- how the group will make decisions;
- how the group will set agendas, share information, and record important decisions; and,
- whether the group will have a regular group leader or rotate that responsibility among the participants.

ROLES AND RESPONSIBILITIES

The roles and responsibilities of each party involved, and how these are viewed by others, are important issues in establishing an effective problem solving relationship.

People play various roles in groups — some helpful, some not so helpful. We will be looking at these roles during the workshop and how they affect each group's work.

RESOURCES

Any task to be undertaken requires resources. It is important to initially assess whether or not you have the necessary resources available, or whether you can acquire them if and when they are needed. Nothing stops problem solving more quickly than a lack of resources or the belief that they are not available.

Building problem solving relationships requires getting to know the territory in which decision making and problem solving will take place. It includes raising and answering questions that help develop a level of trust and understanding among those who will be involved.

MAINTAINING EFFECTIVE PROBLEM SOLVING RELATIONSHIPS

Building effective problem solving relationships is a necessary step in the organization change process. Maintaining effective relationships, from this point on, is just as important, and often more challenging. Here are some insights on group process and how they might be used to: (1) build effective teams that cut across departmental and organization boundaries; (2) foster greater collaboration and cooperation among various stakeholders, inside and outside the organization's boundaries; and, (3) deal with conflicts and resistance which often arise from efforts to bring about change. Group process manifests itself in many ways. Consider the following:

- ***Group Values and Behaviors.*** What people do in the problem solving relationship is important and may have a greater impact on what happens than anything else. Here are some skills and qualities that are helpful in building a strong working relationship.
  - — ***Empathy.*** It is important to try to see the situation from another person's point of view — to "tune in" on the person. Managers often forget what it was like to be a "worker." Reflecting upon those experiences can be important in becoming a more effective manager.
  - — ***Honesty.*** Being honest and authentic in our behavior contributes to effective problem solving. While direct communication has different connotations in different cultures, it is a value worth considering.
  - — ***Respect.*** Having a positive regard for others and respecting their feelings, experience and potential for contribution is important to effective relationships and problem solving.
  - — ***Commitment.*** There are a number of ways that commitment can be measured including presence and involvement in the task.
  - — ***Flexibility.*** Above all, the effective problem-solver is flexible, willing to hear others and to change his or her mind when a better idea is presented or a better way is found.

- ***Knowing How Groups Function.*** Another important part of effective problem solving is an understanding of how groups function. How we interact with others is a complex, interesting part of everyday life. Here are some things to know about working together that can be useful in making our interaction with others more productive.

  Content and Process. In all human interactions, there are two major ingredients — *content* and *process*. The first deals with the subject matter of the task upon which the group is working. In many interactions, the focus of attention is on the content.

  The second ingredient, *process*, is concerned with what is happening between and to group members while the group is working. In many interactions, little attention is paid to process, even when it is the major cause of ineffective group action.

  Sensitivity to group process will better enable one to diagnose group problems early and deal with them more effectively. Since these processes are present in all groups, awareness of them will enhance a person's worth to a group and enable him or her to be a more effective group participant.

  Participation. One indication of involvement is verbal participation. Look for differences in the amount of participation among members:

  — Who says a lot; who doesn't?

  — Do you see any shift in participation, e.g., "talkers" become quiet; quiet people suddenly become talkative?

  — How are the silent people treated? How is their silence interpreted? Is it seen as consent, disagreement, disinterest, fear?

  — Who talks to whom?

  — Who keeps the discussion going? Why?

  Influence. Influence and participation are not the same. Some people may speak very little, yet they capture the attention of the whole group. Others may talk a lot but are generally not listened to by other members.

  — Does anyone make a decision and carry it out without checking with other group members? (Self-authorized). For example, he/she decides on the topic to be discussed and immediately begins to talk about it.

  — Does the group drift from topic to topic?

  — Who supports other members' suggestions or decisions? Does this support result in the two members deciding the topic or activity for the group?

  — Is there any evidence of the majority pushing a decision through over other members objections? Do they call for a vote (majority support)?

— Is there any attempt to get all members participating in a decision (consensus)?

- ***Group Roles.*** For a group to work effectively, a number of functions or roles must be performed by both the designated leader and/or the members of the group. The performance of these functions permits the group to satisfy the needs of its members and to move toward achievement of its objectives. There are two main categories of leadership/membership functions: (1) those required to meet needs on the level of "*task*" achievement; and (2) those required to meet needs on the level of group "*maintenance*." A third category of composite roles (dual functions) helps the group to do the job and also maintain and strengthen itself as a group. See the following exhibit for a list of the various functions.

It is important for managers to understand group process and its impact on managerial decision making and problem solving. Managers rarely work alone. Their average day is filled with meetings — from one-on-one counseling of valued employees — to small work sessions — to large group settings. In every case, those involved must consider how best to develop the relationship, whether temporary or long standing, so it will be productive. Those who know how to build problem solving relationships in a variety of interactive circumstances have mastered one of the keystone skills of being an effective organization change agent.

Task Functions	Relationship Functions	Dual Functions
• Initiating ideas and discussion	• Encouraging others accomplishments	• Assessing
• Seeking and giving information	• Monitoring individual contributions	• Diagnosing group ills
• Testing for consensus	• Seeking opinions standards	• Setting group
• Expressing opinions and beliefs	• Being an effective follower	• Mediating differences
• Elaborating and clarifying	• Expressing group feelings	
• Linking individual contributions		
• Summarizing contributions		
• Testing for reality		

There is another concern regarding the art of building and maintaining problem solving relationships that is worthy of discussion at this time. It is the resistance you will inevitably encounter when engaging the organization in any kind of change process. While we will discuss resistance to change later in the Tactic on *Implementation*, we want to look at certain aspects of this challenge now. Resistance may become evident as early as the relationship building stage of managing change, or what some call the contracting phase.

REFLECTION

Before we look at the issues involved in resistance to change, take a few moments and record some of your thoughts about your *strengths* in working in groups. Then, record one or two areas where you believe it would be helpful to improve your efforts to work more effectively in group settings (based on the ideas presented above).

RESISTING THE POSSIBILITY OF CHANGE

Change, as we are constantly reminded in the change literature, can be very threatening to those involved and is often expressed as resistance to change. While resistance can be a natural, predictable and necessary part of the change process, many managers find it one of the most difficult and challenging tasks they must undertake as an organizational change agent. Since resistance is commonly encountered in the relationship building stage of planned change, it is worthy of discussion at this time.

Peter Block, in *Flawless Consulting*, discusses the skills required in dealing with resistance. They are:

- identifying resistance when it takes place;
- viewing it as a natural process and a sign that the contracting phase is on target;
- helping your change partner express the resistance directly; and,
- resisting the tendency to take the resistance personally.

Resistance to change, according to Block, can be manifested in a number of ways. Among the more common are: (1) the quest for more and more detail on the proposed change (which has the reverse corollary of the intended partner of the change process flooding you with information, much of which is irrelevant); (2) the no time available or it's the wrong time response; (3) the proposed change is at best impractical (the "get real" response); and others, ranging from anger to silence. Success in coping with resistance to change is best achieved by not taking it personally and being able to identify it when it happens.[2]

George Binney and Colin Williams, in their book *Leaning into the Future,* take a slightly different approach to understanding resistance. They identify four reasons why individuals are unwilling or unable to change, particularly in organizational work settings. The reasons are: dependency; enforced busy-ness; isolation; and blaming. Let's take a closer look at these suggested causes of individual responses to organizational change.

Dependency. Many organizations foster an aura of individual dependency. When faced with change, individuals often feel threatened and react in a variety of ways: being "rational" in explaining why they don't need to change; becoming aggressive; denying the change will affect them personally, pretending they can carry on as before.

Enforced busy-ness. Many organizations are obsessed with having employees "being busy." Although driven by good intentions, it has its destructive side. The need to be "busy" often denies thoughtful review of what is happening in the midst of organizational change. Managers need to create time and space for employees to think things through, in an effort to make sense of the changes as they take place. American managers often joke about Japanese managers taking a month to make a decision they could make in a day. The Japanese then take a day to implement their decision while the American managers are still struggling with it six months later. Being "busy" isn't always efficient, or effective in the long run.

Isolation. When people work in isolation of their colleagues and the external environment, they often find change more difficult to adjust to. This may sound a bit unrelated when discussing local governments, but Slovak local governments seem to isolate their employees from what is happening in other departments and agencies in the city. Or, at best, the employees are not encouraged to collaborate across departmental and organizational boundaries. Isolation can happen even when we are surrounded by people.

Blaming. Organizational actors, at all levels, often fall into the "blame game" when faced with change. You've heard it: "I'm ready and willing to change, but it's the guys on the shop floor (or, the middle mangers) who are holding us up." This reaction is often driven by self-doubt and fear.[3]

We will return to the topic of resistance when discussing *implementation*. But, recognize it as a natural response to change and a resource to be managed.

REFLECTION

Since our ability to deal with resistances to change is so important, take a few minutes and jot down some of the resistances you have used as a manager to resist change. And, note some of the others you have encountered, and maybe some thoughts you might have about dealing with them differently after reading the ideas on resistance presented above.


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation

TACTIC 3, PART I: PROBLEM FINDING

> *Leaders aren't born, they just learn how to ask profound "problem finding" questions.*

MAKING DECISIONS AND SOLVING PROBLEMS

Making decisions and solving problems are two of the most important tasks that managers perform. They permeate day-to-day operations and affect the long term health of any organization. In spite of the common nature of these two activities in organizational life, many managers are under-skilled in carrying out the processes of decision making and problem solving.

Skills, of course, are only one aspect of managerial performance in these two vital areas of concern. Motivation, resources, timing, and the overall environment of the work setting are also important to the acts of making decisions and solving problems. The effective manager's "skillfulness" should not only include a well-honed set of tactics but an overall philosophy and strategy of management: his or her ability to make decisions and solve problems within the larger context of community needs and values. This requires, among other qualities: mature judgment; consideration for others; involvement of colleagues; attention to long term as well as short term consequences. Indeed, it is *a passion for excellence,* as the authors of one recent management book described the personal commitment that is required of those who would seek to bring about organization change.

PROBLEM FINDING

In the decision making/problem solving process, no step (or *tactic* as we are calling the steps) can be as difficult as *finding problems* (real problems, not just symptoms, or worse yet — solutions). That's right, many managers think solutions are "problems," and it causes all kinds of, well, *problems*, as they go about their managerial duties. But, we will spend more time on this topic in a moment.

Of course, there are times when the problems we face are crystal clear. No one questions them, and they can be addressed directly. There are other times, however, when problems are fuzzy, ambiguous, difficult to describe. They even go around masqueraded as something else. While *opportunities* can also fit these descriptive terms, they are more often limited by the imagination and the courage of the organization and its leaders to state them clearly. Given this, we will spend most of our time looking at the fascinating and difficult task of *problem finding.*

> *Thinking Is Preparation For Action. People Who Are Afraid Of Action Increase The Preparation.*
> *– Otto Fenichel*

Problem, Symptom, or Solution: That is the Question

Problems are those things that keep you or your organization from getting from where you are to where you want to be. This suggests that you know where you want to be — which is not always the case. Sometimes problems defy identification, let alone solution, because we are not clear about what we want to achieve.

Setting goals, or defining end results (what would the problem look like if it were solved?), becomes an important task early in the problem solving process. Without knowing where we want to go, it is difficult to determine: (1) how we want to get there; and (2) whether or not we have arrived. If we don't know where we want to go, it doesn't help to buy a road map. Or, worse yet, you won't know when you have arrived.

Another "problem" in identifying problems is the tendency for problems to mask themselves as symptoms, or even solutions. Symptoms are those visible aspects of a problem that often bring the problem to our attention. Symptoms rarely explain a problem; they are only manifestations of the problem. For example, a headache is a symptom of something else. The problem could be eyestrain which, in turn, may be a symptom of something else – a problem within a problem. We could treat the headache (a symptom), but the next time we read, the "problem" returns. Effective problem solvers need to dig beneath the surface, where symptoms reside, if satisfactory results are to be achieved.

Solutions also masquerade as problems. In a recent management workshop, participants were asked to identify a problem they would like to work on during the workshop. One local government management team said they needed to install water meters throughout the community. Problem or solution? Solution, of course; but, what's the problem? When they were asked why water meters were a "problem," the team said water meters would: raise revenues (the finance officer obviously liked this definition of the problem); and, of course save water, a scarce resource in the region (which warmed the heart of the environmental officer). Taking the team's response at face value, the trainer suggested the problems behind these benefits (or *solutions*) might be: (a) a revenue deficiency and (b) a limited water supply.

Once the management team identified the *real problem*, which was an impending shortage of water for the city, water meters were no longer seen as a problem, but a solution, and not a very effective one based on other options to conserve water. Nor was it clear to them, after they had thought about it more, that water meters would either raise revenue, or cut costs (which is another way to improve the financial condition of the organization). As you can see by this situation, identifying a solution as the problem often denies the consideration of other solutions. Identifying solutions as your problem may be the biggest trap you set for yourself as a problem solving manager.

One of the first questions to ask in the problem identification stage of problem solving is: "*Have we defined the problem or simply identified a symptom? Which is often a clue to help you find the problem. Or, have we jumped to a solution and decided to call it our problem?*" In this case, we almost always deny ourselves the freedom of having potential options for solving the problem.

A problem well stated
is a problem half-solved.

THE PROBLEM DIALOGUE

One way to understand your problem is to talk to it – ask it a series of simple questions. This dialogue with your problem is perhaps the easiest way to understand whether you have a problem and whether or not you want to do something about it. Sometimes the best solution is not to solve the problem.

Here are some questions to ask your problem:

- ***What is the problem-the real problem?*** (Don't be fooled by symptoms and solutions that go around dressed like problems).
- ***Why is it a problem?*** Another way to ask this is, *what is causing the problem*? Some street maintenance departments spend a lot of time fixing potholes and never stop to ask why the potholes are there in the first place. If they did, they would probably do something different, like fix the problem that is allowing the potholes to re-invent themselves so often. Which brings to mind the age old notion of *cause-effect relationships!* There are many fancy exercises to map causal relationships but the one we like best is simple and direct. It is like peeling an onion; a systematic effort to discover the evolution of the problem, one layer at a time until you get to the bottom of it. After stating the "*problematic effect*," a symptom is having on your situation (could be a project, personal life, the organization, a work relationship), you undertake an interrogation process someone has called *repetitive WHY analysis*. Example: I have a headache. *Why?* Not enough sleep. *Why?* Stayed out too late last night. *Why?* My car broke down in the middle of nowhere. *Why? ... well, you get the picture*. The example is a bit silly, perhaps, but the methodology is fool proof.

- ***Why should the problem be solved?*** If this question can't be answered, you may not have a problem worth pursuing.
- ***When and where is it a problem?*** The questions help you pinpoint the source, or sources, of the problem. Back to potholes again. If they develop every winter in a low lying area of town, you may find the potholes are *caused* (that "why" answer) by poor drainage. Fix the drainage *problem* and maybe the pothole *symptom* will go away.
- ***Whose problem is it?*** This is just one of several *who* questions you need to ask. For example, Who else would be interested in solving the problem? Would they be willing to contribute to its solution? Who might be opposed to solving the problem? Odd question to ask, but it might reveal some keener insight about what to do about the problem.
- ***What, really, is the problem, and why?*** It is important to continue to come back to this fundamental question, even though you thought you had the answers earlier.
- ***What would happen if we didn't solve the problem?*** How many times have you been so perplexed by a problem that you simply ignored it — and it slowly went away? Sometimes the best solution to a problem is no solution.

These questions, when taken seriously, will trigger a flow of information that will: (1) help you understand the complexity of the problem and (2) begin to suggest alternatives for solution. In fact, you may be saying to yourself that these questions sound more like a part of problem analysis than problem finding. You will be surprised how many times problems can be solved by understanding them better.

For example, questions about whose problem is it and what is their commitment to solve it, may begin to tell you that the time is not right to spend your energies trying to solve the problem at this time. Just because a problem exists, doesn't mean those involved are willing to do anything about it. And, trying to solve an organizational problem alone can be a frustrating and often unproductive experience.

On the other hand, solving the problem may require a redefinition of both the problem and those who can help bring about a solution. As mentioned earlier, identifying the problem can be the most difficult step in the decision making/ problem solving process.

To be sure your description of the problem can be understood easily by others, apply the *"3-C Problem Definition"* test.

3-C PROBLEM DEFINITION TEST	
Clear:	Would someone not associated with local government, like a citizen, understand your description of the problem?
Concise:	Is the way you described the problem sufficiently brief and to the point?
Complete:	Did you leave out anything important in describing the problem?

REFLECTION

Think about a problem you are currently having difficulty solving. Go back to the *problem finding dialogue* set of questions and work your way through it mentally (as we say "in your head"). After doing this mental exercise, jot down some of the reasons why you have been having difficulties with this particular "problem." Or was it a *symptom* or maybe even a *solution*?

SHOULD YOU GO FROM PROBLEM FINDING TO PROBLEM SOLVING?

Before you go any further on this problem solving venture, you need to decide whether or not an attempt should be made to solve the problem, and how soon. Finding questions to the following questions can help you reach a "*go-no go*" decision.

- ***How urgent is it to find a solution to your problem?*** A problem is *urgent* if it requires immediate attention to avert a crisis.
- ***How important is it to find a solution to the problem?*** A problem is *important* if neglecting it could result in serious consequences for the future of the agency confronted with the problem. (While writing this, the Bratislava transit system was on strike. Was this an urgent problem, or just important?)
- ***How feasible is it to solve the problem?*** Some problems can't be solved with existing levels of technology. Or, they may require a financial investment that far exceeds the capabilities of the local government with the problem.
- ***Is it within your control to solve the problem?*** The cause of the problem may be outside the legal jurisdiction or political influence of your local government. Or, the solution may depend on the approval of bodies that have little interest in solving the problem, or, perhaps, have an interest in preventing local governments from solving it. The case of transforming the water systems in Slovakia comes to mind immediately as a problem that is beyond the control of local governments to solve on their own. And, there are those who have interests in not solving the problem, at least within the public interests of local self governments.
- ***Are you willing to make a personal commitment to solve the problem?*** Problems often become problems because of individual or collective incompetence within the organization, or because of neglect over time, often resulting from a lack of commitment. Solving problems may call for a sizable investment of time, other resources and even on occasion, personal risk.

We have spent quite a bit of time on the *tactic* of *problem finding*. Perhaps more than you think is warranted given time spent on other tactics within *the organization change agent strategy*. However, rigorous *problem finding* is, more often than not, the *problem solver's* best friend. For a different approach to problem finding and solving, consider the following case from Japan.

TOYOTA'S PRINCIPLES OF PROBLEM SOLVING

Toyota encourages immediate reporting of problems and preventing cover-ups. Quite a difference when most organizations and their individual employees try not to admit a problem is developing (after all, they will probably be blamed for it!). So, it often gets covered up so no one knows about it at the time. As we all know, if the problem gets really bad, it's hard to figure out who to blame.

Such a radical approach to problem solving requires a few well adhered to ground rules: (1) No disciplinary action is taken for reporting a problem, even if it shuts down the assembly line (in Toyota's case). (2) Prevent the use of defective parts or delivery of imperfect products before seeking the cause of the problem (in other words, don't make the problem worse than it needs to be). (3) Give every worker involved in the work process the authority to stop work, not to wait for a supervisor to show up on the job before action for creating production inaction is taken. (4) Solve problems at the lowest possible level. This requires all employees to take responsibility for problem solving.

