



# **Designing Human Settlements Training in European Countries**

## **Volume 2: Trainer's Tool Kit**

**HS/347/95E  
ISBN 92-1-121270**

# TABLE OF CONTENTS

	Page
Foreword	3
Introduction	4
The lecture	5
Visual aids	8
Question and answer	11
Discussion	12
Demonstration	13
Simulation	15
The case method	22
Critical incidents	24
Role-playing	26
Instrumentation	28
Brainstorming	33
Nominal group technique (NGT)	34
Force-field analysis	35
Action planning	37
Other learning transfer strategies	39
Performance analysis and needs assessment	42
Training impact evaluation	45
Training the staff to train	49
Coaching	53
Team development	56
Role negotiation	61
Intergroup conflict intervention	64
Organizational goal setting	67
A closing note	70

## FOREWORD

Owing to the rapid pace of urban growth in the developing countries and the scarcity of resources, the need for competent managers rises dramatically each year. For this reason, the United Nations Centre for Human Settlements (Habitat) has, for more than a decade, been offering training programmes for urban managers aimed at closing the skills gap and promoting new approaches, methods and techniques. The need for training, however, far exceeds UNCHS (Habitat)s capabilities. Further, many local training institutions are not used to and, in some cases, are reluctant to design training programmes that respond adequately to the emerging requirements of human settlements managers. The problem is compounded by a general absence of information about designing training programmes that promote learning - programmes that, therefore, have high potential for bringing about the needed changes in work performance.

This publication, in two volumes, is intended to close the training information gap. *Designing Human Settlements Training in European Countries* was written by Fred Fisher and David W. Tees of the International Development Institute for Organization and Management (IDIOM), in collaboration with UNCHS (Habitat) Training Section staff with Professor Laszlo Lacko, Ms. Nora Horcher and Ms. Agnes Bohonyey who assisted in preparation of the European version of the manual. The training materials were produced within the Settlements Management Training Programme Capacity Building Project funded by the Government of the Netherlands and were field-tested in the UNCHS (Habitat) training courses in Africa, Asia, Europe and Latin America.

This manual is a contribution to human-resource development and institutional capacity-building needed to facilitate best practices in settlements management and development, one of the key objectives of the second United Nations Conference on Human Settlements (Habitat II) held in Istanbul in 1996.

Dr. Wally N'Dow  
Assistant-Secretary-General  
United Nations Centre for Human Settlements (Habitat)  
Secretary-General  
United Nations Conference on Human Settlements (Habitat II)

*To look is one thing. To see what you look at is another.  
To understand what you see is a third.  
To learn from what you understand is still something else.  
But to act on what you learn is all that really matters.*

**-- Michael LeBoeuf**

# INTRODUCTION

Ask any experienced trainer and you will be told that good training doesn't just happen - it's carefully designed. When we speak of designing training, we mean deciding on the learning resources we intend to use and how we intend to use them to reach our training goals.

Our purpose in this volume is to introduce you to some of the learning resources you can rely on to meet your own training goals. What do we mean by learning resources? Imagine you are a carpenter who has just been hired to build a house for an important client. You are excited. "A house to build, and a big house too," you say. "That's great!" However, in a little while, the initial flush of excitement is replaced by something else - a measure of doubt and uncertainty. Maybe you've never built a big house before. Where do you start? What materials do you need? What tools? Shouldn't you have a set of plans before ordering anything? What does the client mean by a "big" house, anyway?

So, what do carpenters and big houses have to do with training? Just this. You might think of the house in our story as a training programme - a big training programme. Likewise, you might think of the resources you need as tools - the tools a carpenter might need for a house-building task. Now you're beginning to understand why we chose the name "Trainer's Tool Kit" for this volume.

There are so many tools available to trainers these days that it was hard to know what to include and what to leave out of our tool kit. We have chosen some of the time-honoured techniques used by trainers the world over. We have included a few favourites of our own as well.

Our tool kit is easy to use. Each tool is explained in detail. In many cases, the explanation is followed with a practical demonstration or example of the tools as we or others have used them to enrich a training programme. One caution! While all of these tools are believed to have value in facilitating learning anywhere in the world, the specific examples we have used to explain them may not have. Given this possibility, you should consider our examples as guidelines for making up tool kits of your own - with tools that will be understood and accepted easily by the people who will be attending your programmes.

## **Learning Emphasis**

Before you open the tool kit, we want to share some of our assumptions about adult learning and how these assumptions relate to the tools in the kit. You may recall from the case study presented in Volume 1 of *Designing Human Settlements Training in European Countries* that we subscribe to the idea of learning as a multi-staged process consisting of three steps or areas of learning emphasis: (a) presenting, (b) processing, and (c) applying. In other words, learning begins when someone is exposed to a new idea and ends when the idea is internalized and put to use in the form of a new skill or behaviour. The first step, presenting, involves conveying or generating new information through lectures, discussions, demonstrations, coaching, brainstorming and the like. If the process stopped at this point, however, training would be little more than fun and games.

Next, participants engage in processing or reflecting on and practicing with new ideas in the relatively safe training environment. Role-playing, the case method, critical incident analysis, team development, role negotiation and other techniques can help people think about and become intellectually committed to new ways of thinking and doing things. However, even this is not enough to bring about real learning. If training is going to transfer from the training environment to a participant's daily work routines, steps must be taken while participants are still in training, to help them think about and plan for the application of what they have been learning. Force-field analysis, learning contracts, training trainers and application checklists can help with this important transition phase.

## **Organizational Focus**

We also subscribe to the notion that learning is a process that occurs within a single individual but that it can affect the behaviour of groups and whole organizations as well. While some training tools focus principally on groups of learners - lectures, case studies, and role playing, - others, like coaching, training trainers, and learning transfer focus principally on individual learners. A third group of tools, including instrumentation, performance analysis, impact evaluation, intergroup interventions and organization goal setting, can be used to facilitate learning on a multi-group or organization-wide scale.

On the next couple of pages you will find two diagrams. In the first diagram, the 23 learning tools presented in the tool kit are shown in relation to the three stages of learning described above: presenting, processing and applying. In the second diagram, the same tools are presented in relation to their usefulness for facilitating learning in individuals, groups and organizations. Each of the tools is shaded according to the area of learning emphasis and organizational focus it supports: black = "mostly used for;" gray = "somewhat used for;" and white "seldom used for."

It's time to open the tool kit. May it serve you well, and - **good training to you!**

	Presenting	Processing	Applying
Lecture	█	█	
Visual Aids			
Question and Answer	█	█	█
Discussion	█	█	█
Demonstration	█	█	
Simulation			
Case method	█	█	█
Critical Incident		█	█
Role-playing		█	█
Instrumentation	█		
Brainstorming			
Nominal group		█	█
Force field analysis		█	█
Action planning		█	█
Learning Transfer		█	
Performance analysis and needs assessment	█	█	
Training impact evaluation			
Training the staff to train	█	█	█
Coaching			
Team development			█
Role negotiation			█
Intergroup conflict intervention			█
Organizational goal setting	█	█	█

Mostly	█
Somewhat	█
Seldom	█

	Individual	Group	Organization
Lecture		█	
Visual Aids			
Question and Answer	█		
Discussion	█		
Demonstration	█		
Simulation			
Case method			
Critical Incident			
Role-playing			
Instrumentation	█	█	
Brainstorming			
Nominal group			
Force field analysis	█	█	
Action planning			
Learning Transfer		█	
Performance analysis and needs assessment		█	█
Training impact evaluation	█		
Training the staff to train	█	█	█
Coaching		█	
Team development			
Role negotiation			█
Intergroup conflict intervention			█
Organizational goal setting	█	█	█

Mostly	█
Somewhat	█
Seldom	█

## THE LECTURE

Learning Emphasis
█
Organization Focus
█

*Hearing a learned person talk is like sitting in a spring breeze  
- Chinese Proverb*

The lecture is a presentation made by an instructor to furnish information needed by a group to carry out task-relevant activities. Lectures are used to convey concepts and subject-matter details and to stimulate critical thinking. Used correctly in conjunction with other learning methods, lectures can get people informed, involved and comfortable with learning new things. When used as the sole or principal learning technique, however, the lecture is generally ineffective compared with other methods.

Lectures can produce an "I talk, you listen" expectation between teacher and participants. As students in school, we all learned what its like to be "lectured" to. When we think of the lecture, what comes to mind for most of us is a teacher we had as children in school, up there at the front of the room, speaking at length on a subject, gesturing and, perhaps, making notes on a chalkboard, while we listened patiently and took notes feverishly on everything being said. When exposed to the lecture method again, as adults, we are likely to behave the way we did as children in school - mostly passive and apathetic.

It is hard to imagine that any trainer wants passive and apathetic participants. Yet, that is the inevitable result of using the lecture as the principal teaching technique. What is the alternative? It's not to use the lecture as an end in itself as many teachers do. Rather, the alternative is to use the lecture to support other planned activities that can stimulate participants to be actively involved in the learning process.

Lectures are more than just a way of presenting information. They can be used at the start of a programme to establish the working climate for a group, promote interest in learning and reduce participant anxiety. They may be used at any point to stimulate task-related thinking, to introduce skill practice exercises, to prevent misunderstanding or to test

progress. Finally, lectures may be used at the conclusion of training to summarize important learnings and to encourage learning transfer.

In other words, the lecture is a dynamic and versatile method in the hands of a trainer who knows how to use it in an effective, participant-centered way. Effective, participant-centered lectures have three characteristics in common. First, they take into account the amount of information on a subject that a group of participants can absorb and retain at one time. Secondly, they are structured appropriately for their intended purpose. Thirdly, they employ a variety of techniques to engage participants actively in the process of learning.

### **One idea at a time**

People have limited short-term memories; that is, they can only absorb so much information at one time before reaching saturation. Delivering information is like pouring liquid through a funnel. If we pour too fast, the liquid will spill over the sides of the funnel, but, if we pour more slowly, we can prevent spillage, or we can stop from time to time to allow the liquid to drain before we continue. Funnels and lecturettes have much in common. If the trainer's objectives is to achieve better performance on the job, participants must be given a chance to absorb one thing thoroughly (understand how it works, practice using it, make plans to apply it) before more information is delivered.

Another consideration in the delivery of information is the use of repetition to enhance participant retention of important points. According to Albert Mehrabian, when people are exposed to an idea one time, they retain 10 per cent or less of it after 30 days. Yet when exposed to the same idea six times, with reinforcement at intervals, their retention rate is 90 per cent after 30 days. The implication for trainers is to design lecturettes that repeat key points many times following this familiar rule of learning reinforcement:

*"First, you tell 'em what you're gonna tell 'em; you tell 'em; and then, you tell 'em what you told 'em."*

The principal message: It is better to design a lecturette that will insure the mastery and job application of just one new skill than to cover 10 skills superficially and see no result.

### **A three-part structure**

Lecturettes are by necessity brief and to the point. They limit the information to be presented to one or a couple of related points. Their structure consists of a provocative beginning, a convincing middle and a strong ending.

A provocative beginning to a lecturette creates interest and a desire to learn more about the subject under discussion. It is incumbent on the trainer to answer the inevitable question in the mind of every participant: "What's in it for me if I learn this material?" This question can be answered with a brief review of (a) what the participants are being asked to learn, (b) why learning it is worthwhile and personally valuable, (c) how learning it will help them reach an important goal or overcome a major obstacle, and (d) how the activities in which they will engage will help them learn it.

Sometimes a provocative statement can be used to focus attention on the subject of a lecturette. One of the authors once began a lecturette on high-impact writing with this statement. "There are four reasons a writer ought to have his hand cut off." This usually gets the attention of participants. No one seriously believes that anything would justify cutting off someone's hand, but the comment gets attention and creates readiness to hear what comes next.

A convincing middle to a lecturette supports the central idea introduced at the beginning. This is the "meat" of the presentation - the substance that gives participants the basis for beginning the process of skill development or behavioural change. The most important thing to keep in mind when presenting information is the KISS principle: "Keep it simple and specific." That means using words with which participants are familiar and avoiding ambiguous words, terms and statements that could reduce the credibility of the lecturer.

Beyond being simple and specific, there are other techniques the trainer can use to advance a central idea in a logical and persuasive way. One is to use examples or representative instances of a situation to prove or clarify a general statement. Another is to state facts which are statements about future or past conditions that can be verified by third parties or direct observation. Still another is to quote from authorities - reliable, recognized sources other than the trainer - to support a point. Statistics are a convincing way to express factual relationships in numerical terms. Anecdotes often are used as colourful illustrations of a point to be made.

The lecturette can be used in close association with many other training methods described in the tool kit. Encouraging participants to collect their thoughts and develop questions can serve as an effective review and clear up misunderstandings. Use of media, such as flip charts, overheads and films, can introduce some variety to a lecturette and improve participant understanding and information retention. Having participants read and react to handout materials related to the subject can provoke discussions with enormous learning value.

The closing to a lecturette reinforces key points and suggests how participants might use them to improve back-home performance. This is a good point in a lecturette to stop and ask participants to share, either individually or through small group discussion, the ideas they have picked up. The closing serves as a review, provides feedback on whether or not key points have been assimilated, and acts as a transition to the next activity.

For example, the trainer lecturing on how to close a lecturette might conclude this way:

*"The closing to a lecture is important to building retention and ensuring on-the-job application of new skills. You've experienced it here. You've learned about several valuable tools you can use to close your own lecturettes. You can improve the quality of your own lecturettes if you'll just apply the techniques we have been discussing here."*

### **Getting people into the act**

Many trainers see their role as information deliverers and not learning facilitators. Getting the message across is the main thing. These trainers often argue against participant involvement because they fear it will lessen their control over the training process. In fact, it is sometimes argued that time is too short and that there is too much material to cover to allow participation.

What is the trainer's task? Is it simply to cover the material, or is it to enable participants to perform on the job? It has been said that people will tend to support what they help to create. Applied to training, participants can be expected to accept something and believe in it, if they have been given an opportunity to talk about it and try it out first-hand for themselves. This does not happen just by hearing the trainer talk about it. Acceptance and belief require first-hand involvement experiential learning. The trainer must function not only as a presenter of content but as a catalyst for significant participant involvement in the learning process.

There are several ways a trainer can use the lecturette at the start of a programme to get a group of participants involved in their own learning. One way is to have them identify their expectations for the programme by completing statements like,

*"The best fitting that could happen for me as a result of my participation in this programme is ...."*

Another is to have participants identify personally with the subject of the lecturette by completing a sentence about it. In a programme on stress management, they might be asked, for example, to finish this sentence:

*"Stress is ..."*

Still other experiential techniques might be used by a trainer in conjunction with lecturettes at any point in a training programme. One is to have participants think of and discuss situations, which they know about or have experienced personally in order to illustrate a statement like this one:

*"A manager may be required to use different styles with different employees."*

Another technique a trainer might use in a lecturette is to have participants say, in their own words, what they heard the trainer say about a subject. For example, the trainer might ask a question:

*"How can communication reduce stress?"*

The trainer would then supply the answer. This would be followed by appropriate follow-up questions that participants would be expected to answer.

The trainer might embellish a lecturette with other participant-involving techniques. One is to have participants interview one another on a particular topic or point from the lecturette and report their findings and/or conclusions. Another is to give participants handout materials that review and summarize the key points covered in a lecturette.

Experiential techniques can be useful to the trainer in closing a programme. These might include having participants develop a list of questions about something covered in a lecturette, and then, working in small groups, having them prepare some questions to ask the trainer. Also, the trainer might ask participants to make a personal commitment to themselves or to another member of the group to begin using a new skill or behaviour discussed in a lecturette on returning to the work environment. Examples of other techniques for back-home application of learning are presented elsewhere in the tool kit.

## Summary

The lecturette is the most important method available to a trainer to convey information and ideas to a group of participants. Successful lecturettes are carefully planned with three considerations in mind. First, they are brief, focused on a few key ideas and paced to deliver information in "bite sized" chunks. Secondly, they are carefully designed to include provocative beginnings convincing middles and strong endings. Thirdly, lecturettes provide participants with an opportunity to be actively involved in their own learning.

## VISUAL AIDS

Learning Emphasis	
Organization Focus	

*One picture is worth a thousand words  
- Confucius*

Participants in training learn quickly and thoroughly when a lecturette is supported by visual aids. Studies at several universities have demonstrated that the time required to present an idea was reduced up to 40 per cent and the prospect of favourable results was enhanced when visual aids were used to augment a verbal presentation. The value of visual aids as a stimulant to learning is emphasized by leading authors on communications effectiveness. David Peoples points out, for example, that a picture is three times more effective than words alone, and words and pictures together are six times more effective than words alone. Individuals gain 75 per cent of what they know visually, 13 per cent through hearing and 12 per cent through a combination of touch, smell and taste.

Visual aids come in two varieties - projected and non-projected. Among the projected types are films, videotapes, slides, film strips, computer graphics, opaque projections and overhead transparencies. Non-projected visual aids include physical objects, pictures, posters, flip charts, maps, audio tapes, chalk boards and bulletin boards.

There are many reasons why the trainer should make regular use of properly designed visual materials in lecturettes. According to Robert Pike, some of the most important are that they:

- Attract and maintain the attention of participants
- Reinforce important ideas
- Support ideas stated verbally
- Increase retention
- Avoid misunderstanding
- Add realism, and
- Ensure covering key points.

### Overhead Projectors

This is probably the most widely used technique in the projected visual-aid category. Overheads can augment and amplify information presented orally. How effective they are depends on whether or not the trainer:

- Uses professional-looking transparencies,
- Sets up the projection area properly, and
- Exercises good technique in the use of transparencies and projection equipment.

In preparing transparencies for use in a training session, best results will be obtained if the trainer:

1. Keeps the visuals as simple as possible - no more than six lines per transparency and no more than six words per line
2. Presents only one idea on each transparency
3. Uses bold, simple typefaces - upper- and lower-case letters
4. Uses cartoons, graphics and charts when possible instead of relying on words or numbers alone
5. Uses active words and short phrases
6. Makes use of "bullets" or numbers in series
7. Uses tinted film to reduce participant eye strain, and

- Avoids vertical lettering.

Steps in Learning
A. Presenting
B. Processing
C. Applying

The words are clear in this illustration, but there is no visual impact

Steps in Learning
A Presenting
B Processing
C Applying

The words are the same, but now steps provide visual reinforcement.

Locating the projector can have an influence on the use of visual aids. In setting up, be sure that:

- Every person in the room can see the visuals comfortably while seated
- The screen is placed in a corner and angled toward the centre of the room
- The projector does not obstruct the participants' view of the screen
- The projector beam meets the screen at a 90-degree angle to avoid image distortion or "key stoning"
- Spare bulbs, extension cords and other accessories are on hand, and
- The projector lens and plate are clean and free of fingerprints.

A few simple techniques practiced by the trainer when using visuals can make a noticeable difference. For example, participants will be less distracted if the lamp is turned off when changing transparencies. Doing this will prevent exposure of participants to strong glare while there is no transparency on the plate. Overlooking details often can cause problems, for example, not having transparencies in the correct order. Choosing the wrong transparency or fumbling around for the right one is embarrassing and it can result in needless loss of credibility for the trainer.

## Films



Films have an advantage over transparencies or slides in that they portray events in motion. As such, they are a powerful medium for helping participants to identify with people in familiar situations and relationships - a manager counseling an employee or a clerk dealing with a customer's complaint. Used properly, films can be a valuable learning tool; used improperly, they can be a colossal waste of time and money.

A mistake sometimes made by trainers is to use films for the wrong reason. In other words, films may be used to meet some need of the trainer and ignore the needs of participants. For example, a film may be used as a change of pace. There is nothing wrong with this practice, if the needs of participants are served better with a film than with some other technique, but there may be another reason for the substitution. The trainer might decide to use a film instead of a lecture merely to avoid the nuisance of preparing or delivering it. In addition, trainers with favourite films may be tempted to use them whenever they can find a good excuse. Participants may be told, "You've got to see this film!" despite the fact that it has little to do with the training content.

In addition to using films for the wrong reasons, trainers sometimes use them in the wrong way. Long films (over 30 minutes in length), presented without a break, can have the same effect on a group of participants as a long lecture that offers no opportunity for participant interaction. The probable result: boredom, distraction, tuning out. An otherwise good film, used in this manner, can have little or no learning benefit for a group of participants. Equally bad, using films in this way causes participants to conclude, rightly perhaps, that the trainer doesn't know what he's doing.

When considering the inclusion of a film in a training programme, the trainer should choose carefully and be sure to preview it. When previewing a film, the trainer should ask these questions about what he is seeing:

- Does the film convey information needed by participants to understand the subject covered by the film?
- Will the participants view the film's subject matter as relevant to their needs?
- Will the language of the film be familiar to the participants, or does it require them to learn new terminology?

4. Do the situations in the film have direct application to the experience of participants?
5. Does the film come with guides and application activities, or will these have to be developed?

Several simple techniques can improve the learning value of a film:

1. Introduce the film by explaining its purpose and what participants are to look for while the film is playing. Participants might be assigned to small groups and each small group asked to look for specific things in the film. After the showing, participants can take part in a discussion of the things each group was looking for.
2. Unless the film is short - 10 minutes or less - show it in segments that can be absorbed easily by participants. Involve participants in a discussion of each segment before going on to the rest of the film.

Some of the disadvantages of film are the high purchase price for good quality commercial training films and the difficulty of finding suitable films to buy or rent at any price. Moreover, training films quickly become obsolete. The buyer should be cautious, therefore, about making an investment in expensive training films that he has not previewed personally. Most commercial film suppliers will furnish low-cost, preview copies of their films on request. In most cases, the preview price will be applied to the rental or purchase price of the film.

### **Flip Charts**

The flip chart is one of the most widely used tools in the training business for conveying information and ideas visually. It can be used to create visuals as the lecturette takes place, or visuals can be developed in advance. Most material written on a flip chart cannot be seen at a distance. Hence, its usefulness to the trainer lessens as the size of the group increases. Its ideal use is for groups of 15 to 30 participants.

Several techniques can increase the effectiveness of a flip chart presentation:

1. Prepare some of the charts ahead of time and cover the key points with strips of paper that can be removed at the appropriate time in a lecturette.
2. Print key sentences on the chart ahead of time leaving blank spaces for use in entering words or phrases provided by participants.
3. Print key ideas on cards approximately 13 x 20 cm and post the cards on the chart pad as the points are made orally by the trainer.
4. Use a variety of colours beyond basic black, including bright colours participants may not be accustomed to seeing.
5. Leave the bottom third of flip chart sheets blank. This will help participants see the entire page and leave space for adding information after the sheet is posted on the wall.
6. Underline or box-in key words or phrases to add interest and highlight important ideas.
7. Make use of flip-chart sheets to record information generated by participants. Use numbers to label each idea and enter a number at the start of each new idea to encourage the continued flow of ideas.
8. To remove a sheet cleanly, grasp the sheet near the bottom on both sides and pull it straight down and to one side in the direction the sheet is meant to tear.



