REENGINEERING TRAINING-OF-TRAINERS WORKSHOP

TRAINERS' NOTEBOOK

INTRODUCTORY SESSION
"The Big Picture"

WHY REENGINEERING?

Question What is AID's objective? Why do we exist?

Development assistance
Humanitarian assistance
Other mandated activities

USAID is organized to provide assistance, all systems support that objective

Program
- Design
- Implementation
- Monitoring
- Evaluation

Procurement
Personnal
Financial
Administrative Support

Exercise What are obstacles to accomplishing our objectives

Internal

Too much/little resources
Lack of clear policy
Poor TA teams
Regulatory constraints
Vested interests
Hostile Congress/earmarks
Procurement processes
Audit mania
Poor coordination
Inflexibility
Too much paperwork
Too many players

External

HC government
Incompetent counterparts
State Department
HC corruption
Unreal expectations
Poor performance by partners

REENGINEERING PROPOSES TO REDUCE/REMOVE AS MANY OF THE INTERNAL OBSTACLES AS POSSIBLE

HOW?

By changes to
- operating system
- information systems

Changes will embody the four Core Values
- customer orientation
- managing for results
- teamwork and participation
- empowerment and accountability

All changes will be reflected in new agency handbook system
Automated Directives

100 Organizationa and Executive Management
200 Program Assistace
300 Acquistion and Assistance Agreements
400 Personnel
500 Management Systems

** Brief overview of how these core values are resulting in changes in each of the operating sytems

Program

Customer orientation
- participation in teams
- customer service plan

Managing for results
- use of strategic objectives
- results framework and packages

Temwork and participation
- SO teams
- crossing organizational lines (EXO, Controller, CO)

Empowerment and accountability
- fewer reports
- ongoing monitoring and evaluation
- roles of FSN's

Procurement
- involvement in SO teams
- result orientation in contracts/grants
- elimination of clearances
- information systems to reduce repetitious work

Financial
- involvement in SO teams
- information systems changes

Personnel
- empowerment of FSN's
- SO teams versus hierarchical structures
- EEP's

TIMING

In transition/flux Many changes are coming October 1, but much is an a state of transition What then should you learn in the discussions of each area of change?

- How does it fit into the big picture? What are the major changes envisioned over the long term?
- How are the core values being applied to removing obstacles?
- How will the changes affect the way we do our work?
- What specifically will change October 1 and what are the immediate impacts on our roles and responsibilities?

-

QUESTIONS TO ASSIST IN DEVELOPING A STRATEGY FOR CONDUCTING USAID'S REENGINEERING TRAINING

1 What role does Mission/Operating Unit management need to play, and how do you make it happen?

2 How do you hope to work as a training team?

3 Who gets what training?
- Expectation that <u>all</u> employees will be acquainted with change
- How do you determine who gets all training?

4 How will you structure the program?
- How many sessions will you conduct?
- What is the total time you plan for the program?
- What is the flow & fit of modules?

5. How will you finalize/reproduce materials for your use at the Mission or operating unit?

6 How do you mobilize other resources (including USAID/W) to help you?

7 Are your facilities/equipment adequate and what special arrangements might need to be need?

8 Following the training, what is your continuing change agent role within the Mission, or operating unit, and how do you align colleagues to support the change?

CONTENTS

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
MONDAY, AUGUST 7 - MORNING SESSION		**TIME**
I	**INTRODUCTION TO THE COURSE - PEGGY SCHULTZ** (30 MIN)	9 00 - 9 30
II	**OVERVIEW OF RE-ENGINEERING AND MANAGEMENT EXPECTATIONS - CAROLYN McGRAW - M/DAA (ACTING)** (1 5 HOURS)	9 30 - 11 00
III	**WELCOME ADDRESS - J BRIAN ATWOOD - USAID ADMINISTRATOR** (20 MIN)	11 00 - 11 20
IV	**QUESTIONS AND ANSWERS ON RE-ENGINEERING - LARRY BYRNE - M/AA** (40 MIN)	11 20 - 12 00
MONDAY, AUGUST 7 - AFTERNOON SESSION		
I	**INTEGRATED PRESENTATION ON THE NEW MANAGEMENT SYSTEM** (4 HOURS) Results Tracking Budget AWACS A&A	1 00 - 5 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
TUESDAY, AUGUST 8 - MORNING SESSION		**TIME**
I	INTRODUCTION TO WORKSHOP SCHEDULE AND MATERIALS (30 MIN)	8 30 - 9 00
II	PARTICIPANTS' EXPECTATIONS AND THE ROLE OF THE CHANGE AGENT (1 25 HOURS)	9 00 - 10 15
III	FOUNDATIONS FOR CHANGE THE FOUR CORE VALUES (2 HOURS) The Learnıng Organızatıon	10 30 - 11 45 11 45 - 12 30
TUESDAY, AUGUST 8 - AFTERNOON SESSION		
I	OPERATIONS STRATEGIC PLANNING, THE RESULTS FRAMEWORK AND THE CUSTOMER SERVICE PLAN (3 HOURS)	1 30 - 4 45
II	REFLECTIONS	4 45 - 5 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
WEDNESDAY, AUGUST 9 - MORNING SESSION		**TIME**
I	REFLECTIONS REPORT	8 30 - 8 45
II	OPERATIONS ACHIEVING AND THE RESULTS PACKAGE (3 HOURS)	8 45 - 12 15
WEDNESDAY, AUGUST 9 - AFTERNOON SESSION		
I	OPERATIONS. MONITORING AND EVALUATING PERFORMANCE, AND THE RESULTS REVIEW AND RESOURCE REQUEST (R4) (3 HOURS)	1 15 - 4 45
II	REFLECTIONS	4 45 - 5 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
THURSDAY, AUGUST 10 - MORNING SESSION		**TIME**
I	**REFLECTIONS REPORT**	8 30 - 8 45
II	**TRANSITION CONCEPTS, ISSUES AND WORK PROCESSES** (3 HOURS)	8 45 - 12 15
THURSDAY, AUGUST 10 - AFTERNOON SESSION		
I	**ASSIGNMENT OF PRACTICE PRESENTATIONS** (1 HOUR)	1 15 - 2 15
II	**CHANGING ROLES AND EFFECTIVE TEAMWORK** (2 HOURS)	2 30 - 4 45
III	**REFLECTIONS**	4 45 - 5 00

THURSDAY BROWN BAG LUNCH WITH LOIS HARTMAN (Guatemala Room, SA 14)

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
FRIDAY, AUGUST 11 - MORNING SESSION		**TIME**
I	**REFLECTIONS REPORT**	8 30 - 8 45
II	**CHANGING ROLES AND EFFECTIVE TEAMWORK (CON'T)** (2 HOURS)	8 45 - 10 45
III	**TRAINING SKILLS METHODOLOGY AND TECHNOLOGY** (1 HOUR)	11 00 - 12 15
FRIDAY, AUGUST 11 - AFTERNOON SESSION		
I	**TRAINING SKILLS (CON'T)** (3 HOURS)	1 15 - 4 45
II	**REFLECTIONS**	4 45 - 5 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
MONDAY, AUGUST 14 - MORNING SESSION		**TIME**
I	**REFLECTIONS REPORT**	8 30 - 8 45
II	**PREPARATION FOR PRACTICE PRESENTATIONS** (3 HOURS)	8 45 - 12 15
	Optional Preview of NMS Presentation	9 00 - 12 00
MONDAY, AUGUST 14 - AFTERNOON SESSION		
I	**PREPARATION FOR PRACTICE PRESENTATIONS** (3 HOURS)	1 15 - 4 45
	Optional Preview of NMS Presentation	1 30 - 4 30

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
TUESDAY, AUGUST 15 - MORNING SESSION		**TIME**
I	**PRACTICE PRESENTATIONS** (3 HOURS)	8 45 - 12 15
TUESDAY, AUGUST 15 - AFTERNOON SESSION		
I	**PRACTICE PRESENTATIONS** (3 HOURS)	1 15 - 4 45
II	**REFLECTIONS**	4 45 - 5 00

TUESDAY BROWN BAG LUNCH FOR FSNs WITH LUCY SOTAR AND EDITH HUMPHREYS (Guatemala Room, SA 14)

OPS TRAINING OUTLINE AND DAILY SCHEDULE		
WEDNESDAY, AUGUST 16 - MORNING SESSION		**TIME**
I	**REFLECTIONS REPORT**	8 30 - 8 45
II	**PRACTICE PRESENTATIONS** (1 5 HOURS)	8 45 - 10 15
III	**BUREAU TRANSITIONAL COORDINATORS, A PANEL DISCUSSION WITH REPRESENTATIVES FROM THE REGIONAL BUREAUS** (1 5 HOURS)	10 30 - 12 15
WEDNESDAY, AUGUST 16 - AFTERNOON SESSION		
I	**PARTICIPANT BACK HOME STRATEGY PLANNING FOR POST-WORKSHOP TRAINING** (1 5 HOURS)	1 15 - 3 00
II	**CONTINUOUS LEARNING** (1 5 HOURS)	3 15 - 4 45
III	**REFLECTIONS**	4 45 - 5 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE	
THURSDAY, AUGUST 17 - MORNING SESSION	**TIME**
I **REFLECTIONS REPORT**	8 30 - 8 45
II **BACK HOME STRATEGY SHARING** (2 HOURS)	8 45 - 10 45
III **FINAL WORKSHOP EVALUATION** (1 HOUR)	11 00 - 12 00
IV **CERTIFICATES**	
THURSDAY, AUGUST 17 - AFTERNOON SESSION	
I **EEP, Session 1** (Guatemala Room, SA 14)	1 00 - 5 00
Optional AWACS Session (Room to be announced)	1 30 - 3 00

OPS TRAINING OUTLINE AND DAILY SCHEDULE	
FRIDAY, AUGUST 18 - MORNING SESSION	**TIME**
I **CICA** (9 a m to 12 noon, Warsaw Room, SA 14)	9 00 - 12 00
II **EEP, Session 2** (Guatemala Room, SA 14)	8 00 - 12 00
Optional AWACS Session (Room to be announced)	10 00 - 11 30
FRIDAY, AUGUST 18 - AFTERNOON SESSION	
I. **INDIVIDUAL APPOINTMENTS**	

August 7, 1995, 12 19pm

Schedule, TOTs

Week 1

Mon 7	Tues 8	Wed 9	Thurs 10	Fri 11
		Refl Rept	Refl Rept	Refl Rept
am -Overview of reengineering and Management's expectations, Carol McGraw, M/DAA -Welcome address by USAID Administrator, J Brian Atwood -Q&A - Larry Byrne (East Auditorium)	-Housekeeping -Notebook walk-through -Expectations -trainer/change agent role -Foundation for change-core values, customers The Learning Org (1 5)	-Ops Achieving Achieving exercise (3)	-Transition Concepts Issues & Work Processes (3)	-Changing Roles and Teamwork (Cont) (2) -Training Skills Methodology & Technology (1)
			Optional brown bag lunch with Lois Hartman	
pm -Integrated presentation on the New Management System Results Tracking Budget AWACS A & A (4) (East Auditorium)	-Ops Planning Exercise on Developing a Customer Service Plan (3)	Ops Monitoring & Evaluation (3)	-Presentation assignments (1) -Changing Roles and Effective Teamwork (2)	-Training Skills (cont) (3)
	Individual Reflections	Group Reflections	Individual Reflections	Group Reflections
	read Plunkett & material on Monitoring/Evaluation	read Transition, work processes material	read teamwork articles & start preparing presentations	prepare presentations

August 7, 1995, 12 19pm

Week 2

Mon 14	Tues 15	Wed 16	Thurs 17	Fri 18
Reflections Report	Reflections Report	Reflections Report	Reflections Report	
am -Presentation prep	-Presentations (2 pairs)	-Presentations (1 pair) (1 5) -Bureau Transitional Coordinators (Panel with regional bureau reps) (1 5)	-Back Home Strategy Sharing (2) -Final evaluation (1) -Certificates	CICA EEP (Session 02) Optional AWACS
	Optional brown bag lunch for FSNs			
pm -Presentation prep	-Presentations (2 pairs)	-Back Home Strategy Planning (1 5) -Continuous Learning (1 5)	EEP (Session 1) Optional AWACS	Individual Appointments
Individual Reflections	Group Reflections	Individual Reflections		

Note Given space limitations, it will probably be necessary to alternate sessions on Back Home Strategy Planning and Bureau Backstop Panels, doing two sessions of the panels - one in SA 14 and one at Pal Tech

LEARNING TOOLS THAT WE CAN PROVIDE YOU

INTRODUCTION

In this section we are going to cover some of the tools that we can provide you with, to help you in your learning process Of all these tools, some of them, like the posters, quick reference guides, written materials do not require much explanation, but some of them may be new to you Specifically the Windows help files and CBT (computer based training) programs The lists of FAQs (frequently asked questions) may be delivered to you on paper or as Windows help files

To help you in your learning process, we can provide you with the following learning tools

WINDOWS HELP FILES

Windows help files are the files that come with Windows applications and can be accessed by clicking on the Help menus with the mouse or by pressing the F1 key These files have green, underlined words, phrases, sentences These green elements are hypertext links that allow you, by clicking on them, to jump to the page where they are explained There are 2 types of links or jumps

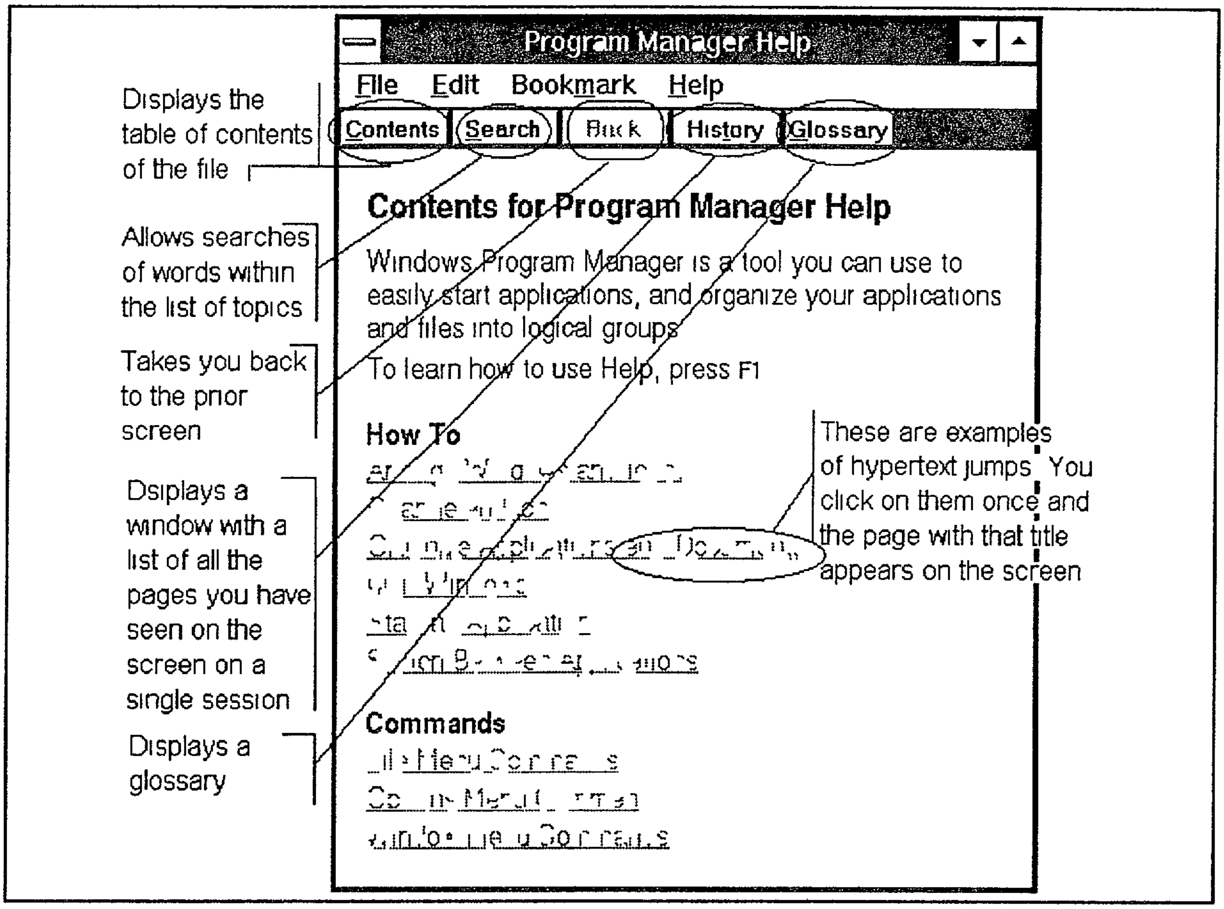
- jumps with solid underlines

These take you to new pages - the old page disappears from the screen and the new one replaces it on the screen

- jumps with dotted underlines

These display a small window that usually contains the definition of the word or an explanation of the concept

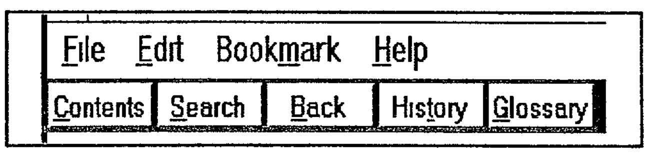
The graphic that follows is a sample of the Program Manager Help file You access it by clicking on the Help menu from within Program Manager An explanation of the file elements follows



To navigate these files and feel comfortable using them you need to know a few of their features These files always have a content section that is like the table of contents There you see a list of the topics contained in the file These topics are green, which means that if you click on any of them, you will see a different page on the screen

There is a series of buttons on top of the screen These buttons are

Contents
It displays the table of contents



Search
Displays a search window where you can enter the topics you want to search for

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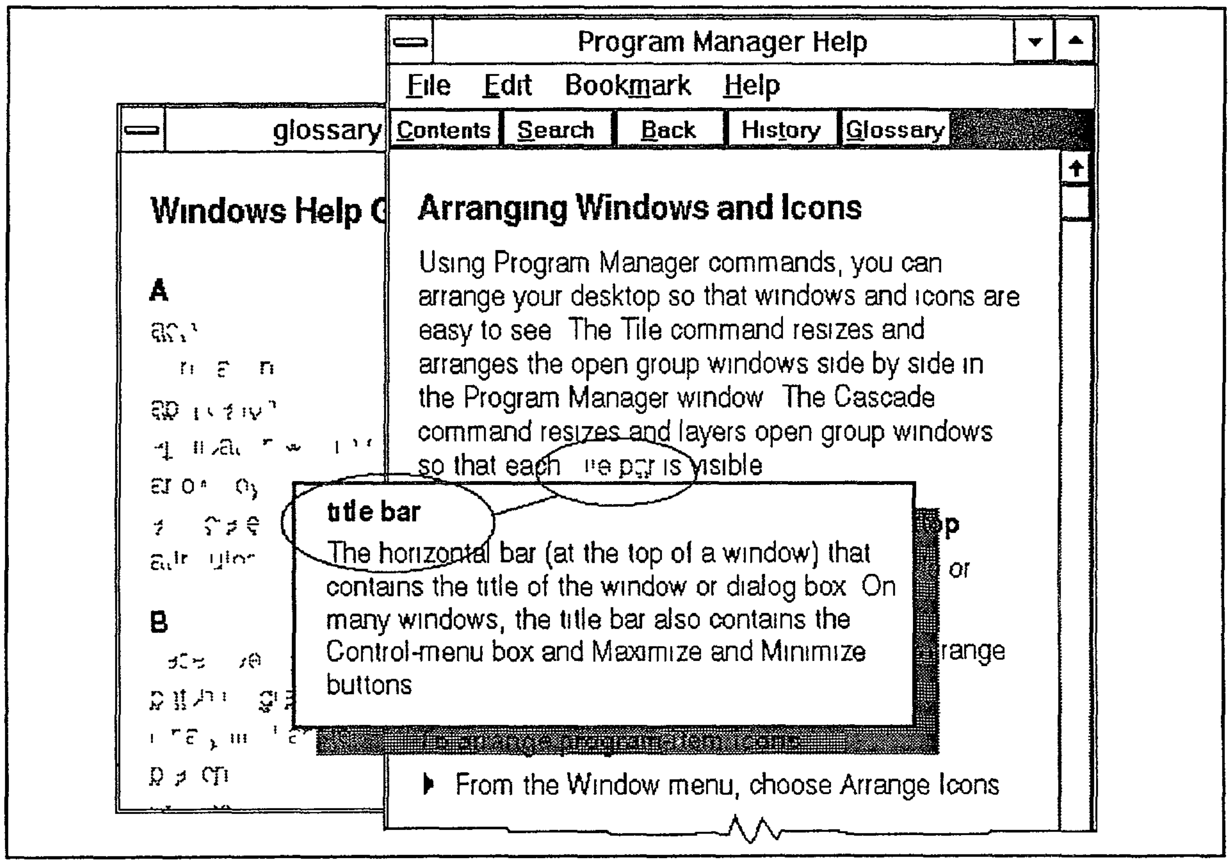
Back
Takes back to the prior window

History
Displays a window that contains a list of all the windows you have seen on the screen in a given session (until you close the help program)

Glossary
Displays a glossary of terms



In this graphic you can see a glossary window and a dotted underlined jump "title bar" and the window that appears when you click on it

You need to know how to install these files in your computer and how to run them You will find more information about these subjects below, but remember that this information is provided to you as purely informative You should not install or modify anything in your office computer without checking with your system administrator first

CBT INTERACTIVE LEARNING PROGRAMS

These are interactive learning programs that we can produce for you to help you learn and understand specific items These items can be computer programs, sections of computer programs or concepts Examples of these programs are tutorials that show you how a computer program works They are usually divided in sections or lessons You can take as many lessons per work sessions as you like You set the pace for learning There are sets of controls that allow you to move forward, do exercises (if included), see demonstrations, etc

The purpose of these programs is to teach you something, but in order to accomplish that you need to be familiar with these Computer Based Training programs themselves

The ones we can provide you are going to be Windows based They will come in compressed format and you will have to decompress them, install them and run them You will find specific details on how to do all that below

Videos

You are already familiar with videos We will produce videos in VHS format You only need a TV and a VCR, both have to be NTSC (the US TV standard) For computer training you would benefit from having a computer near your TV and VCR, that way you would be able to practice the activities you see on the video tape

Quick Reference Guides

These are usually one page documents that provide with a list of commands that you can use with a specific program

FAQs (Lists of Frequently Asked Questions)

When we receive many questions about a specific subject and we have the answer, we try to compile them into a list of frequently asked questions We will try to make these lists available to you These lists can be delivered in different formats, some of which are
WordPerfect file format You can view them on the screen and printed
Windows Help File This is probably the most helpful way to deliver them See above

Written materials

The old fashion method It is not going to go away These materials that you are using are an example of written materials You may receive them as a WordPerfect file and you may have to print them Make sure before you print them that you have selected the appropriate printer driver in the Select printer option in the File menu in WordPerfect for Windows

Posters

Posters are an excellent low-tech way of delivering information visually They reinforce knowledge by giving the users repeated exposure to the information displayed

SUMMARY

In this section we have covered some of the learning tools we will be able to provide you with, to help you in your learning process These tools are

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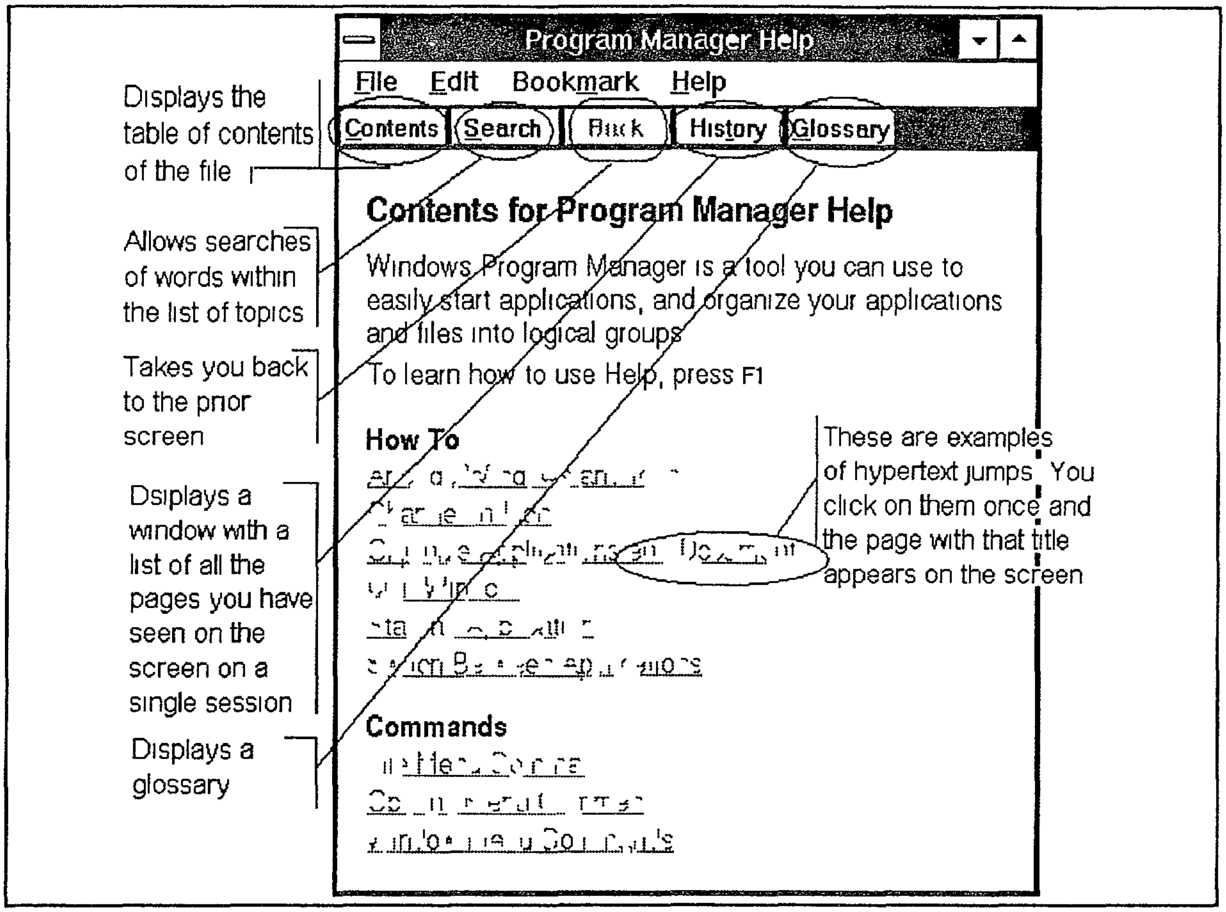

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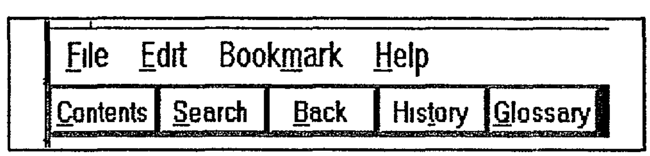

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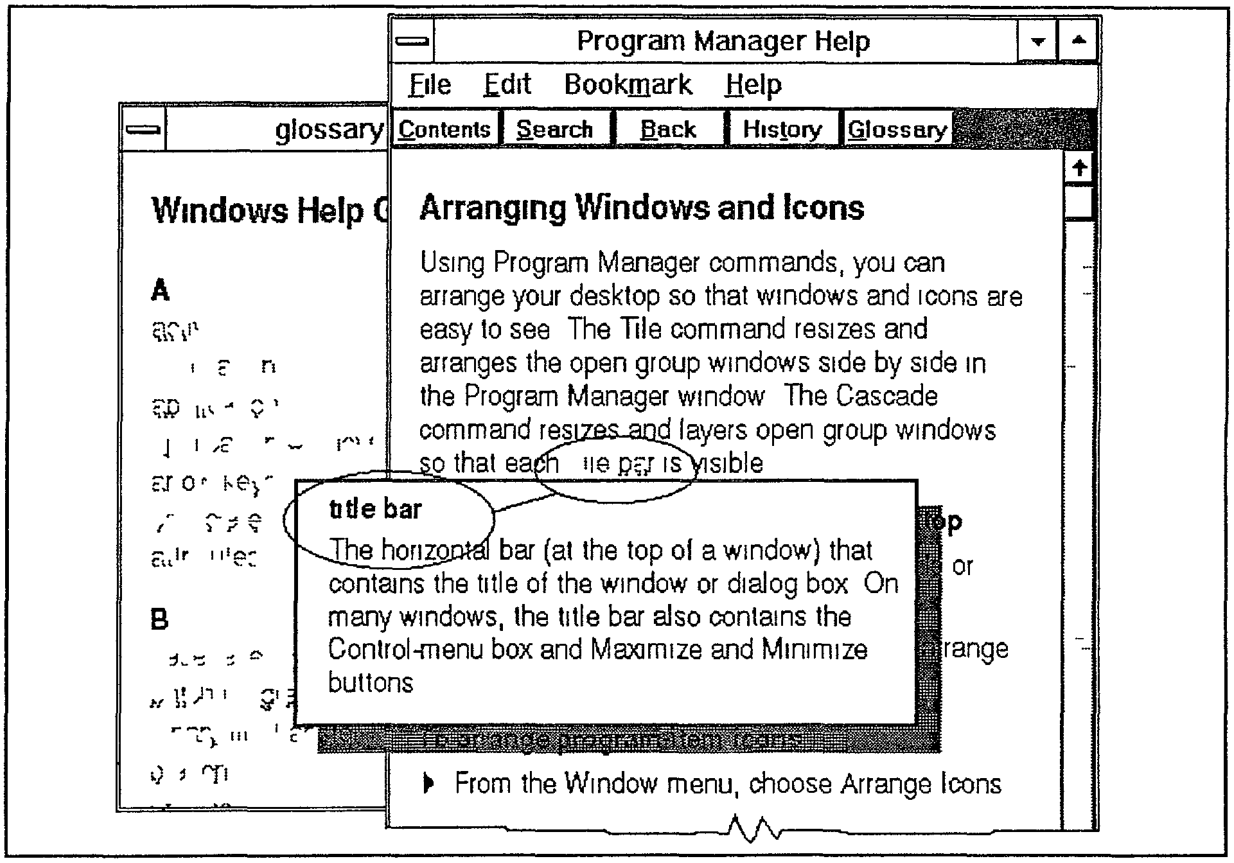

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REENGINEERING OVERVIEW

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module presents an initial overview to Agency Reengineering and the new operations systems, including the four core values The material introduce here will be expanded upon throughout the course

PERFORMANCE OBJECTIVES

- Be able to explain the basics of what Reengineering is and why the Agency is doing it
- Be able to explain the basics of the new operations system and the four core values
- Be able to discuss how these changes will affect the way we work in USAID

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 45 minutes

EQUIPMENT AND MATERIALS REQUIRED

- Slides 1 through 10
- TV monitor, laptop and hookups
- Overhead transparencies can be made, if preferred

TRAINER COMMENTS

The following comments, by slide, are totally optional to the trainer They can be added for a little extra information and to help the monotony of using only the same information provided to the participants

PRESENTATION OF THE MODULE

SLIDE SHOW

SHOW SLIDE 1 REENGINEERING

- This is NOT a layering of new regulations
- Reengineering is based on analyzing how we do our business and eliminating steps that do not add value
- Some changes are radical and many build on best practices of the Agency

SLIDE SHOW

SHOW SLIDE 2 WHY ARE WE REENGINEERING? Project Development Officers, Project Officers -and others - have spent a good deal of time trying to find ways around regulations that impede logical progress and make work difficult
(We've all done it, right?)

- The Agency has been tinkering with a system that was started 40 years ago under the Marshall Plan for the restructuring of Europe after World War II
- Over the years, USAID tried to adjust to a changing world be adding rules and regulations We became trapped in a rigid system of our own making
- In order to truly improve the quality and efficiency of our work, we had to break the mold and start from the basics
- Political imperative - must recognize that the life of the Agency is at stake and that we must take the initiative to
  - look outward
  - focus on results
  - look for opportunities
  - be entrepreneurial

SLIDE SHOW

SHOW SLIDE 3 HOW WE DID WHAT WE DID One monumental task undertaken by USAID employees is to design a new unified corporate data base for the Agency No other U S Government Agency has ever attempted to do this

Most of the work done for Agency reengineering has been done by USAID employees working in teams made up of both overseas and Washington employees

SLIDE SHOW

SHOW SLIDE 4 A REENGINEERED USAID

- Changes have been undertaken, simultaneously, in two major areas

  — An information system that will provide a unified corporate data base (New Management System), and

  — An operations system that changes HOW we do what we do (New Operations System)

SLIDE SHOW

SHOW SLIDE 5 CORE VALUES For more information on the Learning Organization, consult "The Fifth Discipline Fieldbook" by Peter Senge et al (The Training Division is sending one copy to each mission)

When discussing the customer, there is a tendency for people to get trapped in precise definitions of "the customer" The working terms of customer, stakeholder and partner are explained in a later lesson

Customer Focus

- The customer is the recipient of our goods and services (the end user)

- Congress, the American taxpayer, etc are "stakeholders" - they give us money to do something for the end users and expect us to be accountable for quality work

- The quality of our work affects the impact we have Our ability to listen to customers affects the quality of work

Managing for Results

- Missions/Offices will be accountable for results (and empowered to select the best way to achieve them)

- Trackable results are crucial for good planning and for our relationships with our stakeholders

SLIDE SHOW

SHOW SLIDE 6 ASK YOURSELF This could generate some interesting discussion, if you want to open it up Many will find numerous reasons why the can't "just do it" Yet, this is a very clear signal for employees to "empower" themselves and to take calculated risks

SLIDE SHOW

SHOW SLIDE 7 KEY FUNCTIONS OF THE SYSTEM This slide appears a few more times in the material as a focal piece on Planning, Achieving and Monitoring and Evaluating Performance

As of October 1, 1995, all programming will be done by Strategic Objectives

- Missions and operating units will agree to a management contract with their Bureau that lays out how much money is needed for each SO

- Each mission also enters into a Strategic Objective Agreement with their Host Government

- Close monitoring and evaluation becomes crucial in managing for results and for reporting on results

SLIDE SHOW

SHOW SLIDE 8 RESULTS REVIEW AND RESOURCE REQUEST (R4)

- Future allocation of funds will be tied to results

- Missions need to think carefully about spending money on activities that are not achieving results

- In order to maximize results, missions will have the authority to shift funds within each Strategic Objective

SHOW SLIDE 9 REENGINEERING QUOTE

SLIDE SHOW

- Teamwork will change how we think and work together
- Listening to customers will increase our effectiveness
- Managing for results will improve our relationship with stakeholders
- Empowerment will give us personal satisfaction on the job

SHOW SLIDE 10 CHANGE AGENTS

SLIDE SHOW

For reengineering to succeed, we must all assume the responsibility of becoming Agents of Change

BUDGET

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module provides

- An overview of the attributes and advantages of the new budget system under design, contrasted with notable deficiencies in the existing budget process

- A flowchart of the Agency Budget Cycle, accompanied by a narrative commentary on the steps in budget formulation and linked to the Government/Congressional budget cycle

- A narrative description of the major elements of the New Budget Process at the Operating Unit level The narrative includes new features of the process and some expectations for the automated system

PERFORMANCE OBJECTIVES

- Provide general background on planned content and objectives of the new budget system

- Explain overall budget cycle for background reference and fuller understanding of how operating unit budget formulations and requests fit into Agency and USG processes

- Give overview of the new budget process with key changes from old process

TIME REQUIRED TO TEACH THE MODULE

This module requires 1 hour

HELPFUL REFERENCES

- Directives
- Handouts in the Training Manual for Module 6
- Operations Business Area Analysis Making a Difference for Development, Chapter 5 (all direct quotations in this section are from this document)
- Business Area Analysis Budget and Fund Allocation Volumes I & II

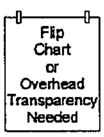
EQUIPMENT AND MATERIALS REQUIRED

- Participant notebooks
- Computer, TV, and VGA-to-TV converter
- PowerPoint presentation files for computer
- 2 flip charts, stands and paper
- Markers and masking tape

PRESENTATION OF THE MODULE

OVERVIEW OF THE NEW BUDGET SYSTEM

15 min



Briefly review, using the flip chart, the objective of this session

The instructor will go through the slides to show major features of the new budget system Go through the slides consecutively The intent is to describe the major attributes of the new system, to note the deficiencies of the current system that will be corrected, and to indicate how the new system will facilitate and speed up the budgeting process

If the question arises you can mention that

It is anticipated that the first screens (but not the entire system) will be available to interact with the AWACS and A&A systems on approximately October 1 At this time it is not possible to demonstrate or describe the content of the screens that will produce these changes

THE BUDGET CYCLE

15 min

The trainer should mention that

In the previous session on Planning, course participants were introduced to some of the budget operations related to the Planning cycle For a quick review, let's walk through the Budget Cycle Note that a single budget cycle extends over a 3 year period

You should tell the participants that We are going to follow a single fiscal year budget Let's look at the screen Explain the different steps of the budget cycle (The cycle is self-explanatory)

- It begins with the administrator's guidance which is sent early in the calendar year,
- followed by the submission of the R4,
- analysis and preparation of the final budget proposal for the administrator,
- submission to OMB for review,
- and return to the Agency,
- followed by OMB's establishment of the Mark,
- the Agency prepares a final budget request,
- which also establishes control totals for the Congressional Presentation,
- the Congressional Hearings and appropriations legislation, resulting finally in an OYB,
- Note that this process extends through parts of 3 fiscal years

Give participants a chance to look at the cycle in their notebooks Emphasize that this is a review You can use this material as a reference to see what happens to the budget in any particular part of the year

Note If participants bring up issues about the budget cycle, refer them to the part of the narrative that follows the Budget Cycle as a reference material (General Overview of the Budget Cycle) Specifically note the section on parameter setting at the bottom of page 1 and the continuing importance of external factors on program resource levels

MAJOR ELEMENTS OF THE NEW BUDGET PROCESS

- To introduce this segment explain that

This segment summarizes some of the major features of the budget process including some of the differences between the old process and the new process

Call special attention to the following points

— On page 1 - Point out some of the elements of the new process but note that these features will be handled in the new software which is not yet ready for demonstration

— **"The Strategic Objective represents the primary point of reference in strategic planning and annual budgeting, as the project has in the past "**

— "Data that supports resource requests will be available through the information system maintained by the Strategic Objectives and Results Package teams, and the accounting system "

- **On page 2—Resource Planning and Management**

  — "The budgeting system places authority over resources at the same level as responsibility for results "

  — "Exceptions will be made where funds need to be allocated to entities other than the responsible operating unit - e g , a Global Bureau-managed contract that is a part of a specific country plan or funds for a BHR-managed activity within a specific country program " Indicate that additional information is found on pages 4 and 7

- **SETTING PARAMETERS** This is the section referenced in the General Overview of the Budget Cycle

Emphasize that

"Parameters or guidelines are set both when strategic plans and/or strategic objectives are generated or revised, and during the annual budget cycle "

Refer to the discussion on parameters in the prior section

- **On page 3 emphasize Three Major Budgets formulated by Operating Units**

  - "There will continue to be **three major Budgets** prepared by Operating Units (as well as the related Congressional Presentation) "

- Pay attention to the description of these 3 budgets

- "<u>**Strategic Objective Budgets**</u> The Strategic Plan Budget will be prepared by Strategic Objective and will encompass a five to eight year planning period These budgets will include indicative levels of magnitude for financial resources required to achieve the proposed SOs, including program dollars, OE and FTE resources, and will identify USAID/W technical or other support estimated to be necessary "

  - If questions are raised regarding the long range and the lack of detailed resource planning at the initial budget stage, indicate that the strategic plan budgets are indeed general "guesstimates" with little detailed program planning and information on specific needs, but there is some flexibility in the system for making adjustments over time as planning and implementation progress

  - Also indicate that missions will address resource requirements for the following 5 categories

    - Program funding by SO
    - Operating expenses (OE)
    - Staffing (FTE)
    - Technical support from USAID/W (Global & other)
    - Program Development & Support (PD&S) funding

- "Planning will encompass all USAID program funding proposed in support of centrally-managed global programs, food aid, and research activities, as well as a listing of activities which contribute to a global objective but are without measurable country-level impact and any related management responsibilities assigned to the field " Planning and accessing centrally managed contracts will be initiated at the mission level and is discussed on pages 4 & 7

- "A concise discussion or matrix of program options will summarize the priorities of the Operating Unit, will be based on high, medium and low funding levels, will take account of Congressional and Administration mandates, and may indicate country conditions that would warrant increases or decreases of assistance "

- Approval of the Strategic Plan by USAID/W (Bureau AA plus concurrence of other pertinent Bureaus) constitutes a contract with the Operating Unit (Mission or other), that establishes <u>indicative SO budget levels, which will remain subject to annual performance review and funding availability</u>

• **On page 4 Emphasize the following sections.**

- For background information, draw attention to the fact that "Authorization" under the new system is incorporated within the management contracts between the OU and USAID/W based on the reviews of strategic plans and related Strategic Objectives Once Plans and Objectives are approved, Operating Units will be authorized to proceed with design and implementation to achieve results with no additional approvals required

- The indented paragraph that begins with <u>Central Bureaus</u> is of special interest to USAID/W Additional information is included on pages 6 & 7

- **Note the 2nd major budget, the annual budget (the R4), emphasizing its Budget content** You should also note that the level of detail on expected activities and associated funding need not be great, but should provide some breakdown below the level of strategic objectives to facilitate USAID/W review and decision making Much of the content of the R4 will be available directly from existing Results Package or Strategic Objective data files

• <u>On page 5</u> **The 3rd major budget will be developed at the Results Package or Activity Management level (when they exist as discrete units)** In many cases Strategic Objectives will not be further subdivided into separate Results Packages

- Questions may arise concerning the content of files at the Results Package level and when these data will be transferred to central USAID/W data files **When screens become available**, it will be possible to demonstrate how data may be developed, organized, and manipulated

- How will managers be able to manipulate budget data without making it available to other elements in the mission or outside? **Note** that there will be a security feature in the system to permit managers to run different budget scenarios in a trial mode and only make data available elsewhere within the Mission when they are prepared to do so, similarly, data will be released to the USAID/W data bank when the Mission determines it is ready

- **Note** that the formats and software for the strategic objective as well as results package budgets are still being developed by the Reengineering teams and are not yet ready for release

- **Note** the following key points of the **Washington R4 Budget review process**

- Reviews will be managed by the respective central or regional bureau They will be convened by the lead bureau with all parties present This is in lieu of the current system of multiple reviews done on a serial basis The intent is to use the automated budgeting system to allow all interested parties access to the data at the same time and to automate the formerly tedious chore of aggregating over 100 separate submissions to determine the total requests for a given target or priority area

- Bureaus will be allowed to separate the review of the R4 into two components a results review report and a resource requirement report, as appropriate, providing the results report is used as a basis to inform decisions regarding the budget

- At the outset, Agency-wide indicative planning levels may be set for the budget request year Cognizant operating bureaus will assemble operating unit plans, review and report on relative performance, and propose a set of resource allocations for each OU's strategic objectives

- Where plans are about on target and budget requests in line with projected levels, reviews may be noncontroversial The intent is that the system of managing based on long-range strategic plans and issuance of clear parameters at the start of the process should reduce the number of instances where USAID/W is unable to provide the resources requested Country performance, results achieved, and anticipated targets, earmarks, and directives, however, will continue to influence budget approval levels for Operating Units (and it should be kept in mind that budget levels will have to be revisited when actual appropriations incorporate unanticipated requirements)

- Once Agency-wide planning levels are set for the budget request year, operating bureaus will assemble bureau-wide budget submissions (BBS) which recommend funding levels by strategic objective for each operating unit and which are subject to joint PPC and M review to arrive at an Agency-wide budget request

- <u>On pages 6 & 7</u> The trainer should draw attention to material on these pages that emphasizes allocation of funds to responsible, accountable operating units (normally those that have made the budget request)

  — **Note** exception in cases where the obligation of funds will be the responsibility of an operating unit or office (e g , a central bureau contract) different from that which has authority over how the funds will be used (page 7) While the process for allocating specific budget amounts from one unit to another is still being formulated, note that the actual allocation of funds in the appropriate amount will be done electronically, the authority over how the funds will be used will be retained by the requesting OU, and the method of funding allocation to the unit that will manage the funds will be more efficient and less cumbersome than existing OYB transfers

- <u>On pages 7 - 9</u> The final section of this module provides **an overview** of **some of the new processes for Obligation of Funds** Because people who prepare budgets are normally involved in the obligating process, the trainer should present the general concepts for obligation at the Strategic Objective level under a three-part agreement which is defined on page 8

  — Particular attention should be drawn to the two possibilities for the obligating document to define planned activities that meet legal criteria for adequate planning prior to obligation **Note** the need for followup agreement between the two parties to provide an acceptable level of specificity in design of the activities and related funding, where the initial obligating agreement provides only broad and general scope and objectives (Page 8)

  — Standard provision requirements are stated in the Draft Directives for Achieving (7/7/95)

— The Trainer should also note (page 9) that Bi-lateral obligation is NOT mandatory where the Mission determines it is not desirable to do so and may be performed by any of the usual methods, eg grants, contracts, etc There are advantages and disadvantages in using these mechanisms

Other exceptions to bi-lateral obligations include ENI Bureau and Dominican Republic programs (page 9)

THE FOUNDATION FOR CHANGE

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module helps participants understand the foundation of USAID's reengineering efforts—emphasizing four core values This module introduces the participants to the core values, with an emphasis on the strategic importance of customer focus The module also introduces participants to understanding how operating units are composed of systems which develop and deliver programs to meet customers' needs The other three core values (managing for results, teamwork and participation, and empowerment and accountability) are also introduced in this module and elaborated on later in the course

PERFORMANCE OBJECTIVES

- Be able to identify USAID's ultimate customer, the operating unit's ultimate and intermediate customers/partners, and stakeholders
- Be able to explain the roles intermediate customers/partners and stakeholders play in delivering assistance to ultimate customers
- Identify operating unit systems which create and deliver products and services that meet customer needs

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 1 hour, 30 minutes

HELPFUL REFERENCE(S)

Directives 101 and 202
"Making a Difference for Development"
USAID's Customer Service Plans - Phase I and II

EQUIPMENT AND MATERIALS REQUIRED

- Slides 1-24
- Handouts
- Four flip charts and stands
- Markers and masking tape
- TV, computer to TV converter, and computer

PRESENTATION OF THE MODULE

CORE VALUES UNDERLYING REENGINEERING CHANGES

2 min

SHOW SLIDE 1 USAID'S FOUR CORE VALUES

SLIDE SHOW

In 1994, the Intensive Reengineering Team (IRT) wanted to make changes to USAID operations which would be consistent with a set of values USAID staff would recognize and embrace The IRT conducted interviews with USAID employees and distilled, from these discussions the four core values They are

- Customer focus
- Managing for Results
- Teamwork and Participation
- Empowerment and accountability

We'll discuss the customer focus core value now, since the focus on customers and their needs will orient USAID's work Delivering foreign assistance resources to achieve sustainable development is USAID's reason for existence—its mission

WHY FOCUS ON THE CUSTOMER?

10 min

SHOW SLIDE 2 WHY CUSTOMER FOCUS?

SLIDE SHOW

- Quality is defined by the customer
- Customer needs change with time, and must be monitored
- Understanding customer needs requires continual communication and feedback
- Customer satisfaction—so they use what USAID provides sustainably—is essential to survival

Enhancing the focus on customers *does not* mean that USAID has <u>not</u> been customer focused However, most organizations which attempt to institutionalize their focus on the customer, discover that because of the day-to-day pressures to get the work done, they drift away from being as customer focused as they'd like to be They often discover they only assumed they knew what the customers needed, or they discovered that stakeholders actually get more attention than the real customer of the organization (e g , OMB, Congress, etc), and this reduces the organization's effectiveness

Customer focus is not new, but different In some of our sector programs, USAID has spent a lot of time talking with and observing people in the villages, and even conducted surveys and focus groups What is different is that this process is now part of our system and by using a systematic approach, we deliberately find ways to reach these people who we should have reached, who are important to sustainable development, but may not have been consulted In addition, our customers can help us identify other customers we should be addressing

SLIDE SHOW

SHOW SLIDE 3 CREATE A GOVERNMENT THAT WORKS BETTER AND COSTS LESS

A good example of how the federal government is trying to become more customer focused is in the work of the National Performance Review (NPR), which was conducted early in the Clinton Administration Headed by Vice President Gore, NPR has the mission to make the government work better and cost less The heart of NPR is to change the very culture of the federal government and to accomplish the following objectives

- Increase responsiveness to the public
- Understand that customers' perspectives inform and drive our work
- Make government processes more effective, efficient, responsive

Emphasize the following point One of the major differences in our renewed focus on customers is that the people who use our services or products—that is, our customers—are essential and fundamental THROUGHOUT THE ENTIRE OPERATIONS SYSTEM As we describe how the operations system works, we will show you how the customer is integrally involved throughout, in planning and monitoring and evaluation performance, as well as in achieving

SLIDE SHOW

SHOW SLIDE 4 CREATING A CUSTOMER-DRIVEN GOVERNMENT

Creating a customer driven government—what does this mean?

Driver - the ultimate customer and his or her needs

Assessment - analysis of needs and of available resources drives organizations to develop systems and to hire people to meet those needs

Systems

- Operational systems—how USAID's product (sustainable development assistance) is produced and delivered

- Management systems—how the work described above is enabled through various support (or management systems)

People

- Do we have the right people?
- Are we enabling, equipping and empowering them?
- Is management providing leadership?

The interaction of our organizational systems and the people who work within them, along with our customers, create results which lead to an outcome, which (hopefully) results in customer satisfaction, and sustainable development results

Data about service quality and customer satisfaction feeds back to a basic question Did we meet the customer's needs? If so (or if not), why?

- Did we develop a product/service that was consistent with their needs?
- Did we know and understand what are the needs of the customer?
- Was the "system" designed to address and meet the needs of the customer?
- Was the system capable of meeting customer needs? Did we deliver?

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Learning about the outcome--

- Was it achieved?
- Why or why not? Were our systems able to produce and deliver? Were we pointed in the right direction (driver)?
- How can we do it better?

WHO IS THE CUSTOMER?

15 min

SHOW SLIDE 5 WHO IS THE CUSTOMER?

While asking this can provide a laundry list of answers, USAID has defined its customers to be the end users, or the beneficiaries of USAID's products, services, training, and information

While we serve our customers, we must remember we are doing so in the context of USAID's mission - supporting sustainable development and humanitarian assistance

SHOW SLIDE 6 DEFINITION OF CUSTOMERS

The definition of USAID's customer can be found in the Draft Managing for Results Definitions (7/10/95) Note that definitions for ultimate customers as well as intermediate customers are given

SHOW SLIDE 7. SERVING CUSTOMERS—WHO WE INTERACT WITH IN OPERATING UNITS

Discuss

- Suppliers

- Partners

- Stakeholders

See slides and participant notebook for definitions of above terms

Note that these groups have needs also, but they must be addressed in the context of meeting the needs of the ultimate customers, not displacing them

Looking at customers this way doesn't mean we "ignore" the intermediate customers and the stakeholders

- It means we need to consider their needs in the context of satisfying the end user

- It means we need to use information about the end user to address the needs of these other groups in a way that is aimed at benefitting end user For example, if we develop a nutritional education marketing strategy which only meets the needs of the intermediate customers (an NGO with the ability to produce written products in the language spoken in the capital city), we might not address the needs of the majority of the ultimate customers (who live in rural settings, speak a different language or dialect, and/or are illiterate)

SLIDE SHOW

SHOW SLIDE 8: UNDERSTANDING CUSTOMERS AND STAKEHOLDERS.

<u>Stakeholders</u>

- They are not our customers - we were not established to *do* something for them

- They give us resources (money) and direction to do something for someone else (our end users)

- They want a "return on their investment" (i e , results)

<u>Customers</u>

- They want a quality product or service

SHOW SLIDE 9 US GOVERNMENT CONGLOMERATE

- Note that we can compare our stakeholders with a corporation's stockholders and board of directors, who tell the corporation what to produce and what level of profit they expect from the corporation

- Our stakeholders tell us what we are supposed to be doing (sustainable development and humanitarian assistance) and also further define our goals (this year, child survival is the focus)

- The diagram on the slide shows how we might think of the US government if we were thinking of it in private sector terms

SHOW SLIDE 10 CUSTOMER ISSUE—QUALITY, NOT PAYMENT

- The real issue of customers, for USAID, is a quality issue, not a payment issue

- If we produce a good quality service, we will have a positive impact on the end user, achieve sustainable development

- If we have a positive impact on the end user, we move toward satisfying the stakeholders, who asked us to do this work in the first place We can point to results, and to the "ownership" of results by end-users

- We need to get more input from the customer in planning, achieving, and monitoring and evaluating performance

"We need to shift our focus from planning what we do based on what experts tell us, to planning what we do based on what customers tell us and to allow external factors (from customer input) to influence more of what we do to improve quality," said Phyllis Dichter-Forbes, in the TOT pilot, July 1995

SHOW SLIDE 11 CUSTOMER AS PART OF THE SYSTEM

Use this slide to show how customers, suppliers, partners, and stakeholders "fit together" in the context of a work system
This slide shows the relationships among suppliers, partners, stakeholders and customers

Supplier - provides input to the system

Stakeholders - provide direction and resources to the process

Process - step-by-step processes for taking inputs, adding value to them, and turning them into products and services which meet customer needs when delivered effectively

Outputs - go to customers

It also shows how feedback about results and customer satisfaction can "inform" decisions about the system, its inputs, and how we relate to our customers and stakeholders

SHOW SLIDE 12 PARTNERS HELP SERVE CUSTOMERS

Discuss how USAID delivers most of its development assistance through the work of partners It is our responsibility to assure we understand what the ultimate customers need so we can put the work of our partners in context Partners are intermediate customers They have needs (efficient USAID processes, clear direction, longevity in business, reasonable and efficient monitoring methods, fair market share, etc) It is critical that the needs of partners are tempered and put in the context of satisfying the needs of ultimate customers Remember, our services go to end users

SLIDE SHOW

SHOW SLIDE 13 BENEFITS OF INSTITUTIONALIZING A CUSTOMER FOCUS

- Customer becomes the "North Star"—guiding direction for SOs
- Customer guides decisions about hiring and employee development—skills and language training
- Contributes significantly to sustainable development
- Helps focus USAID staff & partners' efforts
- Fends off complaints by understanding and addressing needs and concerns

BEING CUSTOMER FOCUSED—WHAT THIS MEANS TO ME (BREAKOUT EXERCISE)

15 min.

Have the participants break into small functional specialty groups (or have them break into pairs and interview each other) Refer them to the worksheet at the end of this module Give the groups 10 minutes to fill out the worksheet Have the group select a spokesperson (different from the last exercise) and provide a brief (1-2 minutes) report back to the group (or select 1 or 2 pairs to report back)

Refer to the worksheet in the participant workbook at the end of the module, "Being Customer Focused - What This Means to Me"
The questions on the worksheet are

What product or service results from my job?
Who are my customers? What links connect the end user to me?
How do I think my customers define the quality of my work? What are their needs? If I don't know, how could I find out if what I think is true?
How would this information affect my work?

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PRODUCTS AND SERVICES TO MEET CUSTOMER NEEDS

5 min

Organizations satisfy customers through products and services they create and deliver to meet customers' needs USAID serves their ultimate customers by delivering sustainable development assistance

What are some examples of products and services we encounter as consumers? And more importantly, what needs are addressed? What are some prducts and services USAID's customers receive? What needs are being addressed?Take an example of a product or service, write it on a flip chart and ask the participants to identify the needs being addressed *Some examples*

Product/Service	Need Addressed
A meal in a restaurant	Hunger Relaxation Good value for the money Being served graciously, etc
Flight to the US	Safe transportation Comfort Speed Assurance that baggage will arrive safely, etc
Condoms	AIDS protection Smaller families Planned spacing
Irrigation management practices	Higher farm income More food Longer system life Reduced operating costs Environmental protection

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Often customers state their "needs" in terms of a product they would like, versus the benefit being sought It is important to try to get behind the stated need to the true benefit For example, a small business man may state a "need" of getting a lower interest rate on a loan The real benefit might actually be making a profit Making a profit opens up the possibility of "products and services " For example, maybe we look to cheaper inputs to the business, or to streamlining his/her production process Discovering actual needs will take some skill and practice, especially in cross-cultural settings, to find out

Ask the group to identify a product or service that a USAID operating unit provides to its customers What are the needs being addressed?