The reporting procedure goes like this: stop production; report the problem to all people who need to be involved in solving it; stop the delivery of any defective products resulting from the problem; and, investigate the causes and correct them.

NOW, ABOUT THOSE OPPORTUNITIES

Effective managing not only involves making decisions and solving problems. It also requires a pro-active stance by the manager to search out and seize upon *opportunities*, both within the organization and its external environment. Problem solving, by its very nature, is reactive. The manager has a problem; he or she reacts to solve it. Opportunities require a pro-active style — reaching out for a course of action that is important but not urgent. Problems are urgent, or they would not be seen as problems. On the other hand, they are not always important.

The dialogue, you are encouraged to hold with your problem, can be equally effective in determining if the opportunity you see has a chance to succeed and meet your expectations. Using future tense to frame your inquiries might help the discussion make more sense.

The optimistic manager sees an opportunity in every problem while the pessimistic manager, when presented with an opportunity, sees only problems in trying to take advantage of it. The Romanians, during the reign of Nicolae Ceausescu, had a joke about these differences. The pessimist was reported to say, "Things couldn't possibly get worse," to which the optimist replied, "Oh yes, my friend, they could get *much* worse." Sometimes the difference between a problem and an opportunity is only a state of mind.

TACTIC 3, PART II: PROBLEM ANALYSIS

One sometimes finds what one is not looking for.

As suggested in Step B, there is a tendency in the problem solving process to pursue *symptoms* (mini-problems masquerading as the real thing) or to jump to conclusions (*solutions*). In the first case, the symptom may be solved but the problem continues to exist. When the solutions are defined as problems, they immediately eliminate all other options for problem solving. More importantly, jumping to solutions may have you chasing after the wrong problem — or no problem at all.

Analysis (*Part 2 of Tactic 3*) is the bridge between identifying the problem or opportunity and planning a course of action (*the latter being Tactic 4*). Talking to your problem (or opportunity) as suggested in Part 1 begins the analysis stage of problem solving. And, if the discussion is taken seriously, will take you far into the analysis stage and closer to solving the problem.

Identifying the problem, in a precise way, is half the challenge of problem solving. No one understands the importance of this better than Japanese managers. *(While this cultural phenomena was mentioned earlier, it bears repeating at this time.)* They have a tendency to spend, at least in the minds of many Western managers, an inordinate amount of time on “problem finding.” This means, more often than not, getting agreement on what questions need to be asked. Implementation, in Japanese organizations, results from consensus decisions that emanate from in-depth discussions and reflections on the issues involved. These discussions begin with the important step of defining, as precisely as possible, the problem with which they are confronted.

By contrast, many Western managers, particularly Americans, have the tendency to rush into situations — determined to solve the “problem.” The rush to solution has the American manager spending valuable time in what might be called backward planning. Backward planning often requires the manager to redefine the problem to fit the solution. It is not a recommended approach to problem solving.

Or, as the authors of the recent management book, *The Witch Doctors*, say:

> *Where American managers live to make decisions, their Japanese counterparts prefer to let decisions make themselves. They like to compare leadership to air — necessary for life but invisible and insubstantial. The art of leadership is to divine the will of the group, not to electrify the organization with your charisma.*[4]

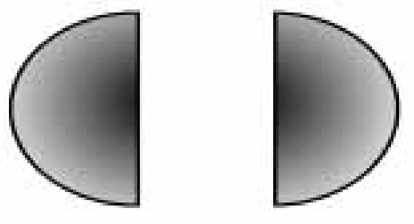
ANALYSIS IS A TWO STEP PROCESS

Problem analysis, as defined, is a two-step process: (1) translating the problem into an objective; and (2) analyzing the forces working for and against the fulfillment of the objective.

> *Management by objectives works if you know the objectives. Ninety percent of the time you don't.*
> *– Peter Drucker, Management expert*

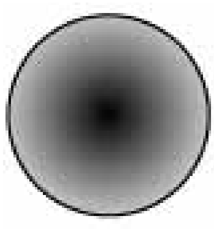
SETTING OBJECTIVES

One can view a problem as two split halves with a gap in between, as shown below. One half is where we are now, the other, where we want to be. The problem is the discrepancy between the two.



The Current Situation   The Objective

Problem solving is the art of closing that discrepancy:



Problem Solved

Defining objectives and putting them into descriptive words that clearly state what you want to accomplish, may be the most difficult, certainly the dullest, part of the problem solving process. It requires a kind of discipline that some of the other steps do not. Despite being a dull and difficult task, it is crucial to effective decision making. Just think, *if you don't know where you want to go, it is impossible to decide how you will get there, or whether you are really where you thought you wanted to be (the goal) when you arrive.*

An objective is a statement of the outcome you want to accomplish.

CRITERIA FOR SETTING OBJECTIVES

For an objective to be well written (or stated) it should meet most or all of the following criteria:

- ***It is specific.*** It states what is to be accomplished in the shortest possible terms.
- ***It states an end result, not an activity.***
- ***It is something the individual, group, organization wants to do;*** otherwise it will have a tendency to slip away.
- ***It is measurable***; we must be able to know when we reach it and be able to determine our progress toward it. Can we time it, count it, measure it, complete it?
- ***It has a target completion date.*** The absence of a date by which the objective is to be met is a license to ignore it.
- ***It is attainable within the time available***.
- ***It is largely within our control***. Without some control, it is difficult to assure that the objective will be accomplished. While it is recognized that many things about any objective may be outside of our control, it is important to minimize outside influence or interference.

The real problem in setting objectives is to state them so we can determine whether we are making progress to achieve them. Our tendency, too often, is to state objectives in a vague way, to make them "*fuzzy*."

As you begin to write objectives, ask yourself, are they:

- Measurable?
- Specific?
- Result oriented?
- Realistic and attainable?
- Time bounded?

Also ask:

- What do I want done?
- Who will do it?
- Who will it benefit?

- When will it happen?
- How will I know if I have been successful? (What is the measure of success?)

> *When a man does not know what harbor he is making for, no wind is the right wind.*
> *– Seneca*

Once you have defined where you want to go (your objective), it is time to analyze the forces surrounding that objective and the changes you want to bring about.

REFLECTION

Think about your own organization. Does it have clearly defined objectives? If so, do they meet the criteria just defined? If not, is this something you think would improve the quality of your organization's management? If so, how might you go about *managing by objectives?*

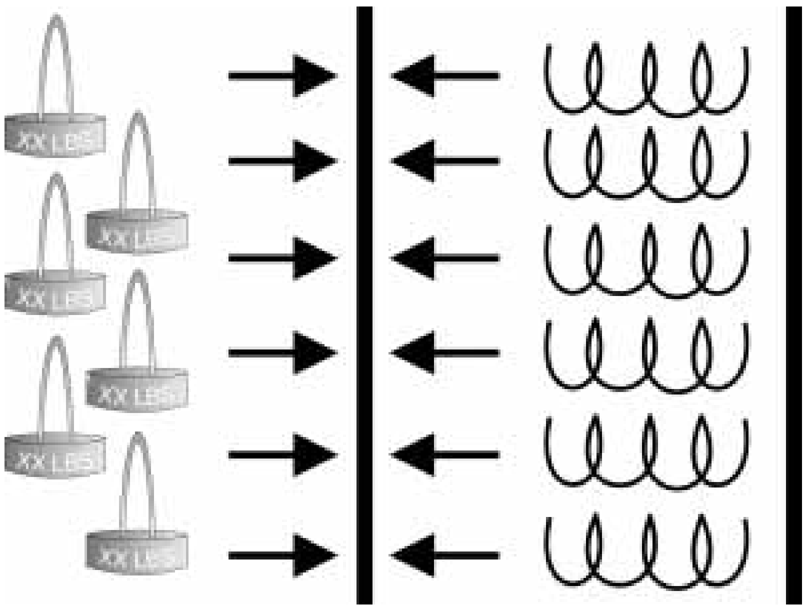
> *If you have always done it that way, it is probably wrong.*
> *–Charles Kettering, American inventor*

FORCE FIELD ANALYSIS

Force field analysis is a tool for assessing the forces in the environment that will have an impact on efforts to make the change. The forces are of two kinds: *driving forces,* those that push us towards our objectives; and *restraining forces,* those that stand in the way as obstacles. In the diagram below, these forces are displayed as weights (those forces that will impede change) and springs (forces favorable to the intended change).

At the level where these weights and springs meet is the point of equilibrium (the current state of affairs). The current state is held in tension by the opposing forces, but is quite susceptible to shifting. An unbalancing of forces (i.e., lighter weights-stronger springs) can cause the equilibrium to shift either in the direction of the objective or in the opposite direction, indicating slippage.

For example, if a local government has as an objective to privatize 500 low income, publicly-owned housing units within the next six months (by XX date), the force field would look as follows:



Current State of Affairs

Objective

Driving Forces

Restraining Forces

The driving forces are the things local governments have working for them to meet their objectives. The restraining forces are obstacles that stand in the way. Problem solvers need to determine how to unbalance the forces and shift the equilibrium in the desired direction. Three processes are involved:

- ***Diagnosis*****:** Identify the major forces, driving and restraining, that are helping to maintain the current level of activity.
- ***Unfreezing*****:** Changing the different strengths of the individual forces, both pro and con.
- ***Redefining*** (or re-freezing) the situation at a new, desired level of achievement-based on intended results.

Going back to the diagnosis, it is helpful to assess the relative strength of each force. One technique would be to give the driving and restraining forces each 100 points and then divide these 100 between the various forces on either side of the status quo. Using the weights and springs metaphor, try different sizes as a way of defining their relative strengths. Once the relative individual strengths have been assessed, there are three basic strategies for bringing about change.

- ***Add to the driving forces.*** This generally is less desirable since adding driving forces usually results in more opposing forces, which increases tension.
- ***Remove, or reduce restraining forces.*** This is usually more desirable and less obvious.
- ***Add driving forces and eliminate or reduce restraining forces.*** This is probably the most frequently used strategy.

> *It's not so much that we're afraid of change or so in love with the old ways, but it's that place in between that we fear... It's like being between trapezes. It's Linus when his blanket is in the dryer. There's nothing to hold on to.*
> *– Marilyn Ferguson, American futurist*

GUIDELINES FOR USING FORCE FIELD ANALYSIS

Not all forces are easy to influence or change. Some are so rigid they are almost impossible to move. The following questions will help you decide on the factors to be given more attention and time in the problem solving process.

- Which of the forces should you dismiss as being impossible to change?
- Which of the forces are most vulnerable to change?
- Which of those are also more important?

Once the forces have been identified as significant and vulnerable to change, consider which ones you want to attempt to change. In this process, we suggest an additional conduct of inquiry.

- Who has access to, or influence over, the force you want to change?
- Which force, if you change it, will trigger other forces (for example, influencing a key leader may automatically influence his or her followers)?
- What are the resources you have available, or can mobilize, to bring about the desired change?
- Where do we have the most leverage to influence the forces?
- What pockets of new resistance can be expected to develop as you

begin to strengthen or diminish other forces? How can they be countered?

- Who needs to be involved or informed to either lessen the resistance to change or to provide support for the change?

The force field analysis prepares you to carry out your next tactic (*Planning a Course of Action*) because it identifies various options or actions you can take to achieve your objective. Before moving on to the next *tactic*, let's look at one of the traps in the problem analysis phase of organization change.

THE SATISFICING OPTION

Generating options, as a manager, can sometimes become a trap. After all, it's fun trying to figure out all the various ways to solve a problem. It can also give the manager an excuse for indecision. (i.e., "I haven't looked at all the alternatives.") The challenge is to open the door to new ideas, new ways of doing things, without becoming overwhelmed.

The manager is someone who must continually make decisions and solve problems in less than ideal conditions. Seldom do managers have enough time and other resources to implement the perfect solution. More often, the manager is obliged to accept the first satisfactory solution, *to not let the "best" become the enemy of the good*.

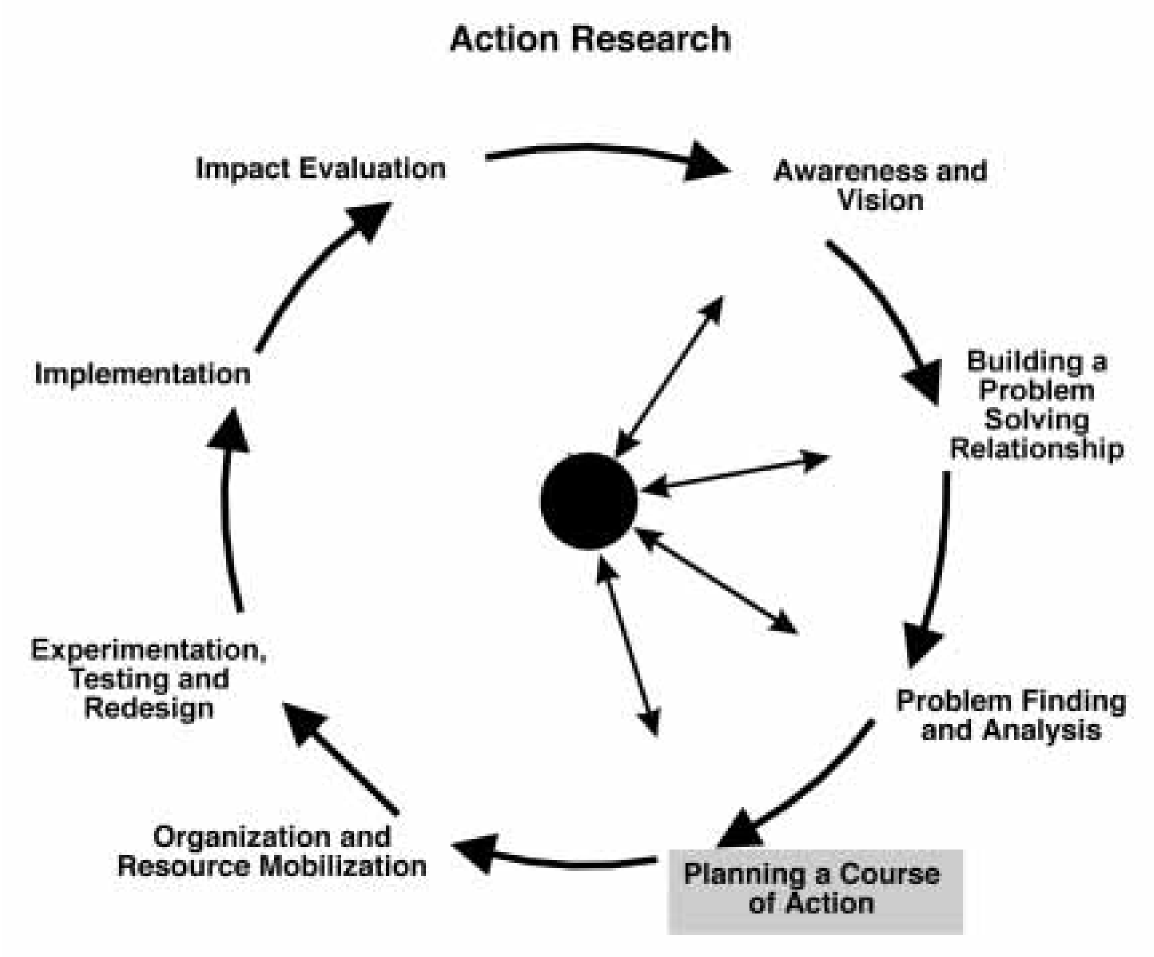
Herbert Simon, who has written extensively about decision making in public settings, calls this the "*satisficing*" solution. As Simon says, it is impossible to:

- know all the options that are potentially available in any complex situation;
- foretell future consequences accurately (although we must try to foresee the consequences of our decisions to the extent we can);
- place a value on events that have not yet occurred.

Given these realities, all decision making is imperfect and subject to limits of rationality.

Having said this, and recognizing the need to engage in "*satisficing*" decision making, it is important to resist the pressures that often force us to take the first available satisfactory solution to a problem. Finding new options to old problems is how the future gets invented.

The effective manager is one who has one foot firmly planted in the present situation and the other gently searching for a solid piece of ground in the territory yet to be trod.


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation

> *Only that which is provisional endures.*
> *– French proverb*

TACTIC 4: PLANNING A COURSE OF ACTION

In the prior two tactics, time has been spent defining problems and opportunities, establishing objectives to address these problems, determining the importance of various objectives and analyzing the forces that influence the accomplishment of selected objectives. The force field exercise, when done with rigor, should provide the basis for your plan of action. The next phase of the organization change cycle has four steps designed to put the objective into action.

1. If you haven't already done so, narrow your choice of forces, to be addressed, into one strategic action (or a combination of actions that are complementary in achieving your objectives);
2. Develop a detailed plan of action;
3. Consider the potential consequences of your proposed actions; and,
4. Determine the sequence and flow of activities necessary to achieve your objectives.

Let's look at each of these steps in some detail.

NARROWING MANY OPTIONS TO ONE (OR A COLLECTION OF ONES)

While most problems can be solved in more than one way, the manager must often make the "tough choice" and decide which option he or she is going to use. Sometimes the "best" option is obvious. Other times, it is more difficult to decide among various alternatives. The *force field analysis* technique can make the tough choices easier and more defensible. Particularly, when they come under fire by those who still oppose the organization changes set in motion by the use of these tactics.

In determining what option (or combination of options) might be most effective in achieving your objectives and intended results, you applied a set of criteria to the more significant driving and restraining forces. Reviewing them one more time, at this stage of the action planning process, is time well spent. Each option, to be implemented as part of your action plan, should stand muster to the following:

- Does it *focus* on the objective(s) you expect to achieve?
- Will the option be *feasible* to implement?
- Can you obtain the necessary *resources* to carry it out?

- Will this option (or options) be *adequate* to either achieve the stated objective or to support its achievement?
- Do you and other key stakeholders have a *commitment* to implement the options that will become your action plan?

A Detailed Plan of Action

Once you and your team have decided on the "best" option, or options, it is time to put together a detailed plan of action. This plan should answer the following questions:

- *What* are the activities involved (steps to be taken)?
- *Who* will take primary responsibility for each action? (Someone needs to be in charge.)
- *Who else* needs to be involved? (Remember all those critical stakeholders both within the organization and out.)
- *What resources will be needed* (people, materials, money, equipment, skills)?
- *When* will each action be complete? (Not only how much time will be required — another valuable resource — but a realistic date of completion.)
- *How will you know progress is being made* toward carrying out each option in the action plan and whether they are contributing to the realization of the intended results?

You may be surprised at how little we have to say about putting together the action plan. In reality, action planning becomes easy if all the other tactics in the organization change process have been conducted as recommended.

Potential Consequences

After you have prepared your action plan, it is time to consider the potential consequences of implementing it. By the way, considering the consequences at this time in the process may seem a step too late. Yes and no. We are assuming that you, your management team and others who have been involved in this organization change planning process to date will have been considering the consequences of your intended actions at each step in the process. The rationale for putting the identification of consequences in the process at this time is to assure that they will also cover the details of implementation. It is a time to question specifics in the action plan and the possible consequences. For example, the department in charge of a specific step in the plan may be designated to work with another department with which it has had trouble collaborating on past assignments. By flagging the potential consequence of this happening again, you are in a position to consider other options, or to provide the departments with help in forging better working relationships.

Or, you might realize the future environmental costs of implementing a specific step in the action plan is too high. While this factor was considered in previous steps in the planning and decision making process, the potential consequence wasn't clear until you put the final pieces of the plan together.

