PN-ABQ-005
ISN 84765

REPORT FOR PHASE III
and
FINAL REPORT

MANAGEMENT DEVELOPMENT PROGRAM FOR THE DEPARTMENT OF AGRICULTURE OF SRI LANKA SENIOR MANAGEMENT TEAM

By

H. Lee Jennings
Jane Trent Surles
Piyanasa Abhayagoonawardhana

Training Resources Group Consultants

July 1993

DIVERSIFIED AGRICULTURE RESEARCH PROJECT
P O Box 57, Peradeniya.

DEPARTMENT OF AGRICULTURE

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

DEVELOPMENT ALTERNATIVES INC.

TABLE OF CONTENTS

CHAPTER		PAGE
ACKNOWLEDGEMENTS		3
LIST OF ABBREVIATIONS		4
EXECUTIVE SUMMARY		5
1.	BACKGROUND AND SCOPE OF WORK	10
1.1	Background	10
1.2	Scope of Work	11
2.	TNA and PHASE III WORKSHOP DESIGN	13
2.1	Methodology	13
2.2	Background	13
2.3	Findings	15
2.3.1	Organizational Context	
2.3.2	Individual Skill Improvement	
2.3.3	Problems Encountered	
2.3.4	Management and Organizational Development Task Force	
2.3.5	Phase III Training Needs and Workshop Design	
3.	PHASE III WORKSHOP AND OUTCOMES	20
3.1	Overview of the Workshop	20
3.2	Goals and Schedule	20
3.3	Summary of Workshop Sessions	21
4.	OUTCOMES OF PHASE III WORKSHOP	26
4.1	Participant Reactions	26
4.2	Trainer Observations	27
4.3	Summary of Participant Recommendations for DOA Next Steps	27
5.	RECOMMENDATIONS OF THE TRG TEAM	30
5.1	Director of the DOA	30
5.2	Management and Organizational Development Task Force	30
5.3	Participants of Phases I, II, and III	31

APPENDICES

A. TNA Questionnaire
B. Letter from Secretary/MADR and Questionnaire on the Proposal for Restructuring the DOA
C. List of Phase III Participants
D. Schedule of the Phase III Workshop
E. Participant Expectations
F. Potential Losses and Benefits of the Proposed DOA Restructuring
G. Suggestions to Strengthen DOA Leadership and Management Roles
H. Strategic Planning Workbook
I. Common Themes of DOA Problems
J. Final Evaluation Results

ACKNOWLEDGEMENTS

As during Phases I and II, the Training Resources Group (TRG) team benefitted from many people in the Department of Agriculture (DOA) and the Development Alternatives Inc. (DAI) implemented Diversified Agriculture Research Project (DARP). The team is most grateful to everyone who helped make this final phase even more successful and helpful to the DOA than the first two phases. Very special thanks go to the following individuals for their specific contributions:

* Dr. S.P.R. Weerasinghe, Director of the DOA, for continuing to encourage the team to link management skills and organizational change theory to the current organizational realities of the DOA and for taking the time from his busy schedule to spend the final 24 hours of the Phase III Workshop with the DOA participants and the TRG trainers at the Triton Hotel.

* Dr. Don Edward F. Suraweera, ADD/DAEP; Dr. S.S.B.D.G. Jayawardena, ADD/R; Mr. A. Vernon S. Weerasinghe, Superintending Engineer/Civil; Dr. K.D.S. Mervyn Joseph, DDR/RARC Maha Illupallama; Dr. Sarath L. Weerasena, ADD/SCS; Dr. H.M. Rohini Ekanayake, CARI Head of Nematology Unit; and Mr. Henry Gamage, ADD/TT; who as members of the DOA Management and Organization Development Task Force (MODTF), participated actively and were of particular help during the needs assessment phase.

* Mr. Madduma B. Agalawatte, DARP Project Manager in the DOA's DAEP, for again very efficiently arranging and coordinating the needs assessment interviews and for ably managing many other logistic issues.

* Mr. Don Bhattiya Sumithrarachchi, DD/Gardens, for the continued support. active participation and personal encouragement and feedback.

* Dr. Preston S. Pattie, DAI Chief of Party/DARP, for his constant attention to details, his supportive insights, his professional encouragement, and his personal interest.

* The DARP office and secretarial staff for their assistance and support.

The TRG team would also like to thank all of the Phase III workshop participants for their active participation, their open feedback and their warm hospitality.

List of Abbreviations

ADD	Additional Deputy Director
ANR	Agriculture and Natural Resources
CARI	Central Agriculture Research institute
COP	Chief of Party
CRDA	Committee for Restructuring the Department of Agriculture
CWO	Collaborative Work Organization
DA	Director of Agriculture
DAEP	Division of Agriculture Economics and Planning
DAI	Development Alternatives Incorporated
DARP	Diversified Agriculture Research Project
DD	Deputy Director
DOA	Department of Agriculture
MARD	Ministry of Agriculture Development and Research
MBTI	Myers Briggs Type Indicator
MFI	Management Functions Inventory
MITF	Management Improvement Task Force
MODTF	Management and Organization Development Task Force
NWSDB	National Water Supply and Drainage Board
OD	Organization Development
PC	Provincial Council
PO	Project Officer
RARC	Regional Agriculture Research Center
SCS	Seed Certification Service
SL	Sri Lanka
SPM	Seeds and Planting Materials
TNA	Training Needs Assessment
TOT	Training of Trainers
TRG	Training Resources Group
TT	Technology Transfer
WB	World Bank

EXECUTIVE SUMMARY

Eighteen (out of an original group of twenty three) senior managers from the Sri Lanka Department of Agriculture (DOA) participated in July 1993 in the final five-day workshop of the three-phase Management Development Program which began in August 1992. The theme of the Phase III Workshop was "Leadership for Change".

Based on the results of a training needs assessment (TNA) done by two members of the DAI/TRG Team in early May 1993, Phase III was designed to support the senior managers of the DOA to lead the organization through change in a positive and constructive way. As with the Phase II Workshop, the course content directly responded to the fact that the DOA is in the midst of an organizational restructuring which was requested by the Ministry of Agricultural Development and Research (MADR) just prior to the Phase II Workshop in February 1993.

The overall aim of the Phase III Workshop was to prepare the managers to plan and manage change, and to improve their commitment to work together as a senior management team. The participants practiced skills which are essential for both effective leadership and management, especially during times of change: group problem solving and strategic planning and management. Key topics and activities of the workshop included:

I. REVIEWING ORGANIZATIONAL THEORIES

Why Organizations Change - Organizations are open systems within an operating environment. When their outputs do not respond to or meet the needs of the environment, or when the internal processes are not functioning effectively, change is indicated.

Why People Resist Change - People do not resist change, per se. They resist loss or perceived loss that the change may bring. The degree of resistance to and acceptance of change depends on the kind of change involved and how well it is understood by people.

Phases of the Change Process (Organizational and Individual) - The change process has three phases: operative phases include "unfreezing" or preparing for change and "change" or transitioning from the old to the new way. The normative phase is "refreezing" or institutionalizing the change. Individuals must let go of the old and begin with the new.

II. DISTINGUISHING BETWEEN THE ROLES OF LEADERSHIP AND MANAGEMENT (based on the 1990 book, A Force for Change: How Leadership Differs from Management, by John P. Kotter).

MANAGEMENT:	LEADERSHIP:
-Planning and Budgeting	-Establishing Direction
-Organizing and Staffing	-Aligning People
-Controlling and Problem Solving	-Motivating and Inspiring
Produces a degree of predictability and order.	Produces change, often to a dramatic degree.

III. PRACTICING A STRATEGIC MANAGEMENT AND PLANNING PROCESS

STRATEGIC PLANNING WORKBOOK DESIGNED FOR THE DOA which enabled participants to share with each other their views on the:

* Current situation of the DOA,
* Future state of the DOA,
* Individual and organizational values,
* Macro environment,
* Industry environment,
* Funding, competitive, collegial environment,
* Organizational environment, and an
* Analysis of the purpose, function and strategies of the DOA.

IV. EXAMINING THE IMPACT OF SOCIAL INFLUENCE

USE OF POWER AND AUTHORITY as it is exercised in the DOA and how it could be used more effectively to benefit and strengthen the total organization.

V. PRACTICING GROUP PROBLEM SOLVING TECHNIQUES

The 10 Step Cycle of Problem Solving, from A GUIDE TO PROBLEM SOLVING by Dean Elias and Paul David, was practiced by analyzing real DOA problems, formulating problem statements, determining goals, and agreeing on priority realizable strategies.

VI. PREPARING INDIVIDUAL MANAGEMENT IMPROVEMENT ACTION PLANS AND RECOMMENDING NEXT STEPS FOR THE MANAGEMENT AND ORGANIZATIONAL IMPROVEMENT OF THE DOA

As the final activity of the workshop, participants returned to their strategic management discussion groups and developed recommendations for the "next steps" the DOA should take to ensure management and organizational development. Recommendations follow:

GROUP I Immediately appoint a committee for facilitating reorganization of the DOA for a two year term. The committee should carry out the following:

a. By August 1993 prepare and circulate a regular newsletter on the current situation of the reorganization - summary to accompany.

b. Answer and/or discuss all queries and concerns on reorganization from within DOA and from the outside.

c. Assisting the development of goals and strategies, etc. of the proposed units (12 months).

This group also discussed the need for full time commitment to the committee as well as having space and facilities specifically set aside for the committee's use.

