Toolkit

Resources to support managers who lead

This toolkit provides managers and facilitators with exercises and tools to improve managers' skills in leading and managing teams and strengthening individual and team performance to produce results. Each resource provides step-by-step guidelines for facilitating small or large group work and practicing leadership and management skills.

The resources in the toolkit are organized in the order in which they are first referenced in the handbook chapters. Many of these resources are also referenced in other chapters since they are core resources to help managers lead and manage their teams—at any level and in any context. To look up resources by subject, please refer to the index in the back of the book.

Contents

EXERCISE Understanding leading and managing practices

PURPOSE

This exercise helps participants identify key leading and managing practices, and connects participants' own experience with the practices in the Leading and Managing Framework. It can be used as an introductory exercise with a large group or a small team, and serve as a springboard for more focused leadership and management activities.

RESOURCES NEEDED

- flipchart and markers
- four-by-six-inch cards or removable self-stick notes
- enlarged copy of the Leading and Managing Framework for posting on a wall, or a copy of the framework on two flipchart pages taped together
- copies of Handout: The Leading and Managing Framework

PROCESS

Preparation

- Make enough copies of the Leading and Managing Framework (Handout) for all participants.
- Prepare nine flipchart pages with one practice written at the top of each page (scanning, focusing, etc.), and one page with the heading "Other."
- Post the flipchart pages around the room and cover the headings.
- Set up the room so that there are four to six participants at each table.

Step 1. Introduce the definition of leading

- Ask the group what they think of when they hear the word "leader."
- Record some responses on the flipchart and reflect on the answers.
- If all answers relate to famous and charismatic people, explain that this is not the type of leading they will be discussing here, but that leading is an activity or practice that anyone—at any level—can engage in.
- Write the definition of leading on a flipchart: "Leading is enabling others to face challenges and achieve results in complex conditions."

Step 2. Reflect on practices of managers who lead

- Ask the participants to think of a person they know personally who leads and manages well.
- Use the definition of leading—"enabling others to face challenges and achieve results in complex conditions"—to guide their thinking.
- Ask them to think about what this person actually does (identify the practices).
- Have them work individually and write down on a piece of paper as many practices they can think of, trying to be as specific as possible.

Step 3. Gain agreement on key practices

- In small groups, ask the participants at each table to review the practices noted by each person.

- Have them develop a list of key practices that everyone in the group agrees are characteristic of managers who lead well.
- Ask them to write each practice on a four-by-six-inch card or on removable self-stick notes.

Step 4. Match practices identified by participants with the Framework

- Uncover the headings on the nine flipcharts that are hung around the room.
- Explain what each means; provide and ask for examples.
- Ask the participants to tape or stick their cards on the flipchart that best describes each practice they identified. (Use the flipchart marked “Other” for practices that do not appear to fit under any of the eight headings.)
- After all the cards are posted, in plenary, ask for volunteers to read the cards posted on each flipchart.

Step 5. Present the Leading and Managing Framework and reflect on practices

- In plenary, pass out copies of the Leading and Managing Framework to each participant.
- Discuss similarities to or differences with the practices they identified.
- Explain that the framework and this common set of practices were the result of research conducted with high-performing managers, research similar to the inquiry and discussion the participants have just conducted.

Step 6. (Optional) Tally strong and weak practices among participants

- Ask participants to reflect individually on the *one* practice in the framework that is their strongest and the *one* that is their weakest.
- For each practice on the framework, tally the number of participants who named it as their strongest. Do the same for the weakest practice.
- Mark the one practice that was identified most often as a strength and the one that was identified most often as a weakness. (This analysis may indicate trends in the organization.)

Wrap up and plan next steps

- Discuss with the group how these eight practices are all needed to effectively produce results in an organization. This framework will help them assess what they need to improve upon to lead and manage better, and will provide guidance for future activities.
- If the session is intended to be an introduction to managing and leading, Step 6 may provide a focus for subsequent sessions.

HANDOUT Leading and Managing Framework

Practices that enable work groups and organizations to face challenges and achieve results

Leading

scanning

- identify client and stakeholder needs and priorities
- recognize trends, opportunities, and risks that affect the organization
- look for best practices
- identify staff capacities and constraints
- know yourself, your staff, and your organization — values, strengths, and weaknesses

ORGANIZATIONAL OUTCOME
Managers have up-to-date, valid knowledge of their clients, the organization, and its context; they know how their behavior affects others

focusing

- articulate the organization's mission and stategy
- identify critical challenges
- link goals with the overall organizational strategy
- determine key priorities for action
- create a common picture of desired results

ORGANIZATIONAL OUTCOME
Organization's work is directed by well-defined mission, strategy, and priorities

aligning/mobilizing

- ensure congruence of values, mission, strategy, structure, systems, and daily actions
- facilitate teamwork
- unite key stakeholders around an inspiring vision
- link goals with rewards and recognition
- enlist stakeholders to commit resources

ORGANIZATIONAL OUTCOME
Internal and external stakeholders understand and support the organization' goals and have mobilized resources to reach these goals

inspiring

- match deeds to words
- demonstrate honesty in interactions
- show trust and confidence in staff, acknowledge the contributions of others
- provide staff with challenges, feedback, and support
- be a model of creativity, innovation, and learning

ORGANIZATIONAL OUTCOME
Organization displays a climate of continuous learning and staff show commitment, even when setbacks occur

Managing

planning

- set short-term organizational goals and performance objectives
- develop multi-year and annual plans
- allocate adequate resources (money, people, and materials)
- anticipate and reduce risks

ORGANIZATIONAL OUTCOME
Organization has defined results, assigned resources, and an operational plan

organizing

- ensure a structure that provides accountability and delineates authority
- ensure that systems for human resource management, finance, logistics, quality assurance, operations, information, and marketing effectively support the plan
- strengthen work processes to implement the plan
- align staff capacities with planned activities

ORGANIZATIONAL OUTCOME
Organization has functional structures, systems, and processes for efficient operations; staff are organized and aware of job responsibilities and expectations

implementing

- integrate systems and coordinate work flow
- balance competing demands
- routinely use data for decision-making
- coordinate activities with other programs and sectors
- adjust plans and resources as circumstances change

ORGANIZATIONAL OUTCOME
Activities are carried out efficiently, effectively, and responsively

monitoring and evaluating

- monitor and reflect on progress against plans
- provide feedback
- identify needed changes
- improve work processes, procedures, and tools

ORGANIZATIONAL OUTCOME
Organization continuously updates information about the status of achievements and results, and applies ongoing learning and knowledge

EXERCISE "Understanding leading and managing practices"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Using the Challenge Model

PURPOSE

This exercise is designed to familiarize a group with the process of applying the Challenge Model. To implement the Challenge Model in its entirety, follow the guidelines in Chapter 2 of this handbook.

The Challenge Model provides a systematic approach to achieving results in which groups identify and face one challenge at a time. The model leads you through a process of forming commitment to a shared vision that contributes to realizing your organization's mission, defining and owning a challenge, prioritizing actions for implementation, and working together to achieve results.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: The Challenge Model

PROCESS

Preparation

- Make enough copies of The Challenge Model (Handout).
- Review the steps and decide which other handouts you will need from other parts of the toolkit to introduce and review the Challenge Model process with your team.

Step 1. Review your organizational mission and strategic priorities

- With your team, form a common understanding of your organization's mission and strategic priorities. This understanding will help you shape your vision and make sure that it contributes to larger organizational priorities.

Step 2. Create a shared vision

- Work with your team to create a shared vision of the future that contributes to accomplishing the organization's mission and priorities. This shared vision will inspire the team to face each new challenge.

Step 3. Agree on one measurable result

- Pick an aspect of your shared vision and create one measurable result that you all want to achieve. This measurable result is what will drive your work. Because it is measurable, it allows you to monitor and evaluate your progress toward achieving it.

  Note that *finalizing* the result is an iterative process. As you learn more about the current situation and obstacles you need to overcome, you may need to adjust your stated result so that it is appropriate and realistic.

Step 4. Assess the current situation

- Scan your internal and external environments to form an accurate baseline of the realities or conditions that describe the current situation in relation to your stated result.

Step 5. Identify the obstacles and their root causes

- Make a list of obstacles that you and your team will have to overcome to reach your stated result. Use root cause analysis tools to analyze the underlying causes of these obstacles to make sure you are addressing the causes and not just the symptoms.

Step 6. Define your key challenge and select priority actions

- State what you plan to achieve in light of the root causes of the obstacles you have identified. (It helps to begin your challenge statement with "How will we . . . ?") Then select priority actions that you will implement to address the root causes.

Step 7. Develop an action plan

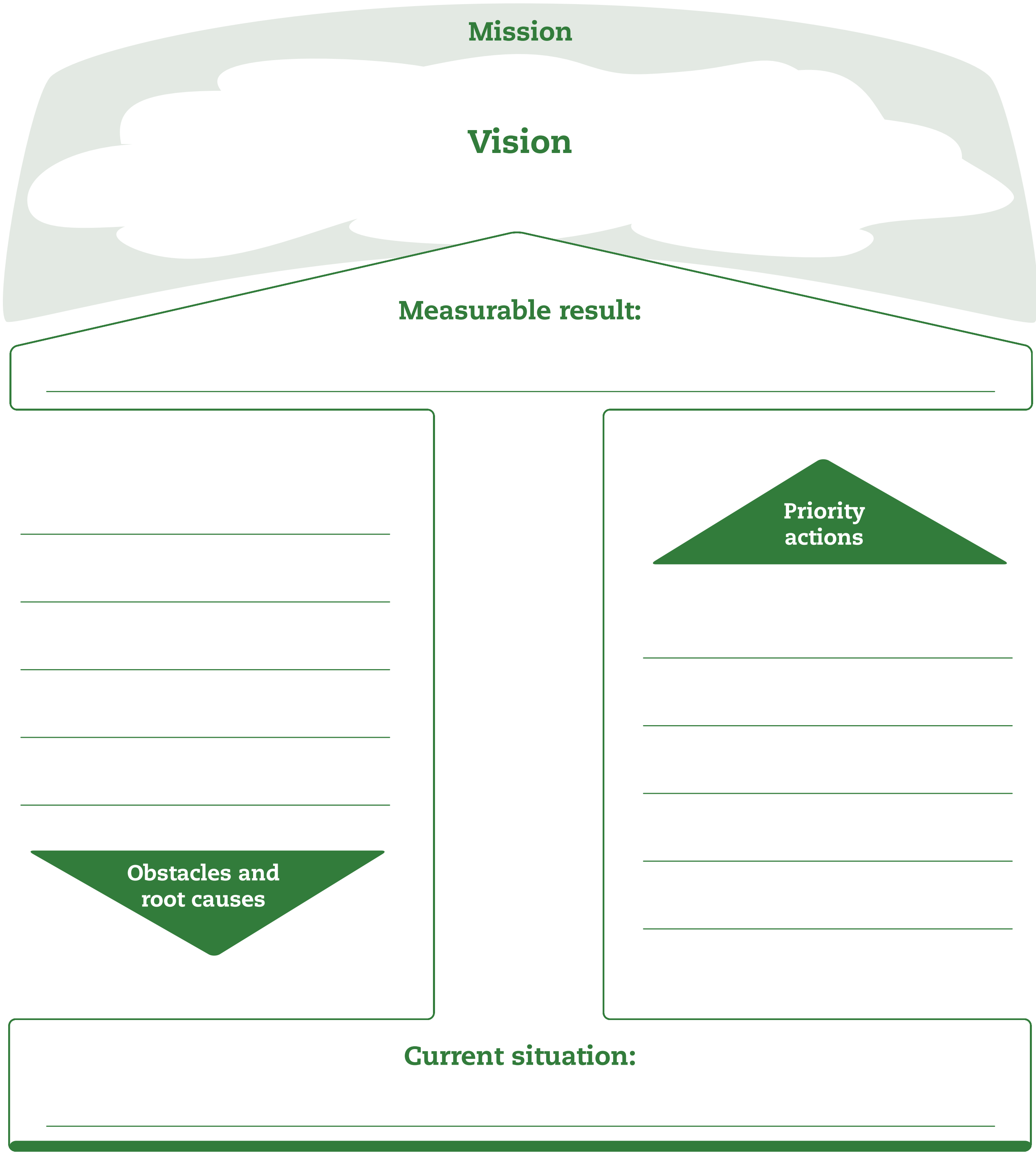
- Develop an action plan that estimates the human, material, and financial resources needed and the timeline for implementing your actions.

Step 8. Implement your plan and monitor and evaluate your progress

- Support your team in implementing the plan, and monitor and evaluate your progress toward achieving your result.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT **The Challenge Model**



Challenge:

[How will we achieve our desired result in light of the obstacles we need to overcome?]

EXERCISE "Using the Challenge Model"

EXERCISE Creating a personal vision

PURPOSE

This exercise helps to familiarize a group with the process of crafting a vision. It can be used as a warm-up exercise for creating a shared vision for a team or a whole organization. It is based on the questions about your personal vision on p. 204 of Senge et al. 1994.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: The Challenge Model

PROCESS

Preparation

- Make enough copies of the Challenge Model for all participants.

Step 1. Introduce and discuss vision

- In plenary, ask: "What is a vision?" Record some responses.
- Explain what a vision is: "A vision is an image of hope, something you truly wish to create."
- After discussing the use of visions in general, conduct an introductory exercise, "What's in a name?"
- Say: "Many names come from our parents or our family's vision for our future."
- Ask the following questions and have participants share their responses with one other person:
  - What is the meaning of your name?
  - Where does it come from?
  - What did your parents envision for your life?
- Discuss some examples of visions that were in our names.

Step 2. Create a personal vision

- Ask the participants to think about what they want for their own lives. Ask them to put down all papers, and close their eyes if they wish.
- In a quiet voice, ask the following four questions, allowing a lot of time between questions to imagine what they are creating.
  - Think about your personal life. What do you want your state of health or level of fitness to be? Imagine yourself and your body exactly the way you want it to be. What activities and hobbies do you want to be doing? Imagine yourself doing these activities.

  (Pause to allow people time to think.)

  - Think about your family and your relationships. Imagine yourself and others doing things and being exactly the way you most want yourself and them to be. See a picture of yourself and them together in this happy state.

  (Pause to allow people time to think.)

  - Think about your work. Imagine where you most want to be working. Who are you working with? Who are you serving? What are you doing?

  (Pause to allow people time to think.)

  - Think about your contribution to the world. What would you most like to contribute, to give back? What does it look like when you are giving something to society or your organization that you are proud of?

- After the participants have reflected on these questions, ask them to open their eyes and take a few notes on what they saw in their mind's eye.
- Put the headings for each question on a flipchart for them to refer to (personal life, family/relationships, work, and contribution to society).
- Ask the participants to find one other person and share their vision in the present tense with this person. (For instance, say "I am" or "I have. . . .")
- Give the participants about five minutes to share their thoughts. Then ask each person to find one more partner and repeat the sharing for five more minutes.
- If some participants are willing to share their personal visions with the larger group, ask for some examples.

