HANDBOOK FOR LEADERS IN GOVERNMENT

Energizing Performance and Learning for Creating the Right Impact

CENTRE FOR GOOD GOVERNANCE

Knowledge • Technology • People

A BRIEF NOTE ON THE HANDBOOK

TABLE OF CONTENTS

In today's world, leadership is getting increasing importance. A sense of urgency is being experienced to improve the performance of our public organizations to meet the interests and expectations of the nation and the citizens. And there is realization that it is effective leadership that can help our organizations make the critical transition from intention to implementation, potential to performance, and policy to practice.

This small handbook has been designed to help you play your role effectively as a leader in the change process. It includes tools, techniques, best practices, and "how to" guidelines that can help you hone the quality of your leadership.

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

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

We wish you a lot of excitement of leading your unit to greater heights in performance, responsiveness and learning!

SECTION 1
LEADERSHIP IN GOVERNMENT: FREQUENTLY ASKED QUESTIONS

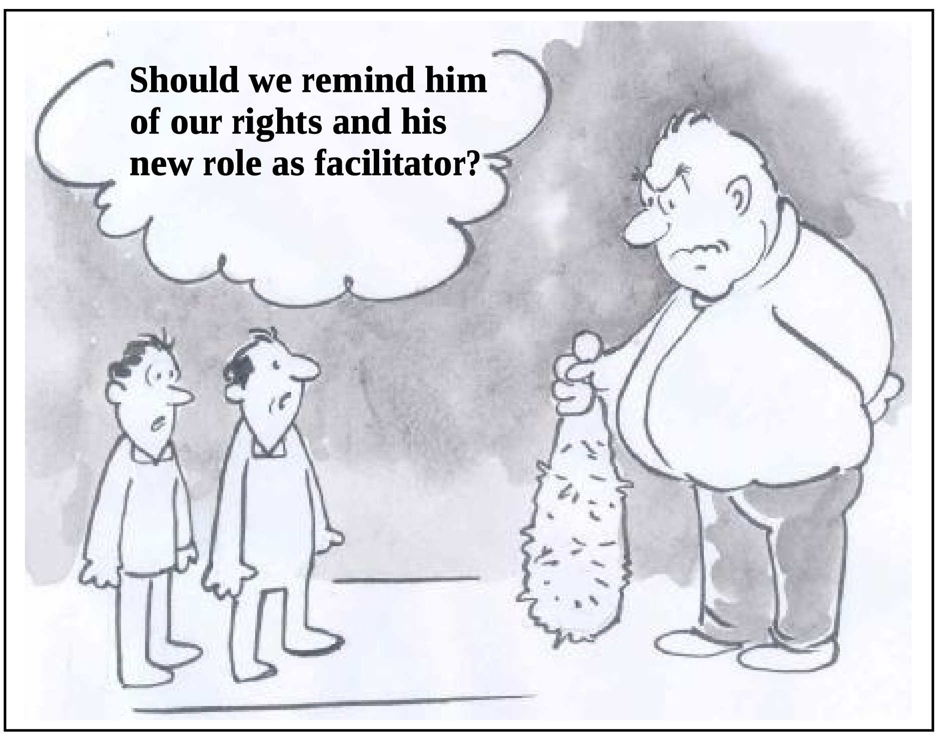
There is extensive literature on leadership. The term means different things to different people. People wonder if leadership and management mean the same thing. There is interest in finding out how emotional intelligence is linked to leadership, or why leadership is considered an important for good governance. Leadership theorists state that our organizations may be adequately managed, but they are under-led. To bridge the leadership gap, a number of progressive organizations have initiated formal initiatives to develop leaders. There are questions on whether leadership can actually be learnt, and if so what approaches have been found to be useful. We briefly explore such concerns in this section.

1.1. WHY IS LEADERSHIP CONSIDERED AS CRITICAL COMPONENT OF GOOD GOVERNANCE?

Gaps between performance and expectations

Leadership is getting increasing importance because of the yawning gap between how our public organizations are, and how the interests of the nation and the citizens need them to be. In our country, we usually have thoughtful well-intentioned plan documents guided by the right kind of thinking and expertise. But our ability to implement these plans and make things happen at the ground level remains abysmally poor. Plans need to be translated into effective practice, and in turn into positive results and outcomes. For this to happen, we need effective government organizations that can ensure good governance.

Culture and mindset problems



To enhance the effectiveness of our government, the country has undertaken structural and management reforms to better align public services with the needs of contemporary society. But we find that attempts to actually implement these reforms and improve things after such reforms run into predictable hurdles of 'mindset' and 'culture' problems. A common complaint is lack of dedication and lack of commitment to the underlying values of public service and the interests of the citizens served. To align the mindset and culture to the demands of organizational challenges, leadership is often suggested as a solution.

The flesh and bones of governance

In a highly informative OECD publication on "***Public Sector Leadership for 21st Century***", governance is described as the way in which the underlying values of a nation (usually articulated in some way in its constitution) are institutionalized. This may include formal aspects such as separate powers, checks and balances, transparency, accountability and responsiveness. However, for these values to be realized in actual practice, they must guide the actions of public officials throughout the system. They must become a part of the culture. That is why the OECD publication considers leadership as the flesh on the bones of the Constitution. It is at the heart of good governance. Without this important and crucial variable, we cannot achieve enhanced management capacity as well as organizational performance.

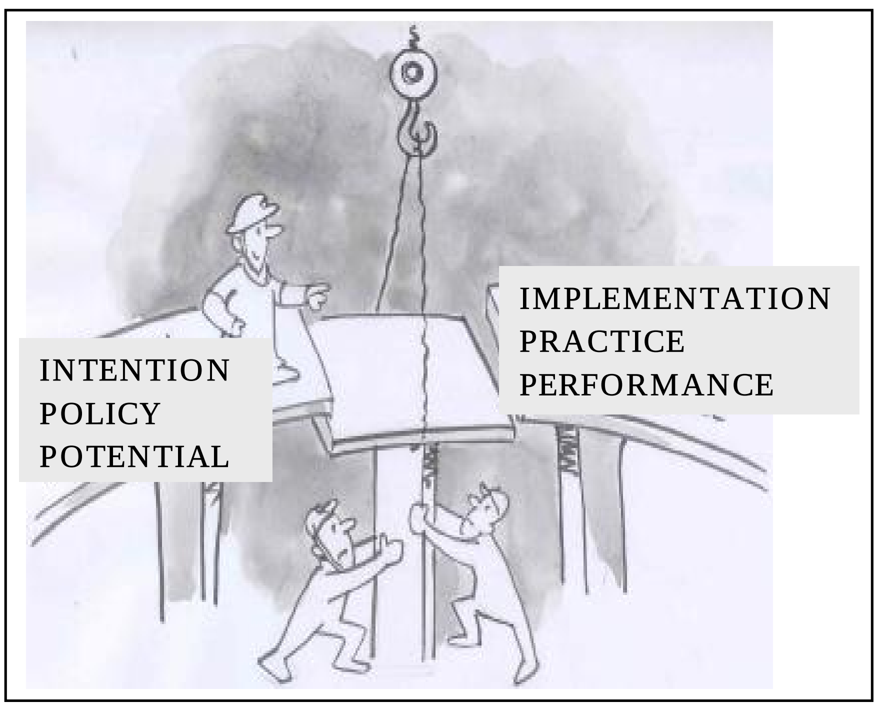
> Leadership is the flesh on the bones of the Constitution.
>
> -- OECD

Leadership and governance

Leadership means a variety of things. Some times it refers to the possession of personal qualities such as courage, stamina or charisma. At other times, it means a position of power, authority and responsibility. The concept of leadership is certainly not new to the government organizations. It is one of the earliest ideas to be discussed in the literature on public administration. But with renewed efforts to drive reform, there is increasing interest in the subject of leadership. People realize that it is the quality of leadership, more than any other single factor that determines the success or failure of an organization. It is required at different levels of our public organizations.

Leadership role

Leadership helps make changes happen by opening channels of communication with the public and other stakeholders. It achieves integration across different departments and different levels of the government. It utilizes technological advances effectively to improve performance, and modifies organizational processes to promote newer ways of delivering service. It develops individual, team and organizational capacity for taking on challenges. And it brings together public and private actors to achieve developmental goals and strategies in a sustainable manner. To sum up, leadership is a critical component of good public governance. It is effective



leadership that helps government organizations make the critical transition from intentions to implementation, potential to performance and policy to practice.

1.2. WHAT KIND OF LEADERSHIP IS REQUIRED IN THE PRESENT CONTEXT? AND IS THERE A DIFFERENCE BETWEEN MANAGEMENT AND LEADERSHIP?

The new age

We function in a new age. The OECD publication on public sector leadership for the 21st century discusses why government organizations in different countries have to be sensitive to the major shifts in the environment, as briefly discussed below:

- ***Globalization:*** There is a need to review the implications of increasing globalization of economic and social policies. This creates a need for new capacities to exploit new opportunities and to deal effectively with new threats.

- ***Decentralization:*** With greater decentralization of national policies, there is increasing fragmentation of policy responsibilities. This poses major challenges of policy coordination, accountability and coherence.

- ***Rapid changes in technology:*** With development of information and communication technologies, it is possible for governments to cope with new problems in a swift, transparent and flexible manner.

Leadership for the new age

To address a set of dynamic demands such as, aggressive competition from other countries / states, increasing public expectations, IT advances and global economic swifts, government organizations require new approaches to leadership. The new leadership is required not just amongst senior levels, but amongst all public officials. The new age leaders should redesign, renovate and reinvent existing organizations, and at the same time secure coherence, accountability and coordination among policies and various interests.

Leadership and management

While these two notions are often used interchangeably, they actually describe two different concepts. Over a period of time, tools and techniques of ***management*** have evolved in large measures to ensure organizational stability, operational efficiency and predictable performance.

Exercise Authority, Give Orders, Provide Solutions, Expect Compliance

Formal planning systems, centralized decision making processes, hierarchical organizational structures, procedures and rules help maintain stability in the levels of performance in organization.

Exercise Influence, Discuss Challenges, Expect Commitment

But these traditional tools cannot meet the challenge of change that confronts our public organizations today. The traditional tools provide little or no guidance on how to meet the challenges of increasing demands for responsiveness to external environment, continuous adaptation and giving people in the organization a sense of direction and confidence in the face of all the turbulence. It is ***leadership*** that addresses these challenges.

Thus, leadership prepares organizations for change and helps facilitate the process of transition to achieve intended goals. Leadership attends to the following aspects:

- focusing on delivery of results
- challenging assumptions
- learning from outside

- understanding the environment and its impact
- thinking and acting strategically
- building new patterns and ways of work
- developing and communicating a vision of change

Leadership at all levels

In traditional hierarchy, leaders are considered to be those very few people in higher positions. But increasingly, leadership theorists state that there are three different types of leadership in the hierarchy as outlined below:

1) ***Strategic Leadership:*** This is required at the higher levels. This involves strategic thinking, political savvy, vision, external awareness, influencing or negotiating, and cultural awareness.

2) ***Team Leadership:*** This is required at the middle level more than others. At this level, team building and interpersonal skills are crucial.

3) ***Technical / Functional Leadership:*** This is required at lower levels. This emphasizes professional and technical skills.

1.3. WHAT SHOULD LEADERS DO AND NOT DO TO IMPLEMENT REFORMS IN THEIR SPECIFIC ENVIRONMENTS?

Dysfunctional tendencies in the face of change

There has been a fascinating study on certain dysfunctional tendencies that are observed when nations, governments and public agencies are required to adapt to changing circumstances. Such adaptation may require changes that are beyond the scope of existing ways of doing things. Such changes create stress for people and organizations.

Let us examine certain common stress avoidance approaches that are dysfunctional.

- One dysfunctional tendency to look for some person or organization to blame for this stress. In other words, there is a search for a "scapegoat". By finding a scapegoat and transferring the blame, the problem is simplified and an outlet is provided for the stress. For example, an earlier government / administration or an international agency may be blamed as being really responsible for the problems.

- Yet another dysfunctional tendency is to look for some individual as the saviour. By placing undue faith in the capacity of a single individual to "lead" the system out of its difficulties and solve all the problems, we avoid confronting the real issues and challenges.