GROUP II Identify clearly the purpose of the DOA in its current context and reorganize the DOA to serve the purpose:

- define structure
- strengthen the leadership
- define relationships and responsibilities
- formulate mechanisms for accountability, monitoring, and evaluation
- establish reward system

GROUP III Improve coordination:

All divisions and staff should be made aware of the DOA vision, goals, and purpose.

Senior managers should find out what hinders the coordination.

Map out a strategy for corrective action.

GROUP IV

Current Situation

Inform the DOA staff about the present status with respect to the proposed change. Clarify details about staff and institutional changes and their mandates (as units of the DOA).

Strategic Planning and Organizational Development

The Directorate and senior management should meet before the end of August 1993 to finalize the plans for the accepted change and initiate the implementation strategies.

Future State

Details of the implementation plan should be made and again agreement sought through various methods.

TRG Training Team Recommendations:

To the Director of the Department of Agriculture:

1. Announce the finalized structure of the Department in a facilitated meeting and begin immediately an open planning process which ensures the participation of all those who will have to implement the changes.

2. Appoint a Reorganization Task Force responsible for planning the reorganization process and for continually communicating the proposed changes to all staff in order to gain agreement and commitment and to reduce the resistance to change caused by fear of perceived loss.

3. Recommend to the Committee for the Restructuring of the Department of Agriculture (CRDA) that the MADR secure on-going organization development consultation from an external, objective, and trusted source to assist the DOA in identifying issues and to plan and monitor the organizational change process.

4. Issue new terms of reference for the Management and Organizational Development Task Force (MODTF) and review the composition and the functioning of the MODTF so that it can assume responsibility for monitoring and assisting the organizational change process as well as continuing to assist and promote individual and unit management improvement efforts.

5. Ensure that the DOA continues to work on identifying and characterizing its various client groups as the organization changes — i.e., organized farmers, subsistence farmers, commercial farmers, agriculture enterprises, marketers, etc.

To the MODTF:

6. Begin immediately meeting and functioning as a full task force.

7. Make recommendations to the Director of Agriculture on the securing of external organizational development consultants to help guide the DOA through its reorganization efforts.

8. Serve as the committee to assist and monitor the DOA reorganization.

9. Continue to monitor and facilitate the implementation of the management development and improvement plans and priorities (Phase I, II,and III) at the Department, unit and individual levels.

10. Prepare and recommend a Management Training Plan for the Department. The plan should be conceived by the entire task force and should utilize both internal and external resources for implementation. The plan should be based on a thorough TNA of DOA managers within the context of the needs and demands of the new structure. Any management training conducted in the Department should correspond with the Management Training Plan and be monitored and evaluated by the MODTF.

11. Study organization development and institutional development efforts of other institutions in Sri Lanka e.g. National Water Supply and Drainage Board (NWSDB) in order to learn from their experience.

12. Review and monitor the implementation of the recommended next steps made by the participants at the Phase III Workshop.

13. Publicize the work and accomplishments of the MODTF.

To the Participants of Phases I, II, and III:

Practice! Practice! Practice!

Actualize your potential by being more assertive in putting your leadership and management skills into practice for the overall improvement of the DOA! Participate in the planning and implementation of the restructuring of the DOA.

Chapter 1

BACKGROUND AND SCOPE OF WORK

1.1 Background

As noted in the Reports for Phases I and II of the Management Development Program for the DOA's Senior Management Team in August 1992 and February 1993, TRG was contracted by DAI to provide technical assistance through the USAID funded DARP in order to identify the management training needs of the DOA executive team and to design and deliver a management development program tailored to the specific needs of the DOA. The TRG team consists of two American management and organization development specialists/trainers with wide international experience and one Sri Lankan management and organization development specialist/trainer with extensive experience working with government agencies both in Sri Lanka and abroad.

Phase I of the Management Development Program, which took place in July and early August 1992, enabled the TRG team to identify both management skill deficiencies and DOA organizational issues. A seven-day residential management skills course was conducted for 23 members of the DOA senior management team from July 25 to August 1, 1992 at the Riverina Hotel in Beruwela, on the coast south of Colombo. The course emphasized management skill development and small group work. Individuals and units set management development priorities for themselves and for the Department, and recommended four members for a DOA Management Improvement Task Force (MITF).

Following the Phase I course, the Director of Agriculture (DA) announced at a meeting with the DAI/TRG DARP team and course participants the following decisions:

1. The Department's commitment to institutionalize a management development program for executive staff of the DOA.

2. The DOA's decision to begin an institutional development process to address organizational issues and strengthen the Department.

3. The formation of a DOA MITF reporting directly to the DA and responsible for developing a monitoring and support process to ensure that the management development program is implemented. The following members of the Task Force were designated:

   * Dr. S.S.B.G. Jayawardena, ADD/R
   * Dr. Don Edward F. Suraweera, ADD/DAEP
   * Mr. Henry Gamage, ADD/TT
   * Mr. A.Vernon S. Weerasinghe, Superintending Engineer/Civil

4. The DOA's adoption of a proposed 1993 Training Schedule which included plans to have two more phases of training for the Phase I participants and also two or three phases of training for a second group of 24 other members of the DOA senior management team.

5. The DOA's request that TRG consultants, especially the Sri Lankan consultant, advise the MITF periodically (o/a once a month) between phases of the Management Development Program.

1.2 Scope of Work

Due to DAI/DARP funding constraints, the proposed 1993 Training Schedule had to be modified in December 1992. The result was to drop the plans for training a second group of 24 members of the DOA senior management team and to concentrate on refining the management skills of the original 23 participants while also continuing to assist the MITF and the DOA in addressing institutional and organizational issues. Thus the Scope of Work was limited to two additional phases of approximately three and a half weeks and two and a half weeks respectively. It was also not possible for the TRG Sri Lankan consultant to advise the MITF between Phases I and II.

The Phase II Workshop was held from January 24 to 29, 1993 at the Pegasus Reef Hotel in Wattala, near Colombo. 22 of the 23 participants from the Phase I Workshop participated. They discussed and applied organizational change theory and explored the role of management in leading the change process. They also practiced skills which are essential for effective management, especially during times of change: problem solving, decision making, conflict management and team effectiveness.

Working in inter-divisional teams at the Phase II Workshop, the participants formulated the following recommendations for the proposed restructuring process of the DOA:

1. Identify the reasons for change and communicate these to the people of the DOA.

2. rticulate the desired change and the envisioned future state of the organization.

3. Seek outside objective assistance to help the DOA plan and implement the change.

4. Appoint transition teams at various levels to support the organization as it moves through the change process.

5. Appoint grievance committees to address individual problems and concerns.

6. Provide training to support people to be effective workers in the "new" organization.

7. Create new symbols and environments to celebrate and reflect the change.

8. Acknowledge and reward people who work towards the change.

Following the Phase II Workshop, the DA appointed three additional participants to be members of the MITF and the expanded group changed the name to the Management and Organization Development Task Force (MODTF) in order to better describe the function of the group. The new members are:

Dr. H.M. Rohini Ekanayake, CARI/Head of Nematology Unit;
Mr. Henry Gamage, ADD/Technology Transfer;
Dr. K.D.S. Mervyn Joseph, DD/RARC Maha Illupallama;and
Mr. A. Vernon S. Weerasena, Superintending Engineer/Civil.

Chapter 2

Training Needs Assessment and Phase III Workshop Design

2.1 Methodology

As in Phases I and II, the purpose of the training needs assessment (TNA) was to determine the unique and specific issues and needs of the participants and to understand how these relate to the overall organizational situation of the DOA.

The training needs assessment (TNA) for Phase III was conducted in early May 1993 by the TRG team (Mr. Piyadasa Abhayagoonawardhana and Ms Jane Trent Surles). The Department is in the midst of an organizational restructuring process which was requested by the Ministry of Agricultural Development and Research prior to the Phase II workshop in February.

The methodology used was to collect from the participants, DARP staff, and senior managers. The data was then analyzed to identify management and organizational issues and skill deficiencies. Workshop topics to address the deficiencies and issues were proposed and feedback solicited from the Management and Organization Development Task Force (MODTF) to ensure that the analysis and recommendations were on target. The participants were interviewed individually and in focus groups. A TNA questionnaire was used to guide the interviews and is in Appendix A.

2.2 Background

For more than two years the government of Sri Lanka has pressured the Department for change. The leading complaint has been that the Department is not "delivering the goods" to the farmers and the agricultural sector of Sri Lanka, especially now that export agriculture and horticulture are in the forefront of agricultural activities.

The purpose of restructuring, as expressed by Mr. Dixon Nilaweera, Secretary of Agricultural Development and Research, in a letter to the executives of the Ministry is to, "ensure that the DOA will respond in a dynamic manner to the changing needs of the agricultural sector, particularly because it has been evident that the present structure is not geared to meet the present and future challenges."

The Secretary went on to say that, "The concept adopted in re-structuring is based on the need to have product oriented, well focused, narrowly identified programs that will respond to the development needs of the agricultural sector. It is therefore proposed

to establish a number of strategically located institutes and centers, which will undertake these activities."

A copy of the letter and the questionnaire requesting feedback on the proposed restructuring is in Appendix B.