VARYING PERSPECTIVES ON POTENTIAL CONSEQUENCES

Possible consequences of most organizational changes of any significant magnitude can be viewed from several perspectives:

- ***The more global type consequences.*** These include *economic; social; political; environmental; and cultural* events and trends. Not all these will apply to every plan of action, but they are still worth considering.
- ***Time bounded consequences.*** It is important to think both *short term* and *long range*. Often, long-term consequences are not considered. The organization or political leadership decides it can't live with the short-term consequences, and the long term ones are never given an opportunity to be heard. Given this possible scenario, it is important to consider whether positive long-term consequences will outweigh short-term negative ones. Or the other way around, where short term, positive gains will be overwhelmed by long-term, adverse consequences.
- ***Implementation consequences.*** What will be the consequences on individuals, work teams, the implementing agency and the organization as a whole when they begin to implement the action plan? What will be the consequences on the financial and physical resources of the organization? What consequences will there be on the organization's relationship with others during implementation (e.g., citizens, other stakeholders).

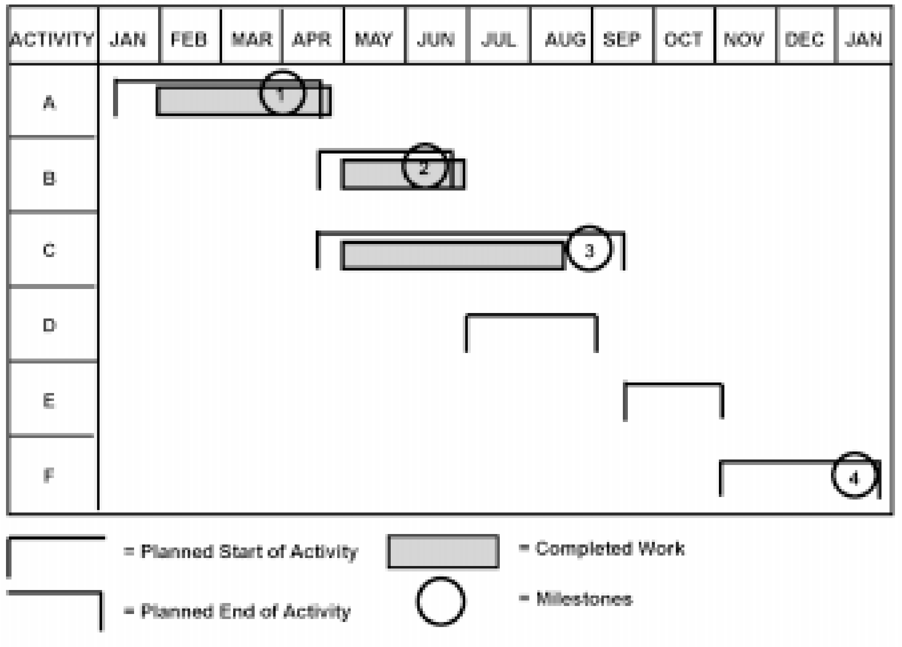
The challenge is to achieve those consequences that are planned and intended, to be prepared to cope with those that are unplanned and unintended, and to celebrate those that are successful.

> *Every beginning is a consequence. Every beginning ends something.*
> *– Paul Valery, French epigrammatist*

SEQUENCING EVENTS

The final stage of action planning is putting the various activities into sequence — some sense of what needs to be done and in what order. Certain activities are dependent upon others and some activities are more critical than others.

One tool that is helpful is something called the Gantt Chart. It is a simple horizontal bar chart that graphically displays the time relationships of the various steps in a project or proposed change effort. All you need to put Gantt to work are: task statements; times to start and complete each task; and, the sequence of tasks (which will be determined by the starting time of each task).



Another well known procedure (and more sophisticated one) for charting the sequence of activities is called CPM *(Critical Path Method).* In using the CPM procedure, it is often more effective to start at the end point (the completion of a project) and work backwards through the activities and events that must occur in reaching that end point. For example, if the end point is the implementation of a vehicular free traffic zone in the central business district, the success of the venture is more than making the announcement and putting up signs. It may require: formal policies by the council, defining penalties for non-compliance; getting consent from property owners who will be affected by the changes; determining how to carry out routine and expected services, such as refuse collection; designing and making new signs; etc. Putting each of these activities on a *critical path* for implementation will greatly simplify the decisions about *who needs to do what by when to accomplish the goal.*

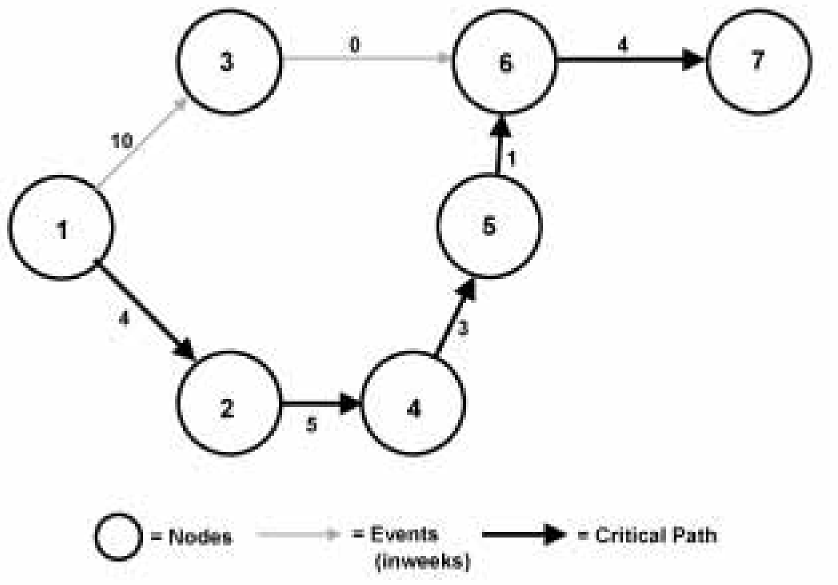
Developing the *critical path* is best performed by those "critical" individuals, teams and departments who have responsibility for carrying out the activities. By being involved early on in the decision making, each party to the project begins to see how his or her tasks fit into the overall plan. The group also begins to see how things could be done differently within the allotted time frame.

CPM also provides opportunities to make revisions in the plan when things don't work out like the original plan said they would. Projects and programs rarely go as planned. Nevertheless, the planning process is indispensable. By reconvening the *critical* parties to the *critical* path on a routine basis provides opportunities for adjusting activities because of unseen delays, or unexpected opportunities to complete certain tasks earlier.

Example: A public housing construction management team, as part of a planning workshop, developed a simplified version of CPM to determine the sequence of activities required by various city departments and work units over the initial weeks of the project. Once each work group within the team (e.g., building inspectors, community development workers, administrative officers) decided what they needed to do over a set period of time to carry out their roles and responsibilities within the project, they put these tasks on index cards. These were attached (by using masking tape) to a large matrix, which covered an entire wall of the workshop venue. The matrix listed all the various work groups, or individuals, responsible for carrying out specific tasks on the vertical axis. On the horizontal axis (across the top of the chart) was a three and one half month timetable, week by week. After each of the critical members on the implementation team posted their tasks in the sequence they believed they should carry them out, (by putting the "*task cards*" in a specific time slot), they negotiated with other individuals or work groups a sequence and timing which took into consideration the interdependency of their actions.

By the end of the negotiation session, the implementation team had created a 30 foot long CPM chart with over 200 individual tasks. Each of those tasks had been negotiated (in terms of the overall time frame) against all other interdependent tasks. More importantly, the individual work groups began to realize the importance of teamwork and communication. CPM charts don't need to be fancy; they just need to work to the benefit of all concerned.

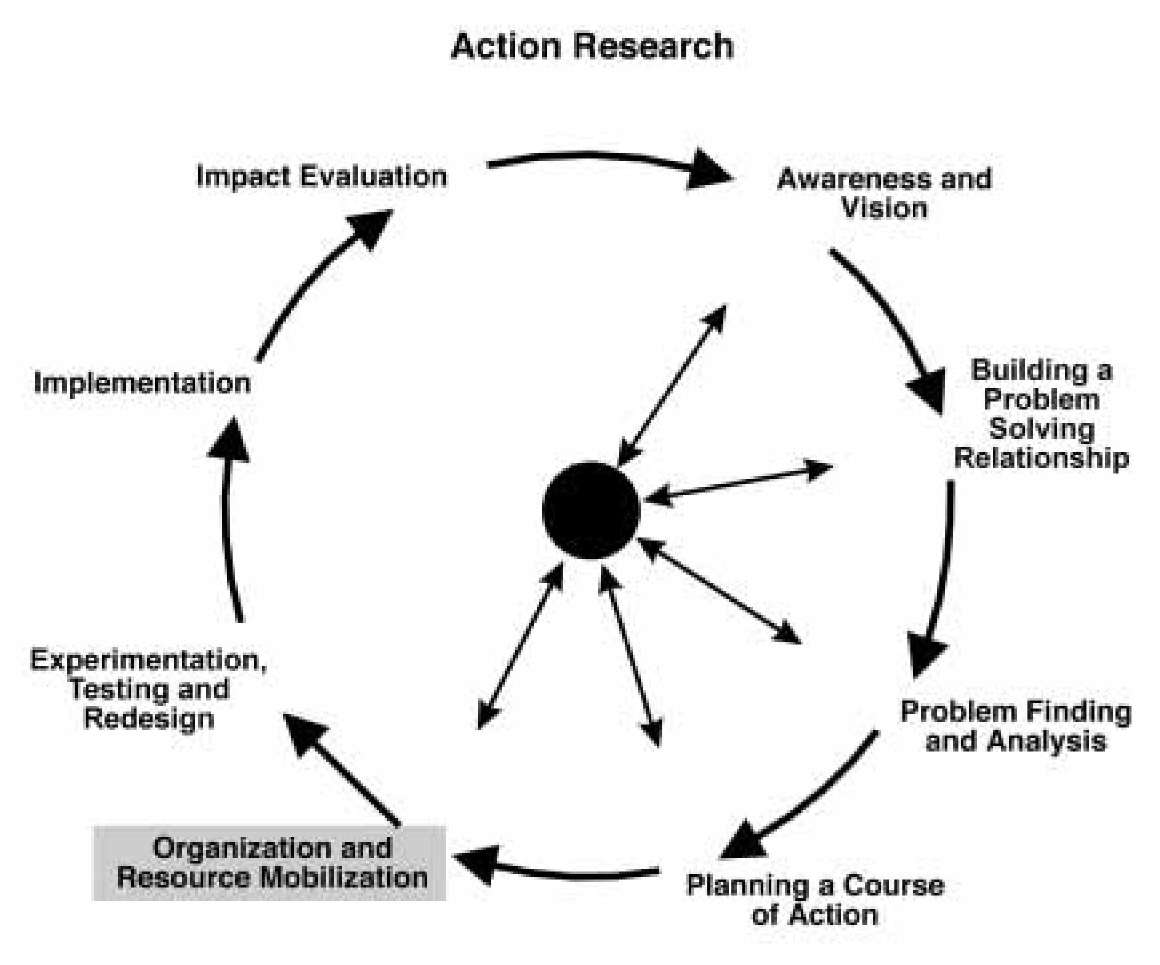
At this point in the planned change process, you should be in a position to turn your attention to mobilizing resources and fine tuning the organization to achieve your intended results.



> *It doesn't work to leap a twenty-foot chasm in two ten-foot jumps.*
> *– American Proverb*

REFLECTION

How rigorous are you and your management team on preparing action plans? And, looking at the potential consequences of your proposed actions? If your responses to either query is "not very," you are not alone in the world of practicing managers. Jot down a few *actions* you might consider taking to engage more rigorously in this stage of the organization change process.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TACTIC 5: ORGANIZATION AND RESOURCE MOBILIZATION

You have a plan of action that can be carried out to achieve your objectives which are, in turn, designed to either solve a problem(s), or to realize an opportunity, and maybe both. Sounds like the end of the decision making (planning) process. Hardly. There is much more to do before your organizational change strategy is accomplished. It's now time to address *Tactic 5*: *Mobilizing Resources*. By this we mean all the usual resources an organization needs to get the job done according to agreed upon plans and standards. Those resources also include the organization itself. Let's look initially at the wide range of resources that projects, programs and planned changes usually require. Although these include the organization, we want to talk about this particular resource separately.

PART 1: MOBILIZING THE USUAL RESOURCES

When most of us think of the resources we need to solve a problem, seize an opportunity, or carry out a complex project, we usually think of money, human resources, money, equipment, money, materials, money, money... While these are important, they aren't the only ones to be considered. Here is a look at resources from a slightly different perspective, one provided us by Edward De Bono. Here is a summary of his resource checklist:

- ***Intrinsic Resources*** (the usual inventory of fixed and liquid assets). These include cash, land, capital equipment, buildings, people (human resources), know-how, experience, technology, existing programs and services, community credibility, and much more.
- ***Operating Resources***. De Bono says, "an operating asset arises from the way something is carried out." While there is an obvious overlap between intrinsic and operating resources, it is useful to keep the distinction in mind. *Intrinsic resources* are *what* you have available. *Operating resources* are *how* you use your intrinsic resources. These resources define *operational readiness*. For example, the public service organization associated with your local government may have all the technical skills and equipment required to meet demands but not have them deployed effectively or efficiently. How these skills and equipment get allocated and deployed is an expression of an operating resource. Operating resources are very much aligned with the issues involved in organization, a topic we will be discussing in part two of this tactical venture.
- ***Situation Resources***. A situational resource depends on current circumstances, or a change in circumstances, or the "situation." Some might call these "targets of opportunity." It may be new funding sources available from the central government or, expressions by the European Bank to invest in local government infrastructure projects. If you are repairing streets, it could be a "break" in the weather. Situation resources accumulate to those managers who see them in everyday

places. It is the manager's use of the first tactic we talked about in the beginning of this discussion. Something called *awareness!*

- ***Synergy*** (or what we like to think of as *value added resources*). This is the hidden resource that occurs when two or more resources are combined to create a benefit that is greater than the sum of the individual parts. Call it the exercise of *vision*. We know a city manager who worked in a local government that couldn't afford to employ full time building, plumbing and electrical inspectors. He recommended the city join forces with surrounding rural governments (who were even less able to employ full time technical staff) to create a regional inspection team, representing all the expertise they collectively needed. Everyone benefited and they had capacity to allow for routine and unexpected absences from work. Value added resource? Definitely.[5]

WHAT ABOUT SITUATIONAL, VALUE-ADDED RESOURCES?

Cooperation, collaboration and communication are probably the most underutilized resources in local government, and among the most readily available. Managing a local government is complex business, and you will never have all the resources you think you need to do the job. Given this, all local government managers need to think not only about how they can use resources directly under their control more effectively, but how they can make creative use of resources beyond their direct control. When the farmers on the hillside above Hrinova in central Slovakia come together to thrash their wheat crops (because none alone can afford the necessary equipment), they have created a *situational, value-added resource*. For whatever reason, many Slovak local governments seem to resist opportunities to engage in cooperation, collaboration, and communication across departmental and organizational boundaries. Sharing information, tasks, authority and responsibility within local government organizations, and among organizations that share common community goals and responsibilities, are far too rare events in local governments world wide. They seem particularly rare in Slovakia.

Here is another story about *situational value-added resources* from our mutual friend, the once-upon-a-time city manager. He was hired by a local government that was growing rapidly and could, under the state law, annex adjoining land, if petitioned by the land owner to do so. (In other words, take land away from the adjoining local governments and incorporate it into the core city's territory). As you can imagine, this created conflict between the core city and its neighbors. So, what's the problem for the core city, you ask? Well, in this case it was the need to service the acquired land with water, sewer treatment and other necessary facilities. Most of these services were operated under independent governing boards that represented the entire region. While the core city was represented, it didn't have the majority of votes required to authorize the extension of water and sewer services, for example, into the newly annexed areas. Communication between the core city and its neighbors had broken down completely and development was on hold. Trust among the elected officials in that valley was low, and sinking lower.

Since our friend was new in the position, and still untainted by the situation, the surrounding political leaders were willing to *communicate* with him about their frustrations. In an effort to break the stalemate, the city manager recommended adoption of the legislation by the city, putting a moratorium on further annexation of land in the foreseeable future. Out of frustration, perhaps, the city council adopted his recommendation and the stalemate was broken. More importantly, it opened the way for a continuing dialogue on many other problems and opportunities they shared across political boundaries. They created what is known in the United States as a Council of Governments (COG), a voluntary association of local government elected officials who meet periodically to discuss their problems and to air their views about issues of mutual interest. That single act of courage, the annexation moratorium, resulted in a wide range of situational, value added resources being created and used in that six municipality region.

There is no evidence that the economic growth of the city was hurt by the land annexation moratorium, which is still in existence thirty years later although subsequent elected officials could have reversed the policy. Open and direct communications among public officials and organizations who share common aspirations and goals, not to mention the same citizen constituents in many cases, is a powerful *value-added* organization resource.

Did you happen to notice the reference to a *single act of courage* in the story about the annexation moratorium? It's another example of a *situational value-added resource*. Trust, teamwork, interdepartmental collaboration, kindness, risk taking, opportunities to provide learning on the job, these are just a few of the resources available within organizations that offer *value-added* opportunities. When used freely, they can *add value* to the budget, *add value* to the services being provided to citizens, *add value* to worker satisfaction.

We will be discussing these value-added strategies and more in the workbook on *The Manager as Staff Developer.*

REFLECTION

We have talked a lot about *value-added resources*. Recall some decisions you made as a local government manager where you were able to add value in the ways described above. Record your successes in the following space, and rejoice!

PART 2: THE ORGANIZATION'S ORGANIZATION — IS IT SERVING OR THWARTING YOUR EFFORTS TO MANAGE CHANGE?

When is the last time you expressed frustration about the way local governments are organized in Slovakia, particularly your own? As late as last week? This morning? Now, when was the last time you did something about it?

Believe it or not, organizations are made by people. And, they can be changed by people, people just like us. There are legal constraints in Slovakia that keep local government institutions somewhat unmanageable, but then, laws are also made by people. The point is, of course, that organizations can change, and do change. They change their structures, their values, their roles and responsibilities, their missions, and their behavior. But, it isn't always easy.

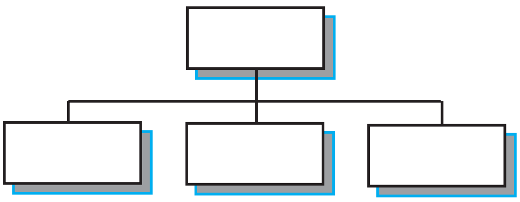
Have you ever spent any time thinking about why your local government is organized like it is? Or, how well it functions to serve the needs of your citizens? And, what, if anything, you might do to make it work better for you in your role, for other officials and employees, and most of all, for your citizens? As an organization change agent, it makes sense to ponder these questions, particularly if you want to unleash your organization's real potential.

WHAT TO LOOK FOR

Organizations are designed to do many things, and organization charts are designed to convey what organizations do and who does what. They are organized to be rational in the midst of irrational behavior. They tell you who does what in the organization and where to go to get certain tasks accomplished. Or, they signify how formal authority is distributed among various levels of the organization. And, they show how resources flow from one part of the organization to another. The lines and boxes on most organization charts tell you who is where in relation to whom.

The problem with organization charts is their dependence on still photographic pictures to convey reality in a world that deals in instant video replays. Organization charts are static representations of social systems that never quite play by the rules. While they are important representations of formal reality, they are also misleading portraits, rarely conveying the ferment behind the boxes and lines. And, their power to constrain, when employees and others take them seriously, is awesome.

