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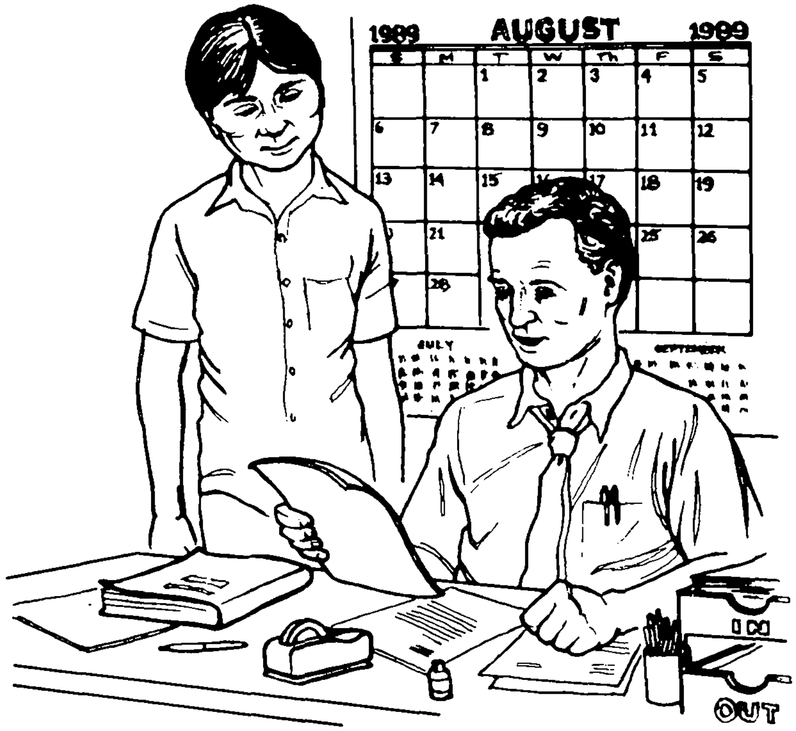
The WASH Project is managed by Camp Dresser & McKee International Inc. Principal cooperating institutions and subcontractors are: Associates in Rural Development, Inc.; International Science and Technology Institute, Inc.; Research Triangle Institute; Training Resources Group; University of North Carolina at Chapel Hill; University Research Corporation.

TRAINING GUIDE FOR A MANAGEMENT DEVELOPMENT PROGRAM IN WATER AND SANITATION INSTITUTIONS

WASH TECHNICAL REPORT NO. 59

JULY 1989



Prepared for
the Office of Health,
Bureau for Science and Technology,
U.S. Agency for International Development
under WASH Activity No. 345

WASH Technical Report No. 59

Training Guide for a Management Development Program in Water and Sanitation Institutions

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July 1989

Water and Sanitation for Health Project
Contract No. 5942-C-00-4085-00, Project No. 936-5942
is sponsored by the Office of Health, Bureau for Science and Technology
U.S. Agency for International Development
Washington, DC 20523

Preface

Good management is the key that unlocks the doors to institutional development, cost effectiveness, and service to consumers.

A major technical assistance need in water and sanitation institutions in developing countries is sound management development programs. Strong managers have the skills to take the steps necessary to improve organizational performance and to use developmental inputs effectively.

This manual provides a complete training program design. The up-to-date management concepts presented and the skills developed have proven to be effective for managers in a variety of settings. In addition, practical guidance on how to create a training program is outlined for those who want to adapt this program or to develop their own along similar lines.

The manual can be used by project developers and utility managers as a tool for deciding how to incorporate management development into larger institutional development efforts. For trainers, it provides a framework for understanding how to design a management development program and detailed steps on how to carry out the training.

A three-phase program is outlined in this manual. A nine-day workshop that introduces management skills is followed by two shorter workshops to be conducted at six-month intervals.

This manual for creating and conducting management training is based on successful field work conducted by the WASH Project for the National Water Supply and Drainage Board of Sri Lanka.

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What This Manual Is About

The Need for Management Development

The WASH Project, along with such agencies as the World Health Organization and the World Bank, has identified the lack of effective managers as one of the primary constraints on performance in the water and sanitation sector. When WASH conducted field research in successful water and sanitation institutions to identify factors that contribute to their success, one essential element was strong management.[1] In both the institutions studied (SANEPAR, the state water authority in Parana, Brazil, and Penang Municipal in Malaysia), the researchers found that high-performing water institutions have managers who develop strategies, set operating goals, define tasks, gain the staff's commitment to implementing new methods, follow up on assignments, and develop staff at all levels of the organization.

In successful water authorities, strong management is also distributed down through the ranks to all supervisory levels. It does not reside solely with the manager or with a few people at the top. A common pattern in weak institutions is deficiencies in middle-management ranks and an overburdened top layer that does not delegate work. One of the goals of a good management development program is to break this pattern and strengthen management skills at all managerial layers. To our knowledge, a comprehensive management development program for the water and sanitation sector that would ensure the achievement of this goal does not exist in the development assistance community. Moreover, well-managed water and sanitation agencies in the developing world are few, and even more-or-less successful operations (in any setting) could benefit from a good dose of management development.

The Product Offered in This Manual

In 1986-87, WASH designed and implemented a three-phase management development program for the manager of the National Water Supply and Drainage Board (NWSDB) of Sri Lanka. This assistance was provided in support of the Water and Sanitation Sector Project, a long-term institution-building project for the NWSDB. As part of that assistance, WASH developed and field-tested a management training model for mid- and upper-level managers that has generic application to other water and sanitation authorities, with minor adaptations. The purpose of this manual is to present lessons learned from that experience and share the training design with a larger audience in the hope that others may find the approach and the material useful.

This manual should be particularly useful as one component of larger institution-strengthening efforts. Management development alone will not solve all problems, but it can be an excellent complement to overall institutional development efforts. Management training, as it is outlined here, does not include administrative systems, such as personnel, budgeting, accounting, procurement, and paper flow. Rather, it refers to the practical, everyday managerial tasks of setting priorities, planning work with staff, running meetings, delegating tasks, communicating clearly, monitoring and following up on assignments, defining performance standards, and holding staff accountable for results.

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[1] *Guidelines for Institutional Assessment: Water and Wastewater Institutions.* WASH Technical Report 37. Arlington, Va.: WASH Project, 1988.

The manual is divided into three major sections. This first section addresses the general question, What is a management development program and does my organization need one? The second section provides guidelines for developing and managing the training. The third section provides detailed training designs for each phase of the program. The manual also includes precourse work and handouts for each phase of the program.

This first section answers such questions as these:

- Who are the intended users of this manual?
- What is effective management development?
- What can an institution expect to achieve by using this program?

Intended Users of These Guidelines

These guidelines are designed for use by three levels in the development community: project designers, managers of utilities, and trainers. It may also be useful to headquarters staff in donor/lending organizations who review projects or want to disseminate the idea of management development to the field.

The Project Designer. For the project/program designer who is interested in designing an institutional development program, these guidelines provide a model of the type of management development program that can be integrated into a larger institution-strengthening project. Project designs should specify desired outcomes and define required approaches, as well as anticipate the amount of time and funding for project components. All too often, however, management development is seen as something that can be plugged into a project, like a predesigned computer component. These guidelines define an approach that develops a program that is tailored to the needs of host institutions and integrated with other institutional development goals. The project designer may use these guidelines as a tool for specifying how management development should be carried out within the context of overall institutional improvement.

The Utility Manager. The manager in a water and sanitation institution may want to decide if a management program is desirable. This manual describes what is involved, the amount of staff time required, the types of skills and knowledge developed, and the degree of institutional commitment required to support the program. It identifies the kinds of benefits that senior managers can expect from an investment in such an effort.

The Trainer. For the trainer, these guidelines present a suggested format, session-by-session training designs, handouts, case studies, and other materials needed for a complete program. The training designs are intended for professional trainers who have a fairly high level of training skill. Users should expect to adapt materials to make them workable for the client institution. For example, a case study is used that has Asian names and presents problem situations that managers in the client institution experienced. By changing the names to reflect another cultural context and using different problem situations (based upon the needs identified in the client institution), a skilled trainer could use the same problem-case study format and most of the training design.

Defining Effective Management Development

Successful management development changes how managers view themselves in their roles as managers and helps them to develop the skills needed to carry out that newly conceptualized role. The application of management skills and concepts should change organizational performance if the conditions for success exist (explained below under "Criteria for Determining if a Program Is Worth Conducting"). Often, this change in self-concept is related to moving from the perspective of technician or technical strength (often the reason they were promoted to manager) to leader and manager of people and organizational functions.

Changing one's self-concept requires a learning process carried out over time; in fact, it is a continuous process. Thus, an effective management development program cannot be viewed as a single training intervention that takes place in a one-week workshop or a training session. Developing management capability requires a series of planned activities, like training workshops, and on-the-job monitoring of new behavior to reinforce new skills. Often this process is a part of a broader program of institutional change, which requires an organization that is receptive to change and involved in improving its performance.

Management development requires both a conceptual reframing and new skills to carry out that new role. It is changing the way that managers act in the workplace; intellectual understanding alone is not sufficient to change behavior. This basic assumption underlies the training approach (experiential training methodology) used in the materials. Managers must experience skills firsthand and come to their own conclusions about personal application on the job if they are to change. One cannot simple "tell" someone how to give feedback, communicate more clearly, or delegate effectively and expect behavior to change. Principles can be explained, but skill acquisition must be learned through trial and error and "coached" to higher levels. Thus, this entire program is based upon working with "live data" in a highly experiential training format. The live data are developed by careful needs assessment in the program design stage and prior to each workshop. The data are incorporated into the design and integrated with management principles in the design process. This process is explained in the section entitled "Program Training Designs."

Advantages of Conducting Management Training in a Single Institution

The approach to management development used in these guidelines is geared to working with one management team within the context of its own organization. This approach is optimal and much more effective than a generic approach for a group of managers from different organizations. Following are some of the advantages of this approach:

- It is possible to effect organizational change in support of larger institutional development efforts.

  For example, in the pilot test organization the training session on improving the effectiveness of meetings was combined with an effort to change the pattern of meetings from a large, once-a-month, full staff (70 people) structure to a divisional and unit structure. The result was dramatic. Managers began to use meetings to improve unit communications and to monitor the work within units. Prior to this, most major decisions were made at the full staff meeting; afterwards, decisions began to be taken by unit managers.

- Team building and communication are increased within the management team.

  The training presented involves a good amount of communication skill improvement and conflict management. When real problems are used in the organizational context, the organization doubly benefits. Skills are improved and problems are addressed.

- Support structures for continued management improvement are formed.
  Management improvement teams are set up during the first workshop. These are used during the follow-up phase for continued skill improvement and problem solving on the job. This would not be possible if the participants dispersed after the training to separate organizations.

Although the single-institution framework is used in this manual, the design could be adapted for use with a group of managers from a number of institutions. Trainers taking the latter approach should conduct needs assessments to ensure that the needs of each institution are represented. Trainers should visit each of the institutions. The suggested training designs should be carefully examined and "simulations" created for real problem situations. For example, in the session that requests participants to develop performance standards and goals for "the institution," one would have to broaden the task to a simulated situation for all the institutions represented. Follow-up tasks requiring participants to meet with their bosses upon return to their jobs would be required. In addition, any of the suggested questions in the training designs would have to be modified.

When adapting the design for more than one institution, trainers should take care not to make the training too abstract; practical examples from the different organizations would still have to be presented. Moreover, unless the trainer makes a special effort to provide briefings or a precourse orientation to senior managers in the various organizations, participants may find that colleagues and bosses who have not attended the training may not be able to reinforce its application.

Program Description

This management development program is delivered in three phases, each of which has a workshop. Specific preparation activities are designed to be carried out before each workshop. After the Phase I and II workshops, an on-the-job follow-up procedure is structured. The length of the workshops is as follows:

- Phase I - 9 days
- Phase II - 5 days
- Phase III - 4 days

It is suggested that there be about six months between Phase I and Phase II, and between Phase II and Phase III.

Phase I Themes

The Phase I workshop lays a foundation of skills and knowledge about what a manager is and the basic tools of management. It seeks to begin the process of changing the manager's self-concept by addressing two questions: What is the role of a manager? What does a manager do? This theme is then applied to the situation of water authorities by addressing the question, What does an excellent water authority look like and how is it managed?

The workshop then proceeds to develop the following skills, which are used and reinforced throughout the program:

- Communication skills

- Organization and delegation of work

- Monitoring and follow-up

- Working with staff: situational leadership, collaboration, and feedback on performance
- Meeting effectiveness
- Building a team and working with other units
- Applying management skills on the job

Phase II Themes

The Phase II workshop first reviews on-the-job implementation of the Phase I skills. The skills are then worked with in a more advanced way and more complex issues related to using the skills are discussed. The focus is on difficulties managers experience in changing their behavior, and problem situations in implementation are worked with. Related concepts and new skills are introduced:

- How to motivate staff
- How to coach staff

The second major theme of Phase II is then introduced and is the focus of the remainder of the workshop:

- Improving work unit performance
  - Developing a unit mission and goals
  - Developing unit performance indicators

Phase III Themes

Phase III provides a practical synthesis of the concepts and skills presented in the program. The goal is to operationalize the unit and organization-wide performance standards that were developed in Phase II. The primary means to that goal is through improving the performance of subordinates. The question is posed in this workshop, How do you get people to do the most important things? The performance issue is then reworked through the themes presented during the first two workshops.

Expected Outcomes

The management development program must be designed carefully, delivered using workplace problems, and focused on improving workplace performance. The proper support (discussed in the next section) for after-workshop monitoring must also be provided. If this design is used and the program is implemented as described, users can expect the following outcomes from the program:

Knowledge and Attitudes

- A highly developed sense of what the role of the manager is and what managers do
- A transition in the management ranks from primarily technical to managerial thinking
- A heightened sense of being a role model on the part of managers
- Improved understanding of performance-based management
- Increased enthusiasm for and openness to management concepts
- Increased understanding of what excellent water authorities are and how they function

Organizational Improvements

- Improved teamwork and team communication among the top and middle management groups
- Increased managerial ability for solving management problems
- Increased managerial ability to solve interunit conflicts
- A clarified set of unit mission statements and operational goals and the skills to define them
- An established basis for management information, including measurable unit and organization-wide performance indicators
- Increased commitment to organizational goals
- Overall increased output and improved organizational performance that are linked to factors within the control of management

Stronger Managerial Skills

- Increased skill in task and team management
- Improved ability to use communication skills, such as listening, paraphrasing, summarizing, and talking in turn in meetings
- Increased skill in conflict management
- Enhanced ability to set priorities and manage results
- Improved skill in collaborative work planning, delegation, and monitoring
- Increased meeting management skills
- Improved skill in setting and monitoring performance standards and holding staff accountable for results
- Increased understanding of and skill in staff development, including giving feedback, coaching, and motivating
- Increased skill in conducting performance reviews

PROGRAM DEVELOPMENT PROCEDURES

- Issues in Assessing Management Training Needs
- Criteria for Determining if a Program Is Worth Conducting
- Ingredients of a Successful Program
- Selection of Participants
- Managing the Program

Program Development Procedures

This section provides procedural guidelines for creating a management development program. It also addresses questions related to determining if an organization should proceed with such a program and to modifying the design. Consideration is then given to who should participate, the kind of staff needed to conduct the program, the arrangements to be made, and the time required for workshop preparation and delivery. Finally, cost factors are itemized.

Issues in Assessing Management Training Needs

Perhaps the single most important thing trainers can do to develop a management program that speaks directly to managers is to find out what their work situation is and to use that information directly in the training design. In this section, a complete needs assessment procedure is explained. In the next section, workshop preparation procedures also indicate ways to update information and use it to modify the basic program format.

Needs assessment is the first phase in designing a management development program. The task is to determine what topics to cover and to gather information that will be persuasive and "on target." The most important questions are the following:

- What do managers think they need to know in order to be more effective in their job?
- What skill deficiencies exist (what do you think they need to know to be more effective)?
- What are the constraints to effective management (what is keeping them from doing a good job)?

During the needs assessment process, information is collected from a variety of sources through interviewing and observation. The information is analyzed and decisions are made about how to structure the program, what the goals of the program should be, what areas require emphasis, who should attend, and what factors must be considered to ensure success. Important anecdotal information is uncovered about the daily routine, the frustrations, and the "life of the manager." This detail becomes very useful in the training program as examples that will "speak to the reality" of the managers and increase interest in the program and trainer credibility.

Interviewing

In order to determine the range and depth of management needs, the program designer/trainer should talk with managers at all levels. It is especially important to interview them in their offices in order to get a sense of their routine. How often are they interrupted? What do their desks look like? Are planning charts in evidence? Do they seem relaxed, harassed, forthcoming, guarded? This kind of information may provide the program designer with important anecdotal material for training sessions. In addition to interviews, it is important to spend some time with managers as they interact in meetings and informal settings in order to assess their communication skills and ability to manage meetings.

An interviewing program should start with the top manager and try to cover all levels of management. It should also include selected interviews with external actors in the corresponding ministry, as well as a sampling of consumers.

The primary purpose of the interviews is to obtain information with which to determine the managerial situation of prospective course participants. Where are the blockages, what are the concerns, what are they doing well and not so well? What would it take to improve the management situation substantially and how could the management group affect it? Specific questions to ask in assessing managerial needs through interviewing include the following:

- What are your current job responsibilities? How long have you held this job? What did you do before?
- How does your job fit into the organization?
- What are the types of things you have to manage on a day-to-day basis?
- What does a typical workday involve for you?
- What are the things you would like to improve in your management situation (i.e., what would have to change for you to be able to do a better job)?
- How often do you meet with your staff? Attend other meetings? What usually happens in those meetings?
- What are the overall goals of the organization?
- What are the goals of your work unit? What are your plans for the next six months?
- If you were to attend a management training program, what would be the most important things that should be addressed?

Assessing the Organizational Situation of Managers

In addition to understanding how managers feel about their jobs and the kinds of problems or constraints they face, it is important to assess the context in which they manage. A range of information will help program designers better target a management development program. Here is a list of the types of things it is important to know.

- How are decisions made in the organization? Do managers generally think that they have the power and authority to be making the kinds of decisions they should be making?
- What is the level of delegation? What scope do managers have for carrying out work?
- Do intergroup or interunit conflicts exist? What are the issues?
- What is the meeting structure of the organization and how effective is it?

- Is there a sense of vision in the organization? Do managers know where the organization is going and why?
- How productive is the organization? Does it get the job done?
- What do consumers think of this organization?
- What do politicians think of it? What is the extent of political or other outside interference in the organization?
- What informal personal networks exist? How influential are they?
- What is staff morale like in the organization? What is the staff turnover rate?
- How functional are administrative systems?
- To what extent does planning take place and who does it?
- Are managers included in budgeting procedures? Do managers have budgets to manage?

A substantial portion of the answers to the questions listed above will probably emerge from the interviewing process. One should also read program documents, evaluations, reports, and interoffice memos. Spending time observing (shadowing) managers at different levels, attending meetings, socializing, and interacting informally will also provide information (sometimes the best information is given after the interview is over). If an institutional analysis has been completed previously for other purposes, it would be an excellent source of information.

Analysis Leading to Program Goals and Design

The objective of the needs assessment is to determine what a management development program should address and the likelihood for success. With the above-listed information in hand, it is possible to determine if the training goals presented in the next sextion of this manual are on target or if modifications in goals or shifts in emphasis are required. A needs assessment might determine, for example, that meetings are not a significant problem, but that unclear organizational goals are a major problem. In modifying the training program, the trainer would probably want to expand and spend more time on the exercises related to goal setting and reduce the time spent on meetings.

It is important when finalizing training goals (and also when deciding the specific program content) to consider what will be most useful for managers in a training setting. A management development program cannot solve all problems. It can only address those aspects that are within the general control of management. For example, tariff policy may be set by the legislature, not by the water authority. One can assist managers in developing strategies to keep legislators better informed, in improving their communication skills, and in increasing their awareness of the role of public information, but management development alone will not solve the problem.

A word of caution about attitudes that emerge during the interviews. A common theme among managers in virtually all institutions is powerlessness: "We can't do anything about it; it's 'their' (our boss, the government, the civil service structure, the other unit, the politician's) lack of action." Many managers fail to see or understand the potential they have for solving (and contributing to) problems. One major implicit theme of any management development program should be to push managers to take greater responsibility. It is difficult to specify attitudinal goals and objectives, but attitudinal change should be one of the goals of any management development program. This is usually addressed by the way trainers conduct the program, and negative attitudes should be challenged as they emerge during training sessions.

Following is a list of factors to consider in conducting an analysis of the needs assessment data. It may help to build a profile of strengths and weakness of the managers one will be training. Some of the major areas of managerial competence considered are leadership, goal clarity, motivation, communication skills, sense of mission, delegation, collaboration, work planning, and monitoring. Reviewing these factors may assist the program designer in deciding which areas to emphasize in a management development program. They are rated using a high, medium, low scale as an aid to analysis. Those factors rated medium and low should be included in the management skills program.

Leadership Qualities

- Managers have a clear sense of mission, can articulate it, and understand the importance of involving others (staff) in that process.

  ....high....medium....low.

- Managers serve as positive role models (e.g., honest, hard working, believe in their people).

  ....high....medium....low.

- Managers demonstrate competence and are visibly interested in their work.

  ....high....medium....low.

- Managers listen as well as instruct.

  ....high....medium....low.

- Managers maintain a sense of balance between future vision and everyday operational matters.

  ....high....medium....low.

Management Role Knowledge and Skills

- Managers have a clear sense of their own and others' roles and responsibilities.

  ....high....medium....low.

- The mission statement of the organization exists and is clear and understood by all managers.

  ....high....medium....low.

- When asked, staff are able to describe their responsibilities.

  ....high....medium....low.

- Managers know how to plan and delegate to get work done.

  ....high....medium...low

- Work planning is done with staff involvement.

....high....medium....low.

- Staff have been delegated the authority necessary to get work done.

....high....medium....low.

- Managers monitor work assigned.

....high....medium....low.

- People are held accountable for getting work done.

....high....medium....low.

- There is good communication within and among all levels; information is shared openly.

....high....medium....low

- Managers set and use performance indicators (standards) to evaluate the performance of their units. The indicators are understood at appropriate levels.

....high....medium....low.

- Management maintains a climate of teamwork and cooperation among staff.

....high....medium....low.

- Management is able to deal with and resolve conflicts with staff and among work units.

....high....medium....low.

- Mechanisms exist and are used to promote skill transfer.

....high....medium....low.

- Managers are actively involved in developing their staff either through informal coaching or involvement in formal training programs.

....high....medium....low.

- Managers stay well informed about external policy and financial and regulatory issues and actions.

....high....medium....low.

- Management maintains direct contact with key individuals in all important external entities.

....high....medium....low.

- Specific strategies are formulated to influence policies, legislation, and other activities to obtain necessary approval and resources.

....high....medium....low.

Criteria for Determining if a Program Is Worth Conducting

If the overall assessment of managers is high on a good number of the above-listed factors, a management development program is probably not a good investment, even though it might be of some general benefit. This would be an unusual situation, however; it is more likely that most institutions will find that the skill level of managers could be improved through a good management development program.

Defining a situation in which managerial skills need to be improved is not, however, the sole determinant of success. Even given significant need for management training, the chances for success in some organizations are too low to warrant the investment. What are some of the factors that would make a management development program worth conducting?

Support from the Top

It is important to understand that successful management development has an effect on the way that decisions are made, information is shared, meetings are managed, tasks are assigned, performance is monitored, and any number of other processes. In short, management development translates into change in an organization. If the managers involved in a program begin to perform differently, they will need support for those changes from their bosses.

The top management team should be consulted and be highly supportive of the program from the beginning. Top managers will be asked to support the program by allowing staff to attend training sessions, to try out new things in the workplace, and (perhaps) to delegate more as managers mature and improve. If the top manager is not overwhelmingly supportive of the program, he or she should at least not block it. Management development can be threatening to the insecure leader. Ideally, top management should understand how building a team of good managers will lead to improved organizational performance in the long run.

Existence of a Core Group of Potentially Good Managers

A nucleus of potential leadership must exist if a management development program is to succeed. If the situation is such that staff morale is very low, turnover is very high, inappropriate individuals are occupying posts, and there is little hope for improvement, a management development program will probably not help the situation. Other causes, such as massive political interference or better opportunities for employment elsewhere, are probably in play. It might be a better use of resources to address the larger issues before attempting to use managers to turn around a situation that is beyond their control.

Institutional Desire for Improvement

Managers should want to learn and develop if they are going to benefit from a program. There must be a desire for improvement, a recognized need, a readiness for learning, a certain degree of openness to new ideas and skills. If it takes a massive selling job to convince management of the need and if people are reluctant to make the sacrifices and commitment required, a program will probably be met with a lukewarm response. Sometimes organizations may agree to management training because they want something else in a package (such as loan funds or commodities). Under a reluctant agreement, when the time comes for real commitment, staff may not be given release time to attend training, or managers who attempt new approaches may not be supported.

On the other hand, individuals who have not been exposed to modern management concepts may not understand what a management development program can do for an institution. Care should be taken to explain the benefits and expected outcomes of a program.

Considering the above criteria will give planners a sense of whether a management development program can be successfully implemented.

Ingredients of a Successful Program

The successful implementation of a management training program involves a number of elements. It is not enough to present new concepts and skills. Many "standard" management training courses do this and do not necessarily generate individual or organizational improvements. Something more is required. Several ingredients are key to successful program implementation:

- Creating a climate of excitement and importance
- Using relevant, live data
- Supporting institutional change efforts
- Following up/monitoring by technical assistance team

Creating a Feeling of Importance for the Participants

The way in which the program is delivered, the interaction with the participants, and the "spirit" of program delivery make the difference between a minimally competent program and an exciting one. The participants need to become excited about the program. They need to feel they are important, "special." In fact, managers are special and they have the opportunity and power to create their own success or failure. This goes beyond creating a pleasant training climate. It speaks to the issue of responsibility and empowerment.

The way to implement a program that creates this sense of importance will depend on the personalities, competence, experience, level of comfort, and dedication of the trainers. One of the thematic messages that trainers can try to get across is that the participants are (like it or not) the source of their own success or failure (or at least control a lot more of it than they believe). The theme to repeat is *"you (the managers) are the water authority."* Managers need to be confronted with the reality that it is not the responsibility of their boss, or the legislature, or the cabinet, or the economy, etc., to make their jobs work or the institution improve; it is theirs. If this message gets through, a sense of empowerment is transferred. The training becomes something needed and useful for creating a better reality. During the training program, opportunities will arise to reinforce this message. It usually arises during discussions or wrap-up portions of each session, when one asks application questions. When the observation is "this is fine here in the training program, but you can't really do that on the job," an opportunity is presented to ask why and to probe for underlying assumptions. The assumption often made is that "it is outside my control" and that one individual can't make a difference. The response is to ask "Why not?" or "What can all of you managers working together do to make a difference?"

There are also a number of ways to create a training climate of fun and excitement, which are important to the overall spirit of the training. Finding opportunities to involve the participants in presentations in front of the group (reporting out conclusions of small group exercises, summarizing major learning, asking individuals to paraphrase what others are saying) creates participation, and sometimes laughter. At the end of each program phase, holding a graduation banquet or other social occasion that focuses attention on the participants, with important guests present, is recommended.

Using Relevant, Live Data

In the needs assessment section above, a complete framework was presented for gathering data. It is important to emphasize here that the degree to which the trainers can bring key management principles "alive" for the participants will make the difference between success and failure. This is done by using examples the participants can identify with. Examples from the participants' own workplace and culture are best. Some ideas on how to do this follow:

- Make a videotape of a meeting in progress at the participants' workplace and use it as an example for analysis of meeting effectiveness. (This is suggested in the Phase I design.)

- Conduct sessions on conflict management by using a real intergroup problem. (Also suggested in Phase I.)

- Begin a session on motivation by presenting observations gathered at the workplace ("Does anybody know why an employee would get up from the drawing table 15 times in the span of half an hour to interrupt three other people working nearby?").

All of these are ways trainers can use information from the needs assessment to make the program more "on target."

In the introduction to Phases II and III of the program, series of questions are presented that can be used to update the original needs assessment and determine if the suggested training design is appropriate. It is strongly suggested that current information about the situation of the participants be gathered and "plowed back" into the program design.

Supporting Institutional Change Efforts

A management training program will have a lot more meaning and impact if it helps the institution in its efforts to modernize or change the way it is operating. A "mutually reinforcing effect" can be structured through working with management and the long-term technical assistance team (if there is one) to design the management program to coincide with institutional development efforts. Some examples of this follow:

- Instituting performance standards and performance measures in the organization while using the management training program as the place to learn about performance concepts and develop first-draft performance indicators.

- Instituting a system of employee performance review in the organization while using management training to teach managers about concepts and the skills needed to conduct performance appraisal interviews.

- Developing a consumer relations program in the organization and using the management development program as a training ground in consumer communications and supervising staff who handle consumer requests for service.

- Clarifying roles and functions in the organization by using the management program to develop unit mission statements.

- Conducting corporate planning and organizational goal setting exercises using the management program to train managers in the process of understanding and setting unit goals and planning work.

- Working with top management and the technical assistance team before and after management training workshops (in retreat settings and special meetings) to develop ways to follow-up, reinforce, and support managers as they go about their own development. Examples might be increasing financial delegation of authority as performance improves to coincide with training on how to delegate, or requiring reporting on performance measures as a part of a new management information system.

Many more examples within the context of the proposed program could be presented, but the point should be clear that if a management development program can be structured to reinforce institutional development efforts and the institutional development program can provide the opportunity to apply new skills and receive consultant support, both programs benefit immeasurably. This directly relates to the next major point in this section.

Following up/Monitoring by Technical Assistance Team

Training workshops in a management development program need, and are most effective, when on-the-job follow-up is provided. This gives support and guidance to managers as they attempt to change the way they work. It is important to find a way to provide such follow-up. In the pilot project in which these guidelines were developed, a technical assistance team worked in the institution within a counterpart structure of managers who attended workshops. This is one way to provide consistent support and a means for reinforcing learning, but others are possible. For example, the training department of the institution could create an "in-house" technical assistance team made up of managers who have previously attended management training or who are known to have strong management skills.

The tasks that an ongoing technical assistance team may undertake in support of a management development program cover a full range of helping and consulting activities:

- Meeting with individual managers to discuss problems encountered in trying out new management approaches and coaching them on how to improve skills.

- Helping managers think through strategies for improving the performance of the work unit.

- Assisting managers in developing performance standards.

- Attending meetings to observe meeting behavior and giving feedback to individuals and the group.

- Observing management patterns (such as decision making, how conflict is dealt with, subordinate management, interunit relations, etc.) to provide insights to the trainers as they structure the next training phase.

Core groups of managers who attend the course should also be organized so participants can support each other. These groups, called Skill Improvement Groups (SIGs), are introduced in the Phase I design of the program and used throughout the course. In one program with which the authors have worked, a national management association was formed. The association meets to discuss management problems, guest speakers are invited, and articles are read and discussed.

All of the elements discussed above will make the difference between a "ho-hum" management program and one that has real impact.

Selection of Participants

The program in this manual is designed for middle- to upper-level managers. The optimum number of staff to work with in a program of intense interaction and experiential exercises is about 24 participants. Thus, it may be necessary to carry out more than one track of training if the organization is very large and has a large number of managers to be trained.

In the pilot program, the top-level staff were trained as a group. Subsequently, middle-level staff received the same program with minor modifications. The middle-level program was conducted by the in-house training department with consultant assistance.

The process for selecting the participants will require some discussion with the top manager. Ideally, the entire group of senior managers should attend this program together. This provides the added advantage of team building. This also allows simulations to revolve around real organizational issues that can be worked out during the training. For example, one of the exercises used to train the participants in teamwork involves an interunit exchange of expectations about working relationships. If significant work units are not represented, this exercise will not work, and an important opportunity will be lost. Increasing team communication is another theme that is interwoven throughout the training approach. The benefits of working with the senior (or mid-level) team as a group are increased if the participants are properly chosen. It is probably not a good idea to exclude participants because they have negative attitudes, however. During past programs, many individuals who started with a "show me" attitude became the program's strongest supporters and gained the most.

Managing the Program

Staffing

Assuming the normal program of 20 to 24 participants, the course requires two trainers. Both should be experienced senior facilitators who have the skills to gain the confidence and trust of the participants and top management. A minimum of 10 years of training experience is required. The training design requires the ability to discuss advanced management concepts confidently in short lectures, use video feedback, and manage simulations, role play, instrumentation, and case study methods. The guidelines present an outline for each session, the steps to follow in a session, and background material for preparation. The detail required to provide examples for each talking point cannot be provided in this document (short of adding several hundred pages), however. The trainers must provide their own detail from experience. Ideally, their background would include experience as a manager.

Follow-up Mechanisms

As described above in the section on criteria for program success, the training is greatly enhanced if it coincides with a larger institution-building program. In such instances, a technical assistance staff person can be integrated into the management development program to guide on-the-job practice and follow up between workshop segments. In other situations, members of the training department can play this role.

One of the most powerful mechanisms for reinforcing learning is to get the boss involved. A structured exercise at the end of each workshop segment should include individual planning on what participants intend to do as a result of the course in their work units. Supervisors need to know that this planning will take place and that each participant will want to review it with them. This places responsibility for follow-up within the normal chain of command.

A third device, which worked well in the pilot test, is the follow-up workbook, which acts as a job aid. It contains a list written by each participant of what they intend to do in the workplace after the workshop (and before the next). This is copied during the last day of the course and taken by the trainers. It is sent back to the participant after about six weeks with workbook material. The workbook contains a synopsis of key concepts and skills to serve as reminders.

Program Arrangements and Facilities

The ideal setting for the workshops is "away from the office." Depending upon the resources available, a residential setting is recommended. This allows participants to focus totally on the program, to interact socially in the evenings (and do the required reading), and to contemplate their management situation with some perspective. Failing this, the workshops may be held in a conference setting and the participants can commute to the workshop daily.

The workshop facility will require a room that is large enough for work tables. The design recommends using four tables with six participants at each table. The tables are arranged in a fan shape (or herringbone design). Some exercises are given using each table as a work group. Other exercises require separating the large group into four subgroups that work in a quiet space and tape-record group conversations. These exercises will require at least two break-out rooms (and preferably three) to avoid interference in tape recording. The facility should be well lighted (important for reading flipcharts) and free of external noise and distractions. Services should include coffee/tea breaks and lunch.

Trainers should inspect the site and finalize logistical arrangements well in advance. The day prior to the workshop, the trainers should arrive at the site and set up the rooms.

The following training equipment will be needed:

- Two flipchart stands (easels with backboard).
- Prepared flipcharts for each session. (Note: It takes about 24 hours of flipchart writing for each workshop; if not done in advance, this makes for a long workday during the workshop.)

- Two pads of empty easel paper (per workshop) or about 200 sheets of newsprint.
- Four cassette tape recorders (and, if possible, stand microphones for better quality recording).
- A videotape set up: recorder, camera, and monitor.
- Opaque or overhead projector (if using visuals other than flipchart—this is optional).
- Binders for each participant, prepared in advance with session tabs for easy filing of handouts. Binders should include required reading material and writing paper. A three-hole-punch format works well.
- Trainer's useful box: magic markers (25 to 30 in assorted colors), three-hole punch, extra pencils and pens, extra note pads, empty file folders, stapler, wrapping tape (for repackaging), masking tape (for hanging flipchart sheets on the wall), several packages of assorted color pencils (for charting graphs in instruments), and scissors.

Time Requirements (For a Single-Institution Program)

The recommended program design requires three separate training workshops. Prior to the first workshop, a complete needs assessment must be made. This may take several forms, depending upon time and resources. At a minimum, assuming a single-institution program, a one-week assessment should be made in which a cross section of agency staff, including those in senior positions, are interviewed (a suggested format for this was included in the section "Issues in Assessing Management Training Needs"). A more complete institutional assessment would require three or more weeks. An institutional assessment, however, would be required only if other project interventions were being planned (in addition to a management development program). Before beginning the program, the trainers must have some information about the organizational culture and the management situation in the participants' institution; this will make them credible and able to use examples from the organization to bring the material alive to the participants.

After the initial needs assessment is completed, the basic training design presented in this manual may have to be adjusted. Case study material will probably need changing (at least in the types of names used), and critical incidents will have to be altered to reflect the current situation. This adjustment will probably take from three to five days of work.

The first workshop requires nine days of training. Depending upon local conditions, this may be spread over a two-week period or run on consecutive days. Before the workshop, an on-site preparation period of five days should be budgeted (this includes time to visit selected participants in their work setting and to discuss the program with top leadership, as well as conduct training preparation of two days). A total of three weeks is about right for the first phase.

The second and third phases involve shorter workshops. Conducting a needs assessment prior to each workshop enables the trainers to talk with participants in their work settings to find out difficulties and successes in applying the skills and concepts learned in the prior workshop and to gather anecdotal material for use in the workshop. Final preparation for the Phase II and III workshops requires two days for adjusting the training design, flipchart writing, and session preparation.

Time Requirement Summary

• Initial Needs Assessment and Training Design Modification	1-2 weeks
• Phase I	3 weeks
• Phase II	2 weeks
• Phase III	2 weeks

These time estimates include preparation, workshop delivery, and follow-up for each phase. If a program is for multiple institutions, then the needs assessment time estimates will vary, depending on the number of institutions involved and the geographic spread.

Estimated Cost Factors

The specific costs for each program will vary depending upon the local per diem rate, travel distance, consultant fees, and the local costs for materials. The following represents an estimate of currently known cost factors for labor (two trainers), travel, and materials. All of the line items needed for completing a budget are listed so that a program planner can calculate a budget when accurate prices are known. The time estimates are approximate and do not include any extensive follow-up after each workshop.

- **Needs Assessment**

1. **Labor**
   a. 12 days x 2 = 24, field research and interviews
   b. 5 days x 2 = 10, design modifications
   c. 2 days x 2 = 4, travel time
2. **Travel and per diem**
   a. Round trip airfare x 2
   b. Per diem, 14 days @ ? x 2
   c. Ground transportation
3. **Support**
   a. Word processing, photocopying, international calls, telex, etc.
   b. Secretarial/typing

- **Phase I**

1. **Labor**

a. 5 days x 2 = 10, workshop preparation

b. 9 days x 2 = 18, workshop delivery

c. 1 day x 2 = 2, debriefing

d. 1 day x 2 = 2, report writing

2. **Travel and per diem**

a. Airfare, 2 round trips

b. Per diem, 21 days x 2 @ ?

c. Ground transportation

3. **Materials and support**

a. Binders/printing, word processing, photocopying, telephone, etc.

b. Supplies

c. Equipment rental

d. Secretarial/typing

- **Phase II & Phase III**

1. **Labor**

a. 4 days x 2 = 8, needs assessment and preparation

b. 5 days x 2 = 10, workshop delivery

c. 1 day x 2 = 2, debriefing

d. 1 day x 2 = 2, report writing

2. **Travel and per diem**

a. Airfare, 2 round trips; ground transportation

b. Per diem, 12 days x 2 @ ?

3. **Materials and support**

a. Binders/materials/printing

b. Secretarial/typing

PROGRAM TRAINING DESIGNS

- Organization of Training Designs and How to Use Them
- A Note about the Use of the Experiential Methodology
- Phase I Designs
- Phase II Designs
- Phase III Designs

Program Training Designs

Organization of Training Sessions and How to Use Them

The training sessions that follow are divided into the three program phases. The sessions are described in the sequence of delivery and are divided into days based on a seven-hour training day (breaks will add another 30 to 45 minutes to this time). The trainer can readjust the schedule, if necessary, to conform to the working hours available for Phase I; for example, if an eight-hour training day is available, the trainer may decide to cover Sessions 1 through 5 on the first day. But if only a six-hour day is possible, holding Sessions 1 through 4 on the first day would work better. The number of sessions held per day is somewhat flexible. A suggested workshop schedule is given at the end of the Overview for each phase.

For each training session, the goals of the session are stated first. The type of goal statement used is a "general learning objective," not a behavioral objective. This choice was made because most of the skills are cognitive/processual in nature, and not hard technical skills (e.g., demonstrate that a nail can be pounded cleanly in 10 seconds). The possible individual learning outcomes in this type of program are very broad and have real meaning only upon application on the job. For those sessions that do involve hard skills, the skills to be learned are indicated in the goals or the session overview.

After the session goals, an overview of the session is provided. This describes the general purpose/rationale of the session within the context of the program and any linkages to prior or subsequent sessions. A synopsis of the essential steps is also presented in the overview. Following the overview are the activities, called *procedures*. For each procedure, instructions for tasks or content presentation are given, along with the time allotted.

The instructions for each procedure are presented in the form of notes for the trainer rather than as complete "say this, hand out that, ask the following three questions" guide. The assumption is that professional trainers who are familiar with management concepts and experiential training methods will be conducting these sessions. Thus, the guidelines do not specify everything that a trainer needs to be able to do. For example, the instructions assume the trainer knows how to conduct a role play or *process* a task. The designs do include some key questions for use in focusing discussions or extracting lessons after tasks. Notes to the trainer are occasionally included in the text of the procedures. At the end of the session designs for each phase is an annex that contains all the handouts needed for that phase, including case studies, questionnaires, articles, and other materials that reinforce talking points in the lectures. This enables the trainer to design and prepare lecture materials and develop flipcharts as needed. Essential talking points are provided for key concepts, but the presentational style is left up to the trainer. Materials to be provided to participants as "prework" before each course are included at the end of the Overview of each phase.

At the end of each session design, a list is provided of the materials needed to conduct the session. This includes the required flipcharts (to be designed by the trainer), handouts, and any special equipment required. The instructions indicate when to distribute each handout.

The design of each workshop has been field-tested and "works." The sequence follows accepted training principles. Framework and conceptual models are presented first, followed by tasks and processing. Workshops generally flow from the general to the specific.

Planning for application of learning is interwoven into each day's sessions, as well as during the last day of the workshop. Application planning at the end of the workshop provides for individuals to commit themselves to on-the-job actions, which are recorded as a basis for follow-up by participants, their supervisors, and trainers/consultants.

The complexity of the material and the "interwoven" nature of the design of each workshop require a great deal of preparation time for the trainers. For the material to "come alive," the trainers must think through each session and develop specific examples (either from experience or preworkshop research) to illustrate major talking points.

A Note about the Use of the Experiential Methodology

The training methodology used follows principles of adult learning and uses a specific, experiential methodology. Typically, a session will introduce material cognitively (using a brief lecturette); this will be followed by a demonstration or an experiential exercise (trainers will model the skill or the group will be asked to analyze a case based upon the lecture material); this will be followed by discussion of the demonstration or exercise (called *processing*). At the end of a segment of material (a segment usually will have presented both the concepts and the skills involved), a simulation/application will be assigned. This is usually conducted in a trio setting. Skill practice is tried out by one member of the trio on another while the third member acts as observer/coach. Usually, the task requires dealing with a real situation at work that is simulated (these simulated work situations are sometimes called *situation replays*). Following the situation replay in trios, the trainers bring the group together and process this skill practice again, leading the participants to make their own conclusions. This pattern is repeated throughout most subject/skill areas.

It is this pattern of concept, demonstration, practice, processing, coaching-simulation, and processing that sets up the applied framework of the experiential model. This is reinforced with on-the-job assignments over a six-month period. At the next workshop, skill areas needing clarification or concepts that were not applied well are repeated and clarified. It is this repetition of the sequence six months later (after a period of on-the-job application and follow-up) that enables applied learning (and ultimately management development) to occur, and it is a powerful element of the success of this training approach.

Overview of Phase I

Course Themes

The major themes of the first phase of the course are:

- The Role and Functions of a Manager
- The Manager as a Communicator
- Improving Individual Skills on the Job
- The Manager as Organizer and Delegator of Work
- The Manager's Role in Getting People to Work Together

The sessions in Phase I are designed to provide skills and concepts in these thematic areas and to have an effect on the way that managers carry out their jobs. All of the exercises, case studies, and lectures are designed to use examples taken from the work situation of managers, and it is very important when conducting the preliminary interviews to keep this in mind.

Course Goals

The goals of the course in support of the major themes are as follows:

- To identify and clarify the role of management and the tasks of a manager in a water and sanitation organization.
- To develop a vision of how an effective water authority is managed.
- To specify, learn, and apply communication skills for effective management.
- To learn and apply techniques for organizing, delegating, and monitoring work that involve staff in ways that improve the performance of work units.
- To develop techniques for providing positive and corrective feedback to staff that motivates them to develop and increase their effectiveness.
- To develop skills for improving meetings and working together in groups and task forces.
- To increase understanding of and develop agreements for effective managerial relations and communication among units and between central office and field-based staff.
- To apply the concepts and skills learned in this course through the development of individual and unit improvement action plans to be carried out and monitored over the six-month period following this course.

Overview of Sessions

Sessions in this phase build directly on one another. The course themes are introduced in functional relationship to one another, starting with the role of the manager. This concept is presented on the first day as a combination of four major functions a manager must carry out in order to be effective. These are designated *vision* (having a concept of where the unit and organization are going), *results* (getting a job done), *values* (setting standards), and *people* (getting the best efforts from and through working with others).

The role of the manager is further developed with a presentation and exercise on *developing a vision* for a water and sanitation institution. Performance standards based upon research conducted in two water authorities considered to be excellent are presented. The participants compare their organization's operation with standards of excellence using performance criteria and decide what priorities they want to work toward achieving in their organization.

The second major theme of the course is communication skills. A series of skill-building exercises in listening, paraphrasing, summarizing, and clarifying is introduced early in the course and used and reinforced in all subsequent sessions.

The theme of self-improvement is also introduced early in the course with the formation of Skill Improvement Groups, a primary device for skill reinforcement during the first and second phases of the workshop. Groups are formed on a voluntary basis. If there is a long-term technical assistance project team, its members can be assigned to each group. These groups meet four times during the course and are given assignments for application planning and discussion on the job. On the last day of the course, these groups develop a meeting schedule and plan the agenda of their first follow-up meeting.

