Reading Material

CGM - 01

Dr. MCR Human Resource Development
Institute of Andhra Pradesh Hyderabad

Handbook For Core Group Members

Dr. MCR
H R D
INSTITUTE
Of Andhra Pradesh

Dear Participant,

The Government of Andhra Pradesh has launched a major Training and Human Resource Development initiative. For effective and efficient implementation of various programmes taken up by the Government, well-trained and well-informed official machinery is a must. The Government had been introducing a large number of new programmes and launched a series of measures aimed at bringing the Government closure to a common citizen who is the intimate stakeholder.

No initiative of any organization can be successfully implemented, if the functionaries are not fully involved in the programme. The best way to involve them would be to make each functionary aware of his/her role/functions and responsibilities and making him/her fully conscious that he/she is accountable to its stakeholder., the Citizen. With this in view the Government of Andhra Pradesh has adopted SMART model of Governance, which is Simple, Moral, Accountable, Responsive and Transparent. With a view to taking stock of the functioning of various Government Departments in a broader perspective and in a holistic way, 3-day workshops entitled Governing for Results was initiated by Dr. MCR Human Resource Development Institute. In these workshops, the departmental staff cutting across all levels and status, the vertical hierarchy was involved to enable free, unreserved interactions on various important issues related to various key areas of Administration that call for immediate attention of the Department. It is found in the course of study of functioning of various Government Department. It is found in the course of study of functioning of various Government Departments that the delivery of services to the citizen is either being delayed or the quality is diluted because of some obsolete Government Orders, directions, Memos, Orders, instructions etc. governing certain Reports, Procedures, Approvals, Meetings, Procedure, etc. issued by the Government decades ago, that have outlived their utility and have become irrelevant but still continue to be in operation even today.

Therefore, it has become necessary to re-examine the relevance of such orders critically and weed out those that not only do not add any value to the existing system but prove to be roadblocks in the effective delivery of the services. These exercises of process re-engineering has to take place in each department to remove the clutter from the systems to make them flow smoothly, efficiently and effectively.

The Institute acknowledges the contribution of Prof.. S.R. Ramnarayan, Consultant, CGG who compiled this booklet in a capsular form comprising various facets of Process Reengineering.

The information given in this volume is for training and guidance purpose alone and not to be cited as an authoritative document in any official matters and cannot be the basis for any litigation or legal action.

Please to through the material, supplied to you. If you have any suggestions, please send them directly to the Director General, Dr. MCR HRD Institute of Andhra Pradesh, Road No. 25, Jubilee Hills, Hyderabad – 500 033.

We propose to update and revise these booklets periodically incorporating the suggestions made by the participants from time-to-time.

P.V.R.K. Prasad, IAS (Retd.)
Director General

Handbook for Core Group Members

How to implement reform process by bringing about changes in your zone of influence

Table of Contents

A Brief Note on the Handbook

This small handbook has been designed to help you play your role effectively as a Core Group Member or Change Agent in the reform process. It includes tools, techniques, and "how to" guidelines that can help you initiate, implement and institutionalise meaningful change.

As with other such handbooks, we have drawn on a number of sources to offer you a set of essential professional tools in one place for ready reference. There are several tools, techniques and ready reckoners in management and leadership literature, and we have picked those that we believe, are likely to be the most useful for your work. As you keep applying the techniques to real life situations to bring about real improvements, you would be able to expand and refine your tool kit.

We are all aware that a powerful way of learning is by "doing". Effective change agents learn through active experimentation. From this perspective, your learning of a certain technique would be really complete only when you have used that technique after tailoring it to the specific circumstances you face, and achieved the results that you had intended to achieve.

We wish you a lot of excitement of being a reflective practitioner!

Introduction and Overview

We can talk of two broad categories of change. The first category is typically directed from the top, and is based on an overall design flowing from the stretegy of the concerned department / agency. We may call this as "D-type" change. D-type change is intended to bring about large scale change in different parts of the organisation.

On the other hand, the second category of change is akin to lighting a number of small lamps to dispel darkness. It builds on smaller changes initiated by empowered organisational members at operating levels. We may refer to this as "E-type" change. Members at operating levels have direct exposure to and experience of where the shoe pinches. Mobilising and unleashing their energies can lead to significant improvements in the functioning of organisations. In this handbook, we focus on "E-type" changes.

It should be emphasized that E-type changes also require active leadership support and encouragement. Without a strong leadership backing, E-type changes cannot be sustained, particularly in hierarchical organisations.

In Figure 1, we have outlined a set of steps that a core group member should take to bring about meaningful E-type changes for the reform process. Relevant tools and techniques for different components of the change process have been presented in rest of the handbook. Figure 2 presents a list of the tools and techniques for each stage of the change process.

For effectively implementing E-type changes, core group members should develop *skill* and *will* to do the following:

- Take initiative and use appropriate tools and techniques to analyse, issues, design alternatives, and seek yes or no decisions in appropriate forums.
- Involve relevant stakeholders (members of own team, other teams, citizens etc.) to identify problems, generate solutions, and increase stakeholder commitment.
- Work effectively across organisational boundaires' (for example, with individuals and groups at other levels, departments, or external constituents) and sort out issues and differences in the larger interest of the organisation / society.
- Use workshops, special meetings, etc. to reach closure on issues so that actions can be initiated without needless delays. This is critical for sustaining the energies of people.

Solving problems or making improvements is not only an intellectual or logical process. It is also a social process. A change agent has to, therefore focus on two aspects:

- Enhancing the logic or rationality of problem solving process, and
- Creating greater willingness,cooperation,and enthusiasm among team members.