Step 3. Discuss the elements of the Challenge Model

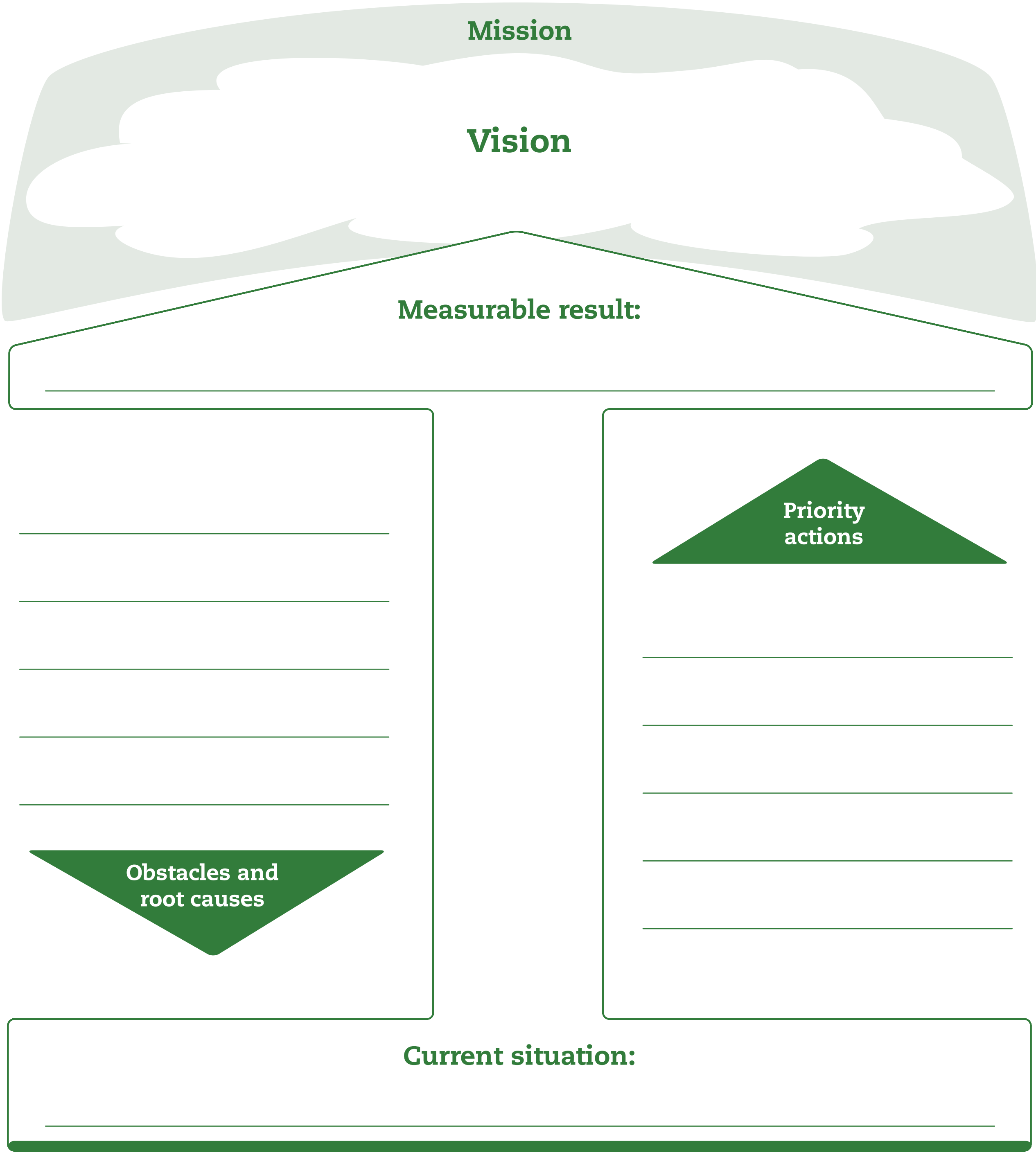
- In plenary, discuss how creating a vision is the first step in using the Challenge Model. (The next step is to identify a measurable result that will move them closer to their visions.)
- Discuss the elements of a vision and how the Challenge Model provides a framework for identifying ways to realize the vision.
- Discuss what the participants thought of this exercise. (Usually participants will report that the exercise was an energizing, inspiring, and unusual experience.)

Wrap up and plan next steps

- Close the conversation by pointing out the shift in energy as a result of the vision work.
- Ask the participants why they think the shift took place.
- Ask why they think a personal vision is relevant to people working together in a team or organization. This conversation can then be used as a bridge to creating a shared vision.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT The Challenge Model



Challenge:

[How will we achieve our desired result in light of the obstacles we need to overcome?]

EXERCISE "Creating a personal vision"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Creating a shared vision

PURPOSE

This exercise, an adaptation of the exercise in chapter 2 of the handbook, can be used to guide a very large group through the process of creating a shared vision.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ four-by-six-inch cards or removable self-stick notes (two different colors)

PROCESS

Step 1. Imagine the future

- Say: "We are going to create a shared vision. This is the picture of what we want to create in the future together. We are not going to discuss the obstacles now, but what we most want to see happen."
- Ask the participants to think about a time in the future.
- Say: "Imagine it is two (or more) years from now and we are looking back. We have accomplished all that is important to us. What picture do you see in your mind that represents that accomplishment?"
- Ask each participant to write a newspaper headline reporting on the group's accomplishments in the year 20_ _ (two or more years from now). Each individual writes a statement to describe what he is most proud of.

Step 2. Integrate your vision with others

- Group the participants in pairs and ask them share to their visions of their future accomplishments with each other.
- Ask each pair of participants to create one shared vision combining the best aspects of both visions.
- Have groups of four (two pairs), discuss the combined visions.
- Have each group of four further combine the visions to arrive at one shared vision.

Step 3. Record key elements of vision statements

- Ask each group of four to record the key elements or phrases of their vision statement on four-by-six-inch cards or removable self-stick notes. (Give each group six to eight cards; groups should write only one element or key phrase on each card.)

Step 4. Organize elements and key phrases into categories

- Ask each group, one group at a time, to tape its cards showing key elements on the wall (or on a set of flipcharts taped to the wall).
- Ask each successive group to place its cards with other cards that have similar elements. If a card doesn't fit with any other card, it stands alone.
- Once all the cards are posted, ask the participants to come up to the wall and move the cards around, grouping similar messages and phrases together until they are all arranged into categories. (For example, put all the cards related to serving clients in

one category, and all the cards related to clean clinics in another category.) It is okay to have a lot of people moving the cards around, since this process tends to generate good discussion.

- Alternatively, this categorization can be done in a plenary session, in which you ask the participants to suggest which cards should be grouped together (or remain apart).
- Decide on a name for each category, write the name on a new card (of a different color), and place the card above the appropriate groupings of cards.
- Read all the categories aloud.

Step 5. Draft a shared vision statement

- Have a small team synthesize the messages that pertain to each category and write a statement that reflects the shared vision. Remind the team to retain the pride and feeling that the vision expresses. This synthesis is best done overnight or during lunch break.

Step 6. Present the draft shared vision statement

- Write the shared vision on a clean flipchart.
- Put the shared vision statement in the front of the room for all to see. This initial shared vision statement will probably need to be fine-tuned. It should help guide further discussions and refinement.

Wrap up and plan next steps

- Decide on a deadline for finalizing this draft vision statement and who needs to be involved in finalizing it, and finalize the vision statement.
- Discuss with the group how to use the vision as an alignment tool:
  - Discuss the final vision statement with people (other stakeholders) outside your immediate group who need to know your vision or could help you move closer to realizing the vision.
  - Make the vision statement accessible (and easily visible) to everyone who will be involved in working to achieve it.
- Remember that the process of creating a vision together is what makes it powerful. Giving the statement to others who were not involved in the process will not have the same power.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Creating a shared vision in a picture

PURPOSE

This exercise guides a group through the process of creating a shared vision using images and pictures rather than words. Use it as a precursor to using the Challenge Model. The drawing keeps people from writing down clichés or abstractions that have little personal meaning or fail to inspire them.

RESOURCES NEEDED

- ❑ flipchart and markers for each group
- ❑ crayons or pencils (preferably in several colors)

PROCESS

Preparation

- Have handy blank flipchart paper for each table and a set of markers and pencils or crayons (colors are nice to have but not essential).

Step 1. Create a picture of a desired future state

- Divide the participants into small groups of four to six people.
- Ask everyone to dream about the future of their group or organization.
- Have each participant make a quick sketch of an image that come to mind.

Step 2. Share drawings with other group members

- Ask the participants to show and explain their images to the others in their group.

Step 3. Prepare one drawing per group

- Ask each group to prepare one large drawing (flipchart size) that captures the collective dream of the members in their group. (This process encourages the participants to defend elements that are important to them and omit elements they do not care strongly about.)

Step 4. Present small-group drawings

- Ask each group to present its large drawing to the plenary group. (If necessary, have the group clarify parts of the drawing that are not clear. If other participants criticize what a group has drawn, the group should defend the dream in such a compelling way that the rest of the groups accept it.) The drawings can be altered at any time.
- While the small groups present their drawings, summarize the elements and concepts that the drawings portray on a separate board or wall chart.

Step 5. Review the elements and concepts represented in the drawings

- When all the groups have completed their presentations, review (in plenary) the elements and concepts that you recorded.

Wrap up and plan next steps

- Invite a small group of people who write well to transform the elements of the vision into an inspiring piece of prose. Some groups have found it inspiring to hold on to the picture.
- You might also ask a local artist to take the sketches and do an artistic rendering of the result of the exercise.
- Explore in a closing reflection with the group how this image of their shared vision might change as they work together.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Recognizing your sphere of influence

PURPOSE

This exercise helps people think about what is under their control to change and what is not given their role or position in their program or organization. It helps them learn about where they can be most successful in influencing changes and provides guidelines for aligning and mobilizing others.

RESOURCES NEEDED

- ❑ flipchart and markers

PROCESS

Preparation

- Prepare a flipchart with three concentric circles of increasing diameter.
- Write the serenity prayer on another flipchart page: "Give us grace to accept with serenity the things that cannot be changed, courage to change the things which should be changed, and the wisdom to distinguish the one from the other." Keep this page covered until the end of the exercise.

Step 1. Define circles of control and influence

- In plenary, discuss the three circles with the participants to distinguish between:
  - inner circle: what we have direct control over
  - middle circle: what we can influence
  - outer circle: what we have no influence over
- Ask for examples for each circle, such as:
  - inner circle: our behaviors, our actions, our attitudes
  - middle circle: our neighborhood, our church, our work environment, friends, colleagues, family (We can influence them but we cannot control them.)
  - outer circle: natural phenomena such as earthquakes or weather, politics and policies that fall far outside our personal reach, the behavior of people we have no contact with
- Ask the participants in which circle they spend most of their mental energies and which circle is the source of many of their worries and conversations.
- Discuss how they can divert their attention to the inner and middle circles and how doing so can indirectly affect the outer circle.

Step 2. Discuss practices that help people have a positive influence

- In small groups, ask the participants to reflect on and discuss what practices they need to use to be effective in influencing others.
- Ask them to make a list to present to the larger group.

Step 3. Present practices that support influencing others

- In plenary, have the teams present their reflections on influencing practices.
- When the participants are making presentations, coach them about their influencing skills related to how they communicate (for example, are they well prepared? making eye contact with their listeners, speaking effectively overall?)

Wrap up and plan next steps

- Present the flipchart with the serenity prayer.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Developing measurable results

PURPOSE

This exercise helps participants create a measurable result for their vision. It shows how to define measurable results when using the Challenge Model. This exercise should be used after the group has created a shared vision.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of two handouts:
  Handout 1: SMART Criteria
  Handout 2: The Challenge Model

PROCESS

Preparation

- Make enough copies of two handouts for all participants: the SMART criteria (Handout 1) and the Challenge Model (Handout 2).
- Draw the Challenge Model on a flipchart.

Step 1. Choose a desired result as one element of the vision

- In plenary, ask the participants to pick one aspect of their vision to put into action. For example, if the vision is "Patients receive the best and safest care in our unit," ask participants what would be a compelling result that would indicate that they are moving in that direction.
- Distribute the handout of the Challenge Model and reveal the flipchart with the Challenge Model.
- Write the vision in the top in the image of the cloud.
- Ask them what would be a compelling, measurable result that would indicate that they are moving in that direction?
- Give the participants some time to come up with a number of results that they believe will get them to their vision. Write these on a separate flipchart.

Step 2. Write desired results that meet SMART criteria

- Distribute Handout 1, the SMART criteria. Using a few examples, show what each letter of the acronym means.
- Divide the participants into small groups and ask them to make the measurable results written on the flipchart "SMARTer" and/or brainstorm other results.
- Check the groups' work in plenary to see whether they meet the SMART criteria. Coach groups individually if they need more help.

Step 3. Define measurable results in the Challenge Model

- Ask the groups to develop one measurable result that everyone can agree on.
- Have each group write its measurable result in the Challenge Model, Handout 2.
- Ask each group to discuss the current situation in relation to the intended result.
- Have each group articulate its challenge: "How do/can/will we . . . ?"

Wrap up and plan next steps

- Explain how this gap between what the group wants as a result in the future and what is currently in place creates a tension. This tension, like any tension, seeks resolution. The natural tendency to resolve tension will give the group the energy to move toward its vision.
- Once the challenge is framed, remind the group that they can now apply the managing and leading framework (scanning, focusing, etc.) to their challenge to better understand it and find out what to do to address it.

HANDOUT 1 SMART Criteria

One of the single most productive things a group can do is make its intended results clear.

When you decide on a desired result, make sure that you have a clear set of indicators. To meet the SMART criteria, results must be:

Specific . . .
clearly written to avoid differing interpretations

Measurable . . .
to allow for monitoring and evaluating progress toward achieving the result

Appropriate . . .
to the scope of your program or work activities, so that you can influence or make changes

Realistic . . .
achievable within the time allowed

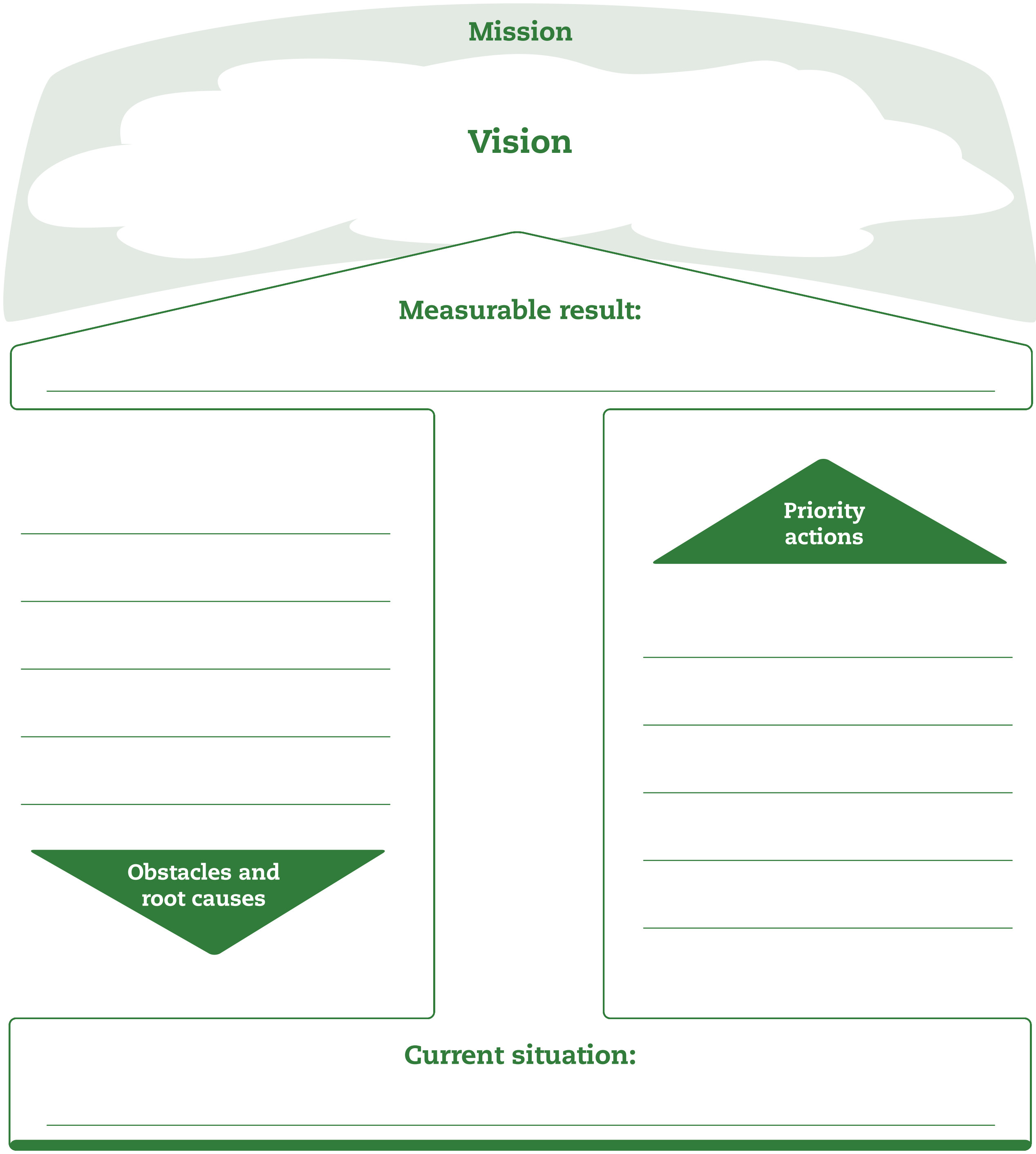
Time bound . . .
with a specific time period for completion.

Example of a measurable result

For a program whose mandate is to prevent the spread of HIV/AIDS:
The number of voluntary counseling and testing sites in the district will increase by 50% in the next 12 months.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT 2 The Challenge Model



Challenge:

[How will we achieve our desired result in light of the obstacles we need to overcome?]