The theme of organizing and delegating work is developed through a series of sessions called *collaborative work organization.* These sessions cover skill practice and concepts on how to plan and communicate assignments clearly to staff, how to decide the degree of supervision (using concepts of situational leadership,) how to follow-up and monitor work, and how to provide feedback to staff on performance.

The theme of getting people to work together is developed through work on meeting effectiveness and a full day of work on how to improve internal communication and develop expectations for performance between work units. The exercise on interunit expectations contains a major team-building element and is also designed to provide a skill integration process using all the skills presented in the course.

The Phase I workshop requires about 53 hours of training over a nine-day period. Most days require six and a half hours of training, excluding breaks and lunch. The suggested schedule (see next page) is based on a seven-hour day. Local circumstances might dictate variations in the proposed schedule. The trainers should adjust the schedule appropriately and decide when to break for tea/coffee and lunch.

Prework

Prior to the Phase I workshop, trainers should send to each participant the Management Skills Questionnaire, which is included at the end of this section. Participants should bring the completed questionnaire to the workshop; it will be discussed during Session 2.

PHASE I WORKSHOP SCHEDULE

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
1. Introduction to Course (2 hrs., 20 min.)	3. Introduction to Skill Improvement Group (1 hr., 30 min.) 4. Introduction to Communication (4 hours)	6. Vision As a Framework for Work Unit Planning (6 hrs.)	7. Collaborative Work Organization (CWO) (6 hrs., 40 min.)	8. Situational Leadership (3 hrs.)
		L U N C H		
2. Role and Functions of the Manager (4 hrs., 10 min.)	Communication (continued) 5. Feedback/Skill Improvement Group (1 hr.)	Vision (continued)	CWO (continued)	9. Monitoring (3 hrs., 10 min.)

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
10. Performance Feedback (5 hrs.)	Effective Meetings (continued)	12. Collaboration and Coordination Between Work Units (6 hrs. 30 min.)	13. Planning for On-the-Job Application (2 hrs.) 14. Closure and Evaluation (1 hr.)	
		L U N C H		
11. Effective Meetings (6 hrs., 15 min.)	Effective Meetings (continued)	Collaboration and Coordination (continued)		

Management Skills Questionnaire

Please fill out this questionnaire before attending the first session.

The items on this questionnaire are designed to help you to think about how effectively you carry out management functions.

There are 50 statements below and on the following pages. To the right of each statement is a 1-2-3-4-5 scale to use to rate how effective you are at fulfilling that function.

For your own learning, please try to be as objective and candid with yourself as possible.

Circle the number on each scale which you believe best describes your effectiveness in carrying out this function. Use the following scale:

1...Rarely effective
2...Occasionally effective
3...As effective as most people around me
4...More effective than most people around me
5...Highly effective

After completing the questionnaire, transfer the numbers to the scoring sheet on the last page.

How effective are you at......?

1. Influencing others to accept your point of view.	1 2 3 4 5
2. Describing organizational direction to your staff in a way that they understand the direction and are motivated.	1 2 3 4 5
3. Working with your subordinates to develop and gain agreement on work objectives.	1 2 3 4 5
4. Following up on tasks you have asked others to do.	1 2 3 4 5
5. Taking the initiative to identify and solve organizational problems.	1 2 3 4 5
6. Helping work groups achieve good results whether you are the group leader or a group member.	1 2 3 4 5
7. Ensuring that your point of view is considered in larger organizational decisions.	1 2 3 4 5
8. Securing additional resources when it is necessary to get an important job done.	1 2 3 4 5

9. Being a technical authority.	1 2 3 4 5
10. Seeking and getting feedback about your own performance.	1 2 3 4 5
11. Maintaining open communication with your colleagues.	1 2 3 4 5
12. Establishing a sense of direction in your unit.	1 2 3 4 5
13. Setting work standards and time frames collaboratively with you staff.	1 2 3 4 5
14. Giving clear, understandable feedback to your staff in a way that results in real improvement in performance.	1 2 3 4 5
15. Getting others involved to help solve problems that you see as important.	1 2 3 4 5
16. Carrying out initial planning with new work teams to establish roles and performance expectations.	1 2 3 4 5
17. Being clear to your staff about decisions you have made and why you made them.	1 2 3 4 5
18. Developing a relationship with your own supervisor that considers both persons' needs.	1 2 3 4 5
19. Providing the day-to-day technical support and guidance needed by your people.	1 2 3 4 5
20. Counseling your staff on career decisions.	1 2 3 4 5
21. Ensuring that all your staff members know what is going on.	1 2 3 4 5
22. Helping the larger organization define its goals and deciding what part your unit can play.	1 2 3 4 5
23. Delegating responsibility and authority.	1 2 3 4 5
24. Consistently acknowledging good performance by telling your staff when they have done a good job.	1 2 3 4 5
25. Getting people to trust you in organizational conflict situations.	1 2 3 4 5
26. Using other staff members as resources without regard to organizational status, formal position, or your personal feelings about them.	1 2 3 4 5
27. When in meetings, helping everyone focus on the key decisions that need to be made.	1 2 3 4 5
28. Making realistic commitments on behalf of your unit--neither more than your unit can accomplish nor less than it should be able to contribute.	1 2 3 4 5

29. Balancing technical responsibilities with other parts of your management responsibilities. 1 2 3 4 5

30. Helping a staff member learn new responsibilities. 1 2 3 4 5

31. Actively listening to others and being able to empathize with opposing views. 1 2 3 4 5

32. Stepping away from immediate tasks when necessary to reconsider how your unit's resources ought to be used. 1 2 3 4 5

33. Assigning adequate resources to tasks. 1 2 3 4 5

34. Reviewing staff work in a way that encourages open and honest discussion. 1 2 3 4 5

35. Taking initiative in solving problems when you are part of the problem. 1 2 3 4 5

36. Supporting a team approach to a task even if some don't see the value of working as a team. 1 2 3 4 5

37. Making tough decisions in a timely way. 1 2 3 4 5

38. Describing how your unit contributes to accomplishing the overall goals of the organization. 1 2 3 4 5

39. Giving technical leadership to an overall project, even if some of the contributors have more specialized knowledge. 1 2 3 4 5

40. Taking action when one of your staff needs training. 1 2 3 4 5

41. Building informal communication networks. 1 2 3 4 5

42. Taking on and accomplishing tough conceptual tasks and solving them with other people. 1 2 3 4 5

43. Explaining to others specifically what is required when planning work. 1 2 3 4 5

44. Responding to staff requests for your input on in-progress tasks. 1 2 3 4 5

45. Resolving conflicts between your unit and other parts of the organization. 1 2 3 4 5

46. Getting work teams to function really well. 1 2 3 4 5

47. Getting input from your staff on decisions you make. 1 2 3 4 5

48. Helping higher level management understand what can realistically be expected from your unit with a given set of resources and time frames. 1 2 3 4 5

49. Providing technical insights to those who work with you. 1 2 3 4 5

50. Assisting staff members in learning from their job experiences. 1 2 3 4 5

Scoring Sheet

Transfer the numbers from the questionnaire to the appropriate space below. Add each line across and write sum in "Total" column.

					Total
1._____	11._____	21._____	31._____	41._____	_____
2._____	12._____	22._____	32._____	42._____	_____
3._____	13._____	23._____	33._____	43._____	_____
4._____	14._____	24._____	34._____	44._____	_____
5._____	15._____	25._____	35._____	45._____	_____
6._____	16._____	26._____	36._____	46._____	_____
7._____	17._____	27._____	37._____	47._____	_____
8._____	18._____	28._____	38._____	48._____	_____
9._____	19._____	29._____	39._____	49._____	_____
10._____	20._____	30._____	40._____	50._____	_____

Introduction to Course

Total Time: 2 hours, 20 minutes

Goals

1. To introduce the trainers and participants.
2. To begin to discuss the role of the manager in the participants' organization.
3. To establish a learning climate that is participative and involving.
4. To determine what participants expect to gain from the course.
5. To explain the course goals, themes, and schedule.
6. To discuss and agree upon ways to work together in the course.

Overview

This first session introduces the trainers, group members, course themes, schedule, and goals. An introductory exercise is presented to establish the informal and participative climate needed for this type of course and to begin to focus on the overall course themes. The exercise is done in small groups and consists of a group project of drawing a picture of how they perceive their role as a manager. The pictures are returned to at the closing of the first phase of the course and reflected upon and modified in light of any changes in self-perception that have taken place as a result of the course.

In addition, this session is designed to ensure that participants are clear about course goals and what is expected of their participation in order to make the course work. Participant expectations are inventoried to clarify course goals and to ensure that trainers are aware of particular interests.

Procedures

1. Introductions *15 minutes*

Welcome the group; give a brief background on the course; why we are here, why we are giving this course; what we have done to develop the course; briefly introduce each of the trainers (background, experience, hope for the course).

Ask each person to identify himself or herself (position, length of time with institution, etc.).

2. Group Task—Picture *20 minutes*

Explain the rationale for the picture: something that focuses on being a manager in this particular institution, something very different from day-to-day managing and engineering work, something that involves everyone, something fun.

Break into groups of six participants; give the following task:

- Discuss what it is like to be a manager in this institution.
- As a group, decide on common themes and draw a picture on a piece of flipchart paper that best shows what it is like to be a manager here. A ground rule--no words on picture!

3. Debrief Picture Task *25 minutes*

- First, taking one picture at a time, have the other groups describe what they see.
- Then, ask the group that drew the picture to explain it. Repeat this with all the pictures.
- Trainer points out any common themes, asks groups for comments on themes as well: try to capture sense of what it's like to be a manager in this particular institution.
- At the end of the discussion, ask each group to write a few words that capture its sense of what its picture means and any of the themes.

4. Expectations *30 minutes*

Have individuals take a few minutes to think about and make some notes about "what do I expect to get out of this course?"

Break into small groups of four to six and ask participants to share their expectations with other members of their group and then, as a group, to identify the two most important expectations.

Have small groups report. Post responses on flipchart.

5. Course Rationale *15 minutes*

Explain the themes and content of the course. Link to the precourse interviews, pictures from earlier task, and expectations.

6. Course Goals *10 minutes*

Go over the goals of the course and relate them to the needs assessment data and the group's expectations. Distribute Handout 1-1.

7. Course Schedule *10 minutes*

Explain the schedule, flow of themes as they relate to the schedule, and start and stop times. Distribute Handouts 1-2 and 1-3.

8. How We Work Together *15 minutes*

Explain the course methodology and expectations for participant involvement, including the methods that will be used, the role of the trainers, and the role of the participants.

Materials

Flipcharts

Step 2 - Task instructions for drawing picture
Step 4 - Instructions for expectations task
Step 6 - Goals of course
Step 7 - Day-by-day block schedule

Handouts

1-1 Course Goals
1-2 Course Themes
1-3 Course Schedule (from Phase I Overview)

Role and Functions of the Manager

Total Time: 4 hours, 10 minutes

Goals

1. To develop a shared definition of the role a manager plays in an organization.
2. To identify the major functions carried out by managers and how this course will address skill improvement in those areas.
3. To discuss the role and functions of managers in the participants' organization.

Overview

In general, many managers who come out of technical positions have difficulty identifying what is unique about the manager's role and focusing energy on management tasks. Precourse needs assessment interviews will probably generate organization-specific examples of these kinds of difficulties, which can be used in this session.

This session provides a clear conceptual framework for the role of the manager and describes a range of skills needed to carry out the role. A progressive case study in a fictional yet typical ministry office in a developing country is introduced to identify the various functions that a manager carries out in the course of his daily work. This provides an opportunity to check that participants understand the concepts and functions and can recognize them in other situations and to help reinforce the transferability of management concepts and skills to agencies in the developing countries.

NOTE: As background reading for the lecturette on the role of the manager, the trainer should read: (1) Chapter 30, "What Makes a Manager," and Chapter 31, "The Manager and His Work," from *Management: Tasks, Responsibilities, Practices* by Peter Drucker (New York: Harper and Row, 1973) and (2) "What Effective General Managers Really Do," by John P. Kotter, *Harvard Business Review*, November-December 1982.

Procedures

1. Climate Setting *10 minutes*

Ask participants to think back to the discussions following the initial "what is the role of a manager" picture-drawing exercise and carry out large group discussion: "Do we all know what we mean when we say someone is a manager? Do we know what we mean when it is said that someone is a good manager?" Acknowledge points and focus on differences.

Point out that it is important to have a common definition in order to provide a framework for this course and so they can look at themselves as managers in a common way.

2. Session Goals *5 minutes*

Review the session goals and rationale.

3. Lecturette on the Role of the Manager *40 minutes*

Ask each person to spend a few minutes thinking about managers that he or she has worked for, to identify one or two of the very best managers, and to write down the characteristics of those persons that make them good managers. Share in large group and post on flipchart.

The following provides an outline for a lecturette that describes the role that a manager plays in an organization as getting *results* through *people* in a context of *vision* and *values.*

Results

- **Getting things done through people**

  The more traditional part of the manager's role definition—*getting work done through other people.*

- **The contract the organization makes with its managers**

  A contract between the manager and the organization: The organization provides people and other resources; the manager is held accountable for using them to carry out agreed objectives.

- **Making a contribution**

  Peter Drucker suggests a person is not a manager simply because of power or authority, but because he or she makes a *contribution*, and that this contribution has to do with making the output of the whole unit or organization greater than the sum of its individual parts.

- **Responsible for the *whole*, not the parts (as technician)**

  A manager is interested in getting results from the organization as a whole as opposed to the technician's concern for a particular, limited discipline. Drucker points out that technicians often have problems with communication—both in communicating their technical output to the rest of the organization and in understanding the organization's expectations or goals. Clarifying results for the manager and group members is another essential element in carrying out this role.

- **Getting results from others--sideways, up, and down**

  Important to note, as Drucker does, that the "people" through whom you are getting work done are not necessarily subordinates. Drucker makes a special point of highlighting the importance of "integrating sideways." The manager attends to the organization by communicating and interpreting within, around, and sometimes outside the organization.

At this point in the lecturette, remind everyone of what they had been asked to do earlier—make note of the characteristics of a good manager. Ask participants: Does anyone have an example of a characteristic that shows how someone who is a good manager has handled the part of our definition we call *results*? What things do you see them doing to get results? Try to get three or four examples and clarify to ensure understanding.

Vision

- **Knowing where we're all going as an organization; participating in defining the direction**

  The role of the manager is to participate actively in defining organizational direction and mission.

- **Seeing a picture of excellence: how it can really be**

  The manager should maintain a sense of vision for him/herself, his/her unit, and the entire organization.

- **Knowing where you are going**

  Vision is having ideas about the best uses of organizational resources: If *results* means keeping your nose to the grindstone, then *vision* means keeping your eyes on the hills.

- **Knowing where your unit is going: setting agendas**

  John Kotter calls this part of the manager's role "agenda setting." He believes managers carry out a process that is separate but parallel to formal organizational planning processes. How does this happen in your organization?

At this point in the lecturette, again remind everyone of what they had been asked to do earlier—make note of the characteristics of a good manager. Ask participants: Does anyone have an example of a characteristic that shows how someone who is a good manager has handled the part of our definition we call *vision*? What kinds of visions do good managers have? How do they communicate them? Try to get three or four examples and clarify to ensure understanding.

Values

- **Setting an example for others/setting a tone/setting up norms for the way your staff should work**

  Whether managers do it consciously or not, they create working norms as they carry out their work. Daily decisions—like using a team or not, discussing a performance issue with a staff member, rewarding a contribution, choosing what information to share—create a working climate that is full of "values." What you do is observed and responded to by other members of your organization.

- **Doing what you say you will; being consistent between action and words, values and vision: you are what you do**

  Kotter points out that a manager's values and vision need to be consistent. Managers need to create the appropriate environment—a shared set of values—among those people who are necessary to help them achieve their agenda. For example, "working hard" is a value that is probably important to any manager's agenda.

At this point in the lecturette, again remind everyone of what they had been asked to do earlier—make note of the characteristics of a good manager. Ask participants: Does anyone have an example of a characteristic that shows how someone who is a good manager has handled the part of our definition we call *values*? What kinds of values do "good" managers have? How do they let other people know about the values they hold? Try to get three or four examples and clarify to ensure understanding.

People

- **Assessing and understanding the people you work with**

  The people you need to accomplish your agenda are not only subordinates but also peers and superiors.

- **Getting the best efforts out of others: getting work done through and with people**

  The challenge for many managers is to mobilize people—given limited authority—to achieve the *results* that make their *vision* a reality.

Offer opportunities for questions. Ask if anyone had a characteristic of a good manager that doesn't fit into the role being described. Discuss and clarify.

4. Small Group Task—The Role of the Manager *50 minutes*

Break participants into small groups of four to six and ask them to discuss and be prepared to report on the following:

- What do you think is the vision of the managers in your organization?
- How does this vision affect the way that the organization is managed?

Allow 15 to 20 minutes for small group work, and then have groups report out. Lead large group discussion. Point out how report outs relate to the definition of the role of the manager.

5. Lecturette on Management Functions *20 minutes*

The next step is to look at how the manager goes about performing this four-dimensional role: what he or she actually does. Research into managerial behavior has categorized managerial activity into 10 major functional areas:

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

Present functions. (Functions are described in detail in Handout 2-1. Give examples from your own management experience as to how you (or your colleagues) handle/do these functions ... even admitting where there are some areas you could be doing better! You should also have organization-specific examples of each activity.)

6. Case Study: Individual and Small Group Tasks *90 minutes*

Introduce the idea of the case study. Ask participants to read the "Background of Case Study" (Handout 2-2). Ask if there are any questions. Then ask them to read "Part One of Case Study" (Handout 2-3).

Instructions for individual task:

- Review the case study.
- Underline examples of Nihal carrying out the 10 management functions.
- Look for places he might be more effectively performing these functions.
- Take 20 minutes.

Once the participants are finished with the individual task, ask them to work in small groups to decide and be prepared to report on the following:

- What functions did you see Nihal carrying out?
- Which did you think he carried out effectively?
- What functions, if any, could he have carried out more effectively in order to help his situation?

Allow 40 minutes for this task. Following small group activity, lead a large group discussion to ensure understanding of the functions.

7. Self-assessment Using Management Functions *30 minutes*

Ask people to think about what their strongest and weakest areas are in regard to the 10 management functions. Have them take out the Management Skills Questionnaire they completed prior to the course and complete the scoring sheet. Call attention to how the rows of questions on the scoring sheet correspond to the 10 management functions discussed above.

Individual time to think about two questions:

- In which two areas would you like to improve?
- How would your improvement in these two areas affect your own organization?

Pass out "Management Functions Reflection Sheet," Handout 2-4, and ask participants to make some notes for themselves.

8. Closing *5 minutes*

Wrap up the session and the day. Pass out "Communication for Effective Management" (Handout 4-1) to be read overnight in preparation for Session 4, Introduction to Communication.

Materials

Flipcharts

Step 2 - Session goals
Step 3 - Role of the manager lecturette
Step 4 - Instructions for small group task on role of the manager
Step 5 - Management functions
Step 6 - Individual task on case study
- Small group task on case study
Step 7 - Individual reflection questions

Handouts

2-1 Ten Functions of a Manager
2-2 Background of Case Study
2-3 Part One of Case Study
2-4 Management Functions Reflection Sheet
4-1 Communication for Effective Management

Introduction to Skill Improvement Group

Total Time: 1 hour, 30 minutes

Goals

1. To introduce the Skill Improvement Group as a way of improving individual management skills both during and after the course.
2. To determine which management function areas individuals want to focus on for improvement throughout the course.
3. To begin to discuss how individual management improvement would affect organizational performance.

Overview

This session introduces the idea of using a group that will remain intact throughout the course as a means to reinforce individual skill improvement. The use of the Skill Improvement Group as a means to provide support for individual improvement following the course is also discussed.

Procedures

1. Climate Setting *10 minutes*

Welcome everyone back. Ask for questions from yesterday. Give an overview of the day's agenda.

2. Skill Improvement Group *75 minutes*

Provide rationale for the Skill Improvement Group:

- Will be used throughout the course to provide an opportunity to discuss application of what is learned to the "real world."
- Will give opportunity to share personal perspectives and learning.
- Will provide a forum in which to share what you *plan* to do as a result of what you have learned in the course.
- Can be used after the course as a way to support your implementation of your planning.

Before forming the groups, reinforce the idea that the group will be meeting throughout the course and that it is an important part of the course. "We want this time to be used well!" Provide quick hints on ways to make this group work. Hints should be on a flipchart and should include the following:

- Make sure everyone is clear on the agenda of the meeting.
- Don't waste time on discussion that is not part of the agenda. If you think that the discussion is about something not on the agenda, speak up!
- Keep track of time. Use the time to talk about the most important items.
- Listen to each other. Only one person should be speaking at a time.
- Make sure that everyone has a chance to participate. If someone is not talking, ask them if they want a chance to speak.
- Record the outcomes of the discussions. If you think that the group has made a decision, make sure that someone has summarized the decision and written it down.

Have everyone get into a group in the room before giving them the task for the meeting. Participants should choose a group in which they will feel comfortable discussing the issues described above. There should be no more than five people in each group. Groups may meet after the course, and participants should choose a group that includes people they can meet with easily.

After groups have formed, give the following instructions:

(1) Each member of the group should share those two functional areas in which he or she wants to make improvements. (This comes from the management functions self-assessment in Session 2.)

(2) After sharing your own perspectives on the above two areas, make a list of at least three examples of how the operation of your organization would improve if the members of your group did in fact improve their skills in the areas that they have identified. Be prepared to share these examples with the large group.

(3) After discussing items 1 and 2, choose a name for your Skill Improvement Group.

Give the groups 40 minutes to complete the task.

After the small group meetings, reconvene the large group and ask each group, in turn, to share its examples of how management skill improvement would change organizational performance.

Do a quick check of how the hints for running the meetings worked. "Did you have difficulty using them? What happened?"

3. Closing *5 minutes*

Review the names that were chosen for the groups. Ask why the names were chosen? List names on a flipchart.

Review the session goals. Provide a transition to the next session, which is on communication.

Materials

Flipcharts

Step 2 - Rationale for Skill Improvement Group
- Hints on making Skill Improvement Groups work
- Instructions for Skill Improvement Groups

Introduction to Communication

Total Time: 4 hours

Goals

1. To describe and discuss a model of the communication process and its application to the work setting.
2. To identify and practice the skills required for effective one-to-one verbal communication: active listening, paraphrasing, and summarizing.
3. To discuss ways to improve communication in participants' work setting.

Overview

This session makes the linkage between good communication—being clear, listening, understanding—and effective management. The first of the 10 management functions is communication; good managers are good communicators. In exploring reasons why communication does not happen as well as it should, trainers identify barriers to sending and receiving information. After a model of communication is presented, a number of practical exercises are carried out, including analysis of a videotaped meeting from the workplace. (NOTE: This exercise is very useful, but it requires some planning in order to videotape an actual "typical" meeting in the participants' workplace prior to the course.)

This session is introduced early in the course in order to provide a framework for using and reinforcing communication skills throughout the course.

Procedures

1. Climate Setting *5 minutes*

Make point that "getting results" with people requires good communication. Results come from

- getting people to understand by *being clear*
- being persuasive enough to *gain agreement*
- getting people to be *committed.*

2. Exercise *15 minutes*

Brief exercise about being clear. "How many of you have told staff to do something, only to find out later that they didn't understand what you wanted?"

Select a participant to give directions to the group on how to draw a diagram (which you provide, but which cannot be shown to other participants) using one-way communication. Rule: No questions, just follow orders.

"How was that? Let's see how many of you got it right. How many of you observe that subordinates are given information in this way?"

Repeat with another drawing. This time participants can ask any questions they want and the direction giver can do whatever is necessary to help them get it right.

"How many got it right this time? What was the difference between the two exercises?" Explain one-way and two-way communication and why two-way communication is so important for managers. Talk about what kind of communication occurs most often in organizations.

3. Introduction to Theme *10 minutes*

Review why group is talking about communication for managers. Draw examples from needs assessment or precourse interviews. Point out that communication will be one of the themes that will be worked on throughout the course. Review session goals and activities.

4. Lecturette on Communication *20 Minutes*

Open discussion on "what is communication?" What goes on in a communication exchange? Give the following definition: Communication is the process of sending and receiving information—

SENDER--------------->RECEIVER

The process appears to be rather straightforward and simple. However, a number of things make the process more complicated than meets the eye. Brainstorm with the group about some of the things that may interfere in the process.

Barriers to communication can be thought of as *filters* that operate to screen out the true intent of the message:

SENDER--------------->//////FILTERS------->RECEIVER

If the filters are operating strongly, communication is often blocked or skewed and the intent is misunderstood:

---message y------->

SENDER-----message y----->///////FILTERS__/RECEIVER

MESSAGE NOT RECEIVED CORRECTLY

Discuss: What are some of the common filters you observe operating in your organization when you are in meetings and working with colleagues? What are some of the common filters you see when working with subordinates? Let's observe some communication going on at a recent meeting in your organization.

5. Videotape Exercise *50 minutes*

Play 10 to 15 minutes of the videotaped example of a recent meeting, stopping as appropriate. Ask participants to observe the communication going on and to note when and where they see miscommunication occurring. Ask them to try to identify what the barrier to communication is in each case.

Discuss:

- How effective was the communication (clear? got people's agreement? commitment?)?
- What kind of filters did you see operating? (Play back video to the places at which participants said there were difficulties and analyze in each case.)
- If you were to try to improve the way communication occurred in the video examples, what could you do?

Brainstorm list of "hints for effective communication." (Examples might include listen carefully, ask the other person questions, try to put yourself in the other person's place, suspend your need to make your own point for a few minutes, etc.)

6. Paraphrasing *1 hour, 15 minutes*

6.1 Rationale/Introduction *20 minutes*

Refer to the hints in the previous step and select one about listening more carefully or repeating what has been said. When information is received, one way of making sure it is understood is to clarify it in some way. Go back to communication model: "What is often needed is a feedback loop."

SENDER-----------//////FILTERS-------------->RECEIVER

<--------------feedback loop---------------->

Paraphrasing is such a feedback loop. It is defined as:

CAPTURING THE INTENT OF A MESSAGE AND SAYING IT BACK TO THE OTHER PERSON IN YOUR OWN WORDS

1. SENDER--------message x---////---------RECEIVER

2. <------------------paraphrase---------------->

3. message x clarified

6.2 Demonstration

15-20 minutes

Two trainers should demonstrate paraphrasing in conversation with each other. Ask the group to identify when they heard paraphrasing taking place. Give other examples, as needed. Develop a list of paraphrasing phrases on the flipchart (e.g., in other words ..., you're saying ..., if I get your meaning ..., let me get this right ..., etc.).

6.3 Group Practice

15-20 minutes

Give group task:

- In groups of five, discuss the question, "What changes will this organization have to make in order to make itself financially viable?"
- Rule: Before you can say what you want to say, you must first paraphrase what the other person has said to his satisfaction.
- Everybody in the group must have an opportunity to talk.
- Refer to list of paraphrasing words as needed.

6.4 Debrief Group Task

15 minutes

"How was that? What is difficult about paraphrasing? What did you learn about how you listen?"

7. Summarizing

45 minutes

7.1 Introduction/Lecturette

10 minutes

Another way of clarifying communication, especially in meetings or after someone has said a number of things in an exchange, is by *summarizing*. Return to communication model: "This is another way of completing the feedback loop."

The purpose of summarizing is to pull important ideas, facts, or data together; to establish a basis for further discussion; or to review progress in a discussion or agenda. By summarizing, you can sometimes encourage people to think about what they have said and be sure that you both agree upon key exchanges of information.

Give a few examples of summarizing statements (let's review what we have agreed on ..., these are the key things that you/we have said ...,) and add more from the group.

7.2 Demonstration *5 minutes*

Hold a conversation between two trainers for about a minute--make up something about preparing for tomorrow's session. Trainer summarizes: "The key things you have said are 1, 2, 3."

7.3 Trio Practice *20 minutes*

Give trios the task of discussing the topic, "The most pressing management problem I face in my work unit is...."

Whenever the trainer says "time," the last person talking must summarize what has been said to date in the conversation. Do this three or four times.

7.4 Discussion *10 minutes*

"How was that? What is important about summarizing for a manager? When would you use summarizing in your work setting?"

8. Wrap-up *20 minutes*

Review skills discussed. Review points made about communication for effective nanagement as a reminder of the lecture material. Ask if there are any additional questions. Distribute Handout 4-2, "Skill Improvement Reflection Sheet," and give participants an opportunity to make notes for themselves on communication.

Materials

Flipcharts

Step 1 - Introduction to communication theme: Results
Step 2 - Drawings: One-way/two-way communication diagrams (for one person only).
Step 3 - Session goals
Step 4 - Model of communication
- Barriers and criteria for effective communication (developed with the group's input)

Step 6 - Definition of paraphrasing
Step 7 - Definition of summarizing

Videotape of meeting/communication

Handouts

4-1 Extra copies of Communication for Effective Management (distributed at end of Session 2)
4-2 Skill Improvement Reflection Sheet

Feedback/Skill Improvement Group II

Total Time: 1 hour

Goals

1. To extend the communication theme to include feedback as a concept for managers.
2. To discuss effective ways to give and receive feedback within the work and cultural setting of the participants' organization.
3. To reflect on individual improvement in the communication skills learned in Session 4 and to try out feedback skills, as appropriate, with colleagues in the Skill Improvement Group.

Overview

This session is designed to introduce the concept of feedback within the overall context of communication. The course returns to this skill area when performance feedback is covered. In this session, the guidelines for effective feedback are briefly described. Skill Improvement Groups meet, and members discuss each other's communication-learning plan and briefly give each other feedback on the plan.

Procedures

1. Introduction, Linkage from Session 4 *10 minutes*

Review discussion of communication from Session 4. "Before you reflect on how you want to improve your communication skills, we want to describe another way that managers can gain insight into how what they do affects others and how they can let others (subordinates and peers) know about how they are perceived." State session goals.

2. Lecturette on Feedback *20 minutes*

Go over the guidelines for giving feedback (Handout 5-1):

- Specific rather than general
- Descriptive rather than judgmental
- Direct, clear, and to the point
- Directed toward changeable behavior
- Solicited rather than imposed
- Well timed
- Well planned

Then explain the guidelines for receiving feedback (Handout 5-2).

Ask the group how feedback is dealt with in their organization. Is it done? Discuss culturally appropriate ways to deal with feedback.

Ask the group when a manager should give feedback. How does a manager get feedback? Point out that Session 10 will deal with performance feedback.

Lead into Skill Improvement Group on communications.

3. Skill Improvement Group *30 minutes*

Ask the participants to move into their Skill Improvement Group (recall names from earlier session). Give task:

- Each person should discuss his/her Skill Improvement Reflection Sheet for communication skills.
- Give each person in your group feedback on his/her own assessment of personal strengths and weaknesses as a communicator.

At the end of the 30 minutes, explain that you are going to move into a new topic area, but will return to the communication theme later.

Materials

Flipcharts

Step 1 - Session goals
Step 2 - Guidelines for giving feedback
Step 3 - Instructions for Skill Improvement Groups

Handouts

5-1 Guidelines for Giving Feedback
5-2 Guidelines for Receiving Feedback

Vision As a Framework for Work Unit Planning

Total Time: 6 hours

Goals

1. To continue discussion about *vision* and how it relates to setting objectives and getting work done.
2. To look at one example of *vision*--some recent findings that define excellence in modern water utility management.
3. To look at the participants' organization in the light of those findings.
4. To develop a working *vision statement* for the participants' organization and to discuss the kinds of actions that might have to be taken by managers to bring it about.

Overview

This session links the concept of *vision* to practical issues of how managers conceptualize the day-to-day work of their units. The participants' organization is examined against standards of excellence developed by the Water and Sanitation for Health (WASH) Project as a result of research in two operating utilities that were selected based on their outstanding performance in the sector. (NOTE: Trainers should read *Guidelines for Institutional Assessment: Water and Wastewater Institutions,* WASH Technical Report 37, as background for this session. Another helpful report is Thomas J. Peters and Robert H. Waterman, *In Search of Excellence: Lessons from America's Best Run Companies* (Harper and Row, 1982).)

After this comparison, the group is asked to develop a series of statements that reflect how they would like to see their own organization in each performance category.

An overall *vision statement* for the organization is then developed by the group. This session begins work on course goal 4, organizing, delegating, and monitoring work, which is continued in the following sessions. It also provides the foundation for the work to be done on the work unit's vision in Phases II and III.

Procedures

1. Introduction/Linkage *10 minutes*

Go back to the flipchart on the role of the manager. Discuss *vision* again and what it means for a manager. Explain how the notion of vision relates to the management functions of conceptualizing, collaborative work organization, and monitoring. Explain that they are going to be discussing some of the skills managers need in order to state what they want from staff and hold them accountable. The first job of the manager is to have a vision of what the organization is and where it is going. This provides a foundation for knowing where the unit is going in relation to the organization. Organizations without a vision of the future flounder about, have trouble deciding priorities, and spend most of their time "managing crises."

Review the goals of the session.

2. Lecturette on Vision 50 minutes

Explain the linkage from vision to performance using a flipchart:

VISION-------->	PRIORITIES---------->GOALS	---------------> OBJECTIVES	-------------
Who are we? Where are we going? Conceptualizing the future.	What is important?	What do we do as an organization?	What does my unit do?

--> WORK PLANNING----------------------->	DELEGATING WITH STAFF------
How do we get there?	Who does it?

--> MONITORING------------------------------>	PERFORMANCE EVALUATION & PERFORMANCE FEEDBACK
How do I keep track of the work?	How can I/we learn from what we are doing and improve?

"Note that we will be paying particular attention to *vision* and *priorities* during this session and will be working on other areas later in the course."

Point to recent research on excellence (e.g., Peter and Waterman, *In Search of Excellence*). Note that one conclusion has been that organizations that achieve excellence have a clear and widely understood vision and relatively few goals.

Explain that WASH recently undertook to define standards of excellence for water authorities. Explain that the study was designed to determine what made good water authorities work.

Go over the performance categories concept, then each performance category:

- Organizational autonomy
- Leadership
- Management and administration
- Commercial orientation
- Consumer orientation
- Technical capability
- Developing and maintaining staff
- Organizational culture
- Interactions with key external institutions

Define each one and give a sample of indicators for each. Refer to Handout 5.1, "Excerpts from *Guidelines for Institutional Assessment.*"

3. Small Group Task: Performance Categories *1 hour*

Select five or six of the assessment dimensions. (Categories are limited to reduce report out time and highlight the most important. Depending on the organization, categories 1-7 or 2-7 may be the most appropriate choices.) Divide into four groups and assign each group one or two categories. Give the following small group task:

- Review the definition of the assigned performance category and the indicators in each category.
- Review and discuss the indicators in your category. Determine how your small group would rate your organization (high, medium, or low) in the category.
- Write a clear, one or two sentence description of what you think your organization should be like in this category. Put on flipchart.

4. Reports from Each Group *1 hour*

5. Developing a Group Vision *1 hour*

Re-form into four new groups so that each group has representatives of each category discussed above. Give small group task:

Take 30 minutes to

- Look at all the statements from the previous exercise on "what the organization should be like."
- Choose the two most important categories on which the organization should focus attention and resources.

6. Small Group Report Outs *1 hour, 30 minutes*

Ask each group to report out on the second of the above two points.

Try to bring the group to some conclusion: "So it seems that most of us are saying that more attention to consumer orientation would be important." Get reactions.

Ask participants to think by themselves for a minute: "If this organization could be at its best a year from now, what would it look like?" Allow some time, then get individual reactions and post them on the flipchart.

7. Wrap-up/Transition to Next Session *30 minutes*

Remind participants of the objectives, i.e., why we have been talking about vision. Point to the schematic, showing the linkage from vision to performance.

Remind participants of the idea of priorities, and ask them to identify one critical action that needs to be taken to help achieve the vision of the organization. Try to get people to respond not only with what *they* (the chairman, my boss, the politicians) ought to do, but also the kinds of actions they themselves should take with their colleagues and staff.

Tie these actions to the rest of the schematic and the issues to be discussed in the following sessions of the course.

Materials

Flipcharts

Step 1 - Role of manager chart (Session 2)
- Session goals

Step 2 - Lecturette on vision
- Definitions of performance categories

Step 3 - Instructions for small group tasks

Handout

6-1 Excerpts from *Guidelines for Institutional Assessment*

Collaborative Work Organization

Total Time: 6 hours, 40 minutes

Goals

1. To define and discuss what is meant by *collaborative work organization* (CWO).
2. To discuss the elements of planning for and carrying out CWO.
3. To practice using CWO skills.
4. To give participants an opportunity to plan for doing CWO in their own work situation.

Overview

One of the most common questions managers ask is, How can I motivate people to do their jobs? At the same time, many managers often expect people to do what they want them to do without being very careful about how they share their expectations of what they want. This session focuses on this critical area--what are the actions that a manager can take to ensure that people are motivated to do what is expected of them?

This session defines a process called *collaborative work organization*. CWO will remind many people of the traditional management concept called delegation, and the two are similar in some ways. Delegation is often thought of as simply "giving my subordinates work." One person is seen as the delegator, the other the receiver, and most of the emphasis is on the delegator and the issue of not delegating enough or delegating too much.

The CWO process recognizes that in many organizations much of the work managers must accomplish is done with colleagues and people in other organizations who do not report to them. It also emphasizes the idea that this process ought to pay attention to both parties--it is a *collaborative* activity. Delegation, as commonly thought of, is not very useful. The work done on CWO in this session will pay particular attention to the *how* in "How do I get this done with someone sitting across the table from me?"

CWO is that planned discussion between people that has as its outcome an agreement about how a particular piece of work can be accomplished. The session defines CWO, highlights the differences between CWO and delegation, and describes the steps for preparing for and carrying out a CWO conversation. The session is strongly focused on how managers should have this conversation, and participants have an opportunity to practice the skills needed to carry out the steps. The session also provides for discussion of questions of motivation, which are discussed further in Session 8 and in Phase II.

Procedures

1. Climate Setting *10 minutes*

Ask the group: How does work get assigned to you? Any problems? Get a good cross section of responses. Add any from the needs assessment interviews. Highlight the fact that many managers have questions about how to get others to do work.

Link to the overall schematic from Session 6: Vision---Priorities---Goals---CWO---Monitoring---Feedback. "Today we'll be talking about CWO."

Review the definition of CWO from the management functions (Handout 2-1). "What are some examples of CWO in your work?" Pick up on examples from the discussion at the beginning of this session. Run through the definition to find out how work gets done, where the strengths and weaknesses are.

Draw from the session overview to point out why the term *collaborative work organization* is being used and how it differs from delegation.

Discuss why is it important to do CWO. Responses might include

- It ensures that people know what's expected of them.
- You can't do everything yourself---part of your role is to get work done through others and to make the whole greater than the sum of the parts.
- It's more effective---using resources and energy that only others can provide.
- It helps people grow---training for higher position.
- It gets cooperation---will help you reach the goal with the least resistance.

Link to goals of session.

2. Lecturette on CWO *45 minutes*

CWO has two parts: *preparation* and *carrying out* the conversation.

Preparation involves thinking through the conversation ahead of time and includes consideration of the following questions:

- *What* do you want to have done?

  -- How does it fit with larger vision, goals, and priorities?
  -- Be clear in your own mind--what do I want done?
  -- How much initiative will I expect the other person to take in carrying out this task?

- *Who* should do it?

  -- strengths and weaknesses
  -- workload
  -- staff development
  -- pair people up versus teamwork

- *When* does it need to be done?

  -- deadlines
  -- planning for the unexpected
  -- immediate tasks

- *How* should I communicate this?

Carrying out the conversation itself includes several elements. Although the suggested sequence is often varied, all the elements should be included in any CWO conversation about an important task. Distribute Handout 7-1.

Six-step Model for a CWO Conversation

(1) Set the climate (what is this meeting about), give some background.

(2) Be clear about what the task is.

(3) Say why you have chosen the person and share the reasons for and benefits of doing it.

(4) Ask for input, ideas, and questions. Use communication skills to come up with an approach and come to agreement.

(5) Be clear about next steps. Next steps should include both the specific actions each person will take and what kind of initiative is expected in carrying out parts of the task. It is sometimes helpful to point out that it is important to be clear about the kind of initiative expected from someone else. This "level of initiative" could be classified into five levels:

  a. Wait until told what to do.
  b. Ask what to do.
  c. Recommend, then take action.
  d. Act, but advise at once.
  e. Act on own, then routinely report.

(6) Closing remarks

3. Exercise: Planning for CWO/Case Study *30 minutes*

Distribute "Case Study Part Two" (Handout 7-2). Give background: You will be meeting with BLC and will be having a CWO conversation.

Give the following individual task:

- Read the case study. It will provide the information you need to meet with BLC.

- Decide: What do I want to accomplish by the end of the meeting with BLC?

- Plan what you will say in the meeting using the six-step model.

4. Large Group Sharing *15 minutes*

Discussion in the large group should focus on two questions:

- What did you decide you wanted to accomplish in the meeting with BLC?
- How will you make sure that the task is clear? Remind participants of the communication skills introduced in the earlier session.

Point out that talking about this kind of situation is useful, but that it is even more useful to try the skills out.

5. Set up Role Plays *30 minutes*

Ask participants to review their own plans in view of the comments they have heard and prepare to be Nihal in an upcoming CWO conversation--BLC will be here in 10 minutes!

After participants have individually reviewed their plans, ask them to get into pairs and review their approaches with each other. Do the approaches take into account all six steps?

6. Do Role Plays *1 hour, 15 minutes*

Break into two large groups of 12 to 15. In each of the two separate groups, give three or four people a chance to try out their strategy in front of the rest of the group. Ask one or two participants to be BLC and give them the "Briefing Sheet" (Handout 7-3) for part two of the case study. They should read the briefing sheet to know how to play the role of BLC Naga.

After each role play, ask the others in the group to share their observations:

- Did Nihal follow the six steps?
- What worked, did not work?
- Which one was the hardest to do?
- What one suggestion for improvement would you make?

After three or four participants have tried out their strategies, generalize in small group: What can we learn about conducting a CWO conversation from watching these role plays?

7. Large Group Debriefing *30 minutes*

Have each group share with the large group: What did you learn about using the six-step model? Which step was most important? Most difficult? Questions?

8. Individual Work on CWO *30 minutes*

Assign the following individual task:

- Review the pieces of work you have coming up in the next six months, either those you intend to initiate yourself or those you might expect to come from others. Work individually to list them.
- Identify the persons who could do the work and list them beside each job or task.
- Select from the list one important job or task about which you want to carry out a CWO conversation.

9. Planning for a CWO Conversation *15 minutes*

"Look again at the task and the person you expect to carry out the task. Use the concepts we have been discussing, including the six-step model, to prepare for a CWO conversation with that person as if he or she were going to be here in 15 minutes."

10. Situation Replays *1 hour, 20 minutes*

This part of the session is designed to give participants an opportunity to actually "act out" how they would carry out this conversation, much like they did earlier with the BLC/Nihal conversation. It offers the opportunity to get perspective and consultation from two other managers as they listen to how the manager would actually carry out the conversation. The same technique--called *situation replays* because a manager has a chance to practice or "replay" the situation--is used several other times in the first phase of the program.

In order to use the technique, the participants are asked to form trios with people whose advice and perspective they would value. Each member of the trio gets 25 minutes of the trio's time. In the trio, one person will take on the role of the person with whom the manager is doing CWO. The interaction between the manager and this "actor" is observed by the third person, the observer.

After explaining the overall technique, give instructions on how each person's 25 minutes should be used:

- Describe the situation and the person with whom you would be holding this conversation to the "actor." Describe the person's mannerisms, how he/she talks, and in general, how he/she might react in this situation. (Take no more than five minutes to do this. Don't say what you, the manager, are going to do.)
- "Live" through the conversation as if you were really holding a CWO conversation with the person--don't tell how you would do it, just do it. Take about 10 to 12 minutes to do this. Try to work on the parts of the six-step model which you believe would be the most difficult. Stop and begin again if you would like to retry certain parts; when you don't get the results you want, stop and try to do it another way.
- At the end, let the observer give feedback on what she/he saw happening and how effective it was. The observer should give specific examples in giving feedback.

11. Debrief Situation Replays *20 minutes*

Discuss in large group: How was it? What was difficult about it? What did you learn?

12. Reflection Sheet *10 minutes*

Distribute the "CWO Reflection Sheet" (Handout 7-4) and ask participants individually to record what they learned about CWO.

13. Closing of This Session *10 minutes*

Close session. Refer to objectives. Refer to schematic and how the next sessions will look at other aspects of the manager's role--monitoring and performance feedback, which are based on good CWO.

Materials

Flipcharts

Step 1 - Linkage chart (from Session 6)
- Importance of CWO
- Goals of session

Step 2 - CWO lecturette notes
- Six steps for CWO

Step 6 - Role play instructions
Step 8 - Individual task instructions
Step 9 - Preparation task instructions
Step 10 - Situation replay instructions

Handouts

7-1 Six Steps for Carrying out Collaborative Work Planning
7-2 Case Study Part Two
7-3 Briefing Sheet: BLC Naga
7-4 CWO Reflection Sheet

Situational Leadership

Total Time: 3 hours

Goals

By the end of the session, participants will be able to

1. Describe the management theory called *situational leadership.*
2. Identify their preferred leadership style(s).
3. Discuss what the theory says about some of the issues raised in the CWO session.

Overview

This session is based on an approach to describing effective interaction between "leaders" and "followers" called *situational leadership,* a theory developed by Paul Hersey and Kenneth H. Blanchard in *Organizational Behavior: Utilizing Human Resources* (Englewood Cliffs, N.J.: Prentice-Hall, 1972). The session includes a self-diagnosis of managerial style, analytical work using case studies, and time devoted to planning to use these concepts and skills in on-the-job situations.

This unit follows the session on CWO and helps the participant understand that *how* one goes about carrying out CWO is critically important to job success. Each manager has a leadership style, which given a particular situation, may or may not be the most effective in influencing others to carry out job tasks. Situational leadership theory examines the interrelationship of leadership style, the needs of those people being led, and the effectiveness of a leader in a given situation. The theory provides the basis for managers to match particular styles to situations.