Figure 1. Improving Work Processes; Steps to be taken by Core Group member

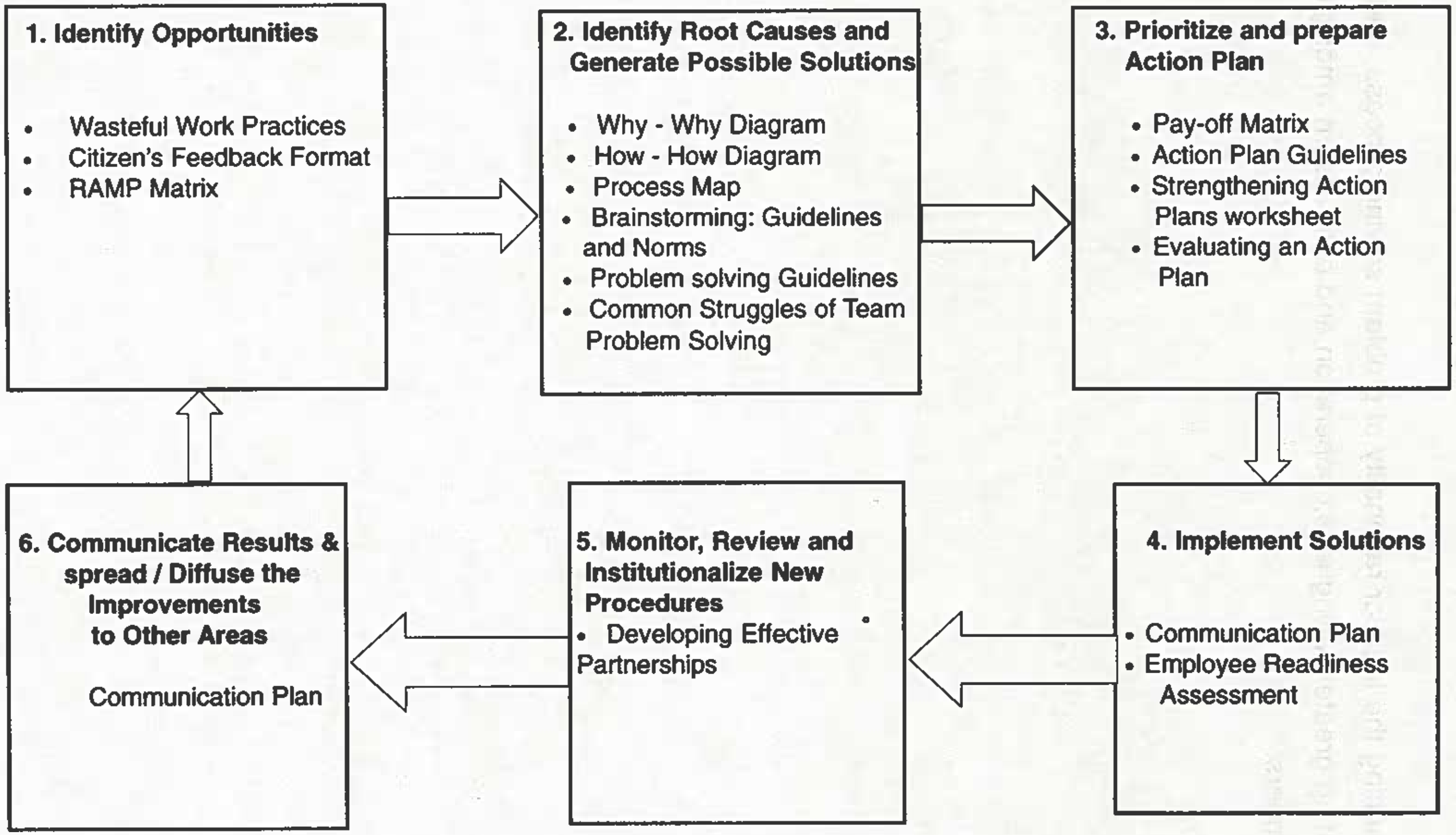


Figure 2. Tools and Techniques to be used at Each Stage of the Improving Work Processes

Stage	Tools / Techniques /Skills
Identify Opportunities	• Wasteful Work Practices • Format for obtaining customer/citizen feedback and translating them into process improvement goals • RAMP Matrix
Identify Root Causes and Generate Possible Solutions	• Why – Why Diagram • How – How Diagram • Process Map • Brainstorming : Guidelines & Norms for Problem Solving • Problem Solving Guidelines • Common Struggles of Team Problem Solving
Prioritize and Prepare Action Plan	• Pay – off Matrix • Action Plan Guidelines • Strengthening Actions Plans Worksheet • Evaluating an Action Plan
Implement Solutions	• Communication Plan • Employee Readiness Assessment
Monitor, Review and Institutionalize New Procedures	• Developing Effective Partnerships
Communicate Results & Spread / Diffuse the Improvements to other Areas	• Communication Plan

Wasteful Work Practices Worksheet

Purpose: This technique utilizes the day to day observations and practical insights and judgements of people at operating levels to quickly assess and analyze wasteful work practices. These work practices take time and effort but don't seem to add any real value or value commensurate with the effort involved.The tool can be used to simplify processes, and enhance speed and responsiveness.

Brief Description: Almost everyone in the organization can identify parts of their daily routine that don't make sense. People at operating levels know best as to what aspeccts need change. In this tool, they get an opportunity to identify and remove wasteful work practices.

Procedure for using wasteful work practices worksheet::

1. The change agent should get a relevant group of employees, and describe the purpose of the exercise, and the steps to be followed in the exercise.
2. Individual Ratings: The change agent should hand over Wasteful Work Practices worksheet to the members of the group. The individuals should be asked to select one or two practices that, if eleminated or changed, would make significant and positive difference to them or to the citizens/ stakeholders. The sheets would be filled out individually.
3 Sharing individual ratings with others: The change agent should invite each group member to briefly share his/ her observations. Others can seek clarifications.
4. Discussion and Collective judgement: The change agent will compile the forms and make a list of all the activities listed out by the people. An attempt should be made to see what the common concerns are. It should be examined if anything of value would be lost if we modify the system.
5..Documentation: The change agent will present an oral summary of the group consensus on how the process can be simplified. A written summary would be quickly prepared for taking approvals at an appropriate forum later.

Wasteful Work Practices: A Subjective Study

Everyone in organizations, at one time or another, finds that there are recurring work practices-reprots, approvals, measurcs, meetings, reviews, procedures, and so on and on- that take time and effort, but don't seem to add real value, or value commensurate with effort involved.

1. In the space below, please describe a few procedures/ processes that you or your people have been doing whose value might be questionable.

2. What do you think is the impact of this process/ procedure in terms of delay, waste, customer/ citizen satisfaction, and poor performance?

Format for Obtaining Citizen Feedback and Translating them into Process Improvement Goals

Purpose: This format can be very useful to identify citizen processes that require review and modifications. This tool can be used to identify the problem areas faced by citizens in the areas of department's services. It can help the change agent in identifying processes that cause dissatisfaction to the large public.

Brief Description: Government departments exist to serve public better. It would be important for any department to take the feedback from citizen about how he feels about the department's services. By taking feedback from citizens, departments can identify the processes which are causing dissatisfaction to public. Departments can review and modify the processes to make it better to serve citizens.

Procedure for using citizen Feedback Format:

1. The change agent should get a relevant group of citizens, and describe the purpose of the excrcise, and the steps to be followed in the excrcise.
2. Individual Ratings: A copy of format should be given to each person, Each member will complete the form by indicating what they think are the problem areas in the department's services.
3. Sharing individual ratings with others: The change agent should invite each member to bricfly share his/her observations. Others can seek clarifications.
4. Discussion and Collective Judgement: An attempt should be made to see what the common concerns are.
5. Documentation: The change agent will present an oral summary of the group consensus on what the common problems are . He will compile all the problem areas and identify the processes for each problem area that is causing the problem. He will review and modify those processes that are causing problems and submit his recommendations to the leadership of the department for appropriate approvals.

Format for obtaining customer / citizen feedback and translating them into process improvement goals

Please examine whether your customers / people experience the following problems with regard to specific services offered by your department / section.

- Cumbersome Procedures.
- Red Tapism.
- Repeated visits for even simple work.
- Information is called for piecemeal.
- Lack of acknowledgement.
- No time frame given for disposal / decision.
- Papers keep shuttling from one desk to another leading to inordinate delays.
- Officers are not available on days nominated for hearing grievances.
- Unfriendly attitude.
- Absence of information on the status of a given case.
- Lack of coordination between different departments / sections.

From the above analysis, what processes emerge as requiring review and modifications?

The RAMP Matrix

Purpose: This technique utilizes the day to day observations and practical insights and judgments of people at operating levels to quickly assess and analyze clutter or inefficiency in the system that tends to build up over time. It can help the change agent in identifying ways and means of simplifying processes, by removing those extra steps that take time but don't add any value. Simplification also helps in speeding up the process.

Brief Description: RAMP is an acronym for Reports, Approvals, Meetings, and Procedures. Almost all operations, as they evolve over time, develop some amount of clutter or inefficiency -- reports with unnecessary data that go to people who do not need them; requests for signatures or approvals from people who may not be in the best position to decide and so on. People at operating levels know best as to what aspects need change. In this tool, they get an opportunity to remove work that they don"t find valuable.

Procedure for using RAMP Matrix:

1. The Change Agent should get a relevant group of employees, and describe the purpose of the exercise, and the steps to be followed in the exercise.

2. Individual Ratings: A copy of RAMP Matrix form should be given to each group member. Each member will complete the forms by indicating what reports/ meetings/procedures etc. could be changed or modified.

3. sharing individual ratings with others: The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.

4. Discussion and Collective judgement: An attempt should be made to see what the common concerns are. It should be examined if anything of value would be lost if we modify the system.

5. Documentations: Thechange agent will present an oral summary of the group consensus on how the process can be simplified. A written summary would be quickly prepared for taking approvals at an appropriate forum later.

The RAMP Matrix

CONTROL

	Self	Group	Department	External
Reports				
Approvals				
Meetings				
Practices				

Could it be?