Two aspects of reforms – change and people

The new leadership has to be careful in avoiding these two traps. New leaders have to promote institutional adaptation in the public interest. To implement reform process, they have to concentrate on two important aspects of reform: Change and People. Leaders have to change the quality of relations between people. Good leaders inspire people. By spreading leadership throughout an organization, new values have to be diffused and maintained for successful governmental reform. By carefully avoiding the trap of becoming all powerful authority figures, leaders need to be able to persuade people and to focus their efforts on a common cause.

1.4. REFORMS REQUIRE LEARNING. AND LEARNING INVOLVES PEOPLE. HOW DO LEADERS LEAD LEARNING?

LEADING LEARNING

To lead learning, leaders have to become facilitators or catalysts. Towards this end, they have to behave in a manner that enlarges exchange of ideas, thought and information. When leaders raise interesting and relevant questions, listen carefully and respond in ways that foster inquiry, they contribute to the learning atmosphere. In other words, they should develop three important skills:

QUESTIONING	-	Q
LISTENING	-	L
RESPONDING	-	R

Let us look at each of these important areas in some detail.

QUESTIONING

Peter Drucker says, "***The most common source of mistakes in management decisions is the emphasis on finding the right answer rather than the right questions***". Good questions get to the heart of a matter; they force deep thinking and reflection.

> "Judge a man by his questions, not by his answers."
>
> **-** Francoise Marie Voltaire

Questions can be used to frame issues, offer instructions, solicit information, probe for analysis, draw connections, seek opinions, and ratify decisions. Questions should be designed to draw out assumptions i.e., lead discussion and allow participants to probe actively for the roots of differing positions.

Questions that illuminate and inspire can make all the difference in a knowledge economy. The most effective questions foster a culture of learning. Instead of producing anxiety about not knowing, they create an excitement about learning that translates into breakthrough performance.

When used thoughtfully, questions become tools for discovery instead of domination. They help uncover obstacles to change and inspire action.

EXAMPLES OF QUESTIONS THAT FOSTER REFLECTION ON THE UNIT'S STRATEGY

1. What does our environment look like?
2. In the last few years how have the needs of our customers and other stakeholders changed? In the same period what have we done in terms of new initiatives?
3. What are the unmet and under met needs at present? How might the needs change in the future? What are our plans to address these needs?
4. What are the critical services/ deliverables that our customers need in the next six months, next one year, and next three years?
5. What are the value additions/ changes that I can bring in to improve the critical services/ deliverables?
6. What needs to be done in the product, service, and methodology of doing or quality of process to make more impact?
7. What are the key problems / issues challenging us in this service/ delivery? How can we meet the challenges / problems facing us on this service / delivery?
8. What needs to be done / who else needs top be involved/ what resources are required to respond to questions 1-5 and make impact on the services/ delivery in the next 3-6 months?

LISTENING

While questioning generates the needed raw material, listening ensures that it is put to good use. Listening is a demanding process that requires attentiveness and genuine interest. It can usually be improved by following a few simple guidelines.

1. Practice patience - Don’t interrupt before others have finished, short-circuiting the learning process.
2. Leaders can insist that participants repeat what they have just heard and then to ask the original speaker to verify that his/her point has been correctly stated. Only after participants have agreed that the message has been heard is debate allowed to begin.

Selective Listening

3. Leaders must learn to attend - simultaneously - to `what’ is being said and `how’ it is stated. They must also listen for affect and tone as carefully as they listen to content.
4. Leaders should also look out for non-participants - voices not heard - and must find ways of bringing them into the dialogue.

Characteristics of Effective Listening

The characteristics of effective listening are given below:

- Listener maintains positive posture; avoids distracting mannerisms; keeps attention focused on speaker; maintains eye contact; nods and smiles when appropriate.
- Listener keeps focus of comments on the speaker: "When that happened, what did you do?" or “What are you planning to do to solve the problem”

- Listener accepts ideas and feelings "That's an interesting idea; can you say more about it?"
- Listener probes in a helpful way; "Could you tell me more about what led you to feel that way?" and follows up: "You said that ... "
- Listener paraphrases (repeats / restates) the important words immediately to check his understanding.
- Listener summarizes the conversation from time to time to check with the speaker whether he has understood the message correctly or not.

RESPONDING

Executives should be equally skilful in responding as in questioning and listening. Responses could range from more reflective and speaker-centred to those that are more intrusive and interventionist. At one extreme are responses like silence, restatement and clarification - they keep the focus on the speaker and encourage a more extended presentation.

At the other end of the spectrum are responses like ridicule, denial and threat - they involve the open use of power and invariably put distance between leaders and followers.

Responses like encouragement and suggestion are somewhere in the middle - they remain upbeat and supportive in tone but inject a point of view.

The choice among these approaches is both situational and cultural and reflects the issues at hand. In general, however, when the goal is fostering learning, executives should strive for more frequent use of responses at the reflective, facilitative end of the spectrum. Combative styles can be effective, but unless they are applied with great skill, they run the high risk of demoralizing employees.

To sum up, group leaders should strive to produce genuine thinking and debate, at the same time cultivating a collegial, collaborative atmosphere. The former keep ideas building and in constant ferment, while the latter ensures that group remains cohesive and are able to act decisively on their conclusions.

PLANNING FOR PERSONAL PERFORMANCE: CHECKLIST

1. Do I know ***exactly*** what tasks I am to do?
2. Have the expected key results for the job been identified and listed?
3. Have the greatest needs for each key result area been determined?
4. Do I know why these needs are important and what result is expected for each?
5. Have I ranked the importance of each result expected?
6. Have I identified potential obstacles?
7. Have I determined the most reasonable and realistic performance targets for each key result area?
8. Do I know which methods of measurement are best to use in tracking my progress?
9. Does my action plan adequately address accountability?
10. Have I involved all key people who can affect the outcome?

1.5. HOW DO PROGRESSIVE ORGANIZATIONS DEVELOP LEADERS?

Most organizations are under led

In an important recent survey by the Corporate Leadership Council, a highly regarded research agency, it was found that leaders consider people management skills as the most important attribute of effective leadership. This was followed by strategic management skills. Innate personal characteristics and skills in process management were considered to be important, but lower down in priority.

Leaders across a wide range of organizations communicated that their organizations were weak in terms of both the numbers and quality of leaders. Many organizations may be ***adequately managed***, but they are ***under led***. With the environment becoming more demanding leadership development has become even more critical for organizations.

Key elements of leadership development

The general experience appears to be that feedback and relationship based development programmes are highly effective for leadership development. In other words, people in key positions should have an opportunity to receive feedback from others (superiors, colleagues, subordinates and customers). Without this valuable feed back, the speed of development is greatly hampered. Individuals in key positions should also have opportunities to discuss their feed back and their development agenda and learning challenges with others. That is why, in many progressive organizations, individuals in top positions allocate a certain amount of time for facilitating leadership development.

One very interesting finding of the Corporate Leadership Council is with regard to the key role that autonomy plays in leadership development. The greater the decision making authority that we give to leaders, the faster is our leadership development.

Steps for leadership development

When we look at the leadership development approaches adopted by the governments in other countries, we find some general and common trends. The OECD publication on leadership outlines the broad elements of the approach followed in OECD countries. The steps are briefly outlined below:-

1) ***Define a competence profile for future leaders:*** The first step taken to develop future leaders was to define the competence profile for future leaders. The competencies required for future leaders could be different from those required for present leaders in terms of their responsibility, capability and role. For this step we should first make predictions of the future environment and the challenges that leaders are likely to face.

2) ***Identify and select potential leaders:*** This identification would be based on the competence framework for future leaders. A key choice would be whether we should select future leaders from outside or nurture them within our own organizations.

3) ***Encourage mentoring and training:*** There should be substantial efforts made to train future leaders. Some countries have set up specialized institutions for leadership development, and others have established new training courses for senior people in within their existing training institutions.

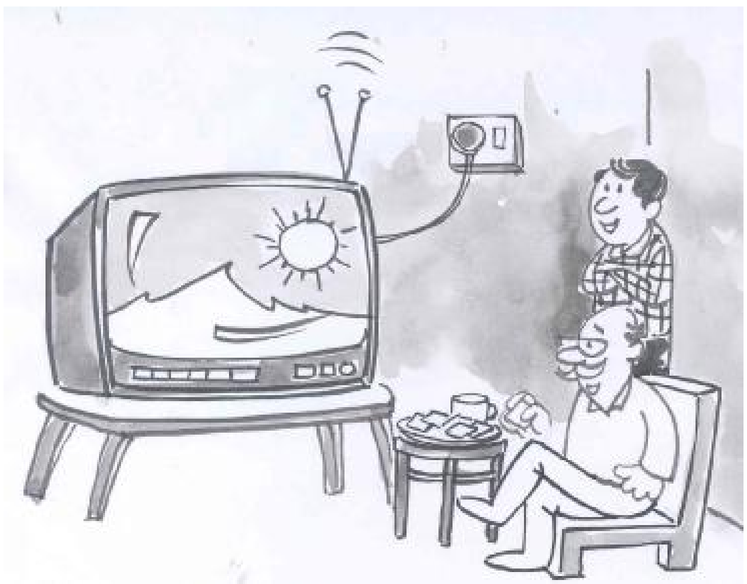
4) ***Keep leadership development sustainable:*** We must remember that leadership development occurs over a period of time. To sustain the efforts over a long time, we must have a comprehensive programme for the whole of the government and ensure that senior people devote time to development programmes.

To sum up, we list the key stages that progressive government organizations utilize to hone leadership skills in the government.

- Adopt a leadership model
- Decide on who will receive leadership development
- Involve senior leaders in development process
- Define the results expected from leaders and link these to the larger strategy
- Use powerful learning and training methods to accelerate development
- Emphasize action learning projects
- Create a culture of feed back
- Make development a long term process, and not just an event

1. 5. CAN LEADERSHIP ACTUALLY BE LEARNT? HOW CAN INDIVIDUALS STRENGTHEN THEIR OWN LEADERSHIP CAPABILITIES?

Experience is inevitable; Learning is not



Boss: This is a great programme on leadership. Our participants in the hostel should see it!

Leadership studies indicate that good leaders are not 'born'; they 'grow'. Individuals with desire and willpower develop themselves as effective leaders through a constant process of self-study, dedication, training and experience.

It is said that experience is inevitable; learning is not. All of us confront significant challenges in our lives. We would have successes, setbacks, and even crises. By converting these experiences into learning events we develop ourselves. This handbook contains a number of tools for self-

Assistant: The boss has called you urgently for a meeting!

introspection. These can also be used as instruments for obtaining feedback from others. When we get open and frank feed back from other, and have a chance to discuss our developmental agenda with our mentors, we hasten our leadership development.

Assistant: **Come on, rush now! The boss is waiting.**

It is of course true that most individuals do develop over a period of time through their experiences. In many cases, the speed of this learning is too slow. By accelerating the process of learning, we become more effective leaders in a shorter time.

Information, guidance and support

The good news is that leadership can be learned and improved at any age. But the specific leadership competencies don't automatically come through life

Assistant: Sir, as desired by you, the participants have also seen the programme.
Boss: That's nice!

experience. Leaders who are motivated to improve their skills can do so if they are given the following:

- R***ight information:*** The information individuals need is a candid assessment of their strengths and limitations from people who know them well and whose opinions they trust.
- ***Guidance:*** The guidance they need is a specific developmental plan that uses naturally occurring workplace events as the laboratory for learning.
- ***Support:*** The support they need is someone to talk to as they practice how to handle different situations, what to do when they have made some mistakes, and how to learn from such mistakes and setbacks.

If leaders cultivate these resources and practice continually, they can develop specific leadership skills – skills that will last for years.

1.7. HOW IS LEADERSHIP ASSOCIATED WITH EMOTIONAL INTELLIGENCE?

EQ more important than IQ for leadership

When people are asked to define the ideal leader, many tend to emphasize traits such as intelligence, toughness, determination, and vision. These are the qualities traditionally associated with leadership. There is little doubt about such skills being necessary. Studies however indicate that they are insufficient for effective leadership. Although a certain degree of analytical and technical skill is a minimum requirement for success, research indicates that Emotional

Intelligence (EI) may be the key attribute that distinguishes outstanding performers from those who are merely adequate. That's why EQ (Emotional Quotient) is considered more important than IQ (Intelligent Quotient) for leadership.

Leadership research tells us that the lack of interpersonal skills and the inability to adapt are the two principal derailment factors in careers. Today there is a growing body of knowledge that clearly shows that proper understanding and use of emotions can be critical in helping us become more effective leaders and better communicators.