Procedures

1. Climate Setting *20 minutes*

Review CWO concepts, including elements related to CWO preparation and the six steps.

Highlight important remaining issues. As managers work to carry out CWO effectively, many seem to have questions about "how" best to interact with their staff. They've seen others in management positions, but wonder--what's the best way to "lead," to influence others. As managers do CWO, make decisions, and solve problems together with other people, they seem to ask themselves the following types of questions:

- How much telling? How much asking?
- How "directive" do I need to be?
- How open should I be to subordinates' ideas?
- How much should I involve people in decision making?
- How much structure should I provide? How "democratic" should I be? When is it a good idea to be "autocratic"?
- How do I maintain control? What's the best way to motivate staff, to get them to take on more responsibility?

Other questions about leadership style may have come out in previous sessions and should be summarized here as well.

"Over the years, those interested in management theory have given a lot of thought to these kinds of questions--to the concept we're calling *leadership style*."

Share goals of session.

2. LEAD Instrument *30 minutes*

Have participants complete LEAD instrument (Handout 8-1).

3. Lecturette on Situational Leadership Theory *20 minutes*

Deliver a lecturette on situational leadership theory based on the description in "LEAD Scoring and Interpretation Workbook," Handout 8-2.

Display flipchart showing four quadrants.

Shared decision making. Leader facilitates problem solving. Lots of interaction. (Quadrant 3)	High direction by leader, but open to ideas and suggestions. Leader makes most decisions and control is with leader. (Quadrant 2)
(Quadrant 4) Problems identified together. Decision making by follower. "How" decided by follower. Runs own show.	(Quadrant 1) Leader tells who, what, where, when, how. Problem solving and decision making in leader's hands. Implementation closely supervised.

4. Predicting LEAD Scores *5 minutes*

Ask participants by a show of hands which quadrant they think they're in. Record on flipchart.

5. Scoring the LEAD Instrument *10 minutes*

Tell the participants to use "LEAD Scoring and Interpretation Workbook" to complete scoring their questionnaires (Handout 8-2).

6. Interpreting LEAD Scores *25 minutes*

Explain interpretation of scoring to participants:

- Explain what the four quadrants represent for individuals. Refer to the score interpretation sheets (in handout).
- Emphasize that no one style is "right"; the best style to use depends upon the situation. Each style may be effective or ineffective depending upon the circumstances.

Share your own scores with the participants. Do some interpretation.

Ask for volunteers from the group to share their scores. Do some interpretation: "In most circumstances, you would...." "You seem to feel most comfortable...." "Does this sound right to you?" "Does it sound like you?"

Ask for show of hands: "Who had a predominant score in Quadrant 1? 2? 3? 4?" Record on a flipchart. Ask the group for their reactions to the group profile and to any differences with how they predicted the group would look.

Ask participants if any questions or issues remain in interpreting the LEAD scores.

7. Lecturette on the "Situational" Part of Situational Leadership *20 minutes*

Ask rhetorically, Which leadership style is best? Hersey and Blanchard say it depends and involves asking yourself several questions:

- Task: What task or responsibility do you want the person to carry out?
- Level of Performance Expected: What constitutes good performance in relation to this task?
- Follower: Does the individual have the necessary knowledge and skills (ability) along with the confidence and motivation (willingness) to perform at the desired level?

Show how the answer to these questions gives a profile (e.g., low willingness and ability) that will relate to an individual with respect to a particular task. Show how this matches with quadrants.

Make the following points:

- Individuals with low willingness and ability generally respond best to the structure that a Quadrant 1 leader provides.
- Individuals with somewhat more willingness and ability need structure as well, but they want to interact and communicate more about the task, in order to be committed to it (Quadrant 2).
- Individuals with fairly high willingness and ability work best as productive employees when they have a chance to make some decisions on their own and some in collaboration with their supervisor (Quadrant 3).
- Individuals who are totally willing and totally able to do a particular task generally work most effectively if they are held accountable for results but have the freedom to organize their own task accomplishment. Not only do they not need highly structured supervision, but it may interfere with their getting the job done (Quadrant 4).

The effective leader is able to match his or her style to the needs of the situation.

Discuss any other relevant issues: *abdication* (it's not my responsibility; it's the subordinate's), *dissonance* (when you misjudge the subordinate's willingness and ability and use the wrong quadrant), *development* (when you want a subordinate to develop a new skill), and how use of this theory supports individual motivation.

8. Critical Incidents *40 minutes*

"We're now going to carry out several activities to try out this theory in some real situations." Distribute "Critical Incidents for Situational Leadership" (Handout 8-3).

Divide participants into four groups and assign one critical incident to each group. Allow 20 minutes for the group to prepare to report to large group.

Large group discussion. Give the participants time to read critical incident A and ask that group to report. Give other groups a chance to comment, provide alternative analyses or another point of view. Then do critical incidents B, C, and D in the same manner.

9. Wrap-up *10 minutes*

Ask if the theory is applicable in their organization.

- What have you learned about yourself and your dominant leadership style?
- What have you found out about what you need to change?

Review objectives. Tie back to CWO.

Preview next session.

Materials

Flipcharts

Step 1 - Questions
- Goals of session

Step 3 - Lecturette notes: Four quadrants
Step 7 - Lecturette notes: Four quadrants with follower maturity
Step 8 - Group task on critical incidents

Handouts

8-1 LEAD Instrument
8-2 LEAD Scoring and Interpretation Workbook
8-3 Critical Incidents for Situational Leadership

Monitoring

Total Time: 3 hours, 10 minutes

Goals

1. To consider some of the best ways to monitor work that others are doing.

2. To practice using those principles.

Overview

Good managers spend quality time in the CWO/monitoring/performance feedback cycle. Getting work done through others involves being clear about what you expect from them and carefully developing agreements about how that work will get done. It requires sensitive monitoring and follow-up--not so much that a subordinate feels "micromanaged" or smothered, and yet enough that you feel reassured that the right things are getting done on time. And finally, this cycle involves letting people know how well they are meeting your expectations--giving them feedback so their performance is reinforced or appropriately modified.

This session focuses on the monitoring part of this cycle. Too often managers stop worrying about a piece of work once it has been assigned, only to be dissatisfied at the point the work is due. This session explores some of the principles related to monitoring and developing necessary systems for keeping on top of all those agreements that have resulted from a series of CWO conversations.

Procedures

1. Climate Setting *10 minutes*

Recall CWO and the principles of situational leadership. Refer to the flowchart (Session 7) and where monitoring fits in the natural sequence. Emphasize how CWO leads to performance monitoring. "Later we will consider performance feedback."

Introduce the session goals.

2. Lecturette on Performance Monitoring *45 minutes*

Ask why performance monitoring is hard. "Why don't we do it?" (Either draw responses from group or ask question rhetorically; post on flipchart--because it's seen as negative, it's not accepted, it takes too much time and trouble, it's not something that we've done before, etc.)

Before continuing, review the definition of performance monitoring in the management functions (Handout 2-1)--"checks work progress at agreed upon times." Recall the part of the CWO definition that set up checkpoints and the way of monitoring.

"If it's hard and people sometimes view it negatively, why bother?" Review the following issues on a flipchart to initiate discussion and add other reasons *why* as offered by the group:

- To know unit, individual capabilities (you're going to have to do CWO again sometime).
- Allows midcourse correction (against what you really want/against new requirements).
- To provide an opportunity to reinforce good performance (monitoring isn't negative feedback throughout).
- Because you're responsible (for results).

Build on the *why* with a discussion on how to do monitoring. Distribute Handout 9-1.

Good monitoring is

- built on CWO, not a surprise, tied to performance.
- a two-way street (you're open to be checked with, as well as to be the checker).
- regular, consistent, timely.
- based on your decision about leadership style.
- focused on more than *when* (deadlines are easy to monitor, what about quality, etc.?).
- planned.

There are four key issues in planning for monitoring:

(1) What do you want/need to know?

(For example, indicators of satisfactory work, your need for reassurance, others' need for information/reassurance.)

(2) How will you find out?

(3) When will you find out?

(4) How and when will you discuss your approach to monitoring with the person involved?

After the lecturette, ask: What ideas do you have on bringing about effective monitoring? How do you like to be monitored? What ideas do you have for creating an effective climate for monitoring? Post the responses. Relate the responses to "good monitoring" and "planning for monitoring" flipcharts.

3. Small Group Task *55 minutes*

Refer to the case study (Handouts 2-2, 7-2, and 7-3) for the small group task. In four small groups, ask groups to work together to come to consensus on the following task:

- As Nihal, use the four key issues in planning for monitoring to develop an approach to monitoring BLC's task.
- Use what is known from previous parts of the case study.
- Be prepared to present the results of your discussion in the following form. Record response on flipchart:

What I Need to Know	How I Will Find Out	When I Will Know

Explain "what really happened" in the initial CWO meeting with BLC: BLC agreed to develop a draft workplan for managing the project and agreed to come back within three days to review it.

4. Large Group Discussion *60 minutes*

Have participants return with flipcharts to large group and ask each group to report out.

Ask what similarities and themes occur in the four report outs.

Return to the "good monitoring" flipchart and ask if each group's approach is consistent with the principles of "good monitoring."

5. Wrap-up *20 minutes*

Distribute the "Monitoring Reflection Sheet" (Handout 9-2) and ask the participants to fill it out. Make the transition to performance feedback. Monitoring and the data it provides are the basis for performance feedback.

Materials

Flipcharts

Step 1 - Flowchart of management steps (from Session 7)
Step 2 - Lecturette notes on good monitoring
- Lecturette notes on planning for monitoring
Step 3 - Small group task

Handouts

9-1 Monitoring
9-2 Monitoring Reflection Sheet

Performance Feedback

Total Time: 5 hours

Goals

1. To describe the skills needed to give performance feedback effectively.
2. To practice using those skills.
3. To review how performance feedback fits into the cycle of CWO/monitoring/performance feedback and how the manager using this process supports effective performance.

Overview

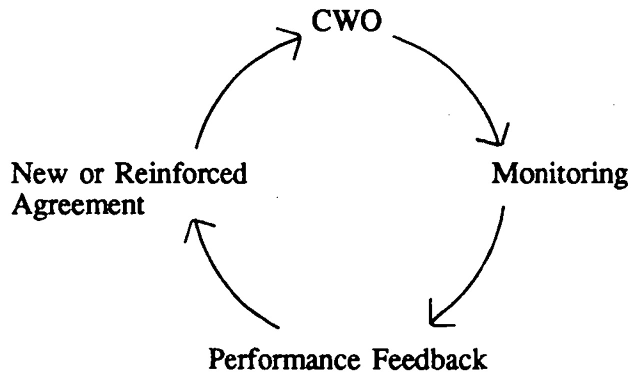
This session draws on the discussion of feedback held earlier in the course (Session 5). It describes how to provide feedback within the framework of CWO/monitoring/performance feedback, and gives participants two opportunities to build feedback-giving skills.

The session concludes with a Skill Improvement Group focused on the CWO/monitoring/performance feedback cluster.

Procedures

1. Introduction to Performance Feedback *15 minutes*

Review a drawing on the flipchart showing how CWO, monitoring, and performance feedback fit together. (NOTE: The drawing should connect the elements with arrows.)



Note that monitoring provides the data for giving performance feedback and our goal today is to look at the skills necessary to communicate feedback effectively to someone with whom we have had a CWO conversation.

Review session goals.

2. Lecturette on Performance Feedback *20 minutes*

The term *feedback* as used here is the communication or message that comes to you from another person about how you are performing in his or her eyes.

When a person *gives feedback*, he or she is giving (telling) another person information about how his or her behavior affects others or about the work he or she is doing. "Write the definition down to capture the sense in which the term feedback is used for management."

- Feedback is giving and receiving information about performance that serves to either reinforce or correct behavior.

Feedback is a particularly important management skill, for which CWO gives you a set of "agreements." As a manager, it is your responsibility to let people know how they are doing against those agreements.

Feedback is a tool that enables the manager to coach, guide, and counsel the individual subordinate and "stretch" his or her learning.

Use the flipchart and Handout 5-1 to recall "Guidelines for Giving Feedback," introduced earlier in the course.

Ask if the group sees any differences in using feedback in a performance setting versus the way it was used in Session 5. Some possible examples might be:

- Feedback in a performance setting is based on CWO.

- You don't wait until it's solicited.

3. Demonstration of Providing Feedback *45 minutes*

"Let's watch an example to see if there are any other differences and what needs to happen to make performance feedback work."

One trainer models a 10 to 15 minute simulated performance feedback conversation with a participant, or with the other trainer, in front of the group.

The other trainer then leads a discussion on the demonstration. Ask participants to comment on how the guidelines for giving feedback were used. Ask if anyone saw other elements of this conversation that helped make it effective (tone, mix of positive and negative feedback, effort that it took to plan, etc.) Post the elements on the flipchart.

Analyze and discuss. Stress the importance of planning for a feedback conversation.

4. Planning for Feedback *15 minutes*

Say that you are now going to give everyone an opportunity to plan for a performance feedback meeting using the feedback guidelines and what has been learned from the demonstration.

Ask everyone to return to the case study and assume that they are Nihal. "Some time has passed since you last met with BLC. Just as in real life, you have a lot of data about BLC. There are some new developments."

Give a brief overview of the current situation as described in the first few paragraphs of "Part Three of Case Study" (Handout 10-1).

Then assign this individual task.

- As Nihal, individually prepare to hold a meeting with BLC.
- Choose which data you think it is appropriate and important to focus feedback on.
- Decide on a strategy.
- How will you go about having this conversation with BLC?
- You will have 15 minutes to prepare.

5. Paired Task *15 minutes*

Ask everyone to get into pairs and to help each other get ready for a discussion with BLC by examining each other's approach to see how well it follows the guidelines for giving feedback.

6. Feedback Practice *60 minutes*

Divide the group into trios. Each person will have an opportunity to play BLC, Nihal, and the observer. Explain the process using the instructions on flipchart. Each person will have 10 minutes to role play Nihal giving feedback to BLC. One person will be the observer. It is the observer's job to take notes on how the feedback is being given. If the observer notices that the rules are not being followed (e.g., if a piece of feedback is too vague or not supported by an example), he or she may stop the action and ask the giver of feedback to "roll back the tape" and try it again. The observer's task is to coach. At the end of the 10 minutes, the observer then facilitates a brief discussion telling the role players what was effective and what needs to be improved.

After the first round, switch roles and continue on until all have played all three roles. Each round should take 20 minutes.

7. Back in Large Group *30 minutes*

Discuss the trio exercise with attention to the feedback guidelines, the issues raised after the demonstration, and the question of what should appropriately be included in a conversation like this.

Questions can include

- How hard was it to follow the guidelines?
- What did the observers notice the giver of feedback having the most trouble with?
- Which data did you see selected for feedback and which not?

8. Individual Preparation Task *15 minutes*

Assign the following individual task: Think of a situation in your office in which you need to give a subordinate performance feedback. Plan for the conversation as if it were going to happen in 15 minutes. Pay particular attention to how you would give feedback and plan all of the steps you would need to take to carry it out.

9. Skill Improvement Group *60 minutes*

Ask the group to meet in trios. Then give each person the chance to simulate the feedback session they would hold if they were giving feedback to the employee they have selected to carry out the complete cycle with. Use the same format of giver, receiver, observer. The person playing the receiver should be coached a bit before starting about the type of person he or she is to play (names may be changed to disguise who the person is). Each round should take 20 minutes.

10. Wrap up CWO/Monitoring/Performance Feedback Cycle *20 minutes*

Discuss the simulations and draw lessons related to the entire cycle of CWO, monitoring, and feedback. Questions include

- Are the relationships among these concepts clear?
- Are there any skills you need to work on to be able to give performance feedback?

Review flipcharts and principles from each of the three sessions in this series.

11. Closing *5 minutes*

Make the linkage to the next session on meetings.

Materials

Flipcharts

Step 1 - CWO cycle diagram
Step 2 - Defining performance feedback
Step 4 - Task assignment: Planning for feedback
Step 6 - Instructions to trios for feedback practice
Step 8 - Individual preparation task for simulation
Step 9 - Instructions for Skill Improvement Groups

Handout

10-1 Case Study Part Three: Giving Performance Feedback

Getting People to Work Together Effectively: How to Make Meetings Effective

Total Time: 6 hours, 15 minutes

Goals

1. To introduce the theme, "Getting People to Work Together Effectively."
2. To define the purpose of different types of meetings.
3. To discuss guidelines for how to make meetings more effective.
4. To practice and develop skills in running effective meetings.

Overview

This session on how to make meetings effective is the first of two sessions focused on *getting people to work together*. After the topic area has been introduced, this session progresses into a presentation of guidelines for effective meetings. This is followed by analysis of a videotape of a typical meeting. (This session is extremely effective if, prior to the beginning of the workshop, a videotape of a typical meeting back at the work site can be recorded.) Skill practice follows with participants conducting a meeting using the guidelines.

The second session (Session 12) is designed to help participants work on intergroup cooperation and agreements for working together.

Procedures

1. Climate Setting *30 minutes*

Provide the rationale for this series of sessions: How to get people to work together.

"What are some of the ways that you have had to work together in groups in the last year?"

List responses on flipchart (e.g., task forces, committees, design teams, review groups, full staff meetings, meetings of small work groups, etc.).

Give the following individual task: In looking over the process of working in the different groups, think about how effective they have been. Make some notes: What could be done during the workshop to improve them?

Share responses.

Provide an overview of the two sessions on *getting people to work together*. "What we hope to achieve with all of this is skill development and increased understanding of how to improve working together in these different settings."

Make the transition to meeting effectiveness. Make any linkages to the preworkshop interviews--how people see meetings. "We want to talk about what can be done to make meetings work better."

2. Preview Videotape *20 minutes*

"Let's take a look at a recent meeting. (Show just five or six minutes of the video.) "What do you see happening?"

- How much paraphrasing do you see going on?
- Can you tell what the purpose of the meeting is?
- If you drew arrows representing the interactions, who would most arrows come from (as the initiator) and go back to (as the receiver of responses)?
- Any other observations?

Review the session goals.

3. Lecturette on Meeting Effectiveness *40 minutes*

"Meetings are held for many purposes. Here are some of the more common types of meetings:"

- Informational: to get and give data, update information, share information.
- Validational: to get agreement on decisions already made.
- Planning and strategizing: to generate long-range plans.
- Problem solving/decision making: to generate short-term action plans or troubleshoot immediate, workday problems.

- Staff conferences: monitoring meetings on projects and status reviews, multipurpose meetings
- Feedback/evaluation: monitoring individual performance, tracking agreements on action plans.
- Training/educational meetings: sharing of innovation and ideas, formal and informal training sessions.
- Celebrational: having fun together.

Discuss: When having a meeting, it is important to determine what kind of meeting it is going to be. Each type of meeting has specific preparatory tasks associated with it. Each type of meeting requires that the participants do different things beforehand and act in certain ways during the meeting. Many meetings will have more than one purpose.

"What would a typical meeting in your organization be held for?" (For example, the monthly meetings held for senior staff would be a combination of information sharing, status review of major projects, troubleshooting and problem solving in specific areas, and decision making.)

"How clear are the people who attend about the expected purpose of the meetings?"

"Let's consider some guidelines and a framework for making meetings more effective." Distribute Handout 11-1, "Guidelines for Effective Meetings."

Guidelines for Effective Meetings

Before the Meeting

- Determine the purpose(s) in advance. NOTE: If the purpose of the meeting is for the boss to "do his job in public" (i.e., finding out about problems, solving them on the spot, reprimanding, giving feedback, giving assignments etc.), this is probably not a meeting but a working session. Although efficient for the boss, it wastes the time of those who are not directly involved in the particular problem. It also tends to be intimidating if staff are reprimanded in public. This is a common misconception that managers have about meetings and a problem in many organizations for morale if management works this way.
- Let people know about the type of meeting this is.
- Determine a preliminary agenda. (Thoughts on arranging the agenda: Put the most difficult and/or time-consuming items first. Separate *action items* from *information items*. Determine the approximate time allowable for each item, write it down after each item, and try to stick to it.)
- Let people know in advance if they need to do any preparation (e.g., prepare information summaries, status reports, data for problem solving).
- Make logistical arrangements (for space if needed, equipment, flipcharts, etc.).
- Arrange for someone to take notes. (Minutes should include date, those present, the agenda, item-by-item agreements or actions decided, but not all the conversation.)

During the Meeting

- Always use an agenda. Make the agenda visible to all (flipchart or typed). The first order of business is always to review the agenda, make sure it is clear, and allow people to add items as needed, especially informational items.

- Remember the following when leading a meeting:

  -- The top person in the room does not always need to conduct the meeting; others will sometimes participate more if he or she doesn't.

  A part of staff development is to allow others to learn how to run meetings. In unit work groups or task forces, it is often good to rotate the responsibility for chairing the meeting each time or two. The person conducting the meeting is responsible for preparing the agenda in advance.

  -- The chairperson of the meeting is not there to do all the talking, but to *direct traffic*--that is, to manage a process.

  -- Keep people on track: stick to the agenda. When people get off the track, remind them of the agenda and the time allotted. If the "digression" is important, make a note of it for the next meeting or "to be dealt with later."

  -- Keep things moving: sometimes you need to cut people off politely. "We need to move on, now. How about you two meeting later to work that out together."

  -- Draw people out when you know they have something important to say on a topic. "We haven't heard from you, Nihal. What do you think about that?"

  -- Keep a separate recording sheet (a visible flipchart is best) for "action items agreed upon." These are assignments on items, agreements, dates for actions to be taken, etc.

  -- When trying to solve a problem in a meeting use listening and paraphrasing skills. Find out what the problem is before deciding on a solution. Separate facts from opinion.

- Make sure there is general agreement by those affected by the problem before deciding what to do (especially if they are going to be the implementors of the action).

- When an agreement is reached, say so. ("It looks like we have reached a consensus on that." "I have decided that we will do it this way." Then record the agreement on the "action items/agreements" sheet.

After the Meeting

- Distribute the minutes.

- Follow-up, follow-up, follow-up. Hold monitoring meetings with individuals as necessary; do what you say you will do.

NOTE: If you are using a seven-hour training day, this would be a good break point for day 6.

4. Videotape Analysis *90 minutes*

Before running the videotape, instruct the group to refer to the "hints" for effective meetings in Handout 11-1. "Note when you see effective and ineffective meeting management."

After running a 20 to 25 minute segment of the video, break into four groups of about five. Ask group members to discuss their observations of the meeting and make a list of ways to improve the meeting using the meeting guidelines. Give the groups 30 minutes to do this task.

Back in the full group, get a sample of observations from each group and discuss.

5. Meeting Simulation *2 hours, 30 minutes*

5.1 Preparation *30 minutes*

Divide the group into two tracks. In each track, select three or four people to be observers. The others will participate in the meeting. Select one person in each track to prepare and run the meeting. Tell them to prepare for the meeting by finding out from meeting participants what should be on the agenda. The agenda should be a *real* one, that is, business that needs to be dealt with in the organization.

Meanwhile, ask the observers to meet briefly and develop a list of the kinds of things they will be looking for in the meetings. Assign observers to watch one or two people in the meeting, in addition to the other things they will observe. They should watch for how those people participate in the meeting and be prepared to give them feedback about how they can be more effective in meetings.

5.2 Conduct the Meeting (in separate tracks) *45 minutes*

If possible, videotape one of the tracks. This is a powerful tool for later analysis. The facilitator observes and takes note for discussion afterward.

5.3 Debrief the Meeting *60 minutes*

Maintaining the two separate tracks, debrief the meeting simulation, paying attention to use of the meeting guidelines and use of effective communication skills.

First, ask the observers to discuss among themselves (in a fishbowl format in front of the group) what they observed. Meeting participants should simply watch and listen to this discussion. Ask the observers about the style of meeting leadership. Which guidelines did they follow? What could have been done to improve the meeting?

Next ask the meeting participants to react to the observations of the observers. Other questions to ask:

- What did the leader do to help the meeting?
- What kind of communication skills did he or she use?
- Is it the leader's responsibility to move things along?

- What are the responsibilities of group members?

Provide trainer observations.

5.4 Feedback to Individuals *15 minutes*

Ask the observers who were watching particular individuals to spend a few minutes with the people they observed and give them feedback on how they saw them performing in the meeting.

6. Full Group Wrap-up *30 minutes*

- What does all of this mean for you?
- What are you learning about meetings?
- What changes do you think you can make in the way you conduct your own meetings?
- What agreements are you willing to make as the managers of your organization about which meetings you should have regularly?

7. Individual Reflection Sheet *15 minutes*

Distribute the reflection sheet on meetings (Handout 11-2) for individual application.

Materials

Pretaped meeting of participants in organizational setting

Flipcharts

Step 2 - Session goals
Step 3 - Lecturette notes: Purposes of meetings
Step 4 - Task instructions for meeting simulation

Handouts

11-1 Guidelines for Effective Meetings
11-2 Meetings Reflection Sheet

Collaboration and Coordination Between Work Units

Total Time: 6 hours

Goals

1. To determine what major units within a particular water institution expect of each other in order to achieve organizational results.

2. To reach agreements between operational units for effective working relations.

3. To learn skills and a process for managing differences that lead to increased collaboration and coordination between work units.

Overview

This is the second session relating to *getting people to work together*. The focus is on collaboration and the management of differences between and among work units. This kind of session is particularly important when the needs assessment indicates there is conflict between units that limits the organization's effectiveness.

In water institutions (and in most other organizations), natural differences and conflict exist between parts of the organization. Examples include the services side of the organization versus the technical side, and field-based staff versus central office staff (particularly on the operations/technical side). There is also an ongoing need for cooperation between technical units (design versus construction, construction and design versus operations and maintenance). As managers, it is important to understand that it is the nature of organizations to have differences and that there are creative and productive ways to manage them rather than complaining or gossiping about how "the other guys" are not doing their jobs.

In this session, participants will use many of the skills covered in the course (particularly the communication skills). Rather than talking about resolving intergroup differences in a theoretical way, session time is used to work on real interunit issues. A model for understanding differences is presented. The group is then divided into normal work groups (e.g., construction, budget and finance, etc.), each of which determines what it expects of the other groups. A negotiating procedure is then carried out.

Procedures

1. Climate Setting *10 minutes*

Highlight reasons for doing the session, including any interview or needs assessment data. "I wish X unit would be more responsive; we depend on them for support, or to do this or that, and they don't come through; we'll have to do it ourselves." "I send in reports and there is never any response."

"There has been a great deal of behind-the-scenes complaining. This is entirely normal in an organization, and it is symptomatic of the lack of mechanisms for airing differences or stating expectations of others."

Ask the group: "How many times have you wished you could work out differences with other units but were not able to do so for a number of reasons?

Share session goals.

2. Lecturette on Framework for Understanding Differences *30 minutes*

This short lecturette should include the following points:

- In any organization there will be differences. Differences represent many things: points of view, sources of information, needs, competition for scarce physical resources (such as vehicles), competition for staff resources, etc. Ask for other examples.

- A natural thing such as a difference can escalate into open and unhealthy conflict in the absence of a mechanism for dealing with it. How are differences usually managed here? What do you do when there is no higher authority present to intervene?

- Conflict is difference escalated because it is not dealt with. It can be thought of as a cyclical process involving two entities trying to occupy the same territory or space.

--------->/ Common Space /<--------

--------UNDERLYING ISSUES------------

Issue A Issue B

- In any conflict, there are underlying issues. Until the underlying issues can be gotten at, the conflict will tend to repeat itself over and over in different forms.

- The first principle in dealing with difference is to not let it get to the point that a conflict cycle is set up. The only known way to do this is to have a regular mechanism for exploring and communicating differences, a forum, a communication mechanism.

- The second principle is to understand that difference is natural, not bad. What is bad is not to deal with it, to sweep it under the rug. Negotiating difference is often a matter of information. Understanding the other person's point of view or the pressures operating on him or her is important. What the other person expects or wants is often not even clear.

- The third principle is that you need a strategy for resolving conflict.

When legitimate differences exist, several options are available for resolving them:

- Give and take (compromise)
- Find a creative solution that satisfies everyone (collaborate)
- Give way (accommodate)
- In an organization, it is important to have regular mechanisms for dealing with differences. The more traditional one is "the boss settles the difference." What are some of the consequences of this? (Boss isn't always around; boss is too busy; boss cannot always be impartial; boss may be limited in point of view and make arbitrary decisions.)
- Strategies that can be helpful in setting up mechanisms include the following:
  - -- Using a third party. The third party can be the boss (limitations), a trusted consultant, a neutral party trusted by both (a friend).
  - -- Having a regular forum for communication. A regular forum can be meetings, planning retreats, team-building sessions, annual planning sessions.
  - -- Removing the process from the "personality" of individuals. Removing the personality can be done by using a group process in which someone else or a representative of the unit or group presents the point of view; setting up ground rules that "we won't get into personalities."

3. Intergroup Exercise *4 hours, 50 minutes*

This exercise is often used by third-party consultants in assisting organizations in developing agreements for working together. It is a team-building model in which two (or more) groups explore and determine what they expect of each other. It is based on the concept of increasing one group's information about the other group's point of view and identifying and resolving any differences that surface from that review.

NOTE: Some thought needs to be given to how to break up the group for this exercise. For most water supply organizations, three large groups provide the best framework:

(1) Service side of the organization (finance, personnel, stores/supplies, etc.).

(2) Technical operations (regional operations managers, the commercial office).

(3) Functions related to planning, design, and construction.

3.1 Introduction to Exercise *20 minutes*

Explain to the group the steps that will be followed. Use a flipchart with a shortened version of the following process.

After the participants have formed into the three groups, the process continues in four steps:

(1) Each group meets separately to define what it wants/expects from each unit in the other two groups. For example, "We expect you to return all correspondence within one month." These "expectations" are written on a flipchart.

(2) Back in the large group, each group presents its expectations to the other groups. No rebuttal is allowed at this point, although the other groups are invited to ask questions of clarification.

(3) Each group then meets again separately to discuss the expectations of the other two groups and to decide for each expectation:

- whether they will accept it as is.
- whether they are willing to meet it with modifications.
- whether they are unwilling to do it.

Each group chooses a representative to present and negotiate its position.

(4) Back in the large group, each group first reviews all the expectations that it is willing to meet without change.

Following this review, the trainer facilitates a conflict resolution discussion between representatives from the three groups in front of the larger group for those items that need modification or that a group is unwilling to meet.

Agreements are reached and recorded.

3.2 Exercise Part 1 *60 minutes*

Step 1 of the model: Ask groups to meet separately and develop a list on separate flipcharts of those things they expect of the other units/groups.

3.3 Exercise Part 2 *60 minutes*

Step 2: Ask each group to present to the full group, using their flipcharts, what they expect of the other groups. The facilitator manages this process so as not to allow the group to get into discussions about the items, but merely entertain questions to clarify what is being said.

3.4 Exercise Part 3 *60 minutes*

Step 3: Ask the groups to return to their meeting areas and discuss the lists of expectations given them. They should mark on each item listed if they:

A: Accept/Agree
R: Reject/Disagree
C: Would accept under conditions
(specify conditions on a separate sheet labeled *conditions*)

3.5 Exercise Part 4 *90 minutes*

Step 4: Representatives from each group meet in a fishbowl arrangement. The facilitator makes each person, in turn, the focus person and goes over the group's items, conducting a negotiation. The representative has the right to consult his group as needed. The objective is to try to reach consensus when possible. The facilitator must be active in this process.

NOTE: It is recommended that the agreements be typed up and distributed to the participants as a record.

4. Wrap-up *30 minutes*

Discuss how the group members will hold themselves accountable for the agreements they have made. Make agreements for follow-up.

Return to the points about how to deal with difference. "What have you learned about dealing with difference? What strategies worked best (compromise, collaboration, agreeing to disagree)? What regular mechanisms can you set up for 'keeping clear' in the future?"

Materials

Flipcharts

Step 1 - Session goals
Step 2 - Lecturette notes on defining conflict
- Lecturette notes on options for resolving conflict
- Lecturette notes on mechanisms for dealing with differences
Step 3 - Task instructions: Identify what your unit expects of other units

Planning for On-the-Job Application

Total Time: 2 hours

Goals

1. To focus on the high-priority skills and learning from the course that participants intend to try out on the job during the next six months.
2. To develop individual plans for applying those skills.
3. To make agreements with members of the Skill Improvement Group for coaching and supporting each other as they try out skills.

Overview

In this last working session of the course, all elements of learning are reviewed by the participants individually. These elements are put into a planning format, which is discussed with their Skill Improvement Group. Commitments are made for the future. Copies of individual planning sheets are made and collected for on-the-job follow-up by the consultants.

Procedures

1. Introduction *10 minutes*

Stress the importance of trying out skills as the only way to improve management. Point out that as a group they have a major role in creating the management environment in their organization. Note the kind of follow-up that will be provided between the end of this course and the beginning of the second phase, for example, any consultant help, the preparation workbook they will be receiving, the role of the Skill Improvement Group.

Provide an overview of what will be covered in Phase II.

2. Individual Work Planning *50 minutes*

Remind everyone of the regular reflection sheets they have been completing. Ask everyone to review their sheets and decide where it is important to focus their attention. Review Handout 13-1, "Planning for On-the-Job Application." Give individual time to complete worksheet.

3. Skill Improvement Group Meeting *60 minutes*

Ask the Skill Improvement Groups to meet for one hour. Each person has 10 minutes to review his or her planning sheet with others. The group should decide when it wants to have regular meetings and schedule the first meeting time/date.

Materials

Handout

13-1 Planning for On-the-Job Application

Closure and Evaluation

Total Time: 1 hour

GOAL
1. To bring the course to a close and complete the first phase evaluation.

Overview

This session brings to a close the first phase of the course. It is not intended as a formal closing ceremony; rather, it is a working closure of the course themes. It is assumed that a formal ceremony will be held afterward, during a banquet or other formal event. At the end of the session, evaluation forms are distributed for participants to fill out.

Procedures

1. Picture Review/Themes Review

20 minutes

Return to pictures the participants drew on the first day of the course. Ask them to review (in the same small groups) the pictures and the words they wrote on them to see if they still reflect their sense of what a manager is. Ask them to write any new words that reflect how they see management. Let each group share its observations.

2. Evaluation

40 minutes

Distribute the evaluation form (Handout 14-1) and ask everyone to fill it out.

Materials

Handout

14-1 Course Evaluation Form

Group drawings from the first day

Phase I

Handouts

NOTE: These materials are not intended to be handed out to participants all at once. Rather, each piece of material should be handed out session by session at the point indicated in the training designs. Each handout is identified as to the phase, session, and sequence in which it is used; for example, Phase I, Handout 1-1; Phase I, Handout 1-2; and so on. It is suggested that a three-hole binder be provided so that participants can build their own workbooks during the program.

Course Goals

1. To identify and clarify the role of management and the tasks of a manager in a water and sanitation service organization.

2. To develop a vision of how an effective water authority is managed.

3. To specify, learn, and apply communication skills for effective management.

4. To learn and apply techniques for organizing, delegating, and monitoring work that involve staff in ways that improve the performance of work units.

5. To develop techniques for providing positive and corrective feedback to staff that motivate them to develop and increase their effectiveness.

6. To learn and practice skills for improving the way managers and staff work together in teams, task forces, meetings, and groups.

7. To increase understanding of and develop agreements for effective managerial relations and communication among units and between central office and field-based staff.

8. To apply the concepts and skills learned in this course through the development of individual and unit improvement action plans to be carried out and monitored over the six-month period following this course.

Course Themes

The Role and Functions of a Manager

- How can I manage in an environment in which everybody is going in different directions at once and administration is confusing?
- What does it mean to be a manager? What does a manager do?
- How is a manager different from other employees?
- How do I make the transition from being a technically oriented person to being a manager? Is a manager different from an engineer, a financial expert? How? What does this mean?
- What is a well-managed water service organization supposed to look like and how do I fit into that vision of the future AS A MANAGER?

The Manager As a Communicator

- How can I make sure that others understand what I want as a manager?
- How do I make sure I understand what others want?
- How can I be confident as I present myself and the organization to others in public?
- How can I be effective in situations in which I interact with others?

The Manager As an Organizer and Delegator of Work

- How can I deal with all of the competing demands on me with so little time and support?
- How can I get organized and plan so things get done?
- How can I get my staff and others to do things when they don't always seem motivated or responsible?
- How do I make sure that staff will do what they say they will?
- How do I let them know when they are not doing what they are supposed to? How do I reward them when they do a good job?
- How do I deal with all of the different levels of staff with different interests and abilities and experience as a manager?

Getting People to Work Together

- Why do we waste so much time in staff meetings that don't seem to accomplish much? How can meetings be made better?
- How do I work with others as a team member and how do I get my staff to work better as a team?
- How do I work with other divisions and groups in my institution? How do I get the cooperation I need? Why don't others do what I want them to? How do I get field staff or central office staff to be more responsive?

Improving My Own Skills As a Manager on the Job

- How do I become effective as a manager?
- What do I need to do to be a leader: How can I learn and grow as a manager and advance?
- What do I need to do differently to be recognized as an excellent manager?
- How can I get support from others in my institution in improving as a manager?
- How can I use what I learn about management to improve the way my work unit functions?

Ten Functions of a Manager

Note This handout serves as the interpretation sheet for the scoring on the Management Skills Questionnaire completed by participants before the course. The totals in the right-hand column of the score sheet correspond, in order, to the management functions listed here. For example, the top line on the score sheet lists all those items relating to the management function of communication; line 2, conceptualizing; line 3, collaborative work organization, and so on down the list.

1. Communication

Defines and clarifies flow of communication within the organization--up, down, at same level; in meetings and one-on-one discussions, formal and informal. Is able to communicate in a way that gains others' understanding and agreement. Ensures staff access to needed information.

2. Conceptualizing

Develops strategies for getting the unit to where it ought to be going, for using the unit's resources the way they ought to be used, and for overcoming blocks faced by the unit.

Builds strategies at the unit level <u>and</u> at the larger organizational level; is concerned with both external and internal issues, and with both technical and organizational direction. Participates actively in helping the organization define goals and values and in creating a sense of "vision" about what it is doing.

3. Collaborative Work Organization

Works with others to develop goals and/or gain agreement on goals, outline tasks, identify progress checkpoints, delegate authority, assign resources, and agree on monitoring process.

4. Monitoring/Performance Feedback

Checks work progress at agreed times. Provides both positive and negative performance feedback in a timely way.

5. Problem Solving/Conflict Resolution

Identifies and solves organizational problems. Involves others appropriately in that process. Manages interpersonal and organizational conflict. (Manager may be a part of the conflict or the conflict may be between others.)

6. Team Effectiveness

Serves as team leader and team member, uses opportunities for getting work done efficiently through teams, helps make meetings work, maximizes participation while getting job done without wasting time. Utilizes staff resources of all levels and status as appropriate.

7. Decision Making

Ensures own input into organizational decisions and arranges for appropriate input from within own unit. Makes well-timed decisions in a way that appropriately considers alternatives. Aims for synergy, buy-in, participation, and clarity about nature of decisions and resulting action.

8. Representational

Serves as unit spokesperson in organizational forums. Characterizes organization's mission and work. Negotiates unit responsibilities, workload, and time frames with higher level management.

9. Technical Leadership

Provides technical leadership, actually does technical work, and manages technical projects. Reviews documents and work developed by own unit or by other units from a technical point of view.

10. Staff Development

Assists others in personal and professional skill development. Coaches and counsels. Pays attention to developing own skills and improving own job performance.

Background of Case Study

Nihal de Silva is an Assistant General Manager (AGM) for the National Water Authority (NAWA) in Lapanda, a country in Asia. The water authority has 2,627 permanent employees and a work force of 800 casual employees. It serves most of the major urban areas of Lapanda (towns of 2,000 inhabitants and more) and the capital city. NAWA operates 176 urban systems in all and provides technical assistance to another 70 local authorities that are operated and maintained by municipalities. (See the last page of this handout for a partial organizational chart for NAWA.)

Nihal has been with NAWA for 11 years. He has worked his way up the system, starting as a junior engineer in engineering design, working three years as a construction engineer, then as regional manager in operations and maintenance. He has been promoted in the past year to the AGM position, which manages all operations and maintenance and construction for a large geographic area (comprising three regions). Since his geographic area is close to the capital city, he supervises his staff from the central office in the capital city. He also serves on a number of permanent committees, which is required of middle and senior managers. He is involved in a number of assigned tasks (outside of his area), which the management and his supervisor ask him to do from time to time.

Nihal reports to NDC Gunasekera, Deputy General Manager (DGM) Operations and Maintenance (O&M), who in turn reports to Abdulla Abdi, Additional General Manager (Add. GM) Engineering. The General Manager of NAWA is Cecil Perrera.

The following staff report directly to Nihal: two chief engineers, three regional managers, a secretarial and support staff, and two consultants.

One of the chief engineers, BLC Naga, has 18 years of experience and is considered very good by all. He has not completed his engineering degree but has worked his way up on good performance; he cannot advance in grade until he completes his degree. Nihal considers BLC to be his right-hand man. He is well liked by all of the field staff and gets on well with local authorities.

The other chief engineer is Banda Seniaka, who has three years experience, is very quiet, is a careful worker, and has limited facility in foreign language. It is difficult to know what Banda is thinking. He has an engineering degree from a national university and has recently completed his charter.

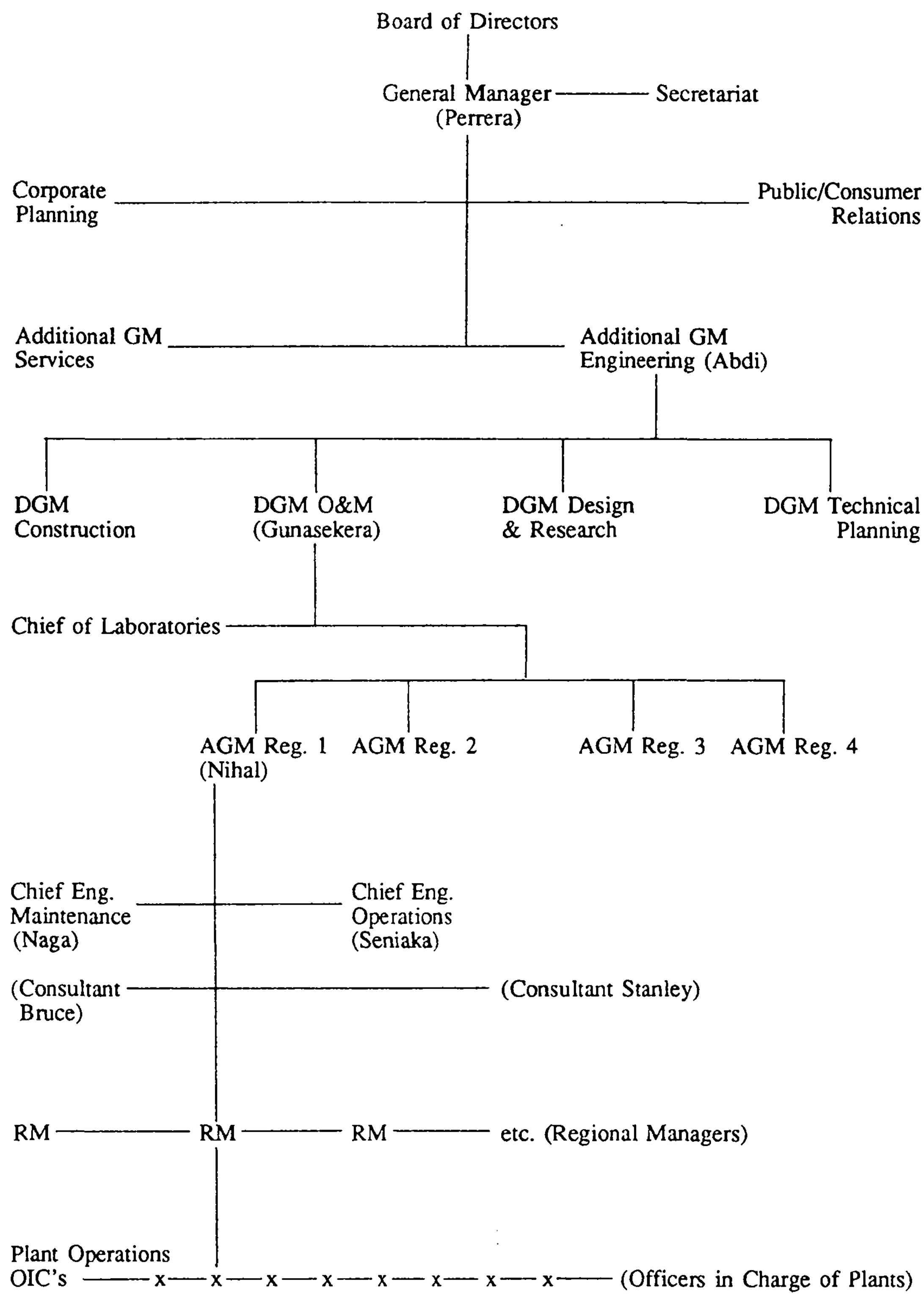
Of the two consultants reporting to Nihal, one has been working about three years as part of a leak detection program funded by a World Bank project. His name is Edward Bruce. Ed gets on well with the NAWA staff. He has a pleasant, easy-going manner and is considered very competent. Ed works primarily with BLC Naga in a counterpart relationship.

The other consultant, Douglas Stanley, is used in various ways as part of institutional improvement projects. At the moment, he is working with the regional staff to develop an O&M procedures and training manual. He has been working for Nihal for less than a year. He works with Banda and does not get on well with him.

The support staff consists of one bilingual and one local language secretary, two clerks, and a laborer. All have been with NAWA for many years.

Nihal is seen as a very strong and technically competent engineer--he has a good sense of the ins and outs of all phases of water production, from design, through construction and operations and maintenance. However, he has had less experience as a manager; his strength is his technical ability. Such things as consumer relations, planning, supervising, and delegating are a bit out of his line of experience and training, although he would very much like to learn about these things in order to be successful in his new job as an AGM. He is seen by the staff of NAWA as having excellent long-range career potential, if he is able to grow in his skills as a manager.