### **Summary**

Visual aids enhance and accelerate learning. They can be used by a trainer with a lecturette or in conjunction with other training methods. The most frequently used visual aids are overhead projection, film (projected types) and flip charts (non-projected). Best results are obtained with visual aids when the material to be used is professional quality, the equipment is in good working order and the trainer knows how to use both to facilitate the learning process.

## QUESTION AND ANSWER

Learning Emphasis	
Organization Focus	

*A questioning man is halfway to being wise  
-- Irish Proverb*

One of the most powerful techniques available to the trainer for involving people in the learning process is the question-and-answer method. By asking the right questions at the right time, a trainer is able to stay in touch with the progress being made by a group of participants in training and to respond effectively to their learning needs. Making successful use of the question-and-answer method involves knowing how to formulate good questions and how to use them to stimulate participant interest, promote understanding and encourage back-home application of learning.

Most people think that questions are used in training to test for the comprehension and recall of information. Certainly, this is one important use of the question-and-answer method, but questions can have many other uses in facilitating learning.

One author provides a series of questions that can be used by a trainer at each stage of the learning **process**, to help participants get the greatest possible value from a learning experience. The questions have been somewhat condensed and modified to fit the three stages of learning introduced earlier in the volume.

1. At the presentation stage of learning, the questions asked aim at generating information from participants useful to the trainer in assessing their reactions to a presentation or to the programme as a whole.
  - What do you need to know about it?
  - How do you feel about it?
  - What problems do you have with it?
  - Could you be more specific about it?
  - Can you say it in another way?
  - Who had the same reaction to it?
  - Who reacted differently to it?
  - What surprised/puzzled you about it?
  - How many felt the same way?
  - What would you suggest?
  - What else?
  - Would you say more about it?
  
2. At the processing stage of learning, questions are directed at helping participants understand and interpret the meaning of information or ideas presented to them.
  - What does it mean to you?
  - In what way is it significant?
  - How is it good/bad?
  - Does it remind you of anything?
  - How is it different?
  - Does it help explain something?
  - How is it like/unlike what you have experienced before?
  - What does it suggest about you/others?
  - What do you understand better now about you/others?
  - So what?
  
3. At the applying stage of learning, questions asked by the trainer are meant to help participants think about and make use of new ideas and information on returning to their work environments.
  - What would you like to do with it?
  - In what ways would it be useful to you?
  - How could you repeat it back home?
  - What could you do to hold on to it?
  - What might you do to help/hinder making use of it? What would be the consequences of doing/not doing it? How could you make it even better?
  - What option do you have?

- What can you visualize about doing it?

There are a number of things trainers should keep in mind when asking questions.

1. Plan the questions. Don't throw them in at random. Know why a question is being used. For instance, is the question to obtain information, "Where do you work?" or to gather opinions, "Do you think this plan will work?"
2. Ask questions that are short, clear and easy for participants to understand. Avoid asking questions like, "Which of the three phases of the adult learning cycle - presenting, processing or applying - is the most important?" In writing, the question seems simple enough, but, asked orally to an individual or group, it becomes confusing. If you must ask a lengthy question, illustrate it with a flip chart or on a transparency. That way, participants aren't trying so hard to remember each part of the cycle that they forget the question.
3. Avoid asking questions that call for a yes or no answer and questions where the answer is implied. Also, take care not to answer questions before participants have a chance to answer, and avoid cross-examining them.
4. Make it a habit to use this simple procedure when asking questions:
  - Address the question to the group as a whole. Look at no one participant in particular
  - Pause for two or three seconds
  - Call on a specific participant by name
  - Establish and maintain eye contact while the participant is responding
  - If the participant has trouble answering, rephrase or refocus the question - as an alternative, ask another participant to answer it
  - When the correct answer is given, repeat it, and
  - Reinforce the correct answer by saying, "Yes, that's right, the ..."

Equally important to being a good questioner is being a good responder. There are a few key things to keep in mind when participants are asking questions.

1. Be sure to acknowledge every question. It's a good idea to paraphrase the question to show that you understand it. You might say, for example, "If I understand what you're asking, it's this ... "
2. Answer the question as completely and accurately as possible. Verify that you have met the needs of the person asking the question. "Is that what you were looking for?" "Have I said enough about that?" Be ready to offer additional facts or evidence if any questions remain.
3. When asked a question that a participant might be able to answer, divert the question back to the group before offering an answer of your own. This is another way to keep participants actively involved in their own learning.
4. Be careful not to go off on a tangent. When somebody asks a question, don't say, "That reminds me of a time when . . ." and then proceed to a 10-minute personal reflection that may have little to do with the topic. By the time you are finished, nobody will remember the question, including you.

## Summary

The question-and-answer method is one of the trainer's most versatile techniques for stimulating conversation and guiding communication. Questions are useful for finding out what people need to know, what their interests are, how much they are learning and what they are likely to do with new skills and behaviours once a programme is over. They can be used spontaneously to get on-the-spot information or they may be included in comprehensive data-gathering instruments.

## DISCUSSION

Learning Emphasis	
Organization Focus	

*Good communication is stimulating as black coffee,  
and just as hard to sleep after*

*-- Anne Morrow Lindbergh*

In order for people to apply what they have learned when they return to their jobs, they must do two things:

- Be committed to the concepts and skills presented to them by the trainer, and
- Retain enough of the information presented to perform effectively.

Involvement is the key to both commitment and retention, and one of the most effective methods available to the trainer to encourage participant involvement in learning, is group discussion.

Discussion is the interaction of two or more people on a topic of mutual interest. Discussions come in at least three varieties, depending on the role played by the trainer. In the guided discussion, the trainer takes an active and direct part in the discussion. In the structured discussion, the trainer allows participants to manage the discussion, following trainer-established rules and procedures. In the free discussion, the trainer sets the process in motion by introducing a topic and leaves questions of how to proceed up to the participants themselves.

**Guided discussion**

The guided discussion is a trainer-centred activity. It requires a trainer that is a subject-matter expert in the topic under discussion, is familiar with question-and-answer method, and knows the direction the discussion is to take. To a large extent, guided discussion is a two-way activity - the trainer interacts with various training participants, one at a time, while other participants observe. Through a series of questions that build logically upon one another, the trainer attempts to lead the participant toward a predetermined decision. For this reason, guided discussion is not a suitable technique for making decisions. Rather, it is designed to encourage participants to think about, relate to and internalize new ideas.

**Structures discussion**

The structured discussion might be described as a trainer-designed, participant-centred activity that can be used to engage participants at a training programme in-group problem-solving. A structured discussion does not require the trainer to have subject matter expertise. Normally, the trainer divides the group into several small groups of about equal size and assigns the same or different tasks to each group. After tasks are assigned, a period of time is allowed for the small groups to discuss the task. Instructions may be given to the small groups about appointing a leader, a reporter and a timekeeper. At the end of the discussion phase, small groups are asked to come back together and to report their findings, sometimes written on flip-chart paper and taped to a wall of the training room.

**Free discussion**

A free discussion could be called a trainer-facilitated, participant-centred activity in which participants take the responsibility for what happens. Free discussions are used to share information, test out new ways of thinking and build group unity and consensus. The discussion is initiated by the trainer who introduces the topic and then steps aside to allow the group to function in any way it wishes. As a facilitator, the trainer rarely intervenes in the task of the group but focuses instead on the process used by the group to carry out the task. The trainer must have good listening and observational skills and be able to interpret what is taking place in the group, so that participants can learn from it.

**Summary**

Each of the three discussion methods can stimulate some degree of participant involvement in the learning process. Guided discussions are of value principally in stimulating logical thinking. However, much subject-matter expertise is required of the trainer who plans to lead a guided discussion. Participant-centred techniques, on the other hand, help participants become more self-reliant as a team and less dependent on the trainer. The role of the trainer in discussions of this kind shifts to coach and interpreter. Through mutual exploration, struggle and discovery, participants gain insights that are truly their own and the se -confidence that comes from having attained these insights.

**DEMONSTRATION**

Learning Emphasis		
Organization Focus		

*More and more I used the quickness of my mind  
to pick the minds of other people  
and use their knowledge as my own*

*-- Eleanor Roosevelt*

Demonstration is one of the oldest teaching methods. It takes place anytime one person shows another person how to do something. As children, we all experienced being shown how to tie our shoes by a patient father or mother. The parent would tie their shoe while we watched. After doing it a time or two, the parent would help us do it. Usually, they, would take the two ends of the lace and put one in each of our hands. Then, with their hands over ours, we would together go through the motions of forming the tie. After doing this together once or twice, we would be asked to try it alone. Uncertainly, we would then try to repeat the process we had observed and been helped to do, now with the parent simply watching, coaching and, maybe, even reaching in to correct a wrong movement.

In the world of work, many examples of demonstration come to mind. Apprentice mechanics are taught to repair vehicles, in part, through demonstration. Secretaries are taught to type this way, and beginning masons to lay bricks. In most modern organizations, office workers are taught to use the computer primarily through demonstration.

Demonstration involves learning mind/body coordination in relation to a task. In other words, the mind of the learner is fed information on how something is done as the eyes observe the process of doing it through demonstration. The mind of the learner then launches a coordinated attempt to repeat what was observed.

Demonstration may be used one-on-one or in groups. It may provide a means for illustrating or clarifying how something is done to several people at one time, without having them attempt to perform themselves - this is often necessary when a large number of people are involved - or learners may watch the trainer perform the task and then try it themselves, as when learning how to change a tire or repair a radio. A good example of the demonstration process at work is learning how to compose a letter at a computer workstation.

### Step 1

Explain how the task is to be performed to help the learner grasp the idea intellectually. The trainer might convey task instructions using the lecturette and possibly visual aids. Of course, this step might be accomplished without the use of demonstration with the learner working alone, aided by an instruction manual or computer tutorial with examples and exercises.

### Step 2

Check out how much has been absorbed. If several learners are involved, the trainer might engage them in a discussion at this point, to find out how well the learners understand the task and how it is to be performed.

### Step 3

After explaining how the task is done, show the learner. This may be done by actually creating a document on a computer while the learner observes. Note: special devices are now available to project images from a computer screen on to a screen that is visible to the trainer and the learner while seated at their respective computer workstations.

### Step 4

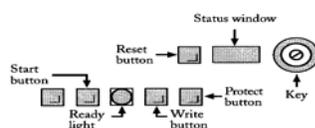
Ask the learner to repeat the task as demonstrated. Following instructions, the learner now attempts to repeat what he or she has seen while the trainer observes and offers suggestions. This continues until the procedure to be learned is mastered by the learner.

Many demonstrations are simple and routine. For example, the steps required to "boot" (start up) a multi-user computer system can be demonstrated for the benefit of an employee who will be responsible for taking the system up and down each day. Using a simple diagram like the one shown below, the supervisor might begin by having the employee read a description of the process. The supervisor boots the system following the four steps, explaining each step as it is carried out. The employee is asked to read the four steps once again. After completing the reading, the employee executes each step, guided by the supervisor as needed. Any mistakes are identified by the supervisor and corrected by the employee on the spot. Finally, the employee repeats the booting process from beginning to end and continues to do so until the routine is carried out correctly.

How to "Boot" (TURN ON) the Computer System

- Step 1. Turn the KEY clockwise (to the right) while depressing (pushing in on) the RESET button.
- Step 2. Press the START button. The READY light will start blinking.
- Step 3. When the READY light stops blinking, push in simultaneously on the WRITE and the PROTECT buttons.
- Step 4. Wait for about 60 seconds. An "O" will appear in the STATUS WINDOW. The computer is booted now and ready for use.

Good demonstrations require careful preparation. The trainer starts by deciding on the exact steps, which the learners need to observe. The work space and materials should be sufficient for the number of people to be trained. If learners



are to repeat the task being demonstrated, each must have enough equipment or other materials to carry out the task. The number of people who are to practice the task being demonstrated should be small enough to be coached adequately by the trainer. Since demonstrations take time, the activity should be scheduled to avoid running out of it.

## Summary

The demonstration is an ancient learning technique used to help others do something by showing them how it is done. Typically, learners watch the trainer perform a particular skill and then practice doing it themselves. It is common to find demonstrations accompanied by the use of lecturettes, discussions and audiovisual materials. On the other hand, demonstrations have particular value when working with people who need to learn new skills, but who have difficulty learning from printed material or information presented orally.

## SIMULATION

Learning Emphasis
Organization Focus

*I hear and I forget.  
I see and I remember.  
I do and I understand*

*-- Confucius*

One of the most effective things a trainer can do to dramatize real-life situations is to simulate them in a workshop setting. A simulation is an abstraction or simplified model of a particular process that is to be learned by a group of participants in training. By working through a simulation, participants can learn about a process and about themselves as actors in the process, without taking the risks of real-life experimentation.

A familiar example of simulation as a learning aid is teaching children to play store. In this case, the intent is to teach the children how to count money and to handle coins and bills of various denominations. The mechanics and rules of the game are simple: selecting differently priced items for purchase, adding up their total cost, paying out play money to a storekeeper and receiving the correct amount of change.

Some simulations or games are very sophisticated and expensive. Considerable research has gone into their development. Many are computerized, so that participants may receive information concerning a developing situation, react to the information, feed their reactions back to the computer, and get results that indicate the efficacy of the actions proposed.

Other simulations are less complicated than this but useful in getting participants emotionally involved in learning about situations that resemble real life. A good example is a management simulation called "The Communication Towers Project." Participants in small groups, using prefabricated construction materials, compete with one another and the clock to build a communication tower. The toy pieces used by the participants to build the tower are given monetary value based on their size and shape. The object of the game is to build the tallest tower with the least amount of costly material. The game is used to assess the effectiveness of leadership, planning and teamwork in competing groups.

Training guidelines and participant instructions for conducting a communication-tower-building simulation are shown at the end of this section. Trainers interested in this simulation are encouraged to make changes in the materials to suit themselves and the needs of their training group.

### **The In-basket**

Perhaps the best known example of simulation is the in-basket, invented as a technique for assessing managerial effectiveness. As its title indicates, the in-basket is a stack of correspondence in the in-basket of a supervisor or manager who has just been moved into a position with which he has little or no previous experience.

As a training exercise, each participant is given a packet of materials and is seated at a desk where he is able to spread out the items in the packet, read them and analyse what to do. The materials include letters or memos in conflict with one another, memoranda suggesting further study, extraneous and insignificant letters and related trivia. The participant may be provided with a calendar and an organization chart.

The simulation is directed by the trainer. After being given a packet of materials and a desk, participants are introduced to the exercise. A time limit may be prescribed. When told to be in, participants work their way through the stack of letters and memos, studying and reacting to the urgency and importance of each.

The objective of the simulation is to see not only what each participant does about the various items in the packet but how each approaches the exercise. That is, did the participant plough methodically through the material, reading each item carefully and acting on it before moving on, or did she scan all items, sorting out the most important, leaving the less important for the clean-up period?

The simulation ends with a discussion of each participant's plan of attack and assessment of what to do about the various items in the in-basket packet.

Trainers interested in the in-basket simulation technique are invited to use the in-basket materials which follow the communication-towers simulation at the end of this section. The situation used for this particular in-basket is a fairly common one. However, trainers are advised to change the content of the various items in the packet and even the fact situation to fit local needs.

### ***Simulation 1***

#### ***The Communication-tower project***

Your agency has been awarded a grant to construct two communication towers. The first stage of the project is to plan and construct a prototype, reduced-scale tower. If your agency is able to maximize cost-effectiveness on the prototype, the money will be granted to construct the second tower; however, the donor retains the right to cancel the grant if the prototype does not prove to be cost-effective. Your construction project will be compared to that of several other agencies, which have been awarded similar grants, so that the donor will have a basis for judging results.

The donor would like to have a tall tower and has put two restrictions on the project: (a) the tower must be at least 1.5 metres in height, and, (b) it must be able to stand unsupported for at least 10 seconds. Potential revenues will be based on the height of the tower and possible bonuses.

The project will be carried out in two phases:

1. Phase One: Planning
2. Phase Two: Construction

#### ***Planning phase***

Your group has 45 minutes during this phase to accomplish the following:

- Define your group's objectives for the project, taking into account cost and revenue data
- Organize your group to accomplish the task
- Prepare a design for the prototype
- Develop detailed plans for constructing the prototype
- Establish any controls you feel are necessary
- Plan for the tower construction site, and
- Record your plans, including all budget figures. Give one copy of your plans to the trainer at the end of the Planning Phase. Keep at least one copy of your plans for your group.

You are allowed to handle and assemble materials, but no more than two tiers of the tower may be built during the planning phase. All of the pieces must be completely disassembled before beginning the construction phase. You will be notified when to begin the construction phase. For now, be sure to study all of the tower data very carefully to determine tower-related objectives.

#### ***Materials for the communication-tower project***

##### ***Materials consist of:***

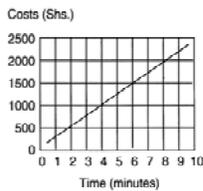
1. An equal number of pieces of wood or construction paper for each group. (An illustration of the number and types of pieces that might be provided each group and their assigned values in local currency are shown on the next page).
2. A ruler to measure tower height.
3. A stopwatch to keep track of time.
4. Scissors, tape, and a staple gun for each group (if construction paper is selected as the material for tower construction).

#### ***Cost data for tower construction***

##### ***Material costs:***

- |    |  |             |
|----|--|-------------|
| 1. | 20 long, straight pieces (about 45 cm)                         | Shs. 20,000 |
| 2. | 30 medium, straight pieces (about 30 cm)                       | Shs. 14,000 |
| 3. | 40 short, straight pieces (about 8 cm)                         | Shs. 5,000  |
| 4. | 5 large rectangles (30 x 20 cm)                                | Shs. 20,000 |
| 5. | 8 medium squares (18 cm on a side)                             | Shs. 10,000 |
| 6. | 12 small squares (10 cm on a side)                             | Shs. 5,000  |
| 7. | 12 small triangles (10 cm on a side)                           | Shs. 4,000  |
| 8. | 60 connectors (round object with five holes on a flat surface) | Shs. 1,000  |

**Time/Labour Costs**



**Revenue Data for Communication-Tower Project**

**Tower revenue (based on tower height in metres)**

Tower Height	Revenue
1.5 m	Shs. 1.50 million
1.6 m	Shs. 1.60 million
1.8 m	Shs. 1.70 million
1.9 m	Shs. 1.80 million
2.0 m	Shs. 1.95 million
2.1 m	Shs. 2.10 million
2.3 m	Shs. 2.25 million
2.4 m	Shs. 2.40 million
2.5 m	Shs. 2.50 million
2.6 m	Shs. 2.55 million
2.8 m	Shs. 2.60 million
2.9 m	Shs. 2.65 million
3.0 m	Shs. 2.70 million

**Bonus and penalty awards**

A bonus will be awarded to a group for accurately estimating (within 10 per cent) what its construction costs will be. A penalty will be assessed to a group if its actual costs exceed its estimated costs by more than 10 per cent.

**Construction phase**

All groups will be started at the same time for this phase by the trainer. You should be at your construction site and be prepared to start.

When your group has completed the communications tower, be sure to signal the trainer immediately so that the actual time can be recorded accurately. Remember, the tower must be stable enough to stand unsupported for 10 seconds.

When construction is complete, record the actual revenue items and cost items under the column headed, "Construction Record," on your plan worksheet. Calculate whether your group is eligible for a bonus or a penalty as indicated on the worksheet and record it appropriately. Calculate the project's cost-effectiveness. If it is greater than 1, the prototype tower was cost-effective; if it is less than 1, it was not cost-effective.

Total revenue Shs. 5.0 million  
 \_\_\_\_\_ = Ratio of 1.25

Total cost = Shs. 4.0 million

Compare your results with those of other groups.

### **Plan for Tower Construction**

Group \_\_\_\_\_

Objective:

---

---

---

Organization:

---

---

---

Controls:

---

---

---

Tower Estimates (Budget)

Construction Record

Revenue: (Tower Height) Shs. \_\_\_\_\_

Revenue:

Costs:

Tower Height (Shs.) \_\_\_\_\_

Materials Shs. \_\_\_\_\_

Bonus Shs. \_\_\_\_\_

Time/Labour Shs. \_\_\_\_\_

Total Rev. (Shs.) \_\_\_\_\_

Total Costs Shs. \_\_\_\_\_

Costs:

Figure 10 per cent of total costs \_\_\_\_\_

Materials (Shs.) \_\_\_\_\_

Time/Labour (Shs.) \_\_\_\_\_

Penalty (Shs.) \_\_\_\_\_

Total costs (Shs.) \_\_\_\_\_

Was your total cost estimate within 10 per cent + or - of your actual cost? If so, add the 10 per cent figure to your tower revenue as a bonus.

Did your actual construction cost exceed your cost estimate by 10 per cent? If so, add the 10 per cent figure to your total cost as a penalty.

### **Summary information**

Actual tower height: \_\_\_\_\_ m.

Time needed for construction: \_\_\_\_\_ min.

### **Total revenue cost-effectiveness ratio:**

Total revenue = \_\_\_\_\_ = Ratio

Total cost =

## **Simulation 2**

### **The In-basket Exercise**

This "in-basket exercise" sets up a hypothetical management situation in which you, as the manager, are required to take action through letters and memos in your "in-basket." You are under some severe limitations as to time, newness of the position and absence of certain help you would normally have.

The situation may seem unrealistic, but the "in-basket" materials itself - the problems - are realistic in management situations.

As soon as you are familiar with the background details of the exercise, try to complete it in one hour.

Caution! - don't get trapped in the details of the organization. The important thing is to deal with the problems in the "in-basket."

### **The Problem**

You are Nicolae Florea, newly appointed to the position of utilities department head. You have been selected from outside the organization to fill a position left vacant by William Suvaina, who resigned unexpectedly to an early retirement (age 50), owing to what he called personal matters. Suvaina had been utilities department head for 12 years. Prior to being department head, he had been supervisor under a previous organization that was absorbed by the utilities department. Suvaina had worked his way up from the bottom and had just completed his 28th year with the organization.

You are not as familiar with the organization as you would like to be. However, you have worked in similar organizations and know pretty well what is going on. You reported to work Friday, 3 June, but only had time to greet the staff and tour the facilities.

You have come to work this Saturday morning, 4 June, to check the office and become familiar with the surroundings. Because of prior professional commitments to present a technical paper at the Annual Governmental Institute Conference, you will not be in the office for the first three days next week.

You must leave for your trip in one hour and you feel the in-basket mail and memos should be cleaned out and not held over. Go through the in-basket materials attached and determine the action you would take on each one. Don't forget, you have to leave in one hour to catch a plane, so do not take too long on each item, but make sure each item is considered properly and given the appropriate attention.

Your staff of division heads are known to you mainly through association at conventions of professional organizations and some limited social contacts through the years.