1. Eliminated?
2. Partially Eliminated?
3. Delegated downward?
4. Done less often?
5. Done in a less complicated/time consuming manner?
6. Done with fewer people involved?
7. Done using a more productive technology?
8. Other?

Why - Why Diagram

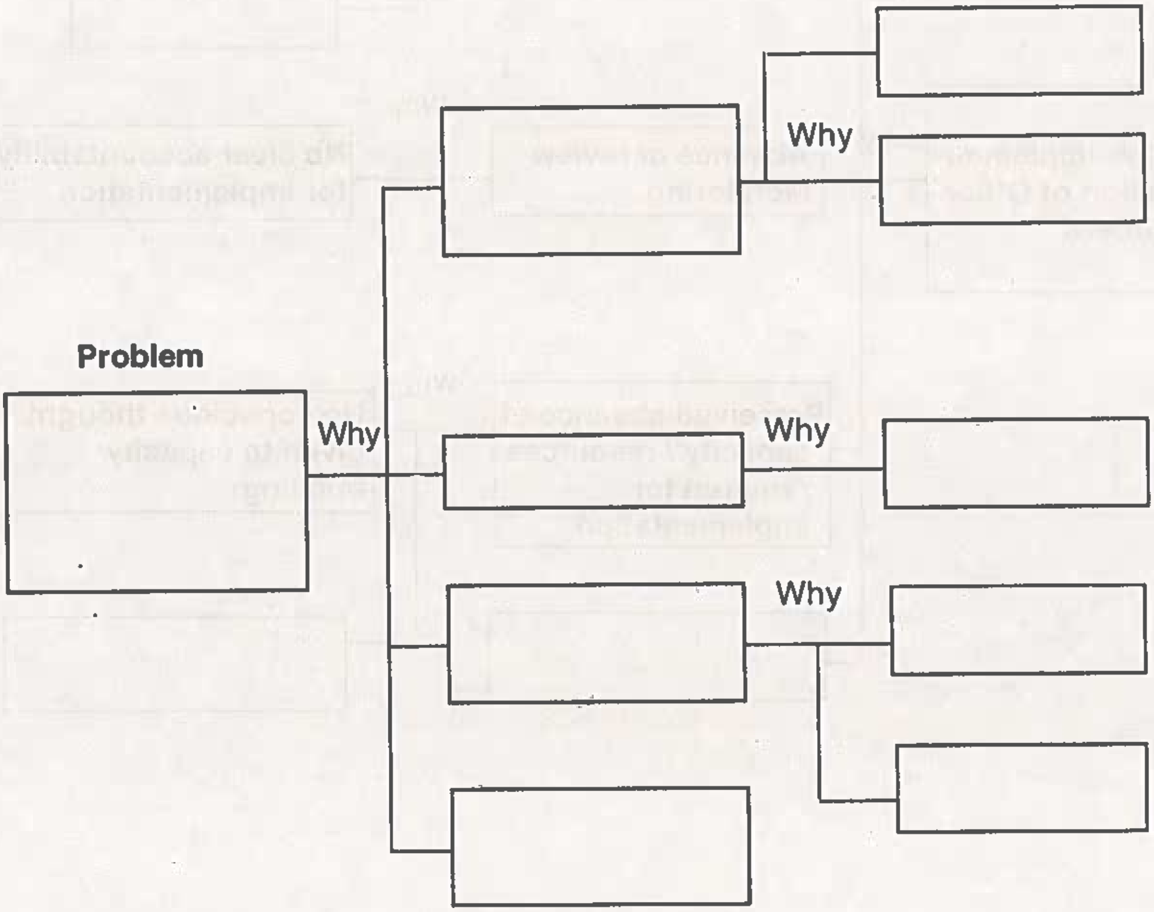
Purpose: Why - Why diagram is used to find out the root causes of the problem. This is a stem and leaf diagram where the starting point consists in asking the question. "Why is there a problem?" The aim is to develop a diagram with a few principal and secondary branches. The project team continues the question process by repeating the question "why?" until the roots of the problem become apparent. The root causes are identified if the problem is repeated or appears in several branches in the diagram.

Procedures:

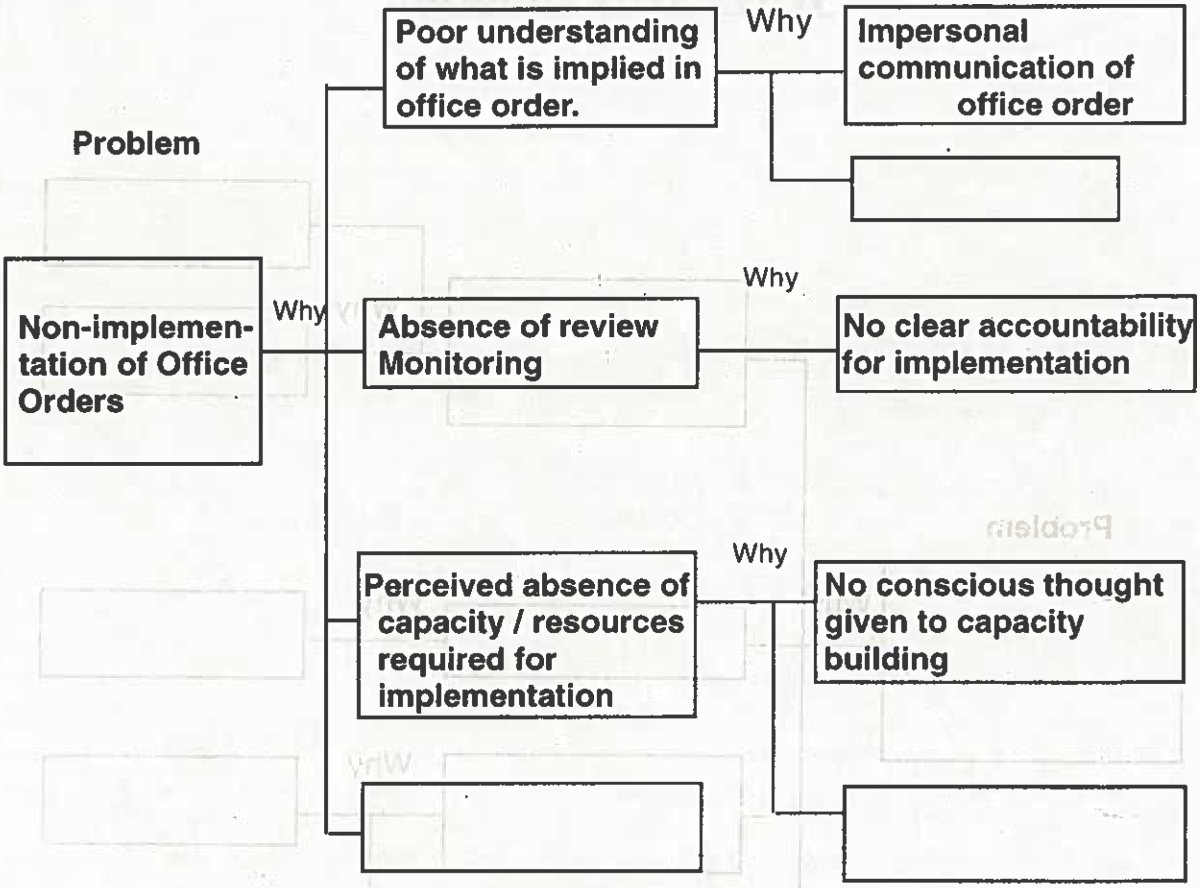
The change agent should get a relevant group of employees, and describe the purpose of the exercise, and the steps to be followed in the exercise.

1. State the problem to be analyzed.
2. Ask "Why" - ie. what are the first level of causes of the problem?
3. Write each cause on the diagram.
4. For each cause, ask "Why" again and write the answers in the next column, linked to the previous answer.
5. Keep asking "Why" until no more answers can be suggested.
6. Use the causes listed, especially those on the last level of the diagram, to generate possible solutions.
7. Review data for evidence of which causes are mot important; gather fresh data if necessary.