There is a saying in management that “form follows substance,” or should. In other words, the form of your organization should reflect what the organization wants to accomplish and, in the case of public institutions, what it is mandated to accomplish. And, the best representation of what your organization does (and how it is organized to do what it does) is the organization chart. Well, yes and no. People often confuse symbols with the thing symbolized. Or, to say it differently, the map is not the territory (i.e., the organization chart is not the organization). But, it often becomes the territory for those who believe that little boxes can explain complex reality. When this happens, those who take comfort in the organization’s structural finality often reinforce the walls of their little boxes. This often results in closing off opportunities for collaboration, or even communication, with anyone other than those who have their organizational umbilical cords tapped into the box. Confusing, isn’t it? So are the ways many institutions are organized. Let’s see if we can make any sense out of organizations that are “designed” to manage organizational change. Probably the best place to begin is with the model just about everybody likes, and yet abhors, the bureaucratic pyramid.



Comforting, isn’t it, just like an old, reliable pair of shoes. Authority, responsibility, directions, commands, communication and other formal aspects of organizational power are designed to cascade from the top down, diminishing in their importance until they hit the bottom. Clearly established lines of authority and responsibility can be traced on the organization chart, even by an outsider who wants to know where to go to get something accomplished. Got a problem with your garbage pick-up? Go to the solid waste management department of your local government and complain. If this doesn’t work, see the office manager. If all else fails, call your local elected official. Sounds all very rational and convenient, and in many organizational settings, this chain of command in reverse (from the bottom up) works quite well.

It is an organizational model designed to respond to decision making and problem solving goals established by the policy body (council), organized by top management into programs, and carried out by operating teams (action units). If actions are taken (at the bottom of the rational organization), programs are implemented, goals achieved and problems solved. And presumably, political leaders are re-elected (as a result of this highly efficient and effective rational process of organizing and conducting public business); and, appointed officials are free to plan their work for the next four years (or whatever). Does it sound like Slovak local government reality? In some ways, yes. In others, no.

They know enough who know how to learn.
– Henry Adams, American historian

THE FRAGMENTED WORLD OF POLITICAL REALITY

The organization model just described assumes there is agreement on the goals, programs and actions that are necessary to solve problems. As well as agreement on what the problems are and how they should be defined. And, where they fit in the organization chart. John Bryson reminds us that these assumptions don't hold in the fragmented, shared-power settings that characterize most political decision making environments. The second type of organization, which seems more characteristic of the way local governments are "organized" to conduct business in Slovakia, may not seem like an organization at all. To an outsider trying to figure out the Slovak governance scene, it is a confusing, and often confused, network of organizations that operate under a variety of mandates, which do not always seem clear. Many local governments in Slovakia have almost as many elected councilors as they do employees. Or, so it seems.

But, this phenomenon is not unique to Slovakia. One of the authors spent time with the Mayor of Goris, Armenia some years ago, and he lamented that he had 30 councilors and only 28 staff employees. When asked how local services were organized and delivered, he said, "not very well." Centrally collected and controlled resources were siphoned through the local government mechanism into a myriad of organizations responsible for community services over which the mayor and council had little power or influence. While they were *empowered* by the citizens to act on the citizens' behalf, as a result of being elected, they, nevertheless, felt powerless to allocate and manage resources according to local needs as they saw them. The picture is not particularly pretty, and it exists, to a certain extent, with local governments in the United States and other Western countries as well. Perhaps there are better ways to organize the flow of money and other tangible resources, the deployment of human resources, the distribution of power and authority, and the assignation of roles and responsibilities within local governments and the community to assure more openness, responsiveness and accountability.

THE ART OF MANAGING NON-ORGANIZATIONS

What exists in Slovakia local governments is a *shared power arrangement* where several actors (organizations, groups, individuals) are called upon to interact to further the achievement of their separate and collective aims. Power sharing requires two or more organizations to rally around some mutual goal which may or may not be clearly defined, and the stakes not at all clear (meaning, what's in it for each party to be involved). Since shared-power situations often involve "mixed motives" on the part of collaborating organizations, authority is usually not merged. This allows participants the right to pull out of the arrangement whether or not the intended results are achieved.

It is not an environment where rationally defined bureaucracies are usually called upon to make unilateral decisions and to carry out business as usual. On the other hand, the shared-power approach does not deny a rightful role for such institutions. It's just that problems like: environmental protection; the use of illegal drugs and their consequences on society as a whole; economic development; and, an education process designed to remain competitive in a global community, are so complex and far reaching that no one local government can expect to solve, no less re-solve these issues by acting alone.

The challenge for local government managers and political leaders is to think of organizational formats and strategies that will provide both access and influence in this *shared power* world of governance. How one redefines the local government organization so it can be more effective is based on several public leadership abilities, some already discussed under other *tactics*. To these we add John Bryson's list of key tasks to be addressed by those who want to engage in extra-organizational ventures involving shared-power arrangements. These tasks are:

- ***Understanding the social, political, and economic "givens"*** (e.g., the emergent role of local self governance; the new reality of competing in a global economy and its impact on local regional and national policies).
- ***Understanding those involved in the change process, including ourselves*** (i.e., what's in it for them to be involved in this shared power relationship, or for me and my organization? What are our strengths and weaknesses as local government managers as we enter the fray?)
- ***Building teams:*** critical in shared power relationships and something we will explore in more depth in the handbook on *the Manager as Staff Developer.*
- ***Nurturing effective organizations, interorganizational networks, and communities*** (e.g., molding your municipal organization to meet new challenges, reaching beyond your organizational and political boundaries to forge new working alliances).

- ***Creating and communicating meaning*** (e.g., seizing opportunities to be interpreters and direction givers in situations of uncertainty and difficulty, offering compelling visions of the future.)
- ***Making and implementing legislative, managerial and administrative decisions*** (e.g., mediating and shaping conflicts within and among constituencies, using managerial influence and targeting resources strategically.)[6]

YES; BUT WHAT ABOUT THE ORGANIZATION?

You may be asking what these issues have to do with organization structure. Not much, if you see public management responsibilities as bounded by those work units you in one way or another control. For these organizational work units, we suggest you review their ability to meet the needs of your citizens both effectively (providing the right services within your organization's mandate and resources) and efficiently (assuring cost effective, quality performance). If these criteria are not being met to your satisfaction, then consider reordering your organization. The form it finally takes under such an assessment may be quite different from what now exists. Don't be afraid to experiment with non-hierarchical models (i.e., the use of interdisciplinary, interdepartmental teams to perform certain tasks).

The tasks of managing in a shared-power environment are complex and demanding. They may not be compatible with the organization structure as it now exists. Or, some features of your organizational structure may fit while others don't seem to make sense in the world of cross-organizational bargaining. While there is a tendency to think public managers require formal authority to act, in reality they are often able to act without it. Leadership is rarely legislated. Neither, are organizational templates that are flexible enough to guide and support future needs and visions.

REFLECTION

Take a few minutes and draw a picture of how your organization really works. Don't hesitate to be creative (e.g., squiggly lines for the flow of authority, big voids in communication, departments that really answer to no one. Got the picture?)


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation

TACTIC 6: EXPERIMENTATION, TESTING AND REDESIGN

Experimentation, Testing and Redesign has taken on new significance with fast changing technology and increased international competitiveness. Many private companies have recognized the importance of "experimenting," to field test a new product before moving into full-blown implementation. When they don't, disaster sometimes awaits their premature confidence. For example, a high tech company announced the production of a new rechargeable battery in the early 1990s, backed by a commitment from a major user to purchase up to $100 million of the new product. When the performance tests fell short of expectations, the major customer pulled out and the company went into retreat. It wisely moved its test site to a more remote location and resumed the iterative process of testing and redesign. There are times when *experimentation, testing and redesign* are necessary steps in the managing change process.

This *tactic* will be discussed as two distinct options. These options will explore very different approaches to infusing new ideas, processes, products and systems into the mainstream of planned change.

1. The first involves a more conservative approach to assure the organization change being planned and proposed (the preferred option) will achieve its objectives and produce anticipated results. It involves: testing and possible redesign of the option before implementing it throughout the organization or investing full resources into its production. *Testing and redesign* is an opportunity to try out your new approaches and strategies in a relatively safe environment.
2. The second is *experimentation,* a bolder approach to bringing about planned change. Sometimes experimentation results in the rapid evolution of the organization in response to a quick changing environment. At other times, managers experiment, and often risk failure, when there is evidence that maintaining the status quo will be more detrimental to the organization and its members than exploring new options.

OPTION 1: TESTING AND REDESIGN

The option of *testing and redesign* takes the form of pilot projects, field testing a new process, program or product on a limited scale, and controlled experiments of certain functions or components within a larger project. Testing and possible redesign (based on the results of the testing) is the time to:

- "work the bugs out of the system";
- check for commitment and acceptance of the idea, the design, the program;
- get feedback on what you are doing and how you can do it better; and,
- make adjustments in preparation for a full-blown implementation.

This type of testing and possible redesign is also an opportunity to:

- assess the desirability of the proposed change;
- correct unforeseen problems before the change becomes fully operational;
- give participants in the effort an opportunity to deal with any unexpected consequences; and,
- train those who will be involved in later implementation. Not only does it provide an opportunity to train organizations or community people in important skills and knowledge for later use, it also builds understanding and commitment through their early involvement.

During the testing and redesign stage, it is important to collect good data about what is happening so there can be a thorough analysis of the results. This analysis addresses such questions as:

- Are we doing what we said we would do as well as how we said we would do it?
- What new information or resources do we need?
- What was the overall reaction to the change? How did we feel personally about the testing (experimentation)?
- Should a total implementation be planned; should the effort be scrapped; or is there a new design that would best serve our needs?
- What can we do to make the proposed effort more effective?

Those involved in the field test should be consulted for their insights and assistance. If it is a field test of a training program, trainees need to be heard from — not just the staff. If it is a new approach in working with low income groups in efforts to privatize housing stock, the potential buyers need to be brought into the analysis process.

Finally, this stage of organizational change management may involve redesign based upon results of the analysis. Much of what has gone on previously should be helpful. For example, the results of the earlier force field analysis and development of options can be a good resource in any redesign that might be necessary.

Redesign or Not?

The answer depends on what has been learned during the testing phase. Here is a list of questions to ask about the testing stage which will help in considering whether a redesign is needed.

- Did you meet the objectives you set for yourself? If not, why not?
- What went well in the testing that should be continued in any final effort?
- What did not go well that should be discarded?
- What kinds of changes should be considered to strengthen upcoming implementation?
- Who was not involved that should have been? What can be done to get them involved in the implementation phase?
- What resources were lacking that would have made the tests as successful as originally expected? How can they be acquired to support total implementation efforts?
- Was the timing right for the testing/experimentation? If not, why not?
- Given the results of the tests, does it make sense to go ahead with the implementation phase?

> *Half the difficulties of man lie in his desire*
> *to answer every question with yes or no.*
> *Yes or no may neither of them be the answer.*
> *Each side may have in it some yes and some no.*
>
> *– Somerset Maugham*

OPTION 2: EXPERIMENTATION

The approach just outlined is a more conservative approach to the pre-implementation tactic of getting ready for full blown implementation. The second approach involves more risk taking, using experimentation as a management and implementation strategy to encourage innovation and dramatic change. Sometimes the situation engulfing the organization requires rapid action with the assumption that risks will be taken, mistakes will be made, and the organization and its managers and staff can learn from them and make necessary adjustments in the program as it moves along. There are times when it is difficult to tell experimentation from implementation.

The privatization of local government fixed assets by local governments in Slovakia following the revolution seemed to be dominated in the beginning by two approaches: (1) wait and see (which resulted in inaction and missed opportunities); and, (2) "we've made a decision to carry out a specific policy on privatization; let's stick with it." The concept of *doing and learning, and learning from what we are doing so we can do it differently and better tomorrow*, seemed to be missing from the options, at least for many local governments.

Tracking experimentation in fast moving corporations in the United States and western Europe, Tom Peters has detected a consistent pattern of traits associated with experimentation's of the second kind. They include:

- test sites in the field;
- a committed champion or two in headquarters (read *city hall*) who are willing to take risks and to support those in the field who do;
- breaking projects into smaller components when possible for more rapid testing;
- casual introduction of changes into on-going routines so as not to upset the status quo prematurely;
- rapid sharing of results as they accumulate, along with feedback from those in the communication loop;
- field design and ownership of the various segments on a decentralized basis, increasing the motivation to succeed; and,
- protection of experimenters and risk takers by senior management.[7]

Something Called the Learning Organization

Creating what has become known as the *learning organization* is another approach to the outputs desired from employing the strategies just described as integral to *Tactic #6*. Let's look at what some recent writers have to say about the *learning organization*.

Tom Cannon, in *Welcome to the Revolution*, says, "the creation or articulation of a set of core organizational beliefs and values is the starting point for the construction of a learning organization." (By the way, core organizational beliefs and values are covered in some depth in the second workbook in this series, *The Manager and Organization Culture*.)

Cannon describes the five core skills he believes are central to creating a *learning organization*. They are:

1. systematic problem solving;
2. experimentation;
3. learning from experience and history;
4. learning from others; and,
5. transferring knowledge through the organization.[8]

Incidentally, this list is not too different from some of the skills suggested in this workbook. Action research, invented by Kurt Lewin over fifty years ago and described earlier as the conceptual framework for your role as *organization change agent*, encompasses all the core skills recommended by Cannon for creating the learning organization. Many of the fundamental principles about how to manage change have remained valid over the years; only the rhetoric is different.

The authors of *The Witch Doctors* (about the contributions of management gurus over the years) describe the hallmark of a learning organization as *its ability to keep on adding to its treasure trove of knowledge*. There are two ways of doing this: “sucking in new ideas from outside its frontiers, and making sure they circulate inside the organization”; and, “a passion for experiment — and a willingness to fail.”[9] To bring these ideas down to earth, we will call again on our consulting city manager who always seems to have an appropriate tale or two to share with us.

Regarding “sucking in new ideas,” the city where our consultant was manager had a membership in ICMA’s Management Information Service (MIS) and routinely requested information through that service regarding best practices in other local governments around the country. Now it is possible to access such information (suck up new ideas) on the Internet either through ICMA or the many web sites that have sprung up to share information on a world wide basis. He also found time to write for professional and trade journals about his experiences as a city manager. Writing for other managers and professionals (so they can “suck up new ideas”) is an excellent way to reflect on what you think you have learned through experimentation. Both of these approaches are valid in Slovakia. As the professional associations serving local government officials grow and mature, there should be opportunities to share “best practices” in a variety of ways.

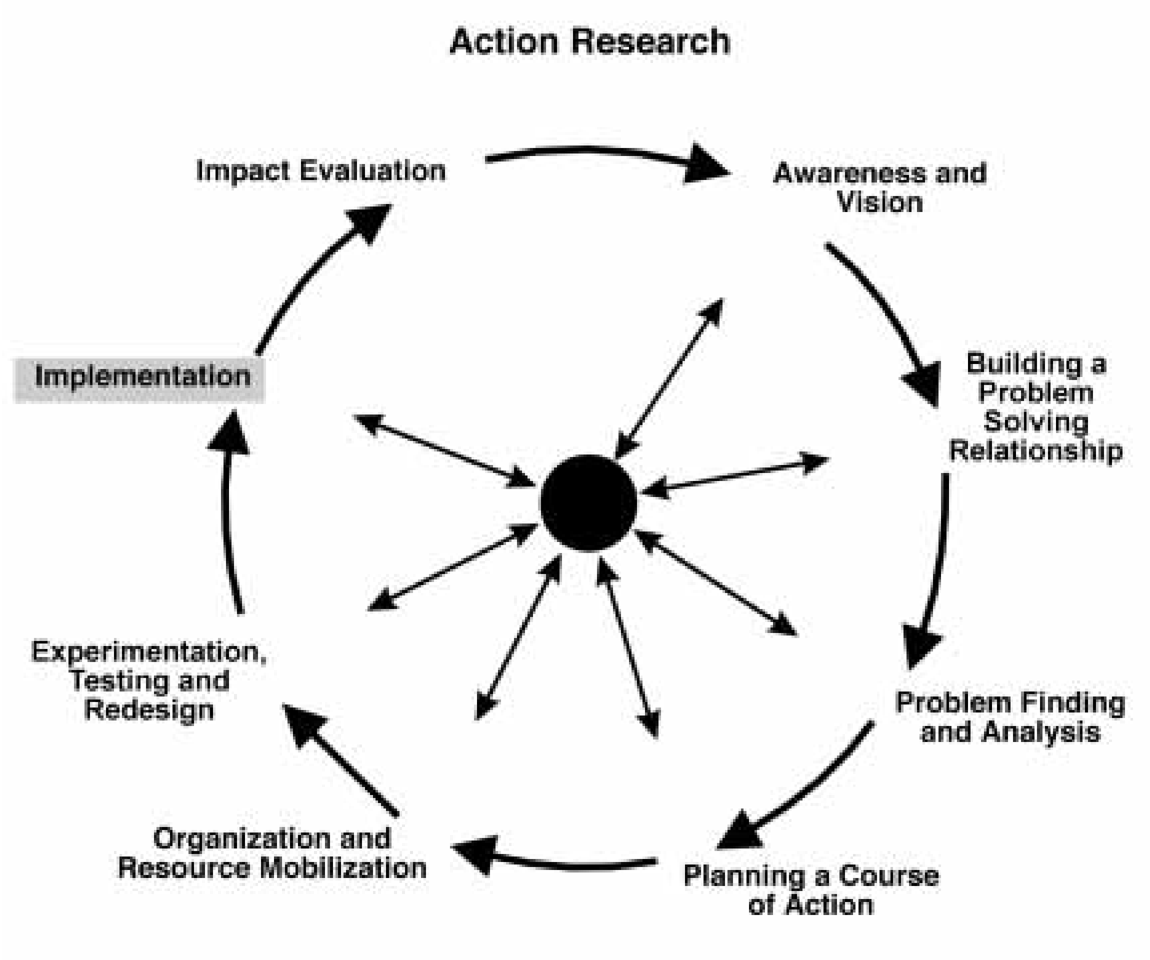
As for “a passion for experimentation and a willingness to fail,” our friend has always been a risk taker, but sometimes the risks he took were minimal and humorous. In the first little town he managed, the public work crews were called out several times a week, often at night, to unplug sanitary sewers that had backed up (which, of course, caused consternation among the citizens who preferred the smell of roast beef to raw sewage at dinner time). Obviously, the public service department was dealing with a *symptom* and not the *real problem*. Too bad he hadn’t read this manual at the time. He might have spotted *the real problem* much earlier.

On his many trips to the city owned, public service garage, he noticed in one corner a dust covered contraption, something the work crew in the garage called *a bucket machine*. It was designed to drag specially designed buckets (which were attached to cables) through sewer pipes to eliminate sedimentation and other blockages. When he asked the public service director why they weren’t using the machine, the director’s reply was, “we tried it once and it doesn’t work” (which, we were told, was a runner up to his most favorite saying, “*don’t be ridiculous*”). After some stealthy investigation, the city manager learned the work crew had tried to put a 12 inch bucket through an 10 inch sewer. A little more experimentation by the public service director would have been helpful.

Experimentation and the willingness to fail are not always associated with high tech solutions or expensive ventures. They are often ideas that haven’t yet found their way into your organization. Experimentation, testing, and possible redesign are approaches for the organization change manager to consider before going to full implementation. While many organizational changes won't require the use of this *tactic*, it is useful and sometimes critical to pilot test your strategy, and engage in a little redesign or fine tuning before you commit to full implementation.