> Emotional Intelligence is the sine qua non of leadership.
> -- Daniel Goleman

Without EI, persons can have first-class training, incisive minds, and endless supply of good ideas, but they still won't be great leaders.

Chief components of EI

EI includes two aspects of managing self – ***self-awareness*** and ***self-motivation***; and two aspects of managing others – ***empathy***, and ***social skill***.

Managing self includes:

- Ability to recognize and understand your moods, emotions, and drives, as well their effect on others.
- Ability to control or channelize impulses and moods that are disruptive. This requires the propensity to suspend judgement and to think critically before acting, and

- Passion to work for reasons that are beyond money and status, and also a propensity to pursue goals with energy and persistence.

Managing others includes:

- Ability to understand the emotional make up of other people;
- Skill in treating people according to their emotional reactions, and
- Proficiency in managing relationships and building networks and ability to build rapport and find common ground.

Implications of being high on EI

Increased EI moves individuals and teams to increased resilience in the face of change, enhanced performance and greater success. Individuals with strong EI form good working relationships, function as cooperative and constructive members of groups, and control anger and other disruptive impulses. Colleagues and subordinates also view managers who are high on EI as generally pleasant to be around. To sum up, for effective and sustained leaders, high IQ (Intelligence Quotient) alone is insufficient.

> Anyone can become angry – that is easy.
>
> But to be angry
>
> - with the right person
> - to the right degree
> - at the right time
> - for the right purpose
> - in the right way
>
> - this is not easy!

We are aware that analytical, quantitative and verbal abilities are measured through conventional IQ tests. Similarly there are tests to measure EQ (Emotional Quotient). Research indicates that high EQ accounts for over 90% of the difference between ineffective leaders and effective leadership performance. Effective leadership improves unit performance and service delivery.

SECTION 2
LEADERSHIP FRAMEWORKS

There is a wide spread recognition of the direct link between leadership capability and sustained high performance. Leadership talent is, therefore considered one of the most important assets of an organization. Lest we think that leadership exists just at the top of an organization, it is important to emphasize that leadership qualities are needed at all levels.

When an organization is keen to develop leadership across different levels, it finds it useful to develop a framework for leadership development. The framework would highlight the factors that are important for leadership effectiveness in the given context. It is then used for implementing a systematic approach for leadership development.

In this section, we present short summaries of the leadership frameworks in a wide range of contexts. We begin with models developed in governmental context in three other countries. Then we look at two respected names in the Indian private sector. Finally, we move on to two multinationals, one headquartered in North America and the other in Europe. At the end of this section, we propose a framework for government organizations in India.

LEADERSHIP MODELS IN CERTAIN PROGRESSIVE ORGANIZATIONS

In this section, we first present leadership frameworks developed by certain well known organizations from different contexts. National Health Service, UK, Australian Public Service and the U.S. Office of Personnel Management have defined key characteristics, attitudes and behaviours to which leaders in the governmental context should aspire. Among Indian corporations, Infosys and Tata are known for their progressive practices and we present a brief overview of their frameworks though these organizations are from the private sector. Among the foreign multinationals, we briefly describe the leadership models of GE and Siemens. As we are aware, both these corporations are highly regarded for the quality of their management and leadership.

Interestingly, the different frameworks share a number of commonalities. On the basis of an examination of the approaches followed by these different organizations, we propose a leadership framework that fits the context of government organizations in India in the final part of this section.

2.1. AUSTRALIAN PUBLIC SERVICE (APS)

Senior Executive leaders in the Australian Public Service (APS) play a key role in the delivery of the core functions of the Service. They provide policy advice to government and implement government programs, including delivering services to the community to achieve outcomes determined by the government. They must be able to focus on the outputs specific to their agency, and the links between these outputs and broader government goals. This requires them to create a shared vision and sense of purpose for their organizations, to enable and motivate their staff to achieve high performance.

In collaboration with APS agencies, the Public Service and Merit Protection commission has developed Senior Executive Leadership Capability Framework (SELC). The framework seeks to establish a shared understanding of the critical success factors for performance in APS leadership roles. It is used to guide selection, leadership development, performance management and succession planning. Programmes and other interventions are organized for developing / sharpening competencies.

Senior Executive Leadership Capability Framework identifies the five core criteria for high performance by senior executives:

- Shaping Strategic Thinking
- Achieving Results by building organizations capacity and responsiveness
- Cultivating Productive Working Relationships
- Exemplifying Personal Drive & Integrity
- Communicating with Influence

2.2. SENIOR EXECUTIVE SERVICE (SES) IN THE UNITED STATES

In recognition of the need for leaders with a strong commitment to public service, the Office of Personnel Management has developed 27 Executive Core Qualififcations (ECQ) competencies for leadership. The ECQs are based on extensive research of the attributes of successful executives in both the private and public sectors, and reflect the best thinking of many senior executives and associations, as well as agency human resources professionals. The ECQ's are:

ECQs	COMPONENTS	
Leading Change	• Continual Learning • Creativity and Innovation • External Awareness • Flexibility	• Resilience • Service Motivation • Strategic Thinking • Vision
Leading People	• Conflict Management • Cultural Awareness	• Integrity / Honesty • Team Building
Results Driven	• Accountability • Customer Service • Decisiveness	• Entrepreneurship • Problem Solving • Technical Credibility
Business Acumen	• Financial Management • Human Resources • Management	• Technology Management
Building Coalitions / Communication	• Influencing / Negotiating • Interpersonal Skills • Oral Communication	• Partnering • Political Savvy • Written Communication

The Office of Executive and Management Development has been established to help people identify their strengths and needs through one-week assessment programmes. In addition, there are training seminars and continuous learning opportunities.

The leadership potential seminars are conducted for those who are ready to move to leadership positions. Supervisory leadership seminars emphasize competencies needed for a new supervisor, such as interpersonal and project management skills.

2.3. NATIONAL HEALTH SERVICE (NHS) IN THE UNITED KINGDOM

The framework describes the key characteristics, attitudes and behaviors to which leaders in the NHS should aspire. It describes the qualities expected of NHS leaders.

There are fifteen attributes within the framework, arranged in three clusters :

- Personal Qualities
- Setting Direction, and
- Delivering the Service

These attributes are defined at different levels of effectiveness, so that it is possible to define or diagnose the level of effectiveness at which an individual is operating at the given time.

Personal Qualities

Personal qualities and values are at the core of the framework. The scale and complexity of the change agenda facing leaders in the NHS means that they need to draw deeply upon their personal qualities to see them through the demands of the job. This cluster includes the qualities indicated in the box.

KEY ATTRIBUTES: PERSONAL QUALITIES

- Personal integrity
- Drive for improvement
- Self management
- Self awareness
- Self belief

KEY ATTRIBUTES: SETTING DIRECTION

- Intellectual flexibility
- Seizing the future
- Broad scanning
- Political astuteness

Setting Direction

Outstanding leaders set a vision for the future, drawing on their understanding of the organization(s) in which they work, and their political awareness of the context. This, combined with action-orientation and intellectual flexibility, allow them to move between big picture vision and local operational detail. This cluster includes certain attributes as indicated.

KEY ATTRIBUTES: DELIVERING SERVICE

- Leading change through people
- Ensuring accountability
- Empowering others
- Effective and strategic influencing

Delivering the Service

High performing leaders work across the organization as well as the wider community to make things happen and deliver results. They use a range of styles that challenge traditional, organizational and professional boundaries and ways of working and emphasize empowerment and partnership. This cluster includes the key qualities of empowering others and collaborative working.

2.4. INFOSYS LEADERSHIP FRAMEWORK

Infosys aspires to be at the forefront in the fast-changing industry in which it operates. The company, therefore believes that its leaders require the spirit of learnability and commitment to continuous personal and professional development.

The Infosys framework highlights the following aspects.

- Setting Direction
- Performance Focus
- Relationship Building
- Customer Partnering
- Quality
- Technical / Functional Expertise
- Developing Leaders
- Interpersonal Effectiveness

To be effective in their leadership role, individuals need continuous upgradation in specific areas of technology, management, leadership, cultural and communication skills, and other soft skills.

2.5. TATA LEADERSHIP PRACTICES

The Tata group has developed a common leadership framework for all its group companies operating in different industries – chemical, engineering, power, software, steel, tele-services, and so on. The framework has been defined in terms of ***Tata Leadership Practices*** – a set of behaviours that retain the key elements of the Tata leadership ethos, while taking on the world of tomorrow and the challenges it is likely to throw up.

They are called 'practices' to focus on concrete behaviours and actions rather than abstract philosophy. The underlying belief is that ***modifying actions*** is the more effective way to modify values and philosophies, than seeking to modify the latter directly. Hence, the TLPs, as they are commonly referred to, are aimed to help shape leaders.

The Tata Leadership Practices cover different aspects of leadership. Leaders are expected to demonstrate leadership behaviours in each of these areas. TLPs help individuals identify their strengths and also the areas for improvement. They are used for making decision pertaining to promotion and leadership development.

Tata group has three broad themes under which leadership competencies are grouped. The broad themes and the TLPs are given below:

1. DELIVERING VALUE – MAKING MONEY

- Drive for Results
- Timely Decision Making
- Customer Focus
- Innovation Management

2. BUSINESS LEADERSHIP

- Managing Vision and Purpose
- Strategic Capability
- Dealing with Ambiguity
- Business Acumen
- Functional Excellence

3. PEOPLE AND TEAM LEADERSHIP

- Taking Ownership
- People Development
- Interpersonal Effectiveness
- Withstanding Pressure
- Building Effective Teams

2.6. GE LEADERSHIP FRAMEWORK

GE believes that leadership is critical for the success of any organization, and it is leadership that takes the organization forward or backward. The company has an elaborate system for developing leaders. Leadership competencies have been clearly defined, and GE conducts 360-degree leadership assessment on these competencies to assess every leader.

The leadership competencies in the GE framework include the following:

- Vision
- Customer / Quality Focus
- Integrity
- Accountability / Commitment
- Communication / Influence
- Shared Ownership / Ability to work seamlessly across departmental, functional, hierarchical and geographical boundaries
- Team building / Empowerment
- Knowledge and Expertise / Intellect
- Initiative / Speed
- Global Mindset

Key GE Leadership Ingredients

The company believes that GE leaders should possess 4Es:

Energy Enormous Personal Energy - Strong Bias for Action

Energizer Ability to Motivate and Energize Others … Infectious Enthusiasm to Maximize Organization Potential

Edge Competitive Spirit … Instinctive Drive for speed/Impact ... Strong Convictions and courageous Advocacy

Execution Deliver Results

2.7. SIEMENS LEADERSHIP FRAMEWORK

Siemens Leadership Framework specifies how the measures the performance of its managers and which personal capabilities managers at Siemens should possess. Measurement criteria have been spelt out clearly for excellent leadership at Siemens. These criteria play a key role in the Staff Dialogue, particularly for the managers.

Excellent leadership can mean different things in different cultures. The results achieved, however, are universal – outstanding financial results, satisfied customers, motivated employees and superior processes. For this reason, the company measures leadership performance in these four categories: financials, customers, employees and processes.

Another key indicator of leadership excellence is employee motivation. This is why, once a year, all Siemens managers worldwide receive feedback from their employees based on ten specific aspects. The results of the employee feedback help individual managers to improve their leadership capabilities in the areas identified and also have an impact on their performance appraisal.

The company believes that there are four capabilities that Siemens managers must demonstrate to a marked degree if they are to achieve outstanding success. These capabilities are:

- Drive

- Focus
- Impact, and
- Guide

During the annual Siemens Management Review, all position holders and potential successors for key functions in the company are discussed. Participants include the Executive Managing Board and the heads of the corporate groups/regions, in order to ensure careful selection and development the company’s senior leaders.

2.8. PROPOSED LEADERSHIP FRAMEWORK

We propose a leadership framework in this section that is applicable to our public organizations. We have based it on a wide range of ideas from the leadership literature and our own discussions with senior people in several LEADER government organizations. In our inquiry, we looked at specific instances where senior people demonstrated leadership behaviours, what actions they took and how they made a difference. We also looked at some of the behaviours that were missing in the not-so-successful leaders. Our study revealed certain clear themes. Accordingly we propose a EPIC Leadership Framework that concentrates on four “areas of critical influence”. These four aspects are:

- **E** nergizing People
- **P** lanning and Achieving Results
- **I** mplementing required changes
- **C** reating coalitions and win-win partnerships

The above four areas deal with the “how” a leader can be effective. They are concerned with leadership behaviour or leadership action.

