

Handbook for Change Agents

Guidelines for Implementing Reforms in Your Zone of Influence



CENTRE FOR GOOD GOVERNANCE

Knowledge • Technology • People

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TABLE OF CONTENTS

A Brief Note on the Handbook	1
Introduction and Overview	3
Steps in the Change Process	5
Step 1 IDENTIFY OPPORTUNITIES FOR IMPROVEMENT	7
1.1 SWOT Analysis	8
1.2 Wasteful Work Practices Worksheet	13
1.3 Obtaining Citizen Feedback	15
1.4 RAMP Matrix	17
1.5 Citizen Governance Model	19
Step 2 IDENTIFY ROOT CAUSES AND GENERATE POSSIBLE SOLUTIONS	31
2.1 Why – Why Diagram	33
2.2 How – How Diagram	37
2.3 Process Mapping	39
2.4 Meeting Management	43
2.5 Common Struggles of Team Problem Solving	49
2.6 Brainstorming	51
2.7 Records Management	54
Step 3 PRIORITISE AND PREPARE ACTION PLAN	61
3.1 Pay-off Matrix	62
3.2 Action Plan	64
3.3 Strengthening Action Plan Worksheet	66
Step 4 IMPLEMENT SOLUTIONS	69
4.1 Employee Readiness Assessment	70
4.2 Getting the Buy-in for Change	75
4.3 Time Management	80

Step 5	MONITOR NEW PROCEDURES	85
5.1	Monitoring and Evaluation of the Change Process	86
Step 6	COMMUNICATE AND SPREAD THE CHANGE TO OTHER AREAS	93
6.1	Effective Partnerships for Spreading Change	94
6.2	Capacity Building for Spreading Change	98
6.3	Communications Management	103
APPENDICES		109
1	Key Interfaces of Core Group Members	110
2	Key Responsibilities of Core Group Members	111

A BRIEF NOTE ON THE HANDBOOK

The Government of Andhra Pradesh (GoAP) has initiated a number of actions to strengthen the implementation of reforms in all its departments. A three-day workshop called 'Governing for Results' was organised for each department of GoAP. A cross section of 100-120 employees from different levels and locations attended the programme, exchanged views and ideas on the areas requiring improvement, and developed broad priorities for action. Through a process of peer nomination, each department also chose 25-30 'change agents' (who were designated as 'core group members') for championing the change process in the respective departments.

A follow-up workshop of two day's duration was organised for these core group members to help them plan specific steps in the priority areas. To maintain the impetus for action, it was decided that the core group members will initially choose those areas where actions can be implemented within a relatively short time, say 2-3 months. These actions would be planned by the core group members in their own zones of influence, so that they do not have to wait for approvals and clearances from other levels. Such actions would also reinforce a mindset of initiating meaningful actions in own zone of influence rather than merely making suggestions and recommendations to higher levels.

To aid problem-solving and action-planning, a set of tools, techniques, and 'how to' guidelines were evolved and presented during the core group workshops. The purpose of these techniques and guidelines was

primarily to help the core group members/change agents play their role effectively in the reform process. This handbook presents such tools, techniques, and guidelines.

As with other such handbooks, we have drawn on a number of sources to offer a set of essential professional tools in one place for ready reference. There are several tools, techniques, and ready reckoners in management and leadership literature, and we have selected and adapted those that we believe, are likely to be most useful for our purpose. As a change agent keeps applying the techniques to real life situations to bring about real improvements, he/she would be able to expand and refine the tool kit.

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

We wish the change agents a lot of excitement of being reflective practitioners!

INTRODUCTION AND OVERVIEW

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

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

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

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

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

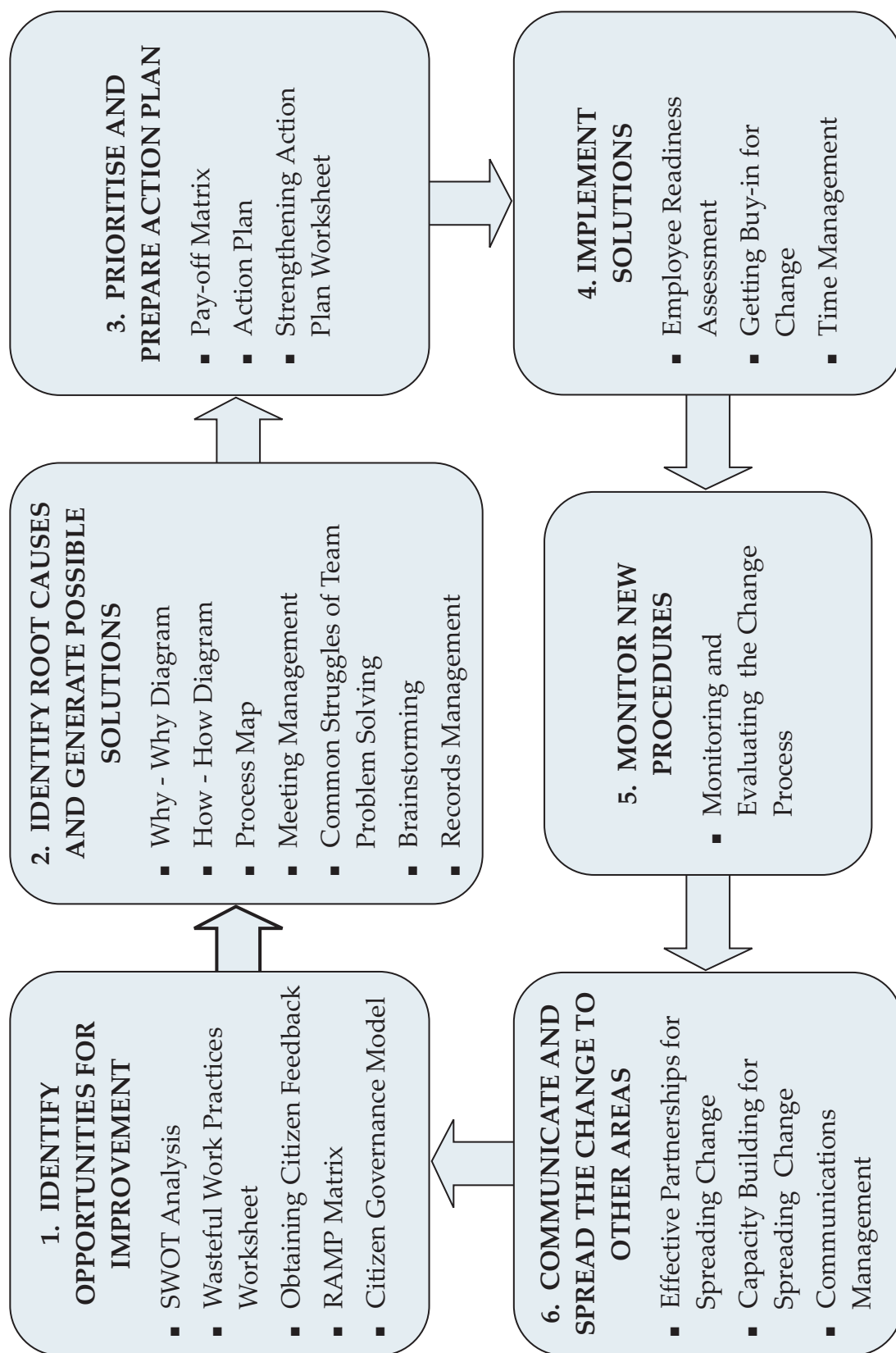
- Take initiative and use appropriate tools and techniques to analyse issues, design alternatives, and seek 'yes' or 'no' decisions in appropriate forums.
- Involve relevant stakeholders (members of own team, other teams, citizens, etc.) to identify problems, generate solutions, and increase stakeholder commitment.

- Work effectively across organisational boundaries (for example, with individuals and groups at other levels, in other departments, or external constituents) and sort out issues and differences in the larger interest of the organisation/society.
- Use workshops, special meetings, etc., to reach closure on issues so that actions can be initiated without needless delays. This is critical for sustaining the energies of people.

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

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

STEPS IN THE CHANGE PROCESS



STEP 1

IDENTIFY OPPORTUNITIES FOR IMPROVEMENT

Identifying opportunities for improvement requires a keen sense of observation. There is a huge difference between seeing and observing. While seeing something is a passive act, observing the same thing is a much more conscious activity. A good example would be an entrepreneur who observes opportunities in situations where others don't see anything. Observation requires certain mental frameworks that help us to put things in perspective in order to gain an insight. You need some tools and techniques to help you sharpen your observation skills. We would discuss the following tools in this section.

1. **SWOT Analysis** is a technique to help you take a critical look at your department/organisation, and your environment.
2. **Wasteful Work Practices Worksheet** will help you to tap the experiences/insights of your co-workers in identifying areas of improvement in your work sphere. A change agent need not rely only on his/her own experiences to select areas for improvement.
3. **Obtaining Citizen Feedback:** It is widely agreed that two-thirds of ideas for improvement of a product or a service come from the users. Users know best. Yet we rarely talk to our customers to get their views and ideas. This format will help you get the relevant feedback from the public regarding their expectations.
4. **RAMP Matrix:** Government functioning is full of reports, approvals, meetings and procedures. This is a tool for quickly analysing clutter in the system, and identifying areas for improvement.
5. **Citizen Governance Model:** This note is for introducing the concepts and characteristics of the citizen governance model to enable a better understanding of the tools and techniques mentioned in the rest of the sections.

1.1 SWOT ANALYSIS

A major problem facing all government departments is how to focus their limited resources of time and money on the most important priorities. SWOT analysis is an effective tool for evaluating the range of factors that influence a department's operation. SWOT is an acronym for Strengths, Weaknesses, Opportunities, and Threats. It is used to evaluate a department's internal strengths and weaknesses, as well as to identify any external opportunities or threats that may affect administrative decisions. It also ensures the involvement of key personnel in the management decision-making process.

WHAT IS SWOT ANALYSIS?

SWOT analysis is the process of carefully inspecting the department and its environment in terms of the four dimensions of *Strengths, Weaknesses, Opportunities, and Threats*.

	Pluses	Minuses
Internal	Strengths	Weaknesses
External	Opportunities	Threats

- *Strengths* are the department's core competencies, and include skills, resources, manpower, technology, infrastructure and other items.
- *Weaknesses* are conditions within the department that can lead to poor performance, and may include obsolete equipment, unclear strategy, poor image, and weak administration, among others.
- *Opportunities* are outside conditions or external circumstances that the department could use to enhance its contribution and effectiveness.
- *Threats* are current or future conditions in the outside environment that may harm the department. They might include changes in governmental or environmental regulations, changes in citizen preferences and so on.

SWOT analysis is a method of organising information and assigning probabilities to potential events both good and bad as the basis for developing the department's strategy and operational plans.

HOW TO PREPARE A SWOT ANALYSIS?

Preparing a SWOT analysis is a straightforward process. The key is to limit the number of issues under each category and not make it a long laundry list of important and unimportant issues, all bunched together. You are forced to evaluate the relative importance of each item, and select only the most critical items.

1. List all the issues you can think of that affect your department's performance. These issues may be extremely pragmatic and objective - "We don't have enough finances to serve citizens" - or highly subjective - "Key personnel don't like each other and so don't work well together." They may be internal or external. They may be real or perceived. Don't evaluate at this stage, just prepare your list.
2. Once listed, sort these issues or factors into the **SWOT** categories.
3. Sort the items in each category first by relative importance, and then by reality. The factors that you are listing must be real and not wishful thinking on your part - "We are the best" - Are you really the best? How? Why? - or a way of passing the buck - "Things are out of control, and there is nothing we can do about it and other departments are not helping us." Being honest with yourself is essential here.
4. Now, use the reduction process to limit each list to not more than five factors or issues. This requires you to look for duplicates or variations of the same issue, and to determine which issues are really most critical to your situation.

SOME COMMON ERRORS

- *Putting too many items under each category and making it a long laundry list.* Too many items would diffuse the importance and the list cannot be used for any meaningful decision making purpose.
- *Many times it is more of wishful listing.* It does not help us if we make a wish list. We need to face reality and make a list of what is possible under the given circumstances.

- *People pass the buck.* For example, including statements like, “finance department is unhelpful in its approach” or “villagers are illiterate” or “there is political interference.” These statements don't help decision-making. We need to look at what can we do in our zone of influence rather than placing blame on others for our problems.
- *Item has no action implication.* For example, a statement like, “people are overburdened.” It does not help us in any way. We need to say what can be done. Unless SWOT analysis throws some additional light on the future scenario, it is not useful.

To help you do a *SWOT analysis*, use these sample questions as guidelines:

INTERNAL ANALYSIS: Strengths and weaknesses are mainly ascertained by looking within the department. Strengths are what you do well and what you think are your strong points. Whereas, weaknesses are the areas where you are not doing well and where you want to improve your administrative functioning.

STRENGTHS

- What does your department do well?
- Does your department have a clear strategic direction?
- Does your department's work culture produce a positive work environment?
- What areas of your department's life are vibrant and healthy?

(For example, some of the strengths of a department could be a network of individuals who can implement decisions, top administration support, international funding, etc.)

WEAKNESSES

- What could be improved in your department?
- What does your department do poorly?
- What should be avoided?

For example, some of the weaknesses could be,

- Centralisation of decision making authority forcing employees to wait for decisions,
- Mid-level functionaries not possessing sufficient skills and motivation,

- Lack of customer responsiveness,
- Complicated procedures and processes hampering timely completion of work, and
- Lack of basic infrastructure facilities such as telephone, furniture, computer, e-mail facilities, etc., in some offices.

EXTERNAL ANALYSIS: Opportunities and threats are mainly spotted by looking beyond the boundaries of the department. An example of an opportunity can be the chance to introduce a new service that may enhance satisfaction among citizens. Conversely, unexpected changes in the external environment may pose a threat to the department.