Organizational Chart (Partial) NAWA



Part One of Case Study

Nihal de Silva had spent a frustrating morning dealing with phone calls, interruptions, a commission from the Asian Development Bank, a local contractor looking for business, and an unhappy consultant complaining about his counterpart, Banda Seniaka. He finally was able to begin to read a draft report written by Banda in response to a proposed plant modification and rehabilitation project, which a team of World Bank consultants had proposed when they had been out to Lapanda two months ago.

What a terrible report! Banda had failed to comment on the weakest part of the proposed project. The plant rehabilitation, rather than simplifying operations and maintenance, was going to add a lot of automated equipment, which would undoubtedly begin to fall apart within a year (given the humid climate and the current skills of plant staff). The report was also written unclearly; he would not be able to submit this to his boss without substantial rewriting or he would look very foolish. This was the second time Banda had done poorly on a writing and analysis task; it was as if he didn't know what kind of work was expected, or he just didn't have the experience to know without being told everything to do. Although Nihal had not talked directly to Banda about everything he wanted, he had given him a note on the importance of the report.

Nihal was especially frustrated because he didn't have time to worry about this problem. He had to get ready to go on a field trip to the regional offices tomorrow, and he had a thousand things to do today in order to be able to get out of the office. Just looking at the stack of vouchers and papers in front of him made him shake his head.

As he was thinking about this, Nihal looked at his watch and realized that he was late for a technical review committee meeting, which had been called by the AGM Designs. This was for a plant proposed in his geographic area. They had met several times over the past few months, but not for a while. Nihal was not exactly sure what this meeting was about or who would be there this time (managers kept sending their substitutes or missed often). He thought he remembered hearing that there were some problems with the proposed plant location that needed attention.

The meeting didn't start even within the assumed normal 15 minutes of grace time allowed in the Lapanda culture. The AGM was often late, attending to calls of Ministry officials. People sat and chatted, waiting.

After ND Munasinghe, head of the Corporate Planning Office, joined the group, a total of six people were present and the AGM Designs started the meeting. He stated that some of the preliminary water sample studies for the proposed source of the plant (a nearby river) indicated that increased use of pesticides in recent years in the agricultural areas adjacent to the river had created a potential problem in using this source. But no one was sure if this was due to a heavy rainfall this season or a year-long pattern. In spite of this negative report, the local politician was pushing very hard for a water treatment plant in the area.

After a lot of discussion, ND Munasinghe asked Nihal if he could help in tackling the problem by taking responsibility for doing some talking and persuading with the Ministry and the local politician. Nihal replied that it was an important problem and he would be happy to see if he could do some influencing behind the scenes, but he simply could not get involved in a major, time-consuming piece of work at this point. "This is the work of Designs and Public Relations. You guys make sure the plants get designed right and built, and we operate them. Right now I am behind on a number of things already." What about somebody else in his department, he was asked. "No, they really have their own work to do--it simply isn't going to work." He would be willing to advise, but he really did not have the time to take this on.

After a few comments and some further discussion, which was inconclusive, the meeting ended.

At this point in the afternoon, Nihal began his final preparations for his trip out to the regional offices. He had to wrangle for an hour in order to get a vehicle back from one of the other offices (even after he had made a special effort to make sure it was going to be available). He found the report that Banda had written and penciled in "I want you to look at my review comments and write this again--talk to BLC Naga and ask for help, unacceptable as is." He hoped Banda would do better on the next draft. Meanwhile, he needed to get moving. This was a very important trip, it offered the opportunity to get the regional staff moving on a new maintenance management system, which had been planned for months with Edward Bruce, the leak detection consultant. A World Bank representative was also going to meet him at the regional office and decide if the next round of disbursements was warranted on the O&M project. Meetings were all arranged with regional and field staff, as well.

As Nihal was getting papers together for the trip, ND Munasinghe from the Corporate Planning Office (under the General Manager) came into his office and asked him to write a draft paper for the Permanent Secretary, who was to have a meeting with the Prime Minister on tariff policy.

"We need a breakdown of operational costs for the past three years by plant and an analysis of why the government needs to raise tariffs in order to break even. Put something in about the rising costs of energy and the overall cost of living over the past few years."

"When is this draft needed?" Nihal asked.

"It will be fine if you get it to me by noon tomorrow; perhaps two o'clock at the latest. We just need a draft, the rest of this will be written by the chief financial officer. But we need the O&M part from you."

"Why don't you ask my boss, NDC, to do this?"

"I have; he said you were the best person to do this; you have the most recent and up-to-date information about operating costs, the possible community reactions, and all of the data to support the argument."

Nihal smiled politely, sat down in his chair, and rang for tea for his guest. He couldn't believe what he had just heard. He said, "I can't possibly do that by noon tomorrow. I am leaving early tomorrow for Pandora Region and the trip has been arranged for weeks. There are very important matters to attend to and I have arranged to meet with Gopal Singh from the World Bank there; my consultant is in the field and will be there and all of the staff are set up for meetings."

"I am sorry about the meetings," ND replied, "and I know the timing is bad, but we just found out about the Secretary's meeting today. We all have to sacrifice sometimes when the Secretary calls; but this is a very important meeting, they are going to be talking about a number of important policy issues that could affect NAWA for years to come. I am afraid you are going to have to delay your trip some."

Nihal almost had to bite his tongue in order to keep from interrupting. He really did not want to do this task. Policy advising and financial data on tariffs were really Corporate Planning and the Financial Officer's work.

ND got up to leave and walked out the door thanking him for the tea and stating that he would check with him about progress mid-morning tomorrow. Nihal shouted out, "wait a minute," but ND was already gone.

Nihal was frustrated and in a quandary about what to do. He believed strongly that his priority had to be his trip to the regional office, so he decided that he had to find a way to go. Yet, although ND did not have direct authority over him, he could not just leave this draft paper hanging--much as he would like to. And trying to get his boss, NDC Gunasekera, to intercede on his behalf with the Corporate Planning Office would take too much time and probably wouldn't work anyway.

As he was thinking about this, he began to consider whether he could assign the draft paper task to BLC Naga, his chief engineer for maintenance. BLC was always willing to do whatever he was assigned; he certainly had a lot of experience with O&M, even though he was best at maintenance and mechanical matters. He knew where to dig up the data. Perhaps he could get the new consultant, Douglas Stanley, to help him put the draft together, using the computer tables on costs. "I could quickly outline the major things I want them to say in the draft."

He immediately went out to find BLC and described the task to him. He complemented him on his experience and knowledge of the task. Nihal said he would make sure the secretarial staff was informed and ready to devote full time to the task tomorrow morning. He requested that BLC and Douglas drop their other work for the day and start on the paper now.

BLC said he would be honored to do the work and then hesitated as if searching for the right words. Finally, he asked if Nihal really thought this was the right thing to do--after all the GM had said that he wanted Nihal to do it, and he knew that BLC was not yet a senior manager. "What if the GM finds out you didn't do it and I get called on the carpet?" He told BLC to do it, to get all the help he needed from the consultant, and not to worry. "I'll take the blame if there is any, besides all they want is a few pages of tables and some comments for input into a briefing paper, which will be written by the Chief Financial Officer. Don't worry, just do it." Nihal was getting really frustrated now--he didn't have time for all this nonsense.

On his way back to his office, he ran into NDC Gunasekera, DGM O&M, his boss. Perhaps out of frustration, Nihal began to complain. He gave him a short explanation of what had happened today and said that all these things were getting in the way of his being able to do his job. "I spend too much time hassling with people, trying to get things done in this office, going to unnecessary meetings, and the real work never gets done. This trip is very important to developing an O&M system, yet I'm tied up with the review committee, the input for the Secretary's briefing paper on tariffs, arguing with ND, getting a vehicle, and staff questioning my decisions." Nihal finished by saying, "I was put into this position to be an AGM O&M for the most important regions. I am an engineer. If I have to spend all my time doing things like I have done today, NAWA is not going to get its money's worth from me! I don't feel like I am contributing."

Management Functions Reflection Sheet

This sheet is for your own use to help you think about applying the ideas about management functions:

1. Think back to the lecture this afternoon about the role of the manager. Write down an example from one part of the role -- Results, People, Vision, and Values -- of where you would like to be more effective.

2. Look at your Management Skills Questionnaire and the questionnaires of others. In which two functional areas would you like to improve?

3. How would your improvement in these two functional areas affect your unit as a group?

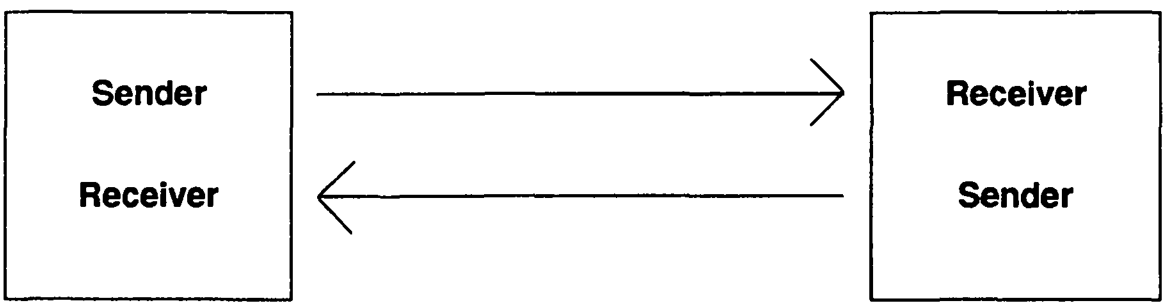
Communication for Effective Management

Most managers communicate frequently with others. Good managers are good communicators. Although the range of communication activities and the skills involved encompass most of human interchange, there are three very important skills that a manager can learn in a relatively short time: paraphrasing, summarizing, and question asking. With practice, one can become skilled in using these communication devices. Using these skills can make a real difference in gaining clarity and getting results in working with others.

The learner is reminded that trying out these skills may seem a bit unnatural at first because they are new and have not yet become a regular part of one's way of communication. It is suggested that you work through this phase. It will soon become quite natural to paraphrase or summarize.

The Essence of Communication is Sending and Receiving Information

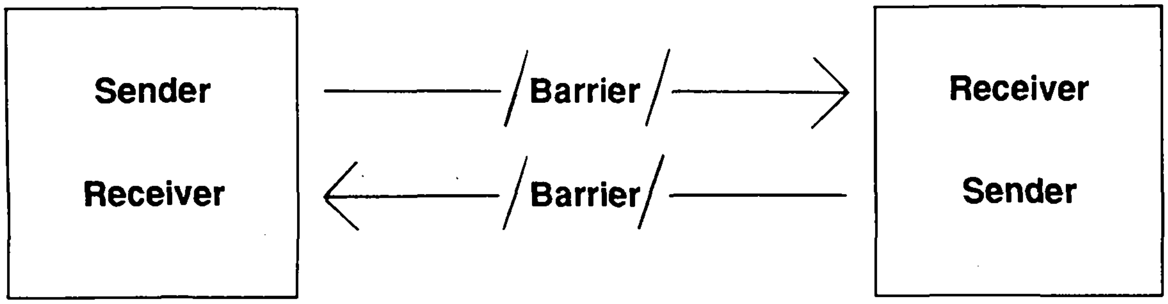
Communication is essentially a process of sending and receiving information between people. It may appear to be simple, but it is one of the more complex things human beings do. Many things can go wrong in this process.



For example, we may send a message we think is clear, yet the person receiving it may not understand it in the way it was intended. There are many possible reasons for this. One may be preoccupied or distracted and not listen very carefully or "hear" what is intended. One may be more concerned about one's own thoughts or thinking of a response, a defense, about one's position in relation to others, or any number of possible things instead of simply listening and paying attention.

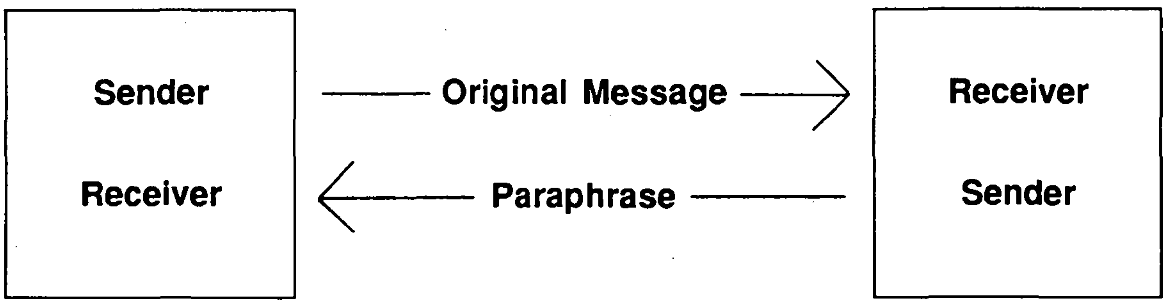
It is also possible that the message is not sent clearly. It may be poorly expressed, or covered over with hidden meaning or sarcasm, or be imprecise, or not come out the way it was intended. Language does have limitations at times for most people.

All of these things may serve as barriers or blockages to sending or receiving clear messages.



Paraphrasing

One way to try to overcome these barriers is to clarify the message by means of a communication device called paraphrasing. Paraphrasing is simply restating what the other person has said in your own words to make sure you are clear about what they are saying.



The prefix "para" means alongside, as in the word parallel. A paraphrased message is information that comes into the receiver's consciousness, is encoded or diagnosed for meaning, and then sent back to the receiver in "other" or parallel words. The process serves as a means of verification or "checking for meaning."

Paraphrasing is entered into with common expressions, such as the following:

- "you are saying..." or "are you saying that..."
- "in other words..."
- "you mean..." or "do you mean that..."
- "I gather that..."
- "if I understand what you are saying..."
- "so..."
- "therefore..."
- "that means that..."

The best way to paraphrase is to listen very carefully to what the other person is saying while capturing the meaning as it comes in, then to give it back in new or different words.

If, however, one is worrying about the response or making critical evaluations and comments to oneself, it is unlikely that enough of the message will get through for it to be heard and paraphrased back. In other words, you won't be able to hear what is being said because you are too busy constructing barriers to the communication process.

Paraphrasing is not repeating word for word. That is "parroting." Parroting demonstrates how well one's rote memory works, but a repeated phrase may or may not be understood (as we all know from our school days).

When one is learning to paraphrase, it is good to exaggerate the process a bit and to do it often. After a while it becomes second nature.

Here is an example of an exchange involving paraphrasing:

Subordinate "The problem is that the last two junior clerks don't know how to use the basic accounting system."

Manager You're saying the people we just hired don't have basic skills?"

Subordinate "No, I meant that they haven't been oriented yet on our procedures. I think they have had the basic education necessary."

Manager "So you mean you really want me to set up some orientation for the new junior clerks?"

Subordinate "I didn't say it like that, but what I meant was I have a problem because the two junior clerks don't know how to use our accounting system and consequently I have to do their work. Therefore, I would like you to help by making sure they get in the next training program on the system."

Manager "I see, you're having problems getting the work out and you need the two new hires to get some training and you want me to take care of it."

Subordinate "That's it exactly."

In the above example, the paraphrasing process led from an apparent statement about a problem to a request for action. All of this was implied (or intended) in the original communication but the manager had to "dig it out" through paraphrasing.

The following are possible applications of paraphrasing for managers:

- When being told anything by anyone, but particularly when subordinates are informing or reporting on activities.
- When one is receiving instructions or orders from a boss.
- When receiving a request for action.
- When dealing with other offices or clients who are complaining ("Let's see if I have this straight; you're saying...").
- In meetings (all the time). (NOTE: The failure to listen carefully in meetings and to paraphrase is the major reason meetings are not effective.)

Managers in training sessions have asked, "How can I paraphrase my boss? He will think I am mocking him. I am supposed to listen and say nothing, except 'Yes, sir.'" It is not a sign of disrespect to make sure one understands. A paraphrase is not a confrontation. It is a way of asking for help in being clear. The message to communicate to a superior is essentially "I can better serve your interests and requests if I am clear about your meaning." The way to enter into a paraphrase in this situation is to say "help me be clear about your request, you want me to...."

Summarizing

Summarizing is another important skill for a manager. It is the process of "mentally saving or listing" the most important pieces of information in an exchange over time and pulling them all out in one place at the end of the conversation. It is a review process. Summarizing is another clarification device; it is also a tool for emphasizing or underscoring the important things. A summary can be considered as a checklist.

For example, after a conversation between a manager and a subordinate (or between colleagues), the manager says at the end, "let's see, now, we agreed that you would: [here the manager lists the actions, "one..., two..., three...." As another example, at the end of a staff meeting, the meeting leader says, "Let's go over the things we all agreed upon and make sure they get into the notes. I'll list them on the chalkboard and you all correct me if I'm wrong."

Summarizing is used by managers to achieve the following:

- Pull important facts, ideas, or data together.
- Establish a basis for follow-up.
- Clarify agreements and tasks.
- Review progress or deliberations for completeness.

The situations involving summarizing include all meetings, after two-person exchanges, in most group situations, when giving instructions or assignments, and when receiving instructions or assignments. There is no rule about when to summarize. The rule of thumb is whenever enough communication has taken place for a list to be created (mentally) that should not get lost and particularly at the end of a segment before moving on to something else.

Listed below are some expressions that begin the summarizing process:

- "The key points [themes, agreements, etc.] are..."
- "The main things we agreed to were..."
- "Let's make sure we haven't forgotten anything; first..., second..., third..."
- "In summary..."
- "We said you would [I would] do these things..."
- "The four most important things are..."

Question Asking

The way questions are asked determines, in large part, the answers one receives. Getting information from others is one of the more important things that managers do. The art of framing questions is a skill. It is also a learnable skill. Most questions fall into one of two classes of questions. There are questions that elicit more information and questions that stop, or close, the information flow. The former are called "open-ended" questions, the later, "closed-ended" questions.

An open-ended question makes the other person do the work and brings out more information (even unanticipated information). The response is not predictable. The question cannot be answered with "yes" or "no":

- "Tell me, what did you do last night?"
- "What do you think about working here?"
- "What is the minimum salary increase you will accept?"
- "What are some of the things you think I should consider about working here?"
- "What do you think about [or take into account] when you decide to advance a subordinate?
- "How did your meeting go?"
- "What are the three most important...?"
- "Why is it important?"

A closed-ended question can be answered with "yes" or "no":

- "Did you go to the store last night?" "No."
- "Did you go to see Jane?" "No."
- "Do you like working here?" "Yes."
- "Will you accept a 3% salary increase?" "Yes."

The management applications of closed- and open-ended question asking are too numerous to discuss here, but a few important uses are noted below:

Use closed-ended questions --

- When the facts are certain and attainable.
- When time only allows for short, precise answers.
- When a predetermined procedure or pattern is required and the answer is a matter of fact, not opinion.
- When one is really "telling by questioning" and not particularly interested in the answer.

Use open-ended questions --

- When opinion is important.
- When the answer needs to be elicited from among many variables.
- In interviewing situations.
- When one wants to find out what someone thinks or feels about something.
- When the manager wants to use questioning as a way of making someone think and select among information.
- When the manager is interested in listening and not "telling by questioning."
- When interested in including or "hearing" others' opinions.

Skill Improvement Reflection Sheet

In my work unit, communications could be improved if we did more of the following things:

I believe that I have the following strengths as a communicator:

Of the things I have learned today about communication, I would like to try to improve the following aspects of my communication:

Guidelines for Giving Feedback

These guidelines are intended to assist the giver of feedback in presenting information in such a way that it is more likely to be understood and, ultimately, useful for the receiver.

Definition

Feedback is the process of giving and receiving information about behavior (or performance) in such a way that the performance (or behavior) is reinforced or corrected.

Managers give feedback to help staff keep on doing the things they should be and to help them improve the things they need to change. It is both corrective information and reinforcing information.

Feedback is not punishment or scolding, nor is it giving flowery compliments. It is information about behavior.

Feedback is most effective (of use to the receiver) when it is --

1. **Specific rather than general.** Make specific statements; support general statements (if necessary) with specific examples.

2. **Descriptive rather than judgmental.** Describe exactly what the person did, rather than tell the person it was bad or wonderful. People can make up their own minds about the effect of their behavior on others.

3. **Direct, clear, and to the point.** Don't beat around the bush; it only makes the receiver feel you are trying to say something you are afraid to say or that embarrasses you.

4. **Directed toward behavior the receiver can do something about.** Feedback is useless if you are asking someone to change an inherent condition or physical limitation.

5. **Solicited or based on an agreement about performance rather than imposed.** Managers should make agreements with subordinates that performance review is ongoing, daily, and a part of the job life. It should not be a surprise or used as a weapon.

6. **Well timed.** Certain good actions or mistakes should be acknowledged and corrected or reinforced when they happen. Others may require that the right moment be at hand before the information can be digested and useful to the receiver.

7. **Well planned.** Feedback should be organized, carefully selected for impact and usefulness, and thought out (examples selected, specificity considered). Otherwise, it could come out disorganized and unclear (as it often does).

Guidelines for Receiving Feedback

1. Ask for it. Solicit feedback in clear areas and particularly in those areas you want to know about.

2. Try to listen and make sure you understand it; paraphrase to be clear; ask clarifying questions.

3. Try not to get into the trap of immediately responding to it. Don't give explanations or try to defend yourself, just listen and try to hear it (even if it's not on target).

4. Help the giver by making sure he or she follows the guidelines for giving feedback. ("Can you be more specific? Could you give me an example so I can understand?")

5. Show appreciation for the effort and concern the other person is expressing by giving you feedback. "I appreciate your telling me about that; I'll certainly look at that."

6. If possible, respond in terms of what actions you will take on the basis of the feedback. "I have to think about that some more. I am clear that I cannot do that again. I am going to completely change that. I hear what you are saying but I am not willing to do something differently."

7. Remember, feedback is only information based on another person's perceptions of someone's behavior or performance, it is not universal truth. Take what you can and use it to help you improve or keep on doing important things. If the shoe doesn't fit, don't wear it.

Excerpts from *Guidelines for Institutional Assessment*

Guidelines for Institutional Assessment:
Water and Wastewater Institutions

(Chapter 4, WASH Technical Report 37)

Performance Categories

Chapter 4

PERFORMANCE CATEGORIES

A. Definition and Use of Performance Categories

As indicated in Chapter 1, a performance category is a set of related skills, procedures, and capabilities which define a particular area of institutional function or performance. These have been grouped together for purposes of analysis. For example, "commercial orientation" includes cost effectiveness, operating efficiency, financial planning, quality standards relating to cost, monitoring and accounting systems, and staff awareness and commitment to commercial goals.

A performance category describes related skills, procedures, and capabilities which can be observed or verified through field research. In the assessment process, a performance category is a major area of inquiry: data are gathered and analyzed to form a generalization about organizational performance in the area. The results are compared against an agreed upon standard. In this document, the standards are called "indicators of high performance."

B. How the Categories Were Determined

Field research was conducted in two institutions selected to represent examples of outstanding performance in the sector. The institutions were selected after reviewing approximately twenty possible sites nominated by well recognized experts in the field. The institutions represent situations where donors and lending agencies normally operate so that the categories would provide lessons learned in overcoming the normal barriers to development by the institutions under study. In addition, an effort was made to select both urban and rural agencies involved in both water and wastewater with a development history and demonstrated excellence in a full range of organizational and technical areas.

One institution selected was a very large state water and wastewater institution in Southern Brazil (SANEPAR) comprising both urban and rural systems. SANEPAR was formed and developed into an outstanding institution in a short period (fifteen years). This was accomplished within the context of a setting typical of development situations (political turnover, rising prices, the need to rapidly address growing urban expansion, inheriting old municipal systems with untrained staff, and related problems). The other example selected was in Malaysia: the water supply agency for Penang. This institution does not provide wastewater services but meets all the other criteria. It is a very old system which was started during colonial days and continues into the present. It serves the entire island which has a mixture of rural and urban populations.

The field research methodology followed the basic tenets of social field research.[2] No prior hypothesis was made on the outcome: the researchers followed a plan of inquiry which focused primarily on the question: "What are the factors, ingredients, and causes of success in this institution?" The answers emerged from the results of the inquiries.

Research techniques included reviewing written documents (published output measures), interviews, and observation. Two teams, consisting of two individuals each, conducted research at the two sites at approximately the same time period with no cross-communication between teams about the data during the field work. After two weeks of field research, these data were analyzed for patterns by each team separately. Performance areas were defined and measures of performance were recorded.

At the end of the field research the two teams met to compare their data and to determine a single set of performance categories. Although the institutions under study were in very different cultural and economic settings (Malaysia and Brazil), there was a striking unanimity of opinion on the reasons for successful performance by the two institutions. Even though the institutions had very different histories and were organized in completely different ways, each performed with highly successful results. The performance categories below were derived from this analysis.

C. How to Use the Performance Categories and Worksheets

The performance categories and indicators listed in Section E below represent a set of competency standards for success. Each performance category is defined with a generalized statement which characterizes the category and states why it is a key area of institutional performance. The definition is followed by examples of key indicators for high performance. The indicators are followed by a worksheet which consists of examples of typical questions and guidance for gathering the data which relate to the category. (The worksheets are not included in this excerpt.)

The research process requires that sufficient information be gathered to justify the performance rating for each indicator listed. When sufficient data are gathered, the team should analyze them and rank the performance indicators under each category as high, medium, or low. Justifying evidence should be listed under each indicator in the final presentation of the analysis.

Although each indicator is provided with a rating scale in this document (from low to high), it is assumed that team members will organize data and supporting evidence informally on note pads, and not be limited by the wording or scale given on the performance indicator pages. Supporting material must be collected in a fluid, non-rated manner, and later analyzed and ranked as patterns become evident.

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[2] For a detailed explanation of this methodology, refer to L. Schatzman and A. Strauss, Field Research, Strategies for a Natural Sociology. Englewood Cliffs, N.J.: Prentice-Hall, 1973.

After each performance category is researched, an overall analysis should be made within and among categories using a procedure which is explained in Chapter 5.

D. Team Approach to Gathering Data in Performance Categories

In order to manage the process of gathering information in nine separate categories, it is suggested that all team members gather information in all categories during the first round of interviews using the general guidelines for interviewing described in Chapter 2, Section C (Methods for Data Collection). Institutional information tends to be crosscutting in nature and many individuals within an institution will have information in a number of areas. After initial information gathering, the team can assess where the information gaps are and assign specific follow-up data-gathering tasks within the areas of technical background of team members. Decisions about who should interview whom during the first round of information gathering is an internal team matter. It is suggested that the background of team members be taken into account where useful in order to establish credibility and relationships with different divisions of the institution.

E. Performance Categories

The performance categories to be assessed are listed below. Each performance category is presented in a separate section which includes a definition, performance indicators, and worksheets.

1. Organizational autonomy
2. Leadership
3. Management and administration
4. Commercial orientation
5. Consumer orientation
6. Technical capability
7. Developing and maintaining staff
8. Organizational culture
9. Interactions with key external institutions

ORGANIZATIONAL AUTONOMY

DEFINITION

Organizational autonomy is the institution's degree of independence from the national government or other governmental or regulatory bodies. While not unrestrained, this independence must exist to the extent that the institution is able to conduct its affairs and meet its responsibilities in an effective manner with minimum interference and controls by other entities.

Effective organizational autonomy is characterized by the power to make decisions about the following important matters: budget, revenues, hiring levels, pay and incentives, control of personnel, institutional policies, planning and construction of projects, and organizational goals.

An adequate level of autonomy is a prerequisite to the success of institutions in this sector.

INDICATORS OF HIGH PERFORMANCE

1. Sets own organizational policies and goals and changes them as necessary to provide guidance and direction in achieving the objectives of the institution.

   Very Low — Medium — Very High

2. Develops strategies to achieve organizational goals

   Very Low — Medium — Very High

3. Conducts such studies as may be necessary and carries out long-term planning to meet the expected demands on the institution; approves and acts on such studies and plans, including the construction of recommended facilities.

   Very Low — Medium — Very High

4. Prepares annual capital and operating budgets consonant with needs and available revenues; is successful in obtaining approval for the budgets.

   Very Low — Medium — Very High

5. Establishes and implements levels of tariffs and service charges sufficient to meet costs.

Very Low Medium Very High

6. Maintains control over all revenues generated and collected.

Very Low Medium Very High

7. Establishes and maintains staffing levels sufficient to meet needs.

Very Low Medium Very High

8. Employs, discharges, disciplines, and promotes personnel within established and approved guidelines adequate to institutional needs.

Very Low Medium Very High

9. Establishes levels of employee compensation, including salaries and benefits, sufficient to attract and retain capable staff.

Very Low Medium Very High

10. Determines own organizational structure including roles and responsibilities of major divisions.

Very Low Medium Very High

LEADERSHIP

DEFINITION

Leadership is the ability to inspire others to understand the institution's mission, to commit themselves to that mission, and to work toward its fulfillment. It goes well beyond proficiency in management skills. In order to perform its functions in a competent manner, an institution in any sector needs to have effective leadership at many different levels.

Effective leaders serve as positive role models. They provide motivation for managers and staff to perform their functions in often difficult and sometimes apparently unrewarding contexts. Effective leaders help transform the institution by making it active, energetic, and visionary and by making the sum of the parts greater than the whole. In effective institutions, such leadership does not reside only with the top manager. Elements of it can be seen at various levels of the organization, from the foreman level to the general manager level, although these elements may differ slightly from level to level.

The indicators below are generally written from the perspective of a generic leader who can be at any level of the organization.

INDICATORS OF HIGH PERFORMANCE

1. Provides clear sense of mission; articulates mission; involves people with the mission so they get a sense of ownership of mission; gets people excited about the mission, believing in it.

   Very Low Medium Very High

2. Serves as a positive role model (e.g., honest, hard working, balances people-needs with organizational needs, believes in hard work, is enthusiastic).

   Very Low Medium Very High

3. Has a sufficient level of operational knowledge to inspire trust.

   Very Low Medium Very High

4. Works hard and works overtime as required; gets out in the field or visits other offices; is visible to the rank and file.

Very Low Medium Very High

5. Demonstrates competence, is visibly interested in work.

Very Low Medium Very High

6. Is oriented toward producing results which move work toward meeting goals.

Very Low Medium Very High

7. Identifies clear performance standards and is strict but fair; gives positive and negative feedback where due; disciplines where necessary based on performance.

Very Low Medium Very High

8. Listens as well as instructs.

Very Low Medium Very High

9. Is active, has "we can do it" attitude; assertively makes decisions, moves things.

Very Low Medium Very High

10. Maintains sense of balance between future vision and everyday operational matters ("keeping nose to the grindstone and eyes to the hills").

Very Low Medium Very High

11. Demonstrates personal integrity (i.e., does not claim false overtime, take money, or cut corners for personal gain); instills sense of integrity in others.

Very Low Medium Very High

12. Shows sense of dynamism and energy in everyday contact with others.

Very Low	Medium	Very High

13. Sets positive problem-solving environment (i.e., creates a sense that uncovering problems is desirable and that creative approaches to their solution are effective).

Very Low	Medium	Very High

14. Continuously guides technical staff on need to ensure that levels of technology used by the institution are those which are most suitable in terms of simplicity of operation and maintenance; monitors activities in this regard.

Very Low	Medium	Very High

MANAGEMENT AND ADMINISTRATION

DEFINITION

Management is organizing people and resources to accomplish the work of the institution. Effective management is demonstrated by the capacity to get the most out of the resources available (human and other) in a deliberate or planned manner. Good managers have a clear sense of goals and priorities; they know who to rely on to get a job done and how to delegate to them the means to do it. Effective managers are aware of operational details; they monitor the work and follow-up consistently. An effective management climate is characterized by teamwork, cooperation and good communication among the staff.

The counterpart to management skills is the existence and use of key administrative systems. These are the policies and procedures which regulate and guide the actions of management. The mature organization has designed or evolved effective sub-systems such as personnel, budget, accounting, financial management, commercial procurement, and management information systems.

INDICATORS OF HIGH PERFORMANCE

Management Skills and Capabilities

1. Managers have a clear sense of their own and others' roles and responsibilities. They communicate roles and expectations clearly to others and involve them in the process of defining their roles and responsibilities.

   Very Low — Medium — Very High

2. The mission of the organization is clear and understood by all managers.

   Very Low — Medium — Very High

3. When asked, staff are able to describe clearly their responsibilities.

   Very Low — Medium — Very High

4. Managers know how to plan and delegate to get work tasks accomplished (tasks are allocated to the right people). Work planning is done with staff involvement. People have a free hand to get work done and are supported in doing it.

Very Low	Medium	Very High

5. Managers regularly set goals with staff and have a sense of priorities. Goals are limited and realistic and mesh with organizational mission and priorities.

Very Low	Medium	Very High

6. Departmental/organizational objectives are clear and understood at many levels.

Very Low	Medium	Very High

7. People are held accountable for getting work done.

Very Low	Medium	Very High

8. Follow-through on task assignments is done consistently.

Very Low	Medium	Very High

9. There is good communication within and among all levels; information is shared openly.

Very Low	Medium	Very High

10. Managers set and use performance indicators (standards) to evaluate work performance. They are understood at appropriate levels.

Very Low	Medium	Very High

11. Management maintains a climate of teamwork and cooperation among the staff.

Very Low	Medium	Very High

12. Communication flows freely within and among departments at all levels.

Very Low	Medium	Very High

13. Managers at all levels use and are well informed about the administrative systems.

Very Low Medium Very High

Management Administrative Systems

14. Administrative systems for the following functions have been developed and are regularly used. (Note: rate each system for effectiveness.)

a) Budgeting

Very Low Medium Very High

b) Commercial

Very Low Medium Very High

c) Accounting

Very Low Medium Very High

d) Procurement

Very Low Medium Very High

e) Management Information

Very Low Medium Very High

f) Personnel

Very Low Medium Very High

g) Maintenance Management System

Very Low Medium Very High

h) Stores, Supplies, and Inventory Control

Very Low Medium Very High

COMMERCIAL ORIENTATION

DEFINITION

Commercial orientation is the degree to which actions in an institution are driven by cost effectiveness and operating efficiency. The performance of an institution's functions should be guided and disciplined by a strategy to achieve financial self-sufficiency at an appropriate stage of growth. This orientation can be viewed at both operational and policy levels, and both levels are important. At the policy level, commercially oriented institutions structure and stage investments, expenditures, and revenues to achieve financial equilibrium annually.

Operationally, everyday activities are guided by quality standards and by constant attention to cost factors. The institution strives to establish a reputation as a financially well run business in the eyes of the financial and outside community in order to obtain financial support for growth and to maximize financial and operating autonomy.

(Note: Commercial orientation may be more readily achievable by water institutions but it is also important for wastewater institutions, even if significant revenues are routinely derived through subsidies.)

INDICATORS OF HIGH PERFORMANCE

1. Maintains yearly balance between expenditures and revenues. Revenues may be partly drawn from subsidies which are phased out according to a planned schedule.

   Very Low Medium Very High

2. Requires economic and financial feasibility for its projects and other institutional activities.

   Very Low Medium Very High

3. Staff actions throughout the institution are guided by cost effectiveness as well as quality standards.

   Very Low Medium Very
   High

4. Takes into account cost effectiveness when individuals and groups plan and organize work.

Very Low Medium Very High

5. Monitors expenditures against approved budgets.

Very Low Medium Very High

6. Maintains attitude of consumer orientation throughout the institution and is responsive to client needs and requests.

Very Low Medium Very High

7. Maintains clear, auditable financial records.

Very Low Medium Very High

8. Staff espouses a commercial orientation and thinks of their service function as a business.

Very Low Medium Very High

CONSUMER ORIENTATION

DEFINITION

Consumer orientation is organizing and directing the services of the institution towards consumers. People who staff an effective institution in the sector see serving consumers as their primary function. All work, all programs, all innovations are directed toward greater efficiency, effectiveness, and equity in service to the consumer. Staff at every level are aware of this consumer orientation and see it as governing positively their important daily operational decisions and actions.

Effective institutions in the sector have workable means wherein consumers can interact with them. These may include emergency outlets or "hotlines" when there are crises, clearly identified places where disputes about bills or service can be arbitrated, ways that interested consumers can make suggestions in overall policy, and so on. Creative and cost-effective ways are sought to inform and educate the public. Where consumerism is not present, appropriate, politically acceptable means are employed to attain an effective level of consumer protection in the institution.

INDICATORS OF HIGH PERFORMANCE

1. Staff at every level demonstrate they are oriented toward serving consumers; when observed, their decisions and actions are clearly driven by what is best for the consumer.

   Very Low ——— Medium ——— Very High

2. There are identifiable mechanisms for consumers to interact with key areas of the institution over important matters (e.g., emergency hotline, bill disputes, service problems).

   Very Low ——— Medium ——— Very High

3. There is clear evidence that the institution responds to complaints, emergencies, and suggestions which consumers make.

   Very Low ——— Medium ——— Very High

4. There are identifiable, ongoing, and effective measures to educate consumers about institutional services and requirements.

   Very Low ——— Medium ——— Very High

5. The institution makes efforts to invite and evoke an effective level of consumer participation (e.g., consumers bring concerns/complaints to the institutions).

Very Low	Medium	Very High

6. There are concerted efforts made to project a positive image of the institution to consumers.

Very Low	Medium	Very High

7. The level of complaints from the public is relatively low.

Very Low	Medium	Very High

TECHNICAL CAPABILITY

DEFINITION

Technical capability is the measure of the institution's competence in conducting the technical work required to carry out the responsibilities of the institution. Most of this technical work is performed directly by skilled, qualified employees, but outside specialists whose work is supervised by the institution's staff may be used where appropriate.

INDICATORS OF HIGH PERFORMANCE

1. Consistently makes sound technical decisions and effectively serves management by conducting technical studies and planning as requested.

   Very Low ______ Medium ______ Very High

2. Ensures effective control of the quality of the end product and all other technical operations.

   Very Low ______ Medium ______ Very High

3. Successfully completes projects which meet intended objectives in a timely and economical manner.

   Very Low ______ Medium ______ Very High

4. Ensures that technical tasks at all levels are completed properly.

   Very Low ______ Medium ______ Very High

5. Develops and maintains staff with adequate technical skills to perform needed services; promotes broader knowledge of aspects of technology beyond the individual's specific area of expertise.

   Very Low ______ Medium ______ Very High

6. Uses or adapts technology which is suitable for the specific needs of the institution and avoids temptation to use more exciting--but not appropriate--technologies learned by staff who were trained in other settings.

   Very Low ______ Medium ______ Very High

7. Maintains levels of in-house technical skills adequate for routine technical responsibilities and sub-contracts to outside specialists those tasks which are either beyond the institution's own capabilities or necessary to meet peak needs.

Very Low	Medium	Very High

8. Conducts practical research and experiments to improve existing uses of technology for local conditions and needs.

Very Low	Medium	Very High

9. Technical information is routinely shared among planning, design, and construction units to ensure smooth technical coordination.

Very Low	Medium	Very High

10. Technical staff members demonstrate a strong interest in technical learning and keep up with new information in the field.

Very Low	Medium	Very High

DEVELOPING AND MAINTAINING STAFF

DEFINITION

Developing and maintaining staff include those activities directed toward recruiting staff, providing skills to do the jobs and grow professionally, and providing adequate job satisfaction and wages and benefits to retain competent personnel.

Effective institutions develop and maintain their personnel. This includes both formal training programs and the informal training that occurs through on-the-job training, apprenticeships, and job rotation. In addition to a regular process of skill transfer, effective institutions maintain staff through providing sufficient incentives, compensation, employee benefits, and promotion opportunities so there is a minimum of unwanted turnover. Institutions that develop and maintain staff feel that people are their most important asset. There is a constant emphasis on learning.

INDICATORS OF HIGH PERFORMANCE

1. Mechanisms exist and are utilized to promote skill transfer.

   a. Organized skill transfer training programs (such as seminars or demonstrations) are designed and used to meet institutional goals.

   Very Low — Medium — Very High

   b. There is an informal process (such as internship) to effectively transfer skills.

   Very Low — Medium — Very High

2. A clear process for determining skill needs exists and is the basis for designing training programs.

   Very Low — Medium — Very High

3. Managers are actively involved in skill transfer and training, as supervisors or through delivery of courses.

   Very Low — Medium — Very High

4. Personnel express an interest in learning new ways of doing things.

   Very Low — Medium — Very High

5. A system exists for developing competent managers and supervisors.

Very Low Medium Very High

6. The institution provides adequate incentives to maintain staff.

   a. Salary levels are adequate to maintain personnel.

   Very Low Medium Very High

   b. The institution provides opportunity for social support (e.g., social centers and sports clubs).

   Very Low Medium Very High

   c. Employee benefits (pension, vacation time, sick leave, insurance) are an important part of the overall compensation package and together with salaries provide adequate incentives to maintain staff.

   Very Low Medium Very High

   d. Employee turnover is at an acceptably low level.

   Very Low Medium Very High

7. A clear system exists for hiring qualified personnel and firing or disciplining personnel when necessary.

Very Low Medium Very High

8. Employees demonstrate good morale and openly state that the institution is a good place to work.

Very Low Medium Very High

9. Active systems are in place for providing ongoing formal and informal feedback to personnel about job performance.

Very Low Medium Very High

10. Employees feel involved in and informed about the institution's activities.

Very Low Medium Very High

ORGANIZATIONAL CULTURE

DEFINITION

Organizational culture is the set of values and norms which inform and guide everyday actions. The culture forms a pattern of shared beliefs and assumptions which translate into behavior which can be observed.

An organization's culture is conveyed in a number of intended and unintended ways. Although often unstated, cultural beliefs, behaviors, and assumptions serve as a powerful means for defining and justifying organizational operations either in positive or negative ways. This will sometimes be expressed by introductory explanations given by staff with the message "this is what we are about here." It will be unintentionally expressed in the tone of the message (excited, bored, harassed, organized). It will also be expressed unintentionally in the way facilities look. Are they clean, kept up, or in a shambles?

Another factor in corporate culture is how the institution has dealt with change or crisis. When a major change has been introduced (new technology, organizational restructuring, a new billing system, new leadership or influential staff), people are often required to alter the way they operate. It is important to know how the organization has responded to new systems or personnel. Does it refuse to change, pretend to change, change superficially, change only for a short term or in a distorted fashion, or does it realign its forces positively to support innovation? An unhealthy corporate culture will be highly resistant to any change; forces will line up to protect narrow self interests (such as graft or petty bureaucratic authority) at the cost of overall organizational health.

The organization with a positive culture has a clear sense of mission and identity. This is often expressed by a majority of the employees in the form of "legends about the organization" or messages about "who we are." In positive terms, this often takes the form of a sense of pride in belonging to the group and a sense of the history of the organization which is passed on from old to new employees.

INDICATORS OF HIGH PERFORMANCE

1. An observable team spirit exists among the staff.

Very Low　　　　Medium　　　　Very High

2. People express a sense of ownership and pride about working that is communicated by such statements as "this is a good place to work."

Very Low　　　　Medium　　　　Very High

3. Employees are able to articulate the history and legends of the organization in positive ways.

Very Low — Medium — Very High

4. Continuity in the organizational culture is maintained (even with staff turnover at high or low organizational levels).

Very Low — Medium — Very High

5. Staff place a value on maintaining the physical plant (offices, treatment plants, grounds) of the organization. Facilities look clean, well maintained, and attractive.

Very Low — Medium — Very High

6. Power and status are defined as something the entire organization shares in varying degrees, especially the status associated with doing a good job.

Very Low — Medium — Very High

7. Sub-groups and alliances within the organization serve as a positive means of informal communication and a rallying point in the organization during periods of crisis or to support healthy change.

Very Low — Medium — Very High

INTERACTIONS WITH KEY EXTERNAL INSTITUTIONS

DEFINITION

The institution's capacity to influence positively and strategically those institutions which affect its financial, political, and legal ability to perform is the essential characteristic of this category.

Many entities in the external environment affect the performance of a water/wastewater institution. These include the political (parent ministry and legislative bodies), financial (lending sources and budget/finance ministry), and regulatory entities (municipal government, state government, health ministry) which have an influence over operations. An effective organization has the ability to influence and adapt to these external entities to achieve its goals. This is accomplished by anticipating activities which might affect the institution and establishing strategies to deal with them.

INDICATORS OF HIGH PERFORMANCE

1. Top management stays well informed about external policy, financial, and regulatory issues and actions.

   Very Low — Medium — Very High

2. Management maintains direct contact with the key individuals in all important external entities.

   Very Low — Medium — Very High

3. Specific strategies are formulated to influence policies, legislation, and other activities to obtain necessary approvals and resources.

   Very Low — Medium — Very High

4. Programs are developed to influence the public in support of institutional goals.

   Very Low — Medium — Very High

5. Management adapts creatively to obstacles (e.g., supplements inadequate salaries with other kinds of incentives).

   Very Low — Medium — Very High

Six Steps for Carrying Out Collaborative Work Planning

When carrying out a work planning conversation, follow these six steps:

1. **Set the Climate**

   Let each person know why you are meeting and why they are being considered for an assignment.

2. **State What the Task Is**

   Clearly describe what the task is and what you expect the person to do. For example, start the conversation by saying, "I want you to..."

   Make sure you let the person know what you have already decided and what is open for discussion and input.

3. **Explain the Importance of the Task, Reasons, Benefits to the Individual**

   Put the task in the perspective of overall goals of the unit and its priority; relate the task to the person's job duties; explain the growth and learning opportunities for the person, if relevant.

4. **Get Input and Agreement; Answer Questions**

   Provide an opportunity for the person to share ideas about the job and tasks, to discuss alternative approaches. Answer any questions about the job. Remember, in this step in particular, you are trying to encourage development of a sense of interest and commitment (this is sometimes called "buy in").

5. **Get Clarity on Next Steps**

   Confirm agreements made. Decide what next steps need to be taken. For example, decide when follow-up meetings will take place, agree on a monitoring process, or decide when to meet to develop a monitoring plan.

6. **Final Remarks**

   Words of appreciation (as appropriate), words of closure, parting, etc.

Part Two of Case Study: Collaborative Work Organization

As Nihal, you have an unusual opportunity facing you. Because of a series of delays in assigning the national budget to NAWA for matching funds contributing to foreign assistance grants and loans, certain portions of projects were held up. Fortunately, a budget was finally authorized and, as a result, funds for a pump repair training program for 25 of your staff have been authorized. You had requested this program as part of a USAID-sponsored institutional development project; it is important to your overall goal of upgrading staff to use new equipment that will be installed this year. The program involves a four-week study tour abroad, as well as in-country instruction by the manufacturer at plant sites.

