PAPER
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Change manual

Bob Dick (2001) *Community and organisational change: a manual*. Chapel Hill, Qld.: Interchange. [1]

This manual contains an overview of the change process, a more detailed process which can be used for the planning and implementation of change, and a set of useful change tools.

1.

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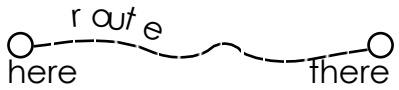
Prologue

Planning a change is a bit like planning a journey.



Going on a simple journey

If you are the only one going on a journey, it can be easy. If it's a journey you haven't taken before, it helps to have a map of the route from here to there. A map is only useful if it includes where you are and where you're going to. To use it, you also have to be clear about both.

In other words, a simple journey which affects only you can be planned well if you know:

- where you are now
- where you want to go to
- and how you can get from here to there.

Note that all of this happens before you set out on the trip. The planning happens first. The journey happens later. The planning is to make the journey more successful and more pleasant.

Change is similar. We plan change so that the change is more likely to be achieved.

A more complex journey

Suppose that a large number of people wish to take a journey together. This becomes more complex. It's still useful to know where you wish to go, and where you are, and how you are going to get from here to there. Do the other

travellers have the same goal? Are they happy to follow the same route? Are you agreed about the form of transport?

Before you do the planning, it's helpful to check out some other details. Who else will travel with you? Do they expect to be involved in the planning? How will you involve them?

In other words, there is still planning to be done before starting the journey. But now there are other things to be done before the planning. You have to identify those affected, and work out if they are to be involved in the planning, and how. If they are not involved in the planning, you will need to decide how to keep them informed, and how to take their wishes into account. You have to decide if you can do it on your own, or would be better or safer with a guide.

And again change is similar. We prepare for the planning. Then we prepare for the change. And then we carry out the change. Somehow or other, too, we have to do all this without suffering "paralysis by analysis". If we don't get as far as the change, then the preparation and planning will be wasted.

The change model

The following pages take you through a change model which you can use to plan and implement community and organisational change.

The dilemmas of change

Present plans → future action

Present change is difficult to bring about. The present is already determined by its history. The future isn't yet here. Plans therefore provide the means by which the future can be influenced from the present. If people agree freely, now, that they will do something in the future, there is a good chance that they will do so.

If plans specify precisely who will do precisely what, and by precisely when, then people are in no doubt about what is to happen. Otherwise there may be confused responsibilities; either nothing will happen, or people will later find that what they agreed to meant different things to different people.

Present participation → future commitment

And if the people who are to carry out the plans in the future are the ones who develop the plans now, there is a good chance that they will be committed to carrying out those plans.

Therefore participative planning → action

In short, future action depends upon both plans and commitment. It is participative planning which enables both to be developed...

participative planning → plans and commitment → future action

We can think of this as being a three-phase process in which pre-planning prepares for beginning a change program, and planning develops the action plans, which are then implemented in the third phase.

Plans fall down, however, partly because they *are* specific. The future is seldom exactly as expected. If the plans don't specify that Fred will do X, perhaps no one will. But when the time arrives to carry out X, perhaps Fred has departed. Therefore effective plans also allow for their own monitoring and evaluation.

Two plans in one

An effective action plan is therefore two plans in one. One plan contains items such as...

"So-and-so agrees to carry out actions to achieve such-and-such outcomes by such-and-such a time"

and other items such as...

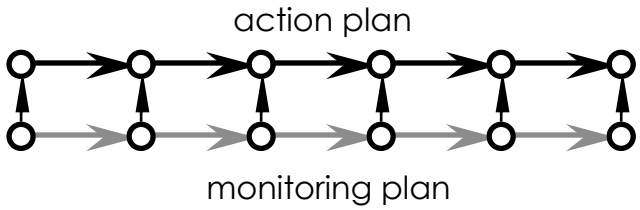
"So-and-so agrees to check if the planned goals are still appropriate" and

"So-and-so agrees to monitor such-and-such an outcome by such-and-such a time"

The first present action plan produces the future action. The second produces future monitoring.

present action plan → future action
present monitoring plan → future monitoring

Diagramatically:



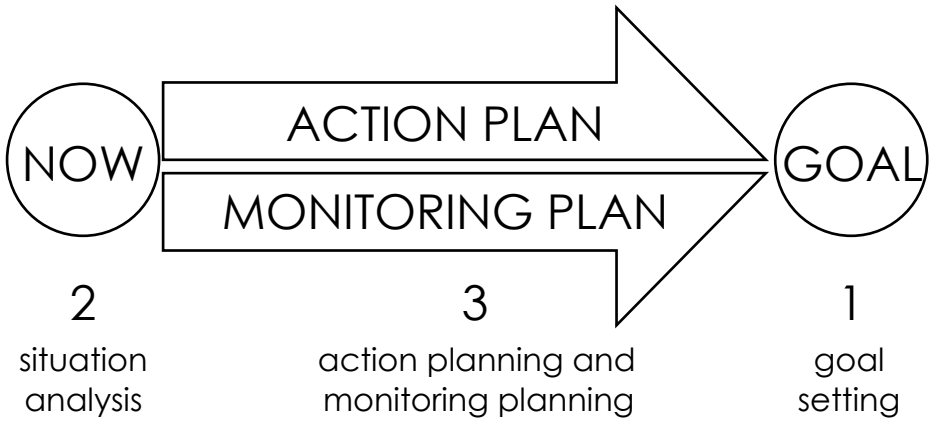
A route has a start and a finish

To develop a plan, one needs two sets of information:

- What the plan is to accomplish; that is, the future goal; and
- What the plan has to take into account; that is, the present situation.

Effective action planning therefore depends upon three different types of process...

- goal setting;
- situation analysis;
- action planning;



The third of these includes components for developing a monitoring plan as well as an action plan.

If you think of planning change as something like planning a journey (as in a sense it is), then before you can develop a route plan you must know where you are going, and where you are setting out from. But you still need some monitoring and contingency plans to allow for missed connections, civil unrest, national disasters and the like.

In fact, you can think of planning as a process of answering four questions...

"Where do we want to go?"

"What is our point of departure?"

"What is to be our route for getting there?"

"If we follow that route, what can go wrong and what can we do about it?"

You can manage the action planning part of a change process by asking these questions, as appropriate, over and over.

Before planning, pre-planning

If the planning involves other people, however, you can't just engage directly in planning. First of all you have to create the climate within which planning will occur. Before you can plan for the action, you have to plan for the planning.

Pre-planning consists of using those things you *can* change in the present to ready people for change. You can directly change only your own behaviour. Through changing it, you can change also...

- the relationships you enter into
- the processes and mechanisms by which people can be engaged in planning.

The very early stages of a program for planned change therefore typically involve...

- creating the right kind of relationship with the key players in the change; this includes being clear about your role and theirs, and the parameters within which the change may proceed;
- setting up the mechanisms by which involvement may take place — who will be involved, will it be participative or merely representative, or by order from the top?

The nearer it approaches to full participation by all the stakeholders, the more likely that the plans will be developed taking all the information into account, and generating commitment from those who will have to act. The cost of this participation is in large (often vast) amounts of time.

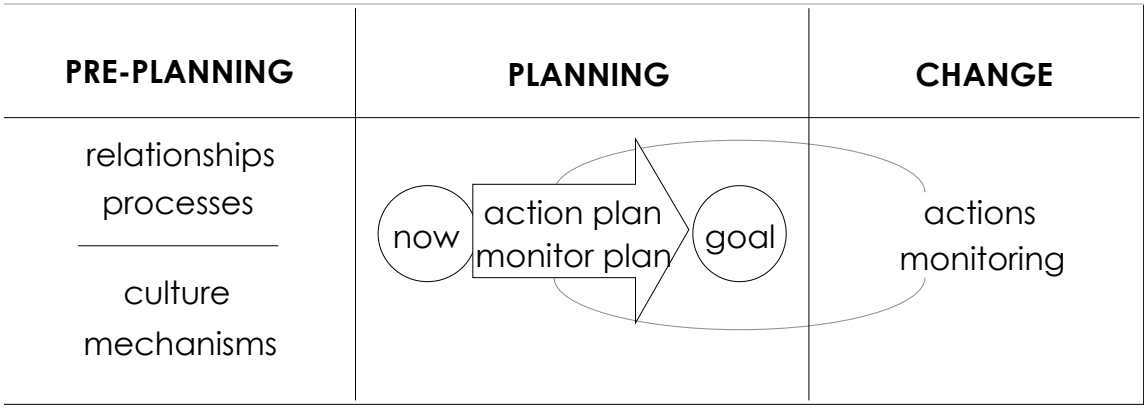
... including cultural pre-planning

But is the culture of the system supportive of change. Are people willing to learn from their mistakes? Or is the organisation too risk-averse to make mistakes.

Here is another difficulty. If the culture isn't supportive of change, then it is necessary to change the culture before you can change anything else. But cultural change itself depends upon a supportive culture.

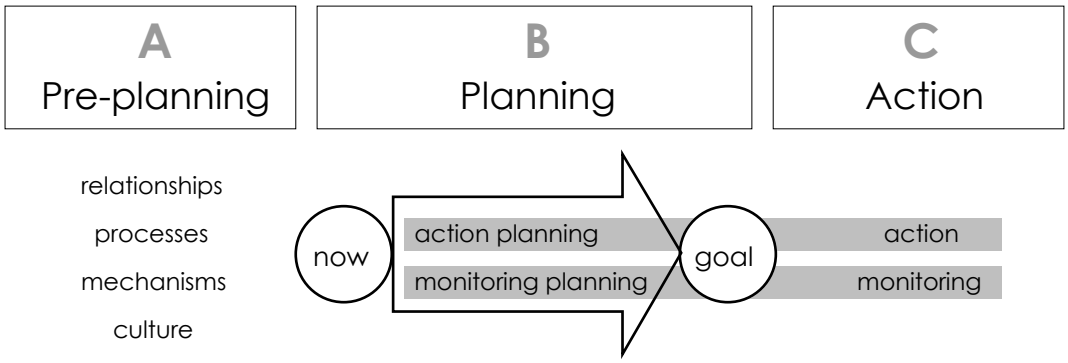
What you can do to escape this bind is to create a different culture, a parallel culture, within the change program. The change program itself, and its processes, models the sort of culture that will support change.

The overall process can then be diagrammed as follows ...



... and (in a little more detail) as shown below

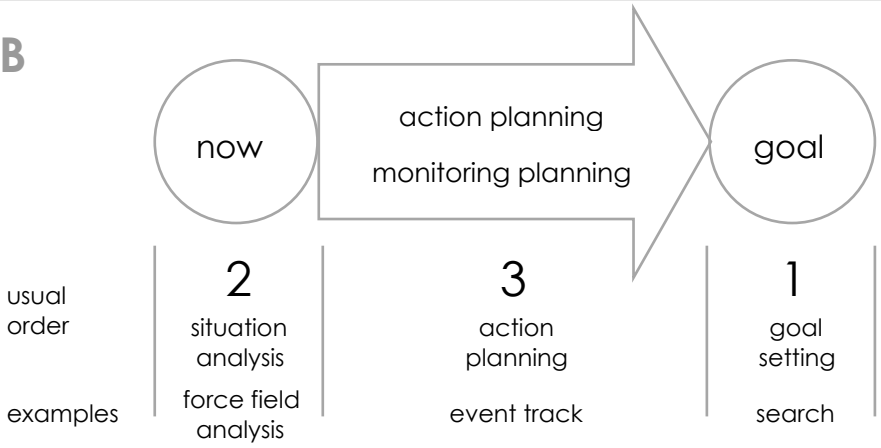
An overview of the change process



A

relationships	build open and direct (and flexible) relationships with all
processes	using appropriate interpersonal processes
mechanisms	set up mechanisms to involve all stakeholders
culture	check if the culture is supportive of change

B



Criteria for successful change

there is discomfort enough for the need for change to be recognised
achieved by situation analysis

people can imagine a situation better than what they already have
achieved by goal setting

people have some expectation that the better situation can be achieved
achieved by action planning

the change is consistent with the values of the stakeholders
achieved by participation

Principles and practice

This document includes a moderately detailed overview of an approach to community and organisational change. In effect, it is a sort of "recipe".

Recipes can be useful. They can also be dangerous. There may be occasions when the change process or the tools don't quite fit the situation you face or the change you intend to introduce.

The guiding principles have several purposes. They are intended to ...

- encourage you to mistrust the recipes
- help you to look beyond the recipes to the reasons for each step
- help you to develop an appropriate substitute process when the process described in this document isn't a good fit for your situation.

Guiding principles for change management

Change processes are more often worthwhile when they are both well conceived and effectively achieved. This is more likely to occur when they tap the enthusiasm of those who are affected, are well planned, and are monitored during execution. Effective change follows the 10 principles described in the box on the next page.

Each of these principles is offered below in four forms:

- the principle, stated as a checklist item for people planning and carrying out change
- the rationale, which explains why the principle is important
- the review criterion, a checklist item for those who are reviewing change, and
- the procedure, a brief description of how the principle might be observed in practice.

Effective change is ...

1. participative
2. communicated and coordinated
3. worthwhile
4. outcome-focussed
5. aligned with stakeholders' vision
6. evidence-based
7. planned
8. resourced
9. monitored
10. evaluated

The principles are gathered together at the end of this sub-section as "Key issues for change implementers". Now, here are the principles in some detail.

Communication, coordination, consultation

1 Participative

Principle — To the extent possible, involve those who are affected by the change in the planning

Rationale — *Change is more likely to be effective if it has taken into account the views of those affected, and if they are supportive of the change. By involving those affected in the planning and implementation of the change, better information is likely to be available about the costs and benefits to all, and those involved are more likely to be committed to the change*

There are times when full participation is neither possible nor desirable. On such occasions it is possible to reduce potential resistance by talking honestly with those affected about the reasons for the change and the reasons for the relative lack of participation

Review criterion	Proposed changes where possible have the agreement of those affected by the change, and those who will be involved in its implementation. Where this is impracticable, those affected are informed fully about the reason for the change and for the approach adopted
Procedure	Identify those who will be affected by the change or by the way it is introduced. If possible involve them in analysing the present situation and planning and implementing the change. Where this is not possible (for example because of urgency) do what is possible to inform them as soon as possible, and keep them well informed

2 Communicated and coordinated

Principle	Keep informed, others who have an interest in the proposed change
Rationale	*Even where it is possible to involve those affected by a change in the planning, there are others who can usefully be kept informed. This can help you to learn about issues which otherwise may not come to your notice. You can discover likely side effects of the change which you might not otherwise identify. Those whom you keep informed are more likely to be supportive of the change.* *Occasionally there are time (or other) constraints that do not allow full participation. It is then even more important to keep people informed. They may otherwise find ways of opposing or sabotaging the change if they do not understand why it is being introduced and why greater participation is not possible*
Review criterion	The proposed change includes a communication plan which identifies all stakeholders, specifies their level of involvement, and includes steps to keep them informed
Procedure	Identify all stakeholders — anyone affected by the change or by how it is carried out. Decide who needs to know what.

Build into your change plan the necessary steps for keeping them informed

Outcomes

3 Worthwhile

Principle	Check that the benefits of the change outweigh the costs, disadvantages and risks
Rationale	*The purpose of change is to bring about benefits to everyone who may be affected by, or may affect, the change.*
Review criterion	Taking all benefits, costs and risks (obvious and less obvious, short-term and long-term) into account, the proposed change is of benefit to the stakeholders
Procedure	Identify the realistic benefits of the proposed change. Include obvious benefits. Include also the less obvious benefits such as skill-development and morale. Estimate as accurately as possible the costs and disadvantages of the proposed change. Again include the obvious and the less obvious costs and risks, and also both short-term and long-term costs and risks.

4 Outcome focussed

Principle	Be clear about the intended goals of the change
Rationale	*There are benefits in identifying the intended outcomes of a proposed change, and specifying them clearly. It is then easier to identify the costs, benefits and side effects of a change. It is also very difficult to develop a plan, or to check if the change is still on track, if the outcomes are not clear*
Review criterion	There is a clear description of the intended and likely outcomes of the planned change

Procedure — Define the change by describing clearly what outcome it is intended to achieve: if the change is successful, what will be different as a result. Check that you have included likely but unintended consequences and side effects as well as intended outcomes

5 Aligned with the vision

Principle — Check that the proposed change fits in the vision (and other strategies) of the organisation or community

Rationale — *Organisations, communities, teams and the like allow people to achieve goals which are beyond their individual abilities or efforts. For greatest effectiveness, therefore, the skills and efforts of people can all be aligned in the same long-term direction. It is a shared vision which can best provide this sense of direction. A genuinely held vision can energise and motivate people. Changes which contribute to a vision to which all are committed will be more enthusiastically supported*

Review criterion — The proposed change is consistent with shareholders' vision and other strategies

Procedure — Check that the intended outcomes of the planned change are consistent with the shared vision

Analysis

6 Evidence based

Principle — Check that the intended change is realistic, taking the present situation into account

Rationale — *Change is most likely to be effective when it is based on a good understanding of the present situation and of the ways in which the change can be achieved*

Review criterion	Decisions about change (the need, the goals, the actions) are based upon good understanding, research-based, about the present situation
Procedure	Check that you understand the present situation. Check that the change is of benefit, and that all interested people are aware of its benefits. Check that the change can be achieved within the available resources and skills. Identify other changes which may be taking place at the same time and check that they will not impede or conflict with the proposed change. Finally, check that the change should proceed

Planning

7 Planned

Principle	Reach agreement on who will do what, to what standard, and by when, to achieve the outcomes
Rationale	*Change, particularly when several people are involved, is more effective if there are detailed plans which specify who will do what by when, preferably with their free agreement, and how they will know that they have successfully done what they have to do*
Review criterion	Change proposals include detailed plans which specify at each step: the actors, the outcomes, the timelines, and how successful completion of the step will be known
Procedure	Develop a step by step plan for achieving the change. For each step, specify who will achieve what outcomes, and by when, and how they will know when they have achieved the outcomes. Where possible, gain the free agreement of those who will carry out each step

8 Resourced

Principle	Check that the necessary resources and skills to carry out the change are available
Rationale	*It is important to be clear about needed resources for two reasons. First, the disadvantages of the change might otherwise be underestimated. Second, the change may not be successfully achieved if the necessary resources and skills are not available*
Review criterion	Change proposals are accompanied by an evidence-based list of required resources and skills, and those resources and skills appear to be adequate to achieve the planned outcomes
Procedure	For each step of the action plan, identify what resources and skills are necessary. Find out if those skills and resources are available. If they are not, allow for the necessary development of the skills and arrange for the resources to be available. Check that you have included the relevant costs in your analysis of the benefits of the proposed change

Implementation

9 Monitored

Principle	Plan for ongoing monitoring of progress as the change proceeds
Rationale	*Monitoring is a form of evaluation which is done continuously during the carrying out of the change. It serves two important functions. First, conditions often change after a plan is developed. Ongoing monitoring checks that the plan as developed still fits the situation as it now exists. Second, later steps in a plan often depend on the successful completion of earlier steps. Monitoring the successful completion of each step checks if the planning is still*

on target and on time, so that corrective action can be taken or contingency plans can be activated as necessary

Review criterion — The step by step plans for proposed changes specify who will do what to check that each step is still appropriate, and achieves its intended outcomes

Procedure — For each step in the detailed plan, identify the indicators which will signal if the outcomes have been achieved. Specify who will do what to check that the outcomes have been achieved, preferably with the agreement of that person. From time to time, check that the intended goals of the change are still appropriate

10 Evaluated

Principle — Plan for evaluation and documentation of learning on completion of the change

Rationale — *Monitoring is done continuously during the implementation of a change. Evaluation is done at the conclusion, and perhaps at the end of major phases, of the change. It too serves two functions. The first is to ensure that the desired outcomes (perhaps as modified during progress) are achieved, and that any unplanned side-effects are identified and remedied. The second, more important, is to reflect on the whole change process and ensure that what has been learned from the change is shared, and perhaps recorded for future use*

Review criterion — The plans for the intended change include end-of-process evaluation, and perhaps a way of recording what was learned

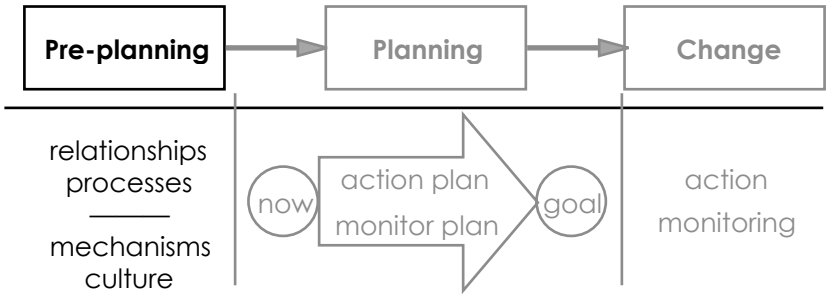
Procedure — Specify who will do what to check that the final outcomes have been achieved. Obtain feedback from those who are directly affected by the change. Specify who will do what to ensure that the learning from the change process is identified and (if useful) recorded.