SHOW SLIDE 14 CHANGING ROLES - CUSTOMERS, SUPPLIERS, OR BOTH?

- In a typical work process, everyone in the chain is changing roles - from customer to supplier and back to customer
- If I receive an input from another "intermediate customer," I am a customer My "supplier" must know my needs
- If I do something with than input, and provide it to another intermediate customer or ultimate customer, then I am in the role of supplier I must know my "customers" needs and meet them

for example, a contract officer on an SO team provides advice to the team regarding ways of acquiring technical assistance The CO is in a customer role as she receives the request for help The SO team is then the customer, as they receive her advice

SLIDE SHOW

SHOW SLIDES 15 AND 16 ENSURING PRODUCTS & SERVICES MEET CUSTOMERS' NEEDS

To ensure customer satisfaction, it is imperative that we determine accurately what it is that customers need and expect Then, we need to balance the needs with the "costs" of delivery Finally, we need to use the information customers provide us in the formation of our sustainable development "products and services "

SLIDE SHOW

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SHOW SLIDE 17 WHAT DO THE CUSTOMERS VALUE?

We need to discover what customers value

- Find out what satisfies customers—what do they need and/or expect
- Find out what dissatisfies customers
- Find out their priorities—Is what we are providing or offering what they want? Are our services delivered well? How do they compare with services provided by others?

SHOW SLIDE 18 WAYS TO DISCOVER CUSTOMER NEEDS

SLIDE SHOW

There are a variety of tools and techniques for obtaining customer feedback and discovering customer needs They include the following

- Documents and publications
- Meetings
- Focus groups
- Surveys
- Interviews
- Observing customers
- Ombudsmen

TEAMWORK AND PARTICIPATION

2 min.

SHOW SLIDE 19: DEFINITION OF A TEAM.

SLIDE SHOW

A team is a group of people working together to achieve a common goal We'll talk later about what this means, and how it may be similar to or different from work we have been doing (Show slide 20, and 21, "Teamwork ")

Discuss the following highlights

- Teamwork can occur in both formal and informal teams

- Teamwork can be as simple as several offices collaborating to solve a common problem, or can be done more formally as we will do in Strategic Objective and Results Package teams

- Teamwork enables people who have different knowledge and perspectives to come together to solve problems and create solutions

- Teams should be empowered to achieve results, which means they need the authority to make changes We should see less reporting requirements and less micromanagement with enhanced teamwork

- In addition, as you have already realized, our work processes don't always "sit" in one office (operating unit) More typically they cross functional boundaries Therefore, people need to work together to achieve results and make things better

WHAT MAKES A TEAM EFFECTIVE? (EXERCISE)

20 min.

Break the group into 4 small groups Ask them to think about the best team they ever worked on If they have not been on a team before, think about a task they accomplished with a group of people which they are proud of and where the people worked well together in getting the job done Identify what it was about the experience of working in that team setting that made the experience so positive Record ideas on the flip chart Ask the groups to identify their top 3 ideas to present back to the group Allow them 15 minutes for this task

Record the top 3 items from each group on flip charts and hang these on the wall Then say

The groups have identified these items to be important aspects or attributes of effective team work. Can we agree that these are positive attributes of effective teams? And, if that is true, can we leave these up on the wall to guide our work as a group over the next few days. Teams often identify group norms (values and behaviors to enable effective teamwork) and operating guidelines (how we will actually work together) and state these up front early in their team development (see page 5 of the Toolkit for Effective Teamwork).

Refer the participants to the article, *"Ground Rules for Groups"* and the handout, *"Some Ground Rules for Effective Meetings"* in their binders.

EMPOWERMENT AND ACCOUNTABILITY

15 min

SLIDE SHOW

The term "empowerment" is one of the more loosely described and misunderstood words used in organizations today. Let's see if we can put some definition to it. *(Show slide 22)*

- Authority
- Accountability
- Capability (Tools, Knowledge and Ability)
- Trust

Refer the participants to the handouts on empowerment and allow 10 minutes to read them. Remind them that empowerment is not just about "more authorities" and that we are legally bound by some of the authorities that cannot be redelegated. Given that, are we truly acting in an empowered way with the authorities that we do have?

With the help of another instructor, gather thoughts from the group on the following two topics (put each on a flip chart and record answers).

- What can we do to create a more empowering environment?
- What can we do to empower ourselves?

- How can we empower others?

MANAGING FOR RESULTS

2 min

SLIDE SHOW

We will talk later in this course about defining results, developing SOs and results frameworks, and then actually achieving them, and monitoring and evaluating performance We will talk about what has changed in the operating units to increase their ability to manage for the results they want to achieve *Show Slides 23 and 24, Managing for Results* Some thoughts to remember about managing for results

- Know who the ultimate customers are and what their needs are
- Know the results we want to achieve with our resources
- Understand the steps in the process to achieve the result
- Have information through feedback to tell us how well we are doing
- Have the authority to take corrective action, modify our process, or change the result to achieve the objective we set ourselves

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THE LEARNING ORGANIZATION AND THE ADULT LEARNER

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module is designed to introduce participants to the learning organization and how to identify their own learning styles in this framework The participants will learn to diagnose their learning needs as trainers/change agents

TIME REQUIRED TO TEACH THIS MODULE

The estimated time required to teach this module is 45 minutes

HELPFUL REFERENCE(S)

- *The Fifth Discipline The Art & Practice of the Learning Organization,* Peter M Senge, 1989

- *The Fifth Discipline Fieldbook*, Peter Senge, Richard Ross, Bryan Smith, Charlotte Roberts, Art Kleiner, Doubleday Books, 1994

  ASTI— American Society for Training & Development

EQUIPMENT AND MATERIALS NEEDED

* Handouts (Grid with Adult Learning Styles)
* 1 flip chart pad and 1 flipchart stand
* Prepared flip charts
* Markers and masking tape

PRESENTATION OF THE MODULE

INTRODUCTION

5 minutes • Open module with exercise/question

- "WHAT IS THE MOST IMPORTANT THING YOU LEARNED LAST WEEK?" When did you learn it? Where did you learn it?
- Brainstorm and record comments on flip charts
- Facilitator "Note — it is interesting that these learnings did not happen in a classroom! What does that tell us?"

5 minutes **DEFINITION OF LEARNING ORGANIZATION**

- **Show Flip Chart 1: Learning Organizations**

"A learning organization is an organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect new knowledge and insights "

- ROLE OF TRAINING DIVISION

- **Show Flip Chart 2 WE ALL LEARN IN DIFFERENT WAYS**
  Example
  NMS Training-of-Trainer Course — this course has been designed to accommodate different learning styles There are videos, tapes, visuals, computer-based training, help screens, homework (self-study), email hotlines, traditional classroom (there's a place for it), etc There is a plce in USAID for multiple learning styles

10 minutes • **HOW DO WE GO ABOUT HELPING PEOPLE LEARN BACK IN THE MISSION OR OFFICE?**

- **The first step is identifying how adults learn. We must recognize that adults learn differently from children — and that adults learn differently from each other.**

- **Show Flip Chart 3** The Adult Learner Review key points with participants

10 minutes **HOW DO ADULTS LEARN?**

- The last point on adult learners is that "adults learn differently" How differently do they learn? Research has pointed out that there are 4 styles of learning

REFLECTIVE ***Why?***	**PRACTICAL** ***How?***
CONCEPTUAL? ***What?***	**CREATIVE?** ***What if?***

- **DIVERSITY IN A LEARNING ENVIRONMENT**

— It should be noted that in addition to these style of learning, there is much diversity in your classroom Gender, race, culture, employment status (FS, GS, FSN, PSC), religion, etc We will be covering more dealing with managing diversity in the TOT module

10 minutes **DISCUSSION/EXERCISE·**

- Let's return to the question, "How can I help people back in my office/mission learn?" First, you need to identify your own learning style This is your "driver" — it is also how you train others — based on your preferred style of learning You need to learn how to identify how you learn and how it is different form the other 75% people in the room When you know the different learning styles, you can adapt

- SO— based on these learning styles, can you start to identify what your learning style is? Where do you fit? Let's think back to the introductory exercise — your biggest learning last week? HOW DID YOU LEARN THAT LEARNING LAST WEEK?

- WHY DO WE NEED TO KNOW THIS? When you are back in office/mission — you will find that some people will understand your learning style — because they have the same style Some will not have your learning style — and will not get what your are saying! So you have to adjust your style to others! If someone looks puzzled, give them an example

- Show Flip Chart 6 Also, in the next two week, watch your instructors

  - Are they giving you the context to the theory?
  - Are they using good training techniques?
  - What would be useful to you?
  - What works for you?
  - What doesn't work for you?
  - What things do you want to steal shamelessly?

- *BE AN ACTIVE LISTENER!*

- Show Flip Chart 7 Review Flip chart with participants and seek their responses

- State that there are **TWO TRACKS** in this training You have 2 tracks this work — content and TOT As you hear content, think about how you can apply it as a trainer/learner

5 minutes **SUMMARY:**

- LESSONS LEARNED

  - We believe that learning must be modelled As an Agency that is continually improving its business, we share this philosophy Please give us feedback

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WHAT WORKED?	**WHAT COULD HAVE BEEN IMPROVED?**

Thank you!

THE LEARNING ORGANIZATION AND THE ADULT LEARNER

LEARNING ORGANIZATION

"A learning organization is an organization skilled at creating, acquiring, and transferring knowledge, and at modifying its behavior to reflect new knowledge and insights."

- **WE ARE CONTINUOUSLY LEARNING**
- **WE LEARN IN OUR OWN WAYS**
- **WE LEARN WHAT WE WANT/NEED TO LEARN**

Flip Chart 1

THE ADULT LEARNER

- is self-directed, not dependent
- is problem centered, adults are motivated to learn by their life situations and bring their experiences to the learning situation
- brings their own experience to the learning event
- is often an expert in their field
- is usually learning voluntarily
- learns best by being able to interact with the delivery method —
- prefers to be an active, not a passive learner
- prefers variety
- needs positive feedback — adults prefer to know how their efforts measure up when compared with the objectives of the training program
- are adults — who have choices to learn or not to learn
- has professional and personal pressures and responsibilities
- wants practical, useful information and skills to do their jobs better — must be relevant
- is usually highly motivated
- prefers to learn gradually through familiarization and repeated use
- learns differently

Flip Chart 2

HOW DO ADULTS LEARN?

There are 4 styles of learning:

REFLECTIVE ***Why?***	**PRACTICAL** ***How?***
CONCEPTUAL ***What?***	**CREATIVE** ***What If?***

Flip Chart 3

WATCH YOUR INSTRUCTORS:

- Are they giving you the context to the theory?
- Are they using good training techniques?
- What would be useful to you?
- What works for you?
- What doesn't work for you?
- What things do you want to steal shamelessly?

BE AN ACTIVE LEARNER!

Write your learnings down and use them in preparing for your presentations!

AS YOU THINK ABOUT YOUR LEARNING STYLE:

- **What/Who helped you learn?**
- **What got in your way?**
- **What do you want to work on?**

BEING CUSTOMER FOCUSED - WHAT THIS MEANS TO ME (Worksheet)
What product or service results from my job?
Who is my customer? Through what links do I reach that customer?
How do I think my customers define the quality of my work? What are their needs? If I don't know, how could I find out if what I think is true? How would this information affect my work?

WHAT IS EMPOWERMENT?

There are many definitions of empowerment The following thoughts are intended to create a "picture" of what we mean by the concept of empowerment

- An environment in which objectives, policies, systems and structures work toward common goals which are clearly communicated at all levels of the organization
- Expectations and jobs which are in line with the capabilities of employees
- Systems which consistently provide all personnel with the training, resources, and authority to do their jobs well
- A climate in which individuals (and teams) are encouraged to take responsibility for their own work and are given the means to evaluate and improve their own performance
- Systems which encourage, evaluate, and reward individuals for contributions to the organization in ways apart from their everyday work and see all of their efforts as worthwhile and important
- Executives, managers, and employees who are clear about the scope of their authority and accept personal responsibility and accountability for providing customer satisfaction, continually improving processes, and continually learning

CREATING AN EMPOWERING ORGANIZATIONAL ENVIRONMENT

Organizations can be created which allow empowerment to flourish and grow In empowering organizations, managers

- Describe clearly the purpose of the organization and work process and the desired outcomes

- Clearly describe the jobs of employees, how they fit in and how they contribute to the larger process Employees must be clear on what is expected of them and what they are responsible and accountable for

- Match the structure, duties and level of jobs with the capabilities of individuals in them

- Describe the latitude and discretion employees have in the job, especially as it relates to making improvements and satisfying customers' needs Expand the latitude to the maximum extent possible

- Provide employees with the authority they need to do the job well

- Help employees view their jobs in a context which includes the value of contributions made to the organization as a whole, to customers, to society, etc

- Ensure that employees can do their jobs by providing training, instructions, tools and equipment, and a physical environment conducive to successfully completing their tasks

- Ensure employees (and teams) have ongoing information to monitor performance (individual overall results performance), and the authority to take corrective action or raise concerns

- Ensure that employees are not punished for calculated and well-intentioned risk-taking Use these as opportunities to learn

- Create an environment where honesty prevails, where employees feel comfortable discussing how something is really working, even if it is in contrast to how it should be working

- Foster open, honest and genuine communication Communication aimed at pleasing the boss at the cost of achieving results should be discouraged

PLANNING

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module focuses on the basic organizational roles and responsibilities, processes, tools, and organizational products called for under the re-engineered strategic planning system The module walks the workshop participants through the planning process, starting with the Agency Strategic Planning Framework, moving through bureau and operating unit Strategic Plans, and ending with the review of Bureau Budget Submissions and submission of an Agency budget request to OMB The emphasis throughout the module will be on what is new under the re-engineered system, particularly the Customer Service Plan and Results Framework, and how what is new fits into the total picture Emphasis will also be placed on how the four core values are expected to guide performance throughout the planning process

PERFORMANCE OBJECTIVES

At completion of this module, participants will be able to

- Identify the changes inherent in the new planning system and determine their impact on one's own job and operating unit
  - Recognize what is different and what is the same about the planning process as a result of re-engineering
  - Assess why changes were made in the planning system and explain the barriers and advantages to be realized through implementation of those changes
  - Explain the basics of the new USAID planning system and relate them to changing roles of US and FSN staff, as well as to those of customers and partners
  - Relate the key elements of the new planning directives to one's cognizant operating unit
  - Become familiar with the new planning documentation requirements and methods
- Describe how specific applications of the core values will improve planning at the operating unit level
  - Explain and be conversant with how the core values provide a foundation for the new planning system

PREPARATION OF THE INSTRUCTOR

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 3 hours

HELPFUL REFERENCES

Note The references listed here do not include all of the reading materials used in this module These are supplementary references provided in the trainer's guide for your use, and not provided to the participants

Listed later, in the Introduction section of the presentation of the module, are the reading materials that are being included in the participant's notebook These are the references we think participants should have When you are doing the training, you may choose to add some of the references listed here to the ones you give your participants, and you may decide to delete some of the ones that are already in the participant's notebook It depends on what you think your participants will find especially useful

- *"The New USAID Operating System for Planning, Achieving, and Judging Results Accomplishment,"* J Bierke, draft, May 22, 1995
- *"How to Recognize a Participatory Approach (if you bump into it in a dark alley),"* Diane LaVoy, Draft January 11, 1995
- *"Uncle Sher's Maxims for Customer Service Plans,"* Sher Plunkett, Customer Service Officer, M/ROR, March 1995
- *"Illustrative Indicators for Measuring the Four Core Values"* (no name, no date)
- *"Service Quality and Customer Satisfaction Assessment,"* Sher Plunkett, m/ROR, May 1995
- *"Operations Business Area Analysis Final Report Making a Difference for Development,"* January 1995 This voluminous document is not provided in the trainer's notebook It was widely distributed early in 1995, so it should be available in your operating unit If not, contact M/ROR for a copy

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EQUIPMENT AND MATERIALS REQUIRED

- Disk including set of planning module overheads in PowerPoint, computer and zip drive, and TV monitor, OR set of planning module overheads on transparencies, overhead projector, and screen

- Four sets of flip charts and easels

- Markers and masking tape

PRESENTATION OF THE MODULE

INTRODUCTION

3 min

Start by stating and presenting on a flip chart (Flip chart 1) that this is Module 4 Planning, and that there are three basic objectives for this module

Flip Chart or Overhead Transparency Needed

- Participants are able to identify **the key changes** in development planning as a result of re-engineering, especially those relating to the Customer Service Plan and the Results Framework/Strategic Plan,
- Participants understand how **the four core values** provide a foundation for the new planning system and how their application will improve the planning process and products,
- Participants (in their SO teams, or however they are organized to plan and implement their development programs) **make some progress in developing and using a customer service plan** for better planning and achieving

MATERIALS REVIEW

12 min

Next, review with participants the materials that are provided in their notebooks Much of the content of this module is taken from those materials, so they should serve as useful references in the future

Walk them through the materials, pointing out each one's utility and how it relates to what we are going to talk about

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MODULE 4 — PLANNING

OBJECTIVES

At the end of this module you will be able to:

- **IDENTIFY THE KEY CHANGES IN PLANNING**
- **DESCRIBE HOW THE FOUR CORE VALUES INFLUENCE DEVELOPMENT PLANNING**
- **SHOW PROGRESS IN DEVELOPING A CUSTOMER SERVICE PLAN**

"Example of Management Events ın the Reengıneered System " Thıs ıtem was done by the team developıng the Plannıng Dırectıves It's sımılar to another ıtem ın the traıner's notebook ("The New USAID Operatıng System," by John Bıerke, a member of the Operatıons BAA), but gets more detaıled ınto the plannıng process Both thıs ıtem and the Bıerke ıtem are companıon pıeces for the three-page process flow dıagram presented ın the overheads

Several ıtems ınvolve the customer ın plannıng

- *"ON TRACK What ıs Customer Focus? "* Thıs gıves a concıse explanatıon of what the Agency means by the key core value of "customer focus " Note lots of people ın USAID ınıtıally brıstle at the use of the term "customer" ın the government context Thıs pıece helps deal wıth that

- *"Steps for Customer Servıce Plannıng "* Thıs pıece lays out four key steps ın the **process** of customer servıce plannıng ın the re-engıneered plannıng process

- *"Ten Easy Steps for Developıng Customer Servıce Standards "* Thıs pıece elaborates on Step 4 ın the customer servıce plannıng process from the pıece above

- *"Guıdelınes for Developıng Customer Servıce Plans "* Thıs pıece helps the reader take what was done ın the customer servıce plannıng process (as descrıbed ın the two ıtems dırectly above) and lay ıt out ın a customer servıce plan, a document that the operatıng unıt may choose to produce and share wıth others

- *"Phase II, Customer Servıce Plan "* Actıon Memorandum for the Assıstant Admınıstrator for Management, from DAA/M, Phyllıs Dıchter-Forbes Thıs draft document, whıch, when fınalızed, wıll be submıtted to the Natıonal Performance Revıew, lays out the Agency's phılosophy, prıncıples, and standards for addressıng the needs of ıts customers and partners It represents a revısıon and elaboratıon of the "Phase I Customer Servıce Plan," whıch was dıssemınated several months ago NOTE Customer servıce plans are requıred of all federal agencıes—they are not a USAID ınventıon, but the Agency does wholeheartedly embrace the customer focus and customer servıce plan approach

- *"USAID/Jamaica's Customer Service Plan "* This is a recent example of a mission's customer service plan, one developed by a Country Experimental Lab (CEL) It deals, on a general level, with how the mission will do business with all its customers It does not address program-specific customer service planning Emphasize that it is an example from actual experience, not necessarily a model for other missions to emulate

- *"Plan for Improving Client Satisfaction with the Health Sector Program "* USAID/G-CAP, e-mail, April 20, 1995 This is one mission's program-specific customer service plan for a particular strategic objective area Again, an example, not a perfect model to be imitated

Two items on developing a strategic plan include

- *"Results Framework "* These are notes developed by the Planning Directives team to help clarify what a results framework is The example referred to in this document is not provided at the end of the document as promised It is provided in the overheads for the presentation (It's the results framework on girls' education)

- *"G Bureau Planning Strategic Support Objectives "* This item helps clarify just what SSOs are It was written by the Planning Directives team

- *"Karlanda "* This is an excerpt from a lengthy case example that was developed for use in illustrating the new operations system It is derived from actual strategic plans in use in the field This item will be used in the exercises for all three operations modules Planning, Achieving, and Monitoring and Evaluating Performance

- *"201 Managing for Results Strategic Planning "* the draft set of Planning Directives and THE most definitive document for the planning module, is in a separate section at the end of the participant notebook, not here in the planning module section

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THE RE-ENGINEERED PLANNING PROCESS

30 min

SLIDE SHOW

SHOW SLIDE 1 Begin this session with a very brief review of what a re-engineered operations system—planning, achieving, information for performance management—is going to look like The four features of USAID's reengineered operations system listed here reflect a conscious application of the Agency's four core values

— **"Ambitious but achievable results"** reflects the Agency's reaffirmed commitment to a **results** orientation

— **"Authority Over Resources, Tools, and Information"** and **"Improved Procedures"** reflects the commitment to **empowerment**, in this case, of Agency staff and partners

— Finally, **"Collaboration Among Teams, Partners, and Customers"** reflects the two core values of **customer focus** and **teamwork**

SLIDE SHOW

SHOW SLIDE 2· Operations is a cycle, and planning plays a major role Point out that results is the focus of the entire operations system The "lessons learned" connection between Monitoring and Evaluating Performance and Planning reflects the Agency's renewed commitment to being a "learning organization "

SLIDE SHOW

SHOW SLIDE 3AND 4 WHAT'S DIFFERENT IN PLANNING? Here is what, specifically, we expect to be different about the process of Planning, primarily from an operating unit perspective

Note These overheads are essentially a table of contents for the module, and each bullet will be addressed in some detail, as we walk through the entire Agency planning process

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- The "new" planning system is built on the **best practices from Agency experience**, particularly the longer experience with planning in the AFR and LAC Bureaus So, in a very real sense, it isn't all that "new " What is new is a commitment at the Agency level to make the best practices of some parts of the organization become the *standard* for practice throughout the Agency

- Particularly new in planning are the increased and systematic emphasis on customers and participation in planning at every level, and joint planning between the field and USAID/W Joint planning, if it is done well, should lead to more effective achievement of results and to fewer surprises when strategic plans come into USAID/W from the field

- With the new approach to budgeting (by strategic objective) there will be an increased emphasis on past achievement of results and the likelihood of future achievement of results when resources are being allocated

- Good news for the document-weary Field operating units are required to send to USAID/W only two documents, the once-in-several years Strategic Plan and the annual Results Review and Resource Request For example, missions do not have to send activity-specific documents (such as the old project paper) to USAID/W for review

- Once the New Management Systems are operational, everyone involved in the planning process will have easier and more timely access to information—information regarding the strategies and results of other operating units that might be relevant to the strategy we are considering, the resources available for the kinds of activities we might want to pursue, and so on

SLIDE SHOW

SHOW SLIDE 5 STRATEGIC PLANNING This overhead shows the relationships among agency, mission and bureau strategies The Agency provides focus and direction, the missions wear the many hats of planning, achieving, and monitoring and evaluating performance, and the bureaus provide R&D and other support

SLIDE SHOW

SHOW SLIDE 6 THE USAID STRATEGIC PLANNING PROCESS Now we are going to take a trip through the re-engineered planning process with stops along the way to point out the respective roles and responsibilities of USAID organizational units, and to describe in detail the various products to be generated in the process

— Note Slides 6, 7 and 8 will be used during most of the module The trainer should talk a little about each box in the flow chart (what the Directives say about it, or what can be gleaned from other documents at this point), **but the one major stopping point during the lecture/discussion will be box 11, Development of a Customer Service Plan (CSP)** (probably the newest and one of the most important elements in the re-engineered planning system) and the **Strategic Plan** (which includes the Results Framework, which incorporates some important differences from the PRISM objective tree, with which many participants should be familiar)

SLIDE SHOW

- **SHOW SLIDES 6, 7 AND 8 THE USAID STRATEGIC PLANNING PROCESS** Here we go with a look at the process Note that some boxes are activities that are expected to occur on an annual basis, while the others are expected to occur less frequently

— Several USAID organizations are involved in the planning process Program and Policy Coordination (PPC), Management (M), Regional Bureaus, Global Bureau, Bureau of Humanitarian Response (BHR), and Operating Units Other key actors include customers and partners

— Outputs include the Agency Strategic Framework, Regional Planning Frameworks (optional for bureaus), operating unit Customer Service Plans, operating unit Strategic Plans (including Results Framework), Management Contract, Performance Monitoring Plan, R4 (which will be covered in depth under "Monitoring and Evaluating Performance"), and Bureau Budget Submissions

— Note The following discussion follows the numbers on the slides

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- **In STEP 1, PPC articulates/revises the Agency's Strategic Planning Framework** It's the umbrella under which operating unit plans are to be developed, its emphases are on world-wide sustainable development, and addressing the Agency's customers' needs It is to serve as the basis for allocating resources against relevant factors (priority sectors, geopolitical considerations, country sustainable development needs, and desired Agency-wide results), for tracking progress in meeting Agency-wide goals, and for presenting programs and budget requests to Congress (Could talk here a little about what's been happening in CDIE with respect to efforts to refine the Agency Strategic Framework and develop indicators that cut across operating unit efforts)

- **In STEP 2, Regional Bureaus establish/revise Regional Planning Frameworks** This is optional, and is in here and in the Planning Directives primarily to accommodate the unique situation in ENI, where the program is very centrally planned and managed The expectation is that other Bureaus will probably not develop their own strategic frameworks, unless these frameworks can be seen to add real value to the planning process

- **In STEP 3, M analyzes resources needed for meeting Agency goals, in STEP 6, M establishes indicative budget planning levels for operating bureaus, and in STEP 9 Regional Bureaus establish indicative country levels for budget planning.** The operative word here is "indicative," not definite Numbers good enough for planning purposes

- **In STEP 4, PPC establishes Agency policy on strategic planning requirements and in STEP 7, PPC issues annual planning guidance, including resource parameters** (from M, see 6), program priorities (on the basis of the Agency Strategic Planning Framework and other considerations), and guidance on special legislation affecting strategic planning

- **In STEP 5, operating bureaus develop supplementary guidance to address unique regional/program concerns and in STEP 8, PPC reviews and approves supplementary planning guidance** The emphasis here on supplementary guidance is, again, on value added Bureau guidance should add value to PPC guidance, if it doesn't, why bother?

— **In STEP 10, Regional Bureaus issue guidance, oversee and support Operating Units in the strategic planning process.**

SLIDE SHOW

- SHOW SLIDE 7 THE USAID STRATEGIC PLANNING PROCESS
  In STEP 11, Operating Units develop their Customer Service Plans and develop and submit their Strategic Plans (which include Results Frameworks) These two pieces of the development planning picture will be discussed in detail shortly We will come back to them once we have finished going through the whole planning process

  In STEP 12, Regional Bureaus manage the Agency review of Strategic Plans for their Operating Units PPC, M, G, and BHR review the plans (If plans are from Bureau operating units, missions contribute to the reviews

  In STEP 13, Operating Units and AA's agree to Management Contracts, with clearance from PPC, M, G and BHR Management contracts are documents in their own right The basis of the management contract is the strategic plan — it includes the agreed-upon strategy, resources levels by SO, and results reporting requirements

  In STEP 14, Operating Units finalize their Performance Monitoring Plans Elements that go into these plans will be discussed in the module on Monitoring and Evaluating Performance

  At STEP 15, Operating Units implement their Strategic Plans (Achieving) and collect results data (Monitoring and Evaluating Performance)

SLIDE SHOW

- SHOW SLIDE 8 THE USAID STRATEGIC PLANNING PROCESS
  In STEP 16, Operating Units prepare and submit annual R4s, and (17) Operating Bureaus review the results and resource requirements in the R4s The R4 can be prepared and submitted in two parts, one dealing with results, and the other, perhaps later, dealing with resources being requested for the next round It will be up to Bureau discretion as to how and when the R4 is submitted

- **In STEP 18**, Operating Bureaus and Operating Units review and revise the Management Contracts (if necessary) If there are any changes to the Management Contract, we're essentially back tO STep 13 in the cycle If there are no changes to the Management Contracts, then we're back to STEP 15 in the cycle This is a good time to put up Slide 33 There are several possible reasons for amending the Strategic Plan, the reporting of compelling data at the time of submitting the R4 being one of them

- **In STEP 19**, Operating Bureaus provide an analytic overview of results in their regions in conjunction with annual Bureau Budget Submissions The data for this overview come from the R4s from each operating unit

- Then, using the reviews from the Bureaus and other sources of information, PPC reports results that demonstrate progress toward Agency Program Goals and documents lessons learned in Strategic Planning Depending on the results demonstrated and the lessons learned, the Agency may decide to revise the Agency Strategic Planning Framework or, if no revisions are called for, move to and start the cycle over again

On the basis of the R4s, **In STEP 20, Operating Bureaus assemble and submit Bureau Budget Submissions and STEP 22, M and PPC review Bureau Budget Submissions and in STEP 23, M prepares annual budget request for OMB and Congress and, eventually, in STEP 24 OMB and Congress establish annual budget amounts**, and we cycle back to (1) or (3) **There are three key managing-for-results criteria** for budget allocations (in addition to other criteria) the results data, the analysis of those data, and the judgment based on that analysis

CUSTOMER SERVICE PLAN

40 min

Now, talk about the Customer Service Plan in detail

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SLIDE SHOW

- **SHOW SLIDES 9 AND 10 TEN PRINCIPLES OF PARTICIPATORY DEVELOPMENT** Talk a little about Atwood's Principles on Participatory Development Just remind the participants that they still hold under reengineering—indeed, even more so than ever Several of these principles—all but 7 and 9—are especially relevant to customer service planning

SLIDE SHOW

- **SHOW SLIDES 11 AND 12· IS OUR APPROACH PARTICIPATORY? Then move into LaVoy's seven points and how they apply to planning** Diane LaVoy is a Special Assistant to the Administrator, whose charge is to help develop and promote Agency strategies for increasing participation in all phases of the Agency's development work For more information on these two overheads, see "How to Recognize a *Participatory Approach* "

SLIDE SHOW

- **SHOW SLIDE 13.** Not only *should* we plan in a participatory, customer-involved way, but we are now *required* to do so

  But, let's remember and acknowledge that a lot of what we have been doing in planning before re-engineering has involved our customers, so a lot of this isn't really new (Solicit a few examples from participants) An early precursor of the CSP was Social Soundness Assessment Also, much of what we do in gender analysis is very customer-focused

  The difference now is that we are much more systematic about including a customer focus AND about including the customer in the process, instead of just making the customer the passive subject of the process

SLIDE SHOW

- **SHOW SLIDE 14:** One of the key mechanisms for increasing customer focus is the development of the CSP Operational units must do a CSP, but the plan *is not* approved by USAID/W Evidence of a conscientiously done CSP will show up in the Strategic Plan, however, which *is* approved by USAID/W The sole purpose of the CSP is to ensure that our planning, achieving and monitoring and evaluating performance are participatory and, therefore, well informed

  As Sher Plunkett, the Agency champion of customer service planning says "We aren't doing our job unless our programs' resources move

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through intermediaries and reach end-users <u>on time</u> and in <u>adequate amounts</u> to get the <u>results we and our customers agree on</u> "

SLIDE SHOW

- **SHOW SLIDE 15. THE CUSTOMER SERVICE PLAN SHALL INCLUDE .** According to the Planning Directives, a CSP must include several elements That's the product, which will be used to help guide the entire operations process, but how do we get to that product?

SLIDE SHOW

- **SHOW SLIDE 16 CUSTOMER SERVICE PLANNING** (emphasis on the process, not just the plan) has four stages

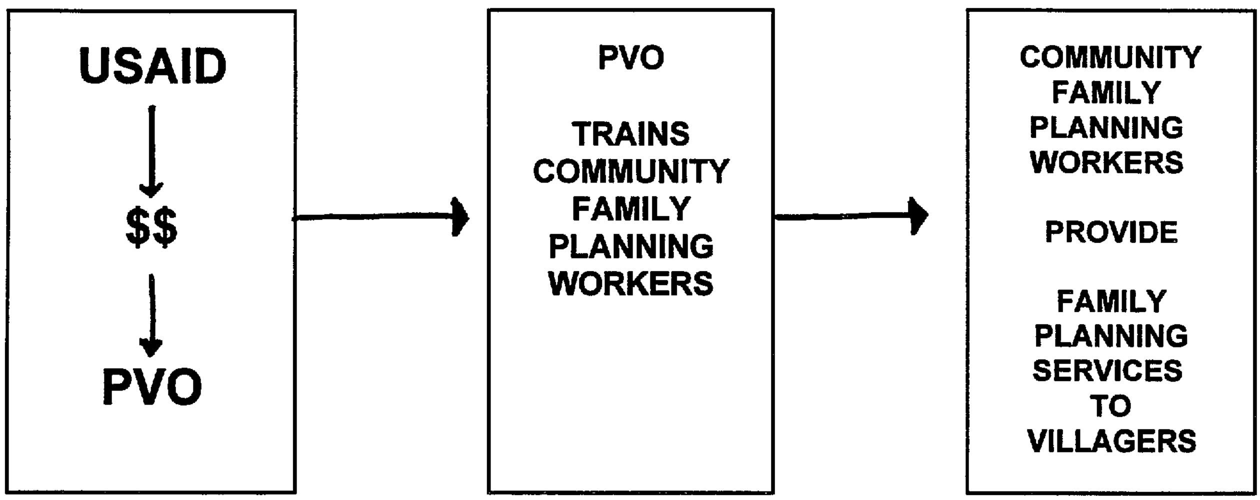
  (Refer to Plunkett's "*Guidelines for Developing Customer Service Plans*" for more detail)

  — Identify customers (We talked about this in an earlier module) These are the people who receive products or services as a result of USAID development activities They can be ultimate customers—the people at the end of the development assistance chain—(farmers, water users, men and women who want to have smaller families), or they can be intermediate customers (e g , the extension agents who work with farmers or the institutions that train extension agents, the PVOs that are establishing water-user associations, or the clinic workers who provide family planning services)

  — Link USAID's assistance to its customers through its intermediaries Using the customer list, map the flow of what USAID provides through intermediary links to the "ultimate customer" for whom USAID's assistance is intended We can then analyze the different roles each link in the chain plays in achieving the results we and our customers want

Flip Chart or Overhead Transparency Needed

- Put a <u>simple</u> example on a flip chart (see FC 2, at end of module) USAID gives a grant to a PVO, one of its intermediate customers, but also a partner The PVO trains community family planning workers, who are, then, also intermediate customers and partners (Put this in a box in the middle) The workers provide family planning services to villagers, who are the ultimate customers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SERVICES
TO
VILLAGERS

Flip Chart 2

- **Show Slide 17 Customer Service Planning** Get customer feedback on needs and performance Using informal and formal assessment methods, survey to find out from our customers whether we are providing what they require, how well we are performing as a service provider, and how our performance compares with others This customer surveying gives us the info we need to re-assess our service delivery processes and make changes

  — Set performance standards With the feedback from customer surveys, we can specify what we intend to do regarding our service performance (i e , our service *principles*), and develop measurable indicators for performance (i e , our service *standards*) so that we can monitor and improve performance in service delivery to achieve development results

SLIDE SHOW

- **SHOW SLIDE 18** ***An important note.*** **The involvement of customers in planning is essential, but customer needs and wants are not the only drivers of USAID strategic plans** There are other considerations, especially Agency parameters and externally imposed requirements

SLIDE SHOW

- **SHOW SLIDE 19 Where Does the CSP Fit In?** How often do we do a CSP? As often as necessary What if we have a strategic plan in place now? Should we wait until the next planning effort (say, in 4 or 5 years) to do a CSP? No Do it now, and let its results guide current activities and future strategic planning

  If time permits, use material from Plunkett's "Uncle Sher's Maxims" to talk a little about what makes a good CSP Also, remind participants about the examples of CSPs — the Agency's, Jamaica's, and Guatemala's

CUSTOMER SERVICE EXERCISE (LARGE GROUP)

20 min.

- This is a brief large-group exercise aimed at reinforcing what we mean by talking to the customer and developing **principles and standards** as part of the customer service planning process The exercise consists of a 5-minute role play involving two instructors or one instructor and one volunteer from among the participants, a 5-minute silent period in which participants identify one or two principles for improving customer service and one standard of performance for each, and then a 10-minute sharing of products and discussion Keep it short and simple

— **5-minute Role Play** This is essentially a role play in which a customer is interviewed by someone who wants to learn how that customer might be better served (e g , through improvements in products or services provided to the customer) Any provider-customer context could do here (e g , a McDonald's representative talking to a consumer, a doctor's office representative talking to a patient, a USAID-funded contractor talking to the recipient of that contractor or grantee's services, and so on)

— Prior to the role play, the other participants in the class are instructed to observe carefully, and to take notes on ideas for developing one or two customer service principles that USAID could adopt for improving the delivery of the credit and training (e g , "USAID will ensure that micro-entrepreneurs' credit applications are processed in a more timely way") and for developing a performance standard for each (e g , The average amount of time between receipt of a credit application and notification of a decision regarding the application shall not exceed 30 days)

— In the role play, the provider interviews the customer about the product or service, specifically about how it currently works and how it can be improved to increase its overall effectiveness For example, a USAID employee or partner might interview a person who in some way is representative of a target group of micro-entrepreneurs who are receiving credit and training through a USAID program The focus of the interview would be on whether the credit and training are being provided in a timely, fair, and useful way, so as to maximize the customers' satisfaction with the products and the way in which they are delivered and to maximize the effectiveness of the training and credit in producing the desired results

— **5 Minutes of Individual Work** Ask participants to identify one or two principles that could guide the provider (e g , in this case, USAID's partner that is dispensing training and credit) to do a better job of serving the customers (e g , micro-entrepreneurs) Then for each principle, identify one performance standard

— **10 Minutes of Sharing and Discussion** Have participants call out their principles and standards and record some on flip charts Discuss them, with a focus on the extent to which observing these principles would improve customer satisfaction and program effectiveness in achieving results

THE OPERATING UNIT'S STRATEGIC PLAN

20 min

SLIDE SHOW

- **SHOW SLIDE 20. THE STRATEGIC PLAN** This overhead gives the directives' description of the Strategic Plan The Strategic Plan replaces the bureau-specific planning documents used heretofore The strategic plan is comprehensive—it includes SOs and a description of how the operating unit plans to use resources to accomplish them

SLIDE SHOW

- **SHOW SLIDE 21: COUNTRY STRATEGIC PLAN** Strategic Planning for a *country* program will include *all* USAID program funding proposed for allocation to the country, including funding in support of centrally managed global programs, food aid, and research activities Planning for regional and global programs must include program funded activities that are (a) regional or global in nature, (b) bilateral programs for which the central operating unit has direct responsibility, and/or (c) activities that have bilateral impact and are managed by a central operating unit due to management efficiencies

  Exceptions to the strategic planning process are start-up programs and emergency programs See directives for details

SLIDE SHOW

- **SHOW SLIDE 22** Emphasize the importance of joint programming and planning, particularly between country operating units and Global Emphasis here is on better plans, avoiding surprises when the plans come into USAID/W, and getting results! There isn't any specific guidance here, so there may be some trial and error in developing effective relationships and efficiently conducting joint activities Here is where the concept of virtual teams comes into play, e g , teams that communicate via e-mail more than they do in person

SLIDE SHOW

- **SHOW SLIDE 23 STRATEGIC OBJECTIVE** This definition has not changed substantially since before reengineering

SLIDE SHOW

- **SHOW SLIDE 24: STRATEGIC OBJECTIVE** This overhead presents the key features of a Strategic Objective If participants are familiar with SOs under the PRISM system, they should have no trouble here Note, though, that the directives identify situations in which an SO may have more than one dimension — e g , when two very interrelated results are being sought, or when the program to achieve two very related results is a very integrated program Also, note the "typically" in front of 5-8 years SOs being sought under very uncertain conditions or in transitional situations (e g , in ENI) could very justifiably be for less than 5 years

SLIDE SHOW

- **SHOW SLIDE 25: OBJECTIVES** We need to define the types of strategic objectives included in the reengineered system

  - Bi-lateral and Regional/Global Strategic Objectives are like strategic objectives under the old system—each of them is unique to and managed by an operating unit

  - **Strategic Support Objectives (SSOs)** are Regional or Global Bureau development objectives that rely partly on the results of activities performed by the bureau and partly on the results of activities performed by other operating units, such as missions These objectives allow Global and other bureaus to relate their support activities to the high-level development results toward which they are aimed For example, Global may be developing a new vaccine in order to ultimately reduce the incidence of a particular disease (which is a significant development result)

Global develops the vaccine, but it relies on missions to distribute the vaccine and ensure its proper use It's really a joint objective the missions will most likely be including reduced incidence of the disease in their SOs, and Global will be adopting reduced incidence as its SSO

— SSOs represent an attempt to allow Global and other central or regional bureaus that are providing critical support to missions' development efforts to relate that support to development results The less attractive alternative would be to reduce Global to low-level strategic objectives, which are separated from the higher level development results toward which they are aimed The aim here is to relate all assistance activities—including Global's—to significant development results In effect, those development results are shared by Global and the missions

— A **Special Objective** is one that has limited development impact, and, therefore, does not qualify as a full-fledged SO Special Objectives can include objectives that respond to earmarks, involve phasing out a major development effort, try something exploratory or experimental, or involve research that contributes to an Agency objective

SLIDE SHOW

- **SHOW SLIDE 26 RESULTS FRAMEWORK** This slide and the next one introduce the centerpiece of the Strategic Plan, the Results Framework

— Some differences between the Results Framework and the PRISM Objective Tree

— The Results Framework represents an attempt to be more explicit in its emphasis on **causal linkages**, and less bound to levels in a hierarchy Under PRISM, we have observed the tendency of some operating units to try to make everything at one level of the objective tree—e g , the program outcome level—relatively equal in importance In the Results Framework, the emphasis is on how things relate causally, regardless of relative importance or chronology The Results Framework tries to avoid forcing things into a linear sequence, when in real life things are sometimes circular in their impact

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SLIDE SHOW

- **SHOW SLIDE 27 RESULTS FRAMEWORK** The Results Framework includes **more detail** to elaborate the development hypothesis than did the PRISM objective tree How much detail? Enough to elaborate the development hypotheses Also included are details about resources and partners

SLIDE SHOW

- **SHOW SLIDE 28 RESULTS FRAMEWORK CHART** This is an illustration of what a Results Framework might look like Note We, the training team, are not particularly fond of how the dotted-line boxes have been included on the right The top dotted-line box is intended to show an intermediate result that has an impact on many of the others in the framework e g , changes in policy are expected to affect increased access The dotted lines are not effective in showing the linkages The bottom dotted-line box is intended to represent another SO in the operating unit, a democracy and governance SO and how it affects results under this education SO, but again the linkages are not depicted (There used to be lines connecting the three dotted-line boxes, but they added even more confusion, so we took them out)

SLIDE SHOW

- **SHOW SLIDE 29** This overhead provides a summary of all the information that needs to be included in the Strategic Plan

SLIDE SHOW

- **SHOW SLIDE 30:** This overhead breaks out in detail what is included in Section II of the plan Under "Illustrative Approaches," note that USAID/W does not want all the details of how the results are to be achieved Indeed, under a flexible approach, these details cannot be spelled out Refer to the directives for more detail on all of this

SLIDE SHOW

- **SHOW SLIDE 31:** This overhead lays out the four key elements in the management contract (See 201 5 4 k of the draft Planning Directives for more details)

SLIDE SHOW

- **SHOW SLIDE 32** There is little to add to what's already on the overhead

SLIDE SHOW

- **SHOW SLIDE 33** Note that we will now be budgeting by strategic objective This chart shows the kind of budget information that will be included in the Results Review and Resource Request

PLANNING EXERCISE

55 min

- Break Participants into SO-related small groups and, depending on where the operating unit is in the planning cycle, do either Activities A and C or Activities B and C

  Activity A

  Working from your Strategic Objectives Results Framework

  — Identify one key service or product that is expected to reach the ultimate customer as a result of the operating unit's program,

  — Lay out the step-by-step process that moves from the activities directly performed by the operating unit, through the activities performed by the operating unit's partners and other actors, to the final step in which the ultimate customers receive the service or product

  — Identify, in very specific terms, all the customers along this chain, including both intermediate and ultimate customers

  — Decide how you will obtain useful information from your intermediate and ultimate customers on their *needs* and their *perceptions of performance* in meeting those needs

  — Prepare a set of flip charts that clearly document steps 1-4

Finish this Activity in 45 minutes

Activity B

Working from the operating unit's current strategic plan, adapt it to meet the spirit and letter of the new re-engineered approach to strategic plans (especially, make the changes—or identify what needs to be done—in order to move from the objective tree of SOs and POs to a Results Framework) Document your changes and plans on flip charts

Finish this Activity in 45 minutes

Activity C

To complete the exercise, do either a brief report out by one or two small groups or a gallery walk, in which group representatives explain their products to participants as they come by and study the flip-charted product on the wall

Finish this Activity in 10 minutes

If there is time left you might want to conduct a brief large-group discussion on the following topic

HOW DOES THIS CHANGE HOW WE DO BUSINESS?

Trainers lead a large group discussion in which participants identify the implications of using the Customer Service Plan, the Results Framework, SO Teams, etc , for the way they have traditionally done things in the Operating Unit If time permits, the group identifies actions that need to be taken or organizational arrangements that need to be made in order to facilitate the effective implementation of the new planning system

DRAFT

THE NEW USAID OPERATING SYSTEM
FOR PLANNING, ACHIEVING & JUDGING
RESULTS ACCOMPLISHMENT

***** RESPONSIBILITY, EVENT & DOCUMENT *****
Draft dated 5/22/95

Organization	**Event**	**Document**
	I. PLANNING	
	I-A. PARAMETER SETTING	
Bureau Assistant Administrators (AA's)	Provide to New Mission or Office Directors and AID Representatives Bureau guidance on the strategic direction of the program, key management or strategic issues, resource parameters, and any special or foreign policy interests	Management Letter (periodic)
M and PPC	Provide planning and resource parameters to Regional, the G, and the BHR Bureaus	Parameter Notification
Regional & Central Bureaus	Provide operating units level planning and resource parameters	Parameter Notification
Operating Unit	Ensure that OU staff, customers and partners understand USAID/W parameters	
	I-B. PLANNING:	

Operating Unit (Mission or Office)	Constant dialogue with partners and customers to determine the areas in which USAID, partner and customer interests overlap Develop the Customer Service Plan[1] (periodic with updates annually) which shall + Identify who the operating unit's customers and partners are, what types of service delivery relations they reflect, and how they are linked both to USAID and to each other + Identify and describe the services being, or planned to be provided by the OU to its customers and partners, and indicate the points of contact for each service + Explain how customers have been surveyed to determine their needs and their perceptions of the services being provided by the operating unit, and when they will be surveyed again so that their feedback becomes an important source of information guiding OU, SO and RP operations + Identify how customers and partners will be incorporated in the strategic planning process	Customer service plan

[1] *The customer service plan may be developed out of the strategic planning process in parallel or before the strategic planning process begins depending on where the operating unit is in terms of the planning cycle*

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Operating Unit (OU)	Operating Unit Strategic Plan The OU decides, within USAID/W established parameters and in conjunction with partners and customers, that a new Strategic Plan (SP) or Strategic Objective (SO) is desirable and feasible The OU identifies a process for developing the strategic plan which would include the following elements + Present and explain the OU's vision for achieving sustainable development in a manner consistant with identified needs of customers and partners + Identify teams to develop each aspect of the SP, SO(s), and deal with over arching and cross cutting issues USAID will do joint planning and therefore teams will include relevant G, BHA or PPC staff and or OU will consult with key USAID/W staff during the process to provide information on the direction of the strategic plan and elicit feedback + Ensure that the teams clearly understand and accept agency parameters + Develop a schedule + Provide teams with an overview of the strategic planning process and key principles + Identify the products that will be required from teams + Schedule progress reviews to present findings, exchange information and make decisions + Finalize SP acceptable to the OU Director +Submit the Strategic Plan to USAID/W for formal review +Select staff to participate in the USAID/W review process	Strategic Plan Strategic Plan Amendment Results Framework Performance Monitoring Plan

Bureau AA's in consultation with M/Bud , LPA,PPC, G, & BHR	The cognizant Bureau AA chairs an agency review of the SP/SO and either approves the SP/SO, disapproves the SP/SO or provides the OU with additional guidance on issues that must be further explored in attempting to obtain approval	
Bureau AA's	SP/SO approval is documented in a management contract between the Bureau AA and OU Director The agreement spells out the understandings between the organizational units, i e , SO, Results Framework, Time Frame for accomplishment, anticipated yearly and total program and operating expense funding requirements, personnel FTE) requirements, and any necessary delegations of authority	Management Contract (Agreement between Bureau AA and Operating Unit Director)
	I-C. BUDGETING.	

Regional Bureaus, G, BHR, PPC & M/Bud	Results Review and Resource Request (R4) (annual) The R4 is submitted in the Spring by all OU to their cognizant operating bureau The R4 will contain results reporting information on the on-going achievement of the strategic objectives, re-validate the logic and premises of the strategy, and justify the resource request which should be consistent with progress to date and projected resourse requirements The Results Review & Resource Request (R4) submittal and approval process that leads to 1) allocation of the next OYB in October Thru December and 2) submittal of the CP in January of the next calendar year Note some bureaus may separate the R4 into two components to manage the process, however, the substance and purpose of the report will remain the same	Results Review & Resource Request (R4) R2 plus R2 of R4
RP Teams	RP teams meet and review performance (see Information for Performance Management below), pipeline, burn rate for ongoing activities and estimated cost for new activities RP progress and projected funding requirements are entered into the computerized data base	RP-R4 INPUT
SO Teams	The SO teams within the OU meet and review RP performance The teams compile their report on SO performance and resource requirements and enter them into the computerized data base.	SO-R4 INPUT

OU Directors	The OU reviews SO Progress and Resource Requests, prepares the R4 and submits it to USAID/W	R4 FINAL
Bureaus	The cognizant operating bureau reviews each operational unit R4 in consultation with M, PPC, G, and BHR as appropriate Central Bureau R4s will be reviewed in consultation with M, PPC, regional bureaus and BHR as appropriate	Input to Parameter Notification
Bureau AA's	R4 Washington Review + The cognizant operating bureau develops a Bureau Budget Submission for PPC and M review + Consultations between PPC, M, and the operating bureaus regarding the ABS figures + PPC and M in consultation with State develop the Agency Budget Submission (ABS) for OMB + Operating Units are informed of final decisions regarding resource allocations	Bureau Budget Submission (ABS) Agency Budget Submission ABS) Input to Parameter Notification
M/budget, PPC & LPA	Prepare CP in consultation with the Dept of State & OMB and submit to OMB	Congressional Presentation
LPA, PPC, & M/Budget	Congress passes legislation and appropriates funds to USAID Legislation is reviewed and Bureaus are provided with guidance for the development of country and office level OYB's	Bureau OYB Notification
Bureaus	Review funding availabilities, previous R4 review results and Management Contracts and prepare country and office level OYB allocations	Operating Unit OYB Notification
OU & SO Teams	Review OYB, So & RP Team funding requirements & allocate funds to RP Teams for implementation	

Operating Units	Congressional Notifications (CN's) must be submitted for all SO's approved out of cycle and requiring funding in the FY of approval However, if an SO is approved prior to submittal of the Congressional Presentation (CP) it can be included in the CP and a separate CN will not be required	Congressional Notification
M/Budget	Once Congress has been properly notified either through the CP or CN process, M/Budget in conjunction with the cognizant Bureau, will adjust the Bureau and OU, OYB's and, when funds are available, allot the agreed first year funds (OYB) to the OU	Revised OYB Notification
	II. ACHIEVING·	
Operating Unit	Once the SO has been approved the OU, in conjunction with its partners and customers, is responsible for delivering the SO within time and budget	
Operating Unit	The OU would then review the composition of the SO team that did the initial planning to determine adequacy of membership for the implementation phase and make any necessary adjustments Strategic objective team(s) will consist of the core and extended groups, partners, agents and customers	

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OU & SO Team	All subsequent understandings and agreements as to scope and authorities of the SO Team and individual members must be documented within the "Automated Information & Operating Data base" to which all Agency personnel will have access Provision of guidance, requirements, and authorities to teams which include +Specific results to be achieved +Performance measurement and reporting requirements +The authorities delegated to the team +The budget +Other requirements or conditions	SO Team Understandings (Agreement Between Operating Unit Director and SO Team)

SO Team	The newly reauthorized SO Team is then free to proceed to deliver the agreed to results +Teams set up an approach for implementation +Teams prepare results packages to accomplish the result(s) under their purview -The SO Team would then organize the results to be delivered and the means to deliver them into new temporary management units called "Results Packages" All SO's will have one or more Results Package(s) If it is decided that the SO team will manage the totality of interventions to deliver the SO then one RP will be established which is identical to the SO The SO/RP team will enter all understandings as to scope, authorities and responsibilities into the "Automated Information/Operating Data Base" However it is anticipated that most SO's will consist of more than one RP	Initial Environmental Examinations (IEE) Memorandum or Letter of understanding Implementation Plan Budgets Minutes of meetings SO/RP Understandings (Agreement between SO & RP Teams)
SO Team	At some point after the SO is established the SO Team would receive its first OYB allocation The SO Team would then decide if it will obligate funds wholly or partially under a Strategic Objective Agreement (SOAG) or under RP's through contacts and grants In the case of SOAG's the SO Team will need to decide on which basis for a legal obligation it wishes to proceed The SOAG can either detail the fully planned activities for which it will obligate funds or it can lay out the criteria by which it will allocate obligated funds to Result Package	Statutory checklist Limited Scope Agreement Strategic objective agreement Implementation letter

SO Team	The SO Team in establishing Results Packages (RP's) will examine the human resources available, both technically and managerially, the nature of how results, from the results framework, could be logically grouped, the preliminary plans for interventions to achieve results and other relevant factors in developing possible RP's Establishment of results package team(s) (in some cases, this may be synonymous to the strategic objective team)	
SO Team	The SO team would then identify potential RP leaders and enter into discussions with them on the establishment of RP's (In many cases the RP leaders will likely be members of the SO Team)	
RP Team	The potential RP leaders would then examine the results to be produced, identify new potential RP Team members and then lay out plans (analyses, activities, intermediate results, required resources and time tables) required to produce the RP results.	