In order to move forward with this, you have decided to assign BLC Naga, your Chief Engineer for maintenance, the responsibility of planning this work. You want to be able to delegate to him the responsibility for setting up a workable program, managing the implementation, including making all the arrangements, and setting up an overall work plan and timetable over the next six months. In order to do this, issues such as the following must be considered:

- How much lead time is necessary?
- When does the paperwork have to be in to USAID?
- Who should be trained (and how is it to be decided)?
- Who in NAWA needs to be involved, consulted with, coordinated with, and brought in to assist?
- Who needs to be dealt with at USAID besides the project officer?
- What interactions should there be with regional managers and officers in charge?
- What will be the costs that NAWA must bear that are not included in the grant funds (for example, local per diem and arrangements for the in-country portion of the training, local transportation, local equipment)?
- Who needs to approve the use of these funds and whose budget do they come out of (the training center, your department, general funds, etc.)?

In carrying out the program, BLC will need to interact with a number of people, account for the resources, and deal with the sticky problem of who is selected to go on the study tour. There are only 25 training slots and there are 75 potential candidates on the maintenance teams throughout NAWA. There are also a number of chief engineers who feel they should go, even though they really do not have anything to do with maintenance activities. BLC will need to do all of this while carrying out his normal work schedule.

You are about to have a collaborative work organization meeting with BLC. Take some time to do some planning for that meeting.

Keep in mind what you know about BLC. He has had many years of experience in NAWA and is very much a mechanically oriented person. He likes to be out in the field dealing with equipment, mechanics, and water plants. He is not terribly well organized. He gets along well with the field and plant staff but does not relate as well to higher-ups and offices outside of his technical area. When he did the job you assigned him (the briefing paper for the Secretary on tariffs), you found out later that he was not very thorough with paperwork and figures. He is not terribly good on administrative details. But you also want him to grow and learn if he is to advance. This is a good opportunity for him to get some recognition in other offices and to manage a very visible project.

Briefing Sheet: BLC Naga

You will be taking the part of BLC in this next meeting.

In addition to the information you already have about BLC (he is a chief engineer in charge of maintenance activities, has been with NAWA a long time, does not yet have his charter, is good at mechanics), you should consider the following to help you prepare for the meeting with Nihal, your boss:

- You have heard some rumors about a possible study tour and training program coming up and you are in favor of it. This will be a good opportunity for a lot of the plant and regional staff (who really do the work of NAWA) to learn some new things and get a chance to go abroad. You secretly hope you get to go, too.

- The thing you don't like about your potential involvement as an organizer of this project is all the administrative nonsense. You don't think that dealing with the accounting people to wrangle funds will be to your liking. You hate the idea of making sure that everybody has all their paperwork in so that you can fill out forms for USAID. You don't feel comfortable about dealing with the foreigners because your foreign language is not very good (although you understand everything). You want to find someone else to do all this. Maybe you can get the consultant to do this...

- When Nihal tries to set up a firm time to get all of this done, you think he is being unrealistic--you have a lot of other work to get done as well, you have been working nights and some weekends recently in order to draft letters to local authorities and keep up with paperwork. You want Nihal to make the time lines longer. Of course, if Nihal is willing to give you a full-time assistant for two or three months, you might be able to do it.

- You are not accustomed to conference and delegation meetings like the one you are about to have with Nihal (since he has returned from a management training workshop, he seems to be acting funny and doing things he never did before). If Nihal is not being clear, point this out and ask him what he wants you to do.

Other than the above information, in this meeting just be yourself and react the way you think BLC would normally react. You are in favor of the program, so don't be negative, but you want to try and get out of the things you feel you don't do well or that might embarrass you. You should try to be a real BLC: If Nihal has a good idea, say so; if he is unclear, let him know.

Collaborative Work Organization Reflection Sheet

Take a few minutes to review the work we have done on collaborative work organization.

1. What are the key things you learned about

   - preparing to have a work planning meeting:

   - having a work planning conversation:

2. How do you plan to use ideas about collaborative work organization in your office situation?

LEAD Instrument

Leader Effectiveness and Adaptability Description

LEAD

LEAD
SELF
Leadership Style/Perception of Self

Developed by Paul Hersey and Kenneth H. Blanchard

Your name ______________________________

PURPOSE

The purpose of this instrument is to evaluate your perception of your leadership style in terms of "telling," "selling," "participating," or "delegating," and to indicate whether the style is appropriate in various situations.

INSTRUCTIONS

Assume you are involved in each of the following twelve situations. Each situation has four alternative actions you might initiate. Read each item carefully. Think about what you would do in each circumstance. Then, circle the letter of the alternative action choice which you think would most closely describe your behavior in the situation presented. Circle only *one choice.*

After you have circled one choice for each situation, use the "LEAD Directions for Self-Scoring and Analysis" to score and array the data.

Leader Effectiveness & Adaptability Description

1. SITUATION

Your followers are not responding lately to your friendly conversation and obvious concern for their welfare. Their performance is declining rapidly.

ALTERNATIVE ACTIONS

You would. . .

A. Emphasize the use of uniform procedures and the necessity for task accomplishment.
B. Make yourself available for discussion but not push your involvement.
C. Talk with followers and then set goals.
D. Intentionally not intervene.

2. SITUATION

The observable performance of your group is increasing. You have been making sure that all members were aware of their responsibilities and expected standards of performance.

ALTERNATIVE ACTIONS

You would. . .

A. Engage in friendly interaction, but continue to make sure that all members are aware of their responsibilities and expected standards of performance.
B. Take no definite action.
C. Do what you can to make the group feel important and involved.
D. Emphasize the importance of deadlines and tasks.

3. SITUATION

Members of your group are unable to solve a problem. You have normally left them alone. Group performance and interpersonal relations have been good.

ALTERNATIVE ACTIONS

You would. . .

A. Work with the group and together engage in problem solving.
B. Let the group work it out.
C. Act quickly and firmly to correct and redirect.
D. Encourage the group to work on the problem and be supportive of their efforts.

4. SITUATION

You are considering a change. Your followers have a fine record of accomplishment. They respect the need for change.

ALTERNATIVE ACTIONS

You would. . .

A. Allow group involvement in developing the change, but not be too directive.
B. Announce changes and then implement with close supervision.
C. Allow the group to formulate its own direction.
D. Incorporate group recommendations, but you direct the change.

5. SITUATION

The performance of your group has been dropping during the last few months. Members have been unconcerned with meeting objectives. Redefining roles and responsibilities has helped in the past. They have continually needed reminding to have their tasks done on time.

ALTERNATIVE ACTIONS

You would. . .

A. Allow the group to formulate its own direction.
B. Incorporate group recommendations, but see that objectives are met.
C. Redefine roles and responsibilities and supervise carefully.
D. Allow group involvement in determining roles and responsibilities, but not be too directive.

6. SITUATION

You stepped into an efficiently run organization. The previous administrator tightly controlled the situation. You want to maintain a productive situation, but would like to begin humanizing the environment.

ALTERNATIVE ACTIONS

You would. . .

A. Do what you can to make the group feel important and involved.
B. Emphasize the importance of deadlines and tasks.
C. Intentionally not intervene.
D. Get the group involved in decision making, but see that objectives are met.

7. SITUATION

You are considering changing to a structure that will be new to your group. Members of the group have made suggestions about needed change. The group has been productive and demonstrated flexibility in its operations.

ALTERNATIVE ACTIONS

You would. . .

A. Define the change and supervise carefully.
B. Participate with the group in developing the change, but allow members to organize the implementation.
C. Be willing to make changes as recommended, but maintain control of implementation.
D. Avoid confrontation; leave things alone.

8. SITUATION

Group performance and interpersonal relations are good. You feel somewhat insecure about your lack of direction of the group.

ALTERNATIVE ACTIONS

You would. . .

A. Leave the group alone.
B. Discuss the situation with the group and then initiate necessary changes.
C. Take steps to direct followers toward working in a well-defined manner.
D. Be supportive in discussing the situation with the group, but not too directive.

9. SITUATION

Your boss has appointed you to head a task force that is far overdue in making requested recommendations for change. The group is not clear on its goals. Attendance at sessions has been poor. Their meetings have turned into social gatherings. Potentially, they have the talent necessary to help.

ALTERNATIVE ACTIONS

You would. . .

A. Let the group work out its problems.
B. Incorporate group recommendations, but see that objectives are met.
C. Redefine goals and supervise carefully.
D. Allow group involvement in setting goals, but not push.

10. SITUATION

Your followers, usually able to take responsibility, are not responding to your recent redefining of standards.

ALTERNATIVE ACTIONS

You would. . .

A. Allow group involvement in redefining standards, but not take control.
B. Redefine standards and supervise carefully.
C. Avoid confrontation by not applying pressure; leave the situation alone.
D. Incorporate group recommendations, but see that new standards are met.

11. SITUATION

You have been promoted to a new position. The previous supervisor was uninvolved in the affairs of the group. The group has adequately handled its tasks and direction. Group interrelations are good.

ALTERNATIVE ACTIONS

You would. . .

A. Take steps to direct followers toward working in a well-defined manner.
B. Involve followers in decision making and reinforce good contributions.
C. Discuss past performance with the group and then examine the need for new practices.
D. Continue to leave the group alone.

12. SITUATION

Recent information indicates some internal difficulties among followers. The group has a remarkable record of accomplishment. Members have effectively maintained long-range goals. They have worked in harmony for the past year. All are well qualified for the task.

ALTERNATIVE ACTIONS

You would. . .

A. Try out your solution with followers and examine the need for new practices.
B. Allow group members to work it out themselves.
C. Act quickly and firmly to correct and redirect.
D. Participate in problem discussion while providing support for followers.

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LEAD Scoring and Interpretation Workbook

Leader Effectiveness and Adaptability Description

LEAD

LEAD DIRECTIONS

Directions for Self-Scoring and Analysis

Developed by Paul Hersey

Name of person being scored ______________________________

PURPOSE

The purpose of this booklet is to provide information on a number of different aspects of your *leadership style,* and is used to score both the "LEAD Self" and "LEAD Other" instruments. When scoring the "LEAD Self" instrument, your results will be information about *your* perception of your leadership style. On the other hand, if you are scoring your results from the "LEAD Other" instrument, your results will provide information about how your leadership style is perceived by *others.*

This booklet is divided into two major areas of analysis:

- **Your Leadership Style Profile**
- **Your Leadership Style Adaptability**

Leader **E**ffectiveness & **A**daptability **D**escription

YOUR LEADERSHIP STYLE PROFILE

To develop your Leadership Style Profile, refer to the "LEAD Self" or "LEAD Other" instrument being processed. The first step will be to transfer the circled alternative actions for each of the twelve situations from the LEAD instrument to the corresponding numbered situations in Figure 1 below. Then, total the number of circled actions for each of the four vertical columns and write their sums next to "Totals."

ALTERNATIVE ACTIONS

SITUATIONS	(1)	(2)	(3)	(4)	Group Readiness Described in Situations
1	A	C	B	D	R1
2	D	A	C	B	R2
3	C	A	D	B	R3
4	B	D	A	C	R4
5	C	B	D	A	R1
6	B	D	A	C	R2
7	A	C	B	D	R3
8	C	B	D	A	R4
9	C	B	D	A	R1
10	B	D	A	C	R2
11	A	C	B	D	R3
12	C	A	D	B	R4
Totals					
	Telling (S1)	Selling (S2)	Participating (S3)	Delegating (S4)	

Figure 1. Determining Style and Style Range

Style range is important in gaining insight into your ability to influence others, and having a range of styles is helpful. The key variable now becomes *when* to use each style.

Previously, your Leadership Style Profile indicated preferences and tendencies of leader behavior. **Style adaptability** is the degree to which you are able to vary your style *appropriately* to the readiness level of a follower in a specific situation.

In Figure 2, points are awarded for each alternative action selected in response to the twelve situations provided in the LEAD instrument. The number of points awarded is determined by how well the alternative action selected matches the situation. Thus, a "3" response indicates the "best fit." A "0" response indicates that an alternative action was selected that has a very low probability of success.

The use of a point system allows your Leadership Style Adaptability to be expressed as a score. The possible adaptability score ranges from 0 to 36. Expressing adaptability as a score allows some generalization to be made based on numerical benchmarks.

30-36 Scores in this range indicate a leader with a high degree of adaptability. The leader accurately diagnoses the ability and willingness of the follower for the situation and adjusts accordingly.

24-29 This range reflects a moderate degree of adaptability. Scores in this range usually indicate a pronounced primary leadership style with less flexibility into the secondary styles.

0-23 Adaptability scores less than 23 indicate a need for self-development to improve both the ability to diagnose task readiness and to use appropriate leader behaviors.

YOUR LEADERSHIP STYLE ADAPTABILITY

To determine your Leadership Style Adaptability, circle the scores in Figure 2 below that correspond to the alternative action choices made for each situation in Figure 1. For example, if for Situation 1 alternative action choice "C" was chosen, circle "2" under column "C" below. Next, add the numbers in each vertical column and write their sums next to "Subtotals." Finally, add the subtotals for columns "A," "B," "C," and "D" to calculate "Leadership Style Adaptability" and write this number in the box provided.

ALTERNATIVE ACTIONS

SITUATIONS	A	B	C	D
1	3	1	2	0
2	3	0	2	1
3	2	1	0	3
4	2	0	3	1
5	0	2	3	1
6	1	2	0	3
7	0	3	1	2
8	3	1	0	2
9	0	2	3	1
10	2	0	1	3
11	0	3	1	2
12	1	3	0	2
Subtotals	+	+	+	=

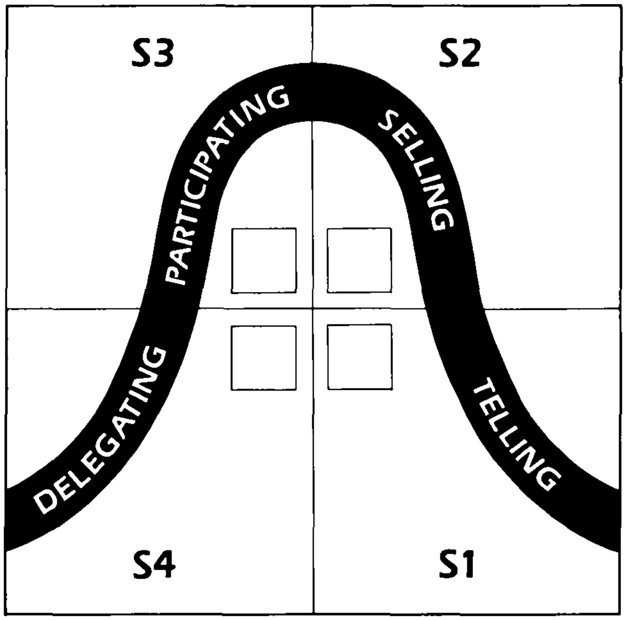
Leadership Style Adaptability

Figure 2. Your Leadership Style Adaptability

Interpretation of your Leadership Style Adaptability data is provided on the following page.

YOUR LEADERSHIP STYLE PROFILE (continued)

Refer to columns (1) through (4) in Figure 1. Transfer the total for each column to the box in the corresponding quadrant in the model below, e.g., write the column (1) total in the box in the S1 quadrant, the column (2) total in the box in the S2 quadrant, etc.



Now you can interpret the results of the scoring you just completed. From this, three very important pieces of information come together to form your Leadership Style Profile:

PRIMARY STYLE

Primary style is the style that you would tend to use most frequently. The quadrant in the model above which has the greatest number of responses indicated is your primary style.

SECONDARY STYLE

Secondary, or supporting style(s) include the quadrant(s)—other than your primary style quadrant—in which there are two or more responses. These styles tend to be your "back-up" styles when you are not using your primary style.

STYLE RANGE

Style range refers to the total number of quadrants in the model above in which there are two or more responses. Style range provides a sense for how flexible you are in varying the types of behaviors you engage in when attempting to influence others.

Three or more responses in a quadrant indicate a high degree of flexibility in the use of behaviors in that quadrant. Two responses in a quadrant indicate moderate flexibility. One response in a quadrant is not statistically significant, and therefore it is difficult to predict flexibility into that style.

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Critical Incidents for Situational Leadership

Task A

You are the Deputy General Manager for Operations and Maintenance. You are attending an important conference, which is being held at a site approximately three hours away from the head office. You have left one of your chief engineers in charge while you are at the conference. You receive a call from the chief engineer that a water main has broken in the capital city. He has dealt with many breaks like this before. You know you will be expected to explain the progress on this to the General Manager.

1. What is the task you expect to accomplish?
2. What level of performance do you expect?
3. What job maturity does the chief engineer have for this task?
4. What is the most appropriate leadership style?
5. What specific steps might be taken to carry out this style?

Task B

You have asked your subordinate to gather information to fill out a form that will document an employee's request for transfer. The subordinate comes to you after struggling for half a day with the form and says, "I can't find out this information; I don't know where to go for it and every time I ask one of the former supervisors of the person for information he says he hasn't got time, call back later."

1. What is the task you expect to be accomplished?
2. What level of performance do you expect?
3. What is the subordinate's job maturity level for this task?
4. What is the most appropriate leadership style?
5. What specific steps might be taken to carry out this style?

Task C

As the General Manager of a major water authority with a great deal of technical experience, you find that many of your senior staff come to you when they have particular problems that are related to procedures. This takes a great deal of your time. Your design engineer has asked that you help him decide how to structure a tender document that will ensure that the contractor takes responsibility for all phases of design and construction of a water plant. You know this man has many good ideas and a great deal of experience, but he wants to make sure you will back him up when the document reaches the final approval stage.

1. What is the task you expect to accomplish?
2. What level of performance do you expect?
3. What job maturity does the design engineer have for this task?
4. What is the most appropriate leadership style?
5. What specific steps might be taken to carry out this style?

Task D

As the Deputy General Manager for a region, you have been asked to develop a budget request from the ground up for next year's budget submission. Neither you nor your staff have developed an operational budget for your region before, but all of you have done a great deal of cost estimating for specific construction projects and for procurement of supplies. You call three of your senior people in and communicate the following: "We have two weeks to get a draft budget in for this region. Unfortunately, I have been called away by the Chairman for the next week to prepare the groundwork for a major meeting that will take place in this region.

1. What is the task you expect to accomplish?
2. What level of performance do you expect?
3. What job maturity do your three senior people have for this task?
4. What is the most appropriate leadership style?
5. What specific steps might be taken to carry out this style?

Monitoring

Definition

Monitoring is following up on assigned work at specified intervals to ensure quality and task completion.

Good monitoring --

- Is built on a prior agreement made during a collaborative work organization meeting; it is not a surprise.
- Reviews performance in terms of the quality specified or agreed upon, not merely the fact of task completion.
- Is carried out consistent with a predetermined leadership style that the manager has decided is appropriate, given the task and the relative task maturity of the employee.

The following are key issues in planning for monitoring:

- What do you need/want to know, for example, what will be indicators of satisfactory work?

  How much do I need to be reassured that this person can do the task? How well do I need to be informed in order to satisfy requests from above for status reports?

- How will you find out?

  Should I set up a written reporting system? ... regular meetings? ... spot inspections? ... informal means?

- When will you find out?

  Should I decide on a regular monitoring schedule for review at milestone events, or should I keep an ongoing information schedule?

- How and when will you discuss your approach to monitoring with your subordinate?

Should I set time aside to discuss a monitoring plan? Should I involve the other person in developing the plan with me? Is the best time when the task is assigned or should I do this after the collaborative work organization meeting?

Monitoring Reflection Sheet

Think about a situation in which you will be expected to monitor the work of someone else.

As you plan for monitoring this task, ask yourself --

1. What do I really need to know on an ongoing basis? What are the indicators of satisfactory performance? What will I need to know to feel "reassured"? ... to reassure others?

2. How will I find out?

3. When will I find out?

4. How and when will I discuss my approach to monitoring with the person whose work is being monitored?

Part Three of Case Study: Giving Performance Feedback to BLC

Six weeks had gone by since Nihal and BLC had conducted their delegation planning meeting about the pump training program. Much had happened in that time. They did manage to conduct monitoring meetings once a week for the first two weeks, but Nihal had gotten very busy and had been called away to deal with a series of crises in the turning over of a new water treatment plant in one of the districts. He had been away from his office for most of a month and had been back now about two weeks. He began thinking that it was time to get together with BLC and review his overall progress with the agreements they had made, especially about the things that BLC said he was going to accomplish and the things that BLC agreed to try to improve about his work performance (keeping better track of administrative details and dealing better with people outside of his office areas).

In thinking about how to approach this performance review and feedback meeting, Nihal pulled out the work plan that he and BLC had agreed upon. As he looked over the plan, he realized that BLC had completely forgotten about making sure that budget funds had been approved and set aside for NAWA's contribution to the project (something that USAID had required certified and signed by the GM before it would approve the travel). Nihal had several messages on his desk about that from the USAID project officer, but since he was away, he had not responded to them. There were a number of other things in the work plan that he was not sure had been taken care of. Nihal felt a little guilty about not having called BLC or sent reminders since he had agreed to do this in their original delegation meeting (they had agreed to certain monitoring actions). In fact, he had forgotten all about this project until he had look at the file on his desk this morning. Oh, well, so many things to keep track of....

Turning from the issues of this specific project, Nihal also needed to think of BLC's overall performance and organize his thoughts for his performance review discussion and feedback. Nihal began to think about how BLC had done over the past few months. Here are some of his thoughts and the information he had about BLC to consider:

- Nihal had been very disturbed when he heard through the rumor mill that BLC had been very abrasive with the accounting clerk when he went to see about funds for the project. Nihal had spent a lot of time trying to get on the good side of the accountants so that his office would get more responsive treatment.

- Nihal thought BLC wasn't taking his paperwork very seriously and had not followed up on making sure all the participants had filled out their forms and turned them in so that USAID could approve their travel.

- When Nihal looked at the list of participants, he noticed that some of the mechanics who were in regions outside of Nihal and BLC's region were not included and that too many of BLC's friends were on the list. This was going to create a lot of resentment.

- Nihal's secretary had told him privately that at a gathering at one of the engineer's house, BLC had gotten very drunk and said some very strong things against one of the higher-ups in the personnel department. Nihal thought that BLC was probably drinking too much; he often looked very tired in the morning.

- One of the regional mechanics had complained to Nihal that BLC never read or ever said anything about the maintenance reports he sent in each month to him. This was disturbing because the new maintenance management system that they were trying to put into practice depended on his reading the reports and writing back a response each month.

- They had agreed in the monitoring agreement for the work plan that BLC would write a list of accomplishments for each week and turn it in. This had not been done.

- BLC's work in talking about the project to people in the regions had been very good--he knew lots of people, and they seemed to respect him. He had created a lot of good will for the training project in certain areas.

- BLC had gotten the training department involved in helping him plan the in-country portion of the training; he even had them making a lot of the arrangements and lining up equipment.

- BLC had been working on his foreign language and had arranged to take tutoring (on his own time). Perhaps this had helped him relate better to the USAID people. Nihal had heard good things about the way the USAID officer reacted to him: He had kept in frequent contact with USAID; he had consulted with a wide range of people on who should be selected for the course.

- Nihal's overall feeling about talking with BLC was that he had been doing some things well and making progress in a number of areas (language, relating better to some people in other departments). But there were a number of things he needed to improve on: his attitude towards paperwork and small details in administration; his general approach to the accounting people (he thought they were all paper pushers who really didn't perform).

- In general, perhaps BLC's biggest long-range problem was that he didn't take seriously this whole business of completing his engineering qualifications. How was he ever going to advance? He also seemed uninterested in learning how to really be a manager--he seemed too content with just dealing with machines and the people with whom he felt comfortable, not stretching himself to get involved in all of the agency politics needed to really get on and advance in NAWA. He seemed too independent minded to really become more than a technician. If he thought he was just going to be promoted for being here, he was wrong.

Guidelines for Effective Meetings

Before the meeting:

- **Determine the purpose(s) in advance**

  Is this meeting essentially informational, for making decisions, for planning and problem solving, to review progress, an assembly? The purpose of the meeting will determine who should be there, the physical arrangements, and requirements for advance work.

- **Let people know what type of meeting it is**

  If preparation is required of people, they need to know in advance; they also need to be able to think about their contribution.

- **Make logistical arrangements**

  Anticipate needs for seating arrangements, flipchart paper, overhead projector, etc.

- **Arrange for someone to take notes**

  If a word processor or a portable computer is available, it is best to take the notes on major decisions and assignments in writing. The meeting leader should jot down decisions and assignments on a flipchart for all to see and review them at the end of the meeting.

- **Ask for input on the agenda**

  A draft agenda should be prepared in advance and those attending the meeting should be asked if they need to have something brought up during the meeting.

During the meeting:

- **Always use the agenda**

  The first item of business is to review the agenda so participants can judge how much work there will be and know how long the meeting will take. The agenda should always be visible to the participants. This lets them participate more and know what is going to happen. A flipchart is a better idea than a written piece of paper because it can easily be added to and marked on.

- **Hints for skillful meeting management**

  -- Enlist staff assistance in running the meeting. Sometimes staff can develop their skills by having the chance to run the meeting. This also enables the manager to participate in contributing to the meeting without having to dominate it. Whoever runs the meeting should prepare the agenda.

  -- The job of the person leading the meeting is to "facilitate the process," not dominate all the conversation. Ask for ideas and input, draw people out, try to get some consensus if the issues are important. Keep things moving, don't let people get sidetracked in irrelevant conversations. Keep track of time; remind the group of what needs to be covered in the time available.

-- Keep a visible recording sheet for action items and agreements made. For example, after a discussion on a topic, the meeting leader should summarize the agreement and write down: "Joe will investigate and report back at next week's staff meeting."

-- In managing the agenda, it is sometimes helpful to arrange all of the information items together and all of the action items together. This enables the group to get the quick information sharing out of the way and get down to items that will require time or work.

-- Effective meetings are run by effective teams. The group needs to be trained in and use good communication skills, such as paraphrasing, summarizing, and listening.

After the meeting:

- Distribute the meeting notes right away.
- Monitor and follow up on things people agreed to do: Send them notes; call up and ask how it's going.

Meetings Reflection Sheet

1. From what I have observed today, the following is important to remember about making meetings more effective:

2. I plan to hold my next staff meeting on:

3. I want to remember to try the following things out at the next staff meeting in order to improve my meeting management skills:

4. As a participant in meetings, I would be more effective if I:

   a. Did less of:

   b. Did more of:

Planning for On-the-Job Application

1. Think about the role you play as a manager in your organization. What are the key things you have learned this week about carrying out that role?

2. If you see your role as a manager differently now, what specific steps do you plan to take to make the things you have learned an ongoing part of the way you manage (e.g., hold regular meetings, give regular feedback, do more delegating, communicate better, etc.).

3. If you were to review the skills we have been practicing in the course, which three skills are the most important for you to continue to work on?

   a.

   b.

   c.

4. What commitments are you willing to make to the other members of your Skill Improvement Group about what you are going to do and try out in your work unit as a manager?

Course Evaluation Form

We appreciate your taking the time to complete this questionnaire. We intend to use your feedback as we conduct other phases of this course. We also want to know what has been useful to you so that we can follow up in the future.

A. Evaluation of Course Goals

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

1. To identify and clarify the role of management and the tasks of a manager in a water and sanitation organization.

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

Comments:

2. To develop a vision of how an effective water authority is managed.

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

Comments:

3. To specify, learn, and apply communication skills for effective management.

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

Comments:

4. To learn and apply techniques for organizing, delegating, and following up work with staff for improved performance.

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

Comments:

5. To develop techniques for providing positive and corrective feedback to staff that motivates them to develop and increase their effectiveness.

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

Comments:

6. To learn and practice skills for improving the way managers and staff work together in teams, meetings, task forces, and groups.

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

Comments:

7. To increase understanding of and develop agreements for managerial relations and communication among work units.

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

Comments:

8. To apply the concepts and skills learned in the course through the development of individual and unit improvement action plans to be carried out and monitored over the next several months. To set up and develop agreements for skill improvement.

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

Comments:

B. Evaluation of Methods

Which of the training methods used were helpful to your learning?

	Not Helpful		Moderately Helpful		Most Helpful
	1	2	3	4	5
1. Lecture/Discussion	___	___	___	___	___
2. Case Study	___	___	___	___	___
3. Feedback from Others	___	___	___	___	___
4. Skill Practice	___	___	___	___	___

Comments:

C. Other Observations on the Course

1. What is one major thing you plan to do differently/better as a direct result of this training?

2. To what extent will you be able to apply the skills learned in the course to improve your job performance?

Little ability to apply		Will be able to apply to some extent		Will be able to apply a great deal
1	2	3	4	5

Comments:

3. What did the trainers do that was least and most helpful to your learning? (Please give specific comments for each trainer.)

Trainer____

Least Helpful:

Most Helpful:

Trainer____

Least Helpful:

Most Helpful:

Overview of Phase II

Linkages from the First Workshop

About two months before the second workshop, participants should be sent a Precourse Workbook (copy at end of Overview). The workbook provides a review of the key principles presented in the first workshop. It also asks a number of questions on worksheets that are designed to jog participants into reviewing their application of skills and help them prepare for the second workshop. A copy of "Planning for On-the-Job Application" (Handout 13-1, Phase I) should be sent also as preparation for Session 2.

Several of the worksheets ask participants to review and write down what steps they have taken to improve their management performance since the first workshop (what has been successful and what has not). During the needs assessment for Phase II, the trainers should follow up on this in precourse interviews.

It is common for participants to become rusty on some of the concepts and skills presented in Phase I. One must be patient with the fact that the participants are trying to change dramatically the way they view themselves as managers, to learn and practice new skills, and to keep up with their normal workload. Typically, those things that are probably most unusual conceptually (new and very different) will be remembered or understood the least.

The concept of *vision* is often one of those areas that is not well understood. Participants have to work hard to understand that the concept of vision as explained in the first workshop includes both a programmatic (or technical) agenda or plan and an organizational (or managerial) direction. It is easier to understand "what do you want to achieve in two years to anticipate increasing consumer demand" than "what kind of a working climate do you want to have established to improve employee motivation." Clarifying the concept of vision is especially important at this time, because in Phase II the participants are asked to conceptualize the mission, goals, and measures of performance they wish to be held accountable for in their work units. This process very much requires some organizational as well as programmatic vision.

Another area that participants often need help in understanding is *performance* and the use of *situational leadership.* People will often understand conceptually that the behavior of the leader and follower changes according to the task and maturity of the follower, but they find it hard to understand what to do about it.

The entire concept of *performance* is involved in this confusion. Performance at the individual level is viewed by many cultures as very Western and typically very North American. Respect for the sanctity of *beingness* as a manifestation of divinity and the protection of the ego as a part of *face* (very common concepts in much of the non-Western world) often translate in behavioral terms to "you can't supervise anyone or discipline, or give them feedback, or even discuss how they do their jobs because these are taboo topics."

There are many examples in all cultures of managers dealing with performance issues, giving feedback in many ways, and rewarding good behavior. In all of Asia, and in most countries, examples can be found of very successful companies or institutions (in both the public and private sectors) that pay attention to performance and have strong staff training programs. But, because it is not easy to manage people and deal with performance issues, people find ways to avoid these issues and easily confuse themselves about them.

It will be important to clarify the concepts of vision and performance and the related skill areas (feedback, situational leadership, coaching, collaborative work organization) if they need more attention. These topics are an essential platform upon which the rest of the program is built. Individual performance issues are returned to in Phase III (in part for the reason explained above). In Phase II, performance is considered from the point of view of the work unit.

Needs Assessment

Because of the cautions noted above, it is important during the needs assessment to ask questions that probe for application of skills and concepts presented in the first workshop. The following questions will be useful:

- Tell me what happened when you returned from the last workshop and tried out some of these concepts and skills on the job.
- Give me some examples of how meetings have changed (improved or gotten worse). What specifically are people doing differently now?
- Which of the communication skills have you found the most useful?
- During the first workshop, we discussed what the water authority needed to do to become excellent. We called this part of developing a vision. To what extent have you discussed this with your subordinates? With colleagues?
- How have you communicated a sense of vision to your work unit?
- Have you tried to give feedback to any of your subordinates? How has that worked?
- What are the areas that we worked on in the last workshop that you think need more clarification?
- What are the essential functions of your work unit and how does the unit relate to the rest of the water authority?
- How do you know if your unit is doing a good job? How do you measure your performance?

NOTE: The last two questions lead into the new material presented in Phase II. It is important to get a sense of how clearly unit mission and goals are understood and how other units' functions are understood. If this area is not an issue at all (unlikely), design modifications will have to be made to eliminate exercises on defining unit mission and goals.

Course Goals

The Phase II workshop has four major goals:

1. To strengthen the skills and understanding of the themes introduced in Phase I.
2. To focus on the management concept "developing a vision for the work unit." This will include reviewing and defining the unit's mission and goals.

3. To develop performance standards for each work unit and a mechanism for their review at the unit and organizational levels.

4. To provide a means for planning the use of, and communicating to subordinates and others, your performance indicators.

These goals are pursued keeping in mind the need to support the development of individual and group improvement action plans to be carried out and monitored over the six-month period following this workshop.

Design Overview and Themes

The Phase II workshop is designed to accomplish two things:

- To review skills from the first course, look at a few of them in a somewhat more advanced way, and discuss difficulties (and successes) in using them.
- To focus on performance at the unit level by introducing two new management tools--mission statements and performance standards.

Both of these activities are carried out in ways designed not only to provide skills and concepts, but also to have an effect on the way that managers carry out their jobs. In part this is done by using the team-building potential of the sessions in this second phase. This training session is really more of a "workshop" than the first phase; considerable time is devoted to individual and small group work on developing and reworking mission statements, unit goals, and performance standards.

Because this particular workshop is designed to help change the way that business is done in the organization, trainers must pay particular attention to how to get support from upper management for developing performance standards and getting their use integrated into the requirements of the organization. To ensure that the organization uses performance standards in a regular and ongoing way, higher level managers must be involved in these sessions. Time is provided during the last day of this workshop for presentations to management of draft performance standards, and it is critical that these managers be appropriately supportive.

After the workshop, follow-up actions will have to be taken to ensure that agreements made in the workshop are clear to management, workshop participants, and technical assistance consultants in regard to the following areas:

- Make sure that all draft performance standards have been completed or that a plan is made to complete them, including reviewing for accuracy and relevance all formulas for measuring performance.
- Circulate any policy memos and action steps that might come out of the day 5 presentations.
- Set up and assist any ongoing performance standards committees or task forces.

NOTE: The design suggests the need for a task force with the responsibility for putting the organization-wide performance standards into practice by collecting the necessary data and putting the format into final form. Reviewing the process of implementation of performance standards is the first activity of the Phase III workshop.

- Help consulting trios organized on the last day of the course (a mechanism for on-the-job follow-up and for peer consulting). A reminder should be sent to each participant about this and also about what they have agreed to do to finish their performance standards.

Overview of Sessions

The review portion of the agenda is introduced on the first day of the course through the use of a case study. In the first phase, much of the skill development centered around a progressive case study about "Nihal." In this part of the case study, Nihal has attended a management course, has learned some things, and has tried them out.

Some things Nihal tried worked and others did not. The case study asks participants to think about what Nihal should have done in planning and dealing with the problems he faced. After this analysis, the session moves to a discussion of each participant's experience in trying out new management skills.

The process of reviewing and discussing skills from the first phase is continued on the second day. In addition to reviewing the principles of situational leadership, coaching, collaborative work organization, monitoring, and performance feedback, new principles related to motivation are introduced.

New themes related to developing a vision for the work unit are introduced on the third day of the workshop. Even as new material is introduced, earlier themes, such as meeting skills and communication skills (especially summarizing), are reinforced. In Phase I, the ideas of *vision* and *excellence* as they relate to the organization as a whole were discussed. In this session, the work unit is the focus. The importance of having and communicating a clear sense of the unit's mission and goals to getting results is pointed out. Performance standards are defined to measure achievement.

Two full days are devoted to providing the conceptual framework and to working on the development of unit mission statements, goals, and performance standards. Examples of performance standards used by SANEPAR (the highly regarded water and wastewater authority in Parana) in Brazil are used to stimulate thinking about the kinds of standards that could be adopted. These performance standards were developed and in use by managers at that institution when a field research team from the WASH Project visited Brazil while conducting a study of excellence in water and sanitation institutions. One of the keys to SANEPAR's success was using performance standards that the managers had developed as part of an organizational effort to monitor cost effectiveness and performance. Although some of these standards may be unique to SANEPAR, they are good examples of the kinds of performance that a modern institution needs to monitor.

Unit mission statements and performance standards are developed individually and in small groups and then presented to the large group for discussion and refinement. In discussion and review, participants are encouraged to select the most important indicators for measuring cost effectiveness, internal unit efficiency, and service to consumers.

The final day is devoted to activities designed to support "back-home" use of these tools. Work is done to form a committee that will oversee completion of unit performance standards and agree on which ones will be used to gauge organization-wide performance.

Participants are also asked to work on the issue of "how do you get your staff involved in helping to review, modify, discuss, or add to the mission statement and performance standards in a way that they will become committed to achieving them?"

Following this activity, participants complete their individual plans for how they will use what they have learned in the workshop and discuss their plans in trios. These trios stay intact over the next six months and meet regularly to support the accomplishment of individual plans.

Course Schedule

A suggested schedule for the Phase II course can be found on the chart on the following page. The Phase II workshop requires approximately 33 training hours over a five-day period. Most days are designed for six to seven hours of training. With breaks, they could easily take eight hours, exclusive of lunch. Trainers should use their judgment as to the best place to break for coffee/tea and lunch.

PHASE II WORKSHOP SCHEDULE

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
1. Introduction to Course (2 hrs.) 2. Review of Skills and Themes (4 hrs.)	3. Skill Review (6 hrs., 30 min.)	4. Developing Unit Mission/Goals (7 hrs.)	5. Defining Performance Standards (7 hrs., 30 min.)	6. Planning for Application and Follow-up (6 hrs., 15 min.)
L U N C H				
Review (continued)	Skill Review (continued)	Unit Mission/Goals (continued)	Performance Standards (continued)	Planning for Application (continued) Course Closure and Evaluation

Model Cover Letter for Precourse Materials

Date:

Dear ________:

As you know, we will be returning to _______to conduct the second Management Skills Workshop on ________. Both of us are looking forward to working with you again. We have heard through ___________ of the work that some of you have been doing as you meet in your Skill Improvement Groups and as you work individually to apply the skills you learned in the course last ________.

The Management Development program was designed to have three parts. The first workshop was held _________, the next workshop is in _____, and another workshop will be held next ________. One of the reasons that the program was broken into three parts was to provide participants with a chance to look at what happens in the real world between workshops and to give us an opportunity to talk about what makes it hard to apply new skills. It also gives us a chance to introduce some new ideas that build on the work we did last_______.

The purpose of this letter is to outline the goals of the second workshop and to ask you to do some thinking and planning in preparation for that workshop.

Goals of the Second Workshop

The overall thrust of the second workshop will be to focus on the specific issues of implementing management improvement in the work unit. The first workshop introduced the principles of management and a set of key skills useful in your institution as a whole. The focus in the second workshop will be on performance at the unit level. Specifically, the workshop will aim:

1. To strengthen the skills and understanding of the themes introduced in the first workshop, to review participant experience using those new skills over the past six months, and to discuss approaches for continuing to build management skills.

2. To focus on the management concept of "developing a vision for the work unit." This will include reviewing and defining the unit's mission and goals.

3. To develop performance standards for each work unit and a system for accountability and review of performance standards at the unit level.

4. To provide a means for planning the use of, and communicating to subordinates and others, your performance indicators.

Preparation for the Second Workshop

Enclosed in this envelope are two documents to help you prepare for the second workshop. First, there is a workbook that provides an overview of many of the key principles we discussed in the first workshop. Most of the principles were included on flipcharts and in handouts in the first workshop, but we wanted to put it all in one place for you to look at and review before the next workshop.

In the last section of the workbook is a set of questions that will help you review some of the things you learned from the first workshop and that will help you to prepare for the second workshop.

The other document is a copy of the planning worksheets that you completed at the end of the first workshop.

We would like to ask you to do three things in preparation for the next workshop:

1. Review the key principles of management from the first workshop that are outlined in the first section of the workbook. Take some time to look at your notes from the course and think about what activities you have been working on in your Skill Improvement Group.

2. Look over the planning worksheets you completed at the end of the first workshop.

3. Complete the questions in the last section of the workbook. Some of these questions are related to the last workshop and some will help you think about the issues that we will be working on in the next workshop. We will be discussing these questions with you when we hold our precourse interviews during the week before the workshop.

We were very pleased with the last workshop and the energy and effort each of you put into it. We are looking forward to working with all of you again.

Sincerely,

Management Development Program

About This Workbook

This precourse workbook has two sections. The first section provides a quick review of the key principles discussed in the first workshop. Contents of this section are as follows:

Section A

1. Role of the Manager - Vision, Values, People, Results
   Management Functions

2. Vision
   Some Key Performance Categories

3. Communication

4. Collaborative Work Organization
   Situational Leadership

5. Monitoring the Work of Others

6. Guidelines for Effective Meetings

Section B

This second section contains a number of questions and worksheets to help you review the first workshop and prepare for the second one. Please complete this section in preparation for the precourse interviews.

The Role of the Manager

- Setting an example for others/setting a tone/setting up norms for the way your staff should work.
- Doing what you say you will; being consistent between action and words.
- Assessing and understanding the people you work with.
- Working successfully with people who report to you, with your peers, and with your bosses.
- Knowing where the organization as a whole is going; participating in defining the direction.
- Seeing a picture of excellence: how it can really be.
- Knowing where you are going; knowing where your unit is going; setting agendas.
- Seeing that resources are used consistent with overall direction.

- Getting things done through people.
- Making a contribution.
- Setting Objectives
- Taking responsibility for the whole, not the parts.

Vision

In the first workshop, we provided a list of performance categories and definitions that have been used to develop standards of excellence for water authorities. We asked you to review them and select those areas that you felt should be a part of your vision for your organization. These are the major components you considered. Is your idea still the same for what you want your organization to strive towards?

1. **Organizational Autonomy:** The institution's degree of independence from the national govemment or other govenmental or regulatory bodies. Effective organizations are characterized by having the power to make decisions (with reasonable, although not unrestricted, authority) about the following important matters: budget, revenues, hiring levels, pay and incentives, control of personnel, institutional policies, planning and construction of projects, and organizational goals.

2. **Leadership:** The ability of the leaders to inspire others to understand the institution's mission, to commit themselves to that mission, and to work toward its fulfillment. An effective institution has leadership at many levels.

3. **Management and Administration:** Management is organizing people and resources to accomplish the work of the institution. Effective management is characterized by the capacity to get the most out of the human and other resources available in a planned way.

4. **Commercial Orientation:** The degree to which actions in an institution are driven by cost-effectiveness and operating efficiency. Effective institutions strive to establish a reputation as a financially well-run business with sources of financial support.

5. **Consumer Orientation:** Organizing and directing the services of the institution toward consumers. In effective institutions staff see serving consumers as their primary function.

6. **Technical Capability:** The measure of the institution's competence in conducting the technical work required to carry out the responsibilities of the institution. Technically sound institutions make good, informed, and up-to-date technical decisions and are able to balance inside expertise with cost-effective use of outside technical resources.

7. **Developing and Maintaining Staff:** Activities directed toward recruiting staff and providing them the skills to do the job and the means to grow professionally. Effective institutions believe that staff are their most important asset and find ways to provide adequate job satisfaction, wages, and benefits to retain competent personnel.

8. **Organizational Culture:** The values and norms that inform and guide the everyday actions of staff and managers. The organization with a positive culture has a clear sense of mission and identity, and the staff feel proud to work in it.

9. **Interactions with Key External Institutions:** The capacity of the institution to influence positively and strategically those institutions that affect its financial, political, and legal ability to perform. Effective institutions anticipate trends and influence external institutions rather than operate in a crisis or reactive mode.

Communication

Communication is the process of sending and receiving information between people. It is sometimes difficult to send a message clearly so that another person understands the message. There are a number of communication skills good managers have or develop.

Paraphrasing

Restating what the other person has said in your own words:

"You are saying..."
"In other words..."
"I gather that..."
"If I understood what you are saying..."

Summarizing

Summarizing is pulling important ideas, facts, or data together. It enables people to review progress and to ensure that everyone is clear about what has been said over a period of time.

"These seem to be the key ideas you have expressed..."

"If I understand you, you feel this way about the situation..."

Question Asking

Closed-ended questions result in short answers (usually "yes" or "no") and sometimes inhibit conversation.

Open-ended questions require elaboration and get people involved. HOW? WHAT? WHY? are words that begin open-ended questions.

Giving and Receiving Feedback

Feedback is the process of giving and receiving information about how one's performance is perceived. It is used to reinforce those things people should continue to do and correct those things they need to do differently in order to be more effective. Feedback is most effective when it is direct and clear, describes behavior, is given in a way that people can understand and not feel defensive about, and is part of an agreement about performance (and not personal).

Collaborative Work Organization

Collaborative Work Organization (CWO) is the management activity we carry out when we work with others to develop and/or gain agreement on goals, outline tasks necessary to achieve those goals, identify progress checkpoints, delegate authority, assign resources, and agree on a monitoring process.

Things to think about in preparing for the Collaborative Work Organization conversation:

***What* do I want to have done?**

- How does this job fit with a larger vision, with longer range work planning, and with overall unit goals?
- Am I clear in my own mind about what I want to have done?
- What tasks are involved? How should the job be broken into parts?
- What kind of authority for decision making and problem solving should be delegated?

***Who* should do it?**

- Who is the best person to carry out this task (strengths and weaknesses)?
- Who has the necessary time to carry out this job? How do different people's workloads look? What else could conflict with carrying out this task?
- Should I ask someone to do it who is not fully able to do the task now but needs to develop new skills?
- Should I set up a team or ask people to work together on this job?