Key issues for change implementers

- To the extent possible, involve those who are affected by the change in the planning
- Keep informed, others who have an interest in the proposed change
- Check that the benefits of the change outweigh the costs, disadvantages and risks
- Be clear about the intended goals of the change
- Check that the proposed change fits in with the vision, mission and other strategies of the community or organisation
- Check that the intended change is realistic, taking the present situation into account
- Reach agreement on who will do what, to what standard, and by when, to achieve the outcomes
- Check that the necessary resources and skills for carrying out the change are available
- Plan for ongoing monitoring of progress as the change proceeds
- Plan for evaluation and documentation of learning on completion of the change

An example of planned change

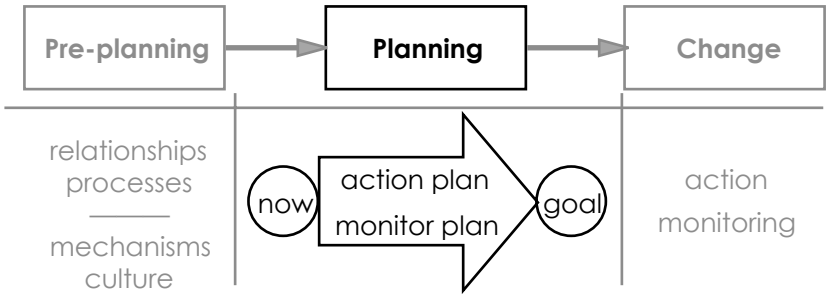
Imagine that you are giving thought to planning and organising a picnic for your neighbours or for the staff of your organisation. You might use the three-stage change process of this document to do so.



You do a quick initial check. Yes, it seems worthwhile. You are willing to try. You decide that it will be better to put together a working party to share the responsibility.

You put together a list of people who, taken together, represent the diversity of views to be found in your organisation or community. You approach them and invite them to become involved. The working party convenes, and reaches agreement on how it will work so that the planning is satisfying and effective. It checks if all stakeholders have been identified, decides that this is something worth doing.

The members of the working party realise from their own experience that they may well be enthusiastic about the picnic. That doesn't mean that they can count on others' enthusiasm. But unless others become involved the picnic will not justify the time and effort they put into it. They develop and implement a plan to market the picnic, and solicit reactions. They work out how they can keep people informed as the planning proceeds.



Now comes the more detailed planning, which the working party does ...

The members of the working party realise that the detailed planning has four main phases, which they work on in turn:

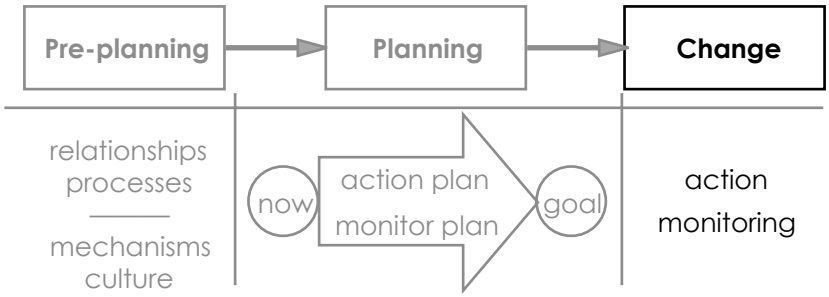
1 They work out what outcomes they want from the picnic if it is to be enjoyable and worthwhile for all. They want the picnic to be involving and enjoyable, and to contribute to a sense of community.

2 They consider the present situation. What are attitudes to picnics? What sorts of activities do others prefer? They gather this information. They estimate the likely response to the picnic by considering the readiness of people for this activity.

3 They develop a detailed action plan, beginning now, and ending with a review after the picnic is over. They specify who will do what, by when. They check that those nominated are willing.

4 They build flexibility into their plan by building in a series of actions to monitor its progress. They realise that conditions can change between plan and action, and they wish to be ready to deal with this.

Having completed the detailed planning they check that the necessary resources will be available.



The plan is implemented ...

The preparations for the picnic, and then the picnic itself, take place much as planned. People are kept informed throughout and are consulted when appropriate.

Because there is a monitoring plan the working party is able to adjust its goals and actions to emerging circumstances. Because everyone has been kept informed, and because the planning has been careful, the eventual picnic is a success.

Some weeks after the picnic the working party members meet for a last time. They ask those who attended for feedback. They identify the apparent outcomes of the picnic. They make a note, for future reference, of what they have learned about planning and organising a picnic.

The change process step by step

A Pre-planning

Phase	A	create the pre-conditions for effective planning and change — build relationships, negotiate processes, set up participative mechanisms, build a culture which supports change

The purpose of pre-planning is to check the apparent feasibility of the planned change, negotiate your own relationship and role with the key stakeholders, identify the stakeholders, set up the mechanisms to involve them, and check that the culture of the organisation or community is supportive of change

As I describe it here, there are four main elements to this phase, as shown in the box.

A1	relationships
A2	processes
A3	mechanisms for participation
A4	culture

These are addressed below in turn.

Two of them, relationships and processes, are "micro" aspects of the program. They are to do with how you relate to the other stakeholders in the change. The other two, mechanisms and culture, are to do with the wider community or organisational context in which the change takes place.

A1 Relationships

Step A1 build flexible, honest and respectful relationships with stakeholders, beginning with the key stakeholders

see tool 1 Entry
which sets out some of the relationship choices you face in the early stages of a change program

As a change agent you are your own most important tool. There is only one thing you can change directly, and that is your own behaviour. But by changing your behaviour you can change the relationships you enter into and the processes you use within those relationships.

Ultimately, that is the way in which you facilitate change — through creating trusting person to person relationships in which the truth can be told, support can be provided, and people are motivated to do what is best for all.

The most important effect of your own behaviour is often to be found in the sorts of processes you create within each relationship ...

A2 Processes

Step A2 within those relationships, use processes which encourage the open and unblaming expression of information, and collaborative decision making

see tool 2 Processes
which describes three choices in the sort of process you might encourage in your interactions with stakeholders

and tool 3 Communication
which describes some ways in which effective communication can help in establishing good processes

and tool 4 Facilitation
which describes some ways in which meetings can be more enjoyable and productive

I will assume here that the processes you use will be most effective to the extent that you and others are encouraged to be honest and complete with the information you provide. Otherwise you will run the risk that stakeholders will feign acceptance rather than express concerns, and will be selective with the information they provide so that they support their own position.

In both one-to-one and group communication, the best results are often achieved when people listen to one another and jointly pursue goals which are good for all; in which disagreements are expressed and then used to build better joint understanding.

This requires special effort when large numbers of stakeholders are involved ...

A3 Mechanisms for participation

Step A3 create egalitarian structures which involve the stakeholders in the decision making

see tool 5 Participation
which identifies some of the approaches to participation which you might choose and some of the ways of setting them up

and tool 6 Stakeholder analysis
which describes a process which will help you plan who to involve and how to involve them

and, if you wish to check the benefits

see tool 7 Impact analysis
which describes a simple process for weighing up the likely benefits and costs

In some change programs only a few people are affected in any way. It is then a simple matter to involve them in the program. Most change, however, affects many people. You then face important choices about who you will involve and how you will involve them.

For larger programs, simple approaches to participation will probably not be adequate. You will probably find it useful to set up a tiered structure where different groups of people are involved in different ways.

However, all of this may be undermined if the surrounding culture is not supportive of change ...

A4 Culture

Step A4 check that the culture is supportive of change and innovation; if necessary, set up the change program as a culture which models this

see tool 8 Culture
which explains some of the issues to consider when the existing culture isn't supportive of change

Change requires a culture where people are willing to do things in new ways. If this isn't the present situation, it's unlikely that you can change it in the short term.

You may sometimes find that the best approach is to create a new culture in the form of the actual change program and processes. You may have to insulate it in some respects from the community or organisation. The role you adopt may have a strong influence on what you can reasonably do.

B Planning

Phase B plan for change, involving the stakeholders and taking into account the desired goals and the requirements of the present situation

Much change facilitation consists of the facilitation of planning for change. Effective change plans are more easily implemented

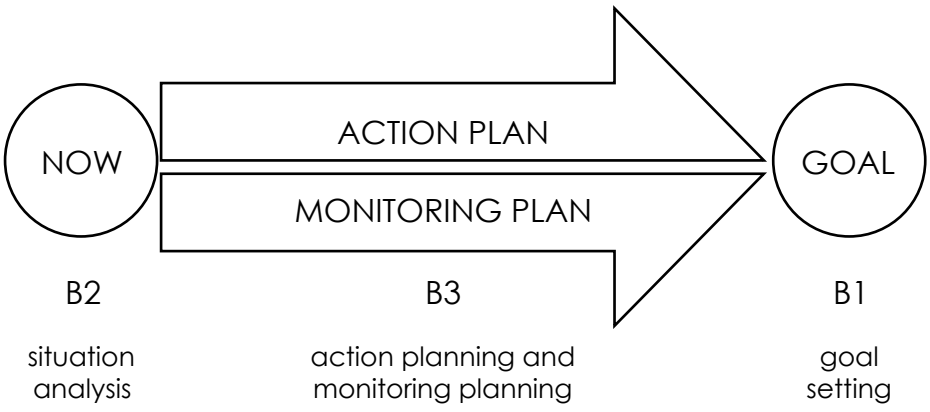
To develop an effective change plan requires that those involved know both what they wish to achieve, and what the present situation is

No matter how good the plans, they may not fit a future which has changed since the plans were developed. Effective change implementation requires flexibility. This can be built into the change plans in the form of plans for monitoring

As I describe it here, there are three main elements to this phase, as shown in the box.

B1	goal setting
B2	situation analysis
B3	action planning and monitoring planning

These are combined in a process which is diagrammed immediately below, followed by a brief consideration of each.



Note that under some circumstances it may be better to reverse the order of B1 and B2

When these three processes are used together they address three of the concerns with which people face change:

- Is there enough wrong with the present situation to do anything about it? ("If it isn't broken, why fix it?")

  Analysing the present situation addresses this.

- Is there a better option which is worth the bother of change?

  Developing a future goal or vision addresses this.

- If we set out to achieve the better option, will we succeed?

  Having a detailed action plan, with built in monitoring, addresses this.

There is a fourth concern:

- Will the goals, and the way they are achieved, fit in with our preferences and values?

  Involving the stakeholders in the three processes allows them to ensure that their values and preferences are taken into account.

B1 Goal setting

Step B1 begin the planning phase by involving the stakeholders in agreeing on goals, preferably by identifying a genuinely-shared vision

see tool 9 Search
which describes a process for building a shared vision
and tool 10 Goal setting
which offers some alternative goal setting processes

Clearly, it is easier to work out what you wish to do if you know what you wish to achieve. Agreeing on common goals can often be the first step towards pooling effort and expertise to improve the community or organisation.

Developing a shared vision is often easier than it might appear. It is a fruitful catalyst for engaging people in working together for a better future.

It also requires some consideration of the present situation ...

B2 Situation analysis

Step B2 help the stakeholders to understand the present situation, the strengths to be retained, and the obstacles to be removed

see tool 11 Force field analysis
which describes a process a group can use to analyse a situation in ways which make the planning of change easier
and tool 12 Situation analysis
which offers some alternative processes for analysing the present situation

Communities and organisations bring a lot of history to the change process. (This is why it can be easier to build a new organisation from the ground up than to change an existing organisation.) To act in disregard of that history, and what the community or organisation is like at the present, is to reduce the effectiveness of the change program.

The situation analysis may take the form of identifying what presently helps and hinders change. (This is what force field analysis does.) The intention of situation analysis is to allow you to plan for change understanding the effects your starting point will have on the change plans which will be most useful.

When the present and the desired future are understood, planning can begin ...

B3 Action planning

Step B3 develop an action plan which specifies who will do what by when, and which includes continuous monitoring of the goals and actions

see tool 13 Event track
which describes a detailed process for developing a combined action plan and monitoring plan
and tool 14 Mind mapping
which offers an alternative planning process
and, if you wish to have performance indicators
see tool 15 The Snyder process
which describes an evaluation process which develops effective performance indicators

An action plan is a step by step program for moving from the present to the desired future.

An action plan developed in detail by those who will take the action is more likely to gain commitment and lead to real action.

A monitoring plan can keep the action plan on track, and flexible enough to remain relevant in a changing world. The more useful evaluation isn't done at the end of a program. That may be too late. Evaluation is best done continuously, at each step of the action plan.

C Action

Phase C	flexibly implement and monitor the action plan, and review it

Now we come to the intended outcome of it all, implementation and the improvements which it is expected to achieve

The key issue here is continuous monitoring, to ensure that the goals and plans are still appropriate, that the plans are being carried out as intended or modified, and that they are achieving their desired outcomes

As I describe it here, there are two main elements to this phase, as shown in the box.

C1	action and ongoing monitoring
C2	final review

C1 Implementation

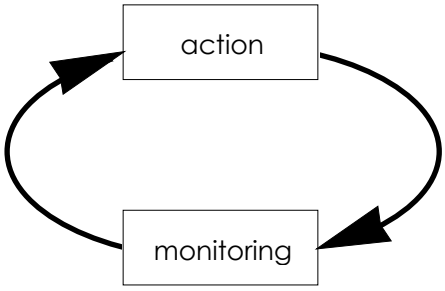
Step C1	flexibly implement the action plan, alternating action and monitoring in a continuous spiral until appropriate outcomes are achieved

see tool 16 Action research
which describes a process for flexible action and monitoring

As you carry out the implementation the rest of the world is moving. A plan inflexibly implemented my not achieve the desired outcomes.

At the time of planning, the action plan may have been the best that could be devised. As it is being implemented, conditions may change. The planned outcomes may need adjustment. Some of the actions may not work as intended.

For best results, implement action and monitoring in a continuous spiral which tracks the perhaps-moving goals.



If you used event track as your planning tool some of the monitoring will be built in to your action plan. There are other monitoring actions which you may now wish to add. The overall monitoring then looks like this:

- before taking action, check that the overall goal is still appropriate
- before taking action, check that any necessary preconditions and are met and resources are available
- after taking action, check that the action achieved the outcomes it was intended to achieve
- after taking action, check for any unintended consequences and side effects, and remedy them.

C2 Final review

Step C2 if desired, carry out a final review to identify what has been learned from the change program

see tool 16 Action research
which can be used for end of program review

As I have already said, I think the most important evaluation is the monitoring which accompanies the action. That is the form of evaluation which enables you to do most to amend your goals or your actions in the light of changed circumstances.

There may also be benefits in an overall review when the action program is completed. In particular, it enables you to

- identify what you have learned from the change program
- (if conducted again some time after completion) identify some side effects which were not at first apparent.

Here is a summary of the overall change process —

A Pre-planning

A1 build flexible, honest and respectful relationships with stakeholders, beginning with the key stakeholders

A2 within those relationships, use processes which encourage the open and unblaming expression of information, and collaborative decision making

A3 create egalitarian structures which involve the stakeholders in the decision making

A4 check that the culture is supportive of change and innovation; if necessary, set up the change program as a culture which models this

B Planning

B1 begin the planning phase by involving the stakeholders in agreeing on goals, preferably by identifying a genuinely-shared vision

B2 help the stakeholders to understand the present situation, the strengths to be retained, and the obstacles to be removed

B3 develop an action plan which specifies who will do what by when, and which includes continuous monitoring of the goals and actions

C Action

C1 flexibly implement the action plan, alternating action and monitoring in a continuous spiral, until the outcomes are achieved

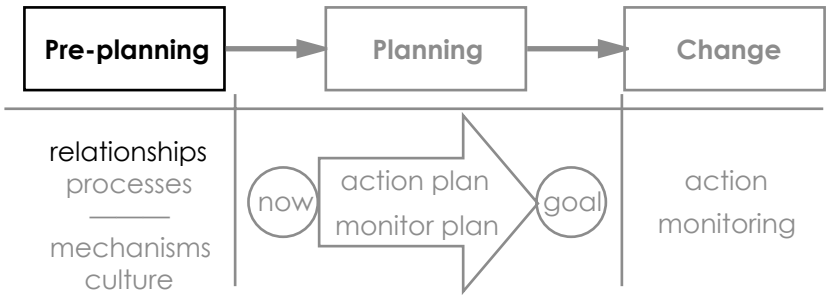
C2 if desired, carry out a final review to identify what has been learned from the change program

1 Entry

The first stage of preparation is to negotiate your role and style of change with the key players. This is appropriate at the following step of the change process:

A1 Relationships

This is most likely to be important for organisational change. There are likely to be key stakeholders whose permission and support you require if the change is to be successful



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Negotiating relationships

In negotiating your role in the change program you have a number of choices, each of which is likely to have different effects on the program. The most important of them follow.

In some change programs you may wish to negotiate different relationships with different people, or at different times.

1 Who will have your *allegiance*? For example ...

   a the *key* player or players — the most influential people, or the person or people who pay your account, or those of highest status?

   b *internal* stakeholders — all of the stakeholders within the community or organisation?

   c *direct* stakeholders — those who are most directly affected by the likely change or its implementation?

   c *all* stakeholders — all of the stakeholders, whether inside the community or organisation or outside, whether direct or indirect?

2 What sort of relationship will you attempt to create with the stakeholders you relate most closely to? For example ...

   a *professional* — a polite and respectful relationship within clearly defined roles?

   b *personal* — a close relationship in which you encourage honesty and support, where you can be yourself?

3 What sort of role will you attempt to negotiate? For example ...

   a *expert* — you will provide advice to chosen stakeholders on issues which they ask about?

b *diagnostician* — you will carry out a diagnosis of the community or organisation, and present a list of recommendations to the stakeholders?

c *content facilitator* — you will plan and administer the change process, with help from others when needed?

d *process facilitator* — you will involve stakeholders in doing the planning and administration, while you facilitate a process to help them do this more effectively?

e *metaprocess facilitator* — you will help stakeholders learn enough about change and facilitation for them to be able to manage future change without help?

4 How clear will your contract be with the key stakeholders, or the stakeholders with whom you agree on the contract? For example ...

a *firm* — you will try to negotiate a clear contract which sets out the process of the program, nominating such matters as processes used, timelines and cost?

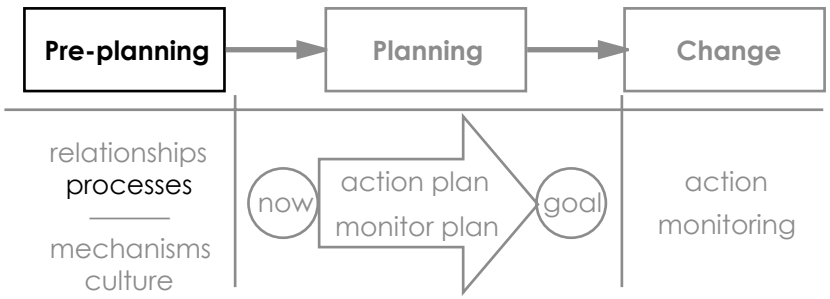
b *flexible* — you will try to negotiate a flexible contract in which you and the stakeholders can renegotiate the contract as the change program develops?

2 Processes

A description of three process styles. This is appropriate at the following step of the change process:

A2 Processes

How you relate to others can influence the change program in a variety of ways. The descriptions below identify some of your choices



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This section is based on session 7 of the on line action research program "Areol", available on the web at http://www.uq.action_research/areol/areol-session07.html

Three styles of process

As you engage with stakeholders you have a choice about how you will relate to them — what sort of interpersonal processes you will try to adopt. For present purposes I'll assume that there are three such processes:

- adversarial
- consensual
- dialectical

In what follows it will be apparent that I prefer the third of these as most effective. However, when you are involved in facilitating change it is your choice. There will be times when the local style is adversarial. You may not always have a lot of choice, at least not in the short term. On other occasions consensual processes will serve your purpose, and will be easier and economical in their use of time.