In the words of noted author Peter Drucker, “Leadership is not status or position. Leadership is all about achievement of the right results. Leaders are doers, who take responsibility and make a difference”. The first important aspect of framework therefore pertains to leadership behavior that deals with the way members of the unit are inspired and energized to generate a sense on commitment. This leads to learning about how to be effective as a team, and so team members are able to deliver high quality performance.

In the words of Carl von Clausewitz, the author of a seminal work on the conduct of war, '***In war, everything is simple' but it is simple things that are difficult***.' Major plans often fail because people have not taken into account all the irksome little conditions or frictions that have to be dealt with for the plan to succeed. It is necessary for leaders to create organizational capacity to ensure that all the little conditions are anticipated and dealt with quickly and effectively. Leaders therefore pay attention to ensure that the key members think through larger plan and work out a detailed step by step plan with specific accountabilities, deadlines, budgets etc. for guiding action and ensure effective execution of plans. Thus the second aspect of our framework deals with these aspects in Planning and Achieving Results section.

> Leaders do not start with the question, "What do I want? Instead they ask, "What needs to be done? And what can and should I do to make a difference?"
>
> - Peter Drucker

As a social system, an organization develops its own unique way of planning, organizing, solving problems, encouraging innovations, monitoring what we do and ensuring effective implementation. We may refer to this as organizational routine or work practices. Certain aspects of the routines and practices may continue even if these have outlived their utility. The practices have to be reoriented to adapt them to changing circumstances. We deal with this aspect in the third part of the model under "Implementing required changes".

We have the fourth part of the model on "Creating coalitions and win-win partnerships". The power of our organizations comes from the ability to build synergistic partnerships with relevant others. Leaders must be skilled in cultivating win-win partnerships. They must hone their abilities in managing differences, providing effective feedback and developing relationships of mutual influence.

To sum up, we propose a leadership framework that highlights four critical areas of importance.

EPIC
LEADERSHIP FRAMEWORK

- **E** nergizing People
- **P** lanning and Achieving Results
- **I** mplementing required changes
- **C** reating coalitions and win-win partnerships

Each of the dimensions consists of a number of items, and these are presented on the following pages.

EPIC

FRAMEWORK FOR LEADERSHIP IN GOVERNMENT

ENERGIZING PEOPLE

1. Clearly communicating expectations through a two-way communication process and holding people accountable.
2. Recognizing people when they make special efforts to solve persistent problems.
3. Being supportive and helpful in your daily contacts with people.
4. Supporting your people when you feel they are right, even if there are extraneous pressures.
5. Demonstrating strong commitment to people development.
6. Developing leadership in others through coaching, mentoring, rewarding and guiding employees.
7. Paying attention to staffing issues and concerns.
8. Giving people a clear cut decision when they need one.
9. Empowering people at operational levels to make decisions and solve problems.
10. Encouraging open exchange of ideas with your people and not being vague or indirect in your communication.
11. Consistently developing and sustaining working relationships in a manner that fosters commitment, team spirit, pride and trust.
12. Managing and resolving conflicts and disagreements in a positive and constructive manner to minimize negative impact.
13. Creating a culture that fosters high standards of ethics.
14. Behaving in a fair and ethical manner toward others and demonstrating commitment to public service.

PLANNING AND ACHIEVING RESULTS

1. Keeping abreast of changes in the environment.
2. Developing strategies and plans that are responsive to the needs of the citizens and society.
3. Establishing and communicating clear specific performance goals and standards based on a positive vision of the unit's future.
4. Focusing your time and energy on the most important priorities.

5. Dealing effectively with multiple demands and priorities.
6. Helping people understand how their jobs contribute to the overall success of the unit.
7. Actively looking for ways to increase quality of service and satisfaction for the customers / citizens, and being committed to continuous improvement.
8. Ensuring that projects within areas of specific responsibility are completed in a timely manner and within budget.
9. Monitoring and evaluating plans and measuring attainment of results and outcomes.
10. Making well informed decisions by perceiving the impact and implications of decisions, but doing so without compromising the timeliness of decisions.
11. Being proactive, achievement oriented and willing to take risks.
12. Understanding and appropriately applying procedures, requirements, regulations and policies related to specialized expertise.
13. Developing your skills in managing finances, human resources, delivery of effective services, etc.
14. Using efficient and cost effective approaches to improve programme effectiveness by integrating technology into the work place.

IMPLEMENTING REQUIRED CHANGES

1. Devoting time and attention to develop innovative solutions to make organizational improvements.
2. Encouraging creative thinking and innovation in your team / unit by spending time and attention with people to challenge the status quo and seek alternative solutions.
3. Being open to change and new information, and keeping up to date with important developments in your field, function or sector.
4. Building a shared vision with others.
5. Determining objectives and setting priorities and anticipating potential threats or opportunities.
6. Influencing others to translate vision into action.
7. Inculcating spirit of service and meaningful contributions in your team / unit to accomplish the unit's goals and mission.
8. Creating and sustaining a culture which encourages others to provide the quality of service essential to high performance.

9. Managing change in a thoughtful and well planned rather than a reactive manner.
10. Being willing to speak out on issues and champion change even when your view is unpopular.
11. Recovering quickly from setbacks.
12. Maintaining focus and intensity and remaining optimistic and persistent even under adversity.
13. Adapting behavior and work methods in response to new information, changing conditions or unexpected obstacles.

CREATING COALITIONS AND WIN-WIN PARTNERSHIPS

1. Developing, building alliances, engaging in cross functional activities; collaborating across boundaries and finding common ground with wide range of stakeholders.
2. Consistently demonstrating high levels of integrity in your contacts with various stakeholders.
3. Facilitating win-win situations.
4. Spending time with customer / citizen groups or those who have direct contact with them.
5. Approaching each problem situation with a clear perception of the organizational and political reality and recognizing the impact of alternative courses of action.
6. Responding in a non-defensive manner when others disagree with your view point.
7. Persuading others and building consensus through give and take.
8. Gaining cooperation from others to obtain information and accomplish goals.
9. Responding appropriately to the needs, feelings and capabilities of different people in different situations.
10. Being tactful, compassionate and sensitive and treating different partners / stakeholders with respect.
11. Listening effectively and clarifying information as needed.
12. Facilitating an open exchange of ideas and fostering atmosphere of free and frank communication.
13. Expressing facts and ideas in writing and orally in a clear, convincing and organized manner.

SECTION 3

LEADERSHIP TOOLS FOR ENERGIZING PEOPLE & PERFORMANCE

As leaders of our units or subunits, we work with the energies of our people. After all, the qualities of our thinking and action do not merely flow from intellect. Emotion and motivation are also critical factors. The more enthusiastic and determined we are, the more we transform the outputs of our thinking and action.

If we are able to energize our people, we achieve superior processing of information and knowledge and create greater learning. However, when we fail to energize people, we lose the insights of many people, each of whom may have part of the answers we seek. To that extent, the leader is like the doctor (in the accompanying cartoon) who fills the gaping holes in people's hearts and puts a smile on their faces.

We present you some tools in the write-up that can help you and your colleagues address the challenges of your unit together. We have drawn on certain interesting references: References: "Tools for Leadership and Learning", National Managers' Community, Canada; Robert Slater, "GE Field Book", Todd Jick, "Implementing Change", HBS Note, 9 – 491 – 114. They have been used by managers and practitioners throughout the world. They help us build our capacity to understand and master the changing roles in the new environment. They provide us with some practical and easy to use methods for ***engaging others in dialogue***, and ***building a learning organization culture***. These tools cover a wide gamut of leadership concerns: ***how to energize teamwork***, ***how to make your meetings more productive***, ***how to improve work processes*** and ***how to strengthen execution***. The tools covered in this section are listed in the box. We hope you find these tools helpful in your day-to-day work.

Leadership Tools Covered in this Section

Energizing Individuals and Teams

3.1. Energizing through 'DC'
3.2. Meeting to 'GEL'
3.3. The Team Charter
3.4. 'CELL' Meet

Making Meetings more Productive

3.5. The Meeting Audit
3.6. ET Show
3.7. Putting 'DIL' in meeting

Enhancing Quality of Problem Solving

3.8. "Workout" to Move Unit From Fat To Fit
3.9. Appreciative Inquiry
3.10. The Five Whys
3.11. The Five How's
3.12. The Focus Group
3.13. Benchmarking

Strengthening Execution

3.14. Making your pitch in two minutes
3.15. 'DIP' test
3.16. Preventing power failures in change circuits
3.17. Strengthening your Action Plan

3.1. ENERGIZING THROUGH 'DC'

(Direct Contact)

This tool helps you keep in touch with your people, projects and programmes even when you are extremely busy.

WHAT IS IT?

Surveys show that one of the things that employees feel most concerned about is a lack of direct contact with their supervisor or manager. If you can build 'DC' (direct contact) with your employees into your daily routine, you will avoid losing touch with your people, projects and programmes even when you are extremely busy. When it is effectively implemented, DC can energize your people.

DC is a regular meeting with an employee to talk one-on-one about issues, problems, and progress in work and the workplace. The duration of the meeting needs to be just 10 to 15 minutes. However, you should ensure that ***all*** your employees have DC with you, and that these meetings do take place ***regularly***.

HOW TO USE IT?

1. In your schedule, set aside 10 to 15 minutes everyday (say, just prior to lunch, from 12.45 to 1.00 p.m.) to meet one of your team members. After carefully examining your work schedules and pressures, develop a programme or schedule of DC that you can stick to.
2. Create a rotating schedule, so that you have a meeting with a different member of your team everyday. If you have 10 employees, each employee could meet you every 10 days.
3. Stick to your schedule, and be firm about the time – 10 to 15 minutes.
4. Do not try to control the session; what is important will come up. Once you make DC part of your workplace culture, your staff will keep note of questions, problems and issues that can be addressed during their regular DC and ask for special meetings for more urgent or complex matters.
5. DC with employees on a regular basis encourages them to contribute to the team effort. If you invest time in your people, the work will be in much better hands.

3.2. MEETING TO 'GEL'

(Get Everyone in the Loop)

This is a tool to strengthen teamwork by ensuring that all our team members are aware of the key developments, concerns, intended actions or help required.

WHAT IS IT?

Meeting to 'GEL' is quick and easy way to make sure that everyone is "in the loop," aware of all the important things in the workplace. When people are busy with their own work in their own work areas, communication gaps can occur that can create hurdles for effective coordination. As someone said, "If we don't speak to each other, we risk not understanding each other".

In meeting to 'GEL', the team meets just for 15 minutes on a regular basis. It could be a daily session or as per the group's requirements. In a way, it is an 'anti-meeting' for several reasons: there is no chairperson; there is no agenda; there are no long descriptions of the progress of each person's work; people do not even sit down; and it can be held at any central location where every one has space to stand.

HOW TO USE IT?

1. Meet regularly just for 15 minutes. Create a shared understanding in your team as to what the meeting should accomplish and how it should work.
2. Group members can briefly mention about key developments, concerns, intended actions, or help required. Better to say nothing than something of no concern to the group.
3. Don’t go over 15 minutes, but you can end early if no one has anything to say. Keep the mood upbeat.
4. Once a week or fortnight, you can choose to focus not on day-to-day issues, but on ideas for future. At this meeting, everyone brings new approaches and innovative plans. Keep track of the ideas that come up, and ensure appropriate follow-up.

3.3. THE TEAM CHARTER

Why do you need a team charter? What do you include in it? And how do you go about preparing it? The tool discusses these aspects.

WHAT IS IT?

Team charter is a clear description of the team's mission, as well as the authority and resources provided to accomplish that mission. The charter typically includes a statement of mission, objectives or statement of work; background; authority or boundary conditions (scope, constraints, resources, and schedule); membership; requirements or specifications, and interface responsibilities.

The charter should be specific enough to get the team started in the right direction, but not so limiting as to dictate process or outcome at the outset. Teams will establish more specific goals and plans once they comprehend the scope of their work. Usually, it is one or two day meeting. It is not your work plan; it is how you will work together in your team. It is a team agreement.

- To build team spirit and enthusiasm for the group's goals.
- To give your team or community a set of concrete improvement goals against which they can measure real progress.
- Share information with your staff about your work plans.

Your team charter can focus on several things. For example, you can focus on your team's:

- Roles and responsibilities
- Meetings, decision making, conflict resolution
- Skills inventory
- Team improvement goals

HOW TO USE IT?