SO/RP Teams	The RP plans would be discussed with the SO Team and when agreement was reached all understandings (scope, approach, tactics, tools, funding requirements, authorities and responsibilities) would be recorded in the "Automated Information/Operating Data Base" and the RP would be formally established	RP Team Understanding (Agreement Between SO Team and RP Team) Team membership Delegations Results & timeframes Authority to subobligate obligated funds or obligate unobligated funds (Budget)
RP Teams	The RP team would then proceed to produce its results, which would require, scopes of work, commodity lists, waivers, Initial Environmental Examinations (if not preformed in advance for the whole SO), etc Management and tracking of all activities will be the responsibility of the RP Team, but individual members will have primary responsibilities for each and every activity	Minutes of Meetings Performance Monitoring Plan Implementation Plans Budgets Waivers
SO Teams	-When the RP team is ready for funds (obligated or unobligated) to fund contracts, cooperative agreements, grants, RP Implementation Letters etc , it will request those funds, in accordance with previous understandings with the SO Team	RP Budget established within automated data base, based upon spending authority

RP Teams	Upon receipt the RP Team would authorize the necessary subobligation/obligation	Letter of Intent (pre-contract/grant commitment) Grant Cooperative agreement Contract Inter-agency agreement (obligating) Inter-agency agreement (funds transfer) PASA (Participating Agency Service Agreements) RSSA ( ) Implementation Letters authorizing expenditures by Host Governments
SO & RP Teams	Teams prepare strategic objective closeout reports when individual RP's and when the SO is completed	Closeout Report
	III. MONITORING AND EVALUATING PERFORMANCE	

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OU, SO Teams and RP Teams	Both SO & RP Team members are individually and collectively responsible for continuously monitoring SO Assumptions, Hypotheses, the Results cited in the Results Framework and Intermediate Results established as RP's went into operation, cost, etc	Results tracking report Implementation plans Evaluations Audits Research
Operating Unit	Once a year the OU must prepare its Results Review and Resource Request (R4)	R4 (R2-Results Report)
Activity Managers, RP Teams, SO Teams, & Operating Units	Preparation of the R4 starts at the level of individual activities and is examined at each level up to that of the Strategic Plan Items to be examined include +Are results being achieved according to plan? +If ahead of schedule or behind schedule, why? +Are expenditures ahead of or behind schedule and how much additional funding is really required for the next few budget years? +Do assumptions remain valid? +Do hypotheses appear to be holding? +Are there any reasons to reexamine the causality (logic) of the Results Framework? +Is the SO/RP receiving funding as needed/agreed to in the agreement between the Bureau AA and the OU Director, if not what impact will this have on the agreed to performance agreement (delivery of results)	R4 (R2-Results Report)

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RP & SO Teams	All information and decisions with respect to RESULTS and RESOURCES are recorded at each level within the "Automated Information/Operating Data Base" Any lessons learned or problems that require additional analysis (possibly by G or CDIE) are also recorded and action assigned	R4 Automated Data System -Activity Manager Input -RP Team Input -SO Team Input -OU Input
USAID/W	Feedback will be in the form of the next actual OYB allocation and Congressional Presentation plus the ability to examine the decisions made at each level within the "Automated Information/Operating Data Base"	OYB Notification
RP & SO Teams	Performance Monitoring and Evaluation for Improvement (on-going)	
OU, SO & RP Teams	The operating unit through SO & RP Teams develop Performance Monitoring Plans which incorporates the customer service plan to facilitate the achievement of strategic objectives, enhance organizational learning, and meet reporting and accountability requirements (periodic) Necessary evaluations would also be identified in the performance monitoring plan Information which is produced by the performance monitoring system should provide the basis for decision-making regarding the management of the program (on-going)	Performance monitoring plan Evaluation reports Audit Reports Surveys Research

HOW TO RECOGNIZE A PARTICIPATORY APPROACH
(if you bump into it in a dark alley)?

First, some quotes from our leader (Statement of Principles on Participatory Development, Nov 16, 1993)

"For our scarce funds to contribute meaningfully to the goal of sustainable development **the development approaches themselves must be sustainable** They must be consistent with the priorities and values of those who will have to sustain the effort after the donor has left "

"Development assistance works best
(--) when it contributes to efforts that people in the recipient country are already attempting to carry out,
(--) when it fully takes into account the priorities and values of affected groups(, and)
(-- when it considers) the degree of social consensus that a national government must count on to carry out and sustain changes in policy or social and economic programs "

"We will listen to the voices of ordinary people "

" aim to support the initiatives of (host country) communities and organizations "

" (open our technical analysis) to debate by a range of experts in the universities and research institutions of the recipient country "

" test our expert analysis against the reality experienced by affected populations develop appropriate ways in each country context to consult with organizations representing the interests of small-scale farmers and businesspeople, slum dwellers, fishing communities, tribal groups, poor women, professional associations, environmental, charitable, and development PVOs, and other people whose experience provides a needed reality check on the assumptions and prescriptions of outside experts We will sometimes find more conflict than consensus "

" assure that USAID projects and programs are accountable to the end user "

" strengthen the capacity of the poor to take the next steps "

"(Not) benefit only local elites "

"allow local reality to drive our programs, rather than to have our procedures drive our definition of local reality "

" focus on results experienced by real people "

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But can we make all this language more concrete and useful?

Drawn from these principles, what follows is a set of characteristics of approaches that one might call "participatory " The approaches apply to virtually any part of the development processes in which USAID is involved

How well do these seven points get at the principal, most fundamental characteristics of approaches that we would call "participatory"?

1. **Does the activity repond or contribute to efforts that people in the host country are already trying to do?** (Examples funding natural resource management activities of a provincial-level commission established at the initiative of the local communities, enabling a government agency to implement an approach to elementary education or to primary health care that was pioneered by local community organizations)

2. **How fully have the potential customers (or affected populations), as well as other local stakeholders, been consulted to ensure that the program is consistent with their values and priorities?** (Examples holding focus group meetings, consulting a broad range of local experts, observing behavior--such what families spend income on or what traditional groups do--that reveal priorities)

3. **Does the approach provide greater voice and influence to the poor and disadvantaged?** (Example developing norms that provide for public hearings in potentially affected communities, bringing organizations representative of the poor "to the table" in policy discussions between USAID and business or govenment leaders)

4. **Does the approach (used in assessments, design, implementation, or evaluation) put information into the hands of customers (individuals, organizations, communities) that permits them to hold USAID and its partners accountable for the usefulness of the assistance provided?** (Examples using broadly representative advisory or reference groups to design, monitor, and evaluate activities, publishing (in local language) information about the development activities, giving local organizations access to budget information about umbrella grants run for their benefit)

5. **Does the activity strengthen the capacity of institutions throughout the society to carry out programs that are responsive to people's priorities?** (Examples training local government officials to work in partnership with the initiatives of neighborhood associations, assisting host-country NGOs to develop governance that is more representative of and responsive to the community, strengthening the knowledge base of local universities, think tanks, and agencies by employing them in

assessments, research, and evaluation)

6. **Does the approach strengthen and broaden communications among players in the development process?** (Examples create opportunities for policy discussion among public sector, business, and non-profits, enable communities to be heard by local officials and local officials to be heard by national-level officials, enlarge the scope of permissible discussion between citizens and government or broaden the range of players who participate in the discussion, to include women and other groups that typically are excluded)

7 **Does the activity or approach unleash innovation and local initiative?** (Examples individuals and families adapting farming, business, or sanitation techniques to different circumstances, local or national-level institutions developing new ways to approach problems, organizations of the poor taking the next steps in their community's development after the assistance ends)

draft 1/11/95 dkalley2

UNCLE SHER'S MAXIMS FOR CUSTOMER SERVICE PLANS

Sher Plunkett, Customer Service Officer, M/ROR

March 1995

USAID's Reengineering efforts highlight **customer focus** as a major value, and both the Operations Business Area Analysis, and the cable (STATE 94/323961) I drafted on Customer Service Plan guidelines provide information on operationalizing it As questions have arisen and we have gained insight on effective outreach and delivering quality programs to our customers, I have jotted down my ideas on what a USAID unit's Customer Service Plan ought to be These "maxims" are based not only on recent experience, but also on my experience with setting up and operating similar activities in several Missions, and participating in activities related to "customer service" issues since 1975

A Customer Service Plan states how a USAID unit (a Mission or office) will ensure that its program maintains a customer focus to address end-user needs more accurately, and thus deliver better results It specifies how the unit will learn about, and verify, customer needs and perceptions, develop service quality standards, and incorporate customer feedback into its operations

A good Customer Service Plan

-- **Belongs to those who operate it and use its results** It should make sense **to** you, and be a useful management tool **for** you, or it's a waste of time and taxpayers'money It provides material for reporting to AID/W -- but that's not WHY it's there

-- Must be an **in-house** operation, emerging from **your own efforts** to base your work -- and your strategic objectives -- on a solid understanding of **your** customers' situations and needs Use consultants only to supplement, not to replace, your unit's efforts

-- Is **systematic**, and does not rely on individual staff efforts carried out for individual activities In other words, it's not just "what any good Project Officer would do", but **institutionalized** in the unit

-- Has a **champion** -- someone charged with maintaining the Customer Service Plan in the forefront of attention, conducting customer outreach efforts, ensuring that findings and lessons learned are disseminated, and ready to advise staff and top management on customer service issues In fact, it usually makes sense to have two people one US and one FSN, to ensure continuity over time

-- **Is not a just a survey**, but uses a repertory of research tools including document review, observation, interviews, rapid appraisals, and formal surveys to explore situations and verify hypotheses about customer needs, perceptions, and service delivery Systematically uses results of long-term research conducted by others to guide and inform assessments

-- Is **consciously iterative**, and builds on its foundation of findings over time to grow and adapt to changing institutional and policy circumstances

-- **Uses good social science** to ensure validity and reliability of information

-- **Systematically triangulates** information from several sources, rather than relying on only one perspective Different interests have different perspectives You cannot depend on any single source

-- **Reaches out** to people who may not be "partners", or directly involved with USAID, but who may be customers or can legitimately speak for them

-- **Maximizes the use of local talent** for customer services assessments and surveys Relations with local professionals pay off as they come to understand USAID's needs they are available on short notice, have the language skills, cost far less than expatriates, can serve other clients better because they learn from working with you, and it helps keep them in the country where they are most needed -- furthering development

-- **Communicates findings** and **gets feedback** from customers to track information and trends systematically, and facilitate collaboration

-- **Builds on the strengths of FSN staff**, who will maintain and sustain the plan in spite of the turnover of US staff at post, but recognizes that they are not necessarily representative of customers

-- **Recognizes** that **no two units** have the same configuration of customers and partners, resources, or operating environment, and therefore that a Customer Service Plan must be **"custom-crafted"**, even though based on general Agency policy and guidelines

-- **Is founded on the concept that we aren't doing our job unless our programs' resources move through our intermediaries and reach end-users on time and in adequate amounts to get the results we and they agree**

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are desired If our work only results in transferring services or commodities to an intermediary, that is not sufficient

Customer focus is tied to **results**, is based on **team efforts**, and requires employee **empowerment and acceptance of accountability** But **focus on the customer** is what justifies our development work, and what we prize in our association with USAID It's what we signed on for The Customer Service Plan lays out how a unit makes sure that its program meets the needs of its customers

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ILLUSTRATIVE INDICATORS FOR MEASURING THE FOUR CORE VALUES

PLEASE NOTE These are examples ONLY! Indicators should be designed to meet your specific needs, and be meaningful to your program

Results Orientation	Customer Focus
Strategic plans in place and used as a framework for decisions Planned operational and program results/impacts are defined frequently measured and fed back into management decision making - Progress is reviewed regularly against targets or milestones Benchmark (baseline) information obtained systematically and keyed to evaluation criteria	- Customers are identified and targeted, and linkages among customer networks examined - Customers queried to ascertain their interest or need for products/services Customer service standards established, agreed upon and used to measure performance - Customer satisfaction (access, timeliness, cost product/service performance) is measured and verified regularly Strategic objectives and Work Packages are flexible and adjusted to meet customer felt needs based on dialogue with customers

Teamwork & Participation	Empowerment & Accountability
- Demonstrated teamwork is a factor in individual performance appraisal - Staff at all levels contribute to strategic planning performance monitoring, and major program decisions Management acts to achieve staff ownership of decisions and actions - Teams agree on objectives of work, and division of labor to achieve objectives Management maintains proactive support for team concept and team efforts Customers and Partners are included in teams, with clear, active roles and responsibilities	Management emphasis is on results rather than oversight -on service outreach rather than internal control - Staff/team decision making authority is sufficient to carry out tasks efficiently and effectively and allow it to be accountable - Objectives (results) defined at each level match responsibility vested in personnel/team - Staff are held accountable for getting work done according to clear, agreed upon performance standards

SERVICE QUALITY AND CUSTOMER SATISFACTION ASSESSMENT

Sher Plunkett, M/ROR

May 1995

Service quality and customer satisfaction may be usefully measured along **three dimensions**

1 **The customer's view of the IMPORTANCE of the service you provide**
2. **The customer's assessment of HOW WELL you PERFORM the service**
3. **The customer's view of HOW the service you provide COMPARES with other providers.**

Assessing your service quality along these three dimensions may be done by "surveying" customers (informally or formally) with regard to a series of indicators, and asking the customer to rate each indicator from **NOT IMPORTANT** to **VERY IMPORTANT** on a scale of, for example, one to five Indicators for each of the three dimensions include

1 EASE of working with you convenience, simple processes, minimal red tape, physical access to contacts
2 RESPONSIVENESS following up, meeting changing needs, problem solving, answering questions, returning calls
3 DELIVERY on time, thorough, accurate, complete
4 BREADTH OF CHOICE sufficient choices to meet needs
5 QUALITY OF PRODUCTS performs as intended, can be maintained and repaired easily
6 QUALITY OF TECHNICAL SERVICES performs as intended, professionally qualified
7 AGREEMENTS/CONTRACTS ease of negotiation, clarity, completeness, simplicity, timeliness
8 CONTINUITY OF SERVICE familiarity with customer needs, objectives, past practice, working style
9 REPRESENTATIVES/CONTACT PERSONNEL professionalism, knowledge, helpfulness, ability to coordinate resources, contact frequency, local language skills, understanding of local culture
10 PARTNERSHIP support for customer objectives, willingness to help, commit, participate
11 COMPLAINT/DISPUTE HANDLING fair/equitable, timely resolution, root cause elimination
12 DOCUMENTATION adequacy, timeliness, accuracy, simplicity
13 INNOVATION new procedures, new services, new delivery methods, new communication methods
14 SENIOR MANAGEMENT ACCESSIBILITY familiar with customer objectives, needs, and concerns

These indicators are illustrative -- you may wish to modify the list to reflect your needs and concerns. You may wish to work with your intermediate customers and partners to devise similar47

/

service quality assessments for their activities

The results of your customers'assessment of the quality of the services you provide them will do several things

-- Provide you with insight on what is important to your customers, and how well you are doing,

-- Give you the basis for establishing performance principles you can commit yourself to,

-- Enable you to develop measurable standards for service quality that will lead to customer satisfaction with your activities, and

-- Lay a foundation for better **rapport** with your customers, which will ensure more rapid feedback from them, and a more collaborative and participatory approach to achieving your objectives

If you would like further assistance in developing means to assess customer service quality, please contact Sher Plunkett via email, or phone (202) 663-3390, or FAX (202) 663-3391

ACHIEVING

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module focuses on the basic organizational roles and responsibilities, processes, tools, and organizational products called for under the re-engineered achieving, or implementation, system The module familiarizes workshop participants with the key reengineering principles that guided revision of the Agency's operating units' achieving process, and describes several key elements of the reengineered process (i e , strategic objective teams and results packages) The emphasis throughout the module will be on what is new under the reengineered system and how what is new fits into the total picture Emphasis will also be placed on how the four core values are expected to guide performance through the achieving process

PERFORMANCE OBJECTIVES

- Identify the changes inherent in the new achieving process and determine the impact on one's own job and operating unit
  - Recognize what is different and what is the same about the achieving process as a result of re-engineering
  - Assess why changes were made in the way USAID implements activities and explain the barriers and advantages to be realized through implementation of those changes
  - Explain the basics of the new USAID achieving process and relate them to changing roles of US and FSN staff, as well as those of customers and partners
  - Relate the key elements of the new achieving directives to one's operating unit
  - Become familiar with the new achieving documentation requirements and methods
- Describe how specific applications of the core values will improve achieving, or implementation, at the operating unit level
  - Explain and be conversant with how the core values provide a foundation for the new achieving process

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 3 hours

HELPFUL REFERENCE(S)

Note The references listed here are not all of the reading materials used in this module These are only supplementary references provided in the trainer's guide for your use, and not provided to the participants

Listed later, in the Introduction section of the presentation of the module, are a few other reading materials that are being included in the participant's notebook Those are the references we think participants should have When you are doing the training, however, you may choose to add either of the references listed here to the ones you give your participants, and you may decide to delete some of the ones that are already in the participant's notebook It depends on what you think your participants will find especially useful

- *"The New USAID Operating System for Planning, Achieving, and Judging Results Accomplishment,"* J Bierke, draft, May 22, 1995 (This item is already provided in the section of the trainer's notebook dealing with Module 4, Planning)

- *"Operations Business Area Analysis Final Report Making a Difference for Development,"* January 1995 (This lengthy document is not provided here in the trainer's notebook It was widely distributed early in 1995, so it should be available in your operating unit If not, contact M/ROR for a copy)

EQUIPMENT AND MATERIALS REQUIRED

- Disk including set of planning module slides in PowerPoint, computer and ZIP drive, and TV monitor, OR set of planning module overheads on transparencies, overhead projector, and screen

- Four sets of flip charts and easels, markers and masking tape

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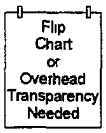
Presentation of the Module

INTRODUCTION

10 min

- Start by stating and presenting on a flip chart (Flip chart 5-1) that this is Module 5, Achieving, and that there are three basic objectives for this module



  — participants are able to identify **the key changes** in achieving (i e , implementation) as a result of re-engineering,

  — participants understand how **the four core values** provide a foundation for the new achieving system and how their application will improve the achieving process and products,

  — participants (in their SO teams, or however they are organized to plan and implement their development programs) **make some progress in articulating how they will achieve their own SOs**

- Next, review with participants the materials that are provided in their notebooks Actually, little of the content of this module is from the two items that are provided, but they should serve as useful references on conflict of interest, a hot topic, in the future

- Walk them through the materials, pointing out each's utility and how it relates to what we are going to talk about Note there are presently few, if any, good written materials on the new concept in achieving, the "results package " What we know is in these notes

  — *"Guidance on Consultation and Unfair Competitive Advantage,"* Draft This piece is an attempt by the Procurement Office, with input from the Results-Oriented Reengineering office (ROR), to address questions about conflict of interest when an operating unit has contractors

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and grantees as partners on ıts strategıc objectıve teams Note that, as of early August 1995, thıs ıtem ıs stıll ın draft form and ıs beıng revısed According to Davıd McCloud (ROR), ROR and the Office of Procurement are negotıatıng provısıons to deal wıth the rather unıque case of SO teams As of August 3, a revısed polıcy was expected wıthın weeks If you need an update, contact Davıd McCloud@IRT@AIDW

— *"POLICY Polıcy Prıncıples for Award of Assıstance Instruments to PVOs and NGOs for Development and Humanıtarıan Assıstance,"* USAID GENERAL NOTICE, A/AID, 5/25/95

— *"Managıng for Results Draft Dırectıve for Achıevıng"* (7/07/95) (Thıs ıtem ıs ın the back of the partıcıpant's notebook, along wıth the dırectıves for plannıng and monıtorıng and evaluatıng performance)

LARGE GROUP EXERCISE

15 mın

- Thıs part of the module wıll be a large-group braınstorm-lecture-dıscussıon, whıch outlınes the key features of Achıevıng under the new reengıneered process The focus wıll be on the role and responsıbılıtıes of SO teams and theır translatıon of the Results Framework ınto meanıngful chunks of actıvıty (whıch mıght be called "results packages") at the operatıng unıt level

- Start wıth a brıef large group exercıse

  Ask the partıcıpants to take five mınutes of quıet tıme to thınk about theır own past experıence ın USAID wıth ımplementatıon (e g , ımplementıng projects), or, ıf they have never been ınvolved wıth ımplementatıon of some sort to thınk about what they have heard from theır colleagues about theır experıences wıth ımplementatıon Have them wrıte on a pıece of paper two lısts

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- Things—policies, tools, approaches, whatever--that helped them do an effective job of implementation, and things that hindered them from doing an effective job of implementation

- While the participants are doing their quiet work, set up two easels and flip charts at the front of the room On one, prepare several successive sheets with the heading THINGS THAT PROMOTED EFFECTIVE IMPLEMENTATION On the other, prepare several sheets with the heading THINGS THAT HINDERED EFFECTIVE IMPLEMENTATION

- After the five minutes of quiet time, ask the participants to call out things that *promoted* effective implementation and things that *hindered* effective implementation As they do, you (and a volunteer from the group) write them in bullet form on the flip charts As flip charts fill up, tape them on the wall

- Try to focus a little discussion—clarification, elaboration, etc —on at least a few items that you think are particularly relevant to the reengineered USAID operations system Focus on positive things that people mention that reengineering is going to be reinforcing, and negative things that reengineering will be correcting

- After about 10 minutes of discussion, ask participants to keep an eye on these items during the module and consider how the reengineered Achieving process relates to them

THE STRATEGIC OBJECTIVE TEAM AND THE RESULTS FRAMEWORK THE CENTERPIECES OF ACHIEVING

60 min

SLIDE SHOW

SHOW SLIDE 1 FROM PLANNING TO ACHIEVING This is a transition slide to put on the screen as the module begins It highlights the relationship between the two processes, planning and achieving Just as the strategic plan and its Results Framework was the centerpiece of planning so, too, is it the centerpiece of achieving

SLIDE SHOW

SHOW SLIDE 2 KEY FUNCTIONS OF THE SYSTEM Achieving can be viewed as the second of three processes in the operations "cycle " All three processes are, of course, in motion at any given time, but the concept of a cycle helps us remember the interrelatedness of the three processes Note, again, the focus of all three processes is on *results*

SLIDE SHOW

SHOW SLIDE 3 ACHIEVING There are a few key principles that have guided the reengineers in re-designing USAID's implementation process For starters, we now talk about "achieving" as contrasted with "implementation " The term "achieving" emphasizes the focus on <u>results</u>, not just on process Achieving is a means to an end, not an end in itself

— Achieving is designed to be a <u>learning process</u>, in which we take risks but we learn from our mistakes, we use information (which will be more timely and readily available from here on out) to make modifications in what we are doing, and we share lessons learned with others inside and outside the organization

— A companion to learning is the <u>flexibility</u> to act on that learning and make changes as we go along The new Achieving process has built into it certain degrees of flexibility that empower those closest to the processes and activities to decide whether to change them or not The focus, of course, is always on achieving the desired result, at whatever level it may be

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- The new Achieving process is designed to be collaborative, with the involvement of customers, stakeholders, and partners at every opportunity For example, activities organized to achieve specific results in the Results Framework should include customers, stakeholders, and partners, and "virtual" teaming with collaborators in other parts of USAID is now the norm

- Finally, the reengineered Achieving process is designed to make it possible for teams within the Operating Unit to be involved in all phases of achieving specific results—planning the activities, carrying them out, assessing them, and modifying them—because Results Packages, or whatever approach for organizing the work chosen by an operating unit, should be focused, time-limited, etc The aim here is to avoid situations (common in the past) in which project design and implementation were so long and complex that staff (and partners, for that matter) never participated in the whole process and never could be held accountable for any results

SLIDE SHOW

SHOW SLIDE 4 STRATEGIC OBJECTIVE TEAM The Achieving process begins (in the sense that any of the three processes, which are cyclical and interdependent, has a beginning and an end) with completion of the Operating Unit's strategic plan and formation of SO teams The very use of SO teams and their composition relate to the two core values of *teamwork and customer focus*

SLIDE SHOW

SHOW SLIDE 5 STRATEGIC OBJECTIVE TEAM According to the draft directives, there is an SO *core* team of USAID personnel, who shall establish a broader SO team The distinctions between the core team and the broader SO team are important ones—see E202 5 2a in the draft directives for more details

- The SO team should include people who (1) bring significant expertise or knowledge needed for SO achievement (this includes using folks from AID/W under the virtual teaming principle and joint programming principle), (2) represent major development partners whose resources bear on achievement of the SO, (3) represent key stakeholders, esp local groups and individuals who will gain or suffer if the SO is achieved, and (4) major USAID customers for the SO

SLIDE SHOW

SHOW SLIDE 6 THREE WAYS TO INCLUDE CUSTOMERS' AND STAKEHOLDERS' VIEWS As for (4) in the preceding slide, the directives state

— Operating units and their core teams, in seeking to include the views of customers or stakeholders in the deliberations of SO teams, shall meet such requirement through one or more of the following means

— direct representatives of customers sitting on the team, or

— representatives from associations, NGOs, informal groups or collections of individuals who the SO team deems competent to serve on the team, or

— members of the SO team core group or USAID partners eliciting input from their customers or their representatives through normally accepted means, focus groups, town meetings, formal and informal consultations, systematic formalized customer surveys or research, and rapid appraisal methods that involve customers

SLIDE SHOW

SHOW SLIDES 7, 8, AND 9, IN SUCCESSION. STRATEGIC OBJECTIVE TEAM These three slides lay out the roles and responsibilities of SO teams Note that all three bullets on Slide 7 relate to the *empowerment* core value All the bullets on Slide 8 relate to the *results focus* core value And the first bullet of Slide 9 also reflects the *empowerment* core value

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SLIDE SHOW

SHOW SLIDE 10 PRINCIPLES FOR DEVELOPING AND MANAGING ACTIVITIES

— **As for the WHO** Seek the commitment of all relevant development partners and stakeholders, in the public and private sectors, to USAID-financed efforts,

Collaborate closely with customers, partners, stakeholders, and other donors to develop complementary programs and leverage additional resources wherever possible,

Assure that the policy and institutional framework exists or is developed to support the USAID investment,

Seek sustainable solutions to development problems, including the active participation of local organizations and communities during and after USAID's involvement

— **As for the WHAT** Apply lessons learned from prior USAID and other donor experience,

Select development strategies that seek to maximize the probability of achieving approved objectives and minimize costs, including USAID management costs,

Examine design feasibility, soundness, and cost-benefit or cost effectiveness,

— **As for the HOW** Ensure that all USAID-financed agreements have clear performance targets and accountability standards,

Define procedures for monitoring, evaluating, and reporting on the results of USAID assistance,

Create plans and program support systems that are sufficiently flexible to enable USAID and its partners to respond to customer needs and complex and changing circumstances,

Experiment with innovative approaches to development problems to increase the likelihood of success, Use performance information on program results to inform decisions on future direction of the program activities

SLIDE SHOW

SHOW SLIDE 11 RESULTS PACKAGE This gives a definition of a "Results Package " The word "may" here is telling It still isn't clear (as of mid-July) whether results packages are required or recommended The directives still sound as if they are required, but discussions with some key re-engineers suggests that the Agency may, in the final analysis, take a softer position

SLIDE SHOW

SHOW SLIDE 12 A RESULTS PACKAGE IS . This one lists the key features that make the results package so appealing, at least as a principle for organizing the operating unit's activities It's easier to say what a results package is not instead of what it is, however, because it is so flexible and dependent on the activities needed for achieving a given result

SLIDE SHOW

SHOW SLIDE 13: AT A MINIMUM, A RESULTS PACKAGE INCLUDES. . It emphasizes that the results package is focused on a result and the activities needed to produce it Questions of personnel, funding mechanisms, etc are secondary

SLIDE SHOW

SHOW SLIDE 14· A RESULTS PACKAGE MIGHT ALSO INCLUDE .. In short, a results package includes whatever it will take to achieve a specific result

SLIDE SHOW

SHOW SLIDE 15 ACHIEVING RESULTS IS SUPPORTED BY
Once all the New Management Systems and other computerized tools are available, it will be easier and faster to accomplish some routine tasks that were much more laborious and slower in the "old" days An electronic filing system and electronic signature capability will increase efficiency in achieving

SLIDE SHOW

SHOW SLIDE 16: RESULTS FRAMEWORK—RESULTS PACKAGES The next three slides lay out an example of how the results framework serves as the basis for identification of the results packages

Slıde 4-16 starts wıth a sımple strategıc objectıve Let's accept ıt as a gıven, okay?

SLIDE SHOW

SHOW SLIDE 17 STRATEGIC OBJECTIVE 3 Thıs slıde presents a mını-results framework for our strategıc objectıve In our example, the SO has two key ıntermedıate results "Increased ınvestment of Natural Resource Management (NRM) revenue ınto vıllages," and "Increased vıllage control over land and wıldlıfe " (One ıs shaded but the other ıs not)

— For purposes of managıng for results, the SO team here decıded that the first ıntermedıate result, "Increased ınvestment of NRM revenue ınto vıllages," ıs a result that, for varıous reasons, *can and should* be managed under a sıngle results package

— As for the other key ıntermedıate result, however, "Increased vıllage control over land and wıldlıfe," ıt made more sense to the SO team to go down a level to the three lower-level ıntermedıate results ("Transfer ownershıp ," "Wıldlıfe management ," and "Increased local control ") and manage two dıstınct results packages, one of them ınvolvıng a sıngle lower-level result and the other ınvolvıng together two lower-level ıntermedıate results They dıd thıs because ıt made more sense to concentrate theır resources and actıvıtıes ınto manageable unıts of actıvıty that made the most sense, from an organızatıonal perspectıve,, from a resource poınt of vıew, from a host-country partner poınt of vıew, etc

— So, thıs example shows that the level or ımportance of the result does not determıne what goes ınto a results package It's what makes the most sense from a managıng-for-results perspectıve

SLIDE SHOW

SHOW SLIDE 18 RESULTS PACKAGE 3 Thıs slıde sımply shows how a results package (ın thıs case, the one that has ıntegrated two specıfic results ınto one package) ıncludes the actıvıtıes necessary to achıeve the results

SLIDE SHOW

SHOW SLIDE 19 RESULTS PACKAGES A results package is NOT, repeat NOT, a project A key distinction between the two is that in a results package the focus is on the end, i e , the result, while in a project, too often the focus is on the means, i e , the mechanisms being implemented

SLIDE SHOW

SHOW SLIDE 20 NEW MANAGEMENT SYSTEM FOR OPERATIONS This slide lists the seven related automated information systems being developed to help operating units in the achieving area The Results Tracking System is just about ready, and the Budget Formulation System is on the way Others are in earlier stages of development We have discussed, or will discuss, some of these systems in some detail elsewhere in the workshop Ask the participants if these systems might make their lives easier in the achieving area

15-MINUTE BREAK

RESULTS PACKAGE EXERCISE

75 min.

- Break Participants into small groups (preferably by SO) and
  - Ask each group to analyze their own Results Frameworks **in terms of the most appropriate way of organizing the assistance activities to achieve specific results** If the groups do not have their own SO Results Frameworks, they can be given an illustrative case—i e , the Karlanda Results Framework, which is located at the back of the materials under Module 4—Planning—of the Participants' notebook

    They should ask themselves if each result in the framework should be managed separately from every other one, or are there any intermediate results that hang together from the perspective of efficient, effective, flexible, collaborative achieving How might they intelligently organize the results into "results packages?"

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— Once the groups have settled on how they would organize their results into discrete particular "result packages," they should quickly choose one and develop a description of how that result will be achieved They should pay attention to

who would be most appropriate to serve on a "results package team," or whatever the team for achieving the result might be called,

how, specifically, would customers and partners be involved in achieving the result, either directly, as active members of the team, or indirectly, through consultation (if through consultation, what means would be used?), and

which implementation mechanisms would likely be the most appropriate, results-oriented, flexible mechanisms for use in achieving the result

— Groups should prepare flip chart presentations of their products Have them put on the flip charts their answers to the three questions listed above

— To complete the exercise, do a group-by-group report out (or choose only one or two groups, if time is scarce), or do a "gallery walk," in which one or two group representatives stand near their posted flip charts and explain their products to participants as they come by and study the flip-charted products

HOW DOES THIS CHANGE HOW WE DO BUSINESS?

20 min

After the small group exercise and report-out, lead a large group discussion in which participants identify what's *different* about using the Strategic Objective Team and Results Package (RP) approach to achieving, and the what its implications and benefits will be for the operating unit Go back to the lists of promoters and hinderers that were created at the beginning of the module, and ask if what we have talked about will reinforce the positives and reduce the negatives

If time permits, the group identifies actions that need to be taken or organizational arrangements that need to be made to facilitate the effective implementation of an RP-type approach

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Monitoring and Evaluating Performance

Preparation of the Instructor

Description

This module focuses on the use of performance measurement information for program management and for reporting results to USAID/W for budget and performance review purposes through the Results Review and Resource Request (R4)

Performance Objectives

- Understand and explain the fundamentals of sound performance measurement and the use of performance information to better manage for results
- Relate the key concepts/requirements of the re-engineered Monitoring and Evaluating Performance directives to one's cognizant operating unit

Time Required to Teach Module

The estimated time required to teach this module is 2 hours—2 hours, 30 minutes

Helpful Reference

USAID Policies and Essential Procedures for Monitoring and Evaluating Performance

Equipment and Materials Required

- Computer with PowerPoint application, television, and computer to television converter
- 4 flip charts and flip chart pads
- Markers
- Masking tape
- Supplements to slides
  - performance measurement plan
  - collaborative evaluation piece
  - selecting indicators piece

PRESENTATION OF THE MODULE

SLIDE SHOW

SHOW SLIDE 1 NOW THAT'S WHAT I CALL A GRAPHIC INDICATOR

Have cartoon slide of a **Graphic Indicator** on screen before session begins This is intended to "break the ice "

PERFORMANCE REVIEWS

15 min

SLIDE SHOW

SHOW SLIDE 2 MONITORING AND EVALUATING PERFORMANCE TO SET THE STAGE FOR BASIC PERFORMANCE MEASUREMENT REQUIREMENTS

- While performance reviews are to be conducted at least once a year, it is important to note that these reviews are not primarily for use or review by USAID/W

- The principal reason for the reviews is to provide operating units with performance information needed to better manage for results

It also is important to understand that the need for (at least) annual performance reviews is based on best practices developed by the Agency and its operating units These best practices clearly indicate that using performance data to inform management decisions is an essential part of the planning, achieving, and monitoring and evaluation cycle

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SLIDE SHOW

SHOW SLIDE 3 KEY FUNCTIONS OF THE SYSTEM

- Explain why the use of performance measurement data is critical in the managing-for-results cycle (planning, achieving, monitoring and evaluation)

- Assure participants that previous efforts at managing for results are a solid foundation to build on for the transition to a re-engineered way of doing business

- Although planning, achieving, and monitoring and evaluation appear to be discreet activities, it should be remembered that each is an integral part in the development cycle

- Selecting indicators for performance measurement, for example, will in many cases help to refine the strategic plan

- As pointed out in the previous slide, performance information also plays a critical role in how a team decides to achieve its planned results

SLIDE SHOW

SHOW SLIDE 4 WHO PAYS?

- Inform participants that it is the operating unit's responsibility to budget for performance measurement

    - It is not required that operating units budget for a range of 3 percent to 10 percent for monitoring and evaluation

    - This range is based on experience and is explicitly noted to reinforce the need to allocate the resources necessary for sound and useful performance information

    - It is possible that monitoring and evaluation may cost more or less than these figures based on a given situation

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SHOW SLIDE 5 WHAT IS TO BE REVIEWED

SLIDE SHOW

- Discuss scope of monitoring and evaluation

While performance reviews are required for all the areas mentioned on this slide, operating units are only required to report to their bureaus on strategic objectives, special objectives and strategic support objectives

Should a change in any of these objectives be planned by an operating unit, the bureau may ask for other relevant performance information before a change in the management contract is agreed to

SHOW SLIDES 6 AND 7 INVOLVE CUSTOMERS AND PARTICIPATION

- Underscore the importance of partners and customers in performance measurement

The **Involve Customers** slide indicates who should be included in the various aspects of performance monitoring

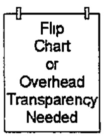
The **Participation** slide makes it clear that it is up to operating units themselves to decide when to include partners and customers in the process

The main point is enhancing the participation of partners and customers in order to better manage for results

PERFORMANCE MEASUREMENT

30 min

Focus moves to details of performance measurement



Before proceeding to the **Indicator Criteria** slides, flip chart participant input on criteria for indicators

Now refer to slides 8, 9, 10 and 11 of **Indicator Criteria**, **Baselines** and **Targets**

- compare participant input on indicator criteria
- introduce the three basic ingredients in performance measurement

Indicator criteria

Direct Direct indicators are to be used whenever possible
Proxy indicators can be used when it is not practical to gather data for a direct indicator on a timely basis When proxy indicators are used, they should be as directly related to the relevant result as possible

Objective The indicator shall be defined in precise and objective terms, i e , the indicator can be understood by a wide audience and is not open to varying interpretations

Available Indicators shall be identified for which data are regularly available and/or collectable

Practical The indicator shall permit cost-effective collection of quality data on a timely basis, i e , at a frequency that is consistent with management needs

Unidimensional An indicator shall include only one phenomenon so it can be measured, managed and clearly understood

Quantitative In most cases, quantitative indicators are preferred for the purpose of performance monitoring In some cases, however, qualitative indicators are acceptable or even preferred

Disaggregated Indicators should be disaggregated whenever necessary to better manage for results Possible areas for disaggregation includes gender, ethnicity, age and urban/rural

SLIDE SHOW

SHOW SLIDES 12 AND 13 MONITORING PLANS SHOULD INCLUDE

- Point out minimum contents of performance monitoring plans

The pages following slides 12 and 13 in the notebook provide an example of a performance monitoring plan

Highlighting the need for documentation (rotating USAID staff, new team members and operating unit management need access to the same performance information), refer participants to sample performance measurement plan following these two slides Be sure to point out that such plans are derived from best practices and have proven to be useful managing-for-results tools

Although the examples used here are limited to strategic objectives and critical assumptions, the same plan can also be used for results at all levels

Such plans are for operating unit management purposes and are not intended for reporting purposes or as a substitute for the results-review portion of the R4

SHOW SLIDE 14 ARE EVALUATIONS REQUIRED?

SLIDE SHOW

- Explain that evaluations should only be conducted when they will serve management needs

- Ask participants for input on the difference between monitoring and evaluation (Basically, monitoring answers the "what" questions and evaluations answer the "why" questions)

Once the difference is established, flipchart participant input on what would trigger an evaluation, asking for a few examples from their work experience This should engage them in discussion of when evaluations are useful for improved performance

SHOW SLIDE 15 WHO DECIDES

SLIDE SHOW

- Reinforce the need for participation in the decision-making process

Now compare participant input with the evaluation triggers listed on the slide Comments from the participants are welcome

- Illustrative evaluation triggers (from the directives)

  — Monitoring indicates an unexpected (positive or negative) result

  — A key management decision must be made about the direction of an activity/result, but there is inadequate information to guide the decision

  — Annual (or periodic reviews) within the operating unit or the host country identify key questions to be resolved or questions on which consensus must be developed

  — Formal or informal feedback from partners, customers or other informed observers suggests that implementation is not going well or is not meeting the needs of intended customers

- There is a breakdown in a critical assumption or intermediate result supported by another donor

- An operating unit believes extracting key lessons learned or documenting experience is important for the benefit of other operating units or for future programming in the same country

- Be sure to point out that evaluation information is critical for management decisions, and for this reason, evaluations are not required and should be conducted only when they will serve management needs

- Also note that the USAID/W review process might flag issues, arrived at in a consultative process, that could lead to an evaluation activity

SHOW SLIDE 16 WHO TO INCLUDE

- Provide guidance on participation in evaluations

  - SO teams shall not only include customers and partners in deciding when to evaluate, but also in conducting evaluations

  - It is up to SO teams to decide which customers and partners to bring into the process, and how and to what extent to include them

  - Most importantly, best practices have shown that including customers and partners is essential to better manage for results

EXERCISE USING INFORMATION FOR PERFORMANCE MANAGEMENT

**1 hour (45 minutes for work and
15 minutes for group reporting)**

Have participants break into SO teams to focus on using performance information The scenario for this exercise deals with intermediate results that are not achieved as expected (targets might either be exceeded or not reached)

Flip Chart or Overhead Transparency Needed

The three basic questions listed below are written on flip charts These questions will guide the groups' work and reporting

1 How will we have learned that our intermediate result was not achieved as expected or exceeded our expectations? Ask participants to discuss which indicators and corresponding data informed their understanding of performance

2 What will we do with the information? Outline a few options, including process analysis, change in strategy, revision in the management contract and evaluation (formal or non-formal)

3 What roles will our customers and partners play in items 1 and 2?

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DISCUSSION QUESTIONS

1. **How will we have learned that our intermediate result was not achieved as expected or that it exceeded our expectations?**

2. **What will we do with this information?**

3. **What roles do our customers and partners play in items 1 and 2?**

Flip Chart

THE R4

10 min

SHOW SLIDE 17 REPORTING

SLIDE SHOW

- Introduce the annual review process
  - Operating units within the Global Bureau and the Bureau of Humanitarian Response shall report to their respective central bureau
  - Operating units within regional bureaus report to their respective regional bureau
  - While the R4 is to be submitted once a year, some bureaus might ask that operating units submit the results-report portion of the R4 before submitting the resource-request portion of the R4
  - Such a decision should be made in consultation with an operating unit's respective bureau

SLIDE SHOW

SHOW SLIDE 18 THE R4

- Explain the essential components of the R4, which are

Factors affecting program performance

— progress in the overall program, i e goals, subgoals, or other broad programmatic issues

Progress toward strategic (and other) objectives

— summary of data on progress toward achieving SOs including data on intermediate results where appropriate
— analysis of these data
— evidence that USAID activities are making a significant contribution to achievement of the SO
— expected progress for the next year

Status of the management contract

— proposals for change/refinements at the SO level, if necessary
— special concerns or issues, including discussions of how the customer influenced the operating unit's assessment of progress and possible changes in the strategic plan
— updated list of G and/or BHR activities in country

Resource requirements

— program funding request by SO, and OE, staffing, technical support from AID/W, and program development and support (PD&S) funding

SLIDE SHOW

SHOW SLIDE 19 THE REGIONAL BUREAUS

- Review when and by whom the R4 is reviewed

SLIDE SHOW

SHOW SLIDE 20 REQUIREMENTS.

- End the lecturette on a positive note!!!

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SHOW SLIDE 21 EXCELLENT ORGANIZATION

SLIDE SHOW

Wrap up module and reinforce the importance of regular performance monitoring

(If time permits, go to the next exercise)

TEAMWORK EXERCISE

45 minutes (30 minutes for work and 15 minutes for group reporting)

Participants form groups according to strategic objective teams and determine individual/team responsibilities for preparing the R4 Have participants review the components of the R4 before the exercise begins Assign break-out rooms

GROUP REPORTING

10 min

Reporting includes documenting unresolved R4 issues arising from the exercise

TRANSITION AND CONTINUOUS IMPROVEMENT

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module helps participants understand the process of transition, both personally and organizationally, and discusses some the transition issues USAID is working on This module introduces the participants to tools for understanding work processes as a tool for both transition and continuous improvement

PERFORMANCE OBJECTIVES

- Identify the phases individuals go through in transitions
- Identify the various aspects of organizations which are impacted in a major change effort
- Use the technique of flowcharting to map a work process Describe how the technique can be used to assist in transition and to use in improving work processes

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 3 hours

HELPFUL REFERENCES

"Managing Organizational Transitions," William Bridges
"Creating Critical Mass to Support Change," John D Adams

EQUIPMENT AND MATERIALS REQUIRED

- Slides 1 - 30
- Handouts
- Four flip charts and stands
- Markers and masking tape
- TV, computer to TV converter, and computer

PRESENTATION OF THE MODULE

CHANGE AND TRANSITION

5 min

SLIDE SHOW

SHOW SLIDE 1 CHANGE, AND SLIDE 2 TRANSITION Based on the work of William Bridges, discuss the difference between change and transition

Change

- Happens when something starts or stops
- Happens at a particular time, or in stages at different times

Change is tied more to events, whereas transition occurs over a longer timeframe and is not planned and managed as rationally or easily as change can be

When organizations go through a transition, management must be sensitive to what happens on a personal level as well as to the organization

- Personal - individuals experience transition on a personal, psychological level
- Organizational - transition in the organization should be dealt with in a holistic way, with all the various aspects being addressed

PHASES OF PERSONAL TRANSITION

10 min

SLIDE SHOW

SHOW SLIDES 3 THROUGH 7

William Bridges discusses the phases of transition that individuals go through during a change effort They are

- The ending phase - let go of old situation
  - Disengagement
  - Disidentification
  - Disenchantment

- The neutral phase - go through the "neutral zone" between the old and new reality, where things are unclear and confusing
  - Disorientation
  - Disintegration

- The "vision" or new beginning - a period characterized with new policies and procedures, relationships, competencies and plans for the future
  - The new start is built upon the orientation and identity that comes out of the neutral zone
  - Design activities to help people cope with losses - for example, if loss of attachments is an issue, develop rituals to mark the endings and team-building exercises to begin the new If loss of meaning is an issue, develop a communications plan based on new meaning, See the Bridges article at the end of this module

HOLISTIC ORGANIZATIONAL TRANSITION

5 min

SLIDE SHOW

SHOW SLIDES 8 THROUGH 10 HOLISTIC BUSINESS REENGINEERING AND HERE WE GO ROUND THE DIAMOND

In conducting holistic business reengineering, the primary focus is on the business processes and information, but reengineering does not stop there It is critical to focus on, and align a number of other organizational systems with the reengineering changes to ensure successful implementation Specifically, we need to align and assure consistency of

- Mission, vision, values
- Improved processes and information systems
- Jobs and expectations
- Training
- Measurement systems
- Culture
- Organizational structure

Remind the participants that if this alignment is not consciously pursued, they will come up in time in the form of issues or problems - they'll get addressed one way or another In addition, often organizations leap to reorganize, moving the organizational boxes around, without changing how work is done Reorganizations tend to drive fear into the organization, and often do not produce the desired effect (because the way we work didn't change) Proceed with caution

The visual, "Here We Go Round the Diamond" (developed by Michael Hammer), presents the need for a holistic approach to reengineering in another way

ORGANIZATIONAL EMPOWERMENT

5 min

As USAID operating units transition to the reengineered operations system they will need to both adapt Agency wide policies and procedures, and they will develop operating unit specific ways of conducting business (everything is not spelled out in the core directives)

SHOW SLIDE 11 AND 12 ORGANIZATIONAL EMPOWERMENT

SLIDE SHOW

As operating units make changes, they have the opportunity to adopt or continue to institutionalize practices which contribute to organizational empowerment Some of these (adopted from Management by Empowerment, Dr William Guillory) include

- Commitment to producing an exceptional product or service, exceeding customer demand and to preserving the well-being of employees
- Accountability and responsibility form the basis for operational agreements
- Individuals and teams realize how their contributions fit in
- Management structure supports empowerment
- Action-oriented procedures (delegations of authority) demonstrate support of empowerment

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USAID SPECIFIC TRANSITION ISSUES

15 min

SLIDE SHOW

SHOW SLIDES 13 THROUGH 16

Some of the key areas that USAID will have to give priority to adjusting include projects, contracts, grants and working with other donors

Options for what can be done with existing projects under the new system include (in rough order of ease/desirability)

- Place under an SO
- Break up elements among SOs
- Amend the ProAg to fit under SO or break up into elements
- Deobligate and try to reobligate

Note that trying to deobligate and reobligate will most likely be the path of most resistance (with money already in the pipeline) In addition, if money is deobligated, during times of budget troubles, it may not get reobligated

There are advantages in moving the transition quickly **(Slide 15)**

- We will be reporting according to the new system - we might as well get started

- Operating units are expected to develop customer service plans

- The Agency will be operating under the R4 next budget cycle

- Operating units will be expected to demonstrate results through the results framework

  As USAID moves from the present organization to the future organization, transition planning will help us phase down our old "systems" and further implement the new systems **(Slide 16)**

TRANSITION ISSUE DISCUSSION

30 min.

Facilitate a discussion of the key transition issues the Agency faces and the current guidance from USAID/W for dealing with these issues If you are in USAID/W, invite the bureau transition coordinator to help lead the discussion and provide the latest guidance If you are in the field, contact the bureau coordinator in advance for the latest information

RESOLVING TRANSITION ISSUES (OPTIONAL EXERCISE)

45 min

Divide the class into 3-4 small breakout groups Ask the groups to identify a project(s) which have transition issues associated with it Ask the group to do the following

- Identify the specific transition issues associated with the effort
- Develop suggested actions to resolve the issues

Allow the group 30 minutes to work on the issues Ask them to select a spokesperson Have the first group report back on their product Ask the subsequent groups to highlight additional or different issues or suggested resolutions that their groups identified

These products could then be sent to the bureau transition coordinator for consideration (Are these suggestions in line with current thinking, and if not, what is the current thinking?) This would be a way to begin identifying issues and getting them to the appropriate contact for consideration

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CHANGING AND TRANSITIONING OUR PROCESSES

5 min

SLIDE SHOW

SHOW SLIDE 18 CHANGING & TRANSITIONING OUR PROCESSES

- Reengineering is changing the Agency's processes
- Policies and directives describe broad parameters, not operating unit specifics
- Operating units will be changing local processes and transitioning to Agencywide processes

Remember that the Agency is reengineering its "processes " Business processes were redesigned for the Agency as a whole However, operating units now have to determine how and what they will change and transition as they move toward the new operating system Many of the processes in operating units are largely under the authority of that operating unit to change

Note that the operations system described by the policies and directives were designed to give the operating units latitude and authority to decide how to operationalize these practices in each operating unit All of our work gets done through some sort of process, whether it is implicit or explicit, conscious or unconscious, etc The better we can understand these processes and how they work, the better position we are in to make actual improvements to them

WORK PROCESSES TO CREATE PRODUCTS/SERVICES

10 min

Products and services are created and delivered through work processes/systems

15

SHOW SLIDE 19 ENSURING CUSTOMER SATISFACTION

SLIDE SHOW

Recall the discussion earlier in this course about understanding customer needs Customer needs are expressed and met through products and services, which in turn, are created through some sort of processes (see the notes on the slide)

SHOW SLIDE 20 WHAT IS A PROCESS?

SLIDE SHOW

What exactly do we mean by "process?" One definition of a process is a series of interrelated activities that takes inputs, transforms them and adds value to them, to ultimately create a product or service that meets customers needs and expectations

What are some typical work processes and what do we know about them? First, what are some typical work processes? *Ask the participants to respond Some possible answers include the following*

- Planning an activity
    - Procuring a good or service
    - Addressing a complaint
    - Getting a visitor through custom's and immigration requirements and on to their destination

SHOW SLIDE 21 ATTRIBUTES OF PROCESSES

SLIDE SHOW

What do we know about processes?

- They are seldom understood by many
- They typically evolve over time
- Often, many of the steps are non-value-added, or duplicative
- They often contain steps which are waste and rework
- They often are internally oriented, versus customer-oriented
- They often cross the boundaries of organizational functions (e g , the procurement process does not lie only in the contracts office Part of the work is in the project/technical offices, the contract office, the EXOs office, etc)

SHOW SLIDE 22 COMPONENTS OF A SYSTEM

SLIDE SHOW

What do systems consist of?

- People
- Processes/Procedures
- Equipment
- Environment
- Materials

When we examine a system, we need to remember that the system is not just the steps we go through, but also includes people (an untrained person, people who speak a different language, etc), equipment (a nonfunctioning vehicle, lack of computers, no needles, etc) the environment (an unstable national or local government, drought, etc) in which this is all happening The point is, changing only the procedures may not fundamentally make the system work better

DESCRIBING A PROCESS

5 min

How do we gain a greater understanding of the processes/systems which make up the work that our mission or USAID/W office is undertaking (operating unit)? Work processes can be understood through written narrative documentation, through lists of steps, by walking through them, or by drawing a picture - a flow diagram or process map

Let's discuss how to construct a flow diagram There is really no right or wrong way to display the information about how the process works What's important is that those who create the flip chart, understand it and can use it

For the workflow diagram itself, you use the flowcharting symbols familiar to most management analysts and computer systems analysts

SHOW SLIDE 23 AND 24 STANDARD FLOW DIAGRAM SYMBOLS

SLIDE SHOW

The *activity symbol* is a rectangle that indicates a single step in the process

The *decision symbol* is a diamond that designates a decision or branch point in the process The description of the decision or branch is written inside the symbol, usually in the form of a question

The *terminal symbol* is a rounded rectangle that identifies the beginning or the end of a process "Start" or "End" is shown inside the symbol

Flow lines are used to represent the progression of steps in the sequence The arrowhead on the flow line indicates the direction of the process flow

The *document symbol* represents written information pertinent to the process

The *data base symbol* represents electronically scored information pertinent to the process

The *connector* is a circle used to indicate a continuation of the flow diagram A letter or number is shown inside the circle This same letter or number is used in a connector symbol on the continued flow diagram to indicate how the processes are connected

When constructing a flow diagram, the most commonly used symbols are terminal symbols, activity symbols, decision symbols, flow lines and connectors

When developing an initial flow diagram, teams often use "Post-It" Notes to order and reorder the activities and steps in a process They can be moved and are very forgiving as you change the flow diagram

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GETTING TO WORK ON TIME (EXERCISE)

15 min

Let's walk through a simple process with which we are all very familiar - the process of getting to work on time (Or, identify a process everyone is familiar with, and would like to see work better For example, processing a travel authorization, payment vouchers, sending a fa, getting a driver to the field Feel free to use a real work example in place of the generic exercise described below)

Where does the process start and where does it end? In other words what is the scope of the process? (Use Post-Its to create a terminal start symbol and place it in the upper left hand corner of the flipchart Then create the first activity box Use square Post-Its to create a decision (diamond) symbol Refer to page 35 in the Team Toolkit for additional assistance

What are all the steps you take to get ready and get to work on time Let's say the goal is 8 00 (Create additional activity and decision boxes for all the steps, thereby creating the flow diagram See the sample diagram in the participant materials as an example, if needed)

Now, lets change the goal Today you have to arrive at work at 7 00 What can we do to change the process to achieve the result?

SHOW SLIDE 25 DEFINITION OF INSANITY

SLIDE SHOW

If you want a different result, you need to change what you do (the process) Discuss ways to change the process They could include getting up earlier, skipping breakfast, not reading the newspaper, doing everything faster, taking a taxi instead of the bus, etc

What does this exercise tell us? The work we do to achieve results occurs through a series of processes These processes are often not well understood and sometimes are not designed to achieve the results, resulting in waste, rework and frustration When we understand how processes are working, we better understand what needs to be changed and improved We understand the "truth," or "what is "

SHOW SLIDE 26 ANALYZING A WORK PROCESS

SLIDE SHOW

Some things to look for in analyzing a work process include the following

- Rework loops
- Nonvalue-added steps
- Delays
- Documents that go nowhere
- Serial vs parallel steps

Why is a flow diagram so valuable? (Ask the group Some possible responses include the following

- It allows us to "see" a process objectively
- It gives insight to problems and delays
- It helps groups arrive at a common understanding of how a system works
- It tells us "what is" - not what we want it to be
- It shows us the "truth "

SHOW SLIDE 27 AND 28 WHY IS A FLOW DIAGRAM SO VALUABLE?

SLIDE SHOW

How can processes be improved? (Ask group and then compare their responses to the ones on **Slide 29**)

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SHOW SLIDE 29 HOW CAN PROCESSES BE IMPROVED?

SLIDE SHOW

What are some processes we have in our mission (or USAID/W offices) and for whose performance we are accountable? (Solicit responses from participants)

How well are they working and what could we do to improve them? (Solicit ideas from the group Try to elicit responses from professional as well as non-professional employees)

WHERE ARE WE & WHERE ARE WE GOING? (BREAKOUT EXERCISE)

60 min

Discuss reengineering in the context of changing (improving) Agency reengineering processes (operations, budget, procurement, accounting) The Agency recognized that its processes for achieving sustainable results were in need of improvement The Agency's processes for conducting the operations work and the supporting processes (budget, procurement and accounting) had evolved over time and had become rather inflexible, ridden with paper and cumbersome Before we discuss in detail what the Agency has done to improve these processes, let's talk about how work is done today Let's take some time to describe "what is" so we have a clear understanding of where we are, as we prepare to implement the new processes

In the large group, brainstorm processes in the operating unit (mission or AID/W) that people are familiar with and will change significantly due to our reforms Identify 3 or 4 (depending on class size) for breakout groups to work on Use the criteria of (1) we understand it well enough to map it (2) it is need of improvement, or will be changing due to the reforms Divide the group into small groups for the purpose of this exercise Ensure there are at least several people in each group who are familiar with the process The task for the groups is to develop a high-level map/flowchart of the process they were assigned Refer people to the handout on this breakout in their binders

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Instruct them to create a process map or flow diagram of their process

- Identify where it begins and ends (the scope)
- Identify the major steps Try to keep it high level - don't get mired in the details
- Write the steps on Post-It notes and move them around as needed

As a group, they should address the following questions

- Who is (are) the customer(s) of this process?
- What do we think are their needs? How could we validate our assumptions?
- How well do we think this process meets their needs?
- How could it be improved?