Preparing the DOA to be more responsive to the agricultural needs of the country has been the focus of discussion since the TNA for Phase I in July, 1992. In a self analysis during the Management Development Program training needs assessments and workshops, the senior managers of the Department cited four reasons why the DOA needs to change:

1. Excessive centralization (of authority and decision making);

2. Communication gap between clients and DOA;

3. No mechanism for fixing responsibility/making officers responsible; and

4. Poor coordination between/among divisions.

During the Phase I TNA senior managers also identified shortcomings in several areas which they felt were hindering the Department's ability to "deliver the goods." For the purpose of creating a Management Development Program, the shortcomings were consolidated into two general areas: management skill deficiencies and organizational issues.

Management skill deficiencies were considered and identified in the framework of the skill and ability of the individual manager to consistently perform essential management functions and bring about desired results. Skill is associated with the manager's awareness of the need to apply the function(s) and the consistent application of the appropriate management function(s) in the situation. Ten critical management functions were identified and, as whole, managers said they could benefit from improving their skills in:

Communication
Conceptualizing
Collaborative Work Organization
Monitoring and Performance Feedback
Problem Solving and Conflict Resolution
Team Effectiveness
Decision Making
Representation of Department/Unit
Technical Leadership
Staff Development

The ability of the manager to perform these functions consistently and effectively is affected by organization and system-wide issues. An example that is common in government agencies, and present in the DOA, is insufficient delegation and decisions piling up at the top of the organization. While managers may wish to delegate responsibility and authority for decisions to the lowest possible level, the impediments are many. Organizational issues come into play which reduce the manager's ability to delegate: policies which dictate the level of delegation; conservative interpretation of policy/regulations; unwillingness to accept delegation (fix responsibility); unskilled staff at lower levels; etc.

The Phase I and Phase II Management Development workshops were designed to support the DOA senior staff as they honed their management skills in the ten critical functions. Equally important, the workshops provided a facilitated forum where senior management could work together as a team to address the DOA's organizational issues and make plans to overcome them.
Ultimately, the sequential workshops provide an opportunity for the senior management team to look back, evaluate and identify "lessons learned" before they move forward.

2.3 Findings

Phase III TNA identified the DOA senior managers' most pressing training needs as the knowledge, skills and attitudes necessary to lead and implement organizational change. Every person interviewed identified this need.

2.3.1 Organizational Context

There is a wide variety of reactions to the proposed restructuring, ranging from those who are for it and want to move forward and those who are against it and want to keep and improve the existing structure. There is, however, a common feeling and belief shared by everyone that the Department needs change and it needs to carefully plan the change and monitor the implementation of the change.

Most of the people who were interviewed want change and support some type of restructuring, but expressed the need to have more input into the process and more information about the restructuring. They view the draft proposal as a starting point and an opportunity for the senior management of the Department to work together as a team to develop the idea. Everyone agreed that the Department needed to move quickly through the transition stage as too much uncertainty affects output. Some cautioned that the restructuring not be "rushed into."

During the interviews there were many comments about the need to apply the change "theory" presented at the Phase II workshop and to really begin to work together as a team in order to shape the changes that are coming. In retrospect, some felt that the Department had been slow to read the "winds of change", but that it was not too late to begin working together to provide "flesh and sinew" for the "skeleton" of the draft restructuring proposal. The real question managers are asking themselves is how to get started. Who should provide the leadership? How could they begin to work together as a team?

2.3.2 Individual Skill Improvement

Participants were not asked directly about their individual skill improvement. The TRG team wanted to naturally determine how the training had impacted their management style and approach. Most participants were citing concepts and skills from both the Phase I and II workshops. Many felt that the concepts, especially change theory, problem solving, and team development need to be consistently and intentionally applied as the Department goes through restructuring process, and wanted a review of these concepts in Phase III.

2.3.3 Problems Encountered

The entire organization has been focused on the pending restructuring since the Phase II workshop. Some people are concerned about what might happen to their jobs during the restructuring. Some are concerned that they may have to relocate. Others are concerned about loss of status and position. Participants indicated that this has taken time and energy away from the work.

The Provincial level elections were being conducted during the TNA and there was some degree of anticipation and uncertainty regarding the political support for agriculture.

Participants report that they see the need for:

More team work, especially among the senior management team;
A vision for the Department as it moves forward;
A consistent, open decision making process;
An intentional plan to manage the change;
An open process regarding the restructuring which includes all stake-holders.

2.3.4 Management and Organization Development Task Force

The Management and Organization Development Task Force (MODTF), formerly the Management Improvement Task Force (MITF), expanded its membership by an

additional three members recommended at the Phase II workshop. The task force name was changed in order to more accurately reflect the full scope of duties of the task force. These include the study of the DOA's organization development needs and subsequent recommendations and proposals to the Director of Agriculture for organization improvement.

The MODTF was enlisted to assist the high level Committee for Restructuring the Department of Agriculture (CRDA) in preparing the draft restructuring proposal. In the TNA interview, the MODTF described the steps of the restructuring process as:

1. Committee for Restructuring of the Department of Agriculture formed and terms of reference developed. The Management and Organization Development Task Force enlisted to assist with preparation of the draft report.

2. The draft report was written and sent out by the Ministry of Agricultural Development and Research in April, 1993. The report was sent to 520 executives within the Ministry of Agriculture along with a questionnaire soliciting input regarding the proposed structure.

3. The responses from the questionnaires will be tabulated and workable suggestions integrated into the final draft of the report. The tabulation and final draft are being handled by the Director of Agriculture.

4. Contingent on the final draft, the Minister and senior staff will meet with the Department and announce the new structure and the postings.

5. An Implementation Committee will be named which will represent all functions and this committee will be charged with developing implementation plans.

The time table in the draft report indicates that these steps will be complete prior to the Phase III workshop in July. It is thought that by July the restructuring will have been announced and the new directors and staffs will be functioning. A workshop is proposed for the announcement of the new structure so that planning can take place. This workshop should address the new structure, the roles, responsibilities and reporting relationships, levels of authority and autonomy, and how implementation planning will be developed.

During the interview with the MODTF, a forces field analysis for implementation was developed by the group. Strategies to support implementation and to overcome forces against implementation were identified. This provided valuable information for the Phase III training design.

The FORCES FOR CHANGE were identified as:

* Enthusiasm by all for change;

* Being able to show the benefits and incentives for the change i.e. more freedom to work; greater utilization of the groups' skills; more responsibility and authority to a greater number of people; allowances and incentives;

* Forming a well-rounded, representative implementation committee which would use respected, outside consultation; committee (reorganization task force) would have clear terms of reference and would do a thorough job (6 months to two years) of planning for implementation;

* Developing (and publishing) a macro plan for implementation and issue regular progress reports about the status of the implementation and implementation planning;

* Having leadership that articulates the changes and direction of the organization, that will form and move groups in the direction of change, and that will (identify) and address obstacles to the change.

Strategies to support these positive forces include focusing the Phase III Management Development Workshop on the topic of leadership for change. Also, keeping people constantly informed is critical to the success of the process.

The FORCES AGAINST CHANGE were identified as:

* (Reactions by people who) fear loss or will actually experience a degree of loss in the restructuring process;

* Unwillingness of some to support the change and actions which might "sabotage" the change;

* Political changes in the country which could shift the emphasis (decentralization) which currently supports change;

* Leaders not fulfilling their role in leading the change: not clearly articulating the need and direction, forming and motivating groups, or identifying or addressing obstacles; not moving in front of the change;

* Insufficient monitoring and feedback in the change process; not doing "mid course corrections;"

* Lethargy in people - change takes effort and time and people may not commit to the effort.

Strategies that could overcome the forces against change include encouraging all people to participate in the process and identify the concerns of those who are resisting. Sharing information and keeping the process open was thought to be of great importance.

2.3.5 Phase III Training Needs and Workshop Design

The data collected from the TNA indicated that participants wanted to see the following major topics addressed in the
Phase III workshop:

Revisit concepts from Phases I and II - Vision; Change theory; reactions to change; organizations as open systems; Six Box Model for organization diagnosis; stages of group and team development; steps of problem solving.

Introduce new concepts to view stages of organization development: Parabola Model of organization development and decline; Organizational Iceberg; others.

Examine the role of leadership during change: Kotter's approach to the role and actions leaders must take in order to bring change; the role of power and authority in influencing decisions and actions; identify individual power bases (Power Base Inventory).

Practice group problem solving - Emphasis on identifying and articulating the problem; establishing relationship between root causes and manifestations of problems; analysis to determine cause/effect relationships; problem statements and measurable goals to counter them; apply to DOA problems.

Chapter 3

Phase III Workshop

3.1 Overview of the Workshop

The Phase III Workshop was held at the Triton Hotel, Ahungalla, from July 11 - 16, 1993. Eighteen of the original 23 participants attended and the list is in Appendix C. Preparation for an international horticultural exhibition hosted by the DOA resulted in some of the past participants being unable to attend the Phase III workshop.

Based on the May 1993 needs assessment, the theme of the Phase III workshop was "Leadership for Change." It was designed to support the senior managers of the Department as they lead the organization through restructuring. The aim of the workshop was to prepare the managers to plan and manage change, and to sustain their commitment to work together as the Senior Management Team.