And in any event, dialectical processes require more skill on the part of the facilitator. It makes sense to choose a style which you believe you can consistently and effectively manage.

A. Adversarial

By "adversarial processes" I mean processes in which it is assumed that one person's gain is another person's loss. Such processes are commonly called "win/lose".

A debate is an example of an adversarial process. Each debater tries to argue for a point of view. It is usual for one debater to be chosen as the "best" or the "winner".

I treat compromise (as usually practised) as a subset of this: partial win / partial win. "I'll let you win this piece if you let me win that piece."

Let me add that I don't really believe it is as black and white as these brief definitions suggest. Most processes are at least a bit of everything. The boundaries are fuzzy.

But it's a useful set of labels for talking about data collection and interpretation. The type of process you use can effect both change and understanding.

Adversarial processes interfere both with the development of effective plans and their implementation.

They tend to undermine planning. If adversarial processes are used, the aim is to win. People are likely to tell selective truths or perhaps even plausible lies. In the absence of accurate and complete information it is harder to gain a good understanding. It is therefore also harder to make effective decisions.

Adversarial processes may also hinder action. The action is probably based on biased information. There are losers as well as winners. The losers are not likely to be highly committed to the decisions taken.

(Losers may go along with the decisions, especially in a culture like mine which depends heavily on adversarial processes. In this culture we assume that being allowed to decide binds us to the decision. But as losers we won't exactly be distressed if the plans don't work. Some of us may even throw a spanner into the works when no-one is looking.)

B. Consensual

By "consensual processes" I mean processes which first identify agreement, and then build on that agreement. They are win/win processes which can give simple and effective decisions if the "wins" are easily enough identified.

Some visioning or ideal-seeking exercises, where people are asked to develop a shared vision, are consensual processes. If the vision is set far enough in the

future there is usually quite high agreement, especially if the vision isn't too specific. People are then willing to devote effort to achieving some of that vision.

Consensual processes work best when there is already agreement. This is especially true when it is not fully recognised. It is then that its emergence has useful surprise value.

These processes can be used to identify and record the unexpected agreement (unexpected by the participants, that is). The agreement can then provide a foundation for further planning or decision-making.

When this prior agreement exists but is unrecognised, consensual processes may be an efficient way of surfacing it. Their most common application is to define some future vision or ideals.

see also tool 9 Search
which provides a process for developing a vision

The vision then gives people a common purpose. It also serves as a criterion which can help in choosing between detailed options. Especially when previously unrecognised it can act as a catalyst, a spur to collective action.

When consensus works it is an easy and efficient way to generate decisions. If agreement with the decisions is high, so is commitment likely to be.

(If consensus is superficial, though, the information and decisions are likely to be superficial too.)

Consensual processes are most effective when there is at least tacit agreement about those issues which are most salient. When there are substantial and salient disagreements, consensual processes are much less effective. This is true whether the disagreements are tacit or explicit.

Under some circumstances consensual processes can be counter-productive. If there are disagreements which are important, people may nevertheless be unwilling to raise them for fear of undermining the consensus, even though it is really a false consensus. This is a particular risk when consensus is highly valued, relationships are close, and conformity is high. [2]

C. Dialectical

By "dialectical processes" I mean processes which craft agreement out of disagreement.

Dialectical processes are win/win processes. But the wins are achieved only after the disagreements have been identified and resolved. The disagreements often play an important role in identifying misunderstandings.

The goals of dialectical processes are information exchange and understanding. People improve their understanding when they engage vigorously with the issues. People educate each other. It seems to me that this happens best within a process of cooperative enquiry.

In other words, dialectical processes are processes of mutual education. They are more easily described than achieved. A climate of mutual education is achieved only when people are willing to respect each other, and try to understand each other.

Some of the alternative dispute resolution processes for conflict management are dialectic.

Dialectic processes generate agreement from disagreement. They do this by pursuing three goals:

2. The concept of false consensus was popularised under the title of "groupthink" by Irving Janis. See Janis, I. (1972) *Victims of groupthink: a psychological study of foreign policy decisions and fiascos*, Boston: Houghton-Mifflin.

- honest information, directly communicated
- striving to understand what others say
- using disagreement to identify where more information is needed.

In short, dialectic processes combine some of the features of the other two types of process. As with adversarial methods, disagreement is likely to be evident. As with consensual methods, the intention is to reach a mutually agreeable outcome.

The key features of dialectical processes are

- that people are encouraged to express disagreements and different information and opinions freely
- but are required to do so within a climate of listening, joint decision-making, and a willingness to educate and to be educated by others.

These features can be captured in a guideline which says

"Inform, not persuade"

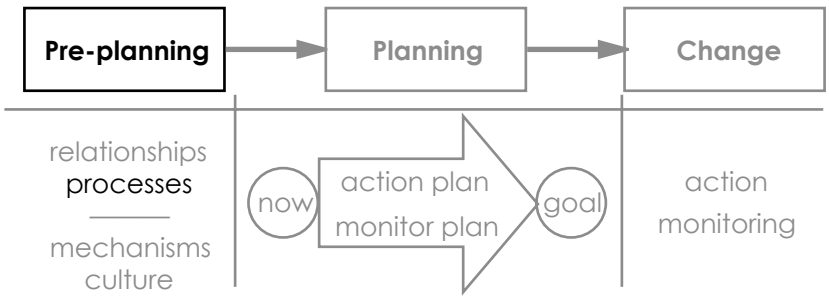
3 Communication

A description of some fundamentals of interpersonal communication.

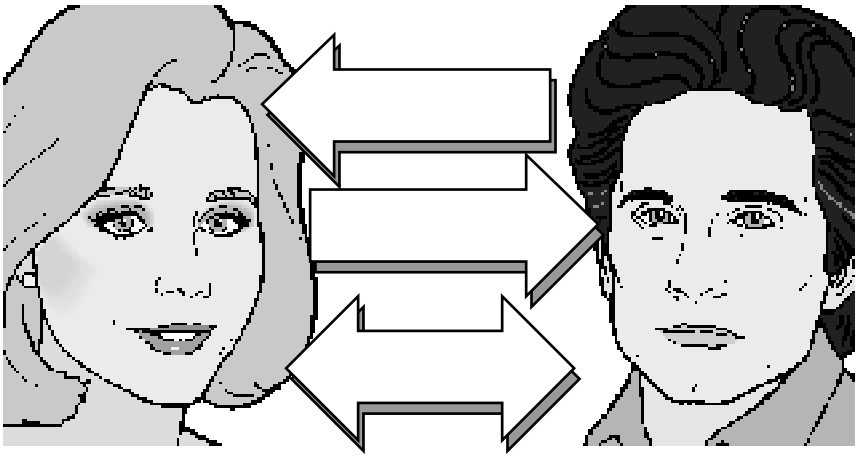
This is appropriate at the following step of the change process:

A2 Processes

This complements the previous tool ("Processes") with some fine-grain ways of communicating effectively



Communication and facilitation skills are fundamental skills for the management of change. This note provides an overview of communication skills.



Three sets of skills: to get information, to give information, and to achieve a productive and satisfying interaction

When two people are communicating effectively, each of them is giving and getting information. They are doing this in a way that is productive and satisfying.

The interaction will therefore be most effective when each of them has three sets of skills:

- **skills at giving information**

  knowing what information to convey, and being able to convey it clearly so that the other person finds it easy to understand

- **skills at getting information**

  being able to understand what the other person is saying, and being able to ask the other person for missing information

- **skills at managing the process of communication**

  knowing how and when to start and when to end the conversation, and knowing when to speak and when to listen.

When one person lacks any of these skills, it is then even more important for the other person to be skilled.

When and how do I begin?

(And do I begin? — sometimes it is better to decide that the interaction will be more trouble than the likely outcomes warrant.)

Choose a time and place when you and the other person are most likely to be able to give the matter your attention. If possible, choose a place free of distractions. Don't pussyfoot around — the other person will wonder what is going on.

Is this a time to listen or a time to speak?

It will be pointless if you don't have their attention. So you will sometimes have to speak first to do this. On some occasions you may also find it useful to agree on how the interaction is to proceed.

Upset people find it very difficult to listen. If the other person is upset, you'll get better results if *you* can listen first. A good first step is then to encourage them to speak.

Here's a sequence which often works well ...

- first, explain what you wish to talk about, or find out what the other person wants to talk about
- second, listen until you understand the other person's position
- third, provide the useful information you have
- then, when both of you understand both sides of the issue, try to reach a decision that is good for both of you.

You can think of it as a set of priorities:

1 Highest priority is given to "process issues" to create a climate in which you can speak clearly to each other and be understood

2 Next highest priority is understanding what the other person has to say

3 When the above two priorities have been achieved, you will then find that the other person will usually be more willing to listen to you.

How do I listen?

Listening is hard work. It helps if you remember that it has a number of different parts:

Listening to understand the *whole* message, with eyes as well as ears, giving the other person all of your attention

Acknowledging what the other person has said; agreeing with whatever you can

Checking that you have understood

and if the other person is not upset ...

Enquiring for more information when some is missing.

The most useful of these is the one that almost nobody uses: "acknowledging" — letting the other person know what you have understood. This is most easily done by repeating *in your own words* what you think the other person has said *and implied by the way the person said it*.

> *"Are you saying that I did ..., and that the effects for you were ...? I also had the impression that you think I should not have done this. Is that so?"*

The least useful of the four is enquiry. If you do the other three well you can listen well without asking questions. And asking questions is mostly not useful when the other person is upset. It can too easily appear to be an inquisition.

What information do I listen for?

What behaviour or events led to what consequences for the other person? Consider a situation where the other person is not pleased with the way you have acted. The potentially relevant information then may include ...

- Your actions towards the person (or their perceptions of it)
- The material outcomes for him or her of your actions
- What (s)he imagined you might have been trying to achieve
- How (s)he felt (or feels) towards you or the relationship with you
- How does (s)he intend to react, and/or how does (s)he actually react.

actions → outcomes

or in more detail ...

actions → material outcomes → beliefs → feelings → reactions

Continue until the other person is not upset, or no longer upset. You may then be able to get more information by asking about the information missing from this list.

How do I respond?

Restate in your own words what you think the other person has said and implied. Agree only with what is specific and true, and agree to it readily and clearly. If you do not fully understand, encourage the other person to say more.

Continue to listen, acknowledge and check until ...

- the other person is not upset
- you are sure you understand what perception the other person has of the situation

- you are sure that the other person knows that you understand, and has agreed that your understanding is accurate.

Alternatively, if time is short, it may be better to negotiate another time to meet.

What information can I most usefully give?

The other person will find it easiest to understand your position if you speak clearly and specifically, and if you do not blame or criticise them or demand certain behaviour from them.

You can then prepare information which includes the same elements as those mentioned previously. Include what the other person said and did, and what the outcomes were for you:

actions → material outcomes → beliefs → feelings → reactions

Again, it will be easiest for the other person if you are tentative about anything you are not *entirely* certain about, but that you are also direct and specific.

> *"My memory is that you did* [these specific things]. *Because of that, I suffered* [these specific outcomes]. *At the time I wondered if you were trying to* [...] *and I became* [...]. *That's my perception. I'd really like to understand what* ***your*** *perception of the situation is."*

How do I speak?

How you speak is as important as what you say — some say it's more important. Being specific and unblaming (see above) helps. Tone of voice, volume, posture, gesture and the like ... it is from these, rather than from your words, that the other person assumes your attitude and intentions.

If you are angry, or upset, or sad, or feeling some other emotion, it is usually better to say so. The other person will probably pick up some impression from how you speak, but may not interpret it accurately. If you give a different message

with what you say and how you say it, the other person may interpret that as non-genuine.

Don't confuse facts and assumptions. Facts are things *you are certain beyond doubt* that the other person said or did. Assumptions include anything else. (Don't assume that the other person agrees about what is factual and what isn't.)

What do I do when that doesn't work?

If it isn't working for you it may be that you have aroused some suspicion or resistance from the other person. You may have ...

- "pussyfooted around" the issue, and not been clear
- expressed your own anger so vigorously that the other person finds it hard to listen
- tried to push the other person to a particular view or outcome and this has aroused their resistance and determination
- concealed, or at least not expressed, your motivations
- misunderstood the other person's motivations.

People usually are not explicit about their motives and intentions. They also make assumptions about one another's motives and intentions. They then behave as if they are correct in their assumptions. This is a common source of difficulty. Being clear and explicit about your own motives and encouraging others to do the same can do much to clear the air.

Finally, sometimes the other person is unwilling to change. Some interpersonal problems are not resolvable. (This is not a decision to be adopted lightly.)

In summary ...

As Covey says, "First understand, then be understood". And if necessary first negotiate how you and the other person are going to manage this interaction.

Distinguish between facts and assumptions. Be as clear and specific about the facts as your confidence allows. Be tentative about the assumptions.

Get everything on the verbal channel. Voice your assumptions and feelings. Encourage others to voice their assumptions.

Here is a useful three-piece reminder for what to say to the other person: [3]

- The evidence: what people said and did, and what happened, described as specifically and directly as possible, without blame or criticism
- Your assumptions: what you *think* happened, including your assumptions about the other person's motives if that's relevant. Be tentative, and label your assumptions as assumptions.
- Strong encouragement for the other person to offer different evidence and assumptions.

3. This reminder is based on the work of Viviane Robinson (1993) *Problem-based methodology: research for the improvement of practice*. Oxford: Pergamon Press.

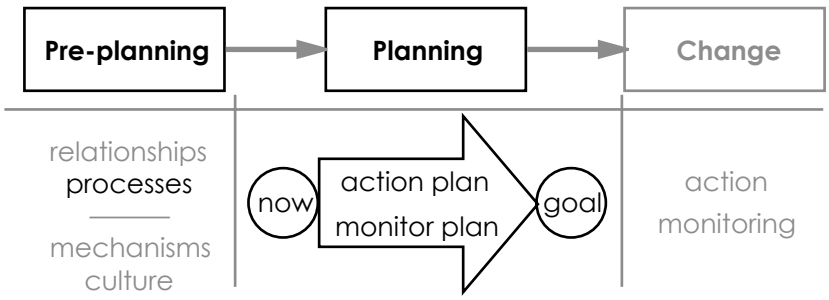
4 Facilitation

Facilitation is a skill which will be useful throughout the change process, but especially during group planning and the like.

This is appropriate at many steps of the change process, but especially:

A2 Processes B Planning

The effectiveness of a change program can be strongly influenced by the effectiveness of group processes. Facilitation skills can improve that effectiveness



Meetings

Much time is spent in meeting of one kind or another.

This is most evident in corporate settings It is not unusual for managers to spend a majority of their time in meetings. For some senior managers most of their activities take place in meetings.

In community settings the meetings may be less formal. But at least during change programs there is a frequent need for people to meet, to plan, to make decisions.

Many of those meetings could be more enjoyable, efficient and productive than they are. Many change programs can be more effective if the meetings which guide them were better facilitated.

This brief document offers suggestions for three aspects of meeting facilitation:

- planning and facilitating meetings
- dealing with the moment-by-moment process of helping people share and analyse information and make decisions
- encouraging more productive processes by making the process visible.

These follow, in turn.

Planning and facilitating meetings

The following diagram summarises some of the issues which can do much to determine the effectiveness of meetings:

Feelings which are
- positive towards self, others, goals and process
- and not strongly negative towards anything

allow the exchange of

Information, which if
- specific, adequate, accurate and relevant
- and understood and accepted by all

helps to make more effective

Decisions. If these
- have the commitment of those affected,
- specify who will do what by when, and
- include monitoring and coordination

then the desired

Outcomes are more likely to be achieved.

You probably recognise from your own experience that meetings commonly don't deal well with these issues. Most meeting would benefit from

- outcomes which are clearly defined and agreed to
- decisions which are made only when all the information is available, understood, and believed
- feelings which are acknowledged and dealt with.

To deal with these issues, consider the implications of the FIDO model in meeting design and facilitation.

Designing meeting processes

In designing meetings, work upward from the outcomes:

- Be clear about what outcomes you want from the meeting. Specify these in ways which allow some freedom and flexibility to others who will be at the meeting. "Solve such and such a problem" rather than "Reach this specific solution".
- Decide what sorts of decisions will have to be made if the desired outcomes are to be achieved.
- Identify the sorts of information which will be required if effective decisions are to be made.

  (Feelings are considered later.)

Now work back downwards to design the meeting process. Design a process which:

- first identifies and exchanges the relevant information
- then analyses the information to reach appropriate decisions
- and then plans how the decisions can be implemented to achieve the outcomes.

Now examine your process. Will it encourage positive feelings about self, other, outcomes and process? If not, how can you modify it? Can it deal with negative emotions which might arise? If not, how can you amend it so that it can do so?

Facilitating the overall meeting

In facilitating meetings the same FIDO model can be used. If there is a roadblock, it can usually be more easily resolved one category above rather than at the same level at which it occurs. For instance ...

> If outcomes are not being achieved, it may be that appropriate decisions were not made, or that people were not committed to them.
>
> If the meeting is having trouble reaching decisions it may be that it lacks some important information, or that some of the available information is not understood or not believed.

If the information is available, but people seem unable to act on it, it may be that negative feelings or attitudes are getting in the way.

Emotions can also interfere at all stages. If negative emotions become evident it is better to deal with them in some way rather than pretend that they don't exist or that they don't matter.

Facilitating the moment-by-moment process

In a sense, meetings are about information management. At different stages the information may be about different aspects: sometimes about whatever is being discussed, sometimes about decisions, sometimes about the actions required to achieve the desired outcomes. If information is gathered and analysed well, meetings are likely to be more productive and often more satisfying.

Some simple tactics, again not common, can help substantially:

- Work to whiteboard or butcher paper so that the information being dealt with is visible to all.
- Allow individual thinking time before information is collected. Some people can think as they talk. Some contribute more if they have time to think before they are asked to speak. And if people have had a chance to think about what they have to contribute, they may listen more effectively when others are speaking.
- Encourage everyone to contribute on important issues and to indicate their agreement or disagreement with important decisions. Minority views (and sometimes even majority views) can otherwise be submerged.

Making the process visible

During a typical meeting, people pay more attention to what is being said than how it is being said. Their attention is on the information, the content, and they

largely ignore the process that is used to exchange and analyse the information. As a facilitator you can draw attention from time to time to the process. This will usually have the effect of improving the process over time.

The table on the following page lists some common process problems in groups, and what can be done about them.

Issue	Symptoms	Interventions
Common goals	Group lacks focus	Set goals and write up publicly
	Cliques form	Set goals, or define ideals or vision
	"Tailchasing" - issues keep re-emerging without resolution	Break goal into subgoals
	People push own barrow	Set or reset goals, or remind people of them
Equality	Uneven time-sharing	Keep a time log and make it public
	Some do all the talking	Set time limits
	People interrupt each other	Go round table, one at a time
	Some withdraw	Ask quieter ones to speak first
	A few people make all the decisions	Allow individual thinking time; less powerful or lower status speak first; make those who dominate the facilitators
	False consensus	Check consensus with all; voting (perhaps anonymous); appoint a devil's advocate; identify and evaluate all options
Listening	Interruptions	Ask people to restate what they have heard before they respond
	Alternating monologues: people don't seem to be listening, but pursue their own topic	As above; allow questions for clarification
	'Tail-chasing' (topics recur)	(See common goals)
Collaboration	'Knocking': ideas are criticised as soon as they are offered	First say what is good about ideas; information first, analysis later
	Ignoring others' ideas	Generate ideas, then evaluate
Openness	Hidden agendas	Restating what the other person has said before responding; being explicit about the motives behind the discussion
	Red herrings (irrelevant detours)	Draw attention to them; ask each person to state "What I want from you..."
	High frustration	Exchange assumptions and evidence
	Verbal/nonverbal mismatch - what people say does not match what they do or how they look	(See common goals)

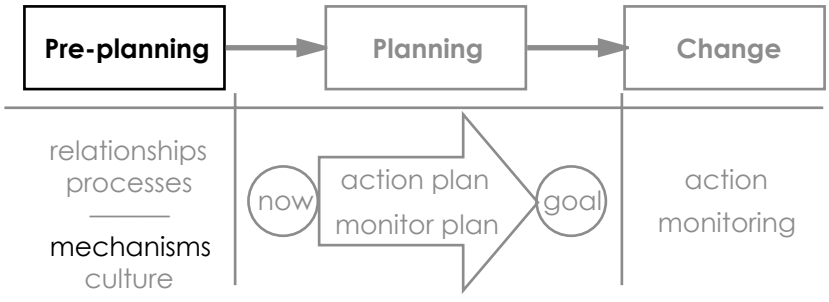
5 Participation

A description of three ways of involving stakeholders in a change program: direct, representative, and a hybrid of the two.