EXERCISE "Developing measurable results"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Analyzing stakeholder interests and concerns

PURPOSE

This exercise helps a group of people or organizations that have come together to pursue a common goal to identify key stakeholders (individuals and groups), understand their interests and concerns, and strategize on how to get their support.

RESOURCES NEEDED

- ❑ flipchart and markers (or an overhead projector to use in Step 4)
- ❑ copies of Handout: Stakeholder Analysis Worksheet

PROCESS

Preparation

- Make enough copies of the Stakeholder Analysis Worksheet (Handout) for all participants.

Step 1. Reflect on the role of stakeholders when pursuing a new initiative

- Explain that "having a stake" means being affected by the outcome of an activity and/or being able to influence the outcome positively or negatively.
- Suggest that sometimes we approach stakeholders as if we know what their concerns and interests are. If our assumptions turn out to be wrong we may distance them, rather than align or mobilize them. Find out if people in the room have had this experience (for example, when dealing with groups with which they ordinarily have little contact).
- Explore people's experiences with ignoring stakeholders' concerns by asking, "What happened when we don't pay attention to a particular group that has a stake in the outcome of an initiative we pursue?"
- Ask for ways in which they can find out about stakeholders' concerns and interests.

Step 2. Identify stakeholders

- Referring to the common goal, ask participants: "Who are the people (groups or individuals) who have a stake in the success of our initiative?"
- Brainstorm and record answers. If the list gets very long, create categories to group the answers (for example, private for-profit, NGOs, international donors, government agencies, community groups, professional and educational institutions, religious or political entities).
- Identify the most critical people or groups with an asterisk, or circle them.

Step 3. Identify stakeholder interests and concerns

- Divide the participants into small groups of four to six people per group.
- Divide up the stakeholders that were marked as most critical among the small groups.

- Ask each small group to fill in the Stakeholder Analysis Worksheet (Handout) for the stakeholder group(s) assigned to them.
- Remind the group that there may be representatives from some of the stakeholder groups in the room, making it easy to verify assumptions.
- Have them make a note if there is a stakeholder group they know very little about. This is a reminder to do more scanning later.

Step 4. Verify conclusions and assumptions

- In plenary, ask each small group to present its filled-in worksheet (on a flipchart or using an overhead projector).
- Ask the large group to add missing information, complement the analysis, and correct any errors. If there are representatives from stakeholder groups in the room, ask them to comment. This is a great opportunity to check assumptions.
- If specific actions need to be taken to get stakeholders on board or engaged, decide who will do what. Record the decisions made so that they can be revisited at a future meeting.

Wrap up and next steps

- Compile all the information from the worksheets produced by each small group into one master worksheet including all stakeholders.
- If specific resources are needed from particular groups, use the exercise "Mobilizing Stakeholders to Commit Resources" to create a detailed plan for making requests to stakeholders to commit resources.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT **Stakeholder Analysis Worksheet**

Stakeholder group or individual	What are they most interested in?	What is their biggest concern?	What do we need to do to get their support?

EXERCISE "Analyzing stakeholder interests and concerns"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Diagnosing root causes: The Fishbone and Five Whys Techniques

PURPOSE

This exercise helps participants to understand how to diagnose root causes in the Challenge Model. Use it in conjunction with the Challenge Model to make sure that you are planning actions that target the root causes of obstacles, not just the symptoms.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of two handouts:
  Handout 1: The Fishbone Technique
  Handout 2: The Five Whys Technique

PROCESS

Preparation

- Make enough copies of the Fishbone Technique (Handout 1) and the Five Whys Technique (Handout 2) for all participants.

Step 1. Introduce the Fishbone and Five Whys techniques

- In plenary, draw on a flipchart a picture of a tree, showing its roots.
- Explain that root cause analysis helps us see beneath the surface to understand the causes of a problem or obstacle.
- Say to participants: "We are learning to diagnose organizational problems, in the same way that we learn to diagnose medical problems."
- Explain that we need to ask "why" to understand the underlying causes of symptoms.
- Draw a picture of the Fishbone Diagram on the flipchart, and label each bone: People, Policies, Processes and Procedures, and Environment.
- Explain that these four areas help us diagnose the causes of organizational problems or obstacles that are preventing you from achieving your desired result.
- Use a concrete example that participants can relate to (for example, people are not coming to the clinic for prenatal care).
- Ask participants to come up with reasons for this state of affairs according to the categories.
- Write on a separate flipchart next to the tree: Why? Why? Why? Why? Why? For each of the fishbone categories, ask "why" five times to come up with the root causes for the example chosen.

Step 2. Practice the Fishbone and Five Whys techniques

- Divide the participants into small groups of four to six people and ask each group to select a desired, measurable result to work with.
- Ask them to identify one obstacle that is preventing them from achieving that result.
- Distribute the Fishbone and Five Whys handouts.
- Ask each group to brainstorm the root causes of that obstacle, using the categories of the Fishbone and the Five Whys in the same way as was demonstrated in plenary.

- Circulate among groups or listen closely to the group's deliberations and remind them to go beyond statements such as "lack of resources." Push them to a high-quality analysis.
- Have participants mark those causes that they can do something about.

Step 3. Report on progress

- In plenary, ask each team to report on its progress.
- Discuss any concerns or questions.
- Have the teams continue to work on their analyses of root causes until they are completed for one obstacle.

Wrap up and plan next steps

- Explore with the participants how they felt after the analysis. It is important for people to gain a sense of control, especially if they usually feel powerless.
- This analysis can help participants become aware of areas in which they can actually change things. The exercise should create significant energy for change.

HANDOUT 1 The Fishbone Technique

PURPOSE

To identify the root causes of the obstacle(s) you have identified that is keeping you from achieving your intended result.

PROCESS

Step 1. Write your obstacle in the Fishbone Diagram

- In the box on the far right side of the diagram, write one obstacle you have defined in your Challenge Model.

Step 2. Brainstorm possible causes

- Discuss each category (main factors) and brainstorm possible reasons why this obstacle is creating a gap between your intended result and the current situation.

  People. Knowledge, skills, feedback, motivation, support

  Policies. Rules and regulations that you can affect

  Processes and procedures. Standards, equipment

  Environment. Ministry of Health, community, other stakeholders

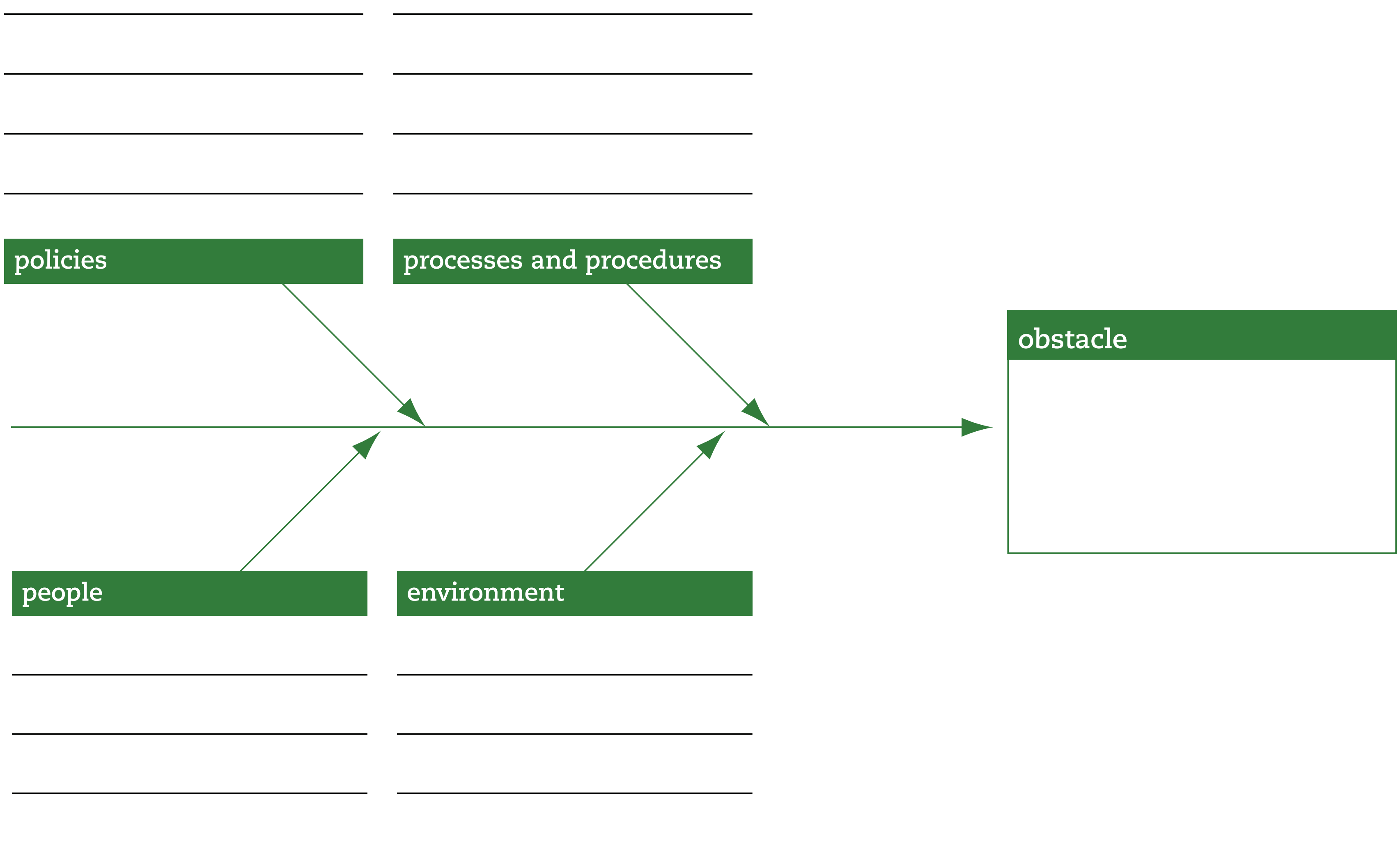
  The categories are designed to help organize your ideas. As a group, look for the possible causes of the performance gap, and classify them in accordance with the categories. You can select other categories if these don't apply to the group's situation.

Step 3. Connect the categories to the central spine of the diagram

- Draw arrows from each category to the central spine, as shown in the diagram.

Step 4. Identify the causes that are most responsible for the problem

- For each category, probe deeper to understand the factors that sustain the current situation and keep you from moving to your desired result. Use the Five Whys technique to help you probe.
- Brainstorm and write the group's ideas directly on the diagram.
- Think about and select those causes that, if successfully addressed, will allow you to make significant progress toward the desired result. Circle these causes.



From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT 2 The Five Whys Techniques

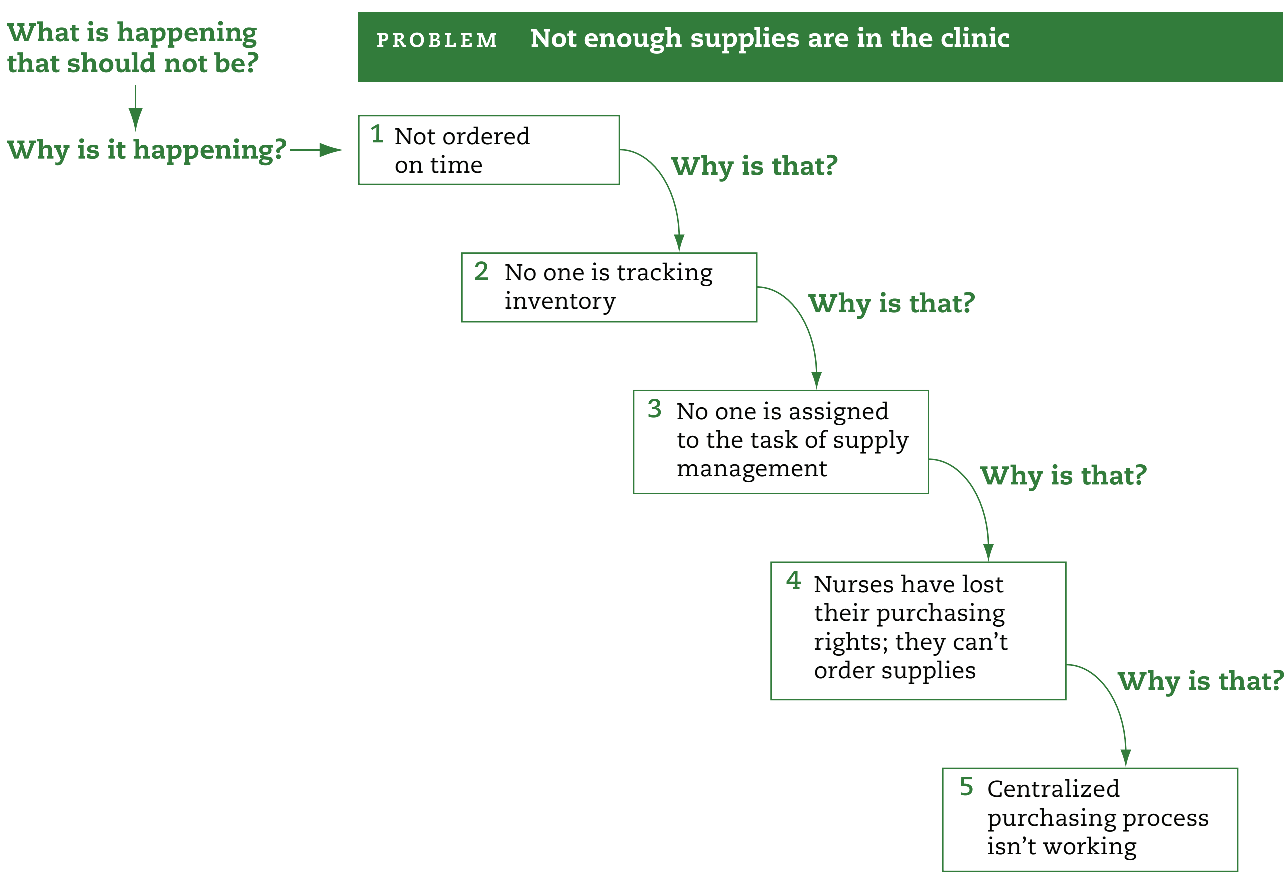
PURPOSE

The Five Whys exercise is a questioning technique, developed by Imai Masaaki, for getting beyond obvious symptoms and identifying the primary or root causes of a problem. Asking "why" five times prevents mistaking symptoms for causes, so that you can work on addressing the underlying factors that are causing the problem rather than working on the wrong causal factor.

PROCESS

When you are working with a cause-and-effect diagram and have identified a probable cause, ask, "Why is that true?" or "Why is that happening?" To each answer ask "why" again. Continue asking "why" at least five times, until the answer is "That is just the way it is, or that is just what happened."

EXAMPLE



EXERCISE Distinguishing challenges from problems

PURPOSE

This short exercise introduces participants to the idea of "facing challenges" as a leadership activity. It is an inquiry into people's positive experiences in facing challenges. Use it as an introduction to visioning, a conversation about leadership, or as a warm-up for a planning process.

RESOURCES NEEDED

- ❑ flipchart and markers

PROCESS

Step 1. Introduce the concept of a challenge

- In plenary, ask: "Think of something that you have accomplished in your life that you are proud of, something that was a challenge for you and that involved overcoming big obstacles."
- Have the participants turn to their neighbors and talk about this. Make sure each person gets a turn.
- In plenary, ask for some examples. Note how in each case there was a shift from seeing something as a problem (for someone else to solve) to turning the problem into a personal challenge.

Step 2. Share what you have learned about facing challenges

- In small groups, discuss what you learned about what it takes to face a challenge and overcome obstacles.

Step 3. Reflect on what it takes to face a challenge

- In plenary, ask the groups to share what it takes to face a challenge (for example, persistence, hard work).
- Record responses on a flipchart.

Step 4. Discuss the difference between a problem and a challenge

- A problem is "out there" and something that often is blamed on external forces.
- A challenge is something you own.
- A challenge entails overcoming obstacles to achieve a result you are committed to achieving.

Wrap up and plan next steps

- Make an agreement with the group that before calling something a problem they will think about whether it may be a challenge that they are willing to own and practice their leadership skills on.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Setting priorities using the Priority Matrix

PURPOSE

The Priority Matrix helps participants rank actions based on their time to complete, cost, importance to quality, and availability of resources. This tool can be used to prioritize strategies and actions as part of developing an action plan. It assumes that participants have completed a root cause analysis first, so that the selected actions address the root causes of the problem and not just the symptoms.