You have made these personal notes on each one:

#### ***Petrie Capkova - Engineering***

A competent person of considerable formal education; a registered engineer; has been with the organization for 12 years; runs a tight ship; not an outward person (may feel some resentment for not having been appointed to your position).

#### ***Ileana Nojorid - Streets and Parks***

Well-liked by employees and community; local; 14 years with the organization; age about 42; has been able to bring a lot of change to the community in street and park improvement. Attends the university when she can.

#### ***John Morant - Traffic Control***

Hard worker, puts in a lot of extra time; came from Australia about five years ago with a good record in traffic control; has not really utilized the potentials of his employees; may have a morale problem. Morant gets the job done, but does not delegate on a regular basis, only as a panic measure; education: two years at the university.

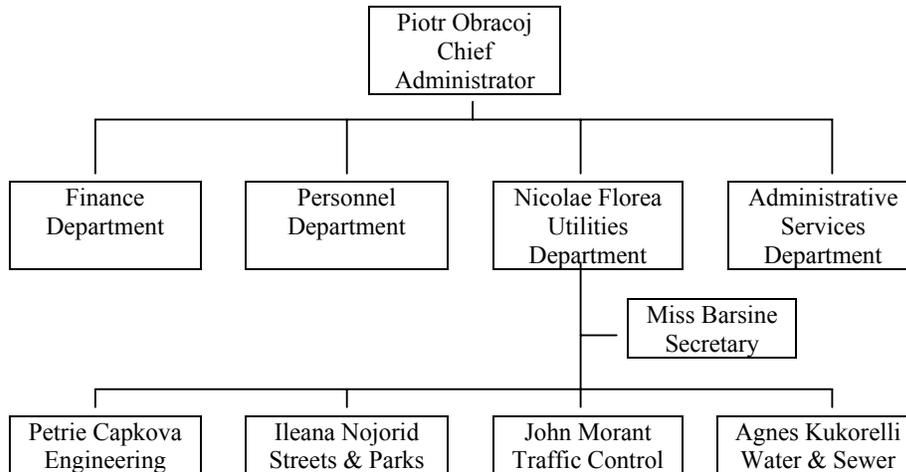
#### ***Agnes Kukorelli - Water and Sewer Division***

You know Agnes the least; the greatest demand lies in this division because of services needed for the new industrial area in the community. The division will need about 20 additional people next year because of this increased workload. Agnes guards her domain closely and resents anyone poking into what she feels is her business. She has been noted to

have controversies with her supervisors. In fact, three years ago, one of her top employees left to take a lesser job with a nearby community.

### **Miss Barsine - Your Secretary**

Knows the operation well and should be a help. She is 58 years old and has held her position for 20 years. She could retire any day but likes the security of work. Last year, she spent a six months' leave of absence in Europe and is already planning a trip to Singapore. She has a typist clerk, Ileana Vasile, who has been working with her for the past three years. Miss Barsine refuses to give anything more than typing and filing to this position.



### **Item 1**

21 May

Mr. Nicolae Florea, Utilities Department Head

Dear Nicolae

It is with great satisfaction that I learned you were selected as my replacement. A lot of people would say, "I don't care who takes over when I'm gone." But I feel a part of me is still in that job and I would feel bad if the wrong person was there.

You will find Miss Barsine a big help. She knows the department inside and out and can fill you in on any details. She and I have been through a lot together. She really knows how to handle the staff, too.

I am sorry to have left before you started the job. But perhaps it is better this way. I am sure there are things I would not be able to help you with. My being present would have just made for an awkward situation.

The division chiefs are all good and will cooperate, I am sure, in every way.

Give my best to everyone, and best of luck to you in your new position.

Cordially,  
William Suvaina

### **Item 2**

MEMORANDUM

TO: Mr. Florea

FROM: Ioan Nedelescu

DATE: 3 June

I previously cleared with Mr. Suvaina to have Tuesday, 7 June, off. I have an appointment with my travel agent in the city.

### **Item 3**

MEMORANDUM

TO: W. Suvaina, Department Head

FROM: A. Kukorelli

DATE: 15 May

William, we've been through this before, but let me remind you that my division is going to need considerable equipment and staff for the increased workload that everyone is talking about. I noticed in the proposed budget that only about half of what I submitted was in the budget. I would like some explanation.

**Item 4**

MEMORANDUM  
TO: Mr. Florea  
FROM: Miss Barsine  
DATE: 30 May

I thought you would be interested to know that 8 June is Mr. Obracoj's 50th birthday.

**Item 5**

3 May  
74367 Basarab Street, City  
Mr. William Suvaina, Director, Utilities Department

Dear Mr. Suvaina

This is to notify you that Petrie Gomory has placed a fence on public property, between my land and the land that I sold to you along the driveway that you built for him because of the right-of-way needed and purchased from him on the other side of his property.

This fence is built over six feet high and is made out of wire and old, rusty iron pipes, and in addition, he has set vines about every 30 centimeters and strung the vines on the wire. These vines grow very rapidly and will soon cover my shrubs, trees, as well as my house, therefore, doing damage to my property.

I want to know what right he has to build this mess on public property. Of course, I know why he did it, and that is to intimidate my wife and me and for no other reason. I am asking you to have this mess removed at once as I know he has no absolutely no legal right to place this fence unless you authorize him to do so, and I am inclined to doubt that you did.

Will you give this matter your prompt attention? I am sure you would not want a mess like this next door to you and I know if you were in my place you certainly would object furiously.

Sincerely,  
K. Fabrine

**Item 6**

MEMORANDUM  
TO: All Department Heads  
FROM: P. Obracoj, Chief Administrator  
DATE: 25 May

There will be a monthly department heads staff meeting in my office, 9 June, at 13.00.

AGENDA

- I. Bring your proposed budgets for a final review.
- II. Mr. Nicolae Florea is joining our staff, 3 June, as utilities department head. We will look forward to welcoming him at this meeting.
- III. Proposed reorganizations are in order for discussion.

**Item 7**

MEMORANDUM  
TO: Nicolae Florea, Utilities Director  
FROM: Piotr Obracoj, Chief Administrator  
DATE: 25 May

Let me take this opportunity to welcome you to our organization. I feel we have come a long way in the three years I have been here. We, the management team, have considerable challenges ahead, I am glad to have you as a part of this team.

There will be a staff meeting Thursday, 6 June, which primarily will be a budget review session. I am requesting that you present a tentative recommendation for changes in your organizational structure at this time.

I hope your conference presentation will be well-accepted and that you will be able to obtain information to utilize in your new position as utilities director.

**Item 8**

2 May  
Director Utilities Department

Dear Sir

This year, as in years past, the third grade of Stefan Primary School would like to visit the Department of Utilities.

We have scheduled our bus for 9 June, and will be arriving with the third graders at 13.00.

The students are now studying public utilities and I'm sure would like to hear from the director of such a fine department as yours.

Thank you.  
Cordially yours,  
Miss Lados, Teacher  
Third Grade, Stefan Primary School

**Item 9**

MEMORANDUM  
TO: Nicolae Florea  
FROM: Petrie Capkova, Engineering Division Head  
DATE: 29 May

One of my many duties is to keep track of vehicle out-of-service time due to accidents. (This type of administrative duty is taking considerable time from my work as an engineer.)

I would like to bring to your attention that the division of traffic control, has experienced a 100-per cent increase in vehicle out-of-service hours this year compared with the same period last year. My division, I am proud to say, has the lowest vehicle out-of-service rate in the department.

I would like to meet with you to review this and other matters as soon as possible.

**Summary**

A simulation is a learning tool that is representative of a process under study. It allows participants to experiment with the process and learn from it with a minimum of personal or occupational risk. Participants who take part in simulations can practice with new ways of doing things and make judgements about learnings that are relevant to them.

**THE CASE METHOD**

Learning Emphasis
Organization Focus

*On the whole, it must be more important to be skillful  
in thinking than to be stuffed with facts*

*-- Edward deBono*

The case method was initiated at Harvard University in the latter part of the 19th century. Its principal use during its early years was as practice for students contemplating the practice of law. It is used today as a non-directive, educational device aimed at helping students in many professional areas to think effectively.

Cases used in training take many forms. They may be quite long and describe completely a situation that exists now or that did exist in the past. On the other hand, they may be quite short and pungent, of the vignette variety. Either way, the purpose is the same - to cause participants to draw conclusions from a set of facts that lead to decisions which they can generalize to their own work situations.\*

The case method assumes group discussion. The cases are sufficiently involved and detailed to produce a wide range of opinions concerning, (a) who was to blame, (b) what caused a person to behave as he or she did, and (c) what is the best remedy. The important contributions of the case method to training include:

1. Discouraging participants from making snap judgements about people and behaviour
2. Discouraging a search for the one "best answer"
3. Illustrating graphically how the same set of events can be perceived differently by people with similar backgrounds
4. Encouraging training participants to discuss things with others and to experience the broadening value of interaction, and
5. Emphasizing the value of practical thinking.

The case method is participant-centred. The well-constructed case stimulates participants to take a spirited role in analysing and discussing what the case is about. They are encouraged to contribute ideas, opinions and reactions. As they do, the discussion moves forward. Ideas are picked up by others, considered, bounced back and forth, and then integrated by the group as a whole. The trainer's role in the case method is to distribute the case, invite participants to read and study it, feed back ideas generated through discussion of the case and, occasionally, challenge participants with questions about their observations. Sometimes participants are given a written set of questions to consider as they discuss the case.

Normally, the case method is carried out in two steps:

### **Step 1**

Participants are given a case to read. It may be distributed in advance or at the time in the programme when it is scheduled to be used. Either way, participants must be given adequate time to read and digest the material. If questions are to be used, these are handed out by the trainer to stimulate discussion.

### **Step 2**

Participants are asked to discuss the case. All participants are expected to respond to the questions furnished by the trainer or to share their opinions and what they consider to be an appropriate decision. The participants (and the trainer) challenge each other on their views and ask for the rationale for reaching that conclusion. The process concludes when participants are asked by the trainer to generalize from the facts of the case and the ensuing discussion.

Case studies are sometimes long and complex, like the one presented in Volume 1 of *Designing Human Settlements Training in European Countries*. Others are comparatively brief but still surprisingly rich in learning value. A good illustration is a case study written recently by a small group of participants for a training-of-trainers course in Romania. The case is presented below, edited slightly for inclusion in this volume.

### **Case of the poorly informed Councillor**

**Comment:** When individuals are elected to a city council, rarely do they come to the position with the knowledge and skill to advocate effectively for the needs of the people they represent. Yet, advocacy for public needs is a councillor's principal role in a representative system of government. As we see in the case of Councillor Radut, a record of ineffective performance as a public advocate can lead to personal frustration for the councillor and growing disillusionment for his constituents.

### **The situation**

On his way home late one Friday evening, Councillor Radut stopped off at a local club in Marinescu Village to see some of his friends. Councillor Radut had been to a meeting of the city of Craiova Council. Several issues had been discussed at the meeting. The chief issue of concern to him was a resolution approved unanimously by the Council to increase rents by 100 percent throughout the city. He was particularly concerned with the impact of the rent increase on his ward, which consisted mainly of the lowest-paid workers in city of Craiova.

Entering the club, Councillor Radut noticed several of his friends seated together at a corner table. As he came up to the table, Mr. Nedelescu, a resident of Marinescu and a friend of Councillor Radut, greeted him, saying:

"Tell us Ion, what have you people decided today? Higher rates, higher rents, higher water and electricity charges! What about tarring the roads in Marinescu. Dust gets into houses, into our food; everywhere is dust. You know that, Ion!"

"Yes! Yes! Yes!" echoed the others at the table in support of Mr. Nedelescu, prompting Councillor Radut to respond:

"Listen, gentlemen. The council has no money to tar these roads here. This is why today the council has resolved to put up rents by 100 percent. This means double the rents we are paying now."

On hearing this, Ms. Vasile, another Marinescu resident, spoke up in apparent disbelief.

"That cannot be true. Last January, it was reported in the paper that the city of Craiova Council had made a profit of K10m from beer sales alone. What have you done with all this money? Did you share it among yourselves?"

Feeling the blood rise in his face, Councillor Radut began to reply:

"We did not share the money. Instead, the council has used it in many ways as you know ..." but, he was interrupted in the middle of his reply by Ms. Vasile, obviously disturbed by what she was hearing:

"No! That cannot be true." With anger and desperation in her voice, Vasile continued to speak: "Please make sure you raise this question in the council next Friday and come and tell us. In addition, tell the Council that residents of Marinescu Village want all roads tarred like in Tulca Village or we and our children will die from the dust."

With that, Councillor Radut left the club. The following Friday he was at a meeting of the city of Craiova Council. On standing to be recognized by the Mayor, Councillor Radut said:

"Your worship, unless roads in Marinescu Village are tarred, my people will die from the dust. Before I sit down Your Worship, may I also know what happened to the K10m profit we made from beer sales last year?"

With impatience in his voice, the mayor responded to the councillor's remarks.

"Councillor Radut, we discussed and passed the budget for this year here in a council meeting which you attended."

### Discussion Questions

1. What is the proper role of a councillor as an advocate for the needs of the people in his ward?
2. In what ways did Councillor Radut fail to be a proper advocate?
3. How might a councillor become informed about the needs of his people?
4. What implications does this case have for the training of elected officials?

### Summary

A well-constructed case gives a learner the opportunity to take an active part in analysing and discussing real-life situations. Case materials present practical work illustrations with which participants are already familiar. The realism of the case and the involvement in it with other participants stimulate the learner to move from the known to the unknown; acts as a springboard for the acceptance of new knowledge, skills and attitudes.

## CRITICAL INCIDENTS

Learning Emphasis
Organization Focus

*People are usually more convinced by reasons they discovered themselves  
than by those found by others*

*-- Blaise Pascal*

Critical incidents are brief, written descriptions of difficult situations faced by people in their work. Unlike case studies which tend to be long and complex, critical incidents are short, focused on a specific subject and designed to emphasise a particular point related to one of the objectives of a training course. Because they involve real problems - problems of vital and immediate concern to people - discussion of critical incidents can have enormous learning value for the individuals who have faced or are likely to face similar problems in their work.

Critical incidents are sometimes written by a trainer for use in helping workshop participants achieve a specific training objective. Trainers approach the task of writing critical incidents in one of two ways. First, the trainer might provide

details about a problem but withhold information about how it was solved. Not telling participants how a problem was solved until after it has been discussed is desirable if the intent is to stimulate creative thinking about how to solve a problem. On the other hand, the trainer might describe both the problem and the solution. In this case, the objective is different. The intention is to promote application thinking. Since participants already know how the problem was solved, the focus is on how they can put this knowledge to use in managing problems of their own.

When writing a critical incident, the trainer should keep several things in mind. Critical incidents are meant to be short and simple so that they can be read and understood by participants during a training session. Because the incident is short, it should be targeted to a specific learning objective. Irrelevant facts often included in case studies to help participants learn to be discriminating should be omitted from critical incidents. The KISS rule applies when writing critical incidents: "Keep It Short and Simple." On the other hand, enough information should be included about the problem to make the point the incident is intended to emphasise.

A trainer in a training-of-trainers programme in Romania, for example, wrote the following critical incident to provide substance for a discussion of the importance of needs assessment information to the development of training interventions that meet client expectations.

### **Problem**

The city of Movila has received a large grant to carry out a squatter settlement programme. While the Housing Department of the city has the responsibility for implementing the scheme, the town clerk is concerned about the ability of the management team to work together effectively. The director and his six bureau chiefs have been squabbling over small details lately, and these conflicts have affected the overall performance of their department. The town clerk has asked your Training Institute to design and conduct a team-building/project-planning workshop for these seven individuals. The intention is to develop a cohesive management team in light of the new project responsibilities.

### **Questions**

1. What further details would you want in order to design a workshop for the town clerk?
2. From what source or sources would you seek this information?

Critical incidents also may be written by participants during or in advance of a training session, based on their own experience. When asked to write a critical incident, participants are given a worksheet and instructions by the trainer. They are told to think of a difficult situation related to the training topic in which they were involved personally. They are asked to describe the situation in detail, who was involved in it and the role they played. Depending upon how the incident is to be used, participants might be asked to explain what was done about the situation, the consequences of this and how they felt about it.

Critical incidents may be used as a learning experience for those who write them alone or may be used to stimulate discussion and critical thinking by a group of participants.

### ***For personal learning***

Prior to or at the start of a training programme, participants are asked to write a critical incident as described above. They are asked to include details about what happened, who was involved, what was done by whom, how it turned out and what feelings they have about their effectiveness in the situation. Participants may be asked, further, to analyse their incident using questions provided by the instructor on a prepared worksheet.

When participants have written the incident and completed the analysis, the incident is put aside. Toward the end of the programme, participants are asked by the trainer to return to the incident and to think about how they would cope with the situation now, using ideas obtained from the training. This is followed by a discussion of participant reactions and conclusions.

*Note:* A critical-incident worksheet developed for use in a training programme for local-government managers on power and influence has been reproduced below. It illustrates one simple format for writing critical incidents.

### ***For group learning***

In some instances, the intention of the trainer is to use critical incidents prepared by individual participants as a basis for discussion and decision-making in small groups. Used this way, critical incidents are prepared and processed as follows:

#### ***Step 1***

Each participant is asked to prepare a written account of a work-related incident in which he or she is or was personally involved. The incident should present a problem that calls for someone to act or make a decision. Participants are told

not to reveal (a) what was done about the problem if something was done, (b) the consequences of doing it, and (c) the consequences of not doing anything if that was what happened in the incident.

### Step 2

Participants are teamed up in groups of about five. Members of each group are told to share their incidents with one another. In each case, participants are told to respond to the incident by: (a) asking questions to clarify the problem; (b) discussing actions or decisions that seem appropriate for resolving the problem; and (c) agreeing on the best option. When this process is complete, the presenter reveals what actually happened in the incident. Each participant presents an incident in turn, and so forth, until all incidents have been presented and processed by the group.

### Step 3

When the groups have completed discussing all incidents, they are reconvened by the trainer to talk about the exercise. The focus is on the pitfalls of making decisions based on partial information.

### **Influencing others: A critical incident worksheet**

Take a minute to think back to a situation in your work experience when you made a conscious effort to influence someone to do something. Get the situation clear in your mind. Review it mentally, recalling as many details about it as you can. When you are ready, use the space below to answer these questions about the situation: Whom did you try to influence? What did you actually do to influence them? How did it turn out? What were your feelings about the outcome and your effectiveness as an influencer?

---

---

---

### Summary

Critical incidents are written portrayals of actual work situations. They are, therefore, directly applicable to the needs of the individuals who create them and highly relevant to groups of learners who face similar challenges in their work. Critical incidents may be used as "before-and-after" training exercises for individuals or may be used to generate discussion and analysis in a group of training participants who share similar work experiences.

## ROLE - PLAYING

Learning Emphasis	
Organization Focus	

*Repetition is the mother of knowledge*

*-- W. African Proverb*

Role-playing involves asking participants to assume the parts of other real or imaginary persons and to carry out conversations and behave as if they were these individuals. The participants' enactment must be sincere and as true-to-life as possible. They are encouraged to interact as if they were alone, without others listening and observing the action. The only play-acting is that each participant makes a genuine effort to behave as if the action were for real.

The atmosphere or tone for role-playing is set by the trainer. It is the trainer's responsibility to provide firm direction when moving a group into role-playing. He or she sets the ground rules and boundaries of good taste. It is up to the trainer to cut off the role-playing at any time that it begins to lose its realism and, hence, its learning value.

Participants learn by doing through role-playing. It permits them to:

1. Experiment with how they would handle a given situation. Spontaneous acting can produce feelings and attitudes which might not come out in discussions alone. Role-players and observers, therefore, sometimes develop significant insights and, even, the ability to predict behaviour in themselves and others.
2. Carry a thought or a decision a step further into concrete action. From information in a case, a participant might conclude, for example that Mr. A should apologize to Mr. B. In role-playing, Mr. A would go to Mr. B

and apologize. In other words, role-playing shows the difference between doing something and just thinking about it.

3. Accomplish attitude changes. By placing persons who differ in temperament in the same role, it can be seen that a person's behaviour is a function not only of his or her personality but also of the situation.
4. Exercise control over feelings and emotions. For example, by playing the role of an irate customer, a participant might learn to become less irritated by complaints.

Most people feel some discomfort in a first experience with role-playing but, in time and with experience, most begin to enjoy the process. Some people, however, seem to be unable to play roles. The best they can do is talk about what a person in that role might do or say. When these people are found in a training group, the trainer should not force them to participate.

There are many ways to introduce and conduct a role-play. In general, it is done as follows.

### **Step 1**

The trainer describes the setting for the role-play and the persons who will be represented in the various roles.

### **Step 2**

Participants are secured to play the various parts. The trainer coaches them to be sure they understand the point of view represented by each part. Participants may be asked to volunteer for roles, or the trainer may "volunteer" them for roles in a good-natured way.

### **Step 3**

Participants who play roles are asked to comment on what they learned from the experience.

### **Step 4**

Other participants are asked to give feedback to the role-players.

Sometimes role-playing is used in conjunction with the case-study method. After reading and discussing a case, participants may be invited by the trainer to step into the roles of key individuals described in the case. The intent is to give participants a chance to practice with new behaviours believed appropriate by the group and to experience the effect of behaving this way on themselves and on others who are playing roles. There is good reason for this. The probability of on-the-job application of new behaviours increases to the extent that people try out and evaluate the new behaviours under supervised training conditions.

Role-playing may be planned by a trainer or introduced spontaneously to increase the learning value of a case situation. For example, the "Case of the Frustrated Councillor," presented earlier, offers a splendid opportunity for a trainer to employ role-playing to make the case come to life for a group of participants.

After discussing appropriate ways for Councillor Radut to behave with his friends in the club, the trainer might invite participants to role-play the situation. The participant in the role of Councillor Radut would be expected to try out behaviours thought to be appropriate in the circumstances for someone in Councillor Radut's position.

In discussing the case, participants might have concluded that Councillor Radut was too abrupt and defensive with his friends at the club. They might have concluded further that a more conciliatory and less defensive posture would have been appropriate in the circumstances. With that in mind, the person in the role of Councillor Radut might have responded differently in an effort to be more conciliatory and less defensive.

### **More conciliatory**

*"You are right, my friend. Our roads are in desperate need of repair. In fact, it was the urgency of our people's need that persuaded me to vote in favour of raising rents this year. We must correct the dust problem without delay and we shall, I promise you."*

### **Less defensive**

*"The newspaper account is correct. There were profits from beer sales last year. I can say with greatest confidence that these moneys were used properly. Still, you are quite right to be concerned about their use, and I shall have an answer for you by this time next week."*

There are several approaches to structuring role-plays. A conflict situation may be an occasion for a role-play with the two people in the conflict assigned to play each other's roles. Role reversal is sometimes practice to give participants a chance to react to different points of view. For example, the role-playing could involve a supervisor and an employee in a performance-review interview. After participants have played these roles for a few minutes, the roles could be reversed. Now the employee is in the supervisor's seat and vice versa.