3.2 Goals and Schedule

The following course goals were set for the Phase III Workshop:

1. Reexamine the reactions of organizations during change and the actions needed to effectively support change efforts;

2. Distinguish between the roles of leadership and management in organizations and identify current management and leadership needs of the DOA;

3. Present a strategic management and planning process to support DOA's implementation planning and to serve as a model for setting up new institutes;

4. Revisit previously presented concepts about organization diagnosis and development in light of the changes facing the DOA today and explore new concepts;

5. Examine the impact of social influence (use of power and authority) as it is exercised in the Department and recommend ways it can be used more effectively to benefit and strengthen the total organization;

6. Practice group problem solving techniques which emphasize the importance of data gathering and problem analysis for effective problem solving; and

7. Prepare management improvement action plans for individual managers and recommend next steps for DOA organizational improvement.

The Phase III course schedule is in Appendix D.

3.3 Summary of Sessions

The workshop began with several activities to get participants focused on change and to have them openly declare their current positions in regard to the proposed DOA changes. Norms of confidentiality, openness and honesty were set by the participants who practiced them faithfully throughout the week.

Icebreaker The "ice breaker" activity required participants to select quotes about change and discussed their meanings with others who were attracted to the same quote. This activity set the tone for the workshop "Leadership for Change" and the quotes were referred to several times during the week. The quotes from the 1991 book Managing Transitions: Making the Most of Change by William Bridges included:

"Where all think alike, no one thinks very much."
Walter Lippmann, American Journalist

"Every exit is an entry somewhere else."
Tom Stoppard, American Dramatist

"A state without the means of some change is without the means of its conservation."
Edmund Burke, British Statesman

"Just because everything is different doesn't mean anything changed."
Irene Peter

"There is no squabbling so violent as that between people who accepted an idea yesterday and those who will accept the same idea tomorrow."
Christopher Morley
American Writer

"The crisis consists precisely in the fact that the old is dying and the new cannot be born. During this period a great variety of morbid symptoms appear."
Antonio Gramsei, Political Activist

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

"Beginnings are messy."
John Galsworthy
English Novelist

Participant Expectations Participant expectations in Appendix E were primarily focused on the need to learn how to manage change and the conflicts that change brings about. There was a strong need to include those who are opposed to the change and move on with the restructuring process. The workshop goals were well matched to the participants' expectations.

Organizational Theories Several organizational theories were discussed throughout the week to help participants understand the DOA's needs and organizational dynamics. These theories included: the organizational "iceberg"; the change process in organizations (Lewin) and in individuals (Bridges); the Six Box Model of Organizational Diagnosis and the organization as an input/output system (Weisbord).

The "organizational iceberg" highlights the activities and processes which go on "above the water line" in an organization and those which are conducted informally or covertly "under the water line." Participants identified the process that are above and below the water line in the DOA. As the week proceeded, and discussions were frank and open, the "water line" subsided.

The organizational change process was described in three phases: preparing for change; implementing the change and institutionalizing the change. Participants were asked to identify the stage at which the DOA currently finds itself. There was variance among the replies. Estimations ranged from those who believe that the DOA is in the beginning of preparations for change to those who believe the change is in the implementation stage. The variance, in itself, is a manifestation of the lack of information about the impending change and the confusion participants were feeling.

The personal change process was also described in three phases: ending, the neutral zone and new beginnings. During the ending phase individuals have to identify what has ended and what they are leaving behind in the change. The neutral zone was described as "nowhere between two somewheres" and as a confusing and disruptive time for individuals and organizations. For the "new beginnings" individuals must identify what new things the change will bring. The objective of planned change is for the leadership of the organization to define endings and beginnings clearly and support and reward people as they move through the neutral zone and embrace the change.

Participants were asked to identify their position in regard to the proposed restructuring of the DOA by standing on a line with one end representing "for the change", the other end representing "against the change" and the mid point

representing "undecided about the change." Each person then explained her/his reason for taking the position. In general, participants positioned themselves in the middle and "for the change" but with a great need for more information about it in order to commit. Those who were ambivalent or not for the change cited methods of the change as the main reason for their lack of support. Everyone was "for a change" but wanted to see a more open, participative process for the planning and implementation of the change.

Participants were asked to identify the benefits and losses (actual and perceived) they were experiencing with the proposed changes in the DOA. Their replies are in Appendix F. The statements marked with * indicate more about their fears, concerns and hopes rather than benefits and losses.

Leadership for Change The session "Leadership for Change" was based on the research published in a recent book by John Kotter, Leadership: A Force for Change - How Leadership Differs from Management. All of those interviewed during the Phase III needs assessment expressed a need to have training in how to manage change, especially in regard to the need to set direction. In light of the need, the session distinguished between the roles and functions of leadership and management in organizations. Additionally, it highlighted the need of organizations in a changing environment to have strong leadership and strong management. Participants assessed the DOA senior management team in light of this need and ascertained that there were too few people with strong leadership and management skills. There was discussion and suggestions about actions the DOA senior management team could take to ensure fulfillment of the leadership and management roles. Their suggestions are in Appendix G.

Strategic Management Strategic planning and management were presented as methods for leading organizations through planned change and a model for establishing new institutes. The two "main ingredients" of strategic planning and management were identified as 1) a group of committed leaders working together as a team, and 2) following an intentional process for planned change. Strategic management was defined as leading the process of determining the current and future situation and the type of organization needed for that future. It stressed the roles of leadership and management.

Strategic planning was defined as the process through which the organization envisions its future and develops the necessary plans, procedures and operations to achieve that future. It stressed the role of group planning and problem solving. A strategic planning workbook, Appendix H was developed for the DOA Phase III workshop. Participants spent an hour in small groups each evening discussing the various aspects of strategic planning. The highlights of these discussions were shared in large group each morning and were instrumental in bringing the group together with a shared perception of the DOA's current situation. While TRG consultants believe

that strategic planning is a critical need for the DOA, they cautioned participants that the process is lengthy, needs commitment from the top leaders, and is a difficult and often conflictive process which requires facilitation.

Social Influence: Use of Power and Authority This session examined the distribution of power in the Department, how power is exercised and how it impacts decisions and actions. Power was defined as the ability to influence or the potential to influence. The purpose of the session was to raise the awareness of the senior management team about the use of power so that they will be able to exercise power in an open, assertive and collaborative way for the benefit of the organization. Individuals assessed their individual power bases using the Power Perception Profile, Hersey and Natemeyer, which links use of Power Bases (coercive, connection, expert, information, legitimate, referent, reward) and Situational Leadership styles. They also identified their positions in reference to their perceived "five most powerful people" in the Department. Power was specifically defined here as the ability to influence decisions.

Participants identified "compliant power bases" (connection, coercive, reward) and legitimate (position) power as the bases most often used in the Department. They also identified that what was needed most now was leadership using "influence power bases" (information, referent, expert) and legitimate power. Participants felt that power should be used more overtly and assertively and "above the water line."

Group Problem Solving Problem solving was reintroduced in Phase III in order to focus on the importance of group problem solving and critical aspects of data gathering and problem analysis before developing solutions. The needs assessment revealed that many people felt the changes being proposed for the Department need to be based on a more thorough analysis of the problems and their root causes. A model to identify and examine both the root causes and manifestations of a problem was presented and then used by participants to examine real DOA problems.

The same problem solving model (Elias and David) used in Phase II was again used, but with emphasis on data collecting, problem analysis and problem statements and developing goals to counter problems.

The problem of the "DOA not delivering the goods" was examined and found to have several root causes:

> Senior manages are inwardly focused and are not fulfilling the leadership and management roles and functions the Department needs.
>
> The Department has ineffective processes (communication and feedback loop into the environment) to keep it in touch with the reality of its environment and current and future developments.

There is lack of a shared understanding among staff of the vision, mission, clients, etc.

There is a lack of incentive for change and the culture of the Department tends to maintain the status quo.

The reward system in inadequate for the work.

The current structure is a hierarchial pyramid with centralized decision making, activities, etc. that inhibits collective decision making and shared leadership.

Participants analyzed several of these root causes to determine why these conditions exist. The common themes of their analysis are in Appendix I.

Chapter 4

OUTCOMES OF THE PHASE III WORKSHOP

4.1 Participants Reactions

"Fantastic! TRG Team kept us lively through the workshop and made positive impact on all of us."

"Since the TRG Team has worked over a year with the DOA they have considerable knowledge and experience on how the DOA should be reorganized. Their services should be obtained for facilitating the reorganization for the next two years."

"Let us do it for the middle level managers. TRG group should help DOA in the reorganization process."

The above are three of the comments made on the Course Evaluation forms. Other participants made similar positive comments and suggested some areas of possible improvement.

A complete summary of the final evaluation results can be found in Appendix J. The overall results are quite positive. On a one to five scale, in which one represents total dissatisfaction and five represents complete satisfaction, all seven course goals received an average rating of 4.0 or above in terms of accomplishment. The highest average ratings of 4.47 were for the following two objectives:

1. Distinguish between the roles of leadership and management in organizations and identify current management and leadership needs of the DOA.

2. Practice group problem solving techniques which emphasize the importance of data gathering and problem analysis for effective problem solving.

The Triton Hotel in Ahungalla received the lowest average rating of 3.94 as the workshop site; however, this was still a considerable improvement over the 2.0 rating given to the Pegasus Reef Hotel in Wattala which was the site of the Phase II Workshop. Training materials, exercises and practice received an average rating of 4.41 for usefulness and the TRG training team received an average rating of 4.76 for effectiveness.

4.2 Trainer Observations

"Participants were really willing to be honest and open with each other as they applied change theory and problem solving techniques to the current realities of the DOA."