1. Brainstorm each subject and build a team consensus on each.
2. Determine things to stop doing, things to continue doing, and things to start doing.
3. By involving all of your employees in this critical activity, you will help change your group from one that relies on policies and job descriptions to one that bases its actions on principles and teamwork.
4. It makes the team responsible for coming to grips with the workplace principles and strategic goals.

3.4. ‘CELL’ MEET

(Consolidating Experiences for Learning Lessons)

This tool helps a team learn from its experience, and is particularly useful after the team has completed a project or a major activity.

WHAT IS IT?

The ‘CELL’ meet can be conducted at the end of a project or major activity, or after an identifiable event within a project or activity. All key actors connected with the project come together to review what happened, why things worked out well or not so well, and look for ways to perform better the next time around. The meet compares intended behaviour and results with actual behaviour and results, and draws lessons for future on what to sustain and what to improve. Thus the primary goals include: ***avoiding the repetition of mistakes; identifying possible areas of performance improvements; and building a knowledge base of standards and best practices.***

With focus on learning, the tone adopted is not one of criticism of what had happened or judgment of success or failure. Learning requires an environment where people level with each other in a frank and supportive

atmosphere, dialogue happens, and ‘lessons learned’ are consolidated.

HOW TO USE IT?

1. Gather all the key members involved with the project or activity. Keep all the available data/ records for reference. Have a facilitator to guide the discussion.

2. Invite people to address the following questions: ***What did we set out to do? What actually happened in each one’s portion of the activity? What worked out well, and what did not? Why certain actions were taken? What was the nature of reaction? How did certain actions lead to final outcomes? What can we learn from the experience?***

3. The members and facilitator should ensure that the meeting is conducted in an atmosphere of mutual trust; that it is guided by pragmatic and constructive problem solving orientation; and that it is hard on process, soft on people.

4. Sum up the lessons learned, and ensure that they are disseminated appropriately.

3.5. THE MEETING AUDIT

Are your meetings great forum for information exchange and problem solving? Or do they tend to be a waste of time? The 'Meeting Audit' can help you find answers to these questions.

WHAT IS IT?

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 underutilized of all management tools. Yet, planning and conducting an effective meeting is not at all difficult. The 'meeting Audit' is a simple but powerful tool that can be employed to enhance the effectiveness of your meetings.

HOW TO USE IT?

- At the end of every meeting, use the following questions to determine the effectiveness of your meeting.

  - How much time in the meeting was spent talking about things in the past?
  - How much airtime did each participant get?
  - Percentage of time on-issue, off-issue?
  - Leadership of session: how much time spent being facilitative? Directive?
  - Consensus time spent: how was it accomplished?

Responses to these questions will clearly tell you how much of your meeting time was productive and whether the participants were able to express their opinions and views freely or not.

3.6. ET SHOW

(Energetic Talk Show)

This tool helps you create rich discussions in your meeting by involving participants and tapping their views and ideas.

WHAT IS IT?

The traditional panel discussion is very flat. Three big problems: ***the panel is usually at the front of the room, it is often elevated, and it generally faces a theatre-style audience that by structure is forced to engage the front of the room, not each other***.

Most of the time it is found out that senior person talks the most. Participants get their turn depending upon their level in the hierarchy. This really stifles new ideas and opinions. By having a "Talk Show" format, we can moderate the discussion and encourage all participants to express their ideas and opinions freely. Several participants get opportunity to air their views and concerns, and so much richer communication results. There would also be far greater involvement in discussion.

HOW TO USE IT?

1. Appoint one of your team members as facilitator for the ET show. He / she must be energetic and enthusiastic person with good communication skills.
2. Facilitator ensures that there are no long speeches or presentations. The facilitator keeps it moving, engages all participants and promotes lively dialogue.
3. Closing comments with a future focus are critical.
4. Scribed main points could be distributed later to participants.

3.7. PUTTING 'DIL' IN MEETING

(Dialogue, Information, and Learning)

How do you overcome the weaknesses that most commonly occur in meetings? This tool ensures that dialogue and learning are not overlooked.

WHAT IS IT?

Many meetings suffer from one or more of the following weaknesses:

- 80% of meeting time is spent on presentations or telling what happened – there is virtual 'information dump'. As a result, there is no time for real issues to come up and get discussed.

- Members get too preoccupied with their point of view and forget the importance of two way communication.
- Several members feel resigned to a passive role, and not surprisingly, there is little listening or learning. So the potential of the meeting is not realized.

This tool suggests a format to put DIL in meetings. ***DIL*** implies the meeting will consciously allocate a third of the meeting time to ***Dialogue***, a third to ***Information*** and another one-third to ***Learning***. This framework can help instill a discipline in meeting management. It ensures that people are engaged and energized through dialogue, knowledge is created and shared, and new learning occurs.

HOW TO USE IT?

- Get buy-in from group members that the meeting will be 1/3 dialogue, 1/3 information, and 1/3 learning. The discipline of three equal parts ensures that the meeting unfolds as a participatory process that is not just driven by individual agendas.
- Ensure participatory leadership in running the meeting.
- The following can help make sure that the broader structure works: time management; focus; and appropriate tools.
- Keep in mind that you need to get every one to understand the process and to contribute to its success. Review the implementation of the DIL template, and reinforce the positive experiences and successes.

3.8. "WORKOUT" TO MOVE YOUR UNIT FROM FAT TO FIT

This tool helps you make quick improvements in your work processes through active involvement of people.

WHAT IS IT?

A 'fat' unit has a lot of ungainly flab in the system – for example, delays in resolving problems and implementing solutions, activities that take time and effort but add little or no value, or issues that linger without a closure because the relevant people have not come together to sort those out. 'Workout' addresses this problem by bringing together relevant people from inside and outside the group in a problem-solving format.

'Workout' utilizes the day-to-day observations and practical insights of relevant people to quickly ***assess and analyze the issue*** at hand, and ***develop the right solutions***. It is a powerful problem solving technique in more than one way:

- Often problems are not resolved because the right people are not around to deal with them or because the person who has the problem does not feel he/ she can ask for help. Workout addresses this difficulty by involving the people who have to develop and implement solutions.
- It quickly mobilizes the right expertise for problem solving. People closest to the problem have valuable insights on what works and what does not.
- People feel committed when they are part of the problem solving process, and so the implementation of decisions is effective.

HOW TO USE IT?

1. Choose a broad goal for the workout session, and communicate this clearly. The participants should be chosen for their knowledge and skills rather than for their status or location. Ensure that all participants receive advance communication clearly outlining the problem and what is expected from the group members.

2. Hold the workout in your workplace so that it will be seen as a part of the everyday culture, not a special event. Have a facilitator to guide the process.

3. During the workout, have the group brainstorm on the challenges associated with the problem and then find common themes among them. Then invite them to suggest possible solutions. Fine-tune the recommendations for presentation to decision makers. It is important to remember that the workout team is not the implementation team. The workout does not change the responsibilities of existing work teams.

4. Depending on the complexity of the problem, decide on the duration of the workout session. It can typically be for half to one day.

5. Arrange a 'joint forum' where the workout participants present their recommendations to the decision makers. The decision makers should try and make a decision immediately.

3.9. APPRECIATIVE INQUIRY

This tool suggests working with an appreciative 'positive health' paradigm rather than a critical 'sickness' paradigm. A change in the nature of your inquiry will transform the results.

WHAT IS IT?

Too often diagnosis comes from a 'sickness' paradigm. In this paradigm, we ask, "What is not working or functioning well? What aspects need to be treated?"

However, when we operate from a 'positive health' paradigm, we ask, "What is the life-giving force in this system? What are the things that work well here? What aspects contributed to its effective functioning?"

Appreciative Inquiry operates from a 'positive health' paradigm and asks: ***"How do we take what already works in pockets of this organization and help it grow and take hold in all of the organization?"***

When you focus on problems, you slow yourself down and get de-energized. Diagnosis take so much time and energy that there is no energy left for action. For example, you can ask: "What can we do to minimize customer dissatisfaction and complaints?" Alternatively, you can ask: "when have customers been most pleased with our service, and what can we learn and apply from those moments of success?"

HOW TO USE IT?

1. Get group of people working with you.
2. First, decide on the broad area in which you would like to conduct Appreciative Inquiry.
3. Ask specific questions to find out what is going on well in that area. For example, if you are interested in looking at your interpersonal communication. You can ask the following questions to find out what works well.

- ***Think about a time when you were communicating most effectively within your team, between different teams and services /organizations or with diverse groups of people.***
- ***What personal qualities do you have that helped you in this situation?***
- ***What skills and experience did you draw on to help you?***
- ***How did you create an environment where the group or individuals were able to contribute effectively to a collective goal?***
- ***In that situation, what do you think was it that the group most valued about you?***
- ***What personal qualities, skills and experiences did you encourage others to draw on to create that success?***

3.10. THE FIVE WHYS

This tool helps you and your team to jointly get to the root cause of the problem by moving beyond the superficial layers of the issue.

WHAT IS IT?

This 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.

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. It is a team-based technique designed to get at the root cause of a problem. By asking a series of five Whys to a problem, you allow the group to back up their analysis into the other parts of the organization. This brings forward the links and pieces that may have contributed to the problem.

HOW TO USE IT?

Get a relevant group of employees. Describe the purpose of the exercise and the steps to be followed in the exercise.

- State the problem to be analyzed.

- Ask ‘Why?’ - what are the causes of the problem at the first level?
- Mention each cause in the diagram.
- For each cause mentioned, ask ‘Why?’ again and write the answers in the next box, which is linked to the earlier answer.
- Keep repeating the exercise till there are no more suggestions or answers.
- Review data to find out which causes are most important. Gather fresh data if necessary.

3.11. THE FIVE HOWs

This tool helps you and your team to jointly work out the specific steps necessary to implement the solution, and thus formulate an action plan that clearly spells out the methods / processes to be used for implementing actions.

WHAT IS IT?

This 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.

This process can help 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 IT?

Get a relevant group of employees. Describe the purpose of the exercise and the steps to be followed in the exercise.

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

- Start with a very broad description of the solution to be considered
- Record the answers on a simple diagram.
- For each item recorded, ask the question 'How?'
- Continue asking 'How?' as long as sensible answers are possible.
  Usually no more than five iterations are necessary.

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.

3.12. THE FOCUS GROUP

How do your customers, partners or employees perceive the new idea or change that you want to introduce? Do they think it is worthwhile? Do they want any modifications? This tool helps you address these questions.

WHAT IS IT?

Focus groups are forums for carefully planned discussions. They are designed to elicit perceptions from a group of your employees, partners or clients that you bring together with a facilitator, to get their views about any new ideas that you want to introduce. Groups are typically comprised of six to twelve people and run from 90 minutes to two-and-a-half hours. Participants are selected based on demographic characteristics or experiences that relate to the topic being studied.

Focus groups yield qualitative information about the attitudes of a target group—typically customers— and reveal how the chosen individuals feel or think about a specific issue. Focus groups are not intended to reach consensus or make decisions about potential courses of action. However, they can be used to test out new ideas and new approaches that would have an impact on employees, suppliers or partners.

HOW TO USE IT?

- Select a representative group of about 6 to 12 of your employees, partners or clients and invite them to participate. Use a facilitator from within your organization or hire an outside professional.

- Choose a convenient location and try to keep the ***Focus Group*** session under three hours. Provide refreshments. Do a pre-test: test out the questions that you plan to ask with one or two colleagues.
- Bring a number of intelligence gathering tools to the process.
- Use the results of your ***Focus Group*** to fine-tune the changes you have planned or, if you receive a strongly negative reaction, consider a whole new approach.
- They can tell you that the change may not be worthwhile.

3.13. BENCHMARKING

This tool helps us learn from the practices, processes and innovations of other progressive organizations.

WHAT IS IT?

Benchmarking is a strategic and analytic process of continuously measuring an organization's services and practices against a recognized leader in the chosen area of study. Benchmarking is more than a simple comparison of our organization's practices and processes to another for improving our own process. Benchmarking provides a data-driven, decision-making vehicle to implement changes of best-in-class quality to core practices of the organization.

Benchmarking is a structured process of continually searching for the best methods, practices and processes and either adopting or adapting their good features and implementing them to improve the practices and processes continuously.

HOW TO USE IT?

- ***Set objectives for benchmarking*** - What type of product or service enhancements do we want – e.g. quality, timeliness, cost, customer satisfaction, production efficiencies, staff satisfaction?