Still another approach is the replay, which occurs after participants have had an opportunity to analyse behaviour and the effectiveness of the first role-play episode. Based on what has been learned, role-players replay it to improve their initial performance.

Videotaping adds another dimension to role-playing. If the technology is available, instant feedback of a role-playing session can have tremendous impact on behaviour. Reenactments of this kind are particularly useful to a training group for review and discussion of interpersonal problems.

### Summary

Role-playing is a highly interactive, participant-centred activity that, combined with the case method, can yield the benefits of both methods. It is important that the selected cases reproduce real-life conditions in such a way that participants can act as themselves and feel as they would in real life. When this happens, role-playing can have considerable impact on a person's perceptions of a problem. The new attitudes and behaviours experienced have a good chance of being carried over by the participant into his or her real-life situation.

## INSTRUMENTATION

Learning Emphasis	
Organization Focus	

*The adult who tends to experience adequate and successful control over his own behaviour tends to develop a sense of integrity and feelings of self-worth*

*-- Chris Argyris*

Information as a basis for learning new things can be derived from various sources. We have seen in previous methods for information production that some is derived from the trainer (lecture, demonstration) while some comes from the experience of the participants themselves (discussion, brainstorming). Now we turn to a different sort of information production where the information is derived from instruments. The so-called instrumented technique relies heavily on feedback of information about the behaviour of a group participant as derived from the summarized results of a reaction form, personal inventory or other type of instrument.

Instruments are forms or questionnaires to be completed by individuals or participants in a training group. When completed, the information produced by an instrument can help respondents learn about their own behaviour in certain situations. From what they learn, participants can make decisions about behaviour change. Instruments consist of statements written as instances of particular behavioural traits to be measured - openness to others, leadership strengths and weaknesses, problem-solving styles or learning preferences. They include scales that the participant can use to register and measure a response to each of the statements.

Instruments tend to be quite similar in design. They begin with an explanation of the instrument and instructions for completing it. The body of the instrument consists of statements that describe common behaviours or work conditions to which the participant is expected to react.

A sample statement from a management styles instrument:  
*"She reaches her decisions independently and then informs her subordinates of them."*

Scales are developed for the respondent to use to respond to each of the statements. The most common scales are

- a. Yes, unsure and no
- b. True, unsure and false
- c. Agree, slightly agree, unsure, slightly disagree and disagree.

Some instrument designers omit the "unsure" category because they believe it allows the respondent to avoid committing himself.

Example

Circle the response that most clearly reflects your feelings.

A = Agree SA = Slightly Agree U = Unsure SD = Slightly Disagree D = Disagree

1.       The atmosphere and interpersonal relations in my work unit are friendly and cooperative.  
A       SA       U       SD       D

Instruments may focus on the behaviour of individuals as employees, supervisors, leaders, managers, parents or spouses and in many other roles. They may focus on how people work together in organizations, on teams, in committees, on governing bodies and in informal groups. They may focus on how people feel about the conditions under which they work within their immediate work units or in the organization of which the work unit is a part.

There is a distinction between just "giving" an instrument and using it properly - getting the most value out of it in relation to the goals of the learning experience and the needs of the participants. In a training session, there are four steps in presenting an instrument properly: administration, theory input, scoring and interpretation.

### **Step 1: Administration**

Distribute the instrument and tell the participants that you will read the instructions to them. Read the instructions while the participants read along silently.

### **Step 2: Theory input**

When participants have completed the instrument, discuss the theory underlying the instrument and what it measures.

### **Step 3: Scoring**

A common way to score an instrument is to read the correct answers to the group, tell them how to combine the numbers and, in general, talk them through the scoring procedure.

### **Step 4: Interpretation**

It is generally effective to have participants post their scores on chart paper. Post your own scores to indicate what a scoring sheet should look like. Form participants into small groups to discuss their scores. Special attention should be given to the meaning of low and high scores and to discrepancies between actual and estimated scores. Participants should be asked if they were surprised by the scores.

An interesting variation is to ask participants to predict their results by estimating the scales on which they expect to score high and score low. This additional step can have surprising learning value for participants who find that their actual scores are quite different from the scores they expected to have.

Some "don't's" and "do's" of instrumentation can be of value to the trainer who wishes to take full advantage of this powerful learning tool.

- Don't use the word "test"
- Don't give instructions while participants are reading
- Don't pressure participants to reveal their scores
- Don't diagnose participants' weaknesses for them
- Don't assign labels to participants
- Do take the instrument first yourself
- Do point out to participants how the instrument fits into the goals of the training
- Do encourage participants to be honest and open in responding to statements on the instrument
- Do allow plenty of time for processing scores, and
- Do help participants who are having difficulty reconciling their scores with their own self-perceptions.

Instruments may be purchased from commercial sources on a wide variety of individual, group or organizational situations. Normally, they are supplied with instructions on administration, scoring and interpretation. Some instruments come with information on the underlying theory, how the instrument was constructed and results of its use with various target groups over time.

An alternative to the commercial acquisition of instruments is for the trainer to create his own. This may be done when standard, commercial instruments are not suitable or when they cannot be obtained conveniently. An instrument developed by a team that included one of the authors is a case in point. As part of a training programme for public policy-makers, some method was needed to familiarize participating officials with their unique preferences for involving citizens in the decision-making process. No appropriate commercial instruments could be found. Therefore,

an instrument called *"The Participation Styles Inventory"* was constructed. This instrument, complete with scoring instructions and interpretive information, is shown at the end of this section.

Sometimes, an instrument is constructed as an integral part of the training design itself. In an action-research programme, for example, a trainer might wish to demonstrate how to use an instrument to confirm the authenticity or generalizability of information obtained from a single source. The opportunity to do this occurs when, during an interview, one of the action researchers is told by an office worker that the supervisor doesn't care what he or she thinks. The researcher wants to find out if the comment is the isolated opinion of one employee about a particular supervisor or if it is a reflection of employee feelings about supervision in general. To do so, the trainer and the action research team prepare an instrument containing statements about supervision. Opposite each statement they add an agree/disagree and an important/unimportant scale. Other employees are then asked to complete the instrument by circling the response in each case that most nearly corresponds to their feelings.

## THE PARTICIPATION STYLES INVENTORY

### by David W. Tees and Robert L. Wegner

#### Institute of Urban Studies

#### The University of Texas at Arlington

### **Instructions**

Think of a recent situation or two in which citizens were involved in a decision you were making about a public policy or programme. Recall who was involved and how their involvement affected your thinking or actions. Was the involvement of the citizen(s) helpful or not helpful? Was it appropriate or inappropriate in your judgement? On the following pages are 12 statements that represent different opinions about citizen involvement in public decision-making. Please indicate the extent to which you share each opinion by circling the appropriate number on the scale.

Questionnaire	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
<i>Circle the number to the right of the statement that most nearly reflects how much you agree or disagree with the statement.</i>					
1. The values, goals and priorities of the local elected leadership should be the primary guide in making the decision.	+5	+3	0	-3	-5
2. Community goals should be formulated by local elected leaders, based on input from organized and informed citizen groups.	+5	+3	0	-3	-5
3. Responsibility for establishing community goals and priorities should rest with active, informed citizen groups appointed by local elected leaders.	+5	+3	0	-3	-5
4. Local elected officials should put high priority on establishing goals that satisfy the expressed needs of various community interests.	+5	+3	0	-3	-5
5. Decisions about programmes for meeting goals should be delegated to citizen groups most affected by the programmes.	+5	+3	0	-3	-5
6. Once goals are agreed upon, programme options for meeting them should be selected by elected officials based on recommendations from staff.	+5	+3	0	-3	-5
7. Data obtained from citizen input should be used by public officials, together with staff recommendations, in deciding among programme proposals.	+5	+3	0	-3	-5
8. Programme options considered by elected leaders should be selected based on the extent of adverse or positive reaction at public hearings.	+5	+3	0	-3	-5
9. The final stages of implementation and feedback should find public officials and citizens working together to review progress against planning goals.	+5	+3	0	-3	-5
10. The monitoring of plan implementation by citizen groups is the best way to ensure that the	+5	+3	0	-3	-5

	performance of a programme is consistent with community values and goals.					
11.	Firm control over the implementation of plans by public officials is necessary to prevent powerful neighbourhood groups from getting more than their share.	+5	+3	0	-3	-5
12.	Plan implementation will be acceptable to most citizen groups, if public meetings are held in neighbourhoods to explain the city's reasoning and citizens are invited to react.	+5	+3	0	-3	-5

### Scoring Sheet

In the open square opposite each number below, enter the number from the corresponding item on your questionnaire. Include plus and minus characters.

The diagram shows a grid for marking scores. The columns are labeled Autocratic, Accommodative, Consultative, and Democratic. The rows are:
 

- Planning & goal setting (items 1, 2, 3, 4)
- Choosing among alternative programmes (items 5, 6, 7, 8)
- Implementing and monitoring programmes (items 9, 10, 11, 12)
- Total the numbers in each column.

 Lines connect the items from the table above to their respective squares in this grid.

### The Four Citizen-participation Styles

The *Participation Styles Inventory* is designed to assess an individual official's preferences for the involvement of citizens in decision-making. The instrument produces four distinct participation styles, which have the following characteristics.

**Autocratic** - The public official identifies a need using information supplied by staff, considers solutions and then argues for his or her position with other officials. The official may or may not consider what citizens will think about the decision; in any case, citizens are provided with no opportunity to participate in the decision-making process.

**Accommodative** - The public official seeks to weigh the strength of opposition and support for the issue at hand and attempts to find some expedient, mutually acceptable approach that will satisfy all parties concerned. The official sees maintaining the credibility of local government with various public-interest representatives as of utmost importance.

**Consultative** - The public official looks to the attitudes and ideas of the citizenry as a resource for enlarging the official's ability to make responsible decisions. The intent is to capitalize on the knowledge and experience of those closest to the problems when attempting to reach a relevant decision.

**Democratic** - The public official delegates to responsible citizen groups the broadest possible authority to define problems, fashion solutions and monitor the progress of programmes. The official is guided by the proposition that people will tend to support what they help to create.

### Interpreting your scores

The *Participation Styles Inventory* produces four summary scores, which are shown at the bottom of the scoring sheet. The scores range from a high of +5 to a low of -5. The closer your score is to the extreme end of the range, the more you agree with (+) or disagree with (-) that particular style of involving citizens.

The instrument also produces four scores for each of the three stages in the decision-making process: planning and goal setting, choosing among programmes, implementation and monitoring. These scores range from a high of +5 to a low of -5, and have the same meaning in relation to the four participation styles as the summary scores described above.

After completing an instrument like this one, people are inclined to ask, "What style is best?" In the case of participation styles, there is no one best way. All four styles are useful, although more so in some situations than in others. Each of us is capable of using more than one style, and may choose to do so in different situations.

For example, an official who might want little citizen involvement in the selection of courses of action (autocratic) might want substantial citizen input in selecting community goals (consultative). In other words, the style of participation which an individual uses is a result of certain personal inclinations and the requirements of the situation.

To help you judge the appropriateness of various participation styles for different situations involving citizens, we have listed a number of uses for each style. We have also added some diagnostic questions that may help you judge the likely consequences of over-using or under-using a particular style.

### ***Autocratic***

Uses:

1. When quick, decisive action is imperative.
2. In handling important issues where unpopular courses of action must be taken - budget cuts, tax increases and discipline.
3. When the welfare of the community is at stake and the facts for decision-making are known.

**If you scored HIGH:** Are you often surprised by citizens reacting negatively to decisions that they were expected to accept readily? (If so, it may be that they object to the way the decisions were made even though they approve of the decisions themselves.)

**If you scored LOW:** If there is evidence of strong public dissent, do you have trouble taking a firm stand, even when the need is clear to you? (Sometimes the risk of hurting someone's feelings makes you vacillate or put off making a decision, which may mean postponing the inevitable and compounding the anxiety and resentment of all concerned.)

### ***Accommodative***

Uses:

1. When an issue under consideration means far more to one group than another, and a goodwill gesture will help to preserve harmony in the
2. When the position you have taken is unacceptable to everyone but yourself, and you can't win.
3. To allow other positions to be presented and, thereby, demonstrate an open, reasonable attitude.

**If you scored HIGH:** Do you feel the demands of citizens get more attention than they deserve? (Public officials must be prepared to alter their implementation plans when they are resisted by influential community groups.)

**If you scored LOW:** Do you have trouble admitting that you are wrong and find yourself frequently at odds with colleagues and citizens? (Accommodating on minor issues is a way to preserve public goodwill and still retain a decisive voice in determining public policy.)

### ***Consultative***

Uses:

1. When your purpose is to learn - test your own assumptions and seek to understand the views of others.
2. To gain commitment by incorporating the insights of citizen groups in the decision-making process.
3. To demonstrate that you are actively soliciting participation even from potential objectors as a matter of principle.

**If you scored HIGH:** Do you spend more time investigating points of view and approaches than the issues deserve? (The inclusion of citizen input is not a necessity in all public decision-making. Consultation should be reserved for issues worthy of the time and energy required for citizens to be involved.)

**If you scored LOW:** Are you skeptical of the notion that differences are opportunities for learning and joint gain? (The prospect of debate and confrontation with citizens may be personally distasteful, causing you to avoid interaction with them unless unavoidable and blinding you to the benefits of participation.)

### ***Democratic***

Uses:

1. When the goal is to build a capacity for leadership among those often excluded from political and economic processes.

2. To cultivate political consciousness and local responsibility for public programmes and decisions.

**If you scored HIGH:** Are you frequently on the side of involving citizens in decisions at the risk of causing delay and ignoring the advice of staff? (Sensitivity to citizen needs, while important, should be balanced with carefully reasoned professional judgement and implementation strategies.)

**If you scored LOW:** Do you feel threatened by any suggestion of power sharing with citizen groups? (Those who have power often want to keep it. They fail to understand that their power is increased by sharing and reduced by withholding.)

### Summary

Participants in training learn more when they are actively involved in the learning process. Instruments assure an active role for participants. They are a valuable source of personal feedback to individual participants through the straightforward completion, scoring and interpretation of scales.

Beyond personal insight, instruments can be a source of information for giving and receiving feedback among training participants. Participants can be asked to predict their own and other people's scores and to become aware of the impact their behaviour is having on others.

Hundreds of instruments with a personal, interpersonal and organizational focus are readily obtained from commercial sources, complete with instructions for scoring and score interpretation.

## BRAINSTORMING

Learning Emphasis		
Organization Focus		

*To get the warmth of the fire, one must stir the embers*

*-- Kikuyu Proverb*

Popularized by Alex Osborn in the early 1950s, brainstorming is a group activity that focuses on channeling collective energy towards the generation of a wide range of ideas. As a learning experience, brainstorming uses a few simple, practical rules to cultivate creative thinking.

Brainstorming is a leader-directed, participant-centred activity. It is ideal for groups of less than 10 participants. It is carried out in a small room with open wall space for taping up large sheets of paper containing ideas. Participants supply ideas and the trainer, who is equipped with a flip chart, records them.

The typical brainstorming session is carried out in six steps as follows:

### Step 1

The group leader writes a problem for which solutions are sought on the flip chart. The question should be brief, specific and stimulating.

Example:

"How can we obtain a project grant from UNCHS (Habitat)?"

### Step 2

The leader explains why the problem is of concern to the group.

### Step 3

The leader explains the ground rules for brainstorming as shown in the box below.

### Rules for Brainstorming

- Every idea is accepted - no discussion or evaluation is permitted. This includes both verbal, and non-verbal expressions of approval or disapproval. As one leader once put it, everybody "think up or shut up!"
- Every idea is written down exactly as stated. No restating, summarizing or interpreting
- The objective is quantity of ideas. Quality ideas will come later. This is known as free-wheeling

- Building on the ideas already suggested is acceptable and encouraged
- Opposites or the reverse of ideas already suggested are okay and encouraged
- A time limit is set and is observed without fail. When time is up, STOP!

**Step 4**

The leader lists each idea on the flip chart as quickly as possible. Ideas are recorded exactly as stated. This is important. Hesitation sometimes gives the impression of disapproval. Two recorders may be used to speed up the flow of ideas, if the participant group is large.

**Step 5**

When time is up, participants are allowed to ask questions for clarification only. Only the individual who provided an idea is allowed to clarify it.

**Step 6**

Participants are invited to evaluate the ideas. This can be done in the group as a whole or by assigning ideas to sub-groups. The most promising ideas are identified, and an effort is made to arrive at a consensus.

**Summary**

Brainstorming can be a highly productive method for generating ideas from members of a group in relation to a problem under study. The power of association can be like a two-way current. When one member expresses an idea, she tends to stir her own imagination to think of another one. At the same time, her ideas stimulate the associative power of other members of the group. Brainstorming will succeed, however, only when everyone participates actively and takes care to suspend judgement until a final list of ideas is recorded for group consideration.

**NOMINAL GROUP TECHNIQUE (NGT)**

Learning Emphasis		
Organization Focus		

*Every partridge knows its way of scratching*

*- Kikuyu Proverb*

NGT was developed by Andre L. Delbecq and Andrew H. Van de Ven in 1968. Since that time, NGT has gained extensive recognition throughout the world and has been widely applied in health, social service, education, industrial and governmental organizations.

NGT meetings normally consist of from one to five groups of from five to nine people each seated around tables open on one end. The open end is used for a flip chart pad on an easel to be used by the leader for the collection and public display of ideas furnished by participants of the group. The leader has markers for writing ideas on the chart pad and masking tape for taping sheets containing ideas on the wall of the room.

Participants of each group are provided with pencils and one dozen small writing cards each.

The leader opens the meeting with a statement about the purpose of the meeting, clarification of the importance of each member's contributions and a clear indication of how the meeting's output will be used.

Although a meeting might involve several groups at separate tables, for purposes of illustration, we shall explain the process as if there was one table consisting of between five and nine participants. The process consists of six steps.

**Step 1: Silent generation of ideas in writing**

The leader reads the nominal question to participants out loud while writing it in plain sight at the top of the pad. Care must be taken by the leader to choose clear and unambiguous wording for the question so as to generate the most specific responses possible. An appropriate question, "How can we make better use of our time at meetings," for example, should produce many useful ideas. This question is far superior to the more general question: "How can our meetings be more productive." The leader then asks participants to write down as many ideas as they can think of in answer to the question. Participants are cautioned by the leader to work silently and independently.

**Step 2: Round-robin recording of ideas**

Starting at one end of the table, the leader asks a participant to read one of his/her answers out loud. The answer is recorded by the leader on the pad. The next participant is asked for one of his or her answers. This process is continued

until every answer of every participant has been recorded. As sheets on the pad are filled the leader tears them off and tapes them to the wall. Participants are encouraged by the leader to "Pass" if they have nothing further to offer with the understanding that they may re-enter later with any new ideas that may occur to them. Discussion of ideas and side conversations at the table are strongly discouraged by the leader.

**Step 3: Discussion for clarification**

The leader explains that the purpose of this step is to ensure that everyone understands what is meant by each idea on the pad. The ideas are taken one at a time as written. Discussion of an item is to focus on understanding, not agreement or disagreement. Participants are told that everyone is responsible for clarifying an idea and not just the person who offered it.

**Step 4: Preliminary vote on ideas of importance**

The leader asks participants to select five ideas from the list of ideas displayed on the sheets taped to the wall and to write each item down on a separate card. The leader collects the cards and shuffles them to retain anonymity. The leader then tallies the vote and records the results on the flip chart in front of the group.

**Step 5: Discussion of the preliminary vote**

Participants are told by the leader to examine the voting pattern on the chart and to comment on anything about the pattern that seems unusual, surprising or inconsistent. The leader stresses that the discussion may persuade some participants to change their votes but that no one is being pressured to do so.

**Step 6: Final vote**

The final vote is simply a repeat of Step 4. It combines individual judgements into a group decision. When it is over, the leader thanks participants for their efforts, repeats what will be done with the meeting output and closes the meeting.

**PROS AND CONS OF NGT**

Unlike brainstorming, in which participants interact with one another from the start, NGT is designed to let people work in the presence of one another in a structured manner but to write down their ideas independently rather than talk about them. Because of this characteristic, NGT groups have been found to outperform interactive groups consistently in the quality of ideas produced. This seems to be because participants of NGT groups are less subject to being inhibited by one another and are less prone to make premature judgements.

NGT does have some drawbacks. Considerable preparation for NGT meetings is necessary. For this reason, it is less useful as a spontaneous training technique than brainstorming. These drawbacks can be alleviated, however, by leaving out some of the steps described above thereby simplifying the process and saving time.

**Summary**

Structured techniques for group problem solving like brainstorming and NGT are valuable additions to the trainers repertoire of learning activities. They are particularly useful as a source of creative ideas and to demonstrate the tremendous potential of a group to analyse and remedy its own problems. NGT is more formal and time-consuming than brainstorming but is sometimes preferred by people in training who are uncomfortable with the more spontaneous, interactive methods.

**FORCE FIELD ANALYSIS**

Learning Emphasis	
Organization Focus	

*If you row against the current, you might end up swimming to shore*

*-- Indonesian Proverb*

Much of the potential for people in training to apply what they have learned back home is lost when the forces affecting them are more constraining than encouraging. More than 40 years ago, a social psychologist named Kurt Lewin became interested in the forces that influence change in people. In developing his field theory, Lewin came up with the idea of force-field analysis.

Force-field analysis is a powerful tool that helps people in training understand the factors at work that affect their ability to apply new learnings and to plan strategies that will alter these factors in a positive way. Lewin believed change involves three steps: (a) unfreezing, (b) exploration and (c) refreezing.

Unfreezing begins in the training session when participants discover a new skill or behaviour they wish to begin using at work. Exposure to a new way of doing things motivates the participants, at least for the time being, to want to change to want to incorporate the new skill or behaviour in the way they perform on the job. This exploration of the possibility of change is called "unfreezing."

The state of being unfrozen, however, is a temporary one. As Lewin saw it, there are forces in the workplace that strive to restore the old equilibrium; to discourage application of the new behaviour or skill. "Uh-huh! very interesting; but, you see, that's not the way we do things around here." If this way of thinking prevails, participants will be persuaded to abandon the quest to explore new skills and behaviours and retreat to or "refreeze" at the status quo.

On the other hand, there are forces in the workplace that strive to create a new equilibrium - to support the further exploration of new skills and behaviours. "That is exactly what we hoped you would learn at this workshop; what can we do to help." If this way of thinking prevails, participants will be encouraged to move ahead to "refreeze" at a new skill or behavioural equilibrium.