REFLECTION

Spend a few moments and jot down some thoughts about this business of redesign and experimentation. Have there been times in your management career, or in the life of your local government, when it would have been very useful to have engaged in this *tactic*? Or, are there some pending changes scheduled in the way your organization is operating that might benefit from more *experimentation, testing or re-design?*


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation

TACTIC 7: IMPLEMENTATION

Bryson and Crosby, in *Leadership for the Common Good,* remind us of the complexity often involved in implementation.

> *"New policies, plans, programs, or projects do not implement themselves automatically, nor necessarily as their authors intended. Instead, implementation, or the operationalization of change, typically is a complex and messy process involving many actors and organizations that have a host of complementary, competing, and often contradictory goals and interests."* [10]

Implementation is, in theory, the action phase of the management process. *Implementation* means "to carry out, accomplish, fulfill, produce, complete." But, implementation just doesn't happen, or shouldn't, without a lot of decision making along the way. Everything we have discussed earlier is a precursor to implementation. And, much of it can unravel if the plans aren't "*well planned*." Nevertheless, if your efforts up to this point have been successful, you should be in a good position to begin implementation. This is not to say there will not be delays, problems and stumbling blocks put in your way. If you remember what was said very early about the recycling nature of these *tactics*, you can expect the need to "re-visit" earlier *tactics* from time to time to put the implementation of your best option(s) back on track.

Successful implementation requires top management (and elected official) involvement as well as the involvement of those who have implementation authority and responsibility (the line agencies and their support service units). First, we will explore what top policy and management officials can do to support implementation.

IMPLEMENTATION SUPPORT FROM ABOVE

Top management and elected officials often rely on line managers and their staff to be concerned about and involved in the process of implementing planned changes in the organization. Here are a few ideas to consider regarding the roles of senior policy and management officials.

- ***Think strategically about implementation***. This involves a pattern of policies, plans, programs, actions, decisions and resource mobilization that defines the framework within which implementation will take place from the perspective of all affected stakeholders.
- ***Encourage and support changes that can be made easily and rapidly***. Nothing fosters confidence, and builds on success, like success. And, nothing dashes hopes and enthusiasm like bureaucratic malaise and other unnecessary implementation barriers. Top policy makers and managers are expected to build bridges for implementation, not put up barriers.

- ***Build into the proposed change the necessary resources to assure its success***. One doesn't go far in Slovakia without realizing the importance of this sage advisory. And, we're not talking only about enough money to finish an overly ambitious infrastructure project. In a south Asian country some years ago, the Prime Minister dedicated a new water treatment facility in early April. By mid-May, the plant ceased operations when the local technicians couldn't repair a malfunction. In this case, orientation and operations training had been overlooked in the startup costs and operating budget. (*Sound familiar even though the example is many thousands of kilometers away?*) Employee training is a cost of implementation, not a fringe benefit.
- ***Ensure that the policies, administrative orders and other top-down directives facilitate rather than impede implementation of planned changes***. It is not unusual for higher levels of government to legislate solutions that are sometimes unworkable at the local level. And, local councils have also been known to adopt policies and encourage administrative orders that challenge the ingenuity of managers to implement them. Effective implementation begins with an open and collaborative dialogue among all parties concerned, including those who will be responsible for implementation.
- ***Exercise patience and persistence***. Patience, recognizing that things never seem to go as planned; and persistence to assure that implementation happens.[11]

Here are a few ideas on how to strengthen line management's ability to produce successful implementation of the agreed upon action plan(s), achieved through the use of *Tactic #4*. Since implementation is so project or program specific, and difficult to discuss in any detail at this time, we will focus on an issue that is universal to implementation: human resource development (HRD).

REFLECTION

Before we move on to HRD concerns during *managing change*, how do you and your senior management team (including the elected council) stack up against the ideas about supporting implementation that are stated above? Review the list and jot down some actions you might take individually, or collectively, to support implementation efforts by your employees.

HRD AND IMPLEMENTATION: [A HAND-IN-GLOVE RELATIONSHIP]

One of the most important responsibilities during implementation is developing the work force, helping employees carry out their current tasks more effectively and efficiently, and preparing them to assume greater responsibility in the future. While employee development is implicit in all the *tactics* suggested in the managing change process, you need to make it explicit during implementation. While developing staff involves many things, we want to focus on three interrelated activities that are integral to successful implementation of your planned change. These are: *direction, support and delegation*. We are assuming these activities are largely the responsibilities of those managers and supervisors responsible for implementation.

Direction assumes the employee is faced with a new task or set of job responsibilities as a result of some planned change in the organization. Given these circumstances, directing involves telling subordinates what to do, where to do it, when to do it and how to do it. It also involves close supervision of performance. Is the person performing tasks in accordance with agreed upon standards? If not, what does he or she need to learn or do to improve their performance. Directive behavior on the part of the supervisor (manager) involves: (1) structure; (2) control; and, (3) supervision.

The manager's ***support*** of employees is the second major feature of effective staff development during implementation. Support involves personal interaction with members of the work team; listening; providing encouragement; and facilitating increased involvement in decision making. Managerial support goes beyond these more personal interactions. It also includes making resources available to perform at the standard agreed upon. Depending on the situation, this may mean human resources, equipment, material, time, expertise (which often means on-the-job training and development), and much more. In other words, whatever it takes to implement the option or options agreed upon in the action plan.

Support doesn't end with effective personal interaction between managers and others required to carry out implementation. It also involves managing the larger work environment, seeing that policies, procedures, rules and regulations support job performance and implementation. If they don't, you may want to change them to work for you and not against your efforts to implement change. These "man-made" *rules of the game* can both help and hinder the implementation of efforts to bring about changes in the organization. Since they are man-made, they shouldn't be considered sacred. But, it is amazing how formal documents take on such an aura of authority and finality.

The final key to developing the organization so implementation can be realized is *delegation* — pushing decision making and problem solving down to the lowest level of the organization where there are the knowledge, skills, and will to take responsible action. Tom Peters says, "the plain fact is that nine out of ten managers haven't delegated enough." Experience in working with managers in many parts of the world confirms this ill-fated practice. Delegation of authority and responsibility (and not one without the other!), access and control over resources, and responsibility for achieving (and hopefully surpassing) performance goals and quality standards are all crucial to developing the human resources of the organization.

A more detailed discussion of *direction*, *support* and *delegation* can be found in the fifth workbook in this series, the *Manager as Staff Developer*.

QUESTIONS TO PONDER ON THE WAY TO IMPLEMENTATION

During the course of implementation, it is important for managers at all levels of the organization to ask the following kinds of questions:

- Do we need to adjust the "mix" of resources?
- Will it take more resources to do what we said we wanted to do?
- Should we continue to use our current plan, modify it, or develop a new one?
- When we accomplish our objectives, will we know enough "to get out of business" — or create new objectives?
- Do we have the knowledge and skills required to accomplish the job?

> *He that will not apply new remedies must accept new evils.*
>
> – Francis Bacon

IMPLEMENTING PLANNED CHANGES CAN BE A TIME OF TRANSITION FOR THOSE IN THE ORGANIZATION

If you are successful as an organization change agent, you, your staff and others will experience a psychological process known as transition. While we wondered whether to put the following comments on transition earlier, we decided they would be most appropriate and useful at this stage in the managing change process. William Bridges, in his book *Managing Transitions*, has stated the case for support within the organization during transitions as well as any we have seen.

Bridges makes the point that changes don't create the problem, it's the transitions. *Change*, he says, is situational (new boss, new policy, new team role). *Transition* is the psychological process we go through to come to terms with the new situation. Change is external; transition, internal. Change is causal; the effect, transition. Transition begins with an ending, with the letting go of something. This "letting go" Bridges calls the first step in transition management. The second stage is *the neutral zone*, the uneasy state of limbo between the old reality and the new. Bridges calls this a place of danger and opportunity. Organizations often pay little or no attention to the "endings," which are really the beginnings of transition. And, they rarely acknowledge the neutral zone.

Here are some actions that organization and leaders can take to help individuals through these stages of transition.

- First, ***help others "let go."***
- Identify who's losing what.
- Accept the reality and importance of subjective losses. After all, loss is a personal experience, not an organizational directive.
- Acknowledge the losses openly and sympathetically.
- Expect and accept the signs of grieving. Grieving is the natural sequence of emotions we go through when we lose something that matters to us. Some of these emotions are: anger (from grumbling to rage); bargaining ("I'll double my output if you'll undo the change"); anxiety; sadness; disorientation (e.g., feeling lost and insecure); and depression.
- Compensate for the losses (What can I give back that is positive to balance what's been taken away?
- Give people information, information, and more information.
- Mark the endings. When Cortes, the Spanish conquistador, came ashore in Veracruz with a crew less than enthusiastic about the task ahead of them, he ordered them to burn their ships. Now that's "letting go!"
- Treat the past with respect and a reality that has, in fact, happened.
- Let people take a piece of the old way with them. *(Bridges tells a wonderful story about the employees of an old winery that was sold to land developers. It was a lovely place, particularly the winery rose garden, where employees often spent their lunch hours. In the last days of the organization's long life, management discovered employees were*

going into the garden after work and taking rose cuttings from the gardens. Recognizing the significance of what was happening, management assisted their employees in obtaining the cuttings for their own gardens.)

Second, *manage the neutral zone:* (as Bridges counsels us, "the neutral zone isn't just meaningless waiting and confusion — it is a time when a necessary reorientation and redefinition is taking place, and people need to understand that." Given this, he says:

- Redefine it (i.e., change the metaphor being used to describe this "no man's land").
- Create temporary systems, to provide some semblance of structure and strength.
- Strengthen ties between groups within the organization.
- Appoint a transition monitoring team to track what is happening in peoples lives as a result of change.

Finally, ***launch the new beginning***: recognizing, as John Galsworthy the English novelist so aptly put it, "Beginnings are always messy." To make a new beginning, the organization needs to attend to the following issues:

- Clarify and *communicate the purpose of the change.*
- Since purposes tend to be somewhat abstract, it helps to *paint a verbal picture of what the outcome will look like.*
- *Create a plan of action* that will get you from where you are to where you want to be, given the organization's purposeful change.
- Provide employees and significant others *a part to play* in both the transition and the longer term outcomes.[12]

Some of what Bridges counsels will undoubtedly be overkill. This is so particularly if the change you plan to undertake is somewhat less than truly significant within the life of the organization. Nevertheless, Bridges' ideas on *transitions* are among the best we have seen.

REFLECTION

Think back to the many transitions you had to *manage* after the velvet revolution and record some thoughts about how you managed, and how you might have *managed* differently, based on some of the ideas that Bridges provides us.

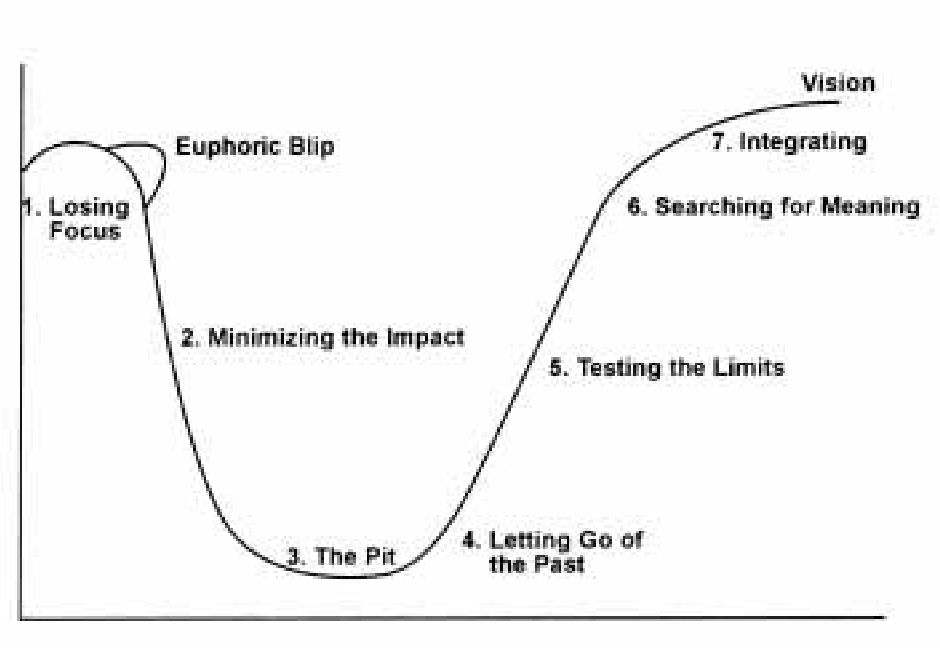
THE TRANSITION CURVE

Some of Bridge's ideas have been around for years, showing up in something called the *transition, or morale curve*. Those who have conducted research on the change process have been able to identify certain patterns of behavior, based on time and the psychological state of the individual or group. Many researchers argue that the morale curve phenomenon can be traced within the life of a group or team that is working together to accomplish new tasks or learnings. Since we are talking about "managing change," it is useful to know that some behaviors are often common and can be expected as the change, being experienced, unfolds.

The Peace Corps (involving Americans who volunteer to work in other countries and cultures) collected information, in the early years of the program, on the psychological state of its volunteers over the course of their two year assignments. By recognizing the dramatic change that living in another culture represents, and by understanding the stages of response that most individuals will likely have to the experience at different times, the Peace Corps was able to: (1) inform the volunteers about their likely responses to the experience; and, (2) schedule group meetings at times when it would be beneficial for individual and group counseling and support.

Other researchers looked at this phenomena in different settings and came up with similar conclusions. Rather than overwhelm you with different models of how groups or individuals respond to significant changes, we will focus on one model developed by John Adams and Sabrina Spencer. They describe seven stages an individual goes through in any serious change, charting them on something they call the *transition curve* (see figure next page).[13] The horizontal axis represents *time* and the vertical axis reflects the *mood, morale or psychological state* of the individual. It is important to realize that each individual may react quite differently to changes, or transitions, depending on their role in initiating or fostering the change. Nevertheless, knowledge that individuals involved in the change process may be experiencing these stages of transition can help the manager both understand the impact of change on others and provide support in the transitions.

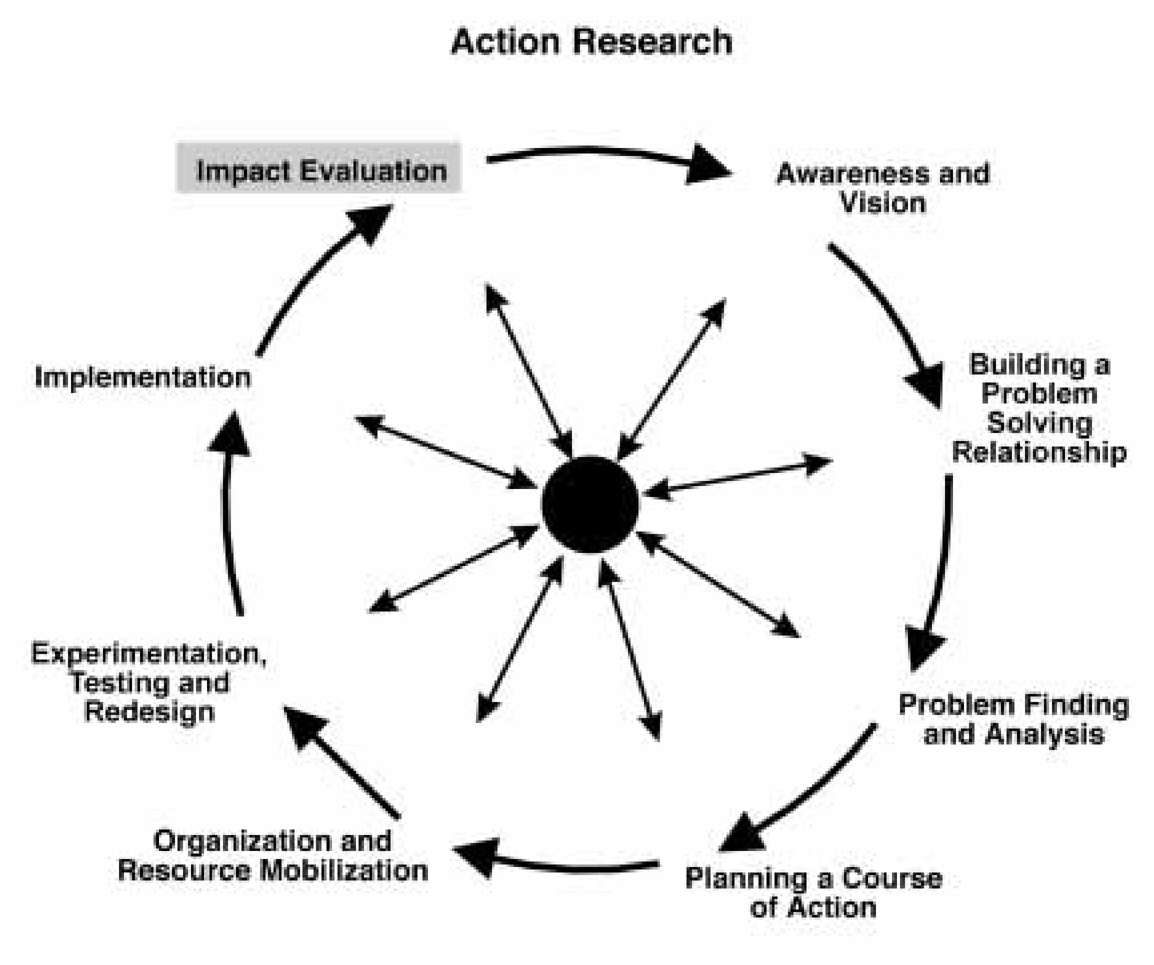
While the transition stages are portrayed in the figure below, the following descriptions of these stages as they affect individual morale may be helpful.



1. Losing focus, or a state of immobilization (feelings of being overwhelmed, and mismatch of high expectations and reality).
2. Denial of change, temporary retreat, minimizing the impact.
3. Although there is awareness that change is necessary, this is the frustration phase (what Adams and his colleagues call the “pit”).
4. Letting go of the past, acceptance of reality, more comfortable attitudes toward the change.
5. Testing the limits, new behaviors and approaches to deal with the new reality, lots of energy, which can result in anger and frustration for those still clinging to the past.
6. Search for meaning and understanding of why things are different, internalization of change.
7. Integration of meaning of change into new behavior.

(If you are familiar with other models that depict individual and group responses to major change events, you might want to compare them with the model just described.)

The time taken to assimilate and accept major changes within groups, organizations, communities will obviously vary depending on the intensity or magnitude of the change being undertaken. However, an understanding of what is happening, and participation in the change process, are major factors in both reducing the time required to successfully bring about the intended changes and gaining acceptance and support for the planned changes. Widespread communication with those affected and involved, and authentic opportunities to participate in bringing about the change, will lessen the resistance to significant organizational changes.


Action Research
Impact Evaluation
Awareness and Vision
Building a Problem Solving Relationship
Problem Finding and Analysis
Planning a Course of Action
Organization and Resource Mobilization
Experimentation, Testing and Redesign
Implementation

TACTIC 8: IMPACT EVALUATION

Impact evaluation is an ongoing process (what the researchers call a formative evaluation) — not something you just do at the end of a project or activity. Nevertheless, a final evaluation (summing up) is important and oftentimes a requirement of funding agencies and higher authorities.

SOME BASIC PRINCIPLES TO PONDER

Evaluation, whether perceived as a formative process or a summation of events and activities, is strengthened by adhering to certain principles.