Allow the groups 30 minutes for this task The other instructors should guide and assist the small groups with this task Ask the groups to place their products on the wall at the end of the group work Allow 10 minutes for a gallery walk Tell the participants to make note of any questions or observations Wrap up the session with a 10 minute open discussion of questions and observations of their own or other groups products

We use process maps as a very simple, but powerful tool to tell us how things work How might we use this tool in our day to day work? Ask the group, and record answers on the flipchart The following are some possible answers)

- To understand the process we will put in place to address a development problem (ie , what is the process we will put in place to address girl's education)
- To create a common understanding with our partners how we are or plan to approach a development problem
- To understand and improve our internal "support" processes
- To help analyze a problem (we know something is broken, we're not sure where)
- To help understand the role and contributions of different offices to an operating unit process

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- To help us transition to the future USAID/W has changed Agency processes through the reengineering efforts They have not worked through all the details as to how each mission will make these new processes work Much is left to the operating units to decide Since reengineering attempted to take Agency "best practices" and institutionalize them, it is important for offices to recognize their own "best practices" (and not throw the babies out with the bath water)

Suggest to the groups that they hold on to these process maps and use them in their own transition work

SHOW SLIDE 30 A THOUGHT ON IMPROVEMENT

SLIDE SHOW

CHANGING ROLES AND EFFECTIVE TEAMWORK

PREPARATION OF THE INSTRUCTOR

DESCRIPTION

This module begins with a look at how teamwork is interactive with other core values and identifies the changes that all USAID personnel will be asked to make in the process of making teamwork operational Exercises will address ways in which roles must change, the roles that need to be played on effective teams, systemic changes that need to realized by empowered teams and the priority issues that limit team effectiveness The module concludes with the identification of concerns that participants have about the core value of teamwork in the new USAID operating system, what they can do to overcome those concerns, and what benefits they can derive from teamwork

PERFORMANCE OBJECTIVES

- Identify the changes inherent in the new system and determine the impact on one's job and operating unit
- Predict and describe how one's job might change under the new systems
- Identify teamwork requirements needed to support the new operating system

TIME REQUIRED TO TEACH MODULE

The estimated time required to teach this module is 4 hours

HELPFUL REFERENCE

Directives 101 - Managing for Results
202 - Managing for Results Achieving
"Ground Rules for Groups" by Roger M Schwarz

EQUIPMENT AND MATERIALS REQUIRED:

- Tool Kit for Effective Teamwork
- Handouts
  - Changing Roles Within USAID
  - Working Relationships in the New System
  - Team Empowerment
  - To Become a Team Requires

- Exercises
  - Guidelines for Brainstorming
  - Multi-voting
  - Effective Functioning on Strategic Objective Teams in USAID
  - Force Field Analysis of Priority Issues (by Driving and Restraining Forces)
  - Identifying New Relationships

- 3 flip chart stands and flip chart pads

- Markers and masking tape

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PRESENTATION OF THE MODULE

INTRODUCTION TO TEAMWORK AT USAID

5 min

EMPHASIZE: Some managers in USAID have successfully practiced teamwork for years In the words of Phyllis Dichter-Forbes

"Pieces of the new system have come from missions around the world We had already experimented with trying to do different things "

So let's look at how we are approaching teamwork differently today than in the past

ASK Recognizing that most of us have participated in training programs that were focused on making teamwork real, improving committees and group dynamics, etc —**what is different?**

How we think and work together

- **Teamwork must be interactive** with the other core values—management by results, focus on the customer, and empowerment and accountability
- **Players are different, as are their roles**—early involvement of customers and partners as members of the team, rather than as counterparts and service providers, to whom we go to validate our best assessments
- The **way we work** has changed with **reduced paperwork, increased efficiencies, streamlined reporting, getting decision making nearer the action**, etc

  REENGINEERING PRESENTS US WITH THE OPPORTUNITY, FIRST AND FOREMOST, TO HAVE FUN AGAIN—SOMETHING WE AS AN AGENCY SEEM AT TIMES TO HAVE FORGOTTEN HOW TO DO

REMINDER THIS SESSION CANNOT DEAL WITH ALL THE SKILLS REQUIRED TO BUILD AND MAINTAIN TEAMS BUT WILL FOCUS ON THE START-UP OF TEAMS

TEAM EMPOWERMENT

40 min

Lets begin with the **DEFINITION** of teamwork and then look at the **CONDITIONS OR REQUIREMENTS** of becoming a team

DEFINITION A TEAM IS A GROUP OF CO-WORKERS WHO RELY ON GROUP INTERDEPENDENCE AND SUPPORT TO SUCCESSFULLY ACHIEVE AN OBJECTIVE OR GOAL

HANDOUT "*To Become a Team* " REVIEW 6 POINTS IN DETAIL (Module will touch on or deal with most of these points)

CULTURAL CHANGE is a major challenge for many USAID organizational units

HANDOUT "*Team Empowerment* " Relate back to discussion of ORGANIZATIONAL EMPOWERMENT in module on Organizational Transition

- **SYSTEMIC CHANGES REQUIRED FOR DEEP-ROOTED TEAMWORK**

Refer to model in the notebook that identifies some major systemic change requirements

EXERCISE Divide the group into 3 small groups Have them sit together as a team

ASK EACH OF THE GROUPS TO TAKE 4 OR 5 OF THE ELEMENTS AND IDENTIFY THOSE ACTIONS OR ENABLERS THAT ARE NEEDED TO FACILITATE SYSTEMIC CHANGE

(Some Actions that may be identified)

Pushing Decisions Down—policies, procedures, rewards

Eliminating Layers—Combine roles, change organizational structure

In-house/External Facilitators—Just-in-time training, facilitating groups, working through resistance issues, meeting skills

New Leadership Skills—New selection criteria, new requirements, succession planning, training

Support from the Top—Modeling, decisions, resources, visible champions

Work that Requires Teams—Re-engineering, organizational structure changes, benchmarking, work re-design, continuous improvement efforts

Including Customers—Early identification and involvement

Focusing on Core Business—Clarity of development priorities, clear enunciation of strategic objectives

Teamwork Skills—Rewards, training, diverse requirements, promotion & retention criteria

A Change in Management Plan—Transition skills, strategic planning, vision

Right People on the Teams—Selection, recruitment, career development programs

Re-designed Reward System—Formal, informal, performance management and appraisal system

Clear Team Charters—Outcomes/results, negotiation skills

- **REPORT OUTS** Ask all 3 teams to present a brief report Provide the opportunity for all to challenge, clarify or add to the requirements

- **Refer to HANDOUT on "*Implementing Empowerment*" with an emphasis on organizational leadership and support**

MOVING INTO THE TEAM MODE OF DOING BUSINESS

5 min

- Conduct a brief discussion with the participants on the question of **what should come first**

    1) redrawing the lines and moving the organizational boxes, or
    2) practicing the behavior & establishing team norms?

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What are the dangers in redesigning the organization before you have tried operating in a new way with different players? Answers should include

- — potential for quick regression to the old way, when the change falters
- — high likelihood of doing it wrong
- — without actually practicing new ways of doing things, it's difficult to sort out the distribution of responsibilities

BRINGING INDIVIDUAL PROFESSIONAL AND TECHNICAL SKILLS TO RE-ENGINEERED TEAMS THAT ARE EMPOWERED

60 min (total)

EXERCISE Effective Functioning on Strategic Objective Teams in USAID (30 minutes)

HANDOUT *"Changing Roles Within USAID"*

Organize participants into 4 groups to look at potential changes in their jobs for various professional areas The handout is a reference point or trigger to help people think about those changes DO NOT USE THE PROFILES AS GUIDANCE USE ONLY AS A TOOL IF NOT HELPFUL, IGNORE

- **MOST IMPORTANT GUIDELINE** PUSH THE ENVELOPE AND ASK HOW YOU NEED TO OPERATE DIFFERENTLY

  Program Officer/Project Development Officer
  Controller/Executive Officer/Contracting Officer
  Mission Director/Deputy Director/Office Director
  Technical Officer

- RECORD AND REPORT OUT 5 - 7 MINUTES PER GROUP

ASK What are the major issues in operationalizing new roles that cut across functional areas, i e , interdependence, real contributions based on balance of responsibility and accountability?

TEAM ROLES

15 min

- **To launch and maintain effective teamwork** we must be clear about its purpose Again, in the words of Phyllis Dichter-Forbes when she addressed the re-engineering ToT pilot class

  "As a manager, you need to be very clear about why a team was put together The team needs to be able to come back to you and say what they think they are there to do and what they can do "

One technique management and teams use to ensure there is a common understanding about what they are responsible for and what resources and authorities they have to work with, is to **develop a charter or contract between the team and management** (Refer the group to the sample charter on page 7 of the Team Tool Kit)

When being launched, a team needs to understand the various roles which are played out in a team setting Some of the roles which team participants assume are **team leader, team members, facilitator, and recorder**

The precise label and assignment of these roles is not what is important Ensuring that people on the team are assuming and completing the tasks required by these roles is very essential

> **HANDOUT** "*Conducting Effective Meetings*" and "*Group Member Roles* " Walk through this handout with the group

Remind the participants that the role of the facilitator is best practiced with some professional training and experience Operating units might choose to employ the services of professional facilitators as they establish teams, or they may choose to invest in the training and development of staff members to serve in this role

PRIORITIZING THE MAJOR ISSUES IN MAKING TEAMS WORK WITHIN THE CONTEXT OF REENGINEERING, AS WE NOW UNDERSTAND IT

60 min

EXERCISE Brainstorming of the Major Issues

- Divide participants into 3 small groups and have each group sit together
- **ASK** each participant to think for a bit and note down on paper the two or three major issues they see regarding making teams work as the way of doing business in USAID
- Each group should select a member to serve as Recorder Recorders in each group should prepare to record contributions **exactly as presented**
- Reduce each idea to a few key words if possible
- Record in Sequence People may pass Clarify and combine only with concurrence of the contributor FULL GUIDELINES for the Brainstorming Process used here are found in the TOOL KIT (P 29 TAB 13)

MULTIVOTE IN ORDER TO BOIL LIST DOWN TO "STICKIEST" ISSUES (FULL GUIDELINES, TOOL KIT, P 32 TAB 13)

1 Number the items Be sure there are at least 20 items

2 Ask each member to choose up to one-third of the total list as items they wish to discuss or address

3 After all group members have silently completed their selections (by number), tally the votes by show of hands for each numbered item on the list

4 To reduce the list, eliminate those items with few votes (probably 3 or less)

5 Repeat vote to come down to a workable number (3 - 5) for groups to work on

Ask groups to each take one of the priority issues and proceed to do a FORCE FIELD ANALYSIS (GUIDELINES, TOOL KIT, P 33, TAB 13)

1 State issue in terms of desired change

2 Do diagram that will focus discussion on **driving forces** which are benefits and advantages of the change and **restraining forces** that are the shortcomings and disadvantages of the change

3 Record member contributions on diagram and scale intensity of forces (1-5)

4 Develop strategies for increasing the driving forces and decreasing the restraining forces Reducing the restraining forces is often the best way to start

5 Target changes that can realistically be made and identify steps that can be taken

- Each small group **reports to the large group** with refinement of steps to help people work more effectively in teams

  After groups report back on the content of their work, **ASK**

  What did people in the various roles do to help the team get through their task?

  What did the leader do?
  What did the facilitator do?
  What did the recorder do?
  What did the team members do?

SUMMARY

10 min

Review key points from "*Ground Rules for Groups*" by Roger M Schwarz (Full article is last item under Tab 7 in the participant notebook,

- Test Assumptions and Inferences
- Share all Relevant Information
- Focus on Interests, not Positions
- Be Specific, Use Examples
- Agree on the Meaning of Important Words

- Explain Reasons Behind Statements, Questions and Answers
- Disagree Openly with Group Members
- Make Statements Invite Questions and Comments
- Jointly Design Ways of Testing Disagreements and Solutions
- Discuss "non-discussable" Issues
- Keep Discussions Focused
- Eliminate Cheap Shots and Other Distractions
- All Group Members are Expected to Participate
- Exchange Relevant Information with Non-group Members
- Make Decisions by Consensus
- Conduct Self-critique

OPTIONAL TEAMWORK EXERCISE

45 min

HANDOUT *"Teamwork"*

- Distribute the information cards randomly to the team members Each team should have a complete set of information cards

- Have the teams begin their task Allow 20 minutes, then have the participants turn to their reaction forms on page two of the exercise sheets

- Reconvene the class as one group Lead a discussion of the problem-solving activity, focusing on

  - sharing of information in a task oriented situation,
  - cooperation in group problem solving, and
  - the emergence of leadership in group problem solving

Team members should be encouraged to share data from their reaction forms

Solution = 23/30 wors

Calculation Method

24 Lutts/Hr	30 Lutts/Hr	30 Lutts/Hr	
A	B	C	D
4 Lutts	8 Lutts	10 Lutts	
1667 wor	2667 wor	3333 wor	

Total 7667 WOR = 23/30 WOR

2 MR/HR	1 LUT = 10 MIPP
1 WOR/5MIR	2 MIPP = 1 MILE

TRAINING OF TRAINERS WORKSHOP OBJECTIVES

By the end of the workshop participants will be able to

1 demonstrate a thorough understanding of the experiential learning cycle by facilitating part of one module of the training,

2 recognize and describe a variety of experiential learning methodologies that are relevant to re-engineering training,

3 identify and evaluate effective group facilitation skills and interventions,

4 determine their own level of skill in group facilitation and identify areas for improvement,

5 become more familiar with a variety of training tools and applications for re-engineering training in the USAID context,

6 have some fun while learning!

PRESENTATION GUIDELINES

Your team will present a one hour (60 minutes) training session on a re-engineering topic You may use any of the modules that have been covered so far, and you may revise the segment you select so that it will be more attuned to your audience

As you plan your presentation, you may wish to use the Session Design Form for your work First, think about the entire module and how you would present it Then, in collaboration with other teams who may have selected the same module, select one activity from the module to present to the group so that each team is presenting a different aspect of the module or a different module

In planning your presentation the following items must be included

- You must use 2 different types of media (e g , PowerPoint slides, overheads, flip charts, handouts, etc)

- You must use at least 2 instructional techniques (e g , lecturettes, exercise, guided discussion, small group discussion, report out, etc)

We will support your work by providing the following

- Consultation (Free!)

- Reproduction of materials (give us overnight to get copies made)

- Overhead transparency film, Vis a Vis pens for writing on the transparencies, markers, tape, flip charts and other items as requested

Immediately following your presentation 30 minutes will be devoted to a class discussion about the session and your facilitation of it The following questions will be used to guide this discussion

1 Objectives

Were the session objectives clear and evident?
Were the session objectives met?
How did this particular design facilitate meeting the objectives or did the design hinder meeting the objectives Be specific in your comments

2 Design

What methodology, techniques were used?
Did these choices fit the learning objectives?
Did any exercises used (if any) help you grasp the content?
What elements would you not drop from the design?
What elements could the design do without?
What might you add/substitute to improve the design?

3 Facilitation

Did the facilitator(s) maintain a neutral stance?
Did the facilitators demonstrate active listening? How?
What were the most/least effective interventions used by the facilitator(s)?
How did the facilitator(s) help participants to achieve success?
What specific behaviors did the facilitator(s) exhibit that you liked? that need improvement?

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SESSION DESIGN FORM

LEARNING OBJECTIVES

Instructional Objectives	Suggested Activity/Methodology	Time

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Resource Materials
for
Training of Trainers

危 — DANGERS

機 — HIDDEN OPPORTUNITIES

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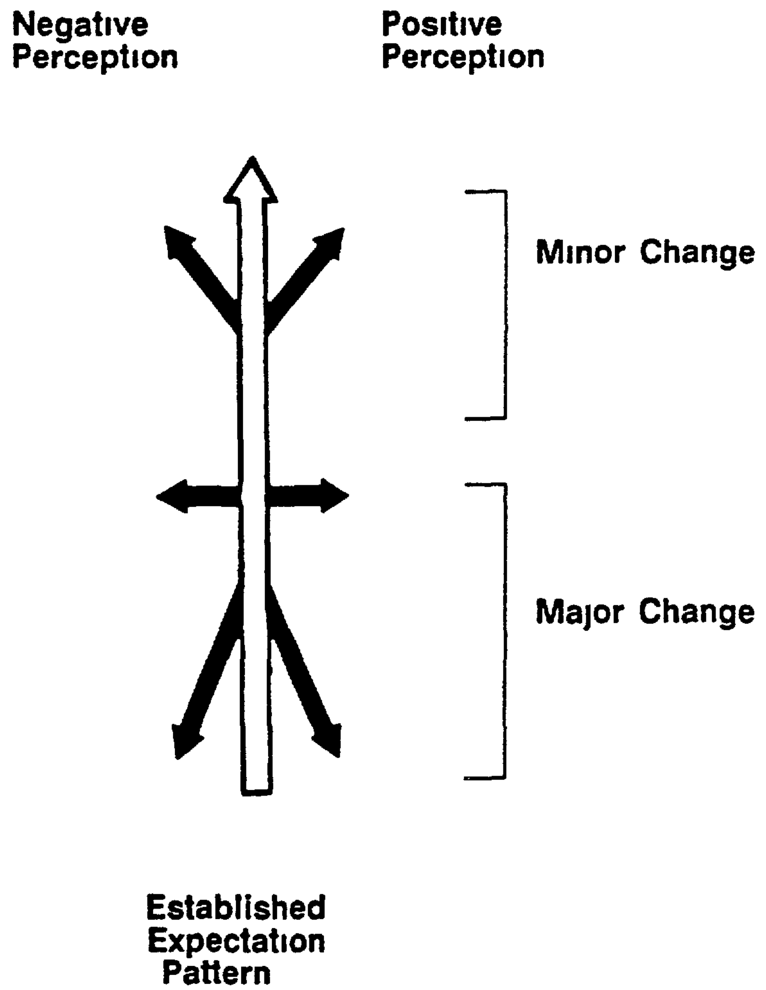
WHAT IS MAJOR ORGANIZATIONAL CHANGE?

Major change. a significant alteration in established patterns of expectations



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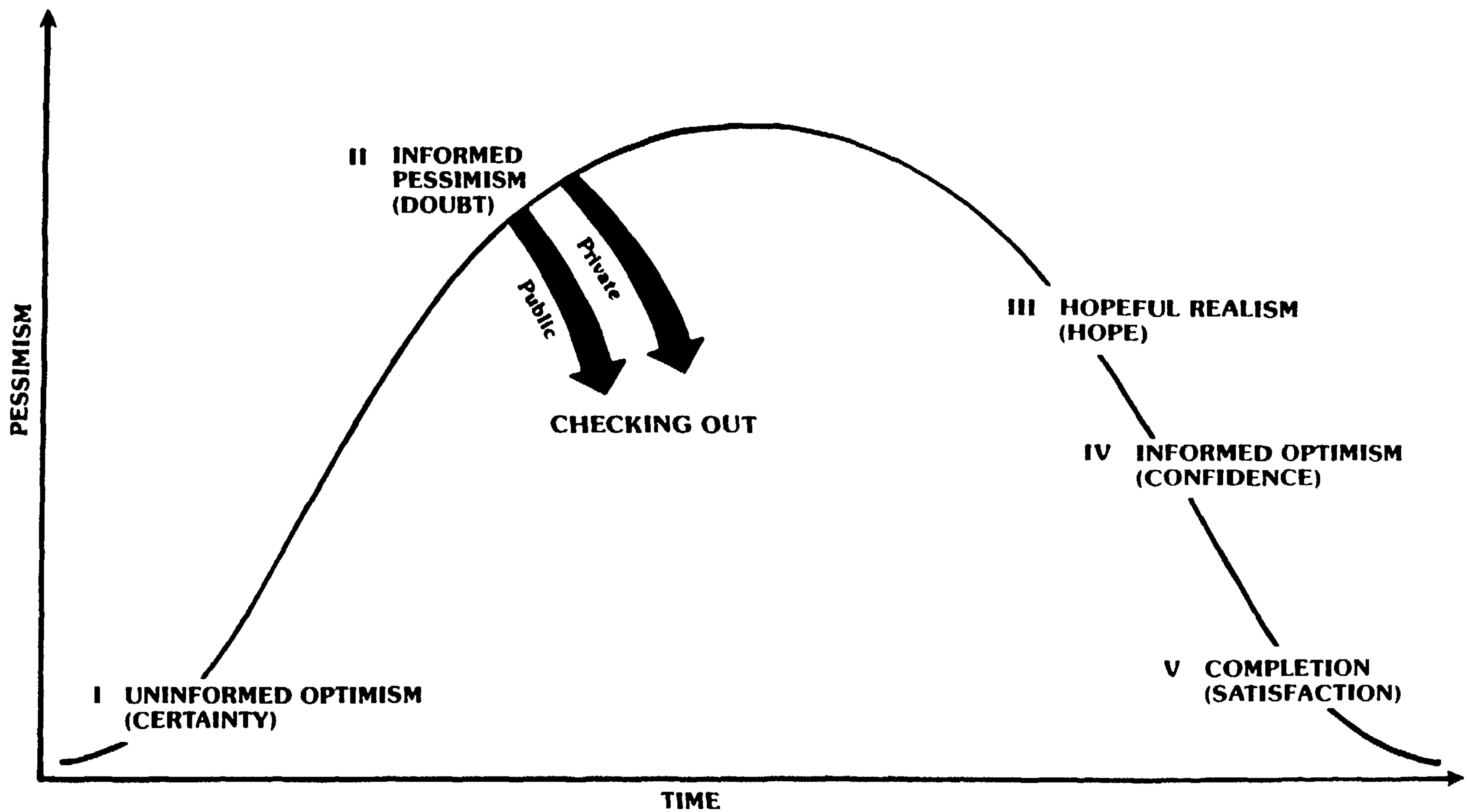
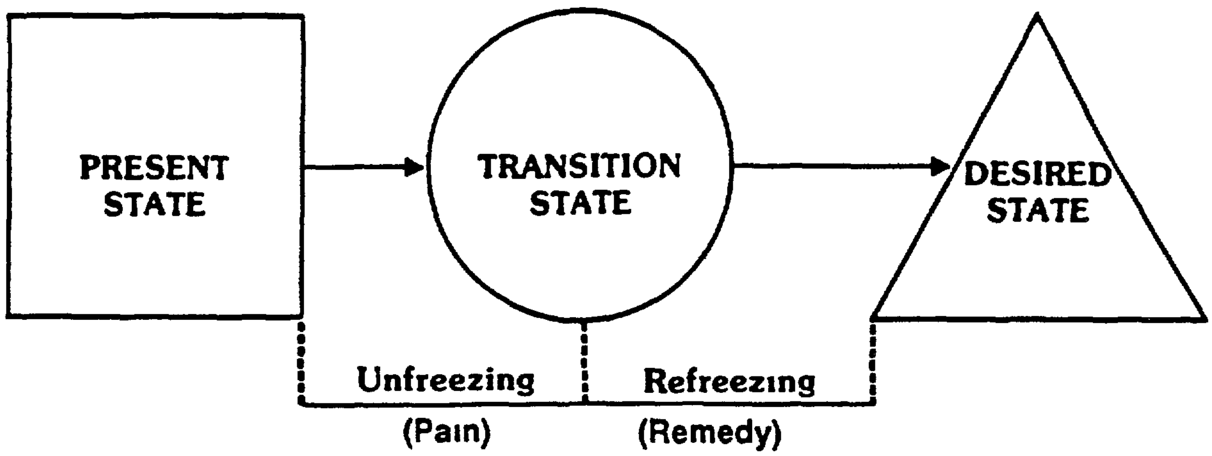
RESPONSE TO POSITIVE CHANGE



CHANGE IS A PROCESS



CHARACTERISTICS OF THE TRANSITION STATE:

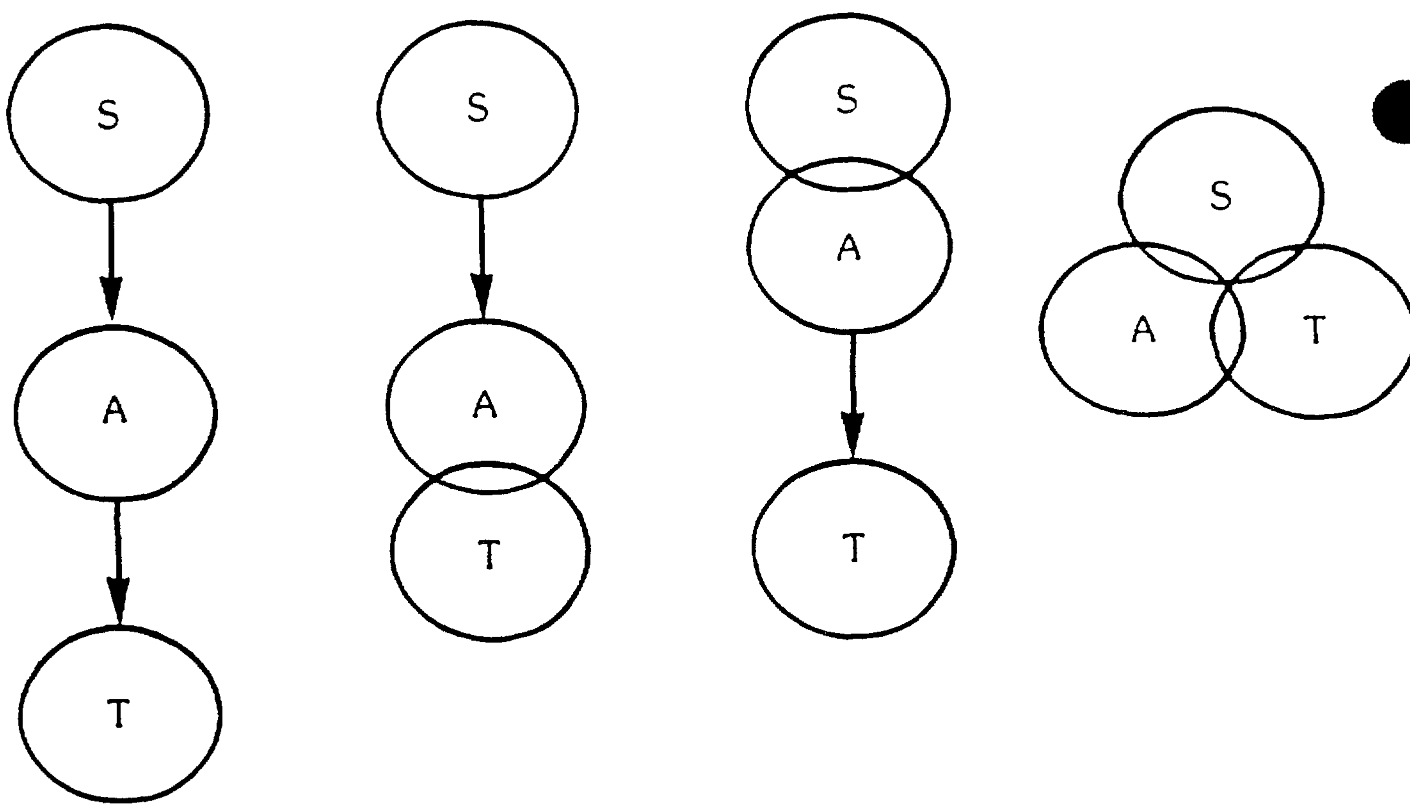
- low stability
- high emotional stress,
- high, often undirected energy,
- control becomes a major issue,
- past patterns of behavior become highly valued,
- conflict increases

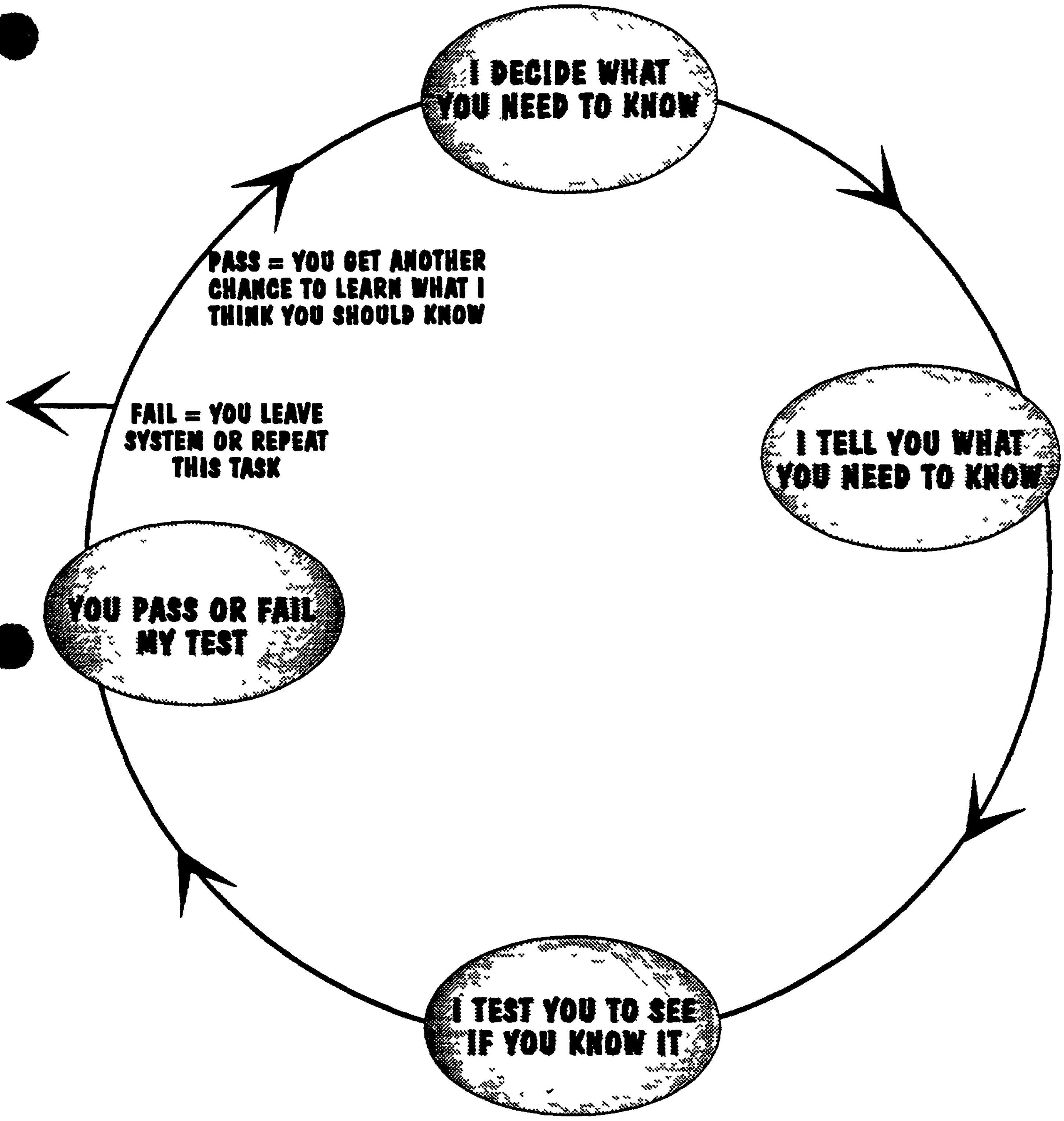
STRATEGIES AND TACTICS TO MANAGE CHANGE

UNFREEZING	TRANSITION	REFREEZING
	STRATEGIES	
Disconfirm the present state and promote movement away from existing expectation patterns	Provide structure, guidance, confidence, and trust while encouraging movement	Confirm the desired state and promote acceptance of new expectation patterns
	TACTICS	
1 Explain the problems/ opportunities facing the organization 2 Reduce the targets' defensiveness about the past 3 Specify the necessary changes 4 Use consequence management • Rewards • Punishments • Effort	1 Continue to reinforce the need for change and remind people of the benefits of successfully achieving the desired state 2 Look for opportunities to make symbolic decisions that send clear signals reinforcing the change 3 Provide as much accurate/ timely information as possible 4 Allow targets to ventilate their fears, concerns, insecurities, and grief in an environment that treats these feelings as legitimate 5 Focus targets' attention on the future not the past 6 Reward those who are supportive of the change and apply pressure to those who are resistant 7 Assign roles, tasks and responsibilities so targets feel they are involved and exercising influence 8 Provide targets with the logistic, economic and political resources needed to achieve what you asked of them 9 Identify anchors that targets can trust will remain constant and provide stability 10 Provide targets with training in how to understand their own reactions, as well as the reactions of others, to the change process	1 Demonstrate commitment 2 Use consequence management • Rewards • Punishments • Effort

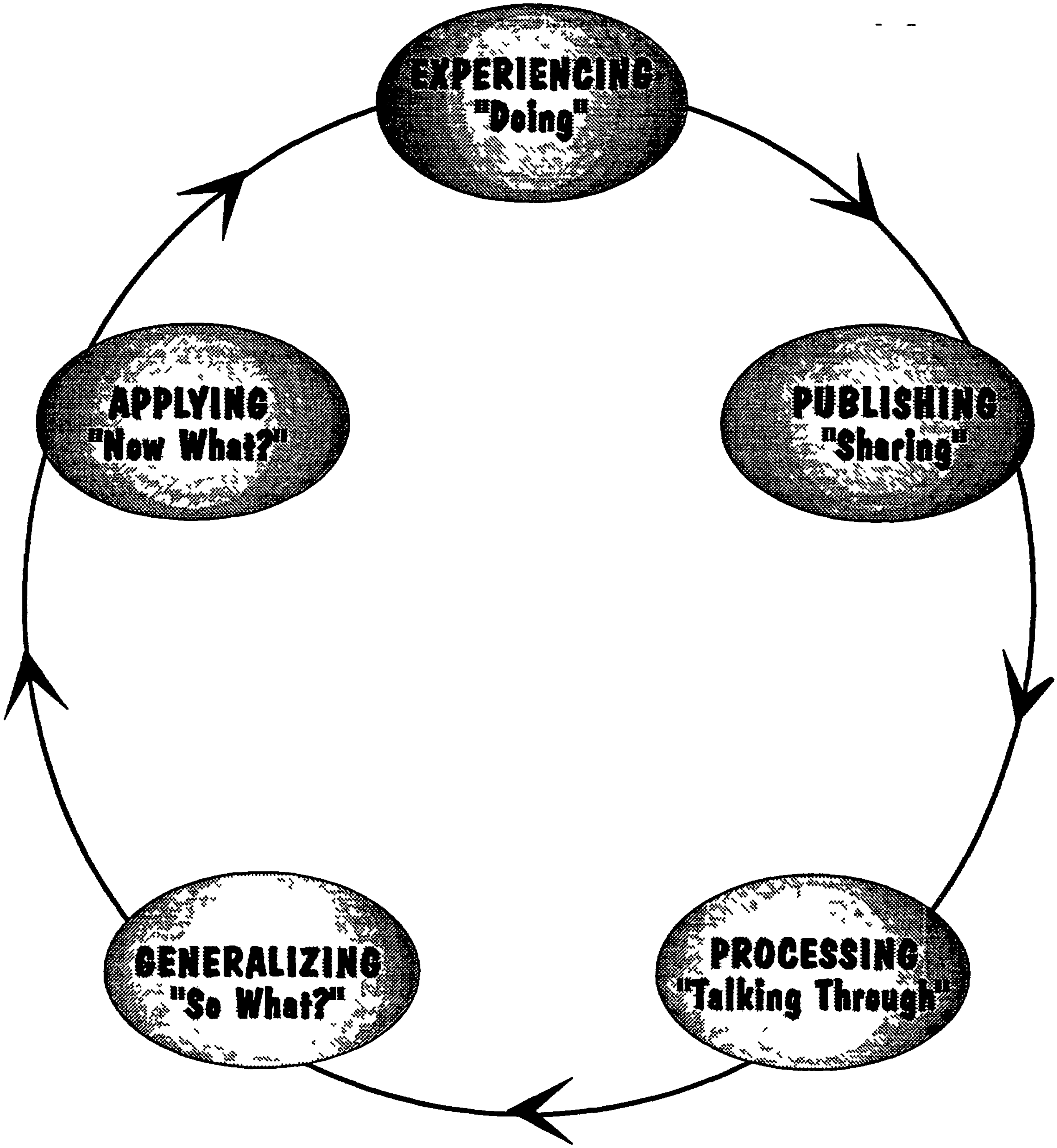
CRITICAL ROLES IN THE CHANGE PROCESS

Change Sponsor	-	Individual/group who legitimizes the change
Change Agent	-	Individual/group who is responsible for implementing the change
Change Target	-	Individual/group who must actually change
Change Advocate	-	Individual/group who wants to achieve a change, but who lack sufficient sponsorship



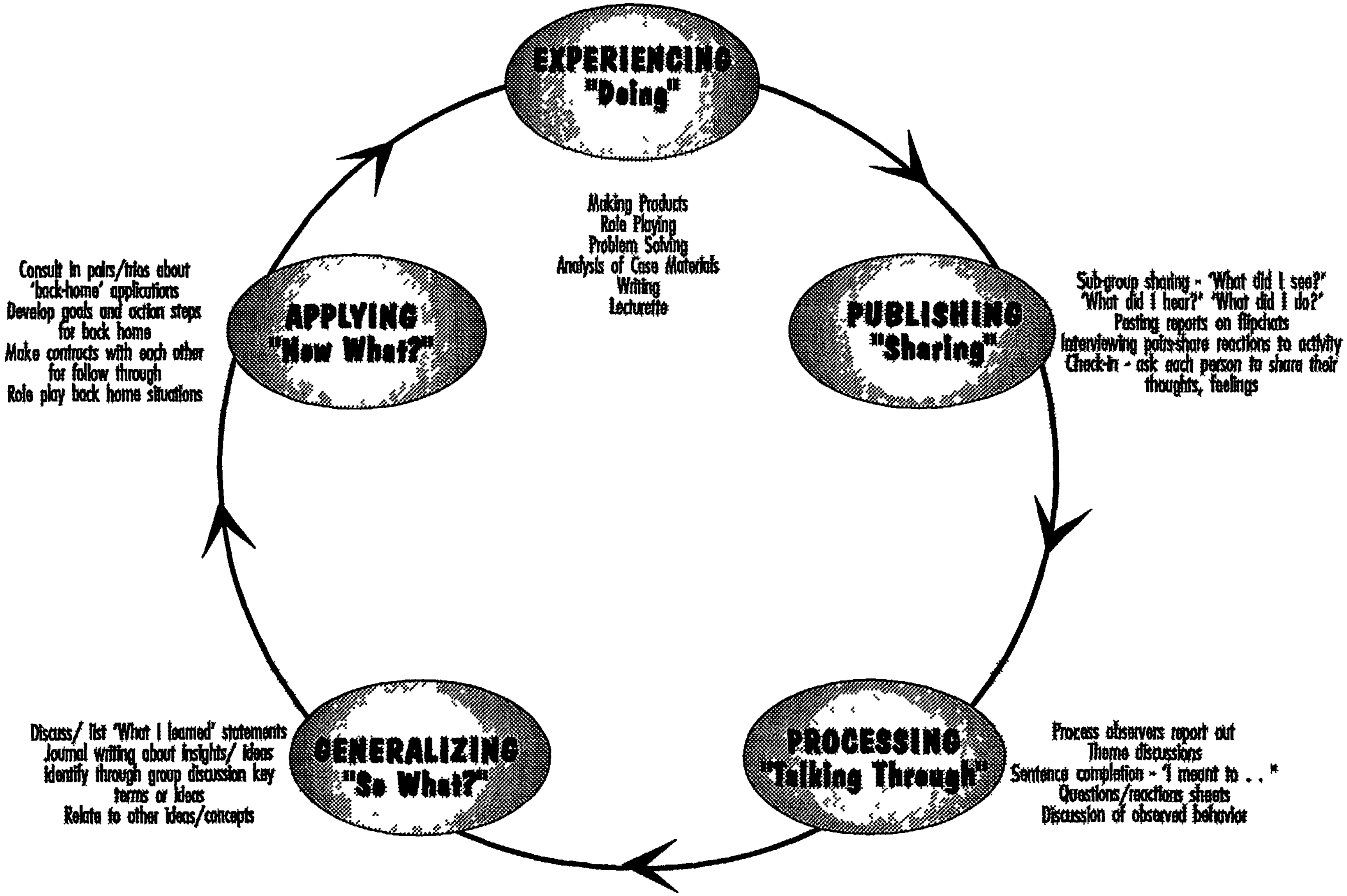


ANTI-EXPERIENTIAL LEARNING CYCLE



THE EXPERIENTIAL LEARNING CYCLE

Sample Activities for Each Phase of The Experiential Learning Cycle



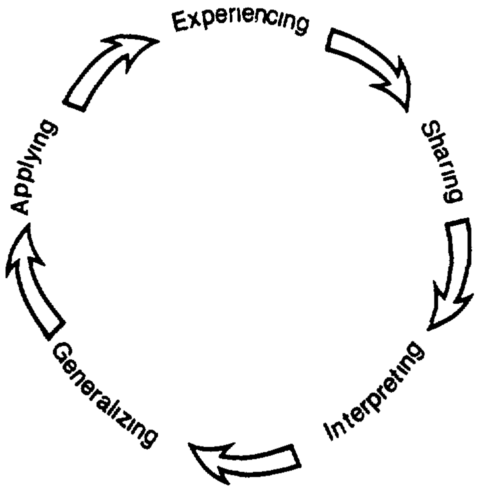


Figure 1 The Experiential Learning Cycle

While educators and group leaders alike stress the necessity of processing, there are, in reality, very few guidelines in the literature for accomplishing that goal A random survey of over two dozen exercise books, teacher's manuals, and workbooks published from 1970-1978 indicates that facilitators wishing to follow the experiential cycle are given little, and in some cases no, instruction about *how* to do it These books fall fairly equally into one of three categories

1 No questions, guidelines, or directions for integrating learning are provided The facilitator is given the activity and its objective (Brooks, no date, Egan, 1975, Francis & Woodcock, 1975, Johnson, 1974, McCroskey, Larson, & Knapp, 1971, Myers & Myers, 1973, Stewart & D'Angelo, 1975) For example, in an instructor's guide to *A Systems Approach to Small Group Interaction* (Tubbs, 1978), the "trust walk" is suggested as an experiential activity, and only the following instructions are included

> *Trust Walk* Members are paired on some basis One member of the pair assumes the role of being "blind by closing his or her eyes The other person leads him or her around, maintaining contact with only one hand placed on his or her shoulder (from behind) After five minutes or so, the members reverse roles The instructions may contain some suggestions about trying to sense whether the "blind' person begins to feel trust for the other person (p 10)

2 The facilitator is instructed to lead a discussion, pulling out the important concepts the experience was to generate (Pfeiffer & Jones, 1972-1978, Wackman, Miller, & Nunnally, 1975) For example, in "Admissions Committee A Consensus-Seeking Activity" (Pfeiffer & Jones, 1978), the facilitator is instructed to draw out the following concepts

> 1 The consensus process within each group assets and difficulties, whether the rules were followed, and the dynamics behind the posted scores
> 2 Ways in each performance could be improved in future consensus-seeking activities
> 3 Work situations to which the principles of achieving consensus could be applied (p 16)

3 The facilitator is given some specific discussion questions that tap only certain phases of the learning cycle (Frank & Jandt, 1976, Hall et al , 1975, Jongeward & James, 1973, Krupar, 1973, Napier & Gershenfeld, 1973, Stevens, 1971, Thayer, 1976) For example, in *A Handbook of Verbal Group Exercises* (Morris & Cinnamon, 1975), the questions suggested for a "Coping with Confrontation" experience focus mainly on what happened (sharing) and what it meant (interpreting)

> a How did you feel about going into the inside chair? Why? Did your feelings change once you were in the chair?

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b How did you react to the feedback? In most instances, did you tend to agree or disagree? Why? Did the feedback surprise you? Did you feel it was honest?
c Were you hesitant about giving feedback? Why? Was your feedback primarily negative or positive? Why?
d What did you learn from the people you felt were most complimentary and critical? Have your feelings changed about these people? Has your self concept changed? In what way? (p 71)

An example that indicates primary focus on the abstracting phase is found in an exercise on paraphrasing (Weaver, 1978)

Do you find paraphrasing difficult? Why?
Does paraphrasing serve to clarify conversation?
Are there weaknesses in paraphrasing? Are there certain situations where it might not be appropriate?
Is it realistic to expect people to paraphrase in normal conversation? (p 28)

While there should be no excuse for omitting general guidelines aimed at eliciting the conceptual purpose of the exercise, it is understandable that only the most abstract sort of directions can be given If, in fact, it is true that the greatest learning is generated in the particular participant's here-and-now experience, then questions covering all the possible learnings are impossible to predict It may even be that the longer the list of specific questions the facilitator brings to the experience, the less likely participant-based and -directed learning is to occur

The effective facilitator is situationally responsive He or she guides any particular group of participants to find learning that is meaningful and testable for *them*, regardless of whether it fits with the author's or facilitator's conceptual scheme In other words, the process is trusted to unfold and evolve The ideal facilitator does not *lead* the participants to conclusions but rather *stimulates* insights and then *follows* what emerges from the participants

One of the books surveyed, *Reality Games* (Sax & Hollander, 1972), does provide some general guidelines to encourage the participants to direct their own learning experience When they falter or reach the end of a particular theme or train of thought, another question can be asked to help them move on For example, some suggested questions are "How do you feel about that?", "Have you considered any other alternatives?", "Are those all the necessary facts?" Sax and Hollander (pp 43, 67-69) further provide questions that clarify feelings ("If you felt sad, what about the problem would make you feel that way?"), needs ("What did you wish would happen?"), thinking ("How do you see the problem as a whole?"), point of view ("What led you to expect that?"), consistency ("Are the needs compatible?"), and completeness ("Are there some reservations that have not been expressed?")

Processing Questions for Each Stage of Cycle

Although the questions suggested by Sax and Hollander are a welcome addition to the facilitator's repertoire, not all of them fit clearly into the progressive stages of the experiential learning cycle Following is a series of questions designed for each stage of the experiential cycle

Usually in stage one, *the experiencing phase*, participants are engaged in an activity to generate data, and processing the data does not in actuality begin until the second stage, sharing However, since every facilitator has had the experience of meeting participants' resistance to beginning and/or completing an activity, questions are provided for this stage These questions are usually "no-fail" questions for three reasons (1) they tend to break down reluctance by allowing the participants' resistance to getting involved in the activity, (2) if resistance cannot be overcome, processing the blocking itself becomes the learning, and (3) they can be used at any stage of the experiential cycle They are key questions that,

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when combined with the facilitator's summarizing and reflecting, aid the group in moving either more deeply into the stage at hand or on to another stage

- What is going on?
- How do you feel about that?
- What do you need to know to ?
- Would you be willing to try?
- Could you be more specific?
- Could you offer a suggestion?
- What would you prefer?
- What are your suspicions?
- What is your objection?
- If you could guess at the answer, what would it be?
- Can you say that in another way?
- What is the worst/best that could happen?
- What else?
- And?
- Would you say more about that?

In stage two, *the sharing phase*, participants have completed the experience Questions are directed toward generating data

- Who would volunteer to share? Who else?
- What went on/happened?
- How did you feel about that?
- Who else had the same experience?
- Who reacted differently?
- Were there any surprises/puzzlements?
- How many felt the same?
- How many felt differently?
- What did you observe?
- What were you aware of?

In stage three, *the interpreting phase*, participants now have data Questions are directed toward making sense of that data for the individual and the group

- How did you account for that?
- What does that mean to you?
- How was that significant?
- How was that good/bad?
- What struck you about that?
- How do those fit together?
- How might it have been different?
- Do you see something operating there?
- What does that suggest to you about yourself/your group?
- What do you understand better about yourself/your group?

In stage four, *the generalizing phase*, participants work toward abstracting from the specific knowledge they have gained about themselves and their group to superordinate principles Questions are directed toward promoting generalizations

- What might we draw/pull from that?
- Is that plugging in to anything?
- What did you learn/relearn?
- What does that suggest to you about ________ in general?
- Does that remind you of anything?
- What principle/law do you see operating?
- Does that remind you of anything? What does that help explain?
- How does this relate to other experiences?
- What do you associate with that?
- So what?

In stage five, *the applying phase*, participants are concerned with utilizing learning in their real-world situation Questions are directed toward applying the general knowledge they have gained to their personal and/or professional lives

- How could you apply/transfer that?
- What would you like to do with that?
- How could you repeat this again?
- What could you do to hold on to that?
- What are the options?
- What might you do to help/hinder yourself?
- How could you make it better?
- What would be the consequences of doing/not doing that?
- What modifications can you make work for you?
- What could you imagine/fantasize about that?

A final stage can be added here, that of *processing* the entire experience as a learning experience Questions are aimed at soliciting feedback

- How was this for you?
- What were the pluses/minuses?
- How might it have been more meaningful?
- What's the good/bad news?
- What changes would you make?
- What would you continue?
- What are the costs/benefits?
- If you had it to do over again, what would you do?
- What additions/deletions would help?
- Any suggestions?