Why - Why Diagram



Example of a Why - Why Diagram



How - How Diagram

Purpose: How-how diagrams are a simple technique for considering alternative solutions. They can also be used to help isolate the specific steps necessary to implement the solutions and hence formulate an action plan.

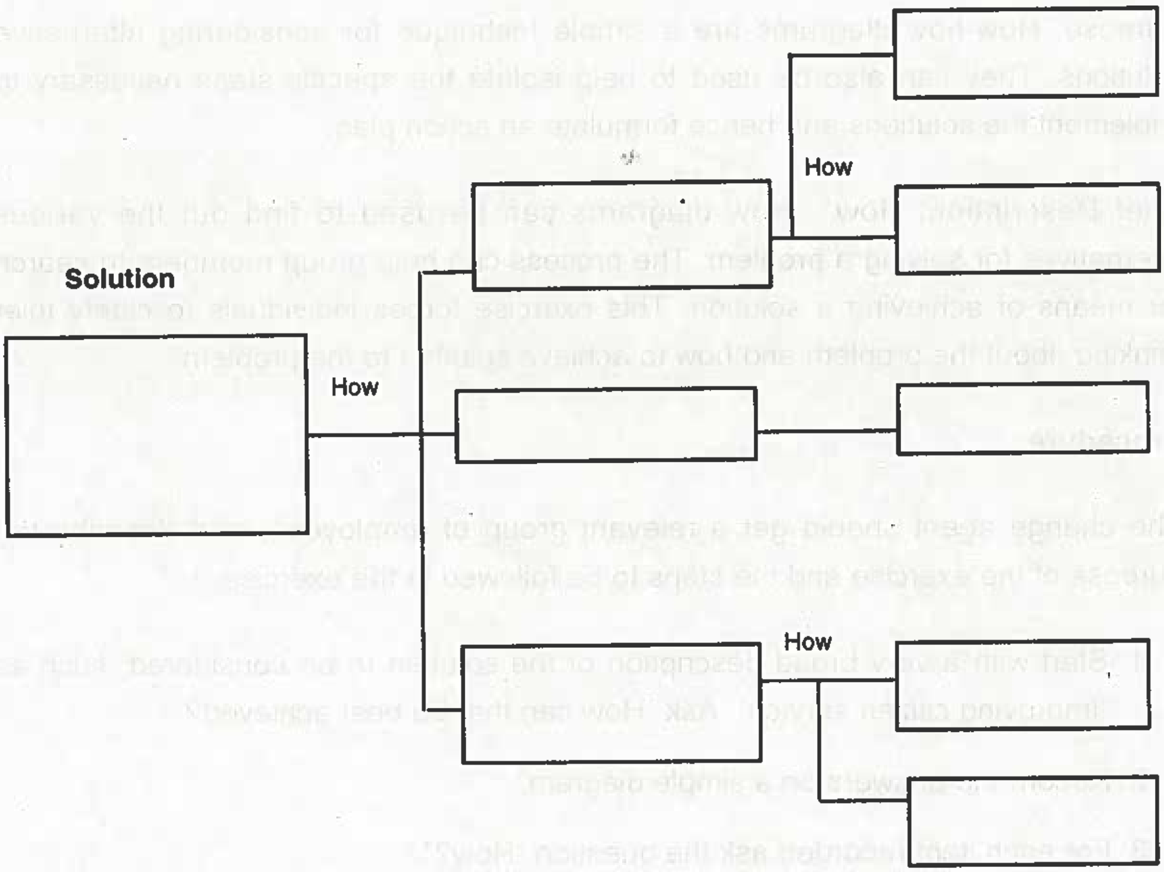
Brief Description: How - How diagrams can be used to find out the various alternatives for solving a problem. The process can help group members to search for means of achieving a solution. This exercise forces individuals to clarify thier thinking about the problem and how to achieve solution to the problem.

Procedure:

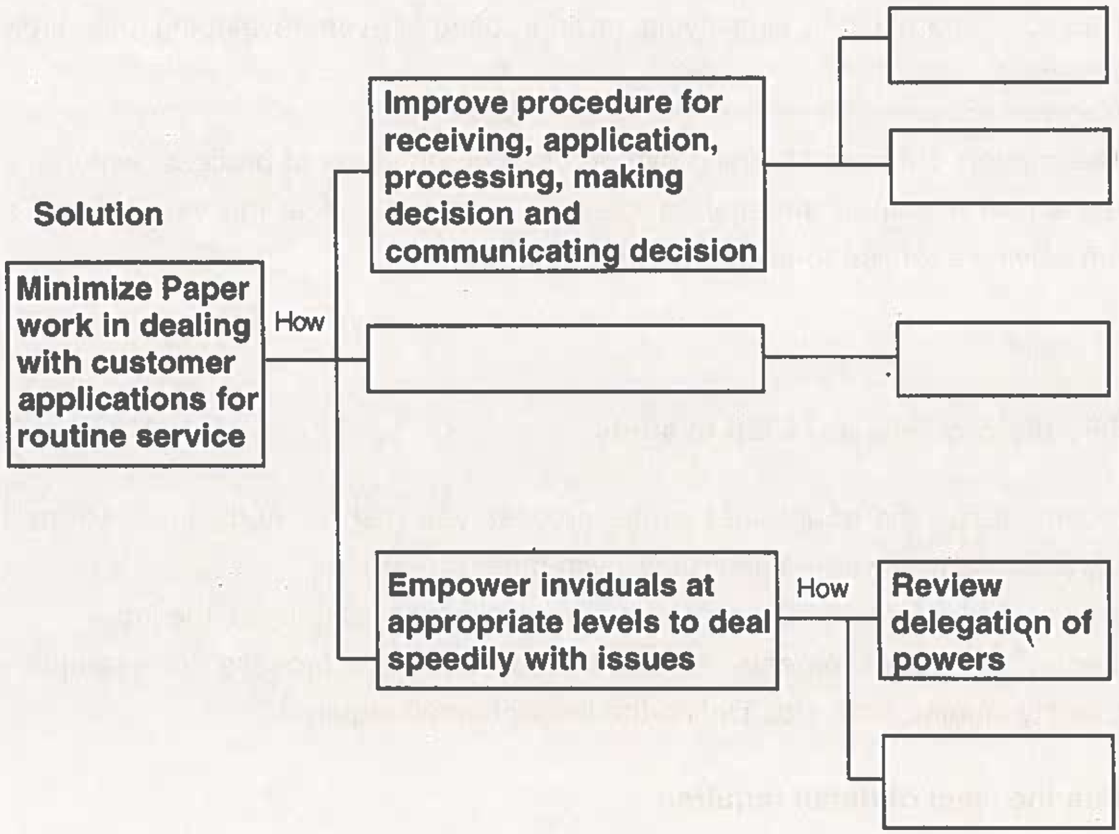
The change agent should get a relevant group of employees, and describe the purpose of the exercise and the steps to be followed in the exercise.

1. Start with a very broad description of the solution to be considered, such as "Improving citizen service". Ask `How can that be best achieved?'.
2. Record the answers on a simple diagram.
3. For each item recorded ask the question "How?".
4. Continue asking "How?" as long as sensible answers are possible, usually no more than five iterations are necessary.
5. Once completed the advantages, disadvantages, cost and probability of success of each, alternative can be established to help select the best option.
6. The items recorded can be used to plan the implementation process.

How - How Diagram



Example of a How - How Diagram



Process Map

Purpose: A Process Map is a picture of what is happening within a process. It is also called a flowchart. Process Mapping is a first step in understanding how and why a process behaves the way it does. Once a process is understood, process mapping can be used to improve it by simplifying, error proofing or even developing an entirely new process.

Brief Description: Process Mapping can be used on any type of process, whether it involves a flow of paper, material, or ideas. It is often used at the very start of a problem solving exercise to understand the process.