- ***Decide what product, service or process to benchmark*** **-** Is the product or service strategic to our organization? Is it valuable enough to justify the expense of benchmarking?
- ***Decide how to benchmark*** **-** What are the best comparisons for us: for example, within the organization, or against competitors, or within the sector? Do we want to just compare performance data (quicker and cheaper) or do we also want to share information about processes and practices (to reveal the source of better performance)?
- ***Set up a guiding group*** **-** What reporting to management will be required?
- ***Select and train a team*** **-** Who has the most knowledge about the product, process or service? Decide whether customers and suppliers could be brought into the team.
- ***Define the project plan*** – What results are required? What costs can we commit to? Who will do what and when?
- ***Analyze process*** **-** What are the key process steps?
- ***Define performance measurements*** **-** What are the most appropriate measures of our performance?
- ***Collect performance data*** **-** Does the data point us to improvement potential?
- ***Identify and contact partners*** **-** Who are the industry leaders? Are there leaders in other industries who could be useful?
- ***Exchange performance data*** **-** Are we all using the same performance measure definitions?
- ***Share process information*** **-** What do the better performers do differently that contributes to their achievement?

- ***Visit*** - What will we look for when we visit? What do our partners want from us?
- ***Analyze partners' performance and practices*** - What does all the information from our partners mean? How could we use the ideas we have gathered? What are the "best practices" for our product, process or service?
- ***Plan changes to products, processes and services*** - What changes are relevant, cost-effective and most likely to succeed?
- ***Implement the changes*** - Who should carry out the improvements, when and with what budget?
- ***Re-measure performance*** - Who will re-measure performance and when is most appropriate?
- ***Hold the gains*** – What should we do to make a lasting improvement?

3.14. MAKING YOUR PITCH IN TWO MINUTES

How to quickly and clearly communicate the essence of the desired change in a manner that creates enthusiasm and excitement? This tool prepares you to address this challenge.

WHAT IS IT?

Let us say that you have a chance meeting with the head of the organization. He has met you at a programme, and during the break asks you a question about the change idea that you are working on. You only have a couple of minutes before you are required to return to the meeting room. You have to create favourable impression within this short time so that your change idea gets the right support from the highest level. How will you convey the essence of the desired change in this limited time?

In this exercise, the manager imagines such a situation, and develops a powerful, concise and compelling two-minute presentation. But why is it necessary to learn to make your pitch in two minutes? It is not that we are preparing ourselves only to talk to the CEO, and communicate our message in the shortest possible of time.

The exercise is interesting and useful because it addresses an important dilemma that confronts all change managers – How to communicate the essence of the desired change to our audience in a limited amount of time? How to ensure that we are not long-winded? How to communicate clearly, and in a way that leaves the others with a sense of excitement or enthusiasm for the change? The two-minute pitch involves both organizing one's ideas and thoughts, and presenting these in a way that gets the others' interest and support.

HOW TO USE IT?

- The manager is asked to think of the change programme that he/ she is working on, and develop a concise compelling response using the four-part design:
    - "Here is what our change project is about..."
    - "Here is why it is important to do..."
    - "Here is what success will look like..." and
    - "Here is what we need from you."

- The manager should make the presentation to colleagues and group members, and check whether the message is likely to spark enthusiasm and excitement. Necessary modifications are made based on feedback received.

- All members of the group involved in the change effort should learn this 'pitch' so that a common and consistent message is presented by all members of the change team.

3.15. 'DiP' TEST

(Does your Diary reflect your Priorities?)

We have priorities, but do we really allocate time and attention to these? This tool helps you bridge the gulf between your stated intentions and your actual behaviour.

WHAT IS IT?

The DiP Test is a simple audit of time spent. It teaches two powerful lessons: that leaders must invest time in their projects if they hope to succeed and that manager's stated priorities should match their actual commitments.

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 tool helps us to identify the time spent on each activity. That will give us an idea about how much time did we spend on most important priorities in our work area. We can evaluate and take appropriate steps necessary to spend more time on important activities rather than spending time on not so important priorities.

HOW TO USE IT?

1. Participants identify four to five important work or personal objectives and then review their calendars for the preceding thirty to sixty days to determine the percentage of time they actually devoted to these activities.

2. The discrepancies are noted and team members then discuss how to ensure more efficient allocations as they move forward.

3. The test is repeated at regular intervals as the change process unfolds.

3.16. PREVENTING POWER FAILURES IN CHANGE CIRCUITS

This tool helps you proactively deal with the issue of mobilizing support and commitment from individuals and groups who have to be involved with the different aspects of the change process.

WHAT IS IT?

A change agent can fail if there are power failures in management circuits. A power failure implies that some key managers don't put their weight behind the change, some others drain life out of the system by their passive behaviour, and so everything ends up becoming an uphill struggle. When there is little or no support, the change loses momentum and peters out without a trace over time.

This tool helps a leader make a careful assessment of the power situation through the following steps:

- Identifying key individuals and groups involved with the change.
- Anticipating their likely reactions
- Evolving strategies to get the desired response from them
- Developing appropriate action plans for communicating to them and mobilizing their support and thus ensuring that there are no power failures in change management.

HOW TO USE IT?

1. On the vertical axis of the chart, list all the members or groups whose commitment is absolutely essential for successful introduction of change. Across the top, list the degrees of commitment: “Strongly Against”, “Moderately Against”, “Neutral”, “Moderately Supportive” and “Strongly Supportive”.

2. For each member or group in the left-hand column, place an “O” in the box that indicates the ***minimum commitment you must have*** (what is the ***least support*** that you need from this person or group) for the change to occur.

3. Then study each of the people and groups as they are ***now*** and using your best judgement, put an “X” in the box that represents their ***present*** degree of commitment.

4. Where the “O” and “X” are in the same box or when “X” exceeds “O”, circle them and breathe a sigh of relief! Fortunately, no work is required to get the necessary commitment from this individual or group. You only have to sustain their level of involvement through appropriate communication.

5. Where the “O” is in a box that is higher than “X”, draw an arrow connecting them. This gives you a map of the work to be done to get the necessary commitment. For example, you can use several strategies to win the commitment of people falling under this category. You can influence the person through someone who is close to the person and whom he trusts. You can get his commitment through information, personal persuasion and so on.

This chart clearly tells you with whom and in which areas you need to work to get this minimum commitment needed to bring about change.

EXAMPLE

Name of Individual or Group	Strongly Against - 2	Moderately Against - 1	Neutral 0	Moderately Supportive + 1	Strongly Supportive + 2
A			X		0
B		X	0		
C*				0	X
D	X			0	
E*			0 X		

* No work needed as X is at the same level as 0 (for "E") or X exceeds 0 (for "C")

Figure: Stakeholder Analysis

X = Current position; O = Required position

3.17. STRENGTHENING YOUR ACTION PLANS

There is a big difference between a statement of intentions and an action plan. Broad intentions may not make the crucial transition from paper to practice unless actions plans have been tested for completeness and probability of success. This toll helps you in improving and error proofing your action plans.

WHAT IS IT?

We have to necessarily start with statement of intentions and broad goals, but these have to be broken down into specific action steps with timelines and clear accountabilities.

After the broad areas for improvement are identified, action plans are prepared to actually start working towards realizing the goals. An action plan provides a roadmap 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. And, it provides a blueprint for tracking progress and making necessary mid-course corrections.

Once an action plan is prepared, you need to take steps to enhance the chances of its successful implementation. This tool helps you achieve that objective.

HOW TO USE IT?

Utilize the following worksheet to strengthen 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. The hard nosed questions given below 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 it?***
- ***Are the dates realistic, given other commitments and priorities?***
- ***Have you considered key risks and weak spots? Can you build steps into the plan to address these?***
- ***Who are the individuals/groups with whom you have to share the plan? How will you communicate 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?***

The leader should utilize these questions to help the team reflect on the additional steps necessary to strengthen the action plan.

SECTION 4

LEADERSHIP FOR STRENGTHENING ORGANIZATION

Leaders strengthen their organizations by addressing the following questions jointly with the team members.

1. How can we get our employees to develop a shared understanding and commitment to the ***unit goals and priorities***, and clarity about their ***individual roles and contributions***?
2. How can we make our ***work methods and work processes*** more efficient and more reliable?
3. How can we ***monitor*** our performance more effectively and take ***timely corrective actions***?
4. How can we create greater ***motivation and enthusiasm*** in our unit for reform actions?
5. How can we establish and sustain ***win-win relationships*** with other organizations and the people we serve?

This section presents practical tools for a team to work together to address the above challenges. With the help of tools, team members can pool their experience to build their organization into a stronger unit.

LEADERSHIP FOR STRENGTHENING ORGANIZATION: AN OVERVIEW

This section presents practical tools for leaders to strengthen their organizations. But let us first examine why we need to strengthen our organizations. In simple terms, we need to do so to meet the expectations of the external stakeholders. For example, expectations of customers have become more stringent in terms of:

- High quality of services
- Timely service -- no delays
- Helpfulness and courtesy in service
- Efficiency and reliability in service
- Meeting unique or special requirements when these arise
- Fast and effective problem resolution

Among stakeholders, the organization expects:

- More efficient operations to meet goals that have been set.
- Better financial performance (Keeping costs low. Proper utilization of funds and other resources provided)
- Superior resource conservation
- Greater collaboration in working with others organizations / units, including other parts of organization

The demands from other stakeholders (press, funding agencies, community and so on) are also increasing in a similar manner.

If an organization has to meet or exceed such expectations, it has to develop its internal capability. This requires focus on the ***organizational issues***. For example, the work processes ought to be redesigned to enhance their reliability. The performance monitoring should be done in a way that prompt corrective actions are taken even minor slippages occur. And the team should work so well that even when some individuals are absent, the performance / service levels remain high.

In other words, capacity of the organization has to match the expectations from the organization. We can express this in the form of a simple formula as expressed below.

If "C" refers to rate of external change (increase in expectations from the organization), and

"L" refers to rate of learning (increase in organizational strength to cope with changes)

Then for the organization to be healthy, $L \geq C$

In other words, the rate of increase in capability (learning) has to match or exceed the rate of increase in expectations (change). Otherwise, organizational performance levels would not measure up to the required standards. Expectations are dictated by the larger environment in which the organization exists. An organization cannot insist that the customers, government and other stakeholders tone down their expectations. The organization has no choice, but to look within, and examine how it can strengthen itself to meet the expectations.

How can leaders strengthen their organizations? What aspects do they need to improve for this purpose? How can leader involve his / her team in addressing this challenge effectively? This section addresses such questions.

The section provides a framework for systematic problem solving and discussion process. It has been specially made for units like divisions, functions, and similar offices, which form part of a larger department of the organization. To derive the greatest benefit from this work book, you should keep the certain Do's and Don'ts in mind. These are outlined below.

DO'S & DON'TS FOR USING THE TOOLS / EXERCISES GIVEN IN THE SECTION

WORKING WITH IDEAS

- Do set aside enough time to work through the exercises, and to look critically at your organization.
- Do answer the questions or deal with issues honestly. Be willing to question the existing practices in a constructive manner.
- Do discuss the issues in depth. The initial ideas that you come up with may not be the most interesting, creative or relevant. Try to generate a range of ideas.
- Do commit yourself to addressing problems and to finding solutions. The problem solving session should not become a complaint session.

- Do appreciate others' perspectives even if these differ from your own views. Try to reach consensus on how the group views the situation.
- Do ensure that the process is aimed at seeking practical solutions. Don't give up easily.
- Don't get sidetracked by trivial issues, and in the process lose sight of your main goals.
- Do focus on key priorities, rather than being diverted by wanting to work on too many issues.
- At the same time, don't stay with an idea too long. It may limit your team's ability to work on other interesting ideas.
- When you develop ideas for actions, keep the following in mind:
  - What are the key risks and requirements?
  - Who are the individuals / groups that you need to communicate / involve?
  - How would you create enthusiasm for the change effort?

DEALING WITH PEOPLE

- Don't focus on individuals. Don't accuse or blame people as being responsible for problems. Do focus on the functioning of your organization.
- Do work in small groups, taking care to ensure that every one in the group is fully involved.
- Do ensure that all group members are given equal chance to express their views. The senior members of the organization should not dominate the group.

- Do ensure that all viewpoints are heard, and every individual has an opportunity to express views / ideas.
- During discussions, ensure that people make specific and clear points rather than being long-winded.
- Don’t argue needlessly.