The above comment was made by one of the TRG trainers, but it reflects the consensus of the TRG team. As had been the case prior to the Phase II Workshop, there was some concern about directly addressing the issues surfaced by the MADR's proposed restructuring of the DOA due to the fear that this might create an uncomfortable working atmosphere. This again proved definitely not to be the case. All participants were in agreement that some type of organizational change of the DOA is needed, and they all actively participated in constructive discussions about how the theories and proposed approaches to change, team development, leadership, strategic management and planning, and problem solving can be applied to the current situation of the DOA. This continued to be a most exciting challenge for the TRG team as it was much more realistic than the average Case Study approach used in most management training programs.

The training team was most impressed by the active participation, frankness, and the mature reflection of the participants. The respect for the agreed upon working norms was remarkable, and the proposed ways to deal with the difficult problems facing the DOA seemed balanced and realistic. The team was also impressed by the personal commitment of individuals to continue working on the improvement of their skills as managers.

4.3 Summary of Participant Recommendations for DOA Next Steps

As the final activity of the workshop, participants returned to their strategic management discussion groups and developed recommendations for the "next steps" the DOA should take to ensure management and organizational development. Recommendations follow:

GROUP I

Immediately appoint a committee for facilitating reorganization of the DOA for a two year term. The committee should carry out the following:

a. By August 1993 prepare and circulate a regular newsletter on the current situation of the reorganization - summary to accompany.

b. Answer and/or discuss all queries and concerns on reorganization from within DOA and from the outside.

c. Assisting the development of goals and strategies, etc. of the proposed units (12 months).

This group also discussed the need for full time commitment to the committee as well as having space and facilities specifically set aside for the committee's use.

GROUP II

1. Identify clearly the purpose of the DOA in its current context.

2. Reorganize the DOA to serve the purpose:

- define structure
- strengthen the leadership
- define relationships and responsibilities
- formulate mechanisms for accountability, monitoring, and evaluation
- establish reward system

GROUP III

Improve coordination:

All divisions and staff should be made aware of the DOA vision, goals, and purpose.

Senior managers should find out what hinders the coordination.

Map out a strategy for corrective action.

GROUP IV

Current Situation

Inform the DOA staff about the present status with respect to the proposed change. Clarify details about staff and institutional changes and their mandates (as units of the DOA).

Strategic Planning and Organizational Development

The Directorate and senior management should meet before the end of August 1993 to finalize the plans for the accepted change and initiate the implementation strategies.

Future State

Details of the implementation plan should be made and again agreement sought through various methods.

Chapter 5

RECOMMENDATIONS OF THE TRG TEAM

5.1 To the Director of the Department of Agriculture:

1. Announce the finalized structure in a facilitated meeting and immediately begin an open planning process which ensures the participation of all those who will have to implement the changes.

2. Appoint a Reorganization Task Force responsible for planning the reorganization process and for continually communicating the proposed changes to all staff in order to gain agreement and commitment and to reduce the resistance to change caused by fear of perceived loss.

3. Recommend to the Committee for the Restructuring of the Department of Agriculture (CRDA) that the MADR secure on-going organization development consultation from an external, objective, and trusted source to assist the DOA in identifying issues and to plan and monitor the organizational change process.

4. Issue new terms of reference for the Management and Organizational Development Task Force (MODTF) and review the composition and the functioning of the MODTF so that it can assume responsibility for monitoring and assisting the organizational change process as well as continuing to assist and promote individual and unit management improvement efforts.

5. Ensure that the DOA continues to work on identifying and characterizing its various client groups as the organization changes — i.e., organized farmers, subsistence farmers, commercial farmers, agriculture enterprises, marketers, etc.

5.2 To the MODTF:

6. Begin immediately meeting and functioning as a full task force.

7. Make recommendations to the Director of Agriculture on the securing of external organizational development consultants to help guide the DOA through its reorganization efforts.

8. Serve as the committee to assist and monitor the DOA reorganization.

9. Continue to monitor and facilitate the implementation of the management development and improvement plans and priorities (Phase I, II,and III) at the Department, unit and individual levels.

10. Prepare and recommend a Management Training Plan for the Department. The plan should be conceived by the entire task force and should utilize both internal and external resources for implementation. The plan should be based on a thorough TNA of DOA managers and based on the needs and demands of the new structure. Any management training conducted in the Department should correspond with the Management Training Plan and be monitored and evaluated by the MODTF.

11. Study organization development and institutional development programs of other institutions in Sri Lanka e.g. National Water Supply and Drainage Board (NWSDB) in order to learn from their experience.

12. Review and monitor the implementation of the recommended next steps made by the participants at the Phase III Workshop.

13. Publicize the work and accomplishments of the MODTF.

5.3 To the Participants of Phases I, II, and III:

Practice! Practice! Practice!

Actualize your potential by being more assertive in putting your leadership and management skills into practice for the overall improvement of the DOA! Participate in the planning and implementation of the restructuring of the DOA.

APPENDIX A

Questions for the Management and Organization Development Task Force

1. As members of the MODTF, how do you view the proposed restructuring of the DOA in light of the feedback from the questionnaires?

2. What is the reaction of the donors to the proposal? How will the MODTF solicit the donors' input into the restructuring process? What is the reaction of the clients? Etc.

3. What are the key issues for implementation? (Forces <u>for</u> implementation and forces <u>against</u> implementation)

4. What role should the MODTF play in implementation? Who should be involved in implementation planning?

5. What support is needed during the implementation planning phase? Who could provide that support?

6. How can the Phase III workshop support the implementation of the new structure? What should the Phase III workshop address that will help facilitate implementation? What topics would be valuable?

7. Who should attend the Phase III workshop?

8. What are the "next steps" in regard to the restructuring? What needs to happen in order to get things moving?

.....

Consultants' Observations:

1. Inclusion of the donor and client community in the process.

2. The need to continue the open process by having position descriptions, criteria for decision making, equitable processes, etc.

3. Move through the transition process as soon as possible and get into the "refreezing" or institutionalizing aspects.

APPENDIX B

මගේ අංකය
எனது இல.
My No.
ඔබේ අංකය
உமது இல.
Your No.
දුරකථන
தொலைபேசி
Telephones
25548
88327
88075
88039
88107
ටෙලිග්‍රෑම්
தந்தி
Telegrams
"සෙක්මින් ඇග්‍රි"
"செக்மின் அக்ரி"
"SECMIN AGRI"

කෘෂිකාර්මික සංවර්ධනය හා පර්යේෂණ අමාත්‍යාංශය
கமத்தொழில் அபிவிருத்தி ஆராய்ச்சி அமைச்சு
MINISTRY OF AGRICULTURAL DEVELOPMENT AND RESEARCH

තැ. පෙ. 66, ගැටඹේ, පේරාදෙණිය, ශ්‍රී ලංකාව
த. பெ. 66, கற்றம்பே, பேராதனை, இலங்கை
P. O. Box 66, GETAMBE, PERADENIYA, SRI LANKA

දිනය
திகதி
Date April 2, 1993

Dear

A committee has been appointed by the Hon. Minister of Agricultural Development and Research, chaired by me, to examine the present structure of the Department of Agriculture and submit proposals for restructuring it. The purpose of restructuring is to ensure that the DOA will respond in a dynamic manner to the changing needs of the agricultural sector particularly because it has been evident that the present structure is not geared to meet the present and future challenges.

The concept adopted in re-structuring is based on the need to have product oriented, well focused narrowly identified programmes that will respond to the development needs of the agricultural sector. It is therefore proposed to establish a number of strategically located institutes and centres, which will undertake these activities.

The Restructuring Committee has operationalized the above concept and incorporated the proposals in a report with the assistance of the Management and Organization Development Task Force of the Department of Agriculture.

I am enclosing a copy of this draft report for you to examine and comment on. I would appreciate if you use the attached questionaire to make your observations on the draft. Your observations will be carefully considered in preparing the final proposal to be developed and submitted to the Hon. Minister of Agricultural Development and Research for his approval.

In order to ensure this activity is completed within a reasonable time period, I would appreciate if you send your comments to the Director of Agriculture, in the self-addressed envelope enclosed, to reach him on or before April 26, 1993.

Thank you for your cooperation.

Yours sincerely

Dixon Nilaweera

Secretary

35

Questionnaire on the Proposal for Restructuring of the Department of Agriculture

1. A number of institutes and centers have been identified in the Restructuring Proposal in order to focus efforts on the achievement of important national goals relating to the agricultural sector. Are these goals and priority areas adequately reflected in the identification of institutes and centers?

YES ☐ NO ☐

If not,

(a) What additional institutes/centers are necessary?

(b) Which proposed institutes/centers are not directly relevant?

2. Certain regional centers and agricultural stations are identified as outreach stations of the main commodity institutes in order to have unified national commodity programmes, which also cater to the needs of different agro-ecological regions of the country. Is this arrangement likely to be effective?

YES ☐ NO ☐

If not, what changes would you recommend?

3. A tentative distribution of staff is presented in the Proposal. Is this distribution suitable in terms of achieving the DOA mission?

YES ☐ NO ☐

.. not, what changes would you suggest?

4. It is proposed that the Institutes and centers should function directly under the Director General, with the Deputy Director Generals serving as facilitators. Is this arrangement an improvement on the existing functional organization?

YES ☐ NO ☐

If not, what would you suggest as an alternative?

5. In the new organizational structure, an increase in the number of leadership positions is proposed in order to have a more effective and broad-based organization and to utilize the leadership abilities and skills of a larger number of officers. Is this change desirable?