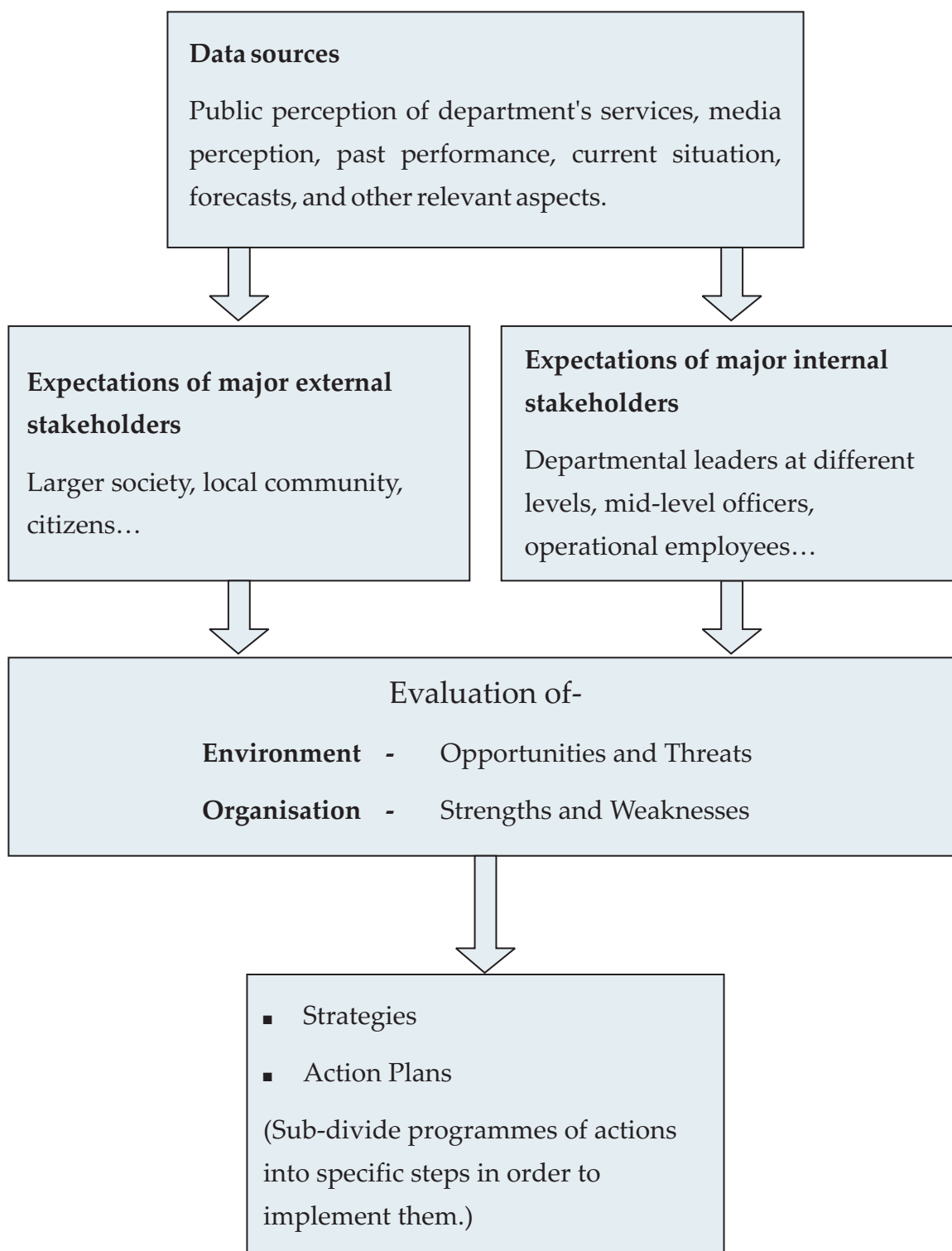
OPPORTUNITIES

- Analyse the needs, requirements and preferences of stakeholders/citizens/customers whom you are serving.
- What favourable circumstances are you facing? (For example, technological innovations enable a department to provide better services to the citizens.)
- What are the interesting trends? Is your department suitably geared to take on these trends? (For example, information revolution brings public closer to the department or, decentralisation enables decision making at the citizen contact point level.)
- What are the needs in the external environment which could be satisfied by your department's strengths and resources?

THREATS

- What obstacles is your department likely to face? (For example, growing disenchantment in the public for lack of citizen responsiveness or, rising expectations and demands for better services.)
- What are the external trends that will have a negative impact upon us? (For example, international funding may not be available in the near future.)
- What are the changes in the community or in the society that will have a negative impact upon us? (For example, other service providers may take over the space because of our inefficiency.)

BROAD STEPS FOR SWOT ANALYSIS



1.2 WASTEFUL WORK PRACTICES WORKSHEET

Almost everyone in a department can identify parts of their daily routine which do not make sense. These work practices take time and effort but do not seem to add any real value or value equal to the effort involved. People at operating levels know best as to what aspects need change. With this tool, they get an opportunity to identify and remove wasteful work practices.

WHY DO WE NEED THIS WORKSHEET?

This technique utilises the day-to-day observations and practical insights of people at operating levels to quickly *assess and analyse* wasteful work practices. This tool can be used to simplify processes and enhance speed and responsiveness.

HOW TO USE WASTEFUL WORK PRACTICES WORKSHEET?

1. The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. Describe the purpose of the exercise and the steps to be followed in the exercise.
2. The change agent should hand over Wasteful Work Practices Worksheet to the members of the group. The individuals would be asked to select one or two practices that, if eliminated or changed, would make significant and positive difference to them or to the citizens/stakeholders. The sheets would be filled out individually.
3. The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.
4. The change agent will compile the forms and make a list of all the activities listed out by the people. In the discussion with the participants the change agent should attempt to identify the common concerns. He should examine if anything of value would be lost if the system is modified.
5. The change agent will present an oral summary of the group consensus on how the process can be simplified. A written summary would be quickly prepared for taking approvals at an appropriate forum later.

WASTEFUL WORK PRACTICES WORKSHEET

Everyone in organisations, at one time or another, finds that there are recurring work practices - reports, approvals, measures, meetings, reviews, procedures, and so on - that take time and effort, but do not seem to add any real value, or value equal to the effort involved.

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

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

- 3. If the above work practice is discontinued, do you think problems or difficulties are likely to occur?**

1.3 OBTAINING CITIZEN FEEDBACK

Government departments exist to serve the public. It would be important for any department to take feedback from the citizens or the target customers about how they feel about the department's services. By taking feedback from citizens, departments can identify those processes which are a source of dissatisfaction. Departments can later review and modify these processes and work methods to make them more citizen-oriented.

WHY DO WE NEED CITIZEN FEEDBACK?

This tool can be used to identify the problems faced by citizens in the areas of department's services. This format can also be used to locate citizen processes that require review and modifications. It can help the change agent in identifying processes that cause dissatisfaction to their target audience.

HOW TO USE CITIZEN FEEDBACK FORMAT?

1. The change agent should invite groups of citizens for a short meeting at a convenient location. Describe the purpose of the exercise and the steps to be followed in the exercise.
2. A copy of the format should be given to each person. Each person will complete the form by indicating what he/she thinks are the problem areas in the department's services.
3. The change agent should invite each person to briefly share his/her observations. Others can seek clarifications.
4. In the discussion with the citizens the change agent should attempt to identify the common concerns.
5. The change agent will present an oral summary of the group consensus on what the common problems are to check and validate his understanding.
6. The change agent will compile the data regarding various problem areas and identify the processes that are causing problems. He will review and modify these processes and develop appropriate solutions or actions needed.

FORMAT FOR OBTAINING CITIZEN FEEDBACK

Please examine whether you have experienced the following problems with regard to specific services offered by our department/section.

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

1.4 THE RAMP MATRIX

Almost all operations, as they evolve over time, develop some amount of clutter or inefficiency - reports with unnecessary data that go to people who do not need them, requests for signatures or approvals from people who may not be in the best position to decide, and so on. People at operating levels know best as to what aspects need change. With RAMP Matrix, they get an opportunity to remove work that they don't find valuable.

WHY DO WE NEED RAMP MATRIX?

RAMP is an acronym for **R**eports, **A**pprovals, **M**eetings, and **P**rocedures. This technique utilises the day-to-day observations and practical insights of people at operating levels to quickly *assess and analyse* clutter or inefficiency in the system that tends to build up over time. It helps the change agent in identifying ways and means of simplifying processes, by removing those extra steps that take time but do not add any value. Simplification also helps in speeding up the process.

HOW TO USE RAMP MATRIX?

1. The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. Describe the purpose of the exercise and the steps to be followed in the exercise.
2. A copy of RAMP Matrix form should be given to each group member. Each member will complete the form by indicating what reports, meetings, procedures, etc., could be changed or modified.
3. The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.
4. In the discussion with the participants the change agent should attempt to identify the common concerns. He should examine if anything of value would be lost if the system is modified.
5. The change agent will present an oral summary of the group consensus on how the process can be simplified. A written summary would be quickly prepared for taking approvals at an appropriate forum later.

RAMP MATRIX

What are the **R**eports, **A**pprovals, **M**eetings and **P**rocedures/
Processes that can be

- Eliminated?
- Partially eliminated?
- Delegated downward?
- Done less often?
- Done in a less complicated/time consuming manner?
- Done with fewer people involved?
- Done using a more productive technology?

1.5 CITIZEN GOVERNANCE MODEL

Citizen governance increases the democratic content of government and provides opportunities for citizens to actively participate in public affairs. This note presents an overview of the subject. It includes a checklist for readiness for citizen governance. Some specific actions that departments should initiate for citizen-friendly governance are also given at the end.

ELEMENTS OF EFFECTIVE CITIZEN GOVERNANCE MODEL

Three fundamental elements of this model of governance are *citizen engagement*, *performance measurement* and *government policy and implementation*.

Citizen engagement refers to the involvement of citizens; the term 'citizens' here includes individuals, groups, non-profit organisations and even private commercial entities as corporate citizens. Private commercial organisations are included primarily for their role in public initiatives and not for protecting their private interests. Therefore, citizen engagement in a community is at its best when it is broad, inclusive, and representative of citizens.

Performance measurement refers to the development of indicators and collection of data to record, describe, and analyse performance. It can be applied to government services or to community conditions. Social audit is an effective method of achieving most of these objectives.

Government policy and implementation refers to the development of public policy decisions. It includes the issues being addressed, strategies employed, the resources committed, and the actions taken to carry out these decisions by the government. This element covers the full cycle of planning, budgeting, implementing, and evaluating government operations.

In this model of governance, a citizen's role is perceived as that of:

1. *A customer;*
2. *An owner or a stakeholder;*
3. *An issue framer;*
4. *A co-producer;*
5. *A service quality evaluator; and*
6. *An independent outcome tracker.*

The first two of these roles – customer and owner/stakeholder – are relatively passive. The other roles involve more active engagement and citizens are required to be active in a sustainable manner.

Citizens as customers: The core idea is that providers of public services should treat citizens as their valued customers. Citizen's charter is an effort in this direction.

Citizens as stakeholders or owners: In any government, citizens, in addition to being customers, are also owners of public services. Through tax payments, citizens invest in public services and assets. From this perspective, a key question with respect to government performance is whether the government is getting the job done or not. Citizens as stakeholders may think about this question in various ways. For example, are citizen's concerns being addressed by public services? Is the job being done fairly and ethically? Are the results equitable with the value of public money spent? In response to these concerns, citizens need to be adequately informed on time.

Citizens as issue framers: At the local and state levels, citizens have been actively engaged in identifying and framing issues of concern for their communities, in order to guide government planning and action. Similarly, citizens act as 'issue framers' in a number of ways. For example, as a part of community visioning and strategic planning, citizens are invited, as *vision builders*, to articulate a desirable future and develop broad strategies to get there, or as *advisers*, they may be called on for advice on specific issues like land use, budgeting, and so on.

Citizens as co-producers of services: Apart from being customers, owners, and issue framers, citizens and citizen groups also play an active role in providing or

helping to provide important services, and in solving specific problems, as their contribution for achieving a 'community vision'.

Citizens as service quality evaluators: Citizens also participate in the efforts to improve public services by assessing the performance of public services. As customers, citizens evaluate services by providing feedback. They are more actively involved through their engagement in surveys, research, or focus groups.

Citizens as independent outcome trackers: In a number of cases, citizens have been independently involved in community and regional improvement programmes. Without any government intervention, citizen groups established sets of desired outcomes for their community. These groups followed various themes, such as 'healthy communities', 'quality of life', and 'sustainable communities,' and they also set up systems to track and publicise the results of these outcomes.

STAGES AND LEVELS OF PARTICIPATION

STAGES

One way of characterising participation is by identifying the stage of the process where citizen participation is deemed important. The following stages have been identified in this regard:

1. *Problem identification:* investigation and discussion aimed at identifying the root cause or the most important aspect of a problem or issue.
2. *Problem analysis:* analysis of the context and factors influencing the issue, followed by the development of possible interventions and policies.
3. *Policy preparation:* examining the feasibility of various policy options and identifying potential.
4. *Policy design:* choosing the optimal policy option, to be refined and put into practice.
5. *Policy implementation:* putting the chosen policy into practice.
6. *Monitoring, evaluation and follow-up:* supervising implementation, gathering feedback on the effectiveness and efficiency of the chosen measures, and adjusting policies, plans and implementation in accordance with the feedback, in order to ensure sustainability.

LEVELS

During any of the above stages, different levels of citizens' participation are possible. At the lowest level, citizens are merely informed. On the other end, at the highest level, citizens may be made fully responsible for managing a process. The following are some of the levels that have been identified:

1. *Resistance*: active opposition from the people concerned.
2. *Opposition*: it may mean a number of things. Firstly, it refers to the formal role played by political parties in controlling and influencing the parties and policies of the government. Secondly, it stands for the actions that citizens and civil organisations undertake to protest against policy decisions and other governmental measures. Lastly, the term also refers to all the processes and mobilisations of people/factions/parties to protest, question and influence decisions or measures inside or outside organisations.
3. *Information*: it is a one-way communication to stakeholders.
4. *Consultation*: this is a two-way communication. Stakeholders have the opportunity to offer suggestions and express their concerns. However, there is no assurance that their input will be used, or used in the way they intended.
5. *Consensus building*: stakeholders interact with one another and discuss various options, with the objective of taking a decision that is acceptable to all.
6. *Decision-making*: citizens are directly involved in making decisions and they share responsibility for the resulting outcomes.
7. *Risk-sharing*: participating citizens are personally implicated in the outcomes, and share the risk that the outcomes might be different from what was intended. In this way, they share accountability.
8. *Partnership*: this level builds on the two preceding ones. Here, citizens do not only take part in decision-making and accountability, but also participate in implementing decisions along with other stakeholders.
9. *Self-management*: this is the highest level of participation. Citizens manage the matter at hand entirely on their own, carrying full responsibility and accountability.

TOOLS FOR PARTICIPATION

- 1. Standing Citizens Panels:** The panel consists of 10 to 25 members. Members of the panel are drawn from various related fields of expertise. This panel advises government on policy issues, makes recommendations on improving the services rendered by various departments, reviews the annual performance of the departments, and so on.
- 2. Round Tables:** The purpose is to bring together interest groups and stakeholders to periodically deliberate on various issues.
- 3. Participatory Planning Communities:** This tool is used for involving citizens in problem identification, analysis, planning, and implementation.
- 4. Forums:** These are similar to Round Tables, but are less formal and less engaging.
- 5. Public Hearings:** Public hearings have the explicit aim of inviting people's opinions and reactions to proposals, with the intention of utilising this feedback in guiding further action.
- 6. Citizen/Community Outreach:** Citizens are motivated by arranging events (lunch, parties, etc.) where they give suggestions, articulate ideas, and express support for the initiatives of the government.
- 7. Citizen Committees:** A committee with 8 to 10 concerned citizens is formed for each department and these help the government in policy making, implementation, etc.
- 8. Joint Project Teams:** Project teams represent infusive interaction. Administrators delegate powers to these project teams to allocate funds and manage complementation.

QUALITY OF CITIZEN GOVERNANCE

How do we judge the implementation/encouragement/support for citizen governance? The following indicators would help us in identifying the quality of our citizen governance. We can use these indicators to develop action plans for improving citizen governance in our department/unit.

1. Easy to obtain, reliable, multi-channel information access to citizens;
2. Level of participation of citizens;
3. Degree of participation;
4. Degree of participation of different sections of the society and gender equality;
5. Partnerships built by the government with the civil society;
6. Capacity building programmes conducted by the government, for administrators and citizens, for developing skills, acquiring tools and knowledge about citizen governance;
7. Use of creative methods in citizen governance and participatory processes;
8. Citizen outreach programmes to open multiple avenues for citizen participation.

A CITIZEN GOVERNANCE MODEL

Characteristics of a governance model that is sensitive to a community's needs:

- **Accessible:** Citizens have easy access to the elected members and government officers responsible for services.
- **Accountable:** Elected and appointed officials owe responsibility to the public.
- **Inclusive:** The community is recognised as an important component of decision-making.
- **Representative:** Citizens will be fairly and democratically represented.
- **Comprehensive:** All government functions and services are addressed, services are delivered at a level communities believe to be appropriate, clear and logical responsibility for service-delivery is identified, and voluntary citizen participation is acknowledged.
- **Comprehensible:** It is easy to understand who does what.
- **Cost-effective:** Appropriate quality service is delivered efficiently and in a manner that makes citizens feel they are receiving a reasonable return on their tax money.

ARE WE READY FOR CITIZEN GOVERNANCE?

The following questionnaire can be used to check the department's readiness for citizen governance. Rank each statement on a scale of 1 to 10 according to your perception of your department's efforts in this area. For each statement, the lowest rank '1' represents 'not at all' and the highest '10' stands for 'to a great extent'.