To sum up, when we work with the tools / exercises given in this section, let us remember that if you have to jump across a well, there are no rewards for anything less than a complete jump. A brilliant diagnosis or a thoughtful action plan is useful only when it is implemented. We should ourselves commit to careful execution and action by showing willingness to take initiative and accountability.

COMMON STRUGGLES OF TEAM PROBLEM SOLVING

It’s no surprise 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 are dominating the group by doing much of the talking and not letting others expresses 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.

4.1. LEADERSHIP ROLE IN DEVELOPING SHARED UNDERSTANDING OF GOALS, PRIORITIES AND ROLES

Individuals who act on clear goals achieve far more in life and experience greater sense of fulfillment. Individuals who just keep busy in a reactive mode end up merely passing time without having any impact.

Our organization becomes stronger, when we do the following:

1. ***Develop clear and shared goals for our unit***: For this purpose, we need to think about what new responsibilities our office should be taking on, how it can operate more smoothly, and how our staff members can work better as a team. The first exercise in this section helps the work team develop clarity with regard to goals in different work areas. In the process, the team will also achieve shared understanding of unit's primary and secondary responsibilities. The shared understanding contributes to coordinated and unified efforts.
2. ***Decide on priorities***: Develop clarity on our most important goals so that we can manage our time and resources effectively to achieve high-priority goals. The second exercise in this section is expected to help team members develop clarity on the areas where they should devote special effort. The team members will develop a clear and shared understanding of which goals are the most important and why.
3. ***Build clarity of individual roles and contribution***: Each member of the team should have goals that are SMART (Specific, Measurable, Achievable, Relevant, Time bound). SMART goals ensure focus, direction and team work, and help the unit achieve high performance. Each team member can use the third exercise in the section to develop clear understanding of how he/ she will contribute to the achievement of the unit goals. Clear expectations contribute to greater role effectiveness. The exercise is also helpful in clarifying who would

have back-up responsibility when a team member is temporarily absent

4.1.1 CLEAR AND SHARED GOALS FOR THE UNIT

By setting clear goals, your team can focus its effort on what is more important to accomplish on a daily, weekly, monthly, and annual basis. The goals provide unified direction for the unit and in the process boosts performance. With this tool, your team will develop clarity with regard to goals in different work areas. In the process, your team would also achieve shared understanding of the unit's primary and secondary responsibilities.

WHY DO YOU NEED THIS WORKSHEET?

This tool helps team members to talk to each other, and have a discussion on how their unit can have greater impact. Such a discussion should take place preferably every six months so that team members can review the needs of the customers and other stakeholders, changes in the organizational environment etc. and develop goals in different work areas.

HOW TO USE UNIT GOALS WORKSHEET?

1. The team should first exchange views on the following issues:
    - What benefits / services do we want to give to our customers?
    - What are the new expectations of various stakeholders?
    - How can we have greater impact? How can we operate more smoothly? How can our staff work better as a team?
    - What new responsibilities should we take on?
2. After the discussion, each team members will fill out the worksheet individually.
3. Each member will then share his / her list. This will be followed by discussion of the common items and the differences. The group will assign priorities as A, B or C
    - Priority A: Goals have high value and primary concern

- Priority B: Goals have medium value and secondary importance
- Priority C: Goals have little value and little importance

4. The team coordinator / leader will help the team arrive at a consensus. A written summary will be prepared for necessary follow-up.

WORKSHEET FOR DEVELOPMENT OF UNIT GOALS

GOAL ***What does the unit have to do?***	EXPECTED OUTCOME ***For whom does the unit perform its function?*** ***What results / outcomes are expected?***	PRIORITY ***(A, B or C)***
Example: ***Issue certificates to students within the time set for hostel admission.***	Example: ***For whom – Students & their parents*** ***Outcome Expected:*** • ***All eligible students experience no difficulties in getting hostel admission.*** • ***Students and their parents get prompt feedback on their application in a timely manner.*** • ***No pending work with issuing office.***	***A***

4.1.2 CLEAR PRIORITIES FOR THE UNIT

Not all goals have the same importance. A team needs clarity on which goals the larger organization values the most, and why. It should also be clear on which are the most important, the most challenging, and so need special attention. With this tool, team members will develop clarity on the areas where they should devote their energy and effort. Thus key areas will get the attention they deserve.

WHY DO YOU NEED THIS WORKSHEET?

A team should discuss the following issues in depth so that every one has a shared understanding of team priorities:

- How can we break our larger goals into smaller projects to make them more controllable?
- What initiatives need to be taken up to ensure success?
- What are our major obstacles, and how can we effectively deal with them?
- Where do we need to pay special attention?

This worksheet facilitates such a discussion.

HOW TO USE PRIORITIES WORKSHEET?

1. The team should first exchange views on the four issues listed above (breaking goals into smaller projects, new initiatives, solutions for obstacles, and areas needing special attention).
2. After the discussion, each team members will fill out the worksheet individually.

3. Each member will then share his / her list. This will be followed by discussion of the common items and the differences. In the process, the group will develop clarity on all the four issues – what, how, who and when.
4. The team coordinator / leader will help the team arrive at a consensus. A written summary will be prepared for necessary follow-up.

PRIORITIES WORKSHEET

TIME PERIOD: FROM ___________________ TO ___________________

WHAT? ***What are the priorities for our unit?***	HOW? ***How would the goal / project / milestone be achieved?***	WHO? ***Individuals / groups with primary responsibility***	WHEN? ***Time Frame For Completion of Work***
Example: ***Develop database of industries fulfilling the criteria of ……………….***	Example: • ***Coordinate with ……. section for access to existing information*** • ***Work with ….for conducting primary survey*** • ***Compile the data with the help of …..***	Example: • ***KRR will coordinate the work*** • ***JNP will help with primary survey*** • ***SMM will help with computer work***	Example: • ***Complete survey and preliminary work by 15/06/2004*** • ***Complete database by 30/07/2004***

4.1.3 INDIVIDUAL ROLE AND CONTRIBUTION

Having clarified the unit goals and priorities, it is important for each team member to develop clear understanding of how he / she will contribute to the achievement of the unit goals. When expectations are clear, individuals achieve greater role effectiveness. It is also important to understand how the unit goal would be achieved if a team member is temporarily absent – in other words, who would have the back-up responsibility. The tool uses the SMART criteria to sharpen the role definitions.

WHY DO YOU NEED THIS WORKSHEET?

It is necessary for a team to have a free and frank discussion on unit goals and mutual expectations so that each individual's role in supporting the achievement of unit goals are clarified, and everyone understands his /her primary responsibility for key tasks. Each person will use the SMART criteria to set goals for themselves:

Specific	-	The goal must be clearly understood
Measurable	-	Goal must be measurable so that its accomplishment is not subject to interpretation
Achievable	-	It should not be so difficult that it frustrates the individual. It should not be so easy that it fails to motivate high performance
Relevant	-	It should be in line with unit goals
Time bound	-	There should be clear time deadlines for completion

HOW TO USE ROLE & CONTRIBUTION WORKSHEET?

1. Each member of the group will complete the worksheet describing his / her contribution. The SMART criteria will be used to sharpen the individual goals.
2. Each individual will share his / her 'key contributions'. Others will seek clarifications, communicate expectations and make suggestions.

3. Each person will utilize the inputs to make necessary changes.
4. The team coordinator / leader will keep copies for future reference.

INDIVIDUAL ROLE & CONTRIBUTION WORKSHEET

NAME: ____

Key Contribution 1*:* (Use the SMART criteria. Is it Specific or exact? Is it Measurable – in other words can you quantify it? Is it Achievable – not too easy or too difficult to accomplish? Is it Relevant – in line with the unit's goal? Is it Time bound – with clear deadlines for completion? Rewrite if any criterion is not satisfied.)
Key Contribution 2: (Use SMART criteria to make it sharp)
Key Contribution 3: (Use SMART criteria to make it sharp)
Key Contribution 4: (Use SMART criteria to make it sharp)

4.2. LEADERSHIP ROLE IN MAKING WORK PROCESSES MORE EFFICIENT AND RELIABLE

In simple terms, ‘work process’ refers to how we do our work. Almost all operations, as they evolve over time, develop some amount of clutter and inefficiency. Procedures are created to ensure that work is done in a systematic and efficient manner. But with passage of time, they get so complicated that they come in the way of getting work accomplished. In this section, we present you two simple, yet effective tools for reviewing, and improving your work methods or work processes.

Waste Elimination and Simplification of Work Practices: This tool utilizes the day-to-day observations and practical insights of your team members to quickly assess and analyze wasteful work practices. It can help you simplify processes and enhance speed and effectiveness.

Improvement in Key Processes: Your team can use this tool to analyze a key process, examine the ‘fail’ points and ‘delay’ points in depth, and brainstorm solutions for work process improvements.

Obtaining Citizen Feedback: This tool can be effectively used to identify citizen processes that require review and modification.

4.2.1 WASTE ELIMINATION AND SIMPLIFICATION OF WORK PRACTICES

Almost everyone in the department can identify parts of their daily routine that 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, your team members get an opportunity to identify and remove wasteful work practices.

WHY DO WE NEED THIS WORKSHEET?

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

HOW TO USE WORK PRACTICES WORKSHEET?

1. Get the Wasteful Work Practices worksheet filled out individually by the members of the group. In completing the worksheet, each person will select one or two practices that, if eliminated or changed, would make a positive difference to the functioning of the organization.
2. After every one in the group has completed the worksheet, each group member will briefly share his/ her observations. Others can seek clarifications.
3. The team leader or coordinator will compile the forms and make a list of all the activities listed out by the people. The attempt would be to identify the common concerns. A key question to be examined is if anything of value would be lost if the work method/ process is modified.
4. The team leader or coordinator 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.

WORKSHEET FOR WASTE ELIMINATION AND SIMPLIFICATION OF WORK PRACTICES

In the table below, please describe a few processes/ practices (for example, reports, approvals, activities, meetings, reviews, procedures, and so on) that you or your people have been doing whose value might be questionable. In other words, these work practices take time and effort, but don't add any real value. What changes would you suggest? Please be as specific as possible.

Wasteful Work Practice (Unnecessary Approvals, Procedures, Reports, etc.)	What changes are required?

4.2.2 IMPROVEMENTS IN KEY PROCESSES

Certain work processes of the organization can be considered significant if they meet one or more of the following criteria:

- ***Many employees perform these processes,***
- ***They have a strong impact on performance or customer satisfaction,***
- ***They are prone to problems of delay or lack of reliability.***

With this tool, your team can choose a few of these key processes, and strengthen them.

WHY DO WE NEED THIS WORKSHEET?

Having chosen a key process, with this technique, your group can break the process down into a series of sequential activities or steps, and then uncover improvement opportunities or ***fail/ delay points***. Fail/ Delay points are inefficiencies, unnecessary steps, lost time, or any other factor that inhibits timely, quality services from being produced or delivered. After identifying a problem, your team will examine the question of "why this happens". This will help you identify the significant causes of delay and lack of reliability. By eliminating those causes, you would improve your chosen work process.

HOW TO USE KEY WORK PROCESSES WORKSHEET?

1 As a group, identify your key work processes (those that involve several employees, having a major impact on your unit's performance, and prone to problems). Then, choose a couple of processes that you would like to improve.

2 For each of the chosen processes, complete the first column by listing each step or activity in sequence. Be thorough and comprehensive in your listing.

3 Examine each step, and question whether it adds value for the organization or the customer. The team should raise critical questions such as: Is the step unnecessary? Does it contribute to delay? Do mistakes occur? Does it lead to poor service? Enter the problems faced in the second column.

4 Then brainstorm possible improvements or solutions to the difficulties identified. Enter the chosen solutions in the third column.

5 The team leader or coordinator will present an oral summary of the group consensus on how the process can be strengthened. A written summary

would be quickly prepared for taking approvals at an appropriate forum later.

WORKSHEET FOR IMPROVEMENT OF KEY PROCESS

Complete separate sheets for each of the key processes chosen by the group.

Work process chosen for improvement: ______________________________

Activities/ Steps ***List each step or activity in the work process in sequence***	Evaluation ***Does the activity add value? Does it contribute to delay, mistake, or poor service? What are improvement opportunities?***	Improvement Actions ***Solutions or Improvements arrived at after the team brainstorming session***
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

4.2.3 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 approach relevant groups of citizens/customers. 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 participant 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.
5. The change agent will present an oral summary of the group consensus on what the common problems are. Later, he 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 your customers/citizens experience the following problems with regard to specific services offered by your department/section.