The figure below shows what participants who wish to adopt and use new skills and behaviours are up against. The top and bottom of the figure represent opposite ends of a force field with respect to utilization or non-utilization of newly acquired skills and behaviours on the job. The vectors pushing upward are environmental forces supportive of further exploration with new skills and behaviours. These are labeled "driving forces." The vectors pushing downward represent the "restraining forces" within the environment that act to keep. Participants from making use of the new skills and behaviours.



By introducing force-field analysis at a late stage in a training programme, the trainer encourages participants to think about and plan for the challenges of re-entry to their work environments. Various present states can be viewed as the result of a balance of organizational and individual needs and forces. Therefore, change can occur only if the forces are modified so that conditions surrounding the use of new skills and behaviours on the job move to and stabilize at a different level where the driving and restraining forces are again equal. The equilibrium can be changed in the direction of successful application of new skills and behaviours by three means (strategies):

1. Strengthening or adding forces in the direction of change
2. Reducing or removing some of the restraining forces, and
3. Changing the direction of the forces.

Any of the three strategies could be successful, but the secondary effects will be different in each case. If a change in the equilibrium is brought about only by strengthening the driving forces, the new level may be accomplished by a relatively high degree of tension. This may, in itself, reduce job effectiveness. For example, a participant might say to a supervisor, "Well, I'm going to do it this way from now on whether you like it or not." This seemingly uncompromising position might create hard feelings or even jeopardize the participant's continued employment.

Attempts to bring about change by removing or diminishing resisting forces generally will produce a low level of tension. For example, by offering productivity in exchange for permission to use new skills and behaviours, participants might find their supervisors and colleagues more than ready to cooperate.

One of the most efficient ways to get change is to alter the direction of one of the forces. For example, if participants were to plan a strategy aimed at testing management's support for job experimentation with new behaviours, they might find more encouragement than was previously thought to exist. Thus, the removal of a restraining force becomes an additional and powerful driving force for change.

A worksheet designed to assist participants in a training programme that uses force-field analysis to plan the transfer of new learnings from the learning environment to the working environment is shown on the next page.

### ***Force-field Analysis Worksheet (Learning Transfer)***

In the space below, write some learnings (new skills or behaviours) from this programme that are important enough for you to invest some of your time, energy and thought in putting them to use in your own work environment.

1. The new skills or behaviours I see myself using on the job are:
- a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_

2. From my best judgement at this time, I believe I can get results applying the new skills and behaviours by: \_\_\_\_\_ (target date)

I can see several forces working in my favour - helping forces that will support me in making full use of these new skills and behaviours.

### **Forces helping me**

- a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
3. I can also see several forces working against me - forces holding me back and restraining my efforts to make use of new skills and behaviours by: \_\_\_\_\_ (target date)

### **Forces holding me back**

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

4. Looking at the list of forces holding me back, some actions I might take to reduce or redirect the forces preventing me from making full use of new skills and behaviours by my target date are:

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

5. Resources that I need or that would help me implement the above actions are:

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

6. People who could assist me in obtaining these resources or otherwise facilitate the full use of new skills and behaviours by my target date are:

Names:

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_

7. What I want from these people is:

\_\_\_\_\_  
\_\_\_\_\_

### **Summary**

Force-field analysis can provide the trainer with an effective tool for helping training participants examine the constraints to the application of new skills and behaviours and planning workable change strategies. In fact, using the process can become an unfreezing, learning experience in itself.

## **ACTION PLANNING**

Learning Emphasis
Organization Focus

*We have too many high sounding words, and to few actions that correspond with them*

*-- Abigail Adams*

Elsewhere in this volume, techniques are discussed for generating ideas relative to a problem or opportunity (brainstorming, the nominal group technique) and for assessing alternative ways to use ideas to solve problems or seize opportunities (force field analysis). Once an individual or group has decided on the direction to be taken (made a decision), it is time to prepare for implementation. This is done using a process called action planning.

Action planning is often considered to be the crucial link between planning and implementation. Once a decision has been made by an individual or a group on the "best" option for attaining a desired purpose, it is time to put together a detailed action plan. An action plan describes in detail what is to be done, how it is to be done, by whom, and when. Thorough, detailed action plans are insurance for the decision-maker that the time spent in planning for change will result in reasonable implementation action. Therefore, action planning is an essential skill for managers and decision makers and for those who advise them.

An action plan should answer the following questions about a new policy, programme, or other change to be implemented:

1. What are the activities involved (steps to be taken)?
2. Who will take primary responsibility for each action? (Someone needs to be in charge.)
3. Who else needs to be involved?
4. When will each action be complete (not only how much time will be required, but a realistic date for completion)?
5. What resources will be needed (people, money, equipment, skills)?
6. How will it be known that progress is being made toward carrying out the option and achieving the desired purpose? How is success to be evaluated? What are the verifiable indicators?

Action planning, whether carried out by an individual or as a facilitated group activity, generally consists of these steps:

### **Step 1**

The individual or group responsible for implementation begins by making a list of activities that need to be done to implement the policy, programme, or change. No effort is made to sequence or order the activities at this stage. However, a reasonably complete list should be compiled. Individual activities may be written on separate index cards so that they can be organized easily at a later stage of the process.

### **Step 2**

When a reasonably complete list of activities has been prepared, they are ordered in a sequence. One way to do this - and at the same time to be sure that nothing important has been left out - is to start at the end and think backward, asking a series of questions. For example

- Is this the result we want?
- What has to happen before this?
- And before that, what needs to be done?
- And so forth.

This process continues back to the starting point for action planning. As this process continues, the activities (on separate cards) are arranged in time sequence. For example, if the end point is a three-session training programme for homeowners to teach them building techniques, one might work backward in this fashion:

- The week before the programme, it will be necessary to make sure of last-minute preparations (i.e., the training materials are ready, the instructors are ready, the list of homeowners is complete).
- Even before that, it is necessary to secure a training site, (e.g., a demonstration house in the initial stages of construction).
- To secure a site it will be necessary to check out several possibilities.
- At about the same time, it will be necessary to assemble training materials (a construction booklet, building materials, tools etc.).

- Before all that, it will be necessary to have a training design.
- And so forth until arriving at the starting point.

A simple worksheet for compiling information generated during an action planning session is shown at the end of this section.

### Step 3

When the sequence of activities has been developed, the activities may be charted in relation to one another and a time frame. A well-known method for charting a sequence of activities is called PERT (Program Evaluation and Review Technique). PERT enables all the members of a work group to see how their individual activities fit into the plan or projects as a whole and to consider how things might be done otherwise than originally planned. Also, PERT stresses the importance of teamwork and cooperation. It is a method that allows for revisions in a plan when things do not work out as expected. This is important since things rarely work out exactly as planned.

One way to develop a simplified PERT chart is for work groups to list activities on index cards as described earlier. The cards, in turn, are taped to a large matrix on a wall. Down one side of the matrix is listed the various actions to be taken and individuals or work groups with implementation responsibility. Across the top is a timetable in days, weeks, months or years as the case may be.

After work groups have posted their activities on the matrix in the sequence they believe appropriate, they negotiate changes in sequence and timing with one another, taking into account the relationship of their respective actions. The final product is a simple implementation plan complete with a realistic sequence of critical activities to be performed, persons responsible, and completion dates.

A format for the design of an action-planning matrix is shown at the end of this section.

### Summary

A method for closing the gap between planning and implementation is action planning. Action planning proceeds from the selection of the "best" course of action to spell out in detail what is to be done, by whom and by when. The preparation of action plans is a three-step process that involves listing activities to be included in the plan, sequencing these activities, and assigning responsibility for performance to some person or group for completion by a specific date. When carried out in a group, action planning, using PERT, creates a valuable planning tool while promoting teamwork and improved work relationships.

Action Planning Worksheet			
Name of Lead Individual/Agency _____			
Actions	Group/individual responsibility	Co-operating groups/individuals	Completion date
1.			
2.			
3.			
4.			
5.			

Action Planning Matrix			
Action/lead responsibility	Within 1 month	Within 6 months	Within 1 year
1. /			
2. /			
3. /			
4. /			
5. /			

## OTHER LEARNING TRANSFER STRATEGIES

Learning Emphasis			
Organization Focus			

*All the beads in the world won't make a necklace until you string them together*

*-- Korean Proverb*

The learning environment and the daily work environment for the participants of a training programme are like two different worlds. The learning environment is a "closed" situation in which learners are encouraged to think about and practice new skills and behaviours. Here, the emphasis is on experimentation, and the rewards go to participants who are willing to step out and try new things.

The daily work environment for most participants in training is quite different. The emphasis, in most cases, is on conformity with established work habits and practices. Experimentation is rarely rewarded in this environment. In fact, there may be severe penalties for doing things differently unless prior approval is obtained.

The implications for learning transfer between these two environments is all too clear. Without adequate preparation, the transfer of learning may be doomed to failure. For example, it would be disastrous to send a training participant who has been taught the values of participative management back to a work environment in which the methods used to accomplish work are strongly autocratic. It would be disastrous, that is, unless the participant has developed strategies for coping with the situation. Such strategies might include:

1. Encouraging gradual change by personally demonstrating the value of participative management in motivating people to top performance in such a way that the managers and supervisors can see the results for themselves.
2. Locating managers who share your management philosophy and working with them to develop strategies for influencing the work practices of other managers.
3. Learning to cope with the personal frustration produced by having to associate regularly with autocratic methods and ways of thinking.

The point is, there are many aspects of the working environment - values, policies, procedures, personal practices and, even, the physical layout of offices that can discourage a training participant from attempting to apply new behaviour and skills. These work environment aspects, plus resistance from past personal habits, can present the participant with a potent obstacle to learning transfer.

Earlier in the tool kit, the training participant was introduced to force-field analysis as a powerful tool for analysing and planning for change. There are two other excellent learning-transfer tools that can be used to link the learning environment to the world of work. They are: (a) learning contracts, and (b) planning for learning transfer.

### **Learning contracts**

One of the best strategies for assuring back-home application of new skills and behaviours is the so-called "learning contract." A unique feature of the learning contract is that it is negotiated before a person leaves for the training. The intention is to create a bond of understanding and mutual expectation for specific improvements in performance between a person to be trained and that person's supervisor. As a result of the contracting process, both tend to feel accountable for and committed to the transfer of relevant skills and behaviours from the learning environment to the work environment. You might say that the person to be trained has received his or her marching orders and knows in advance what he or she is supposed to bring home from the training.

Written learning contracts are more useful than oral ones. The process of negotiating a learning contract in writing proceeds as follows.

#### **Step 1**

A meeting is arranged between a person who will be attending training and the supervisor or supervisors. Those to attend the meeting are furnished with literature on the programme and asked to read it and to be prepared to discuss performance improvements they would like to see as a direct result of the training.

#### **Step 2**

At the meeting, discussion focuses on: (a) what training opportunities are available to programme participants, (b) areas of skill improvement or behaviour change that are reasonable to expect from a participant in this programme, and (c) specific ways that programme learnings can be put to use in bringing about desirable skill improvements and behaviour changes at work.

### **Step 3**

A written contract is prepared to document needs and expectations expressed at the meeting. The document is circulated among those who took part in the meeting.

### **Step 4**

The learning contract is signed by the person to be trained and the supervisor or supervisors concerned. The contract is taken by the person to be trained to the programme. It may be shared with the trainer. It can serve as a blueprint for actions by the participant to make the most of the learning experience.

A suggested format for a pre-training contract for learning is shown on the next page.

### ***The Learning Contract (A Pre-Training Activity)***

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

1. Why does my participation in this training programme seem to be a good investment of time and money for my organization?

\_\_\_\_\_  
\_\_\_\_\_

2. In what specific ways can my work unit benefit from my participation?

\_\_\_\_\_  
\_\_\_\_\_

3. On what specific areas of knowledge, skill, attitude and behaviour improvement should I concentrate MY efforts as a participant?

\_\_\_\_\_  
\_\_\_\_\_

4. What specific help, support and encouragement do I want from my supervisor in order to apply what I learn to make the intended performance improvement?

\_\_\_\_\_  
\_\_\_\_\_

Signed:

\_\_\_\_\_  
Participant Date

\_\_\_\_\_  
Supervisor Date

\_\_\_\_\_  
Supervisor Date

### ***Planning for Learning Transfer***

Training programmes vary in length and complexity as do the skills and behaviours to be learned from them. Some learnings may be germane to the job requirements of all participants. Others may relate to only a few of the them. Either way, the ultimate responsibility for what is learned rests with the participants themselves.

A trainer can help participants consider possibilities for using new concepts, practices or skills to improve the way they perform in their work. One technique is to invite them to assess the value of what they have been learning to their own work practices and to plan specific changes in job performance that make use of these learnings. This is done by asking them, at regular intervals, to complete an assessment form. How often the assessment is done depends on the length of the programme and the complexity of the material. In most cases, assessments should be completed by participants at least once a day and/or at the end of a block of related learning material.

A form suitable for use by a trainer in helping participants assess the back home transfer potential of specific learning content is shown on the next page.

**Participant Learning Assessment Form**

Name: \_\_\_\_\_

Programme: \_\_\_\_\_

Date: \_\_\_\_\_

1. On a scale of one to five, how would you rate your level of satisfaction with today's training as a learning experience for you? (Put a check mark)

1	2	3	4	5

Low satisfaction High Satisfaction

2. What accounts for your rating?

\_\_\_\_\_

\_\_\_\_\_

3. What did you learn today that you feel can significantly improve your job performance?

\_\_\_\_\_

\_\_\_\_\_

4. How do you intend to begin using what you learned?

\_\_\_\_\_

\_\_\_\_\_

5. What action or actions might you take to improve your chances of using what you learned to improve your performance in the next 30 to 90 days?

\_\_\_\_\_

\_\_\_\_\_

**PERFORMANCE ANALYSIS & NEEDS ASSESSMENT**

Learning Emphasis	
Organization Focus	

*Not speech, but facts, convince*

*-- Greek Proverb*

Training needs assessment is the process used by management to gather and analyse data about performance in an organization to make decisions about when and where to use training. According to a UNCHS (Habitat) publication, *Handbook for Training Needs Assessment in Human Settlements Organizations*, training needs assessment has several important benefits for an organizations managers and trainers. It:

- Puts training back in the hands of the organization and removes it from control by training institutions
- Provides early warning about performance problems that could jeopardize organizational effectiveness or efficiency
- Helps managers prepare organizational units and individual employees for the introduction of planned change
- Furnishes feedback about which training programmes are having the payoffs they were intended to have and which are not, and
- Helps managers decide what priority to assign to new training programmes.

This same publication provides public-sector managers and trainers with a valuable set of tools for carrying out needs assessments systematically in an organization. The publication outlines a comprehensive process for discovering discrepancies in job performance called *scanning* and a method for separating discrepancies in knowledge or skill (candidates for training) from discrepancies traceable to other causes. Scanning includes a variety of time-honoured techniques well-known to most trainers for gathering data on job performance - surveys, interviews, peer group meetings, document review, and direct observation (UNCHS, 1987).

A worksheet useful to trainers in collecting and recording information on performance is shown at the end of this section. The worksheet has several potential applications. It might be used by a training consultant to aid a client in analysing a performance problem and deciding what to do to remedy it. It also might be used as an exercise for sharpening the training skills of in-house trainers. Finally, the worksheet might be used by an in-house trainer to verify a suspected need for training or even to suggest appropriate alternatives to training for problems that are not related to deficiencies in knowledge or skill.

It is not our intention to revisit all of the techniques available to the trainer to analyse the performance of organizational work units. Rather, we want to look more closely at one of them - **direct observation** - and how trainers can use it with greater efficiency to find the cause of many of their organizations' performance problems.

### **Performance observation and analysis**

The recent flurry of excitement in the western world about restoring quality in manufacturing has captured the imagination of managers in the service industries including local government. At the heart of the methods being promoted by such quality advocates as W. Edwards Deming and Joseph Juran is the rigorous investigation (observation) and study (analysis) of organizational processes and the way they are performed. The best managers do not rely on second-hand information to make decisions. They stay in touch with their workers and customers by getting out of their offices and spending time *out there* to learn first-hand what is going on.

A common thread connects these schools of thought about performance improvement and the manager's job - observing performance to find out what isn't working and what is, and then creating conditions for using what is working as the standard for all performance. Thomas Gilbert, author of *Human Competence*, says a performance problem or need exists when we have discovered a difference between the average performer and the highest performer in a particular job. According to Gilbert, the high performer proves to us that a high level of performance is possible. If someone has achieved it, why, contends Gilbert, shouldn't we expect all people in similar jobs to achieve it? (Gilbert, 1978). This seems logical enough until we realize that most managers don't operate this way. Instead, it is typical for managers to assume that a high performer is some kind of anomaly, an eccentric with special gifts that enable him or her to do things other people can't or won't do.

What if Gilbert is right, that people with the same jobs can be taught to perform at the level of the highest performer? If a person is, then how can we find out what distinguishes the high performer from his or her peers so that the winning behaviours can be passed on to average performers? Gilbert contends that the answer is direct observation - observing what high achievers actually do instead of just asking them. If we agree with Gilbert that we can learn more about achievement from what we see (actual observation) than what we hear (second-hand accounts of performance), then managers and trainers should be spending more of their time in the field actually observing and analysing performance.

### **Troubleshooting performance**

According to Gilbert, "the major aim of performance analysis is troubleshooting - the discovery of the most important opportunities for improving competence." (Gilbert 1978). In order to be an effective troubleshooter you will need a process to follow.

Troubleshooting the performance of any local government operation can be carried out successfully following the seven steps shown below. We have selected for our example one of the most common services performed by any local government to add realism to our review of the process.

#### **Step 1**

Choose a function or activity of the organization that must be done well for the organization to accomplish its mission - *road repair and maintenance, for example.*

#### **Step 2**

Identify an area of accomplishment within that function or activity that is crucial to its success - *such as the road resurfacing programme.*

### **Step 3**

Decide on some desired performance standard (e.g., quality, novelty, quantity, cost) for the area of accomplishment. *For example, you might adopt five years as an acceptable life for a resurfaced roadway.*

### **Step 4**

Visit some individuals, teams, or work units within the activity or function that are farthest below the standard. Based on the organization's records for instance, you might discover that one of the road maintenance crews is averaging less than three years of longevity from the resurfaced roadways for which it has been responsible.

### **Step 5**

Observe the actual performance of each of the individuals, teams, or work units being visited to determine why the standard is not being met (finding the cause of sub-standard performance). *After observing the crew at work on several jobs, for instance, you come to the conclusion that its roadways are failing ahead of time because the crew is not allowing enough time for the base sealant to set up before applying the asphalt surface.*

### **Step 6**

Once the cause of sub-standard performance has been determined, use various combinations of observation and enquiry to find out what might account for the identified performance-discrepancy. Possibilities are lack of information, inadequate resources, insufficient incentives, excessive workloads and improper work direction and supervision. *You might learn for example, that none of the crew members knows the proper drying methods for the type of sealant being used, nor are they aware of the longevity standard used by the organization for resurfaced roads (information discrepancies). You might learn, as well, that the materials being used dry more slowly than other sealants available in the same price range (inadequate resources). Finally, you might discover that the road repair supervisor and superiors in the public works department are more concerned. With the number of resurfacing jobs that can be done in a single work week than the quality of the work being done (excessive workloads and improper work direction and supervision).*

### **Step 7**

On the basis of these findings, offer some strategies for improving performance, such as bringing the average level of performance up to the established standards. In most cases, where information discrepancies are found, the strategy would include some combination of training and coaching. *You might decide for example, to recommend training for crew members on proper drying for sealants used in the resurfacing programme and the organization's standard for resurfaced roads. You might also suggest a comparison of various sealants for drying times and other performance factors. Finally, you might suggest training in quality management and work scheduling for supervisors of road maintenance units with records of sub-standard performance.*

### **Summary**

It is not our intention in this presentation to suggest that observational techniques should replace other forms of data gathering for needs assessment. Not at all. We are trying to put into perspective the various methods available to the trainer for compiling information about performance. We are suggesting, however, that the time spent by organizations to compile data on knowledge and behaviour might be used to better advantage observing and analysing accomplishments. After all, there is little point analysing how perfectly the golfer addresses the ball on the tee and how deftly he or she lines up the putt on the green until we know how often he or she pars the course.

*Assessment is to training as the eyes and the brain are to the individual*  
*-E Gerald Brown*

### **Notes**

Gilbert, Thomas E, *Human Competence.. Engineering Worthy Performance* (New York: McGraw-Hill Book Co., 1978).

United Nations Centre for Human Settlements (Habitat), *Manual for Training Needs Assessment in Human Settlements Organizations* (Nairobi: UNCHS, 1987).

## **PERFORMANCE ANALYSIS WORKSHEET**

### **A. Background information on the client**

1. Name of client organization: \_\_\_\_\_
2. Name of organization's chief executive officer \_\_\_\_\_

3. Work unit with the performance problem: \_\_\_\_\_
4. Name of unit head: \_\_\_\_\_
5. Name of principal contact, if different: \_\_\_\_\_
6. Principal functions performed by the unit.

**B. Details on the performance problem**

1. Describe the performance, as it should be:
2. Describe the performance as it actually is:
3. Explain what is causing the discrepancy (gap between performance as it is and as it should be):
4. Describe the consequences for the work unit or the organization if nothing is done to eliminate the discrepancy:

**C. Remedy for the performance problem**

1. Which remedy or remedies would you suggest to close the performance gap? (check all remedy types that apply)
  - Training
  - Non-training
  - Both training and non-training
2. If you checked training, what is your basis for this decision?
3. If you checked non-training or both, what is needed to close the performance gap?

(Note: The remaining questions are concerned with performance gaps that can be closed by training.)

**D. Training characteristics and benefits**

1. Describe the appropriate training to close this performance gap. (Indicate the type of training, programme duration and probable starting dates.)
2. Who will participate in the training? (Indicate job title and number of persons to be trained)
3. What are the objectives (new knowledge, skill or other organizational benefits) that will result from the training?
4. How will the training be designed and conducted? (check one)
  - By qualified trainers from your institution.
  - By a qualified trainer from your institution in collaboration with one or more in house trainers.
  - By one or more in-house trainers who have been trained to conduct the training by a qualified trainer from your institution.
  - Other \_\_\_\_\_
5. When the training is complete, what will you accept as evidence that its objectives have been achieved?
6. What obstacles should be anticipated in designing and conducting the training? (Include obstacles that might arise before, during and after the training.)
7. What can be done to prevent or reduce the impact of these obstacles?