***When* does it need to be done?**

- What are the deadlines?
- How should we plan for the unexpected?
- What are the deadlines for the intermediate tasks involved?

***How* should I communicate this responsibility to the person I have chosen?**

Steps to take when carrying out the CWO conversation:

1. Set the climate, give some background.
2. State what the task is.
3. Say why you have chosen the person and the reasons and benefits of doing the job.
4. Ask for input, ideas, and questions. Gain the person's understanding and agreement.
5. Be clear about next steps, especially the amount of authority you are delelgating. Remember the five levels of delegation:
    - Wait until you are told what to do.
    - Ask what to do.
    - Make a recommendation, and then take action based on response.

- Take action based on your own judgment, but advise at once.
- Take action on your own, and routinely report.

6. Closing remarks

Situational Leadership

Effective managers know how to match the way they lead with the relative experience and need for structure of their followers. They change their style as needed with the ultimate goal of developing increasing levels of maturity in their followers.

Task: What task do I want this person to carry out?

Level of Performance Expected: How well does the work need to be done?

Follower: Does the individual have the necessary knowledge and skills (ability) along with the confidence and motivation (willingness) to perform at the desired level?

	Fully able and willing	Able, but unwilling or lacks confidence	Not fully able, but willing	Unable and unwilling or insecure

Follower Maturity high--low

Leader Behavior delegates more---delegates less

interacts less---interacts more

Monitoring the Work of Others

Good Monitoring Is...

... built on the collaborative work conversation, is not a surprise. It's tied to performance.

... a two-way street. You're open to be checked with, as well as to be the checker.

... regular, consistent, and timely.

... consistent with your decision about leadership style.

... focused on more than "when?" Deadlines are easy to monitor, quality is more difficult.

... a help, a time to listen and make suggestions.

... positive, not just finding fault.

... done using a good manner of speaking and a relaxed approach. It is done within a climate of respect.

Things to keep in mind as you plan to carry out monitoring:

- What do you want/need to know?

  -- Indicators of satisfactory work
  -- Your need for reassurance
  -- Others' needs for information/reassurance

- How will you find out?

- When will you find out?

- How and when will you discuss your approach to monitoring with the other person?

Guidelines for Effective Meetings

Before the meeting:

- Determine the purpose in advance.

- Let people know what kind of meeting this is.

- Determine a preliminary agenda--

  -- Identify most difficult and time consuming.
  -- Separate action items from information items.
  -- Determine the time necessary for each item; write it down after each item.
  -- Let people know in advance if they need to do any preparation.
  -- Make arrangements for space.
  -- Arrange for someone to take notes.

During the meeting:

- Always use an agenda--

  -- Make the agenda visible to all.
  -- First order of business is to review the agenda, add items as necessary.

- Keep people on track--stick to the agenda.

  -- The purpose of having a chairperson is to "direct traffic," not to do all the talking.
  -- Keep things moving; sometimes you have to cut people off.
  -- Draw people out.

- Make problem solving productive:

  -- Use listening and paraphrasing skills.
  -- Find out what the problem is before deciding on a solution.

- -- Separate out facts from opinion.
- -- Make sure there is general agreement by those affected by the problem before deciding what to do.
- -- When an agreement is reached, summarize!

- Keep a separate recording sheet for action items agreed to.

After the meeting:

- Distribute the minutes *soon.*

- Follow up! Hold individual meetings with people as necessary. Keep your commitments.

Questions to Ask Yourself As You Manage

- How are others seeing you now in terms of the functions of a manager?

- Have you been using the guidleines for effective meetings? Which one is the most difficult to apply?

Introduction to Course

Total Time: 2 hours

Goals

1. To recall the concepts presented in the last workshop.
2. To examine the prework and the review concepts contained in the Precourse Workbook sent out after the last course.
3. To reflect on the results of on-the-job application of management skills and the interview data gathered prior to this workshop.
4. To recapture some of the spirit of the first workshop.

Overview

This first session serves to reacquaint the group with where the first workshop left off and to preview the themes, goals, and agenda of the second workshop. An introductory exercise provides time for reflection on the difficulties and successes in skill application over the past few months. This is followed by presentation of the goals, schedule, and themes of the second workshop.

Procedures

1. Introductions *20 minutes*

Welcome the group. Ask each person to present himself or herself to the group and to state one thing they are hoping to get out of this second workshop. Trainers should describe what they are hoping will result from this second workshop. State the goals of this session.

2. Energizer/Connector *50 minutes*

Ask the group to reflect back to the end of the last workshop. Ask them to find one word that describes how they felt at the end of the workshop. Elicit one-word descriptors from the group. Then ask the group to spend some time thinking and making notes for themselves on these two questions:

- What was your greatest success during the past six months as a result of something you tried to do to apply management concepts and skills?
- What is one thing you would like to improve or strengthen based upon your experience of the past six months?

After a few minutes, ask them to discuss their responses with one other person for 10 minutes.

Poll the group, eliciting responses on these questions. Discuss. Relate areas of difficulty to the review process that will take place today and tomorrow.

3. Results of the Interviews *30 minutes*

Discuss: "We have talked to many of you before this workshop and here's some of what you're saying."

- Review interview data and tie to expectations for this course.

4. Goals/Schedule of This Workshop *20 minutes*

Review the course goals and the themes of this workshop (Handout 1-1).

Review the schedule (Handout 1-2).

Materials

Flipcharts

Step 1 - Session goals
Step 2 - Two questions; group reflection task
Step 3 - Interview results summarized and bulleted
Step 4 - Course goals; course schedule; course themes

Handouts

1-1 Course Goals and Themes
1-2 Course Schedule (from Phase II Overview)

Review of Skills and Themes in Last Course

Total Time: 4 hours

Goals

1. To provide opportunity to revisit the major themes of the first course and discuss the successes and difficulties of creating management improvements on the job.

2. To examine the obstacles to changing and improving management within the organizational context.

Overview

This session uses a case study that is constructed around the fact that our hero, Nihal, attended a management skills course about six months ago; he learned some things and tried them out; some worked, some did not. The case study asks the participants to think about what Nihal should have done in planning to use the skills he learned. It also asks, given the problems that Nihal faced, what he could have done to avoid those mistakes and/or to correct them.

After the case study, the session moves to an examination of each person's plan for trying out new ideas and skills in management improvement (Handout 13-1, which was completed at the end of Phase I and a copy of which was to be sent to participants with Precourse Workbook). This provides a chance to revisit many of the themes of the past course and provides the opportunity to continue to reinforce the idea that the participants themselves are responsible for improving the organization and its management.

Procedures

1. Session Introduction *10 minutes*

Provide a linkage to management functions. In the last course, 10 specific functions were listed that good managers carried out. We are going to review these in the context of a case study.

State the goals of the session.

Distribute background to the case study (Handout 2-1) and give participants about five minutes to read it. Remind the group of the case from the last workshop and tell them this case study is a continuation of the story of Nihal.

2. Reading the Case Study *30 minutes*

Distribute the full case study (Handout 2-2). Ask the group to read it, individually think through the questions that appear at the end of the case study, and write the answers to the questions.

3. Small Group Discussion Task *50 minutes*

Form four small groups and give them the following discussion task:

- Discuss the case study questions and be prepared to present your answers to the full group.

4. Report Outs and Discussion *60 minutes*

Go over the questions in the case study with the full group. Focus on the theme of vision/goals, individual responsibility for difficult problems, needing a standard for measuring performance, and putting vision into practice.

Some typical questions to ask are the following:

- Do you think Nihal was able to communicate a clear vision of what he wanted his work group to do differently?

- How clear was Nihal in describing what work programs and goals were expected of his work unit?

- How would Nihal know if he succeeded or not?

5. Analysis of Individual Efforts *50 minutes*

Ask the participants to form consulting trios. "Let's look now at your own situations. Each of you left the last course with a plan for trying out improvements in your work, just as Nihal did."

Ask the trios to complete this task:

Explain to your trio:

- What you had wanted to accomplish (use your end-of-course planning sheet).
- What happened.
- What you intend to continue to do (because it is successful).
- What you could have done differently.

Before forming the trios, you may want to give each person 10 minutes of quiet time to prepare.

6. Full Group Discussion *30 minutes*

Based upon the trio discussions, query the group about the constraints they experienced in trying to achieve managerial change. First, conduct a full group discussion, sampling discussion items from the trios. After sampling, ask the following discussion questions:

- What are the constraints you experienced in trying to achieve managerial change?
- How can we (you, the group) overcome them?
- To what extent do you control the actions and decisions for management improvement?

7. Conclusions *10 minutes*

Review the goals of the session. Link to the next day and close this session.

Materials

Flipcharts

Step 1 - Session goals
Step 3 - Small group discussion task
Step 5 - Trio instructions

Handouts

2-1 Case Study Background
2-2 Case Study Part One

Skill Review

Total Time: 6 hours, 30 minutes

Goals

1. To review the overall framework of the management process addressed in this course.
2. To review concepts and skills specifically related to situational leadership and feedback.
3. To introduce new ideas and skills, including coaching and motivation, and relate them to the management concepts of situational leadership, delegation, and collaboration.

Overview

This session will start the second day; it continues all day. An alternative design for this session can be structured by the trainers on the basis of the interview data. The suggested design presented here uses a "critical incident approach." If the situations presented are appropriate, only slight design changes need be made. If not, the trainers may wish to write new critical incidents, but use a similar training format.

The intent of this session is to review skills and concepts learned during the first workshop that may have been difficult to implement. It will also help to ensure that participants are as clear as they can be about key concepts. Areas to focus on in this review should derive from experiences tried out by the participants on the job that "didn't work." It is important (as indicated in the introductory material to Phase II) to find out what didn't work and to make those areas the basis for skill review.

Procedures

1. Introduction/Linkage *10 minutes*

Based upon the prior session, "what happened to Nihal," review those things he could have done differently:

- What could have made it work better for him?
- What about your own situation?

Quickly list on a flipchart those things the group wishes to improve. This would include areas of confusion, problems, and needs. Add material that emerged from the interviews as well (such as vision, lack of support from bosses, etc.). Review the list and indicate those areas that can/will be addressed in this workshop.

The following exercise should set a review framework, and at the same time connect to the skill practice segments that follow. If there are areas that will be treated in subsequent days (such as unit vision), explain when they will be addressed.

Make a transition to the session today. Review the session goals. Tell the group that a series of management problems surfaced in the preworkshop interviews. These situations included managers dealing with problems by attempting to apply such concepts and skills as situational leadership, delegation, collaborative work organization, and monitoring. Experience has demonstrated that it is not always easy to apply these skills. Many managers have asked how to apply management training skills on the job and achieve positive results.

Explain to the group that some situations have been selected from the interviews that are typical managerial problems. The session will use them to help in the application of these management concepts.

2. Lecturette on Management Framework *30 minutes*

"Before considering these situations, let's look at the overall framework we presented in the last workshop."

Explain the framework of management using the following notes (Handout 3-1).

Management Concepts and Actions

Management Concept	Actions Managers Take
Vision	Communicate a sense of direction to subordinates.
	Know what the goals and mission of the unit are.
	Provide a work agenda.
	Know how to organize the unit to get the best results and have an organizational, as well as a programmatic, sense of direction.

Management Concept	Actions Managers Take
Goal & Priority Setting	Have a clear vision; knowing where one wants to go leads to being able to set goals and to having a sense of priorities.
Collaborative Work Organization (CWO)	Have a sense of how to get the work unit to do the most important tasks. Develop work programs with staff. With a sense of clear direction in mind, managers know that they must plan work with staff using their best communication skills. Use collaboration to increase staff commitment to goals and the work and to get the best out of them.
Situational Leadership	In CWO, try to match the task to the skills and experience of staff. Be aware of how closely or loosely to supervise. Be aware that you are trying to develop staff by increasing responsibility.
Delegation	Use delegation to develop staff and also get the work done efficiently. Delegate work to enable yourself to focus on important things, such as developing vision, planning ahead, representing the work unit.
Monitoring	Follow-up appropriately to ensure tasks are completed correctly and as agreed in work planning sessions. Have a thoughtful plan for following up; don't wait until a crisis occurs to monitor.
Feedback	Use monitoring situations to let staff know how they are doing in both positive and corrective ways.
Communication Skills	Know how to say clearly what is needed; know when and how to be persuasive, when and how to listen; be able to clarify tasks using paraphrasing skills; summarize at appropriate times in meetings, and make sure subordinates and others are clear about expectations.
Results	Hold staff accountable for results. Know how to measure results. By using all of the above management concepts, managers are able to get good performance out of the work unit.
Values	Act and talk consistently; set a good example and a positive tone at work; provide leadership, by being worthy of trust.
People	Understand that it is a manager's job to work with people to get the job done; value staff as a positive asset worth investing time and resources in to develop. Be clear that all management processes work to get people to do the right things on the job

3. Introduction to Critical Incidents *10 minutes*

Transition: "Now that we have reminded you of the basic framework, let's consider some areas that you said you had difficulty with."

Discuss those problem areas selected for review. NOTE: The following four problems were found to be common in the pilot test; trainers may decide to use these or substitute others.

- How do you get staff to take the initiative?
- How do you develop confidence in your staff so you can delegate to them?
- How do you get staff to agree with the manager and become committed and motivated to do a job?
- How does a manager give criticism without offending?

4. Situational Leadership: Critical Incidents 1 and 2 *2 hours*

The first critical incident presents a situation in which a work crew is faced with an emergency repair job. The work crew demonstrates that it is very dependent on the boss to tell them everything to do. It is obvious that the manager had never delegated nor developed staff to handle such situations. Yet the manager is also frustrated because he must think for everyone else, has too much responsibility thrust on him, and gets little help from his staff.

The second critical incident requires a delegation decision on writing a report. It requires an analysis of the situation and gets at the question of developing confidence in staff.

The questions at the end of both critical incidents require an analysis related to understanding follower maturity and situational leadership. The trainer should be prepared to relate the discussion to the situational leadership framework. Review material on situational leadership is presented in the precourse materials. Additionally, the situational leadership framework is used to introduce the skills of *coaching*. This is presented as a particular strategy for staff development.

4.1 Critical Incidents 1 and 2 *20 minutes*

Distribute "Critical Incident 1, Taking the Initiative" and "Critical Incident 2, When Do I Do the Work Myself?" (Handouts 3-2 and 3-3).

Divide the group into four small groups. Give one critical incident to two groups and one to the other two. Give them 15 minutes to read the critical incidents individually.

4.2 Discussion in Groups *35 minutes*

Give the following task to the small groups:

- Discuss the incident and answer the questions listed at the end.
- Be prepared to present your analysis to the full group.

4.3 Full Group Discussion *35 minutes*

Conduct a full group discussion. Ask each group for its analysis of the questions presented at the end of the situations. Discuss the first critical incident and then the second.

Critical Incident 1

- How can this manager get his staff to take more initiative?
- What is the follower maturity of this work crew?
- What is the appropriate leadership style for the manager in this case?
- What specific steps should the manager take to increase the ability of the staff to think for themselves?

Critical Incident 2

- What should the manager do to develop more confidence in his staff?
- How did you assess the job maturity level required for the task?
- What leadership style will develop staff confidence and which one would you use in this situation?
- What kind of actions should the manager take to carry out this style?

As these discussions take place, be prepared to explain the four quadrants in the situational leadership framework with respect to follower maturity (4--willing and able, 3--able but less willing, 2--less able but willing, 1--not able and not willing). Refer to material from the first workshop (Session 8) and again summarized in the precourse materials.

One point to make is that as long as the manager takes it upon himself to do the work, staff will not develop the skills to do it nor take responsibility for it. In the case example, the manager did not develop confidence in his staff and was not able to count on them to make decisions in his absence because he did not develop them to increasing levels of maturity. He treated them in a constant quadrant 1 style, or, worse, did their job himself.

Another point to make is that it is the responsibility of the manager to develop his staff to increasing levels of responsibility. One way to do this is by transferring skills through on-the-job training or coaching. Ask the group: how many of you have trained your staff to do their jobs? How did you do it?

Lead into a brief lecturette on coaching.

4.4 Lecturette on Coaching *30 minutes*

The following are key points to be made in the lecturette:

- One of the ways a manager can develop confidence in staff is to train them to increasing levels of responsibility. Every manager must be a trainer and coach if he or she is going to have a strong team.

- Coaching is a particular strategy for helping staff learn in a situation in which the supervisor is there to watch. It is a quadrant 1 technique.

- Coaching is a way to change behavior. As a strategy, it has some very clearly defined steps.

How Do You Coach?

- **Pinpoint** or define the behavior that should be changed or improved.

- **Describe** the behavior you want; tell them that you want them to do something differently, but don't criticize.

- **Show** them how to do it (demonstrate).

- **Discuss** the demonstration--get them to tell you what they saw you doing.

- Let them **try to do it** while you watch. Stop and correct them as needed.

- **Discuss** with them how they performed in practice; correct any mistakes, praise them for doing it right.

- **Repeat** last two steps until the skill is mastered. Give more freedom and responsibility as performance improves.

5. Motivation *1 hour, 30 minutes*

The next part of the skill review covers some previously introduced material on collaboration and some additional material on motivation. The procedures consist of an introductory lecturette, followed by a skill practice exercise using critical incident 3. This exercise requires using communication skills and collaboration skills (the previous material) to try to motivate staff to take on more responsibility. It is a collaborative work organization meeting. But the underlying theme is motivation of staff: What motivates people to do things?

The session begins with a brief lecturette on practical motivation. This is followed by asking people to role play a critical incident in front of the group and then analyzing it.

5.1 Lecturette on Basic Principles of Motivation *20 minutes*

One question frequently asked is, How do you get staff to agree with the manager and become committed and motivated to do a job?

"Before considering another critical incident, let's talk a little about some basic principles of motivation."

- Motivation answers the basic question, Why do people do what they do?

- "Why do you work hard, put in more hours than many of your staff?"

Elicit answers from the group (e.g., because it's fun, we like it, it makes us feel important, etc.).

Continue the lecturette.

- Most people work hard because

  -- they like the work
  -- they like the responsibility
  -- they like to be recognized for doing a good job
  -- it's fun
  -- it's challenging.

Ask the group if these are some of the reasons why they work. It is important to remind them that if these are the reasons why they work hard, the people who work for them will also respond to the same motivation.

NOTE: The trainer may wish to mention some motivation theory and findings from Hertzberg, Maslow, and others, for example, money and good work conditions are not in themselves motivators, but they hinder productivity when lacking. The trainer should avoid complicating this session with a lot of motivation theory, however. The session is designed very practically and need not be overly complicated.

5.2 Lecturette on How to Motivate Staff *20 minutes*

Use a flipchart to make the following points (these talking points are contained in Handout 3-4):

Basic Principles on Motivating Staff

- People do things, usually, for good reasons. There is always something behind the way people act. It is the job of the manager to find out what that is. Ask staff. Talk with them.

- Rewarding people for doing a good job is a powerful incentive for them to continue to do well. Telling them is a reward in itself. Telling people when they do things right is as, or more, important than correcting them.

- Everybody wants to feel important. People appreciate it when you take the time to

  -- find out about them
  -- walk in their shoes
  -- take their needs into account.

- Giving people the opportunity to be heard, to contribute ideas, to own a piece of the work will motivate them, and it will make you look better as a manager because your unit will perform better.

- People need to see that there is "someplace to go." Help your people move up. Give them a chance when you can.

5.3 Practice Session Using Critical Incident 3 *40 minutes*

Distribute "Critical Incident 3" (Handout 3-5). Assign the following individual task:

- Read the incident.
- Design a strategy for convincing the staff using the principles of motivation listed in the previous discussion.
- Be prepared to meet with the three individuals in 15 minutes.

When the group is prepared, ask for three volunteers to role play the part of the three staff members; ask another to play the supervisor.

Conduct this critical incident role play in front of the group. Give the role play a few minutes to play out. Feel free to halt the action at any moment with the following questions:

- What is going on right now?
- How would you do it differently?

Try to get three or four individuals to be the supervisor in turn.

At the end of the role play, ask the group questions relating to the use of communication skills and motivation:

- How convincing was the supervisor?
- What underlying principles of motivation was he or she using to enlist the staff in taking on more responsibility?

5.4 Generalizing *10 minutes*

Close the discussion by drawing out some principles from the role play on the importance of collaborating with staff in decisions that affect them and using guiding principles of motivation in that process.

- Why does involvement increase motivation?

6. Giving Corrective Feedback *2 hours*

This exercise enables the group to practice correcting an employee by giving corrective feedback. It is used because it relates to the issue of performance and many managers find it difficult to correct a subordinate in a way that is not seen as being negative. The trainer should be prepared to review the principles of providing performance feedback discussed in the first workshop (Session 10).

6.1 Introduction *30 minutes*

Lead into the session by referring to the interview data in which managers have said it is difficult to discipline staff and correct behavior.

Tell the group a situation has been selected for work in trios to practice giving corrective feedback. First, review the relationship between monitoring and feedback and their purposes.

Monitoring

- In order to monitor work, the manager must first clearly state what is expected of the subordinate.
- The manager must then follow up at agreed times to ensure the work is carried out right.

Performance Feedback

- Information the manager gives to the subordinate about how the work is being done. Feedback is used to help the employee continue to do the things that are correct and to change the things that are not correct through constructive means.

Ask the group to help you list some ways that one can correct behavior without being critical or negative; brainstorm this list in front of the group and discuss.

6.2 Role Play in Trios *1 hour*

Ask the group to divide into trios.

Explain the structure of the role play: A situation in which a supervisor is trying to correct a subordinate without being overly critical.

Roles

- The supervisor: gives corrective feedback.
- The subordinate: receives the feedback.
- The observer: takes notes and gives reactions after the role play.
- After the role play, the observer leads a discussion in the trio on what took place, discussing how effectively it was done.
- Switch roles and go through another round.
- Repeat until everyone has a turn at each role.
- Each round should take 20 minutes.

Distribute the situation sheet (Handout 3-6) and briefing sheet (Handout 3-7) for critical incident 4. Assign this individual task:

- Read the situation.
- Decide how you would handle it.

Then begin the first role play in the trio.

6.3 Generalizing *30 minutes*

Bring the full group back together and discuss the role plays. The following questions can be used:

- What examples did you see of effectively given (or persuasive) feedback?
- Why was it effective?
- What did you learn about correcting staff?

7. Closure *10 minutes*

Bring the work of the day to a close by making observations on the work accomplished during the day and reviewing major points of learning.

Review the session goals.

Preview the schedule for the next day: "We will begin to focus on how to improve work unit performance and start to develop unit mission and goal statements."

Materials

Flipcharts

Step 1 - Goals of the session
Step 2 - Explaining the management framework
Step 3 - Questions to address in critical incidents
Step 4.1 - Task instruction for critical incidents 1 and 2
Step 4.2 - Small group task
Step 4.3 - Situational leadership quadrant diagram with follower maturity scale across the bottom (from Phase I, Session 8)
Step 4.4 - Lecturette: How do you coach?
Step 5.1 - Why people work hard
Step 5.2 - Lecturette notes on motivation
Step 5.3 - Task instruction for critical incident 3
Step 6.1 - Description of monitoring and feedback
Step 6.2 - Task instruction for critical incident 4

Handouts

3-1 Management Concepts and Actions
3-2 Critical Incident 1
3-3 Critical Incident 2
3-4 Staff Motivation
3-5 Critical Incident 3
3-6 Critical Incident 4, Situation Sheet
3-7 Critical Incident 4, Briefing Sheet

Developing Unit Mission and Goals

Total Time: 7 hours

Goals

1. To develop an understanding of the unit's mission in the organization.
2. To clarify and specify what the operational goals of the unit are for the next year.

Overview

The focus now is directly on the work unit. You are introducing the new themes of the workshop. The process is, first, to link the idea of overall vision for a water authority, established in the first course, to a narrower sense of vision that a manager needs in his or her work unit. To do this, you will have to define, again, what vision is and what was meant the first time. Then, the process is to link the notion of vision to the practical application of getting results in the unit by having a clear sense of the unit's mission (purpose), goals, and (eventually) performance measures (outputs). The session that follows this one is on defining performance measures. The linkage here is that when managers have a clear sense of the unit's mission and goals, they also need a way to measure results. This session begins the major theme of a series of related concepts: unit mission, developing performance indicators, and measuring unit performance.

Procedures

1. Introduction *15 minutes*

Linkages: In the first course, vision was defined as "having and communicating a clear idea of where the organization and the unit are going consistent with the overall mission of the organization." We said that vision was--

- Knowing where we are all going as an organization; participating in defining the direction.
- Seeing a picture of excellence: how it can really be.
- Knowing where you are going; knowing where your unit is going; setting agendas.
- Seeing that resources are used consistently with overall direction.

In the first course, the priority for the water authority was as follows. (This is an example from the pilot test. It should be modified as appropriate.)

The water authority should be--

- consumer oriented
- cost effective
- increasingly autonomous
- supportive of staff development and staff incentives.

Ask the group if that vision is still what they want it to be.

2. Session Goals *10 minutes*

Linkage to session goals: The overall process of the next two days will be to work at the unit level to achieve the following goals (provide a flipchart of the goals).

3. Lecturette on Setting the Context for the Linkages *30 minutes*

"You will recall in the first course that we had a flowchart to indicate how the idea of vision was linked to the day-to-day performance of the work unit" (Linkage Chart 1):

Vision of Organization

↓

Priorities (Goals) for Organization

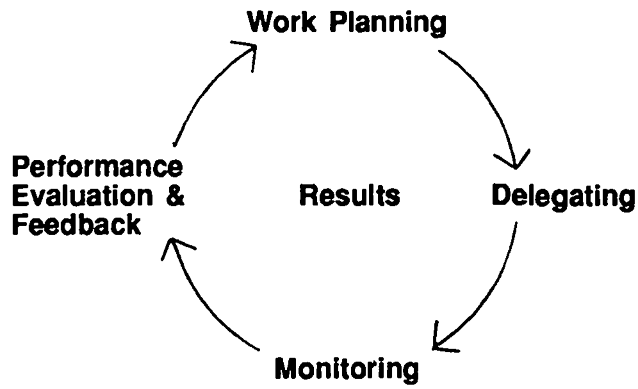
↓

Goals for the Unit

↓

Specific Operational Objectives for Work Unit

Collaborative Work Planning Cycle



"Notice that we have added the word *results* to the center of the CWO cycle. If managers have a clear vision and can translate that into getting the staff to work with them to plan and carry out work, they will get results."

Explain that in the session today and tomorrow, some time will be spent focusing on individual work units. Participants will be asked to state their own vision of their work units. "We want to give you an opportunity to consider what the mission of your work unit is in relation to other units. We believe that the mission of your unit should relate directly to your vision for your unit."

On a flipchart build the following graphic in stages (Linkage Chart 2):

VISION----linked to--MISSION

"Now let's look more specifically at your unit's vision and link that vision to the goals you are pursuing for this year in your unit."

Draw a line down and add on to the flipchart:

VISION---------------->MISSION

Leads to

↓

GOALS

"Consider this question: How do I measure or know if my unit is performing the way I want it to? The way you know if you are achieving *results* is to have a standard for assessing the performance of your unit." Add on to previous flipchart:

VISION-------------------MISSION

GOALS

PERFORMANCE STANDARDS

"Finally, we want you to compare your performance standards with those of other units in the organization and understand them. You may even gain insight into you own unit and the organization as a whole by doing this."

"Additionally, if all units have a clear sense of where they are going and how they will measure their performance, the entire organization will have a clear sense of itself as a whole, or a vision of the organization."

Use the flipchart to explain the relationship between the individual unit and the overall organization:

INDIVIDUAL UNITS<---------<>--------->ENTIRE ORGANIZATION

Clear Vision	<>	Organizational Direction
Clear Purpose	<>	Organizational Purpose
Clear Goals	<>	Organizational Agenda
Performance Indicators	<>	Organizational Accountability for Results & Management Information System

RESULTS IN UNIT------------<>---------RESULTS FOR WATER AUTHORITY

4. Defining the Unit Mission

2 hours, 40 minutes

4.1 Introduction

20 minutes

Refer to previous flipchart and circle mission.

"What do we mean by the purpose or mission of your unit?" Take examples from the group. Take one unit as an example and ask the participant to give you a mission statement. Write it on a flipchart or use the following as an example:

Mission Statement of the Commercial Unit: To ensure that both the interests of the consumer and the water authority are served through increasing new connections, providing new connections in a minimum time upon the request of new clients, and doing timely and accurate billings and collections.

Analyze the above statement and decide why it is a statement of unit mission: for example, it is clear, it tells anybody who wants to know what the unit does, it relates the unit's functions to the whole organization.

4.2 Individual/Unit Task *30 minutes*

Clarify what a statement of mission is, if necessary, and then give the group the following task:

- Form unit groupings: (e.g., regional O&M, commercial). If individuals each represent a unit, they may work alone.
- Write a statement of your unit's mission

4.3 Small Group Sharing *30 minutes*

Form pairs of unit groupings and give the following task:

- Share and critique each other's mission statement.
- Improve the statements.
- Write them on flipcharts for presentation.
- Complete in 30 minutes.

4.4 Presentation/Milling *20 minutes*

Post all the mission statements on a large wall. Ask the group to mill around and read them.

4.5 Presentation/Questions *60 minutes*

Ask each group to present its statement. Facilitate any questions and answers (to manage possible defensiveness). The input of the other groups should be solicited. The presenters may wish to negotiate with the group on how they see their unit functioning in relation to other units. Consensus should be sought in this process. After each presentation, the presenting group should make modifications as needed.

5. Defining Unit Goals *3 hours, 10 minutes*

5.1 Lecturette on Linkage/Definition of Goals *30 minutes*

Refer to the previous flipchart on linkages, point out goals, and how they link to vision and mission.

Put this definition of goals on a flipchart:

A goal can be thought of as an intention to accomplish something.

For example, by the end of this year, the stores and supplies unit plans to have accomplished the following goals:

- Install a computerized system for all warehousing and supply ordering (related to performance improvement).
- Design new forms for tracking equipment and material.

- Set up new supply contracts for five recurring supplies.
- Design a new storage layout and clean out all supplies over five years old.
- Reduce the time it takes to process requisitions.

Discuss the above goals as examples. Make the following points:

- Goals should be consistent with overall vision and mission.
- Goals are the manager's "working agenda" of what he wants to accomplish within a given year. They need not be quantifiable (at this point). Later on, when you look at performance measures, you can add in measurable elements.
- Some goals are programmatic (related to a project); others are organizational (related to improving the performance of the unit or meeting a standard set for employee performance).

5.2 Individual Unit Exercise *35 minutes*

The following exercise is to develop unit goals. Form unit groupings, as before. If individuals each represent a unit, they may work alone.

Task: Write on a flipchart what you want to accomplish in your work unit in the next year. Separate the programmatic (P) from the organizational (O) goals.

Example: Reduce the time it takes to get work done (O).

Example: Let five contracts for new works (P).

5.3 Small Group Sharing/Critique *35 minutes*

Ask the group to pair up or form small groups across units and give the following task:

- Review each unit's goals and critique.
- Modify as needed.
- Prepare to present your unit's goals to full group.

5.4 Presentation to Full Group *1 hour, 30 minutes*

Ask each individual or unit to present its goals briefly; review for clarity.

6. Wrap-up *15 minutes*

"What are the important things that have come out of this exercise?"

"What are the implications for the organization of this exercise?"

Link to the next session on performance standards. Tell the group that the next session will build on this session and include a task for developing ways to measure the accomplishment of goals, particularly organizational and performance-related goals.

Materials

Flipcharts

Step 1	- Definition of vision
Step 2	- Goals of the session
Step 3	- Linkage chart 1
	- Linkage chart 2
	- Relationship between individual unit and the entire organization
Step 4.1	- Sample mission statement
Step 4.2	- Task instruction to write mission statements
Step 4.3	- Task instruction for small group sharing
Step 5.1	- Definition and examples of goal statements
Step 5.2	- Task instruction to write goals

Defining Performance Standards

Total Time: 7 hours, 30 minutes

Goals

1. To define performance standards and performance measures.
2. To learn and practice skills in designing and writing performance standards and performance measures.
3. To develop a draft set of measures for managers to use to monitor their unit's performance.

Overview

This session is a continuation of the focus on work unit performance. In the prior session, a mission statement (purpose) was defined by managers for their work units. This was followed by setting working goals or targets for the next year. Some of the goals were programmatic or technical targets; others were organizationally or procedurally oriented. In this session, the concept of how to develop standards and measures to monitor performance of the work unit is explained. Draft performance standards and measures are developed. This session is based on demonstration and practice. Standards and measures are first developed in small groups and then reviewed by the full group and (perhaps) the manager of the water authority in open session.

Involving top-level management (such as the general manager) in this exercise serves to bring legitimacy to the process and also has the added benefit of strengthening overall understanding in the organization. This session involves a great deal of work. If it is completed in one continuous day, it will take more than eight hours, including breaks. The trainers may wish to be somewhat flexible with the time if the group gets stuck at any point.

Procedures

1. Introduction and Linkage *15 minutes*

Set the topic for the day with introductory remarks that review where the group left off the day before. One way to do this is to go back to the master flowchart that demonstrates the sequence and connections from vision to results.

Explain the goals of the session.

2. Define Performance Standards *30 minutes*

Explain that performance standards are one way of taking a manager's goals and translating them into targets or expectations for performance. Performance standards and their corresponding measures can be conceptualized as a way to define a desired level of achievement and tell whether it has been met. It is important for managers to know where they are going and to be able to tell whether they have arrived. Performance standards and the measures that accompany them answer the following question:

- If you know where you want to go, how will you know if you have gotten there?

Ask the group to consider how they currently measure achievements.

- What formal measures exist (e.g., reports on new connections)?
- What informal measures (e.g., noticing the number of new customers standing in line waiting to have their paperwork processed, conversations in the halls, etc.)?

Use a flipchart to present these definitions and examples:

- A performance standard is a target or norm to achieve.
- A performance standard when measured indicates the level of accomplishment one strives to meet.
- Examples:
  - -- 98% satisfied customers
  - -- All complaints attended to within 48 hours

Additional comments:

- Performance standards can be both qualitative and quantitative. For example, customer satisfaction standards might be set at "fewer than 10 complaints per 10,000 customers." This performance may be measured by "number of complaints made per month," but the standard sought is *quality*.
- An example of a quantitative performance standard (or target) would be keeping overhead costs to less than $50 per month per customer. The measure would be total administrative costs per month as a ratio of total customers served. This standard relates to a desire for cost effectiveness and although it may relate to quality, it is essentially a quantitative target.

Here are a few more examples:

Indicator	Formula	Rationale
Ratio of staff to customers	No. of employees per 1,000 connections	Indicator of efficiency and cost effectiveness
Kilometers per trip week	No. of kilometers divided by no. of service calls	Measures efficiency in routing

Clarify what is meant by

- indicator --what one is going to measure.
- formula --the way the measurement is calculated and expressed as management data: percentage, frequency, amount
- rationale -- what the indicator means to a manager in terms of a standard, e.g., cost effectiveness.

3. Comparing Examples of Performance Standards *40 minutes*

To further the group's understanding, give them the examples of performance standards and indicators developed by a water authority in southern Brazil. Explain that these performance indicators were developed by the managers of SANEPAR and collected as examples of management excellence in water authorities when the WASH project conducted a study to determine what factors distinguished successful water authorities. One factor was that managers were effective in using performance standards.

Distribute Handout 5-1 and give the group 15 to 20 minutes to read it.

Ask the group if the examples are clear. Do the three elements "what" (indicator), "how to measure" (formula), and "reason for selection" (rationale) make sense in the examples presented?

Then ask the following questions:

- How does one decide what to measure or the standard to set?
- How does one then select the indicator and design the formula?

"For example, what reasons would the managers at SANEPAR give to explain their selections?"

- Which ones should you select?

4. Individual/Unit Task *30 minutes*

This task is completed by work units. The trainer may, for example, group all of the operations and maintenance staff together, all the financial, etc. Some people will probably work alone. The trainer may wish to let them work independently or group them in some other way so that a natural consultation process can take place.

Give the group the following individual/unit task:

- Make a list of all of the performance areas (indicators) you wish to monitor in your unit (possible standards).
- Use the sample indicators as appropriate.
- Take 25 minutes.

Here are some hints to help the group accomplish this task:

- Don't worry yet about how you will measure the indicators. Just focus on what it is you want to be held accountable for and want to know about in terms of performance in your work unit.
- Consider a variety of factors: cost effectiveness, internal unit efficiency, and service to consumers.
- Consider the levels you want to look at:
  - -- For reporting to the top--Overall output indicators that I should show my boss or other units: What do they need to know?
  - -- For your own monitoring--e.g., progress markers for projects. Quality standards.
- Ask yourself; What do I need to know on a regular basis to ensure that I am meeting the goals I have set?

5. Presenting and Selecting *1 hour*

Form four small groups. Within the small group, ask each unit to present its performance areas for review.

The group should ask these questions of each other:

- Is this area important to monitor as an indicator of performance? Why?
- Has the manager selected a sufficient cross section of performance areas, e.g., internal efficiency, cost effectiveness, service to consumers or the organization?
- Will monitoring performance in this area give the manager information that is truly useful?

6. Developing Measures *1 hour*

Return to individual/units and complete the task of developing performance measures to correspond to the performance areas listed in the previous step.

Give the group the following task:

- Develop a formula and a rationale for each item selected.
- Put on flipchart for presentation and review.

7. Presentations/Critique *1 hour, 30 minutes*

Each person/group presents to the full group (all the flipcharts from the groups should be posted around or in front of the room). The presenter receives feedback and makes notes about modifications. After the session, individuals are instructed to make the changes needed, then to hand in their work so that it can be typed up and distributed to the full group. NOTE: Some of the formulas used may not really work or measure as intended. The trainer may have to ask the individuals to spend more time or ask others to help them.

8. Selecting Performance Standards for the Organization *45 minutes*

8.1 Introduction *5 minutes*

Explain that as individual managers, the participants want to hold themselves and their units accountable for certain areas of performance. It is also true that most successful water authorities have a set of common organizational performance standards and indicators that are monitored by managers.

"Looking at the examples of standards from SANEPAR, some are general management indicators, e.g., those related to such things as consumer complaints, water quality, billing and collection, staff ratios, income and loss, and debt. If you were to develop a management information system in your organization, you would have to select those performance areas to monitor in an overall way, just as you have begun to do for your individual work units. We will not be able to develop a complete management information system here (that would take a great deal of time and effort), but we can begin to identify some key areas to monitor."

8.2 Individual Task to Consider Indicators *10 minutes*

Give the group the following individual task:

- Make a list of those items that are important indicators of the organization's health and that you believe all managers should monitor on a regular basis.
- Some hints for selection: These should be areas that
  - -- Will provide "flags" for problem identification.
  - -- Indicate or measure those things that are the primary targets or goals of the organization (e.g., consumer satisfaction, cost effectiveness, quality of product, efficiency, economic health).

Give individuals about 20 minutes. This task is not meant to be comprehensive, but to begin to get the group to think in terms of total organizational performance and how that relates to individual unit performance.

8.3 Full Group Discussion *30 minutes*

Ask for examples from several individuals and list on a flipchart. Conduct a full group discussion. Questions to ask:

- Is this something that everyone should know about?

- Is this an overall organizational goal area or value?
- Do others agree with this as a selection?

Build a list of the indicators that most of the group agree are important. Select about 10 performance indicators.

9. Designing Measures *30 minutes*

Divide into four groups and ask each group to develop a formula and rationale for two to three performance indicators and to write them on a flipchart.

- In your group, design a performance indicator (way to measure with formula) for each performance area assigned.
- For each indicator, write a brief rationale that describes why this performance standard and measure is important and what it will tell management.

10. Reviewing *30 minutes*

Ask each group to post its work. Review each one in the full group.

11. Wrap-up *20 minutes*

Review agreements reached today in terms of each unit's performance standards and the overall organizational standards.

Discuss the issue of follow-up. If individuals have developed draft performance standards and measures, what will be the process of completing them and reviewing them formally?

Ask the group:

- What needs to be done to adopt the work done today as official management policy of the organization?

Note any agreements made.

Materials

Flipcharts

Step 1 - Master flowchart
Step 2 - Definition of performance standards and measures
Step 3 - Examples of performance standards
Step 4 - Individual task listing areas for performance
Step 5 - Questions to ask in small groups
Step 6 - Task instructions to develop measures
Step 8 - Individual task, selecting organization-wide performance areas
Step 9 - Small group instructions, writing measures

Handout

5-1 Sample Performance Standards and Indicators from SANEPAR

Planning for Application and Follow-up

Total Time: 6 hours, 15 minutes

Goals

1. To plan how to communicate the participants' mission/purpose, goals, and performance standards to their staff.
2. To decide how to monitor adherence to performance standards.
3. To plan for follow-up activities relating to implementation of performance standards.
4. To introduce concepts and skills for peer consultation and form groups that will serve as peer consultants over the next six months.

Overview

This session takes the participants through a series of activities designed to help them prepare to return to their jobs and use the concepts and skills introduced in this workshop. For this, a strategy is planned for communicating the mission, goals, and performance indicators developed in the course to subordinates and others in the organization. Additionally, a mechanism is set up for continuing application and learning of management skills on the job over the next six months. The Phase III workshop should be scheduled to take place at the end of the six months.

A number of "loose ends" from this workshop will have to be taken care of. The participants have begun to develop a mission statement, goals, performance standards, and performance indicators for their work units, as well as for the overall organization. A way to complete these tasks has to be defined and agreed upon, and time should be scheduled for course follow-up tasks.

Procedures

1. Agenda/Goals *10 minutes*

Provide linkage from the previous sessions by telling the group that yesterday they began the job of developing important managerial tools: performance standards and indicators. "It was a lot of work. Today is dedicated to ensuring that those concepts and tools are applied on the job."

State the goals of the session.

2. Communicating the Work Unit's Vision: Mission, Goals, Performance Standards *2 hours, 30 minutes*

Explain that this activity addresses the first goal of this session. The group will be asked to do some planning, some explaining, some sharing of their plans with others, and some full group work with the results.

2.1 Lecturette on Communicating Performance Standards *20 minutes*

Key points:

- What will be the consequence if the manager wants the staff to perform in a particular way, meet certain standards, and the staff either doesn't understand or doesn't agree with them?
- Establish the principle that the most effective performance standards are not imposed from above but come from the recognition and commitment of the employees.
- The question is how to get that commitment.
- One of the ways to get commitment that has been discussed throughout this course is through involvement. Involve everyone in everything (as much as possible). This gets people motivated.
- Communicating to the staff that you expect certain things of them can only be done by getting them involved in understanding why the standards were set and becoming part of that decision.
- Establish that getting the staff to "buy in" for performance standards has to be a collaborative work organization process. Additionally, the natural sequence is to set up a monitoring process and a periodic review process.

In general, however performance standards are communicated to staff, it must be a process that involves the employees in understanding, influencing, and to some extent, setting or owning the performance standards of the unit. The way the standards are communicated to the staff will determine how effective they end up being.

The challenge is to set up a process that achieves "buy in."

2.2 Individual Task *20 minutes*

Assign the following individual task:

- How do I get my staff involved in helping to review, modify, and add to my beginning set of performance standards in such a way that they will become committed to achieving them?
- Take 20 minutes to think about this questions and write down your ideas.

Encourage creativity, for example, posting standards and inviting comments, holding a series of individual conferences, setting up a task force, introducing one standard at a time each month, etc.

2.3. Small Group Sharing *20 minutes*

Ask the group to form into trios and discuss their ideas with each other.

2.4. Simulation *45 minutes*

Choose one of the more promising ideas and simulate it in front of the group.

For example, if a participant says "I plan to discuss performance standards at the next staff meeting I hold when I return," then ask him or her to assume the group is the staff and to play out the conversation. "What will you say? How will you say it? Try saying it to me." Take two or three examples to play out with the group.

Discuss the simulations and draw out some generalizations:

- Was this convincing?
- Was it clear?
- What was said that was effective?
- How would you do it differently?
- What can we learn from this?

2.5 Re-plan *15 minutes*

Ask the group to spend some time individually revising their plan on the basis of some of the ideas they have heard in the full group discussions. Ask them to write down their ideas (for themselves) on the "Performance Standards Reflection Sheet" (Handout 6-1).

2.6 Generalizations/Next Steps *30 minutes*

NOTE: For this step, it would be useful if decision makers from a management level higher than that of any in the group could be present because the discussion on "next steps" could require some commitments from management.

Remind the group of the session yesterday, when draft performance standards were developed for each of the units and the group began to select some performance standards that might be appropriate for overall monitoring of the water authority.

Ask what happens next.

Facilitate a discussion with the group that leads to some action items and some conclusions. Questions to address:

- How will a baseline of information be set up in some of these areas of performance?
- How will the overall performance indicators for the institution be selected, designed, and managed (a task force, an office set up, etc.)?
- How will you get the data for both your unit's and the overall organization's performance measures?
- How will you get agreement from your boss (or above) on performance indicators for your unit?
- Who will take responsibility for bringing this process to implementation?

NOTE: A realistic outcome would be for management to monitor this process and for a task force to be set up to establish the organizational performance indicators. Individual units should try to select a very few important indicators and use the next several months to experiment with using them. Each manager should sit down with his or her boss and review the unit's performance indicators. If time permits these appointments should be set up at the workshop or time should be set aside during the workshop for individual meetings. It is very important, if this process is to reach implementation, to involve the highest levels of management. The final modification of the performance indicators can take place at the next workshop. In the pilot test organization, it took more than a year after all the management training was completed to establish a management information system with performance indicators used as a part of it.

3. Setting up Follow-up Groups and Peer Consultation *3 hours*

The purpose of this segment is as follows:

- To learn some basic consultation skills.
- To establish a mechanism for follow-up consultation among participants.
- To make some agreements for next steps in the workplace.

3.1 Lecturette on Consultation Skills *15 minutes*

Ask the group:

- What does it mean to be a consultant?
- When is *help* helpful and when is it not?

Get some responses from the group: for example, "when people listen to me and let me decide for myself; when they help me consider alternatives; when I ask for it."

Discuss with the group some of the ways in which they can be of help to each other. List the ideas on the flipchart. Try to arrive at an agreement about what *helping* means and what being a consultant among peers means.