RESOURCES NEEDED

- ❑ copies of two handouts:
  Handout 1: Sample Completed Priority Matrix
  Handout 2: Priority Matrix Worksheet (blank)

PROCESS

Preparation

- Make enough copies of the Sample Completed Priority Matrix (Handout 1) and the Priority Matrix Worksheet (Handout 2) for all participants.
- Draw the sample matrix (not filled in) on a large piece of paper so that everyone can clearly see it.

Step 1. Demonstrate the tool and list priority actions

- Distribute copies of the Sample Completed Priority Matrix (Handout 1) and explain how to use the matrix.
- Using a real challenge that one of the groups is facing, choose three actions that address the root causes of the obstacles that are preventing them from reaching their desired result.
- Using Handout 2, have the participants list the actions in the three boxes in the row under "Priority actions." (These actions need to be based on the outcome of a root cause analysis.)

Step 2. Rank each priority action on a scale of 1 to 3

- On a scale of 1 to 3 (with 1 providing the least benefit and 3 the most benefit), rank each priority action according to the time needed, cost to implement, potential for improving quality, and the availability of resources.

Step 3. Calculate the total points for each priority action

- Add the numbers in each column to see the total score for each action.
- The higher the score, the higher the priority of the action based on the criteria listed. (You may choose to add or change criteria to suit your specific needs.)

Wrap up and plan next steps

Check whether the priorities make sense to the participants and make sure that they feel they can actually implement these actions without having to wait for someone else's approval or resources.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT **Sample Completed Priority Matrix**

Criteria *rank from 1 to 3*	Priority actions: **Train counselors**	**Conduct community education seminars**	**Renovate clinics**
Time to implement *1= the most time* *3= the least time*	2	2	1
Cost to implement *1= the highest cost* *3= the lowest cost*	2	3	1
Potential for improving quality in the long term *1= the least potential* *3= the most potential*	3	2	2
Availability of resources *1= the least available* *3= the most available*	1	3	1
Total	8	10	5

This example illustrates that conducting community education seminars should be a priority. It doesn't mean that you don't carry out the other actions, but you should focus on those that will have the most impact on achieving your result, taking into account time and money.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT 2 Priority Matrix Worksheet

Criteria *rank from 1 to 3*	Priority actions ________	________	________
Time to implement 1= *the most time* 3= *the least time*			
Cost to implement 1= *the highest cost* 3= *the lowest cost*			
Potential for improving quality in the long term 1= *the least potential* 3= *the most potential*			
Availability of resources 1= *the least available* 3= *the most available*			
Total			

EXERCISE "Setting priorities using the Priority Matrix"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Mobilizing stakeholders to commit resources

PURPOSE

This exercise provides a planning process for aligning and mobilizing resources and other forms of support from stakeholders. It should be used after you have identified your measurable results and obstacles in the Challenge Model. It will help you focus your plans for approaching stakeholders and inform your action plan for achieving results.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: Resource Mobilization Request Form

PROCESS

Preparation

- Make enough copies of the Resource Mobilization Request Form (Handout 1).

Step 1. Brainstorm stakeholders

- Brainstorm with your team to develop a list of stakeholders from whom you need resources in order to overcome your obstacles and achieve results. (Stakeholders could include local community groups, other health units, other levels of the health system, local hospitals, or other organizations in your area.)
- Make a list of all stakeholders that could support you in achieving your results.

Step 2. Brainstorm resources desired and how to get them

- Discuss what resources each stakeholder has that you need. (Resources could include: skills, equipment, vehicles, funds, or nonmaterial resources such as support, endorsements, and ideas.)
- Brainstorm the request(s) you want to make of them.

Step 3. Fill in the Resource Mobilization Request Form

- Distribute the Mobilization Request Form (Handout 1) and together decide how you can get these stakeholders to support your effort to achieve your intended result(s).
- Decide what specific requests you will make of each stakeholder, who will be responsible for making the requests, and what the timing of the requests will be.

Wrap up and next steps

- Include the activities and timeline you have identified in your overall action plan.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Resource Mobilization Request Form

Name of stakeholder and resources needed	What specific request will we make of this stakeholder?	Who will make this request?	When will the request be made?

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Developing an action plan that leads to results

PURPOSE

This exercise helps groups develop an action plan incorporating the priority actions to be implemented to achieve the desired results and showing the human resources needed and the timeline for completing the actions. The exercise assumes that teams have defined their challenges, measurable results, obstacles and root causes, and priority actions using the Challenge Model.

RESOURCES NEEDED

- ❑ copies of two handouts:
  Handout 1: Action Plan Worksheet (blank)
  Handout 2: Action Plan (blank)

PROCESS

Preparation

- Make enough copies of the Action Plan Worksheet (Handout 1) and Action Plan Format (Handout 2) for the participants.
- Draw sample formats on large paper for all to see (not filled in).

Step 1. Demonstrate how to use the worksheets

- In plenary, give all the participants a copy of the two handouts.
- Explain how to complete the Action Plan Worksheet.

Step 2. Complete the Action Plan Worksheet

- Have participants work in their teams, each team working on its own challenge.
- Ask the teams to fill in the blank Action Plan Worksheet and discuss their reasons for choosing the priority actions to justify their choices.

Step 3. Complete the action plan

- Instruct teams to transfer the activities from the Action Plan Worksheet and enter them into the blank Action Plan.
- When they are filling in the Action Plan, ask the groups to:
  - list each priority action and the related sub-actions in the far left column;
  - assign a person who will be responsible for each activity;
  - note needed resources to complete the activity;
  - indicate the weeks or months during which this activity will be implemented.
- When the groups have drafted their action plans, have them present them in plenary or to you.

Step 4. Discuss action planning process

- In plenary, answer any questions that participants have about the action planning process.
- Remind them that they will be reviewing the action plans with their local managers and completing their plans with the entire team that has to implement the plan.
- Make sure that these action plans will be integrated with existing work plans and that individuals discuss activities outside their planned scope of work with their supervisors if the supervisors are not present in the group.

Wrap up and plan next steps

- List all your priority actions on a timeline showing when each activity and sub-activity will be carried out, who is responsible, and what resources are required.

HANDOUT 1 Action Plan Worksheet

Transfer the information from your work with the Challenge Model and insert it in the appropriate places in this chart.

Health District/Unit: ______________________________________

Challenge	Current situation (baseline data)	Measurable result

Root causes	Priority actions

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT 2 Action Plan

Health District/Unit: ______________________ Measurable result: ______________________

Actions	Person(s) responsible	Resources needed (human, financial, material)	Timeline															
			1st month				2nd month				3rd month				4th month			

EXERCISE “Developing an action plan that leads to results”

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Putting first things first: The Important and Urgent Matrix

PURPOSE

This tool, developed by Stephen Covey (Covey 2004), helps individuals and groups set priorities and learn how good management means putting first things first and organizing and carrying out work based on priorities. This tool will help individuals and groups learn that the most important thing is not managing time; it is managing ourselves!

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: Important and Urgent Matrix and discussion notes

PROCESS

Preparation

- Draw a large version of the Important and Urgent Matrix on a flipchart.

Step 1. Identify work activities using the Important and Urgent Matrix

- With large groups, divide the participants into small groups of four to six people.
- Present the empty matrix and explain the four quadrants. We spend our time on activities in one of four ways, by working on:
  - urgent and important things
  - urgent but not important things
  - important but not urgent things
  - not important and not urgent things.
- Clarify the words: *urgent* means it requires immediate attention. It is the NOW stuff! *Important* has to do with results: important activities contribute to your mission, values, and high priority goals.
- Ask each person to look at the matrix and think about the kinds of work-related activities she typically engages in.
- Since no one likes to admit that he is engaged in nonurgent and nonimportant activities, ask the group members to come up with a description of a typical work week for a manager like them and then slot the activities into the four quadrants.
- Calculate the total number of hours spent by this fictitious manager in each quadrant.

Step 2. Calculate the time you spent last week working on activities in each quadrant

- Have individuals do a similar exercise for themselves. For example, if you work a total of 40 hours in a week and you spent 20 hours in Quadrant I, that would mean that you spent 50 percent of your total work week doing urgent and important things (Quadrant I).
- Tell the participants: Once you have finished working on your matrix, turn to the person next to you and share your results.

- Ask small group members to discuss how they can shift the percentages so that there is more time for the important stuff (putting first things first).

Step 3. Discuss results in plenary

- If some participants are willing to share their results, note the percentage of time each person spent in each quadrant, then make a group chart.
- You can also discuss how they think they could do things differently to focus more on important priorities.

Step 4. Make a plan to put first things first

- Ask participants to:
  - make a list of what is most important in their work;
  - share this list with another person;
  - discuss what each person could do differently to put first things first.

Wrap up and plan next steps

- Relate this exercise to the organizational challenge that the group or each team is working on.

HANDOUT The Important and Urgent Matrix

	URGENT	NOT URGENT
IMPORTANT	**I** **Activities** ■ Crises ■ Pressing problems ■ Deadline-driven projects that are critical to your strategic priorities	**II** **Activities** ■ Preventing problems and anticipating future activities ■ Creating strategy, planning ■ Relationship building ■ Recognizing new opportunities ■ Recreation
NOT IMPORTANT	**III** **Activities** ■ Interruptions, some calls ■ Some mail, some reports ■ Some meetings ■ Pressing matters	**IV** **Activities** ■ Trivia, busy work ■ Interruptions ■ Some mail ■ Some phone calls ■ Time wasters

Quadrant I represents things that are “urgent and important.” Quadrant I activities are usually ”crises” or “problems.” They are very important, but look out! Quadrant I can consume you. As long as you focus on it, it keeps getting bigger and bigger until it dominates your work. There will always be crises that require immediate attention, but how many things are really urgent?

Quadrant II includes activities that are “important but not urgent.” It is the *quality* quadrant, where we plan and anticipate, and prevent things that otherwise might become urgent. *Quadrant II is the heart of effective personal management.*

Quadrant III includes things that are “urgent, but not important.” Plenty of us spend too much time in this quadrant. The urgency sometimes is based on someone else’s priorities. It is easy to believe that something that is urgent is also important. Look at what you classified as “urgent and important” in Quadrant I. Ask yourself if the urgent activity contributed to an important strategic objective. If not, it probably belongs in Quadrant III.

Quadrant IV includes activities that are “not urgent and not important.” It is the “waste of time” quadrant. Chatting, reading jokes, and gossiping are examples of these activities.

Impact of each quadrant on your energy and effectiveness

Results of living in Quadrant I: Stress, burnout, crisis management, always putting out fires

Results of living in Quadrant II: Vision, perspective, balance, control, few crises

Results of living in Quadrant III: Short-term focus, crisis management, feeling victimized and out of control

Results of living in Quadrant IV: Irresponsibility, work not completed on time (or at all), loss of your job

SEVEN KEY PRACTICES OF QUADRANT II

- Improving communication with others
- Better preparation
- Better planning and organization
- Caring for yourself
- Taking advantage of new opportunities
- Personal development
- Knowing what is important

The key practice is **knowing what is important!**

Most of your time should be spent in Quadrant II, Important and Not Urgent.

EXERCISE “Putting first things first: The Important and Urgent Matrix”

Source: Stephen R. Covey, *The 7 Habits of Highly Effective People: Restoring the Character Ethic,* pp. 151, 152–54, text adapted (Fireside edition, 2004).

EXERCISE Coaching your team through breakdowns

PURPOSE

This exercise is helpful when a group has experienced a breakdown and needs a process to resolve the issues. Designed for use with a small team that has been working together on an initiative or project, it helps make the process of addressing and resolving breakdowns a nonthreatening learning experience.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: Breakdown Conversation Worksheet

PROCESS

Step 1. Discuss what a breakdown is

A breakdown is any situation that:

- threatens progress toward a commitment
- presents uncertainty or difficulty
- stops effective action
- presents obstacles to our commitments.

Breakdowns normally lead to:

- minimizing or ignoring the problem
- blaming each other
- erosion of teamwork, trust, and effectiveness.

Step 2. Discuss new ways to approach breakdowns

Explain that:

- all large commitments have breakdowns;
- the greater our commitment, the more and greater the breakdowns: *"No commitment, no breakdown"*;
- breakdowns (when well handled) are a major source of breakthroughs: "finding a new way" to meet your commitments together.

Step 3. Practice a conversation about a breakdown

- Divide the group into pairs and distribute the Breakdown Conversation Worksheet (Handout).
- If the group consists of people who normally work together, ask the pairs to apply the questions from the worksheet to a real breakdown.
- If there is no common experience of a breakdown, participants can ask each other the questions from the worksheet about a personal experience.

Wrap up and plan next steps

- In plenary, have the pairs present their work.
- Summarize what participants have learned by asking: What else did you learn from this exercise?

HANDOUT Breakdown Conversation Worksheet

Think of the breakdown your team has recently experienced, and answer the following questions related to that breakdown.

1. What was the breakdown? Briefly describe what happened.

 ____

 ____

 ____

 ____

2. What were you committed to? Describe the commitment of you or your team.

 ____

 ____

 ____

 ____

3. What was missing that caused the breakdown to occur?

 ____

 ____

 ____

 ____

4. What did you learn?

 ____

 ____

 ____

 ____

5. What actions could you take now?

 ____

 ____

 ____

 ____

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Creating a climate of hope and possibility

PURPOSE

This exercise helps create a spirit of hope in a group by focusing on what is good, what is working, and what is most fulfilling. It is particularly useful for groups that have seen many problems, have little confidence in their ability to change things for the better, and lack a shared positive vision of the future. It is well suited to serve as preparation for an exercise on developing a shared vision or when there is much conflict or diversity in the group. It is suitable for a first meeting of a coordinating committee because it emphasizes our common humanity and common aspirations.

The theory of Appreciative Inquiry into organizational life, on which this exercise is based, was articulated by two professors (David Cooperrider and Suresh Srinastva) at the Weatherhead School of Management at Case Western Reserve University.

RESOURCES NEEDED

- ❏ flipchart and markers

PROCESS

Preparation

Review the following questions and make adjustments to the text that is in brackets to fit the group's situation. Prepare a handout for each participant.

1. Tell me about a time that stands out for you as a high point in your work as [your function], when you most successfully joined with others in bringing about positive organizational change in health services delivery. (If you have very recently joined the organization, think about your previous workplace.)
2. Tell me what it was about you that made this a high point. What values, characteristics, or qualities did you bring to the effort that made it so successful?
3. Imagine yourself as a helicopter hovering above your team. What do you see as the essential "life-giving" elements that sustain you as a work group?
4. Looking at the world around you in [your district, region, province, or country], what trends do you see that give you a sense of hope and confidence and that indicate to you opportunities for your organization to fulfill its mission?
5. [Omit this question if you plan to continue with a shared visioning exercise.] Imagine that we have all gone to sleep and woken up in the year 20__ [10 or 15 years from now]. What would you like to see around you as you wake up? Think about your family, your organization, and health [in your region, the world].

Step 1. Appreciate what is good and fulfilling

- Group the participants in pairs and ask each person to interview her partner using these questions. (Plan about 20 minutes for this first step.)

Step 2. Share stories in plenary

- In plenary, introduce the sharing by talking briefly about the importance of stories in our life, especially stories that nurture the human spirit, give hope, and encourage people to go on when circumstances are difficult.
- Instruct participants to present the essence of the story that emerged from the answers to questions 1, 2, and 3. In large groups (more than 20 people), ask participants to share some of the stories at their tables. For smaller groups, share in plenary.
- Make sure that people tell the stories about their partners, not themselves. Bragging is not acceptable in many cultures. In this way each interviewer can show appreciation for his partner.

Step 3. Debrief and record responses to Question 4

- Ask all interviewers if they heard a story that was particularly surprising or wonderful to them.
- After each person has told a story, ask the “owner” of the story if the recounting of it was more or less correct (but don’t let her retell the story).
- Ask the interviewer why he thought the story was so amazing. Then move on to the next person. Try to do this swiftly. If you have a small group you can cover all the stories; otherwise take a sampling of stories.
- Record the answers to question 4 on a flipchart (or have small groups summarize them and then record the summaries in plenary).
- Do the same for question 5 if it was asked.

Step 4. Review the results of the exercise and changes in perspectives

- Review what you have done.
- How did you feel when you came in this morning? How do you feel now? What caused the change?

Wrap up and plan next steps

- Have the participants reflect on everything that was discussed in the session and ask:
  - What can you use right away?
  - How?
  - Who would you like to have hear about the ideas we explored?
  - How can you create a similar sense of possibility in your own team?
- Suggest that people write about their intentions in a journal, if they wish.