It is obvious that many of these questions focus on and will elicit similar responses, i e , they overlap in content and meaning However, for the skillful facilitator variations on the same theme offer more than one road to arrive at the same place

Advantages/Disadvantages

There are potential disadvantages in any technique, but the disadvantages of possessing a series of processing questions in one's facilitative repertoire seem to be outweighed by the advantages One disadvantage is that the facilitator may come to rely solely on these questions without becoming knowledgeable about the concept, issue, or theory to be illuminated by the experience The second disadvantage is a more philosophical one questions are actually indirect statements that serve to hide one's own reactions to the experience (Pfeiffer & Jones, 1974) This disadvantage can be overcome in two ways (1) the facilitator can turn each of the questions into statements ("I'd like to know what you're feeling"), and (2) the facilitator can share his or her own experiences during the processing of the learning cycle ("What happened for me was ", "What I learned was ") Neither of these objections negates the value of a repertoire of processing questions To the contrary, both emphasize the fact that questions in themselves are neither good nor bad, it is how the facilitator uses them that is the object of evaluation If the facilitator is a developing person, chances are that he or she will not misuse this technique (Pfeiffer & Jones, 1977)

On the other hand, the advantages are several (1) if the experience is going as planned, the facilitator has a tool for guiding the experiential learning cycle at the pace, depth, breadth, and intensity that he or she deems appropriate, (2) if the experience is not going as planned, the facilitator has a tool for deriving learning from what *is* occurring, so that something beneficial is gained, regardless of participants' attitudes and reactions, and, finally, (3) the greatest advantage is that these questions can be used with virtually any experience in nearly any situation with the vast majority of participants They are generalizable, transferable, and guaranteed to evoke learning The nature of the facilitator and the skills of sharing, empathizing, and listening are most important to the appropriate use of this technique However, armed with these questions, the consciously competent facilitator can be assured (and make sure) that "nothing never happens" (Johnson, 1974) when the learning process is trusted

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TRAINING SOME BASIC CONCEPTS

TRAINING — HOW IT DIFFERS FROM TEACHING

There is a distinction between teaching and training By teaching one usually refers to the instructional mode of learning that is typical of our school experience In school settings, the performance of the student is judged to see if they have mastered the material, students are urged to meet the requirements for a degree and they are not usually involved in the course design or the content covered, nor do they usually participate to a great degree — they are passive, focused on absorbing the subject and passing the exam

The term 'training,' as used here defines an adult education or highly participatory activity aimed at transferring skills and improving capacity in the context of relevant, useful and directly useable knowledge In contrast to teaching, training views participants as responsible for their own learning The trainer's role is to encourage participation in the design of the course (usually through a needs assessment process which directs the attention of the participants to thoughtful consideration of their learning needs and provides an opportunity to express them), create an environment that will support learning, design and conduct a series of learning experiences, invite participants to work as partners with the trainers to make the training successful, and involve participants in evaluating the training as it relates to their needs Thus, the central requirements of training are those mandated by the participants' needs

The Agency's development professionals must be trained by combining useful, useable technical skills and information in a manner that also allows them to assume responsibility for their own learning

The Work Involved in Training

In any training event for adults, there are two primary considerations One consideration is the *task*, or the content of the learning The other is *process*, or how the learning is structured and managed The role of the trainer is central to the effective balance of these two considerations Specifically, in addition to the knowledge, skill and expertise in the content of the training, trainers are also concerned about the range of training technology, including such aspects as how adults learn, group development, choosing appropriate experiential techniques, and supporting the learning with questions, activities and/or media to focus and enhance the learning

When these two primary considerations (what is being trained and how it is being managed) are out of balance, training sessions are ineffective If the content/technical information is the only consideration, presentations tend to lecture, which is one-way communication and has very low involvement by the participants This imbalance is characterized by a lot of talking by the presenter (the "instructional" mode) and, while a lot is said, the participants learn and retain very little If the imbalance is in the process, sessions are characterized by a lot of activities which, when completed, have no meaning to the participants

Training exists to bring about learning It is a structured process, a sequence of experiences, a series of opportunities to learn, in which the participant is exposed in some more or less systematic way to certain materials or events The participant's behavior is supposed to be modified by means of this process so that after it is completed, he/she behaves in some way that is different from the way he/she behaved before training

The setting for learning must be one that allows the learner to be creative, to make missteps, and to try out new ways of behaving without fear of the usual painful consequences of failure This definition of training has implications for the kinds of techniques which are appropriate in designing, presenting, and evaluating the training

ADULT LEARNING

Adults as learners share several important characteristics which have implications for the methodologies used in training [1] These are discussed below

1 Adults enter a learning activity with an image of themselves as self-directing, responsible grown-ups, not as immature, dependent<xearners Therefore, they resist situations in which they are treated with disrespect This implies that if adults help to plan and conduct their own learning experiences, they will learn more than if they are passive learners Trainers, when working with adults, must *demonstrate* that they value participants as human beings, that in your eyes they, and what they've experienced, count

2 Adults enter a learning activity with more experience than youth Therefore, they have more to contribute to the learning activity and have a broader basis of experience to relate to new learning Methods which build on and make use of the experience of the adult learner will produce the greatest learnings

3 Adults enter a learning activity with a different quality of experience and different developmental tasks than youth Therefore, the appropriate organizing principle for adult learning experiences is developmental sequence primarily and logical subject development only secondarily

4 Adults enter a learning activity with more immediate intentions to apply learning to life problems than youth Adults require practical results from learning They will perceive learning experiences that are organized around life problems as being more relevant than those organized around subject topics

5 Adults must want to learn They learn effectively only when they have a strong inner motivation to develop a new skill or acquire a particular type of knowledge

6 As the work of Malcom Knowles and others has shown, adults learn most effectively when they experience or do something and by the use of a variety of methods Learning is "problem-centered" rather than "subject-centered "

7 Adults learn best in an informal environment

One useful way to describe the way in which adults learn is the experiential learning cycle model

The Experiential Learning Cycle

This model assumes that learning occurs when a person engages in some activity, looks back at the activity critically, abstracts something useful, and puts the result to work Of course, this process is experienced spontaneously in everyone's ordinary living It is an inductive process proceeding from observation rather than from a priori "truth" (as in the deductive process) The usual purpose of training is to enable participants to learn, which is defined as bringing about a relatively stable and sustainable change in behavior The steps in the experiential learning cycle are described below

Experiencing ("Doing")

The initial stage is the "doing" part of the learning cycle It is the step that is often associated with game-like activities or fun In training this stage often involves the use of role plays, a simulation, or discussion of a generic case study Almost any activity which has people talking to each other about important feelings or ideas, or trying something new by either asking themselves questions or making choices, will bring out new information to the people involved

Sometimes trainers spend an inordinate amount of energy planning the activity, but leave the examination of it unplanned As a consequence, learning may not be facilitated Obviously, if the process stops after this stage, all learning is left to chance, and the trainer has not completed the task The next four steps of the experiential learning cycle are even more important than the experiencing phase

Publishing

In the second stage of the cycle, people have done an activity, and now they are presumably ready to share what they saw and/or how they felt during the event The idea here is to make available, to the group, the experience of each individual This step involves finding out what happened within individuals, (both ideas and feelings), while the activity was progressing

Publishing can be carried out through free discussion, but this requires that the trainer be clear about the differences in the steps of the learning cycle and distinguish sharply among interventions in the discussion People's energy is often focused on staying inside the activity, and they need to be nudged into separating themselves from it in order to learn

Processing

This stage can be thought of as the *key step* in the learning cycle It is the systematic examination of commonly shared experience by those persons involved This "talking-through" part of the cycle is critical and it cannot be either ignored or designed spontaneously if useful learning is to be developed The trainer needs to plan how the processing will be carried out and focused toward the next stage — generalizing Unprocessed ideas or feelings can be experienced as "unfinished business" by people and can distract them from further learning

This step should be thoroughly worked through before going on to the next Participants should be led to look at what happened in terms of dynamics but not in terms of "meaning " People often anticipate the next step of the learning cycle and make premature generalization statements The trainer needs to make certain that the processing has been adequate before moving on

In the generalizing stage, it is possible for the trainer to bring in ideas to augment the learning This can provide a framework for the learning that has been produced inductively

Generalizing

A leap has to be made at this point in the experience, from the reality inside the activity to the reality of everyday life outside the training session The key question here is "So what?" People are led to focus on situations in their personal or work lives that are similar to those in the activity they experienced

The task is to take from the processing step some principles that could be applied "outside " This step is what makes learning practical, and if it is omitted or glossed over, the learning is likely to be superficial

It is useful at this stage for the group interaction to result in a series of products — generalizations that are presented not only orally, but also visually This strategy helps to facilitate learning among participants The trainer needs to remain non-evaluative about what is learned, drawing out the reactions of others to generalizations that appear incomplete, undivided, or controversial Participants sometimes anticipate the final stage of the learning cycle also, and they need to be kept on the track of clarifying what was learned before discussing what changes are needed

Applying

The final stage of the experiential learning cycle is the purpose for which the whole experience is designed The central question here is "Now What?" The trainer helps participants apply ideas to actual situations in which they are involved Ignoring such discussions jeopardizes the probability that the learning will be useful It is critical that attention be given to designing ways for individuals and/or groups to use the learning generated during the experience to plan more effective behavior

Individuals are more likely to use their learnings if they share them with others Volunteers can be asked to report what they intend to do with what they learned, and this can encourage others to do something new

TRAINING METHODOLOGIES

The more involved a person is in a learning activity, the greater the possibility that the intended learning will take place Training activities are effective to the degree that they involve the participant to learn new knowledge, skills or attitudes

Involvement is the action inside the individual The participant feels, risks, thinks, gets confused and makes new connections with ideas, themselves, and other people

Learning is the result of involvement so that the participant can recall, apply, develop, understand, know and use new knowledge, skills or attitudes

Figure 1 classifies different training activities and techniques according to the extent of learner involvement As can be seen in the diagram, *reading* is the least involving activity While reading the learner is in a reactive mode, passively receiving and vicariously experiencing In contrast, *group work and team building* have the highest involvement Participants in these activities are in a proactive mode, they are interdependent, responsible for their own learning and the problems they are solving are real

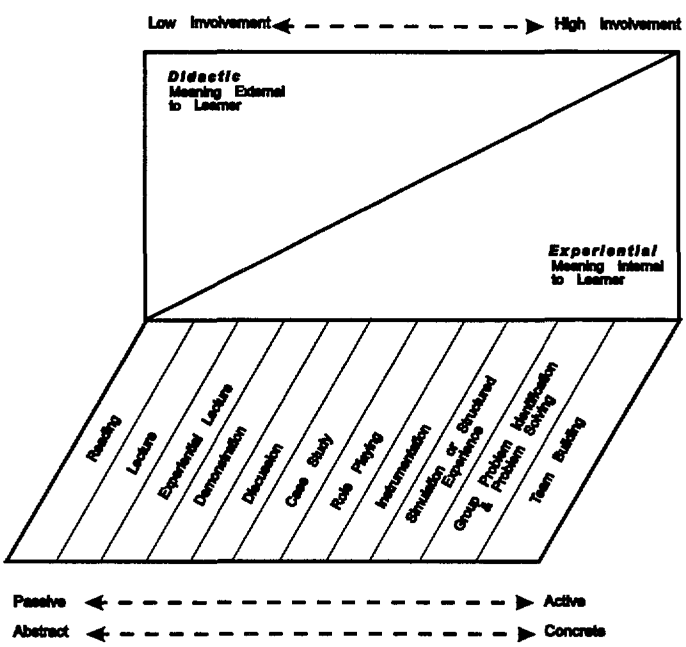

Figure 1 Technologies for Training

The *experiential lecture* (or lecturette) is more involving than the traditional lecture because it incorporates activities on the part of the participants Interspersed among the sections of content are brief interactions among participants These interruptions are designed either to personalize the points of the lecture and/or to generate readiness for the next topic

Discussion is a frequently used training intervention — whether in large groups or small (4–5 persons) ones Small group work provides the opportunity for some interesting discussion among participants, especially when the group has a clearly defined task and is going to make a presentation or report to the total group The kind of interaction that takes place in the small group allows individuals to get to know one another better, cover more material than would be possible if the whole group were involved, and allows skill building in analyzing, synthesizing and presenting

The *case study* method, developed and popularized in business education by professors at Harvard Business School, is closely related to role playing, in which a "case" is acted out in a semi-structured format Case study is frequently used in A I D training where it usually involves analysis and discussion of alternative strategies for problem solving and solutions

The *case vignette* — a short case study based on personal or hypothetical situations <197>is also used in training It is an adapted form of the more in-depth case study The main advantage of the case vignette is that of increasing focus and using time effectively Well chosen vignettes can accomplish many of the goals of the case study in less time
The use of various inventories or other questionnaires involves learners in self-assessment The didactic component comes from the discussion of the theory underlying the items on the inventory

Structured experiences and simulations stress high participation and processing of data generated during interactive activities

Group problem identification and problem solving as well as *team building* are characterized by high learner involvement and interaction The data for learning come from the life experiences and current issues/problems facing the group members This involve the use of real activities which a group is currently undertaking, turned into "living" case studies for analysis and problem-solving by the participants

Where possible, try to avoid situations which call for the trainer to lecture at length while the participants take notes This is often the mode participants are accustomed to, and trainers often encounter some resistance in giving them more responsibility for their own learning In such situations, it is a good idea to begin to introduce the concept of learner-centered training by starting out with some interactive lecturettes and gradually working toward group activities Asking open-ended questions for which there are no right answers is another way to introduce participants to this learning mode Open-ended questions often lead to a discussion which can be valuable to the trainer in gauging the participants' views, beliefs, and background as well as being a useful way for participants to exchange ideas

Experiential learning, as described above, "teaches" a way of using one's everyday experiences for learning This kind of active learning is probably the best way to achieve a sense of ownership over what is learned There are, however, other ways for adults to learn which are appropriate to the active learning approach For example, skills are best learned through practice and positive reinforcement Active experiences do not readily give a large-scale perspective, thus a lecture-discussion method may be more effective for such a purpose When new information is to be communicated to participants, the ability of the trainer to use a variety of effective platform (presentation) skills is critical

The choice of an effective intervention is made after an assessment of the learning needs of the participants and a statement of training objectives The maturity of the group, the skill and experience of the trainers, and the environment in which the training takes place determine which approach should be used

CREATING A SUPPORTIVE LEARNING CLIMATE

Another important role of the trainer is in creating the learning climate If participants are to feel safe enough to share openly, try out new behaviors, profit from their missteps, be creative and learn without the fear of the consequences of failure, then an environment must be created that supports trust and caring Participants need to feel that the trainer wants to hear their comments Responses such as "Tell me a little more about that," or "Help me to understand what you have in mind," tend to draw the speaker out and indicate a willingness on the part of the listener to be really engaged The ability of the trainers to set such a climate will determine the extent to which participants will share with one another and with the trainers Trainers must be aware that by asking for openness they are setting up expectations that they are willing to change A key training skill is the ability to be flexible, to be willing to modify or adapt materials to meet the participants' needs To the extent that the trainer is willing to be challenged and responsive, to be knowledgeable without always having to be "right" they will be directing the participants' learning along the lines participants believe to be important, and in the end making them ultimately responsible for that learning

EVALUATING TRAINING

Our philosophy of training assumes that participants know what they need in the way of training we will evaluate whether they believe they are getting it Written evaluations are a way of finding out how the training is going For the trainers, the evaluations can serve as feedback on what is working and what needs modification Several sample evaluations are included in the Training materials These are end-of-course evaluation instruments It is also useful for trainers to use some time at the end of each day to collect some information about how participants are responding to the training There are many ways to do this, two are presented below

1 A 10–15 minute period at the end of the day when participants write their reflections on the day These are collected, read by the trainers and then shared with the total group (anonymously) the following morning Any changes the trainers may have made in the design in response to the reflections are also shared at this time

2 A short daily reaction form to be completed at the end of each day, the results tabulated by the trainers and the data presented to the group the next day If the data suggests that the training is going well, take a few minutes to celebrate with participants, if things aren't going well, this is an opportunity to discuss the issues and arrive at alternatives with the participants

Trainers should not underestimate the importance of collecting, through some appropriate technique, data from participants about how they are experiencing the training DURING the training This immediate feedback provides trainers with the opportunity to make any mid-course corrections that the data indicate are needed thereby avoiding the trap of not knowing that something was amiss until the final evaluation

1 Adapted from Malcom S Knowles, ***The Modern Practice of Adult Education***, Association Press, New York, 1970 and "*Eight Steps to Better Training*", ***Nation's Business***, March, 1961, and "***A Trainer's Guide to Andragogy***", HEW, SRS, March, 1972

DIFFERENCES IN DIDACTIC AND EXPERIENTIAL INSTRUCTION

	DIDACTIC INSTRUCTION	EXPERIENTIAL INSTRUCTION
Teaching Philosophy	Content is carefully planned so that key concepts and terminology are presented clearly, concisely and accurately to build upon existing knowledge in an organized way	Small group activities are carefully planned to give learners experiences that they can use as a personal frame of reference for understanding key concepts Learning is self-directed discovery, people will unfold if allowed to practice and internalize new skills
Key Words and Phrases	Task analysis, lecture, question and answer, audiovisual media, platform skills, bibliographies, assignments, measuring instruments, standards rules, cognitive gain, pass-fail	Problem solving, "hands-on", case study, role play, simulation, values clarification, needs analysis, feedback personal growth, awareness, feelings, structured experiences
Interpersonal Style	Directive – planning, organizing presenting and evaluating Process is subject-centered	Reflective – experience, introspection, generalize and apply Process is problem focused and learner-centered
Strengths	"The Expert" – informative, thorough, certain, systematic Strong leader, powerful, expressive, dramatic, charismatic entertaining	"The Coach" – takes risks and encourages risk-taking in others, lets people perform and make mistakes, gives feedback, builds confidence, gives opportunity and recognition, shares leadership
Potential Limitations	"Elitist" – preoccupied with means, image structure rather than results Ignores affective variables Inflexible (must follow lesson plan) Ivory tower (doesn't adapt or make the connections with what's real)	"Counselor" – turns training into therapy, psychologizes sacrifices content (e g , learning objectives, training design) for process, allows digressions, unconcerned with clock (pacing) resists leadership role, wants to be one of the group, loses control of learning process

RESISTANCE REDUCERS

✓ VERIFYING	WHAT I UNDERSTAND YOU TO MEAN IS IS THAT RIGHT?
✓ ALIGNING	LET ME LOOK AT IT FROM YOUR POINT OF VIEW
✓ PROBING	TELL ME MORE ABOUT WHAT CONCERNS YOU
✓ PHRASING	HOW CAN WE WORK IT OUT SO THAT ? (INCLUDE BOTH CONCERNS)
✓ ASKING	WHAT WILL IT TAKE TO ? (INCLUDE BOTH CONCERNS)

Resistance—What Are People Resisting When They Are Resisting You?

When you are working to bring about change, you may be trying to help your organization complete a task that, in the eyes of your subordinates, someone else has decided must be done and that they may or may not see as valuable It isn't that they aren't smart enough to do it The reason they have not accomplished the task is that they have not seen it or seen it clearly They are so close to the situation and have such an emotional investment in any possible outcomes, that they are in the position of needing someone to help them define the task and identify possible solutions In the task or solution, there is some *difficult reality* that they will have a hard time seeing and confronting

The *difficult realities* that your subordinates are likely to get stuck on will vary from situation to situation, from organization to organization Here are some possible ones

- The political situation, both internally and externally, may be very risky and they may not want to make waves or take a position
- The new strategic plan and/or reporting system may render some people's positions or offices unnecessary or may require skills that do not exist in the organization now This may mean getting rid of some people or reassigning them, which always creates anxciety and inreases stress
- The organization may be providing services to a declining market or to a rapidly changing one and this is too discouraging to deal with
- A project or program in which a lot of money is being invested may turn up some negative results This means bad news would have to be sent up the line, and promises made earlier will be taken back
- People in the organization may be very dissatisfied and they may be reluctant to surface the dissatisfaction
- They may feel inadequate in some part of the job and not want to face that inadequacy
- Senior managers know that they operate autocratically, don't want to change, yet see the negative effects of it
- Senior management may be part of the problem and the staff may not want to confront them

The Faces of Resistance

Resistance takes many forms, some of them very subtle and elusive In the course of a single meeting, you may encounter a variety of forms As you begin to deal with it in one form, sometimes it will fade and reappear in a different body

For technically oriented employees (and managers!) — like health and population experts, agronomists, economists, computer and systems people — resistance can be very hard to identify Their technical backgrounds so orient them to data, facts, and logic that when they are asked to perceive an emotional or interpersonal process, it is like trying to see the picture on a badly out-of-focus piece of movie film

The following list of common forms of resistance, though incomplete, is intended to help bring the picture into focus

> ***Give us more detail***—"When you put these worksheets together were those numbers written in red or blue ink?" No amount of information is seen as enough to satisfy them They need to know what is going on but when you start to get impatient with the questions, even though you are able to answer them, that is the moment to start suspecting the request for detail is a form of resistance and not a simple quest for information
>
> ***Flood you with detail***—This is a corollary to the request for detail You ask someone how this got started and the response is, "Well, it all got started ten years ago on a Thursday afternoon in September I think I was wearing a blue sweatshirt and the weather outside was overcast and threatening rain I hope I am not boring you, but I think it is important for you to understand the background of the situation, etc , etc , etc " You find yourself getting more and more detail and understanding less and less The moment you start to get bored or confused about what all this has to do with the problem at hand, you should begin to suspect that what you are getting is resistance and not just an effusive attempt to give you all the facts
>
> ***Time***—"We don't have time for this!" or "This is the wrong time " "I don't have time to meet with you this week (or next week or ever) This form of resistance can also be expressed by constant interruptions during your meetings The whole time issue, which we all have to face every day, is most often resistance against having to tell you how he/she really feels about this project
>
> ***Impracticality***—They keep reminding you that they live in the "Real world and are facing Real world problems " This form of resistance accuses the manager of being impractical and academic As in many forms of resistance, there may be some truth in the statement, but then there is some truth in almost any statement It is the intensity of the emphasis on "practicality" that leads you to suspect you are up against an emotional issue
>
> ***I'm not surprised***—It is one of life's more amazing facts that for many people it is of primary importance to not be surprised It seems that whatever happens in the world is OK as long as they are not surprised You tell your Director after meeting with the entire staff that the building is going to collapse, the workers

have all walked out, the chief financial officer has just run off with the assistant director, and the governor is knocking on the door, and the Director's first response is, "I'm not surprised " The fear of surprise is really the desire to always be in control When we run into it, it is kind of deflating It can be seen as a signal that our work is really not that important See the desire not to be surprised for what it is—a form of resistance and not really a reflection on your work

Attack—the most blatant form of resistance is when they attack you With angry words, pounding a fist on the desk, pointing a finger in your face, punctuating the end of every sentence they leave you feeling like a bumbling child who has not only done poor work, but has somehow violated a line or morality that should never be crossed We often respond to such an attack by withdrawal or a response in kind Both of these responses mean that we are taking the attack personally and not seeing it as one other form the resistance is taking

Confusion—Sometimes the person you are working with may experience some legitimate confusion This may not be resistance, but a desire for clarity After things become clear to you, however, and you explain it two or three times, and they keep claiming to be confused or not understand, start to think that confusion may be their way of resisting

Silence—This is the toughest of all We keep talking but get very little response in return "Keep talking, I don't have any problems with what you are saying If I do, I'll speak up " Don't you believe it Silence never means consent If you are dealing with something important to the organization, it is not natural for the person to have no reaction Silence means that the reaction is being blocked For some people, withholding is a fight style "I am holding on so tightly to my position and my feelings that I won't even give you words " If you think a meeting went well because the employee didn't raise any objections, don't trust it Ask yourself if he/she gave you any real support or showed any real enthusiasm or got personally involved in the action If there were few signs of life, begin to wonder whether the silence was the form the resistance was taking

Intellectualizing—When a person shifts the discussion from deciding how to proceed and starts exploring theory after theory about why things are the way they are, you are face to face with intellectualizing as resistance "That's really fascinating I wonder if there is an inverse relationship between this situation and the last time we " Spending a lot of energy spinning theories is a way of taking the pain out of a situation It is a defense most of us use when we get into a tight spot This is not to knock the usefulness of a good theory or the need to understand what is happening to us It is a caution against colluding with the individual in engaging in ceaseless wondering when the question is whether you and he/she are going to be able to face up to a difficult situation The time to suspect intellectualizing is when it begins at a high-tension moment or in a high-tension meeting When this happens, your task is to bring the discussion back to actions and away from theories

Moralizing—This type of resistance makes great use of certain words and phrases "those people" and "should" and "they need to understand " When you hear them being used, you know you are about to go on a trip into a world of how things ought to be, which is simply a moralizing defense against reality People use the phrase "those people" about anyone who is not in the room at the time It is a phrase of superiority used in describing people who (1) are usually at a lower or higher level in the organization than the speaker, or (2) are unhappy about something the speaker has done or said and, therefore, "really don't understand the way things have to be done "

Phrases of superiority are actually ways of putting oneself on a pedestal Pedestal sitting is always a defense against feeling some uncomfortable feeling and taking some uncomfortable actions

The phrase,"they need to understand" means "I understand—they don't Why don't they see things clearly and with the same broad perspective that I do?" Frequently, "those people" the speaker is talking about do understand perfectly The problem is (for the speaker) that they don't agree

Moralizing can be very seductive The moralizing employee is inviting you to join him or her in a very select circle of people who know what is best for "those people" and who know what they "need to understand " This is an elite position and it is well protected—if the rest of the organization does not appreciate what you are doing, this is just further indication of how confused they are and how much more they need you! Resist the temptation with as much grace and persistence as possible

Compliance—The most difficult form of resistance to see comes from the compliant individual who totally agrees with you and eagerly wants to know what to do next It is hard to see compliance as resistance because you are getting exactly what you want—agreement and respect If you can trust the concept that in every person there is some ambivalence about your help, then when you get no negative reaction at all, you know something is missing Everyone you work with will have some reservations about a given course of action If these don't get expressed to you, they will come out somewhere else, perhaps in a more destructive way You are getting this form of resistance any time there is almost total absence of any reservations and a low energy agreement Beware the person who expresses a desire to quickly get to solutions without any discussion of problems—also the person who acts very dependent on you and implies that whatever you do is fine

Methodology—If you have done a considerable amount of data collection in your planning process, the first wave of questions will be about your methods "Are these findings statistically significant at the 05 level?" Questions about methodology represent legitimate needs for information for the first ten minutes That is enough time for you to establish the credibility of your work if the questions are really about information As the questions go past the ten minute mark, you should cautiously begin to view them as resistance Repeated questions about methods or suggestions of alternate methods can serve to delay the discussion of actions

Flight into health—This one is the most subtle form of resistance It occurs when, somewhere in the middle or toward the end of your work on the change project, it appears that the organization no longer has any problems You begin to hear things about how much better things seem to be going This is similar to what happens when the fighting couple finally make an appointment with the marriage counselor as the session approaches, they find they are getting along better and better By the time of their session, they look at each other and say they aren't quite sure what the issues were because they have been getting along quite well lately Of course, there is nothing wrong with the situation improving, but most surface symptoms have underlying issues or problems that need attention You need to be on the lookout for smoothing over what should be the real focus of your work

Pressing for solutions—This form takes the face of an intense desire for solutions—solutions—solutions Since you are also eager to see them "do it right" some collusion can take place between you and your employees if the discussion of solutions is not held off a little The desire to get it finished can prevent the group from learning anything important about the nature of the strategic planning process and the reporting system Recognize that the rush to solutions can be a defense and a particularly seductive form of resistance for you

Waste of time—This one is a variation on the time theme but is common and often unspoken "Strategic management systems come and go in the GOB, depending on who is in charge If we do the absolute minimum and weather this latest of fads, we'll be fine This isn't going to lead to anything other than business as usual You (the mamager) are spinning your wheels for little, if any, gain " This covert (or overt, if spoken) resistance means that you will have to do some selling of this as an opportunity to improve your unit's management and get more of what they want, rather than less

WHEN YOU ENCOUNTER RESISTANCE REMEMBER

Employee resistance and defenses are not to be denied In fact, they need clear expression If suppressed, they just pop up later and more dangerously The key is how you respond to the resistance and defenses Resistance is inherent in the consulting process There are two underlying concerns that cause most resistance— control and vulnerability

Control

Maintaining control is at the center of the value system of most organizations There is a belief in control that goes beyond effectiveness and good organizational performance Control is the coin of the realm in organizations The whole reward system is geared around how much control, responsibility and authority you have When you perform well, you don't get much more money, you get more control At some point in history, organizations realized that you can't pay people enough money to commit themselves like they do, so instead, control is held up as the reward

The message in all this is that control is very, very highly valued There is nothing wrong with having control, and being out of control is a very anxious state to be in When we get resistance, one good guess why is the employee feels he or she is going to lose control

Vulnerability

Concern that people will get hurt is the second major issue that gives rise to resistance Organizations are systems that are competitive and political It is very important to stay ahead of your peers, stay in favor with your boss, and maintain the loyalty and support of your subordinates To do all three of these and get your job done is difficult As you move up an organization and deal with people at higher and higher levels, you realize that the feeling of being judged and having to prove yourself again and again is part of *every* position in the organization, all the way up to the top

Politics is the exercise of power Organizations operate like political systems, except that there is no voting The impact your change project has on the political situation and the power of your subordinates is a very important consideration When you get resistance, it may be that you are unintentionally disturbing whatever political equilibrium has been established

When you encounter resistance, try to understand it Look for concerns about control and vulnerability

TO DEAL WITH RESISTANCE YOU SHOULD BE ABLE TO

1 Identify when resistance is taking place

2 View resistance as a natural process and a sign that you are on target

3 Support the client in expressing the resistance directly

4 Not take the expression of the resistance personally or as an attack on you or your competence

There are three steps for handling resistance

Step 1 Identify what form the resistance is taking

Step 2 Name the resistance in a neutral, non-punishing way

Step 3 Be quiet, let the client respond

A couple of points to summarize

1 Despite the words used the resistance is not designed to discredit your competence

2 Defenses and resistance are a sign that you have touched something important and valuable The fact is now simply coming out in a difficult form

3 Most questions are statements in disguise Try to get behind the question, to get the statement articulated This takes the burden off you to answer a phantom question

4 Give two good faith responses to every question The third time a question is asked, interpret it as a form of resistance

Adapted from Peter Block *Flawless Consulting*, University Associates, Inc , San Diego CA, 1981 Pages 114–120, 208–209

QUESTION	PRESENTATION OBSERVATION	POSSIBLE ALTERNATIVES
Clear Objectives		
Direction/Structure and Flow		
Relevant Materials		
Balance Time/Content		
Approach Appropriate for Content/Audience		
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ACTIVE LISTENING—THE MOST ESSENTIAL FACILITATION SKILL

> *"Give every man thine ear,*
> *but few thy voice."*
>
> *William Shakespeare*
> *Hamlet*

Active listening is a commitment to understanding, being able, and helping others to:

- ***Give non-verbal acknowledgment***—Letting the other know you are listening and interested in what they are saying

  Examples: Maintain eye contact
  Lean toward the speaker
  Be physically at the same level—if they are sitting—you sit
  "Uh-huh."

- ***Parrot***—Restating what the speaker has stated to check for accuracy

  Examples: "So you want me to meet you tomorrow at noon at the corner of 23rd and Madison?"
  "You think that collecting gender disaggretated data will be impossible in your project?"

- ***Paraphrase***—Stating in your own way what the other's remarks convey to you

  Examples: "Is this   (statement) an accurate understanding of your idea?"
  "Would this be an example of the point you made?   (then stating a specific example.)"

- ***Check Perceptions***—Describing what you perceive to be the other's inner state in order to check whether you do understand what he/she thinks or feels

  Examples: "You look like you felt hurt by my comment? Did you?"
  "I get the impression you'd like to change the subject. Is that accurate?"
  "You seem to be feeling more at ease now."

- ***Own Feelings***—Reporting your own inner state as explicitly as you can—making sure the statement indicates the feelings are in you

  Examples "I'm concerned " "I'm pleased " (naming the feeling)
  "I feel embarrassed " (naming the feeling)
  "I feel like a tiny fish in a swimming pool " (simile)
  "I feel like hugging you "(action urge)
  "I'm redder than a cherry tree in July " (figure of speech)
  "I'm upset " (naming)

- ***Describe behaviors***—Reporting specific, observable actions of others without making accusations or generalizations about their motives, personality or character traits

  Examples "That's the third time you have said you agreed with a statement of mine and then added 'but' and expressed agreement with the opposite "
  "Jim and Harry have done nearly all the talking and the rest of us have said very little "

- ***To understand the other as a person***

  Check to make sure you understand what the person says ideas, information and suggestions as the individual intended them (*skill–paraphrase*)

  Check to make sure you accurately understand what the person feels–their inner state (*skill–perception checking*)

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INEFFECTIVE LISTENING BEHAVIORS

The basis of much ineffective listening is twofold 1) failure to distinguish those times when the sender is not expecting you to do anything except understand, and 2) failure to listen long enough or with sufficient understanding of the sender's feelings to really clearly understand the definition of the problem

These are twelve of the most typical ways that people respond in a listening situation

1 Ordering, Demanding ("*You must* " "*You have to* ")

2 Warning, Threatening ("*You had better* " "*If you don't then* ")

3 Admonishing, Moralizing ("*You should* " "*It is your responsibility* ")

4 Persuading, Arguing, Lecturing ("*Do you realize* " "*The facts are* ")

5 Criticizing, Disagreeing ("*You are not thinking about this rationally* ")

6 Advising, Giving Answers ("*Why don't you* " "*Let me suggest* ")

7 Praising, Agreeing ("*But you've done such a good job* " "*I approve of* ")

8 Reassuring, Sympathizing ("*Don't Worry* " "*You'll feel better* ")

9 Interpreting, Diagnosing ("*What you need is* " "*Your problem is* ")

10 Probing, Questioning ("*Why Who What When?*")

11 Diverting, Avoiding ("*We can discuss it later* " "*Did I remember to tell you ?*")

12 Kidding, Using Sarcasm ("*When did you last read a newspaper?*" "*Whine, whine, whine–are you 3 years old?*")

While there is an expanded rationale for why each of these responses runs a risk of being a barrier to understanding, the over-riding effect is to communicate to the sender that it is not acceptable for him/her to have those feelings The above twelve responses are frequently experienced as

1 Don't have that feeling
2 You'd better not have that feeling!
3 You're a bad person if you have that feeling
4 Here are some facts so that you won't have that feeling
5 Here's a solution so you won't have that feeling
6 You're wrong if you have that feeling
7 Your feeling is subject to my approval
8 You needn't have that feeling
9 Here's the reason you have that feeling
10 Are you really justified in having that feeling?
11 Your feeling isn't worthy of discussion
12 You're silly and immature if you persist in having that feeling

The result of receiving one of these kinds of messages is either to become defensive and justify the feeling further, or to close off entirely, never allowing the listener to hear anything deeper than the presenting problem

CO-TRAINING

Co-training is a specific strategy to enhance the learning potential in the training setting It involves the division of responsibility for an effective training session between two (or more) equally responsible persons A wide variation of roles and of specific tasks is possible, but the central issue in co-training is that both (or all) parties are concerned about the effectiveness of the entire learning experience, not just "their part "

The following material discusses co-training, the major advantages of co-training, the relationship between co-trainers and the steps in the development of an effective co-training relationship It is specifically focused on training situations in which USAID sponsored training is conducted by a two-person (or larger) training team, and where a wide difference in experience exists between the co-trainers particularly where one person is primarily a "content" expert and the other person is primarily a "facilitation" expert Of all the possible variations of co-training roles, this is the most difficult and requires the clearest delineation of steps

The elements of the co-training role, however, and the stages of development remain constant, regardless of the range of differences between the co-trainers Thus, even experienced trainers can benefit from reviewing this material All too often, experienced trainers neglect the dynamics of co-training which results in the delivery of a less than optimal training event Either they fail to spend sufficient time developing the co-training relationship or they assume that since they have trained so much the development work is unnecessary Content experts often know little about training theory and practice Failure to spend the necessary time in developing the co-training relationship always results in inadequate training
As previously stated, in any training event for adults, there are two primary considerations One consideration is the *task*, or what is the content of the learning The other is *process*, or how the learning is structured and managed The roles of the co-trainers are central to the effective balance of these two considerations

Advantages of Co-Training

Obviously, the job of balancing process and content is difficult and can be greatly facilitated by the use of two (or more) trainers The nature of the work is the primary reason for using co-training, as it is in response to the difficult task of promoting effective participant learning

Another important reason for working with a colleague as a co-trainer is to complement each other's presentation styles and content expertise, thereby heightening the learning experience In addition, one way participants learn in groups is by studying trainers as behavioral models This is especially true with regard to content areas such as team building, or where (as is true of re-engineering training sessions) the likelihood of strongly differing opinions, approaches and technology is high Co-training provides not only two or more models of individual styles, but it also offers the opportunity for the development of different perspectives on the same content areas

Because of the reinforcement inherent in co-training and the opportunity to approach the topic in a variety of stylistic ways, the likelihood that the learning will transfer to the participant's back home, everyday situation is increased A co-training team which has both content expertise and facilitation expertise enables the team to frame the training session in ways credible to the USAID culture Once the decision is made to increase the potential effectiveness through a co-training team, the roles and relationships between the co-trainers need to be planned prior to the training event

Given the already difficult task of promoting learning, a co-training approach would seem to make the training event even more complex There are some potential disadvantages, such as different orientations, timing and intervention strategies, threatening and competitive behaviors between trainers and overkill of the content In spite of these potential obstacles, co-training a group, when set up and managed appropriately, is a far superior strategy for increasing the positive impact of the training

Roles and Relationships in Co-Training

The relationship between co-trainers must *demonstrate* mutual responsibility, as well as respect for individual differences This is a difficult relationship to build, particularly when large differences exist between co-trainers and/or time is very limited But it is critical to effective co-training If roles are divided in such a manner so that one person is "working" and the other is not even present in the room, essentially the behavioral message is inconsistent with co-training Another example demonstrating the need for a solid, mutual relationship is when a conflict arises based on differing points of view, the co-trainers need to behave in a manner that shows that, although differences may exist, they genuinely appreciate each others' points to view If the co-trainers do not behave in this manner, participants are led to choose between trainers or, worse yet, negate any credibility for both trainers

While it is critical to demonstrate mutual responsibility, this does not mean that the co-trainers have exactly the same role or tasks to perform during the session One trainer may assume the "facilitation specialist" role, having a group-dynamics, adult learner focus, while the other may assume the "content specialist" role, having the subject-matter focus Furthermore, the training process and content roles may be alternating roles depending on the individual strengths and weaknesses of the training team members Together, the trainers are better able to monitor and facilitate individual and group development as well as the presentation of the subject matter learning

Steps for Developing the Relationship

To facilitate learning and to provide the proper support for participant learning, the trainers should do some "team building" before actual training begins This team building combines planning, rehearsing, developing interpersonal relationships, and specifying certain details on the activity itself Some materials for developing the co-training relationship are presented at the end of this section

In addition to assigning tasks, practicing exercises, and rehearsing lectures, the trainers should spend some time thinking and talking about their experiences as trainers and as technical experts This is a central issue Trainers should discuss and agree on how they can be supportive of each other This is necessary because the facilitation specialist or content specialist bring to the training their personal experiences, beliefs, reactions, and feelings about themselves and their roles Before the training begins, they need to examine their own and each other's attitudes about the issues and content that will be discussed in the training They need to share their expectations and personal limitations, compare reactions to the materials, and discuss how they will handle delicate issues if, and when, they arise Each should explore with the other specialists the areas in which they feel confident and those in which they feel vulnerable

Some concepts and activities that will enable trainers to develop their relationship are presented below

- **Initial Meeting With Co-Trainer(s)**

The purpose of the initial meeting is to establish a personal connection with each other, discuss roles (such as training specialist and content specialist) and to share reactions to the pre-work activities, each other's data, surprises, etc

The content and relationship tasks that surface at this stage are outlined below

Content Tasks

Discuss and agree upon purpose,goals, and behavioral objectives of the session

Review modules, needs assessment, content areas, resource materials

Come to a consensus about the expectations and experiences of the of the participants Discuss your reactions to the makeup of the group, its size, and any other special considerations

Develop strategies for the design/re-design of the session relative to methods, i e , linking appropriate techniques such as role play, lecture and demonstration with content areas

Discuss and agree upon the priority and sequencing of activities

Establish task assignments and operating norms based on comfort, experience, knowledge and skill levels

— Decide on who does what, i e , your role as the facilitation specialist in facilitating presentations, role plays, group discussions, etc , and his/her role as the content specialist

— Decide where you will sit in the group meetings

— Decide your norms for attendance for yourself and for group members

— Discuss whether and how you are going to make inputs when the other co-trainer is leading

— Plan signals for "I need help," "You need help "

— Determine an approach to the problem of "back-home" application

— Rehearse session and examine areas for improvement

— Prepare alternative strategies and activities to handle any predictable problems

— Establish a contract and plan to support each other if problems arise with the group or in communicating the content

Relationship Tasks

— Interview each other to ascertain knowledge and skill levels as well as likes and dislikes pertaining to the work you will do together

— Clarify personal relationship by discussing roles, i e , "Who am I with you?"

— Identify and discuss the fears and assumptions about the group, content and process

— Encourage and support each other to increase or develop skills

— State some of your co-training behavior patterns and indicate the behaviors that your co-trainer might see as idiosyncratic Share what you will be attempting to improve in your style during this session

— Note issues that have arisen in your past work with other co-trainers

— Discuss/explain items about your past experiences as a participant and as a co-trainer

— Discuss and agree upon how to manage the co-training relationship

> Where, when and how do we deal with issues between us?
> Can we agree to disagree?
> Will we encourage or discourage conflict?
> How much of our behavior will be role determined and how much will be personal and individual?
> How do we establish and maintain growth-producing norms?
> What is non-negotiable with each of us as co-trainers?

— Share the developmental efforts that you are making right now Indicate what personal issues you anticipate working on during the training 52

- Contract with each other relative to specific cooperation and support functions

- **During Training**

The joint responsibility during the training is on assisting one another to get the content across in the most effective manner, keeping participants involved and focused on their learning, maintaining the collaborative, synergistic effect of co-training

The content and relationship tasks that surface during this stage are outline below

Content Tasks

- Examine indicators that learning is occurring, such as stimulating discussions, critical questions, ability to practice skills, etc

- Examine indicators that the group has developed and that group cohesion is contributing to learning Indicators could be the ability to be patient with one another, permitting others to completely express an idea and to fully participate in group activities

- Review the sequence of activities, the time frames, and pacing factors

- Maintain a comfortable environment by the clearing of materials or media and checking the physical climate

- Make transitions between trainers smooth and see that they flow with the content and group needs

- Clarify each other's points, or facilitate any communication breakdown by adding information where appropriate

- Debrief during breaks regarding how things are going in the session, soliciting mutual feedback and renegotiating, if necessary

Relationship Tasks

- Review the specific cooperation and support functions agreed to in the initial meeting

- Examine indicators of collaborative, synergistic approach of co-training, e g , non-threatening, non-compulsive behaviors, smooth flow of comments and interjections

- Present and maintain the trainers' relationship as a model for the group (Demonstrate support for each other Switch roles when discussing different aspects and issues of the training group When it seems appropriate, articulate your differing points of view)

- Take a supportive role whenever the other trainer is leading an activity by attending to group dynamics and intervening when it seems appropriate (Avoid interrupting the other trainer except to clarify some point that seems confusing to the group)

- Debriefing during breaks regarding co-training relationship

  Soliciting Feedback
  What did I do that was effective?
  What did I do that was ineffective?
  How am I working as a co-trainer?
  To what degree are we colluding, i e , not sharing all the information we have?

  Renegotiate
  As we re-examine our agreement, is there anything that we need to renegotiate?
  How are we feeling about each other?
  What is each of us going to do in the upcoming activities?

■ After Training

The purpose of meeting after the training event itself is to constructively assess the training and the co-training relationship and to lay the groundwork for working together again

The content and relationship tasks that surface during this final stage are outlined below

Content Tasks

- Discuss the extent to which the purpose, goals and behavioral objectives of the training event were realized

- Share and discuss participant views and evaluations

- Discuss what worked and didn't work and what changes would be made if the session were to be presented again

- Solicit ideas about improving your training competence

Relationship Tasks

- Constructively assess roles of facilitation specialist and content specialist

- Discuss the feeling, fears and assumptions each had before the event How do you feel about those items now?

- Discuss how well you worked together and how could you have better helped each other

- Review co-training relationship, i e , if we were to do this again, what changes in our co-training relationship would we make?

- Discuss under what conditions you would work together again

- Discuss your personal and professional learnings from this event

- Solicit ideas for your continuing personal development

When two (or more) trainers work together collaboratively, a synergistic effect develops, i e , the outcome of the deliberation of the two exceeds the sum of their contributions as individual trainers Co-training, as described here, generates synergistic outcomes through the personal, professional, facilitating and content expertise interchange resulting from this collaboration

PRESENTATION (PLATFORM) STYLE

The following are my typical responses in the type of group with which we are going to be working

1 When setting up the room arrangement, I place

2 When I prepare for my presentation, I usually

3 When I start my presentation, I usually

4 When I want to reinforce an idea, I usually

5 When people look confused by what I am saying, I usually

6 When people disagree with what I am saying, I usually

7 When I use an audio-visual aid to communicate my ideas, I usually use

8 When I'm facilitating a group

9 My favorite presentation technique is

10 My least favorite presentation technique is

11 My greatest strength is

12 My greatest weakness is

AN OVERVIEW OF THE TRAINING PLANNING PROCESS

QuestionsTo Ask for Each Step in Planning Training

Step 1 Needs Assessment

What are people doing now?
What would people do if they were doing it well?
What do people need to be able to do "it" better?
Is it a problem of not knowing how to do something?
Or is it a problem of not being willing to do something?
What combination of these three areas is it?

Step 2 Behavioral Objectives

What should the participant be able to know, do or feel as a result of the training?
What is an acceptable standard for how well they need to "know" "do" or "feel" by the end of the training?

Step 3 Participant Characteristics

What is the background of those to be trained?
What abilities, interests and attitudes do people have?
How well do we know them?
Do we need more information from them before the training?
Who are the "stakeholders"?

Step 4 Strategy Selection

What media, personnel and materials shall be used?
What are the appropriate objectives, the time and the participants?
What approach to working with the client shall we use — Directive — Collaborative — Facilitative?

Step 5 Materials Development

What material, in what form, at what length, do participants need to support their learning? Handouts? References? Tools?

Step 6 Sequencing of Activities

Where do we need to start with these participants?
How ready are they to learn?
How active an activity can we start with?

What is the central learning, how do I build to it and what follows?
What activity will bring about the maximum learning?
What activity will bring all the learning together at the end?

Step 7 Presentation

Is the room set up to support the training (equipment, chairs, tables, etc)?
Are we ready?
Now that participants are here, do our assumptions about who they are and what they need still make sense?
What do we need to do that we didn't think of before now that could assist the learning?

Step 8 Evaluation

Have participants achieved the desired level of performance at the end of the training?
Based on participants performance, what changes do we need to make in the training design to improve it?

Step 9 Validation

Back on the job, or in the situation are people different?
Are they doing what you trained them for well?
Is the problem solved? If so, why? If not, why not?

THE FIVE CARDINAL RULES OF TRAINING

- BE PREPARED — KNOW YOUR MATERIAL INSIDE & OUTSIDE, BACKWARD & FORWARD
- BE NON-DEFENSIVE AT ALL TIMES (EVEN IF YOU FEEL DEFENSIVE!)
- REMEMBER YOU ARE TRAINING ADULTS
- LISTEN — LISTEN — LISTEN BE CURIOUS
- BE FLEXIBLE

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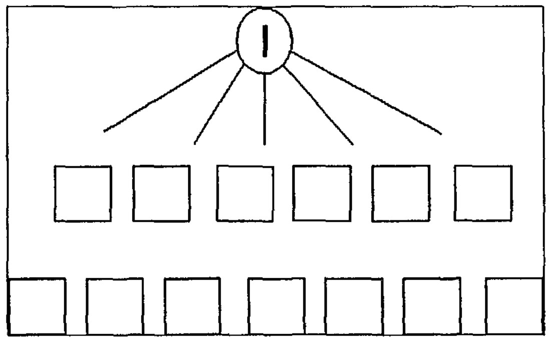
GROUPING FOR LEARNING

Instructor as Lecturer

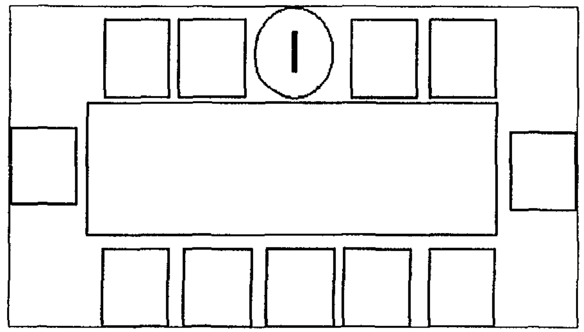


Appropriate Situations for This Grouping

- When you have large amounts of information to convey
- When the trainee group is large (more than 50 people)
- When the instructor is an expert on the subject
- When the instructor is an excellent speaker
- When high quality media support the lecture

GROUPING FOR LEARNING

Instructor as Leader

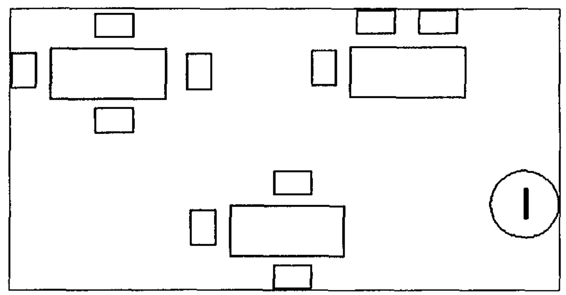


Appropriate Situations for This Grouping

- When directions or procedural steps are required
- When a problem needs to be clarified
- When new content needs to be determined
- When the whole group is treated as one group for the entire course

GROUPING FOR LEARNING

Instructor as Facilitator



Appropriate Situations for This Grouping

- When participants break into small groups for discussion or problem solving
- When the level of participant expertise is high
- When the level of participant experience is high
- When you want participants to interact with and learn from each other

TIPS FOR PRESENTING

- Use gestures freely
- Have good eye contact
- Be warm and friendly with the audience
- Communicate — don't talk down to them
- Smile and be dramatic
- Use variety in your voice, but keep it low
- Be bubbling with enthusiasm
- Pour your heart out and be emotional
- Stand straight and tall, but not stiff
- Don't be note bound — only glance at your outline
- Stir the audience to action! Tell them what you want them to do!
- Don't talk about what you've done — but what they can do
- Use stories — examples that are vivid, colorful and real
- Stress the positive
- Forget yourself and remember them
- Don't talk too fast — or too slowly
- Be sincere — mean it — people can spot a phony

Tips on Making Training Presentations

The primary intent of presentations in training is to convey new or newly organized information to participants to help them learn Conveying information is the first step in a learning process that includes (a) presentations, (b) practice, and (c) discussion of what was learned The principal responsibilities for trainers in making presentations are to be as concise as possible and still cover essential points, to be clear in the message, its purpose, and the key value of the intended learning, and to present information in interesting ways Ideas for making effective presentations are.

1 Have each point you intend to make in a presentation clearly thought out and written down well in advance of the session to ensure you say everything you want to say, in logical order

2 Practice each presentation well in advance of the session, and

- Be sure you know specifically what you want say about each point you want to make

- Check how long the presentation takes you to make

- If the presentation takes longer than 15 minutes, check the content carefully to be sure it is all needed, see if you can break up the presentation, with a question and answer session, with participant involvement in the presentation, or other means

- Practice a presentation until you are familiar (and, hopefully, comfortable) with what you will be saying

3 If you will be using visuals in the presentation (for example, flip charts, videos/films or section(s) of a training workbook), check well in advance of the session, and

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- Be sure your planned comments and the visuals are in concert with one another (in agreement as to points being made, presented in the same order)

- Check that the visuals and any needed equipment are available and readied for the presentation

4 Make points clearly and concisely in your presentation

- Test your audibility, with another trainer as your audience, in the room where you will be presenting, make adjustments to your pace, volume, or position in the room, as needed

- Address each point completely, but briefly (it is better to err on the side of brevity, participants can flesh out any points that may have too brief by asking questions, but there is no way to correct overlong discourses that may lose participants' interest)

- Be yourself, there is no "one right ways' to present -- feel free to conduct your presentation informally and with humor, the best learning takes place when trainers and participants develop a positive and comfortable rapport

- Check with the participant group from time to time to see if they are understanding you, asking for example, "Does what I am saying make sense to you?" "Have I explained this clearly?" and look for general understanding, or encourage questions

5 At the conclusion of your presentation invite questions

- Participant questions are very important after a presentation -- passive listening is very inefficient, especially with new information; it is estimated that only 25% to 50% of what is heard is retained--you can assume that participants have not got a complete understanding of what has been presented

- Make your invitation for questions positive and open ended, so it doesn't inadvertently put participants on the spot -- for example, "Does anyone have any questions on anything I've

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talked about?" "Are there any questions or thoughts about any of this?" (NOT "Who didn't understand this information?" "Who has a question about the work plan report?")

- Wait...for 15 to 20 seconds at least . after asking if there are any questions--participants may be reluctant to ask a question or may need a few moments to formulate their question, if you wait long enough someone will usually speak up

- Follow up encouragement may be needed to elicit questions, for example, "Feel free to ask a question, I've covered a lot of ground rather quickly here" "Don't hesitate to ask if you have a question, remember you're in training, here, I know that some of this may be confusing at this point"

- Answer questions briefly, check to see that you have said enough, for example "Does that answer your question? (again, it is better to err on the side of brevity, too long answers may discourage question-asking)

6 If your presentation includes preparing participants for an exercise or practice session, be sure to

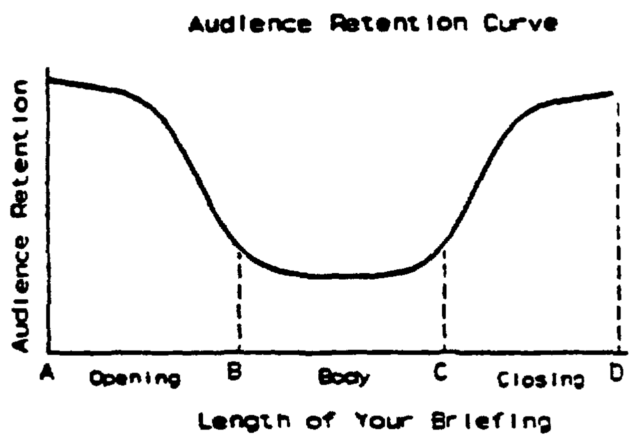
- Use a consistent set of instructions each time a session is being introduced, for example

  (a) The purpose of the exercise is, "To learn how to "
  (b) What will actually be done, for example, "You will follow the steps on page "
  (c) About how long it will take
  (d) What materials participants will need
  (e) What will be the outcome of the exercise, for example, "You will be generating a report on...",
  (f) And, what will happen after the exercise, "We'll get back together as a group to talk about how it went"

- Check with co-trainer and with participants to be sure your instructions were clear and complete

Organizing the Presentation

Your audience's interest is highest during the opening and closing The opening influences the attention given to the entire briefing Your audience's attention drops in the body A change of pace such as a story, an illustration, or an activity reduces this drop. An effective closing ensures that your audience walks away with the key message [1]



OPENING

In the first minute and a half, your opening should

a) Get the listener's interest
b) Establish your credentials and concern for the audience
c) Provide a reason for your listener to stay with the remaining portion of your briefing
d) Introduce your topic or main idea

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[1] Adapted from George L. Morrisey and Thomas L. Sechrest *Effective Business and Technical Presentations* Addison-Wesley Publishing Co., Inc., 1987

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This can be accomplished using a combination of these techniques

- **Present Your Topic Directly** -- Effective when your credibility as a speaker is already established, your position in an organization implies authority in the field Also appropriate when the interest of the audience is confirmed For instance, a gathering with a publicized agenda on worker safety signifies initial interest in safety and health issues

- **Start with a Story** -- Stories draw attention Use true and/or personal accounts that relate to the main point

- **Create a Common Bond with Your Audience** -- Gain attention and empathy by connecting with the listeners on their level The message is "I'm one of you"

  Another way of building rapport is to compliment your audience Speakers often start off with what makes the briefing unique in terms of who is part of the audience

- **Use Humor to Steer Your Audience** -- Anecdotes often serve as openings The key considerations: Is the humor in "good taste?" Is it relevant to the main topic? Will it help the listener be more receptive?

To determine the best opening technique, start off with what you do best Genuineness is critical Be yourself

THE MAIN IDEAS

The purpose of your briefing determines how you organize the main ideas Some options.

- **Problem/Solution** -- Describe the problem, then present the solution Its strength is its simplicity

- **Motivation Sequence** -- Follow this sequence to motivate the listener to take action

  Attention. Start with a story illustrating what is missing or wrong

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Need Explain the problem and why improvement is needed

Satisfaction Show how the solution responds to the need

Visualization and Contrast Describe the situation when the need is met. Compare the situation before and after the problem is addressed

Action Urge the audience to take specific steps in order to bring about this change

- **Indirect Proof** -- Present the supporting evidence before stating the main point Used when the audience is inclined to reject your main point, regardless of the evidence

- **Reframing the Issue** -- Show the audience a different way of achieving goals by looking at the issue in another way This does not mean proving that your position is better than another

CLOSING

A clear ending is important so that the audience doesn't feel that the briefing is a let down or unfinished There are two basic rules to follow

Rule 1. End With Conviction

Summarize the main points using these techniques

- End with a brief story to illustrate the main point
- End with a quotation or phrase
- End with an example of your theme

Do not introduce new material at the end It only confuses the audience

Rule 2. Tell The Audience You Are Ending

Alert the audience when you are about to end your speech For example

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- "With that as a final note "
- "To sum up these factors "
- "Our primary purpose today has been to "
- "To bring our discussion to an end "
- "Now let's review the main points we've covered"

This provides a transition before you summarize the main points

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CHARACTERISTICS OF EFFECTIVE VISUALS

VISIBLE

Easy to See & Read

Fill the screen with your image Use broad strokes and large size text characters To be seen from 20 feet away, the characters should be 1 inch in height on the screen (2 inches for 40 feet, etc.) For overhead transparencies, if you place the acetate on the floor, you should be able to read the text standing up.

ILLUMINATING

Focus on Key Points

Use *vivid* words. Try to communicate ideas with *metaphors* and *analogies* (e g , a horse race to represent "competition"). Communicate with both sides of the audience's brains. Use graphical symbols to reach the *right* sides while your words reach their left sides Highlight key elements in the visual (color, layout, arrows, underlining, etc.).

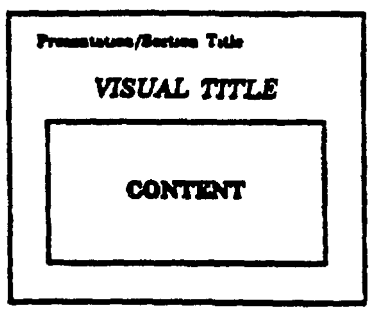
SIMPLE

Clear and non-distracting

Make the visual neat and uncluttered For text visuals, use the 6X6 rule - *no more than six lines of text with each line having no more than six words* (some authors extend the rule to 8X8) The use of too many colors or types of fonts is confusing to the viewers

UNIFORM

Consistency format from Visual-to-visual



Select a standard format using the same types and sizes of fonts

ATTRACTIVE

Professional in Appearance

The quality of drawings and images are equal to at least that of newspaper advertisements The text appears typed or drawn by a professional illustrator The background is clean and all lines and areas are solid

LIVELY

Interesting, Compels Attention

No more than three pure-text visuals are presented one after the other. Boxes, color, or graphics are added for interest. Some visuals make use of *progressive revealment* so that key information is added to the image a bit at a time

Vu-graph Transparencies

Vu-graph transparencies are professionally produced or personally developed acetate sheets of information to be used with an overhead projector The image is shown on a screen or blank wall

As visual aids, vu-graph transparencies have special advantages, but they also have significant drawbacks if not used properly Figure 5-5 below highlights those advantages and drawbacks

Figure 5-5. ADVANTAGES AND DRAWBACKS OF VU-GRAPH TRANSPARENCIES

ADVANTAGES	DRAWBACKS
• Adds professional touch	• Light and glare can be tiring if overused
• Easily transported	• Requires special equipment not always readily available
• Can use with large audience (over 25)	• Complex charts can overwhelm viewers

As with flipchart information, you can develop vu-graph transparencies ahead or develop them during the presentation If you decide to develop transparencies in advance of the presentation, there are two ways to do so

1 **Professionally**
   Graphic artists can produce your transparencies, based on the directions you provide

2. **Personally**
   a. You can put the information on a piece of paper and have it copied onto a transparency sheet by a duplicating machine or a machine designed specifically for making transparencies (If you're wondering whether your duplicating machine can make transparencies, check the machine manual)

   b You can make a transparency yourself by using a transparency marker and writing on a transparency film made for that purpose (You'll have a chance to try doing that later in this lesson)

Regardless of whether you are developing the transparency yourself, or developing the information for a professional to use in making your transparency, there are guidelines to insure that your transparencies are readable and appealing to your audience. Figure 5-6 provides those guidelines.

Figure 5-6. GUIDELINES FOR MAKING TRANSPARENCIES READABLE AND APPEALING

- Use as few words as possible to communicate your ideas
- Keep information to six lines or less, with no more than six words per line
- Cover one major idea, with up to three subpoints, on one transparency
- Use tinted plastic to reduce the glare
- Illustrate ideas with:

  Pictures
  Shapes
  Graphs
  Color (but no more than three colors on one transparency.)
- Use a grid to ensure straight lines and markings. (You will use a transparency grid later in the lesson.)
- Lay out your transparency in pencil first, using letters at least 1/4" high

Figure 5-7 on the next page provides some additional tips for using transparencies during presentations.

Figure 5-7. TRANSPARENCY TIPS

IF ...	THEN ...
You are using more than one transparency	• Turn projector on, show a transparency, then turn it off—unless you are showing a series in rapid succession • Don't keep a transparency on too long The image becomes tiring for viewers
You want the group to focus on a specific area	• Try one of these methods — Use a pencil to point to the area Lay the pencil on the plastic to steady the pointer — Reveal one area at a time by using a paper to "mask" the areas you don't want showing Place the paper *between the transparency and the glass* for extra control and to enable you to read the masked information
You are using the same transparencies in subsequent sessions	• Use permanent marking pens • Mount transparencies in plastic frames to keep them from curling • Store them sandwiched between papers in a dust-free location
You wish to re-use the plastic or change the information	• Use water-soluble marking pens Run water or a damp cloth over the area to remove the ink.
You want to look more professional in front of the group	• Write memory joggers in black ink on the transparency frames and use them as your presentation notes • Place masking tape around the edges of the projector glass to keep out the projection light and to keep unframed transparencies from sliding.