1	10	
Not at all	To a Great Extent	
Sl. no.	Item	Score
Citizen-friendly Ambience in Office		
1	Have we installed citizens' information desk?	
2	Do we have "May I Help You" counters?	
3	Do we staff citizen reception counters with people who are willing to serve citizens?	
Courtesy and Helpfulness		
4	Are we treating citizens with courtesy?	
5	Do we offer timely and helpful service to citizens?	
Availability and Accessibility of Public Officials		
6	Do we ensure that officials are available during the working hours or during the timings earmarked for public interviews?	
7	Is it possible for citizens to get routine information on phone without personally visiting our office?	
Feedback		
8	Is there a feedback system in place to measure citizens' satisfaction with the services rendered by our department?	
Willingness to Listen to Citizens and Act		
9	Are we showing enthusiasm to hold a dialogue with individual citizens, activists, and groups and act on their suggestions?	

Scoring and Interpretation

- Total your answers to all the items. (item 1 + item 2...item 9 = Total Score)
- A score of 9-25 is very low. (Your department has to travel a long distance for citizen governance. You need to take quick actions to ensure that some activities are kicked off to achieve some of the critical aspects of citizen governance.)
- A score of 25-40 is low. (This is also an unhealthy score. But you are practising some aspects of citizen governance. You need to strengthen these further to gear up for citizen governance.)
- A score of 40-60. (You are doing reasonably well in moving towards citizen governance. Build on your strengths to ensure that you are practicing citizen governance.)
- A score of 60-90. (Your department is doing well in citizen care. Keep it up, and sustain those elements.)

SPECIFIC ACTIONS FOR CITIZEN-FRIENDLY GOVERNANCE

Sl. no.	Recommendation	Action Required	Outcome
1	Improvement in the physical environment in all offices to bring about a citizen-friendly ambience.	<ul style="list-style-type: none"> • “Please be seated” boards to be put up along with citizen reception areas. • Citizen Help Desk for providing information, application forms and for receiving applications, complaints, etc. 	<ul style="list-style-type: none"> • Citizens will feel they are welcome visitors to government offices. • Better access to information by citizens.
2	Availability and accessibility of officials.		
	a. Physical access	<ul style="list-style-type: none"> • Designated officers to be available to meet the citizens during specified hours. Alternate arrangements to be made if designated officers are not available. • Names with telephone numbers of designated officers and alternates to be displayed at appropriate places. 	<ul style="list-style-type: none"> • Citizen-friendly governance. The necessity of visiting government officers to get routine information is avoided. • Staff has more time to devote to other work.

Sl. no.	Recommendation	Action Required	Outcome
	b. Wearing of name badges with designation	<ul style="list-style-type: none"> All staff having public interface including officers to wear name badges with designation. 	<ul style="list-style-type: none"> Citizens will know who is dealing with what.
3	Improvements in the acceptance and processing of application for certificates, NOCs, renewals, etc.	<ul style="list-style-type: none"> In citizen's charters, all departments to give time limits for issue of certificates, licences, etc. Compensation of Rs.50/- for each day's delay to be provided for in the charters. All departments to prepare a check list of requirements to be met with by the applicants and departments to accept applications only when they are in order. Applications once accepted should be processed without rejection unless inspection, enquiry, etc., are involved. If application is rejected after enquiry/inspection, reasons for rejection to be given in writing within 10 days of receiving the application. 	<ul style="list-style-type: none"> Transparency and accountability in the system. Public confidence in the administration.

Sl. no.	Recommendation	Action Required	Outcome
4	Internal task forces in all departments to implement and monitor citizen's charters.	<ul style="list-style-type: none"> Each HOD to constitute a task force for every office in his/her control to ensure effective delivery of services under citizen's charters. 	<ul style="list-style-type: none"> Effective implementation of charters. Citizen satisfaction. Improved service delivery.
5	Instituting or strengthening citizen/user feedback	<ul style="list-style-type: none"> All departments to develop simple and easy-to-use feedback forms to be made available at citizen help desks, bill-paying counters and service delivery counters to get feedback from citizens on courtesy, helpful service, and timeliness of service rendered by the government departments. 	<ul style="list-style-type: none"> Citizen satisfaction. Citizen involvement in governance. Citizen as evaluator.

STEP 2

IDENTIFY ROOT CAUSES AND GENERATE POSSIBLE SOLUTIONS

After identifying areas for improvement, a change agent needs to analyse these areas to gain an in-depth understanding of the problems and possible solutions. This analysis helps him/her to focus his/her efforts on real priority areas, rather than deal merely with symptoms of the problem that emerge from a superficial examination.

A constructive problem-solving initiative involves the following two stages:

- A clear understanding of the nature of the problem. **WHY** does this issue occur?
- A clear understanding of the solution that we intend to use. **HOW** can this issue be sorted out?

Tools and techniques presented in this section will help you in both these stages.

1. A **Why-Why diagram** is a simple technique to find out the root cause of a problem.
2. A **How-How diagram** helps you analyse the options that you have for solving a problem.
3. A **Process Map** is another very effective tool for understanding a work process in order to make it better and more efficient.
4. Meetings are the most important group decision-making event in any organisation. **Meeting Management** techniques will highlight the problems usually faced in conducting effective meetings and recommend measures to tackle those problems.

5. **Common Struggles of Team Problem Solving** will make you aware of the problems that your team may run into and suggest ways to overcome them.
6. Great ideas may not make much sense at first glance. So, they don't surface in the normal course during group discussions. By temporarily suspending all forms of evaluation, **Brainstorming** technique helps you to generate maximum number of ideas related to a topic so that you may choose the best one among them later.
7. Although **Records Management** is not really a tool for identifying root causes and generating solutions, this small note is included here because with the enactment of the Public Records Act, 1993, along with the Freedom of Information Act, 2002, management of government records and public information has acquired a new importance for every government functionary.

2.1 WHY-WHY DIAGRAM

A 'Why-Why Diagram' is a simple technique to find out the basic cause of a problem. This diagram helps a team in finding the root cause of a problem which may be hidden by other problems. We start by asking "why do we have a problem?" By asking 'why?' a number of times in succession, team members move through various layers of problems to arrive at the root cause of the problem.

WHY DO WE NEED A WHY-WHY DIAGRAM?

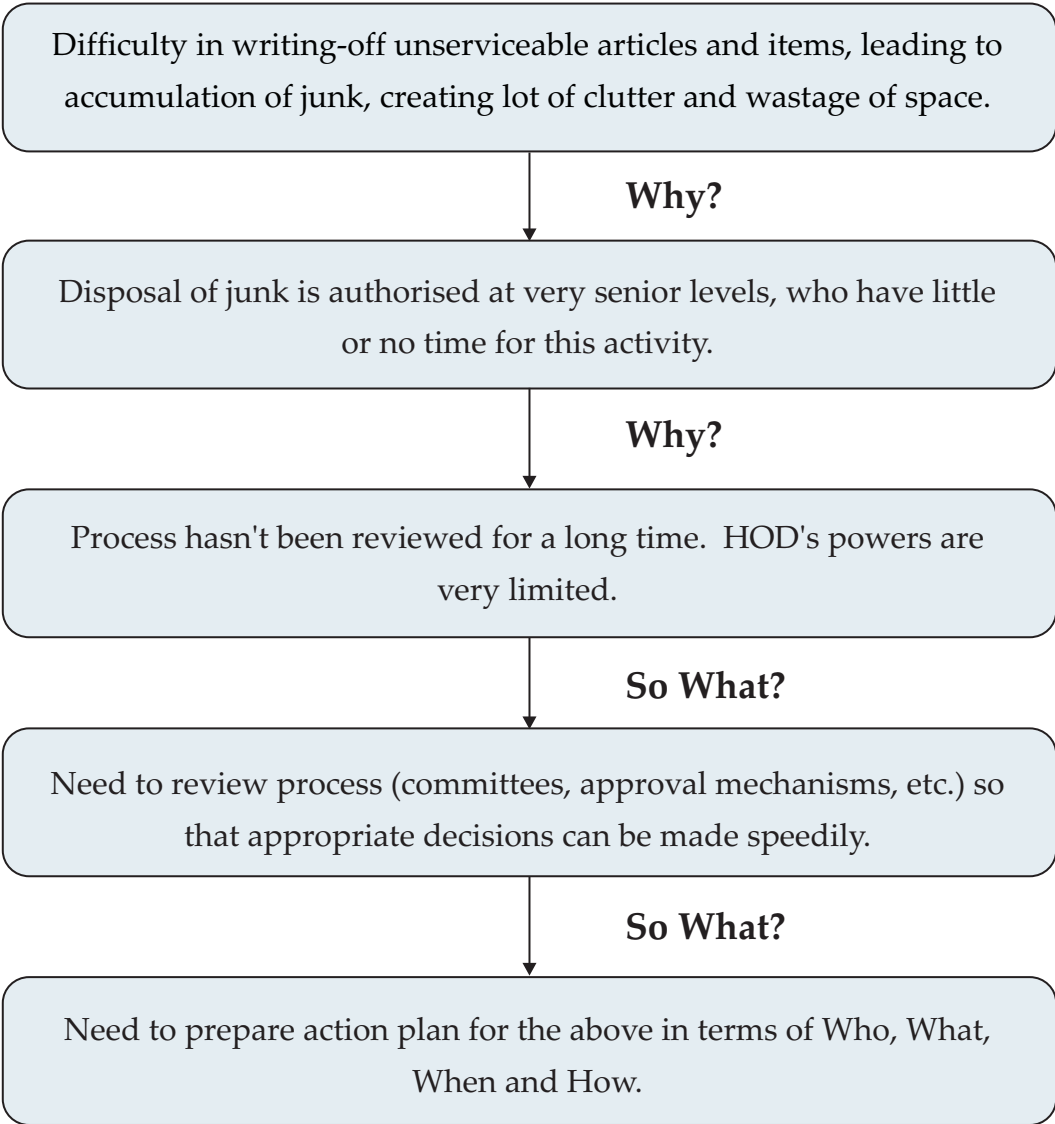
It is an important technique for developing a deeper understanding of the problem. It is very useful in cases where the team members find it difficult to understand the root cause of a given situation.

HOW TO USE A WHY-WHY DIAGRAM?

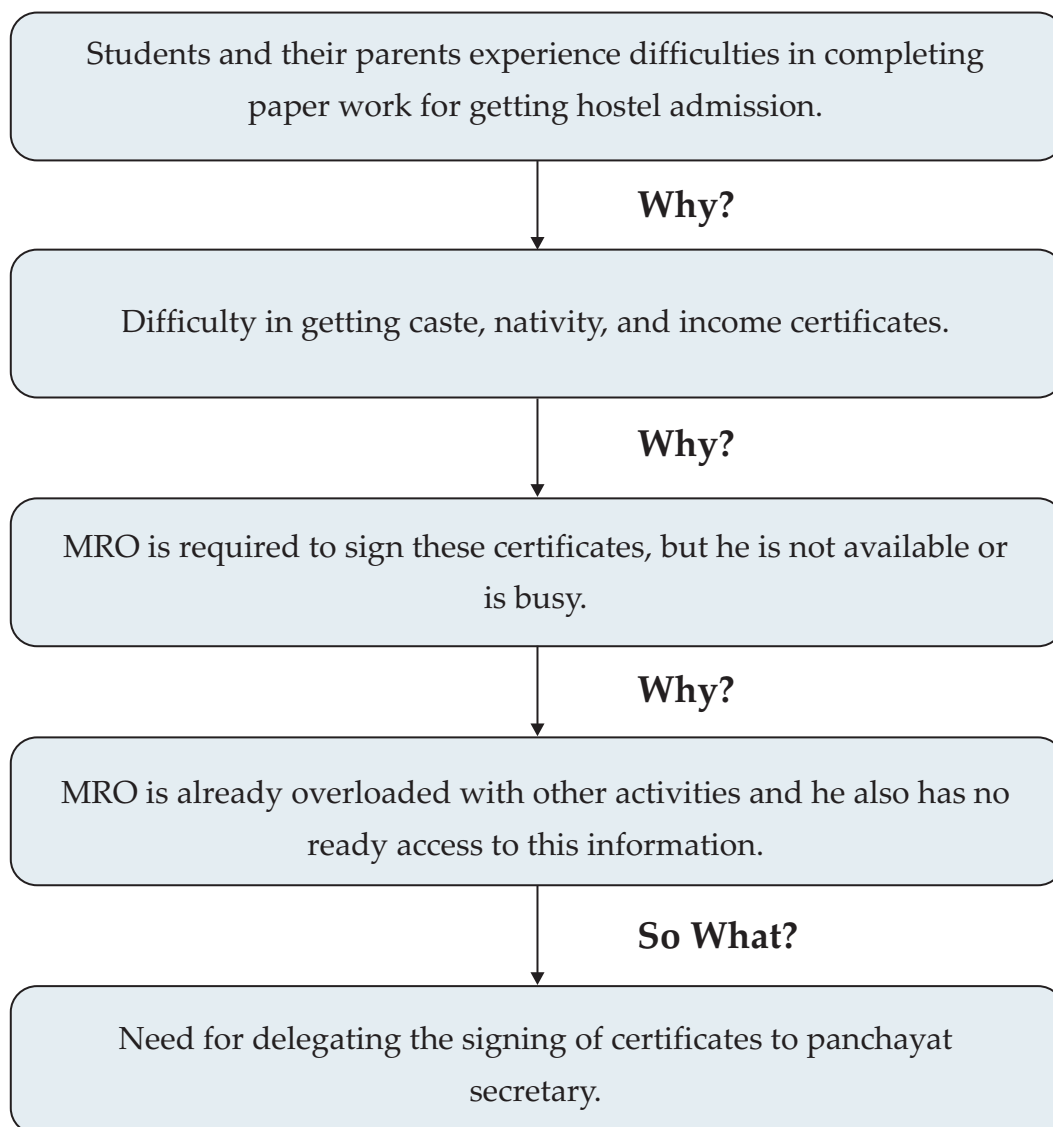
The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. He should describe the purpose of the exercise and the steps to be followed.

1. State the problem to be analysed.
2. Ask 'Why?' - what are the causes of the problem at the first level?
3. Mention each cause in the diagram.
4. For each cause mentioned, ask 'Why?' again and write the answers in the next box which is linked to the earlier answer.
5. Keep repeating the exercise till there are no more suggestions or answers.
6. Use the causes listed, especially those in the last box, to generate possible solutions.
7. Review data to find out which causes are most important. Gather fresh data if necessary.