**E. Acceptance of the training agreement**

Signed by:

Worksheet preparer: \_\_\_\_\_

Training institution director: \_\_\_\_\_

Organization's chief executive officer: \_\_\_\_\_

Head of the work unit with the training need: \_\_\_\_\_

Date: \_\_\_\_\_

## TRAINING IMPACT EVALUATION

Learning Emphasis	
Organization Focus	

*The stem of the lotus will tell the depth of the water*

*-- Thai Proverb*

Evaluation is how trainers find out what effect their programmes are having on their participants. How evaluation is used, of course, depends on what is to be evaluated. For example, the trainer might want to know how well a programme was received by its participants. In other words, did participants find the programme useful, interesting, educational, exhilarating, or not, and to what extent. Usually, this is done by asking the participants - requesting them to fill out a reaction sheet on the programme at the time of their departure or even sometime later after returning to the job. The trainer also might want to know what or how much participants have learned. This is done by comparing what participants thought, knew or could do before the training with what they think, know or can do after the training. Such comparisons are often made using before-and-after testing.

Many trainers want to know, or at least they should want to know, if their training programmes are having long-term impact. It is one thing to confirm that learning has taken place. It is another to show management that training has actually resulted in better performance (i.e., producing evidence from evaluation that training has made a favourable impact on the job behaviour of individuals and the organizations they serve). For obvious reasons, this is called **impact evaluation**.

### ***Where training has an impact***

Training can have an impact on the behaviour of individuals who have been trained. Just as people who like a programme don't necessarily learn anything from it, people who learn new things, how to think differently or to do things in different ways won't necessarily use what they have learned back on the job. Not only that, if they do begin to behave differently after being trained, factors other than training may account for the change.

Among the evaluation techniques often used to determine the impact of a training programme on the behaviour of training participants are these:

- Comparisons of performance before and after the training
- Data on performance obtained from supervisors, subordinates, and peers
- The use of statistical comparisons, and
- Follow-ups over time.

Training can have an impact on the organization as well. This may show up as lower operating costs, higher work output, and quality changes that are relatable to the training. Impacts of this kind are measured in relation to the work unit, department, or organization rather than in relation to the performance of individual employees. Nevertheless, these impacts on organizational performance come about because of changes in the behaviour of participants - employees who have been trained to serve the organization more efficiently and effectively and who are putting their new knowledge and skills to use on the job.

There are two important reasons why trainers should take the time to evaluate the impact of their programmes. One reason is to find out how successful the training was in achieving programme objectives and to use this information to make needed changes in design and delivery. Another reason is to make a convincing case for the value of the training for the benefit of clients who may be skeptical about training's potential for improving individual and organizational performance.

If possible, impact evaluation should be carried out by someone other than the person or persons who will be doing the training. The use of an evaluator who is not involved in the training will add credibility and objectivity to the evaluation report prepared for the client. Evaluators can be selected from the staff of an organization's training unit, the personnel

department or some other organizational unit. Or they can be employed from an outside training organization. If problems of availability or cost will not permit the use of a separate evaluator, then the trainer should do it. The point is, evaluation must be carried out by somebody if there is to be conclusive evidence that the training has done what it was designed to do.

Impact evaluation is a logical process, a series of steps that must be carried out rigorously by the evaluator to obtain valid and reliable data about the value of training. Evaluation begins early in the training process. The evaluator serves as a valuable companion for the trainer at the training design stage in reviewing performance data from needs assessments and questioning the completeness of training objectives. What follows are eight essential steps in the impact evaluation process.

### **Steps in impact evaluation to be completed before the training**

1. *Collect background information on the training programme and training needs to be addressed.* This information includes the reasons why the training is to be conducted, who is to be trained for what purpose, the design and method of delivery, who will want to know what was learned by the evaluation, and what constraints (time and money) influence the scope and content of the evaluation.
2. *Specify the training objectives.* The objectives of a training programme are established in collaboration with the client, and the individual or organization doing the training. Besides offering direction to the trainer and encouragement to the training participants, objectives provide a solid basis for evaluating the programme's success. A well-written objective is relevant to the organization's training needs and contains indicators of wanted performance (i.e., measures of the expected training results contained in the objective). In the following example of a well-written, measurable, training objective, the indicator of wanted performance is shown in italic type.

**Example:** Seventy-five per cent of the clerical staff of the municipality will demonstrate improved typing skills, showing *an increase of not less than 10 per cent in the number of words typed per minute with no errors.*

3. *Decide on the questions to be answered by the evaluation.* There are many questions that can be asked about a training programme. The evaluator, the trainer, and the client must decide what questions are most important. The rest of the evaluation process will focus on getting answers to these questions. Normally, the most important question is, "To what extent did the programme meet its objectives"? Other questions pertaining to impact might be: "What are programme participants doing differently since the training? What impact has this had on customer satisfaction? What evidence is there that unit performance has improved since the training? Were the benefits greater than the cost of the training?"
4. *Choose an evaluation design.* At a minimum, an evaluation design, or work plan, should specify who will be evaluated, when and how (e.g., questionnaires, interviews, observation, follow-up techniques and so forth). The methods selected should enable the evaluator to determine with reasonable accuracy if the training did what it was supposed to do, what participants intend to do differently, and in what specific ways the performance of the organization or work unit can be expected to improve.

### **Steps in impact evaluation to be completed during or after the training**

5. *Collect data.* When these four steps are complete, it is up to the evaluator to perform the various tasks specified in the evaluation design. These might include, for example, developing questionnaires, scheduling interviews, administering surveys, tabulating results, preparing reports and so on.
6. *Analyse the data.* At a minimum, the evaluator must compile the results of any surveys or interviews conducted. It may be necessary to calculate averages from the combined responses to interview or survey questions and to draw summary conclusions from survey results.
7. *Report its impact.* This step should be relatively easy if the training objectives have been clearly defined and the evaluation carefully designed. The report should relate directly to the programmes objectives and be written simply and concisely so as to be easily understood by decision-makers.
8. *Follow-up.* This final step is to measure the results to be achieved (impact on the training participants and the organization) by the programme. This is done using questionnaires, interviews, observation and other data-gathering techniques used in the end-of-programme evaluation.

Shown in the next couple of pages is a simple, self-assessment questionnaire for use by evaluators in determining the impact of training on the behaviour of participants and on the organization.

## Summary

An important focus for training evaluation is the impact of a particular programme on the behaviour of programme participants (what they are doing differently in relation to the objectives of the training) as well as the organization (what favourable changes - lower cost, increased production, higher quality service, fewer errors - can be attributed to the training). Evaluating training impact can be done using a logical, rigorous eight-step process. It must be carefully planned in conjunction with the development of training objectives and in relation to the results of systematic training needs assessment. While evaluation, ideally, should be carried out by someone other than the trainer, the most important thing is that it gets done and that the results are reported to decision-makers.

## Exhibit 1 Post training questionnaire

This questionnaire is to be completed by participants in training at the conclusion of the programme. It is meant to identify each participant's satisfaction with the learning content and value of the programme and plans to use what they have learned to improve their work performance. For an adequate evaluation of a particular programme, an evaluator might add more detail to these evaluation questions or include additional questions.

1. The following objectives were stated for this programme. How successful was the programme in achieving these objectives?

(State the objectives below)	Completely Successful	Generally Successful	Limited Success	Un-Successful
A. To improve ...	_____	_____	_____	_____
B. To develop ...	_____	_____	_____	_____
Etcetera				

2. Did this programme meet your needs as a \_\_\_\_\_?  
job or position

Yes \_\_\_\_\_  
Not sure \_\_\_\_\_  
No (please explain) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Please indicate what you intend to do differently on the job as a result of this programme (be specific).

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

4. To what extent do you expect to receive support and encouragement from your organization in making use of the new knowledge and skill on your job?

To a great extent \_\_\_\_\_  
To some degree \_\_\_\_\_  
None \_\_\_\_\_  
Will be discouraged \_\_\_\_\_

5. As a result of making use of programme learnings on the job, please estimate any improvements in organizational performance (i.e., fewer complaints, increased Output, greater customer satisfaction, better teamwork, lower costs, and so forth) during the next 12 months.

6. Based on your plan to use new learnings and the support and encouragement you expect to receive from the organization, what confidence, expressed as a percentage, do you put on your estimate of performance improvement? (100% = complete confidence; 0% = no confidence.)

\_\_\_\_\_ %

## Exhibit 2

### Follow-up Questionnaire

1. What have you been doing in your position with the organization since the training programme that you were not doing before, something that you feel is attributable in some way to your participation in the programme?

---

---

2. What have you stopped doing in your position since the training programme that you feel is attributable in some way to your participation in the programme?

---

---

3. What changes in you, your work or your relations with others were caused in some way by your participation in this programme?

---

---

4. How much of what you learned have you been permitted or encouraged to put into practice since returning to the job from the training?

- Nothing of what I learned \_\_\_\_\_
- Very little of what I learned \_\_\_\_\_
- Some of what I learned \_\_\_\_\_
- Most of what I learned \_\_\_\_\_
- All of what I learned \_\_\_\_\_

Comment

---

---

5. As a result of this training, what do you estimate to be your increase in personal effectiveness, expressed as a percentage?

\_\_\_\_\_ %

6. As a result of changes in your thinking and practice based on what you and others learned at the training, what improvements in the organization have taken place (i.e., fewer complaints, increased output, greater customer satisfaction, better teamwork, lower costs and so forth)?

---

---

7. Looking back, my opinion of the value of the programme overall is ...

---

---

## TRAINING THE STAFF TO TRAIN

Learning Emphasis
Organization Focus

*Teachers open the door, but you must enter by yourself*

*-- Chinese Proverb*

There is no debating the importance of training as management's most essential strategy for preparing people to perform and keep performing competently. For many decades, training has been regarded as basic to continued organizational success. It is used to develop new skills, update obsolescent skills, and serve as a remedy for knowledge or skill-related performance deficiencies on the job.

But who carries out this vital function? In this age of work specialization, most managers would argue that training should be done by trainers. Trainers, they contend, should train just like managers should manage, planners should plan and engineers should, well, do whatever engineers are supposed to do.

While training is a highly specialized activity, this fact should not lead anyone to conclude that training is the exclusive domain of the training professional. Quite the contrary. Within every organization there are individuals who could be assigned training responsibilities and trained to carry them out competently.

There are a number of practical reasons for the assignment of selected training functions to managers or subject-matter experts than to people hired for their training expertise.

- In many cases it is easier, less time-consuming and more economical to train subject-matter experts to train than to provide internal or external trainers with the necessary subject matter expertise.
- Trainers with subject-matter expertise and experience as organizational insiders tend to have greater credibility as instructors than trainers with experience only in training technology.
- Managers and others with hands-on training responsibilities are more likely to support the training function financially and in other ways than managers who do not participate in training activities.
- Managers and supervisors who advocate new behaviours and work practices as trainers are far more likely to support on-the-job application of new behaviours and work practices by their employees.

There are several questions to answer when considering the regular involvement of managers and other non-trainer personnel in the training function:

1. What training functions and responsibilities do we want to shift to non-trainer personnel?
2. What do people without training backgrounds and experience need to know to perform competently?
3. What attributes or capabilities should we look for when selecting managers and subject-matter experts for trainer responsibilities?
4. What is the most cost-effective way to assist non-trainer personnel in acquiring the necessary trainer skills?

### ***A training role for non-trainers***

What is the most effective way to use non-trainers to expand the capabilities of your organization's training unit? Before answering that question, let's take a minute to examine what trainers do for their organizations. A short list of functions might include such things as:

- conduct needs analyses
- design programmes
- develop training materials
- make presentations
- create learning environments, and
- evaluate programme effectiveness.

Although a non-trainer could be trained to perform any of these functions, it makes more organizational sense to use non-trainers in areas of training, which can take advantage of their specialized knowledge and skills. A finance manager, for example, might be recruited to develop and teach a course on some new method of budgeting being considered by the organization. As a result of planning the course, the manager becomes more knowledgeable about the new method. In the process of teaching the course, the manager becomes an advocate for the new method and becomes committed to its prompt and effective implementation by the organization.

If managers and subject-matter experts are doing most of the training, what happens to the training department? Have no fear. The training department would not disappear. However, its character and activities would change. The training department would become a key source of expertise for helping managers do the training. For example, a regular staff trainer would coach the manager in the learning process, presentation methods, how to choose an appropriate mix of training techniques, and lesson-plan development. No doubt the staff trainer would supervise and monitor some of the manager's training sessions and provide feedback on opportunities for future improvement. In other words, the trainer would become a consultant to the manager:

### ***Which non-trainers to use***

Which managers or employees of an organization should be chosen for trainer roles? While no guarantee of successful performance, there are some qualities that are generally accepted by training and development authorities as valid

predictors of success in the trainer role. Below are some characteristics to watch for when considering staff members for trainer assignments.

1. **They should be good listeners.** When they are listening, they should be attentive to both the content of what is being said and the feelings of people who are speaking. To find out if they are, check the ability of trainer candidates to listen for facts and ideas by asking them to recall something you recently discussed with them. In particular, pay attention to how well they pick up on ambiguous or contradictory ideas. Do they ask questions about them or do they just pretend they have understood. Watch their body language - attentiveness? Show of interest? Good eye contact?
2. **They should be able to deal constructively with disagreement.** In a training session, trainers often face direct or subtle differences in opinion about theories, policies, and procedures. They must be able to respond with interest and a desire to learn more rather than with insensitivity or defensiveness. Think of a potentially disruptive situation that might arise in a training session. Ask trainer candidates how they would handle it. How do they respond? Are they likely to become defensive or combative when faced with differences? Or might they seek first to understand the basis for the differences and, then, patiently encourage the open-minded consideration of new ideas?
3. **They should be ready to change their minds.** According to one authority, the mental flexibility needed to be an effective trainer lies somewhere between lack of conviction and bullheadedness. What it boils down to for trainers is this: Does new evidence produce a change of mind or is it dismissed when it runs counter to old habits and conventional ways of thinking? Find some new theory or work practice that is supported by ample evidence and ask the trainer candidate to respond to its implications for local use. Pay attention to the response. Keep in mind that, lacking mental flexibility, trainers can't grow, and they will have great difficulty promoting growth in others.
4. **They should be prepared to ask a lot of questions.** Good trainers must be able to ask questions. They do this to find out what people already know, how they feel about what is going on, and how well they have assimilated new information. At the selection stage, the primary interest is how comfortable the candidate is in asking questions, a 'lot of questions. Later, skills can be developed in using open, directive and reflective types of questions. By raising a subject the candidate knows little about, you can stimulate the candidate's urge, or lack of urge, to ask questions. Again, the focus should be on the volume of questions and the candidate's comfort with asking them.
5. **They should be able to express themselves effectively.** Being able to communicate ideas and information orally is critically important to the success of any trainer. But being a good oral communicator does not depend on having a big vocabulary or impeccable grammar. It does depend on choosing words and phrases that get the message across in the trainees' own language so clearly the trainee cannot fail to understand. Good trainers do not try to talk people into things or out of things. Rather, they try to get people to think about things and how these things might be applied in their own work situations. To find out how good a communicator a trainer candidate is, ask the candidate to explain something. Evaluate what the candidate says for clarity of meaning and its potential for motivating others to thought and action.
6. **They should have experience giving positive reinforcement.** Effective trainers give positive reinforcement to trainees as the trainees progress toward their learning goals. They offer acknowledgment and reward for those things that exhibit comprehension or ways of applying new learning. Look for evidence that a training candidate uses positive reinforcement in non-training functions. A training candidate that does this in non-training situations can be shown easily how to transfer this valuable management skill into trainer performance.

### ***Traps to avoid***

On the other hand, selecting the right non-trainers for organizational training roles can be a perilous task. According to Dugan Laird, an authority on training and development, there are a number of traps to avoid. One of these is the *good-worker trap*. This is the tendency to select people for trainer roles who have distinguished themselves in other assigned tasks. While subject matter expertise is important, it is no guarantee in itself that the individual who possesses it can teach it to someone else. As Laird warns us, "organizations that fall into the good-worker trap may lose a good worker and gain a bad trainer."

Two other traps mentioned by Laird are worth mentioning. One of these is the *wants out - not in* candidate. This means that some managers or subject matter experts may volunteer for trainer roles because they are bored with their current assignments and see training as an exciting escape. Unfortunately, their enthusiasm for training is often short-lived; they are likely to tire of the trainer role when the novelty wears off and may spend their time looking for a way out.

A third trap identified by Laird is the *personality trap*. This means looking for people with "good personalities," whatever that means, to be trainers. There are two problems associated with this trap. First, personality traits are difficult to identify in other people. Even more important, personality traits lack job relevance. It is far more productive for training directors to spend their time looking for evidence of demonstrated skill; that is, seeking trainer candidates who behave in ways that suggest they have the skills needed for successful trainer performance (Laird, 1978).

### **How to get them trained**

The training of non-trainers to train can be one of the most important responsibilities of the training unit in an organization committed to the diversification of training. Before deciding how to obtain the necessary training required for competent trainer performance, the training unit should establish clearly what competencies it wants its trainers to possess. Assuming the focus of training for managers and subject-matter experts is programme design and instruction, a typical list of competencies, like the ones developed by Anthony J. DiPaolo and Amos C. Patterson, might include being able to:

- Understand how adults learn and properly apply the principles of learning in training situations
- Apply methods to systematically identify and analyse training and performance problems at a basic level
- Organize instruction and direct the trainee so that effective and efficient learning occurs
- Use a range of resources and media during training presentations
- Apply appropriate motivational techniques to attract and hold trainee attention
- Use a variety of instructional methodologies, techniques, and strategies appropriate for trainees
- Apply correct speaking and listening skills in a training setting, and
- Employ evaluation techniques to assess trainee achievement and to judge performance as a trainer. (DiPaolo and Patterson, 1983).

Managers and subject-matter experts with these or similar skills and the other qualities described previously should be able to design and direct training programmes leading to improved employee performance. With training objectives clearly in mind, the next question facing the training unit is how to equip their otherwise qualified trainers with these vital trainer skills. The alternatives include sending them away to be trained, bringing professional trainers on-site to train them, or a combination of the two. The combination approach we have in mind has these features:

1. After careful investigation, choose an off-site, train-the-trainer programme that meets the organization's budget and learning (training objectives) requirements and send several members of the full-time training staff to the programme.
2. If no programme can be found that meets the organization's requirements, employ a professional training consultant with good credentials and appropriate experience to design a train-the-trainer programme that does meet its requirements.
3. Arrange for the consultant and one or two members of the full-time training-unit staff to work as co-trainers to deliver the training. Schedule the training to accommodate as many of the managers and subject-matter experts to be trained as possible.

Change is never easy. Moving increased training responsibility into the hands of managers and subject-matter experts will require adjustments for everyone concerned. Busy managers may resent being asked to take on added responsibilities even though they are already accountable for the development of people under their supervision. Trainers may feel threatened by managers and others as intruders in their territory. On the other hand, there are benefits for both sides in joining forces to improve the relevance and job application of training and, in so doing, raise the credibility of training in the eyes of budget-conscious executives.

### **Notes**

DiPaolo, Anthony J. and Patterson, Amos C. "Selecting a training program for new trainers," *Training and development journal*, January 1983.

Laird, Dugan, *Approaches to Training and Development* (Reading, MA: Addison-Wesley Publishing Co., 1978).

### **Guidelines for selecting managers and employees for trainer roles**

Clearly, there are many people within any organization who have the potential to be in-house trainers. Many employees already have all the characteristics needed for success. Others could be successful as trainers with appropriate development and coaching. In both cases, the employees selected would, in addition to possessing the right abilities, have to be interested in a trainer assignment and be available to carry out periodic trainer assignments without sacrifice to other duties and responsibilities.

Managers who are interested in expanding the training potentiality of their organizations while reducing costly reliance on outside training institutions might proceed in the following way.

**Step 1: Find people with potential**

The checklist on the next page is an instrument for use in narrowing a list of candidates for trainer roles. It is to be used by an external training facilitator and the official responsible for making final trainer selections for the organization. The checklist is to be completed during a conversation with each trainer candidate to help the selection officials make proper selection decisions. The discussion that accompanies this tool provides more detail of what to look for when discussing the trainer role with various candidates.

**Step 2: Determine their interest and training needs**

Ask each of the candidates who fared well during the conversation step to read this volume. Suggest that they make notes on things covered in the volume that they would like to discuss or have discussed in greater depth. Ask them to make a list of subjects on which they would like to receive formal training and why they selected these subjects. We believe that the candidates who complete the reading and make some effort to complete the other tasks are further demonstrating their interest in becoming trainers.

**Step 3: Discuss next steps**

Arrange a meeting of all the candidates. Lead a discussion based on the reading and their developmental needs of those present. Plan a phased programme of trainer development based on this discussion.

**Checklist for selecting non-trainers for trainer roles**

Complete this questionnaire on each candidate for an in-house trainer role as you carry out a conversation with the candidate about training and the trainer's role. Make use of the detailed information in the preceding material on the six important trainer qualities to decide on an appropriate rating for each quality. The ratings range from "very well" for candidates who are highly proficient on a certain quality to "very poorly" for candidates who appear to have little proficiency.

- 1. Listens for content and for feelings  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well
- 2. Handles disagreements  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well
- 3. Accepts new ideas for consideration  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well
- 4. Asks questions  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well
- 5. Informs and explains  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well
- 6. Gives feedback  
 1      2      3      4      5      6      7      8      9      10  
 Very poorly \_\_\_\_\_ Very well

**COACHING**

Learning Emphasis
Organization Focus

**The wise woman has long ears, big eyes, and a short tongue**

**-- Russian Proverb**

Coaching is a form of on-the-job-training generally considered to be one of the supervisor's most important responsibilities for stimulating the growth and development of subordinates. Coaching is a simple method for solving problems, improving individual performance and reducing the stress associated with transitions from operational or technical positions into management. One authority on coaching, Ferdinand Fournies, describes coaching as a face-to-face process, the primary purpose of which is "to redirect a subordinate's behaviour to solve a performance problem." The idea, according to Fournies, is to get subordinates to stop doing things they should not be doing and to start doing things they should be doing. (Fournies, 1978).

Coaching is often used by a supervisor or senior employee who is working alongside a novice employee. In the role of coach, the supervisor or senior employee observes as the novice performs a task, like tapping a water line, handling an irate customer or leading an in-house training session. After the task is completed, the two review what happened. The coach helps the novice identify strong and weak areas of performance and proposes ways to do the task more quickly, efficiently or sensitively as the case may be. Together, they plan changes in task performance for the novice to try out next time.

Coaching may be initiated by a supervisor, but an employee may be the initiator. This usually happens when the employee has a high degree of self-confidence and a strong desire for improved performance. More often, however, coaching is the result of a supervisor or in-house trainer becoming aware of a gap in performance and initiating coaching with the employee or employees concerned as a first step in closing the gap.