YES ☐ NO ☐

If not, what would you suggest as an alternative?

6. Please indicate below any general comments you wish to make on any aspect of the Restructuring Proposal.

Signature of officer _____ Date _____

Name of Officer : Mr. H. Rajapakse

Designation : .....

Present Work Place : .....

Mailing Address : .....

.....

.....

APPENDIX C

APPENDIX C

LIST OF PHASE III PARTICIPANTS

1.	Mr. Madduma Bandara Agalawatte	DAEP Economist and Project Manager for DARP
2.	Dr. H.M. Rohini K. Ekanayake	ARI Research Officer
3.	Mr. Henry Gamage	ADD/Technology Transfer
4.	Dr. Ponnuduray Gannashan	Head/PGRC
5.	Dr. S.S.D.B.G. Jayawardena	ADD/Research
6.	Dr. K.D.S. Mervyn Joseph	DDR/RARC Maha Illupallama
7.	Mr. N. Kanesu	Chief Engineer
8.	Mr. K.W.M. Vernon Mapitigama	DD/Administration
9.	Mr. B.A.S.S. Padmalal	ADA/Seeds and Planning
10.	Mr. Hector B. Senerath	ADA/Seed Certification
11.	Dr. G.A. Canute DeSilva	DAEP Economist
12.	Dr. Hapuarachchige Somapala	DDR/CARI
13.	Mr. Don Bhathiya Sumithraarachchi	DD/Royal Botanical Gardens
14.	Dr. Don Edward Franklyn Suraweera	ADD/DAEP
15.	Mr. B. Suriyasekera	Accountant for Development
16.	Dr. Sarath L. Weerasena	ADD/Seed Certification
17.	Mr. Abaya Vernon S. Weerasinghe	Superintending Engineer/Civil
18.	Mr. Lionel Wijesundara	Administrative Officer

APPENDIX D

Management Development Program for DOA Senior Management Team:
Phase III Workshop
Triton Hotel, Ahungalle, Shri Lanka

The workshop will begin on Sunday, July 11 at 2:00 p.m. and end on Friday, July 16 with a graduation luncheon. The morning of July 11th and the afternoon of July 16th are set aside for travel to and from the Triton Hotel in Ahungalle. It is hoped that the Director and any new members of the senior management team will join the workshop and stay throughout. The proposed training schedule follows:

Sunday, July 11 2:00 - 6:00	Monday, July 12 8:30 - 6:00	Tuesday, July 13 8:30 - 6:00	Wednesday, July 14 8:30 - 6:00	Thursday, July 15 8:30 - 6:00	Friday, July 16 8:30 - 1:30
P.M. -Welcome and Introductions -Icebreaker -Participant Expectations -Overview of Phases I, II and III -Theme and Goals of Phase III -Methods, Norms and Logistics -Organization Theory: The Organizational Iceberg -Organization Change Reexamined	**A.M.** -Organization Theory -Leadership for Change -Roles of Leadership and Management **P.M.** -Strategic Management and Planning -Strategic Management Discussions	**A.M.** -Organization Theory -Social Influence in Organizations **P.M.** -Power Base Inventory -Strategic Management Discussions	**A.M.** -Organization Theory -Problem Solving Techniques -Analysis of Root Causes and Cause/Effect Relationships **P.M.** -Intervention Selection Criteria -Problem Statements and -Goals to Solve Problems -Strategic Management Discussions	**A.M.** -Organization Theory -Problem Solving Applied to DOA Issues **P.M.** -Problem Solving (Continued) -Strategic Management Discussions	**A.M.** -Review of the Week -Application Planning -"Next Steps" for Managers and the DOA -Course Evaluation Closure **P.M.** -Graduation Luncheon -- DARP/DOA invite guests and speakers

APPENDIX E

APPENDIX E

Participant Expectations for the Workshop

DOA officers to understand the majority decision to change is right and that the group must work to the ultimate success of the public through the DOA.

Win over the 10% who are against the change and get agreement and commitment.

Agree to compromise and how to implement change.

(Find out) how the change will affect personal aspirations.

(Learn) how to maintain effective management during the transition phase of change.

Accept the challenges of change and get ready for the change.

Gain insight into the implementation of change in an organization i.e. how to manage change.

Learn how to avoid personal interests when implementing change.

Learn techniques to tackle people with different opinions to get their agreement.

Gain insight into how to implement change.

(Learn) management techniques to motivate the DOA staff to work toward the same vision.

Learn how one can best fit into a changing environment.

(Learn) how to get commitment from all concerned.

(Learn) how to get all DOA staff to work as a team to achieve the vision.

(Get) agreement on specific steps of the change process and clarify each one's role in the change process.

(Learn) how to shed individual differences and work towards common a goal as a team.

APPENDIX F

APPENDIX F

Potential Losses and Benefits as a Result of the Proposed DOA Restructuring

(* Denotes a concern, fear or hope)

DOA will disappear in time to come (lose its identify).*

DG won't be able to handle the policy, planning and monitoring process.*

Loss of influence and personal power.

Loss of familiar surroundings and people - the need to make a new start.

Loss of control of personal resources.

Possible geographic dispersion of unit - loss of relationships.

Loss of ability to move freely - inter institutional mobility.

Loss of central mechanism.

Human resources could be limited to a narrow field - loss of opportunity.

Duplication of effort may be necessary.*

Fields will be centralized by commodities.*

Regional people may not have as easy indirect access to get the information needed.*

Institutional directors will have less time for technical work due to administrative and management needs - loss of time.

Other than research, potential loss of career prospects.

Loss of centralized planning and coordination.

Advantages or Benefits of the Proposed Change

DG will get vision of Sec. and be able to communicate vision through Directors.

Possible to communicate between units.

Better career prospects.

Greater personal efficiency in use of time.

Greater satisfaction and less frustration.

Better perks, salary, travel, transport, etc.

Sense of achievement - doing something for the organization.

Better sharing of resources (financial and human).

More positions.

Regain lost prestige as a department.

Develop better links with Provincial organizations.

More efficient management through delegating to institutes.

Thrill and chance of starting everything anew.

Decision making process will be improved through delegation.

Lines of communication easier.

DOA able to cater to needs of people and policy makers.

Less work in the head office.

APPENDIX G

APPENDIX G

Suggestions to Strengthen DOA Leadership and Management Roles

Identify causes for weak leadership.

Develop existing managers to fulfill leadership roles.

Train people who are good leaders, but poor managers, in management skills.

Place people with proven leadership and management capabilities in strategic positicns.

Convince senior management about the weaknesses.

Motivate senior management to develop leadership and management qualities and skills.

Team leader to conduct feedback sessions on management and leadership deficiencies.

Identify the positions where quadrant three (Situational Leadership) types are needed.

Make self-assessment of ones own strengths and weaknesses and then work as a team to make improvements give feedback to one another.

APPENDIX H

STRATEGIC PLANNING WORKBOOK

Table of Contents

Current Situation of Your Organization.....1

Establish a Future State for Your Organization.....2

Values, Strategic Planning and Organization Development...3

Examples of Organizational Values
and Philosophies of Work.....6

Identify Individual and Organizational Values.....7

Environmental Scan.....8

Macro Environment Worksheet.....9

Industry Environment Worksheet.....10

Funding, Competitive, Collegial Environment Worksheet....11

Organizational Environment Worksheet.....13

Mission Formulation.....14

Mission Analysis Worksheet.....16

The workbook provides a structured, informal approach to guide discussions in support of the strategic planning process.

While the discussions should take place sequentially, during the actual strategic planning process, many of the activities in the different steps overlap.

Strategic planning is not a neat and tidy solution to organizational problems, but a new way of working together to manage the future. It is based on the belief that the actions an organization takes in the present actually shape and create the future.

CURRENT SITUATION OF YOUR ORGANIZATION

1. What are the key historical events of your organization - when it was founded, its original mission or purpose, things that have happened that have shaped or changed the organization or mission. Identify any historical issues or trends that will need attention as you plan for the future. List.

2. Briefly, describe the current state of your organization as you see it - its size, budget, variety of services offered, etc. Also, give your estimate of the gap that exists between "what is" and how the organization "should be."

3. Who are the individuals, groups, or organizations that will be affected by or interested in the changes that are taking place? (clients, customers, employees, donors, etc.)

4. Who are your "competitors" and "allies?" ("competitors" could be organizations that compete for funding, public attention, clients, or some other aspect of your work; "allies" could be organizations or groups that your organization could collaborate with in order to provide better services - they could also be "competitors" seen in a different light!)

5. Who are the funders, donor agencies, groups or individuals who provide resources for your organization/programs. (international donors, clients, national government, national NGOs, etc.)

51

ESTABLISH A FUTURE STATE FOR YOUR ORGANIZATION

1. Describe your ideal future organization. What would your organization look like? What would it be doing differently than it is now? What would be different about the products and services. How would the people in the organization be relating with one another? The future state can be called your VISION of how the organization could be.

2. What are the things that are keeping your organization from reaching that vision of the future? (list)

3. What are some of the things that support your organization in reaching the vision of the future? (list)

5N

VALUES, STRATEGIC PLANNING AND ORGANIZATION DEVELOPMENT

Based on an article by Goodstein, Pfeiffer, and Nolan.