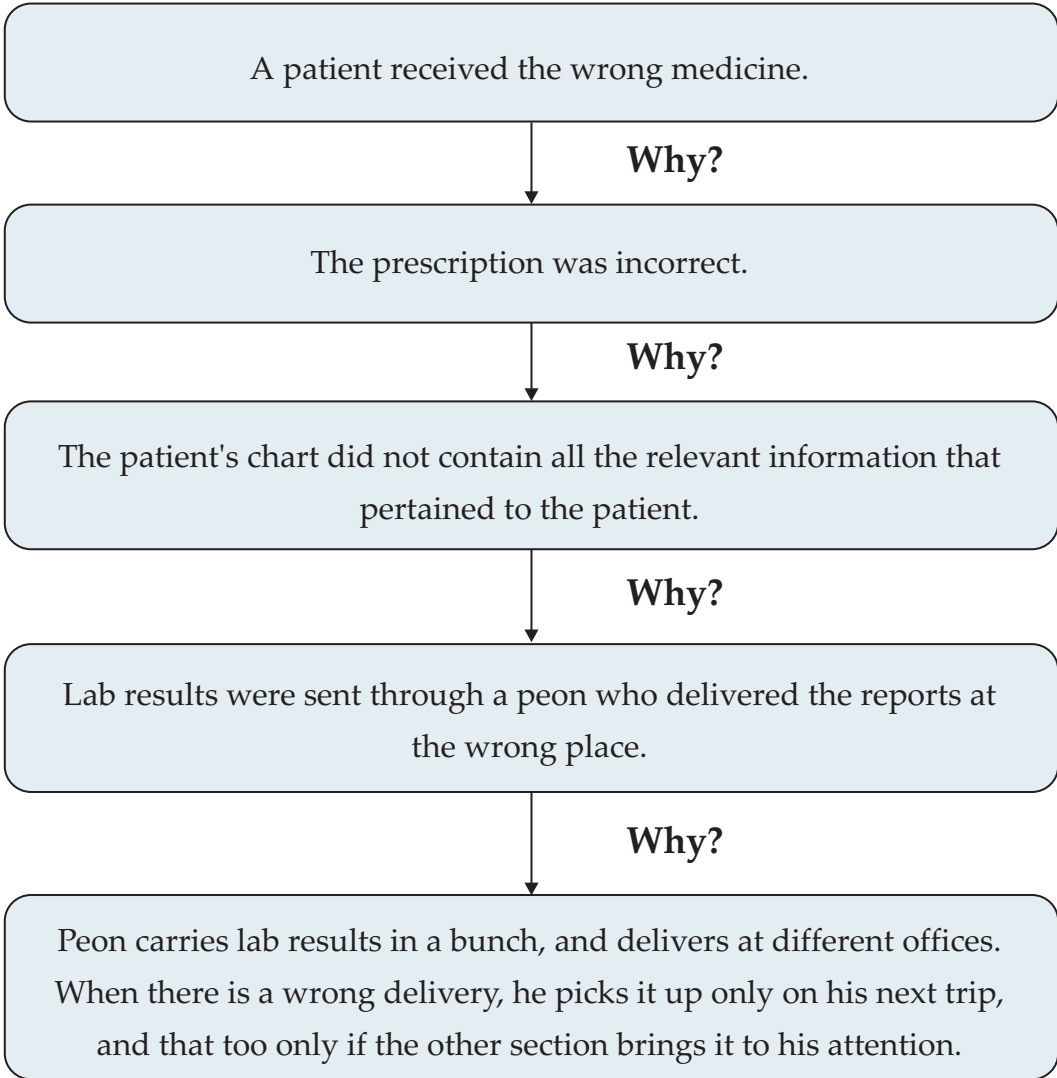
Example



Example



Example



Possible Action:

The root cause here is the absence of a reliable way of delivering lab test results. Implementing a sound and reliable system would ensure that patients do not receive a wrong prescription due to incomplete lab test data.

2.2 HOW-HOW DIAGRAM

'How-How Diagram' is a simple technique for considering alternative solutions. It can be used to isolate the specific steps necessary to implement the solution and hence formulate an action plan. It can also be used to find out various alternatives for solving a problem.

WHY DO WE NEED HOW-HOW DIAGRAM?

This process can help core group members search for appropriate means of achieving a solution. This exercise enables individuals to clarify their thinking about the problem and how to achieve a solution to the problem.

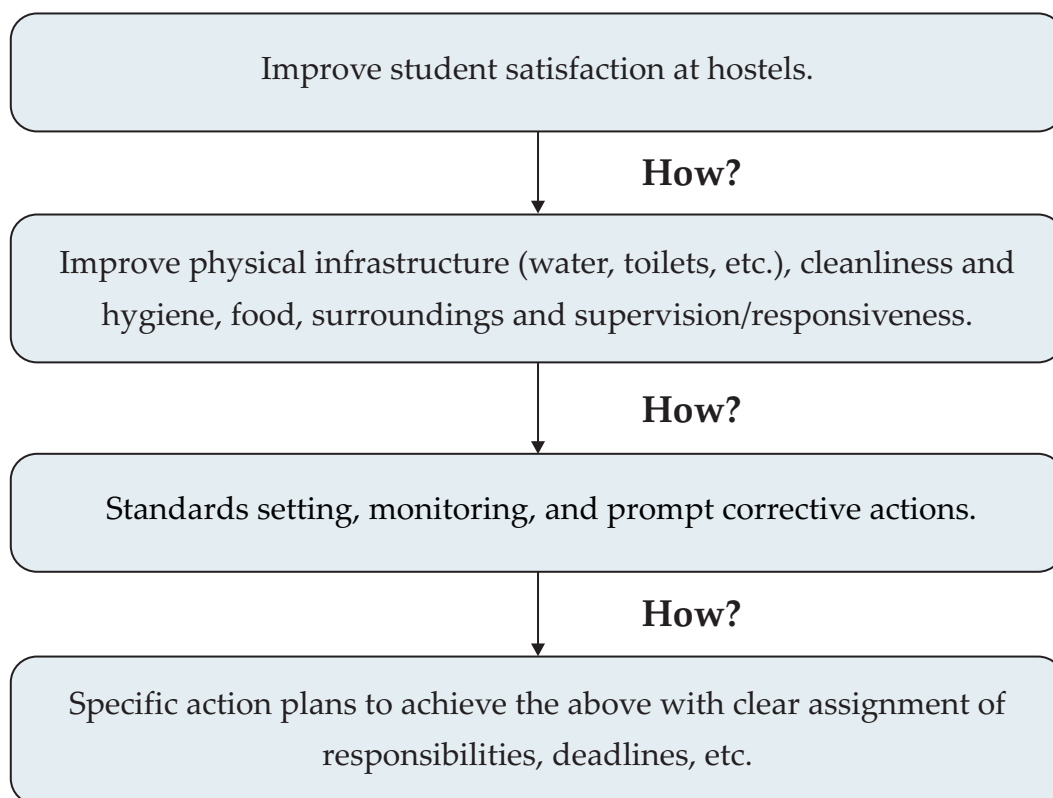
HOW TO USE HOW-HOW DIAGRAM?

The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. He should describe the purpose of the exercise and the steps to be followed in the exercise.

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

The items recorded can be used to plan the implementation process.

Example



2.3 PROCESS MAPPING

Rules and procedures are created to ensure that work is done in a systematic and efficient manner. But, with the passage of time these tend to get unnecessarily complicated. Sometimes they get so complex that they come in the way of getting work accomplished. So a periodic review of our work process is very important. Process mapping is a tool that helps you analyse the process and make necessary improvements.

WHAT IS PROCESS MAPPING?

Process mapping is a simple method of understanding how work gets done and how we can analyse and improve the process to make it more efficient. A process is simply the steps and decisions involved in the way your work is accomplished. A process map is a tool to visually illustrate how the work flows. It is also called a flowchart. As a picture is worth a thousand words, a process map conveys the way work is done (or not done) in a visual manner.

WHY DO YOU NEED PROCESS MAPPING?

A process map clarifies steps involved in a complex process. So it helps us identify likely problem areas. It helps us clearly visualise how the different parts of a process fit together. Once a process has been understood, process mapping can be used to generate ideas for simplifying and improving the process, or even for developing an entirely new process. It can be used for any type of process, whether it involves a flow of paper, material, or ideas.

STEPS INVOLVED IN MAPPING A PROCESS

Step 1: Define the process you wish to study

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

Step 2: Identify the steps within the process

- Talk to all concerned people involved in the process and understand what really goes on in the process. Collect data about the way the process works presently.
- Determine key measurements for each step. Obtain minimum, maximum, and averages if there is identifiable variation.
- Find out the details about delays and re-work loops.
- Map the flow as it is, not as people think it should be, or how it is going to be after some future change.

Step 3: Draw the Map

- Draw each step of the process and link them in correct sequence.
- Verify the map with the people involved in the process and any other who are connected with the process.
- Finalise the map.

Step 4: Analysing the Process

Once the process map is finalised, the process can be analysed by simply answering the following questions:

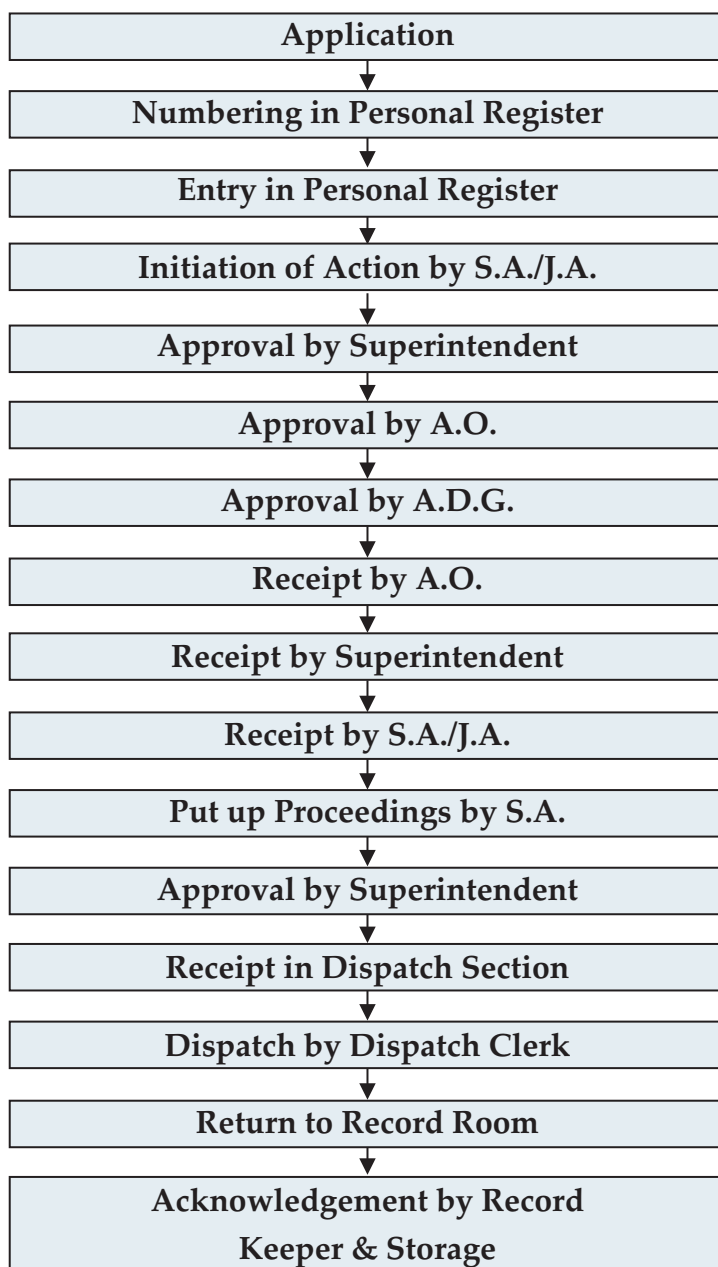
- How many steps are there in the process?
- How much time does each step take?
- How much time is wasted in between two steps?
- Which are the steps that add no real value to the process?
- How much is the total time involved in getting from first step to the last step?
- Which are the things that citizens/customers complain about? What are the problems they face?
- What are the problems of the staff?

Once you get the answers to these questions, you will be in a position to address the problem areas and simplify the process for effective results.

BASIC CONCERNS IN SIMPLIFYING A CITIZEN PROCESS

- Is the citizen getting the service in the most appropriate manner?
- Which are the steps which are of no use to the citizen?
- Is the citizen being served by the most appropriate person?
- How many times is the citizen passed from one person to another?
- Is the service being provided in reasonable time?
- How many times does he have to join a queue or find himself in a waiting list?
- Is the citizen being served at the most appropriate place?

APPLICATION FOR CASUAL LEAVE: EXISTING SYSTEM IN A STATE GOVERNMENT OFFICE



TOTAL 16 STEPS

The above Process Map helps us analyse:

- Are there steps that add cost and time, but add no value?
- Can the system be improved through more effective delegation?

2.4 MEETING MANAGEMENT

Whether or not it is actually true, there is a widespread myth that a lot of time is wasted in attending meetings. People complain that most of the times meetings do not start on time, purpose is not known in advance and people do not know why they have been called. Perhaps meetings are among the most overused and underutilised of all management tools. Yet, planning and conducting an effective meeting is not at all difficult. There are a number of simple steps that can be employed to improve the quality of your meetings.

Generally, there are two kinds of meetings: **Meetings for Information Exchange** and **Meetings for Problem Solving**.

Information Exchange Meeting	Problem Solving Meeting
<p>This meeting is required</p> <ul style="list-style-type: none"> ■ when the information to be shared is complex or controversial, or ■ it has major implications for the other participants of the meeting. <p>For example, a District Collector may have a meeting to exchange information relating to a key programme. Different officials involved with the programme will attend the meeting. They will exchange information with each other and with the collector so that every one can develop a clear and shared understanding of the priorities and the key issues, but there will hardly be any problem solving in the meeting.</p>	<p>Problem Solving meetings are specifically convened to tackle a particular problem or a set of problems. A diverse group ensures that there are multiple perspectives and opinions on how to solve the problem in the most effective and efficient manner.</p> <p>For example, a District Collector may convene a meeting to deal with the drought situation in the district where officials from different departments discuss means of dealing with the problems related to drought.</p>

TIPS FOR EFFECTIVE MEETINGS

1. BEFORE THE MEETING

Information Exchange Meeting	Problem Solving Meeting
<ul style="list-style-type: none"> ■ Need: Decide whether you need to have a meeting at all. Be clear about your objectives. ■ Agenda: The number of topics should be within reasonable limits. It needs to be circulated 2 or 3 days in advance. If possible, sequence items so that they build on one another. ■ People: Make sure all the people concerned are present, and they have sufficient time to collect the required information. 	<ul style="list-style-type: none"> ■ Agenda: The items that need urgent decision need to come first. Keep the number of topics within reasonable limits. It needs to be circulated 2 or 3 days in advance. Avoid topics that can be handled by individuals or sub-groups. ■ People: Limit the number of invitees to the minimum possible. There should never be more than 10-12 persons in a problem solving meeting.

2. DURING THE MEETING

Information Exchange Meeting	Problem Solving Meeting
<ul style="list-style-type: none"> ■ Time Management: Start on time. Limit discussions within the prescribed time limit. Avoid extending the proceedings until extremely necessary. ■ Group activity: Briefly indicate the reasons for the topics being discussed. Make sure all are aware of the objectives of the meeting. ■ People: Ensure active participation of all present members. ■ Ending: Thank all the members for their time and effort. 	<ul style="list-style-type: none"> ■ Time management: Try to reach a decision within set time limits. ■ Decisions: Early part of the meeting tends to be more lively and creative, so you can first discuss those items that need creativity and fresh ideas. Encourage conflict of ideas but discourage clash of personalities. ■ People: Avoid meeting being dominated by one individual. Encourage junior members to participate. ■ Ending: Sum up the proceedings and decisions taken. Finalise the action plan and assign responsibilities to individuals.

3. AFTER THE MEETING

Information Exchange Meeting	Problem Solving Meeting
<ul style="list-style-type: none"> ■ Follow-up: Prepare and distribute the minutes of the meeting as soon as possible. 	<ul style="list-style-type: none"> ■ Follow-up: Distribute the minutes and make available any resources promised. Monitor the implementation of the action plan.

FORMAT FOR THE AGENDA OF A MEETING

Topic: _____

Purpose/Objective: _____

Attendees: _____

Date/Time: _____

Location: _____

Agenda Item	Time Allotted
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
4. _____	4. _____
5. _____	5. _____
6. _____	6. _____

Remarks

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COMMON PROBLEMS AND HOW TO AVOID THEM

PROBLEM	SOLUTION
Important people do not attend the meeting.	You may approach them personally to inform them about the objectives of the meeting and ensure their attendance.
People are always waiting for their turn.	It is the responsibility of the chairperson to let every one have an opportunity to speak.
People are not aware of what they are supposed to discuss.	Objectives of the meeting along with the items on the agenda must be read out at the beginning of the meeting itself.
People do not know what is expected of them in the meeting.	Only those people should be invited for a meeting who are really concerned with the topic.
Meetings end without any action plan.	An action plan is a must. It is useless to have meetings without having formal structures to implement the decisions taken in the meeting.
After the meeting, decisions taken in the meeting are not followed up.	Individuals should be identified in the meeting itself to hold responsibility for the implementation of the items listed in the action plan.