The following are examples from other workshops on ways to get together to help each other:

- Meet for lunch once a week and discuss things you are trying to implement.
- Hold regular review sessions on the performance of each work unit (inter-unit performance review).
- Visit each other's offices to observe staff informally and then give feedback.

Lead into the next exercise: "Let's spend some time working on the skills of being a consultant to each other."

3.2. Helping Trio Exercise *1 hour, 30 minutes*

Ask people to form trios based upon their desire to work together for the next six month as a "consulting" group for management development.

Give them this initial "helping exercise" in order to demonstrate effective ways to work together:

- Each of you will have the opportunity to be a consultant, consultee, and an observer.
- Roles:
  - -- The *consultant* tries to be as *helpful* as possible to the consultee using consulting skills (listening).
  - -- The *consultee* tells the consultant about his or her problem and tries to get some help. "Think of a problem you want help with in your job."
  - -- The *observer* watches the process, without interrupting and later gives feedback on what he or she observed taking place.

  NOTE: One problem that all will have on returning to their jobs will be the problem of explaining about performance standards to their staff. If individuals have trouble coming up with a problem to discuss, suggest that they deal with that one.

- At the end of 15 minutes, the observer will lead a discussion in the trio on what was helpful and not helpful to the consultee.
- A 15-minute consultation and 10 minutes of feedback/discussion will constitute a "round." This will be done three times until each member of the trio has taken each role.

The trainer may need to intervene after one round to clarify the task or bring out certain key points. It may be useful to stop and have a discussion after the first round. You may want to ask questions like these:

- What are some of the ways the consultant has been helpful?
- Not helpful?
- Are the observers giving feedback correctly?

3.3 Full Group Discussion *15 minutes*

Discuss the trio exercise:

- What has been helpful and not helpful in this process?
- What can you learn from this that you can use as you work together over the next six months?
- How you can help each other in the next six months?

3.4 Setting up Commitments and a Plan *1 hour*

Ask the group to return to the follow-up trios. Give them the following individual and trio tasks:

Individual Task

- Develop a list of things you plan to do in the next month in your unit on the basis of this course.
- Develop this into a one-month action plan that identifies the following:

  Task to Accomplish. Who Is Responsible? When?

- Take 20 minutes.

Trio Task

- Share your action plans in your trio.
- Modify as appropriate.
- Agree upon a time for the first meeting of the group; decide what you will do in the first meeting.
- Take 35 minutes.

4. Closure *15 minutes*

Bring the full group together. Ask individuals to share a bit of their implementation plans. Get a sampling from the group.

Move from this to general closure for the workshop. Add appropriate closing remarks on the group's performance, observations about the process, and words of appreciation. Provide time for closing remarks from authorities and group representative.

5. Evaluation *20 minutes*

Ask participants to fill out the "Course Evaluation Form" (Handout 6-2).

Materials

Flipcharts

Step 1 - Session goals
Step 2.1 - Lecturette points on communicating performance standards
Step 2.2 - Individual task
Step 3 - Purpose of segment
Step 3.2 - Instructions for helping exercise
Step 3.4 - Instructions for individual and trio tasks

Handouts

6-1 Performance Standards Reflection Sheet
6-2 Course Evaluation Form

Course Goals and Themes

Course Goals

1. To strengthen the skills and understanding of the themes introduced in Phase I.
2. To focus on the management concept "developing a vision for the work unit." This will include reviewing and defining the unit's mission and goals.
3. To develop performance standards for each work unit and a mechanism for their review at the unit and organizational levels.
4. To provide a means for planning the use of, and communicating to subordinates and others, your performance indicators.

Course Themes

1. Review skills from the first workshop, look at some of them in a more advanced way, and discuss difficulties and successes in using them.
2. Focus on performance at the unit level by introducing two new management tools--mission statements and performance standards.

Case Study Background

You will recall that several months ago we became acquainted with Nihal de Silva, Assistant General Manager Region I for the National Water Authority (NAWA) in Lapanda, a country in Asia. Nihal is in the upper range of management and has been making the transition from technical work to becoming a manager for about two years.

The water authority had been in the process of implementing a series of modernization measures for about two years. These measures included increased regionalization, streamlining administrative and paperwork requirements, improved operations and maintenance, developing training programs, and improved commericial and financial systems. As a part of this overall institutional improvement, Nihal attended (with all of the top- and middle-level management) a nine-day management training workshop, which he found very helpful at the time. Six months have passed since the first course.

During the six months since Nihal attended the workshop, the management environment of NAWA, which was difficult before the course, continued to be difficult. For example, the lines of decision making and authority between him and his bosses remained unclear. A guideline on delegation of financial authority was distributed as policy, but Nihal found that real authority for operational decisions continued to be directed over his head. This made him often not try to push through with his own ideas and initiatives.

Nihal found it was still difficult to coordinate with other work units and that everybody wanted to find ways to get around the system. Getting administrative support continued to be difficult for everyone--it seemed that the best way to get results for the unit was to use personal influence.

One of the reasons Nihal found it difficult to be a manager before he attended the management course was that within NAWA there was a lack of consensus about goals, priorities, and the performance that he or NAWA wanted. There was a history in the organization of deferring to management and having them decide. This continued to be an organizational practice after the course as well, although attempts had been made to push decision making down more into the ranks. In the final analysis, decisions were made on top, and even outside the organization by the powers that be.

When Nihal completed his first management training course, he said to himself, "Maybe I can do some things to make a difference in my own work unit, even though I can't change the whole organization, those above me, or the political pressures."

In his unit, Nihal continued to spend a lot of time dealing with day-to-day crises. During the six months, a number of new programs had been started with outside financing, and competing demands for his time continued.

Part One of Case Study: Trying Out New Ideas

When Nihal left the management course, he had a simple plan to try out some management techniques. He had decided to try to accomplish two innovations:

- To start having meetings in his work unit every week, and to try and meet with the field staff once a month.
- To involve his staff more in a team effort, using a scheme called "collaborative work organization and delegation."

The first thing Nihal did when he returned to work after the course was to bring together his immediate subordinates--his two chief engineers, BLC and Banda, and the three regional managers who worked in the field. He also invited his support staff (two secretaries, two clerks, and a laborer). He told them about his attending a management course and said, "I plan to change a few things around here."

He decided to try out running a meeting using the new things he learned in the course. Before the meeting, he met briefly with each staff person and asked them if they had anything to bring up in the meeting. Mostly, they said no and seemed surprised that he would even ask them such a thing. This had never happened to them before. When one of his chief engineers, BLC, asked him, "Why are you inviting the secretarial and laborer staff to the staff meeting?" Nihal replied, "Well, it seemed a good idea. I thought we could try it out for a bit."

During this first meeting, his staff sat passively while he explained the agenda. Because the staff said nothing, he felt compelled to do all the talking. One of his people asked him if they were going to continue to meet in the full monthly staff meetings with all of the other staff of NAWA, as they had before. Nihal said no. Only he would attend and then inform them of what had taken place. He made an attempt to explain to his staff about the principles of conducting meetings using good management practice. He even posted a paper on the wall of the meeting room that explained these principles and asked the staff to discuss them with him. Mostly, they said nothing.

Nihal found that as the workload increased, he had to cancel many of the planned staff meetings, including his monthly meetings with the field staff. He also found that, contrary to what he had told his staff, the leadership of NAWA continued to require that all staff be present at the monthly meetings (about 100 people normally attended and listened to five or six people respond to questions about work in progress). This made his staff tend to not take his word too seriously about staff meetings. He felt he should talk to some of his other colleagues about this matter, but he seemed to always find something else that was more important. After about a month, he gave up on the effort to have staff meetings in his unit because of general lack of interest and competing demands for his time. He continued to suffer through the large monthly meetings as before.

The staff meetings on the higher levels continued to demand a lot of his time. Attempts were made to conduct these meetings using staff input for agendas and a smaller executive group, but the weight of tradition prevailed in returning them to their old ways as well.

The next major effort that Nihal started was to try and get his staff involved in working and planning with him; he instituted a "collaborative work organization process." He attempted to delegate more to his staff using the five different levels of delegation he had learned in the course.

Nihal met individually with his senior enginner, BLC, and proposed that they meet each month to discuss what work needed to be accomplished during the next month. BLC and Nihal had met each month to carry out this plan. Nihal would ask for ideas from BLC, and they would agree on what needed to be done and when. BLC agreed to keep him informed weekly. Nihal would then let him do the job and not worry about it. He knew that BLC was responsible and could be counted on to get things done. Nihal was very pleased about how well his attempt to delegate had worked with BLC. He even turned in his monitoring reports on time!

With his other chief engineer, Banda, it was a different story. Banda had a lot less field experience (although his educational qualifications were high). At first, Nihal had proposed to Banda that they meet once a month in the same way he was meeting with BLC. He found that Banda would not really take responsibility. He had to keep after him all the time. Banda would not ask for advice when he needed it, and the jobs often had to be done over. He also did not write the one-page status reports that were required. In order to get work out, Nihal found he often did it himself. He also found it hard to correct Banda because he would always have an excuse. He privately hoped to get him transferred to another job. When BLC asked him about what he was going to do about Banda, Nihal said, "Well, I have too much to do to spend time with him. Anyway, he has a lot of friends who will help him. Maybe they will help him transfer over to another section."

Nihal also tried using some of the communication skills he had learned in the course. Every time he gave his secretary a new assignment, he would consciously ask her to repeat what he had said in her own words. This helped a lot. He also tried to make sure he was clear about what his colleagues were saying in meetings by summarizing agreements at the end. However, Nihal found that often the end of meetings were rushed and people would get up and leave before the summary was over, which made him think they did not understand or value summarizing as a process.

After a number of months, Nihal thought back over what he had done in his job to try and apply what he had learned. He reached the conclusion that although he could do some things to be a better manager, what was really needed was for the management to make sure that other people in the organization did their jobs better and to deal with outside interference. Nihal wished he had met with other managers to discuss how they would improve the work situation together, but it was clear that both he and his colleagues had other things that were more of a priority.

As Nihal considered the past few months, he thought, "There is a lot to do here and I have to please a number of people. It's hard to know where to go when I have so many pressures. Anyway, I have a lot of paperwork to clear up and I don't have time to waste on thoughts like these."

Questions

In considering Nihal's situation, analyze the case and write the answers to the following questions:

1. How would you rate Nihal's performance as a manager in the following areas? (High = doing a very good job; medium = doing as well as he can under the circumstances; low = he can do a lot better.) Refer to the definitions of management functions in your Precourse Workbook as needed.

   a. Communication

      High   Medium   Low

      Why did you rate him this way?

   b. Conceptualizing

      High   Medium   Low

      Why did you rate him this way?

   c. Collaborative Work Organization

      High   Medium   Low

      Why did you rate him this way?

   d. Monitoring/Performance Feedback

      High   Medium   Low

      Why did you rate him this way?

e. Problem Solving/Conflict Resolution

High Medium Low

Why did you rate him this way?

f. Decision Making

High Medium Low

Why did you rate him this way?

g. Representational

High Medium Low

Why did you rate him this way?

h. Technical

High Medium Low

Why did you rate him this way?

i. Staff Development

High Medium Low

Why did you rate him this way?

j. Team Effectiveness

High Medium Low

Why did you rate him this way?

2. What are the most important actions Nihal could have taken to have more successfully implemented his plan to conduct better meetings and to do more successful "collaborative work organization"?

   Planning:

   Carrying out his improvements:

3. What is the single most important thing Nihal could have done to be a better manager?

Management Concepts and Actions

Management Concept	Actions Managers Take
Vision	Communicate a sense of direction to subordinates. Know what the goals and mission of the unit are. Provide a work agenda. Know how to organize the unit to get the best results and have an organizational, as well as a programmatic, sense of direction.
Goal & Priority Setting	By having a clear vision and knowing where to go, managers are able to set goals and have a sense of priorities. Have a sense of how to get the work unit to do the most important things
Collaborative Work Organization (CWO)	Develop work programs with staff. With a sense of clear direction in mind, managers know that they must plan work with staff using their best communication skills. Use collaboration to increase staff commitment to goals and the work and to get the best out of them.
Situational Leadership	In CWO, managers try to match the task to the skills and experience of staff. They are aware of how closely or loosely to supervise; are aware that they are trying to develop staff by increasing responsibility.
Delegation	Managers use delegation to develop staff and also get the work done efficiently. They delegate work to enable themselves to focus on important things, such as vision, planning ahead, representing the work unit.
Monitoring	Follow up appropriately to ensure tasks are completed correctly and as agreed on in work planning sessions. Have a thoughtful plan for following up; don't wait until a crisis to monitor.
Feedback	Use monitoring situations to let staff know how they are doing in both positive and corrective ways.
Communication Skills	Know how to explain tasks clearly; know when and how to be persuasive, when and how to listen; be able to clarify tasks using paraphrasing skills; summarize at appropriate times in meetings; make sure subordinates and others are clear about expectations.

Management Concept	Actions Managers Take
Results	By applying modern management concepts (explained above), managers are able to get good performance out of the work unit. Hold staff accountable for results. Know how to measure results.
Values	Act and talk consistently; set a good example and a positive tone at work; provide leadership by being worthy of trust.
People	Understand that it is a manager's job to work with people to get the job done; value staff as a positive asset worth investing time and resources in to develop. Be clear that all management processes work to get people to do the right things on the job.

Critical Incident 1: Taking the Initiative

As a manager, I have tried to get my staff involved in doing more on their own. I have a work crew that takes care of emergency repairs and leaks. Two of them have been working for a number of years and know all of the things they are supposed to do. They have good skills. The two other crew members are learning the trade but are hard workers most of the time. I have met with this crew many times and explained all of their duties. They know I want them to get the job done, to deal with problems as they arise, and to contact me only when they have a problem they cannot resolve. For routine tasks, they seem to handle most things, although at times I have to stay on top of them to make sure they are not avoiding the work.

A situation happened the other day. There was a major break in a waterline. I was away from my office on a special assignment at the Ministry at the time. The instructions I always leave in case of this type of emergency are for the crew to go out, start to determine the problem, and then act on it.

When I got back from my meeting, I had an urgent message from the General Manager that I was to proceed directly to the work site to supervise correcting the problem. When I got there I found that no action was being taken. The crew was standing around helpless. I told them to go and notify the nearby plant Officer-in-Charge (OIC) to shut off this section. In about a half an hour the man came back and said, "The OIC was away. What should we do?"

I told him to get the crew to start excavating and I would see to the shut off myself. When I got back I found the crew digging by hand. I said, "Why haven't you got the tractor here?" The foreman said, "I didn't think you wanted it; one time you said we were to excavate by hand." I said, "But that was a small line leakage. This is a water main. Go get the tractor."

The man went to telephone the office for the tractor. He came back and told me. I said, "No, go get the tractor; they will take forever. Take the truck and drive over to the yard and get it. NOW."

Finally, we got the tractor. I then asked, "When is the lorry coming with replacement pipe?" He said, "Oh, I thought you had asked for it when you went to the plant to shut off this section."

Meanwhile, a large crowd had gathered and the local Member of Parliament had arrived and started to complain to me about not being notified of a water cut-off in this section (where he lives).

We finally got the repair done after about 12 hours of work around the clock. I felt very tired, and angry with my men.

Questions

1. How can this manager get his staff to take more initiative?

2. What is the follower maturity of this work crew?

3. What is the appropriate leadership style to follow?

4. What specific steps should the manager take to increase the ability of the staff to think for themselves?

Critical Incident 2: "When Do I Do the Work Myself?"

In your section, you have three Chief Engineers (CE). One of them is a good technician, but he does not seem to be a good manager. He does not have a good ability to see the whole picture when faced with a problem, and he has a hard time thinking through all the steps that are needed when a complicated piece of work needs to be done. You do not have confidence in him, especially in crisis situations.

Usually, when there is complicated work planning to be done, you leave this CE alone and you work directly with the engineers. It seems easier to do the work yourself, but that means more nights when you have to take work home with you. You know that you are not doing a good job helping this CE to become a good manager.

You have just received a request to prepare a report for an upcoming training workshop. This report is due in two weeks and must include a list of all your section's accomplishments over the past six months, a description of priorities for the next six months, and a list of the things other sections will need to do in order to help your section accomplish its objectives.

Your first thought is to check with the engineers and write the report yourself, but then you think, "Maybe I can use this task to help the CE become a better manager."

Questions

1. What do you think you should ask the CE to do?

2. What is his job maturity level for this task?

3. Which leadership style should you use?

4. What steps will you take to carry out this style?

5. How will this help to make him a better manager?

Staff Motivation: Basic Principles for Managers

1. People do things, usually, for good reasons. There is always something behind the way people act. It is the job of the manager to find out what that is. Ask staff. Talk with them.

2. If you reward people who do a good job, that is a powerful incentive for them to continue to do well. Telling them you are happy with the job they are doing is a reward in itself. Telling people when they do things right is as, or more, important than correcting them.

3. Everybody wants to feel important. People appreciate it when you take the time to--

   -- find out about them
   -- walk in their shoes
   -- take their needs into account

4. If you give people the opportunity to be heard, to contribute ideas, to "own" a piece of the work, it will motivate them, and it will make you look better as a manager beacuse your unit will perform better.

5. People need to see that there is "someplace to go." Help your people move up. Give them a chance when you can.

Critical Incident 3: Motivation

I have recently become a manager in a new section. My new section handles the ordering of supplies, the recordkeeping and inventory, and the management of stores for a large region of the country. Before I arrived, this section had a reputation for being very inefficient. I have noticed that staff morale is very low. My three most experienced staff have been working at their jobs for 10 years now. They have been doing the same thing over and over, it seems, forever.

After I was on the job about six months, I decided to try and find some ways to break up the old patterns and to try to motivate the staff. I decided that the best way was to get the staff to agree to a duty-rotation scheme in which all three of the staff would learn all of the duties involved and move around in the three jobs every three months. I believe this will provide more variety for them, they can learn new skills, and I will get more out of them once they get used to it.

In a few minutes, I will have a meeting with the three individuals. It is my job to collaborate with them in these ideas, get their input, and try to influence them to agree to these new ideas. I know that they have a very old line, civil service clerk mentality and may resist doing anything that will alter their perceived "territory." But I also know they are merely going through the motions of their job and need something to motivate them.

Critical Incident 4: Feedback

You have started to have regular staff meetings with your section. Everyone seems to be very happy about the new meetings, except for one problem. One of your staff is responsible for taking minutes and distributing them afterwards. Several of your staff have complained to you that the minutes are too long, they include many irrelevant points, and they often do not accurately summarize agreements about what action is supposed to be taken and by whom.

You have noticed this yourself. You decide that you need to say something to this person in order to help him do better. You want to be helpful, you do not want to be just giving criticism. How should you carry out this conversation? What will you say?

Critical Incident 4: Briefing Sheet

Your manager has started having regular staff meetings. Everyone is very happy about these meetings. You are very proud to have been asked to write the minutes and have been working very hard to do your best.

Sometimes it is hard because no one summarizes the decisions that are made and you have to use your best judgment. Your boss has never really explained exactly what he wants for minutes; this is a new activity for you. He seems to take everything you do for granted.

Sample Performance Indicators

General Management Indicators

Indicator	Formula	Rationale
1. Water supply coverage	No. of attended localities by SANEPAR ÷ Total no. localities in State	Measures the water authority's coverage vs. other suppliers.
2. Sewerage coverage	No. of localities attended by SANEPAR ÷ Total no. of localities in State	Measures coverage.
3. Progress in works	No. of completed works ÷ No. of programmed works	Measures progress in completing the work program.
4. Total complaints	No. of complaints ÷ No. of connections	Measures how well we are attending to consumer needs. Target is less than 1%.
5. Publicity	No. of issued negative news in this month ÷ No. of days of this month	Indicates how well we are doing in public relations. Target is zero negative articles.
6. Margin of expense vs. income	Accumulated investments ÷ Accumulated direct and indirect operating revenue	Tells us the annual amount we bring in as a percentage of total assets. It indicates return on investment.
7. Employees by 1,000 connections	Total no. of employees x 1,000 ÷ Total no. of connections (water & sewerage)	Measures our operating efficiency.
8. Payroll by operating revenue	Accumulated expenses of personnel ÷ Accumulated direct and indirect operating revenue	Describes the gap between expenses and income.

Indicator	Formula	Rationale
9. Water loss	Volume produced ÷ Volume micromeasured by water meters	Measures the volume of crude water sent by water mains up to the end point. This tells us how much water we are losing.
10. Current liquidity	Current net income ÷ Current liability	Describes cash flow needs and overall deficit.
11. Punctuality of payment	Paid value up to this month ÷ Value due up to this month	Describes backlog in payments by customers.
12. Outstanding bills	Outstanding bills ÷ Bills in this month	Describes backlog in meeting our obligations.
13. Collection efficiency	Revenue ÷ Bills	Describes our efficiency in collections.
14. Indebtedness	Total liabilities ÷ Net equity	Describes the net worth of the authority.
15. Staff turnover	Recruitment and dismissal ÷ Number of employees	Describes the ratio of staff turnover to total number of employees. Indicates manpower needs and satisfaction.

Commercial Indicators

1. Connections of water in existing distribution system up to 5 days	No. of connections in buildings carried out ÷ No. connections in buildings applied for	Measures efficiency in meeting consumer demand for connections.
2. Requests for extension of distribution system up to 30 days	No. of extensions carried out ÷ No. of extensions applied for	Measures efficiency in meeting consumer demand.
3. Maintenance of domestic water connections up to 24:00 hours	No. of refittings carried out ÷ No. of refittings applied for	Measures efficiency in meeting goals.

Indicator	Formula	Rationale
4. Final product quality	Total connections of drinking water + No. of water connections installed last month	Measures ratio of demand.
5. Employees per 1,000 connections	No. of employees ÷ No. of water and sewerage connections	Measures cost effectiveness.
6. Measured kilometer per connection	Kilometers traveled ÷ No. of water and sewerage connections	Measures kilometers traveled per day for efficiency in route selection for O&M crews.
7. Extra hours/ payroll	Paid value on extra hours ÷ Payroll value	Measures cost of maintaining payroll levels.
8. Household consumption	Consumption per household measured in liters + No. of domestic connections	Indicates level of service.
9. Outstanding accounts	Outstanding accounts ÷ Bills	Measures collections needed.
10. Efficiency of collection of outstanding bills	Collections ÷ Bills	Measures how well we are doing in collecting debt.
11. Consumer complaints	No. of claims + No. of water connections	Measures no. of claims of dirty water, broken retaining wall, broken pavement and defects in domestic water connections.
12. Claims--interrupted water supply	No. of claims ÷ No. of water and sewerage connections	Measures no. of claims on the failure of water supply.

Administrative Indicators

Indicator	Formula	Rationale
1. Employees of the firm for 1,000 connections	Total no. of employees x 1,000 ÷ Total no. of connections (water & sewerage)	Measures staffing ratio.

Indicator	Formula	Rationale
2. Personnel for operations (O&M staff)	Personnel Expenses ÷ Overhead operating revenue	Measures the expense incurred to provide services vs. income.
3. Extra hours for payroll	Extra hours expenses ÷ Payroll in this month	Cost measure for overtime.
4. Expenses of the Administrative Directorate for operating revenue	Total expenses of the Administrative Directorate ÷ Operating revenue	Measures the overhead of Admin. unit income. Tells us what it costs to maintain Admin. unit.
5. Expenses of the Administrative Directorate	Expenses of Administrative Directorate in this month ÷ Operating expenses of the firm in this month	Measures the ratio of administration to overall expenses.
6. Employee turnover	Resignation + dismissal ÷ Average no. of employees	Measures ratio of staff turnover. A measure of employee satisfaction.
7. Ratio of frequency of accidents	No. of accidents per month ÷ No. of manhours worked this month	Tells us if we are meeting our safety goals.
8. Ratio of serious accidents	(Lost hours + Debited hours) ÷ No. of worked manhours	Measures time lost and cost of accidents.
9. Index of absenteeism	Lost manhours ÷ Planned manhours	Indicates the resources lost to the company by absenteeism.

Financial Indicators

1. Economic results	Total revenue less Total expenses	Tells us whether we are within budget.
2. Punctuality of payment	Paid value this month ÷ Debt value this month	Measures debt-equity value per month.
3. Current liquidity	Current assets less Current liability	Measures our ability to meet obligations.

Indicator	Formula	Rationale
4. Indebtedness	Capital of third parties ÷ Net equity	Measures overall debt-equity ratio.
5. Capital loan drawdown	Resources received up to month ÷ Foreseen resources up to this month	Measures release of funds in capital budget by government.
6. Management reports	Period between the month in reference and the date of the report	Measures whether we are meeting target for reporting.

Technical Construction Indicators

1. Starting of work	No. of started works ÷ No. of works scheduled to be started	Measures meeting of production backlog targets for new work.
2. Accomplishment of works	No. of accomplished works ÷ No. of works scheduled to be accomplished	Measures task accomplishment.
3. Capital investments	Capital work completed ÷ Inhabitants benefited	Measures benefits to consumers.
4. Domestic connections	Carried out connections ÷ Foreseen connections to be carried out	Measures relation between connections effectively carried out and the annual target of connections. Goal: 100%
5. Management of investment	Engineering costs & overhead ÷ Capital investment	Measure of productivity to demonstrate the expense level from engineering in relation to the investment. Goal: 10%
6. Started projects	No. of started projects ÷ No. of projects scheduled to be started	Measure of productivity and backlog.

Performance Standards Reflection Sheet

In order to prepare for this exercise, we would like you to spend some time thinking and writing down the answers to these questions:

1. In order to measure the performance of your work unit, what standards should you measure your own unit by? Make a list of at least three or four that you think are important. Discuss these with your subordinates.

2. In order to measure the performance of specific employees in your unit, what standards should you set (e.g., accuracy, quality, politeness with consumers, etc.)? Make a list and discuss them with your subordinates.

Name:

Unit:

(Please make a copy of this page to give to us; we will discuss it with you before the next workshop.)

Course Evaluation Form

We appreciate your taking the time to complete this questionnaire. We want to know what has been useful to you so that we can follow up in the future. Please indicate your answers below.

A. Evaluation of Course Goals

Four goals were listed on the first day of the course. They are listed below. Please rate how well each was achieved.

1. To strengthen skills and understanding of the themes introduced in Phase I.

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

Comments:

2. To focus on the management theme "developing a vision for the work unit." This will include reviewing and defining the unit purpose and goals.

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

Comments:

3. To develop performance standards for each work unit and a mechanism for their review at the unit and organizational level.

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

Comments:

4. To provide a means for planning the use of, and communicating to subordinates and others, your performance indicators.

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

Comments:

B. Evaluation Feedback, General

1. Of the things that you have learned in this course, what has been most useful to you?

2. What feedback do you have for the instructors?

   Comments for ______________:

   Comments for ______________:

3. What would be most useful to address in the next course, which will take place in six months?

Overview of Phase III

Linkages from First and Second Workshops

The first phase of the program provided a general basis for what managers do and what management is. It focused on developing a framework for looking at the role of the manager and on basic management skills, including communicating, running meetings, working together with other units, planning and organizing work with others, monitoring, and providing feedback.

The second phase began with work on the issues of individual change and provided an opportunity to discuss experiences applying what was discussed in the first phase. It then focused on skills needed to help a work unit function more effectively, including developing unit mission statements and goals for the next year and defining performance standards and indicators.

Although both previous workshops were concerned with skills a manager uses when working with other individuals, the third workshop recalls and places particular emphasis on "one-on-one" management skills. After experiencing the first two phases of the program, a manager will probably be trying out a number of new behaviors and discovering that relationships with staff may be changing. The workshop provides an opportunity to reflect and work on individual effectiveness and to receive coaching on working with staff. Finally, the third phase again reminds participants of the importance of their role and of the actions they are taking to improve the overall performance of *their* water institution.

About two months before the workshop, each participant is sent a Preparation Workbook (at end of Overview), which provides an overview of the Management Development Program to date, a review of some of the key principles discussed in the second workshop, a copy of any draft materials developed in the second workshop, and instructions for steps to be taken in preparation for the third workshop. Participants are asked to consider and make notes on their experience in a number of areas as preparation for interviews with the trainers.

Needs Assessment

Prior to conducting the third workshop, trainers should re-interview a sample of participants to review progress and to determine which elements of the program need special reinforcement. Planners should pay particular attention to how individual managers and the institution as a whole have been using performance indicators. Both successful experiences and areas of weakness should be identified.

Other elements particularly related to the topics discussed in the third workshop are listed below:

- Identify which managers have made progress in "turning their organizations around." To what do they attribute their success? What are the next steps these managers are concerned about?

- Review how meetings are being used. Who is doing a good job? What changes have taken place in the organization's overall pattern of using meetings? What "back-sliding" has taken place?

- Determine what experiences individual managers have had making conscious use of the CWO/monitoring/performance feedback cycle.

- Catalog organizational changes that have taken place. Why? How are those changes perceived by staff? Are people getting promoted because they are good managers?

- Ask what has been the experience of the trios set up to support management improvement at the end of Phase II. Who has taken a leadership role?

- Explore what managers have been doing to coach and train their own staff, particularly in management skills and in use of performance indicators.

Trainers should also review the questions asked in the initial needs assessment and in preparation for the second workshop and select those that are most relevant for follow-up. In addition to the interviews, trainers should review other recent indicators of organizational performance--financial performance, formal project reviews, etc.

The Phase III workshop provides the framework for responding to issues identified during the needs assessment. As will be described in the following section, it emphasizes the management skills needed to get individual staff members to focus their energy on high-priority tasks.

Particularly because it is the last workshop, trainers should recognize that the sessions also provide the framework for emphasizing some themes or areas more strongly than others, or for making additions to the program. Some trainers preparing to deliver this phase may choose to use the design with little modification. Others may see opportunities to use organizational experience to reinforce particular course themes. Some examples of those potential opportunities follow:

- Vision - Has the organization done anything beyond course work in the area of identifying an organizational vision? Could steps be taken to review this process in the classroom? In the pilot program, three senior managers had recently completed a study tour that gave them an opportunity to analyze several other water authorities closely. A specific session was designed to help them reflect on and share how they saw the other organizations' visions.

- Performance Standards - How well are performance standards working in the organization? Is the use of performance indicators consistent across the organization? Is information on organization-wide performance standards systematically collected and used? Time may be needed in this session for remedial work on performance indicators.

For example, in the pilot organization, implementation of performance standards after the second workshop had met with mixed success. In the pilot Phase III workshop, as a part of Session 3, three groups were formed to work on performance indicators. One group, made up of those who had been successfully using indicators, had a series of tasks (e.g., what are you doing? how have you gotten staff to understand? what are remaining problem or confusion areas? what have been the positive results?) designed to help them discuss their experiences and analyze their successes.

A second group, made up of management staff, worked to define what were the key indicators that should be used, how should they be implemented and followed up, and how management could use them to keep track of major systems.

A third group, those who had not finalized their indicators, worked individually and with their supervisors to complete the development of their own performance standards. All groups reported their conclusions out to the large group.

- Performance Evaluation - Session 8 in Phase III focuses on performance evaluation skills. Trainers should consider whether this would be a good opportunity to include explanations and exercises on the organization's own formal personnel evaluation system.

Course Goal

To focus on one-on-one management skills and to reinforce the changes that managers have been making as a result of their participation in the earlier phases of the course, the third workshop is organized around the theme, "How do you get people to do the most important things?"

This question is a central one for most new managers as they struggle with the issues that it represents, including motivation, management style, setting priorities, communication, setting performance standards and providing feedback, and the role of the manager as influencer/coach/initiator. Many managers, and especially those making the transition from more technical responsibilities, find this question to be critical as others look to them for leadership and direction.

Two other elements are built into the third course. First, in that this is the last workshop, an attempt is made to use resources from the group, to involve participants in making presentations, and to reinforce their capabilities in "training" and coaching. Second, much like the second workshop, real-life problems are brought into the workshop. The course is designed to get participants to think about what they learned in earlier courses, share experiences, and apply what they have learned to current problems related to getting others to do the "most important" things.

The goal of the third workshop is to strengthen those management skills that are used to get people to do the most important things, including--

1. Developing and working toward a common vision.
2. Communicating with staff and boss.
3. Identifying and using measures of performance.
4. Using collaborative work organization techniques to build accountability.
5. Running effective meetings.
6. Providing performance evaluation.

Design Overview and Themes

This course is organized around "Seven Steps for Getting People to Do the Most Important Things," which are introduced the first morning. These skills are drawn, for the most part, from the first two workshops and highlight those actions a manager can take to get people to do high-priority work. The seven steps follow:

1. Know where you want to go and let your staff know.

2. Work together with your staff to set goals and performance standards to measure your unit's achievement of goals. Get sufficient resources to achieve your goals.

3. Decide what the most important things are and actively communicate them to others, including your boss.

4. Hold regular meetings to plan the work at hand. Make sure each person knows what performance is expected.

5. Assign work to the right people. Make sure time is spent on the most important things. Be a model: Pay attention to the most important things yourself!

6. Follow up regularly, check progress, talk with your staff. Look at performance indicators. Ask: Why is there a problem? What can be done?

7. Give staff feedback on their performance regularly. Reward good performance. Conduct formal performance reviews.

Overview of Sessions

The seven steps provide the design framework for participants to work through these steps in simulations in the classroom and, if possible, in the real work setting. Following Session 1, which introduces the workshop and the seven steps, each session includes activities that support understanding and application of the step:

Session 2 - Know where you want to go and let your staff know.

On day 1, several activities are carried out to reinforce the importance of communicating a vision of what the organization should be. Small groups review the performance categories from the *Guidelines for Institutional Assessment - Water and Wastewater Institutions* (WASH Technical Report 37), which were introduced in Phase I. Groups are asked to choose from each of the nine categories indicators for which organizational performance has improved since Phase I. Participants discuss what they see as the most important future areas for vision in their organization.

Participants look at their vision for their own units and problems related to communicating vision to others.

Session 3 - Work together with your staff to set goals and performance standards to measure your unit's achievement of goals. Get sufficient resources to achieve your goals.

At the end of the Phase II workshop, participants worked on the issue of "how do you get your staff involved in helping to review, modify, discuss, or add to the mission statement and performance standards in a way that they will become committed to achieving them?" Participants developed plans for working with their staff, which were reviewed in the Preparation Workbook for this phase. This session gives participants an opportunity to analyze their real-life experience in working with their staffs to set goals and performance standards. After sharing experiences with other managers, participants identify and discuss key problems in implementing performance standards. Following these discussions, participants develop action steps for what now needs to be done back on the job.

Session 4 - Decide what the most important things are and actively communicate them to others, including your boss.

Sessions 2 and 3 emphasize the importance of having a vision and articulating it to others. They also review problems related to communicating a unit vision and actions that can be taken to involve others in the development of mission statements and performance standards.

With this as a context, Session 4 begins to look more specifically at the day-to-day actions managers take to influence individual staff to "do the most important things." The session focuses on the ongoing role that a manager plays in stating and clarifying priorities.

This session provides a bridge to the next section and sets the stage for actual work on getting people to do the most important things by giving course participants a chance to identify and share one of those "most important" things they want staff to be working on. It also attempts to help participants be imaginative and creative about the potential opportunities they have on a daily basis for carrying out their responsibility for communicating these "most important things" to others, including their boss.

Session 5 - Hold regular meetings to plan the work at hand. Make sure each person knows what performance is expected.

This session is the most comprehensive in Phase III. It continues the theme of specific actions managers take with individuals on a day-to-day basis. It involves reviewing a number of key management principles, planning for and carrying out a staff meeting, making presentations to the large group, simulating meetings with individual staff members, and giving and receiving coaching on individual problems.

After a lecturette on issues related to communicating in meetings, each participant plans a meeting that will actually be held (or simulated) on the afternoon of day 2. Participants report on these meetings on day 3.

After a review of the principles of motivation, CWO, situational leadership, and coaching, participants make presentations. Planning is done for a real-life CWO meeting with a key individual on the "most important" things from the previous session, and role plays are organized that give everyone a chance to be coached.

Each of these activities is analyzed to identify again those specific things a manager does that get people to do the most important things. Many of the principles have been covered in earlier phases of the program, but this session provides a significant opportunity to try them and to get in-depth coaching and feedback on individual concerns and problems.

Session 5 involves planning a meeting in the classroom and then returning to the work site to carry the meeting out. This approach provides unusual opportunities for supporting learning about planning for and carrying out real activities. The discussion afterward can be extremely rich; most managers rarely have the opportunity to do an in-depth analysis with peers of how a meeting went.

Session 6 - Assign work to the right people. Make sure time is spent on the most important things. Be a model: Pay attention to the most important things yourself!

This session makes reference to what has been learned in earlier sessions about "assigning work to the right people" and about monitoring, but it is primarily focused on "be a model: pay attention to the most important things yourself." It gives participants an opportunity to reflect on their own use of time and the kind of model they have been to others. The session includes a self-assessment questionnaire and an action planning reflection sheet for notes on changes participants would like to make in the way they use time.

Session 7 - Follow up regularly, check progress, talk with your staff. Look at performance indicators. Ask: Why is there a problem? What can be done?

This session provides an opportunity to use performance indicators as a monitoring and problem-solving tool. Participants work with a hypothetical case that includes an array of performance data. This exercise is designed to focus attention on how to use performance indicators in an ongoing way to help people understand what is most important.

Session 8 - Give staff feedback on their performance regularly. Reward good performance. Conduct formal performance reviews.

In this session, participants review what they have learned about giving and receiving feedback. A framework for formal performance evaluation is developed, and participants plan what steps they will take in their own organization.

The course ends with Session 9, which reviews the specific back-home activities that have been worked on in the workshop and addresses what steps need to be taken to continue management development in the organization.

Course Schedule

The schedule for the course is shown in the chart that follows. The course requires approximately 28 hours of training over a four-day period. Most days are designed for approximately seven hours. With breaks, they may take up to eight hours. Trainers should use their judgment as to the best place to break for coffee/tea and lunch.

PHASE III WORKSHOP SCHEDULE

DAY 1	DAY 2	DAY 3	DAY 4
1. Introduction to Course (1 hr., 40 min.) 2. Vision (4 hrs., 30 min.)	3. Performance Standards (1 hr., 40 min.) 4. Clarifying Priorities (1 hr., 10 min.) 5. Meetings/CWO (9 hrs., 40 min.)	5. Meetings/CWO (continued)	7. Using Performance Indicators (2 hrs., 15 min.) 8. Formal Performance Evaluation (3 hrs., 15 min.)
L U N C H			
Vision (continued)	Meetings/CWO (continued)	6. Being a Model (1 hr., 10 min.)	9. Wrap-up/Continuing Education/Course Closing (2 hrs.)

Preparation Workbook

About This Workbook

This preparation workbook has two sections. The first section provides an update of some of the key principles covered in the first workshop and reviews some of the ideas presented in the second workshop. The contents of the sections follow.

Section A

1. Synopsis of the Management Development Program to date: Where we left off
2. Coaching: Definition
3. Motivation: Some notes

Section B

This section contains instructions for preparing for the next (and last) workshop. The draft mission statements and performance standards that each of you developed during the second workshop are enclosed. Instructions are given to help you to think about them and the process of reviewing them with your staff.

Synopsis of Management Skills Program to Date: Where We Left Off

During the first workshop we worked with you on some basic "tools for management." These included concepts and skills for defining management and working with management tools. We worked on...

The Role of a Manager

Having a Vision Knowing where you are going as an organization and defining it.

Seeing a picture of excellence.

Setting agendas in your work unit.

Getting Results Getting things done through people, making a contribution, setting objectives, performing well.

Values Setting an example, defining how staff should work.

People Knowing how to communicate and work with your staff and others.

Communication Knowing how to listen, clarify, paraphrase, and be clear. Being able to gain understanding and agreement. Ensuring that staff have access to information.

Conceptualizing	Putting your vision into operation. Conceptualizing the work and what needs to be done.
Collaborative Work Organization	Working with others to set goals, plan work, and gain agreement on tasks.
Monitoring/ Preformance Feedback	Checking progress, providing both positive and corrective feedback.
Problem Solving & Conflict Resolution	Managing interpersonal and organizational differences: compromise, collaborate, negotiate, avoid.

Skills for Being a Manager

How to Run Meetings	Plan an agenda, listen, involve everybody, write down assignments, summarize agreements at the end.
How to Communicate	Paraphrase, summarize, listen, be clear.
How to Do CWO	Prepare the conversation, plan together, agree on the work to be done, enlist their support, define how you will monitor, plan next steps.
Situational Leadership	Match your management style to the experience and ability of your staff to do a particular job: Able and willing (Q-4); able, but lacks some confidence (Q-3); not fully able, but willing (Q-2); unable and insecure (Q-1).
How to Get Other Units To Agree On What They Will Do to Help You	Expectations for unit and section performance were exchanged and agreed upon.
How to Give Feedback	Be specific, descriptive, timely, and balanced; tell the person what they should continue to do (positive feedback) and correct (corrective feedback).

During the second workshop, we focused on reviewing skills and moved on to consider how to improve the performance of work units. We focused on...

Skills

Coaching	A process of helping another person develop new skill.
Motivation	Why do people do what they do? What are the reasons, and how does a manager find out what they are?

Defining Mission Statements and Performance Indicators

Mission Statements	A definition of the purpose and responsibilities of your work unit.
Performance Indicators	A measurable way of knowing how your unit is doing. Includes what you will measure, how you will measure it, and why you will measure it.

At the end of the course a number of follow-up actions were discussed:

- Each of you said you would revise your draft performance standards and discuss them with your staff. Thereafter, each of you agreed to monitor the performance of your work unit on that basis and use the indicators to review performance. Some of you were planning to discuss them with higher-level staff and your boss.

- The process for developing performance standards and making them a part of an ongoing management information system.

- Organization-wide performance indicators were begun in the last session: what has been the follow-up?

- On the last day of the course, groups of three managers (consulting trios) were set up to help you have someone to talk with about improving your management and to get help from them as needed. You agreed to meet periodically with this trio.

Coaching

Definition: A process of helping another person develop a new skill.

Why do coaching? It is the responsibility of all managers to help their staff develop. If staff are to move along in experience and maturity, they need to learn new skills. It is difficult to delegate work to staff who cannot do the work ... all managers are coaches if they are doing their jobs.

How Do You Coach?

1. Pinpoint or define the behavior that needs to be changed or improved.

2. Describe the behavior you want. Let the person know that you want to be helpful and you are not criticizing; rather, you are trying to make them better at their jobs.

3. Demonstrate how to do it.

4. Discuss what happened, get them to analyze the demonstration with you.

5. Now, get them to do what you have just shown them. (Observe them when they do it.)

6. Analyze together how they did. Correct any mistakes, praise what they did correctly.

7. Repeat Steps 5 and 6 until the person can do it well. Give them more responsibility as they prove they can handle it. Reinforce good work periodically.

Motivation: Why Do People Work Hard?

You work hard because ... you like the work, you like the responsibility. It feels good to do a good job and be recognized for it. It's fun, it's challenging. The job is important.

Others will work hard for the same reason.

Motivation answers the question: What makes people committed to doing a good job? Some basic principles for managers to keep in mind...

1. People usually do things for good reasons. It's the job of the manager to find out why your staff act the way they do. Ask them. Talk with them.

2. If you reward people who do a good job, that is a powerful incentive for them to continue to do well. Telling them is a reward in itself.

3. People appreciate it when you take the time to

   - find out about them
   - walk in their shoes
   - take their needs into account

4. If you give people the opportunity to be heard, to contribute ideas, to "own" a piece of the work, that will motivate them, and it will make you look better as a manager because your unit will perform better.

5. People need to see that there is "someplace to go." Help your people move up. Give them a chance when you can.

Things to Do For the Next Course

The next course will focus on: "Getting people to do the most important things."

We want to review some of the work we have done up to now as we focus on this theme. The following section will help you begin that process.

Implementing Performance Standards

At the end of the second workshop, we discussed issues related to implementing performance standards in your unit. Take a few minutes to look at the draft goals and performance standards that you developed in that workshop.

Also review your plan (a copy of which is attached) for implementing performance standards in your unit, including your thoughts on the question, "How do you get your staff involved in helping to review, modify, discuss, or add to the mission statement and performance standards in a way that they will become committed to achieving them?"

1. How did you get others involved? What was their reaction to the mission statement? To the performance standards? How did they help redraft or refine the performance standards?

2. What were the specific problems you experienced related to getting people to accept and use performance standards?

If your plan includes actions that you have not yet taken, it's not too late!

Introduction to Course

Total Time: 1 hour, 40 minutes

Goals

1. To describe how the third workshop fits into the context of the three-phase program.
2. To present the "Seven Steps for Getting People to Do the Most Important Things."
3. To provide an overview of the Phase III workshop goals and schedule.

Overview

The first session sets the stage for Phase III by providing linkages with previous workshops, outlining key concepts that provide the framework for the third workshop, and reviewing the workshop goals and schedule.

Procedures

1. Icebreaker *40 minutes*

As a way to remind people of course themes and to get discussion started, give participants the following individual task:

- Think about your management situation and the two previous workshops you have attended over the past year. Pick one important thing you have learned about being a manager.

- Make some notes about what you learned.

Allow individual time, and then ask participants to share in small groups and to select one example from their group to be shared with the group as a whole.

Give each group a chance to share in the large group. Post their responses on a flipchart; provide appropriate reinforcement.

2. Linkage from Previous Workshops and Focus for This Workshop *20 minutes*

Give a synopsis of the three phases of the management development program:

- The first workshop presented a general basis for what *managers* do *and what management is* and focused on some basic *skills of managers*: communication, running meetings, working together with other units, situational leadership, collaborative work organization, monitoring, and providing feedback.

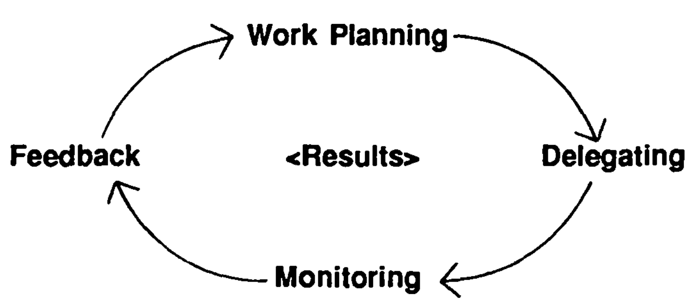
- The second workshop focused on *getting more out of the work unit*: We spent time working with you on being clear about your unit's *mission and goals* and developing the *standards for performance* that you needed to measure your success.