1. Evaluation should be simple and non-threatening.
2. Evaluation should be based, primarily, on the needs of the organization, its staff and their clients. If these needs are met satisfactorily, the needs of others (such as higher levels of governments) will be met.
3. Program and project participants (the planners and the implementers), other decision makers, and clients should be involved in the evaluation process throughout.
4. Evaluation data should be used (sounds dumb but often evaluations are completed, "put on the shelf" and life goes on.)
5. Evaluation should not only look at what has been done (end results) but how it has been done (the processes of decision making and problem solving).
6. Evaluation should encourage growth and development of the staff and organization.
7. Evaluation should be ongoing: not a "one shot" effort.
8. Evaluation should include a variety of diagnostic and inquisitive approaches.
9. Evaluation should lead to decision making and further action, both improved through this targeted conduct of inquiry.

The organizational change strategy we have been pursuing (based, if you recall, on the principles of *action research*) has evaluation built into it every step of the way. In many ways, it is a guidance system that keeps us on track and moving from one step in the process to another, with assurance.

During Tactics 1 through 7, we should be asking such questions as:

- How are we doing?
- Are we still on target?
- Do we need to make mid-course corrections?

- Are we working effectively as a team?
- Is everybody who needs to be involved, at this time, involved?
- How can we perform better?

There are, of course, many more aspects to impact evaluation, many more tough questions to ask. Here are some criteria and accompanying inquiries to consider as you carry out each *tactic* in the organization change process. (By the way, some of the questions are asked in present tense as a reminder that *impact evaluation* is an on-going process, not an end-of-the-journey trip report.)

Criteria for Assessing Impact

- ***Adequacy***: (these are questions that are important to ask as you formulate your action plan. Also at the completion of implementation. Just change the "is" to "was").
  - Is our plan of action big enough and bold enough to accomplish our goal?
  - Is the goal "big enough," given the size of the problem?
  - Do we have sufficient resources to carry out our plan of action?
  - If we solve this problem, will it stay solved?
- ***Effectiveness***:
  - Did we do what we said we were going to do?
  - Was the action plan implemented?
  - To what extent has the goal been met and the problem solved?
- ***Efficiency***: (this is also a set of questions that can be asked as you put your plan together (what the researchers call a *formative evaluation*), or as a part of a *summative evaluation*, to determine how well you implemented your plan).
  - Could the resources be combined differently or different resources used so the same activities could be produced at lower costs?
  - How costly is the plan of action compared to the benefits obtained?
  - Would another plan of action accomplish the same objective at lower cost?
  - In the end, will we be able to say we made the best use of our resources to achieve our intended results?
- ***Side Effects and Consequences***: (questions to be asked as progress is achieved).
  - What are the benefits of the change we have undertaken and achieved?
  - And, the liabilities?

– What un-anticipated consequences did we experience (things we never thought would result from our action plan)?

- ***Outputs and Outcomes***: These are two terms that often get confused when managers are talking about results. *Outputs* are measurable indicators of progress toward the achievement of your objectives. *Outcomes* are the planned, and sometimes unplanned, results of your change process.

If you are getting bad results or adverse side effects from the implementation of your action plan, you should re-think and redesign before going further. One final comment on the suggested conduct of inquiry: Don't hesitate to add additional questions to help you assess both your progress toward your goals or in assessing the results of actions taken to achieve the goals.

These evaluation criteria are most effective when they are applied to:

- ***Resources*** — people, funds, materials, equipment, time technology.
- ***Activities*** — that which is done to carry out goals and objectives (what is done).
- ***Strategies*** — the "how" of the "what".
- ***Objectives*** — a planned and expected result.

When the criteria stated earlier are applied to each of these "ingredients," they provide an excellent management guidance system. They will help determine if your efforts are on track and moving toward the objectives that have been established.

Two other issues important to evaluation are:

1. ***Measures***: How are you going to measure what it is you decide to do?
2. ***Sources of Information***: What different sources do you have available and how will you tap them?

MEASURES

A measure is the amount of something that exists at a certain time. The most difficult part of evaluation may be determining what kinds of measures to use for each of the criteria and inputs to problem solving that have just been discussed.

Some things are easy to measure (number of streets paved, cost per kilometer), while others are much more difficult (citizen satisfaction with the expenditure, given all other local government priorities).

Two important principles to remember about measuring are:

- Design your measurement tools after you know what it is you want to measure. (Just because something is countable, doesn't mean you should count it.)
- Be stingy about what you measure — measure only those things that give you the information you need.

SOURCES OF INFORMATION

Measurement data can be abundant, so pick and choose with care. Example of measure: *The number of financial clerks who have improved their skills in using computer spread sheet programs*. Data are the numbers you get when you take the measure. Example of one piece of data: *Twelve of the 15 finance clerks have demonstrated their computer skills in preparing financial spread sheets with an accuracy rate of 95%.* If the objective was to improve the skills of fifteen financial clerks within a specific period of time to a certain level, then our evaluation tells us we were 80% effective.

Data comes in many forms and can be obtained through:

- Interviews
- Questionnaires
- Observation
- Ratings (by peers, staff, experts, the community)
- Tests
- Records and Reports
- Statistics
- Documents
- Examination

For managers at all levels of the organization, evaluation is an on-going process — not a one-time end event. It is the guidance system that keeps resources, activities, strategies, and objectives on track.

Evaluation is the time when we "take stock" of our achievements and our shortfalls of anticipated success. Of accounting for specific actions and their consequences; for making new plans; for planting the seeds of future challenges.

PART 2: THE WORKSHOP

NOTE TO THE WORKSHOP FACILITATOR

This workshop, like other workshops in the series, is intended to be undertaken by an experienced trainer in a program attended by managers from various local self governments in Slovakia. We have included various types of learning activities and formats to provide trainers with considerable flexibility in adapting a workshop to the specific needs of participating managers. It has been our intention in developing these workshops to encourage you to incorporate your own experiences as a trainer to heighten the learning value of these learning materials for participating managers.

PURPOSE

After an initial warm up exercise, participants are provided with an overview of the managing change process and invited to begin the process of change management using the eight step *Management of Change* model developed for this purpose. Participants who register for the *Organization Change Agent* workshop will be expected to focus their attention on the resolution of significant organization problems or opportunities confronting their organizations which they either identify in advance or after arriving at the workshop.

CONTENT

A brief description of each learning activity is shown below with an approximation of the amount of time required. A workshop that includes all of these learning components will require four days. For a four-day program, you may use these designs in the exact order and manner presented. Or, if you prefer, you may modify them or even use content of your own to extend the length of the program or to make it more relevant to the objectives of a particular training situation.

We are making the assumption that participants will use the model to plan the resolution of their organizational problems or realization of their opportunities in one of two ways: (1) individually and in small participant clusters with similar types of problems and opportunities, or (2) in teams of managers who are attending the workshop from the same organization.

Trainer's note. Managers was are invited to attend a workshop on *The Manager as Organization Change Agent* could be asked to identify an organization problem or opportunity and to describe it and its present or future impact on the organization as a pre-workshop assignment. The advantage of this approach is its potential for bringing added realism and immediacy to the workshop experience. Although many managers will not take the time to complete this task, those who do can be expected to adapt more quickly to the workshop.

3.1 WARM-UP EXERCISE

Participants will share ideas on “change” and people’s reaction to it while getting acquainted with one another. (30 minutes)

3.2 TRAINER PRESENTATION

Brief overview of the managing change process focusing on the manager’s role as change agent. (30 minutes)

3.3 SESSION ON SELECTING A PROBLEM OR OPPORTUNITY

Participants identify an organizational problem or opportunity as their focus during the workshop. (60 minutes)

3.4 SESSION ON VISIONING AND STAKEHOLDER MAPPING

After a brief presentation on the human attributes of awareness and vision, participants prepare visions of the future related to their problems or opportunities and identify influential stakeholders. (2.5 hours)

3.5 SESSION ON RELATIONSHIP BUILDING

After a short presentation and discussion on building a problem solving relationship, participants assume roles through which they exchange insights on who should be involved in the process of problem resolution. (2 hours)

3.6 SESSION ON PROBLEM FINDING AND ANALYSIS (PART 1)

Following a brief presentation on the accurate identification of problems and the difference between problems, symptoms and solutions, participants examine their own problems or opportunities in detail. (2 hours)

3.7 SESSION ON PROBLEM FINDING AND ANALYSIS (PART 2)

Participants continue analyzing their problems or opportunities by translating them into objectives and identifying the forces working for and against their resolution. (2 to 3 hours)

3.8 SESSION ON PLANNING A COURSE OF ACTION

Following a short presentation on how to devise a workable action plan, participants develop detailed action plans for attaining the objectives relative to their respective problems or opportunities. (3 hours)

3.9 SESSION ON ORGANIZATION AND RESOURCE MOBILIZATION

After a short presentation on the process of assembling the resources needed to achieve the resolution of a problem, participants complete a checklist of the availability of needed resources and ways to add value to the resources. (90 minutes)

3.10 SESSION ON EXPERIMENTATION, TESTING AND REDESIGN

Following a brief presentation on taking time in the process for reflection and reassessment, participants complete a questionnaire design to help them reassess their plans of action. (90 minutes)

3.11 SESSION ON IMPLEMENTATION

After a brief presentation on implementation, participants complete a checklist of actions needed to keep the change process on track. (90 minutes)

3.12 SESSION ON IMPACT EVALUATION

After a brief presentation on continuous monitoring and feedback, participants use a worksheet with criteria to develop impact evaluation plans a checklist of actions needed to keep the change process on track. (90 minutes)

3.13 SESSION ON SELF-ASSESSMENT AND RE-ENTRY

Participants complete a questionnaire to help them appraise their capabilities and readiness to manage an organization change process (90 minutes)

3.1 WARM-UP EXERCISE

PURPOSE

This exercise is meant to help participants recognize the reactions of people in organizations to change and what can be done to gain their acceptance for change proposals.

TIME REQUIRED: 30 MINUTES

PROCESS

1. To get the workshop underway, ask participants: *What is the first word that enters your mind when you hear the word "change"*? Provide index cards for participants to record their response. While they are doing this, put two large signs on the wall with the words "positive" and "negative." After writing the two words, ask participants to go to the wall and attach their card in the appropriate place. After all the cards are placed (either by tape, stick pins or some other means), read the responses in each category. Ask if there are cards that need to be switched before going to the next task.

2. After all participants have responded, ask participants another question: *As a manager, what would you do if these were the responses from your workforce to a proposal for change?* Divide participants into several small groups. Ask each group to discuss ways for dealing with the employee responses and to return in about 15 minutes with some alternative courses of action. Reports from the small groups. Discussion.

3.2 TRAINER PRESENTATION

PURPOSE

This presentation is to familiarize participants with the managing change process with a focus on the manager's role as change agent.

TIME REQUIRED: 30 MINUTES

PROCESS:

1. Prepare the presentation based on information covered by the preceding essay. Focus on the role of the manager in the introduction and management of change. Explain and provide a rationale for the eight-step process for planning and institutionalizing change in local self government organizations.
2. Outlined information on note cards may help you cover the information systematically and stay on schedule. Ask questions from time to time during the presentation as a check on participants' comprehension and to focus their attention. Provide real-life illustrations of the points you are making to aid comprehension. Find ways when possible to link your material with the knowledge and experience the participants already have. Augment the presentation with visual aids including pre-printed newsprint sheets and overhead transparencies as a further aid to comprehension. End with a summary of key points or ask participants for this as a test of retention.

3.3 SESSION ON SELECTING A PROBLEM OR OPPORTUNITY

PURPOSE

This session is intended to stimulate the awareness of participants about important problems or opportunities for their respective organizations that can serve as a focus for this workshop.

TIME REQUIRED: 60 MINUTES

Trainer's Note. The focus on "real" problems or opportunities in urgent need of attention can bring realism and add richness to the learning experience awaiting participants as well as inspire added motivation to learn and apply learnings on returning home.

PROCESS:

1. Ask participants to describe briefly the problem or opportunity they have selected for the workshop and to explain why they have made this particular choice. Emphasize that the problems selected can be difficulties or challenges facing the organization that have not yet been solved. On the other hand, they can be opportunities that could have a powerful influence on the way the local government operates.

   [Note: if you find that many participants have not yet selected a specific problem or opportunity, give them a few minutes to consider their options before moving on.]

2. After everyone seems to have made a choice, ask each participant (or a participant representing a team of participants from the same organization) to report their respective problem/opportunity and a rationale for its selection. Summarize each participant report on a flip chart. Look for similar problems or opportunities that might suggest a way of clustering small groups of participants around a single, relevant problem during the workshop. To the extent possible, assign all participants to clusters (4 to 7 participants each) and suggest that each cluster select one problem or opportunity from those reported by its members as its cluster task for the workshop. Give clusters of participants about 30 minutes to make these choices and get acquainted.

3.4 VISIONING AND STAKEHOLDER MAPPING

PURPOSE

This session is intended to demonstrate the value of "visioning" as a stimulus for change and stakeholder mapping for the engagement of key individuals and organizations early in the change process.

TIME REQUIRED: 2 1/2 HOURS

PROCESS:

1. Deliver a short presentation on the human attributes of awareness and vision and how they are related to the performance of managers as they go about the important tasks of solving problems and seizing opportunities. Include in the discussion the role of stakeholders as potential aids or obstacles and the importance of involving them from the beginning.

2. Provide each participant with a worksheet (Handout No. 1) and instructions on how to prepare a vision of the future that anticipates a time when the problem to be solved or opportunity seized has become a reality. Encourage participants, working independently, to picture in their minds what the organization would be like under these circumstances and to describe what they see on their worksheets.

   [Note: participants who have joined clusters may have chosen a common problem or opportunity to work on in which case the visioning exercise would be focused on their common endeavor.]

   When participants have committed their visions of the future to writing, divide them into participant clusters. Suggest that each cluster elect one of its members as a recorder and provide each cluster with a flip chart, tape and markers. Give each cluster about 30 minutes to make a list of the various vision ideas and to combine the ideas into a single vision statement. After 30 minutes, ask participants to return to present their visions.

3. Provide participants with the three worksheets for use in completing a stakeholder exercise. One of the worksheets (Handout No. 2) contains circles for use in recording the names of external stakeholders (outside the organization) who could influence any planned change effort, pro or con. The second worksheet (Handout No. 3) contains ovals for use in recording the names of internal stakeholders (inside the organization)

who could influence any planned change effort, pro or con. Participants should work independently to complete these two worksheets and then share and consolidate their results into two composite stakeholder maps. The third worksheet (Handout No. 4) is to compile information about the five most important stakeholders from each of the composite maps that might be useful in deciding how to involve these stakeholders in the change effort. After 45 minutes, ask participants to return and report on their results.

HANDOUT NO. 1

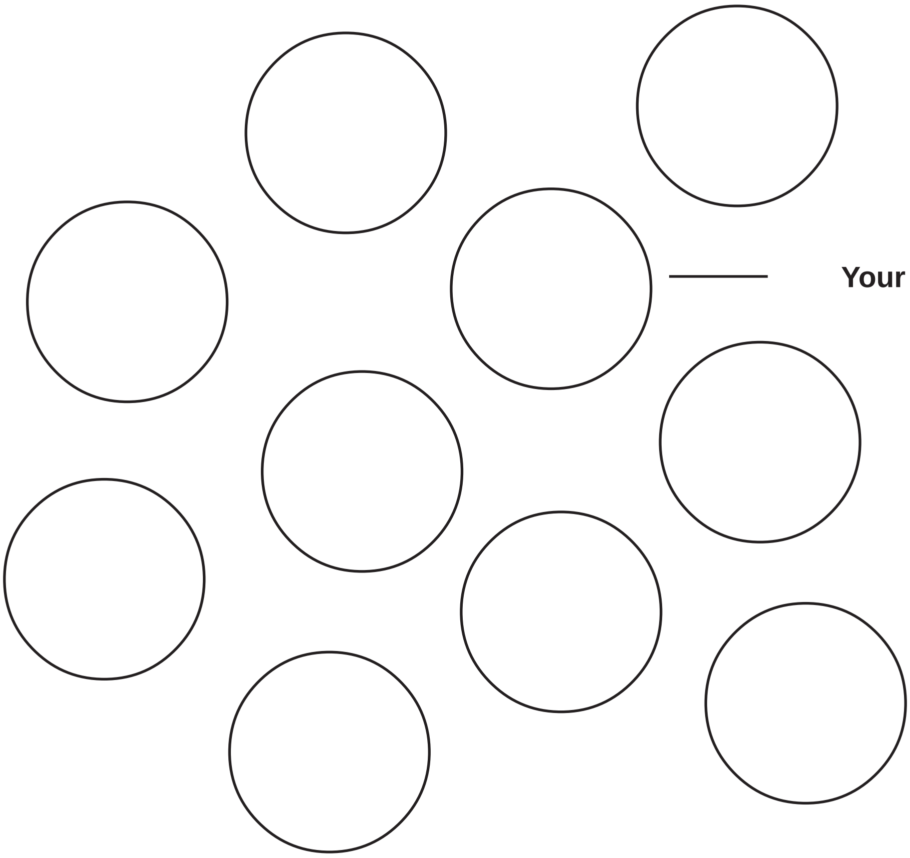
VISIONING WORKSHEET

This worksheet is for you to describe what comes to mind when you think about a time in the next three to five years when the problem you have decided to address during this workshop has been resolved or you have been successful in seizing the intended opportunity. Imagine that you are drifting through the organization or the community unobserved and can hear and see everything that is going on. You feel pride and satisfaction with what you see and hear. Why? Make some notes below on the things you see happening during your sojourn that reflect success in eliminating the conditions that caused the problem or taking full advantage of the opportunity to benefit your community.

HANDOUT NO. 2

STAKEHOLDER (EXTERNAL) WORKSHEET

Use the bubble map shown below to identify the key community organizations or groups (external stakeholders) that you feel should be included or whose interests should be considered in the significant change effort you and your cluster colleagues are planning. Complete the bubble map working alone by putting the name of one stakeholder in each circle on the map. Add new bubbles if necessary.

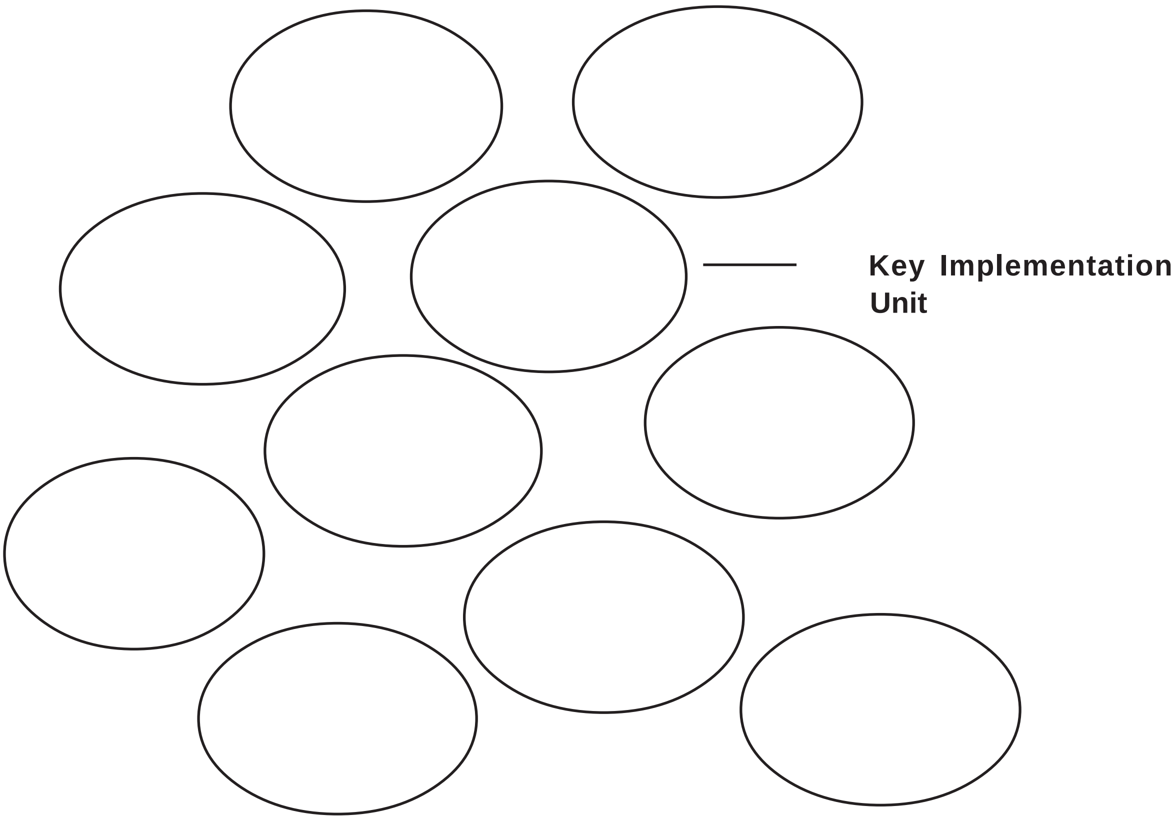


Your Local Government

HANDOUT NO. 3

STAKEHOLDER (INTERNAL) WORKSHEET

Use the bubble map shown below to identify the individuals, groups or units within your organization (internal stakeholders) that you feel should be included or whose interests should be considered in the significant change effort you and your cluster colleagues are planning. Complete the bubble map working alone by putting the name of one stakeholder in each circle on the map. Add new bubbles if necessary.