CHECKLIST FOR AN EFFECTIVE MEETING

This checklist will enable you to run a fast check on all your preparations before a meeting. Just read all the points and place a (+) mark in the corresponding YES or NO column accordingly.

Items	YES	NO
Have you identified the objectives and purpose of the meeting?		
Have you decided how many and what topics you will include in the meeting?		
Have you decided who all should be invited for the meeting?		
Have you provided the participants with all the necessary documents before the meeting?		
Have you finalised the agenda and distributed it to all participants?		
Have you informed all the participants about the time and place of the meeting?		
Have you contacted and confirmed the participation of all the invitees?		
Have you confirmed the availability of all the needed documents, equipment and other infrastructure?		

2.5 COMMON STRUGGLES OF TEAM PROBLEM SOLVING

It is not surprising that teams run into a number of common 'process' problems during group problem solving. Facilitators and team leaders should be alert to the following problems and try to avoid them or make corrections as needed.

- Group members making vague, ambiguous, and non-specific suggestions to solve a problem.
- Group members getting sidetracked by trivial issues and in the process losing sight of the goal.
- Certain individuals dominating the group by doing much of the talking and not letting others express their opinion. Facilitators need to ensure that every member gets a chance to speak.
- *Some members trying to push their opinions on the rest of the group:* Sometimes, some members may try to influence the rest of the group to adopt their idea.
- *Members making longwinded speeches:* Some individuals have the tendency to make long speeches without making any point. Facilitator must ensure that people make specific and clear suggestions. He should intervene and stop when people are beating around the bush.
- Group wanting to work on too many ideas without focusing their energy and effort on key priorities.
- *Staying with an idea too long:* Group is not able to make progress by staying on a single idea for too long. This limits the group's ability to work on other ideas and restricts it to very few ideas.

- *Team members arguing needlessly:* Facilitator needs to pitch in without escalating the argument.
- *Team members settling with the very first idea without debating for the best alternative:* Members tend to stop thinking after the first idea in the discussion. Facilitator needs to encourage people to go for maximum number of ideas and not be satisfied with the first idea itself.

2.6 BRAINSTORMING

When it comes to generating ideas for solving problems, two or more heads are definitely better than one. But a group limits its own creativity when group members say only those things that they are supposed to say. They may censor their more creative thoughts for the fear of being frivolous or impractical. To get to the best solution it is important to consider many possible alternatives. Brainstorming is a method of generating ideas in a group situation by temporarily suspending judgements.

WHY DO WE NEED BRAINSTORMING?

The main purpose of a brainstorming exercise is to generate and record as many ideas and solutions as possible. It is based on the notion that informal, interactive group activity generates more and better ideas than individuals produce when they are working independently. However, problem-solving sessions can be unproductive if the group loses focus or is dominated by one or two members. The following guidelines will help you keep your brainstorming sessions productive:

- Define the problem to be worked on as clearly as possible. The group should be aware that the same words mean different things to different people. Time and effort should be invested to develop a clear and shared understanding of what problem is sought to be discussed, and why.
- Define the success criteria for the session. What needs to be accomplished for the results of the session to be satisfactory?
- Determine how the results of the problem-solving session will be used.
- No debating. There shouldn't be any criticism of ideas. There would be adequate time later for evaluating ideas. Any criticism, evaluation or debate during the idea generation process will adversely affect the quality of group-work and creativity.

- Encourage 'free-wheeling'. Let the ideas flow freely. Go for quantity and diversity of ideas. Encourage all kinds of ideas.
- Try to combine and build on ideas.
- There are no bad ideas. Keep your mind open to all ideas, both your own and others. Do not belittle any idea. Extreme ideas may trigger a more realistic idea from someone else, who wouldn't have thought of it otherwise.
- Throughout the whole process, make sure that everyone is encouraged to participate and everyone's input is treated with respect. Remember that everyone has something to contribute.
- Only after your team has exhausted all ideas, crazy and otherwise, should you stop generating and start evaluating what ideas are real possibilities and which ones should be discarded.

Ground Rules

- **No Quoting of Precedents:** Anything and everything is open to questioning, and phrases such as 'We've always done it that way' are invitations for more challenging questions.
- **No Narrow Loyalties:** People should not defend functional, sectional, or departmental boundaries, but instead look at issues from a process and citizen perspective, regardless of their functional 'home'.
- **No Blaming:** Change is about making things better, not searching for the people who are responsible for the problems.
- **No Hierarchy:** Rank or status should not be allowed to interfere with the process in a brainstorming session, and ideas from all sources should be respected.
- **No Complaining:** An observation about something that needs to be looked into is just a complaint unless it comes with everything needed to manage it - a recommendation, an action plan, a timeline, and someone who is willing to be accountable to take the initiative. Remember, brainstorming session is not a complaint session.

2.7 RECORDS MANAGEMENT

Enactment of the Public Records Act, 1993, and the Freedom of Information Act, 2002, has far-reaching implications as far as management of records in government offices is concerned. With the statutory obligation to preserve and present information to the citizen on demand, every government department is required to install and maintain an effective system of public records management under the supervision of a Public Information Officer.

Unfortunately, in most of the government record rooms, the three basic Ms of record keeping, i.e., **monitoring**, **maintenance** and **management**, are either lacking or are not adequate.

THE THREE Ms OF RECORD KEEPING
MONITORING: Keeping track of the record through its life cycle - creation, retention, and destruction - so that appropriate actions are taken at the appropriate stage.
MAINTENANCE: Taking care of the safe preservation of records to avoid any kind of damage.
MANAGEMENT: Ensuring that records are properly labelled, indexed, and classified.

WHAT IS RECORDS MANAGEMENT?

First, we need to understand what is meant by '**records**' in relation to the more general term '**information**'. A record is defined as *information generated in the course of an organisation's official transactions, which is documented to act as a source of reference and a tool by which an organisation is governed*. To serve their purpose of providing reliable evidence for greater accountability, records, in both paper and electronic form, must be accurate, complete, and comprehensive.

Proactive management of your records puts you in control of the records. Reactive management puts your records in control of you. Records management is the field of

management responsible for *the systematic control of the creation, maintenance, use, and disposition of records*. It is concerned with the effective management of records throughout their life cycle.

There are several benefits of having an effective records management programme. A programme of this nature :

- facilitates effective performance of activities throughout a department;
- protects the rights of the department, its employees, and its stakeholders;
- provides continuity in the event of a disaster;
- meets statutory and regulatory requirements including archival, audit, and oversight activities;
- provides protection and support in litigation;
- allows quicker retrieval of documents and information from files;
- improves office efficiency and productivity; and
- supports and documents historical and other research.

NEW LEGISLATION

Government of India has enacted the Public Records Act, 1993, and the Freedom of Information Act, 2002, that lay down the principles for managing, maintaining, and monitoring records in Government departments.

The Freedom of Information Act, 2002, among other things, lays emphasis on the following points:

- By providing freedom to every citizen to secure access to information under the control of public authorities, in order to promote openness, transparency and accountability in administration and in relation to matters connected therewith or incidental thereto, the bill underlines the importance of having an effective records management programme in every government office.
- Every public authority shall maintain all its records, in such manner that is consistent with its operational requirements, duly catalogued and indexed.
- A person who wants to obtain information shall make a request in writing or through electronic means, to the concerned Public Information Officer, specifying the particulars of the information sought by him. Where such request

cannot be made in writing, the Public Information Officer shall render all reasonable assistance to the person making the request orally to put it in writing.

- Where a request for access to information is rejected or the concerned applicant is aggrieved, the citizen has a right to appeal.

ROLE AND RESPONSIBILITIES OF THE RECORDS OFFICER

The Public Records Act, 1993, assigns a range of responsibilities to the records officer in relation to proper arrangement, maintenance, and preservation of public records under his charge. Given below is a checklist that will help a records officer run a fast check on the records management system in his/her office vis-à-vis the new statute.

Sl. no.	Item	YES	NO
1.	You take up periodical review of all public records and remove public records of short-term relevance.		
2.	You carry out appraisal of public records, which are more than twenty-five years old, in consultation with the National Archives of India to retain public records of permanent value.		
3.	You undertake destruction of public records in such manner and subject to such conditions as prescribed under sub-section (1) of section 8 of the Public Records Act, 1993.		
4.	You carry out compilation of a schedule of retention for public records, in consultation with the National Archives of India.		
5.	You take up periodical review for downgrading of classified public records in the manner prescribed by the Public Records Act, 1993.		
6.	You adopt such standards, procedures, and techniques as recommended by the National Archives of India, for improvement of the record management system and maintenance of security of public records.		

7.	You carry out the compilation of annual indices of public records.		
8.	You carry out compilation of the organisational history and its annual supplement.		
9.	You assist the National Archives of India for public records management.		
10.	You have a well-organised filing system and you know where the files are located when they are needed.		

FILE MANAGEMENT

Finding the information needed, being able to extract that information from records in existence, and being sure that the information is in a useable format depends on an efficient filing system.

1. *Avoid unnecessary filing:* Filing unnecessary papers is a waste of manpower and equipment.
2. *Arrange folders, guides, and labels correctly:* Folders are necessary to keep the papers together and in order. Guides serve as 'signposts' to help speed up the filing and finding operation.
3. *Receiving and preparing papers for filing:* The following steps should be taken while preparing documents for filing:
 - Remove rubber bands, paper clips, pins and other temporary fasteners;
 - Determine if the file is complete and all necessary enclosures and attachments are accounted for;
 - Remove all unnecessary forms and paper such as cover sheets and routing slips, except those which contain remarks of a significant record value;
 - Ensure that parts of another file are not attached; and
 - Ensure that the document has been authorised for filing.

4. *Use cross references where appropriate:* If a document being classified involves more than one subject or case transaction and there is a possibility that it might be required by more than one section, a cross reference should be prepared as a finding aid.
5. *Safeguards are necessary while filing confidential records:* Confidential records need to be placed separately in equipment providing security. A cross reference can be placed in the non-confidential folder of the subject or case indicating that the material is filed in secure equipment.

RECORDS SURVEY

A records survey is a complete inventory of a department's record holdings. It identifies all records, where they are located, in what quantity, and includes all types of records with a department. Before conducting a records survey, certain important factors have to be taken into consideration.

1. *Obtain support of the administration:* Administration support is critical to the success of the survey project and to the entire records management programme. Administration support legitimises and establishes priority for records management programme and ensures the cooperation of all the concerned staff.
2. *Form a team:* The head of the department should entrust the job of carrying out the survey to an official who is well versed in office procedures. He/she will have a team working under him/her, comprising of at least four people, depending on the size of the record room and volume of records. It is necessary to have a data entry operator to copy the data on records into a computerised database. The supervisor will also need people to help fetch records and organise them in piles for an effective survey.
3. *Design the survey form:* The department will use a survey form to capture vital information on the *type of records* and *record series* in a record room. Each department can design its own form based on its own individual needs and requirements, to carry out a records survey. However, the survey worksheet should capture vital information such as:

- Type of file
- Record series title
- Description of the record series
- Inclusive dates
- Number of records in the series
- Public access restrictions
- Recommended retention period

After the survey has been completed, it can become an important document in identifying vital records, formulating disaster management plans and act as a working document for preparing a records retention and disposition schedule.

STEP 3

PRIORITISE AND PREPARE ACTION PLAN

Having identified the problem areas and having located a possible set of solutions, it is time to articulate clear priorities. Then it is important to prepare your plan of action.

1. **Pay-off Matrix** is a tool which will help you pick and choose the most favourable change projects on the basis of their projected outcomes and expected effort involved. With the help of this tool, you would be able to balance your priorities and your energies to select the right priorities.
2. An **Action Plan** illustrates your commitment to achieve your goals and objectives in a time-bound and systematic manner. An action plan is much more than a statement of intentions. It needs to specify Why, How, Who and When of the different actions defined. It is an action document that guides everyone involved with the execution and helps measure progress in terms of desired changes, and clear standards.
3. The robustness of an action plan depends on how much it has anticipated potential fail points and loopholes in the plans and has plugged those holes. **Strengthening Action Plan Worksheet** will enable you to raise tough questions about the plan that has been worked out, and avoid the common pitfalls. That would ensure that the final action plan that we come up with is sound and actionable.

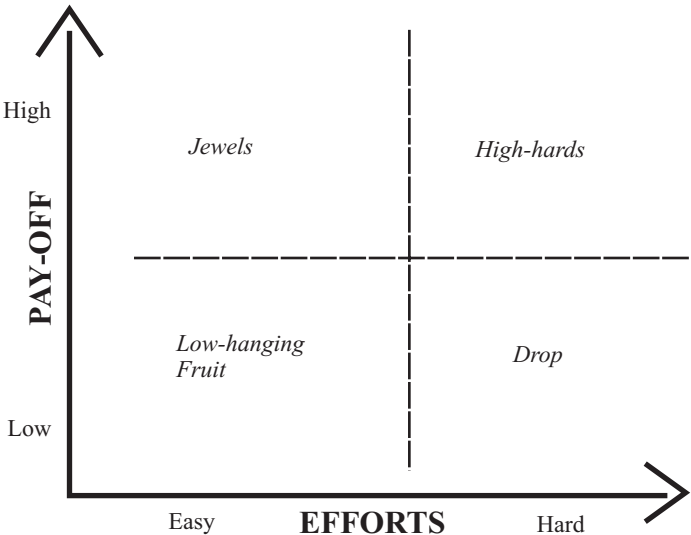
3.1 PAY-OFF MATRIX

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

WHY DO WE NEED PAY-OFF MATRIX?

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

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



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

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

HOW TO USE PAY-OFF MATRIX?

1. The change agent introduces the pay-off matrix, and asks members to assess each idea in terms of two criteria:
 - *How easy or difficult will it be to implement the idea or opportunity? Easy to implement can be taken to mean eight weeks or less, and with minimal new resources; and Difficult to implement can be taken to mean more than eight weeks, or lots of additional resources, or both.*
 - *What is size of the expected pay-off? Is it high or low? Is it significant or negligible?*
2. In consultation with the group members, the change agent would place all the ideas generated in the brainstorming session, in the respective quadrants on the board.
3. Plotting each action idea on the four quadrants of the pay-off matrix gives the potential of each idea. The '*low-hanging fruits*' and '*jewels*' will typically become the group's top-priority action items. At the same time, the group should also pick a few '*high-hards*.'

3.2 ACTION PLAN

There is a big difference between a statement of intentions and an action plan. We have to necessarily start with statement of intentions (for example, broad goals like improve coordination with another department, enhance responsiveness to customers, or introduce a new service), but these have to be broken down into specific action steps with timelines and clear accountabilities. Unless 'What', 'How', 'When' and 'Who' have not been clarified with reasonable clarity, broad intentions may not make the crucial transition from paper to practice.

WHY DO WE NEED AN ACTION PLAN?

Having identified the broad areas for improvement, you need an action plan to actually start working towards realising your goals. An action plan does the following:

- It provides a road map for the achievement of the goals and objectives. It describes 'What' would be done, and 'How' it would be done.
- It gives a timetable for completion of action steps. It states 'When' it would be done.
- There is clear accountability for each step. It clarifies 'Who' would do it.
- It provides a blueprint for tracking progress and making necessary mid-course corrections.

KEY ELEMENTS OF ACTION PLANNING

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

Think through, and when appropriate, rehearse your action plan in order to identify likely outcomes and critical contingencies (the '*What ifs*'). You will often find that action planning helps to clarify your diagnosis and goals.

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

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

A simple four-step process can help you create a good action plan:

- Brainstorm the full range of action ideas.
- Consolidate related ideas and sequence the steps. Decide which steps to include in your plan and turn these into action-plan steps.
- Assign accountability for each step. If more than one person is involved in a step, choose one person to accept prime accountability for getting it done.
- Decide on a time frame to begin and complete each step.