How to Use it

1. Define the process you wish to study

- Clearly define the boundaries of the process you wish to study, i.e. - where it starts, stops and where it interfaces with other processes;
- Identify the "owners" of the process - the people who actually do the job.
- Identify key measurements needed to understand the process, for example - quantity, quality, time etc.. Define the level of detail required

2. Define the level of detail required

There are usually three levels of process map used:

Macro level, often used to provide an overview of a process or of several processes.

Mini level. This is the most common level used. Process maps at this level often cross departmental boundaries and involve several people. Each step usually represents an activity which itself consists of many tasks.

Micro level, often used for the detailed analysis of a work fuction. Steps in this type of map are tasks, often performed by one person only. Gain agreement from the "process owners" on the definition of the process.

3. Identify the steps with in the process

- Talk to all concemed people involved in the process and understand what really goes on in the process. Collect data about the way presently the process works

- Determine key measurements for each step, obtain minimum, maximum and averatges if there is identifiable variation.

- Find out the details about delays, queuing, re-work loops.

- Map the flow as it is, not as people think it should be, or how it is going to be after some future change (e.g. new equipment due in any time).

4. Draw the Map and Finalize

- Draw each step of the process and link them in correct sequence.

- Verify the map with the people involved in the process and any other who are connected with the process.

- Finalize the map.

Brainstorming

Guidelines

When it comes to solving problems, two or more heads are definitely better than one. But problem-solving sessions can be unproductive if the group loses focus or is dominated by one or two members. Use the following guidelines to keep group problem solving sessions productive:

- Define the problem to be worked on as clearly as possible. The group should not assume that words mean the same thing to different people. Time and effort should be invested to create a clear and shared understanding of what problem is sought to be discussed, and why.
- Define the success criteria for the session: What needs to be accomplished in order for the results of the session to be satisfactory?
- Determine how the results of the problem-solving session will be used.
- No debating. Allow no criticism of ideas. There would be adequate time later for evaluating ideas. Any criticism, evaluation or debate during the idea generation process will adversely affect the quality of group working and its creativity. As soon as one person expresses doubts or negative evaluative comments about another team member's idea, it will inhibit others from speaking out.
- Encourage "free-wheeling" -- Let the ideasflow freely.
- Go for quantity and diversity of ideas. Encourage all kinds of ideas.
- Combine and build on ideas.
- There are no bad ideas - Keep your mind open to all ideas, both your own and others. Do not belittle any ideas. Extreme ideas may trigger a more realistic idea from someone else, who wouldn't have thought of it otherwise.
- Throughout the whole process, make sure that everyone is encouraged to participate and that everyone's input is treated with respect. Remember that everyone has something to contribute.
- Only after your team has exhausted all ideas, crazy and otherwise, should you stop generating and start evaluating what ideas are real possibilities and what ones should be discarded.

Brainstorming

Norms

- ***No 'Sacred Cows'***: Anything is open to question, and phrases such as "We've always done it that way" are invitations for challenging assumptions.

- ***No 'Turf':*** People should not defend functional, sectional or departmental boundaries, but should instead look at issues from a process and citizen perspective, regardless of their functional "home"

- ***No 'Blaming':*** Change is a bout making things better, not searching for the villains who got things into the shape they're in.

- ***No 'Stripes':*** Rank or status should not be allowed to interfere with the process in a brainstorming session, and ideas from all sources should be respected.

- ***No 'Complaining':*** An observation about something that needs to be fixed is just a complaint unless it comes with everything needed to fix it - a recommendation, an action plan, a timeline, and someone who is willing to take accountability to take the initiative necessary to bring about an appropriate corrective action. Brainstorming session is not a complaint session.

Problem Solving Guidelines

Formulate the problem (gap between what is and ought to be)

What type of probelm is it

- Individual
- Relationship
- Group
- Inter group
- Leadership
- Total system

What are the principal, most plausible sources of the problem?

- Context
- Internal department factors
- Design factors
- Culture

What are the problem parameters?

- How high are the stakes?
- What factors must change?
- What factors can change?
- Who controls or has influence over the key factors?
- How accurate is the available information?
- Is more information available? From whom?
- How urgent is the problem?
- How important is the problem, relative to other problems and demands

Developing a solution-finding strategy

What are the constrains on a solution

- Time
- Money
- Organisational policies and traditions

- Expectations and prior commitments
- External realities (cultural, legal, technical)

What are the available resources?

- Time
- Money
- People (insiders and outsiders)
- Existing relationships
- Power

Should others be involved?

- In problem definition
- In data collection
- In generating alternatives
- In implementing solutions
- In monitoring and assessing results

Evaluating Alternatives

Effects

- Does action address critical aspects of the problem?
- What are the risks?
- If plan fails, what will the new situation be like?
- What does the plan depend on? (trust, acceptance of change agent, responses of affected parties)

Costs (both financial and human)

Timing

- Over what time period will actions occur?
- When is the appropriate time for action?
- How much time will action require?

Common Struggles of Team Problem Solving

It's no surprise that teams run into a number common "process" problems during group problem solving. Facilitators and team leaders should be alert to the following problems and try to avoid them or make corrections as needed.

- Dividing up into small groups too quickly - before the group has learned how to recognize a robust recommmendation by working on together.
- Not being sharp and clear enough in describing the recommendation action idea - or the issue that the action is disigned to address.
- Being reluctant to estimate payoffs-or not knowing how to go about estimating
- Wanting to present the all the background details and calculations supporting the estimated payoff - rather than showing the number and the key assumptions.
- Losing sight of the goal.
- Including too much detail and having too lengty a presentation.
- Wanting to work on too many ideas.
- Staying with an idea too long.
- Certain individuals are dominating the group by doing much of the talking and not letting others to air their opinion.

Pay-off Matrix

Purpose: This is a simple but powerful tool for prioritizing ideas that arise in a brainstorming session or in a meeting to identify possible actions for improvement. This tool helps team members to think through the possible impact and achievability of the ideas and actions that they have come up with.

Description: This tool is useful for weighing the potential value of an improvement idea against the difficulty of implementing it. Ideas or actions can be classified in terms of two criteria:

- *How **easy** or **difficult** will it be to implement the idea or opportunity?*
- *What is size of the expected payoff -- **High** or **Low**?*

In this way, we end up with four categories of ideas/actions:

1. *Low-hanging fruits* (Easy and Low): These are the most obvious ideas that are the easiest to solve. The effort is easy and the payoff is low.
2. *Jewels* (Easy and High): These are also problems that are easy to identify, but if they are implemented, they will have a bigger payoff to the organization than the low-hanging fruit.
3. *High-hards* (Difficult and High): These are the problems that are hard to identify and solve, but also have a big pay-off to the organisation.
4. *Drop* (Difficult and Low): These are not worth pursuing, as they are hard to identify and solve, but have a low pay-off. It is always better to deal with issues that are not so complicated or have a bigger payoff to the organisation.