A values audit is an essential part of the strategic planning process or the formation of any organization. It is an examination of the values of the members of the planning team, the values of the organization, the organization's philosophy of work, the assumptions that the organization ordinarily uses in its operations, the organization's culture, and the values of the stakeholders in regard to the organization's future. The values audit is necessary because a strategic plan that is inconsistent with the organization's values will probably never be successfully implemented. Likewise, an organization that is formed without a clear understanding of the underlying values of the founding members will be difficult to design and manage.

As individuals, because we value certain things, we develop strongly held beliefs. Because we believe something, we behave in ways that are generally consistent with our beliefs. A value is defined by Rokeach as "an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end state of existence." For example, an individual for whom excitement is an important personal value will envision a different organizational future than will a person who holds security as a high personal value. Likewise, the goals and dreams of an individual who holds professional reputation as a value and is less interested in power will be different from those of a person with the opposite priorities. A person who values stability will have a very different view of the future organization than one who values change.

Organizations are socio-technical systems with values, beliefs, behavior, assumptions and norms. The values of an organization are shaped by founding members and top management. Individuals are drawn to work in organizations that espouse their personal values. An organization's values determine its future, design, decision-making processes, hiring and promotion practices. They also affect the work and decisions of the top management team.

Because values are basically invisible and one cannot ask an organization what it values, and consequently believes, organizational values are not easily identified. They are evidenced by the end state or mode of behavior that the organization appears to prefer, but require exploration by the planning team in order to be absolutely identified.

During the strategic planning process it is important to identify differing values within the planning team. If these differences are not identified, clarified, and resolved early in the planning process, there may be little or no agreement about how the

organization's future meets the personal expectations of the individual members of the management group. Once there is clarity and consensus on values, the strategic planning process can move ahead. Strategic planning is, in some respects, a value-clarification exercise, and the actual strategic plan for an organization represents the operational implementation of the consensual values of the management team.

An organization's values are organized and codified into its philosophy of operations, that is, the way the organization approaches its work. The philosophy of work is the organizational values in action. All organizations have philosophies of work, whether or not these are stated explicitly, and all organizations disseminate their philosophies and judge members on conformance to the philosophy.

In strategic planning and organization development, after organizational values are identified, a description of those values in action is developed. The organization must then relate its decisions and behavior to the philosophy of work if it is to be congruent with its values.

An organization's philosophy of work includes a series of assumptions about the way things work and the way in which decisions are made. Example of such assumptions in the profit sector include, "No profit can be made doing business with the government." "Allowing a labor union to organize our hourly production people would destroy the company." Nonprofit assumptions include, "If we do not spend all of this year's budget, they will cut us next time, and "you have to go along (with the system) to get along (have resources and support)." Some examples of organizational values and philosophies of work (including assumptions) are attached.

Unless assumptions are examined in terms of their current validity and relevance, whether or not they ever were true or relevant, the organization will continue to assume that they are true and operate accordingly. An important part of the strategic planning process is to identify the assumptions that the organization makes about its environment, its operations, and how things do or should work and to examine their validity.

In strategic planning, the team members' values, the organization's values, its philosophy of work, and its operating assumptions all produce the organization's culture. The culture defines, "the way we do things around here." The organization's culture provides the social surroundings in and through which the organization performs its work. It guides the organization's members in decision making, task behavior, and practically everything else they do in the organization.

54

Finally, an audit of organization values requires a stakeholder analysis. Stakeholders are those individuals, groups, and organizations who will be impacted by or interested in the organization's future or strategic plan. Stakeholder's must be identified, and their concerns must be determined (that is how their resources, status, freedom of action, relationships, and activities may appear to them to be impacted by shifts or changes in the organization's direction).

Stakeholders typically include: employees (including managers), clients or customers, suppliers, governments, unions, creditors, owners, shareholders, board members, parent organizations, and members of the community who believe that they have a stake in the organization, regardless of whether or not such a belief is accurate or reasonable.

Once stakeholders are identified, the impact of various future states on different stakeholders can be considered. It is important to identify who the planning team regards as significant stakeholders early in the values audit. If this is not done until later in the process, a more selective list may emerge. The stakeholders are the various constituencies that need to be considered by the planning team if the plans are to be based in reality.

The values audit is the most important and the most difficult part of the planning process. It requires an in-depth analysis of the most fundamental beliefs that underlie organizational life and organizational decision making. Such confrontation can be a long and painful experience. But without such work, differences in values, philosophy, and assumptions will surface continually in the planning process and block forward movement. Once these issues are successfully clarified and resolved, the differences do not interfere with the planning process and it is relatively easy to move to the next stage of the process.

EXAMPLES OF ORGANIZATIONAL VALUES AND PHILOSOPHIES OF WORK

The following examples are from organizational value statements of profit and nonprofit organizations. They have been slightly modified in order to remove the organization's name.

.....

PARTICIPATION We believe that when people in an organization are involved with and participating in problem-solving, decision-making and managing, the result is high quality services, products, and programs. Participation leads to commitment and it is commitment, not authority, which produces results.

COMMITMENT TO A CLIENT-CENTERED APPROACH We are dedicated to individual and organizational improvement. We listen to our clients. We work with them as they solve their own problems. We earn their trust. We give them our best work - being excellent. We work hard to provide service which challenges people, encourages them to be introspective and open to change and taking risks.

PARTNERSHIP We view our colleagues in development as equal partners in the process. Partnership means that we all bring to the dialogue our needs and resources and together determine the mission, the agenda, the decisions and how we will share the resources and support one another.

DYNAMIC BALANCE Professionally, we strive to maintain a healthy environment in which conflict and stress are dealt with openly and constructively. We blend hard work with a sense of humor and fun. In our business outlook we maintain a balance between profit margin and our own idealism and integrity. We are committed to diversity within our staff through a balance of age, gender and race. Personally - We recognize that people have lives outside of work and that some of the professional decisions need to be based on personal considerations particularly around setting work norms such as work hours and travel assignments.

QUALITY - The consumer is our boss, quality is our work, and value for money is our goal.

RESPONSIBILITY - As individuals, we demand total responsibility from ourselves; as associates, we support the responsibilities of others.

MUTUALITY - A mutual benefit is a shared benefit; a shared benefit will endure.

EFFICIENCY - We use resources to the fullest, waste nothing, and do only what we can do best.

FREEDOM - We need freedom to shape our future; we need profit to remain free.

IDENTIFY INDIVIDUAL AND ORGANIZATIONAL VALUES

Values are described as, "An enduring belief that a specific mode of conduct or end-state or existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence."

Changes in the direction of an organization cannot be easily made if the changes violate employees' values or the traditions that underlie the organizations culture. Thus, any attempt to develop a mission as part of a new strategic framework without identifying consistent values, will likely be met with considerable resistance and risks failure. In an organization, values influence:

* How the organization is designed
* Which issues get attention
* Decisions
* Who reaches the top
* Public relations

Individual values determine why we work in an organization. They may also shape the values of the organization. Organizational values determine the way in which the organization behaves and how it operates - design, issues, decisions, promotions, public relations, etc. Organization values may influence our work style. Together, these things make up the organization's "culture" or "the way we do things here."

1. Identify and list the values that you hold which guide you in your work.

2. Identify and list the values that cause you to work for your organization.

3. Identify and list the values you believe your organization holds which guides it in the way it conducts its work.

4. Because of the values your organization holds (#2 above), how does it behave?

ENVIRONMENTAL SCAN

The purpose of the environmental scan is to identify the opportunities and threats in the present and future environment and, from these, develop a critical issues agenda for strategic planning. Critical issues are described as "major forces (present and future) from outside and inside your organization that will make a difference in whether or not the organization succeeds or fails." There is an abundance of information in environmental scan data which affects mission formulation, program development, action plans, and the overall strategic plan.

Because organizations are situated in a constantly changing world, they must consider the role/function they plan in the present and future. The organization must determine whether it has an enduring identity, or if it must "reinvent" itself periodically. The environmental scan provides information to answer these and other questions.

The environmental scan produces information about factors, forces, trends and dimensions of the constantly changing environment. Sometimes we tend to think of the environment as as an impersonal backdrop. In actuality, the environment, for the most part, is made up of demands, opportunities and restraints posed by stakeholders and the macro environment. The scan is being conducted with clients, stakeholders, competitors, and a variety of sources of information that are important for strategic decision making. The environmental scan examines four environments:

MACRO ENVIRONMENT - Major issues and trend in four general areas: social/cultural; political; economic; and technological.

INDUSTRY ENVIRONMENT - Major issues and trends in the particular field of work: how the field is structured; government presence; financing; technology; applications; products; costs and prices; and markets.

FUNDING, COMPETITIVE, AND COLLEGIAL ENVIRONMENT - What are funding trends and priorities and what is influencing them? Who are the organization's competitors and for what does the organization compete (funds, public attention, membership, etc.)? What is the relative strength and weakness of the organization in the competitive environment? With whom could the organization collaborate in order to better accomplish its work?

ORGANIZATIONAL ENVIRONMENT - What is the internal organizational structure and its strengths and weaknesses in performing the mission (organizational assessment)? What do individuals, groups and organizations outside your organization see as your strengths and weaknesses?

MACRO ENVIRONMENT WORKSHEET

List what you consider to be the major issues or trends in the macro environment. Major issues or trends are defined as ones that will make a difference in your organization's success and survival. The macro environment is divided into five areas.

1. SOCIAL OR CULTURAL - Changing demographics, societal trends, etc.

2. POLITICAL - New legislation, changes in leadership, political support, international events, etc.

3. ECONOMIC - Changes in funding patterns, national and international economic trends, etc.

4. TECHNOLOGICAL - New developments or practices in your field, general technology advances (computers, telecommunications, etc.).