3.3 STRENGTHENING ACTION PLAN WORKSHEET

This worksheet is useful in strengthening your action plans. By asking these questions, action plans can be tested for completeness and probability of success. This format is useful for improving and error-proofing your actions plans.

How to use Strengthening Action Plan Worksheet?

1. The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. Describe the purpose of the exercise and the steps to be followed in the exercise.
2. The change agent should hand over the 'strengthening action plan worksheet' to the members of the group. The sheets would be filled out individually.
3. The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.
4. The change agent would compile the forms and prepare a list of all the activities listed out by the people. In the discussion with the participants, the change agent should attempt to identify the common concerns. He should examine if anything of value would be lost if the system was modified.
5. The change agent will present an oral summary of the group consensus on how action plans can be strengthened. A written summary would be quickly prepared for taking approvals at an appropriate forum later.

WORKSHEET: STRENGTHENING ACTION PLAN

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

- What is the probability of success of the proposed action plan? Are there ways to increase the probability of success?

- Are the dates realistic, given other commitments and priorities?

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

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

- How can you create enthusiasm for the change effort?

STEP 4

IMPLEMENT SOLUTIONS

Once your action plan is ready, you begin the most important step in the change process, i.e., implementation of your plans. The importance of effectively implementing ideas hardly needs to be emphasised. After all, rewards are for actions, not for planning and analysis.

- 1. Employee Readiness Assessment** technique is expected to give you an indication into those particular areas where you may face hurdles in bringing about effective change. You need this indication so that you are well prepared for successful implementation.
- 2. Getting the Buy-in for Change:** Implementation involves people. So it is also a social process. Having just the right idea is not enough. You have to obtain buy-in for this change. It actually means persuading people to change.
- 3. Time Management** tips will help you organise your time and efforts more efficiently and thereby lead you to a more effective handling of your responsibilities.

4.1 EMPLOYEE READINESS ASSESSMENT

Any change involves people. So employees' willing participation and involvement is necessary for successful implementation of change. Employee Readiness Assessment questionnaire can be used to anticipate those concerns of employees that can create hurdles for effective change.

WHAT IS EMPLOYEE READINESS ASSESSMENT?

Employee readiness assessment is a useful questionnaire to check the employees' readiness for change. It can help the change agent identify the areas where efforts need to be focussed for getting buy-in for change from employees. It would help the change agent think in advance about how to build greater employee readiness and acceptance.

HOW TO USE IT?

1. The change agent should get a group of employees together in a room to tap their views and ideas arising from their day-to-day experiences. Describe the purpose of the exercise and the steps to be followed in the exercise.
2. A copy of the Employee Readiness Assessment questionnaire should be given to each group member. Each member will complete the form by allocating the appropriate rank (1 to 10) to each item based on what he/she thinks of the proposed change.
3. The change agent should invite each group member to briefly share his/her observations. Others can seek clarifications.
4. In the discussion with the participants, the change agent should attempt to identify common concerns and these should be documented for guiding future action.

5. Change agent will compile the scores and the oral feedback received from employees. The final summary will outline key concerns – where do the employees feel confident about change and what are the areas of anxiety? It is the responsibility of the change agent to take appropriate steps to positively influence people's thinking and perception in areas where they harbour doubts about the proposed change.

EMPLOYEE READINESS ASSESSMENT QUESTIONNAIRE

The following questionnaire is used to assess the employees' readiness for change. An employee is expected to rank his perception about the various facets of the change programme on a scale of 1 to 10, with 1 representing 'strong disagreement' and 10, 'strong agreement'. After compiling the scores, a change agent can get a fairly clear picture of the employees' mindset about the change initiative. Accordingly, the change agent can re-formulate his plans to ensure greater acceptability of change within his zone of influence.

1			10
Strongly disagree			Strongly agree
Sl. no.	Item	Score	
1	I am very clear about why the change is being implemented.		
2	I can easily see how this change can directly solve a real problem.		
3	I see the change as having a low personal cost to me (for example, no extra efforts, no additional inconvenience, etc.).		
4	I believe there will be no disruption of personal relationships after this change is implemented.		
5	This change will have a positive impact on my feelings of psychological well-being, status in the eyes of stakeholders, etc.		
6	Important habits and procedures will not be disrupted by this change.		

7	I possess the necessary confidence to accomplish change.	
8	I am willing to give up the old ways of doing things.	
9	I do not believe that this change would take away my control over key aspects of my job.	
10	I am totally clear about what is specifically expected from me as a result of the change.	
11	I feel very involved in this change.	
12	I believe that adequate organisational support and resources are being provided to accomplish this change.	
13	I think that adequate time is being provided to accomplish this change.	
14	I believe that this change project will be implemented successfully.	
15	I believe that important leaders and change agents have a high level of credibility.	
	Total Score	

Scoring

- Total your answers to all the items (item 1 + item 2 ... item 15 = Total Score).

Interpretation

- A score of 10 to 40 is very low. This indicates very low readiness for change. Unless steps are taken to initiate appropriate steps to influence people in the areas of major concern, change is unlikely to succeed. The change agent needs to influence employees' thinking and perception to get their buy-in for making change happen.
- A score of 40 to 70 is low. This is also an unhealthy score. It indicates that change has to focus more on those areas where employees have given low ratings.

Actions need to be taken to deal effectively with employees' concerns, and build greater acceptance of change.

- A score of 70 to 100 is moderate. Employees see change as a positive development. But still, there are some areas where they are not fully confident. It is necessary to identify and analyse these areas and influence employees' thinking to embrace change wholeheartedly.
- A score of 100 to 150 is high. The score indicates that employees are quite ready. They understand the need for change and are willing to make change happen.

4.2 GETTING THE BUY-IN FOR CHANGE

Change involves persuading a large number of people to stop what they have been doing, and start doing something that they probably don't want to do. That is why getting the buy-in for change is a very important part of the change agent's work.

Most people plan to introduce change by presenting a strong case on the need for change, and the potential benefits of the change programme. They go armed with facts and figures. They anticipate objections, and prepare themselves thoroughly to puncture those with the help of powerful counter arguments. Yet great presentations and arguments run into familiar hurdles of indifference, suspicion, and resistance. As a result, the change experiment fails in practice.

COMMON MISTAKES IN GETTING A BUY-IN

There are certain common mistakes that change agents tend to make in getting the buy-in for change. These are discussed below.

Mistake 1: *Believing that great arguments would win hearts and minds.* Most of us tend to place excessive faith in the logic and rationality of individuals and organisations. Although convincing logic is a necessary prerequisite for any change idea, great arguments in themselves do not get the buy-in for change. Unless the change agent relates to the audience at the right emotional level and his/her credibility is well accepted, arguments would fail to convince people.

Mistake 2: *Believing that persistence without compromising would sell the idea.* Many change agents wrongly believe that they should present a strong case at the outset. Unfortunately, a strong decision at the very start gives opponents a clear target to attack. If the change agent persists with the idea and resists any form of compromise, he/she may be perceived as rigid and authoritarian. Needless to say, this would only yield resentment and frustration, not commitment to the idea.

Mistake 3: *Believing that persuading is a one-time effort.* Many change agents give excessive importance to the formal acceptance of their ideas in a meeting. While this is certainly important, it is not the only success factor of any persuasion effort. A change agent needs to listen to diverse views, keep making changes in a variety of settings, and keep up the momentum of the change campaign. Change involves a long and difficult journey and by assuming it to be a one-time effort, we run the risk of creating a 'flash in the pan', but no lasting change.

WHY DO PEOPLE REJECT CHANGE IDEAS?

There has been a great deal of interest in finding out why people are so unwilling to step out of their comfort zones and accept change. What are some of the major impediments to change?

People believing that the change effort is yet another fad: Over a period, many employees have come to perceive different change programmes as fads because they associate these with previously failed initiatives. As a result, they do not pay attention to the merits of the arguments. Change induces dissonance, and people often reduce the resulting stress by reverting to previously held assumptions, beliefs, and behaviours.

People believing that change agents are not credible or trustworthy: Employees tend to view the strength of the change idea by associating it with the person who advocates that position. In other words, if the change agent is credible, the idea is seen as convincing. On the other hand, when the change agent is perceived as untrustworthy, people tend to reject the change ideas.

People having difficulty with unlearning old ideas and approaches: Most often people do not know how to stop what they have already been doing. When they are faced with uncertainty and ambiguity, they feel a sense of loss of control and this leads them to persist with their existing methods and approaches.

People having difficulty learning new patterns of behaviour: When people face unfamiliar situations, they often fail to comprehend the complexities of the situation. They may also feel apprehensive that if they try out new behaviours and fail, they would attract criticism. Faced with a fear of failure and believing that change would make little difference, they may refuse to invest in learning new methods and approaches.

People feeling that change threatens their identity: When faced with crises or threats, people tend to uphold their pride rather than trying to appreciate the learning challenge that it offers. There is great comfort in existing belief structures, as these constitute one's personal identity. Any attempt to change behaviour may be seen as a challenge to that identity. As a result, it generates resistance to change.

ACTIONS REQUIRED FOR GETTING THE BUY-IN

Getting the buy-in for change requires a unique blend of logic, emotions, and values. The change agent should keep the following points in mind:

Developing clarity about the target audience: In any effort to achieve acceptance of any change idea, it is very important to clearly understand who the relevant stakeholders are, what are their identities, their aspirations, their values, and their influence in the organisation. The target audience is never a homogeneous group. There would be people who may be ready to support the change ideas quickly, people who oppose change no matter how sensible the ideas are, and people who are willing to listen but should not be taken for granted. A change agent should identify the real interests of these sub-groups and should tailor the communication and persuasion effort accordingly. In other words, the change agent should be sensitive to the fact that there would be multiple views and perceptions in an organisation and it is important for him to be clear as to what these are.

Getting people involved: When a change agent begins the change campaign by making a strong presentation and supporting it with huge data, there is a big danger that employees at the receiving end may become mere spectators and skeptics. At the same time, it is not realistic to expect that people would volunteer themselves to engage in defining a change initiative. What is most useful in such a situation is a 'foot in the door' approach. This involves asking people to make a small initial commitment, which may be in the nature of asking their views on the present situation and discussing possible courses of action. Over a period of time, these small commitments could be extended to sustain larger change objectives. This approach is particularly useful to attract skeptics to the change programme.

Crafting the message: A primary process in the influence effort is not change in attitude towards an object, but change in definition and meaning of the object. Once

meaning changes, attitudes change accordingly. A change agent should present the idea in such a manner that it evokes sufficient curiosity among members to explore it further. The message should be simple, but clear enough in its scope. Rather than a conclusive statement, it should invite people for a dialogue. People tend to be more attracted towards stories and symbols than hard numerical data. A change agent should be able to make use of these soft dimensions of relationships to gain attention to the change idea.

Timing the campaign: Many ideas are rejected because they are presented at a wrong time. A change agent should first use informal meetings to generate the need for improving present levels of performance and make people receptive to new suggestions. Change ideas should be presented only when people are willing to engage in a dialogue process. This is very similar to a gardener first preparing the soil before sowing the seeds.

Sustaining the momentum: Getting the buy-in for change is never a one-time activity. It takes considerable amount of time to get people involved and committed to the change idea. It would be best for people with high expertise and credibility to lead the change. People listen to those who have expertise while framing their position. Then those people should be identified who favour the change idea and they should be helped to articulate their views in public. People tend to stick to their positions that are made in public.

It is equally important to create situations where people, who believe in potential benefits of the idea, interact with others at the same level. When people from the same level praise an idea, it has greater persuasive power than seniors pushing it from the top. In the whole process of change implementation, it is important to make people feel significant and enhance their sense of control over the situation.

To conclude, people do accept new ideas and commit themselves to change when they genuinely believe in it. Hence, it is important to relate the idea to realities of the employees with as much clarity as possible. To be effective as a change agent, you have to have firm faith in the idea. The idea has to be pursued continually and consistently with a sense of optimism to gain the acceptance for new ideas in the organisation.

REDUCING RESISTANCE TO CHANGE

As a core group member and as someone planning the change, you may be well ahead of others in your understanding and commitment. So the need for change and the need for quick actions may be obvious to you. But it may not necessarily be obvious to others. People accept change at different speeds. You have to be aware of the likely resistance and ways to deal with it. The following guidelines are useful in dealing with resistance effectively:

1. Information and communication are the keys to effective management of the change initiative. A change agent must constantly keep informing people about every aspect of the change process.
2. To gain people's confidence, they should be informed about change before the beginning of the change process.
3. Efforts should be made to involve people in the planning of the change initiative in the preliminary stages itself.
4. Encourage those people who have adapted to change in the early stages as they can engage with others to spread positive awareness about change. Pay attention to their views and ideas.
5. People affected by change should be involved in finding ways and means to minimise the disruptions in their lives caused by change.
6. A change agent should find out what kind of information and support people affected by change may need. He should provide that information and support to help them manage the disruption in their lives.
7. A change agent should be aware of attitude, behaviour, and skills supportive of change. People affected by change should be encouraged to learn these skills to deal with change.
8. Change activities should be kept limited to that extent where people can handle its consequences.

4.3 TIME MANAGEMENT

For everyone a day has 24 hours - no more and no less. If you control your time, you control your life. Our situation and needs influence our time orientation, but our time orientation and needs can be changed, leading to greater success in life. At some point or the other, all of us have thought about how things could have been better if only we had used our time more effectively. This note outlines some approaches and techniques to use our time more productively.

WHAT IS TIME MANAGEMENT AND WHY DO WE NEED IT?

Time management can be defined as the process of taking control of your life through effective use of your time. It can also be referred to as priorities management. The simple idea behind time management is to decide 'what is the best use of my time?'

Time management is a skill that is becoming increasingly important in our information age because when you master time management, you learn to balance the many pressures on your time and still achieve your goals. This helps you avoid burnout and stress, and allows you to be more effective.

Management of your time is simply a matter of preparing your schedule of work in advance and following it with discipline. This will require an understanding of how you utilise your time during the day and more importantly how your time is wasted during the day. Your aim here is to identify and control **Time Wasters**.

WHAT IS A TIME WASTER?

A time waster is anything that keeps you from doing things that have more value and importance to you. Identify your time wasters, and then develop strategies matching your personal style, for dealing with them. Experiment with different strategies and keep the ones that are effective.

The following are some common time wasters:

- Interruptions
- Paper Work
- Unexpected Visitors
- Telephone Calls
- Procrastination
- Meetings

How to handle Interruptions?

1. When scheduling meetings in your office, schedule them in blocks. Don't have one here and one there, but consolidate them, one after the other if possible.
2. If you are constantly disturbed by random phone calls and visits, set aside a time each day to work on specific projects. Make sure that your staff is aware that you should not be disturbed unless there is an emergency.
3. You don't NEED to see or talk to people every time THEY want you to. You can exert some control over the process.
4. Return calls when it is unlikely that the other party will want an extended conversation. Before lunch and towards the end of the workday may be good times.
5. Schedule meetings with a distinct termination time and follow it.

How to deal with Paper Work?

Try to handle paper only once. Respond to it, file it, or pass it along. For quick responses, communicate in person, by e-mail, or on the telephone.

How to handle Unexpected Visitors?

1. You do not always need to meet every visitor. In some cases, you may find it appropriate to refuse to see a visitor without an appointment.
2. Determine whether your unexpected visitor has an immediate crisis or an issue that has to be dealt with quickly. Schedule another time to meet with the visitor, if possible. Refer the unexpected visitor to another appropriate person, if possible.
3. If you must meet someone, make a note of where you are before you break away from your work. Quickly return to that task after the interruption.

How to handle Phone Calls?

1. Screening telephone calls, using either an assistant or voice mail.
2. Referring the caller to someone else, where possible.
3. Keeping the call brief and focused if you must take it.
4. Improving your phone skills to reduce the length of time you need to spend on the phone.
5. Carving out a block of time in the day when you take phone calls and letting everyone know the schedule.
6. Working in a room without a phone.
7. Using e-mail instead of phone calls as much as possible.