EXERCISE: DEVELOPING A VU-GRAPH TRANSPARENCY

The purpose of this exercise is to give you practice in developing a transparency

Using supplies provided by your trainer, create a vu-graph transparency for the presentation you outlined in Lesson 4

1. Use a transparency grid to lay out your transparency, following the guidelines in Figure 5-6

2 Use a transparency marker to record the information on the transparency plastic

3 Tape your transparency to a frame.

4 When you have finished, go to the vu-graph projector and display your transparency Your trainer will provide any help you might need to do that

FLIPCHARTS

PURPOSE

Use flipcharts so that your listeners can follow your main points, and you can control the amount of information at certain points of the briefing

You can also encourage audience participation by recording their comments on a flipchart.

TIPS

1 Check out the flipchart easel(s) well in advance and

- Be sure they are in good condition
- Be sure all parts are present for each easel (some require two bolts at the top to secure the flipchart tablet, others require a cross-bar or other mechanism)
- Place the flipchart easel(s) in a highly visible part of the room

2 Check the supply of markers and

- Be sure they are in good condition
- See that you have a variety of colors

3 Make your flipcharts readable and appealing

- Use dark-colored markers so that it is readable from the farthest seat in the room when writing or illustrating key points (black, or dark shades of green blue, brown, or purple)
- Use lighter and brighter colors to highlight points (red, yellow, orange, pink, and lighter shades of blue, green, purple)
- Emphasize key points visually -- for example underlining, arrows or bullets

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- Write big enough -- 1 1/2 inch high is the minimum

- Leave ample space in between the lines, a "crowded" flipchart only creates difficulty for the audience which is listening while simultaneously sorting out what's on the flipchart

- Put only five or six lines of print, or only one or two images on a sheet

4 Prerecord information if your time is limited

5 Record information during your presentation if you want to encourage the audience to make contributions

6 Post flipchart pages on the wall if points are of enduring value in the presentation (the walls can be "purged" periodically to avoid flipchart overload)

- Tear strips of masking tape in advance so you don't delay the posting process

- Enlist the aid of another person in the posting process if you are generating a lot of flipcharts, so you can stay on top of things

Flipcharts

Flipcharts consist of an easel to which are attached blank pages that are written on with a felt tip marker The information can be prepared ahead or recorded during the presentation

Prerecording information saves presentation time and insures neatness Recording during the presentation allows you to respond to the immediate situation

Regardless of whether you choose to prerecord or record during the presentation, there are certain general guidelines to follow to insure that your flipcharts are readable and appealing to your audience Figure 5-3 below provides those general guidelines

GUIDELINES FOR MAKING FLIPCHARTS READABLE AND APPEALING

- Make letters at least 1-1/2 inches high
- Leave two inches or more between lines
- Use the top 2/3 of the pad
- Use as few words as possible.
- Highlight key points by using:

Color	Graphics	Underlining
Shapes	Boxing	Pictures

- Check readability by going to various parts of the room
- Leave a blank page between each prerecorded page so that the writing on the next chart does not show through and distract your audience

FLIPCHART TIPS

IF ...	THEN ...
You are recording audience members' input	• Record key words quickly • Check with people to be sure you are reflecting their ideas accurately • Alternate colors when listing the group's ideas.
You wish to have people compare and contrast data.	• Use two flipcharts
You want to display information for a period of time	• Hang pages on the wall
You want to look especially professional in front of the the group.	• Lightly write memory joggers in pencil in margin of flipchart page, and use as presentation notes. • Practice tearing pages cleanly before trying it in front of the group • Tab prerecorded charts to eliminate searching for them when needed. • Cover prerecording errors with paste-on labels, then write correct information on the labels • Cover flipchart information when not in use

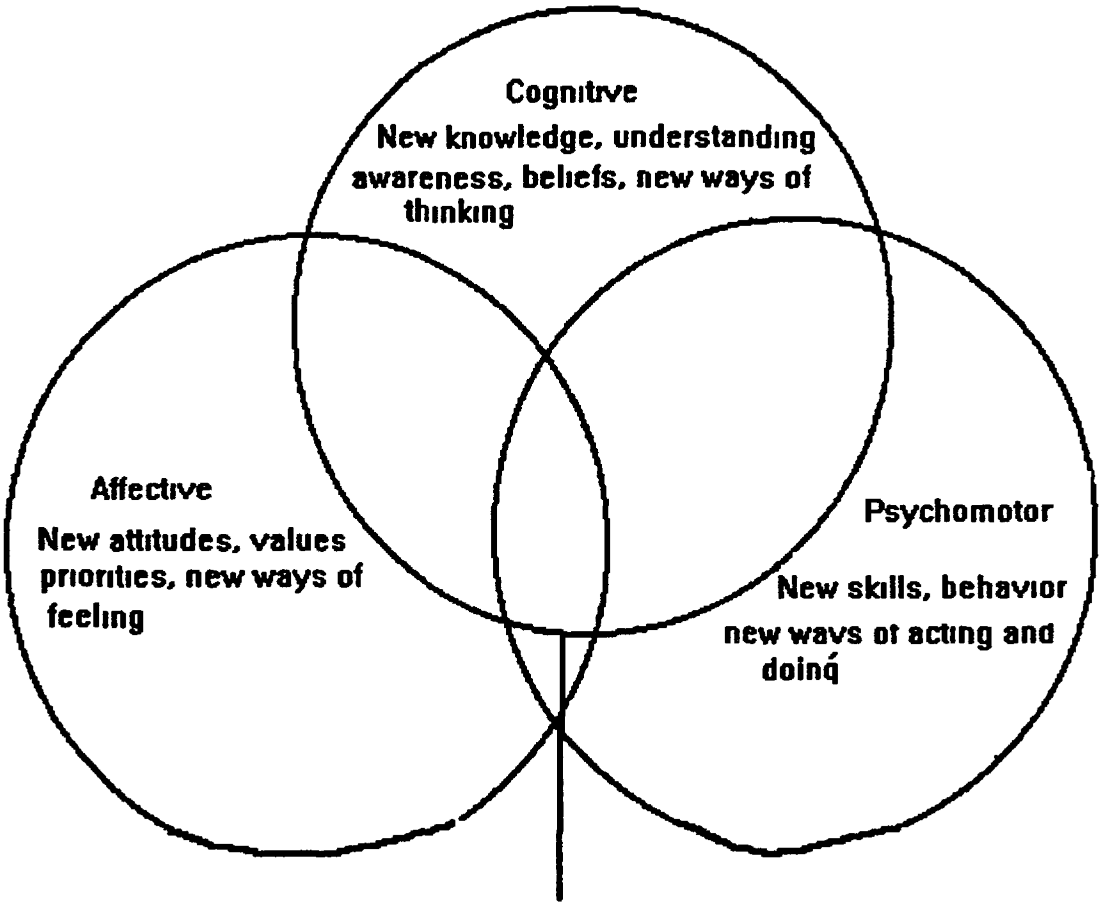
HOW TO GET A STALLED GROUP MOVING AGAIN

The perceived quality of training often rests on the trainer's skill in managing the group In most groups, people will try to avoid conflict, and when a group runs into trouble, group members withdraw and lose focus An effective trainer will recognize that when conflict occurs, it needs to be skillfully managed, because most people have not learned strategies to deal with conflict (An effective instructor will support those few group members who take the risk to resolve the conflict)

The following techniques can be useful in groups in which energy is low, dominance by a clique or individual is obvious, tempers are hot, and in many other situations where "process" is important to accomplishing "task "

IF	THEN
1 The group is bored	1 **Introduce a new piece of data** *Example* "You might be interested to know that at the stakeholders meeting they found out that "
2 The group is dull and passive	2 **Change places** *Example* Move from the front of the room to the back or side of the room
3 Small groups aren't working	3 **Regroup into smaller or different sets** *Example* Break into pairs instead of fours or fives, organize a "fishbowl" in which half the class is active and the other half functions as observers around the perimeter of the active group
4 The group is argumentative	4 **Present feedback to the group** *Example* "I observe at this very moment that we seem to be "
5 The group is out of control and noisy	5 **Make an assignment** *Example* "STOP — shift gears, find a pencil and piece of paper List three things that "
6 The group can't see the forest for the trees — nitpicks, and has lost focus	6 **Focus on the uses of the report or decision** *Example* "Let me remind you that the Agency has stated that we must focus more often on our customers by talking directly with them "
7 A group member behaves badly	7 **Give immediate behavioral feedback, but refrain from judgmental remarks** *Example* "Manny, you are smoking in a "no smoking" area, please extinguish your cigar "

DOMAINS OF LEARNING



<u>Affective Learning</u>

Involves the formation of attitudes, feelings & preferences

<u>Behavioral Learning</u>

Development of competence in procedures

<u>Cognitive</u>

Information acquisition

END OF COURSE EVALUATION - PARTICIPANT QUESTIONNAIRE

COURSE TITLE ______________________ TRAINER ______________________
DATE(S) ______________________

the Rating Scale below to answer each question, except #4,5,11,12. Space is provided to explain your answer or add other comments. Please be specific.

1	2	3	4	5	6	7	8	9	10
Not at All									To a Very High Degree

1. To what extent did this course meet its objectives? ☐

   Please Explain.______________________

   ____

   ____

2. How well organized was the course? ☐

   Please Explain.______________________

   ____

   ____

3. How satisfied were you with the course materials? ☐

   Please Explain.______________________

   ____

   ____

4. What were the most useful topics of the training?

   Please Explain.______________________

   ____

   ____

5. What were the least useful topics of the training?

   Please Explain.______________________

   ____

Please turn page over to continue

6 How satisfied were you with the physical facilities?

Please Explain.____

____

____

7 To what extent did the trainer respond to the daily feedback from participants?

Please Explain.____

____

____

8. How effective was the trainer in presenting the material?

Please Explain.____

____

____

9. How knowledgeable was the trainer about the subject matter?

Please Explain.____

____

____

10. Overall, how satisfied were you with this course?

Please Explain.____

____

____

11. How likely are you to do something differently back on the job as a result of this course?

Please Explain.____

____

____

12. What would have made this course more useful to you?

Please Explain.____

____

____

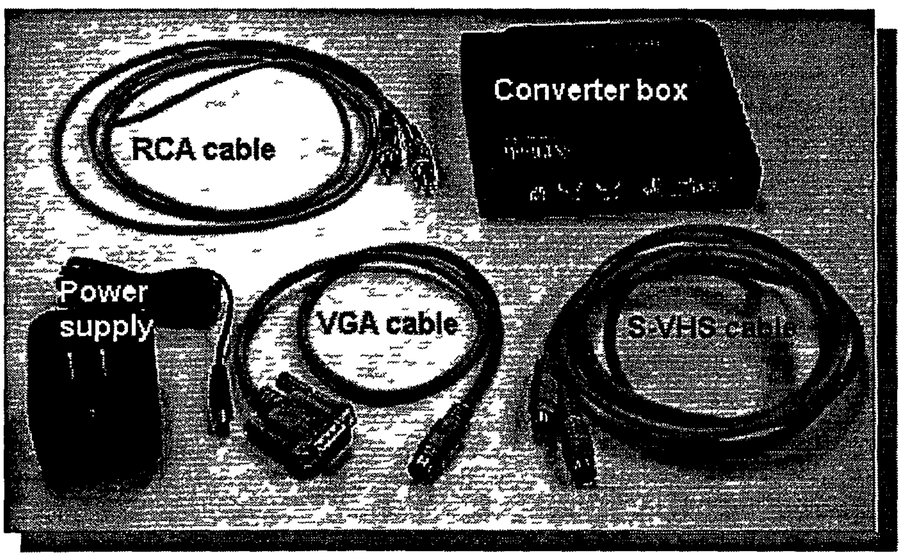
VGA TO TV CONVERTER INSTALLATION GUIDE

INTRODUCTION

The VGA-to-TV converter is a device that changes the signal that goes from the computer to the monitor into a signal that can be displayed by a TV The signals used computers are very different to the ones used by TV, therefore they must be changed

VGA-to-TV converters are manufactured by many different companies The converters we are using are made by AITECH These are the ones we are going to describe in this installation guide

In the box you will find the following items
A converter box
A cable to connect the computer to the converter (the VGA IN cable)
Two cables to connect the converter to the TV (You only need to use one at a time)
The S-VHS cable Use it for a better signal Not all TVs will have this type of connector If your TV does not have it, use the other cable,
The second cable uses RCA connectors Almost all TVs have this type of connector
A power supply (DC - 9 Volts)



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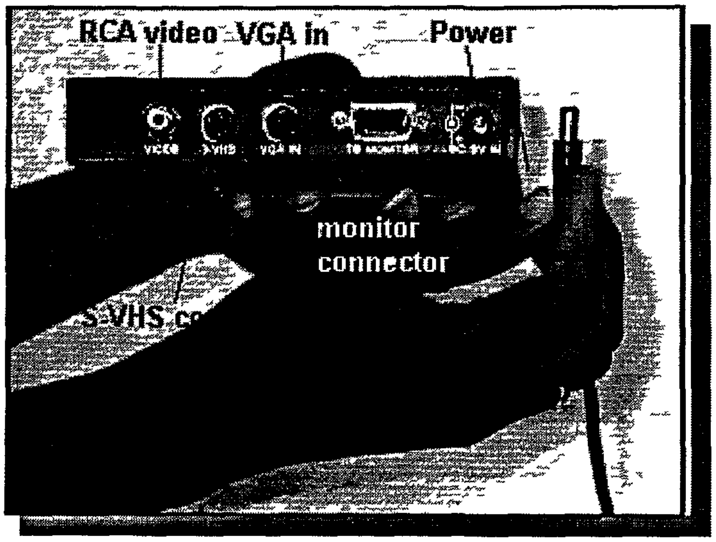
How To Connect The VGA-to-TV Connector

Connections These are the connections that AITECH ProPC/TV Plus devices have (from left to right)
The RCA video connection The S-VHS (S-Video) connection The VGA IN connection The monitor connection The power intake (DC - 9 volts)



How To Connect It

The connections of the cables that come with the VGA-TV converter do not fit any connection but their own, except for the S-VHS and the VGA in These two connectors are the same and fit into each other's place

The VGA-TV connector should have three cables connected to it the power supply for power, the VGA-in for the computer signal that needs to be converted and the S-VHS or the RCA cable to take the converted signal to the TV

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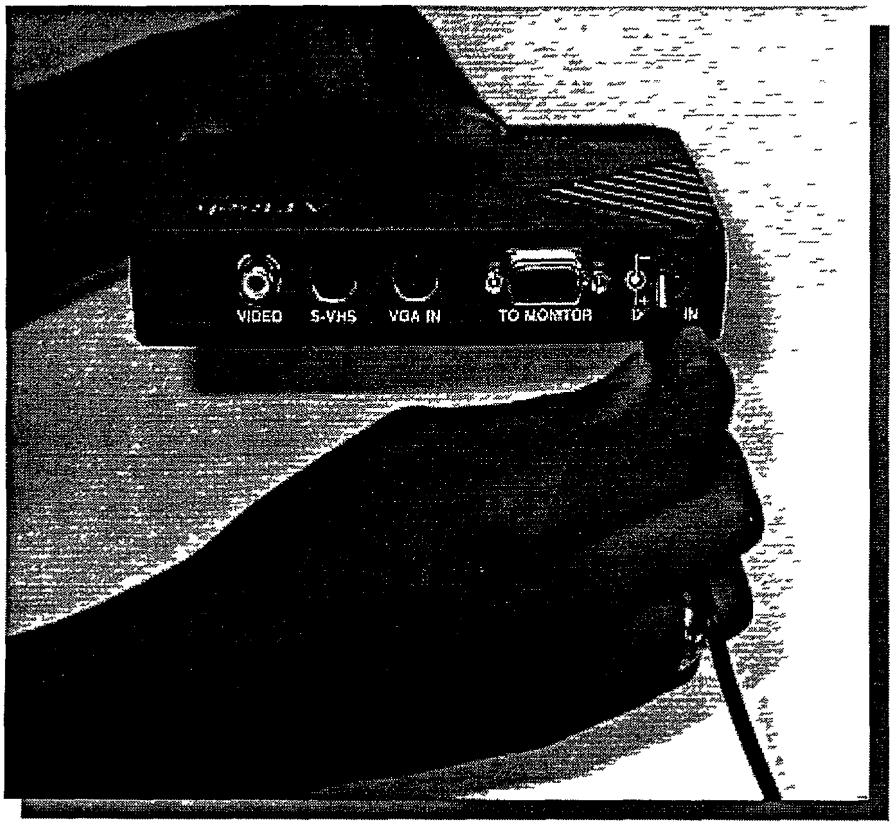
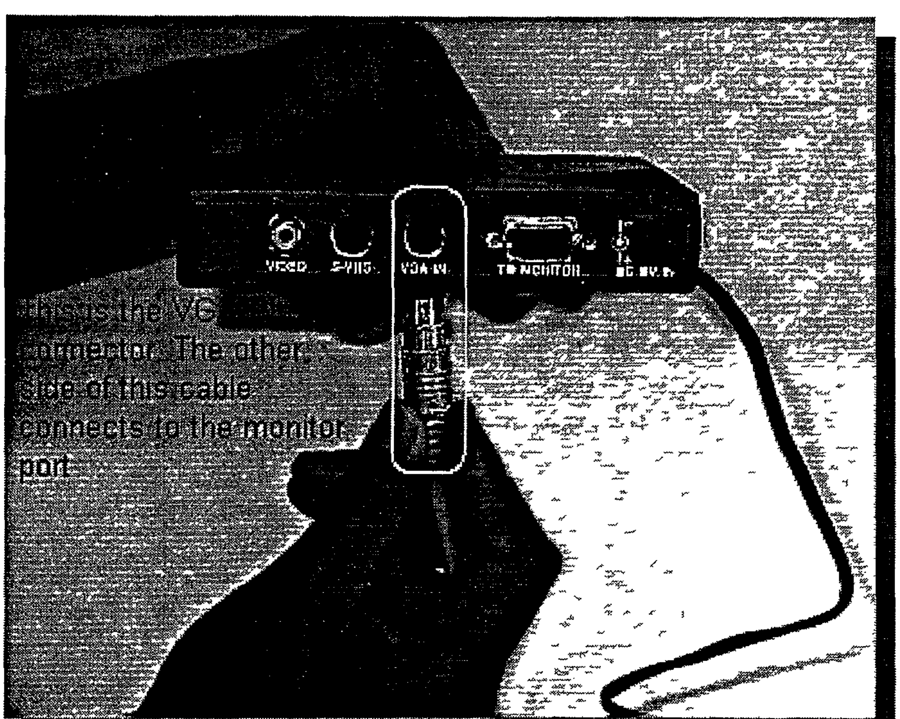


Connect the power to the VGA converter



Connect the VGA IN cable (the one with a round connector on one side and a 15 pin monitor connector on the other) to the converter box

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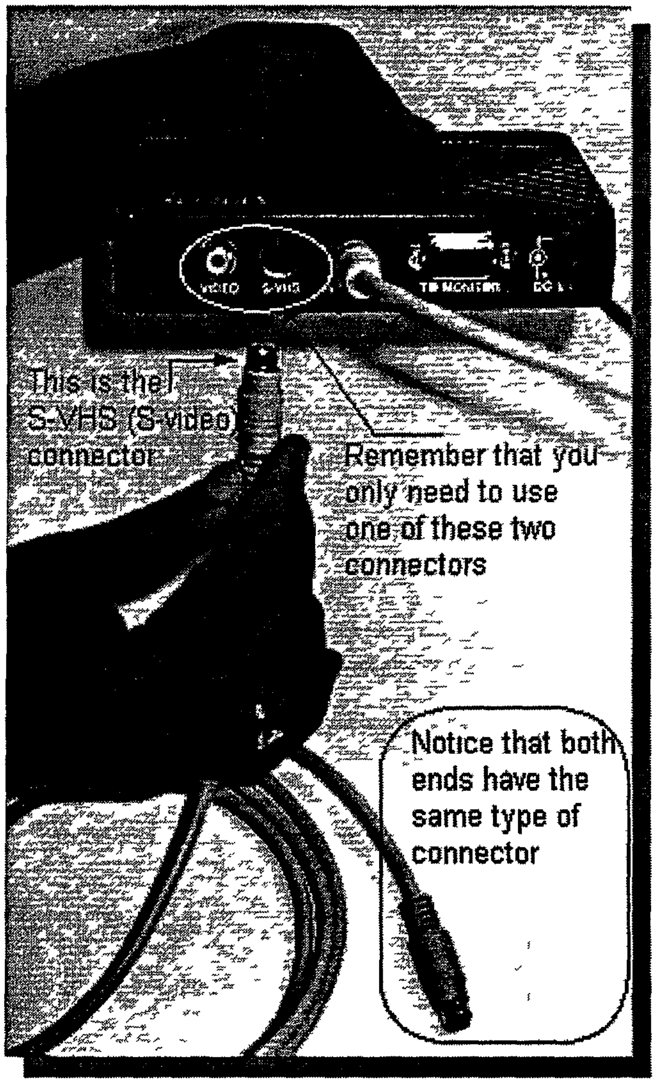
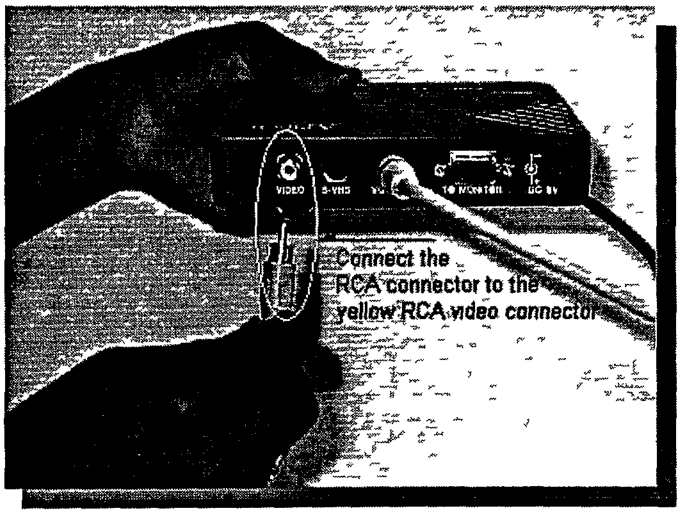


Connect either the S-VHS cable (if your TV has the S-VHS (S-video) connector) to the converter box



Otherwise connect the RCA connector to the converter box If you are using a desktop you can connect the monitor cable to the monitor connector on the back of the converter box

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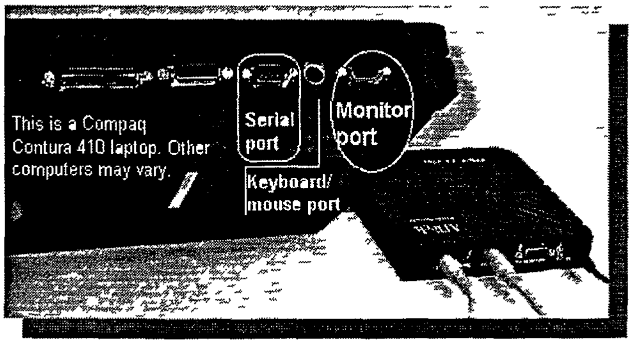
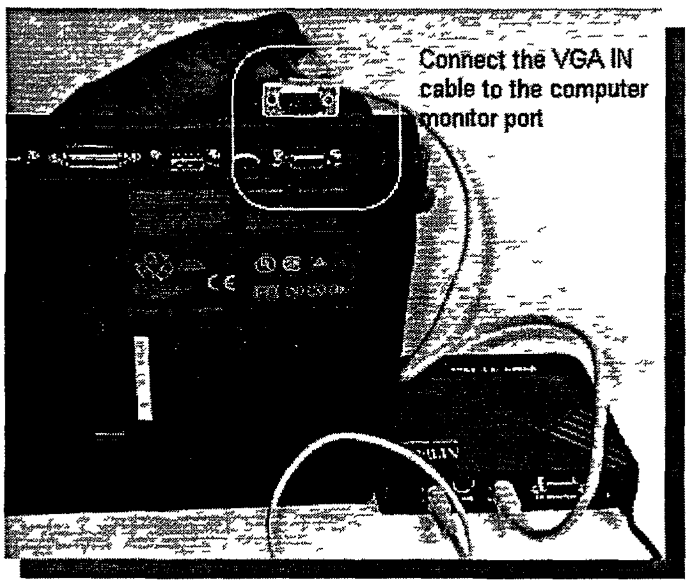
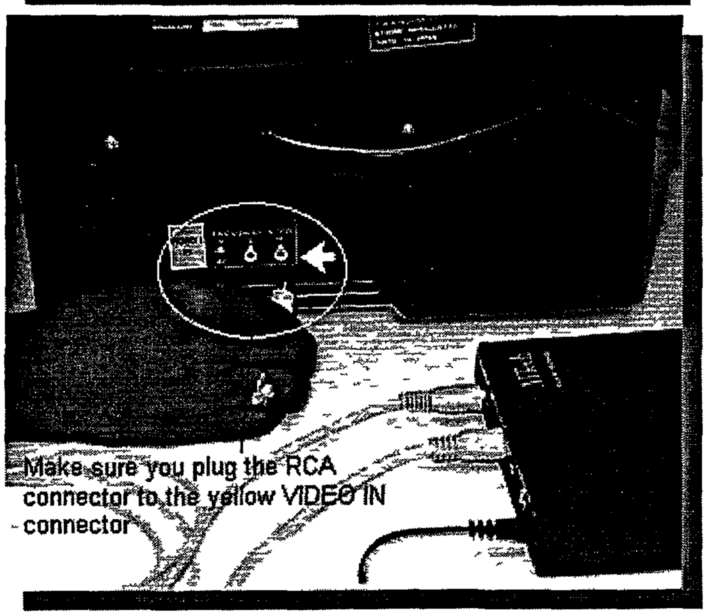


These are the rear connections of a Compaq Contura 410 laptop The VGA IN cable plugs into the computer monitor port (Most laptops have monitor ports Only the inexpensive ones do not)



Connect the appropriate cable connector to the TV

Your TV may have video input connections in the front Most TVs have them in the back Make sure that you plug the RCA connector to the yellow RCA video in connection



If your TV has a S-VHS connection, use the S-VHS cable instead of the RCA Once connected, the converter does not require anything It works by itself

Make sure that you power the converter box last. This may help avoid problems

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What Can Go Wrong And How To Fix It

You do not see any image in your TV screen.

This problem may be caused by the TV itself or the converter Make sure that both the TV and the converter are plugged in The converter has a little green light on a corner It must be lit If it is not, make sure that everything is properly connected **Sometimes the problem may be that the converter box needs to be turned on last To do this you can just unplug the power supply from the converter box, while the rest of the equipment is plugged in, and plug it again immediately If everything else is correctly connected, you should see the computer display on the TV screen**

You do not see any image on your computer screen

Two things may be wrong Laptops have a feature that allow you to show the display on an outside monitor, on the laptop screen or both When you plug a monitor or a VGA converter on a laptop, the laptop screen may go blank Some laptops, like Compaqs have a blue Fn key on the bottom left corner of the keyboard and a blue icon on the F4 key Hold down the Fn key and hit the F4 key As you hit the F4 key the display will switch to the outside screen Hit it again to switch to the monitor screen and again for both

If that does not work, make sure that the computer is plugged and turned on

You see snow on your TV but not what appears on your computer display

The problem may be that the converter is not plugged or that the TV has the wrong input source selected Most TVs have a button that allows you to switch among the different input sources (VCR1, VCR2, antenna, etc) Press it repeatedly until you see the image from your computer on your screen

List Of Technical And Physical Characteristics

PC Interface
External connection via the computer's 15-pin VGA monitor port
Video resolutions
Up to 640X480X256/32K/64K/16 7 million colors NTSC version
Minimum system requirements
IBM PC/AT, 386/486 or 100% compatible 640 KB RAM 5 25" or 3 5" disk drive DOS 3 3 or higher VGA card and monitor

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DISPLAYING POWERPOINT PRESENTATIONS

You will need to have a copy of Microsoft PowerPoint in order to be able to view *and* make changes to the presentations provided to you However, if you are only interested in playing the presentations as they exist, you will only need the PowerPoint Viewer software This software comes with Microsoft PowerPoint and is freely distributable You have been provided with a copy of the install disk for this program

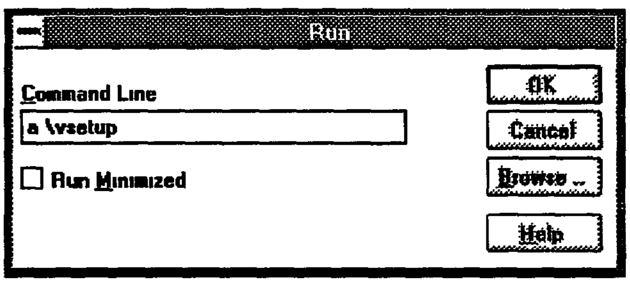
It is *highly recommended* that you provide a copy of the PowerPoint Viewer install disk to your system administrator and ask him or her to install it for you on the destination computer This is because as users of computers at USAID, there are certain functions that we are unable to perform on our PC's at work This may make installation of the software more difficult than it otherwise would be However, in the event that there is no such person available to install the Viewer program or you are instructed to do so yourself, follow the instructions below to install the PowerPoint Viewer on your computer

INSTALLING THE POWERPOINT VIEWER

1 Insert the PowerPoint Viewer disk into a 3 5 inch disk drive in your computer

2 From Program Manager, open the File Menu and pick Run

3 In the box that appears, type "a \vsetup" if the 3 5 inch disk drive is drive a or "b \vsetup" if it is drive b and press the OK button This will start the PowerPoint viewer installation program



Note It is possible that your computer setup has been modified so that you cannot select the "Run" option from the File menu in Program Manager If so, substitute the steps in the section "Installing the Viewer from File Manager" below for steps one through three above

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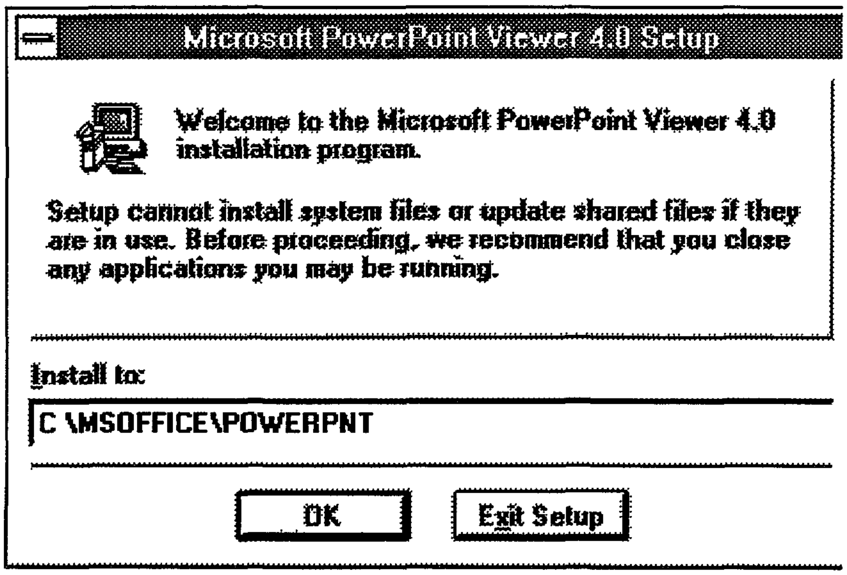
A dialog box will appear, asking you what directory you want to install the viewer into The entry in this box will already say either "C \PPTVIEW" or "C \MSOFFICE\POWERPNT" It will say the latter if you have a directory called C \MSOFFICE on your hard disk

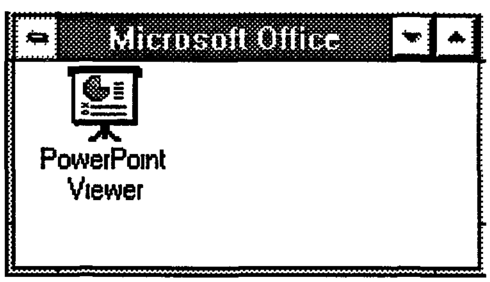


4 Press Enter or click on the OK button with the mouse to accept the directory and continue The installation program will create this directory on your C \ drive

The PowerPoint Viewer disk will copy several files into the C \PPTVIEW directory or the directory you selected Once it has completed, it will tell you that it needs to restart windows in order to finish the installation

5 Press enter or click on the OK and Windows will restart

After Windows restarts, there will be a new program group called "Microsoft Office" containing an icon labeled "PowerPoint Viewer"



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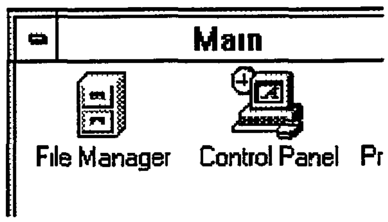
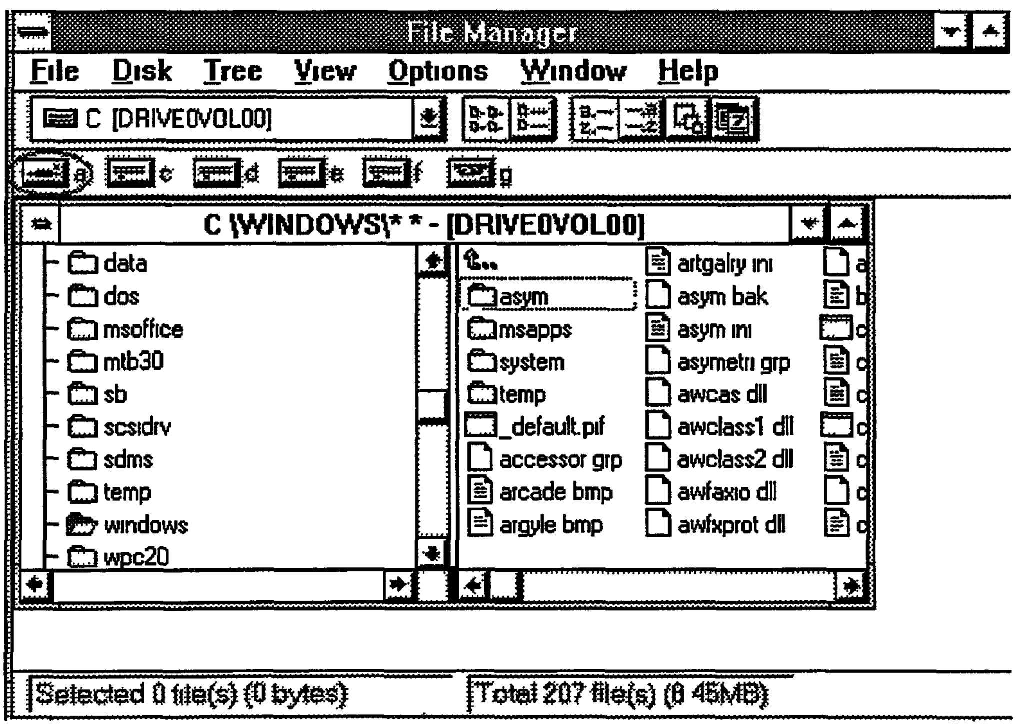
INSTALLING THE VIEWER FROM FILE MANAGER

In the event that the Run option has been disabled in Program Manager's File menu, follow these steps to begin the PowerPoint Viewer setup program

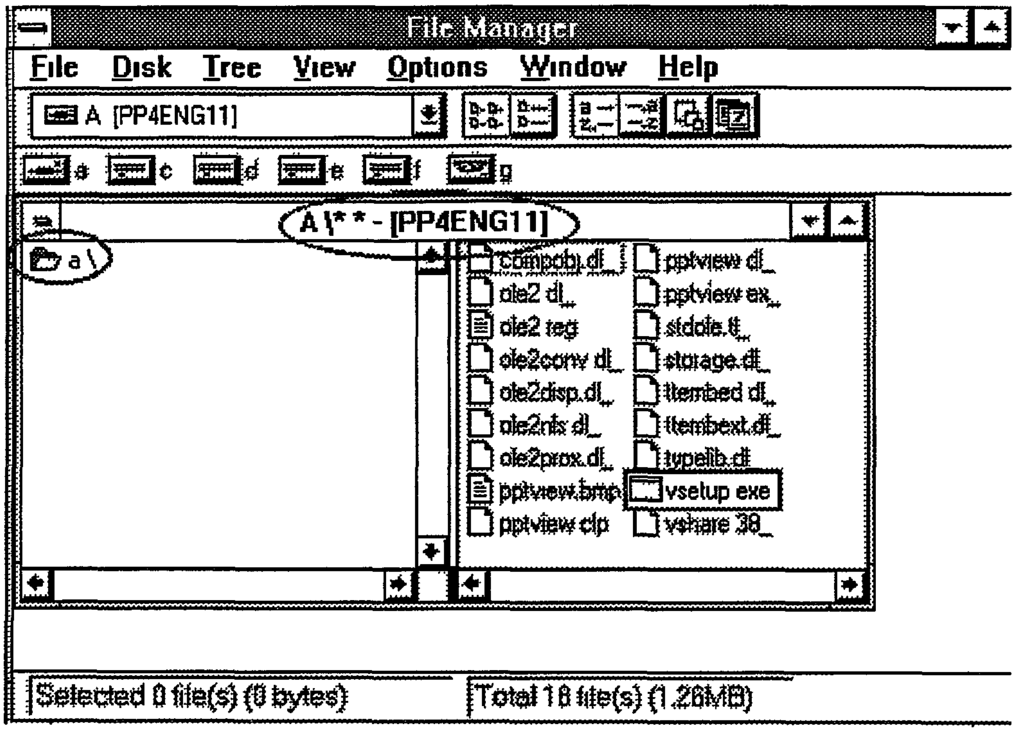
1 In the Program Manager group called "Main" you will find an icon labeled File Manager Double-click it or click on it once and press <Enter>



2 Display a list of the files on the Viewer installation disk by clicking on the button labeled "a" (If the disk is in the B drive, click on the button labeled "b") The "a" button is shown circled in the following illustration



3 The file window will change to display the files and directories on the floppy disk The following illustration shows what you may see once you display the contents of Viewer installation disk One of the files is called VSETUP EXE Double-click on that filename and the setup program will begin



4 Continue on to step 4 above in the *Installing the PowerPoint Viewer* section

USING THE POWERPOINT VIEWER

SELECTING THE PRESENTATION

Once the viewer has been installed on your computer, you may use it to view *any* PowerPoint slide presentations including those that have been provided to you for training To do so, follow these directions

1 Start the PowerPoint viewer program by double-clicking on the PowerPoint Viewer icon (It may be necessary for you to open up the Microsoft Office program group in Program Manager in order to find this icon)

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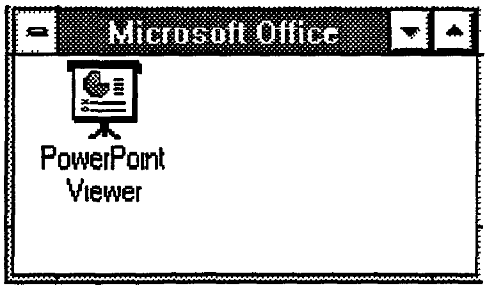
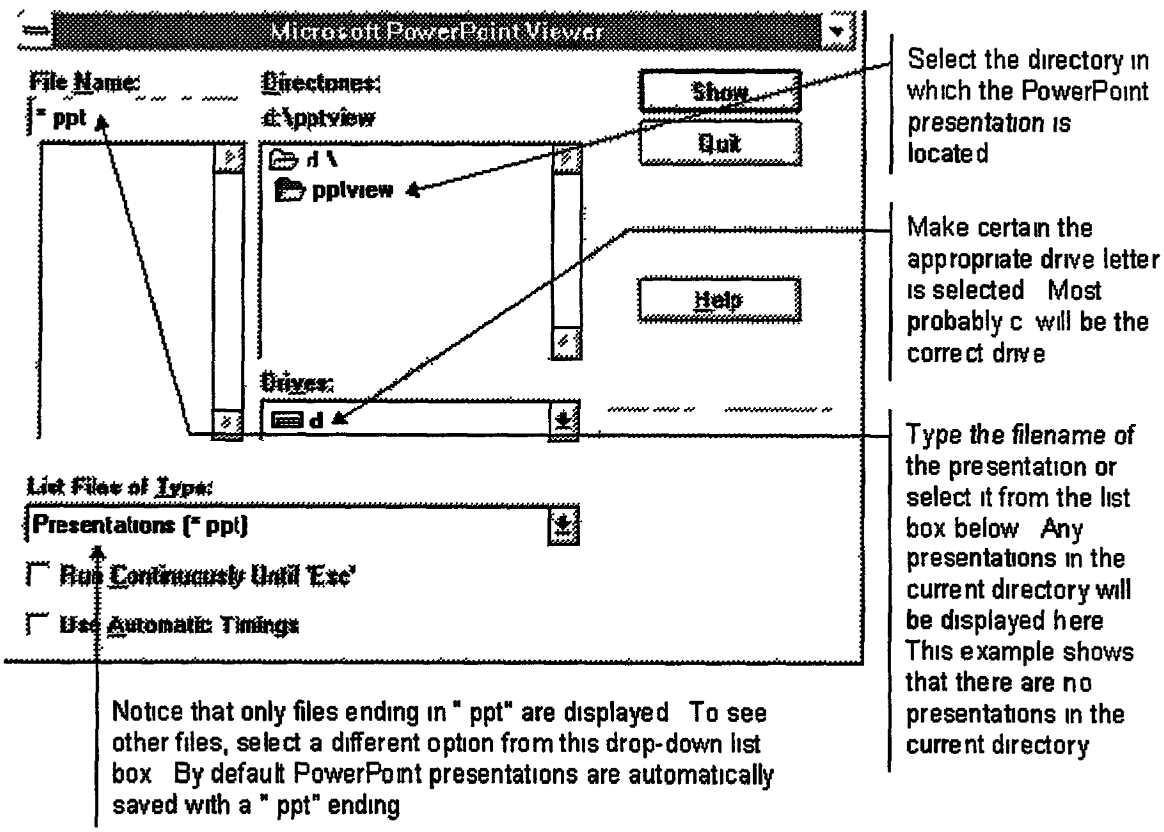


Once you begin the program, the "Microsoft PowerPoint Viewer" dialog box shown below will appear in the center of your screen You may use this dialog box to locate the PowerPoint presentations as you would a "File Open" dialog box in a word processing program such as WordPerfect



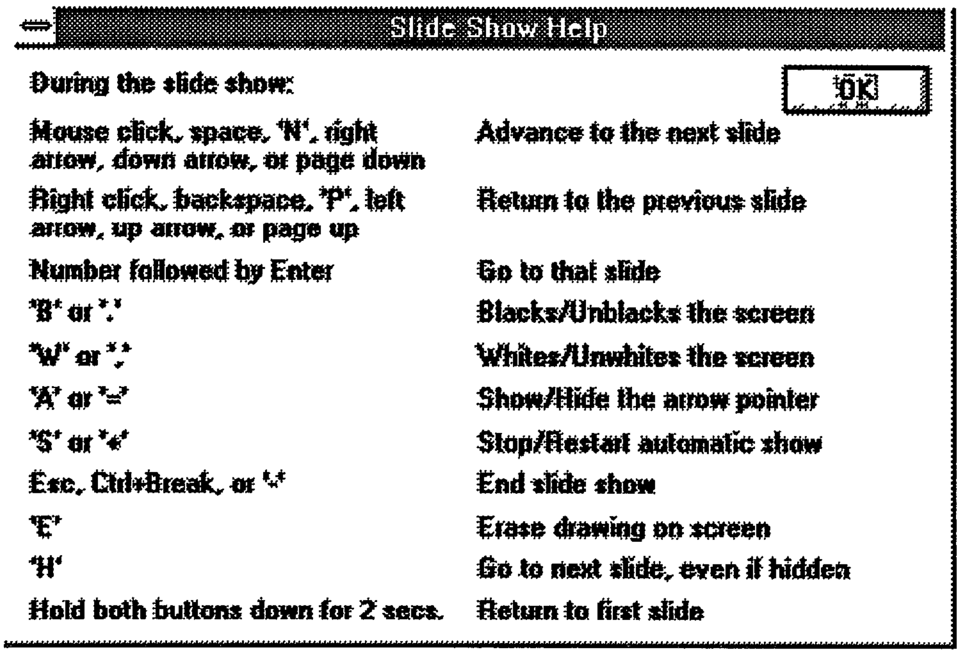
2 Change to the drive and directory in which the PowerPoint presentation files are stored using the "Directories " list box and the "Drives " drop down list box The default drive shown will probably be c and the default directory will be the one that you entered when you installed the software If you did not change the directory specified during installation, that directory will be "\pptview "

3 Once you change to the directory in which the presentations are stored, you will see a list of files in the "File Name" list box Once you select a presentation file by clicking on it, the first slide of that presentation will appear in a miniaturized form in the lower right hand corner of the dialog box

4 If the presentation file highlighted is the correct one, click the "Show" button in the upper right-hand corner of the dialog box (Double-clicking on the filename will also begin the slide-show)

NAVIGATING THROUGH THE PRESENTATION

There are several methods for moving through a presentation when you are viewing it While they are outlined below, it is best to remember that the Viewer software provides you with help in remembering how to get around a presentation That help is made available through the <F1> key At any point while you are using the Viewer software, you can press <F1> and the following Help screen will display



Notice that it provides you with a full range of options for navigating through a presentation The most notable options are those that allow you to move slide-by-slide through the presentation A brief summary follows

	Next Slide	**Previous Slide**
Keyboard Techniques	Spacebar	Backspace
	Page Down	Page Up
	Right Arrow	Left Arrow
	Down Arrow	Up Arrow
Mouse Techniques	Click Left Button	Click Right Button

Once the presentation has completed, when you attempt to move to the next slide, the viewer will instead take you back to the dialog box which you use to start the presentation

Other useful navigation techniques:	
Help	<F1>
Stop the presentation - takes you back to the dialog box	<Esc>
Move to a specific slide (assumes you know the slide number)	Type the number of the slide and press <Enter> (ex Press "5" then press <Enter> The Viewer you take you immediately to slide number 5)

PKZIP: A FILE COMPRESSION PROGRAM

What it is and How to Use It

WHAT ARE COMPRESSED FILES?

File compression is a process that reduces the size of a file Compressed files can not be used as regular files, the process needs to be reversed before they can be read by the programs that created the files the files need to be uncompressed To be able to place more files is a disk and save space, files are compressed using one of the many file compression programs available We are going to be using PKZIP The files you receive are going to be created with PKZIP and may have either the zip or the exe extension These two extensions may indicate that the file is compressed The exe extension may also indicate that it is a program file

> ***What is the extension***
> The last 3 letters of a filename that come after the period For example in the file tutorial zip zip is the extension Many programs give extensions to their files, like Lotus 123 (wk*), while others do not, like WordPerfect for Windows

WHAT IS PKZIP?

PKZIP is a shareware program that allows you to compress and uncompress (expand) files Files compressed using this program are much smaller and therefore easier to transport Files that are too large for a disk, can be reduced to a size that fits in a disk

This program comes in an executable compressed file When you uncompress it (in technical language, unzip it) you will get several files in your hard drive The most important part of this program for you is a file called PKUNZIP EXE This is the program that restores compressed files to their original size You know that you need to use PKUNZIP EXE when you have a file with an ZIP extension

> ***WARNING***
> ***There is a virus that is distributed as a recent version of PKZIP It is called PKZ300B EXE or PKZ300B ZIP If you execute these files, the files in your hard disk will be erased. The latest version of PKZIP is 2 04G***

To restore files to their original size you need a copy of PKUNZIP and a file with a ZIP extension Do not try to restore the ZIP file in the disk in which you receive it, there may not be enough space Place the file in an empty directory (this step is not necessary but it will help you know which files were compressed into the file with the ZIP extension) One ZIP file may contain many files If you unzip the ZIP file into a directory that contains files, you will not know what files were there and which are the new files

You can unzip files from within Windows and from DOS

From Windows

- Place the file with the ZIP extension and the PKUNZIP EXE in an empty directory
- Place the mouse pointer on top the ZIP file, click and hold down the left mouse button
- Drag the mouse to place the mouse pointer on top of the file PKUNZIP EXE and release the left mouse button
- The screen will turn black, you may see some messages on it, and immediately you will see File Manager again
- Press the key F5 (or click on Window, and then on Refresh)
- You will see a new file or files on the screen These are the files that were zipped into the compressed files (It may be just one file or several files)

From DOS

- Place the file with the ZIP extension and PKUNZIP EXE in an empty directory
- Go the appropriate directory, type PKUNZIP and the name of file with the ZIP extension and press ENTER For example, type PKUNZIP TESTFILE ZIP to unzip a file named testfile zip
- You will see some screen activity
- Type DIR (to see the list of files contained in the directory)
- You should see files that were not there before These are the uncompressed files

RESTORING EXE FILES

Compressed files can also have a * EXE These PKZIP files are self-extracting files They do not need PKUNZIP to perform the extraction Remember that files with * ZIP need PKUNZIP to perform the extraction You can expand these files from DOS and Windows The process is similar to the one described above The only difference is that you need to execute the file You do this by

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IN WINDOWS

Double-click the filename in File Manager Remember to place the file in an empty directory before double-clicking on it This is important so that you know what files came in the compressed files

IN DOS

Type the filename without the EXE extension at the command line in DOS and press ENTER After you unzip the files that came compressed in the PKZIP EXE file, you will see the following list of files
Print and read the manual file (manual doc) This file may be around 100 pages long, depending on whether and how you format it It comes in txt format

After you uncompress a file, you can use it If the file is a PowerPoint presentation (it will have a PPT extension) you can open it in the run-time version of PowerPoint and show it in class

whatsnew 204	2430	2/1/93	2 04 16am	a
ombudsmn asp	591	2/1/93	2 04 16am	a
pkunzjr com	2750	2/1/93	2 04 16am	a
addendum doc	19361	2/1/93	2 04 16am	a
license doc	3707	2/1/93	2 04 16am	a
manual doc	202252	2/1/93	2 04 16am	a
order doc	3304	2/1/93	2 04 16am	a
readme doc	741	2/1/93	2 04 16am	a
sharewar doc	573	2/1/93	2 04 16am	a
pk204g exe	202574	6/24/94	11 09 44pm	a
pkunzip exe	29378	2/1/93	2 04 16am	a
pkzip exe	42166	2/1/93	2 04 16am	a
pkzipfix exe	7687	2/1/93	2 04 16am	a
zip2exe exe	27319	2/1/93	2 04 16am	a
authveri frm	2330	2/1/93	2 04 16am	a
v204g new	10704	2/1/93	2 04 16am	a
hints txt	14109	2/1/93	2 04 16am	a

This file contains the manual You may need to format it, because it comes in ASCII [text], before you print it

This is the compressed file

This is the pkunzip file

Any file with a txt or a doc extension contains text information and can be read with Windows Write or Notepad The files with an exe extension are executable files

PRINTING TRANSPARENCIES (SLIDES)

FROM HARD COPIES

To print transparencies from hard copies you need to have access to a copy machine and copy machine transparencies Place the transparencies in the paper tray of the copy machine of feed them manually, place the original on the glass and make the copies the usual way

If your original is small and you want to fill the page, you may want to enlarge the material you want to copy Do it first on paper to make sure that you have an appropriate image, the image is centered, the right size, no extra lines or sports, etc Then make the transparencies from the paper image

FROM SOFTWARE FILES

If you want to print transparencies from software files, lets say PowerPoint, WordPerfect for Windows, etc you need to feed **laser printer transparencies** into the printer paper tray or manually and print the usual way

Some printers allow you to select the type of media you want to use, these are usually color printers If that is the case, select the transparencies or slides as the media Also, some computer applications allow you to select the media If the one you are using does, select the appropriate media

Make sure that the transparencies you use are <u>laser printer transparencies,</u> otherwise they may melt inside the printer

Do not forget to read the instructions on the transparency package Sometimes transparencies need to be fed in a specific direction Also check with your system administrator if you have any questions about your printer

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Thoughts on Developing a Strategy for Conducting The USAID Reengineering Training for PPC Staff

One of the last sessions of our "TOT" class was planning a strategy for conducting the reengineering training for our unit (i e PPC in our case) We were asked to consider the checklist of questions found in section 11 of the "Trainers' Notebook" This note summarizes discussions that Turra Bethune and I had on this subject Thus it's preliminary We'll need to meet with the other PPC trainers to discuss and plan a team strategy for training the PPC staff

<u>How we'll work as a training team</u>

Our preference will be to have the four PPC trainers all work as a team to present the course(s) to PPC staff, rather than split it between CDIE and the rest of PPC We might want to divide the key topics or modules among us, taking those where we have most expertise, interest, etc We might also want to pair up, with two working together on each module (as we did in the practice training sessions)

<u>Getting PPC management's support</u>

Once the PPC training team gets organized and has a preliminary plan for conducting the training, we should all meet with PPC's management to discuss how they might support the effort and participate For example, we'd ask them to agree that they will show their support by --

- participating in the training themselves
- sending a message to all PPC staff asking them to participate in the course and stressing its importance
- making opening remarks to all of the classes on the first day, again stressing the importance of reengineering and of the training, and giving their support/commitment
- making input and agreeing to our specific proposals regarding the course participants, contents, schedule, location and other mechanics

<u>Who gets trained</u>

We expect all PPC direct hire staff -- including management, professional and support staff -- will be required to participate in the classes In our opinion, classes should not be divided either by rank or by offices (What about full time contractors?)

Soliciting participants' preferences

In addition to getting PPC management's preferences and input, we'd want to get some thoughts from PPC staff on what they want out of the course, and preferences on specific issues like contents, timing, location, etc We might do this via Email or some other simple mechanism This should help us in tailoring the course to specific PPC needs and expectations

Training course location, schedule and structure

We suggest an off-site training location, otherwise the temptation to "run back to the office" may be too great We'll try to get one of the Training Office classrooms that will hold 20+ people comfortably

We'll need to confirm with the PPC training team members and PPC management when the training should be completed (October 1?)