EXERCISE The art of listening

PURPOSE

This exercise helps participants become more aware of their listening habits. It is useful for groups that need to improve their listening to clients, stakeholders, staff, or colleagues.

RESOURCES NEEDED

- ❑ flipchart and markers

PROCESS

Step 1. Introduce "bad" listening

- In plenary, tell the participants that they are first going to practice "bad listening."
- Conduct a role play in the front of the room.
  - Choose a person to do the role play with you.
  - Ask this person to try to tell you something that is important to her.
  - Role-play bad listening (for example, responding to interruptions, taking phone calls, reading other materials, giving short unresponsive answers, or bringing up other topics).

Step 2. Experience "bad" listening

- Group the participants in pairs and have one person talk for two minutes about something that he really cares about.
- Ask the other participant to show signs of not listening.
- Reverse roles and repeat this exercise for two minutes.

Step 3. Share how you felt not being listened to

- In plenary, ask participants how it felt to be listened to like that.
- Optional: Record responses on a flipchart.
- Summarize the consequences of not being heard (for example, reduced motivation, decreased personal and organizational performance).

Step 4. Introduce "good" listening

- Conduct a role play in the front of the room.
  - Choose a person to do the role play with you.
  - Ask this person to tell you something that is important to her.
  - Demonstrate good listening by paying attention and responding to her concerns.

Step 5. Practice "good" listening

- Group the participants in pairs and have one person talk for two minutes about something that he really cares about.
- Ask the other person to show that he is listening carefully by looking at the person speaking and occasionally asking questions for clarification.
- Reverse roles and repeat this exercise for two minutes.

Step 6. Share how you felt being listened to

- What does it feel like to be listened to well?
- Does it take more time to listen well than to listen badly?
- What is the impact of listening well on motivation and performance?

Wrap up and plan next steps

- What lessons do you take from this exercise?
- Who can we use these skills with?
- Discuss ways to practice better listening.
- Have people report to one another (colleagues, spouse, friends) what changed as they started to listen better to others.

EXERCISE Balancing advocacy and inquiry: Changing the pattern of conversation

PURPOSE

This exercise can be used to analyze the types of conversations and questions that block group learning and those that encourage it. Use it with groups or individuals that overuse either inquiry or advocacy. It can help you change the pattern of conversation in a group; encourage outspoken members to spend more time listening; and encourage reticent members to participate more fully.

RESOURCES NEEDED

- ❑ two flipcharts and markers

PROCESS

Preparation

- Prepare five flipcharts to be completed in plenary:

  Flipchart 1: Balancing Advocacy and Inquiry (see model below, Step 1)

  Flipchart 2: Inquiry that blocks learning (see model below, Step 2)

  Flipchart 3: Inquiry that encourages learning (see model below, Step 2)

  Flipchart 4: Advocacy that blocks learning (see model below, Step 3)

  Flipchart 5: Advocacy that encourages learning (see model below, Step 3).

Step 1. Discuss characteristics of advocacy and inquiry

- In plenary explain the difference between advocacy and inquiry
  - *Advocacy* is when you promote your own view, hoping others will accept it and change their minds.
  - *Inquiry* is when you are curious and try to understand the other's thinking and reasoning.
- In the first flipchart, fill in the four quadrants with behaviors (as shown in the chart below) as you answer the questions:
  - What types of conversations are high in advocacy? Low in advocacy?
  - What types of conversations are high in inquiry? Low in inquiry?
- Point out that anything in excess can create an undesirable situation. Mark these examples on the flipchart with an unhappy face:

SAMPLE COMPLETED ADVOCACY AND INQUIRY CHART (FOR FACILITATORS)

		ADVOCACY	
		HIGH	LOW
INQUIRY	HIGH	Dialogue: conversation to achieve deep understanding Discussion with learning as objective (interactive lecture)	Interview Focus group Survey Asking questions Interrogation
	LOW	Lecture Speech Explanation Sales pitch Imposing a point of view	Observation Disengagement

Source: Based on the Inquiry/Advocacy Matrix developed by Diana McLain Smith, in Senge et al. 1994, p. 254

Step 2. Discuss different types of inquiry

- In plenary, remind participants of the definition of inquiry: *Inquiry* is when you are curious and try to understand the other's thinking and reasoning.
- Ask for examples of questions we commonly use to elicit information, and reflect on the effects these questions have on others.
- For each question, ask "Does it encourage participation and learning, or block participation and learning? " Write the responses on the appropriate flipchart.
- List the questions from the brainstorming in the appropriate column to distinguish inquiry that encourages learning from inquiry that blocks learning by making others feel defensive.

SAMPLE COMPLETED TABLE OF TYPES OF INQUIRY

INQUIRY THAT BLOCKS LEARNING (DEPENDING ON TONE)	INQUIRY THAT ENCOURAGES LEARNING
■ Don't you agree? (especially when said in an intimidating way) ■ Did you do that because of X, Y, or Z? ■ Do you really think you did a good job? (when you think he did not.) ■ Why don't you just try what I'm suggesting? ■ Why didn't you just tell me? ■ Why are you so defensive? ■ Why don't you . . . ? ■ What's the matter with you?	■ How do you see this differently? ■ What's your reaction to . . . ? ■ What led you to that conclusion/ action? ■ Say more about that. ■ Why is that so? ■ What makes you . . . ? ■ What kept you from telling me? ■ How have I contributed to that? ■ How can I/we . . . ?

Step 3. Discuss different types of advocacy

- Identify types of advocacy (promotion) we use to persuade, and reflect on how these affect people (for example, a sales promotion for a new service or behavior change communication in a workplace AIDS prevention program).
- How does the type of advocacy affect people's stance toward you or what you are promoting?
- List types of advocacy in the appropriate column to distinguish types that encourage learning from types that block learning.

SAMPLE COMPLETED TABLE OF TYPES OF ADVOCACY

ADVOCACY THAT BLOCKS LEARNING	ADVOCACY THAT ENCOURAGES LEARNING
That is how it is! (withholding reasoning) Because I say so! (no discussion possible) Statements with "always" and "never"	When you do this, I . . . It seems to me that… Because of . . . , I believe that . . . My experience is that . . . What I see is that . . .

Wrap up and plan next steps

- In plenary, reflect on the consequences of having too much inquiry or too much advocacy, and point out the importance of balance between the two to encourage learning.
- Discuss and identify future opportunities to practice this balance (such as tallying the number of instances of inquiry versus advocacy in a meeting).

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Exploring each other's thinking: The Ladder of Inference

PURPOSE

This tool provides a systematic way to look at how your assumptions influence your conclusions and helps you see another's points of view. It can help you develop an awareness of your thought processes; select different data to reach new conclusions; and have more effective discussions with people who disagree with you or each other. The Ladder of Inference is most useful when you are faced with a view with which you disagree and you seem to be at a standoff.

RESOURCES NEEDED

- ❑ copies of Handout: Ladder of Inference

PROCESS

A. When someone disagrees with you . . .

Step 1. Ask yourself if you are open to learning from the other person

- Am I willing to be persuaded by a reasonable argument?
- Am I open to new information?

Step 2. Reflect on and disclose your data and interpretations

- Explain, "This is what I am thinking, and this is how I reached this conclusion," slowly move up the Ladder of Inference.

Step 3. Explore your understanding and that of others

- Ask the other person, "Does this make sense to you?" or "Do you see any gaps in what I just said?"
- Encourage the other person to explore your data and interpretations.

Step 4. Ask, "What do you see?"

- Solicit the views of others.

B. When faced with a view with which you disagree . . .

Step 1. Ask, "What happened?"

- What were the actual events that took place or the words you heard?

Step 2. What is your interpretation of those events?

Step 3. Listen, explore, and offer your own interpretation

Step 4. Listen for a larger meaning

- Do you see a different meaning emerging from sharing different interpretations?

C. When at a standoff . . .

Step 1. Explore what data and information are known and not known

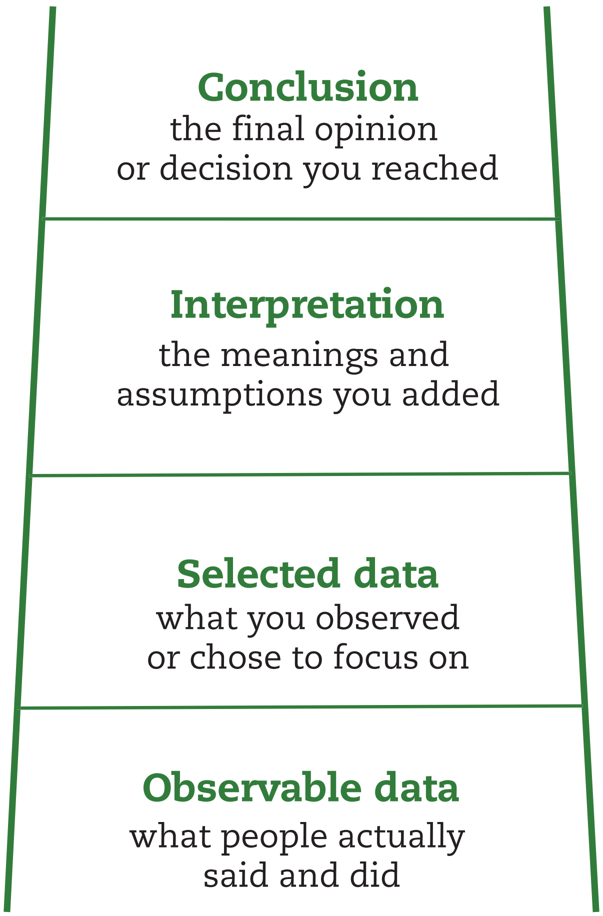
Step 2. Listen to ideas with a fresh perspective

Step 3. Look for information that will help move people toward consensus

- Ask from time to time, "What do we need to do to move forward?"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT **The Ladder of Inference**



EXERCISE "Exploring each other's thinking: The Ladder of Inference"

Source: Adapted from Argyris 1982 in THE FIFTH DISCIPLINE FIELDBOOK by Peter M. Senge, Charlotte Roberts, et al., copyright © 1994 by Peter M. Senge, Charlotte Roberts, Richard B. Ross, Bryan J. Smith, and Art Kleiner. Used by permission of Doubleday, a division of Random House, Inc.

TOOL Reflecting on communication: The ORID method

RESOURCES NEEDED

- ❑ copies of Worksheet: The ORID Method

PURPOSE

This tool provides a simple way to reflect on and reduce miscommunication in conversations with people at all levels of an organization. The process represents one of many applications of the ORID method, which stands for: be Objective, Reflective, Interpretative, and Decisional. It represents the natural process of the brain as it moves from observation to decision through a number of distinct phases. It encourages more detailed reflection than the Ladder of Inference and helps people to distinguish facts from emotions and make decisions about next steps to take.

PROCESS

Preparation

- Think of a specific conversation or meeting that resulted in conflict or negative feelings—perhaps a time when you had to tell a work group that they needed to improve their performance.
- Identify the person or people you spoke to and the purpose of your conversation.
- For each step, write your answers in the framework provided in Handout: The ORID Method.

Step 1. Consider the facts (objective level)

- Consider the objective aspects of the conversation—the facts.
  - What did you observe?
  - Who was there?
  - What did you see?
  - What did you hear?

Step 2. Reflect on your feelings and the other person's feelings (reflective level)

- Reflect on the emotional aspects of the conversation.
  - What did you have positive feelings about?
  - What did you have negative feelings about?
  - Were you ever excited, frustrated, pleased, or angry?
  - What did you assume about the other person's feelings?

Step 3. Interpret the significance of the conversation (interpretative level)

- What seemed most important to you?

Source: ORID was developed by the Institute of Cultural Affairs, a nonprofit organization with offices in Washington, DC, and other cities throughout the world. Adapted from *Winning through Participation: Meeting the Challenge of Corporate Change with the Technology of Participation* by Laura Spencer (Dubuque: Kenndall/Hunt Publishing, 1989)

- What was confirmed?
- What was not confirmed?
- What new insights did you get from this reflection?

Step 4. Decide on steps to take (decisional level)

- What conclusions did you come to?
- What change is needed?
- What are you going to do in the short term?
- What will you do in the long term?
- What do you need to explore further?

Wrap up and plan next steps

- Reflect on the insights you gained about yourself as a result of this exercise and think about what you will do differently next time.

SAMPLE COMPLETED ORID WORKSHEET

OBJECTIVE LEVEL—WHAT DID YOU OBSERVE?
Two people were present—myself and a doctor I supervise. We sat in my office, where it was hot and stuffy. The sun coming in the window was very bright. I had shut the door to reduce the noise from the hallway and keep our conversation private. I had several comments from the suggestion box that were complaints from clients who had to wait because the doctor had arrived late. When the doctor sat down, she looked expectantly at me. When I had shared my concerns with her, she turned red and waved her hands and talked in an agitated way. After that, she gave short answers to my questions.
REFLECTIVE LEVEL—WHAT DID YOU FEEL? WHAT DID YOU ASSUME ABOUT THE OTHER'S FEELINGS?
I had felt quite anxious at the start of this conversation and my stomach had been in a knot. I had determined that her behavior was unacceptable, no matter what the excuse might be! I had taken a few deep breaths to steady myself. I think the doctor was also nervous and perhaps resentful. After I read the comments from the suggestion box out loud, she appeared angry. I felt my own anger rise and tried unsuccessfully to repress it. I was angry about her lack of sympathy for our clients. After her outburst, the doctor seemed to withdraw and become emotionally distant.
INTERPRETATIVE LEVEL—WHAT NEW INSIGHTS CAN YOU GET FROM THIS REVIEW?
Perhaps because the conversation was very emotional, I failed to find out why the doctor was arriving late almost every day. I focused exclusively on the clients and their needs but did not explore the doctor's needs or the reasons for her arriving late. As her supervisor, I could have focused on enlisting her help in figuring out what had to be changed in order for her to arrive on time. Maybe it would have helped to discuss the negative impact that her behavior was having on the work climate of our group. For example, it is hard on her colleagues when they must deal with resentful clients.
DECISIONAL LEVEL—WHAT IMMEDIATE ACTION CAN YOU TAKE? WHAT DO YOU NEED TO EXPLORE FURTHER?
I will approach her with a friendlier demeanor and set up another supervisory appointment. For this next meeting, I will set an agenda, share it with her ahead of time, and stick to it in the meeting. I will put on my air conditioner and pull the blinds, so we will be more comfortable and feel more private. We will explore the root causes of her persistently late arrival and try to solve the problem together. We will set benchmarks for new behavior and arrange a follow-up meeting to discuss her progress.

WORKSHEET The ORID Worksheet

OBJECTIVE LEVEL—WHAT DID YOU OBSERVE?
REFLECTIVE LEVEL—WHAT DID YOU FEEL? WHAT DID YOU ASSUME ABOUT THE OTHER'S FEELINGS?
INTERPRETATIVE LEVEL—WHAT NEW INSIGHTS CAN YOU GET FROM THIS REVIEW?
DECISIONAL LEVEL—WHAT IMMEDIATE ACTION CAN YOU TAKE? WHAT DO YOU NEED TO EXPLORE FURTHER?

TOOL "Reflecting on communication: The ORID Method"

EXERCISE Giving useful feedback

PURPOSE

This exercise helps people learn how to give constructive or positive feedback to others about their behavior. Use it when people feel awkward about giving each other feedback or when there is much indirect complaining or negative talk behind people's backs.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: Feedback Form

PROCESS

Preparation

- Make enough copies of the Feedback Form (Handout) for all participants.
- Write the following four lines on a flipchart:
  - When you ____________________
  - I feel ____________________
  - The impact (on me or on the work) is ____________________
  - I would like it if you [request] ____________________

Step 1. Introduce giving feedback

- Check to see whether everyone in the group has received feedback at some point in their work life.
- Ask the participants to think of a time when they received feedback that was helpful. When it was not helpful?
- Have each participant talk about these two experiences with another person in the group.
- In plenary, ask for examples.
- Summarize the lessons from the individual stories as follows:
  - *Be specific* about the action that bothered you. Don't generalize by using words such as "always" or "never."
  - *Be specific* about an action that you liked, that had or would have a positive impact, and that you want to reinforce.
  - *Describe the impact* (positive or negative) of the action on you and your work.
  - *Make a specific request* for another action when an action or behavior has a negative effect.

Step 2. Practice giving feedback through a role play

- Divide the participants into pairs, provide each person with a copy of the Feedback Form (Handout) and explain the role play.