Procedure:

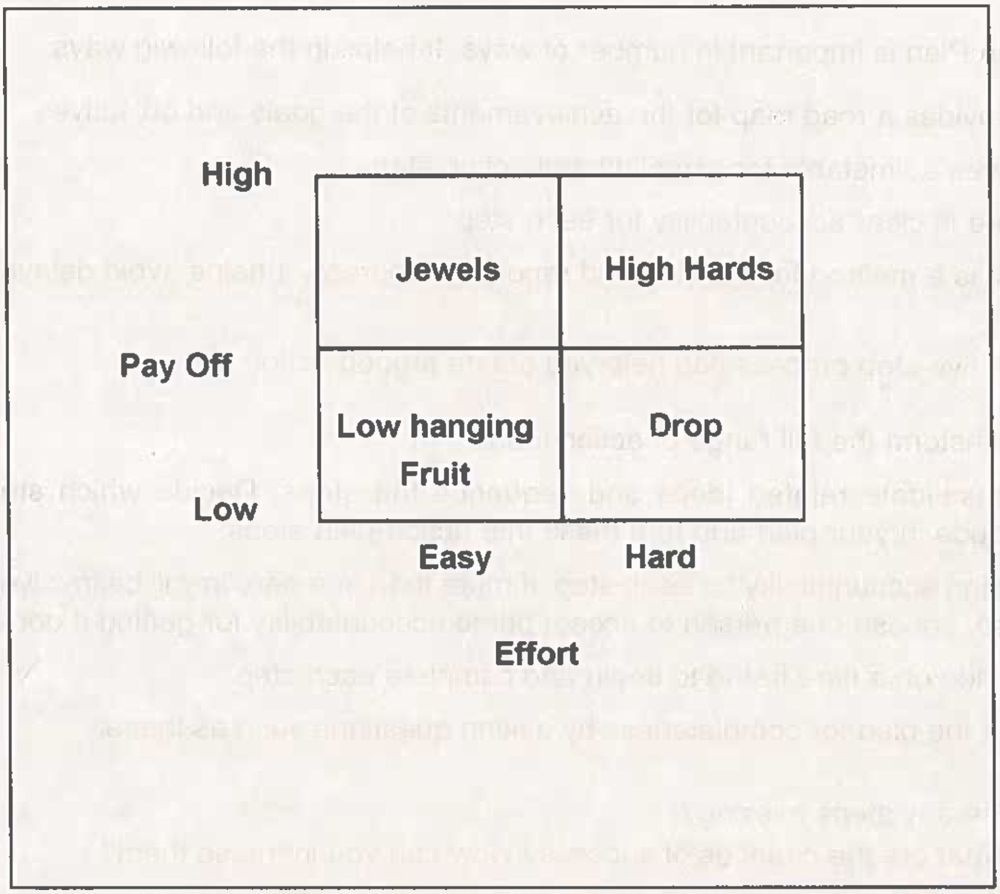
1. The change agent introduces of Payoff matrix, and tells members to assess each idea in terms of two criteria:

- *How easy or difficult will it be to implement the idea or opportunity? Easy to implement* can be taken to mean eight weeks or less, and with minimal new resources, and Difficult to implement can be taken to mean more than eight weeks, or lots of additional resources, or both.

- *What is size of the expected payoff? is it high or low? is it significant or negligible?*

2. If we assume that twenty-five ideas are raised during the brainstorming session, the change agent may seek the views of group members and place them in one of the four quadrants on a board. Plotting each action idea on the four quadrants of the payoff matrix gives the potential of each idea. The "low hanging fruits" and "Jewels" will typically become the group's top-priority actions. At the same time, the group ould also resolve to tackle a few high-hards.

Pay-off Matrix



Action Plan Guidelines

An action Plan is important in number of ways. It helps in the followig ways:

- It provides a road map for the achievements of the goals and objectives
- It gives a timetable for completion of action steps.
- There is clear accountability for each step.
- As it is a method for tracking and reporting progress, it helps avoid delays.

A simple five-step process can help you create a good action plan.

- Brainstorm the full range of action ideas.
- Consolidate related ideas and sequence the steps. Decide which steps to include in your plan and turn these into action-plan steps.
- Assign accountability for each step. If more than one person will be involved in a step, choose one person to accept prime accountability for getting it done.
- Decide on a time frame to begin and complete each step.
- Test the plan for completeness by asking questions such as these:
  - Are any steps missing?
  - What are the chances of success? How can you increase them?
  - Are the sequencing of steps and the due dates realistic...given other commitments and priorities?
  - Have you considered key risks and weak spots? Can you build steps into the plan to address these?
  - Who do you need to share the plan with? How will you communicate what you are doing to those affected?
  - Is the implementation of the recommendations well within the appropriate time frame?
  - Are there ways to accelerate action?
  - Are there wars to improve the recommendation or the action plans - to make it more complete or more compelling?
  - Are there steps built into the plan to track and measure progress?
  - What are some of the likely objections or questions that might be raised by employees? How might these be addressed?
  - How can you build some excitement and energy into the effort?

Strengthening Action Plans Worksheet

Purpose: This worksheet is useful in strengthening action plans. By asking these questions action plans can be tested for completeness and probability of success. This is a useful format for improving actions plans.

Brief Description: Action plan is a powerful road map for achieving set out objectives and goals. It serves as a guide in providing direction for accomplishing objectives.

Procedure for using Stregthening Action Plans Worksheet:

The change agent should get a relevant group of employees, and describe the purpose of exercise, and the steps to be followed in the exercise.

Work sheet: Strengthening Action Plans

These hard-nosed questions will help a team improve an action plan before presenting it for approval by leadership of the department.

Questions to strengthen an Action Plan

What is the Probability of success? Are there ways to increase it?

Are the dates realistic, given other commitments and priorities?

Have you considered key risks and weak spots? Can you build steps into the plan to address these?

Who are the individuals / groups with whom you have to share the plan? How will you communicate to those affected? Are there people who should be asked to help with some parts of your project?

How can you create enthusiasm for the change effort?

Evaluating an Action Plan

Key Elements of Action Planning

The first step in developing an effective action plan is analysis. An action plan can only be as good as the diagnosis of the situation (opportunity or problem) on which it is based.

Think thoroughly and, when appropriate, rehearse your action plan in order to identify likely outcomes and critical contingencies (the what ifs). You will often find that action planning will help clarify your diagnosis and goals.

The implementation of an action plan is an evolutionary and iterative process. No matter how thorough your diagnosis and action plan, you can never anticipate all outcomes and contingencies. As you implement your action plan, you will discover and generate new information. Therefore, periodically reassess and revise your action plan.

In action planning, envision long and plan short. Develop a stretegy. It will keep you track as you proceed. Identify steps. Be specific about early steps and more flexible about later ones.

Criteria for Evalating an Action Plan

Have you defined your objectives (short and long term)?
Have you developed a plan? Is your action plan consistent with your analysis?

- Identify the key assumptions underlying your plan? Are they consistent?
- Are they valid? What evidence are you relying on: fact, inference, implication, or speculation?
- Is your action plan feasible given the constraints and opportunities in the situation? Pay particular attention to timing.
- Is your action plan realistic given your sources of power and ability to exercise in influence?

Assess the likely impact of your action plan. Will it be effective for you? Will it be effective for your organisation (or the different stakeholders in the situation)? Is it ethical (both means and end)?

- Are you cognizant of the trade-offs, if any, you are making? Have you thought not only about those who will be directly affected by your action plan, but also about those who may be indirectly affected?

- Do you understand the stakes and risks involved for you and those who might be impacted by your action plan?

Have you examined the timing and sequence of decisions and actions?

- Have you differentiated between urgent and important problems or opportunities? Are you taking care of urgent matters in a timely fashion?

- Have you designed your action plan with incremental steps so that you can "test the waters" whenever possible and thereby reduce unnecessary risks?

- Have you made sure that early action planning steps do not unnecessarily or prematurely preclude future alternatives?

Have you taken into account possible contingencies and planned for them? This is especially important for the most critical steps in your action plan?

- What is the probability of success at each step of your action plan? If the probability of success for a given action step is low, have you developed other alternatives or a contingency plan?

Have you put in place a process to ensure that you will periodically re-evaluate and, if appropriate, modify your action plan? It is very easy to get caught up in the "action" and lose sight of your objectives?

Have you made time to reflect on and learn from your experience - about yourself and / or your situation? It is as important to learn from your succfesses as it is from your failures.

Communication Plan

Purpose:

Communication plan would be used to communicate progress of the change projects to various stakeholders. It helps organize the work of communication over the months.

Brief Description:

Breaking down boundaries by sharing information openly within the organizations creates an environment of empowerment and accountability. Information seldom flows by accident, especially across departmental sections. It must be communicated systematically and appropriately to the people who need it and who will use it. Communication plan helps Core Group Members to communicate the changes on a periodic basis so that departmental employees are kept informed about the changes taking place. This will spread changes across the department and people will be motivated to make changes happen.