This is appropriate at the following step of the change process:

A3 Mechanisms for participation

Involving stakeholders can give you access to a wider range of information, and can build commitment to the change.



Approaches to participation

Below you will find brief descriptions for three approaches to stakeholder involvement. Each is accompanied by a comment on when it might be used, and suggestions for how you might go about it. The three styles are

- direct participation, involving everyone
- representation, involving a representative group
- a mixed approach, using a steering committee or working party, but keeping all stakeholders informed and perhaps to some extent involved

(There are many less-representative approaches than those I describe below. They are not uncommon in corporation or community. They are often justified on the grounds that they are less time-consuming or less expensive. That is sometimes true.

They also tend not to generate much commitment on the part of those affected. If you don't require that commitment, and you don't have ideological reasons for favouring participation, these less participative approaches may be appropriate. I don't discuss them further here.)

A. Direct participation

What is it?

Everyone affected by the project or its implementation is involved in planning and carrying out the project

When would you use it?

When there are relatively few stakeholders and the time and skills to involve everyone are available

How do you do it?

Identify those affected by the project or its implementation. Invite them to join the project planning group. You may use "stakeholder analysis" for this purpose. Before you begin the planning, agree how the group will operate.

B. Representation

What is it?

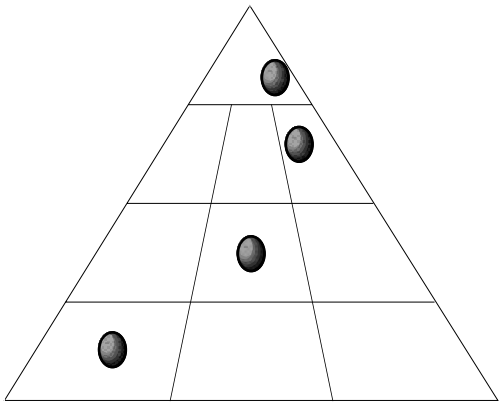
A representative group is formed from those affected by the project or its implementation. This group plans and carries out the project

When would you use it?

When there are too many stakeholders for direct participation, or there isn't the time or the skills for full participation

How do you do it?

Identify a group of people who are sufficiently representative of all those who are affected by the project or its implementation. For best results, this group should be large enough to be representative and small enough to be practicable. This is often done by putting together a group in which each affected level and function is represented — a "diagonal slice". See the diagram below.



In a community setting it may be more difficult to identify suitable people. Volunteers aren't always the best choice. They may be enthusiastic, but they may have volunteered for ulterior reasons.

Here is one way in which you might put together an effective representative group.

- identify a small number of well-known and very different people; ask them to put together as group which is as representative of the whole community as they can make it, of about half the size you think is appropriate
- give that group the power to co-opt additional members as they discover interest groups not previously identified.

However formed, a representative group will be most effective when those chosen for it ...

- have the necessary skills for the task
- are "well connected" — will communicate well in both directions with those they represent
- are well respected — those on whose behalf they act will assume that they act for the benefit of all.

Before you begin planning, agree how the group will operate.

With this approach, there are many people who are not directly involved in the planning and implementation. The eventual success of a change may nevertheless depend upon their acceptance of it. To achieve this, frequent and open communication in both directions is important and requires careful planning and attention. *The commonest cause of failure with this approach is that those not included in the representative group feel inadequately consulted.*

C. A mixed model

This is particularly suited to large projects which can be subdivided into smaller components.

What is it?

A central group is responsible for initial overall planning. It is sometimes called a "steering group". Smaller "working parties" of direct stakeholders are set up to do the more detailed planning and implementation of components of the project

When would you use it?

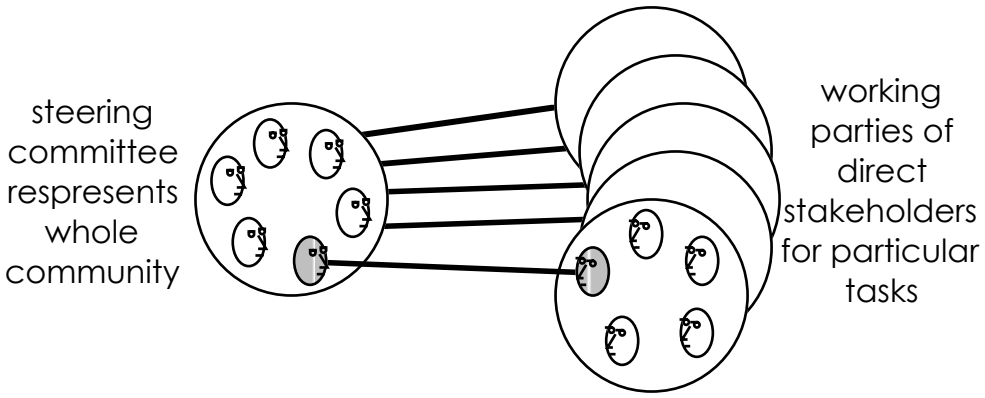
When the conditions do not suit direct participation for the overall project. But the project can be subdivided into components in which direct stakeholders can do the planning and implementation

How do you do it?

Set up a steering group for the initial planning and later coordination. Do this as for "B" above.

As part of the initial planning, agree how the project might be subdivided into relatively independent components. For each of the components set up a working party. Do this as for "A" above.

Include a member of the steering group in each of the working parties, for coordination. You will get better results if this person does not facilitate the working party, but is there for communication in both directions.

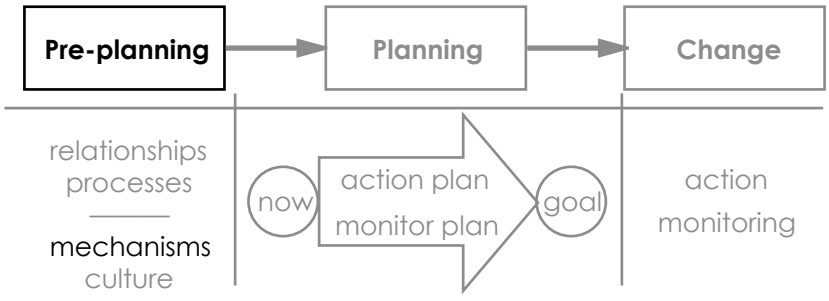


6 Stakeholder analysis

Stakeholder analysis is a tool which helps to identify who to involve and how to involve them. It is appropriate for the following stage of the change process:

A3 Mechanisms for participation

A stakeholder is anyone affected by the outcomes of a change process or by the way in which the change is implemented. The main source of commitment to change and the main defence against resistance is participation. Identifying the stakeholders is an important part of this



A. Simple stakeholder analysis

Two forms of stakeholder analysis are described here. "A" is a simple version. It will serve the purpose for simple changes where few stakeholders are likely to be affected and issues are unlikely to be contentious.

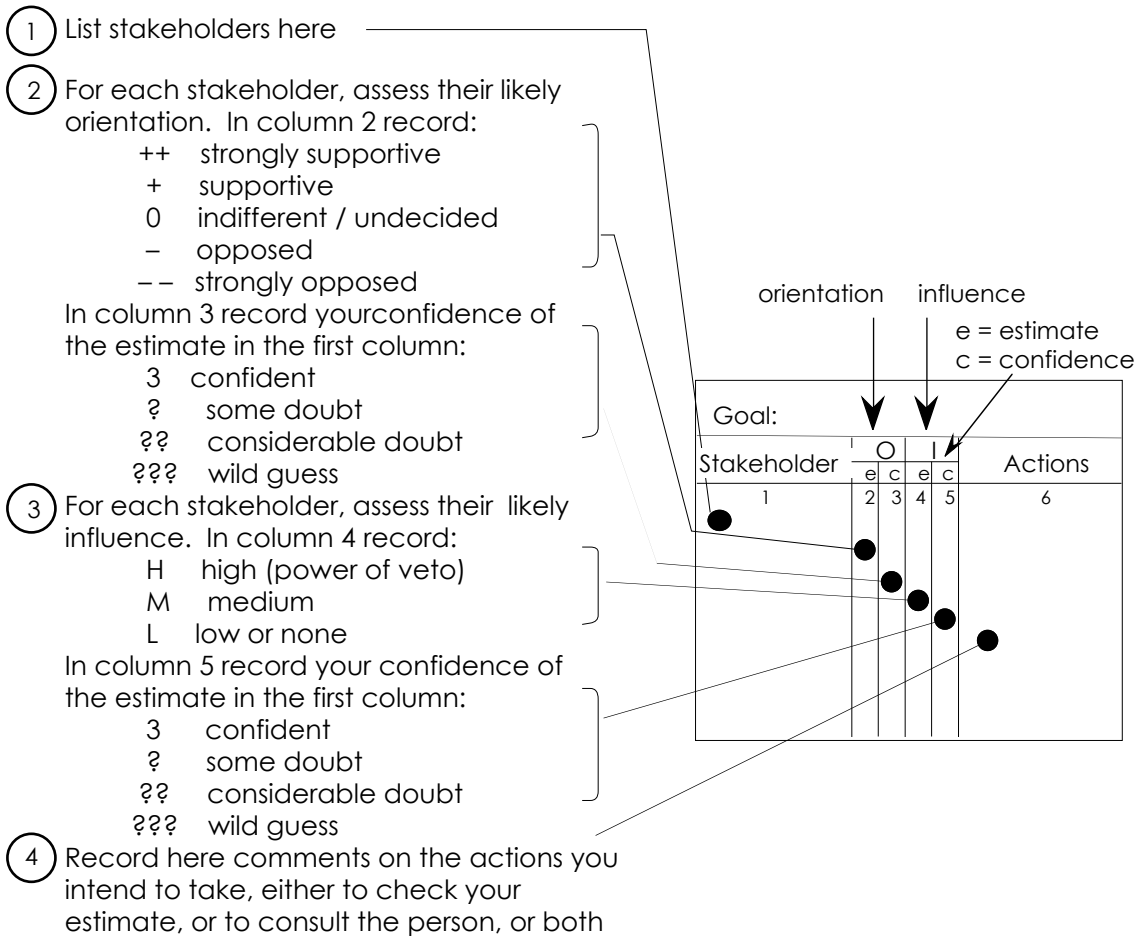
Here is an effective way of using this form of analysis. On a sheet of butcher paper, brainstorm a list of possible stakeholders. Starting with the key stakeholders, transfer them to Column 1 in the table below. For each, fill in either column 2 or 3 with the actions you will take.

Stakeholder	If you don't know enough about the attitude of this person to the change, how will you find out?	If you have decided to involve this stakeholder, what approach will you use?

B. Beckhard's stakeholder analysis [4]

Beckhard's analysis may appear complex at first glance. Facilitated by someone familiar with it, it is easy to use, and helps you to make an informed decision about who to involve and how to involve them.

Below you will find a diagram which shows one way of carrying out a stakeholder analysis. On the next page is a detailed description, followed by a worksheet you can use for this analysis.



4. Copyright Bob Dick 2001. Developed from a handout from David Napoli, and initially from Richard Beckhard.

Here is the process for using the worksheet (individually, or in a group):

1 List the stakeholders in the first column. It is better to list too many than too few. They may be individuals identified by name or position, or groups of people identified by position (for example, managers in a particular directorate), or a combination of both.

Now consider each stakeholder in turn ...

2 In column 2 write your estimate of this person's support for or opposition to the change

+ +	very supportive
+	supportive
o	indifferent/undecided
–	opposed, though not strongly
– –	strongly opposed

3 In column 3 write how confident you are of the accuracy of this estimate

	confident
?	some doubt
? ?	considerable doubt
? ? ?	wild guess (little or no information)

If you are working individually, err on the side of using too many rather than two few question marks. If you are working with a group, differences of opinion about any judgment in column 2 indicate that two or three question marks are probably required.

4 In column 4 write your estimate of how much influence this person can have on the success of the change process

H	high influence (power of veto)
M	medium; it will be easier with this person's support
L	low; you don't need this person's support.

5 In column 5 write your confidence in the judgment in column 4

6 Now write your planned actions for each stakeholder in column 6. Consider:

the extent to which you need this stakeholder's **commitment**. What form and level of involvement is needed to obtain their commitment?

the extent to which you need **information** which this stakeholder has. What form and level of involvement is needed to obtain their information?

If there are two or three question marks, this indicates that you may need more information before making a final decision. In column 6 write what you intend to do to obtain that information.

Stakeholder analysis worksheet

Write the project goal here

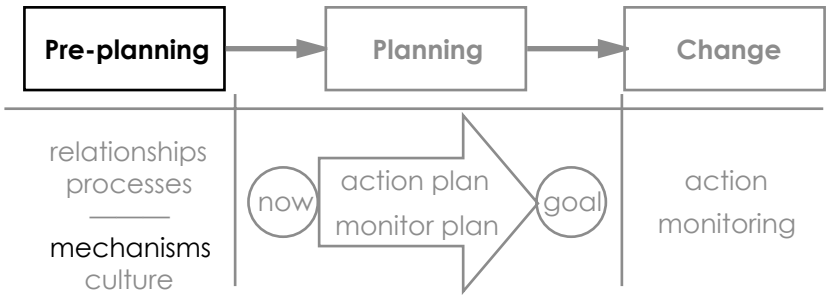
O = orientation →	**O**		**I**		← I = influence
	e = estimate c = confidence				
Stakeholders	**e**	**c**	**e**	**c**	**Actions**

7 Impact analysis

A one page worksheet for summarising costs and benefits. This is appropriate at the following step of the change process:

A3 Mechanisms for participation

Before proceeding far with a change program it is as well to check that the change is likely to be worthwhile



This worksheet identifies the most important advantages and disadvantages for each of the important stakeholders and for the organisation as a whole. Use additional pages as necessary

Briefly, what are the intended outcomes of the proposed change?:

Who are the key internal and external stakeholders? (the people who will be most affected by the proposed change)	If you **don't** proceed with the change, what will be the advantages and disad-vantages for these stakeholders?	If you **do** proceed with the change, what will be the advantages and disad-vantages for these stakeholders?

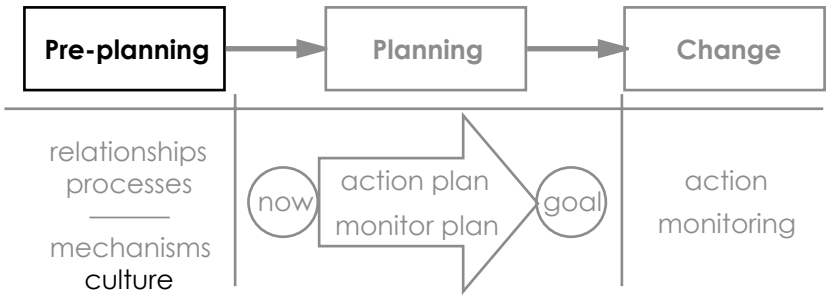
What are the important advantages and disadvantages for the organisation as a whole?	Disadvantages	Advantages

8 Culture

A description of those aspects of culture which are supportive of change. This is appropriate at the following step of the change process:

A4 Culture

If people are unwilling to try new ways of doing things, change is nearly impossible. If honest mistakes are punished, then people will be risk averse and will not take the chance of trying new ways. These are the dimensions of culture which are most salient in change programs



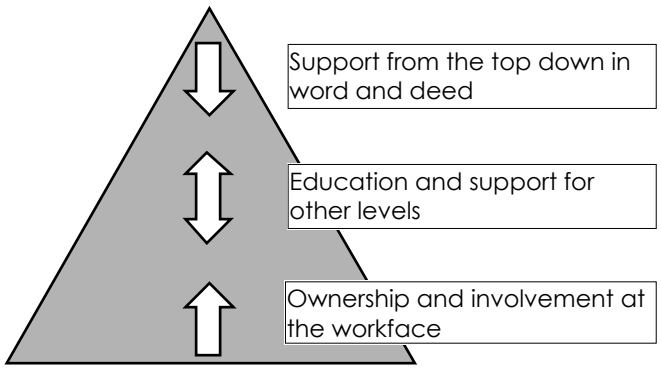
Processes which increase success at change

Many change activities require attitude change for their success. In such change activities there is a balance to be achieved.

On the one hand, effective change requires the new ways to be embedded in the normal day to day operation of the community or organisation. This is best achieved by a low-key business-as-usual approach. In what is probably the largest study of the features of successful change, it was found that a low-key approach using simple language and no fanfare worked best. [5]

On the other hand, it is usually necessary to involve all levels of the organisation and all strata of a community at once. Those levels and strata not involved may not understand, and may act to sabotage the change. This approach requires the organisation's executive and the community's opinion leaders to support the change in word and deed. Ownership is important at workface and community face. But it is achieved only with high levels of consultation and involvement.

In organisational settings commitment from the intermediate levels is often most at risk. Middle managers require support, and education to help them understand the purpose of the change. [6]



5. Swedish Employers' Confederation (1975) *Job reform in Sweden: conclusions from 500 shop floor projects*. Stockholm: Swedish Employers' Confederation, Technical Department.
6. See Dick, B. (2000) *Creating joyful and productive cultures*. Chapel Hill, Qld.: Interchange.

In communities, finding ways of reaching out to all stakeholders is difficult, but often the only way to build commitment to a common plan. Inviting people to become involved often attracts activists and others who have strong views which are not necessarily those of the community at large.

Involving the "silent majority" fills in the gap between polarised views. It gives access to wider information. It may make a consensus more easily achievable.

Favourable aspects of culture

This combination of multiple fronts and low-key approaches is helped by a community, and particularly an organisation, which is already supportive of change. Aspects of culture which support effective change include the following.

- people are allowed to make well-intentioned mistakes within predefined limits
- open communication is preferably encouraged, or at least not discouraged
- relevant information is usually readily available to those who need to access it
- ideas are judged on their merits, not in terms of who suggested them
- in organisations, industrial relations issues are handled non-adversarially.

Encouraging acceptance of change

At all levels and in all situation, managers and others can do much to bring about these features in their own areas of responsibility. They can achieve this by ...

- defending their subordinates, colleagues and friends against unjustified attacks; in organisations, managers who defend subordinates against the challenges of their superiors are more likely to be successful champions of change

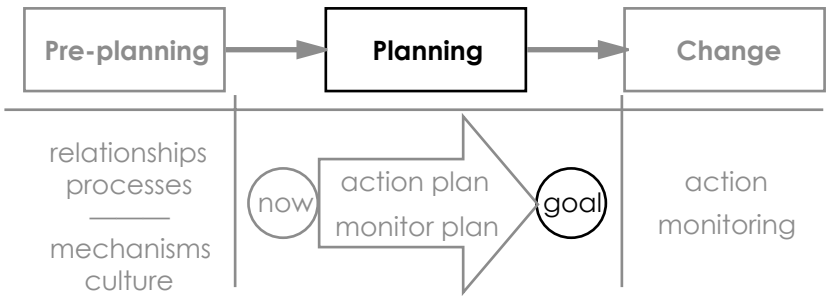
- encouraging innovation, especially innovation which does not have effects beyond the manager's area of responsibility or the immediate community environment
- keeping subordinates, colleagues, neighbours and friends fully and honestly informed about what is happening in the community or organisation, while at the same time not undermining collective initiatives
- building the capability of their subordinates and others by encouraging experimentation, building skills, and the like.

9 Search

A process for developing a shared vision. This is appropriate at the following step of the change process:

B1 Goal setting

A shared vision can be both a desire which people will gather around and devote effort to, and a catalyst for a change program to which all are committed



 Most of this section is a modified extract from Dick, B. (2001) *The PACE program*. Paddington: Syntactics. The section on the Snyder tool is based on Dick, B. (1997) *The Snyder evaluation process*. Available on line at http://www.uq.net.au/action_research/arp/snyder.html

A. The purpose of a vision

First, to use a "systems" tool from the Snyder process to provide some context ...

Or in a little more detail ...

RESOURCES
are consumed by
ACTIVITIES
which produce immediate
EFFECTS
as they pursue planned
TARGETS
which contribute to a
VISION
of a better world

Much project work develops objectives (called "targets" in the Snyder model) and works backward from there to activities. The Snyder tool works with three levels of outcome:

effects	are outcomes which occur while the activities are being carried out
targets	are planned outcomes which are expected to be achieved by the completion of the project
vision	is the better world which the targets are expected to contribute to.