A common form of coaching, the one most closely related to OJT (on-the-job-training), is in the area of "Problem-solving." In its most intensive form, the coach as problem-solver might lead or "coach" a subordinate through the stages in solving a problem (i.e., identify the problem, discuss alternative solutions, agree mutually on the action to be taken, and follow up to confirm the problem has been solved). Expanded a bit into a six-step process, coaching might proceed along these lines:

1. Initiation by the supervisor or an employee based on the awareness of a performance problem.
2. Mutual understanding of the problem to be addressed during the coaching process.
3. Agreement on what changes are needed (e.g., input, skill development, a change of attitude) to resolve the problem or improve the employee's competency.
4. Demonstration by the coach, when possible, of what the employee is expected to do, repetition by the employee, and constructive feedback on the result by the coach.
5. Mutual agreement on how progress will be monitored.
6. Confirmation (days or weeks later) that the agreed changes have taken place and a decision about any additional steps to be taken.

### ***Coaching as learning reinforcement***

Another way coaching can be employed by supervisors is to support and encourage subordinates who want to try out on the job something new they have learned about in a training programme. Training is used by organizations to develop their people - to improve the way they perform their duties so as to ensure the organization's vitality. Supervisors are responsible for the development of the people under their supervision. As coaches, they are in a position to pave the way for new ideas from training into the everyday work practices of an organization.

On the other hand, supervisors are capable of retarding the development of their employees and sapping the vitality of their organizations. As obstructionists, they can halt the introduction of new ideas by doing nothing to encourage them or by actually discouraging employees who come up with new ideas: "That's all very interesting, William, but we seem to be getting along well enough around here without doing something Eke that."

Employees who return to the organization after being trained find themselves at a crossroads. They can incorporate what they have been trained to do into their daily work routines. Or they can ignore what they have learned and continue functioning as if they had never been trained at all. Which road the employees take depends in large measure on their supervisors. With regular coaching, the probability is high that what is learned by an organizations employees in training programmes will make its way into the organizations work practices. Without it, little change can be expected to take place.

### ***Summary***

Coaching is a method long used by supervisors to help their employees overcome performance problems and make the most of new methods and work practices. A valuable but often neglected use of coaching is to help employees who have participated in training to think about and plan the use of newly acquired skills to improve their work performance. Whether or not employees make use of the work improvement methods and techniques they have learned about depends, more than anything else, on the attitudes and behaviours of their supervisors. Supervisors who use coaching to show their receptivity to new ideas and their interest and encouragement for on-the-job application of these ideas can be a primary stimulus for change and improvement in work practices. Supervisors, on the other hand, who resist change and discourage their employees from experimenting with new ideas, not only sap the vitality of the employees, but play a part in retarding the growth and success of the whole organization.

**Notes**

Fournies, Ferdinand E, *Coaching for Improved Work Performance* (New York: Van Nostrand Reinhold Company, Inc., 1978).

**A. Coaching checklist**

Opportunities for improved work performance through coaching can be found everyday in the workplace. Poor performance can be the result of many factors. New employees may not have sufficient knowledge or skill for their duties. Old employees may not be current on new methods or technologies. There may be relationship or motivational problems within or between work groups. And there may be lost opportunities to make changes for the better in existing work practices and procedures. The initiative for correcting problems in work performance lies with the supervisors concerned. based on information from direct observation, formal needs assessment results, or from employees who are seeking help.

The following checklist has been prepared as a coaching guide for supervisors. In one way or another, each of the six steps described should be undertaken by the supervisor as coach before the coaching session is considered complete. Space is provided under each of the steps for the coach to enter comments, notes on the session, or other information about the coaching session or the employee being coached.

**1. Scheduling the coaching session**

- A problem has been observed or reported related to the work performance of \_\_\_\_\_ . The problem is:  
(name of employee)

Describe the problem

---

---

- A coaching session has been scheduled with the individual responsible for the problem.

Date \_\_\_\_\_ Time \_\_\_\_\_

**2. The coaching session**

- Both parties are present. The problem is described. *Question:* To what extent is it agreed that this is a problem? What changes in the problem definition, if any, are necessary?

Redefinition of the problem:

---

---

- *Question:* What changes in performance are needed (for example, work output, skill development, a change of attitude) to resolve the problem?

Describe the changes and enter comments:

---

---

- The desired performance (check one) can/cannot be demonstrated in some way. If performance is demonstrated, the employee is asked to repeat the performance. Feedback is given on the performance and the process is repeated until both parties are satisfied.

Describe the demonstration. If the desired performance cannot be demonstrated, describe the method used to improve performance.

---



---

- *Question:* What follow-up is planned to check progress? Was a mutual decision made on how progress will be monitored and follow-up dates set?

Describe the method agreed upon for monitoring progress?

---



---

Follow up date(s) \_\_\_\_\_ Time \_\_\_\_\_

### 3. The follow-up

- *Question:* What performance changes were agreed-to during the coaching session? What else needs to be done?

Description of any follow-up activities

---



---

## TEAM DEVELOPMENT

Learning Emphasis	
Organization Focus	

*Coming together is a beginning, keeping together  
is progress, working together is success*

*-- Arabian Proverb*

Teams are groups of individuals who work together to perform tasks and achieve common purposes. In other words, when one person can't accomplish something that needs to be done and several people must cooperate to get it done, a team is formed. Effective work-teams, as well as project-teams, have several common characteristics. They have a goal or a specific reason for working together. They are interdependent; that is, they depend on each other to attain the team's goals. By working together, teams are able to accomplish things that would be hard, and maybe impossible, without the team. And they are accountable to management for their actions and results.

Effective teams are not accidental. They are developed. But, before they can be developed, the organizational environment must be supportive of teamwork. There are a number of common characteristics of supportive environments. First, there is an awareness that managers don't have all the answers. Input is needed from those who are closest to the problems and the opportunities. Secondly, employees have ideas about how their work could be done more productively, no matter what they do or where they work, and they are willing, and even eager, to share what they know with management. Finally, employees who are recognized for their contributions will take more pride in what they do. And those who are involved in making decisions will be more committed to carrying them out.

In organizations, there are many kinds of teams. Until recently, the term meant relatively permanent work groups composed of front-line employees and their immediate supervisors. Also, higher up the organizational ladder, elected councillors in local governments, together with their top administrative staffs, are sometimes referred to as teams, (e.g., *municipal leadership teams*). With the quality movement in Europe, Japan and the United States, other kinds of teams have begun to appear - more temporary in nature with the goal of coming together to accomplish a particular task and

then to disband. Teams might be organized, for example, when funds are received from a donor agency for a new project, when new functional units are formed as the result of a management reorganization decision, or when funding cutbacks make it necessary to merge two or more work units into one.

Team development is an intervention to ensure the effective and efficient functioning of new and existing teams. It is called for only when lack of effective teamwork is experienced or is anticipated, as with new teams. But team development is not the solution to every problem facing work units and teams. It is not, for example, an appropriate way to address intergroup problems (between work units or teams), technical difficulties or administrative foul-ups. Problems like these should be handled in some other way.

Learning-by-doing is emphasized in team development. It is expected that the team and its members will learn to cooperate and solve problems by experiencing themselves cooperating and solving problems, or not doing so, as they go about their team tasks. Generally, a trained facilitator is assigned or employed by the organization to guide the team learning-process. The facilitator's role in team development is threefold, to serve as:

- A **planner** who provides a suitable design for learning
- An **initiator** who gets things going and helps team members learn all they can from it, and
- A **resource** who provides information and guidance from other team development experiences when needed by team members.

### ***Forming a new team***

For the new team, the task is to establish new work relationships and begin the process of shaping a group of individuals who may not have worked together before into a team with established goals, methods of operation and a strong team spirit. Several initial questions face members of a new team:

- Why have we been assigned to this team?
- What does management expect from us?
- How can we work together as a team to accomplish our goals?
- What authority and resources do we have to carry out our tasks?
- The focus of developing a new team is to help its members answer these and other questions and to help them build constructive relationships and develop effective, problem-solving skills. A format a facilitator might use to assist with the formation of a new team, adapted from a design developed originally by Wayne Dyer, is shown at the end of this section (Dyer, 1977).

### ***Strengthening the existing team***

For the existing team, the development task for both team members and the facilitator is to assess team performance whenever there is a new direction, when new tasks are assigned, or when there is a change in team membership. In other words, any change imposed on the team from outside the team may have consequences for the team's functioning. Team development also may be initiated when something going on within the team is interfering with team performance.

Among the symptoms that might indicate a problem and, consequently, the need for team development in an existing work unit or team, are the following:

- Work is behind schedule and no one seems to care
- Complaints from team members are rising
- There is evidence of hostility and conflict on the team
- There is confusion about roles and responsibilities
- Members of the team are often absent or late to meetings
- There appears to be a loss of imagination in decision-making, and
- Apathy and lack of interest is common among team members.

Any one of these symptoms or a combination of them can provide a reason for team development. The aim of an intervention when any of these symptoms is experienced is to eliminate the blockage and restore team performance to a satisfactory level. An assessment instrument and a process for using it to verify weaknesses in team performance are shown later in this section.

### ***Summary***

Teams are groups of individuals that come together to achieve purposes that would be difficult or even impossible to achieve without the team. To perform effectively, team members must learn how to work together to solve problems, make decisions, share information and help each other make meaningful contributions to the team task. Team development is used to begin the effective performance of new teams and to restore effective performance to existing teams when they experience work relationship difficulties. Team development is a learning by doing process in which

team members are coached and guided by a trained facilitator toward improved team performance as they carry out their team tasks.

### **Notes**

Dyer, Wayne G., *Team Building: Issues and Alternatives* (Reading, MA: Addison-Wesley Publishing Co., 1977).

## **A Design for Developing the New Team**

### **Participants**

Members of a newly organized team, a reorganized work unit, or a new structure created from the merger of two or more work units.

### **Objective**

1. To get team members acquainted with one another and
2. To establish teamwork guidelines and procedures.

### **Duration and location**

From one to two days (six to twelve hours) preferably at a location away from the workplace to minimize distractions and interruptions.

### **Process**

Team development is carried out in four steps with the assistance of a trained facilitator from inside or outside the organization.

#### **Step 1: Sharing expectations**

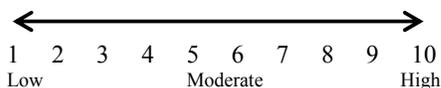
After introductions and a brief review of what is to take place, the facilitator asks members of the team to answer several questions about their expectations for the team and themselves. Generally, participants are asked to write down their answers and then to share what they have written with other participants. A summary of major concerns can be listed by the facilitator on a chart pad to encourage discussion. Among the questions about expectations the facilitator might ask are these:

- What concerns you most about working on this team?
- What would the team be like if everything went right?
- What would it be like if nothing went right?
- What actions do you think are needed to ensure positive results?

#### **Step 2: Sharing levels of commitment**

Members of a new team will vary in the amount of time and energy they are individually willing to commit to team activities. These commitments are influenced by how important they view the team's task, demands made on their time by other work priorities, how personally interested they are in the team assignment, and other considerations.

In order to reveal various levels of individual commitment to the team, the facilitator might draw the following diagram on a chart pad and ask team members to report orally where on the chart they would place themselves in terms of commitment. The facilitator would record individual ratings with check marks above the numbers on the scale.



When all ratings have been reported and recorded on the chart pad, individual team members are given an opportunity to explain their ratings. The team as a whole, based on the combined levels of commitment shown on the scale, can then decide on an appropriate level of time and commitment from the team as a whole. Individual commitment levels also can be useful in assigning workloads to team members and avoiding feelings of resentment about some members doing more than others.

#### **Step 3: Establishing goals and plans**

As a starting point, the facilitator helps the team clarify and state in words the team's mission - its most fundamental reason for existing. The relevance of all subsequent plans and activities being considered by the team should be justified on the basis of their contribution to the team's mission. The creation of a written mission statement is followed by the development of specific goals to be achieved by the team on or before a specific date and a detailed work plan for each of the goals. Establishing goals and work plans provides focus and direction for the team and a convenient way of dividing up the work to be done among members of the team. For details on establishing goals and plans, see **Organizational Goal Setting** presented later in this volume.

#### **Step 4: Developing procedural guidelines**

To avoid the confusion about how things are to be done, a primary source of team conflict, the facilitator assists the team to develop guidelines on how various procedural matters are to be handled. Areas where guidelines will be useful to the team are shown as follows:

1. **How decisions will be made** - majority vote, a team consensus (all decisions made by the total group) or some decisions left to subgroups with specific work assignments.
2. **What the basic method of work is to be** - everything is done in the total group, individuals do things and submit their results to the total group, or initial work is done by subgroups for ratification by the total group.
3. **How to ensure that everyone's issues are discussed** - all members are invited to contribute items to the team's meeting agenda, open times are provided on the agenda for discussion of any topic, memos on topics of interest can be circulated by team members.
4. **How differences are resolved** - two-party arguments are resolved outside team meetings to avoid consuming meeting time, a third party is appointed to work out differences between the parties, time limits are set on the open discussion of differences.
5. **How to ensure the completion of tasks** - setting realistic priorities and timetables, making assignments to people who are certain they have the time and energy to complete them, action summaries that describe progress, reminders of due dates issued by the team leader.
6. **How to change things when not getting results** - a periodic review and evaluation session focused on team progress, its successes and failures: What actions must we take to make our team more effective?

#### **A design for improving the effectiveness of an existing team**

##### **Participants**

Members of an existing team or work unit that is performing below its own capabilities or below the level of performance of similar teams in the same organization.

##### **Objectives**

1. To create conditions that enable the team to function as effectively as possible.
2. To make team members more conscious of their own functioning and the need for corrective action.

##### **Duration and location**

From one to two days (six to twelve hours) preferably at a location away from the workplace to minimize distractions and interruptions.

##### **Process**

Team development is carried out with the assistance of a trained facilitator from inside or outside the organization. While there is no one best way to initiate team development, most approaches consist of the same four phases: (a) start-up; (b) problem-solving; (c) action-planning; and (d) follow-up. Within each of the four phases there are design variations, and some of these will be pointed out in the following discussion.

##### **Phase 1: Start-up**

The start of a team development meeting may be accompanied by anxiety and skepticism. This may be the first time team members have been asked to take an honest look at their own effectiveness. Usually, the meeting is opened by the manager in charge of the team who reviews the meeting's objectives, shows support for the team, the development activity and the facilitator selected to assist with the process.

After some preliminary remarks, the facilitator asks team members to complete a questionnaire containing questions about team effectiveness and an agree/disagree scale (see the following **Team Assessment Scale**). Their answers are reported orally and recorded by the facilitator on a chart pad.

These data represent the raw material to be used by the team during the next phase of team development.

One start-up variation is to include a presentation on the nature and value of team development by a recognized authority on the subject. Another is to invite a manager or employee from another part of the organization to share a successful team development experience with the team.

## **Phase 2: Problem-solving**

As pointed out earlier, team development is an exercise in learning-by-doing. During this phase, the facilitator engages the team in problem solving and helps the team to analyse its own functioning as it works on a problem. In other words, it is the facilitator's task during this phase to help the team become more aware of what it is doing when it is attempting to solve a problem and to be in the development of greater team skills.

The facilitator might ask the group to analyse the data obtained from the **Team Assessment Scale**: What do the data mean? Why did we respond to the questions the way we did? What conditions account for the negative responses? What do we need to do to get a more positive response to these questions? If the team is large, the facilitator might divide it into several sub units of three to five team members each. Results of sub-unit activity can then be reported, summarized on a chart pad and compiled into a list of possible change actions (e.g., what we need to start or stop doing is ...).

A variation to the use of a questionnaire is for the facilitator to interview members of the team as a way of pinpointing the conditions on the team that need to be changed. The results are summarized and reported to the team as a starting point for team problem solving. Another variation is for the facilitator to engage the team in an open sharing of issues - issues that team members feel comfortable discussing openly with other members of the team.

Regardless of which approach is used, the facilitator helps the team select five or six of the most urgent issues on the summary list (e.g., differences of opinion between team members are denied or avoided at all cost) and to begin problem-solving. The team's objective is to decide what to do about each of these issues. This is done using a classic problem-solving approach state the problem, brainstorm alternative courses of action, select the most promising action, work out action plans (who, when, and how) and agree on a method for evaluating results. Note: Several problem-solving techniques, including *brainstorming*, the *nominal group technique*, and *force-field analysis*, are described elsewhere in this volume.

While the team is engaged in problem-solving, the facilitator and team members themselves observe to see how effectively team tasks are carried out and how well team members support each other and the team. Signs of strength and weakness in the team's performance are noted for discussion later.

At the conclusion of the problem-solving task, proposals for resolving each of the problems are reported and recorded on a chart pad. After this, the facilitator and team members share their observations about the team's performance.

## **Phase 3: Action planning**

All of the activities carried out to this point have been designed to help the team identify conditions that are interfering with team performance and decide on actions to improve team effectiveness. During this phase, problem-resolution actions to be taken are described in detail. This includes giving action assignments to individual team members and setting dates for completion of assignments, progress reports and follow-up meetings. Individual team members may be asked by the facilitator to summarize and confirm what they intend to do as follow-up to the team development meeting.

## **Phase 4: Follow-up**

A follow-up meeting held one month or six weeks after the initial team development meeting is an important step in ensuring that assignments are being carried out and that progress is being made to improve the teams effectiveness. Without a follow-up meeting, the enthusiasm generated at the initial meeting will fade and hoped-for improvements in team effectiveness will not come about. Follow-up meetings usually focus on reporting of progress since the last meeting, together with statements of support and commitment from management for the teams self-improvement efforts. In addition, follow-up meetings may focus on:

1. A review of the team-development process - things that went well, things that did not and recommendations for change, and
2. Gathering additional data on team performance and making assignments for the next team-development meeting.

## **A Team Assessment Scale**

### **Instructions for completing the scale**

Read each of the 10 team performance statements below. Circle the number below each statement that is closest to your level of agreement with the statement as it pertains to the performance of your team. For example, if you strongly **agree** with a statement, circle a 7, if you strongly **disagree** with it, circle a 1 or, otherwise, circle one of the numbers in between. When you have responded to all 10 statements, sum your scores and enter the result on the last page.

1. **Goal clarity.** The team is working toward goals that are understandable and clear to them.

- 1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
2. **Team task performance.** The team works efficiently and makes definite goal progress.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
3. **Communication.** Team members are good listeners and make their points clearly.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
4. **Roles.** Team members know what they are expected to do and how to do it.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
5. **Conflict.** The team usually recognizes and works through differences of opinion.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
6. **Decision making.** Everyone's ideas and opinions are taken into account before decisions are made.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
7. **Participation.** Each team member feels personally involved in the work of the team.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
8. **Responsibility.** Each team member accepts personal responsibility for getting the team's work done.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
9. **Openness.** Team members feel comfortable making their reservations and concerns known to other team members.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree
10. **Leadership.** Team members respect the leader and work together as a unified team with no one dominating.  
1      2      3      4      5      6      7      8      9      10  
Strongly disagree \_\_\_\_\_ Strongly agree

**Sum of scores:** \_\_\_\_\_

**Interpretation of results**

One way to interpret your team assessment score is to observe its size. A total score of 30 or less is below average and evidence of significant team weaknesses. A score of 50 or above is above average and evidence of team strength.

Another way to interpret your team assessment score is to identify which team performance areas received low ratings and which ones received high ratings. This can be helpful in setting team priorities for corrective action.

Finally, a composite score (combining the assessment scores of all team members) can be useful as a basis for team discussion about team strengths and weaknesses and what to do about them.

**ROLE NEGOTIATION**

Learning Emphasis	
Organization Focus	

*There is no such thing as a collective thought. An agreement is only a compromise drawn upon many individual thoughts*

*-- Ayn Rand, novelist*

When people begin to build new work relationships, the first thing they do is exchange information about their various roles. This is necessary so that each knows what to expect of the other. Once enough information is exchanged, uncertainty about performance disappears and what each person will do becomes more or less predictable. The strength of their relationship depends on how important each is to the other and how sure each can be that the other can and will do what he or she says. What each believes about the other in relation to their performance in a particular role is called role expectation. A trapeze artist, for example, who lets go of the bar at 50 metres without a safety net must have relatively high expectations about a partner's role performance on the swing.

From time to time, there is a violation of expectations - that is, one of the parties to a relationship does not perform in the role as expected. Such disruptions are inevitable. They can be caused by changes imposed from outside the relationship that affect the way the role is performed - a new person is employed, new tasks are assigned, budgets are cut or the work unit is reorganized. Disruption also can be the result of internal changes in either or both of the parties to a relationship training, new work experiences or personal problems. The disruption can be minor and temporary such as when someone misses a luncheon appointment; or they can be major and permanent such as when the trapeze artist lets go of the bar only to find the partner is a second late in leaving the platform.

An amusing story about four characters points up some common problems with performance owing to role confusion. The four characters in the story are named: *Everybody*, *Somebody*, *Anybody* and *Nobody*.

*There was an important job to be done and Everybody was asked to do it. Anybody could have done it, but Nobody did it. Somebody got angry about that because it was Everybody's job. Everybody thought Anybody could do it, but Nobody realized that Everybody wouldn't do it. It ended up that Everybody blamed Somebody when actually Nobody asked anybody.*

When a disruption or change in expectations takes place, it can be dealt with in one of several ways. It can be ignored, an action likely to lead to heightened anxiety, hostility and possible conflict. It also can be handled by actions intended to return things to the way they used to be with promises like *"I'm sorry; it won't happen again"* or *"Don't worry; everything is all right now."* Although quick and sure, nothing really changes. In other words, this approach is a guarantee that the same problem will arise soon again in the future. Finally, the disruption can be treated in a problem-solving way by sharing any new information about the role disruption and renegotiating expectations. This approach has the advantages of bringing role expectations in line with the way things really are and stabilizing the relationship.

### **A role negotiation technique**

A well-known and effective method for clarifying and changing expectations about the roles and relationships of individuals, teams and other work groups is called the **role negotiation technique** (Harrison, 1972). With the help of a trainer/ facilitator, individuals in a work relationship or members of a team or work group make lists simultaneously of their role expectations for each other, each focusing on what they feel the other(s) can or should be doing, not doing or doing better than they are doing it. These lists are exchanged, discussed and individuals or team members negotiate with each other (I will, if you will....) until there is agreement on changes in role performance *on both sides*. A master list of agreements is later distributed to all those taking part in the negotiation. The trainer/facilitator:

1. Explains the process
2. Establishes the ground rules
3. Makes lists of expectations and agreements on newsprint
4. Fairly and impartially guides the give-and-take process
5. Keeps participants talking, listening, and working toward an agreement, and
6. Follows up later, if possible, to be sure agreements made are being kept.

A design for conducting a meeting using the **role negotiation technique** is presented at the end of this section.

### **Summary**

The successful performance of organization work requires integration and coordination of people in the performance of their assigned roles. But, people are not machines. What people expect and what they get in role performance may not be the same. Role negotiation is a technique for bringing the role performance of team or other group members into line with the expectations of their peers, subordinates or superiors. The use of a trained facilitator can help to bring group process experience and objectivity into the interaction.