Given PPC's staff size, we suggest having 2 or 3 separate classes or courses with about 20 participants each (Larger class size might discourage active participation)

At this point, we probably prefer to have each course last 3-4 consecutive days (or however long it will take, given the modules/ topics we decide to cover) However, another option to consider would be conducting the course on half-days, say --every morning for a week or so Yet another approach would be to do one module at a time (i e hold three classes in a row on the first module, then three on the second module, etc)

Training course agenda and contents

Here's a very preliminary list of possible modules and their sequence, which might be a starting point for discussions with the rest of the PPC training team, with PPC leadership, and PPC staff

1 Opening session

- Welcoming comments by PPC leadership -- show of support to reengineering efforts and the course purpose
- Introductions of the trainers and the participants
- Background overview of the broader U S Federal Government context of reengineering, e g the National Performance Review, the Government Performance and Review Act, etc
- Review of the class schedule and agenda, i e what topics will be covered and when and in what depth What won't be covered

2 Managing Change and Transition

- The importance of helping people cope with the "internal" (psycological, emotional) transitions associated with change, and not just the "external" aspects (e g new roles, new policies and procedures, new systems, new organizational structures, etc)

3 Overview of USAID reengineering efforts

- Maybe a little history -- giving the "big picture" of USAID reengineering efforts, current status and remaining constraints What has and has not been done to-date (Some "frankness" upfront may help reduce potential scepticism and frustration about reengineering and about the course)

- We suggest refining and using a matrix of 4 core values/3 operating systems (developed by one of the participants in our course) -- that highlights "what's new" in operations planning, achieving, and PM&E, and how each system incorporates the core values

4 The four Core Values

- managing for results
- customer focus
- participation/teamwork
- empowerment/accountability

5 The new Operating Systems

- planning
- achieving
- performance monitoring & evaluation

6 Other topics (perhaps optional?)

- automated new management systems (NMS)
- automated directives
- other topics related to reengineering (not covered above, or not in detail), e g the learning organization, continuous quality improvement, leadership, experience of the CELs, rapid appraisal techniques, benchmarking techniques, etc

<u>Training resources -- materials, visuals, equipment, and human resources</u>

A basic resource we'll use is the two training notebooks from the TOT course, although we'll want to revise and add to them
We will also draw on training materials from various other training courses and from the reengineering literature -- e g on teambuilding, customer focus, GPRA, NPR, etc

We plan to use a combination of flipcharts, overheads, possibly the power-point software, handouts (copies of teaching materials and relevant articles), relevant quotes and cartoons -- to keep the presentations lively and varied We'll try to appeal to the different learning styles of individuals, and those that prefer to learn via "listening", "seeing", "participating" etc

We'll use some of the "exercises" from the TOT and/or design our own, to get participants actively involved in the modules

We plan to ask CDIE management for the support of one of the CDIE Administrative Team to assist the PPC training team with things like preparing overheads, charts, diagrams, using the computer power-point equipment, finalizing and reproducing the training materials, etc

We'll also make use of Training Office support -- equipment, resources and classrooms

Since we are in AID/W, we have the advantage and possibility of drawing on "gurus" in the Agency who have worked on various aspects of the reengineering effort (e g those working on the automated New Management Systems, those who worked on the BAA report and the automated directives/ essential policies and proceedures, and those who are up-to-date on issues such as the Congress's, GC's, and IG's responses to the Agency's reengineering plans) One issue is to what extent the PPC training team should be "trainers" versus "facilitators" (who would provide basic reengineering concepts/ information and then rely on experts working on various aspects of reengineering for to make more detailed presentations and to help answer questions)

Follow-up after the formal training course

Finally, we'd like to discuss how the PPC training team might continue their role as change agents after the formal courses are over For example, we might

- recommend and/or organize a PPC workshop or retreat following on the training for the purpose of developing an action plan for PPC's implementation of reengineering

- continue to hold special sessions or workshops on various topics relating to implementing reengineering, especially concentrating on some of the practical "how to"s that couldn't be covered in the basic course

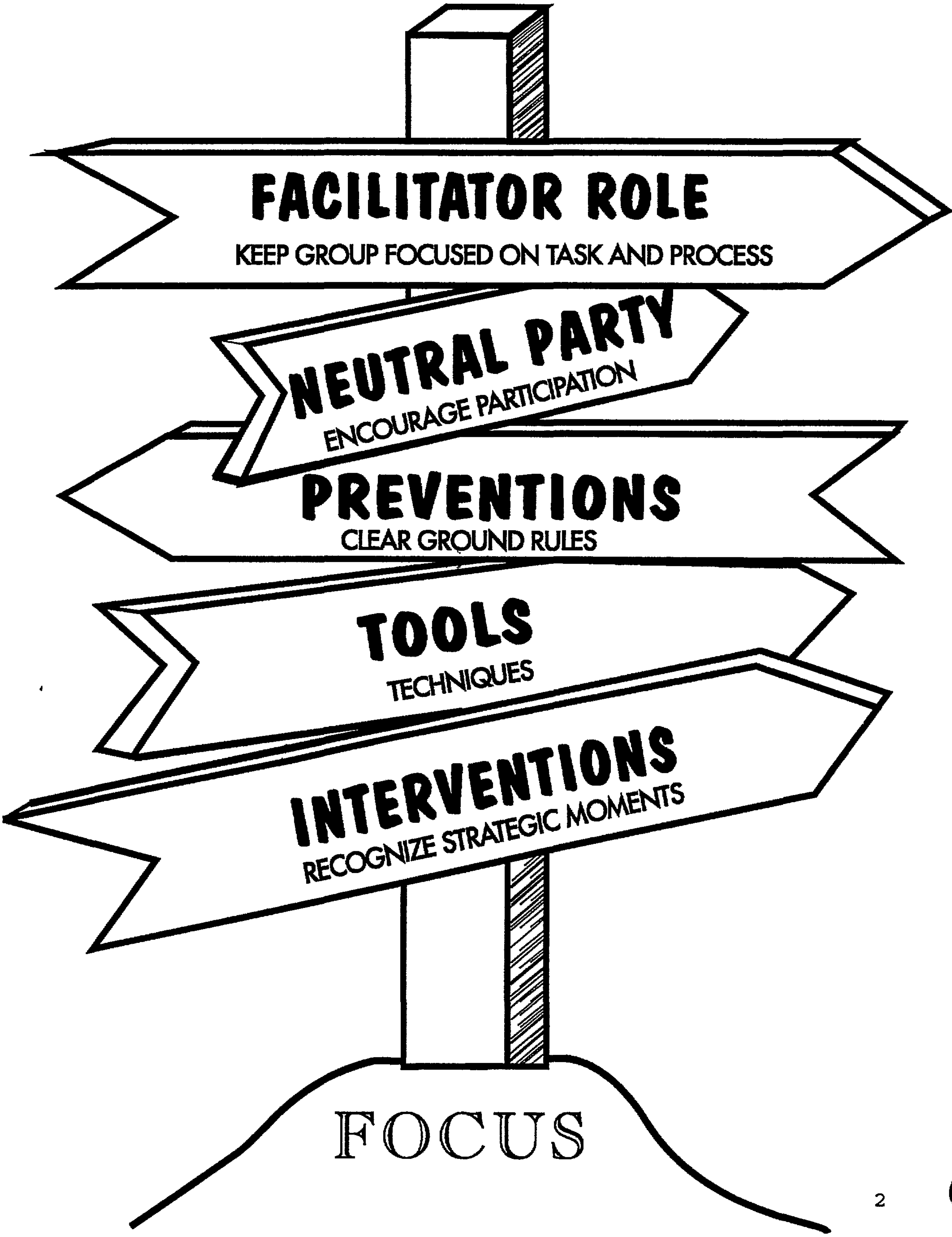
Some of the TOT participants felt the TOT course was "superficial" and not sufficiently detailed, trying to cover too much We may run into the same problems One way to deal with this would be to continue with optional, supplemental workshops/sessions after the basic course that go into greater depth on topics of interest, or to periodically send reading materials to training participants with more concrete "how to do it" guidance

To Suzette A Rosier@CDIE FO@AIDW
Cc Scott E Smith@CDIE FO@AIDW
Annette Binnendijk@CDIE FO@AIDW
Bcc
From Turra Bethune@CDIE POA@AIDW
Subject
Date Thursday, August 17, 1995 14 12 08 EDT
Attach
Certify N
Forwarded by

Once again I find myself thanking you for your help As you know Annette and I were madly rushing to put together our module for presentation the next day in our training course We asked you at the end of the day, around 4 P M to do two graphics for us on the computer before you went home Without much explanation or any hesitation you just went and did it You left a little later that day in order to finish it and, as usual, it was excellently done The quality of the work was superb

Again, thank you very much for your timely help It made a real difference in our presentation and contributed to our being told that we did a good job Thanks for making us look good!

Supplementary References for Training of Trainers


FACILITATOR ROLE
KEEP GROUP FOCUSED ON TASK AND PROCESS
NEUTRAL PARTY
ENCOURAGE PARTICIPATION
PREVENTIONS
CLEAR GROUND RULES
TOOLS
TECHNIQUES
INTERVENTIONS
RECOGNIZE STRATEGIC MOMENTS
FOCUS

THE RESPONSIBILITIES FOR A MEETING ARE SHARED.

The Idea

Role separation is an important aspect to consider when a team leader and a facilitator work together Underlying this separation is the belief that leadership is a series of functions that can and should be performed by a number of people, and, that the process and logistical functions are best handled by a neutral party A neutral person can focus complete attention on how a team leader and group are going to accomplish a task unbiased by an investment in any specific answer, direction or decision, other than the one agreed upon by the team leader and the group

It is not enough, however, to be simply neutral The role of the facilitator is one of informed servant, being able to chart the course and stand watch for a group as it winds its way through sometimes foggy and treacherous water to its goals The greater your repertoire of preventions, interventions and tools, the more "informed" and helpful your facilitation can be

However, no facilitator, no matter how skilled, can facilitate a group that does not want to be facilitated Describing the role to a group and getting their agreement to use the role is a key step in effectively being able to facilitate

Key Points

The facilitator

- Is a neutral servant of the group
- Does not evaluate or contribute content ideas
- Helps the group focus all its energies on the task at hand
- Encourages everyone to participate
- Makes sure that members have a chance to participate
- Protects all members of the group from attack
- Suggests alternate methods and procedures
- Coordinates pre and post meeting logistics
- Explains role to group if they are new to using a facilitator
- Plans meeting beforehand with team leader
- Helps keep group within time constraints
- Paraphrases participants contributions as needed
- Repeats contributions to insure accurate recording when necessary
- Creates the group memory or directs the recorder in doing so
- Dresses in neutral manner
- Exhibits open and neutral body language
- Energizes or slows a group down as needed
- Helps a group summarize their accomplishments and evaluate the meeting
- Asks open ended process questions
- Recognizes strategic moments and helps a group make a clear decision about immediate next steps

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STRATEGIC MOMENTS

where do you want to go from here?

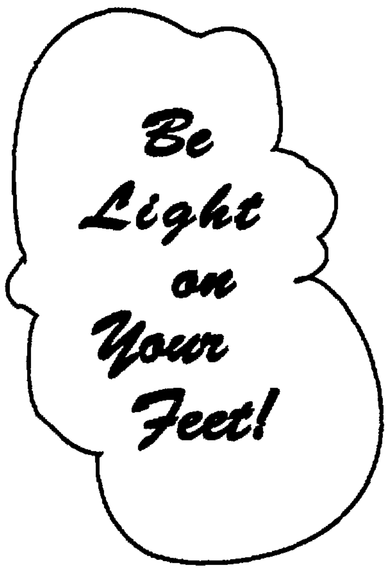
The Idea

Strategic moments are crossroads or those points in a meeting when a team is faced with a range of possible ways of proceeding These moments occur continuously throughout a meeting For example, "Do we need to expand our list of possible options? Do we want to defer this decision until later? Would it help our thinking to compare these possible solutions with one another?"

From a facilitator's point of view these strategic moments mean selecting a new strategy An awareness of a repertoire of possible strategies is of great value Once a strategy is determined, the facilitator's concern is to "operationalize" and implement the chosen strategy For example, the strategy of "listing" can be accomplished by recording ideas on large sheets in front of a group, or by each participant jotting down ideas on notebook paper, or, by a single person typing the list of ideas into a word processor

A facilitator needs to be able to help a group select the appropriate strategy and tool, and to operationalize it effectively For example, if the group agrees it has listed all the possible solutions and now wants to reduce or narrow the list, you might suggest the tool of "Straw Vote" If they agree to try this as a next step, you need to be able to operationalize this tool clearly and smoothly Remember, group problem solving is difficult and only works if you, as the gentle tamer of the multi-headed animal, can get everyone to agree to work on the same problem, in the same phase, using the same problem solving tool at the same time!

How do you want to get there?



THE IDEA

At the heart of the role of the facilitator are a set of attitudes and skills that are the foundation for all the others These attitudes include neutrality, win/win, flexibility and non-defensiveness The skills include listening, paraphrasing, reflecting feelings, being able to observe and providing feedback Many of the preventions and interventions which follow are a combination of these attitudes and skills

SOME HELPFUL HINTS ABOUT FACILITATIVE BEHAVIOR

"Softness triumphs over hardness, feebleness over strength What is more malleable is always superior over that which is unmovable This is the principle of controlling things by going along with them, of mastery through adaptation "

Lao-Tzu

FACILITATIVE ATTITUDES

Neutrality

Suspending or deferring your own thoughts, opinions and feelings about the task before the group is the basis for your credibility and effectiveness It is your overview of where they are and where they want to go, separate from your opinion about either of them, that will enable you to assist them in accomplishing their tasks

Win/Win Attitude

If you do not believe and do not demonstrate a belief that agreements are possible or desirable, they probably won't be Your responsibility is to advocate for decisions that everyone is willing to support

Flexibility

It is important for you and the team leader to plan the agenda for the meeting based on your knowledge and experience enriched by the data you have about the participants' needs and to identify strategies and tools beforehand It is equally important that you be able to let go of the preplanned roadmap and move with the group

Being Non-Defensive

The mediating influence of a facilitator depends on neutrality and a non-defensive attitude When a facilitator becomes defensive, he or she can easily become the focus for the session At times you will be called upon to put the group's needs before your own and not allow your feelings to add another dynamic to a complex situation

INTERVENTIONS

General Approach	Specific Things You Can Say or Do
Boomerang	Don't get backed into answering questions the group should be answering for themselves Once you have presented information and had a question and answer session you will usually have the group begin to use the information through some activity It is at this point that you want the group to answer its own questions, so Boomerang the question back to the group *Group member* "Facilitator, which problem should we deal with first?" *Facilitator* "That's up to the group Which do you think we should do first?" *Group member, addressing the facilitator* "What was the infusion rate for last year?" *Facilitator* "Who can answer that question?" *Group member* "I don't like the tack we're taking here " *Facilitator* "What do you think we should do?" (See Don't be defensive)
Maintain/regain focus	"Wait a second Let's keep a common focus here " "Just a moment, one person at a time Joe, you were first and then Don " "I can't facilitate if we have two conversations going at once Please try to stay focused " "Excuse me, Mary Are you addressing the issue of ?" "Let's work on one thing at a time "
Play dumb	When the group has gotten off track during a task or the group has broken down in some way, playing dumb is a way of getting the group to focus on its own process by having to explain it to you It's a form of the boomerang and is easy to do when you are really confused "Can someone tell me what is going on?" "I'm confused, what are we doing now?" "Where are we?" "I'm lost I thought we were "

2,79

Say what's going on

Sometimes, simply identifying and describing a destructive behavior to the group is enough to change that behavior Be sure to "check for agreement" after your process observation

"You are not letting John finish his presentation "

"I think you're trying to force a decision before you're ready "

"It seems to me that "

"My sense is "

Check for agreement

Almost any time you make a statement or propose a process, give the group an opportunity to respond Don't assume they are with you

"Do you agree?"

"Alright?"

"O K ?"

A powerful way of checking is to look for the negative Make silence a sign of confirmation Rather than saying, "Do you all agree?", ask

"Are there any objections?"

"If there are no objections (pause) we'll move on "

"Is there anyone who can't live with that decision?"

Avoid process battles

Don't let the group become locked into arguments about which is the "right" way to proceed Point out that you can try a number of things, deal with more than one issue The issue is which one to try first (See Preventions—Educate the group)

"We can try both approaches Which one do you want to try first?"

"Can we agree to cover both issues in the remaining time? O K , which do you want to start with?"

Enforce process agreements

Once the group has agreed to a procedure, your credibility and neutrality will be at stake if you don't enforce their agreement

"Wait a second, you agreed to brainstorm Don't evaluate ideas "

"Harry, let Sandra finish "

"Sorry, Beth, I'm afraid your time is up

Encourage

"Could you say more about that?"

"Why don't you try "

"Keep going, I think this is useful "

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Accept/legitimize/deal with/ defer	This is a general method of intervening that works well for dealing with difficult people and emotional outbreaks of all kinds "You're not convinced we're getting anywhere! That's O K , maybe you're right " "Are you willing to hang on for 10 more minutes and see what happens?"
Don't be defensive	If you are challenged, don't argue or become defensive Accept the criticism, thank the individual for the comment, and boomerang the issue back to the individual or to the group "I cut you off? You weren't finished? I'm sorry Please continue " "You think I'm pushing too hard? (lots of nods) Thank you for telling me How should we proceed from here?"
Use your body language	Many of these intervention and preventions can be reinforced, and sometimes even made, by the movement of your body or hands For example, regaining focus by standing up and moving into the middle of the group Enforcing a process agreement by holding up your hand to keep someone from interrupting Encouraging someone by gesturing with your hands
Use the group memory	The group memory (all the flip chart paper) can also be used to reinforce many of the interventions and prevention For example Regaining focus can be facilitated by walking up to the flip chart and pointing at the agenda item the group should be dealing with Getting agreement on content can be greatly supported by writing down on the flip chart or circling the subject to be discussed
Don't talk too much	The better you become at facilitating, the fewer words you will have to use When you have done a good job, the group may leave thinking that the meeting went so well the group can work on its own from now on Use your hands, eye contact, and partial sentences to communicate economically "I'm sorry You were saying " "Could you say that again " "The point you were making was "

PREVENTIONS

General Approach	Specific Things You Can Say or Do
Stay neutral/stay out of the content	Don't get sucked into contributing your own ideas or opinions after you have presented material (see Boomerang) Remind the group of your role "As your facilitator, I'm supposed to be neutral This is your project What do you want to do?" "I won't be able to help you work through this issue if I start taking sides " "I'll share my personal opinion with you after the session " "Actually, I don't have a personal opinion about the issue yet "
Be positive (win/win attitude)	If you really believe a win/win solution can be found, you will increase the chances of it happening "I know this issue is quite emotionally charged for some of you, but if we take our time and work our way through the problem I'm sure we can find a solution you can all live with "
Suggest a process	"Why don't we try brainstorming?" "I would suggest looking at criteria before trying to evaluate options " "How about working backwards from the deadline?"
Educate the group (process commercials)	By offering short comments about why you are doing what your are doing and about the nature of the problem solving process, you can help the group work through difficult situations and become better at facilitating itself "There's no one right way to solve a problem Which way do you want to try first?" "You can't solve two problems at once " "If we don't agree on the problem, we'll never agree on a solution "

Get permission to enforce the process agreements

"If you want to get through all these reports by 11 00, I'm going to have to hold you to your five minute time limit Is that O K ? Any objections?"
"Is it alright with you if I push a little harder to get finished on time?"
You've agreed not to bring up old history Do I have your permission to cut you off if you do?"

Get the group to take responsibility for its actions

"This is your project, not mine What do you want to do?"
"It's up to you to decide if you want to change the agenda "
"I can't make you reach an agreement You have to really want to find a win/win solution "

Build an agenda

By working with your manager/team leader to plan or re-plan your agenda for the meeting, you can anticipate and prevent many potential problems from occurring

Get ownership of the daily agenda

Even though an agenda has been prepared in advance, don't assume that everyone in the group has agreed to it Check for additions, revisions and reordering of agenda items
"O K , that's the agenda for today Any additions or revisions?"
Once people have had a chance to revise or approve the agenda, then it becomes their agenda, not yours, and they are less likely to feel they have been manipulated

Set up the room

You can prevent a number of potential facilitation problems from occurring, simply by how you arrange the room in advance
For example, if you want people to sit in the front rows, put fewer chairs than you think you will need People always tend to sit as far back as they can

The Work of Facilitating

25% Prevention

- ✳ Building agendas
- ✳ Building detailed process roadmaps
- ✳ Identifying issues in the larger system that affect the meeting
- ✳ Identifying strategies to handle issues and alligators
- ✳ Thinking strategically

25 % Process Awareness

- ✳ Knowing the difference between process and content
- ✳ Recognizing strategic moments
- ✳ Knowing what phase of problem solving a group is in
- ✳ Being able to see and describe process
- ✳ Recognizing conflict and managing it effectively

25% Theory and Technique

- ✳ Understanding the conceptual road maps of facilitating
- ✳ Having a repertoire of process suggestions and tools available
- ✳ Knowing how to introduce the process suggestions and tools
- ✳ Understanding the roles, attitudes, tools, behaviors and the theory underlying them

25% Facilitating (Actually doing it!)

- ✳ Making process observations
- ✳ Making process suggestions
- ✳ Introducing tools
- ✳ Implementing interventions
- ✳ Getting agreements
- ✳ Facilitating non-verbally
- ✳ Remaining neutral

FACILITATION TOOLS

> *"When the only tool you have is a hammer, every problem begins to look like a nail."*
>
> *Abraham Maslow*

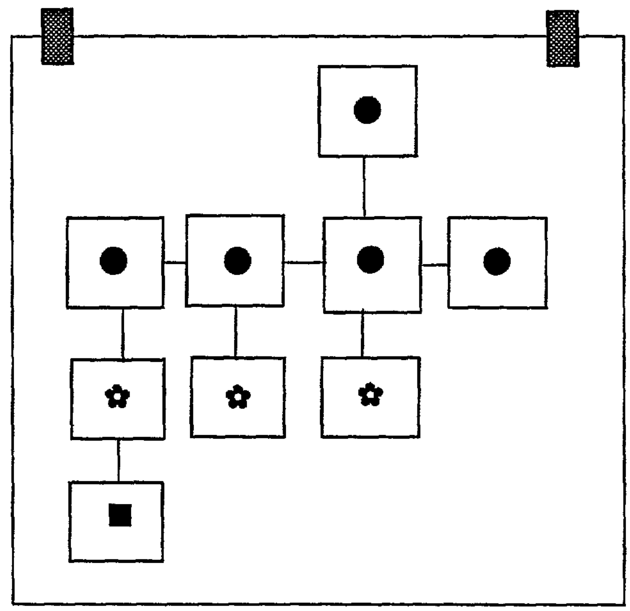
The Idea

There are a variety of "tools" the facilitator can use to help a group in the problem solving, generating solutions, and decision making processes Any tool is only as good as how it is presented and implemented Using tools effectively takes practice and time You will want to adapt these tools to your own style and develop your own Remember, there is always more than one way to approach a task — what is important here is that you have a variety of tools in your tool kit so that you can quickly decide on the most appropriate one to use in the moment The one you think most appropriate may not work with the group and so you need to have at least two back-ups that will accomplish the same goal

On the following pages some tried and true facilitator tools are briefly described The examples used for each tool are presented in the context of a hypothetical meeting which could occur in any Office and involve the group's dissatisfaction with the copying situation

WHOSE PROBLEM?

When groups seem stuck in deciding what the problem is, or what the underlying (root) causes of a problem are, they may need to step back a bit and decide who has the problem Creating diagrams on the flip chart that represent the discussion of the group will help them to see this more clearly



Getting a group to agree on who has the problem will free them from re-inventing the wheel and allow them to move to the next step in the process

WHAT'S THE REAL PROBLEM?

When a group has difficulty deciding on how to write a problem statement it is often a signal that they are looking for a scapegoat or that they have a "right answer" In this case it is helpful to ask them to look at all of the various statements they have generated so far and based on these come up with a different statement that describes what the real problem is Groups often confuse problems with solutions, e g , "The problem is that we need a new copy machine," or "The problem is that the secretaries need to be on time every day," as opposed to "The problem is that our copies are of poor quality," or "We don't have secretarial coverage at critical times "

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BASIC QUESTIONS

Often going "back to the basics" is a helpful tool to get a group to focus more clearly on the nature of the problem On a flip chart write the words WHO – WHAT – WHERE – WHEN – WHY leaving space to record group members responses

WHO	Personnel Department/Industrial Engineering/Labor Relations Department/Managers/Supervisors/Personnel Reps/Shop Stewards/Secretaries
WHAT	Make copies of reports – correspondence and memorandums
WHERE	Duplication Services Department
WHEN	Daily – before and after normal working hours
WHY	Number of people on distribution list

This seemingly simple tool focuses the group's attention on the nitty gritty of the problem situation and allows them to describe it more accurately Once this is done, the group can usually see the situation more clearly and isolate the problem, or areas of agreement/disagreement on the nature of the problem

GENERALIZE/ EXEMPLIFY

This tool is useful when a group knows in general what the problem is — and there is agreement as to where the problem is located or who has the problem or when or why it occurs Take the one basic question on which there is the most agreement and then ask the group to make a general statement and then give a specific example(s) of the general statement This will usually lead to agreement on the problem

GENERAL	Duplication services office busy all the time The time, including before and after office hours
SPECIFIC	Equipment in use 6 A M – 7 P M , Monday – Saturday
GENERAL	Duplication Services being used by other departments
SPECIFIC	Industrial Engineering used the equipment for a 300 page report last week

IS — IS NOT

This tool lets groups analyze what the problem is and is not This is most useful when there is little initial agreement on the problem situation

IS	*IS NOT*
✔ # of reports required	✔ Personal use of duplication services
✔ Number of copies needed	✔ Equipment
✔ Volume of work w/in Personnel Office	✔ Staff that runs equipment
✔ Proximity of machines to other departments	

BREAK IT DOWN

When there are many divergent opinions on the nature of the problem, it is a good idea to divide the group into sub-groups, e g , manager/staff, administrator/secretary, pro/con a specific idea and then ask each sub-group to record on flip chart paper How To statements about the problem from their perspective When the sub-groups share their perceptions there is usually some agreement between the lists enabling the group to arrive at a problem statement they can all live with

STAKEHOLDER'S CONCERNS

MANAGER	STAFF
❶ How to reduce duplicating costs	❶ How to decrease the # of reports required
❷ How to establish clear and consistent policies for use of dup services	❷ How to increase efficiency of dup services
❸ How to minimize personal use of duplicating machines	❸ How to share duplicating services fairly among all staff

FORCE FIELD ANALYSIS

This technique is most helpful when a group has identified and agreed on a problem statement and has developed a specific goal Then the facilitator asks the group to think about the sustaining forces (forces in the situation, people or organization that contribute to sustaining goal attainment) and the restraining forces (forces in the situation, people or organization that contribute to keeping the group from reaching its goal) This analysis is useful since it helps the group identify those aspects of the problem on which they have the authority and power to act and those for which they will need to obtain additional resources It is NOT a speedy tool You will need to be certain that the group has time available for an in-depth analysis and that the problem is worthy of the time spent

FORCE FIELD ANALYSIS

GOAL Reduce the number of people in other departments using duplicaton services

STATUS QUO

SUSTAINING FORCES	**RESTRAINING FORCES**
★ Efficiency of staff in dup services	★ # of people on distribution lists
★ Machine is working	★ Growth of company
★ Budget Concerns	★ Growing # of departments near Personnel Dept without dup services
RESOURCES WE HAVE	**RESOURCES WE NEED**

AGREED UPON PROBLEM STATEMENTS

How to reduce the number of people on the distribution lists

How to reduce # of other departments using duplication services

BEST/WORST/ MOST PROBABLE This is useful when a group is trying to decide on which possible solution is the one they will select for implementation or what is the most likely outcome they can expect

BEST	WORST	MOST PROBABLE
reduced Xerox costs	no more personal use	somewhat reduced Xerox costs
have consistent clear standards re' duplication services	tight monitoring system	reduction of duplication services for personal use
have new, more effective, efficient duplicating equipment	slower duplicating services	clearer policies concerning use etc

ASK AS A QUESTION This tool will help a group develop a sound problem statement and help avoid the solution-too-soon syndrome

HOW TO

★ HOW TO REDUCE THE COSTS OF DUPLICATING SERVICES

★ HOW TO REDUCE USE OF DUPLICATIONS SERVICES FOR PERSONAL NEEDS

★ HOW TO REDUCE NUMBER OF POOR QUALITY COPIES

- too light–can't read
- page dark and smudged
- paper wrinkled

LASSO

WHAT I LIKE ABOUT

When the group has listed 2 or 3 possible solutions and there is no reason why one is better than the others, then asking each member to state what they like about one of the solutions and recording this information on the flip chart is helpful

ASK THE EXPERT

When the group is in doubt about the feasibility or practicality of a specific solution to their identified problem, it is useful to ask the expert before the group reaches a final decision This may be a member of the group or someone outside the group who is known to have expertise in the area

WHAT OTHERS HAVE DONE

When the group is evenly divided about the solutions they have generated, or unsure if their favored solution will work, it is a good idea to suggest that they find out what others have done in similar circumstances before they decide

RANK ORDER

Asking the group to individually rank order the possible solutions and then collecting their individual responses on the flip chart helps group members to see which solutions have the most support in the group

BRAINSTORMING

Although introverts have been known to think that brainstorming is extraverts strategy to drive them crazy, when generating ideas about root causes, problems, solutions, strategies etc , having the group brainstorm ideas is practically always a helpful tool The process, when it works, enables individuals and groups to momentarily abandon their conventional, calculated, logical, sequential etc , thought processes and free-up or unfreeze in a manner in which new and creative ideas can be brought out into the open for possible use The success or failure of this tool often rests upon the facilitator Speed and quantity in producing ideas are fostered, the facilitator endeavors to create an atmosphere of excitement in a game spirit and encourages everyone to come up with bigger and better ideas, makes certain that the extraverts who love to think out loud don't overpower the introverts, who think first and talk second! The principles and procedures for brainstorming can be found on page 2–20

Use "straw vote" tool to help the group decide which solutions to spend more time considering

PROBLEM: How to reduce # of people on distribution list

BRAINSTORM FOR POTENTIAL SOLUTIONS

A Use routing slips ③

B Use routing slips for supervisory list and below ⑤

$\boxed{\text{C Survey everyone on distribution list to see if they need to reamain on list}}$ ⑦

D Post copies of reports on central bulletin boards ③

E Make copies for top level managers only

$\boxed{\text{F Review list of regularly produced documents to see if they all have to be duplicated for everyone on duplication list}}$ ⑧

G Review reports required Check and see if any can be eliminated or streamlined ⑤

CUT UP AND MOVE AROUND

When a group has generated a lot of information and they find that they need to reorganize it in order to make sense of it, having them cut up the flip charts and rearrange the information in new order is helpful It is also advantageous to take advantage of modern technology and write the key ideas on post-its which can then be moved as often as necessary to get the desired results

CUT UP AND MOVE AROUND

or use post-its!

Before Session	During Session	After Session
Set up Group Memory	Introduce role	First edit of group memory
Room set up	Capture data Key words	Check flip chart paper for pg #'s titles
Get supplies Help TL organize data	Keep supplies available	

CHECKERBOARDS Another tool for helping groups organize their ideas is the checkerboard This tool can help in both the problem solving and decision making stages of the group's work In the decision making stage it is a good idea to list criteria on the checkerboard

CHECKERBOARD

AUDIENCE → / DOCUMENT ↓	**Vice Presidents**	**Department Managers**	**Supervisors**	**Personnel Reps**
Annual Reports	Duplicate	Duplicate	Route by Department	Route by Department
Quarterly Reports	Duplicate	Duplicate	Duplicate	Bulletin Board
Weekly Personnel Updates	Duplicate	Duplicate	Duplicate	Bulletin Board
Personnel Actions	Duplicate	Routing Slip	Routing Slip	Duplication for Appropriate Rep

SOLUTION SURVEY EVERYONE ON DISTRIBUTION LIST TO SEE IF NEED TO REMAIN ON LIST

ADVANTAGES/ DISADVANTAGES When the group is trying to decide between two or more attractive solutions, it is helpful to ask them to list the advantages and disadvantages of each This usually leads to more clarity and a better decision

★ ADVANTAGES	★ DISADVANTAGES
see whether we are doing unnecessary duplicating	time consuming to check with everyone
opportunity to find our how useful our information is	everyone on list should have information provided whether interested or not

BOTH/AND

It is often important to help a group see that several solutions are acceptable Rather than having to decide on only one idea it is often possible to include more than one — to look for a win/win solution that includes both/and

STRAW VOTE

This tool is simple to use — the facilitator asks for a straw vote about whatever (content or process)is stalling the group and then suggests an action to unfreeze the group based on the straw vote

NEGATIVE VOTING

Instead of asking who is in favor of the topic it is usually better to ask who is **not in favor** or who cannot live with the decision This tends to save both time and tempers

BACK OFF

When a group appears to be at an impasse or there is strong disagreement about some topic, it is helpful to suggest that the group back off this topic for a while and return to it at a future time Record it on your issues flip chart and before the end of the meeting, have the group set a time to continue the discussion

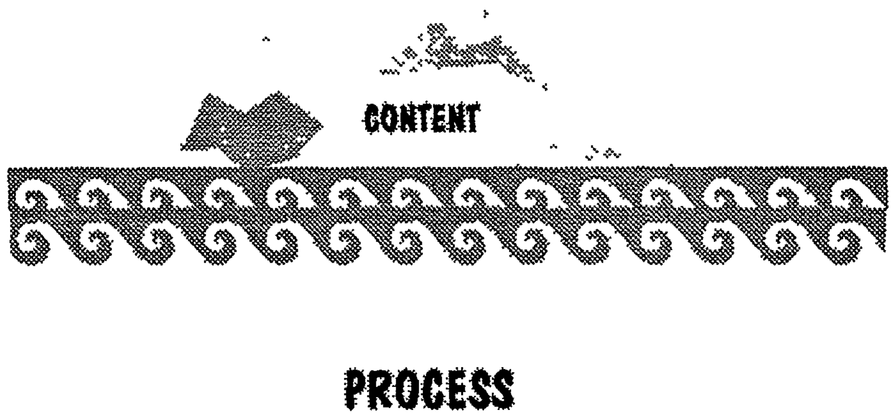
FOCUS ON AGREEMENTS

The old saw that nothing succeeds like success is doubly true in groups Focus the group's attention periodically on the small and large agreements they have reached Always hold out the hope that agreement is possible — that a win/win solution can be found

QUESTIONS, QUESTIONS, QUESTIONS

Facilitators need to know how to use questions effectively in working with a group The chart on the following page illustrates the desired outcome of using questions to establish the pattern of discussion On pages 2–13 through 2–19 there is more material about the use of questions and the types of questions

THE PROCESS-CONTENT ICEBERG
Facilitators must manage both content and process



CONTENT

WHAT WAS ACCOMPLISHED

★ **WHAT** was said

Bill said, "It's due on the 12th."

★ **WHAT** was decided

Only Mary will go

★ **WHAT** was solved

The report errors were corrected

★ **WHAT** was discussed

A new procedure was discussed

★ **WHAT** was done

A briefing was given

★ **WHAT** was clarified

The new policy on leaves was clarified

★ **WHAT** follow-up was planned

Sam will report on the new circular

PROCESS

HOW IT HAPPENED

★ **HOW** we communicated

Open? Candid? Two-way?

★ **HOW** we included or excluded

"In" or "Out" groups? New members?

★ **HOW** leadership was conducted

Non-existent? Shared? One-way?

★ **HOW** conflicts/differences were handled

Openly acknowledged? Ignored? Encouraged?

★ **HOW** our time was used

Wasted? Rushed? Clock-driven?

★ **HOW** attitudes and feelings effected our work.

Ignored? Acknowledged? Sensitivity?

★ **HOW** energetic we were

Apathetic? Frenetic? Energized?

FACTORS WHICH CAN AFFECT THE DEVELOPMENT OF GROUP CLIMATE

NEGATIVE CLIMATE	POSITIVE CLIMATE
Inappropriate leadership style	Leadership style Autocratic Laissez-faire → fits task Democratic
Task and purpose obscure or not communicated	Task well prepared and presented Clarity of purpose
Meeting agenda not in keeping with objectives	Meeting agenda in keeping with objectives
Group size ill-judged	Size of group appropriate
Group composition not conducive to objectives	Composition of group in line with with objectives (e g , is most appropriate for purpose, a peer group, self-selected group, diverse in terms of age, gender, race, culture, similar backgrounds, expectations and concerns, etc)
Time of sessions when members are tired or have "had enough"	Time of sessions well chosen Time available fits the task
No recognition given to what members may be "bringing in"	"Unfinished business" or members "baggage" cleared away
No attempt to surface "hopes and fears" or identify common purpose	Contract worked out Expectations surfaced
Process vague, ill-defined Irrelevancies pursued	Clarity of purpose Purpose pursued
Individuals or small groups dominate	Participation evenly distributed
Conflict "buried" or hidden	Conflict (if present) brought out and dealt with
"Ground rules" not thought out nor communicated	Ground "rules" outlined and accepted
Facilitator not alert to dynamics of group or skilled enough to deal with issues	Facilitator has necessary observation and group management skills
Lightness not present or type of humor not appropriate	Humor used to "lighten" sessions at appropriate stages
Low trust level—Group members feel ill at ease or feel the need to be defensive	High trust level (achieved by use of trust-building skills)

NEGATIVE CLIMATE	POSITIVE CLIMATE
Competitive attitude and win/lose approach by members	Collaborative and problem solving approach by group—win/win
Over-critical or attacking type feedback in evidence	Feedback skills properly employed
Leadership likely to produce requirements or procedures which participants will be anxious about	Leadership behaviors predictable
"In" groups or "pairing" obvious Facilitator(s) relate particularly to one or two members	Group relationships shared Facilitator(s) relationships evenly distributed
Specialist or jargon language used and promotes alienation	Language appropriate to the group
No follow-up on group decisions	Action taken on group decisions
Feelings are not checked out—assumptions made by facilitator(s) on how members are feeling	Feelings of individuals checked out at times during sessions
Silence becomes threatening and creates awkwardness	Silence used positively for thought and reflection

PHYSICAL FACTORS WHICH CAN AFFECT CLIMATE

Too much, too little or badly used space bringing feelings of being "lost", "crowded" or "split"	Space—comfortable amount to allow feeling or easiness and closeness
Seating—giving inappropriate messages and causing lack of contact and separation	Seating—giving eye contact possibilities to facilitator(s) and all, and suggesting sharing
Dull, dowdy, cluttered surroundings, Facilitator not easily contactable or adopting position inconsistent with style	Brings encouraging environment Facilitator position giving availability and appropriate to style
Group victims of frustrating interruptions or distractions	Group secure from outside distractions
Time chosen when members are tired or overloaded — too much or too little time for task	Time of event and amount of time available convenient to all and appropriate to task

EXCELLENT MEETINGS

In an excellent meeting:

- ✧ People are valued as individuals.
- ✧ The physical environment is comfortable and conducive to concentration
- ✧ There is a willingness to hear the facts, whether friendly or not so friendly.
- ✧ Ideas, as well as hard facts, are solicited and heard.
- ✧ The best ideas rise to the top, the weaker ones are eliminated.
- ✧ Conflict and argument are allowed and managed
- ✧ The best — not the most popular — decisions or solutions win.
- ✧ Groupthink is discouraged creative, investigative thinking is encouraged.
- ✧ Leadership is never abused and is frequently shared.
- ✧ The leader knows and executes his or her responsibilities
- ✧ Participants participate and get actively involved
- ✧ A light touch and some humor make it a truly human event

DEALING WITH THE DISRUPTIVE GROUP MEMBER

First, make sure to read Doyle and Straus', ***Problem People***, at the end of this section This is an excellent article and you will find a lot of good ideas here

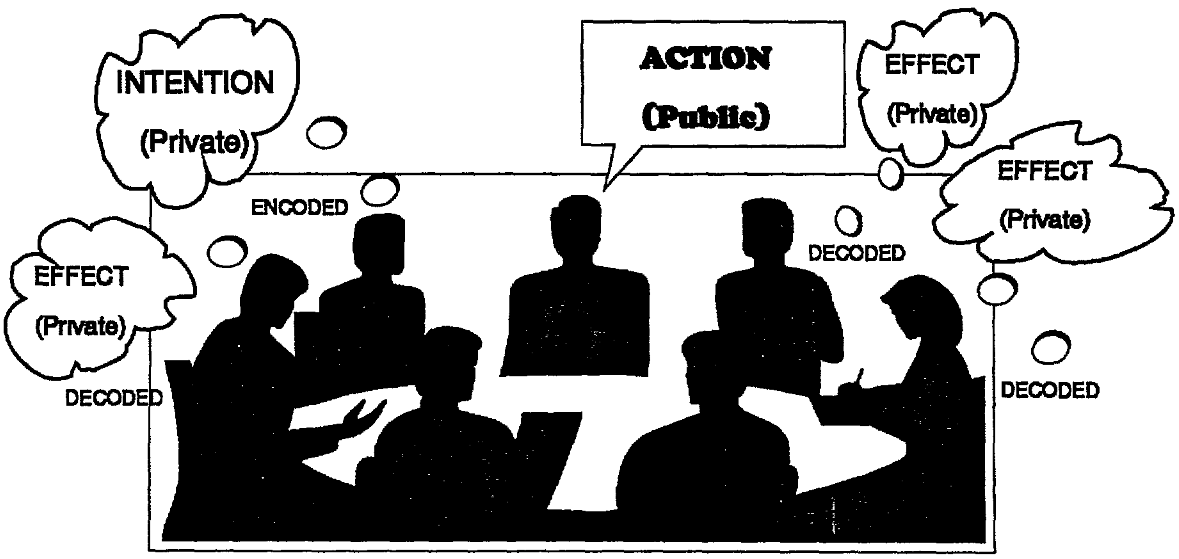
From time to time a group will have one or two people who seem to be lightning rods for conflict They may or may not be aware of their impact on the group, but the effect may be devastating on the group's ability to get on with it

Sometimes the "problem person" is bringing an important message to the group The message may not be brought in the way you or others would like, but that person may be on to something Try listening as if the presenter has a crucial piece of information for the group and is trying the only way he/she knows to get it out Thank the person if you really hear the message, and help the group hear, too

The Interpersonal Gap

What is INTENDED is never the same as the EFFECT on another person, because of the way we *Encode* and *Decode* our communications The ACTIONS which are PUBLIC and KNOWN, may not be accurately creating the INTENTION, which is PRIVATE and UNKNOWN

Many times the "problem person" is simply doing a strange job of *Encoding* intentions, because of being anxious, or angry and upset, or because of old patterns learned a long time ago Using the Interpersonal Gap concept can be useful in understanding what is happening, as you will see in a moment



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For the Hard Core Problem Person

But there are also people who won't be helped gently or who resist really joining the group and resist making a positive contribution to the group's efforts You need to have a quiver of alternatives in dealing with them

The most successful approach is an "escalating intervention" strategy, where you try the lowest profile, lowest impact alternative first, and move up (or down) to the highest profile/impact approach as a last resort

The First Approach Paraphrase and Shift the Focus

Here you look the person in the eye and, staying neutral in your voice and stance, you paraphrase what they have said, and ask them if you got them right

> *"Sue, it sounds like you're saying that you think this whole issue is blown out of proportion and you don't think the group should be addressing it at all And you feel strongly about it Is that right? It is? Thank you Tom, you were also trying to say something here, weren't you?"*

Sometimes just feeling heard will be enough to quiet anxiety If not, you may need to move to

The Second Approach: Acknowledge the Point and Validate the Effort to Contribute

Here you frame what the person is saying in a positive way, first paraphrasing it, then acknowledging the point You are not agreeing or colluding, just letting him/her hear that he/she has been understood and that the point has a right to be heard and that you recognize that person is trying to help

> *"Harry, you've been a voice in the wilderness here lately It seems to me that you're trying to get the group to see that you feel strongly that X Department is the cause of all this and that the group is wasting its time discussing issue X Is that right? You want to make sure the group doesn't get itself into a trap it will have a hard time getting out of, huh? That's sure a good idea Can people see what Harry is saying? Who could tell Harry why they don't want the group to stop right now?"*

Here again, just being understood may help the person get into the flow and drop the blocking behavior If not, you move to

The Third Approach. Register the Resistance and Move On

In this approach, you paraphrase as above, making sure the issue is recorded on the Group Memory to that person's satisfaction and then move the group on, explaining why as honestly as you can

> *"Charlie, you think we're wasting time and that Department X should be dealing with this, not this group, and you've said that several times and are getting frustrated because no one seems to care what you think Am I right so far? Good Let me get that on the Group Memory Charlie, is that said the way you want? Good Now I am going to have the group*

move on because 1) the Boss has said he wants us to, 2) the group doesn't seem to be able to use your input right now in its work, and 3) there doesn't seem to be any way to deal with your point without a great deal of unravelling of the work from the last two hours You may well be right, Charlie! I want you to know that, but let's move on "

The Fourth Approach: Confrontation and Exploration After the Meeting

You may have to get with the "problem person" after the meeting is over, where the embarrassment factor is lower for both of you and tell him/her what you think and find out what she/he wanted Using the Interpersonal Gap, you could help him/her see that the actions used (and here you need to be very accurate and neutral in your description of what he/she did) are not getting the effect desired, but in fact, are getting the group angry Ask, "Is that what you want?"

You need to be very honest at this point about the effect you see that person is having on the group, the risks he/she is generating and help him/her develop a strategy for next time If that person turns out to have been right, make it a point at the next meeting to acknowledge that, and apologize!

> *"Charlie, I think you're killing yourself in there! And probably not making any friends for the Department What are you trying to accomplish? (Listen ACTIVELY) So, you are trying to —? Boy, it seems to me that the effect you are having is in fact — Is that what you want? No? Well, would you like to work out another approach that might get you where you want to go?"*
>
> *"Frankly, if I were a member of that group in there today, I would have been really ticked at you I was having trouble staying neutral myself! You seemed to me to be deliberately trying to goad Tim into a fight, to scare Sue, and insult the Boss If that keeps up, man, something's got to pop You may even be right about your issue, but you sure do make people mad at you, me included, when you go at it like that I won't take another assignment as facilitator of your group until you can convince me you've got another style going "*

The Fifth Approach: Confrontation During the Meeting

This is the last for obvious reasons

- It will start an intense conflict which may or may not be resolved quickly
- The person may, in fact, be on to something, just not doing a good job of getting it across
- It will be embarrassing for them, for you and maybe for other group members
- If not done well, or if you really get hooked, the person is left in a hostile environment with no one on his/her side or "clean" enough to protect him/her from getting hurt

- If it contributes to that person's getting reprimanded or fired, you and the others may feel some responsibility

It can be done low key, with skill, and from a quiet, unhooked place, like so

> *"Charlie, you have interrupted Sue twice, Tom twice, and me several times in the last few minutes It is clear to me that you feel strongly about this, but I believe what you are doing is making it harder for this group to get its work done Being heard hasn't been enough I'm supposed to protect people and their contributions as Facilitator, but I'm beginning to think I need to protect the group from you! How about cooling it for now and let's you and I meet afterward to figure out what could be done Let's move on "*

There are other clever things which could be done, like putting the problem person in charge of being a watch dog for the group on the volatile issue Use your imagination! As long as it comes out of a place of caring for the group AND the problem person, it will probably be O K

As a facilitator, a good sense of humor, good old fashioned caring and a shot of courage will go a long way toward making you a very helpful person to have around

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ESCALATING LEVEL OF INTERVENTIONS

Low Level
Interventions
(Win/Win)

Ignore or Avoid

↓

Make Eye Contact

↓

Stand Up

↓

Walk Half Way

↓

Walk By Them—Make Eye Contact

↓

Ask, "What do YOU think?"

↓

Touch and Talk Directly

↓

Confront on a Break

↓

Confront Before the Whole Group

High Level
Interventions
(Win/Lose)

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Summary: Facilitator Techniques
Dealing With Difficult People

- Remain neutral
- Start with the most subtle intervention possible, e g , eye contact
- Use preventions first, e g , meet with the "difficult person" prior to the session
- Go for a win/win resolution whenever possible, i e , is there a way to resolve their concerns, issues?
- Only escalate your interventions if you need to and escalate slowly Remember to try and save their "face "
- Use the intervention of Accept/Legitimize/Deal With/Defer
- Keep yourself grounded
- Maintain neutral body language
- Separate out the person from their behavior Privately give them specific feedback on observable actions without an interpretation of motivations or judgment

MANAGING FEELINGS

It is important for facilitators to be sensitive to and aware of how participants are feeling emotionally Feelings which are not acknowledged go underground and interfere with the meeting process Following are two suggestions about ways to help participants manage the sometimes surprisingly intense feelings they experience

Sometimes people who feel badly about something that has happened in the session withdraw If people get particularly quiet, or the whole group gets quiet, it is important to find out if they are upset Ask them

Sometimes when people feel overloaded by a presentation or topic, they begin to withdraw If the group gets particularly quiet, ask them what is happening and what they need The activities or techniques you select in response should be designed to bring out information you, as a facilitator, need in order to be able to remove the blocks to people being ready to continue with the task This task of helping people be ready to continue work is part of facilitation A major part of the facilitator's task is to facilitate a good meeting climate

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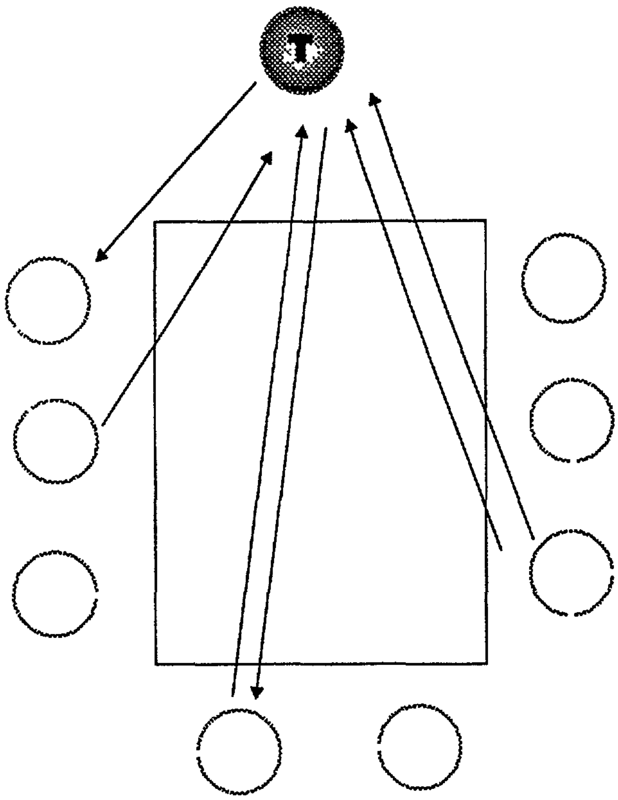
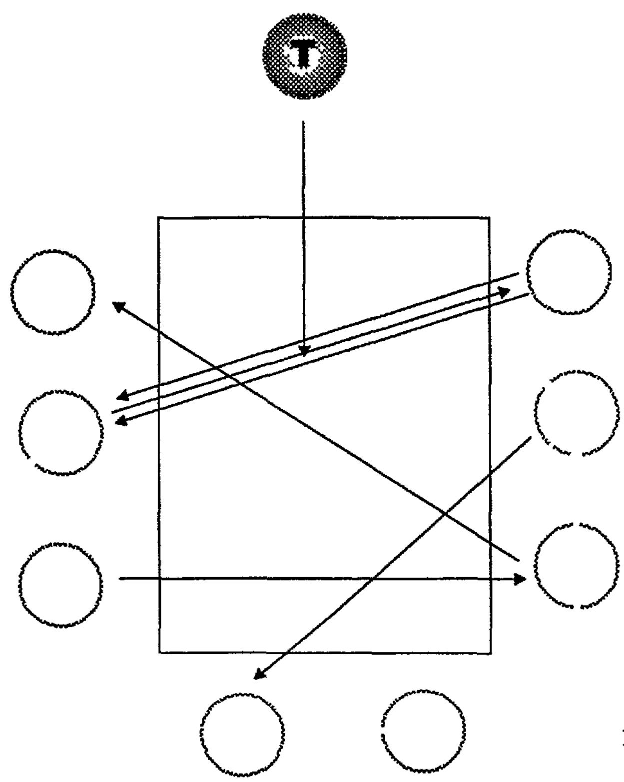
Using Questions to Establish the Pattern of Discussion

NOT THIS



BUT THIS



GROUP DISCUSSION

Description Group discussion, as used here, is an exchange of ideas among members of a group, facilitated by a discussion leader The discussion is centered on a specific topic, problem or question

When is it a useful technique?

Group discussion is more useful when one or more of the following conditions are met

- There is experience or knowledge on the subject in the group
- There is a need to create new ideas or action from these experiences
- There are complex ideas to understand or make decisions about
- There is a need for talking about personal values, attitudes or feelings that will lead to involvement
- There is a need to determine the participants' needs

The function of the discussion leader

The purpose of the discussion leader is to assist the group in doing its job The leader helps set the stage, keeps the discussion moving along, develops wide participation and assists the group in establishing a systematic approach to its task In the beginning of a training program the trainer(s) should take on this role As the training progresses and participants gain skills they can begin to share this responsibility

Some functions of the group leader are

1 ***Setting the Group Climate*** The leader has an important part in developing the climate of the group He/she should make sure group members have become acquainted with one another This should be done early in the meeting Informality of the group leader and the reflection of a warm and friendly attitude toward all group members encourages participation

2 ***Stating the Question*** Clear phrasing of the question which the group is being asked to discuss is important in focusing the group's attention on its basic task and purpose A well-stated question stimulates constructive and creative group participation

3 ***Encouraging Group Participation*** The group leader can encourage group participation by

- Keeping aware of individual's efforts to be heard and by providing them an adequate opportunity to contribute This includes calling the group's attention to unheard contributions
- Helping the group understand the meaning and intent of individual contributions
- Maintaining continuity of group discussion by pointing out the relationship of similar 40
  ideas offered by different group members

- Encouraging inter-member discussion rather than member-leader discussion

- Conveying acceptance by exhibiting a non-critical attitude and by refraining from evaluating member contributions

- Don't let anyone take over and monopolize the discussion and don't rely only on those who are always articulate and eager to talk Try to bring in those who aren't talking by making them feel that their contribution would be welcomed by the group But call on people by name only when you know that they are trying to get in, or when you are sure they won't be embarrassed by being called upon

- Keeping the discussion on the subject Some diversions may be fruitful, but only insofar as they can be related before too long to the main topic

- Helping the group bring out logical fallacies and errors of reasoning It would be a mistake to try to push too hard, too fast along these lines and the leader should not fit the discussion rigidly into a preconceived pattern, nor use cross-examination where the result is to make people look foolish

4 ***Utilizing Group Resources*** In most groups, participants have special knowledge and skills which are useful to the group The leader should become aware of these resources and make sure they are available to the group He/she should not, however, permit such resource people to dominate group discussions

5 ***Keep the Discussion Moving Along*** A good brisk pace is desirable, but don't move it faster than the group wants to go, patience is an important attribute of the good discussion leader It is also an important part of the role of the discussion leader to see that the group uses the time well

6 ***Testing for Group Consensus*** The leader can assist the group in developing consensus by occasionally reviewing points developed during the discussion and by summarizing what appears to be the group's conclusions

7 ***Summarize the Group's Conclusion and Ideas*** Bring it all back together at the end to both review and reinforce the learning that you intended to draw from the discussion It is important that the discussion leader remains impartial during the discussion so that this function of summary and review can be clearly heard by the participants Be careful not to give answers or give personal opinions as "facts" during the discussion or this will decrease your impartiality and thereby decrease participants' ability to hear your summary

SUMMARY–HOW TO LEAD A DISCUSSION

1 **Set the Climate**

- Start on time
- Try to make the group feel at ease
- State the general purpose of the discussion (It is assumed that you have specific learning objective and this technique is appropriate)
- Announce the topic clearly and concisely
- Explain the discussion procedure and define its limits

2 **Guide the Discussion**

- Encourage participation by all members
- Control the over-talkative member
- Draw out the shy member
- Don't allow one or two members to monopolize
- Deal tactfully with irrelevant contributions
- Avoid personal arguments
- Keep the discussion moving
- Keep the discussion on the subject
- Summarize frequently
- Use audio-visual aids (e g , a flip chart)

3 **Summarize the Discussion**

- Review the highlights of the discussion
- Review the conclusions which have been reached
- Make clear what has been accomplished by the discussion
- Restate any minority viewpoint
- Get agreement for any action proposed
- End on a high note

TYPES OF QUESTIONS AND THEIR USES IN LEADING DISCUSSIONS

THE USES OF QUESTIONS

Questions may be used effectively to

- get all members of the group involved in the discussion
- draw out the quiet, shy or laid back member
- start people thinking
- awaken interest
- find out what previous knowledge of the subject members may have
- keep the discussion moving
- keep the discussion on the subject or bring it back to the subject
- recall a "wandering mind"
- stop private conversations
- prevent monopolization by one member
- draw out members' experience which may be relevant and helpful
- pull a "difficult" member into place
- get each member to hear a range of opinions all different from his/her own
- highlight important aspects of the subject
- check on the group's assimilation of the subject matter

THE TYPES OF QUESTIONS

Broadly speaking, there are two types of questions

The **general question** is addressed to the group as a whole The discussion leader wants to stimulate thinking by all members of the group If the trainer names the person who is to answer before he/she asks the question, it simply encourages all the other members to go to sleep while the "victim" tries to answer If the trainer puts the question to the group as a whole, every member of the group has to think In addition, by using a direct question too early in the discussion, it may embarrass members of the group by asking them questions which they are not yet ready to answer

The **direct question** is addressed to an individual by name It has definite advantages in certain circumstances, but it must be used with care It could, for example, put the person to whom it is addressed in the very uncomfortable and potentially embarrassing position of having to reply when he/she just does not have anything to say On the other hand, if there is an acknowledged "expert" on the topic under discussion in the group, the direct question can be used to draw upon his/her experience It can also be used to draw a shy member into the discussion, but in this case the question should be carefully chosen and be one which the person is pretty sure to be able to answer It can also be used to break up private conversations or to interrupt a "monopolizer" (e g , by asking someone else to comment)

Note that it is a useful technique to phrase the question as a general question first, pause to allow all the members of the group to think and then name the individual who should answer, e g , "What do you consider to be the basic reason this situation arose?" (pause) — then call a name

Another form of the direct question is what is sometimes referred to as the **"pick-up" question** This is used to refer back to a contribution which got passed over in the "heat" of the discussion This frequently happens with a contribution from a shy member who may speak rather quietly and be interrupted by a more vocal member The important thing is that the leader should make a mental note at the time and come back to the point later if only to give recognition to the contributor For example, "I believe that you were saying a few minutes ago, Mr Smith, that you had found a new way of dealing with this problem Would you like to tell us a little more about it?"