For all but brief projects, it is often useful to give more attention to immediate effects and vision than to targets. Often, by the time a project is completed, the situation has changed and the targets are less appropriate. A vision, being more of an ideal, can still be something that implementers can aim towards. If it is a

shared vision, it can also be motivating for those implementing the project and those affected by it.

A metaphor

Imagine yourself lost in a swamp in swirling mist. Times of rapid change are sometimes like that.

What will do most to help you find your way out?

It will be helpful if there is a beacon on a distant hill, so that you can keep moving in approximately a suitable direction. This is the purpose a vision serves.

It will be helpful if you can see which next few steps are safe. This is the purpose that immediate effects can serve.

Intermediate steps — targets — are less useful unless you are willing to be flexible about them.

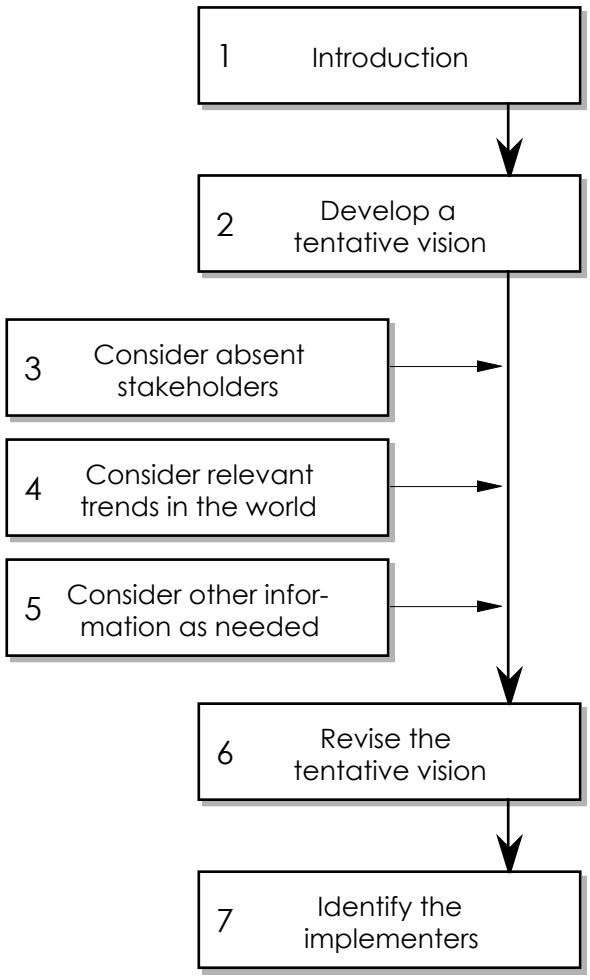
B. Search

Search is a process for developing a vision. In outline, the steps are as diagrammed on the following page.

Search can be used for numbers between about one dozen and 100. Larger sizes require skilled facilitation. There are many varieties. When you use facilitators you will get better results by letting them use whatever variety of search they are most familiar with.

The version described here can be done in a day or less with careful structuring and facilitation. For small groups a half day may be adequate.

If numbers are manageable, err on the side of involving too many rather than too few people. Even when you can't involve all the stakeholders in much of the planning you may be able to involve them in the search.



An outline of a search process

Now, in a little more detail ...

1 Introduction

Outline the purpose and the process. In organisations ask management to identify clearly what is negotiable and changeable, and what is not. In community settings make a similar request of the sponsoring organisation or group.

2 Tentative vision

Participants develop a tentative vision: *"If this project was as successful as possible, far beyond your most optimistic hopes, what would be the results some time after the project is completed?"*

(The time chosen can vary depending on the scope and complexity of the proposed change. For large and complex changes a time frame of 10 years may be appropriate.)

You'll get better results if you give people individual thinking time before you collect the information. If numbers are greater than about 8, use subgroups too. The subgroups can collect ideas from individuals. The facilitator can collect ideas from subgroups in the whole group.

3 Other issues

Participants consider other matters to be taken into account:

- known and presumed needs of absent stakeholders
- current or likely future trends which need to be considered
- other information, if relevant.

For each of these, participants identify what changes or additions they would like to make to their group's tentative vision.

The "current or likely future trends" are important. People often plan as if the world was going to stand still while they develop and implement their plans. For instance, a facilitator may say *"What is going on in the world around you that has the capacity to influence what you are trying to achieve?"*

4 Revise the tentative vision

Participants revise the vision to account for the items in the previous step.

How far you go beyond this depends on what you plan to do next. If you intend to move immediately into action planning you may leave the search here and use

event track for the action planning. Otherwise, it is helpful to identify the people who are best placed to achieve the vision.

5 Define the implementers

(Note that if search is followed by an action planning process such as "event track" this step may not be needed.)

Participants first define what outcomes must be achieved by the completion of the project. They then identify the stakeholders who can best achieve these outcomes: *"Who can do what to help the achieve those outcomes?"*

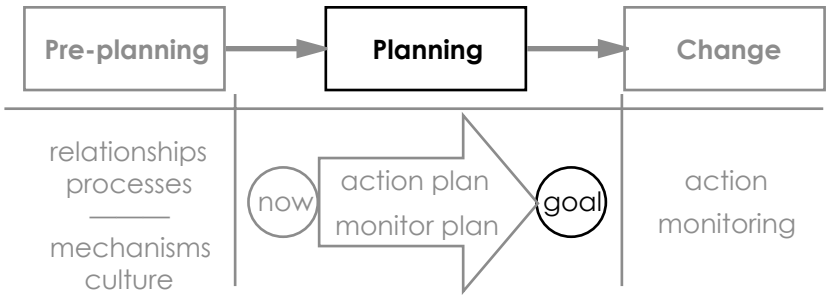
Be specific. And it is much better if the "who" is present and genuinely willing to do what is required.

10 Goal setting

Goal setting is a tool which may be used for the following step of the change process:

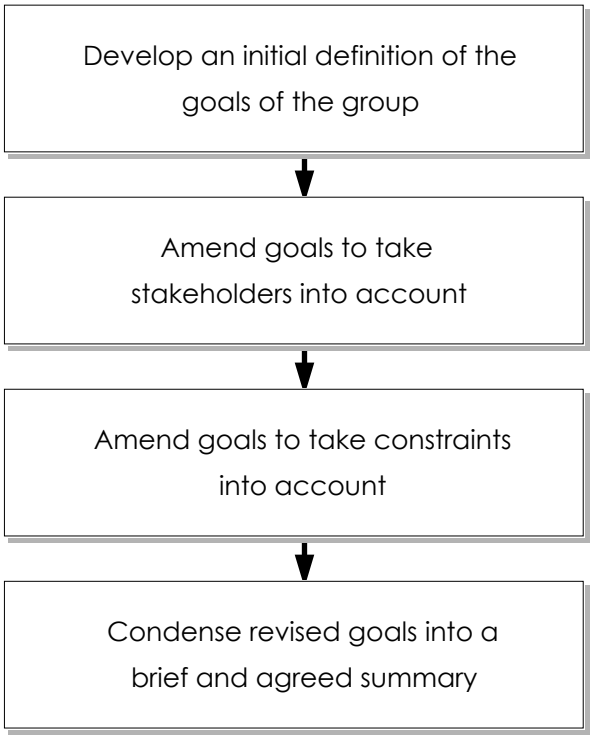
B1 Goal setting

How you relate to others can influence the change program in a variety of ways. The descriptions below identify some of your choices



This is a modified extract from Chapter 5 of Dick, B. (1991) *Helping groups to be effective: skills, processes and concepts for group facilitation*. Chapel Hill, Qld.: Interchange.

As its name implies, goal setting is a process which is used by an individual or group (preferably the latter) to identify goals.



As diagrammed above and described below, there are four major phases to the procedure.

1 Develop an initial definition of the goals of the group.

2 List the people ("stakeholders") affected by the group's goals ; revise the goals to take their interests into account.

3 List the constraints within which the goals must be achieved, and revise the goals to take these constraints into account.

4 Condense the revised goals into a brief and agreed summary.

A more detailed and step-by-step account follows.

1. Initial definition of goals

First, pool the views of the group members to develop an initial definition of the goals of the proposed change. (With a very enthusiastic group the individual work can sometimes be done as homework before the meeting. But don't assume everyone has done it.)

1.01 Working individually and without discussion, group members list the goals which they personally think the group should pursue.

1.02 Still working individually and without discussion, each group member places her list of goals in order of priority.

1.03 Compile a collective list of goals, without discussion. Do this by asking each group member in turn to contribute the highest-priority item not already listed. Write these up on newsprint with the heading Goals at the top. To simplify later voting, leave a working space of about 10 cm (4 inches) at the left of the newsprint. For ease of reference, number each item.

1.04 Use a voting procedure to place the goals in priority order. (Omit this step if the group and the list of goals are both small.) Here is a simple but effective procedure.

- Divide the number of items by 3. Call that item **x**.

  Now each member chooses the **x** items that she thinks are most important and the **x** items she thinks are next most important. Group members do not include their own offerings in the first x items, though they can include them in the second x items.

  To increase the likelihood that group members will stick to their own opinion and not be swayed by others, they write down the numbers of the two lists of items they have chosen.

- A member of the group reads out the items on the list in turn, including the identifying number.

Each group member is allowed *two* votes for each of the *x* most important items, and one vote for each of the *x* next most important items. As each item is read out, group members hold up two hands (*x* most important items), one hand (*x* next most important), or none.

The person up front counts the total number of votes, including her own.

(Unless the group is unusually compulsive it is best not to count the total number of votes. They almost never add up to what in theory they should. I skirt around this issue by labelling high numbers "lots", explaining why I do so.)

2. Definition of stakeholders

Develop a list of stakeholders, the people affected in any way by the goals of the group or how those goals are pursued. Revise the goals to take into account the stakeholders' legitimate views.

2.01 Working individually and without discussion, each group member draws up a list of people affected by the proposed change or its implementation. Take into account—

- members of the group;
- people on whom the group depends for resources;
- people affected by the group's use of resources;
- clients and customers of the group;
- other people affected by the group's outputs;
- people such as bosses in superordinate positions;
- competitors.

A more elaborate version collects this in two steps. The first step defines the different categories of stakeholders; the second step lists the members of those categories.

2.02 Working individually and without discussion, each group member places her individual list of stakeholders in order of their importance. She bases this on the influence they can have or should have on the group's activities (*can* for problem analysis, *should* for ideal-seeking).

2.03 The individual lists are collated publicly on newsprint. As before, ask each member in turn to contribute the most important stakeholder not already on the list.

2.04 Use a voting procedure to place the stakeholders in order of importance. In an elaborate goal setting exercise you may want to distinguish between two different classes of important stakeholders: those who are the group's reason for existence (for example, clients of the group) and those who can have an effect on the group and its activities (for example, key suppliers or key competitors).

2.05 Working individually and without discussion, group members briefly consider if any goals should be added to the list generated in stage 1.

2.06 Goals are then added to the public list. When group members suggest alterations to some goal, it is usually safer to record the amendment as a separate item rather than change a goal already written there. It is difficult to make actual changes to items in a way that ensures that all group members' views are taken into account.

3. Definition of constraints

Using procedures similar to those already described, develop a list of constraints. These are limitations, rules, and the like that have to be taken into account in determining the group's goals or how those goals are to be achieved. Revise the goals to take the constraints into account.

3.01 Individually and without discussion, group members list the constraints that affect the group goals or their manner of achievement. In doing this they take into account ...

- constraints applied or likely to be applied by stakeholders;

- constraints which arise from any larger group or system or organisation of which they are part;
- legal and formal constraints, for example statutory requirements, rules and regulations.

These items overlap to some extent. That reduces the chance that some important constraint will be overlooked.

3.02 Group members, working individually and without discussion, arrange their constraints in order of importance.

3.03 Constraints are pooled as before by listing them on newsprint or the like, labelled *Constraints*.

3.04 The overall importance of the listed constraints is decided using a voting procedure.

3.05 Group members individually list the changes in goals required by the constraints that have been identified.

3.06 Additions and alterations are now made to the public list of goals. Alterations are recorded as separate items rather than by an actual change to an item already listed.

4. Final statement of goals

Place the public list of goals in order of priority. Then collapse them down to a brief statement which captures those goals that have been identified as most important.

4.01 Use a voting procedure to place the public list of goals in order of priority.

4.02 Use a voting procedure to distinguish between primary goals and secondary goals.

Primary goals consist of the output that the group is required to produce or exists to produce. They typically consist of the material product the

group makes, or the service it provides to its major client(s), or the goals required of it by the larger system of which it is part. It may be as simple as "To make a profit".

Secondary goals are also important, but achieved as a by-product of pursuing primary goals. Satisfaction is a common secondary goal (primary in some groups).

A simple voting procedure takes the top five to twelve items and decides by vote for each item separately whether it is primary or secondary. In deciding the number of items, try to choose a natural cut-off point. Often there will be a group of items which attracted many votes, then a gap, then a list of items that attracted relatively few votes. In such an instance, discard the items below the gap.

4.03 Collate the most important five to eight goals (or thereabouts) into a statement of the form

"*To* [i.e. accomplish the primary goals]

in such a way that

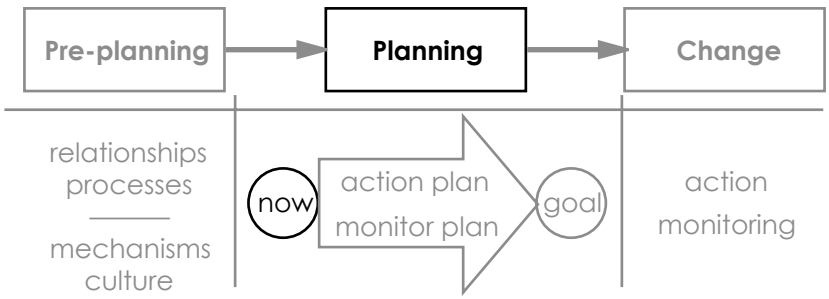
[i.e. the secondary goals] *are also accomplished*."

11 Force field analysis

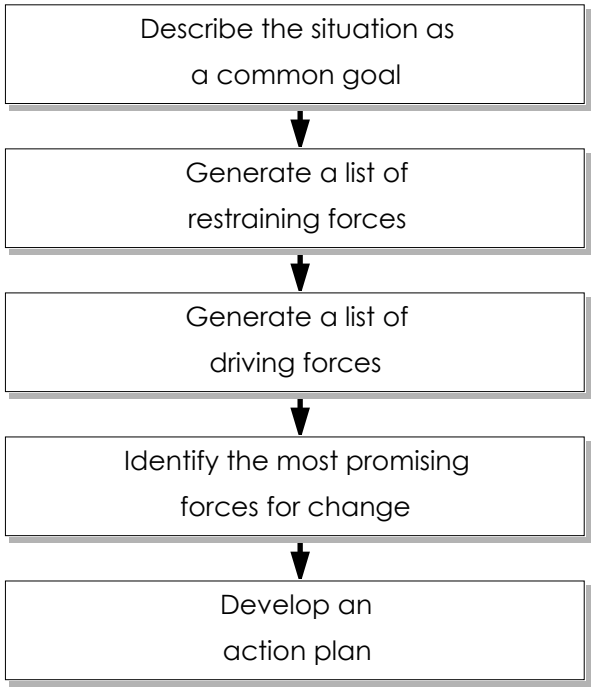
A description of a process for situation analysis. This is appropriate at the following step of the change process:

B2 Situation analysis

Analysis of the present situation is a step which precedes action planning. Force field analysis does this by assuming that the present situation results from a set of driving and restraining forces



"Force field analysis" is a situation analysis technique. It can be used effectively by individuals for this purpose, but is especially suited to group use. In summary, it has the following key steps:



The intention is to identify those "forces" which help and hinder. It is then possible to devise ways in which the positive forces can be strengthened and the negative forces reduced or eliminated.

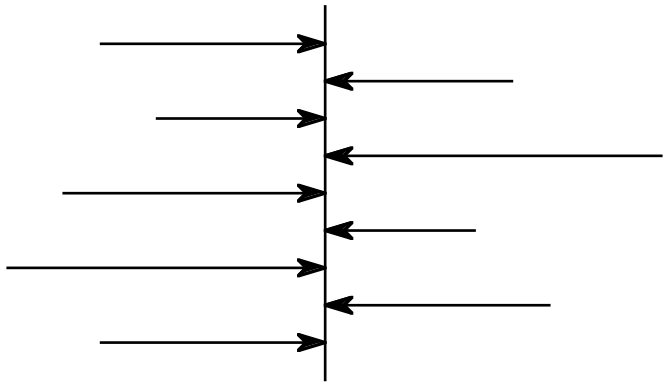
The force field can be represented graphically as two opposing sets of forces represented by arrows. The length of line can indicate the importance of each force. The diagram below shows this.

A step by step description of the process follows:

1 Describe the situation

Describe the situation as a common goal. Write this at the top of chart paper or whiteboard.

Beneath it in the centre of the paper or whiteboard draw a vertical line. This represents the present level of effectiveness of whatever is being analysed.



A force field analysis pictures current effectiveness (the vertical line) as determined by a field of driving and restraining forces

2 Generate restraining forces

Generate a list of "restraining forces" — anything which presently hinders the situation from being better or more effective than it is.

This can be done by giving people individual thinking time to identify restraining forces, and then collecting them using nominal group technique or brainstorming.

(In nominal group technique each person in turn is asked for one item not already recorded. In brainstorming, people call out items without censorship or criticism as rapidly as the scribe can record them.)

Record these as arrows to the right of the vertical line as shown in the diagram above. Draw them so that their length represents their judged strength. If using brainstorming, generate the list first and assess their strength after all forces have been identified.

3 Generate driving forces

Generate a list of "driving forces" — anything which presently helps the situation to be as effective as it is. This can be done in a similar way to the development of restraining forces.

Record these are arrows to the left of the vertical line as shown in the diagram above.

4 Identify the most promising forces for change

The forces which are most promising are those which are both *important* and *changeable*.

The judged importance is already recorded as the length of arrow. Mark those forces which are most easily changed. This can be done, for instance, by putting an asterisk at the end of the appropriate arrow, or by marking them "D" (difficult), "M" (moderate) or "E" (easy).

5 Develop an action plan

If the group is going to move immediately into action planning (for instance using event track), this step can be omitted. Otherwise, for each of the asterisked forces define "who can do what by when to do this?"

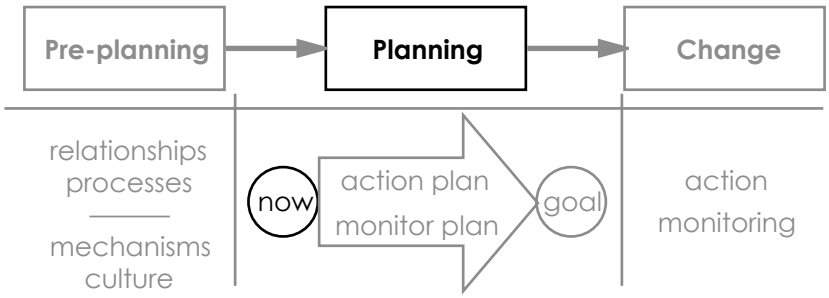
12 Situation analysis

Situation analysis is appropriate for the following step of the change process:

B2 Situation analysis

These are alternatives to *Force field analysis*, **Tool 9.**

Fishbone may be used for variety, or if the causes of a problem are to be identified. Kepner-Tregoe Problem Analysis (KTPA) may be used for technical or mechanical problems with probably a single cause



 Fishbone is a modified extract from Chapter 5 of Dick, B. (1991) *Helping groups to be effective: skills, processes and concepts for group facilitation*. Chapel Hill, Qld.: Interchange. KTPA is taken from Dick, B. (2000) Technical problem analysis. Chapel Hill, Qld.: Interchange, based on Kepner, C.H., and Tregoe, B.B. (1981) *The new rational manager.* Princeton, NJ: Princeton Research Press.