Procedure: Within each cell, note the key message for that audience and the primary modes for conveying it. Here are some questions that can be helpful in determining the communication.

- What message should be communicated?
- Who should receive it?
- What is the appropriate time frame?
- How should the message be communicated?

Outline for a Communication Plan

Instructions: Within each cell, note the key message for that audience and the primary modes for conveying it.

TIME FRAME

Stakeholders / Audience	Month 1	Month 2	Month 3	Month4
Senior Management				
Middle Management				
Line Supervisors and Employees				
Customers / Suppliers / Other External Stake Holders				

Employee Readiness Assessment

Purpose: Employee Readiness Assessment is a useful questionnaire to check the employees' readianess assessment for change. it can help the change agent to identify the areas where he needs to focus more for getting buy-in change frm employees.

Brief Description: Any change will involve group of people.Employees' involvement is necessary for successful implementation of any change. Employee Readiness Assessment questionnaire can be used to anticipate concerns of employees that can create hurdles for effective change. It would help the change agent think in advance about which areas need greater focus and attention to build greater employee readiness and acceptance.

Procedure:

1. The change agent should invite the relevant group of employees, and describe the purpose of the exercise, and the steps to be followed in the exercise.
2. Individual Ratings: A copy of Employee Readiness Assessment questionnaire should be given to each group member. Each member will complete the form by indicating the appropriate number (1 to 10) to each item based on what he/she thinks of the proposed change.
3. Sharing individual ratings with others: The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.
4. Discussion and Collective judgement: An attempt should be made to see what the common concerns are. These should be documented for guiding future action.
5. Change agent will compile the scores and other employee feedback. The final summary will outline key concerns -- where do the employees feel confident about change, and what are the areas of anxiety? It is the responsibility of change agent to take appropriate steps to influence people's thinking and perception in the areas where they feel doubtful about the proposed change.

Employee Readiness Assessment

The following instrument can be used to check the employees' readiness assessment for change. Write the number that comes closest to your perception of how the employees will react to your change project for each of the following statements. These statements are measured on a scale of 1 to 10, with 1 representing the high resistance and 10 the least.

1 — 10

High resistance — Least Resistance

Sl. No	Item	Score
1.	Employees are very clear about why the change is being implemented.	
2.	Employees can easily see how this change can directly solve a real problem.	
3.	Employees see the change as having a low personal cost to them (for example, no extra efforts, no additional inconvenience, etc)	
4.	Employees believe there will be no disruption of personal relationships after this change is implemented.	
5.	This change will have a positive impact on employee's feelings of psychological well-being, status in the eyes of stakeholders, etc.	
6.	Important habits and procedures will not be disrupted by this change.	
7.	Employees possess the confidence necessary to accomplish change.	
8.	Employees are willing to give up the old ways of doing things.	

9.	Employees do not believe that this change would take away their control over key aspects of their jobs.	
10.	Employees are totally clear about what is specifically expected from them as a result of the change.	
11.	Employees feel very involved in this change.	
12.	Employees believe that adequate organizational support and resources are being provided to accomplish this change.	
13.	Employees think that adequate time is being provided to accomplish this change.	
14.	Employees believe that this change project will be implemented successfully.	
15.	Important leaders and change agents have a high level of credibility with employees.	
	Total Score	

Scoring:

- Total your answers to all the items (item 1 + item 2.... item 15 = Total Score).
- Calculate your Average Score. (Total Score / 15 = Average Score).
- Calculate your Employees Readiness Score (Average Score x 10 = Employees Readiness Score).

Interpretation:

- A score of 10 to 40 is very low (This indicates very low readiness for change. Unless steps are taken to initiate appropriate steps to influence people in the areas of major concern, change is unlikely to succeed. The change agent needs to influence employees' thinking and perception to get their buy-in for making change happen.)

- ♦ A score of 40 to 70 is low; (This is also an unhealthy score. It indicates that change has to focus more on those areas where employees have given low ratings. Actions need to be taken to deal effectively with employees' concerns, and build greater acceptance of change.)
- ♦ A score of 70 to 100 is moderate (Employees see change as a positive thing. But still, there are some areas where they are not fully confident. It is necessary to identify and analyze these areas and influence employees' thinking to emrance change wholeheartedly.)
- ♦ A score of 100 to 150 is high. (The scores indicate that employees are quite ready. They understand the need for change and are willing to make change happen.)

Developing Effective Partnerships

One of the most important roles change agent can play in promoting partnerships is to work with stakeholders to create an enabling environment for partnerships by working to remove policy, communications and other constraints to partnering.

Key skills required of the change agent in the partnering process involve:

- Intense listening;
- Asking open-ended questions
- Building trust and a learniang environment;
- Integrating multiple perspectives to inform actions, negotiating power and resource differences;
- Discovering common ground and creating shared visions.

Many of these skills come under the general heading of facilitation skills and are areas that a change agent needs to develop for himself and for other partners. In this way, the management skills that a change agent develops for himself mirror the skills and capabilities and change agent needs to develop among its partners.

Change agent can play a direct role in building partnerships by bringing potentially beneficial partnerships to the attention of likely participants and by inviting them to the table (or the partnering workshop). The key strategic role of a change agent at this initial stage is to identify departments / employees with the necessary complementarities of interests, skills and resources to work together to tackle change projects.

Stages in developing a partnership

Understanding the different stages of partnership development, the issues involved at each stage and how to respond to these, gives change agent a framework for planning how they can intervene to support specific activities

Stage I: Preconditions for co-operation

Any successful co-operation must be driven by real problems and needs that touch all potential partners. It is important to understand the problem (or opportunity), how it relates to the interests of potential partners and what capacities the inviduals / departments must have to colleborate.

The important questions a change agent might want to ask at this stage are:

- What is the nature of the problem that a partnership might solve, and why is it necessary to bring together several actors to solve it?
- How are the stakeholders affected by the problem?
- Who are the key stakeholders?
- To what extent are resources from different stakeholders required?
- What is the organisational capacity of stakeholders to get involved in partnership?

Stage II: Convening partners and discovering their unique aspects

Identifying a strategy to bring potential partners together needs to be based on an understanding of the problem and its stakeholders. It is important that the right group or invididual be identified to convene the potential partners - someone with credibility among all the participants. Initial meetings need to be organised in such a way that mutual trust, commitment and appreciation of the assets of each organisation can be established among them.

Several key questions at this stage are:

- Who should call the meeting and where should it be held?
- What are the unique aspects of each organisation?
- What have been peak moments in organisational life to address similar issues?
- What are the parameters of the issue to be addressed?

An initial meeting of potential partners should be simply should be exploratory, with the goal being to build enough trust and commitment to meet again. Trust is often cited as a key factor in successful partnerswhips, but it requires sufficient time to grow.

Stage III: Creating shared directions

In order to be successful, members of a partnership need a joint understanding of the issue, problem or opportunity and most importantly a shared vision of what they hope to achieve together. Identifying the intersection of interests of the partners, and later, keeping a focussed on the vision are key to building the relationship. Partners work to develop a realistic strategy and joint action plans.

Key issues at this stage are:

- What are our common values?
- What are our bold hopes for the future?
- How must we change our organisations to become more effective partners?
- What is our common strategy and action plans?

Stage IV: Implementing action plans

The implementation of the partner's strategy and action plans will pose challenges given the differences among the partners and the evolving nature of the relationship. The different partners will need to learn how to work together, respect differences, manage conflict, bring on board new actors-all the while keeping focussed on common objectives.

Critical issues that need to be addressed at this stage are:

- How can the partners implement action plans in ways that respect their differences and particular interests?
- How will tensions and conflicts be managed?
- How will decisions be handled and to what extent is participation by grassroots groups required for effective implementation?
- What kinds of capacity building are necessary for the different partners to carry out their part of the process effectively?