HANDOUT NO. 4

STAKEHOLDER ANALYSIS WORKSHEET

Use this worksheet to consolidate and analyze the 10 most important stakeholders identified by cluster participants on the two preceding worksheets. The column on the left side of the form can be used to enter external and internal stakeholder names and titles. The middle column is to identify the stakeholder as favorable or unfavorable to the change effort. The column on the right side is to suggest a strategy about how to involve each stakeholder in the change effort.

Stakeholder	Pro or Con		Strategy for Involving Stakeholder
External			
1. ______________	☐	☐	______________________________
2. ______________	☐	☐	______________________________
3. ______________	☐	☐	______________________________
4. ______________	☐	☐	______________________________
5. ______________	☐	☐	______________________________
Internal:			
6. ______________	☐	☐	______________________________
7. ______________	☐	☐	______________________________
8. ______________	☐	☐	______________________________
9. ______________	☐	☐	______________________________
10. ______________	☐	☐	______________________________

3.5 SESSION ON RELATIONSHIP BUILDING

PURPOSE

This session is to enable participants to understand the importance of reaching out to others who should be involved in problem solving (or tapping opportunities) and how to build an effective working relationship with these individuals, groups and organizations.

TIME REQUIRED: 2 HOURS

Trainer's Note. Two issues are important to convey in this session. The first is the importance of collaboration and participation. Few problems and opportunities are best addressed alone. Most involve others. Involving others in the problem solving process early saves time and resources in the long run. The second issue has to do with clarifying assumptions, values, roles and responsibilities as quickly as possible in the problem solving process.

PROCESS:

1. Deliver a short presentation (20-30 minutes) based upon the written materials and your own experience in working with others. An alternative is to pose the question, "*What are the critical issues you need to think about in building a problem solving relationship with others*?" Follow the query by asking, "*Why are these issues important*?" Once participants have contributed to the discussion, you can fill in the missing pieces from your own knowledge and the notes provided in the workbook.

   Many alternatives are possible as follow up to the previous task. You might ask each participant to review the list of stakeholders compiled by their clusters during the preceding exercise. You might continue by asking participants to engage in three-way discussion as a way of soliciting information on the who, why and how of building problem solving relationships. In this training approach, one person discusses his or her cluster's problem, another acts as the consultant/coach, and the third monitors the discussion and gives both feedback on the substance and the process of the dialogue.

2. Once participants have discussed, in one way or another, who is important to the problem solving process you might stage a role play in each cluster between the person with the problem (or opportunity) selected by the cluster and another cluster member who might be able to contribute to the problem's resolution (or tapping the opportunity). The potential collaborator needs to be described in some detail (e.g.,

Who is it? What is his or her role? What is the relationship between the two?). The reason for soliciting information, which is as specific as possible regarding the collaboration role, is to prepare another participant to play this person's role in the following activity.

Once there is enough information about the problem and the potential collaborator, another cluster member might volunteer to play the role of the collaborator. You will want the role play to clarify: (1) the problem (opportunity) and its ramifications: (2) assumptions about working together; (3) values that each party might hold that are important to the problem solving venture; and (4) roles and responsibilities that each can be expected to fulfill.

Another cluster member might be asked to volunteer as a third-party observer. During the discussion, the observer could take notes on the ensuing conversation and be prepared to answer questions like: What did they talk about? How was the problem/opportunity addressed? Was there any mention of expectations (what I want from you; what you want from me)? How realistic are they? Was there discussion of what the person with the problem/opportunity was willing to give in exchange for help? Was mention made of where we go from here (next steps)?

The role-playing should continue until cluster members feel that sufficient learning has been achieved from the discussion or it raises questions, either in content or process, that could benefit from an open discussion involving all workshop participants. If time permits, the three role players might exchange roles or other cluster participants might volunteer for a second round of discussions. There is no magic formula for determining this point in a role play. Let your judgment and intuition guide your actions.

3. We have added a questionnaire called *Analyzing Personal Effectiveness as a Team Member* to help participants assess their work together in clusters. They should be used after participants have been working for three or four hours together in their clusters. The questionnaire can be used at any point during the workshop when you feel it might be helpful.

Trainer's Note. One final comment about the above notes. They are written to give you general ideas about how to handle the session, not detailed, step-by-step procedures to follow. Training is most effective when the trainer has flexibility in both design and content, given the needs of the trainees. Too often, training designs are written in a rigid lock-step fashion which gives the trainer little room for adaptation. Such designs deny creativity and input from the trainees as well as the trainer.

QUESTIONNAIRE - ANALYZING PERSONAL EFFECTIVENESS AS A TEAM MEMBER

This questionnaire is designed to help you think about your behavior in groups. First, read over the scales and, on each one, place a check indicating the place on the scale that describes you best. After marking all the scales, pick out the three or four areas of personal behavior which you would most like to change. On these scales draw an arrow above the line to indicate the desirable direction for changing your behavior. (There may be situations where lowering your involvement, as stated in the questionnaire may be desirable.)

1. Ability to listen to others in an understanding way.

1 2 3 4 5 6 7

Low High

2. Ability to influence others in the group.

1 2 3 4 5 6 7

Low High

3. Tendency to build on the previous ideas of other group members.

1 2 3 4 5 6 7

Infrequent Frequent

4. Likely to trust others.

1 2 3 4 5 6 7

Unlikely Likely

5. Willingness to discuss my feelings (emotions) in a group.

1 2 3 4 5 6 7

Unwilling Willing

6. Willingness to be influenced by others.

1 2 3 4 5 6 7

Unwilling Willing

7. Tendency to run the group.

1 2 3 4 5 6 7

Low High

8. Tendency to seek close personal relationships with others in a group.

1	2	3	4	5	6	7

Low High

9. My reaction to comments about my behavior in groups.

1	2	3	4	5	6	7

Reject Welcome

10. Extent to which I am aware of the feelings of others.

1	2	3	4	5	6	7

Unaware Aware

11. Extent to which I understand why I do what I do.

1	2	3	4	5	6	7

Low High

12. Reaction to conflict or disagreement in the group.

1	2	3	4	5	6	7

Low Tolerance High Tolerance

13. Reaction to opinions opposed to mine.

1	2	3	4	5	6	7

Low Tolerance High Tolerance

Review your questionnaire results and the areas of personal behavior you most want to change. Then answer the following questions in the space provided.

1. Which three or four behaviors did I select? (Note the changes below that you want to make).

- ____
- ____
- ____
- ____

2. What caused me to believe I want to make this change?

- ____________________
- ____________________
- ____________________

3. What steps am I willing to take to bring about this change?

- ____________________
- ____________________
- ____________________

3.6 SESSION ON PROBLEM FINDING AND ANALYSIS, PART I

PURPOSE

This session is designed to help participants understand how to identify problems more precisely.

TIME REQUIRED: 2 HOURS

Trainer's Note. On the surface, this may seem unnecessary. After all, a problem is a problem. Unfortunately, many managers encounter difficulty in carrying out their responsibilities because they do not take time to identify problems more accurately or have the necessary skills to do so. In either case, this is an important step in the problem solving process and merits attention in management training.

PROCESS:

1. Present a short problem finding presentation based upon the written materials in Part 1 and your own experience. Focus on the differences between problems, symptoms and solutions. This is an area where many managers encounter difficulty in the problem-solving process.
2. A good way to begin is to have each of the participant clusters use questions in the problem finding worksheets (Handouts 1-3) to verify the problem and to increase understanding about the problem. Emphasize the importance of "talking to the problem," using a cascading series of "why" questions. Persistent testing of the problem in this way is like peeling away the outer layers of an onion to expose its heart — discovering the core of the problem as it were. Suggest that participants in each cluster alternate asking "why" questions about the problem and writing down on the worksheet what is learned about the problem at each round of questioning.
3. The small group discussions can be followed by a plenary session to re-emphasize the key points in problem identification and to answer remaining questions.
4. As a transition and thought provoker as participants move into problem analysis, you might make copies and circulate the page in the workbook containing "The Toyota Case." Ask participants to read the case and reflect on its use as a model for problem solving in a local government environment. After participants have read the case, ask for their ideas and reactions to the possibility of using a strategy for managing change in their local governments based on the Toyota case.

HANDOUT NO. 1

PROBLEM FINDING WORKSHEET #1

The following questions are designed to help you define your problem in more detail. (If you have decided to pursue an opportunity, many of the following tasks would also apply.)

1. What is the problem? (Start with a rough description and underline the key words and phrases.)

2. Why is it a problem? What would the problem look like if it were solved?

HANDOUT NO. 2

PROBLEM FINDING WORKSHEET #2

Why is it a problem?

Why is it a problem?

Why is it a problem?

Why is it a problem?

HANDOUT NO. 3

PROBLEM FINDING WORKSHEET #3

1. Whose problem is it? Who owns it? (Once you have determined who the problem belongs to, go back and underline all those you believe are willing to invest in its solution and, finally, circle the individual, group or organization you believe is the most important in the problem solving venture.)

2. Where is it a problem? Is it localized and isolated, or is it widespread and pervasive?

3. When is it a problem? (e.g., every Monday morning at 8 a.m.; once in a full moon; only when it rains; when the boss is in town.) As with other questions, be as specific as possible in your answer.

4. How long has it been a problem? If it is a long standing problem, this may say something about the ability, will or priority to solve it.

5. Really now, what is the problem? Go back to your statement in task one and determine whether: (a) the problem you defined is a symptom of a bigger problem; or (b) a solution to what you think is the problem. If you decide you are dealing in either symptoms or solutions, go back to Step 1 and try to identify the real problem.

6. Finally, what would happen if nobody did anything to solve the problem?

7. Based on the dialogue, re-state the problem.

3.7 SESSION ON PROBLEM FINDING AND ANALYSIS, PART II

PURPOSE:

This session is designed to help participants translate problems into objectives and analyze the forces working for and against the attainment of problem-solving objectives.

TIME REQUIRED: FROM 2 TO 3 HOURS

PROCESS:

1. Assist participants to identify criteria for setting objectives — these are listed in the written materials following this trainer's note. While participants will be able to identify most of the essential criteria for determining objectives, you may need to complete the list based on your own experience and the criteria outlined in the workbook. (Note: you may find, as we have, that getting the participants to identify the points that would be covered in a presentation is more effective than providing it for them.)

2. Working in clusters, ask participants to spend a few minutes (no more than 20) writing an objective statement relative to their problem or opportunity that meets the criteria. Provide each cluster with a worksheet on defining objectives (Handout No. 1) and ask participants to complete the worksheet as a group before convening with other groups. Reconvene the total group, have each cluster report its objective statement, critique the statement and move quickly to the next task.

3. Take a few minutes to use the written materials to explain the concept of force field analysis. Demonstrate its use by taking one of the stated objectives of one of the clusters and analyzing it in a plenary session, soliciting ideas and comments from participants. Follow up with questions for clarification about the process.

4. Reconvene the participants in clusters and have them analyze the forces that will have an impact on the achievement of their stated objectives. Worksheets are designed to help participant clusters work through this analytical process (Handouts 2-4).

5. A final step in the analytical process is the identification of several high potency actions that can be taken with high promise for altering the balance of forces in favor of the desired change (objective). These actions can be identified by each cluster using a modified form of the Nominal Group Technique. Since this technique is well known to any trainer

who has been active for awhile or resident in a trainer training program, we will not labor over details here. Any good anthology of training methodologies will include details on this method.

6. Problem analysis can be a time consuming task, so plan accordingly. We hesitate to put specific time frames on each of these activities since so many variables enter into the completion of training events. Just remember that time is a scarce commodity, and activity **ALWAYS** expands to fill the time allotted.

HANDOUT NO. 1

PROBLEM ANALYSIS WORKSHEET #1

Defining the Objective

1. The problem to be solved (opportunity to be tapped) is:

2. Given the problem (opportunity), the objective is:

3. Is the above stated objective (check ✔ all criteria that apply):

- ❑ Specific?
- ❑ Measurable?
- ❑ Realistic (within our resources)?
- ❑ Attainable (within our will)?
- ❑ Results oriented?
- ❑ Related to the organization's mission?
- ❑ Challenging enough to be worthwhile?
- ❑ Something that would interest you personally?

If the answer to any of the questions is **NO**, you need to do more work on the objective statement.

HANDOUT NO. 2

WORKSHEET INSTRUCTIONS

FORCE-FIELD ANALYSIS:

In the blank spaces on Worksheet #2, enter:

1. The current situation or where you are now (status quo).
2. The objective or where you want to be at some future time.
3. Driving forces (conditions that support movement toward the objective).
4. Restraining forces (conditions that prevent or slow movement).

In the blank spaces on the left side of Worksheet #3, enter:

1. Three to five of the driving forces from Worksheet #2 which you view as very important.
2. Three to five of the restraining forces from Worksheet #2 which you view as very important.

In the blank spaces on the right side of Worksheet #3 answer the following questions about each of the driving and restraining forces.

Can you realistically do anything to change this force (influence)?

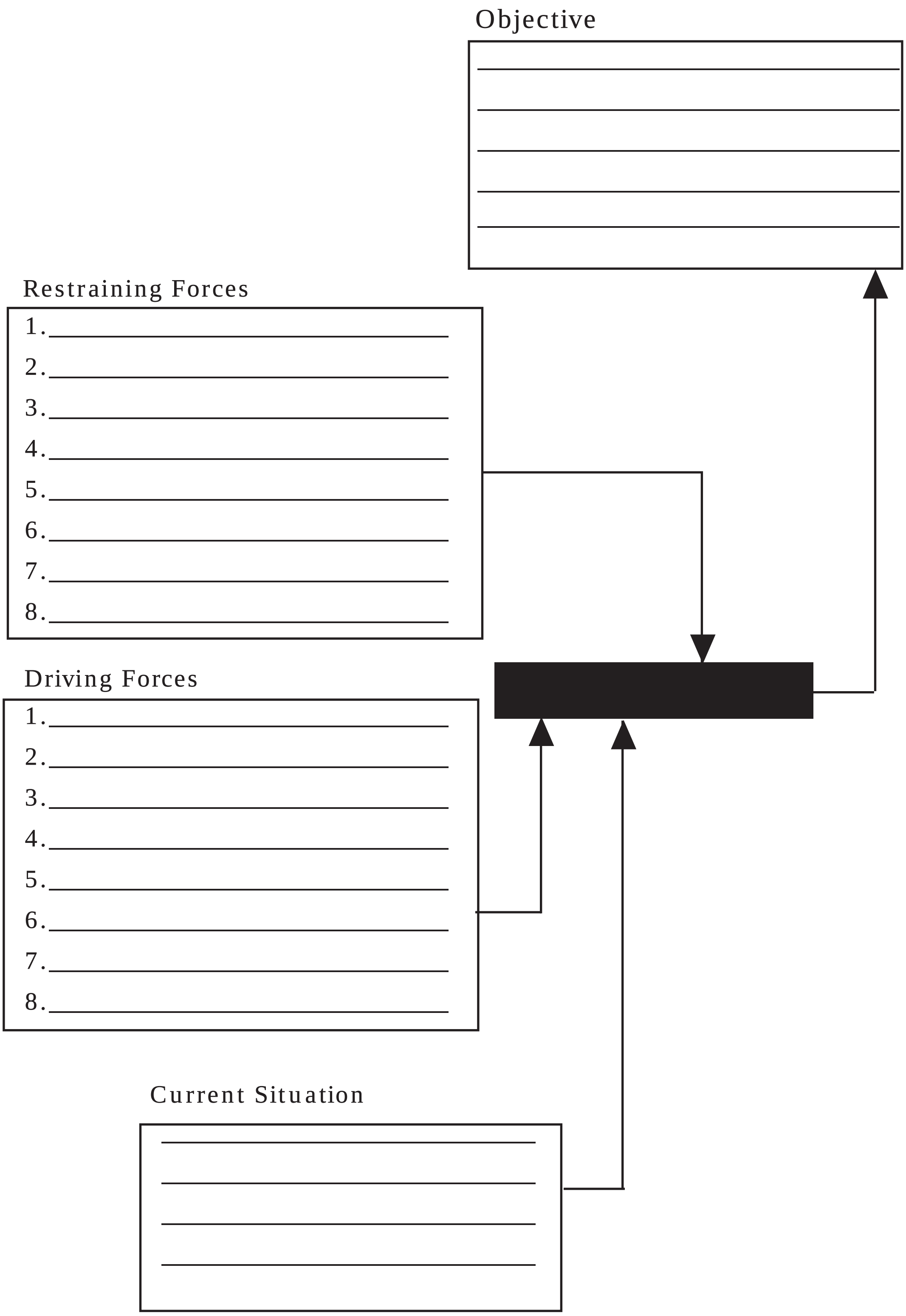
1. Can it be changed to your advantage within the time required to help you meet your objective (time)?
2. Do you have the necessary resources to bring about the change (resources)?
3. Will you be able to get the commitment of others (stakeholders) to bring about the change (commitment)?

Remember, removing restraining forces may be more effective than increasing driving forces. In many cases, the removal of restraining forces turns them into driving forces (e.g., lack of training may be a restraining force, but once people are trained, they become a driving force).

HANDOUT NO. 3

PROBLEM ANALYSIS WORKSHEET #2

FORCE-FIELD ANALYSIS



HANDOUT NO. 4

PROBLEM ANALYSIS WORKSHEET #3

DRIVING FORCES	CHANGING THE FORCE
1. ______________________	1. ______________________
______________________	______________________
	2. ______________________
	______________________
	3. ______________________
	______________________
2. ______________________	1. ______________________
______________________	______________________
	2. ______________________
	______________________
	3. ______________________
	______________________
3. ______________________	1. ______________________
______________________	______________________
	2. ______________________
	______________________
	3. ______________________
	______________________

4. ______________________________
____

1. ______________________________
____
2. ______________________________
____
3. ______________________________
____

5. ______________________________
____

1. ______________________________
____
2. ______________________________
____
3. ______________________________
____

6. ______________________________
____

1. ______________________________
____
2. ______________________________
____
3. ______________________________
____

7. ______________________________
____

1. ______________________________
____
2. ______________________________
____
3. ______________________________
____

Compare the ratings of cluster members on the six performance variables, calculate an average score on each variable and discuss the results. Then answer the following questions in the space provided.