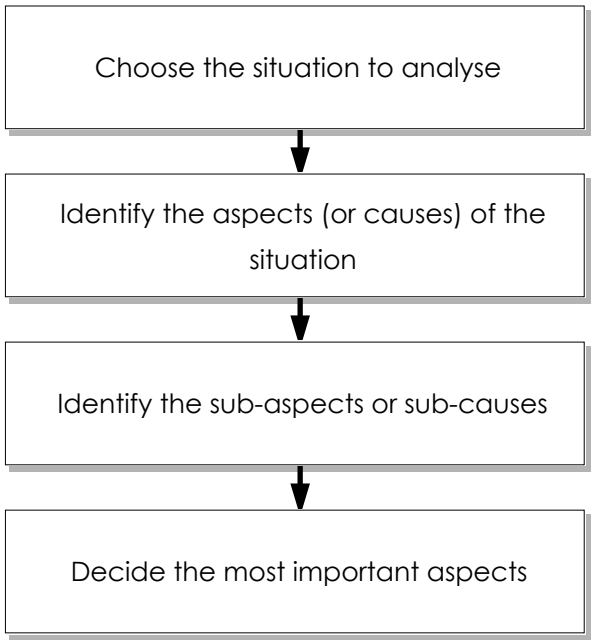
A. Fishbone

Fishbone (sometimes named "causal analysis") is a substitute for force field analysis. It resembles that tool in some ways. It can be used by an individual or group. It is intended primarily to analyse moderately complex situations or problems.

It differs from force field analysis in several respects. It quickly becomes messy for large situations. It does not give two perspectives (positives and negatives); this may lose some data. Done well, it shows more of the structure of a situation.

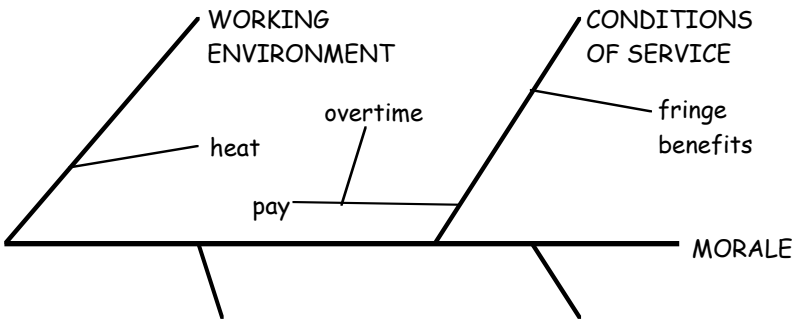
Any process may become boring if used may times in sequence. Fishbone can be substituted for force field analysis if interest in force field analysis is beginning to pall.

The fishbone process is summarised in the following diagram.



In more detail...

1. Draw a horizontal line on a large piece of newsprint. Label it (at one end) with the problem or goal.
2. Use a suitable technique to collect "aspects of the situation" from participants. For each of these, draw another line from the horizontal line, or from lines which have been drawn since. An aspect of the main situation has its line drawn off the main spine. An aspect of one of the spines is drawn off that.
3. Decide priorities by working outward from the main spine. Choose the most important main spine (for example by voting); then rate the items drawn off that spine. And so on. Partially completed, it looks like this ...



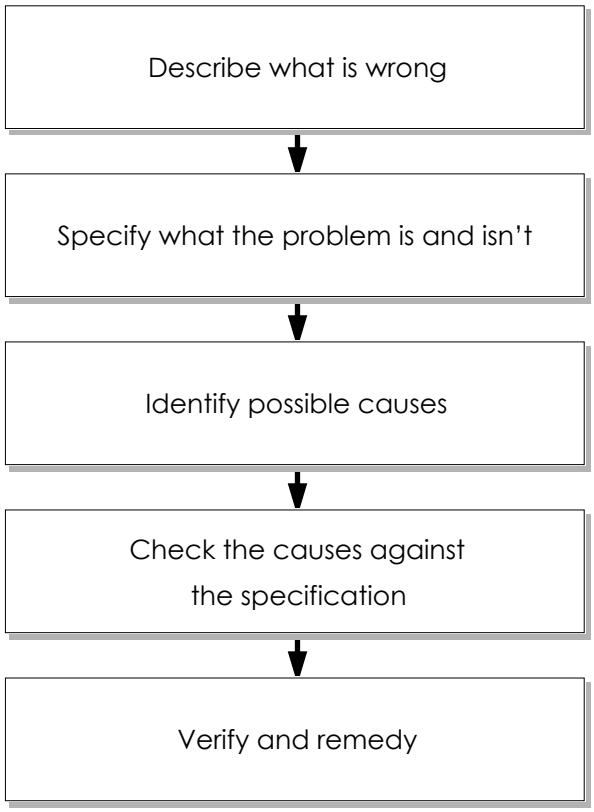
4. When the priority item has no lines drawn from it, a further fishbone can be done on that item.

One useful application for fishbone has been brought into popularity by total quality management. [7] It is to identify possible causes of many-right-answer problems. Use the procedure as before, substituting *causes* for *aspects*.

7. See for example Peter R. Scholtes and colleagues (1988), *The team handbook: how to use teams to improve quality,* Madison: Joiner and Associates.

B. Kepner-Tregoe Problem Analysis (KTPA)

Described diagramatically, the process is as follows:



This approach to problem analysis is intended for the analysis of simple technical problems for which there is probably a single cause. It is based on Kepner-Tregoe Problem Analysis. The problem-analysis process takes the person analysing the problem through a number of logical steps to identify the cause of the problem.

Here is the process in more detail ...

1 Describe what is wrong

1.1 What should be the situation? If there were no problem, what would the situation be like?

1.2 What *is* the situation? What is happening or not happening, that is the problem?

1.3 How does the situation *as it is* differ from what *it should be*?

For example: *The second coat of paint wrinkles when it is applied. It should go on smoothly and stay smooth as it dries.*

2 Specify what the problem is and isn't

2.1 *What* is and isn't the problem? What is not working, or not happening, or happening when it is not supposed to? What *is* working? What isn't wrong, although it could be?

For example: *It's the second coat of paint which wrinkles when it is applied, not the first coat. It wrinkles; it doesn't streak, or dry unevenly, or run.*

2.2 *Where* is and isn't the problem? Where *is* the problem located? Where isn't the problem located (though it could be)?

For example: *The second coat wrinkles on already-painted surfaces. It doesn't happen on unpainted surfaces.*

2.3 *When* is and isn't the problem? When did the problem begin, and when does it happen? When isn't there a problem?

For example: *It was first noticed last Tuesday. There is no record of it occurring before that. It happens early in the morning, but not always later in the day.*

2.4 What is the *extent* of the problem?

For example: *When it happens, it happens on all previously-painted surfaces for the second coat. It doesn't happen elsewhere.*

It is possible to use a brief worksheet for this analysis. An example is provided overleaf.

	IS	ISN'T
What		
Where		
When		
Extent		

A KT Problem Analysis worksheet

3 Identify possible causes

3.1 List as many plausible causes as you can.

For example: *The current batch of paint ...*

4. Check causes against "is/isn't" specifications

4.1 Take each cause in turn. Check it agains the "what, where, when, extent" specifications of step 2. Does it account for the "is" and "is not" for each of thee four specifications?

For example: *We started using this paint batch last Tuesday.* On comparison with the previous batch it has a note about being slow drying in cool conditions. It may be that a first coat, not quite dry, wrinkles and thus causes wrinkles in the second coat.

5 Verify and remedy

5.1 Devise some way of checking out the possible cause.

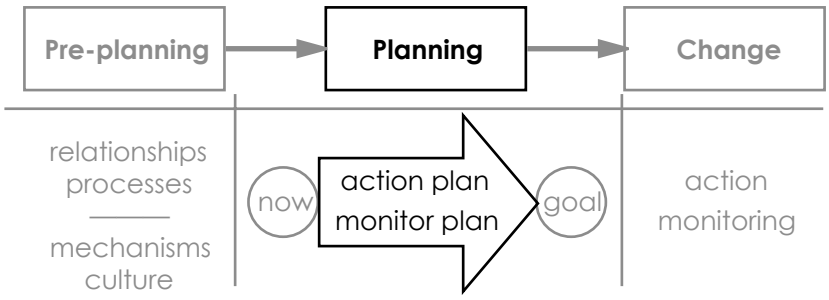
For example: *On cool mornings wait another 15 minutes before applying a second coat. Yes, that remedies the problem.*

13 Event track

A process for action planning which also includes detailed and ongoing monitoring. This is appropriate at the following step of the change process:

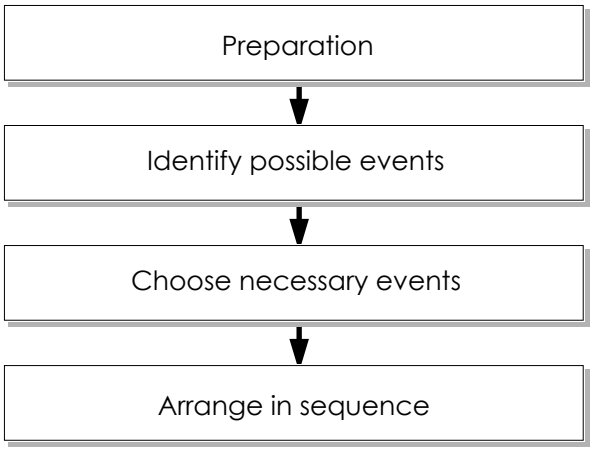
B3 Action planning

Two important determinants of the success of action are the quality of the planning, and the commitment of people to the plan. Event track, used participatively, can provide both of these

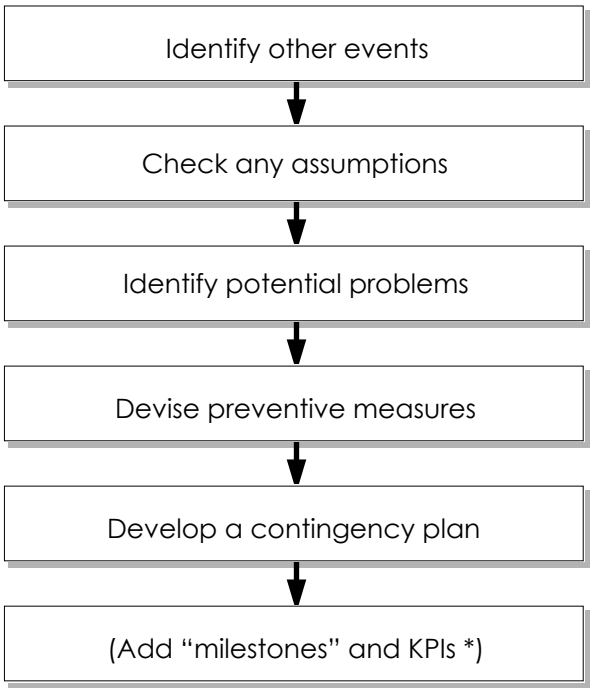


 This section is condensed from Dick, B. (1999) *Event track, a group planning process*, with modifications. Available on line at http://www.uq.net.au/action_research/arp/etrack.html

Here is an overview of event track, an action planning and project planning process:



then for *each* event in turn ...



* KPIs are "key performance indicators"

The development of action plans is an important part of any goal setting or problem solving. Yet, surprisingly, it is often neglected. Action plans are the means by which the future is planned, and thereby controlled and changed. Action planning converts a goal or a solution into a step by step statement of who is to do what by when.

This is such an important component of the planning phase that it is described here in some detail.

In using event track, you decide a goal. You then develop an initial sequence of actions to achieve it. This gives you a rough action plan. You then refine the initial plan. First, you identify where it might go wrong. Then you decide how you would know if it has gone wrong and what you might do about it.

One of the key features of event track is that it gives you a double action plan. Your purpose is to get from where you are to where you want to be. Part of the action plan describes in detail how you are going to do that. The other part describes in detail how you are going to check that it's working, and that your goals and actions are still appropriate.

Here is a brief description, for use by a planning group. It can also be used by an individual, though is most effective if used by a group. This is then followed by a more detailed description.

1 Preparation

(Note: some of the items in this step may have been done in previous steps, for instance by the use of processes for goal-setting and situation analysis — see previous tools. If so, this step or parts of it may be omitted.)

Identify stakeholders and involve them in the project planning. Define the project outcomes. Analyse the present situation.

2 Generate a list of possible events

Identify events which *may* have to occur if the desired outcomes are to be achieved.

3 Choose the most important events

From this list, identify those events which *must* happen if the desired outcomes are to be achieved.

4 Arrange in sequence on a timeline

Taking the events from the previous step in order of importance, arrange them in sequence on a timeline.

You now have a sequence of steps on a timeline. In effect, this is a rough action plan. *The following steps are applied to each event in turn.* They refine the action plan, make it more robust, and add a monitoring plan.

For each event in turn ...

5 Identify any other required events

What else has to happen for the present event to be achieved? Add these additional events to the timeline.

6 Check any assumptions made [8]

For each event, identify any assumptions made about resources, skills or coordination between events. When an assumption is identified, add any necessary checks to the timeline to check if the assumption is true.

8. Steps 7 to 9 are based on "Potential Problem Analysis" or "PPA" from the Kepner-Tregoe problem solving methodology. See Kepner, C. and Tregoe, B.B. (1981) *The new rational manager*. Princeton: Princeton Research Press.

7 Identify potential problems

For each event, identify any potential problems.

8 Develop preventive measures

Rate the potential problems for probability and severity, and decide if preventive actions are warranted. If so, add to the timeline whatever events are required to prevent the potential problem from arising.

9 Develop a contingency plan

The preventive measures at step 8 may not work. In case they do not, develop

- an event to check if the problem has arisen
- events to deal with the problem.

Add these events to the timeline.

10 Add milestones and performance indicators

Decide the most appropriate points at which to insert monitoring. For each of these, add

- an event to check if the key event has been successfully concluded
- if desired, performance indicators, to assist in determining if the key event has been successful. See the Snyder process for choosing performance indicators, **tool 15**

Then for certain chosen milestones add

- a check on the appropriateness of project goals, in the light of changed circumstances.

A more detailed description now follows.

1 Preparation for action planning

As covered elsewhere in this documentation, action planning is likely to be most effective when it is part of a systematic process. Here it is assumed that it follows:

1.1 A stakeholder analysis (Tool 1) and the formation of a working party

1.2 Goal setting, for instance using search (Tool 6)

1.3 Situation analysis, for instance using force field analysis (Tool 8).

(Sub-steps 1.2 and 1.3 can be reversed if desired.)

Developing a rough action plan ...

This phase has three steps: list possible events, choose key events, and arrange them in sequence.

2 Generate a list of possible events

An action plan is a sequence of actions: generate a list of possible actions, choose the key actions, and then arrange them in sequence.

2.1 Working individually and without discussion, participants list activities that might be used to achieve the goal.

2.2 Collect a combined list of the activities on newsprint, for instance by using the processes described in the tool "Facilitation". Ask participants to include any other ideas that occur to them while the list is being prepared.

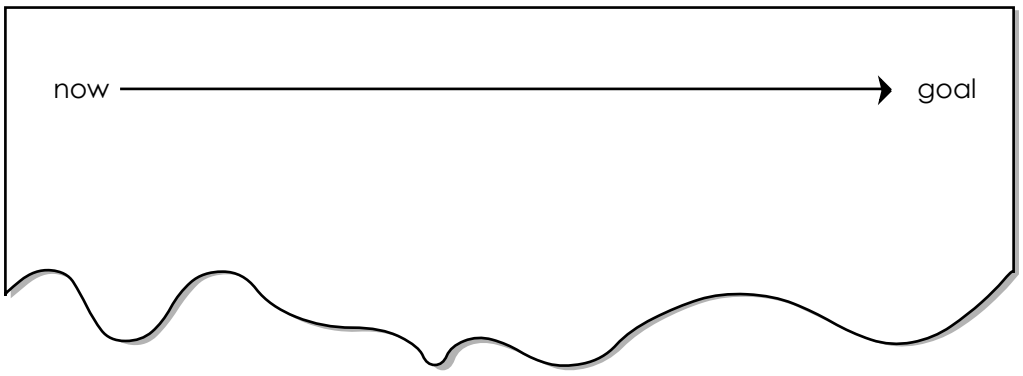
3 Choose the most important events

3.1 From the events already listed, choose those events which must occur if the project goal is to be achieved. In this description these are referred to below as "key events".

Choosing key events can be done, for example, by giving each group member a number of votes to allocate to the most important events.

4 Arrange in sequence on a timeline

4.1 On a separate piece of chart paper fixed horizontally (to give you plenty of width), draw a line to represent the event track. Label the start "now" and the end with a summary of the goal.



4.2 Write in on this event track the key events, in the order in which they would have to occur to be effective.

The easiest way to do this is to start with the most important key event, and locate it on the event track. Then take the next most important key event and locate it relative to the first key event. And so on ...

Check that all events are recorded in the form of tasks to be carried out by someone present.

Refining the action plan

In this phase, the rough action plan from phase 1 is amplified and made more robust. Other events which must occur are first identified. Potential problems are then identified and dealt with. Each event is recorded in the form: "who will do what by when"; the "who" is preferably a member of the planning group.

The following steps are applied to each key event in turn ...

5 Identify other key events

For each key event in turn, identify other events which have to happen (in effect, this applies a miniature event track to each key event).

5.1 Participants work individually or in very small groups to identify other actions which have to occur if the key event is to be brought about.

5.2 Collect these events on a piece of newsprint.

5.3 Check these events in turn. If they are necessary, transfer them to the appropriate place on the event track.

6 Check assumptions

Identify the assumptions made in compiling the event track. Add to the action plan the necessary checks on those assumptions. The assumptions that are most important to check are those characterised by uncertainty and risk.

For each event in turn ...

6.1 Identify the assumptions about the *attitudes* and approval and cooperation of other people. Add a check on important assumptions about coordination into the event track.

6.2 Consider the assumptions made about *resources* (including materials, time, money, *and especially skills*). Add the necessary checks. If skills are likely to be inadequate, add steps on appropriate training.

6.3 Consider the assumptions made about *coordination*. If one event depends on another, add the necessary actions for coordination. This step begins to build in the monitoring of the plan.

7 Identify potential problems

The purpose of this and the following steps is to anticipate the most likely or serious potential problems, and prevent them occurring or deal with them.

7.1 Ask participants, working individually, to think of everything that could go wrong with the key event: "If we carry out this action as planned, what can possibly go wrong?"

7.2 Compile participants' individual lists of potential problems into a combined list.

7.3 Rate the probability and severity of each potential problem (a rating of low, medium or high is usually enough). If a potential problem is of moderate or high severity, and moderate or high probability, continue on to step 8. Otherwise return to sub-step 7.1 for the next key event.

8 Develop preventive measures

8.1 Taking each of the chosen potential problems in turn, identify the most likely causes.

8.2 Devise a series of actions to remove the cause and add them to the event track in appropriate positions.

9 Develop a contingency plan

9.1 Develop a contingency plan in case the problem still occurs. Add these actions to the event track.

9.2 Decide what monitoring has to be done so that the potential problem will be identified if it occurs. Add the measures for monitoring to the event track. This may also require adding preparatory measures to act as a baseline (for example, counting something later may not mean much unless you know how many there were at the start).

10 Add milestones and performance indicators

10.1 Choose events on the timeline which can form suitable "milestones" — events for more careful monitoring.

10.2 For each milestone develop a set of performance indicators which can be used to decide if the milestone has been successfully achieved. For a way of developing appropriate indicators see "Performance indicators" as part of the tool "The Snyder process".

10.3 Take into account the length of time over which the action plan has to operate, and estimate the rate of future change. Decide how often the overall goal should be reviewed for suitability. Choose an appropriate milestone and add this monitoring.

The completed event track has a number of features which satisfy the requirements of effective action plans:

- The actions (including those for assumption checks, monitoring, and the like) are all stated specifically. They identify who, what, and by when. (Note that the plan seldom needs to specify *how* the action is to be done, provided it sufficiently describes the end state to be attained. If the action is accomplished, it does not usually matter what specific method a person uses.)
- As mentioned previously, there are really two event tracks. One is the primary sequence of events which (if all goes well) will achieve the goal. The other is a set of actions for ongoing evaluation. It includes checks on the accuracy of assumptions, the provision of resources, and the like. It also contains the actions necessary to monitor the action plan and implement contingency actions if warranted.
- Event track is a process which can be used by an individual or a group. Used participatively, it generates commitment from those involved in applying it. If these are the same people who will implement the plan, the likelihood of success is strengthened.

It can also be used by larger numbers. A small representative group can develop a "high level" plan on only the major events. Working parties of direct stakeholders can then take parts of the action plan and develop them in more detail.