Summary

Effective partnering is a long-term process requiring long-term commitment to build the operational capacities of individuals / departments and their ability to collaborate.

Strategies for Building Effective Partnerships

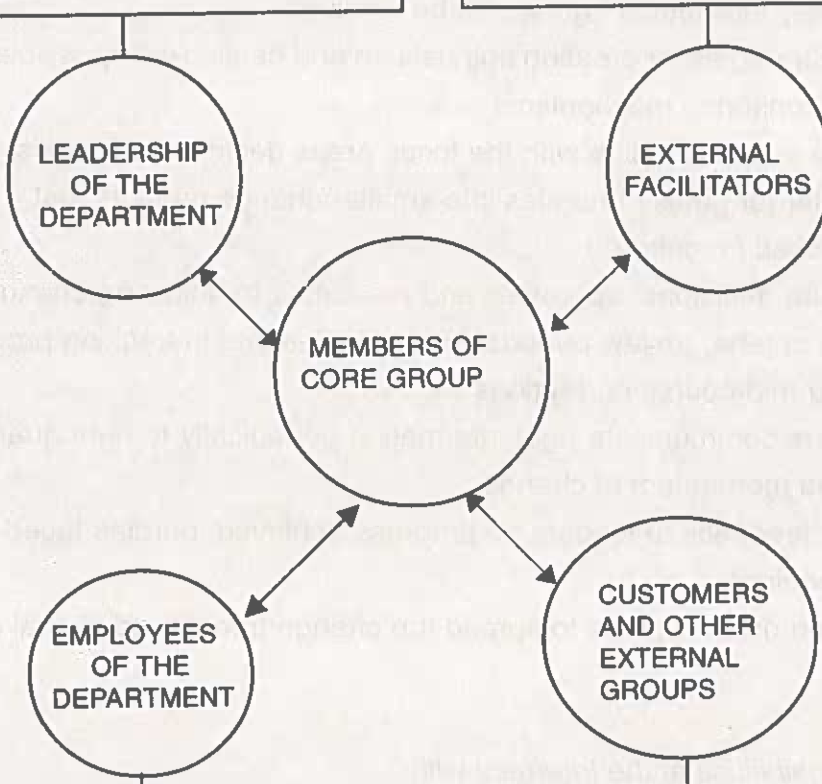
Strategies	Components / Considerations
Agree on common goals	• Ensure goals are compatible with those of team members and their organizations • Set and maintain project timeliness • Define indicators of progress towards goals • Establish measures for indicators and goals.
Clarify roles and responsibilities	• Discuss roles and responsibilities for yourself, your department, other partners • Decide what you can realistically accomplish with available resources (time, money, energy, expertise)
Develop Norms / Protocols	• Build on individual strengths • Share and balance power practicing flexibility to create trust • Develop a protocol for managing disagreements • Form consensus on new partners
Commit the necessary Resources	• Utilize existing resources optimally • Deliver what you have promised • Make use of intellectual, social and financial capital
Create a flexible, trusting Climate	• Be Trustworthy – Keep Your Commitments • Commit to the common good • Create a common language • Share credit • Seek out "trusted" sources for new situations / collaborators

Figure - Key Interfaces for Core Group Members

- On the basis of focus areas decided by leadership, work out scope of change project and strategies for implementation
- Provide assistance to leadership in following areas:
  - a) Finalizing decision / approvals;
  - b) Communicating periodically to different stakeholders;
  - c) Tracking progress and making mid-course corrections;
  - d) Providing requisite support for success of change effort; and
  - e) Capacity building for strengthening change process.

Maintain on-going communication and networking with external facilitators for the following:

a) Discussing progress and planning appropriate follow-up actions;
b) Developing new ideas;
c) Working closely for making change happen; and
d) Building capacity within the department and also own skills as change agent.



- Help employees break the priorities down into viable action plans, clarify roles, accountabilities, problem solving and decision making mechanisms.
- Ensure that employees have access to requisite resources such as information, support etc.
- Educate on ready reckoners, formats, tools and techniques so that problem solving is facilitated.
- Through periodic reviews and celebration of success, ensure that interest and enthusiasm of employees remain high.

- Gain an "outside in" perspective of department's functioning.
- Understand customers' problems, seek their inputs / ideas for improvement, and test change initiatives being considered.
- Maintain on-going communication linkage to report progress and obtain feedback on the effectiveness of actions taken.

Key responsbilities of the Core Group Members

Tasks / Responsibilities at the Interface with Leadership of the Department

- Discuss with leaders and understand the priorities / focus areas
- Work out scope of the change projects in terms of the following:
  - (a) Locations / work groups where the change would be introduced first
  - (b) Time frames
  - (c) Key individuals / groups to be involved
  - (d) Strategies for creating enthusiasm and dealing with possible resistance
  - (e) Monitoring mechanisms
- Verify if the scope is in line with the focus areas decided by leaders
- Break the larger goals / priorities into smaller change projects that can be tracked / monitored
- Get requisite decisions, approvals and resources for initiating change
- Set review criteria, review periods and assist leaders in tracking progress and making mid-course corrections
- Help leaders communicate right information periodically to right quarters to keep up the momentum of change
- Give frank feedback to leaders on progress achieved, hurdles faced and support required
- Prepare and discuss plans to spread the change through additional capacity building

Tasks / Responsibilities at the Interface with External Facilitators

- Identify where external facilitators can help your department make faster progress on change projects, and initiate arrangements for getting them involved.
- In consultation with external facilitators, establish clear processes for periodic communication / review of progress in change project.
- Draw on resources of external facilitators as and when required.

* Remain in touch with them for new ideas. Find out how change is being implemented in other departments, and what oan be learnt from others' experiences.

* When external facilitators get actively involved as consultants, work as members of internal task force and be closely associated with diagonisis, action planning and implementation stages.

* Build stratgic relationships to update oneself on latest knowledge / developments in relevant fields.

* Make an inventory of existing skills / motivation for effective implementation of change, identify gaps and prepare plans for bridging the gap by building requisite swkills and energy.

Tasked Responsibilities of the Interface with
Other Employees of the Department

* For the organising the work, take pirorities / focus areas and workw ith relevant individuals / groups in organisig these into viable steps. Ensure that the following aspects are clarified:

    (a) Roles and accountabilities for different individuals;

    (b) mechanisms / Processes for making appropriate decisions;

    (c) When and How the different individuals / groups are involved

* Ensure that systems / processes are in place for employees to access the requisite resources for effective change implementation. These resources would include: information on key aspects, support from influential people, understanding of why the given change project is important and urgent, support / guidance when individuals run into difficulties, exposure to new knowledge / skills etc.

* Educate employee groups on the use of ready reckoners, formats, tools and techniques for effective problem solving, so that there are clear guidelines in terms of who, what, when and how at different stages of change project. These tools help align everyone's thinking and action. Ready reckoners also help employees anticipate possible fail points and be prepared to avoid those traps.

- Find out ways to create interest and enthusiasm among people through periodic communication on progress and celebration of achievement of important milestones or special individual / group accomplishments.
- Review / monitor progress with employees to sustain interest and keep the spotlight on the change programme.

Tasks / Responsibilities at the Interface with Customers and Other External Groups

- Constantly seek feedback from customers and other relevant external groups to gain an "outside in" perspective of the department's functioning.
- Maintain on-going communication with the customers to ensure the following:

  a) Understand the problems faced by customers,

  b) Seek customers' inputs, and pick up new ideas from them for improvement, and

  c) Test the change ideas being considered by the department

- Verify if the scope of the change project is in line with the customers' requirements / needs.

- Prepare a communication plan to inform all customers about the progress of the change initiative at regular intervals, and gain their feedback on its effectiveness.

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तदैव वीर्यवत्तरं भवति

Duty performed
with Knowledge, Faith and Devotion,
becomes really effective

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