1. Which of the six performance areas are most in need of improvement? (Note the lowest average ratings and variables where individual ratings vary substantially).
   - ______
   - ______
   - ______
   - ______
   - ______

2. What changes are we prepared to work on in these areas?
   - ______
   - ______
   - ______
   - ______
   - ______

3. What steps are we willing to take to bring about these changes?
   - ______
   - ______
   - ______
   - ______
   - ______

3.8 SESSION ON PLANNING A COURSE OF ACTION

PURPOSE

This session is designed to enable participants to organize promising actions into a coherent plan for achieving a problem-solving objective.

TIME REQUIRED: APPROXIMATELY 3 HOURS

Trainer's Note. With the completion of problem analysis, a list of promising actions has been compiled. These actions should be viewed as raw materials for the development of a plan of action. Actual preparation of a plan of action is a process consisting of three steps: (1) confirming the goal relatedness of the various action actions; (2) preparing a detailed action plan for each action; and (3) identifying and evaluating the consequences associated with plan implementation.

PROCESS

1. Make a short presentation on how to identify and group the myriad of tasks that must be accomplished in order to launch actions for change with a reasonable chance of success. The presentation, drawing on written material in the workbook, should emphasize the importance of ensuring the actions are adequately objective-focused and that implementing them will not create more problems than they are intended to solve. Mention CPM charts and GANTT charts as methods for sequencing tasks logically for implementation.

2. Given the participants' understanding of the actions developed to either strengthen the forces favoring the proposed change or defuse the forces opposing it, the next step is to expand upon and evaluate these actions (i.e., use them to develop a plan of action). For this exercise, ask participants, again working in participant clusters, to select for the action planning process just two of the actions from the list of actions compiled in the preceding exercise. One of the actions should be related to strengthening a driving force, the other related to defusing a resisting force. The rest of this session on developing a plan of action will make use of two worksheets, one for recording action planning information for an action to defuse a resisting force (Handout #1) and the other, an action to strengthen a driving force (Handout #2).

3. After identifying the two actions, each cluster begins the action planning process by discussing and confirming the prospects for success inherent in each of the strategies. This is followed by an open

discussion of answers to the action planning questions on the worksheet, one strategy at a time. The easiest way to approach this task is to begin with either one of the two actions. One member of the cluster, acting as facilitator, asks participants to respond, one at a time, to the what, who, when, and how questions suggested by the action plan. This continues until a list of possibilities has been compiled on a flip chart and participants have selected a priority for each of the action planning categories on the worksheet. The process is repeated for the second action and the information is then recorded on two separate copies of the worksheet.

4. When the action planning questions have been answered and the answers recorded, the same facilitator or, perhaps, another participant in that role, asks participants to consider the possible consequences for the organization or the community should the plan of action be implemented. This is an important step. Opportunity costs may, in fact, outweigh the benefits.

5. In a plenary session, ask each cluster to prepare and present a short report to the total training group for discussion and critique. The report should briefly describe the action plans, results of the consequence analysis and a discussion of the process used to reach these decisions.

6. As a way of introducing participants to the use of CPM (the critical path method) for sequencing and displaying action planning data, consider using a CPM Quiz (Handout No. 4).[14] Answers to questions a-d on the quiz are shown below in the box.

Answers to the CPM Quiz:

a. *What is the critical path*? There isn't one in the strictest sense. You probably worked out A1–A2.

b. *What is the fastest time to completion based on the critical path*? 65 days. As usual, you schedule tasks first assuming infinite resource and then correct for resources at above 100% by smoothing.

c. *What is the realistic shortest actual time it will take to get the project complete?* 95 days. (You probably started with the critical path A1–A2 which gave you a result of 160 [for Victor; A1–B1–C1] or 140 [for Victor; A1–C1–B1].)

d. *What is the best sequence of jobs? Is it the one suggested by the answer to a*?

Victor	—C1	—B1	—A1	finished		
William	—WAIT	—C1	—B2	—WAIT	—A2	

HANDOUT NO. 1

ACTION PLANNING WORKSHEET #1
(TO REDUCE RESISTING FORCES)

1. The objective to be achieved is:

2. The promising action selected earlier to reduce the resisting force (see the list of actions from the preceeding exercise) is:

3. The reason for this action having a high success probability is:

List (below) three important tasks required to carry out this action:

1. ______________________________

____

____

2. ______________________________

____

____

3. ______________________________

____

Answer the following questions for one of the most important of these tasks that must be completed in furtherance of this action:

The task selected is:

It will be the responsibility of ____
(*be specific*)

who will also need to involve ____
(*internal/external stakeholders*)

and will complete the task by ____
(*a specific date*)

The following resources will be needed (money, people, equipment, materials, information, other technologies, etc.):

____
____
____
____
____

We will have confirmation that the task has been completed successfully when:

____
____
____
____
____

HANDOUT NO. 3

ACTION PLANNING WORKSHEET #2
(TO STRENGTHEN A DRIVING FORCE)

1. The objective to be achieved is:

2. The promising action selected earlier to strengthen the driving force (see the list of actions from the preceeding exercise) is:

3. The reason for this action having a high success probability is:

List (below) three important tasks required to carry out this action:

1. ______________________________

____

____

2. ______________________________

____

____

3. ______________________________

____

____

Answer the following questions for one of the most important of these tasks that must be completed in furtherance of this action:

The task selected is:

It will be the responsibility of ______________________________________
(*be specific*)

who will also need to involve ______________________________________
(*internal/external stakeholders*)

and will complete the task by ______________________________________
(*a specific date*)

The following resources will be needed (money, people, equipment, materials, information, other technologies, etc.):

____

____

____

____

____

We will have confirmation that the task has been completed successfully when:

____

____

____

____

HANDOUT NO. 4

THE CPM QUIZ[15]

William and Victor have to carry out a project. William can do jobs which Victor can't, but Victor is undaunted by this because he can do things which William can't. Left to get on and fully dedicate their time to one job, we have suggested the minimum time they would have to spend on each task. If they have to stop and start, then it will take them about twice as long to complete the job. Victor is responsible for three jobs which can be done right at the start. William's work depends on Victor's work being complete. This is summarized below.

Task:	Duration	Physically depends on:	Physically leads to:	Done by:
A1	60	START	A2	VICTOR
B1	25	START	B2	VICTOR
C1	5	START	C2	VICTOR
A2	5	A1	END	WILLIAM
B2	30	B1	END	WILLIAM
C2	45	C1	END	WILLIAM

a. What is the critical path?

b. What is the fastest time to completion based on the critical path?

c. What is the realistic shortest actual time it will take to get the project complete?

d. What is the best sequence of jobs? Is it the one suggested by the answer to a?

3.9 SESSION ON ORGANIZATION AND RESOURCE MOBILIZATION

PURPOSE:

This session is intended to help participants find and acquire the resources needed to successfully implement a plan of action.

TIME REQUIRED: APPROXIMATELY 90 MINUTES

Trainer's Note: The manager as agent of change needs to consider a broader array of resources than the customary resources (people, money and material) and what can be done to "add value" to the resources already available.

PROCESS:

1. This session begins with a presentation on resource mobilization as the next step in the managing change process. Use the written materials to describe the types of resources that a manager should consider in preparation for plan implementation. Beyond the obvious intrinsic resources of people, money, material, etc., discuss the organization's structure and methods of operation and the way power is distributed as resources. Explain the concept of adding value to enhance the capacity of the organization to support a change effort.
2. Working in clusters, ask participants to complete a checklist (Handout No. 1) on the availability of resources to support implementation of the plan of action prepared in an earlier session. Suggest that a facilitator volunteer from each group guide participants in identifying ways that value might be added to each of the resource categories in order to strengthen their potential for supporting the change effort. For example, additional training for key personnel in teamwork, risk taking or learning to trust might add value to their performance in key implementation roles. Space is provided in the checklist to make notes on ways to add value to available resources.

HANDOUT NO. 1

RESOURCE CHECKLIST

Use the following checklist to analyze the appropriateness and sufficiency of the resources you will need to implement your plan of action. Space is provided to make notes on increases, changes or enhancements needed to add necessary value to the resource.

- ❐ Can you implement your plan of action with the present level of funding available? If not, how much more can you count on and from what sources?

Notes:

- ❐ Do you have enough people with appropriate knowledge and skill to engage successfully in the change effort? What training, support, or other assistance is needed to add value to their contributions? Are human resources available from outside the organization, and under what conditions might their use be appropriate?

Notes:

❐ Are the technical and physical resources (e.g., communication and data processing equipment, office space, training facilities) available, and are they serviceable enough for your purposes? What upgrading or supplementing might be done to add to their value to support the plan of action?

Notes:

❐ What changes in the organization (e.g., how people work together, the way power is distributed, access to information, greater emphasis on skill building and the development of human capital) must be considered to support a successful change effort? What reallocation of resources and other management commitments are required to accomplish this?

Notes:

3.10 EXPERIMENTATION, TESTING AND REDESIGN

PURPOSE

This session is designed to stimulate participants to reexamine realistically their readiness to implement a plan of action.

TIME REQUIRED: APPROXIMATELY 90 MINUTES

Trainer's Note. We want to encourage participants to step back, take a deep breath, and consider their own commitment and the commitment of others to move ahead.

PROCESS:

1. The session starts with a brief presentation on experimentation and redesign as a point in the change process for reflection and reassessment of the desirability of moving ahead. It is a point at which there is a strong possibility of rethinking part or all of the plan of action in light of reassessment results. As mentioned in the written materials, this is the time to move confidently ahead, redesign, or abandon the effort altogether.

2. A useful way to engage participants in a reassessment of their plans of action is to ask them to return to their clusters and complete an *Organization Readiness Assessment Checklist (Handout No. 1)*. The questionnaire should be completed by participants individually and the results shared in the cluster. With these results out in the open, suggest that participants in each cluster answer several questions about moving ahead with plan implementation. These questions can be found at the bottom of the questionnaire.

3. The session ends with a plenary meeting at which each cluster gives a report. The report should include the conclusion reached by its members on the desirability of moving ahead with implementation and the thought process that led them to that conclusion.

HANDOUT NO. 1

ORGANIZATION READINESS ASSESSMENT CHECKLIST

The following checklist is designed to help you assess your organization's readiness to make decisions, solve problems and bring about desirable changes. For each statement, circle the number you believe reflects your organization's current operational reality.

Readiness Criteria	Fully	Mostly	Partly	Slightly	Not at all
1. Top management expectations for the organization are clearly defined and communicated throughout the organization.	5	4	3	2	1
2. The underlying values which guide and drive my organization and its performance are clear.	5	4	3	2	1
3. The ground rules my organization uses to make decisions and solve problems are understood throughout the system.	5	4	3	2	1
4. The roles and responsibilities of each unit in the organization are clearly defined and understood.	5	4	3	2	1
5. Organizational resources are adequate to get the job done.	5	4	3	2	1
6. Timely and accurate information is readily available in the organization for making decisions and solving problems.	5	4	3	2	1

Readiness Criteria	Fully	Mostly	Partly	Slightly	Not at all
7. My organization has clearly established goals and objectives that guide the day-to-day operations and provide long-term direction.	5	4	3	2	1
8. It is common in my organization to consider various options before pursuing a course of action.	5	4	3	2	1
9. Program and budget targets are set for the organization and, in most instances, met.	5	4	3	2	1
10. The organization has a system for maintaining and evaluating program and financial performance.	5	4	3	2	1

Organization Readiness Total Score

The maximum possible score is 50. A score of 40 points or above indicates a healthy state of readiness. A total score of less than 20 indicates serious deficiencies that should be addressed to achieve a state of organizational readiness.

SUPPLEMENTAL QUESTIONS

When you have finished and score the questionnaire, reflect on the results to answer these additional questions about the readiness of your organization to move ahead with implementation. Be ready to share your answers with other members of your group.

1. Would you be ready to implement this plan of action throughout the organization?
2. If not, would you favor a pilot test followed by some redesign work? What else might you do?
3. What other questions would you want to have answered before making a final decision to move ahead with implementation?

3.11 IMPLEMENTATION

PURPOSE:

This session is meant to help participants recognize the many things a manager must do to be sure what is to be done gets done and that the system is supporting task accomplishment.

TIME REQUIRED: APPROXIMATELY 90 MINUTES

Trainer's Note. We like to think of "implementation" as the management work needed to integrate the tasks incorporated in the plan of action into the regular work routines of the organization in order to lessen resistance and encourage "buy in" by the organization.

PROCESS:

1. The session begins with a presentation on implementation based on materials in the workbook. Describe implementation as the action phase of the process, but emphasize that it is not self-initiating. Point out the necessity for continued monitoring by management to keep the process on track. Emphasize the important management responsibility for direction, delegation and the development of people responsible for implementing tasks. Also emphasize the importance of efforts to stabilize the changes brought about by implementation by such things as rewarding achievements and celebrating success.
2. In the large group, ask participants to complete the *Implementation and Stabilization Checklist* (Handout). When they have completed the checklist, have participants convene in their clusters to develop a realistic plan for keeping their plan of action on track based on the types of management concern covered in the checklist.
3. After about 60 minutes, have participant clusters return and review their plans with other groups. Encourage a discussion of similarities and differences in the plans.

HANDOUT

IMPLEMENTATION AND STABILIZATION CHECKLIST

The following questions are concerns that any manager should have about ensuring a nurturing organizational environment for a change effort. Read the questions and indicate "yes" or "no" by placing a check mark in the box to the side of each questions that corresponds with your answer.

QUESTIONS	Yes	No
1. Are there opportunities to delegate?	❐	❐
2. Do people with implementation responsibilities know what is to be done?	❐	❐
3. Are they getting the support they need?	❐	❐
4. Is prompt and accurate information on progress being circulated to those who need it?	❐	❐
5. Are people with task responsibilities getting the direction they need?	❐	❐
6. Do people have the authority to make decisions quickly when necessary?	❐	❐
7. Are achievements, even small ones, recognized and rewarded?	❐	❐
8. Are successes being celebrated?	❐	❐

If you answer "no" to four of these questions or more, then your organization may not yet be ready to support the successful implementation of a significant organization change effort.

3.12 IMPACT EVALUATION

PURPOSE:

This session is meant to offer participants with a proper perspective on the role of evaluation as a way of discovering whether or not and the extent to which a change effort is getting the results intended.

TIME REQUIRED: APPROXIMATELY 90 MINUTES

PROCESS:

1. The session begins with a presentation on impact evaluation based on materials in Part I. Early in the presentation, it should be emphasized that the location of evaluation near the end of the workshop should not be construed to mean that evaluation does not begin until the program is over. Quite the contrary. Continuous monitoring of progress and feedback to those with responsibility for managing the change process should be stressed as a critical management responsibility. Attention should be given to what is evaluated, measurement techniques and sources of information useful in carrying out an evaluation. Present participants with a list of criteria on effectiveness, efficiency, adequacy and consequences that they can use to develop a scheme for evaluating the impact of their plan of action.
2. Ask participants to return to their clusters. Suggest that they use the criteria from the presentation and a worksheet (Handout) to develop an impact evaluation plan. The focus of this plan is on the original objective and the development of a valid, reliable set of measures for evaluating the actual results or impact as related to what was intended.
3. When participants have completed their plans, ask them to reconvene and share their results with other clusters. Suggest the use of flip charts for plan presentation.

HANDOUT

IMPACT EVALUATION WORKSHEET

The objective to be achieved is:

List (below) at least five indicators that you feel would be appropriate for evaluating actual impact as compared with the intended impact (objective):

1. ____

2. ____

3. ____

4. ____

5. ____

3.13 SESSION ON SELF-ASSESSMENT AND RE-ENTRY

PURPOSE:

This session is to bring the workshop to a close by engaging participants in a exercise that calls for them to assess their present readiness to manage an organization change process and involve them in a closure exercise focused on choice and commitment.

1. Invite participants to complete a *Self-assessment Questionnaire* (Handout). Explain that the questionnaire is meant to help them appraise their present capabilities to manage an organization change process and to identify areas of needed improvement.
2. When participants have completed the questionnaire, ask them to meet in pairs to discuss what they have learned about themselves from the questionnaire and to discuss avenues for self-improvement. Encourage participants to make notes to themselves about improvement plans and their willingness to take steps on returning home to make use of workshop learnings. Also suggest periodic visits with one another to discuss progress and to offer support and encouragement.
3. Close the workshop with an exercise from an anthology of training exercises compiled by Carolyn Nilson under the title *Games That Drive Change*. Participants are given a copy of a famous poem *The Road Not Taken* by Robert Frost. Read the poem out loud or have a workshop participant who is good at such things read it while other participants follow along. After the reading, ask participants what significance they see in the poem for themselves as graduates of an *Organization Change Agent* workshop. Encourage a discussion of change and the potential it has for offering them a less traveled road. Continue the discussion until someone says something like, "*What if we take the road less traveled?*" It's the "what" question that will lead participants into seeing the endless possibilities for learning and growth as a manager.

HANDOUT

SELF-ASSESSMENT QUESTIONNAIRE

The following questionnaire is designed to help you assess your personal readiness to make decisions, solve problems and bring about desirable changes. For each statement, circle the number you believe reflects your current management reality. If you believe the statement is not important, check the column on the far right.

Readiness Criteria	Fully	Mostly	Partly	Slightly	Not at all
1. I understand what top management or the council expects from me on the job.	5	4	3	2	1
2. If asked what my organization values most, in terms of its overall operation, I could respond immediately.	5	4	3	2	1
3. While I understand the ground rules of the organization, I am willing to confront them and my supervisors when they are not working to foster decision making and problem solving in the organization.	5	4	3	2	1
4. I clearly understand what my role and responsibilities are within the organization.	5	4	3	2	1
5. I have all the resources I need to perform my job responsibilities effectively.	5	4	3	2	1

Readiness Criteria	Fully	Mostly	Partly	Slightly	Not at all
6. I have access to the kinds of information and data I need to perform my responsibilities effectively.	5	4	3	2	1
7. I understand the goals and objectives of my work unit and have a commitment to fulfilling them.	5	4	3	2	1
8. I personally consider the consequences of my actions before I carry out a project or task.	5	4	3	2	1
9. If someone asked me to define the performance target of my work unit for the fiscal year, I could answer immediately.	5	4	3	2	1
10. My work unit routinely assesses its performance and uses the information to make improvements.	5	4	3	2	1

Personal readiness score

The maximum possible score is 50. A score of 40 points or above indicates a healthy state of personal readiness. A total score of less than 20 indicates serious deficiencies that should be addressed to ready yourself for managing a change effort.

The Road Not Taken[16]

by

Robert Frost

Two roads diverged in a yellow wood,
And sorry I could not travel both
And be one traveler, long I stood
And looked down one a far as I could
To where it bent in the undergrowth;

Then took the other, as just as fair,
And having perhaps the better claim,
Because it was grassy and wanted wear;
Though as for that the passing there
Had worn them really about the same.

And both that morning equally lay
In leaves no step had trodden black.
Oh, I kept the first for another day!
Yet knowing how way leads on to way,
I doubted if I should ever come back.

I shall be telling this with a sigh
Somewhere ages and ages hence:
Two roads diverged in a wood, and I—
I took the one less traveled by,
And that has made all the difference.

from The Poetry Of Robert Frost
edited by Edward Connery Lathem

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