- Cumbersome Procedures
- Red Tapism
- Repeated visits for even simple work
- Information is called for 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

From the above analysis, what processes emerge as requiring review and modifications? What are the specific priority areas requiring attention?

4.3. MONITORING AND CONTROL

As we face numerous uncertainties, things are unlikely to go exactly as per plans. We may find that we are not achieving planned results in terms of time, costs, or impact. It is, therefore important to have effective monitoring, and pick up feedback with regard to 'what is going well' and 'what is not progressing as per plans'. Our system must use information to initiate a corrective action. Unless the monitoring system triggers an appropriate response, it is not serving its real purpose. Thus, effective monitoring helps us compare performance against plans, pick up signals of problems, and make timely mid-course corrections.

WHY DO YOU NEED THIS WORKSHEET?

This tool helps team members to examine how well the monitoring system works in their unit. For example, does the monitoring system focus on what is important? Are certain key elements not being tracked and certain unimportant aspects monitored? Does the system enable corrective action? Does our utilization of monitoring system emphasize timely responses? By providing an opportunity to discuss such key issues, the tool helps team members strengthen their system of monitoring and control.

HOW TO USE MONITORING WORKSHEET

1. The Monitoring worksheet (Part – A) will be filled out individually by the members of the group.

2. After every one in the group has completed the worksheet, each group member will briefly share his/ her observations. Others can seek clarifications and make suggestions.
3. The team leader or coordinator will help the team identify the common concerns. The interim summary will help the group proceed to the next part of the exercise.
4. Then the team members will fill up Part – B. After the worksheets are completed individually, the group members will share their views and recommendations for improving the effectiveness of monitoring by using the questions given in the worksheet.
5. The team leader or coordinator will compile all the suggestions and recommendation and present an oral summary of the group consensus on steps needed for improving the effectiveness of monitoring. A written summary would be quickly prepared, and plans will be made to take appropriate initiatives to strengthen the monitoring system.

PART A - MONITORING WORKSHEET

What aspects do we monitor?	***How do we collect the data? Who does it?***	***Frequency (weekly / monthly etc.)***	***How do we use the results?***	***Evaluation*** ***What aspects need to be changed?***

PART B: WORKSHEET FOR
IMPROVING THE EFFECTIVENESS OF MONITORING

Use the following questions as guidelines for evaluating and improving the effectiveness of monitoring in your organization.

1. What aspects do we monitor? What are the additional things that we ought to monitor to enhance the quality of our performance? How should we do this? Should we discontinue certain monitoring, or do it less often? Why?
2. How are we collecting data for monitoring? Who is collecting the data? Are there any problems or difficulties? What changes are needed?

3. Are present monitoring systems collecting valuable data that is not being followed-up and used effectively in the organization? Why not?
4. What use do we make of the feedback? How should we utilize the reports to initiate necessary mid-course corrections and improve future performance?
5. Do we discuss deviations of performance from goals with concerned individuals? How can we use results of monitoring to engage with and energize the concerned staff members? Who should do this and how?

HOW SHOULD YOU MONITOR?

The credibility of findings and assessments depends to a large extent on the manner in which monitoring and evaluation is conducted. How should you monitor? Here are some guidelines:

- 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.

4.4. BUILDING MOTIVATION AND ENTHUSIASM

The performance of an organization does not merely flow from effective strategy, well-designed systems or high level of employee skills. The 'will' factor is a critical parameter in the equation. 'Will' refers to how determined and enthusiastic the people are about achieving results. As the old adage goes, 'where there is a will, there is a way'. This section deals with this all-important issue of motivation.

WHY DO YOU NEED THIS WORKSHEET?

Motivation flows from a variety of factors – whether work goals are set in a participatory manner, whether the unit challenges or the 'big picture' are properly clarified to employees through effective superior-subordinate and team communication, whether good performance is visibly recognized, whether the senior people create a caring culture, and so on. This worksheet helps team members discuss the level of motivation in the work group, what contributes to making it high or low, and what can be done to improve it.

HOW TO USE BUILDING ENTHUSIASM WORKSHEET?

1. First, the team members should complete the Part A of the 'Building Enthusiasm' worksheet.
2. Each team member will then share his / her observations. This will be followed by discussion of the common items and the differences. In the process, the group will develop shared view or understanding of some key aspects relating to level of motivation in the team.
3. Then the team members will review Part B of the worksheet. They will explore whether the team can adopt some of the practices outlined in Part B to enhance the level of motivation in their unit. It is important to keep an open mind to ensure that the team does not dismiss an idea without sufficient consideration. At the same time, the team should not ignore the likely challenges/ difficulties involved in implementation. It should discuss how these can be overcome.

4. The team should assign responsibilities to individuals who will spearhead the introduction of certain processes/ systems. It should examine what would be necessary to sustain the changes and keep the motivation high.

PART A: BUILDING ENTHUSIASM WORKSHEET

How is the current level of enthusiasm in our team? (Going up? Going down? Remaining the same? Mixed?)
Reasons for the above?
What have been our major successes in the recent past? What major milestones have we achieved?
Who are the persons who have contributed significantly to successes? What explains their high level of enthusiasm? What can we learn from this?

How can we offer positive feedback and recognition to individuals who make special contributions?
How do we enhance the quality of communication in our team so that people understand the ‘big picture’ and feel motivated?
How can we give people a greater feeling of challenge? How can we increase communication with individual staff members on the importance of their work, and the specific expectations from them?
Summary of ideas for building greater enthusiasm in the unit.

PART B: MOTIVATION BEST PRACTICES WORKSHEET

Consider the following approaches / techniques that some successful leaders follow in their units to create enthusiasm and motivation among employees.

1. Once in a quarter, supervisor sits with the people directly reporting to him / her to decide on goals / plans for the next three months. During such a meeting, they also discuss progress achieved, obstacles faced and work out specific plans. Then the team pursues / tracks these goals / plans and show their seriousness / commitment to those plans.
2. Instead of moving files from one table to another in a routine way, the work team meets everyday for an hour (schedule fixed as per group's convenience and preference) to discuss issues openly, and decide on the issues and priorities for the day. Such a discussion helps information sharing, quick decision making and shared understanding of why certain decisions were made.
3. Once in six months, all the members of the unit have a get together (sometimes with family). The occasion is also used to recognize special performances by individuals. This forum provides visibility, public recognition and appreciation for individuals who have contributed significantly to the team's successes.
4. All the members of the unit meet as a team once in six months to discuss what new initiatives the unit should take, how it can deal with certain obstacles or what issues need special attention. At the end of the discussion, the team decides on key priorities for the next six months. These are then seriously pursued.
5. The senior members of the team make special effort to build a culture that reinforces the values of caring, communication, persistence and

responsibility. They make special effort to ‘model’ these values through their own caring behaviour, communication etc.

Do you think your unit can adopt some of these approaches? What modifications are needed? Do you have any other suggestions to strengthen motivation?

4.5. DEVELOPING WIN-WIN PARTNERSHIPS

As units of a government department/ organization, we rarely work alone. We have relationships with other departments/ functions, customer groups, non-governmental organizations, community groups, and so on. However, the general experience is that the quality of relationships and the effectiveness of partnerships within the organizations and with customer/ community groups tend to be not up to the mark. There is a great deal of 'turf' consciousness with each organization pursuing its own needs & agenda, and in the process severely compromising the overall organizational goals and customer orientation. Effective leaders address this issue so that there is no paradox of each unit achieving its sub-goals, but the overall organization failing to achieve its larger mission.

Leaders achieve synergy in a relationship by devoting conscious efforts to the following issues: understand the expectations & requirements of the other agencies; create forums for regular communication and feedback; set up systems/ processes for establishing win-win relationships, and so on. They pay conscious attention to the different groups and organizations with which the unit has linkages, and think about how they can build win-win relationships to tap the inherent synergy of such relationships.

WHY DO YOU NEED THIS WORKSHEET?

We can achieve synergy in a relationship when conscious efforts are made for the following: understand the expectations & requirements of the other agencies; create forums for regular communication and feedback; set up systems/ processes for establishing win-win relationships, and so on. This tool helps us think about the different groups and organizations with whom we work and how we can build win-win relationships to tap the inherent synergy of such relationships.

HOW TO USE DEVELOPING EFFECTIVE PARTNERSHIPS WORKSHEET?

1. First, the team members should complete the Part A of the 'Win-Win Partnerships' worksheet.
2. Each team member will then share his / her observations. This will be followed by discussion of the organizations/ groups with which our unit has the most significant interface. In the process, the group will develop shared listing of priority of our interfaces with other units.
3. Then the team members will put down their views and ideas in the Part B of the worksheet. This will be followed by sharing and discussion within the group.
4. The team leader/ coordinator should help the team draw out commonalities and differences among the views expressed. The group should explore the implications in terms of how systems/ processes can be set up to strengthen the interface relationships. The team will assign responsibilities to individuals who will spearhead the introduction of certain processes/ systems for enhancing the quality of relationships with specific groups/ organizations. It should also examine what would be necessary to sustain the changes.

4.5.1. DEVELOPING WIN-WIN PARTNERSHIPS WORKSHEET

1. List the organizations / groups with which we have to work closely. For drawing up the list, please consider the other parts of the organization (other departments), customer groups, NGOs, media, other parts of your own organization (like central office, district office etc). Against each group, indicate how important the interface with that organization is for effective overall performance. Use the following scale for rating:

1	-	Not very Important
2	-	Somewhat Important
3	-	Very Important

Name of the organization / group with whom our unit has an interface	Rating (1, 2 or 3)

2. For each organization/ group for which your group members have given 'Very Important' rating, fill up the response sheet on the following page. For each of these stakeholders, answer the following questions.

Name / Identity of the organization / group: ____________________

1. How do we understand their requirements?	
2. Can we improve our communication with the other group or organization so that we get to know them better?	
3. Have we thought about: What information the organization/ group needs from us? How will it be given to them? Who will provide them this information?	
4. Have we provided enough opportunities for the other organization or group to provide us input and feedback?	
5. Have we identified any quick wins in our collaborative relationships?	
6. How do we involve them in our planning process so that we can establish a win-win relationship?	
7. How can we develop ground rules for how the interactions	

would be held, how the decisions would be made and how grievances would be handled?	

4.5.2. STRATEGIES FOR BUILDING EFFECTIVE PARTNERSHIPS

STRATEGIES	COMPONENTS/CONSIDERATIONS
Agree on common goals	• Ensure goals are compatible with those of team members and their organizations • Set and maintain project timelines • Define indicators of progress towards goals • Establish measures for indicators and goals
Clarify roles and Responsibilities	• 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	• Build on individual strengths

	• Share and balance power, practicing flexibility to create trust • Develop a protocol for managing disagreements • Form consensus on new partners
Commit the necessary resources	• Utilize existing resources optimally • Deliver what you have promised • Make use of intellectual, social, and financial capital
Create a flexible, trusting climate	• Be trustworthy. • Keep your commitments. • Commit to the common good • Create a common language • Share credit • Seek out trusted sources for new situations/collaborators

SOME CLOSING COMMENTS

This hand book has been prepared to help you reflect on certain important facets of leadership in government organizations. We have attempted to present the current perspectives, ideas, tools and practices on the subject.

As we are aware, the reform process in the government is aimed at aligning public services with the needs of contemporary society. This change process presents three important challenges for our organizations. First, they must be ***efficient*** in terms of costs and resources. Second, they must be ***responsive*** to customers, citizens and the community at large. Third, they must be continuously ***learning***. To address these challenges, leadership is very critical.

With relentless pressures of globalization, decentralization and advances in communication and information technologies, we would be functioning in an era of constant change. In the midst of constant change, is there anything in an organization that remains and that should remain unchanged? It is our belief that the fundamental values that drive leadership behaviour must never be discarded.

Few would disagree with the contention that we live in a knowledge-based society. Knowledge is continuously changing. New knowledge is replacing old knowledge. Knowledge is also increasingly becoming the basis of status, wealth and power. The tools and techniques presented in this handbook constitute the knowledge of leadership. They represent the "head" of an organization.

Values such as compassion, tolerance, respect, service, trust and integrity represent the "heart". As we bring this handbook to a close, we leave you to ponder over the following words:

'W***hat is greater than knowledge?' asked the mind.***

'A heart than can see and care,' whispered the soul.