- Write the role play instructions on the flipchart as follows:
  - "Think of someone to whom you want to give feedback. This person may or may not be in the room. You will be practicing giving this feedback to your partner."
- Ask everyone to fill out the Feedback Form individually.
- Have each person practice saying what she has noted on the Feedback Form and provide any background if necessary for the partner to understand the context.
- Reverse roles so that the other person can practice giving feedback about a specific action or behavior of another person.

Step 3. Share experiences in giving effective feedback

- In plenary, ask the participants what it was like to give and receive feedback in this way.

Wrap up and plan next steps

- Discuss ways to practice giving useful feedback at work or at home.
- Ask the participants to report the results of their practice to someone else.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Feedback Form

When you are giving feedback, remember to:

- talk about a specific action
- talk about its effect on you and the work
- make a specific request for a different action.

Remember to speak respectfully: “Say what you mean, but don’t say it meanly.”

When you ____

[do something, a specific action]

I feel ____

[disrespected, etc.]

The impact is ____

[how it affects you or your work]

I would like you to ____

[do something, a specific action]

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Making effective requests and reducing complaints

PURPOSE

This exercise enables participants to be more effective in communicating requests and reducing the tendency to complain. Use it when there is much complaining and little direct contact about the issues that are being complained about. It is designed to be used with a large group composed of subgroups in an organization.

RESOURCES NEEDED

- ❏ flipchart and markers
- ❏ copies of Handout: Complaints versus Requests

PROCESS

Preparation

- Make enough copies of Complaints versus Requests (Handout) for all participants.

Step 1. Transform complaints into requests

- In plenary, explain to the participants that in organizations people usually have a lot of complaints.
- Ask them to give you some examples of complaints they have in their organizations.
- Record the examples on a flipchart.
- Take a few of the complaints and transform them into requests. Write the following on a flipchart and fill in the requests in the blanks in plenary.
  - Will you ____ *(specific person)*
  - please do this ____ *(specific action)*
  - by this time ____ ? *(specific time)*
- Write on flipchart:

  Three ways to respond to a request:
  - Yes
  - No
  - Counteroffer: “No, I can’t do that, but I can do this, or I can do it by some other time.”

Step 2. Practice writing out complaints as requests

- Distribute Handout: Complaints versus Requests to the participants.
- Ask each participant to write down three complaints.
- Ask them to rewrite these complaints as requests.

Step 3: Share your request

- Group the participants in pairs and ask each person to share his requests with his partner to see if it has all the characteristics of a good request.

Step 4. Report out on experiences

- In plenary, have the participants share examples of good requests.

Wrap up and plan next steps

- In plenary, review the box in the Handout: Complaints versus Requests.
- Encourage the participants to use these practices. They can make a request of someone soon after the workshop and note how that person handles the request differently from a complaint.

HANDOUT Complaints versus Requests

Complaints and requests: Principles in effective organizations

- People complain only to someone who can do something about the situation.
- People state their complaint in the form of a request.
- If you receive a complaint you cannot do anything about, you decline to listen to it, and refer it to someone who can do something about it (avoid gossip).
- If you receive a request, you are free to respond in the three ways (yes, no, or counteroffer).

Take one complaint and transform it into a request using the following format.

Request form

1. Will you ____ *(specific person)*
2. please do this ____ *(specific action)*
3. by this time ____? *(specific time)*

Three ways to respond to a request

- Yes
- No
- Make a counteroffer: "No, I can't do that, but I can do something else, or I can do it by some other time."

EXERCISE "Making effective requests and reducing complaints"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Inspire through building trust at work

PURPOSE

This exercise engages participants in a reflection about trust in the workplace. Use it to help people discover how to inspire others through building trust.

RESOURCES NEEDED

❑ flipchart and markers

PROCESS

Preparation

- Write the following definitions of trust on a flipchart; then cover the flipchart:
  - Trust: A firm reliance on the integrity, ability, or character of a person.
  - To trust: To increase one's vulnerability to another whose behavior is not under one's control in a situation where there may be risk.

Step 1. Conduct an inquiry about trust

- Introduce the topic of trust with a question: "Why is trust important for managers?"
- After getting some answers, ask people to think of someone they trust. What has this person done to earn your trust?
- Then ask them to think of someone they don't trust. What has this person done to lose your trust?
- Divide into pairs and have them discuss their thoughts about trust.

Step 2. Discuss earning and losing trust

- In plenary, ask pairs to share what they learned form this conversation about earning and losing trust.
- Record responses on flipchart with two columns labeled: How was trust gained? How was trust lost?
- Show them the definition of trust on flipchart. Ask whether this definition rings true.

Step 3. Review leadership practices that improve trust

- Divide the participants into small groups and ask them to discuss what leadership practices they can use to improve trust in their work.
- Have each group present its findings.
- Check whether the following practices are included (otherwise add them):
  - Treating others with respect
  - Cooperating rather than competing
  - Supporting and helping others
  - Looking for causes of problems in work processes rather than blaming people

- Using knowledge and competence rather than official status to influence others
- Admitting one's own mistakes and uncertainties.

Wrap up and plan next steps

- What can we take away from this exercise that can help us make our workplace more "trustful"?
- Record the participants' responses on a flipchart.
- Ask someone to type up the responses and distribute them to all participants.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Gaining commitment, not just compliance

PURPOSE

This exercise increases people's understanding of the difference between compliance and real commitment. This exercise can help a work group or a group of managers generate commitment to a set of complex tasks or a work plan. Use it when there seem to be problems with commitment in a group, or when people appear to comply out of fear.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ copies of Handout: Commitment versus Compliance

PROCESS

Preparation

Make copies of Commitment versus Compliance (Handout) to hand out during Step 2 of the exercise.

Step 1. Reflect on motivating factors of commitment

- In plenary, ask the participants to reflect individually on a time when they were really committed to doing something.
- Ask them to write down the factors that motivated them.
- Then ask them to think about another situation, where they were forced or obliged to do something.
- Have them create a new list with the reasons why they complied. Then instruct them to label their first list "Internal motivators" and their second list "External motivators."

Step 2. Discuss the meaning of commitment and compliance

- Distribute Handout: Commitment versus Compliance to the participants.
- Lead a group brainstorming session to discuss the following questions (alternatively, break up into smaller groups for this discussion, and share key group learning in plenary):
  - What is commitment?
  - What is compliance?
  - What is the difference in the types of performance they produce?
  - Explore when compliance is important.

Wrap up and plan next steps

- Ask the participants to reflect on their workplace situations and what they need to do to move from external to internal motivation.
- Ask the group to seek to make a commitment in instances when compliance can be turned into commitment.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Commitment versus Compliance

Source of motivation	Feeling	Outcome
Commitment (internally driven) You want to do something extraordinary You believe in it	Caring about the work Perservering in the face of obstacles Bringing new possibilities and options to the work and feeling empowered to overcome obstacles	Good results that you are proud of and care about
Compliance (externally driven) You have to do something	Acting to satisfy an external standard or requirement	Obedience to orders and working according to a plan
Formal compliance You do just what is required and no more	Usually sufficient to achieve organizational objectives Doing what one has to but is a routine way	Results that are expected
Noncompliance You don't do what is required	Refusing to cooperate and participate in work activities	No results
Malicious noncompliance You purposely do the wrong thing, although you may not object openly	Following the "letter of the law" but undermining desired results	Negative or sabotaged results

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Coaching to support others

PURPOSE

This exercise gives participants an opportunity to practice a short coaching conversation and explore its use in helping individuals become more effective. Use it when working with teams that are working on a challenge and need to build their coaching skills in order to sustain effective action.

RESOURCES NEEDED

- ❑ copies of:
  Handout 1: Coaching Principles
  Handout 2: Three-Person Coaching Exercise

PROCESS

Preparation

- Make enough copies of Coaching Principles (Handout 1) and Three-Person Coaching (Handout 2) for all participants.

Step 1. Introduce the concept of coaching

- In plenary, explain to participants the concept of coaching. A coach might be:
  - a midwife who supports a woman in delivering her baby;
  - a sports coach who helps a team win without actually being a player.
- Coaching is a leadership tool to support others to successfully address challenges and produce results.
- Coaching is: *enabling another person to reflect on his commitments and find new ways to achieve his intended results.*

Step 2. Conduct a role play demonstrating critical feedback

- In plenary, you and another facilitator (or you and a prepared participant) conduct a role play, presenting the following:

  First scene: A supervisor comes to visit a staff member to criticize her performance.
  - Rather than listening to her, the supervisor immediately starts to look at clients' records and logs and criticizes the staff member for some mistakes.
  - Rather than discuss the causes of the problems, the supervisor immediately begins to give solutions.
- Discuss the role play. Ask . . .
  - Does this situation seem familiar?
  - How does the person being coached feel?
  - Is her performance likely to improve from this interaction?

Step 3. Conduct a role play demonstrating effective coaching

- In plenary, you and another facilitator (or you and a prepared participant) conduct a second role play, presenting the following:

  Second scene: The supervisor coaches the staff member.

  - The coach first greets the staff member and asks how he thinks things are going.
  - The coach then asks questions to try to understand what:
    - the staff member is trying to achieve
    - actions she has taken
    - she thinks needs to be done next.
  - The coach stays in the "inquiry" mode and asks questions without offering solutions.
  - The coach gives the staff person an opportunity to think through her problems and offers her support by trying to understand how she sees the problem.
- Discuss the role play. Ask . . .
  - How does the staff member feel now?
  - Was she able to generate some solutions?
  - Is she likely to be more motivated now to perform?
- Distribute Handout 1: Coaching Principles and go over the principles in light of the role plays.

Step 4. Practice effective coaching

- Distribute Handout 2: Three-Person Coaching Exercise, and divide the participants into groups of three.
- Read the instructions and role for each person to practice coaching.

Step 5. Report on experiences

- In plenary, ask the participants to report to the large group on their experiences:
  - Hear from the observers what they saw.
  - Review the experiences of being coached: what was good and what could have been better.
  - Then review the experiences of coaching: what was easy and what was difficult.
- Discuss the challenges of being a coach and help the participants identify what they need to work on to become better coaches.

Wrap up and plan next steps

- Have the participants select an opportunity to coach or be coached at work and encourage them to practice.
- If all the participants work in the same organization or team, they may consider forming a coaching support group to periodically discuss progress and common challenges.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT 1 Coaching principles

Coaching is a conversation in which the coach is committed to the development and success of the person being coached.

A coach helps the other person:

- clarify her commitments and intended results;
- see new possibilities and actions, and expand her range of behavior choices;
- understand her own contribution to recurrent problems and see the consequences of choices made;
- think more clearly and see new ways of achieving her intended results.

A coach does not:

- evaluate and judge
- blame, criticize, and scold
- give solutions.

An effective coach:

- builds a relationship of trust and support
- cares about the person being coached/has the other's growth in mind
- listens well
- asks questions to clarify and illuminate a goal or challenge.

To be coached, you have to:

- want to learn and change
- be open to feedback from others
- take responsibility for your own actions.

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HANDOUT 2 Three-Person Coaching Exercise

Step 1. Divide the participant into groups of three and assign each a letter:

- Person A is the coach.
- Person B is the person being coached.
- Person C is the observer.

Step 2. The person being coached describes a challenging situation

- This situation could be an obstacle that stands in the way of achieving a result that the person cares about. This is a real problem that he is facing in either his work or personal life. The person being coached takes about five minutes to describe the situation.
- The coach listens to the entire story with great care and without interrupting.

Step 3. The coach *only* asks questions and does not provide solutions

Following are some of the questions the coach can ask:

- What are you committed to achieving?
- What have you achieved so far?
- What obstacles are you facing?
- Why do you think you are stuck?
- If it could turn out exactly as you dreamed, how would it turn out?
- What actions could you take to overcome your obstacles?
- What support do you need from others?
- How can I support you?

Step 4. The observer watches and reviews how the coach performs

- Allow 10 minutes for each round. Then B becomes the coach, C becomes the person coached, and A is the observer. Repeat again in third round, with C being the coach, A the one coached, and B the observer.
- Make sure each person takes a turn in each role. The complete exercise, not counting instructions or debriefing, will take at least 30 minutes. The observer gives feedback on the coaching.
  - Was the coach supportive?
  - Did she listen well?
  - Did she ask questions to help the staff person think through the issues?
  - Did she avoid giving solutions?
  - Did she leave the person more motivated to perform?

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Improving coaching skills: The OALFA checklist

PURPOSE

OALFA—which stands for Observe, Ask, Listen, give Feedback, Agree—is a technique for coaching staff. Use this checklist before or after a coaching session. It can also be used in preparation for coaching as a reminder about what you need to pay attention to. It can also help you see what you need to improve in your coaching skills.

PROCESS

To use the OALFA checklist, review the items and questions in each step and place a checkmark in the columns marked Yes or No as appropriate.

OALFA Checklist		
STEP 1: OBSERVE	**YES**	**NO**
1. Observe the person you will be coaching while you: ■ say hello to him ■ invite him to sit down ■ call him by his name ■ ask a personal question. 2. What do you observe about his emotional state?		
STEP 2: ASK	**YES**	**NO**
1. Explain the reason for the conversation using data to set the context for your questions. 2. Ask questions that aim to understand the point of view of the person being coached. 3. Follow answers with questions that probe deeper.		
STEP 3: LISTEN	**YES**	**NO**
1. Show signs of active listening when the person being coached talks, for example, lean forward, nod, or maintain eye contact. 2. Paraphrase the words of the person being coached to verify understanding. 3. To confirm your understanding, reflect in your words your understanding of his feelings.		
STEP 4: GIVE FEEDBACK	**YES**	**NO**
1. Summarize the information provided by the person being coached. 2. Present observations. 3. Use words that are specific rather than generalizations. 4. Use words that are descriptive rather than judgmental. 5. Focus on observable behavior.		
STEP 5: AGREE	**YES**	**NO**
1. Ask questions that require the person being coached to generate alternatives. 2. Help him make a decision to face the problem. 3. Confirm the agreement. 4. Agree on next steps. 5. Discuss consequences in case of failure or nonperformance.		

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Diagnosing performance problems

PURPOSE

This exercise helps participants identify what may be at the root of performance problems. Use it in situations where problems recur and people focus their energy on treating symptoms rather than root causes.

RESOURCES NEEDED

- ❏ flipchart and markers
- ❏ copies of Handout: Diagnosing Individual Perfrmance Problems Tool

PROCESS

Preparation

- Make enough copies of the Diagnosing Individual Performance Problems Tool (Handout) for all participants.

Step 1. Discuss what it means to perform at your best

- In plenary, ask participants:
  - When do you perform at your best?
  - Why are you able to perform at your best?
  - What systems are in place that help you to do your best work?
- Capture their responses on a flipchart.
- Explain to the group that unless there are clear performance expectations, job descriptions, evaluations with adequate feedback, supplies, equipment, job aids, functional systems, motivation, support, information, and skills in place, it can be difficult to do their jobs to the best of their abilities.

Step 2. Introduce the Diagnosing Individual Performance Problems Tool

- Distribute Handout: Diagnosing Individual Performance Problems Tool.
- Ask the participants to fill out the tool individually.
- Divide the participants into small groups and ask them share their results.
- Ask them to reflect on their experience and consider the gaps they discovered in their performance in relation to what was present or missing that should be in place for optimum performance.

Step 3. Report and reflect on small group work

- In plenary, have the small groups report on their results.
- Identify patterns that require organization-wide solutions.

Wrap up and plan next steps

- If there are people in the room with the authority to act on organizational solutions, agree on priorities, responsibilities, and a time to report back to the group.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Diagnosing Individual Performance Problems Tool

1. PERFORMANCE EXPECTATIONS	YES	NO	SOMEWHAT
a) Do you know what is expected of you?			
b) Do you have an up-to-date job description?			
2. PERFORMANCE FEEDBACK	**YES**	**NO**	**SOMEWHAT**
a) Do you know whether your performance matches expectations or not?			
b) Do you have periodic conversations with your supervisor about your performance?			
3. WORK CONDITIONS	**YES**	**NO**	**SOMEWHAT**
a) Do you have the necessary job aids, supplies, and equipment to perform your job?			
b) Is the work climate (environment) conducive to good performance?			
4. MOTIVATION	**YES**	**NO**	**SOMEWHAT**
a) Do you have any external motivation (such as recognition or financial reward) to perform well?			
b) Is the actual performance of staff influenced by external motivators?			
5. SUPPORT FROM HIGHER LEVELS	**YES**	**NO**	**SOMEWHAT**
a) Does the district health management team or your organization's management team support you in performing well?			
b) Do policies and procedures support good performance?			
6. THE SKILLS AND INFORMATION YOU NEED TO DO THE WORK	**YES**	**NO**	**SOMEWHAT**
a) Do you feel that you have the right skills and information to do your job well?			
b) Are there other skills and information you need?			