How to fight Procrastination?

Procrastination is simply the tendency to keep delaying something that must be done, often because it is unpleasant or boring. You must fight the tendency to procrastinate. When given a long-term assignment, study it immediately. Take into account your other priorities, the resources available to you, the problems you are likely to face, based on previous experience with this type of assignment - then set a starting date. Then you can forget about it until that starting date.

How to handle Meetings?

A few simple strategies can help you maximise the time you spend in meetings. Before you attend any meeting, decide whether you are the best representative. If you do decide to attend, make sure that the meeting has clear objectives and proposed outcomes. If you have not received an agenda for the meeting, request to see it in advance. Arrange to attend only that part of the meeting that is relevant to you. If you are calling a meeting, send out the agenda and points to consider before the meeting. This ensures that you maximise all the participants' time and keep the meeting on track.

Conclusion

Effective time management is not a preoccupation with time urgency or with efficiently maintaining an appointment book. It is applying one's time intelligently in accomplishing your department's goals. The challenge is to do more of the important things that yield long-term meaningful results as opposed to just doing things that need to be done. It also indicates the extent to which one is self-disciplined.

Checklist

Tips for scheduling time

- Take both long-term and short-term perspectives: schedule tasks for each day, and schedule several weeks or even months at a time.
- When your schedule changes, mark what really occurred in your day for future reference. Learn when you are full of energy and when you feel tired and schedule your day accordingly.
- Balance your activities: schedule time to allow yourself to relax. Include time for physical exercise, recreation, and social activities.
- Remember Parkinson's Law: Work tends to expand to fill the time allotted.

Tips for following your schedule

- Post your goals where you can always see them.
- Take some time today to prepare for tomorrow's top priority tasks.
- Plan rewards for using work time effectively.
- Do not be a perfectionist. If you achieve 90% of your target for the day, you have been successful.
- Schedule an hour of quiet time when you can't be interrupted.
- Let your colleagues and staff members know that you are working on managing time wasters. Ask for their support.
- Allow at least an hour a day of unscheduled time, so you are prepared for time wasters.
- Set end times for appointments to keep you focused.
- Note how much time a time waster cost you, so you have more of an incentive to avoid it in the future.

STEP 5

MONITOR NEW PROCEDURES

We may have prepared a sound action plan, and also may have gone about implementing it with care. But change involves a journey through uncertainty. Things may not go exactly as planned. It is therefore important to pick up early signals quickly so that appropriate corrective actions can be initiated to put the implementation back on track. This requires effective monitoring of key aspects such as costs, quality, timelines, achievements of planned outputs and outcomes, and so on.

Feedback is crucial for learning. And learning is crucial for excellence in execution. Effective monitoring is a way of ensuring that these critical processes of feedback and learning are not left to chance.

5.1 MONITORING AND EVALUATION OF THE CHANGE PROCESS

In a world characterised by uncertainty, things never go exactly as per plans. Even after planning a change initiative in great detail and implementing it with utmost caution, a change agent can never be 100% sure of getting planned outcomes. Therefore, a change agent is required to set up an effective system of monitoring and evaluation of the change process.

WHY DO WE NEED MONITORING AND EVALUATION?

Monitoring and evaluation helps to improve performance and achieve desired results. It is a continuous process through which a change agent is enabled to compare performance against plans, pick up signals of problems, and make necessary mid-course corrections. Thus, the overall purpose of monitoring and evaluation is measurement and assessment of performance in order to effectively manage the outputs and outcomes. Sometimes monitoring and evaluation focus only on assessing inputs and implementation processes. However, a change agent would be more concerned about assessing the contributions of the change process. Change agents must actively apply the information gained through monitoring and evaluation to improve strategies for managing the change process.

DIFFERENT LEVELS OF MONITORING AND EVALUATION

Monitoring aims to identify progress towards results. Using the information gained through monitoring, the change agent must analyse and take action on the project activities that are contributing to the intended results.

Monitoring and evaluation can be analysed on the basis of the following model:

INPUTS	OUTPUTS	OUTCOMES	IMPACT
---------------	----------------	-----------------	---------------

Type of result	What is measured
INPUT	Effort, time, resources (including human), energy, money.
OUTPUT	Services generated by change projects.
OUTCOME	Effectiveness or results in terms of access, usage, and stakeholder satisfaction from services generated by the change project.
IMPACT	Effectiveness or results in terms of the combined effect of a combination of outcome activities that improve citizen satisfaction.

All monitoring and evaluation efforts should address:

- Progress towards outcomes: This entails periodically analysing the extent to which intended outcomes have actually been achieved or are being achieved.
- Factors contributing to or impeding achievement of the outcome.

Monitoring and evaluation take place at two distinct but closely connected levels. One level focuses on the outputs, which are the specific products and services that the change process produces. The other level focuses on the outcomes of change efforts, which are the changes in departmental capacity development conditions that the department aims to achieve through its projects and programmes. Outcomes incorporate the production of outputs and the contributions of partners.

Conventionally, we are more familiar with the first-level monitoring and evaluation that views performance in terms of outputs. Now the challenge is to go beyond this level and to link performance with outcomes, with rigorous and credible assessments of progress towards achievement of outcomes.

Example: Application of the above ideas in 'monitoring of a training programme'. Let us apply the ideas to a concrete situation to gain a clear understanding of the four levels. We will examine employees at the four different levels of input, output, outcome, and impact.

INPUTS	OUTPUTS	OUTCOMES	IMPACT
<ul style="list-style-type: none"> • Faculty • Content • Workshops 	<ul style="list-style-type: none"> • People trained • Workshops organised 	<ul style="list-style-type: none"> • Knowledge improved • Skills gained 	<ul style="list-style-type: none"> • Citizen satisfaction enhanced • Department's performance improved

Level 1 - Input

In the first level, we will measure the learners' satisfaction with the training programme. Did the participants like the programme?

Some of the illustrative questions would be :

- How well they liked the instructor's presentation techniques;
- How adequately the topics were covered; and
- How valuable they perceived each module of the programme or the relevance of the programme content to their specific job.

This level of monitoring would help us in identifying areas within the training programme or a workshop that need to be enhanced or changed.

This level of monitoring does not tell us much about the overall effectiveness of the programme. Someone who reacts favourably may not have acquired the knowledge or skills that were part of the programme's overall objectives. More information is required to demonstrate results and validate the effectiveness of the training programme. That is why it is necessary to conduct the other level of monitoring to determine the quality of the training programme. This level of monitoring is relatively easy to conduct and at the same time feedback and information from this level of monitoring can be valuable in improving future training programmes.

Level 2 - Output

In this level, we will measure the learning of the participants. This would include issues such as, whether the training programme has changed the attitudes, increased the knowledge, or improved the skills of employees. It addresses the question: Did the participants learn anything in this programme? Measuring the

learning that takes place in a training programme is important because no change in behavior can be expected unless the learning objectives of the programme are accomplished. Monitoring the learning that has taken place is typically focused on determining the following:

- What knowledge was acquired?
- What skills were developed or enhanced?
- What attitudes were changed?

This level of monitoring would enable us to determine whether the employees have learnt new skills, gained new insights, and acquired positive attitudes which are critical for taking the department forward.

Level 3 - Outcome

At this level, we will measure the participants' application of the learning on the job or what happens when the participants leave the classroom and return to their work environment. It addresses the question: Are the participants using the learning?

It is important to measure behaviour because the primary purpose of training is to improve departmental performance by changing behaviour. New learning is meaningless unless the participants actually use these new skills, attitudes, or knowledge in their daily work activities.

Even though it is a little difficult to undertake, it is necessary to carry out this level of monitoring to understand the impact of the training programme on the participants' job performance.

Level 4 - Impact

This is the last level of monitoring. It measures the impact the training programme has on the department. It addresses the key question: Is the training working and yielding value for the department?

These results can include increased citizen satisfaction, better delivery with lower costs of services, and higher efficiency. Here we expand our thinking beyond the impact on the people who participated in the training programme and ask what is happening to the department because of these training efforts.

KEY PRINCIPLES FOR GOOD MONITORING

The credibility of findings and assessments depends to a large extent on the manner in which monitoring and evaluation is conducted. Good principles or minimum standards for monitoring are as follows:

- **Results and Follow-ups:** Good monitoring focuses on results and follow-up. It looks for 'what is going well' and 'what is not progressing' in terms of progress towards intended results. It then records this in reports, makes recommendations and follows up with decisions and action.
- **Project Design:** Good monitoring depends to a large measure on good design. If a project is poorly designed or based on faulty assumptions, even the best monitoring is unlikely to ensure its success. Particularly important is the design of a realistic results chain of outcome, outputs and activities. Change agents should avoid using monitoring for correcting recurring problems that need permanent solutions.
- **Verify Progress:** Good monitoring requires regular visits by change leaders who focus on results and follow-up to verify and validate progress.
- **Analysis:** Regular analysis of reports such as the project report is another minimum standard for good monitoring.
- **Participatory Mechanisms:** Monitoring also benefits from the use of participatory monitoring mechanisms to ensure commitment, ownership, follow-up, and feedback on performance. This is indispensable for monitoring where progress cannot be assessed without some knowledge of what stakeholders are doing. Participatory mechanisms include outcome groups, stakeholder meetings, steering committees, and focus group interviews.
- **Assessment of Progress:** Good monitoring finds ways to objectively assess progress and performance based on clear criteria and indicators. To better assess progress towards outcomes, change agents must make an effort to improve their performance measurement system by developing their own indicators and baselines.

MONITORING THE PROGRESS OF A CHANGE EFFORT

How and when to monitor the progress of change process needs to be decided early on and should continue at regular intervals. The following factors are taken into account when we are planning for monitoring:

1. Assess needs: This is done by assessing the nature of the outcome and/or the activities that are expected to contribute to outcome.

- What information is needed to assess that outcome?
- What elements are the most important to keep track of?
- What would indicate progress or success?

2. Assess current monitoring: To assess current monitoring (or proposed monitoring for new projects), look at the monitoring tools used in all of the projects and programmes intended to contribute to a given outcome.

- Are these tools providing the necessary information?
- Do they involve the key partners?
- Is monitoring focusing on key issues for efficiency?
- Are there possibilities for greater efficiency and coordination?

This will help to identify gaps in the analysis as compared with the needs for this information.

3. Review monitoring scope or tools: Is there a need for additional or specific monitoring scope or tools to suit the programme or project? For example, large or complex programmes may require more details about implementation, downstream projects may require additional participation by stakeholders, and innovative pilot projects may generate specific lessons learned that should be captured through monitoring.

4. Adapt and/or design monitoring mechanisms: The mechanisms used should provide sufficient analysis on outcomes and close the gap, if any, between the available and the required information. For example, if an outcome involves a large number of partners, add tools such as stakeholder meetings.

PLANNING FOR EVALUATION

When preparing for an evaluation, it can be helpful to think in terms of 'backwards planning.' This means looking at the scheduled dates for an evaluation, estimating the time needed to prepare and conduct the evaluation, and then working backwards to anticipate by when the preparation process needs to begin.

Criteria for outcome evaluation

1. *Purpose of the outcome evaluation:* Outcome evaluations may fill a number of different needs, such as providing early information about the appropriateness of change strategy, identifying impediments to the outcome, suggesting mid-course adjustments, and gathering lessons learned for the next improvement project.
2. *The likelihood of future interventions in the same thematic area:* An outcome evaluation is an important means of generating recommendations to guide future work. It enables the leadership to take stock of whether the outputs have contributed to the outcome or not.
3. *Anticipated problems:* Evaluations can help prevent problems and provide an independent perspective on problems. When selecting an outcome for evaluation, look for those with problems or where complications are likely to arise because the outcome is within a sensitive area with a number of stakeholders.
4. *Need for lessons learned:* What kinds of lessons are needed to help guide activities in the department? An outcome evaluation in one thematic area is not only relevant to that area but also may reveal generic lessons for other thematic areas. Managers should select outcomes for evaluation that yield lessons for use across the organisation.
5. *Timing:* Leadership should determine the timing of evaluations based on its expected workload.

STEP 6

COMMUNICATE AND SPREAD THE CHANGE TO OTHER AREAS

Once you have successfully executed the change project in your zone of influence, you would want to communicate the message and look at ways to spread the improvements to other areas of your section and department. This will not be possible until you have built effective partnerships within and across your departmental boundaries. And building up capacity is one of the major concerns of all change initiatives. Communication plays a very important role in the entire programme and it has to be managed in a deliberate manner.

1. **Effective Partnerships for Spreading Change** will help you spread the change initiative into new areas.
2. **Capacity Building** refers to the support and institutionalisation of a system of undertaking the change initiative.
3. **Communications Management** is a systematic method of ensuring proper communication about the change projects among various stakeholders.

6.1 EFFECTIVE PARTNERSHIPS FOR SPREADING CHANGE

A change agent needs to take the lead in working with the stakeholders for the purpose of forging partnerships for spreading change. This cannot be done without creating an environment of mutual trust and understanding. This is done by working together on solving common problems like policy, procedures, communications, and similar others associated with such an initiative.

In the initial stages, the change agent needs to locate those individuals/sections/departments which have sufficient interest and resources to take up change projects. It is the change agent who will identify the scope for mutually beneficial cooperation between prospective partners and invite them to a partnering process.

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

- Collecting information by active listening and asking open-ended questions;
- Building trust and a learning environment;
- Involving different opinions in guiding your initiative;
- Arranging to manage differences in power and resources; and
- Identifying issues of common concern and working towards creation of a common perspective.

These skills are combined under the general category of facilitation skills. A change agent is expected to practise these skills and to train his partners in developing these skills.

STAGES IN DEVELOPING A PARTNERSHIP

Developing effective partnerships involves an understanding of issues which appear at different stages of development. The change agent's response to these issues provides him with a framework for planning specific interventions in different activities of the change initiative.

Stage I: Preconditions for cooperation

The most important condition for a successful cooperation effort is to have real problems and needs which are common to all prospective partners. A change agent needs to understand the problems and be informed about the inherent interests of his partners and the resources which these partners are willing to commit towards dealing with the problem.

At this stage, the change agent needs to find out -

- Who are the important stakeholders?
- How are they affected by this problem?
- What resources are required from these stakeholders?
- Do the stakeholders have the departmental/organisational capacity to enter into a partnership of this nature?
- What is the nature of the problem and how is it going to be solved by the partnership?

Stage II: Convening partners and discovering their unique aspects

In order to strategically bring all the partners together, the change agent must have a thorough understanding of the problem and the stakeholder's interests. The most important concern at this stage is to build mutual trust, understanding, commitment towards common goals, and appreciation of each other's resources.

Issues of interest at this stage would be:

- a. When, where, and how to get all the partners to the meeting table?
- b. What are the individual traits of each partner organisation?
- c. What can be the ideal issues for discussion and what are the results we are seeking?

Another important point to keep in mind is that the prime objective of the initial few meetings is to let all the partners get to know about each other's competencies and develop mutual understanding. Later, in the next round of meetings, all the partners can sit together to deal with problems and issues.

Stage III: Creating shared directions

Once the partnership is forged, the partners need to share information, develop a common understanding of the problems and above all, they need to share the common vision of what they intend to achieve through their partnership. This entire exercise is intended to help them build a common strategy and work out realistic joint action plans.

Questions which need to be addressed at this stage are:

- What are our common values?
- What are our goals for the future?
- How to make our partnership more effective?
- How can we better our common strategy and action plans?

Stage IV: Implementing action plans

Once the implementation of the change programme starts, there will be problems associated with the evolving nature of the partnership and differences among the partners. The change agent must ensure that all partners keep working together, accepting their differences, and managing conflict in the best possible manner. New actors can be brought in to facilitate working and all the partners need to remain focussed on achievement of common goals.

Issues of importance at this stage are:

- How to implement the action plans while safeguarding the partner's individual interests and differences?
- How to manage the decision making arrangement?
- How much participation is required from the lower level functionaries in decision making?
- How to manage stress and conflicts?
- What kind of capacity needs to be built by the partners to play their roles effectively?