54

INDUSTRY ENVIRONMENT WORKSHEET

Agricultural Development and Research

Consider agricultural development and research as the "industry." These questions could guide a discussion about the industry environment.

1. What are the major issues facing agricultural development and research?

2. What are the major trends in agricultural development and research?

3. How should the trends and/or issues be addressed.

4. Other questions:

FUNDING, COMPETITIVE AND COLLEGIAL ENVIRONMENT WORKSHEET

Concern about funding and support is a real concern for any organization that depends on public funds and political backing. While the organization may be providing a necessary service to the public, it must still consider competition in terms of funding, public attention, political backing and international interest and support.

1. What are the general funding trends for agricultural development and research? What is influencing these trends?

2. What is needed to influence/attract funding?

3. What are the trends of political support for agricultural development and research? What is influencing these trends?

4. Why has the Department been supported in the past? Why and how is it being supported now?

61

5. What is needed to influence/attract political support and public support?

6. With whom does the Department compete, and for what? What is the Department's relative position in regard to its competitors (strong/weak/other)?

7. With whom (groups, agencies, other government or private organizations) does the Department collaborate or team with in order to better accomplish its work?

8. With whom should it collaborate or team in order to better accomplish its work?

65

ORGANIZATIONAL ENVIRONMENT WORKSHEET

Internal Organizational Assessment

1. What are the strengths of your organization?

2. What are the assets of your organization?

3. What are the weaknesses of your organization?

4. What are the liabilities of your organization?

5. How can restructuring address these weaknesses and liabilities?

6. How can restructuring support the strengths and assets?

MISSION FORMULATION

Based on an article by Goodstein, Pfeiffer,and Nolan.

When there is informed consensus about the underlying values and beliefs that drive the organization, the planning team can turn its attention to the next stage of the process: mission formulation. This involves developing a clear statement of what business the organization is in - a concise declaration of the purpose or function that the organization is attempting to fulfill in society or the economy.

When formulating a mission, an organization must answer three primary questions: (1) WHAT function does the organization perform? (2) For WHOM does the organization perform this mission? (3) HOW does the organization go about filling this function?

Most organizations tend to answer the "what" question in terms of goods or services produced. Examples from industry: manufacturers of detergents see themselves as in the "soap business" and gasoline producers see themselves in the "oil business." These narrow views prevent organizations from seeing new opportunity for growth and expansion and also from responding threats and challenges.

The recommended alternative is to answer the question in terms of customer or client needs that the organization attempts to meet. If an organization identifies itself as meeting certain public needs, it will be more sensitive to identifying and treating those needs, more likely to develop new products and services to meet those needs, and less likely to experience obsolescence and decline.

If the detergent manufacturer sees itself as being in the business of providing a mechanism for helping people to clean their garments, or if the gasoline producers see themselves as being in the business of providing sources of energy to consumers, many new options are open to them - ultrasonic cleaners, solar and wind power generator, and so on.

Successful organizations try to identify value-satisfying goods and services that meet the needs of the public and include these considerations in their mission formulations. The major issue in mission formulation typically is achieving consensus on how broadly or narrowly to answer the "what" question.

Identifying the "who" is the second concern of mission formulation. No organization, no matter how large, can meet the needs of all possible clients or customers. The mission formulation requires a clear identification of what portion of the total potential client/customer base an organization

identifies as its primary target. The process of sorting out the potential client/customer base and identifying which portion should be sought out by the organization typically is called "market segmentation."

Markets can be segmented in many ways: geographically, financially, ethnically, commodity interests, etc. Examples from the North American profit sector include: "Sun Belt" consumers are different from those of "Frost Belt" consumers; Federal Express and DHL serve customers who are willing to spend more than the price of ordinary postage to ensure next-day delivery of packages; both Kosher foods (Jewish) and soul foods (African Americans) have devout customers; General Motors has five traditional automobile lines, each designed for consumers in different economic strata.

Once the planning team has identified what the organization does and for whom, the next step is deciding HOW the organization will proceed to achieve its targets. The "how" can be a marketing strategy such as being a low-cost producer or the technological leader or the high-quality manufacturer; it can involve a distribution system or customer services, etc.

Once the questions of "what," "who," and "how," are answered, these elements can be woven into the organization's mission statement. This should be a brief (one hundred words or less) statement that identifies the basic business the organization is in.

Developing a mission statement is an extremely difficult and time-consuming task, but one that the planning team must complete before moving to the next step. Developing, editing, and reaching consensus on such a statement requires skill, patience, and understanding. However, the mission statement provides an enormously valuable management tool to an organization: it clearly charts its future direction and establishes as basis for organizational decision making. In a large organizations, especially those with product/service departments, the next step is for major units to develop their own mission statements. Unit mission statement are more focused and more limited than that of the total organization, but they clearly must be derived from the organizational statement.

MISSION ANALYSIS WORKSHEET

1. Describe, in your own words, the purpose or function of the Department of Agriculture.

2. For whom does the Department of Agriculture perform this function?

3. How does the Department of Agriculture go about fulfilling this function now? What are the basic strategies now?

4. How will the purpose or function change with restructuring? How will the basic strategies change?

66

APPENDIX I

APPENDIX I

Common Themes of DOA Problems

Personal objectives override organization objectives.

Lack of accountability.

Low motivation - poor incentives and lack of rewards.

Ineffective leadership.

Lack of organizational identify.

Ineffective systems and processes.

Less emphasis on monitoring, evaluation and feedback systems and processes.

Personal interest overriding organizational objectives.

Inertia - tendency to maintain the status quo and resist change.

Low team spirit.

Lack of common goals and objectives and vision.

Lack of adequate interactions.

More attachment to history and tradition than reality and present.

Avoiding decision making.

Tendency to blame lack of change due to being a government department.

APPENDIX J

SUMMARY OF RESULTS

APPENDIX J

DEPARTMENT OF AGRICULTURE

Management Development Program

Phase III

July 11-16, 1993 at Triton Hotel

Course Evaluation Form

We appreciate your taking the time to complete this questionnaire.

A. Evaluation of Course Goals

Seven goals were stated on the first day of the course. They are listed below. Please rate each one as to the degree to which you believe the goal has been achieved as learning for you personally.

1. Reexamine the reactions of organizations during change and the actions needed to effectively support change efforts.

Objective not met	1	2	3	4	5	Objective met successfully
		2	1	9	5	

Average: 4.0

Comments:

2. Distinguish between the roles of leadership and management in organizations and identify current management and leadership needs of the DOA.

Objective not met	1	2	3	4	5	Objective met successfully
			2	5	10	

Average: 4.47

Comments:

3. Present a strategic management and planning process to support DOA's implementation planning and to serve as a model for setting up new institutions.

Objective not met	1	2	3	4	5	Objective met successfully
			3	9	5	

Average: 4.11

Comments:

4. Revisit previously presented concepts and introduce new concepts about organization behavior and diagnosis in light of the changes facing the DOA.

Objective not met	1	2	3	4	5	Objective met successfully
		1	4	5	7	

Average: 4.05

Comments:

5. Examine the impact of social influence (use of power and authority) as it is exercised in the DOA and recommend ways it can be used more effectively to benefit and strengthen the total organization.

Objective not met	1	2	3	4	5	Objective met successfully
			4	5	8	

Average: 4.23

Comments:

6. Practice group problem solving techniques which emphasize the importance of data gathering and problem analysis for effective problem solving.

Objective not met	1	2	3	4	5	Objective met successfully
			2	5	10	

Average: 4.47

Comments: Excellent exercise.

7. Prepare management improvement action plans for individual managers and recommend next steps for DOA organizational improvement.

Objective not met	1	2	3	4	5	Objective met successfully
			2	9	6	

Average: 4.23

Comments:

- We should have had more time for this vital discussion. Perhaps TRG group could help in DOA reorganization and improve staff commitment.

B. <u>Other Aspects</u>

1. Triton Hotel in Akungalle as workshop site.

Not satisfactory	1	2	3	4	5	Quite satisfactory
	1		3	8	5	

Average: 3.94

Comments:

- Perhaps it would have been nicer to be located more closer to Kandy for various other reasons.
- Poor quality of food and service at 5 star level.
- Excellent service.
- Lighting not enough.
- Riverina was the best, followed by Triton.

2. Training materials, exercises and practice.

Not useful	1	2	3	4	5	Quite useful
			2	6	9	

Average: 4.41

Comments:

3. TRG Training Team

Not effective	1	2	3	4	5	Quite effective
			1	2	14	

Average: 4.76

Comments:

- Fantastic! Jane, Lee and Abhay work wonderful. Kept us lively through the workshop and made positive impact on all of us. Thank you very sincerely.
- Excellent.

4. Any other comments or suggestions.

- This time the method adopted in training very much attractive than during previous two occasions.
- Since the TRG team has worked over a year with DOA, they have considerable knowledge and experience on how the DOA should be reorganized. Their services should be obtained for facilitating reorganization for the next 2 years.
- Done a good job.
- I wish you come and see us and assist us through the reorganization process.
- Obtain services of the TRG team to restructure DOA.
- Involvement of the TRG in the discussions was not sufficient.
- Let us do it for the middle level managers. TRG group should help DOA in the reorganization process.
- Obtain the services of TRG for the implementation of the reorganization.