LIST THREE AREAS YOU NEED TO DISCUSS WITH YOUR SUPERVISOR TO IMPROVE YOUR PERFORMANCE
1.
2.
3.

EXERCISE "Diagnosing performance problems"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Understanding roles in teamwork

PURPOSE

This exercise helps a team reflect on the various roles of its members. Use this exercise to discover ways to improve team members' interactions. This exercise is based on Kantor's Four Player System (Kantor 1999).

RESOURCES NEEDED

❑ flipchart and markers

PROCESS

Preparation

- Prepare a flipchart with the four roles of team members written on one page: Initiate, Follow, Oppose, Observe

Step 1. Present four roles of team members

- In plenary, present the four roles to participants, saying:
  - these are the four roles you can play in a team: *Initiate, Follow, Oppose, Observe;*
  - all these roles are important;
  - a healthy team has people playing all four roles in order to get results.
- Explain that:
  - someone needs to "initiate" an idea or action;
  - someone else needs to "follow" or accept the idea;
  - someone needs to "oppose" or question the idea to make sure that decisions or actions aren't made impulsively and to improve the quality of the team's thinking;
  - someone needs to "observe" to give feedback on how the team is doing.
- Point out that these roles can also be played in a nonproductive way. (For example, one person can do all the initiating and dominate, or someone can only follow and never question the value of the actions. One person can get stuck in opposing and never go along with the proposals of the group. Finally, someone can be too passive and only observe and never actively participate.)
- Explain that for a team to function well, it needs all four roles played in a productive way. For a team member to be effective, she must be able to play any of the four roles.

Step 2. Practice team roles

- Divide the participants into small groups.
- Select two people from each group to act as "observers." It is good to choose natural "initiators" for this role, because it gives them a challenge to stay quiet and observe.
- Ask the observers to write the four team roles (Initiate, Follow, Oppose, Observe) on a piece of paper.

- Have the observers mark on the paper when they see members of their team playing one of these roles.
- Give the teams a topic or challenge to discuss that is sufficiently real to generate a spirited conversation. This topic should relate to their work, so that they won't be self-conscious.

Step 3. Share what it felt like to be an observer

- In plenary, ask the observers what it was like to be only an observer. Was it difficult?
- Ask them what they observed. Did they see each of the four roles played?

Step 4. Give teams feedback

- Have the observers give feedback to their teams.
- Go around to each team and ask the team members whether the four roles were present in a balanced way, or whether there was too much of one role or the other.
- Have the teams discuss the feedback and propose ways to correct imbalances.

Wrap up and plan next steps

- Emphasize that there are no wrong roles, only sometimes that the roles are not balanced.
- Point out that we all need to learn how to be more effective in the roles that don't come most easily to us.

GUIDELINES Planning for leadership succession

PURPOSE

These guidelines can be used in the process of top-level leadership succession, when the departure of a senior leader is imminent.

GUIDELINES

Preventive action is always preferable to curative medicine. If you are the chief executive who is contemplating your departure—even if you feel ambivalent about the move—start the conversation now to prepare your organization for your departure. Obtain perspective and support by engaging your staff and the board early and actively in succession planning. The more open the organizational culture, the more involved your colleagues will be. If they know that the board functions independently in the best interests of the organization, staff members' feedback is the more likely to be candid and truly representative. Gilmore (1993) has distilled the succession management process into a sequence of nine steps.

Step 1. Engage the stakeholders

- Engage your organization's *internal* stakeholders in succession planning directly, in a series of organization-wide conversations, or indirectly, through a committee that circulates questionnaires and issues regular updates on its progress.
- Convince *external* stakeholders, such as donors, investors, partners, collaborators, customers, and other influential individuals, of the necessity of a leadership change and of the importance of their full support before, during, and after the transition.

Step 2. Analyze strategic challenges

- If your organization has recently conducted a strategic planning exercise, you should have a clear picture of the challenges facing the new leadership.
- Changes in the organization's strategic challenges should be reflected in management strategies for human resources. These strategies include the choice of a new top executive.

Step 3. Formulate the selection criteria and job description

- Select criteria for evaluating the most promising candidates.
- Use the selection criteria to help develop the job description. It should translate strategic directions into leadership needs—what sort of leadership the organization—will need in the future and job qualifications for the top executive position.
- Since the perfect candidate doesn't exist, explore the most critical qualifications needed in the new leader and where you might find people in your organization who have those essential qualifications.

Step 4. Design a search and selection process

- The board should have (or develop) a generic search and selection process that needs only minimal adaptation to be used for this recruitment process.
- The board chairperson normally activates the process when succession has become an issue (which may be sudden or occur after the chief executive has spent many months or years contemplating a change).
- If there are no obvious candidates for the chief executive post, the chairperson should put together a search committee (see the box entitled "Using a Search Committee") with the mandate of recommending a suitable candidate to the board.

Step 5. Prepare senior management

- As the search proceeds, start preparing reports to document your understanding of institutional history, vision, mission, culture, and managerial mechanisms for your senior management team.
- The outgoing leader should gradually transfer authority and decision-making to managers, so that they are prepared to help the new leader get a good start.

Step 6. Screen candidates

- The search committee must find equilibrium between looking too close to home (that is, considering only candidates whom people in the organization already know) or casting the net too wide (bringing in many inappropriate résumés and creating unproductive work).

Step 7. Select and interview the finalists

- The committee uses the selection criteria to develop a short list of the most promising candidates.
- The committee interviews each finalist.

Step 8. Arrange for reference checks and interviews

- The committee checks the references of promising candidates to find out how they performed in previous jobs.
- Consider candidates' track record in fulfilling the leadership functions that are required at the top level (see the description of the transition to Level Four in chapter 4).
- Try to visit work sites of the short-listed candidates and talk with subordinates, peers, board members, and clients.
- Collect impressions of the work environments that the prospective new leaders have created.

Step 9. Offer the job to the candidate selected

- The committee reviews it impressions of each candidate's experience, qualifications, character, and fit with the organization, and comes to consensus on one candidate.
- The committee makes a final recommendation to the board and outgoing CEO, and the board chairperson offers the position to the candidate who was selected.

Step 10. Manage the transition within the organization

- The change in leaders involves three stages: an ending, a neutral period, and a beginning. Pay attention to the departure of the old leader and to how the new leader is brought on board.
- In the *ending period,* organize tributes and gatherings where people can reflect on the past and say goodbye.
- In the *neutral period,* prepare for the future by giving staff opportunities to review and reflect, surrender some old ways of doing things, and regenerate and renew their sense of the organization and their roles within it.
- Take care that the push for results and increasing productivity does not interfere with personal reorientations that will give a solid base to a new beginning.
- In the *beginning* of the new leader's tenure, the new leader, the rest of the staff, and the board must share their expectations of how they will work together.
- Do not ignore the legacy of the organization (its good and bad parts) that is the launching pad for the new beginning.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

USING A SEARCH COMMITTEE

The board chairperson usually names a board member to head a search committee. The committee chairperson forms the search team, which should reflect the stakeholder groups and include other members, possibly some senior management staff, and—when required—outside executive recruiters. The key to a successful search is an active approach, which depends on close linkages in the process of identifying candidates and managing information generated by the search. The whole process can easily take six months or longer.

Working with a search committee

- Develop ground rules for the committee (on confidentiality, decision-making procedures, recourse after decision-making, and transparency in taking actions).
- Review the organizational context, strategic plan, and cultural environment and how they shape the profile of a new leader.
- Conduct a survey among staff and volunteers to develop selection criteria.
- Use the criteria to develop a job description for the new leader.
- Specify minimum requirements to screen out inappropriate candidates.
- Develop a system for managing and sharing information.
- Identify where candidates may be found and sources of leads for candidates.
- Identify the most promising candidates for interviews.
- Strengthen interviewing skills among committee members (if necessary).
- Develop interview questions and an interview process (number of interviewers, duration, place, recording, and reporting).
- Conduct interviews and reduce the pool of candidates.
- Inform rejected candidates.
- Complete background and reference checks for remaining candidates.
- Conduct site visits to the workplaces of remaining candidates, if possible.
- Conduct final interviews.
- Make the final choice and recommendation to the board.

GUIDELINES Avoiding common mistakes in recruiting new leaders

PURPOSE

Use these guidelines to familiarize yourself with the process of top-level leadership succession and avoid making common mistakes in the recruitment of a new leader.

GUIDELINES

These guidelines look at how the organization deals with the process of leadership succession, both before and after the handover of power. As the principal governing mechanism of many organizations, boards of directors play a critical role: as policymakers, evaluators, advocates, and resource mobilizers.

To stay on track in a leadership transition, an organization needs a board that is engaged with staff and the outgoing chief executive in the search for the best possible replacement. A key factor is the quality of the relationship between the board (or a senior team) and the chief executive. A chief executive may deliberately appoint a weak board that agrees with everything the chief says or does. Such a board is not going to be very helpful in managing the succession. Alternatively, a board may undermine the trust and confidence of the staff by promoting the interests of the outgoing chief or a particular candidate for political reasons. Sometimes board members pursue personal interests or the interests of their constituency, which may not coincide with those of other stakeholders.

If the chief executive has not developed strong, credible second and third tiers of executives, she might find that staff or key stakeholders will not want her to retire or withdraw from routine tasks. They may feel that no one has had enough experience with executive management functions to run the organization in her absence. Avoid this situation by constantly building the leadership capacity of managers within the organization and grooming senior managers for executive roles in the organization.

The following summary applies not only to boards but also to individuals in key leadership positions.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

COMMON MISTAKES IN RECRUITING NEW LEADERS AND WAYS TO AVOID THEM

COMMON MISTAKES	WAYS TO AVOID THE MISTAKES
Considering candidates and the search process too quickly, before reviewing the strategic direction of the organization	Look at your strategic plan and ask: ■ What is our "business"? ■ What products and services do we produce? What are our values? ■ Why are we good at producing them? What is our relative advantage or competence compared with that of others? ■ Why do people value what we produce? ■ How does the role of the potential leader contribute to our strategy? ■ Where should we look to find candidates who do similar or compatible work?
Not thinking about the leadership of the organization and the board together	Be sure there is stable board leadership to provide continuity and support to the new leader. Avoid choosing new boards and a new organizational leader at the same time.
Distancing yourself from the search process too quickly	Remain engaged even if you have appointed a search committee or hired a search firm. The board cannot delegate the search process entirely. Each board member should help in shaping specifications, suggesting candidates or sources of names, and "networking" about the vacancy.
Not clarifying the role of staff in the search process	Decide whether staff members will serve on the selection committee or participate in the final selection. If they cannot be involved, they should be kept informed about the process and time frame. They can contribute by helping to translate strategy into job specifications, meeting with candidates, and offering their opinions.
Placing too much value on the interviews with candidates	Structure and focus the interviews with challenging questions. After the interview, identify areas of possible concern and check references specifically about such areas. If possible, visit the workplaces of the most promising candidates and interview colleagues and subordinates about their work style.
Relying only on written responses for references	Engage referees in direct conversation, face to face or by phone, with a skilled interviewer, to create an environment in which all shades of opinion can emerge.
Not using the final selection to establish expectations on both sides (new leader and board) and a process for evaluating the new leader's performance	Talk about expectations and agendas. Negotiate roles and responsibilities that are not codified in the organization's bylaws. Answer questions about the role of the outgoing leader and agree about how or when to revisit issues later.
Pulling out of the transition process too fast	During the "honeymoon" period after the new leader is recruited, the board should: ■ help the new leader to balance needs for continuity and change, in the context of the organization's history; ■ help connect the leader with external resources; ■ set ground rules for how the board and leader will interact; ■ encourage staff and outsiders with concerns to speak directly to the leader rather than complain to the board.

Source: Adapted and reprinted with permission from *Finding and Retaining Your Next Chief Executive: Making the Transition Work* by Thomas N. Gilmore, a publication of BoardSource, formerly the National Center for Nonprofit Boards. For more information about BoardSource, call 800-883-6262 or visit www.boardsource.org.

TOOL Preparing for a successful negotiation

PURPOSE

This is a tool to help you prepare for a successful negotiation. Use it when you know that you need to negotiate an issue with someone else or with another group and when you are not sure that you are up to the task.

PROCESS

As you prepare for the negotiation, remember that the outcome of your negotiation depends partly on *how* you negotiate. There is the aspect of the substance of the negotiation (what you are negotiating about) and then there is the relationship between you and the other party.

Use *advocacy* (presenting your own point of view) to establish your voice in the negotiation and use *connection* to establish and nurture your relationship with the other person. Decide which is more important as you plan your strategy to reach a negotiated agreement.

Step 1. Get a good understanding of the substance of the negotiation (scan)

- Take stock of what you bring to the table (for example, skills, information, experience).
- Look for hidden resources you are not using.
- Recognize what makes you vulnerable and plan how you are going to deal with that.
- Get facts about the substance of the negotiation, the other person, and his situation.
- Develop alternatives.
- Seek fresh perspectives to avoid becoming trapped in your own thinking.
- Anticipate reactions from the other party to you, your viewpoint, and your proposals.

Step 2. Attract the other party to the table

- Make sure the other party sees that you have something of value and that you will not give this value away for free.
- Make negotiation unavoidable. For instance:
  - issue a credible threat that forces the other party to choose;
  - make the consequences of the choice tangible to the other person;
  - raise the cost of not dealing with you;
  - show your alternative to a negotiated settlement, or show that no action is not an option, because change will definitely happen.
- Level the playing field by establishing your authority and credibility. If you are lower in status than the other party, secure explicit authorization from your superior(s).
- Build support for your agenda by using allies as intermediaries, strategic partners, and promoters of your cause.

Step 3. Make the connection

- Invest time and energy in relationship building, participation, and staying engaged (keeping the dialogue going).
- Get everyone to own the problem by pointing at the negative consequences for all of not reaching agreement.
- Examine your own story. Separate fact from fiction.
- Listen to the other person's story, appreciating his situation, feelings, ideas, and need to save face.
- Look for links between your two stories.
- Recognize, however, that sometimes the other party is playing by different rules and is unwilling to engage in negotiation with you. Sometimes the power imbalance between you and that person is so great that you must give in. If so, show appreciation for being invited to the table, so you at least receive a hearing and may receive a hearing in future situations.

ENVISION TROUBLE SPOTS AND MENTALLY PREPARE YOUR RESPONSE

TROUBLE SPOT	PREPARE YOUR RESPONSE
When the other party challenges you	■ Respond positively, calmly, and respectfully to moves aimed at placing you at a disadvantage.
When the other party upsets you	■ Take a break, end the session and schedule another one in a few days, or change the pace or venue.
When the other party raises inappropriate issues	■ Point out the ineffectiveness or inappropriateness of this tactic, or highlight the tactic's unintended consequences. ■ Characterize the tactic as counterproductive. ■ Ask for repetition ("Could you repeat what you just said?") since innuendo does not stand up to repetition in public, which usually embarrasses the speaker. ■ Name hostile or exclusionary moves. ("Could you please explain your rationale for leaving the beneficiaries out of this conversation?")
When the other party tries to distract you from the issue under negotiation	■ Shift the conversation back to the main issue and away from personal accusations. ■ Look ahead rather than back at past mistakes. ■ Substitute a better idea for earlier ideas that did not receive sufficient response.

Step 4. Follow up after the negotiation

- Assess each step of the negotiation process: What worked well? What did not work well? What could you have done differently?
- Look at the results of the negotiation.
  - You can use the tool "Selecting a Strategy to Reach a Negotiated Agreement" to see in what area of the matrix the results fit.
- Consider documenting the process by writing down your reflections. Seek feedback if you wish.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Selecting a strategy to reach a negotiated agreement

PURPOSE

This is a tool to help you select a negotiation strategy. Use it to clarify what you want to accomplish and how to do this. Use the following matrix to determine the stance you want to take so that you can select the right approach to reach your goal.

MATRIX OF NEGOTIATION STRATEGIES

<table>
<tr><th colspan="2" rowspan="2"></th><th colspan="2">CONNECTION</th></tr>
<tr><th>LOW</th><th>HIGH</th></tr>
<tr><td rowspan="2">ADVOCACY</td><td>HIGH</td><td>Bargaining

When you want to get the best possible deal for yourself:

■ start with opening offers that camouflage real desires;
■ bargain back and forth between offers that start far apart. Gradually approach the other's offer, until you both arrive at a compromise (although it may not really be one).