In addition to classifying all questions as general or direct, questions can be further divided into a number of useful categories A few are described below

An *open* question is expressed in very broad terms and is capable of a wide variety of answers It is usually prefixed by who, what, when, where, how or why For example

"Who ought to be responsible for taking action on this type of situation?"
"Why is it important that a project should consider gender implications in project design?"
"What are the advantages of disaggregating project data by gender?"

A *factual* question seeks facts, information, data, etc For example

"How many supervisors of the group have attended a previous OPM training session?"
"Which of you have previous experience in writing EER's?"

A *re-directed* question is used when members of the group put specific questions to the discussion leader The leader, should, whenever possible, re-direct the question to other members of the group This keeps the group active and prevents a dialogue between the discussion leader and one member

In the case of a *rhetorical* question, the leader does not expect the group to answer and the group knows this They know that either no answer is required or the leader will answer it, e g , "In these circumstances what else could I do but go along with the crowd?"

In a *leading* question, the answer is implicit in or suggested by the question, e g , "This sort of data analysis is quite unacceptable isn't it?"

One comes across many other categories of questions in the literature on the subject, including imperative, exploratory, provocative, controversial, and ambiguous questions But the categories dealt with above are the most important in the discussion group situation Of the five categories, the last two, rhetorical and leading, have no value in discussion leading They do not provoke the group members to think and they do not stimulate further discussion In any case, the leading question is usually considered invasive If you have the choice, try to pose questions most frequently in an open, neutral or non-directive form

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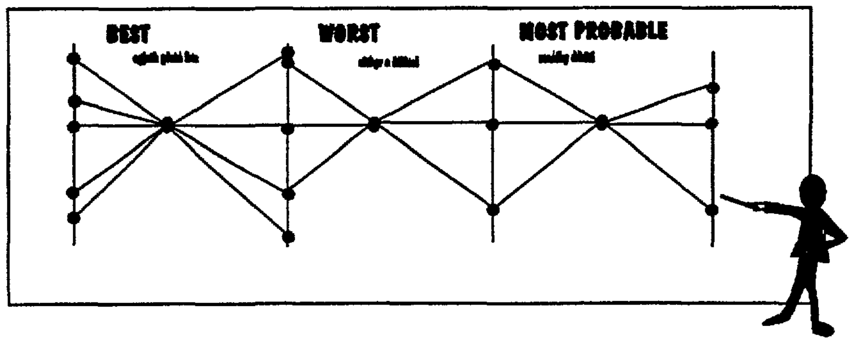
General Hints on the Use of Questions

1. Questions should be brief, clear and simply worded
2. Direct questions should be distributed at random A fixed order, e g , clockwise around the group, should be avoided at all costs Such questions should be well distributed among the various members of the group
3. Questions should, as far as possible, cover one point only
4. Questions should, where possible, be related to the ability and experience of the person to whom they are addressed
5. Having asked the question, give the members of the group time to think before expecting an answer
6. Don't use rhetorical or leading questions to try to get out of a difficult or awkward situation in the group This is likely to make the situation more difficult

THE RECORDER ROLE



"Visualizing process makes it more accessible to more people"

The Idea

Just as the process and logistical leadership functions are delegated to a neutral party, so is the one of minute taking or recording The facilitator is often the recorder Other times, another individual is requested to be the recorder in which case the recorder works in concert with and at the direction of the facilitator The major responsibility of the recorder role is to create an on-going, accessible and accurate group memory or record of what is being said during the meeting so that the participants can refer to it to keep themselves focused, make clear decisions and increase their understanding of what one another and the entire group is saying

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Recording on the Flip Chart

Facilitators use the flip chart, magic markers and tape as central "tools of the trade " The ability to capture data generated by group members, record it in "real time" while capturing the essence of the group's process, and displaying it publicly serves several important functions

- It helps keep the group focused on task by recording individual contributions and group agreements
- It protects the group from overload by recording the essence of ideas without writing down all the words
- It encourages participation and reduced status differentiation by writing down everyone's ideas
- It decreases wheel spinning and repetition by capturing the ideas the first time
- It provides a group memory of the events and ideas during the meeting

The next few pages present some techniques and ideas on how to record on flip charts or flip chart paper This is a skill that requires that the facilitator make full use their active listening skills, write or print legibly, synthesize group member comments without changing the meaning of the comment and most often, still keep the session running smoothly It takes practice!

Techniques for Recording

- Remain neutral and do not get your ideas mixed up with their ideas
- Listen for key—high energy words
- Capture the basic ideas, the essence of what is being said Use the speaker's own words
- Don't write down every word
- Write quickly and legibly
- Don't be afraid to make some spelling errors
- Leave out all the "the's " and "a's "
- Abbreviate whenever possible
- Make corrections non-defensively
- Vary the size of writing and/or printing for variety and to accommodate size of group and their distance from the paper
- Highlight the pages Use colors, symbols, lines, etc
- Be sure to label and number every sheet as you go
- Use an ongoing Action Item list
- Use "post it" notes for sequencing, comparing, mapping
- Separate ideas, e g , underline and circle ideas, change colors with each new idea, use symbols, leave space between lines
- Leave wide margins
- Use arrows to connect ideas and show relationships
- Don't worry about how much paper you use!
- Have adequate pens, tape and paper ready for the entire day
- Arrange the meeting room so the participants face away from the door and toward a wall space adequate for a group memory

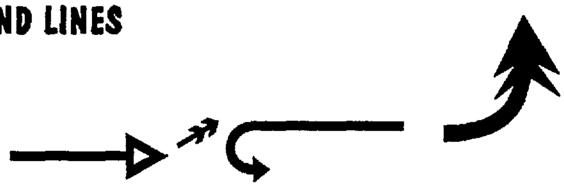
RECORDER TECHNIQUES

LIVEN IT UP

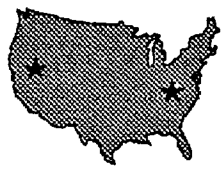
1. ADD DEPTH TO SYMBOLS AND LETTERS 

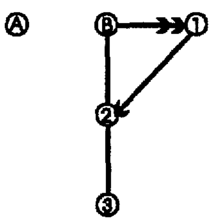
2. USE CARTOONS

3. USE ACTION FIGURES AND LINES

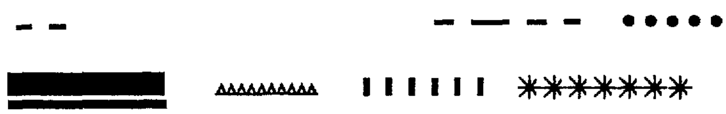
IIII. SHOW DIRECTION 

FIVE SHOW LOCATION 

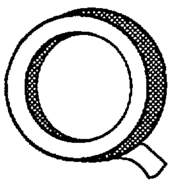


6. SHOW RELATIONSHIPS 

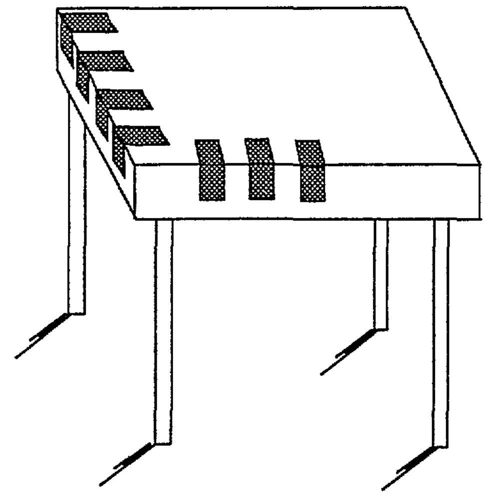
7. USE A VARIETY OF LINES



RECORDING - GETTING READY



- *use masking tape or even better, drafting tape since it won't mar walls*
- *get ready for the session by storing extra tape on edge of table, easel, etc.*
- *keep supply ready during session*



* IF YOU DON'T HAVE A FLIP CHART STAND OR AN EASEL THEN:

★ Place paper on wall where you can comfortably reach both top and bottom of sheets

★ Center sheets so group members can see them

○ When you take down sheets - Be sure to turn tape over onto back of sheet - This will keep the page from sticking to other sheets

○ Check for title, page number, group identity

RECORDER TECHNIQUES 2.

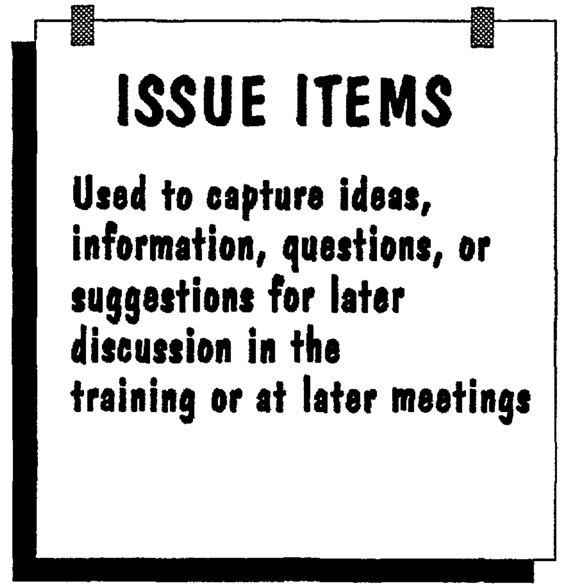
- STAGGER TAPE ON SHEETS SO YOU CAN TAKE THEM DOWN ONE SHEET AT A TIME

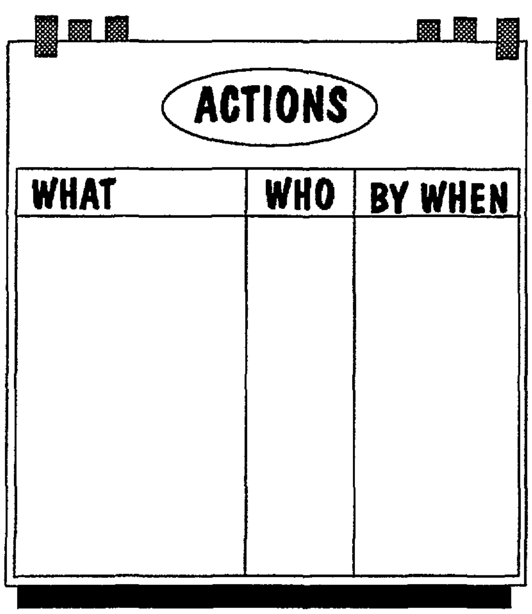
- STORE SHEETS OFF TO SIDE OF ROOM OR IN BACK OF ROOM
- TAPE 4 - 5 STACKS OF PAPER DEPENDING ON WALL SPACE
- EACH STACK SHOULD HAVE 5 - 6 SHEETS
- HAVE EXTRA STACKS AVAILABLE ON ANOTHER WALL

Put Paper Up Neatly - Be Organized Ahead of Time

HELPFUL RECORDS TO KEEP DURING TRAINING

- This sheet can be prepared before the training - or during the sessions - Keep a running record





- This sheet can be prepared in advance It is then available to record decisions and/or action items as you go

ROLE PLAYING

John E Jones and J William Pfeiffer

CONTEXT

Human relations training technology now offers a number of different ways of changing people's attitudes and of developing individuals' behavioral skills In Figure 1 we have depicted the various major training interventions along a continuum from didactic to experiential (based in part on Hall, 1971, and Tannenbaum & Schmidt, 1973) We also show the relationship between learner involvement and the source of meaning of the material being learned With experiential approaches—those that primarily stress active participant involvement in contrast to passive receptivity—the learning is presumably internalized and, therefore, more effective

Across the bottom of Figure 1,[1] there is a classification of human relations training approaches and techniques, ordered according to the extent to which they incorporate learner involvement The least involving intervention is reading, in which the learner is in a *reactive* mode, passively receiving and vicariously experiencing The most involving intervention is the intensive growth group, in which the learner is encouraged to be

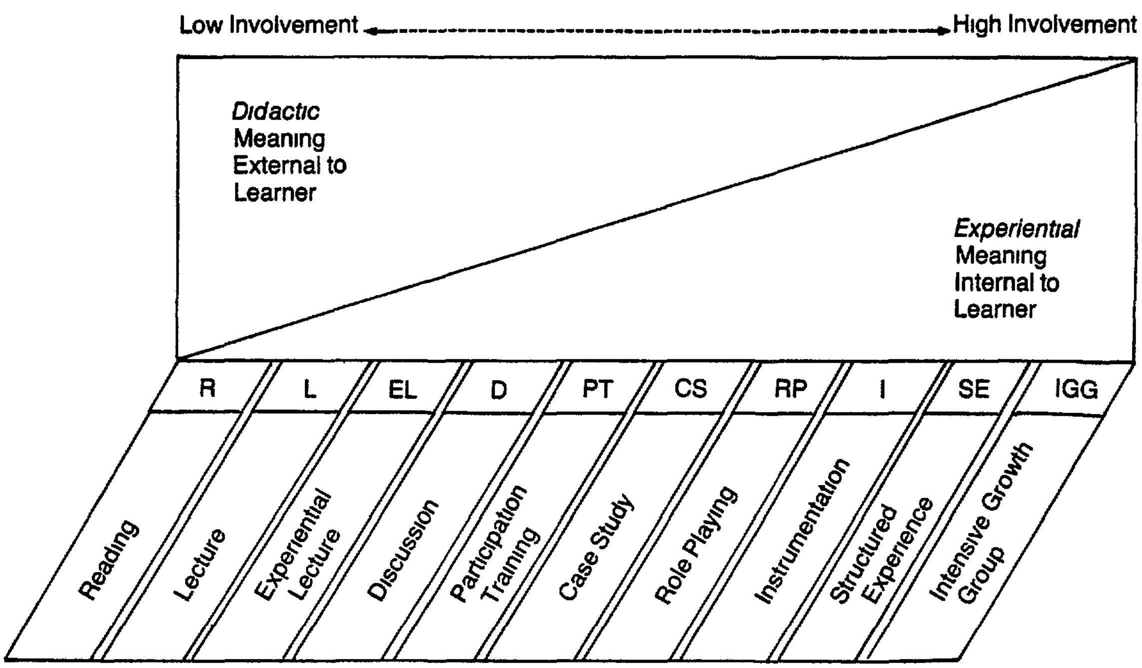


Figure 1 The Technology of Human Relations Training*

[1] The following discussion of learner involvement in various training approaches is extracted and adapted from Pfeiffer and Jones (1979c pp 1 3)

*From Pfeiffer and Jones (1979c)

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proactive, to take responsibility for his own learning In between these two extremes are activities that range from lectures to structured experiences

The experiential lecture is more involving than the traditional lecture approach because it incorporates activities on the part of the "audience " Interspersed among the sections of content are brief interactions among participants These interruptions are designed either to personalize the points of the lecture and/or to generate readiness for the next topic

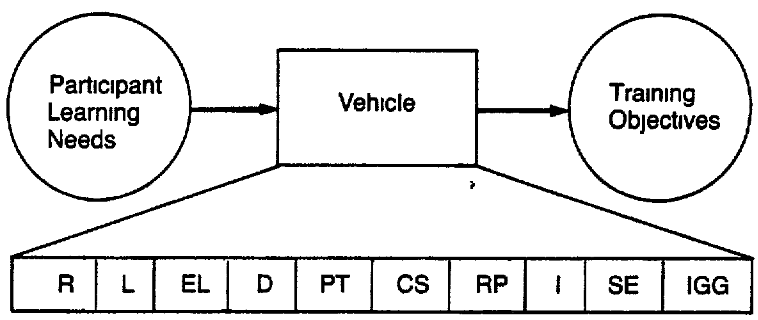
Discussion is a time-honored teaching intervention, which has been extended and refined in participation training, particularly by adult educators at Indiana University The case-study method, developed and popularized in business education by professors at Harvard Business School, is closely related to role playing, in which a "case" is acted out in a semistructured format

The use of paper-and-pencil instruments involves learners in self-assessment The didactic component comes from the theory underlying the items of the scale Structured experiences stress high participation and "processing" of data generated during interactive activities

Intensive growth groups exist in many forms, such as counseling, T-groups, encounter, and therapy They are characterized by high learner involvement and interaction The data for learning come from the life experiences and here-and-now reactions of the group members Participants are expected to integrate their learning into new self-concepts on their own terms

The involvement dimension in Figure 1 could be replaced with any of several other dimensions that would vary similarly For example, at the highly didactic end of the scale (reading) would go low *risk*, low *self-disclosure*, and low *interaction with others* The other end, highly experiential (intensive growth group), is associated with high values on these same three dimensions (risk, self-disclosure, and interaction) Each of the training approaches and techniques is, of course, useful for certain purposes, and there are various training situations most appropriate for one or another

Facilitators are continually faced with the task of planning activities to meet the learning needs of participants The design problem can be graphically represented as follows



The choice of an effective intervention is made after an assessment of the learning needs of participants and a statement of training objectives The maturity of the group, the skill and experience of the facilitator, and the environment in which the training takes place determine which approach is used

ROLE PLAYING IN HUMAN RELATIONS TRAINING

Role playing has a wide utility in leadership and management development, training in communication skills, improvement of interpersonal relationships, and team development A practical strategy for the effective use of this intervention in experiential training designs and a clear sense of its advantages and potential disadvantages in human relations work are needed Our suggestions for designing and conducting such structured activities in a group situation are intended to clarify the practical uses of role playing

Corsini, Blake, and Shaw (in press) identify four types of role playing theatrical, sociological, dissimulative, and educational In the context of this paper we will limit ourselves to educational role playing Role playing, as discussed here, is an educational activity for training participants that focuses on learning human relations skills and concepts As an educational tool it is, for example, used widely by the military in war games, by assessment centers to determine the optimum career path of participants, and in assertion training to develop the skills and concepts needed for individuals to stand up for their rights in the face of potential conflict Perhaps the most widespread use of role playing in training and development has been in courses and workshops in communication skills and leadership development Role playing lends itself particularly well to the exploration of ideas and theories in interpersonal communication and leadership roles

Role playing is distinguished from another major educational approach, the case study, primarily in terms of focus and impact The case study is more likely to be centered primarily on cognitive learning, whereas the role play typically emphasizes both cognitive and affective development on the part of learners The case study's there-and-then content emphasis is a feature that often reduces its impact It has considerably less learner involvement than the role play, and its potential for promoting transferable learning that is "owned" by participants is decidedly less

Role-Playing Objectives

A number of objectives in human relations training can be realized through role playing The approach can be used to demonstrate various skills and concepts in interpersonal relations and communications Problems being focused on by a participant group can be "staged" to achieve a different perspective Role playing can be applied to personnel selection, as in assessment centers It can provide an impactful means of experiencing different behaviors in order to evaluate their effects It can also be used to create a data base for interpersonal feedback within a human relations laboratory learning situation Inasmuch as many experiential learning concepts are often difficult for participants to apply to their everyday work, role playing offers a vehicle for delivering theory input in an engrossing and stimulating way that is relevant to real-world problem situations Theoretical concepts can be incorporated into role descriptions and into the role-play problem Role playing also has the additional potential of generating affective content for purposes of exploring relationships between feelings and behavior in human interactions Role plays can be selected or devised to study the probable effects of different behaviors on the participants in a problem situation, thereby providing a potential learning opportunity for individuals to develop an increased sensitivity both to their own and to others' feelings

ADVANTAGES AND POTENTIAL DISADVANTAGES

Role playing has a number of obviously desirable applications, however, there are also some potential disadvantages The facilitator needs to be aware of both the advantages and disadvantages in order to be able to optimize the benefits and minimize the potentially negative aspects

Advantages

Participants typically experience role playing as an engaging activity Because almost everyone knows how to play someone else's role, participants tend to enjoy role plays, and it is unnecessary for them to learn new skills in order to benefit from the process Also, role playing is often fun, although overplaying a part can detract from the learning When role playing is conducted skillfully, the situations have a high credibility for participants, thereby reducing resistance to learning relevant skills and theory

The technique is highly flexible The facilitator can change the role play as it is being conducted, and the materials can be edited to fit particular situations Role playing can be engaged in for brief or long periods The technique often minimizes the threat of interpersonal interaction in human relations training it is sometimes easier to explore oneself by projecting oneself into a role than to expose oneself directly Participants are allowed to carry out decisions without the danger of embarrassing or incriminating themselves in "real" situations Role playing can increase participants' awareness about the effects of feelings on social behavior

Perhaps the most decided advantage of role playing in a training context is that it uses the experiences of participants in ways that increase their ownership of learning As it provides a vehicle for focused feedback to individual participants, it can assist in developing the expression of feelings Human problems in systems can be studied through the medium of role playing in a humanizing way that brings the "human factor" of organizational situations into sharper focus Because it has the potential to develop skills in self-expression, listening, communicating points of view, and interpersonal interaction, role playing can raise participants' consciousness about the need for skills in human relations training It can also permit the simulation of problem issues that arise infrequently in personal or work situations but are very important when they do arise Thus, role playing offers participants the opportunity for hard-to-obtain experience in dealing with such situations

Potential Disadvantages

Several potential disadvantages are inherent in the role-play technique One obvious one is that the artificiality or superficiality of situations depicted in role-play situations can allow participants to discount the value of their learning because of the apparent oversimplification of the situation A second problem is that sometimes participants lose themselves in a role and engage in inadvertent self-disclosure, exposure, and ventilation It is important that the facilitator point out this possibility to participants The facilitator should be particularly aware of this disadvantage in order to avoid the ethical breach of allowing people unknowingly to make themselves vulnerable Role playing can be a threatening experience for a significant minority of participants, and the facilitator needs to be sensitive to the pressures faced by participants

A third disadvantage is that roles sometimes reinforce stereotypes and caricature people's behavior This unfortunate side effect can be avoided if the trainer ensures that role descriptions are credible and nonstereotypical and that role players are instructed not to caricature their roles Fourth, role playing can deteriorate into play, and the serious learning potential that is inherent in the process can thereby be jeopardized A fifth problem arises when role plays are staged in front of an audience the passivity of the audience can lessen the impact of the learning In such a case, it is important that members of the audience have active roles as observers or coaches

Sixth, role-playing situations can overpersonalize problem situations, for example, in team building, problems facing organizational work units are sometimes aggravated by a tendency to perceive feedback personally and to see issues in terms of individuals Role playing can, through such overinvolvement, generate excess affect, and the facilitator should be aware of the need to keep the learning focus sharply delineated

DESIGNING ROLE PLAYS

In designing role plays, the potential disadvantages of the technique can be avoided through certain design considerations, choice of role-play problems, dimensions of role-play structure, careful development of materials, and detailed preparation

Design Considerations

In creating role-play situations there are a number of useful design considerations Within the situation itself and the descriptions of the roles of individual players, it is often important that there be a broad range of human problems Unless the role play is intended to demonstrate ineffective behavior, participants should be given an opportunity to behave effectively This is particularly true if the major objective of the role play is to develop skills, in which case the emphasis should be on acknowledging and reinforcing the desired results

In the role-play situation it is ideal to have conflict and variety Generally it is desirable to avoid getting too close to actual current organizational situations Using actual problem situations as the content of role-play activities can have a number of negative consequences, including the following

1 Defensive behavior on the part of participants may be evoked
2 Participants may concentrate on solutions rather than focus on aspects of the problem
3 Basic disagreement on issues may be generated, leading to polarization within the participant group
4 The organizational situations commonly addressed in OD often have many causes, and the human dimensions within them are obscured Role playing may oversimplify such situations and lead to misleading generalizations

In setting up role-play situations it is, therefore, best to use simulated problems before attempting to use real organizational problems If, however, real problems are being used, it is better to focus on existing problems rather than ones that have been "solved," in order to minimize blaming

Choice of Role-Play Problems

There are many types of problems that can be suggested for creating role-play situations It is possible to focus on personal problem behaviors such as being unable to say no or being shy Problems indigenous to leadership situations can easily be set up for role playing boss-subordinate interactions lend themselves well to exploration, and performance appraisal, a special type of boss-subordinate behavior, can be studied effectively It is easy to establish role-play situations that simulate various aspects of staff meetings, such as the influence of hidden agendas on the conduct of the meeting Integration problems, such as a "we-they" attitude, can be studied effectively Peer relationships between colleagues can help keep the actor "in role," can provide support for the role player in difficult situations, and can step in and change places with the role player, if desirable Using one or more alter egos actively involves more participants in the role play and is advantageous from that viewpoint

Degree of Nonverbal Emphasis

Finally, an often-neglected dimension concerns the degree of nonverbal emphasis in the role-play situation Role plays can be used to focus exclusively on nonverbal behavior, through the use of *pantomime* for all communication, for example While this would generate awareness of nonverbal factors in interpersonal behavior, a more realistic approach might involve *explicit role instructions* that include directions about nonverbal behavior Observers' instructions, too, can be designed to focus on this dimension

The four dimensions described here are independent, and they could be combined in almost any imaginable way That is, a multiple role play could be designed with an incomplete (open-ended) script, using two alter egos and concerning scripted nonverbal behaviors Equally possible is a single-group on-stage design using a dramatized case with everyone but the role players being observers and with nonverbal behavior left unexamined Specific designs depend on the learning goals, the specific content issues, the nature of the population, and the facilitator's preferences, along with other factors Awareness of these dimensions, and the range of choices they imply, should help the facilitator in the design process

Development of Materials

It is important to develop clear, concise, and highly focused materials for use in a role play, they should be readable and not too lengthy or too complicated for a participant to remember Ordinarily a role play requires some case background data, to set the scene for participants Occasionally, further information ("bulletins," "telegrams," "letters," notes, etc) is used to affect the role play as it progresses The role descriptions should be written in uncomplicated language for the individual players, and should include some hints on how to play the role Observer background-data sheets need to be provided for persons in the "audience " It is highly desirable for observers to have paper-and-pencil instruments to focus their reactions Otherwise there may be a tendency to overpersonalize the observation and fail to focus on the specific learnings intended

Instead of using prepared written role materials, participants can create their own roles This approach minimizes the need for printed materials, but it is often more difficult to handle on the part of the facilitator in that the outcome is less predictable and may not be consistent with the expressed learning goals

Preparations for Role Playing

It is important for the facilitator to prepare for the role play by establishing a proper set, keeping the objectives continuously clear, and making certain that the entire experience has an obvious logic to it

The importance of establishing a proper set early cannot be overemphasized Since the term "role playing" can connote "fun and games" for some people, it is up to the facilitator to establish that the activity is intended to promote learning The objectives should be specified beforehand, except in a situation intended to explore covert interpersonal processes, for example, the use and impact of hidden agendas Even in such a case, however, the facilitator needs to be constantly aware of the objectives

In setting up the situation it is important to give an overview to establish who is going to be involved and how Participants can be selected by one of four basic models using volunteers, type-casting participants on the basis of their personalities, making assignments on the basis of some other knowledge of participants, and utilizing role reversals The latter might, for example, involve having someone with high status play a low-status position and vice versa In briefing role players, the facilitator should not make the mistake of assuming that people know how to get into their roles, a bit of coaching on role taking may be necessary One way of briefing role players is to designate support groups that can function as coaches during caucusing sessions These groups can be established either randomly or through volunteering, and they can provide each role player with a support base for getting into and staying in role A variation on the support group is the reference group, consisting of participants with similar jobs For example, secretaries in a workshop could be the reference group for an individual who is going to role play a secretary

In briefing observers it is important to clarify their tasks are they simply observers or are they permitted to talk with one another? Are they expected to make a report? Are they going to meet with individuals? Any forms that they are to use in recording their observations should be explained If the observers are to be permitted to intervene in the role play with process observations, this procedure should be made explicit If the observers are to function as alter egos, this role should probably be demonstrated by the facilitator

In staging a role play, several arrangements suggest themselves The "group-on-group" role play, conducted in the center of the room with observers circled around it, increases the sense of involvement Alternatively, the role play can be staged with the observers in a semicircular arrangement so that the role players can be seen from the front In multiple-group role plays each group should be arranged in such a way that it can interact with minimal interruption from the other groups If there are several groups, or if the role play is likely to be fairly noisy, the role plays can be conducted in separate rooms

ROLE PLAYING IN THE EXPERIENTIAL LEARNING CYCLE

The role-playing activity is the beginning of a five-step experiential model (Pfeiffer & Jones, 1979c, pp 3-5)

> which is based on a cyclical learning process of five separate but interlocking procedures As implied by the name of the model, the emphasis is on the *direct* experiences of the participant or learner—as opposed to the *vicarious* experiences garnered through didactic approaches
>
> The experiential model is also an *inductive* rather than a *deductive* process the participant *discovers* for himself the learnings offered by the experiential process His discovery may be facilitated by a leader, but in the end the participant finds and validates his own experience
>
> This is the laboratory approach to learning It is based on the premise that experience precedes learning and that the learning, or meaning, to be derived from any experience comes from the learner himself Any individual s experience is unique to himself, no one can tell him what he is to learn, or gain from any activity Probable learnings can, of course be devised, but it is up to the participant to validate these for himself
>
> Five revolving steps are included in the experiential model
>
> *Experiencing*
>
> The process usually starts with experiencing The participant becomes involved in an activity he *acts* or *behaves* in some way or he *does performs observes sees says* something This initial experience is the basis for the entire process
>
> *Publishing*
>
> Following the experience itself it becomes important for the participant to share or publish his reactions and observations with others who have either experienced or observed the same activity
>
> *Processing*
>
> Sharing one s reactions is only the first step An essential—and often neglected—part of the cycle is the

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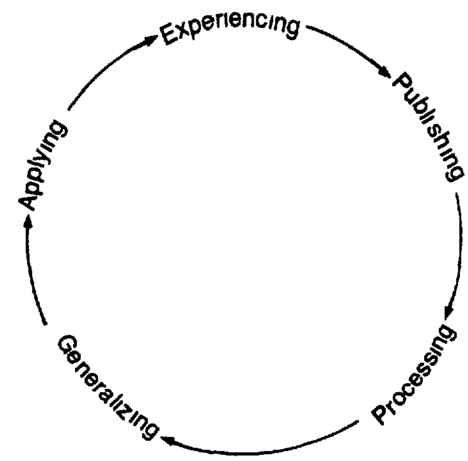
necessary integration of this sharing The dynamics that emerged in the activity are explored, discussed and evaluated (processed) with other participants

Generalizing

Flowing logically from the processing step is the need to develop principles or extract generalizations from the experience Stating learnings in this way can help participants further define clarify, and elaborate them

Applying

The final step in the cycle is to plan applications of the principles derived from the experience The experiential process is not complete until a new learning or discovery is used and tested behaviorally This is the experimental part of the experiential model Applying of course, becomes an experience in itself, and, with new experience, the cycle begins again



Each step of the experiential learning cycle can be related to role playing In the *experiencing* phase, the focus is on the role play itself Here it is important to recognize that this phase creates the data base of human interaction for later discussion Thus much of the emphasis in preparing a role play has to be on later phases, i e , what happens after the role play is completed In the *publishing* phase, the observers' reports and the role players' expression of feelings, attitudes, and experiences are the significant aspects Here the emphasis is on sharing reactions experienced in the role play

The publishing phase of the role play experience flows into the next phase—*processing* Observers can report the patterns of behavior that they observed At this point role players often are still emotionally in their roles, and it is important to make an intervention that will help to "de-role" them and make them more receptive to cognitive integration of the experience Often a simple announcement—"All role players may now resume being and acting themselves"—is adequate Sometimes, however, a meeting may be required with support or reference groups for the purpose of finishing the unfinished business of the role play The use of videotape replay in the processing phase can be highly advantageous for focusing the study of the dynamics of the role-play situation—the patterns of behavior that spontaneously emerge in the interaction of the role players

The next phase is *generalizing* from the role-play experience to "real-world" situations There are a variety of techniques for developing generalizations individuals and/or groups can be instructed to write declarative statements based on their experiences outside the training situation, and participants can be encouraged to develop cause-and-effect hypotheses about the dynamics that emerge in the role-play experience

The final phase of the role-play process is the most important one *applying* In this part of the design participants are led to explore two crucial questions "So what?" and "Now what?" These discussions can take place between goal-setting partners, within natural subgroups of the training group, between participant-observer pairs, and by repeating the role play and applying the generalizations that came out of the first round It is important that the facilitator, in devising a role play, think very carefully about how participants are to be led from playing a role to integrating their learning into practical, everyday, significant changes in behavior

CONDUCTING ROLE PLAYS

In order to maximize the learning potential of the role-play technique, the facilitator should be aware of some special considerations in conducting the activity Perhaps the most important is to keep the objectives of the role play and the facilitator's role clear throughout the entire process The facilitator needs to be confident that the objectives are being met and that the activities can be focused adequately within a narrow range of learning goals

In instructing participants on how to role play, Maier's (1975) seven directions, as outlined below, are useful

1 Accept and adopt the facts of the role
2 *Be* the role
3 You may change your attitude(s) during the action
4 Let yourself become emotionally aroused
5 Make up data, if necessary, but do not alter the spirit of the case
6 Avoid consulting your role notes during the role play
7 Do not overact, it may detract from the learning goals

These instructions can also be reproduced on the role-description sheets that are handed out to role players prior to the activity

While the role play is being conducted, the facilitator must be able to modulate the intensity of the event This can be effected in a number of ways Humor can be used to lighten a heavy interaction, the role play can be put "on hold", participants can be assigned different roles during the role play, the interaction can be stimulated through intervention on the part of the facilitator, role players can be instructed to remain in role The facilitator can tell participants to reread their role descriptions and coach each other on roles, and then there can be interim caucuses between observers and support or reference groups and/or the role players The role play should be ended before it either becomes boring or loses its focus on the learning goals

It is important for the facilitator to be thorough in working all the way through the experiential cycle explained previously Forms and guided procedures can be extremely helpful for publishing experiential data, but the facilitator must assist in using the forms and in explaining and tracking the procedures Getting participants out of the content of the roles is crucial for effective processing While de-roling the role players after the role play, the facilitator may invite them to "ventilate" or to explore in an expressive way the feelings that they experienced during the activity They can also be invited to finish unfinished business by making statements such as "If I had been the boss " Role players often can separate themselves from the role through a written analysis of the role-play situation afterwards Sometimes this process can be stimulated by having individual consultants work with role players in order to "finish" the experience Role players often can give each other interpersonal feedback in role as a means of ending the activity and getting themselves beyond it in order to explore its generalizable learning To encourage participants, both role players and observers, to focus their learning, the facilitator can instruct them to concentrate on comparing feelings with observable behavior and to develop generalizations about the worlds that they ordinarily work in, while avoiding any discussion about

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personalities within the role-play situation The facilitator should also reiterate the objectives of the activity Often it is useful if the objectives are posted on newsprint in the training room The facilitator needs to be particularly careful to encourage the generalizing and applying aspects of the experiential learning cycle, as these are often omitted, leaving practical, transferable learning to chance

SUMMARY

Role playing is one of the most exciting techniques available to the group facilitator in training and development activities Since role playing is active learning, it requires detailed planning for both content and logistics, and since it is not a "show," it necessitates care in processing, or talking through, the experience before crystallizing its learning Finally, role playing creates practical, transferable learning that participants own and are likely to apply in their everyday lives

PUBLISHED DESIGNS

In University Associates' *Annuals* and *Handbooks* (Pfeiffer & Jones, 1972-1979a, 1973-1979b), are a number of role plays written in the form of structured experiences The major ones are listed here in two groups role plays and "quasi-role plays," i e , activities that have a role-play flavor to them even though individual persons are not assigned specific roles to play For each structured experience, its number, title, and the publication in which it appears are listed

Role Plays

9 "Committee Meeting Demonstrating Hidden Agendas" (*Handbook*, Vol I)
73 "Wahoo City A Role Alternation" (*Handbook*, Vol III)
98 "Strategies of Changing A Multiple-Role-Play" (1973 *Annual*)
131 "Roxboro Electric Company An OD Role-Play" (1974 *Annual*)
139 "Faculty Meeting A Multiple Role-Play" (1975 *Annual*)
144 "Lindell-Billings Corporation A Confrontation Role-Play" (1975 *Annual*)
193 "Tri-State A Multiple Role Play" (1977 *Annual*)
207 "Staff Meeting A Leadership Role Play" (*Handbook*, Vol VI)
211 "HELPCO An OD Role Play" (*Handbook*, Vol VI)
238 "Defensive and Supportive Communication A Dyadic Role Play" (1979 *Annual*)
266 "Power Personalities A Role Play" (*Handbook*, Vol VII)
268 "Sexual Values in Organizations An OD Role Play" (*Handbook*, Vol VII)

Quasi-Role Plays

80 "Energy International A Problem-Solving Multiple Role-Play (1972 *Annual*)
117 "Pine County Information-Sharing in a Task Group" (*Handbook*, Vol IV)
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Definition of a Team

"A group of people working together to accomplish a common result."

Teamwork

- Informal and formal teams
- Brings people with different knowledge together to solve problems

Teamwork

- Teams should be empowered to achieve results
- Processes cross functional boundaries - functions need to work together

Empowerment and Accountability

- Authority
- Accountability
- Capability (Tools, Knowledge, Ability)
- Trust

Managing for Results

- Know the customer and their needs
- Know the results we want to achieve
- Understand the process to achieve results

Managing for Results

- Use information/data to tell us how well things are working
- Have authority to take corrective action (change process, or change result)

CHANGE

- Happens when something starts or stops
- Happens at a particular time, or in stages at different times.

from the work of William Bridges

TRANSITION

- Three-part psychological process
- Extends over a long period of time
- Can't be planned or managed as rationally as with change

from the work of Wm. Bridges

TRANSITION

- Personal
- Organizational

Phases of Transition

- The Ending Phase - let go of old situation and identity
- The Neutral Phase - go through the "neutral" zone
- "The Vision" or New Beginning

The "Ending Phase"

- Disengagement
- Disidentification
- Disenchantment

The Neutral Phase

- Disorientation
- Disintegration

"The Vision" or New Beginning

- The new beginning is built upon the orientation and identity that comes out of the neutral zone
- Design activities to help people cope with losses

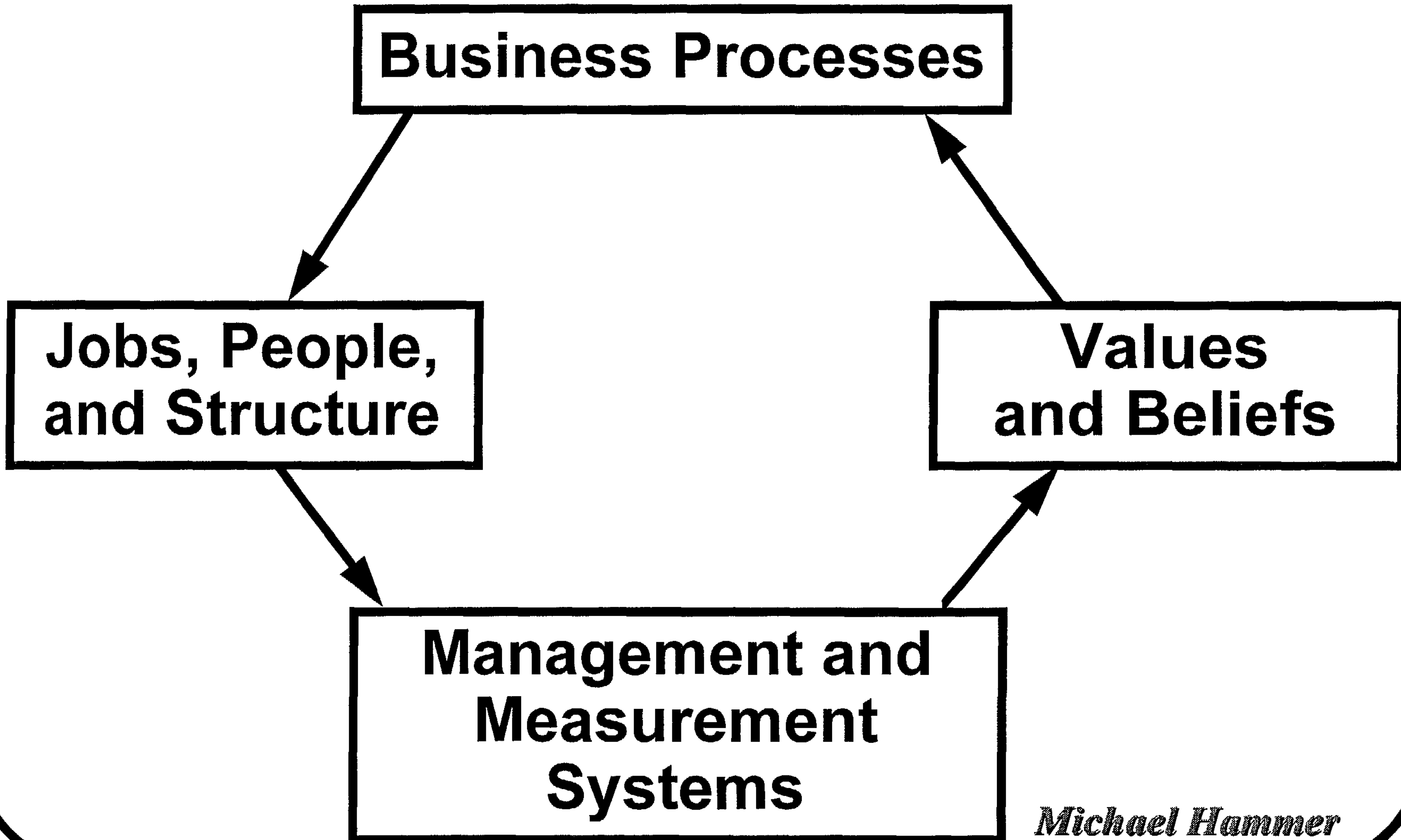
Holistic Business Reengineering

- Mission, Vision, Values
- Improved Processes and Information Systems
- Jobs & Expectations
- Training

Holistic Business Reengineering

- Rewards
- Measurement Systems
- Culture
- Organizational Structure

Here We Go Round The Diamond



Michael Hammer

Organizational Empowerment

- Commitment to customers, employees
- Accountability/responsibility - basis for operational agreements
- Individual and team contributions

Organizational Empowerment

- Management structure supports empowerment
- Action-oriented procedures

Transitions to AID's New Systems

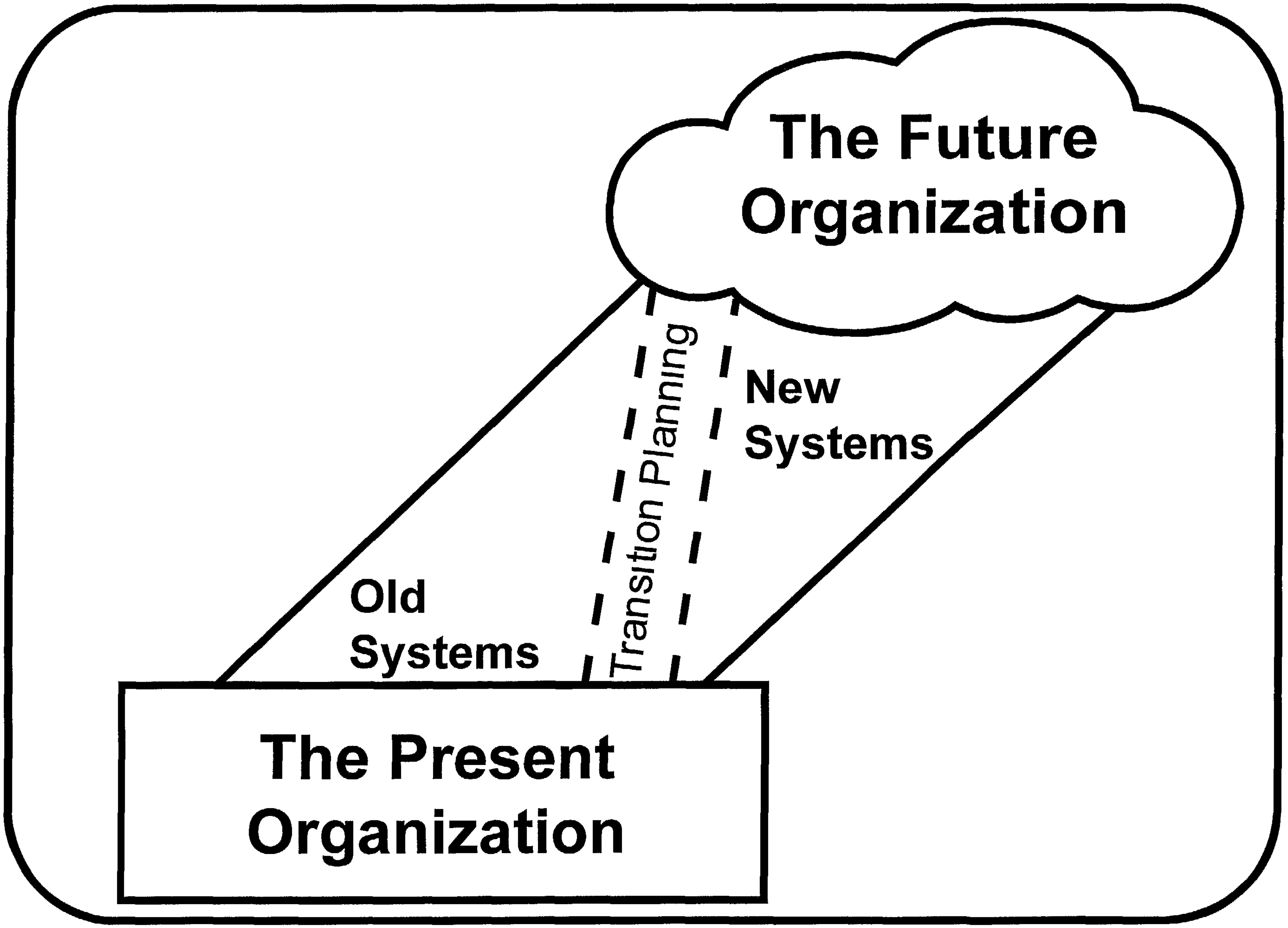
- Projects
- Contracts
- Grants
- Working with other donors

Options for Projects

- Place under an SO
- Break up elements among SOs
- Amend ProAg to fit under SO or break up elements
- Deobligate and try to reobligate

Advantages to Moving Transition Quickly

- Reporting
- Customer Service Plan needed
- Operating under R4 next budget cycle
- Demonstrate results through results framework


The Future Organization
Transition Planning
New Systems
Old Systems
The Present Organization

What can you do to plan transition within the level of authority you already have?

- Organizational level (operating unit)
- Personal level

Changing and Transitioning our Processes

- Reengineering changed the Agency's processes
- Policies and directives describe broad parameters, not all operating unit specifics
- OUs will transition to Agencywide processes and change local processes

Ensuring Customer Satisfaction

Who are they?

Supplier → Work Process → Product/Service → Customer

What do they need?

- Understand Customers' needs
- Incorporate needs into design of product/service
- Ensure process can create desired product/service

What is a Process?

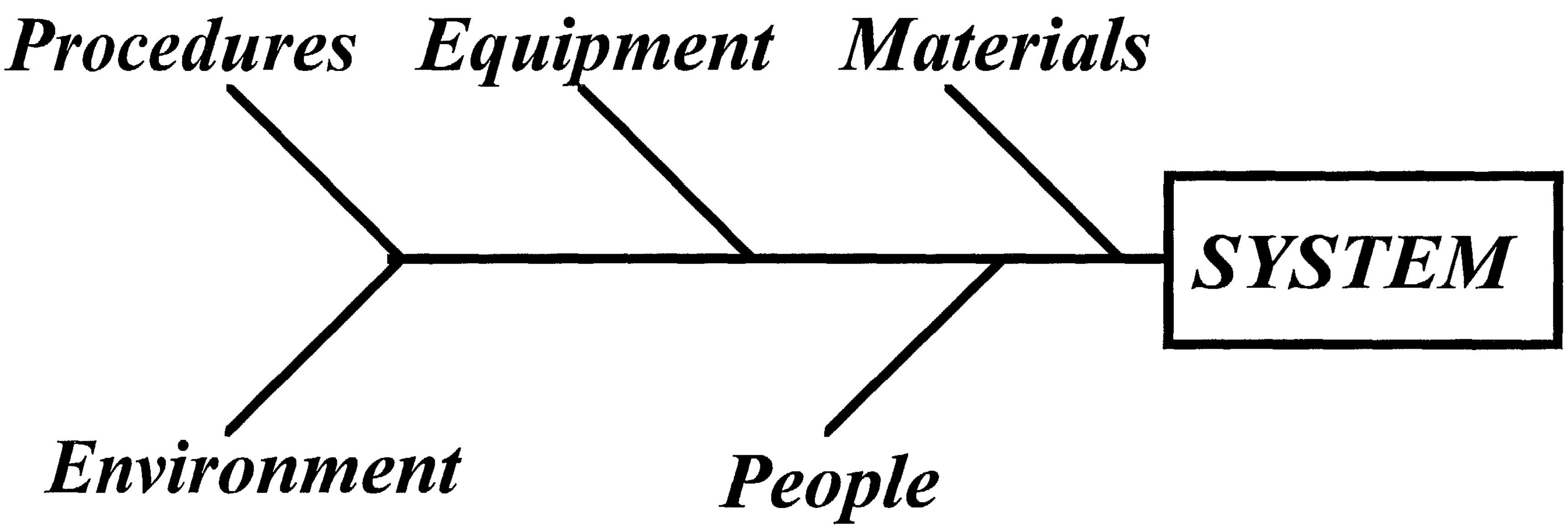
- A series of interrelated activities/steps which:
  - takes inputs,
  - adds value to them, and
  - creates products/services to:

Meet customers' needs

Attributes of Processes

- Seldom understood by many
- Typically evolve over time
- Often, many of the steps are non-value-added, or duplicative
- Often contain steps which are waste and rework
- Often are internally oriented, versus customer-oriented

Components of a System



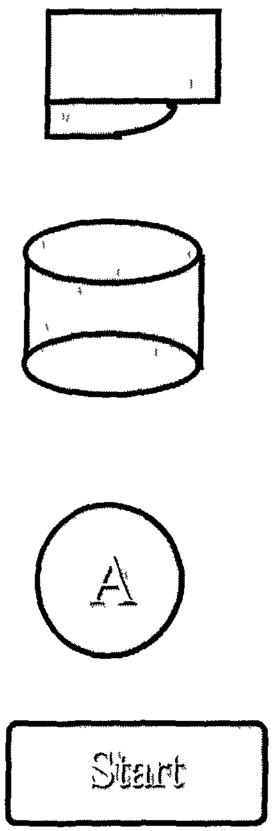
Standard Flow Diagram Symbols

The Activity Symbol indicates a single step in the process.

The Decision Symbol designates a decision or branch point in the process.

Flow lines are used to represent the progression of steps in the sequence and direction of flow.

Standard Flow Diagram Symbols



The Document Symbol = written information.

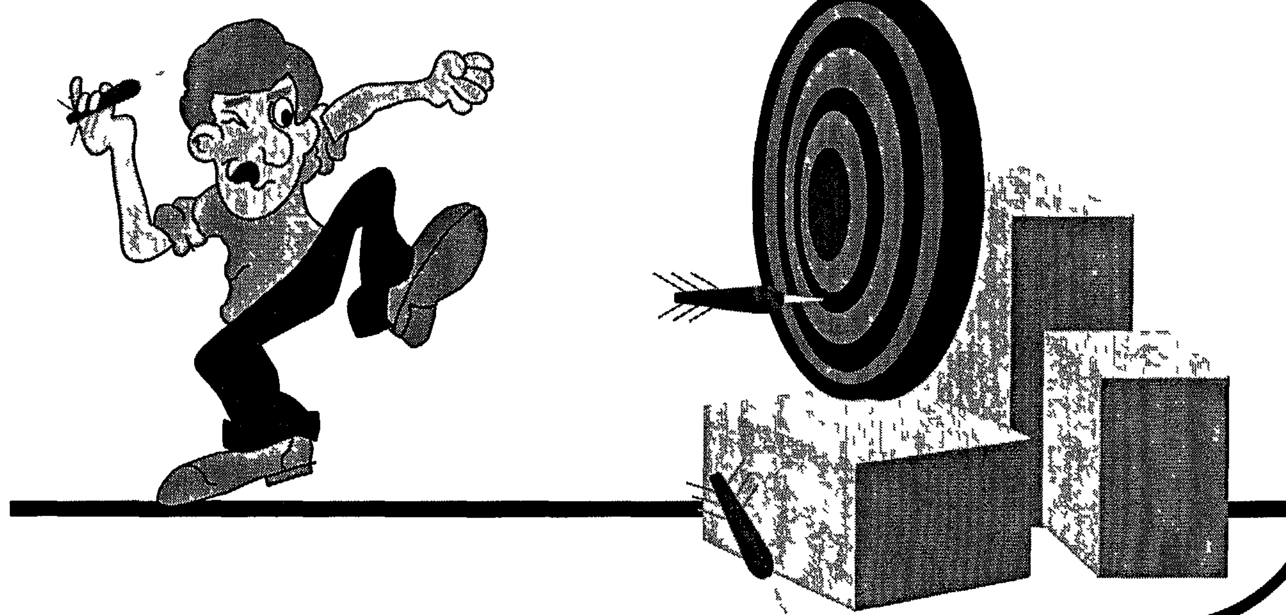
The Data Base Symbol = electronically stored information.

The Connector = a continuation of the flow diagram.

The Terminal Symbol = the beginning or the end of a process.

DEFINITION OF INSANITY

Doing the same thing twice and expecting a different result.



Analyzing a Work Process (things to look for)

- Rework loops
- Nonvalue-added steps
- Delays
- Documents that go nowhere
- Serial vs. parallel steps

Why is a Flow Diagram so Valuable?

- It allows us to “see” a process objectively
- It gives insight to problems and delays
- It helps groups arrive at a common understanding of how a system works

Why is a Flow Diagram so Valuable?

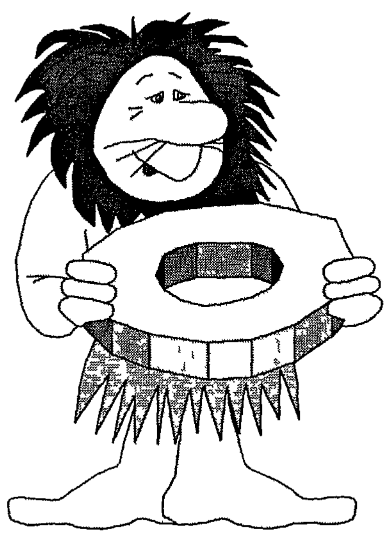
- It tells us "what is" -- not what we want it to be
- It shows us the "truth"

How can Processes be Improved?

- Reduce the number of steps
- Eliminate non-value-added steps
- Find ways to reduce the cycle time

A Thought On Improvement . . .

If you always do what you've always done . . .



. . .You'll always get what you always got!