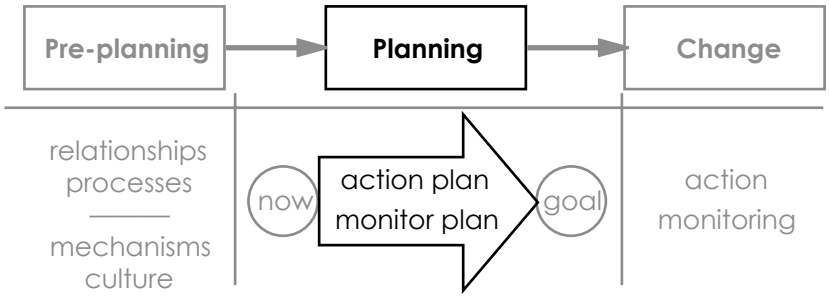
14 Planning by mindmap

"Mind mapping" can be used as a tool for action planning. It can be used for the following step of the change process:

B3 Action planning

This is an alternative to *Event track*, **Tool 13**, especially the first part of event track

It may be substituted for event track when a simpler process is desired. It is often effective when you are developing an action plan individually



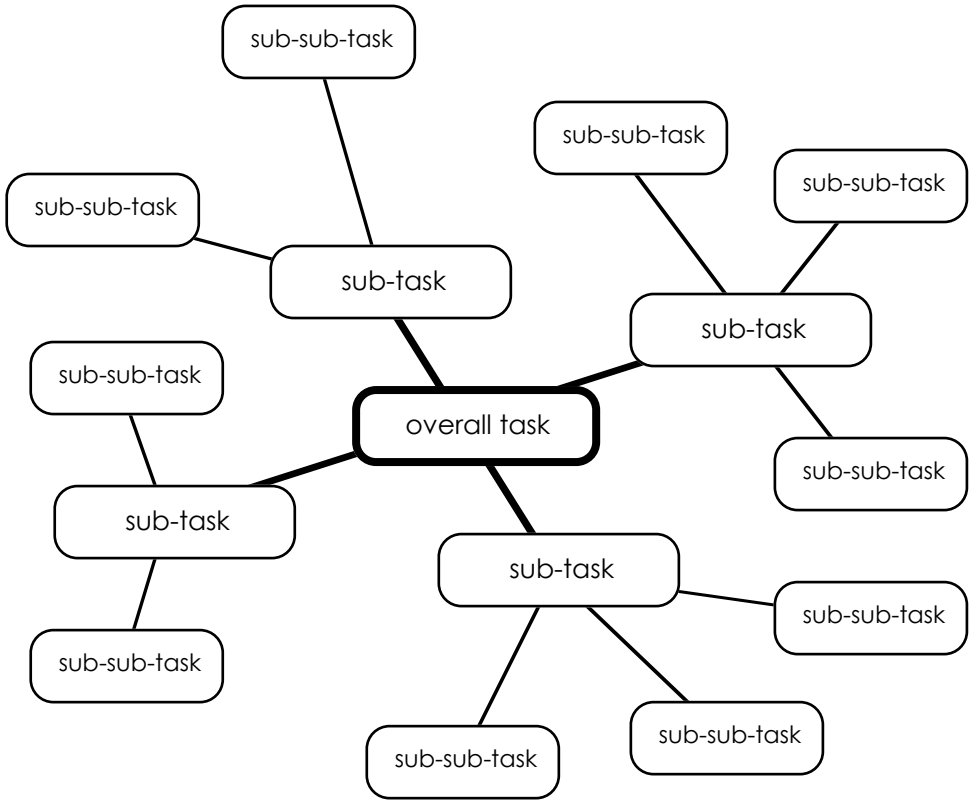
Previously issued as Dick, B. (2001) *Mind mapping as an action planning tool*. Chapel Hill, Qld.: Interchange. [mimeo]

Mind mapping is a tool for breaking down a complex situation into components. It is sometimes called "cognitive mapping".

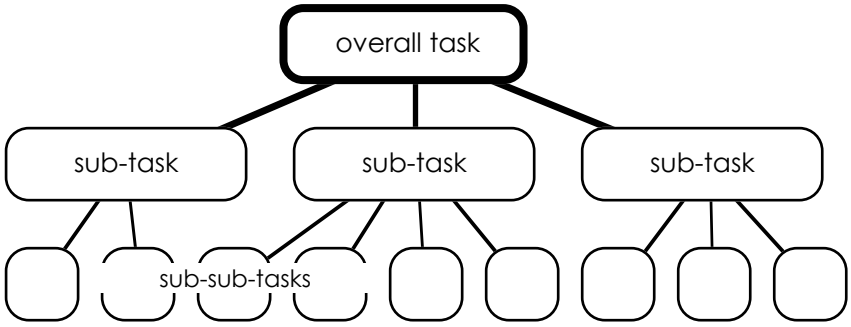
It can be used to develop an initial action plan. The overall task is written in an oval or box in the middle of a sheet of paper. That task is first broken down into sub-tasks. These can then be broken down further until the required level of detail is reached.

Finally, the lowest-level tasks are arranged in sequence.

The diagram captures the basic idea:



For less complex action plans the sub-tasks (and so on) may be able to be arranged in order as they are developed. The diagram below shows this.


overall task
sub-task
sub-task
sub-task
sub-sub-tasks

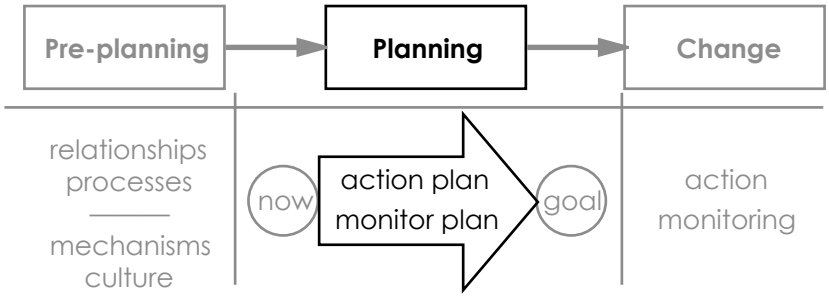
15 Snyder process

The Snyder process is a tool which may be used for the following step of the change process:

B3 Action planning

and also at step C1, implementation

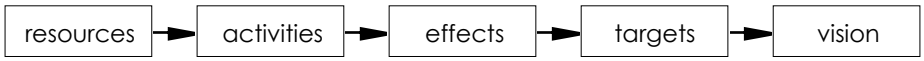
The Snyder process is an evaluation process. Some elements of it, sufficient to help in the development of performance indicators, are included here



These tools are part of the Snyder evaluation process, developed by Wes Snyder and extended and refined by Bob Dick. A more detailed description is on line at http://www.uq.net.au/action_research/snyder.html

A. The Snyder model

There are five components in the Snyder model:



As mentioned in Tool 9, Search, it is a systems model. The five elements are linked together into a chain of inputs, activities and outputs:

RESOURCES
are consumed by
ACTIVITIES
which produce immediate
EFFECTS
as they pursue planned
TARGETS
which contribute to a
VISION
of a better world

In this model there are three levels of output:

immediate **effects**	are those outcomes which occur while activities are being carried out
planned **targets**	are outcomes which are linked to some planning activity or cycle. In strategic planning, for instance, they tend to be linked to the annual planning cycle. In change planning they are usually those outcomes which are to be achieved by the completion of the proposed change
the **vision**	is long term and idealistic. It consists of the less tangible outcomes which might occur in the longer term if the organisation or the proposed change is very successful.

When people understand how the elements are linked together they are better able to make informed judgements about organisational priorities and the like. They better understand resource use, and can more effectively monitor their activities.

Consider the three levels of outcome. Most strategic planning focusses mostly on planned targets. At times of rapid change these become less useful. By the time when the targets are to be achieved, the situation has often changed so much that the targets are no longer useful. However, people can still be clear about the organisational vision and about the next steps to keep moving towards it.

Similarly, performance indicators are usually attached to targets (often stated as "milestones"). Understanding the links between resources, activities, effects, targets and vision allows more useful indicators to be developed.

B. Performance indicators (KPIs [9])

To compile more effective performance indicators, try to put together a set of indicators which are an adequate sample of

1 the different components of the vision for the proposed change

2 intended immediate effects of activities at that milestone: *"What immediate effects must activities achieve if this milestone is to contribute to the corporate vision?"*

3 unintended immediate effects of the activities: *"What are the possible unintended consequences of the activities associated with this milestone?"* and

4 resources used by those activities, including less tangible resources such as stakeholder satisfaction and goodwill.

9. "KPIs"are "key performance indicators" — indicators which help keep track of goal achievement or the like.

The third and fourth of these items reduce the likelihood that people will achieve the indicators without really achieving the performance. For instance, people may do whatever is necessary to achieve the indicators, and be less concerned about their effectiveness, their cost, or the unintended consequences.

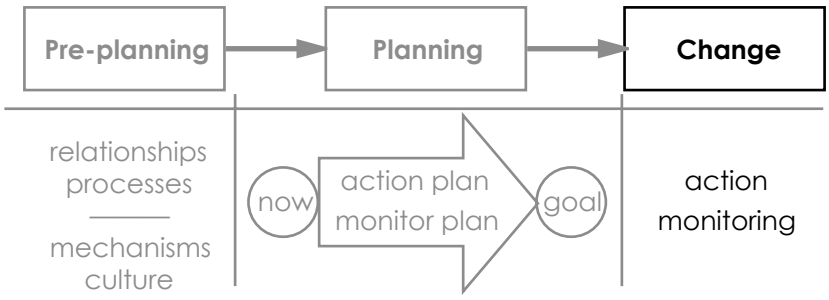
If these criteria can be met by numerical indicators, then monitoring is easy and often effective. However, if numerical indicators do not adequately meet these criteria, it is valuable to add qualitative indicators to ensure that vision, resource use, and unintended and intended effects are sufficiently monitored.

16 Action research

Action research is a practical process which may be used to guide the overall change process. It is relevant to all parts of the change process, but especially:

C Change

Action research is a spiral process which alternates between action and monitoring. It enables action to be informed by understanding, and understanding by what works in action



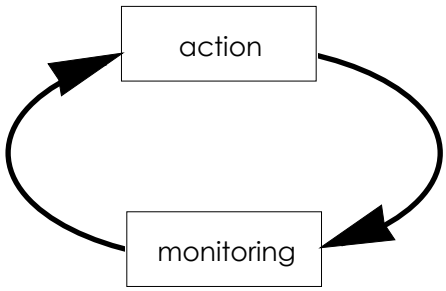
Action research as change

The planning comes to fruition when the plans are implemented. There are two interleaved plans: one for action and one for monitoring.

At the beginning of a change process it is very hard to know where the change will end. There will be unanticipated surprises along the way. Not all actions will work as expected. People will move. New legislation will be imposed. Other changes will impact upon your own change process. The outside world will move in unexpected directions.

Good planning can help to some extent. You can anticipate some of the potential problems. You can use preventive measures. You can develop contingency plans. (Event track was designed to build this prevention and contingency into your action plans.) For these reasons, planning is usually very worth while. Complex goals are unlikely to be achieved well without it.

During implementation, alternating between action and monitoring will help to keep the goals relevant and the plans on track.



There will be other surprises, however, which your plans won't be ready for. It isn't enough to have good plans. It may be dangerous to follow them too closely. They may no longer fit a changed situation. The goals they are intended to achieve may be less relevant or may require modification.

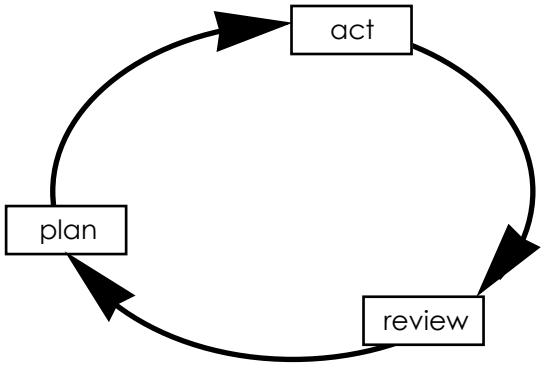
Dwight Eisenhower is credited with the saying "Planning is everything. The plan is nothing". I take this to mean that if I am following the plan unthinkingly I am not paying enough attention to the possibly changing situation.

"Planning is everything. The plan is nothing"

Here also, action research can help. You can revisit your plans before each action. You can review actions and their outcomes. In that way you remain able to adjust your plans to respond to the situation as it is.

plan → act → review

Planning before each action helps you to act more mindfully and more flexibly. After each action, review ("critical reflection", it is sometimes called) helps you to learn more from your experience and to be better prepared for the next cycle of planning and action.



In this way you are able to improve the initial plans that you develop. You will also be better prepared for the next planning and action you undertake.

Here are some questions to help you to do this. Before action you can ask yourself ...

- What are the important features of the situation I face?
- If I'm correct about the situation, what outcomes do I wish to achieve?

These are both the overall outcomes of the change program, and the outcomes from the present step being considered.

- What actions do I think will give me those outcomes in that situation?

  In this way you are not taking the action plans for granted. You are checking their relevance to the present situation.

During the review you can ask ...

- Did I get the outcomes I wanted?
- If not, why didn't I? What have I learned about the situation, the desirable outcomes, and the actions that will achieve those outcomes?
- What actions do I now think I can take and that will give me the outcomes I want?

17 Beliefs without reason

"Beliefs without reason" is a model which is relevant throughout a change activity, but especially when previous ways of acting are being changed, and when resistance to change is apparent.

A stakeholder analysis may indicate that key stakeholders are opposed to a change. Or you may encounter resistance at some other stage. *Beliefs without reason* will help you to understand the resistance and deal with it in constructive ways

A conceptual tool

Many of our most dearly held and vigorously defended beliefs are held as "beliefs without reason". We don't know why we hold them, but we are absolutely convinced that they must be defended at all costs. Reason and evidence offer no cause for changing such beliefs. Other strategies must therefore be used. This document describes some of the strategies.

Beliefs without reason

"Beliefs without reason" are beliefs which we have been taught to hold without being given adequate reasons. If the teaching is sufficiently strong, the result is to inoculate us against the evidence.

You have probably heard conversations like this between parent and child...

"Don't do that Johnny!"

"Why not, Mummy?"

and heard the conversation continue with a number of spurious reasons to support the command...

"Because I say so [or some other authority figure says so]."

"Because I'll punish you if you do it [or someone else will]."

*"Because nice [or intelligent or liked or etc.] people don't **do** that."*

"Because a police-person [or any other bogey person] will get you."

Answers like these are not intended to give reasons, even when parents think that is what they are doing. The effect such answers have is to teach the child to feel bad at certain thoughts, and good at certain other thoughts. In due course the child internalises the beliefs and feelings; and thereafter may do what (s)he

has been taught to do. We could say that the child has developed a conscience of sorts.

It is important to recognise what is being created by this behaviour: a mental construct in the child, with both belief and feeling components. The beliefs tell us what to do. In other words, they provide the direction. The feelings are what reward us for being "good" or punish us for being "bad". They provide the energy to act.

Beliefs without associated feelings have less influence on behaviour. A few years ago I heard a doctor talking about smoking on talkback radio. A caller asked...

"Doctor, what is the easiest way you know to give up smoking?"

The doctor replied...

"Have a coronary!"

Until the coronary provides the emotional component, giving up smoking is difficult.

This form of conscience mentioned earlier is the leftover of the parental voice which taught us what to do. The feeling component is provided by the parent's approval or disapproval. It need not even by said out loud — it may be communicated by the parent's tone of voice, or other non-verbal behaviour.

Note that I am not saying that such beliefs are necessarily wrong. It can be argued that some of them are what make us human. The point is this: beliefs without reason, and with feelings, shape our behaviour. And the important implication:

Giving reasons for changing the behaviour may not have any effect.

Many of our beliefs about organisations and relationships are held as beliefs without reason. We have deep-seated assumptions about the way organisations ought to be structured. For instance we assume that they are characterised by horizontal specialisation: different people fill different functions. We expect vertical specialisation with superiors and subordinates having different levels of

authority and influence. In fact, organisations exist more in the minds of people than in the objective world.

Many of our beliefs are about the way in which people in different roles "should" relate to each other. We expect managers (and parents and men and women and children and so on) to behave in certain ways. We hold assumptions about how much of ourselves we should reveal at work.

Often, then, changes which are adopted for good reason may encounter unreasoned resistance. "Unreasoned" is precisely what it is. People who don't understand the reasons for their resistance invent them, confusing themselves and others, and locking themselves into positions which they then find difficult to abandon.

In short, one of the ways of distinguishing beliefs without reason is this ...

> If the reason comes first, and the belief arises out of the reasoning, then these are not beliefs without reason. The belief is capable of being changed.
>
> Often the belief comes first and the reason comes afterwards. The reason is then more an after-the-event rationalisation. This is what I mean by belief without reason. And it may well be impervious to evidence or argument.

To paraphrase Elliot Aronson: If I believe X to be true, whatever X is, and I know why I believe it, I can change my mind in the light of new evidence. If I **know** X is true, and that's all there is to it, the evidence is irrelevant.

Much of our early upbringing can be regarded as a form of socialisation which is intended to pass on the beliefs of our culture. We are encouraged to accept the beliefs without question. Reasons are either not provided, or are not the primary reason for holding the beliefs. In this way the beliefs of our culture are passed on from generation to generation.

Importantly, the effect of this is to inoculate us against evidence.

Much the same could be said of early (and later) education.

If such beliefs without reason cannot be challenged by reason or evidence, how then can they be changed? The remainder of this document briefly describes some of the strategies.

Building relationships

We are more tolerant of "crazy" ideas from friends than from strangers or enemies. Therefore, good relationships foster change.

We often tend to put more effort into retaining relationships with people who do as we wish than with people who don't. But in reality, our relationship with people is often the easiest and most effective vehicle we have for getting them to pay attention to us.

There is benefit, for example, in

- challenging a person's *actions* or the *outcomes* of those actions, and doing so in such a way that our respect for the person and our relationship is made clear;
- putting extra effort into maintaining relationships when the relationship is threatened by differences of opinion; and
- making it clear to people that we value them and the relationship by *saying* so, instead of hoping that they will pick that up from our non-verbal behaviour.

It is for such reasons as these that an ability to form close and honest relationships is important to supervision and consultancy and learning and change.

Participation and involvement

Participation and involvement reduce resistance. The more *access* we can give people to the decision-making or planning process, the more effort they are likely to expend to get the decision or plan to work. There are times when a second-best decision which has people's support will work much better than a best decision which they wish to sabotage.

Further, if people are involved in the planning, they are more likely to take into account the information they have about the situation. Participative planning usually takes more information into account.

It also takes more time. Therefore, you may sometimes have no choice — you may have to act first, and then inform people what you have done. If this occurs, however, it is pointless to blame people for their resistance. That was inherent in the lack of participation.

Note, too, that people are more likely to tolerate occasional decisions by others if it is only occasional, and reasons are given, *and the relationship is good enough for trust to exist*.

You can't always guarantee that participation will lead to effective decision-making. The processes you use have to be good. And in any event, sometimes people will insist on making decisions which are consistent with their beliefs without reason. But when a plan is developed, at least you are not as likely to find it sabotaged.

Knowing who to involve in a change program is often a very important part of managing change.

Trials

Participation as discussed in the previous section can be enhanced by adopting a trial. People may agree willingly to introduce a change for a trial period. It helps if they trust your motives — they think you *will* abandon it if it doesn't work. It can also be a good idea to agree on the way in which the trial will be evaluated.

If you adopt a trial, it is likely that within the social system there is someone who is keen to try the change. They are more likely to give the innovation a genuine trial compared to those who are opposed.

Focussing on outcomes

Sometimes it is possible to reach agreement on outcomes or goals, thus side-stepping the debate about reasons.

For example, suppose a member of your work team is behaving in ways which interfere with team performance because of some belief about what is right. Challenging the belief may result only in a heightened resistance. Specifying the outcomes you want, and explaining why you want them may be enough to change the behaviour. In doing this, you leave the decision about *behaviour* to the person. It is then their responsibility to find a behaviour which gives the required outcomes.

For example, some Employee Assistance Schemes have had dramatically good results in remedying drug abuse. Such schemes don't argue with a person about whether or not (s)he has a drug problem. They focus instead on performance (which is accepted by most people as a valid management concern). They promise continued work provided treatment is undertaken and performance remedied.

Discovering the reasons

Sometimes you can help people to discover the reasons behind their beliefs. Their resistance may arise from a wish to defend the past. If they realise that you are not attacking the past, but merely asking their help in identifying what should be maintained and what should be changed, they may cooperate with you in doing that.