The result: One party's win is the other's loss, or both lose a little bit through compromise.</td><td>Creative problem solving

When the cost of alienating the other person is high and the relationship is important:

■ use the PICO method of negotiation. (PICO stands for People, Interests, Criteria, Options.) See "Negotiating to Achieve Intended Results."

The result: If the negotiation concludes well, both parties walk away satisfied that their interests have been served and the relationship is preserved.</td></tr>
<tr><td>LOW</td><td>Take it or leave it

When you have no significant stake in the negotiation:

■ offer the other a person the choice of taking your offer or not getting an opportunity.

The result: You withdraw your offer or, sometimes, you unexpectedly win. The relationship may be damaged.</td><td>Mutual learning

When both parties want to move beyond an instrumental concern for the other party and beyond enlightened self-interest:

■ explore mutual and separate needs.

The result: You risk not fully resolving the issue. New perspectives on the issue may make it less or more important and require a new strategy. The relationship is probably strengthened.</td></tr>
</table>

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

TOOL Negotiating to achieve intended results

PURPOSE

PICO is a technique for negotiating with another person to solve a problem while maintaining a good relationship with that person. PICO stands for People, Interests, Criteria, Options. Use the PICO Worksheet to plan your negotiation. This method is based on Fisher et al. 1991.

PICO WORKSHEET

People—Separate the people from the problem Consider the background factors that may have contributed to their current positions.	
Interests—Look for the interests hidden behind the positions Put yourself in the others' shoes: what motivates the others, where do your interests agree, and where do they differ?	
Criteria—Agree on objective criteria to test if an agreement has been reached Define objective criteria for evaluating possible options, for example, what would be a fair outcome?	
Options—Look for alternative solutions If anything is possible, what are the best solutions, and how would these benefit you and the other person?	

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Renegotiating roles among health system levels

PURPOSE

For the public sector, this exercise provides an opportunity for adjacent levels in the health pyramid to explore, negotiate, and agree on the kinds of activities and roles each level has in relation to the other. It can also be used in large private organizations that have multiple branch or field (country) offices that they want to become more autonomous. The exercise produces a set of actions that the participants from various levels can agree on to support one another. It also clarifies for lower levels what the real constraints are at the central level.

This exercise is best used when:

- decentralization is the official policy but the levels aren't clear about how their roles and the requirements have changed;
- new roles have been imposed without any conversation;
- people from different levels are not comfortable or skilled in talking together in ways that go against cultural norms.

RESOURCES NEEDED

- ❑ flipchart and markers for each group
- ❑ copies of Handout: Shifting the Health System to Serve Local Needs

PROCESS

Preparation

- Go over the exercise with key stakeholders at the most central level and make sure they understand the exercise and you have their support.
- Invite people from adjacent levels in the health system, four or five people per level.
- Prepare copies of Handout: Shifting the Health System to Serve Local Needs.
- Use an ice-breaker to build trust and help create a safe space for conversation, a space in which cultural norms and taboos can be temporarily suspended (such as those that prevent people from lower levels from raising issues with higher levels).

Step 1. Identify management levels

- In plenary, ask the participants to help you draw their current health system pyramid or structure.
- Identify the various management/administrative levels and what each level currently does.

Step 2. List activities of the different levels

- Seat participants from the same level together.
- Separate the groups enough so their conversations do not interfere with each other but keep the groups in the same room if possible.

- Have each group's members write on a flipchart:
  - activities they do that support the other levels present in the room;
  - things they require or expect from the other levels (such as reports).

Step 3. Present lists of activities

- In plenary, have each group present its lists.
  - Compare lists and clarify meanings of words if necessary.
  - Note discrepancies.
  - Keep a running list of items and issues that need further attention.

Step 4: Discuss the health system pyramid with the central level at the bottom

- In plenary, briefly present the Handout showing the pyramid turned upside down (with the central level at the bottom).
- Explore how the roles change. For example, the center now supports the entire pyramid.
- Check that everyone understands the concept of the upside-down pyramid.

Step 5: Find out what kind of support is needed

- Ask the participants to return to their separate groups.
- Have each group write on a flipchart for each level:
  - the support it would like to receive from the other levels present in the room;
  - the support it is willing to give to the other levels.

Step 6: Present support needs

- In plenary, have each group present its list of needs for support from the other levels.
- Check for clarity. Groups may be using vague and abstract words that hide their intentions.
- Push to find out what actions the groups want from each other.
- Create a running list of agreements that the various levels are committing themselves to.

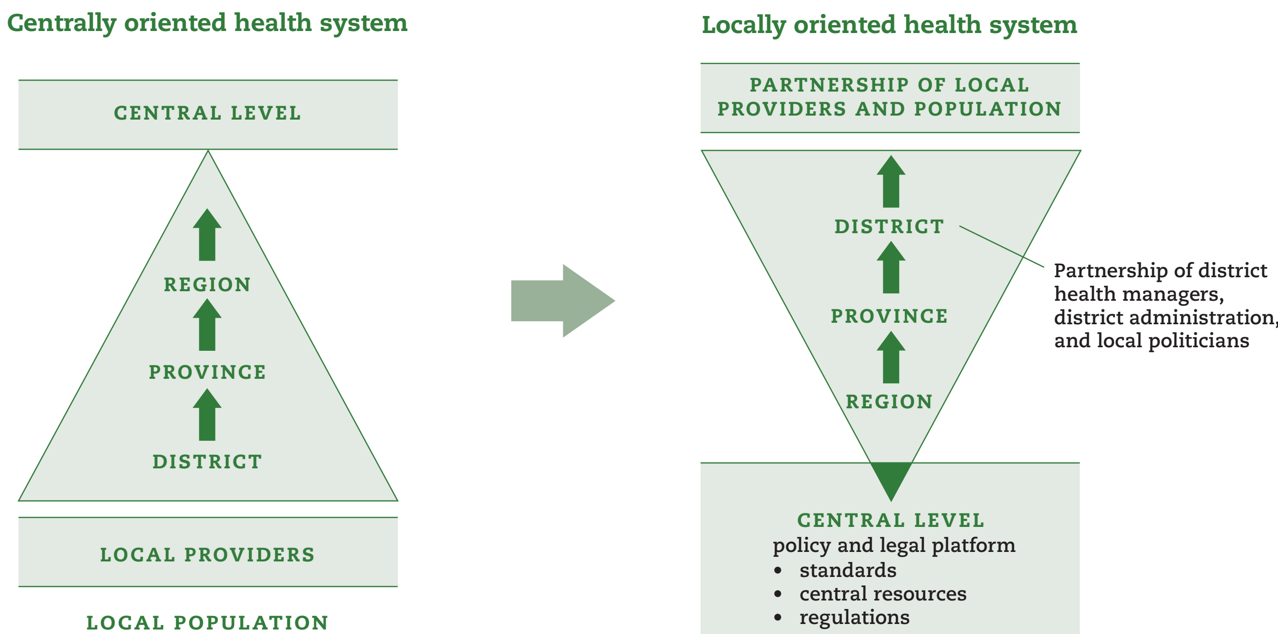
Wrap up and plan next steps

- Do a check for consensus at the end.
- Ask if everyone is clear about the next steps in the process, whether anyone needs to sign off on it, and, if so, how will that happen.
- Find out what else is needed to make sure these agreements are implemented and determine a date after which they will be implemented.
- Set a date and time for reviewing progress on commitments made.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Shifting the Health System to Serve Local Needs

Reorienting a health system toward the local level turns the traditional organizational pyramid upside down and changes the way staff need to think and work.



EXERCISE "Renegotiating roles among health system levels"

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Making requests for better coordination

PURPOSE

This exercise is most useful in coordination meetings in which multiple parties are present. It enables the groups to be explicit with one another about the support and information they need from each other, as well as respond to other groups' requests.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ removable self-stick notes in several colors
- ❑ copies of Handout: Complaints versus Requests

PROCESS

Preparation

- Make copies of Handout: Complaints versus Requests.
- Determine how many different groups there are (for interagency coordination, groups may consist of government agency, donor agency, private sector, volunteer organization, facility; for intra-organizational organization consider groups of managers, service providers, board members, and volunteers). It is better to limit the number of groups, so if some smaller groups have a similar role and similar requests, consider grouping them together.
- Post one flipchart for each group on the wall, and mark it clearly with the group's name and preferably with a distinct color that will identify each group.
- Have pads of removable self-stick notes in corresponding colors for each of the groups, or cut pieces of paper and color-code them to match the various flipcharts.
- Show which group is which color and then hand out the pads of self-stick notes or pieces of paper.

Step 1. Create requests for other groups

- Distribute copies of Handout: Complaints versus Requests, to each group, and explain the concept of requests versus complaints.
- Ask each group to make a list of requests for each of the other groups.
- Requests may be for:
  - information
  - facilitating or unblocking something
  - changing a deadline
  - different kinds of behavior
  - feedback.
- Ask the members of each group to determine no more than five requests that they have for each of the other groups in the room. If they have more than five, ask them to prioritize and pick the five most important requests.
- Have them write each request on a separate self-stick note or piece of paper that is color-coded for their group.

- Have them post their requests on the flipchart of the group to which they are making the request.
- Repeat this process for all the other groups in the room.

Step 2. Read the requests others have made of your group

- When each group has finished posting its requests, have the members of each group get their designated flipchart and read the requests from the other groups. The color of the note or piece of paper indicates from which group the request came.
- Have the participants return to their tables and ask them to formulate a response to each request.
- Write a response to each request (on separate self-stick notes if you have these) next to each request.

Step 3. Share the responses

- In plenary, have each group take a turn reading the requests made to it and responding directly to the requesting group with an answer.
- Keep a running list of all agreements made or mark them on the relevant flipchart. Mediate or intervene if the commitment or agreement is unclear or too vague and push for resolution.
- Responses should include:
  - dates or time
  - deliverables where appropriate
  - a temporary "parking lot" for things that require more negotiation
  - dates and times for further discussions.

Wrap up and plan next steps

- Review all commitments made to make sure there is full agreement. You can then use this list when the group convenes again to check on progress and explore obstacles to progress (and make new agreements).

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

HANDOUT Complaints versus Requests

Complaints and requests: Principles in effective organizations

- People complain only to someone who can do something about the situation.
- People state their complaint in the form of a request.
- If you receive a complaint you cannot do anything about, you decline to listen to it, and refer it to someone who can do something about it (avoid gossip).
- If you receive a request, you are free to respond in the three ways (yes, no, or counteroffer).

Take one complaint and transform it into a request using the following format

1. Will you ______________________________ *(specific person)*
2. please do this ______________________________ *(specific action)*
3. by this time ______________________________? *(specific time)*

Three ways to respond to a request

- Yes
- No
- Make a counteroffer: "No, I can't do that, but I can do something else, or I can do it by some other time."

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Understanding the process of leading change

PURPOSE

This exercise helps participants draw lessons from their own experience about leading change. Use it with a group whose members have to function as change agents. It can also be used in conjunction with a conversation about breakdowns (see the exercise “Coaching Your Team through Breakdowns”).

RESOURCES NEEDED

- ❏ flipchart and markers

PROCESS

Preparation

- Write the following on a flipchart, leaving spaces between the questions:
  - Think of a change you have experienced.
  - How did you feel during that change?
  - What do you wish others had done during that change?
- Cover the flipchart, which will be revealed later (or for a large group make a handout to distribute during Step 1).

Step 1. Reflect on a past experience of change

- Discuss people’s responses to the questions.
- Remind participants that leading people through change requires managing the transition.
- Reveal the flipchart with the questions (see above).
- Ask participants to write down their thoughts about these questions.

Step 2. Share reflections on change

- Divide the participants into pairs or small groups, and have them share their responses.
- In plenary, invite participants to share responses they heard to the questions.
- Write down responses on a flipchart.
- Discuss how the participants can support others in going through change.

Wrap up and plan next steps

- Close the conversation by discussing what principles should guide change agents.
- Write these principles and ideas on a flipchart.
- Discuss how the participants are going to apply the principles to their current change efforts.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005

EXERCISE Applying the factors of success in leading change

PURPOSE

This exercise is based on the eight factors of success in leading change (see chapter 6 of the handbook). Use this exercise if you are the team leader responsible for a change initiative. The checklist helps teams discuss their change process, focusing on the key factors that will help them to be successful in leading the change initiative.

RESOURCES NEEDED

- ❑ flipchart and markers
- ❑ Handout: Checklist for Successful Change Initiatives

PROCESS

Preparation

- Review the list of questions in the checklist and make adjustments as necessary to fit the particular situation.
- Make and distribute copies of Handout: Checklist for Successful Change Initiatives (or modified checklist) to each member of the change team.

Step 1. Fill in the checklist

- Have each member of the team fill in the checklist, providing an explanation for their answers in the column marked “Comments.” (To save time it is best to have each team member fill it in before the meeting.)

Step 2. Discuss the requirements of success

- Discuss each question with the team along with the comments made by each member of the team.

Step 3. Plan new and follow-up actions

- Agree on priority actions and who is responsible for implementing each action.

Wrap up and plan next steps

- Keep a running list of things that the team needs to do to stay on track.

From *Managers Who Lead: A Handbook for Improving Health Services*
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HANDOUT Checklist for Successful Change Initiatives

QUESTIONS	COMMENTS
Have we communicated the urgency of the change effort by framing the challenge clearly?	
Have we built a strong core team?	
Do we have a shared vision of the end result of the change initiative?	
Are we including key stakeholders in planning and implementation activities?	
Do we have examples of obstacles that we have overcome together as a result of the change initiative?	
Are we sufficiently focused on results?	
Do we have periodic celebrations of short-term wins?	
Do we have continued senior leadership support for facing ongoing challenges?	
Are new behaviors and values becoming increasingly visible at work?	
Are changes incorporated in routine organizational processes and systems?	

EXERCISE "Applying the factors of success in leading change"

Source: Adapted from Kotter 1996

EXERCISE Learning from experience: The after-action review

PURPOSE

The after-action review provides a process for thinking about and discussing what went well in implementing a project or set of activities and what didn't go well. The exercise helps people think in a different way about mistakes, failures, and breakdowns without blaming or finger-pointing. It also provides an opportunity to recognize successes. The lessons are then fed back into the group (and the larger organization) and combined with other lessons to create organizational knowledge and improved solutions.

An after-action review should take place after an event or series of events have concluded that were intended to produce a specific result. The meeting also can be held after key milestones have been achieved even if the whole initiative has not yet been completed. Those who were critical to the project or assignment should be in the meeting.

RESOURCES NEEDED

- ❑ flipchart and markers

PROCESS

Step 1. Explain the purpose of the after-action review

- Explain to the group that the after-action review is separate from an evaluation and should serve as a collective learning experience, not to find fault with or evaluate a specific individual's performance.
  - Everyone in the conversation should feel free to speak up, without fear of reprisal.
  - Everyone, no matter how junior or senior in the hierarchy, has the opportunity to offer direct feedback about the process and the results of the work.

Step 2. Reflect on individual role and commitment

- Write the following questions on a flipchart and ask each participant in the meeting to think about how they would respond to each question:
  - What am I most proud of in this project?
  - What was my individual role? What did I contribute?
  - What do I still need to communicate? (Explain that responses to this question might include, for example, acknowledgment of others or regrets.)

Step 3. Share individual responses

(For groups of more than six people)

- Ask participants to share their responses with the person sitting next to them.
- Have each pair report to the whole group.
- Record the responses on a flipchart.

(For groups of 6 people or fewer)

- Ask participants to share their responses with the whole group.

Step 4. Reflect on group commitment and accomplishments

- Write the following questions on a flipchart
- Ask each participant to write down his answers individually on a piece of paper.
  - What was the commitment of the group in this work?
  - What was the result we intended to accomplish?
  - Did we accomplish that result?
  - If we did not accomplish the result, what is missing?
  - What aspects of the process worked well?
  - What aspects of the process could have been improved?
  - What lessons did we learn?
  - What actions can we take now?

Wrap up and plan next steps

- Walk around and take answers to each question from the group.
- Record the answers on flipchart.
- Ask a few people to share what they learned from this exercise.
- Document the lessons learned for distribution to the group and any other people or groups in the organization that need to have the information.

From *Managers Who Lead: A Handbook for Improving Health Services*
Cambridge, MA: Management Sciences for Health, 2005