### **Notes**

Harrison, Roger, "Role negotiation: a tough minded approach to team development," *The Social Technology of Organization Development*, W. Warner Burke and Harvey A. Hornstein, eds. (Fairfax, VA: NTL Learning Resources Corp., 1972).

## **A role negotiation workshop design**

### **Participants**

People in an organization who work together in a department, team or other work unit are appropriate candidates for role negotiation.

### **Objectives**

Participants who complete a role negotiation workshop will.

1. Know the role expectations of one another
2. Agree on role-related behaviours that are to be changed, and
3. Have a plan for following-through on their agreements.

### **Time required**

From a half to a full day (three to six hours).

### **Process**

Role negotiation is usually done with the aid of a trained facilitator from outside the organization and is carried out in four steps as follows.

#### **Step 1: Establishing ground rules**

The facilitator begins by covering some ground rules with participants. First, it is important to point out that participants must be specific in saying what they want when negotiating with one another for changes in role behaviour. Secondly, any demand or expectation made by one party on another is adequately communicated only after it is written down and understood completely by both parties. Thirdly, there must be a *quid pro quo*; that is, participants making demands for others to change their behaviour must be willing to act on a demand for a change in their own behaviour. Fourthly, threats and punishment are almost certain to lead to a breakdown in negotiations even though they cannot be prevented.

#### **Step 2: Diagnosis**

Participants are invited to take a few minutes to think about the quality of work group or team relationships in work performance. This is the diagnosis phase of the process. Participants are asked to consider answers to questions like: What things would I change if I could? What things would I like to keep the way they are? Who and what would have to change to improve things? The facilitator might ask participants to focus especially on things that would help to improve *their own effectiveness*. After about 20 minutes, participants are asked to complete an **Issue Diagnosis Form** (see Exhibit 1) for each of the other participants. The form is for listing those things they would like to see each of the other persons (a) *do more or do better*, (b) *do less or stop doing*-, or (c) *keep on doing without change*.

When complete, the lists are exchanged so that each participant has the lists prepared by other members that pertain to his or her work behaviour. Each participant then prepares a *master list* on newsprint sheets showing, in summary form, what other participants want him or her to *do more of, do less of, or keep doing unchanged* (see Exhibit 2). The various master lists are then posted on a wall for review by participants. After everyone has reviewed the lists, each participant is given a chance to question others who have sent messages about his or her behaviour. They are told by the facilitator to ask what, why and how for clarification but not to argue or express personal opinions about the messages.

#### **Step 3: Negotiation**

After each participant has received and affirms an understanding of the messages directed to him or her, the facilitator introduces the negotiation phase of the process. It is a good idea at this point to remind participants again about the importance of a *quid pro quo*; to stress that, without a willingness to give up something in exchange for getting something, no lasting behavioural change should be expected.

Then, each participant is asked to do two things: (1) select one or more issues on which he or she would particularly like to see change on the part of another participant, and (2) select one or more issues on which he or she feels most comfortable moving in the direction desired by someone else in the team work group. These choices are made public by marking the items on his or her own newsprint sheets and on those of other participants concerned.

Participants, with the facilitator's help, review the newsprint lists to select *the most negotiable issues*. These would be the ones where there is a combination of high desire for change by the requester and a willingness to negotiate by the person who is being asked for a change in behaviour. The negotiation process consists of each participant making a contingent offer to another participant, using words like: *If you do this, I will do that*.

The negotiation continues until each participant is satisfied they will get a fair and reasonable return for anything they are willing to give up. The facilitator asks each of the participants involved in the negotiation to write down exactly

what each of the parties is going to give and get back from the bargain (see Exhibit 3). The facilitator also asks participants to discuss openly what sanctions can be applied in the event one or another of the parties does not follow through on a bargain.

Several negotiations of this kind may go on at the same time. The facilitator tells participants that he or she is available to help any party to a negotiation. All agreements are made public (known to the entire team). Should agreements prove difficult, the facilitator and other participants will make an effort to find incentives to encourage agreement.

**Step 4: Follow-up**

After agreements have been made, the facilitator suggests scheduling a **follow-up** or review session. This session would be used to renegotiate agreements which have not been kept and, possibly, to continue with the role negotiation process by dealing with other issues. In time, the work group may develop enough control over the risks, avoidances and threats of the negotiation process to have no further need of the facilitator's guidance and encouragement.

**Exhibit 1  
Issue Diagnosis Form**

Messages from \_\_\_\_\_ To \_\_\_\_\_

1. If you were to do the following things more or better, it would help me to increase my own effectiveness.  
\_\_\_\_\_  
\_\_\_\_\_
2. If you were to do the following things less, or were to stop doing them, it would help me to increase my own effectiveness.  
\_\_\_\_\_  
\_\_\_\_\_
3. The following things which you have been doing help to increase my effectiveness, and I hope you will continue to do them.  
\_\_\_\_\_  
\_\_\_\_\_

**Exhibit 2  
Summary of messages to:**

\_\_\_\_\_ your name

- What the others want me to do more or better ...
- What the others want me to do less of or stop doing ...
- What the others want me to continue doing ...

**Exhibit 3  
Final written agreement between**

\_\_\_\_\_ and \_\_\_\_\_  
Party No. 1 Party No. 2

We, party no. 1 and party no. 2, mutually agree to accept and work toward the changes in role performance stated below:

- Party No. 1 agrees to ...
1. \_\_\_\_\_
  2. \_\_\_\_\_
  3. \_\_\_\_\_

Party No. 2 agrees to ...

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Parties Nos. 1 & 2 together will take the following actions to ensure this agreement is kept:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

## INTERGROUP CONFLICT INTERVENTION

Learning Emphasis	
Organization Focus	

*Blowing out the other person's candle  
won't make yours burn any brighter*

*-- Anonymous*

Modern organizations are extraordinarily complex. A glance at the organization chart of any human settlements organization, for example, will show numerous departments, divisions, and work units, each with its own set of functions, lines of authority and communications patterns. Behavioural scientists refer to this as organizational differentiation and specialization. Both are necessary for today's organizations to achieve their purposes.

### **The price of conflict**

But organizational complexity comes with a price. While collaboration among work units is necessary for organizational effectiveness, collaborative behaviour is often thwarted. Instead, we've all seen situations where, if one work unit is to achieve its goals, another work unit is frustrated in its efforts. Competition for increasingly scarce resources can create friction and result in hard feelings among work unit managers. Frustrated goals can lead work units to develop negative stereotypes about one another, further alienating them, and leading to breakdowns in communication. One leading authority on organization behaviour describes these breakdowns in relations as follows:

*Attempts to collaborate are minimal and the "game" frequently becomes one of "getting the other guy" or avoiding being "gotten" by him. Such a condition tends to perpetuate itself unless some intervention is made to try to change the win/lose, competitive condition to a win/win, problem-solving condition (Beckhard, 1969).*

Most people are aware that considerable intergroup conflict exists in organizations. And they are familiar with the negative behaviours of groups in conflict. But few people know how to alleviate conflicts between groups or how to avoid the consequences of conflict. The use of an intervention strategy can help reduce misunderstanding between groups or teams in conflict and set in motion the conditions for collaboration and renewed contribution to organization effectiveness.

### **The confrontation meeting**

The confrontation meeting is designed to bring together two work groups that depend on each other but are acting in ways that create misunderstanding and poor work relationships. The intention of the meeting is to open communications, uncover concealed resentments or mistrust, and cut down on inappropriate competition and intergroup strife. This involves a deliberate effort to bring to the surface any (garbage) that can block communications and to commit each group to specific actions intended to improve the relationship. The intervention seeks ways the two groups can work together more effectively toward common goals.

Third-party assistance is essential. A facilitator from outside the organization may be in the best position to serve as the third party although a facilitator from within the organization might have a potentially important role to play. Among the characteristics to look for in a third-party facilitator are these:

1. Good interpersonal skills
2. Little or no influence over those involved
3. High control over the venue and agenda

4. Moderate knowledge of the situation and the people, and
5. The ability to remain neutral about the issues and the outcome.

The only requirement for initiating a confrontation meeting is the willingness of two work groups to address the strife and tension between them and to accept the assistance of a skilled facilitator. The process normally consists of four steps. The first step is **issue identification**. At this step, data about the issues as seen by members of each group are listed and reported. This is followed by **change proposals** or each group stating its ability and willingness to act on the other groups expectations for change.

The third step is for each group to respond to the requests of the other group toward **resolution and action planning**. It is at this point that commitments are made by each group to specific changes in behaviour in response to the other group. Normally, these changes are reciprocal; that is, a change is offered by one group in return for a change by the other group.

The final step is called **progress check**. This takes place a few weeks later after enough time has passed to evaluate how successful each group has been in keeping its agreements. just scheduling this meeting can stimulate group members to work harder to live up to their commitments.

### **Summary**

It has been found that an intervention of this kind can be an effective way to work through areas of difference and to plan actions for better understanding and collaboration. The facilitator is a vital ingredient for facilitating a creative outcome by keeping an open mind, keeping channels of communication open between the parties, suggesting procedures and ground rules and helping the parties to "hang in there." Typically these interventions produce action steps that, if implemented, committed to writing, and supported by regular follow up, can have impressive results in reducing inappropriate competition.

### **Notes**

Beckhard, Richard, *Organization Development: Strategies and models* (Reading, MA: Addison-Wesley Publishing Co., 1969).

### **A confrontation meeting design**

#### **Purpose**

Reduce inappropriate competition and conflict in the relationship of two work groups that depend on each other.

#### **Objectives**

1. Improve communication between the groups by uncovering concealed resentments and mistrust.
2. Identify specific actions believed necessary and desirable by both groups to improve the relationship.
3. Provide a reliable process for following through and reporting on commitments made at the meeting.

#### **Time required**

About six hours (one working day)

#### **Facilities**

A comfortable meeting room large enough for both groups. A second room large enough for one of the groups to work independent of the other. Two chart pads and easels.

#### **Process**

The confrontation meeting is carried out in three steps or phases with the assistance of a facilitator who is experienced in group process and is not a member of either group. Before the day of the meeting, the facilitator meets privately with the chief executive officer of the organization and with one or more representatives of each of the two work groups experiencing conflict. The purpose of these pre-meeting contacts is for the facilitator to become familiar with the conflict through the eyes of those who are parties to it and to gain their confidence.

#### **Step one: Issue identification**

The meeting is opened by the chief executive officer or his or her representative with optimism for the achievement of its objectives and utmost confidence in the facilitator as a competent guide and coach.

The facilitator begins by explaining the process and its objectives. Members of the two groups are asked to adjourn to separate locations to identify the issues. Before leaving, they are told to think about and discuss what it is about the

other group that exasperates them, gives them trouble, or creates friction in work relations. The two groups are given two tasks to perform:

- First, each group is asked to list its concerns about the other group by number on sheets of newsprint. Each group is told to focus on *behaviour* - "what the other group *actually does* that makes us see them that way." Each group is told to phrase its concerns about the other group with a series of statements, each beginning with such words as, "***It angers/distracts/distresses us when you...***" Members of each group are told not to strive for consensus but just to note their various feelings and attitudes about the other group.
- Secondly, each group is asked to develop a second list on newsprint, a list of speculations about what the other group will include on its list of concerns about them.

When both of these tasks are complete, the two groups are asked to come back together. A spokesperson for the first group reports its list of concerns to the other group – "***What irritates us about you...***" while that group listens. Then a spokesperson for the second group reports that group's list of concerns in the same manner. The same procedure is used by the two groups to report what they ***thought*** the other group's list of concerns about them would look like. During the reporting, the facilitator discourages argument, debate or any discussion not directed simply at clarifying the meaning of the other group's point of view.

### **Step two: Change proposals**

At this second step in the process, the focus is on using the data produced in the preceding step to find specific areas for improved work relationships. Members of each group are asked to adjourn to review the data and to pick several areas of concern about their performance mentioned by the other group - priority areas in which that group feels there is an urgent need for action by the other group to improve the relationship. As an aide to the groups in going about their work, the facilitator can offer these ground rules for contracting on work relationships:

1. All wants are legitimate - you are entitled to ask for anything you want from someone else, and they are entitled to do the same
2. The other person has the right to say **no** to your requests and you to theirs, and
3. You don't always get what you want nor does the other person, and that's okay too.

The facilitator might also provide each group with three strategy options for responding to the issues raised by the other group:

1. *That's easy for us to do by ...*
2. *We are willing to do that, if you will ...*
3. *That is impossible for us to do, because ...*

The first of these responses is usually the result of being unaware of the effect one work group's behaviour is having on another. The second is aimed at a negotiated resolution in which each party must be willing to give or give up something to get what they want. The third provides a basis for problem solving to discover a creative solution that is not readily apparent to either party.

### **Step three: Resolution and action planning**

At a plenary session, the two groups clarify and discuss their respective positions on the issues and what each group expects of the other. Resolution occurs when commitments are made by each group to specific actions in response to the priority issues raised by the other group. Responsibility for action planning, implementation and progress monitoring is assigned to appropriate individuals or sub-groups. How this step is carried out will depend on the nature of each change being raised and the type of resolution agreed upon.

Sometimes these changes are volunteered; that is, nothing is expected from the other group in return for making the change. Sometimes they are meant to be reciprocal; that is, the group offering to make a change in response to an issue raised by the other group expects that group to make a change in response to one of its issues in return. Sometimes there is an impasse; that is, a *quid pro quo* cannot be found right away. Resolution under these circumstances may require the parties concerned to meet separately, possibly with the assistance of a facilitator.

Normally, the meeting is closed with a caution from the facilitator that the hopefulness of many change experiences turns to disappointment when, after a period of time, nothing has changed. The facilitator goes on to point out that quick fixes don't fix anything and that good results depend on resolute, long-term action. These closing remarks are made to encourage commitment and action-taking and to set the stage for a subsequent meeting to check progress.

### **Step 4: Progress check**

At a later staff meeting or other meeting scheduled for the purpose, members of both groups meet with the facilitator to review the progress of each group in living up to agreements made for improving intergroup relationships. This

meeting should take place in a month or six weeks after the confrontation meeting. Among the questions the facilitator might ask of each group to generate a discussion are these:

- What is the best thing that happened as a result of this meeting?
- What progress is being made on the agreements made?
- What issues still need to be resolved?
- Were there decisions made at the meeting that either side can't live with?

Any actions to be taken as a result of this meeting are assigned to appropriate individuals and groups for implementation.

## ORGANIZATIONAL GOAL SETTING

Learning Emphasis
Organization Focus

*What good is running if one is on the wrong road*

*-- English Proverb*

Goal-setting is a process by which organizational leaders make things happen. They use it to define why they exist and provide themselves with a set of purpose statements - **goals** - to serve as both guidelines and inspiration for future organizational effort. Policy-makers who engage in goal-setting report that the experience has helped them and their staffs to:

- Be more responsive to the needs of their customers
- Set priorities on projects and other work activities
- Pull together to achieve common purposes
- Prevent most crises by anticipating trouble
- Make course corrections needed to stay on track, and
- Feel committed to do their best by seeing the big picture.

Goal-setting can be initiated anywhere in an organization. It can be carried out by individuals, by organizational sub-units, like departments or divisions, by entire organizations, and even by whole communities. Participants usually include people who are accountable for results, including policy-makers and managers; the organization's employees; clients or customers of the organization; and others with an interest in the success of the organization, sometimes called stakeholders.

While goal-setting can take many forms (see, for example, the goal-setting programme design described later in this section), most approaches have three common features:

1. **They state the highest, most fundamental purpose for which the organization exists.** Sometimes called a mission or purpose statement or shared vision, such statements are meant to unify and inspire the best in people. For example, in 1961 President John Kennedy galvanized the American people to countless acts of courage by launching that country's space programme with the words: "to have a man on the moon by the end of the decade." More than inspiration, purpose statements provide organizations with a framework for developing more specific goals and priorities. Typical of purpose statements in local government is this one.

----- vision -----

We want to be the best managed and most viable city in the country. We will accomplish this through people who genuinely care and who provide responsive, quality service.

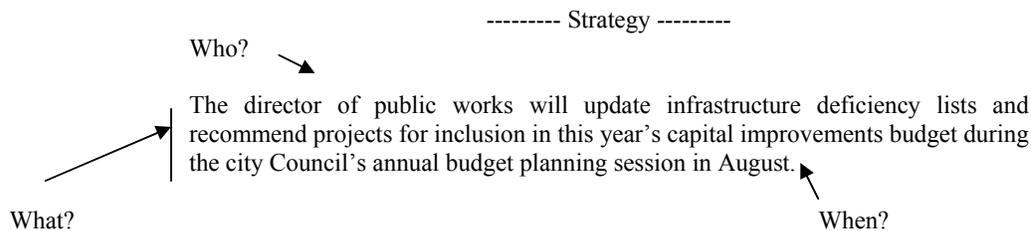
2. **They state future accomplishments in terms of the fulfillment of broad public needs, the solution of major problems or the readiness to seize emerging opportunities.** Normally attainable in one to five years, goals provide direction for organizational effort and are intended to advance the fundamental purposes of an organization. Meaningful goals describe what will exist when goal-directed action is taken by an organization. Below are some typical goal statements that could be used to set work priorities in a local government.

----- Goals for infrastructure installation and maintenance -----

1. Adequate wastewater services that meet approved standards.
2. Adequate protection from flooding and drainage problems.
3. Safe, efficient and convenient movement of people and goods.

3. **They state intended actions that, when completed, win result in measurable progress toward an organizational goal.** Called strategies, these statements describe the most advantageous ways for an organization to commit its resources toward the attainment of its goals. Useful strategies are quite specific in answering three questions:
- What is to be done?
  - Who is responsible for getting it done?
  - When it is to be done?

A strategy related to a goal of adequate wastewater services that answers these three questions is shown below.



A design for organizational goal-setting suitable for use by the elected leaders of a local government together with their top staff administrative personnel is shown in the pages that follow.

### **Summary**

Goal-setting is a process used by an organization, usually with the assistance of a consultant, to choose its future and thereby avoid having its future shaped by forces outside its control. Goal-setting engages the efforts of people from all parts of an organization to take time away from routine activities to define their fundamental purposes, set one-to-five-year goals, and develop detailed goal-implementation strategies. The long-run success of the goal-setting process depends on follow-through with action-plan development, implementation and progress reporting to policy-makers by the staff.

### **A Goal-Selling Programme Design**

#### **Objectives**

1. Develop a set of community goals that challenge and inspire committed action on the part of local-government officials.
2. Develop measurable goal-attainment strategies to serve as a basis for programme planning for the current budget year.

#### **Time required**

Two to three full days (12-18 hours)

#### **Facilities**

A large, comfortable meeting room with a conference table and two chart pads on easels. Two or three smaller rooms large enough for three to five people to work independently and each equipped with a chart pad on an easel.

#### **Process**

An outside facilitator normally is used to complete preliminary tasks and to assist with the goal-setting meeting itself.

#### **Step 1: Problem and opportunity assessment**

Participating local-government policy-makers and executive staff members complete a pre-programme questionnaire prepared by goal-setting facilitators. The questionnaire consists of statements designed to promote creative thinking about potential achievements and improvements in the organization. Several statements used in pre-programme questionnaires are shown in the following worksheet.

Describe in a sentence or two the most fundamental reason for the exist, of this organization.

List three new directions for improved performance, lower cost, increased income, or better service delivery.

- 1.
- 2.
- 3.

List three important achievements for this organization in the next couple of years which you and others will be able to point with pride.

- 1.
- 2.
- 3.

### **Step 2: Formulation of preliminary goal statements**

Completed questionnaires are returned to the facilitators for analysis. Common areas of interest and concern are identified. Each of these is rewritten by the facilitators as a preliminary goal. Goals are coded as long- or short-range and classified in some appropriate way (e.g., economic development, infrastructure improvement, service delivery, intergovernmental relations).

### **Step 3: Preparation of programme materials**

Materials containing the programme schedule (usually two days in length at a location away from work interruptions), an agenda, a list of preliminary goal statements prepared by the facilitators, and a goal analysis worksheet are distributed to goal-setting participants at least one week prior to the programme. Participants are asked to complete the goal analysis worksheet before the programme. Included in the worksheet are questions like those shown in the following exhibit for participants to answer about each of the preliminary goal statements.

Goal No. 10 Adequate wastewater services that meet approved standards.	
Goal 10 ... (Circle one letter below)	
A. Is okay as worded. Don't change.	
B. Needs rewording, such as →	
C. No action needed on it this Year because →	

### **Step 4: Programme phase one – goal adoption**

After opening comments by the chief elected official and the lead facilitator, completed goal analysis worksheets are collected and grouped by goal. Several policy-maker staff-teams are formed and each team is given several of the goals and related worksheet results for team analysis. The objective is for each team to propose either abandoning, modifying, rewording or accepting (without change) each of its goals. The teams regroup after completing their tasks to report results. After all reports have been made and the goal proposals discussed, a final list of goals is approved.

### **Step 5: Programme phase two – strategy development**

Following a presentation by the facilitator on strategies for goal implementation, policy-maker staff-teams are assigned groups of goals and asked to develop strategies for each of these goals. Strategies are specific actions which, when completed successfully, will contribute to the attainment of the goal to which they are related. Each team is given instructions for strategy development (see strategy questions and example presented earlier) and a chart pad for presenting its strategies to the other teams at a plenary session.

### **Step 6: Programme phase three – presentation and adoption**

At a plenary session, spokespersons for the various policy-maker staff-teams, in turn, present their teams' strategy proposals on large sheets of newsprint. After each presentation, strategy proposals are discussed thoroughly and are either adopted without change, adopted with amendment or withdrawn as unacceptable.

*Note:* Members of each policy-maker staff-team are advised by the facilitators to practice active listening during other team presentations and to defer judgment about each proposal until its meaning and potential impact are explained and discussed fully.

### **Step 7: Post-programme action planning**

Following the programme, goals and strategies are referred to the staff for action planning - coordination, scheduling and assignment of responsibility for implementation and follow-through. Completed action plans are compiled and presented to policy makers by the chief administrator for their information and approval.

### **Step 8: Post-programme evaluation**

At intervals during the year, the chief administrator submits written reports on action plan progress to policy-makers. Individuals responsible for strategy implementation are present at planned review meetings to answer questions and suggest changes as necessary.

## **A CLOSING NOTE**

*Not to know is bad;  
not to wish to know is worse*

*-- African Proverb*

Well, it has been a long journey. You have been exposed to many ideas about training design, some familiar and some not so familiar. The question is, what happens now? To what extent will you incorporate any of these ideas in your own activities as a trainer?

We can't answer that question. What we can say with confidence is that, as trainers in a changing world, we must get in the flow or get left behind. As Wayne Dyer reminds us, "Progress and growth are impossible if you always do things the way you've always done things."

Someone once said that you can't teach anything you haven't learned. Learning is an active process: we learn by doing. This principle applies as much to trainers as to their students. So, if you want to master the techniques of training design described in this volume, do something about it. Get out there and design some training!