For example, most people have firm ideas about the "right" way to structure organisations. Now, it may be that their way is the traditional way, appropriate for low to moderate rates of change. It breaks down at faster rates of change. If you give people this reasoning, they may merely fight against it. If you allow them to discover it for themselves, they are much more likely to try to adopt the change.

Presenting evidence, allowing people to check its adequacy for themselves, and then allowing them to draw their own conclusions is a way of doing this. It may be sufficient. However, it is when the evidence is deduced from their own experience (as it might be in an experiential workshop of some form) that the results are most likely to be positive.

This can often be combined effectively with the next strategy, that of honouring the past.

Honouring the past

Some resistance to change occurs because people believe they are being asked to deny what has been an important part of their history. However, if they can be given an opportunity to examine their past, and the relevance to the present, they may decide voluntarily that some of the past can now be left behind. Particularly if the past is appropriately honoured, it can then be appropriately buried.

There are history-based techniques which work well for intact work teams and other social systems. Tim Dalmau and I have written about them in a number of places; see the description of a "history trip" in Dick and Dalmau (1990).

Allowing time

Time often allows people to become used to ideas that they resist at first. An idea which is regarded at first as outlandish may come to seem more natural with some more exposure to it.

For example, consider current community attitudes to unmarried couples living together, compared to the previous attitude that it is "living in sin".

Sometimes, therefore, you can reduce the resistance arising from beliefs without reason by giving enough prior notice of a change. This is more likely to work if you give a detailed set of reasons, and if you make it gently clear that the change is going to occur despite whatever "lobbying" takes place in the meantime (and if people think you mean it).

Changing the behaviour directly

Evidence demonstrates that if you change people's behaviour , their attitudes will later change to maintain consistency. Witness Peter Wilenski's (1986) idea of driving change by introducing legislation.

It is often believed that you change behaviour by first changing attitudes. This is sometimes true. But mostly it is easier to change attitudes by first changing behaviour, than it is to change behaviour by first changing attitudes.

Offering incentives for some behaviour usually leads in time to an increase in that behaviour. Some time later again, the attitudes will be found to have changed too.

Being clear about what is negotiable is important here. In implementing changes which have been decided elsewhere, this is more important than pretending support which isn't real.

Imagine a manager you report to who actually opposes a change from senior management. Consider three alternatives: the person says...

> *"Of course there are good reasons for this change. The people who made it have much more information than you do. I support it unreservedly."*

or

> *"Those idiots in head office have done it again. I think it's a crazy idea, but at least we have to make it look as if we've done something about it. So let's clean it up as quickly as we can and get back to important things."*

or

> *"It's not a change that I would have recommended. But it has to happen, and so I'm determined that it will. Now, how can we make it work so that it serves some purpose?"*

Which of these approaches would be most likely to gain your cooperation, and leave intact a trusting relationship with the person concerned?

These strategies are by no means the only ones; but I think they include those with the most potential. Further, they often benefit from being combined with each other. Several of the strategies can be adopted simultaneously as part of a program of strategic change.

Notes

Aronson, E. (1972) *The social animal*. New York: Freeman.

Dick, B and Dalmau, T (1990) *To tame a unicorn..: recipes for cultural intervention*. Chapel Hill: Interchange.

Wilenski, Peter (1986) *Public power and public administration*. Hale and Iremonger, Sydney. Peter Wilenski was Chair of the Australian Public Service Board during the late 1970s and early 1980s. This was the period when the previously stable public sector first began the shake-up which still continues today.

18 Freedom within limits

"Freedom within limits" is a model which can help in defining the relationship between a facilitator and a group, a manager and a subordinate, or similar relationships.

It is likely to be relevant throughout the change program, whenever there are group activities

A conceptual tool

Modified from Dick, B. (2001) *Negotiating the role between facilitator and group*. Chapel Hill, Qld.: Interchange. It is based on the work of Coopersmith, S. (1967) *The antecedents of self-esteem*. San Francisco: Freeman.

In organisations it is not unusual for there to be manager-subordinate and similar relationships, and there are often differences in influence or status in other settings. The person with the official authority in the relationship then has a choice between a number of ways of managing the relationship:

Table 1:

high control	or	high freedom
high clarity	or	high negotiability
high goals	or	high support

These don't have to be either/or choices. It is often possible to get the best of both worlds. The relationship offered by the manager to the subordinate, or the facilitator to the group, may then take on this form ...

1a	Freedom ...
1b	within limits ...
2a	that are clear ...
2b	and negotiable.
3a	High aspirations, with ...
3b	unconditional support

Provided all six criteria are achieved this can be a recipe for high commitment to the task, the team leader, and the community organisation. Achieving it is sometimes difficult, as few leaders, in any setting, have had the opportunity to observe this style in practice.

The following descriptions provide some more detail. They also explain why this style of leadership is worth trying to achieve.

1a	freedom	Provided they know how to exercise the freedom responsibly, people with freedom are more likely to be innovative, and more likely to be committed to group effectiveness
	balanced with	Some aspects of team functioning are unavoidably the manager's responsibility. Others are unavoidably the group members'. Some are negotiable
1b	limits	The limits allow the manager (and other stakeholders) to specify the constraints beyond which the program must not go without consultation
2a	clear limits	Unless the limits are clearly specified there is a danger that people will stay well within them to be safe, or that they will accidentally exceed them
	balanced with	It helps to be clear about what is negotiable and what is not. For what is negotiable, the limits can be negotiated outwards as group members develop more skills and learn to act more responsibly
2b	joint negotiability	If the limits are set in concrete, people are unable to adjust them to meet changing circumstances, and may therefore become disillusioned
3a	high aspirations	Encouraging people to aim high provides them with a challenge, and may provide them initially with a spur to change and later with a sense of achievement. But only if they can afford to take risks
	balanced with	The balance is achieved by distinguishing the person from the behaviour and its consequences. The conflict resolution network talks about being "hard on the problem, soft on the people"
3b	unconditional support	If the support they receive from others depends on their being successful, they may well avoid risk taking by staying close to what they are sure will succeed. Under these conditions there is less likely to be innovation

19 Resources

This section lists books, web sites and electronic mailing lists of use to people who are facilitating change activities

A. Books

Here is an introductory reading list in organisational change and group facilitation. The emphasis in this reading list is on books which are practical, or which integrate theory and practice. Those books marked "■" in the margin together provide a reasonable overview of the field. Those marked "■" extend on that initial overview. Those marked § are specialised, but good for particular applications.

■ Argyris, Chris (1990) *Overcoming organisational defenses: facilitating organisational learning*. Boston: Allyn & Bacon.

Argyris, Chris (2000) *Flawed advice and the management trap: how managers can know when they're getting good advice and when they're not*. Oxford, UK: Oxford University Press.

Barbour, Rosaline S., and Kitzinger, Jenny, eds. (1999) *Developing focus group research: politics, theory and practice*. London: Sage.

Bennett, Roger (1990) *Choosing and using management consultants*. London: Kogan Page.

Bergquist, William (1993) *The postmodern organisation: mastering the art of irreversible change*. San Francisco: Jossey-Bass.

Bruce, Raymon, and Wyman, Sherman (1998) *Changing organizations: practicing action training and research*. Thousand Oaks, Ca.: Sage.

■ Bunker, Barbara Benedict, and Alban, Billie T. (1997) *Large group interventions: engaging the whole system for rapid change*. San Francisco, Ca.: Jossey-Bass.

Burke, W. Warner (1994) *Organization development: a process of learning and changing*, second edition. Reading, Mass.: Addison-Wesley.

Campfens, Hubert, ed. (1997) *Community development around the world: practice, theory, research, training*. Toronto: University of Toronto Press.

Caro-Bruce, Cathy (2000) *Action research facilitator's handbook*. Oxford, Ohio: National Staff Development Council.

Carpenter, Susan L. and Kennedy, W.J.D. (1988) *Managing public disputes: a practical guide to handling conflicts and reaching agreements*. San Francisco, Ca.: Jossey-Bass.

Chamala, Shankariah, and Mortiss, Peter D. (1991) *Group management skills for land care: a trainer's guide*. Brisbane: Australian Academic Press.

Christenson, James A. and Robinson, Jerry W., Jr, eds. (1989) *Community development in perspective*. Ames, Iowa: Iowa State University Press.

- Cox, Fred M.; Erlich, John L.; Rothman, Jack; and Tropman, John E., eds. (1987) *Strategies for community organisation: a book of readings*, fourth edition. Itasca: Peacock.

Collins, David (1998) *Organizational change: sociological perspectives*. London: Routledge.

Cope, Bill, and Kalantzis, Mary (1997) *Productive diversity: a new, Australian model for work and management*. Annandale, NSW: Pluto Press.

Cunningham, J. Barton (1993) *Action research and organizational development*. Westport, Connecticut: Praeger.

Dawson, Patrick (1994) *Organizational change: a processual approach*. London: Paul Chapman Publishing. [144 Liverpool Rd London.]

- Dougherty, A. Michael (1990) *Consultation: practice and perspectives*. Pacific Grove, Ca.: Brooks/Cole.

Dunphy, Dexter, and Griffiths, Andrew (1998) *The sustainable corporation: organisational renewal in Australia*. St Leonards: Allen & Unwin.

Emery, Merrelyn (1999) *Searching: the theory and practice of making cultural change*. Amsterdam: Benjamins.

- Erlich, John L., Rothman, Jack, and Teresa, Joseph G. (1999) *Taking action in organizations and communities*, second edition. Dubuque, Iowa: eddie bowers publishing.

§ Fisher, Dalmar, and Torbert, William R. (1995) *Personal and organizational transformations: the true challenge of continual quality improvement*. London: McGraw-Hill.

■ Flood, Marie; and Lawrence, Annee, eds. (1990) *The community action book*, second edition. NSW: NCOSS (Council of Social Service of New South Wales).

Flood, Robert Louis (1999) *Rethinking the fifth discipline: learning within the unknowable*. London: Routledge.

■ French, Wendell, and Bell, Cecil H. (1999) *Organization development: behavioral science interventions for organizational improvement*, sixth edition. Englewood Cliffs, NJ: Prentice-Hall.

French, Wendell; Bell, Cecil H., Jr.; and Zawacki, Robert A., eds. (2000) *Organization development and transformation: managing effective change*, fifth edition. Boston: McGraw-Hill.

§ Galbraith, Jay R. (1995) *Designing organizations: an executive briefing on strategy, structure and process*. San Francisco: Jossey-Bass.

■ Gummesson, Evert (2000) *Qualitative methods in management research*, second edition. Thousand Oaks, Ca.: Sage.

Gustavsen, Bjrn (1992) *Dialogue and development: theory of communication, action research and the restructuring of working life*. Assen: Van Gorcum; and Stockholm: Arbetslivscentrum.

§ Hammond, Sue Annis (1996) *The thin book of appreciative inquiry*. Plano, Tx.: Kodiak Consulting.

§ Hammond, Sue Annis, and Royal, Cathy, eds. (1998) *Lessons from the field: applying appreciative inquiry*. Plano, Tx: Practical Press.

■ Hance, Billie Jo; Chess, Caron.; and Sandman, Peter M. (1990) *Industry risk communications manual: improving dialogue with communities*. Florida: Lewis Publishers.

Hare, A. Paul (1992) *Groups, teams, and social interaction: theories and applications*. New York: Praeger.

Harrison, Michael I., and Shirom, Arie (1999) *Organizational diagnosis and assessment: bridging theory and practice*. Thousand Oaks, Ca.: Sage.

Heller, Kenneth (1990) Social and community intervention. *Annual Review of Psychology*, 41, 141-168.

- Heron, John (1999) *The complete facilitator's handbook*. London: Kogan Page.

Hogan, Christine (2000) *Facilitating empowerment: a handbook for facilitators, trainers and individuals*. London: Kogan Page.

- Holman, Peggy, and Devane, Tom, eds. (1999) *The change handbook: group methods for shaping the future*. San Francisco, Ca.: Berrett-Koehler.

Hunter, Dale; Bailey, Anne; and Taylor, Bill (1999) *The essence of facilitation: being in action in groups*. Auckland, NZ: Tandem Press.

Hussey, David, ed. (1996) *The implementation challenge*. Chichester: Wiley.

Ife, Jim (1995) *Community development: creating community alternatives — vision, analysis and practice*. Sydney: Longman Australia.

Jones, Beau Fly; Rasmussen, Claudette M., and Moffitt, Mary C. (1997) *Real-life problem solving: a collaborative approach to interdisciplinary learning*. Washington, DC: American Psychological Association.

Kalliola, Satu, and Nakari, Risto (1999) *Resources for renewal: a participatory approach to the modernization of municipal organizations in Finland*. Amsterdam: Benjamins.

Kaner, Sam; with Lind, Lenny; Toldi, Catherine; Fish, Sarah; and Berger, Duane (1996) *Facilitator's guide to participatory decision-making*. Gabriola Island, BC: New Society Publishers.

Kaplan, Allan (1996) *The development practitioners' handbook*. London: Pluto Press.

Kelly, Anthony, and Sewell, Sandra. (1988) *With head, heart and hand: dimensions of community building*. Brisbane, Qld.: Boolarong.

Kock, Ned (1999) *Process improvement and organizational learning: the role of collaboration technologies*. Hershey, Pa.: Idea Group Publishing.

§ Kotler, Philip, and Roberto, Eduardo L. (1989) *Social marketing: strategies for changing public behaviour*. New York: Free Press.

■ Limerick, David and Cunnington, Bert (1994) *Managing the new organisation: a blueprint for networks and strategic alliances*. San Francisco, Ca.: Jossey-Bass.

Lipsey, Mark W., and Cordray, David S. (2000) Evaluation methods for social intervention. *Annual Review of Psychology*, 51, 345-375.

§ Marquardt, Michael J. (1999) *Action learning in action: transforming problems and people for world-class organizational learning*. Palo Alto, Ca.: Davis-Black.

McArdle, Jeremy (1993) *Resource manual for facilitators in community development*. Melbourne: Vista Publications.

McGill, Ian, and Beaty, Liz (1995) *Action learning: a guide for professional, management and educational development*, second edition. London: Kogan Page.

Mohrman, Susan Albers; Galbraith, Jay R.; Lawler, Edward E., III; and associates (1998) *Tomorrow's organization: crafting winning capabilities in a dynamic world*. San Francisco: Jossey-Bass.

Mortiss, Peter Donald, and Chamala, Shankariah (1990) *Improving participative planning and decision-making*. Bowen Hills, Qld.: Australian Academic Press.

Mumford, Alan, Ed. (1997) *Action learning at work*. Aldershot, UK: Gower.

Nadler, David A., and Tushman, Michael L. (1997) *Competing by design: the power of organizational architecture*. New York: Oxford University Press.

Nelson-Jones, Richard (1991) *Leading training groups: a manual of practical group skills for trainers*. Sydney: Holt Rinehart Winston.

Nyden, Philip; Figert, Anne; Shibley, Mark; and Burrows, Darryl, eds. (1997) *Building community: social science in action*. Thousand Oaks, Ca.: Pine Forge Press.

Owen, Harrison (1997) *Open space technology: a user's guide*, second edition. San Francisco, Ca.: Berrett-Koehler.

Patrickson, Margaret, Bamber, Val, and Bamber, Greg J., eds. (1995) *Organisational change strategies: case studies of human resource and industrial relations issues*. Melbourne: Longman Australia.

■ Peavey, Fran (2000) *Heart politics revisited*. Annandale, NSW: Pluto Press.

Pedler, Mike, ed. (1991) *Action learning in practice*, 2nd edition. Aldershot, Hants.: Gower.

■ Raelin, Joseph A. (2000) *Work-based learning: the new frontier of management development*. Upper Saddle, NJ: Prentice-Hall.

Rees, Fran (1991) *How to lead work teams: facilitation skills*. San Diego: Pfeiffer & Co.

§ Rothman, Jay (1997) *Resolving identity-based conflict in nations, organisations, and communities*. San Francisco, Ca.: Jossey-Bass.

Rothwell, William J. (1999) *The action learning guidebook: a real-time strategy for problem solving training design and employee development*. San Francisco, Ca.: Jossey-Bass/Pfeiffer.

■ Rothwell, William J., Sullivan, Roland, and McLean, Gary N., eds. (1995) *Practicing organization development: a guide for consultants*. Jossey-Bass/Pfeiffer.

§ Sarkissian, Wendy and Perlgut, Donald, eds. (1994) *The community participation handbook: resources for public involvement in the planning process*, second edition. Murdoch: Institute for Science and Technology Policy, Murdoch University.

§ Sarkissian, Wendy and Walsh, Kelvin, eds. (1994) *Community participation in practice: workshop checklist*. Murdoch: Institute for Science and Technology Policy, Murdoch University.

- Schein, Edgar H. (1999) *Process consultation revisited*. Reading, Mass.: Addison-Wesley.

  Schein, Edgar H. (1999) *The corporate culture survival guide: sense and nonsense about culture change*. San Francisco, Ca.: Jossey-Bass.

  Schratz, Michael, and Walker, Rob (1995) *Research as social change: new opportunities for qualitative research*. London: Routledge.

  Selener, Daniel (1998) *Participatory action research and social change*, third edition. Ithaca, NY: Cornell Participatory Action Research Network, Cornell University.
- Senge, Peter M.; Kleiner, Art; Roberts, Charlotte; Ross, Richard B.; and Smith, Bryan J. (1994) *The fifth discipline fieldbook: strategies and tools for building a learning organization*. New York: Doubleday.

  Senge, Peter M.; Kleiner, Art; Roberts, Charlotte; Ross, Richard; Roth, George; and Smith, Bryan. (1999) *The dance of change: the challenges of sustaining momentum in learning organizations*. London: Nicholas Brealey.

  Smith, Susan E. and Willms, Dennis G., with Johnson, Nancy A., eds. (1997) *Nurtured by knowledge: learning to do participatory action-research*. New York: Apex.

  Spinks, Tony and Clements, Phil (1993) *A practical guide to facilitation skills: a real-world approach*. London: Kogan Page.

  Srivastva, Suresh, and Cooperrider, David L., eds. (1999) *Appreciative management and leadership: the power of positive thought and action in organizations*, revised edition. Euclid, Ohio: Williams Custom Publishing.

  Toulmin, Stephen, and Gustavsen, Bjrn (1996) *Beyond theory: changing organizations through participation*. Amsterdam: Benjamins.
- Wadsworth, Yoland (1984) *Do it yourself social research*. Melbourne: Victorian Council of Social Service and Melbourne Family Care Association.
- Wadsworth, Yoland (1991) *Everyday evaluation on the run*. Melbourne: Action Research Issues Assn. Inc.

Watkins, Karen E., and Marsick, Victoria J. (1993) *Sculpting the learning organization: lessons in the art and science of systemic change*. San Francisco, Ca.: Jossey-Bass.

Weinstein, Krystyna (1995) *Action learning: a journey in discovery and development*. Harper Collins.

§ Weisbord, Marvin R. (1991) *Productive workplaces: organising and managing for dignity, meaning and community.* San Francisco: Jossey-Bass.

■ Weisbord, Marvin R. (1992) *Discovering common ground*. San Francisco: Berrett-Koehler.

■ Whiteley, Alma (1995) *Managing change: a core values approach*. South Melbourne: Macmillan Education Australia.

Worley, Christopher G., Hitchin, David E., and Ross, Walter L. (1996) *Integrated strategic change: how OD builds competitive advantage*. Reading: Addison-Wesley.

B. Web resources

Some sites on organisation development, change management and facilitation are listed below. Most of these are sites which link to other web-based resources.

Organisation development

http://www.mapnp.org/library/org_chng/chng_mng/chng_mng.htm
http://humanresources.about.com/careers/humanresources/cs/orgdevelopment/
http://members.aol.com/odinst/
http://www.orgdct.com/OD%20resources-variety.htm
http://www.escape.ca/~rbacal/books/consulting/
http://www.hruniverse.com/od.htm

Action research

http://www.scu.edu.au/schools/gcm/ar/arhome.html
http://www.uq.net.au/action_research/arhome.html
(a mirror of the site above)

C. Mailing lists

Electronic mailing lists are an effective way of keeping up to date with a field of practice. There is a list of mailing lists at http://paml.net/

Here are some more specialised mailing lists:

ODNet maintains a list of organisation development practitioners:

http://www.odnetwork.org/listsinfo/odnet.info.html

Arlist is the premier action research list

http://www.scu.edu.au/schools/gcm/ar/arr/arlist.html

To subscribe to the Australasian Facilitators' Network mailing list send the email message

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