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

STRATEGIES FOR BUILDING EFFECTIVE PARTNERSHIPS

Strategies	Components/Considerations
Agree on common goals	<ul style="list-style-type: none"> ▪ Ensure goals are compatible with those of team members and their organisations ▪ Set and maintain project timelines ▪ Define indicators of progress towards goals ▪ Establish measures for indicators and goals
Clarify roles and responsibilities	<ul style="list-style-type: none"> ▪ Discuss roles and responsibilities for yourself, your department, and other partners ▪ Decide what you can realistically accomplish with available resources (time, money, energy, expertise)
Develop norms/protocols	<ul style="list-style-type: none"> ▪ Build on individual strengths ▪ Share and balance power, practicing flexibility to create trust ▪ Develop a protocol for managing disagreements ▪ Form consensus on new partners
Commit the necessary resources	<ul style="list-style-type: none"> ▪ Utilise existing resources optimally ▪ Deliver what you have promised ▪ Make use of intellectual, social, and financial capital
Create a flexible, trusting climate	<ul style="list-style-type: none"> ▪ Be trustworthy – Keep your commitments ▪ Commit to the common good ▪ Create a common language ▪ Share credit ▪ Seek out “trusted” sources for new situations/collaborators

6.2 CAPACITY BUILDING FOR SPREADING CHANGE

In today's world, no department can afford delays, inefficiency, and general neglect in the process of delivering service to the citizens. They have to keep on trying to do better and better. They have to promote optimum utilisation of available resources - manpower, material, finance, knowledge - towards maximum benefit to the end user, i.e., the citizen. All this requires capacity - capacity to grow, capacity to adapt, and the capacity to foster engines of growth within its fold. Capacity building deals with these activities of growth and change.

BUILDING CAPACITY FOR CHANGE

If you look at the numbers of core group members in your departments, you will realise that these numbers are not enough to transform the functioning of the department. A handful of change agents will not be able to bring about significant performance improvements in the departmental functioning. To dispel the darkness of ignorance and sloth, we need to light more fires to create an impact within the department. This means we need to raise the number of change agents in departments. Otherwise, this small group of core group members may lose its identity and relevance after a period of time.

So, here, by capacity building we mean multiplying the numbers of change agents for bringing about significant performance improvements in the departmental functioning. We need to make an inventory of skills available within the department for effective change implementation and initiate efforts for greater capacity building.

Capacity building for change is about creating an environment that encourages and supports continuous learning and improvement in individuals, organisations, networks, and eventually, the communities and societies they seek to change. It is about consciously creating conditions so that each success sparks many others. It is about starting chain reactions for change. Effective capacity building is also about teaching and learning; insights, behaviours, and skills; and more. It is about empowering passionate people to learn what they need and share what they know.

But the real question is how do we multiply the number of change agents? How do we select them? What is the basis for selection? How do we involve them?

These are some of the questions that come to our mind when we think about multiplying the number of change agents. The following are some guidelines for capacity building in departments.

WHO CAN BECOME CHANGE AGENTS?

As a core group member, you need to consciously think of training other people as change agents. You need to identify people with high potential who can make change work in the functioning of the department. People who can become change agents need to be:

- Credible
- Highly energetic
- Enthusiastic about change
- Go - getters
- Able to think beyond status quo
- Well-regarded for their professional knowledge
- Possessing a good track record of performance
- Skilled in working with people
- Capable of effectively catalysing the change process

WHAT ARE THE SKILLS THEY NEED TO POSSESS?

1. Problem Solving Skills

- Reviewing work processes and procedures to identify what needs to be improved.
- Break the larger goals/priorities into smaller change projects that can be tracked/monitored.
- Carrying out action plans and getting desired results.
- Help employees break the priorities down into viable action plans, clarify roles, accountabilities, problem solving, and decision making mechanisms.

- Effective follow-up on periodic basis to check progress and to resolve problems to ensure that improvement goals are achieved.
- Prepare and discuss plans to spread the change through additional capacity building.

2. *Relationship skills*

- Participatory problem solving.
- Able to communicate to cross sections of people.
- Involving people in the decision making process.
- Mobilising and channelising energies of relevant individuals and groups for analysing the existing situation and coming up with appropriate recommendations.
- Ability to involve citizens in improving services.

In some special cases, some departments may need change agents with specialised skills in certain key areas:

- Ability to strengthen processes and systems for effective functioning.
- Diagnosing departmental shortcomings in providing effective service quality to our target group or citizens and taking actions that can help make a difference.
- Information systems/information technology.
- Financial aspects- understanding costs, financial reports, etc.

We also need to ensure that these individuals receive timely developmental inputs to help them acquire skills of change agents. A special effort needs to be made to identify the important skills and competencies that these members would need. If required, these members should receive special training to hone their skills in these areas.

HOW DO WE INVOLVE THEM?

- These individuals need to be entrusted with challenging assignments to develop their skills.
- They need to be included in task forces, project teams and cross-functional teams to get maximum exposure to different functions of the department.
- They need to be provided with ongoing feedback about their performance, behaviour, and results. They need to be told specifically what they did right and what they did not.
- You will have to play the role of a coach in providing critical inputs for improving their performance.
- Identify the skills gaps and bridge these gaps by taking appropriate actions like sponsoring them for training programmes, workshops, etc.
- Provide learning and developmental opportunities to develop their change agent skills.

Research and experience have shown that a more effective way of capacity building is through the 'learning by doing' method. A change agent is also expected to determine ways of providing specialised training to bridge the gap in their skills in identified areas. Training enthusiastic colleagues to become change agents is another important duty of a core group member. For this purpose, the core group member has to look at the following questions:

- How do we give assignments to these people?
- What kind of specific skills do they need?
- Do they need any training to strengthen their skills?
- How are they going to learn?
- What kind of projects/assignments they need to be involved in?

After addressing these questions, appropriate actions should be initiated to get people on board, and to help them be effective as change agents.

Capacity Building Action Plan

Name of the individual	What are the Projects?	Who would involve him/her?	When would this occur? [Specific Time lines]	How would he/she be helped?

6.3 COMMUNICATIONS MANAGEMENT

The most common cause of change failure is lack of information or inappropriate communication of information. Communication is important to overcome the fears and concerns aroused by change. Thus, proper communication is vital to the success of any change project. There are three kinds of communication that takes place in a change project:

- **Status reporting:** Describing where the project now stands, for example, information related to schedule and implementation plan.
- **Progress reporting:** Describing what the change project team has accomplished, for example, percent complete to schedule or what is completed versus what is in process.
- **Forecasting:** Predicting future project status and progress.

While all the stakeholders need change project information, the informational needs and the methods of distribution vary widely. Identifying the informational needs of the stakeholders and determining a suitable means of meeting those needs is an important factor in the success of a change project. A change agent can determine the communication requirements of each of the stakeholder by using the following matrix.

Stakeholder	What information do they need?	How will it be given to them?	When would they need it?	Who would give it?
Leadership of the department				
Employees at operating levels				
Officials at district/mandal levels				
Officials of other department/s				
Citizen Groups				
Media				
Others (Please specify)				

TIPS FOR COMMUNICATING CHANGE

Communication is a critical factor in successfully advancing change. An effective communications strategy should encompass the following key actions:

- Convey the rationale behind the change.
- *Repeat the change message* – do not just deliver it just once.
- *Avoid confusion* – keep all messages clear and concise.
- *Use different methods to explain changes* – (meetings, e-mail, newsletters, memos, workshops, etc.) people learn in different ways.
- *Be open and honest* – encourage people to air their opinions, concerns, and fears.
- Communication is effective when it is delivered by highly credible individuals.
- When you are communicating, ensure that the communication requirements of the following groups are taken care of:
 - a. *Those who are directly affected;*
 - b. *All those involved; and*
 - c. *All those who might want or need to know.*
- *Make sure communication is two-way* – provide opportunities for people to express doubts, air differences, and ultimately reach consensus.
- *Share as much relevant information as feasible* – keep everyone updated throughout the change process, both formally and informally.

COMMUNICATION PLAN

Breaking down boundaries by sharing information openly within the organisation creates an environment of empowerment and accountability. Information seldom flows by accident, especially across departmental sections. It is communicated systematically and appropriately to the people who need it and who will use it.

Communication plan is used to communicate progress of the change projects to various stakeholders. It helps core group members to communicate the change on a periodic basis so that departmental employees are kept informed about the change taking place. This will spread change across the department and people will be motivated to make change happen.

Here are some questions that can be helpful in determining communication:

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

OUTLINE FOR A COMMUNICATION PLAN

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

TIME FRAME

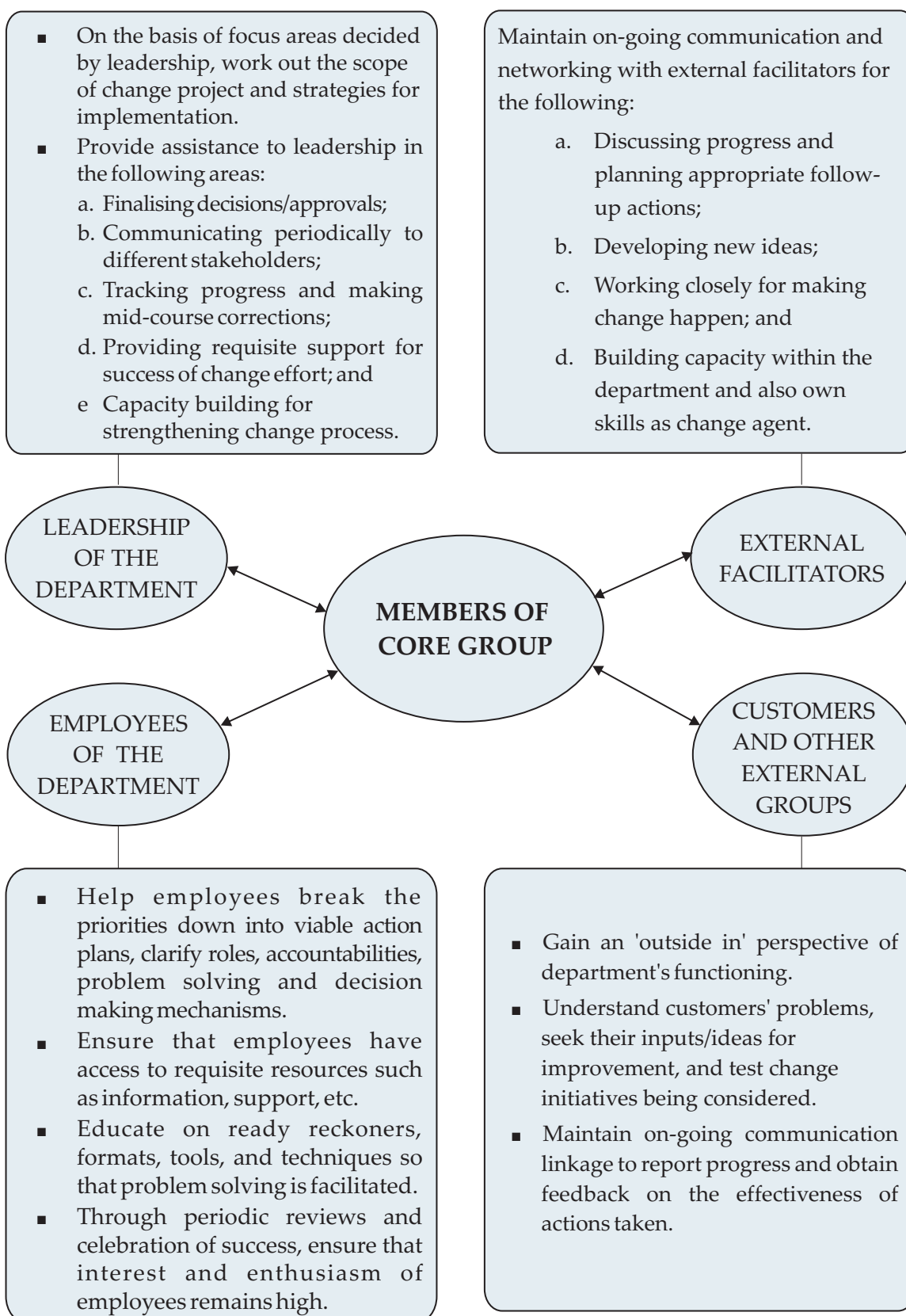
Stakeholders/ Audience	Month 1	Month 2	Month 3	Month 4
Senior Management				
Middle Management				
Line Supervisors and Employees				
Customers/ Suppliers/Other External Stakeholders				

APPENDICES

Core group members are the key players in managing the process of change and they have multiple interfaces in terms of effectively achieving their objectives. They also have multiple responsibilities towards different stakeholders of the change process.

1. In the **Key interfaces for Core Group Members**, all the relevant interfaces for the core group members have been presented in a graphic format.
2. In the **Key Responsibilities of Core Group Members**, tasks and responsibilities at those different interfaces have been detailed.

1. KEY INTERFACES FOR CORE GROUP MEMBERS



2. KEY RESPONSIBILITIES OF CORE GROUP MEMBERS

TASKS/RESPONSIBILITIES AT THE INTERFACE WITH LEADERSHIP OF THE DEPARTMENT

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

TASKS/RESPONSIBILITIES AT THE INTERFACE WITH EXTERNAL FACILITATORS

- Identify where external facilitators can help your department make faster progress on change projects, and initiate arrangements for getting them involved.
- In consultation with external facilitators, establish clear processes for periodic communication/review of progress in change project.
- Draw on resources of external facilitators as and when required.
- Remain in touch with them for new ideas. Find out how change is being implemented in other departments, and what can be learnt from others' experiences.
- When external facilitators get actively involved as consultants, work as members of internal task force and be closely associated with diagnosis, action planning, and implementation stages.
- Build strategic relationships to update oneself on the latest knowledge/developments in relevant fields.
- Make an inventory of existing skills/motivation for effective implementation of change, identify gaps, and prepare plans for bridging the gap by building requisite skills and energy.

TASKS/RESPONSIBILITIES AT THE INTERFACE WITH OTHER EMPLOYEES OF THE DEPARTMENT

- For organising the work, take priorities/focus areas and work with relevant individuals/groups, in organising these into viable steps. Ensure that the following aspects are clarified:
 - a. Roles and accountabilities for different individuals;
 - b. Mechanisms/processes for making appropriate decisions; and
 - c. When and how the different individuals/groups are involved.
- Ensure that systems/processes are in place for employees to access the requisite resources for effective change implementation. These resources would include: information on key aspects, support from influential people, understanding of why the given change project is important and urgent, support/guidance when individuals run into difficulties, exposure to new knowledge/skills, etc.
- Educate employee groups on the use of ready reckoners, formats, tools, and techniques for effective problem solving, so that there are clear guidelines in terms of who, what, when and how, at different stages of the change project. These tools will help align everyone's thinking and action. Ready reckoners also help employees to anticipate possible fail points and help them be prepared to avoid those traps.
- Find out ways to create interest and enthusiasm among people through periodic communication on progress, and celebration of achievement of important milestones or special individual/group accomplishments.
- Review/monitor progress with employees to sustain interest and keep the spotlight on the change programme.

TASKS/RESPONSIBILITIES AT THE INTERFACE WITH CUSTOMERS AND OTHER EXTERNAL GROUPS

- Constantly seek feedback from customers and other relevant external groups to gain an 'outside in' perspective on the department's functioning.
- Maintain on-going communication with the customers to ensure the following:
 - a. Understand the problems faced by customers;
 - b. Seek customers' inputs, and pick up new ideas from them for improvement; and
 - c. Test the change ideas being considered by the department.
- Verify if the scope of the change project is in line with the customers' requirements/needs.
- Prepare a communication plan to inform all the customers about the progress of the change initiative at regular intervals, and gain their feedback on its effectiveness.