Tie themes addressed in previous workshops to responses from first exercise that have just been posted on the flipchart.

- This last workshop will focus on *getting the best efforts* from your staff, or the *individual* level of performance.

Set the framework for the third phase by reviewing the diagram (Phase II, Session 4, Step 3):

Collaborative Work Planning Cycle



Vision
↓
Priorities
↓
Unit Goals
↓
Operational Objectives

Point out that this is what managers need to do to get the best efforts from the individuals on their staff. Ask the group: What can go wrong? Where can there be problems? Where do you have difficulties?

Acknowledge problems as they are shared and add relevant comments from the precourse interviews to provide the basis and rationale for the approach taken to the third workshop, which is to address the question, How do you get people to do the most important things?

Draw from points made in reviewing the diagram above to highlight how this question is central to much of what a manager is involved with.

3. Lecturette on Seven Steps for Getting People To Do the Most Important Things *25 minutes*

Short lecturette (using Handout 1-1) on the skills you need to get people to do the most important things:

1. Know where you want to go and let your staff know.

2. Work together with your staff to set goals and performance standards to measure your unit's achievement of goals. Get sufficient resources to achieve your goals.

3. Decide what the most important things are and actively communicate them to others, including your boss.

4. Hold regular meetings to plan the work at hand. Make sure each person knows what performance is expected.

5. Assign work to the right people. Make sure time is spent on the most important things. Be a model: Pay attention to the most important things yourself!

6. Follow up regularly, check progress, talk with your staff. Look at performance indicators. Ask: Why is there a problem? What can be done?

7. Give staff feedback on their performance regularly. Reward good performance. Conduct formal performance reviews.

Use examples from the organization and from the interview data to illustrate how paying attention to these elements has helped managers to attain results with staff.

4. Course Goals and Schedule *15 minutes*

Point out that using these seven steps involves putting together everything learned in the course to date.

Review Phase III goals and schedule (Handouts 1-2 and 1-3). The workshop will examine each of these steps in turn and look at how they all work together.

Make a transition to work on the first of these steps, knowing where you want to go and letting your staff know.

Materials

Flipcharts

Step 1 - Individual task instructions
Step 2 - Notes on overview of the three phases
- Diagram from Phase I on management linkages
Step 3 - Lecturette on seven steps
Step 4 - Course goals and schedule

Handouts

1-1 Seven Steps for Getting People to Do the Most Important Things
1-2 Course Goals and Schedule
1-3 Course Schedule (from Phase III Overview)

Vision

Know Where You Want to Go

Total Time: 4 hours, 30 minutes

Goals

1. To recall the concept of vision and the manager's role, review the elements of the vision for the participants' organization discussed during the first workshop, and develop a renewed vision statement for the organization.
2. To give participants an opportunity to consider a vision for their own units--what it should include, how it relates to the larger organizational vision, and how they should be communicating it.
3. To consider some typical problems managers face as they attempt to communicate "where they want to go" to their staff.

Overview

This section returns to the concept of *vision.* In Phase I, vision is discussed in terms of the institution; in Phase II, in terms of the work unit; and in Phase III, in relation to the way the individual is affected. This session gives participants an opportunity to work on step 1 of the seven steps: Know where you want to go and let your staff know. The session has three parts. The first part is designed to recall the work that was done on a vision for the water institution as a whole during the first phase. The concept is reviewed, the group reassesses how they see their organization using the Performance Categories from the *Guidelines for Institutional Assessment - Water and Wastewater Institutions,* and a discussion on what should be the "current" vision is carried out.

The second part focuses on vision for the unit and how it relates to the organization's sense of vision. Participants consider how each unit contributes to the achievement of the overall organization's vision.

Finally, the third part is devoted to issues of *communicating* to your staff where you want to go. Examples of the kinds of problems managers can face as they make an effort to develop and communicate direction are discussed. Participants make plans on what they ought to be doing in their back-home situations.

NOTE: If Session 2 is being held at a location where participants can return to their own units for meetings included in Session 5, the trainer needs to alert participants that tomorrow they will be having a meeting with people in their units to do some collaborative work organization and that they should let people know today.

Procedures

1. Review Progress in Developing a Sense of Vision for the Oganization *20 minutes*

Recall the idea of vision and the manager's role from the first course. Remind participants of the discussion in the first workshop on the elements of an excellent water authority and briefly review the performance categories from the Institutional Assessment Guidelines (Handout 6-1, Phase I).

Recall the group discussion on which elements were most important to work toward in their institution. Ask participants what those elements were. (Be prepared to refresh memories: "The two we chose then were consumer orientation and commercial orientation.") Explain how this session will work on step 1: Know where you want to go and let your staff know. Review the session goals on a flipchart.

2. Small Group Task *30 minutes*

"Let's look at where we were as an organization when we started with this program and your sense of your organization at that time and compare it with where you are now."

Break the large group into 6 to 8 small groups and assign each group one or two of the performance categories from the Institutional Assessment Guidelines.

Ask each group to work together on the following task:

- Review the indicators of performance in your performance category. Choose three indicators for which there is a difference from a year ago.
- For each of these three indicators, give two examples of a positive change that is making a difference.
- Be ready to report out in 25 minutes.

Before breaking into groups, remind participants of the importance of using effective meeting skills. NOTE: Later, in Session 5, there is a brief lecturette on meetings, during which examples should be used. Observing these small groups in action will provide some of those examples.

3. Small Group Report Outs *45 minutes*

As each group reports, get agreement or disagreement from other groups.

Emphasize, as you hear reports, that these positive changes didn't just happen, but were the result of specific actions of managers and staff trying to make things better. Reinforce examples of specific actions taken by course participants, especially when those actions involved using course concepts ("And so calling in the meter readers and asking them 'how do you see the problem' and then working with them to come up with a solution really helped? Sounds like a little CWO?").

4. Focus on a Vision for the Future *15 minutes*

As a way to wrap up this part of the session, ask group as a whole: "Given where you are now, if you were to pick three categories to include in your current vision of your organization, what would they be?"

Review the general consensus of the important elements of the organization's vision. Point out again the importance of the larger organization having a vision, a sense of direction.

"It is equally important that managers develop and communicate a clear sense of direction for their own units. This is the area we will be moving into next."

5. Vision for Work Units *10 minutes*

Point out that people look to the unit manager for vision, for a sense of direction. Use examples to describe how subordinates, peers, and the boss expect participants to play this role. Indicate to participants that what we are talking about is not something extraordinary, but something they are involved with everyday. All managers conceptualize and have a vision of one sort or another, even though it may not be very explicit. Give some specific examples of vision at the unit level.

Let participants know: "You may not have completely thought it out or fully communicated it, but it's there. Let's take a look at your vision."

6. Individual Work *20 minutes*

Remind everyone of the points that were made earlier about the vision for the organization and that unit vision, or sense of direction, is tied to supporting the larger organization's goals.

Highlight what participants said about the organization's vision earlier in this session. Ask individuals to spend some time thinking and making notes on the handout about vision for their own unit. Distribute Handout 2-1, "Vision for the Unit," and give the participants 15 minutes to fill it out.

7. Paired Sharing *35 minutes*

Ask the group: Why is it important to be able to communicate this vision to others? Post responses on flipchart ("lets people know what they should spend time on," "gives people a sense of purpose," etc.).

"Given this importance, let's practice communicating vision."

- Pair up with another person.
- Imagine that the other person is a new staff member in your organization and he or she has asked you to talk about how you see the future of your unit.
- Using your notes from the previous exercise, explain your vision for your unit to the other person.
- The other person should give feedback: What would you have thought if you were a new staff person? Was the vision clear? Was it believable? Would you want to work for this person?
- Trade places after 15 minutes and let the other person share his or her vision.
- Take 30 minutes.

8. Large Group Report Outs *20 minutes*

Back in the large group, lead a discussion.

- What did you think when you heard the other person's vision?
- What did you see the other person doing that helped make the vision clear and believable?
- If you were to do it again, what would you want to make sure to remember to do?

Check whether people think doing this kind of communicating is a good idea. Do managers communicate their vision enough? Why don't people do it more often? Move to some other issues related to communicating vision.

9. Communicating Vision *60 minutes*

Point out that many managers understand the importance of sharing vision, but they do not do it as well or as much as they would like. Use examples from interviews.

"We want to examine some of the problems related to communicating vision."

Break participants into four small groups. Assign each group a critical incident for analysis. Distribute Handout 2-2, "Critical Incidents in Communicating Vision," and give the following instructions:

- Answer the questions for the critical incident assigned to your group.
- Be prepared to report to the full group.
- Take 25 minutes.

Each group reports its responses to the questions. Ask for discussion and alternative points of view from other groups.

10. Application/Wrap-up *15 minutes*

Have participants look back over the notes they made about unit vision and the feedback they received about how they are communicating. Allow a few minutes for review and then quickly recall some of the issues raised during the discussion of the critical incidents. Ask the group for examples of actions they plan to take to communicate their vision more effectively when they return to their work units.

Point out that being able to communicate a unit vision consistently in a few words is essential, but that we should acknowledge that in an ongoing way managers give signals to staff about where the unit is going and what is most important. "One of these ways is through the development and monitoring of performance standards, which is what we'll be working on next."

Materials

Flipcharts

Step 1 - Session goals
Step 2 - Small group task instructions
Step 7 - Paired sharing task instructions

Handouts

2-1 Vision for the Unit
2-1 Critical Incidents in Communicating Vision

Performance Standards

Set Goals and Performance Standards

Total Time: 1 hour, 40 minutes

Goals

1. To review progress in using goals and performance standards in managing the unit.
2. To discuss typical problems related to implementing the use of performance standards.
3. To plan for the next steps to be taken by each manager to use performance standards effectively in unit management.

Overview

At the end of the Phase II workshop, participants were asked to do some work on the issue of "how do you get your staff involved in helping to review, modify, discuss, or add to the mission statement and performance standards (developed during Phase II) in a way that they will become committed to achieving them?"

Participants developed plans, which were reviewed in the Preparation Workbook for this course. This session gives participants an opportunity to analyze some real-life experience carrying out step 2: Work together with your staff to set goals and performance standards. After participants share experiences with other managers, key problems in implementing performance standards are identified and discussed. Following these discussions, participants develop action steps for what now needs to be done back on the job.

Trainers should note comments on this session in the Needs Assessment section of the Overview of Phase III.

Procedures

1. Introductory Lecturette *10 minutes*

Refer to the seven steps. Review the notion of a mission statement leading to performance standards, which was introduced in Phase II. One way to get people to do the most important things is to be clear about what you expect of them. Performance standards that have been developed with staff input are a very important way to let people know what is expected. If possible, give examples from interviews. "We want to carry out several activities that will help you see how this can work in your real-life setting."

Review the session goals.

2. Individual Time to Review Preparation Workbook *10 minutes*

Ask participants to review (or complete) Section B in the Preparation Workbook, which looks at plans for implementing performance standards.

3. Small Group Work *40 minutes*

Ask the participants to form four small groups and give them the following task:

- Go around the table and share with each other some of the thoughts that you recorded in your Preparation Workbook. Where were your successes? Where were your failures?

- As a group, be prepared to share two things with the large group:

  -- What specific actions worked *best* to get others' support and involvement?
  -- Give one specific example of a *problem* you experienced in getting people to accept and use performance standards?

- Take 35 minutes.

4. Report Outs in Large Group *30 minutes*

Each group shares both actions that worked and problems they encountered. Hold a large group discussion that presses the group to examine whether the actions that worked best might be possible solutions for the problems identified.

5. Individual Work on Next Steps *10 minutes*

Individuals return to their notes from the Preparation Workbook and add actions they now believe should be taken so that they can most effectively "work together with staff to set goals and performance standards."

Materials

Flipcharts

Step 1 - Goals of session
Step 3 - Small group task instructions

From Preparation Workbook

Section B: Planning for Implementing Performance Standards

Clarifying Priorities

Decide What the Most Important Things Are and Communicate Them

Total Time: 1 hour, 10 minutes

Goals

1. To give participants an opportunity to identify some of the "most important things" they would like others to be working on.

2. To review some of the ways managers can actively communicate these things to others, especially the boss.

Overview

Sessions 2 and 3 emphasized the importance of having a vision and articulating it for others. They also reviewed problems related to communicating a unit *vision* to others and actions that could be taken to involve others in the development of mission statements and performance standards.

With this as a context, Session 4 begins to look more specifically at the day-to-day actions managers take to influence individual staff to "do the most important things." Step 3: Decide what the most important things are and actively communicate them to others, including your boss, focuses on the ongoing role that a manager plays in stating and clarifying priorities.

This session provides a bridge to the next session and sets the stage for actual work on getting people to do the most important things. Course participants have a chance to identify and share one of those "most important things" they want staff to be working on. It also attempts to help participants be imaginative and creative about the potential opportunities they have for carrying out their responsibility for communicating these "most important things" to others, including their boss.

Procedures

1. Introductory Lecturette *10 minutes*

So far in our discussion of the first two of the seven steps, we have emphasized the importance of having a sense of direction and making the effort to articulate that to others. We've looked at some of the problems related to communicating a unit "vision," and we have reviewed the importance of mission statements and performance standards in sending messages to staff about what is important.

All of these things set a general tone and give individuals in your unit a sense of what they should be focusing their attention on. This framework is very important, but we want to begin to look more specifically at the day-to-day work done in the context of this vision. We want to look particularly at the ways that managers can influence individual staff to "do the most important things."

Step 3, Decide what the most important things are and actively communicate them to others, including your boss, means that on an ongoing basis you as a manager should be stating and clarifying priorities. In order to be clear to others, you must first be clear in your own mind about what are "the most important things."

"We want to spend some time on that question, particularly because it will set the stage for some work we'll be doing later today and tomorrow."

Review the session goals.

2. Individual Task: Your Most Important Things *20 minutes*

Assign the following individual task to give participants a chance to become clear about their own priorities:

- Review for yourself all the things that might influence your priorities:
  - -- The mission statement you developed in Phase II.
  - -- Your newly refreshed sense of vision--both for the organization as a whole and for your own unit.
  - -- Your goals for the next year.
  - -- Data from your unit performance indicators.
  - -- Any other information you might have on how your unit is operating, e.g., perceptions your boss might have.
- Think and make some notes: What are the most important things you want to accomplish in the next three months? Pick one of those most important things to share with the large group.
- Take 15 minutes.

3. Large Group Report Outs *15 minutes*

Go around the room and let everyone share in one sentence or phrase the most important thing they have chosen. List each one on a flipchart.

NOTE: There are several reasons for doing this. It will give the trainers an opportunity to acknowledge the importance of this collective "management agenda." It unit meetings, and it will provide a reference point for the next activities in this session.

4. Ways to Communicate Priorities *20 minutes*

Brief discussion in large group: "What opportunities do you have that can be used to get these ideas across to staff?"

As participants share examples, draw out the range of possible opportunities by pointing to particular examples from the list generated above. For example, someone said "evaluate performance of shift technical assistants who received training three months ago." What mechanism would you use to communicate the importance of this to staff? What about, "Get local authorities to sign agreement for takeover of constructed schemes"? What could you do to communicate the importance of that?

Try to get participants to be expansive about the possibilities and reinforce the point that while meetings and formal memos are important, there are a lot of other ways to get the message across.

Shift to other aspects of this issue: What could you do to communicate actively and confirm your most important things to your boss? For example, someone said earlier, "do a section-by-section training of financial staff on simplification of clerical procedures and improve their productivity." How would you get your boss to understand, agree, be committed to this "most important thing"? Again, attempt to get the group to be expansive and not just limit themselves to "write a memo" or "talk to him."

Finally, press the group about the question, Can you expect that intermediate supervisors will communicate your "most important thing" to lower level staff? What can you do to ensure clear communication of priorities to support staff, secretaries, and other lower level staff?

5. Transition to Session 5 *5 minutes*

Acknowledge the variety of good ideas generated by the group. Point out that in the next session the group will begin to try out some of these things.

Materials

Flipcharts

Step 1 - Goals of session
Step 2 - Individual task instructions

Meetings/CWO

Hold Regular Meetings to Plan the Work

Total Time: 9 hours, 40 minutes

Goals

1. To practice running meetings, both group and individual, that effectively get people to do the most important things.
2. To review the principles of coaching, motivation, CWO, and situational leadership; to consider briefly participant experience in applying them; and to practice the skills of presenting these principles to others.
3. To give and receive "coaching" around some actual work situations.

Overview

This is the most comprehensive session in Phase III. It involves reviewing a number of key management principles, planning for and actually carrying out a back-home meeting, making presentations to the large group, simulating meetings with individual staff members, and giving and receiving coaching on individual problems.

After a lecturette on issues related to communicating in meetings, each participant plans a meeting that will actually be held (or simulated) on the afternoon of day 2. Participants report on these meetings on day 3.

After a review of the principles of motivation, CWO, situational leadership, and coaching, participants practice making presentations. Planning for a CWO meeting on the "most important" things from the previous day with a key individual is carried out and role plays are organized that give everyone a chance to be coached.

Each of these activities is analyzed to again identify those specific things that a manager does to get people to do the most important things. Many of the principles have been covered in earlier phases of the course, but this session provides a significant opportunity to try them and get in-depth coaching and feedback on individual concerns and problems.

This session involves planning a meeting in the classroom and then returning to the work site to conduct the meeting. This approach provides an unusual opportunity to plan for and carry out real-life activities. The discussion after the meeting can be extremely rich; most managers rarely have the opportunity to do an in-depth analysis with peers of how a meeting went. Carrying out the program in this way does require more logistical effort--getting participants transported back and forth to the work site, ensuring that everyone has set up meetings in advance, etc. In some cases, for example, when the training is residential or when large numbers of participants come from regional posts, this approach is not possible and simulated meetings in the classroom will have to be developed, as was done in Phase I.

approach is not possible and simulated meetings in the classroom will have to be developed, as was done in Phase I.

This session extends over two days; because some of its activities may be conducted outside the classroom, paying attention to timing is particularly important.

Procedures

1. Climate Setting *15 minutes*

Refer again to the seven steps. Use the rationale in the overview above and from Session 4 to put step 4 into context. Reinforce the importance of step 4 and describe the consequences if it is ignored.

Present the session goals and activities, including the back-home activities.

2. Lecturette on Reviewing Meeting Guidelines *20 minutes*

Remind participants of the importance of well-run meetings in the "getting people to do the most important things" process. Review "Guidelines for Effective Meetings" using a flipchart and the earlier handout (Handout 11-1, Phase I). Use your observations of meetings held in course sessions as both positive and negative examples.

3. Individual Task *20 minutes*

Have participants work individually on the following task:

- Remember the "most important thing" you identified in the last session. Plan a meeting with your key staff that will get them to understand and agree to your most important task. Address the following in your planning:

  -- What do I want to accomplish in this meeting?
  -- How will I start?
  -- How will I let key people know what I think is important?
  -- How will I get others' ideas?
  -- How will I make sure they know the next steps?

4. Paired Task *25 minutes*

Have participants form pairs, review each other's meeting plan, and give the other feedback on the meeting plan.

Address the following questions:

- Is the meeting agenda clear?

- What do you think of the other person's ideas on getting people to focus on the most important things?

- What one change should be made to the plan to make the meeting agenda clearer or to get people to focus better on the most important things?

5. Conduct the Meeting *2 hours*

This part of the session is intended to give participants the opportunity to go back to their real work situations and actually hold the meeting that they have just planned. This will provide practice using effective meeting skills and focus attention on actions managers might take to get people to do the most important things. In addition, they have had the benefit of working with another person to prepare and will have a chance to discuss the outcome of the meeting when they return to the classroom.

If the location of the training makes carrying out real meetings unfeasible, simulated meetings should be set up in the classroom.

NOTE: If trainers are using a seven-hour day, this is probably the best place to break for the day.

6. Debrief Meetings *45 minutes*

After returning from the meetings, participants should again pair up with the partner with whom they originally planned the meeting to discuss its outcome. Ask the pairs to focus on the following questions:

- What happened? Did the meeting work according to plan?
- How did they get agreement on their ideas? What was the level of commitment?
- Do people have a clear idea of the next steps?

Back in the large group, ask for some comment on the results of these discussions.

7. Wrap Up Large Group Discussion *20 minutes*

As a way to wrap up this discussion, ask: What were the things you did in the meetings to get people to do the most important things? Draw from responses to questions listed above. List the responses on the flipchart.

Emphasize that simply having meetings will not necessarily help you get results but that carefully taking into consideration the points that have been discussed will help "get people to do the most important things."

8. Focusing on Individual Accountability: Make sure each person Knows what performance is expected *10 minutes*

"Group meetings are helpful in clarifying priorities and planning for what is required to get the most important things done. Quite often, however, it is necessary to work with one or two individuals after a meeting to ensure that individuals know what is expected. When a manager works to get people to do the most important things, he or she draws on the skills that you have had experience trying out during the past few months:

- CWO,
- applying principles of motivation,
- using situational leadership for deciding who to use and how to work with them, and
- coaching and helping staff to do things right."

"Before we do more practice in this area of working with individuals, we are going to review these skills and concepts and hear more about your experiences using them."

9. Lecturette on Presentation Skills *20 minutes*

Explain that the next activity will be to divide into four groups and have each group prepare a 10-minute presentation on one of the following topics:

Group 1: CWO
Group 2: motivation
Group 3: coaching
Group 4: situational leadership

Before giving the remainder of the task, point out the importance of presentation skills to managers and use "Hints for Making Presentations" (Handout 5-1) to identify some key things to be kept in mind when making a presentation.

10. Small Group Task *45 minutes*

Break into four groups and assign each group to one of the skill areas.

Give the groups the following task:

- Review your experience of the past few months.

- Prepare a 10-minute presentation for the other groups that

  -- explains the basic principles and definitions of the skill area assigned to your group, and
  -- gives helpful advice on how to use this concept in getting people to perform.

- Choose one or more people to present your ideas to the large group and be prepared to use good presentation techniques.

11. Presentations *1 hour, 40 minutes*

After each of the four presentations, allow time for questions and discussion. Use the "Hints for Making Presentations" as a framework for having the group critique the presentation (e.g., Did he face the audience?).

12. Individual Task *15 minutes*

"Think again about the most important thing you identified in the earlier session and which you discussed in your meeting. Pick one person in your organization who plays a key role and who was probably in the meeting you planned. Keeping in mind the principles we just discussed, plan a CWO conversation with that person as if it were going to be happening in 15 minutes."

Each person should address the following questions:

- What is the task I want this person to do? Is the person willing and able? How will I use situational leadership?

- What will I say to go through the six CWO steps?

- What coaching will this person need?

13. Situation Replays *1 hour, 30 minutes*

In trios, do situation replays (instructions from Phase I, Session 7).

Remind participants that this exercise will give the observers a chance to try out their coaching skills and will give each person a chance to be coached.

14. Large Group Discussion *25 minutes*

Discuss the situation replays in the large group:

- Which steps of the conversation were easy? Hard?
- What happened when you tried to coach this person?
- How does what you did get people to do the most important things?

15. Wrap-up/Bridge to Next Session *10 minutes*

Review the session goals and specific issues related to step 4: Hold regular meetings to plan the work at hand. Make sure that each person knows what performance is expected.

Preview the next session.

Materials

Flipcharts

Step 1 - Seven steps chart
Step 2 - Guidelines for effective meetings
Step 3 - Individual task instructions
Step 4 - Paired task instructions
Step 6 - Paired task instructions
Step 10 - Small group task instructions
Step 11 - Individual task
Step 12 - Situation replay instructions

Handout

5-1 Hints for Making Presentations

Being a Model

Pay Attention to the Most Important Things Yourself

Total Time: 1 hour, 10 minutes

Goals

1. To heighten awareness of the fact that how a manager spends his or her own time provides a model for others on how they should perform.
2. To give participants an opportunity to reflect on their own behavior over the past month and consider how their actions may or may not be reinforcing their efforts to get others to do the most important things.

Overview

This session makes reference to what has been learned in earlier sessions about assigning work to the right people and about monitoring, but it is primarily focused on step 5: Be a model: Pay attention to the most important things yourself. It gives participants an opportunity to reflect on their own use of time and on the kind of model they have been to others in the way they use their time. The session makes use of a self-assessment questionnaire and an action planning handout for notes on changes participants would like to make in the way they use their time.

Procedures

1. Climate Setting *10 minutes*

Review the seven steps covered up to now and highlight step 5: Assign work to the right people. Make sure time is being spent on the most important things. Be a model: Pay attention to the most important things yourself.

Quickly review what has been discussed in the course about assigning work to the right people. Remind participants of the "Planning for CWO" (Handout 7-1, Phase I) steps. Also highlight what has been discussed on monitoring and making sure time is spent on the most important things.

"These issues are very important, but we want to spend some time during this session on the last part of this step, Be a model: Pay attention to the most important things yourself."

Review session goals. Make point that all the good work of a well-executed CWO meeting can be lost if managers end up convincing people by their own example that what they have asked for is not important. "Actions speak louder than words."

Many managers don't realize how powerful their own behavior is as an example to others. Many managers don't use their own time well and end up not motivating their staff. "He says this is important, but look at him."

"We are going to do several exercises to help you to pay more attention to how you use your time and to be conscious of the choices you make and the signals you send to staff."

2. Individual Task *15 minutes*

Think back to last week: What were you doing? How did you spend your time? Give the group this individual task:

- Make a list of what you did last week.
- Make sure it has at least 15 items on it.

When everyone is finished, ask them to give some thought to the question, If someone observed me last week, what would they have thought was most important to me?

3. Large Group Discussion *5 minutes*

Ask the group: What did you find out? Would the way that an outsider saw you be the same as what you consider to be most important? Get responses and ask for examples.

4. Individual Task *15 minutes*

"*Where* you put your energy and time provides one kind of model to staff. Another aspect of this modeling is *how* you spend that time." Distribute "Being A Model for Others--Paying Attention to the Most Important Things" (Handout 6-1) and ask the participants to look back at the past month and how they spent their time. Ask them to fill out the questionnaire and complete the scoring summary at the end.

5. Scoring/Large Group Discussion *15 minutes*

Call attention to the scoring summary at the end of the questionnaire. "How many had more than four 3's? How many had more 2's and 1's than 3's?" Get a sense of the group and its honesty with itself. Say that each 2 or 1 indicates an area in which you could be a better model for others.

Before leaving the questionnaire, ask participants, What other things do you do as a manager to give signals to others about how they should spend their time? About letting them know what the most important things are?

6. Individual Planning/Wrap-up *10 minutes*

Distribute "Action Planning to Be a More Effective Role Model" (Handout 6-2) and give time for individual work. Ask for any comments.

Provide a transition to Session 7.

Materials

Flipchart

Step 2 - Individual task instructions

Handouts

6-1 Being a Model for Others--Paying Attention to the Most Important Things
6-2 Action Planning to Be a More Effective Role Model

Using Performance Indicators

Follow Up Regularly, Check Progress, Talk with Your Staff

Total Time: 2 hours, 15 minutes

Goals

1. To discuss what is involved in using performance indicators as a way to monitor "the most important things."

2. To practice using a report on performance standards for identifying problems together with an employee.

Overview

In this session, small groups work on a case study designed to focus attention on how to monitor performance indicators in a way that helps people understand what is most important. The case study provides data for a number of performance indicators in a hypothetical unit, and groups are asked to analyze these data and decide how to approach a key staff member to get performance problems solved.

Depending on the time used earlier in the day, day 3 could conclude after Session 6 or some work could be done on Session 7.

Procedures

1. Climate Setting *20 minutes*

Review the seven steps. Discuss the importance of regular monitoring and remind participants of points made in Phase I on monitoring. Ask, Have you been monitoring others' work more consistently since the first workshop? Ask for examples of approaches or systems that they are using to monitor work.

Point out that this session will focus on one aspect of monitoring, using performance indicators as the basis for monitoring and problem solving. Review the session goals.

2. Small Group Task *45 minutes*

Distribute Handout 7-1, "NAWA Commercial Performance Indicators" and break participants into four groups. Assign the following task:

- You are a regional manager in NAWA. Your commercial manager has prepared this report on performance. Soon you will meet with this manager. Discuss and come to agreement as a group on two questions:

  -- What questions will you ask?
  -- What are the two most important things you need to talk about?

- For the sake of this exercise, assume that the two of you have not had a chance to review this performance data together for several months.

- Take 40 minutes for this task.

3. Large Group Discussion *45 minutes*

First, have each group report its findings on the first item, What questions will you ask? Encourage groups to look at data correlation and the implications of one set of indicators for another. Pay attention both to what is going right as well as what is going wrong. Press discussion on areas in which the group thinks additional information is needed.

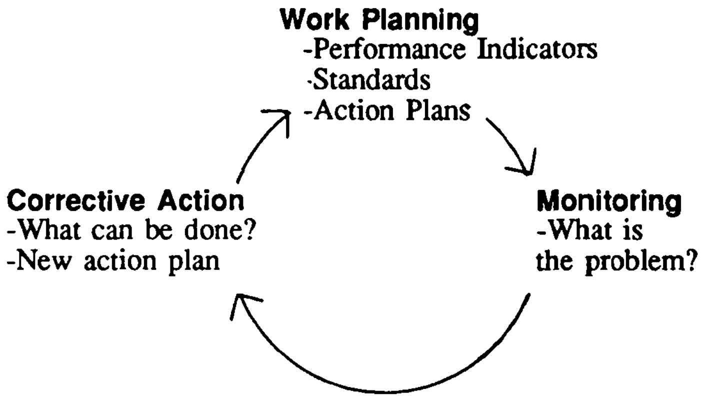
Before going on to the second question, tell the group you want them to listen very carefully to each other's reports. "After we hear from all the groups, we want to reach agreement on whose 'important things' were the best. As the groups report out, help them listen to each other's reports by asking, Okay, who can paraphrase what was just said?

Compare similarities and differences in the two things chosen by each group. Press discussion around, Why was this one of the most important things? In the discussion with this person, how will you get him or her to work on this "most important thing"?

Close this discussion by trying to get the small groups to agree on whose "important things" were the best. Note: We'll come back to this in the next session.

4. Lecturette on Using Performance Indicators to Initiate Problem Solving Activities *10 minutes*

As a way to tie up the discussion on how to get a person to work on the most important thing, briefly discuss how monitoring using performance indicators fits into the work planning process. Using the flipchart, describe the following process.



5. Large Group Discussion *15 minutes*

After the lecturette, hold a brief discussion on how this process would work. In the large group, ask participants to walk through the cycle with the NAWA commericial manager's subordinate. "What kinds of questions would you ask to find out what the problem is?" (Refer back to those generated by group.) "How would you get the person involved in discussing what can be done? How would you use CWO?"

Wrap up session and provide transition to the next session.

Materials

Flipcharts

Step 2 - Small group task
Step 4 - Monitoring and the work planning process

Handout

7-1 NAWA Commercial Performance Indicators

Formal Performance Evaluation

Give Staff Feedback on Their Performance

Total Time: 3 hours, 15 minutes

Goals

1. To review the principles of giving and receiving feedback.
2. To define *formal performance evaluation* and analyze the barriers to carrying it out effectively.
3. To identify the two most critical elements of performance evaluation.
4. To plan how those two elements could be carried out with employees.

Overview

In this session, participants review what they have learned about giving and receiving feedback. After a discussion of potential difficulties and benefits of carrying out performance evaluation, a framework for formal performance evaluation is developed. Small group work is focused on participants' planning steps they will take in their own organizations.

This session is designed for organizations in which no performance evaluation process is in place, or in which it is not functioning in a satisfactory way. The session builds the rationale and provides the framework for further work in this area by participants.

NOTE: The session may have to be modified to some extent based on the personnel evaluation practices of the participants' organization. Trainers may want to involve representatives of the organization's personnel department.

Procedures

1. Climate Setting *25 minutes*

Review the seven steps. Review the entire process of having a vision and working to get the best out of people, focusing on the most important things and setting up a framework for responsibility/accountability.

Highlight step 7: Let people know how they are doing. Review the goals for the session.

Remind participants of the work that was done in Phase I on giving and receiving feedback (Handout 5-1). Ask the group, Does anyone remember any of the "guidelines" for giving feedback? Try to get the group to generate as many guidelines as possible and then review the full list on a flipchart.

2. Defining Performance Feedback/Evaluation *15 minutes*

"We want to emphasize the importance of regular, consistent, *everyday* feedback." Ask the group, Why is giving feedback important? Post the responses on a flipchart.

"We want to move today to a more formal part of giving feedback--the performance evaluation or appraisal." Define what is meant by formal performance evaluation:

Performance Evaluation

- A procedure that takes place at least once a year for all employees (top to bottom).
- Is designed to provide formal performance feedback:
  - -- praise for good work
  - -- constructive and corrective information on how to improve.
- Is written, usually on a standardized form.
- In most organizations, it is an administrative requirement before granting any step increase in salary or promotion.
- Is retained in the permanent file of each employee.

Point out that performance evaluation has been adopted as a formal procedure in modern organizations throughout the world only within the past 30 years. All cultures find it difficult to discuss performance directly. When the procedure was first introduced to managers in Europe and the United States, they resisted it. Now, it is done regularly with good results in most modern civil service system and private organizations worldwide.

3. Small Group Task *40 minutes*

Remind the group of what happened during the last session. "Remember we asked you to agree on whose questions were the best? Was that hard? Why?" Responses may include "no criteria," "didn't want to hurt anyone's feelings," "they were all good," etc.

"It is hard to evaluate someone else's work. We want to take some time discussing why you think it might be hard to do performance evaluation in this organization."

Break into four small groups and give this task:

- List the barriers to carrying out formal performance evaluation.
- List the reasons why you think it is important to do it.
- Take 35 minutes.

4. Full Group Discussion *25 minutes*

Ask the groups to report out. Probe the barriers. "Is this true? Is it really a myth?" Review why performance evaluation is important and acknowledge that there are barriers and that it is hard. "That's why we're spending time on it."

5. Lecturette on Learning How to Do Formal Performance Evaluation *20 minutes*

Point out that good formal performance evaluation has two parts:

- what you do at the beginning of an evaluation cycle, and
- the actual conversation you have with someone at the end of the cycle.

"At the beginning of the cycle, you have a conversation in which you share your expectations of someone. It is like a CWO conversation in which you get someone to understand goals, standards, and the criteria that will be used to evaluate performance." The actual evaluation conversation can take a number of forms, but usually has the following elements:

- A standardized form is used.
- A draft appraisal is written by both the supervisor and the employee separately on the employee's performance for the year.
- A private meeting is held in which each reads the other's draft appraisal. A discussion is held, and the supervisor explains why he or she has given the ratings and cites specific examples of performance. The employee responds. Agreements are made about what the employee will (a) continue to do because it is successful and (b) change or improve for the future.
- A final written form is produced by the supervisor. Usually, the employee has the right to write down any exceptions he or she wants to take to the evaluation, which are attached to the form. Both sign the form.
- The next immediate supervisor reviews the form to make sure that it is fair and consistent with the type of evaluations being made by other supervisors, initials it, and sends it to the personnel file.

Illustrate the above points with elements of the organization's performance evaluation process. Distribute Handout 8-1 and ask if there are any questions.

6. Small Group Task: Focus on the Beginning of the Rating Cycle *40 minutes*

Ask the group to suppose it is the beginning of a rating period and they want to meet with their immediate staff individually to let them know how this evaluation process is going to work for them.

Form into four small groups and give Task 1 to two groups and Task 2 to two other groups.

Task 1:

- List the steps you would carry out in a meeting with someone to let him or her know that he or she is going to be rated over the next 12 months. (Possible responses would be: show and explain form, criteria, how you will monitor, review points, etc.)

Task 2:

- What questions from the person do you think you should be prepared to answer? (Possible responses might be: what are my duties? which are the most important? what is the purpose of the evaluation? what is the means of measurement? how can I be assured it will be fair? what if I don't have sufficient resources to do my job? am I supposed to be doing this with my staff, too?)

7. Report Outs to Large Group *25 minutes*

Have the groups that worked on Task 1 report out first. Get questions and reactions from other groups. Ask, Are you prepared to deal with the questions from your staff generated in Task 2?

Move to question of what do you do at the end of the cycle. "If you were meeting next week, what would it be important to keep in mind as you hold these meetings with your staff?" Post the responses on a flipchart.

8. Wrap up Performance Evaluation *5 minutes*

Tie what has been learned back to step 7 and to the role of a manager.

Materials

Flipcharts

Step 1 - Session goals
- Giving and receiving feedback (from Session 5, Phase I)
Step 2 - Performance evaluation
Step 3 - Small group task instructions
Step 5 - Two parts for performance evaluation
- Elements of actual performance evaluation conversation
Step 6 - Small group task instructions

Handout

8-1 Elements of Formal Performance Evaluation

Wrap-up/Continuing Education/Course Closing

Total Time: 2 hours

Goals

1. To summarize and wrap up discussion of the seven steps for getting people to do the most important things.
2. To discuss what participants might do to continue to develop their management skills.
3. To close and evaluate the Phase III course.

Overview

This session concludes the course by providing an opportunity to review what has been discussed and what steps participants will take upon returning home. Time is also given to discussing continuing development of management skills.

Procedures

1. Review Seven Steps *20 minutes*

Review the session goals. Again go over seven steps for getting people to do the most important things. Ask for remaining questions.

"What else can you do to get people to do the most important things? Which ones will be the hardest to do on a regular basis?" Get a show of hands on each one. "Let's talk about how to help."

2. Application Planning: Individual and Pairs Tasks *40 minutes*

Assign the following individual task:

- Go through your notes from this workshop and review all the actions you might take to implement the seven steps more effectively.
- Pick five things you plan to do next week.
- Pick one thing you want to be better at three months from now.
- Take 15 minutes.

Then ask participants to pair with a neighbor, review each other's list of things to do next week, and give each other feedback. Allow 15 minutes for the pairs' activities.

3. Continuing Management Development *30 minutes*

Go around the room and ask each person to announce the one thing he or she wants to be better at three months from now. Write the responses on a flipchart.

Remind participants of the kinds of things that were done between previous workshops to support ongoing management development--Skill Improvement Groups, trios, preparation workbooks, task forces, and so on. Brainstorm the kinds of things that could be done to help everyone achieve their three-month managment development goals. Facilitate planning for how this could happen.

4. Course Closing and Evaluation *30 minutes*

Words of closing.

Distribute course evaluation form (Handout 9-1) and ask participants to complete it.

Materials

Flipchart

Step 2 - Individual task instructions

Handout

9-1 Course Evaluation Form

Seven Steps for Getting People to Do the Most Important Things

1. Know where you want to go and let your staff know.
2. Work together with your staff to set goals and performance standards to measure your unit's achievement of goals. Get sufficient resources to achieve your goals.
3. Decide what the most important things are and actively communicate them to others, including your boss.
4. Hold regular meetings to plan the work at hand, Make sure each person knows what performance is expected.
5. Assign work to the right people. Make sure time is spent on the most important things. Be a model—pay attention to the most important things yourself!
6. Follow-up regularly, check progress, talk with your staff. Look at performance indicators. Ask: Why is there a problem? What can be done?
7. Give staff feedback on their performance regularly. Reward good performance. Conduct formal performance reviews.

Course Goal

The goal of the third workshop is to strengthen those management skills that are used to get people to do the most important things, including

- Developing and working toward a common vision
- Communicating with staff and boss
- Identifying and using measures of performance
- Using collaborative work organization techniques to build accountability
- Running meetings effectively
- Providing performance evaluation

Vision for the Unit

- What is the most important thing your unit does?

- What could your unit do better that would help the organization as a whole better achieve its vision?

Critical Incidents: Communicating Vision

Imagine that you have four friends who are managers in the water authority. Each of them has come to you to ask for your ideas about a problem they are facing. What advice would you give your friends on what they should do?

Situation 1

I have thought very carefully about what our unit could do to make improvements in the way we contribute to the organzation's goals related to serving consumers better. When I shared my ideas at a staff meeting, my people laughed and said, "Why should we take on more work when we don't have the people to do what we're supposed to do now?" I could tell that I was not being taken seriously and so I stopped talking about my ideas.

- Did I do the right thing?
- What should I have done?
- What should I do now?

Situation 2

I don't think I am the right one to be deciding what the direction of our unit should be. Staff come to me and ask me what the priority is and I usually have to say "I don't know" because my boss seems to be concerned about other things and doesn't seem to have any concern for communicating priorities and direction for my unit. Why doesn't someone make it clear what it is I should be doing?

- Should I be taking a different approach to getting priorities set in my unit?
- What should I say to my boss? What should I be saying to my staff?
- What steps should I take right now?

Situation 3

My problem is my boss just isn't clear about what he wants. He sits in his office most of the time, but every once in a while he will come out and ask why we haven't finished a particular task. Many times I did not even realize the work he is interested in was a priority. It makes me look bad with my staff. I'm afraid if I lay out a direction for our unit, I will just be overruled and embarrassed by my boss.

- Why do you think my boss is acting this way?
- What steps should I be taking with my boss to make sure unit direction is clear?
- What should I be doing with my staff to make sure they understand which direction our unit is taking?

Situation 4

I believe that it is really important to let people know where the my unit is heading, but I don't think I should say anything right now. In a few months, I think I will be getting some additional staff and a major new project might get funded. I'm going to wait and see what happens and then tell my people where we're heading.

- Do you think I'm doing the right thing?
- What are the disadvantages of waiting to let people know what the direction is?
- What other approaches could I be using?

Hints for Making Presentations

1. Use a flipchart with the major talking points written on it.
2. Face the audience (not the flipchart).
3. Talk loudly and confidently.
4. Prepare yourself by thinking of the first thing you will say.
5. Any presentation has three parts

   -- an introduction—tell them what you are going to tell them
   -- the body—use examples, explain everything at least twice; check to see if you need to clarify.
   -- the end—tell them what you have told them by summarizing.

Being a Model for Others:

Paying Attention to the Most Important Things

Think about how you have been spending your time over each of the past four weeks. Rate each question for yourself -- Was this statement *always* true, *sometimes* true, or *rarely* true for you during this time?

1. The problems I spent most time on were related directly to things that I think are "most important."

Not true or rarely true	Sometimes true	Always true
1	2	3

2. My way of monitoring let everyone know what I thought was "most important" and made it possible for me to know the status of all "most important things" at any given time.

Not true or rarely true	Sometimes true	Always true
1	2	3

3. When I was absent from the office for any reason, my people still understood where to put their time and attention. The work did not stop.

Not true or rarely true	Sometimes true	Always true
1	2	3

4. I let people know what I was doing and why I thought it was important--I didn't just sit in my office or leave for long periods of time.

Not true or rarely true	Sometimes true	Always true
1	2	3

5. When I made a field trip, I asked good questions and let people know that I understand field problems. I never used field trips as simply an opportunity to get away from the office and enjoy myself.

Not true or rarely true	Sometimes true	Always true
1	2	3

6. I spent a significant amount of time *each day* carrying out CWO meetings, monitoring, coaching, and giving employee feedback.

Not true or rarely true	Sometimes true	Always true
1	2	3

7. When I had a meeting, I let people know why we were having it. They understood what the purpose of the meeting was.

Not true or rarely true	Sometimes true	Always true
1	2	3

8. When I looked back at each week, I had a sense of having accomplished something. I felt my work had a purpose.

Not true or rarely true	Sometimes true	Always true
1	2	3

Scoring

Number of 3s: ____

Number of 2s: ____

Number of 1s: ____

Action Planning to Be A More Effective Role Model

Getting People To Do the Most Important Things

1. Things I need to do more of ...

2. Things I need to do less of ...

3. Steps I need to take to make sure that I am a model for others and paying attention to the most important things myself ...

NAWA Commercial Performance Indicators

	April	May	June	July	August
Revenue billed (in millions)	13.5	14.0	14.1	14.0	13.9
Collections (in millions)	13.7	13.5	10.2	10.3	12.9
Billing Lag (days)	90	60	60	45	30
Debt Outstanding (cumulative, in millions)	182	182	183	187	188
Complaints/1000 customers	35	47	32	30	35
Disconnections performed	263	275	102	-	157
Disconnections outstanding	302	280	402	603	522
Defective Meters	4600	4750	4850	4880	4950
Defective Meters reported	301	257	292	308	275
Defective Meters rectified	120	115	200	275	112

Elements of Formal Performance Evaluation Conversation

An actual performance evaluation conversation can follow a number of different formats but usually include the following elements:

- A standardized form is used.
- A draft appraisal is written by both the supervisor and the employee separately on the employee's performance for the year.
- A private meeting is held in which each reads the other's draft appraisal. A discussion is held, and the supervisor explains why he or she has given the ratings and cites specific examples of performance. The employee responds. Agreements are made about what the employee will (a) continue to do because it is successful and (b) change or improve for the future.
- A final written form is produced by the supervisor. Usually, the employee has the right to write down any exceptions he or she wants to take to the evaluation, which are attached to the form. Both sign the form.
- The next immediate supervisor reviews the form to make sure that it is fair and consistent with the type of evaluations being made by other supervisors, initials it, and sends it to the personnel file.

Course Evaluation Form

We appreciate your taking the time to complete this questionnaire. We want to know what has been useful to you so that we can follow up in the future. Please indicate your answers below.

A. Evaluation of Course Goals

The following goals were listed on the first day of the course. Please rate how well each was achieved.

The overall goal of the Phase III workshop was to strengthen those managment skills that are used to get people to do the most important things, including

1. Developing and working toward a common vision.

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

Comments:

2. Communicating with staff and boss.

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

Comments:

3. Identiftying and using measures of performance.

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

Comments:

4. Using collaborative work organization techniques to build accountability.

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

Comments:

5. Running meetings effectively.

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

Comments:

6. Providing performance evaluation.

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

Comments:

B. Evaluation Feedback, General

1. Of the things that you have learned in this course, what has been most useful to you?

2. What feedback do you have for the instructors?

   Comments for _____________:

   Comments for _____________: