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Tools and Techniques for Change

A Leaders Handbook

Contents

Section

Section

1. Introduction

As Leaders, Managers and Change Agents working in the public service in Wales, we all have responsibilities for managing change and developing our organisations.

This handbook is intended to provide you with a toolkit of techniques that are regularly utilised by change management and organisational development professionals in a wide variety of settings. Clearly, this handbook cannot replace the skills of an experienced practitioner, however, we hope that the tools are described in a way that gives Managers the confidence to try them out. These techniques are summarised as simply as possible without much reference to the associated academic literature on the theory that underpin the techniques, or real life case studies where these theories have been successfully put to use.

For readers who would appreciate a broader and deeper understanding we would recommend the following handbooks and articles –

www.sdo.nihr.ac.uk/files/adhoc/change-management-review.pdf
– describes the change management process in general and also works through the theory behind some of the OD techniques. This has been a source for some of the material in this guide.

http://www.mindtools.com/pages/article/newPPM_96.htm
– describes the "change curve" and the process that human beings have to undergo before they embrace change.

www.kotterinternational.com/our-principles/changesteps/changesteps
– describes Kotter's 8 steps (one of the most useful models to describe the change process).

www.localleadership.gov.uk/images/tppractitionerguide%20.pdf
– This provides real life case studies of successful Change projects.

Disclaimer: Whilst we believe these articles to be the best free resources available for these techniques –this does not mean that we endorse the companies who have produced the videos (as they are free they usually include an element of advertising).

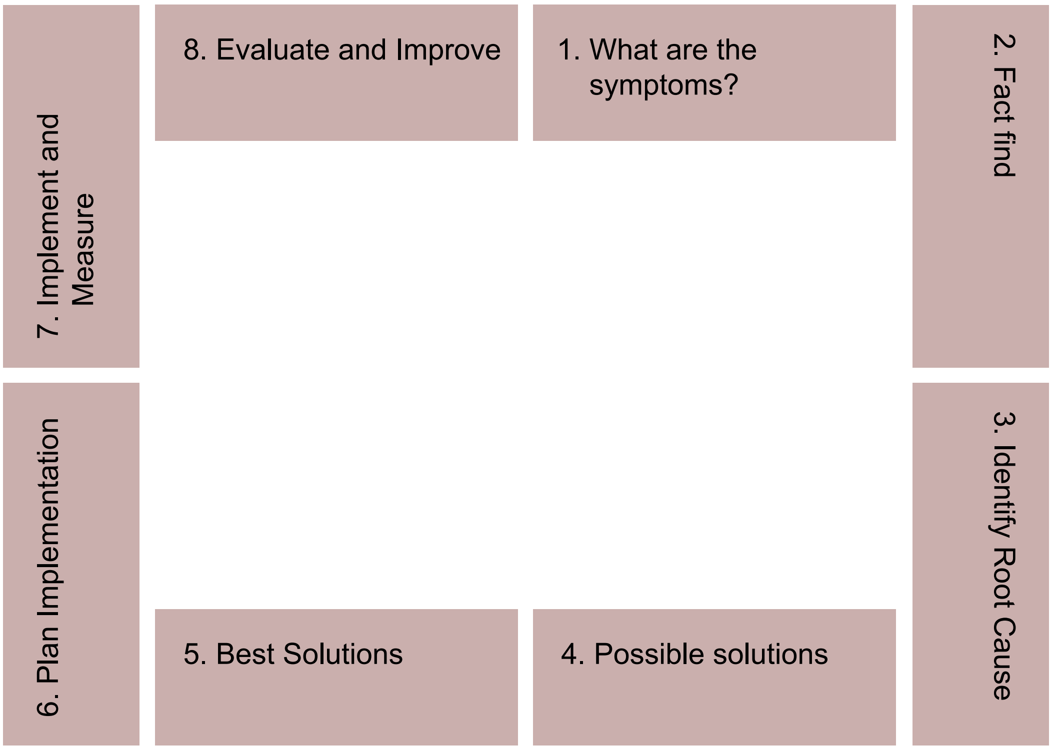
Feedback: We welcome feedback and suggestions for additions to this guide, which we will update from time to time so that you have the latest and most comprehensive tools, videos and links available to assist you in delivering results in the work that you do. Please submit any feedback to academiwales@wales.gsi.gov.uk.

2. Diagnostic Tools

Section Contents

2.1. The Logical Problem Solving Process

What is it?	What does it achieve?
• The logical process for solving problems.	• Correct solutions
How to use it?	**When to use it?**
• Do each step in sequence.	• For all problems.



The Logical Problem Solving Process was first identified by *Richard Wallen* and published widely for the first time in the late 1960's by *Edgar Schein* in '*Process Consultation Volume 1*' (a really good book for OD practitioners!). The process has since been widely disseminated and used. It contains the following steps:

1. What are the symptoms? What problems are presenting themselves?
2. Gather information. What do we know about the problem? What else is going on?
3. Analyse the information. What are the root causes?
4. Generate solutions. Think of all the ways in which the root causes could be addressed.
5. Choose the best solution or combination of solutions that will most effectively eliminate the root cause of the problem.
6. Plan how you will implement the chosen solution or combination of solutions.
7. Implement your plan and test that it is doing what you thought it would.
8. Check that the solution you have implemented has in fact dealt with the problem root cause and decide what can be done next to improve the situation still further.

The simple mistakes that cost billions of pounds

Most people see the symptoms of a problem and attempt to fix it with one of the first ideas that come to mind. We call these people the ‘one to five hipsters’ because they shoot from the hip and miss steps 2, 3 and 4 of the problem solving process. Sometimes this approach is fine because the answer is one that is known. But often, the answer used is not the right one and when implemented will, in fact, create new or more problems that were not originally present. Classic examples of this are:

- Unnecessary reorganisations of enterprises – reorganising structure where lack of process is the problem.
- High rise flats – dwellings built to improve the quality of life for those who were living in communities of old houses in inner city communities where refurbishment would have been a better solution for most.
- You can probably think of your own examples if you take a little time.

As you will realise, these solutions created immense problems in their wake. So it is with most incorrectly solved problems.

As you can imagine, if we have been solving problems in this faulty way as individuals, in business and in our public sector year after year, we will have been creating layer upon layer upon layer of problems. If this goes on long enough then as you can imagine, we will be left with an immense complex tangle of symptoms and problems that seem almost impossible to unravel. Does this seem familiar?

Who do you know that makes these mistakes in problem solving?

The ‘one to five hipsters’ that we described earlier are those that miss most of the steps in the process. The most important errors come from:

- Not understanding the problem because of a failure to gather information in Step 2.
- The most important errors come from omitting Step 3 and from not knowing how to analyse the problem to identify root cause. (Most people are wholly unaware of how to do this, see ‘5 whys’ section 2.7 and ‘Cause and effect analysis’ section 2.14).
- Further limitations are also created by omitting Step 4; the failure to generate as many solutions as possible to address the problem. This means that many more creative and plain better solutions are simply never considered.
- Sometimes step 6 is done to a certain extent but mostly it is not.
- Step 7 is easily addressed and the chosen solution albeit often the wrong one, will be implemented in some way, shape or form. This is often done in a rather messy way as the planning has not been done to ensure smooth installation.
- Finally, Step 8 is omitted or fudged in some way. Primarily because no root cause has been identified. If you don’t know what problem you are trying to solve, how can you measure your effectiveness? What happens instead is that evaluation is not done. An alternative is to claim a series of benefits, completely unconnected to the original problem, as the worth of the solution. Most often this is an error but sometimes it is a cover up for the fact that the real problem has not been addressed and a great deal of money has been spent.

2.2. Diagnostic Sensing Interview

What is it?	What does it achieve?
• A tool for finding out about a situation, its people and dynamics. • It helps you build rapport with your client group.	• The interview is an intervention in and of itself – on it's own it will create change. • It gives you knowledge about and authority in a situation.
How to use it?	**When to use it?**
1. Arrange 1:1 sessions with a proportion or all of the group of people you need to work with.	2. At the start of a piece of work when you need to find out more.

1. Perhaps we can start by you telling me a little about your job – your main responsibilities?
List

2. Before we go any further could you tell me a little about how you got into this position?
List

3. Who are the main three people you work with on a day-to-day basis?			
	What do they expect from you? Expectations met in general?	What do you expect from them? Expectations met in general?	

4. What about the larger organisation, how does that help or hinder you in doing your work effectively?	
Helps	Hinders

5. What trends do you see in the way the organisation is evolving?
List

6. If you could have three magic wishes about how you could change the organisation in any way you wanted, what would they be?
List

7. What about you personally, what would you like to do more of or less of in the future?	
More of	Less of

8. What would need to have happened in order for you personally to consider this project to have been successful?
List

2.3. Force Field Analysis

What is it?	What does it achieve?
• A Force Field Analysis helps identify the forces that resist change and enables strategies to be developed to overcome the resistance.	• It enables the factors or people involved in resistance to, and support of, change to be mapped. • It enables strategies for dealing with resistance to be mapped against each restraining force.

When to use it?

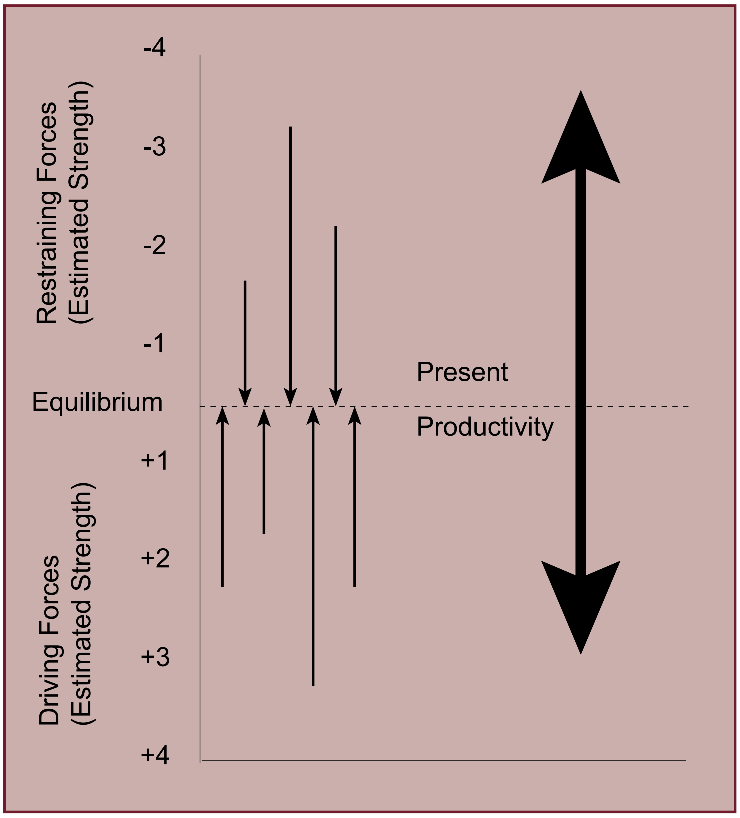
- When implementing any change that involves or affects people.

How to use it?

1. Convene a team.
2. Describe the barrier to the proposed change at the top of the Force Field diagram.
3. Brainstorm the reasons why people might resist the proposed change. If necessary identify root causes. These are the **Restraining Forces** which resist the change. Write the restraining forces on the appropriate side of the Force Field diagram.
4. Identify your existing driving forces. Consider each restraining force in turn and develop a possible solution to overcome or reduce the effect of this force. These are the **Driving Forces** which will act to overcome the resistance.
5. Sort the Driving Forces according to priority based upon:
   - Their ability to affect more than one Restraining Force.
   - The size of the impact (large, medium, small?).
   - Ease of implementation.
   - Response time for effect to impact.
6. Incorporate the priority Driving Forces into the project implementation action plan.

To carry out a Force Field Analysis

- State the current situation.
- Describe the ideal situation.
- Identify where the current situation will go if no action is taken.
- List all the forces driving change toward your ideal situation.
- Interrogate all of the forces: Are they valid? Can they be changed? Which are the critical forces?
- Allocate a score to each of the forces using a numerical scale e.g. (1) extremely weak – (10) extremely strong.
- Chart the forces by listing (to strength scale) the Driving Forces on the left and Restraining Forces on the right. The chart allows one to visualise the forces at work and determine whether change is viable and progress can occur.
- The viability of the change programme can be affected by decreasing the strength of the Restraining Forces or by increasing the strength of Driving Forces. Care needs to be exercised when increasing driving forces as this can create new, or increase the strength of existing Restraining Forces.



Force Field Analysis Model

Driving and restraining forces in equilibrium

Barrier: Resistance to New Hotline System

Restraining Forces			Driving Forces
Higher work priorities	→	←	Gain agreement & document work priorities
I'm used to the old system	→	←	Train in new process Introduce new system gradually
The new system is too complicated	→	←	Conduct trial of new system and simplify where possible
It will create more paperwork	→	←	Produce comparison of paperwork involved & time taken for old & new processes. 'Sell' benefits of new
New process makes staff more accountable	→	←	Staff will also have more control & levels of authority will be documented
New process may not improve customer satisfaction	→	←	Include monitoring & review process that involves staff
My job is not clear	→	←	Document job roles

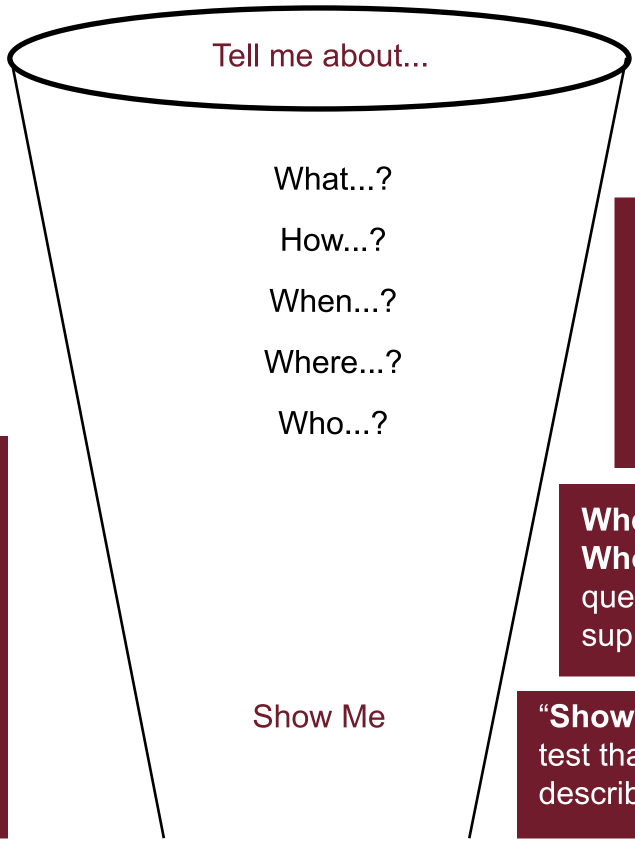
2.4. Start, Stop, Continue

What is it?	What does it achieve?
• A simple tool for surfacing problems and opportunities.	• A quick and dirty assessment of what is going on.
How to use it?	**When to use it?**
1. Arrange 1:1 sessions with a proportion or all of the group of people you need to work with.	2. At the start of a piece of work when you need to find out more.

What are the top three things you'd like to start doing or do more of?
What are the top three things you'd like to stop doing or do less of?
What are the top three things you'd like to continue to do at about the same rate?

2.5. Socratic Questioning Skills

What is it?	What does it achieve?
• Socratic questioning is the means by which we can find out, learn about, investigate or explore any subject.	• The exploration of new or old issues; • More complete understanding.
How to use it?	**When to use it?**
• Kipling had it right when he talked of his six best friends –What, How, Who, When, Where and Why. • Only sentences beginning with one of these words are high quality questions that elicit new information. • It is important to learn Socratic structure of high quality questions and the technique call Funnelling and Tunnelling.	• To explore completeness or truthfulness of what a person/people are telling you; • When interviewing. • To help a person learn about or explore a subject.



Describe the entrance to the funnel with "**tell me about..**"

What..? and **How ..?** questions are the most useful to elicit facts. They can be sued to tunnel in to the subject matter anywhere.

When..?, Where..? and **Who..?** Are the tunnel questions to gather supplementary information?

"**Show me ..**" is the ultimate test that what has been described is so.

Why..? is the least useful question because asked too early it puts people on the defensive. Asked in its proper place, it surfaces motivation and underlying reason and rationale.

Sentences with "is it" or "isn't it", or their tense variations are in fact statements with a question mark on the end. These statements don't elicit any new information, they are in essence rather anti-action learning and serve only to re-circulate old knowledge.

When exploring a subject using Socratic questioning it can often be helpful to ask questions to help a person shift their thinking:

- Up – out of the detail into the bigger picture where more resources may be available.
- Lateral – where ideas from look alike situations may be helpful or where other examples of similar things may assist thinking.
- Down – so that more specific tangible answers may be given to enable practical action to be taken or details to be considered.

You can use the questions below to shift the locus of a person's attention.

Up, Down and Lateral Questions

Up

- For what purpose?
- What would that get for you?
- Why is that important?
- Then what will happen?
- Of what is this an example?

Lateral

- Can you give me another example?
- What else could this mean?
- And is that because?
- Could you do anything different?

Down

- Can you give me an example?
- What specifically?
- About what?

2.6. Problem Definition Sheet

What is it?	What does it achieve?
• A means of creating a clear statement of a problem. • A means of exploring a problem as a potential opportunity.	• Identifies the problem, the desired state, potential gains and the likely benefits of dealing with a problem.
How to use it?	**When to use it?**
• Clearly state the problem as defined by the current situation and let the other questions expand and structure your thinking about the problem. • Involve other people if you can and add their insights too.	• When you first identify a problem and want to marshal the symptoms and your thoughts about it into a more coherent order.

Problem Definition Sheet – Example 1

	Present situation	Desired situation	Opportunity from moving from the present to the desired state
Statement of the problem and possibilities			
Quantification of the problem and possibilities – how much – numerical measures			**Potential Gains**
Who, when, where, how long – of the problem and possibilities			**Likely Timescale**
Cost of the problem and possibilities			**Estimated savings and likely benefits**

Problem Definition Sheet – Example 1

	The Way It is Now	Rationale	Alternatives	Best Solution
What?	What is done now?	Why is it done?	What else could be done?	What is the best thing to do?
How?	How is it done?	Why that way?	What other ways are there?	How could it best be done?
When?	When is it done?	Why then?	When else could it be?	When is the best time?
Where?	Where done?	Why there?	Where else could it be?	Where would work best?
Who?	Who does it?	Why them?	Who else could?	Who would be best to do it?

2.7. 5 Why?s

What is it?	What does it achieve?
• A Simple tool that addresses single problem events rather than generic organisational issues.	• Can help Managers resist the temptation to deal with symptoms rather than causes.
How to use it?	**When to use it?**
• If a problem occurs, the first ‘Why?’ question is asked: ‘Why did this happen?’ A number of answers may be found and for each of these the next ‘Why?’ is asked: ‘Why is that?’ The whole process is repeated until five consecutive ‘Why?’s have been asked and answered.	• To explore the interrelationships which underlie an aberrant or unfavourable event.

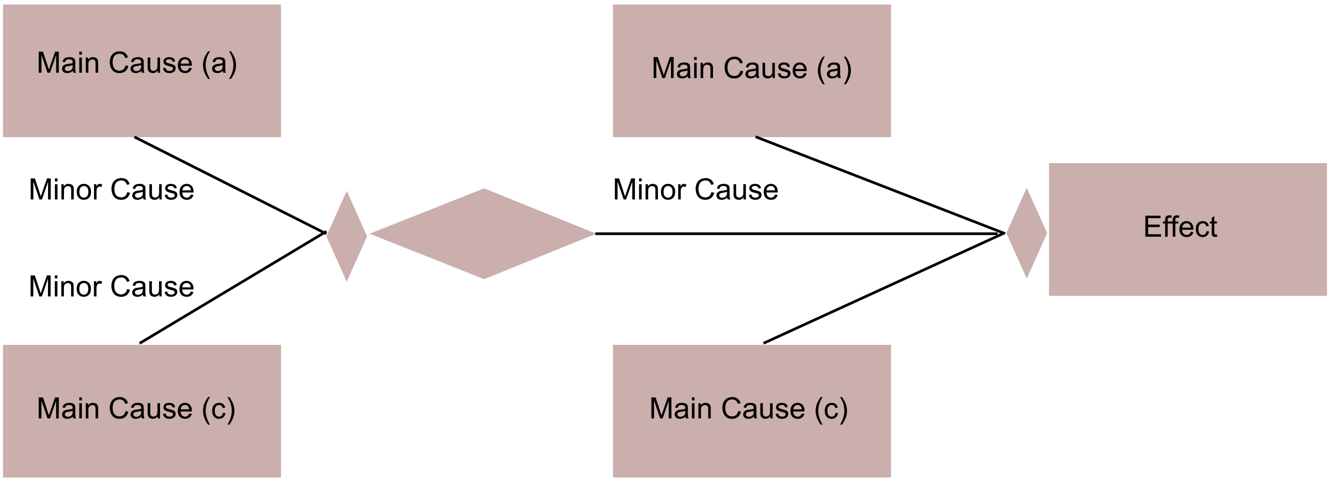
An example of using the 5 Why’s to discover the underlying cause of a problem
Problem situation: an inpatient complains that her request for a bed pan has been ignored

1 Why?	Nursing assistant A failed to bring it	
2 Why?	She was sent by staff nurse B to assist other staff in dealing with another patient whose needs were more serious	A failed to mention to B that she had been asked to bring a bedpan
3 Why?	The team was about to hand over to the next shift and while preparing for the handover there were fewer staff available on the ward	B had not invited A to hand back any outstanding tasks
4 Why?	The handover system needs attention	Staff nurse B would benefit from some training in communication skills
5 Why?	It is a while since the handover system was discussed on the ward and some aspects are not being observed	Appraisal has been allowed to slip during recent shortages of staff

2.8. Cause and Effect Analysis

What is it?	What does it achieve?
• It's a diagram that demonstrates the relationship between effects and the categories of their causes. • The arrangement of the diagram looks like a fishbone; it is therefore also called a fishbone diagram.	• Cause and Effect Analysis enables you to identify the possible cause affecting or creating a project or problem. A Cause and Effect diagram is a quick and visually effective way of exploring a problem or opportunity with some vigour.
How to use it?	**When to use it?**
• Determine the Effect or Problem you would like to examine. • Categorise the possible causes. • Find subcategories. • Describe the possible causes.	• Root Cause Analysis. • Problem Exploration. • Defining a problem. • Identifying possible data requirements. • Developing objectives for solutions. • Narrowing down causes.

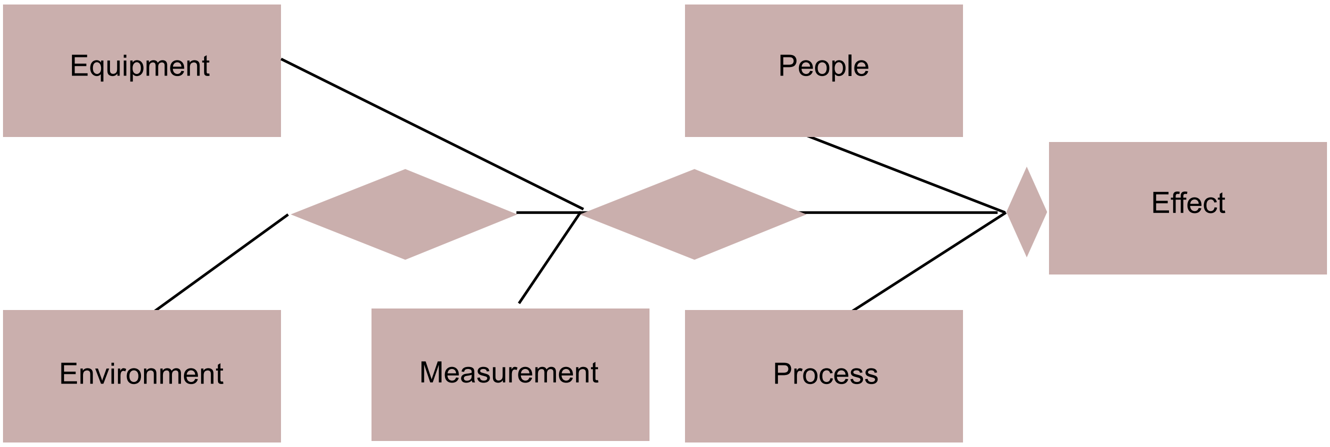
Diagram Layout



Suggested Headings

PEMP	FEMPEP	Your Own Choice
• People. • Equipment. • Materials. • Processes.	• Facilities. • Equipment. • Materials. • People. • Environment. • Processes.	

Using the Headings

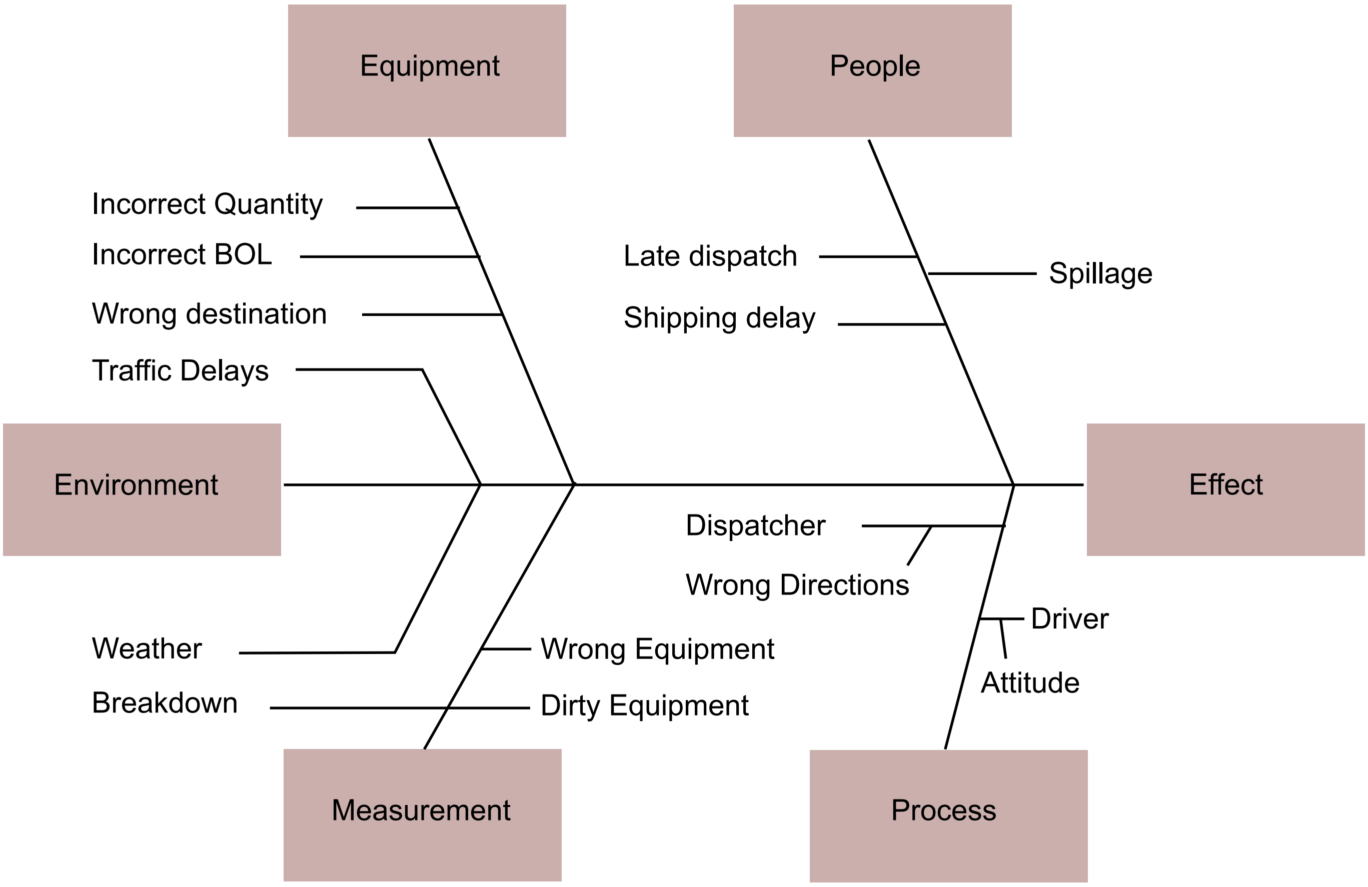


Diagramming Tip

Use paper landscape and put major cause boxes close to the edge to leave maximum room for the diagram.

Example

- Allow team members to specify where ideas fit into the diagram. Use their words.
- Clarify the meaning of each idea using the group to refine the ideas.



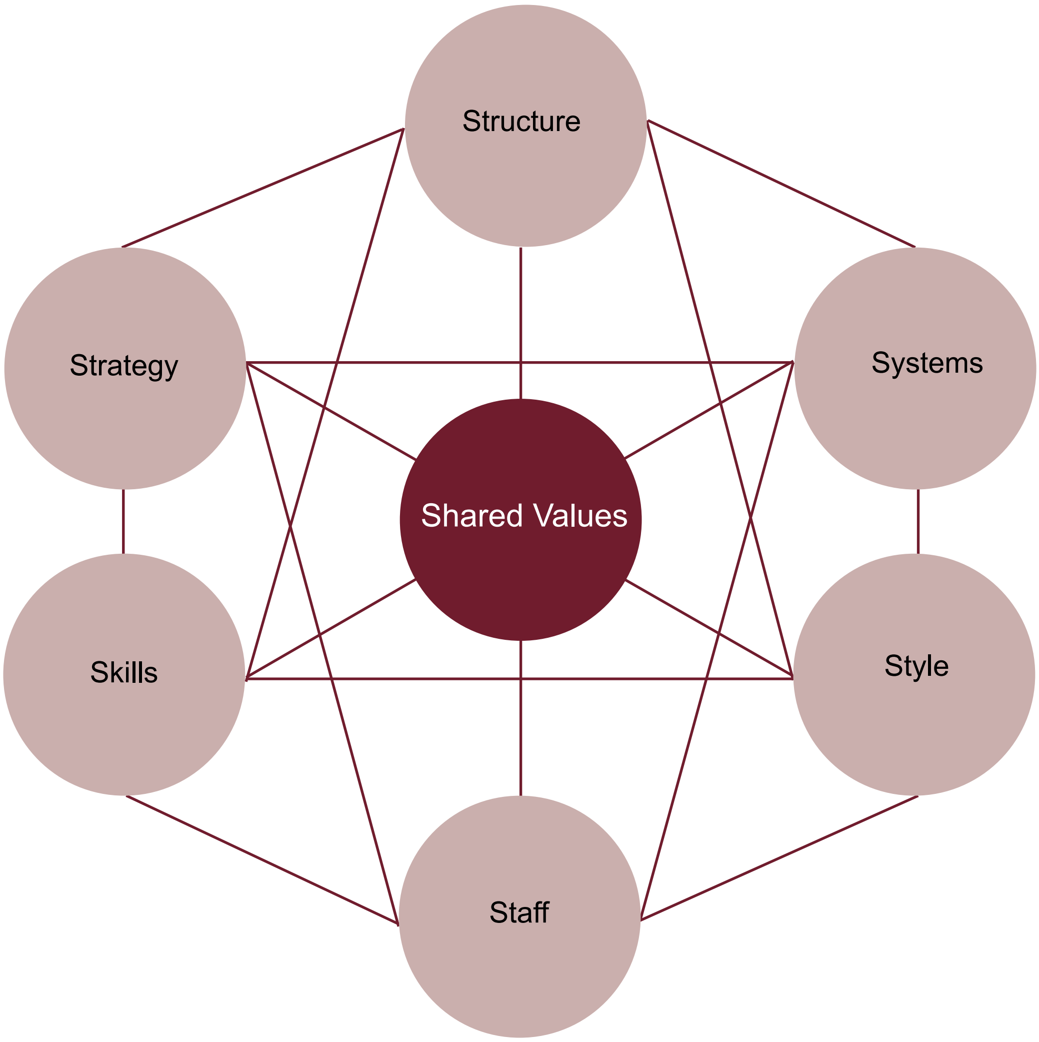
Look for Underlying Root Cause

Many factors can contribute to shipping problems → One problem out of spec is enough → We don't know what the specs are → There is no controlled process to ensure shipping happens correctly → ROOT CAUSE We haven't mapped and don't manage our own process

2.9. 7S

What is it?	What does it achieve?
• A model that describes how one can holistically and effectively organize an organisation. Together these factors determine the way in which an organisation operates. • "An interesting paper by Tom Peters on the development of the model can be found at http://www.tompeters.com/dispatches/012016.php	• Strengths and weaknesses of an organisation can be identified by considering the links between each of the Ss. No S is a strength or a weakness in its own right; it is only its degree of support, or otherwise, for the other Ss which is relevant. Any Ss which harmonise with all the other Ss can be thought of as strengths, any dissonances as weaknesses. • The model highlights how a change made in any one of the Ss will have an impact on all of the others. Thus if a planned change is to be effective, then changes in one S must be accompanied by complementary changes in the others.
How to use it?	**When to use it?**
• Take each of the 7 aspects of an organisation and analyse the extent to which they individually support the other aspects. The constituent parts of the 7S Model are: • Strategy: plan or course of action leading to the allocation of an organisation's finite resources to reach identified goals. • Structure: salient features of the organisational chart (e.g. degree of hierarchy, presence of internal market, extent of centralisation/decentralisation) and interconnections within the organisation. • Systems: procedures and routine processes, including how information moves around the organisation. • Staff: personnel categories within the organisation, e.g. nurses, doctors, technicians.	• Taking account of all interdependent factors to ensure successful implementation of an organisation's strategy with dual emphasis on "soft" organisational components (Style, Staff, Skills, Shared values) as well as the "hard" (Strategy, Structure and Systems). • **The 7s model is often used in conjunction with "Impact analysis".**

What is it?	What does it achieve?
• Style: characterisation of how key managers behave in order to achieve the organisation's goals. • Shared values: the significant meanings or guiding concepts that an organisation imbues in its members • Skills: distinctive capabilities of key personnel and the organisation as a whole.	



You will find a useful set of checklist questions for using the 7S model at this link
http://www.mindtools.com/pages/article/newSTR_91.htm

2.10. Lean

What is it?	What does it achieve?
• Lean is a business improvement methodology which has its roots in Manufacturing. In recent years it has been applied to great effect in service & public sectors. The following principles are at the heart of the Lean approach. 1. Specify what creates Value, from the perspective of the customerclient, not individual functions or departments. 2. Identify the Value Stream for each product or service providing that value and challenge all of the wasted steps. 3. Make those activities that create value, Flow without interruption, detours, backflows, waiting or rework. 4. Respond to what is Pulled by the customer (i.e. customer needs). 5. Manage towards Perfection so that the number of steps and the amount of time and information needed to service the customer continually falls. *Based on Womack & Jones (1996)*	Lean focuses on enhancing value for the customer by identifying all steps within a process. A Lean system is designed to eliminate waste, variability and inflexibility by focusing on the three key elements of work. 1. Value Added Activities: An activity that transforms or changes information. The customer/client/citizen/end user needs it It's done right the first time, on time & every time. 2. Required Non Value Added Activities: Activities which create no value but which cannot be eliminated at the moment due to existing technology, equipment or thinking Regulatory, customer mandated, legal. 3. Waste….Non Value Added Activities: Activities that consume resources but create no value in the eyes of the customer If it can not be removed it returns to 'Required Non Value'. Effective implementation of Lean should not only consider the benefits of '*doing more with less*' but will also focus on the ultimate goal of '*doing things better with less*'.

When to use it?

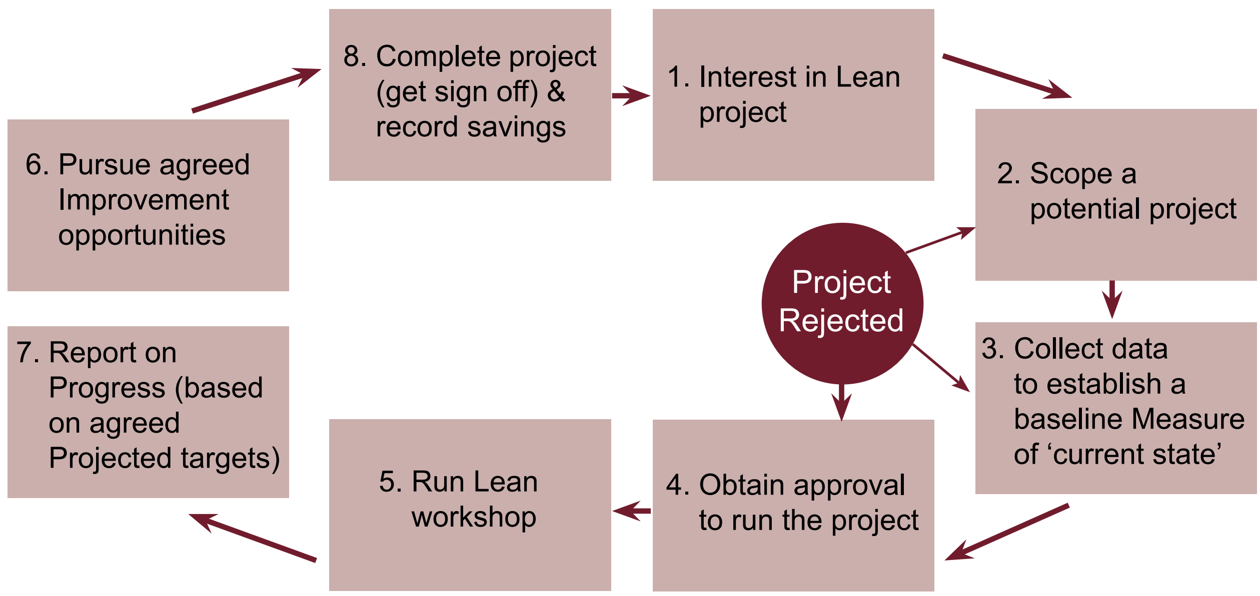
When looking to identify 'evidence based' business improvements to key processes in order to eliminate inefficiencies and enable sustainable ways of working. Lean should be used and communicated as a 'long term solutions provider'.

How to use it?

The Lean Business Improvement Model – Apply a whole systems approach to Lean improvements, e.g. by ensuring that proposals for one part of the business or of a process do not have a detrimental effect on other parts (see 7S section 2.8). This will include the need to ensure that investment decisions are focused on achieving sustainable improvements supported by analytical fact finding to justify the rationale, articulate what will change (inc. baseline measures and current/ future state evidence) and how this will impact on the 'whole system'.

The typical cycle of Lean engagement is outlined below

Lean Business Improvement Model



A 10 Point Plan to Support Effective, Repeatable & Quality Assured Implementation of Lean

1. Ownership Commitment & Preparation. (prior to the workshop event) Agree project owner. This needs to be somebody with authority to 'take ownership for' and 'implement' change. Work with the project 'owner' to scope out the project (inc. drafting a 'basic overview' process map & potential vision statement; i.e."what do you want to achieve"?

2. Rationale & Evidence Base to Justify the Project. Decide on area of work to be improved (key business process) & the rationale for change. Consider conflicting drivers potential duplication and cross cutting opportunities. Do you have sufficient evidence to justify the improvement you've identified? If you can not provide significant hard/soft evidence reconsider your choice (see 'Lean Business Improvement' model).

3. Awareness & Involvement. Project owner to communicate awareness of project, obtain 'buy-in' from individuals involved in the 'chain' of work to be improved and to identify agree and engage an appropriate team of individuals to participate in the event.

4. Introduction to the Workshop. Provide an overview of the plan for the day (using pre prepared slides) Present the project team with a potentially suitable Vision Statement e.g.

" To maximise the effectiveness of the 'XXXX process' in order to meet client needs through optimising the expertise of the department"

5. Encourage Early Interaction. Important to engage 'hearts & minds' at the outset. Ask workshop participants to introduce themselves, share your views on the proposed project 'Vision Statement' and share their views and thoughts on what the 'xxxx process' is like from their perspective.

6. Confirm Dynamics & Rules of Engagement for the Project. This message needs to be motivational convincing & compelling, stating that the Lean approach provides a means of enabling 'evidence based' decision making. Ownership for making it work ultimately lies with the people who do the work. The workshop facilitator should challenge but not impose ways of working. It is the project team who are responsible for capturing current ways of working & on deciding to what extent (if at all) there is a need to change & improve.

7. Map 'Current State' Process. As a team, (see process mapping section 2.13) capture 'current state' map ('post-it' exercise) Essential to agree on the mapping parameters (i.e. the start/trigger point and the end point. Ask project team to write out each step. Remember this is the reference point to justify changes & quantify future benefits (i.e.' manage by fact').

8. Design 'Future State' Map. As a team, focus on designing a 'future state' map, challenging reducing & removing existing 'waste' (non value adding) steps within 'current state' map.

Considerations should include –

- **Can 'checking/inspection' steps be brought forward or eliminated?**
- **Can steps be done in parallel?**
- **Are they obvious candidates for automation?**
- **Any duplication?**
- **Can steps be eliminated or carried out more efficiently by another department or person?**

9. Document the Changes. Capture each improvement opportunity. Agree the classification of each opportunity i.e. 'just do it' or 'needs further consideration' and the 'evidence measure' baseline to be used (e.g. time/cost/%/people etc). Agree the allocation of specific responsibilities to members of the team for them to pursue and investigate if potential 'waste' can be removed. Agree appropriate timescales for feedback and update as well as quantifying of realised benefits.

10. Follow Up Workshop. Arrange a separate half day follow up event to review progress and begin to capture 'soft' benefits and quantify the 'hard' benefits. Update the map accordingly. Remember, this newly designed map becomes the new 'current state' (i.e. the only recognised approved way of doing things). Encourage use of the newly designed map to drive personal training plans, standard operating procedures, desktop instructions & induction programmes.

Further reading:

- Lean Toolbox for Service Systems – John Bicheno (2008)
- Lean for Dummies – Natalie J. Sayer & Bruce Williams (2007)
- Evaluation of the Lean Approach to Business management and its use in the Public Sector. The Scottish Government – Dr Zoe Radnor (2006) http://www.scotland.gov.uk/Publications/2006/06/13162106/15)

2.11. Process Mapping

What is it?	What does it achieve?

• Process mapping is a technique to enable you to identify and understand the sequence of steps.
• Components and/or activities that are needed to deliver any result or outcome;
• Once you know what the process is to deliver a result, it can be measured and it can be improved.
	• Process Mapping enables an individual or a group of people to work together to develop or analyse a process in detail.
	• It can be used subsequently to:
	  • inform action.
	  • highlight problem areas.
	  • identify improvement opportunities.

How to use it?	**When to use it?**
1. Select the process. 2. Decide who will be involved in analysis. 3. Create an outline process map. 4. Create detailed process maps. 5. Create detailed task sheets. 6. Analyse the process map and identify possible improvements and required outcomes. 7. Action Plan and test the improvements decided upon. 8. Implement the improvements using best practice. 9. Review the implementation to ensure that desired outcomes have been delivered and to see whether further improvements are required/desired.	• To identify the necessary steps to deliver a result. • To identify opportunities for improvement. • To identify the problem areas or weaknesses within a process. • Identifying and testing alternative solutions. • Testing the coherence, logic and reliability of a process. • Improving customer satisfaction, performance, speed, effectiveness, efficiency or control, within a process.

Levels of Detail

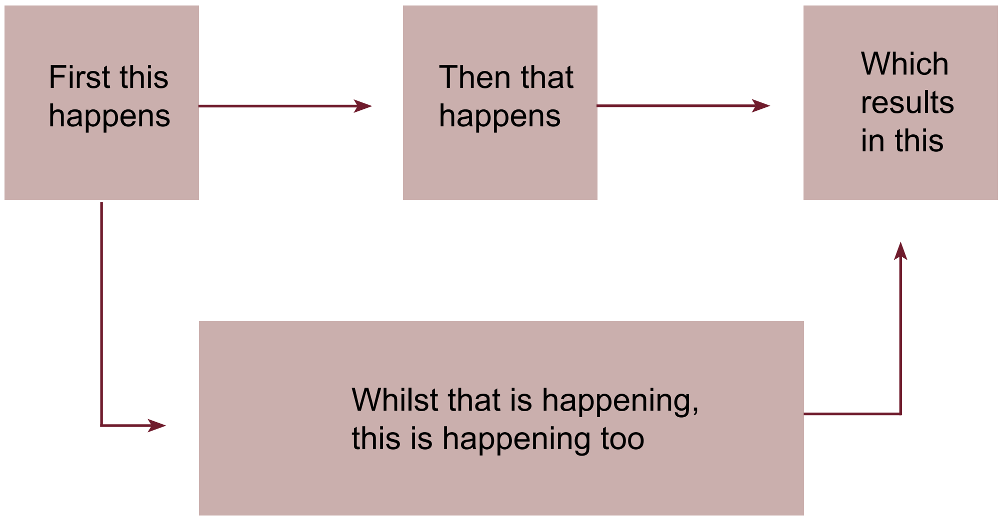
1. What are processes? Processes are the specific chains or activities or means that drive into existence or deliver an organisation's business or an individual's service, products, activities or results. In looking at any business, service or activity area, one normally starts with 3 – 5 high level or 'core' processes that embrace all the activities of an organisation, business or individual. You can check you have the right headings for your 3-5 core processes by outline mapping what you believe they are. If they overlap they are not separate. If they do not cover all the organisation's activities, either they are not at a high enough level or you need another core process. Select your core processes then select one to work on.

2. What are activities? Activities are the elements of action which, when added together in the correct sequence, make up a process and deliver a result. Each activity is made up of the detailed group of tasks.

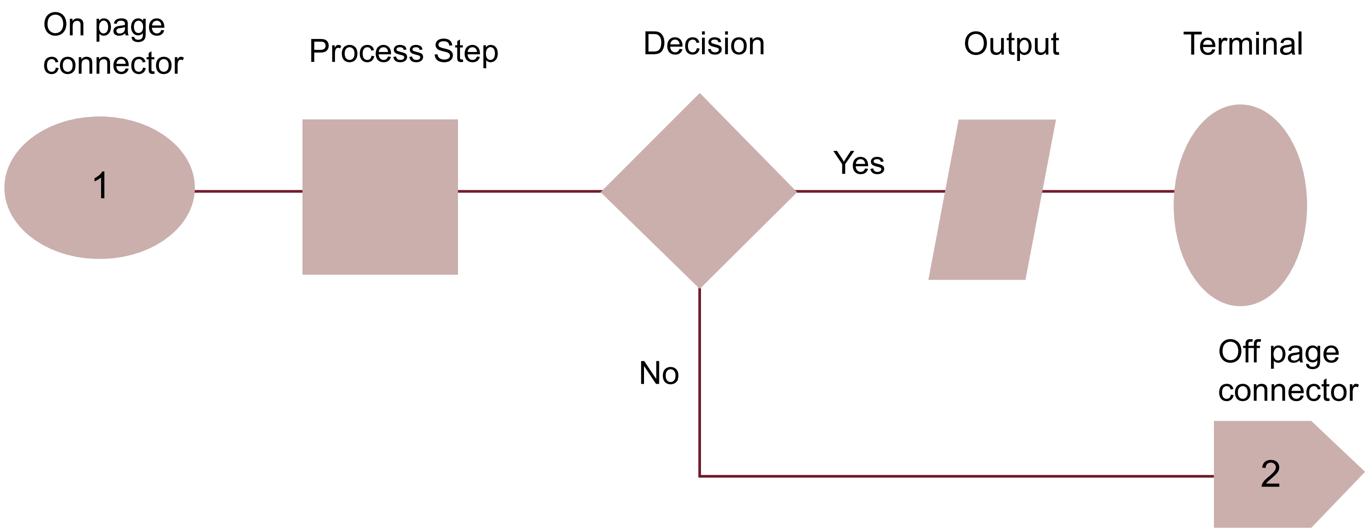
3. What are Tasks? Tasks are the most detailed level of a process map. They are the individual steps and actions referred to as ‘process steps’ which, when combined in the correct way, form the activities which, when sequenced correctly, form the process which delivers the results, product service or activity, to the required standards.

Constructing Process Maps

The most basic process maps are easy to construct with plain boxes:



You can also use six basic symbols connected by flow lines to enhance your process maps:



Detailed Flow Charts Contain:	Task Information Sheets Contain:	
• All tasks per activity. • All steps per task. • Decisions. • Connections. • Task information sheets.	• Name of process of which the task is part. • Task description. • Task reference number. • Name of task owner. • Owners' department. • Skills required. • Media/materials/ equipment used.	• Any standard documents used. • Performance Indicators allocated. • Exception control procedures. • Dependent task list • Observed problems/ opportunities. • Possible action.
Analysis		
• Is the process description complete? • Are there any dead ends? • Are there any parts of the process duplicated? • Are there parts not needed? • Are there gaps in the process?	• Are there procedures missing? • Are there methods 'in the field' for detecting and reporting inconsistencies in the process? • Are responsibilities split for simple tasks?	*Record:* • Task description. • Task name. • Owner. • Improvements possible. • Gaps.

2.12. C.O.S.T (and S.W.O.T)

What is it?	What does it achieve?
• C.O.S.T is psychologically correct form of S.W.O.T.	• A tool for getting an initial assessment of a situation.
How to use it?	**When to use it?**
• Can be used as interview questions. • Can be done as a brainstorm. • Can be used in a written questionnaire. • Can easily be used with a focus group.	• Anytime when you need to get an outline overall assessment of a situation.

Strengths and Concerns are internal value creating (or destroying) factors such as assets, skills or resources an organisation has at it's disposal relative to it's competitors. They can be measured using internal assessments or external benchmarking.

For Strengths and Concerns the questions asked are:

- What are the consequences of this? Do they help or hinder us in achieving our mission? If the factor does genuinely help the achievement of the mission (and only if the positive impact on the mission is convincing) then indeed it is a strength. Similarly if, but only if, it hinders achievement of the mission is it a weakness.
- What are the causes of this strength (or weakness)?

Opportunities and threats are external value creating (or destroying) factors an organisation cannot control, but emerge from either competitive dynamics of the industry or from demographic, economic, political, technical, social, legal or cultural factors.

For opportunities and threats the questions are slightly different.

- What impact is this likely to have on us? Will it help or hinder us in achieving our mission? Again, only if the opportunity helps the team achieve the mission can it be considered such; even if it causes the world to be a nicer place, but fails to impact on the team's ability to achieve its mission, it will not be an opportunity for these purposes.
- What must we do to respond to this opportunity or threat?

Concerns	Opportunities
Shore up Morale, Leadership, Management cover/ succession, Finances, knowledge, timescales, deadlines.	**Invest** Lifestyle trends, Global influences, Info and research, Partnerships, agencies, Major contracts Technology development.
Strengths	**Threats**
Capitalise Unique selling point, Competitive advantage, Qualifications, processes, systems Staff, Management, location.	**Identify** Political effects, IT developments Loss of key staff, Economy – Wales, UK, Global Weather.

A COST/SWOT analysis should be a useful tool for planning and developing strategy. Identify your Strengths and Concerns first because they may suggest some of the opportunities and threats later. There is a tendency for people to play the ‘opposite games’ whereby an opportunity might be identified and then a converse threat that ‘it might not be taken up’. This is not a threat, threats have to exist now in the present – this is a RISK associated with taking the opportunity and this should be recorded in the risk register.

A better way to map this output more directly into a project plan and/or strategy is to use a 3x3 grid, arranging your strengths, concerns, opportunities and threats in the labelled boxes. Then come up with some ‘mini strategies’ in the four boxes in the bottom right hand corner of the matrix, addressing the questions outlined. Having done this you can use the top left box to either translate the strategies into a task list for a project plan or come up with a strategy or mission statement for whatever topic was the subject of the COST/SWOT analysis.

Translate Tasks into the project plan	**Strengths**	**Concerns**
Opportunities	How do I use these strengths to take advantage of these opportunities?	How do I overcome the concerns that prevent me taking advantage of these opportunities?
Threats	How do I use my strengths to reduce the likelihood and impact of these threats?	How do I address the concerns that will make these threats a reality?

2.13. PESTELI

What is it?	What does it achieve?
• This is a checklist for analysing the environment of an organisation or it's subunit.	• Once the analysis is complete, work can commence on how the organisation could respond to these forces – it is only if this second stage is undertaken that PEST or PESTELI becomes useful rather than merely interesting.
How to use it?	**When to use it?**
• Analyse each element of the environment. Initially the acronym PEST was devised, which stands for: • Political factors – both big and small 'p' political forces and influences that may affect the performance of, or the options open to the organisation. • Economic influences – the nature of the competition faced by the organisation or its services, and financial resources available within the economy. • Sociological trends – demographic changes, trends in the way people live, work, and think. • Technological innovations – new approaches to doing new and old things, and tackling new and old problems; these do not necessarily involve technical equipment – they can be novel ways of thinking or of organising. The same checklist can also be applied inside an organisation. More recently the list has been expanded to PESTELI, and it now includes: • Ecological factors – definition of the wider ecological system of which the organisation is a part and consideration of how the organisation interacts with it. • Legislative requirements – originally included under 'political', relevant legislation now requires a heading of its own. • Industry analysis – a review of the attractiveness of the industry of which the organisation forms a part.	• To analyse which factors in the environment are helpful to the organisation and which may impede the organisation's aims.

2.14. Brainstorming

What is it?	What does it achieve?
• A quick and simple way to generate ideas with a group.	• Ideas. • Evaluation of ideas. • Energises the group.
How to use it?	**When to use it?**
• Agree the ground rules and process and then do it.	• Anytime when you want ideas or creativity.

The Essence of Brainstorming

Brainstorming is a particular way of using the ideas of many individuals to solve a problem creatively. Its supporters claim that individuals can arrive at a better solution by acting collectively.

Advocates of brainstorming also claim that one of its merits is that it distinguishes between the two cognitive activities that are central to all problem solving:

- Free conjecture (having ideas).
- Rigorous criticism (testing these ideas).

By separating these activities and focusing on the conjectural aspect of problem solving – uninhibited by the threat of criticism –brainstorming is meant to release the embedded creativity of the group.

Organise an Effective Brainstorming Session

Successful brainstorming encourages a group of people, led by a facilitator, to voice all of their ideas on a specific topic in an atmosphere of constructive suggestion. The group then explores and prioritises the ideas that have been put forward and usually creates new solutions using elements from several suggestions.

Open, honest communication, is the key to successful brainstorming. To achieve this, the facilitator should start by creating a comfortable environment and setting appropriate expectations.

The Step-by-Step Brainstorming Process

1. Gather a group of people to address the problem.

2. Establish the ground rules for the session. Four basic rules:

   - Suspend judgement; refrain from judging the ideas while they are being shared.
   - Record all ideas; transcribe every suggestion exactly as it is expressed, however half baked or far-fetched it may seem at first.
   - Encourage piggy-backing; let each idea spark further ideas and build on the creativity of others.
   - Think outside the box; encourage and pursue seemingly conflicting lines of thought.

3. Set up a system to capture the ideas (chalk board, white board, computer software etc.)

4. Designate one member of the group to record each idea that is put forward.

5. State the problem requiring a solution in the form of a clear question.

6. Encourage every member of the group to 'storm the problem' by contributing as wide a range of potential solutions as possible.

7. Withhold criticism or challenges to any of the ides put forward, however impractical or irrelevant they may appear to be at first.

8. Review and amend suggestions only when the flow of ideas has dried up.

Tips for Successful Facilitation

- Clearly communicate the goal of the brainstorming session well in advance. This gives people time to prepare their thoughts and ideas.
- Invite all the people who could make a valuable contribution to the discussion.
- Ensure that the participants are relaxed, comfortable and focused – only then will they make their best contributions and generate ideas.
- Discuss the ground rules and then positively but firmly ensure that they are followed.
- Set the tone with a positive, energetic approach.
- After ideas have emerged, look for the patterns and links between them.
- Be prepared to prompt the discussion and draw people back to the key issues if the participants get too far off the track.
- Agree to the action items resulting from the brainstorming session; what will be done, who will do it and by when.
- Conclude the session so that everyone leaves with a clear understanding of what has been achieved.
- Consider whether other people need to be informed of the decisions and action items arising from the brainstorm.

Five Potential Problems

Research has suggested that five problems may explain why groups can sometimes fail to outperform individuals in generating ideas or solutions to a problem:

1. Social loafing: Approaching the problem as a group can provide an excuse for individual member to opt out and take it easy. This outweighs the opposite effect of 'social energising' which sees personal creativity boosted by the presence of others.
2. Loss of Face: The fear of being judged or made to feel foolish can inhibit individuals during an idea generating session, even though criticism isn't allowed during this phase.
3. Production blocking: Individuals may feel the need to wait for other to express their ideas, by which time they may have forgotten their own ideas or lost confidence in them. This counters the view that creativity is contagious and that ideas spark further ideas.
4. Anchoring: The creativity of the group can be reduced to producing variations of the first theme that emerges in the session. This can prevent individuals from coming up with new ways of approaching the problem.
5. Hot-housing: The time pressure that is thought to energise the creative process can instead produce a stressed state that inhibits people from thinking freely and imaginatively.

2.15. A Picture Paints a Thousand Words?

What is it?	What does it achieve?
• An open question to encourage description of the present situation.	• A tool for getting an initial assessment of a situation. • Provides a truly blank sheet on which the client can describe the present situation.
How to use it?	**When to use it?**
• Can be used as interview questions. • Can be done as a brainstorm. • Group or individual can be asked to draw a picture entitled "where are we now? Or "What is it like now?" • Can easily be used with a group.	• Anytime when you need to get an outline overall assessment of a situation. • Useful for surfacing dissatisfaction with the present state just prior to describing the desired state with – "How do you want it to be?"

Picture – Where Are We Now?
List – Key Issues for Change (top six)

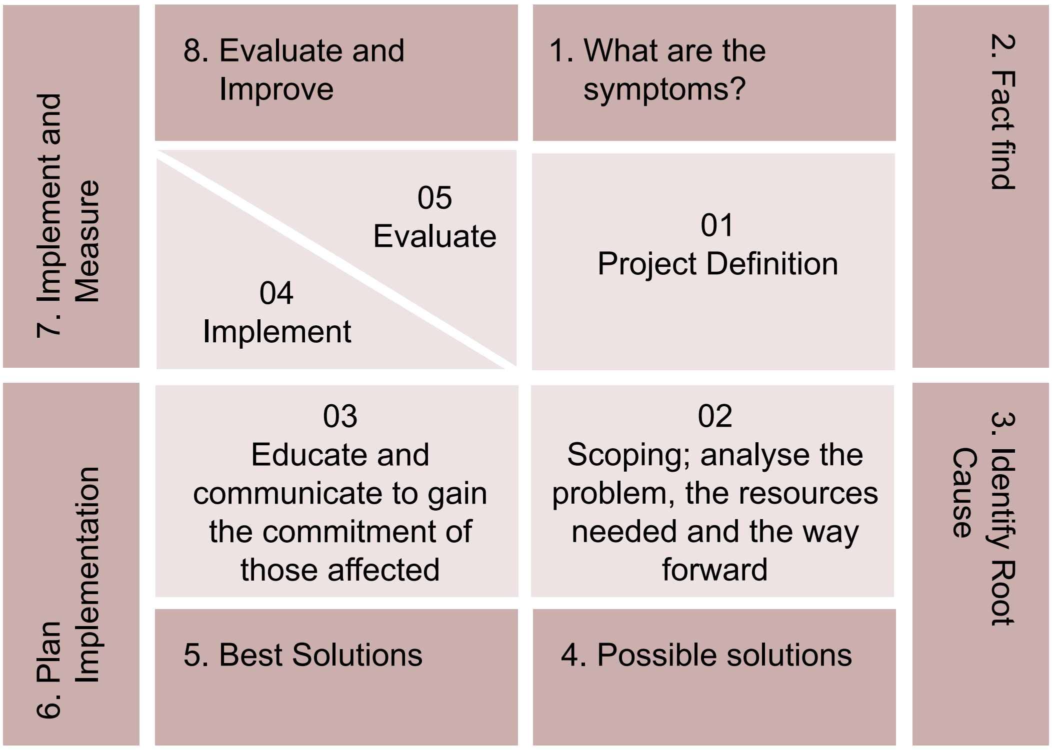
Picture – How Do We Want it to Be?
List – Key Areas for Action to Bring That Picture About (top six)

3. Project and Partnership Management Tools

Section	Contents	

3.1. The Phases of a Project

What is it?	What does it achieve?
• The main underlying steps in any project management process so that people can see where they are.	• Chunks the project into phases after which stop valves can be closed. • A reminder that projects are not finished at phase 2. • Guides when and how to involve those affected by the project.
How to use it?	**When to use it?**
• As a simple framework to remember where you are with the implementation of a project. • A reminder of how the phases of a project relate to the Logical Problem Solving Process.	• For all projects whatever the methodology; Prince I/II, Microsoft Project, Super Project etc.



A project is ……….

"any job or task that can be given a start and finish time inbetween which something is changed or improved."

Therefore, any job can be turned into a project.

In working through the plans for yourself and your team there will be some action areas due to their importance, size or complexity that will benefit from a project team approach.

Others may be better handled by an individual but still remain a project. The process of implementing change however, remains the same for both. The notes that follow describe the core steps that need to be taken to achieve success.

Phase 1 – Project Definition

- What problem are you trying to solve?

- What outcomes are you trying to achieve?

Phase 2 – Scoping, analyse the problem, the resources needed and the way forward

- What time scale is involved? Who can be involved?

- What information can be gathered about the problem?

- What are the root causes of the problem?

- What are all the options for solving the problem? What are the likely technical, cultural and political work streams?

- What resources are you likely to need? What contingencies?

Phase 3 – Educate, Involve and train those affected

- Communicate your plans to all affected by your project.

- Listen to their responses.

- Modify and add detail to your implementation plan from what they say. Choose the best solutions.

- Make sure people have all the knowledge, written materials, training and skills they will need for them to be successful with the implementation plan.

Phase 4 – Implementation

- Help all those affected and involved do what they need to do in order for the plan to be implemented successfully.

- Be sure to listen to what people are saying and check the expected results are being delivered. Your plan may be incomplete; change and add as necessary; call in contingencies.

- Check that it is done

Phase 5 – Evaluate and ensure the gains are held

- Has the implementation delivered the outcomes and improvements required? What more might need to be done to consolidate this?

- What more can be done to improve it further and mainstream it?

- Ensure that the achievement of all involved is recognised in a demonstrable way, linked to their successes. Celebrate achievement.

Project review and post mortem – What lessons can be learned for next time?

3.2. Project Definition Sheet

What is it?	What does it achieve?
• A summary of the main elements of a proposed project.	• Clarity about what problem is being addressed, the desired outcomes, the timescales and who needs to be involved at the start.
How to use it?	**When to use it?**
• Just fill in the details as listed. • Get sign off with the person you report to or the owner of the project.	• At the very start of a project. • As a simple project initiation sheet to clarify your ideas.

Title of the project ....

1. What problem are you trying to solve?

Try to agree a crisp clear statement of the actual problem you are trying to solve and its root causes (as distinct from its symptoms).

•
•
•
•
•

2. What are the main objectives (outcomes) you are trying to achieve?

•
•
•
•
•

3. What are the main risks associated with this project?

Technical	Cultural	Political

4. What are the main milestones for achievement

Try to specify the steps that will need to be taken in order for the outcomes you have described to be achieved and indicate the week or month by which each step of the improvement project process will be completed.

Milestone/Phase	Target Completion Date
Phase 1: Define the problem	
Phase 2: Analyse the problem and plan the way forward	
Phase 3: Educate and train those affected	
Phase 4: Implementation	
Phase 5: Evaluate against objectives and ensure gains are held	

5. Who will be involved?

Team Leader ....

Team Members

....

....

....

....

....

Facilitator ....

NB. Teams of more than eight people do not often work effectively. The best teams have a membership that includes those who actually can do the work rather than a hierarchy/senior person rationale.

Action Proposal Agreed .... **Date** ....

Signed off by the person you report to. For cross departmental or inter-organisational projects–signed off by Director or involved Stakeholders.

3.3. Gaining Commitment

What is it?	What does it achieve?
• A seven step process to help you gain the commitment of another.	• Help. • The ability to dovetail your goals with those of others. • An agreed plan of action.
How to use it?	**When to use it?**
• The steps can be used face to face, on the phone or in writing. • You can also use them to demonstrate your commitment to another person's project.	• On occasions when you wish to gain the support of another to what you are doing.

The seven step process below can be used to help you gain other people's commitment and co-operation. It seems to work equally well when used as the basis for conversations, presentations, letters and telephone calls.

Golden Rules

1. Show that you value the other person and their contribution.
2. Listen and demonstrate your understanding.
3. Ask for the other person's help.
4. Be prepared to offer support and suggestions

3.4. Working in Partnership

What is it?	What does it achieve?
• A four part framework for structuring and evaluating a partnership. • A value base through which to establish partnership.	• More likelihood of successful results bearing partnership activity.
How to use it?	**When to use it?**
• Structure the partnership and its activities as suggested. • Use the partnership readiness questionnaire.	• When individuals, groups, teams or organisations wish to work in partnership in an effective and reasonably formalised way.

This framework looks at successful partnerships as having four parts:

1. Assessing and planning your partnership.
2. Designing and structuring your partnership.
3. Managing and administering the partnership.
4. Evaluating and strengthening the partnership.

1. Assessing and Planning your Partnership

All successful partnerships require leadership at the beginning to set them off on the right foot. A good place to start is to assess your own skills. The most important of these are your interpersonal and communication skills.

The components of this part of the toolbox provide a useful list against which to do an initial self check.

Once you have addressed your own development needs the next priority is to be clear about the fundamental or highest purpose of your partnership. Then to identify your partners and gain their commitment to working with you to:

- Identify your respective outcomes and finding a way to dovetail them that provides an appropriate win-win scenario.
- Agree and articulate a vision of what you want things to be like once the work of the partnership is done.

2. Designing and Structuring your Partnership

Once you have completed the assessment and planning for your partnership, the next key step is to think about it design and structure.

Throughout this you will need to be skilful and effective in your communication.

What will need to be agreed between the partners to enable it to be successful:

- A statement of common values?
- Ground rules for partnership working?
- Joint operating procedures?
- Joint appointments?
- Joint training?
- Information sharing?
- Joint budgets?

What are the key areas for action needed to address the fundamental purpose and bring the vision of the partnership about?

How will the partnership be led? Who will lead it? Who else will need to be involved?

What about the structure of your partnership?

- Will it need a steering group?
- Membership?
- Will a network need to be built?
- What objectives will need to be achieved by each part of the network?
- How ill the parts communicate?

What resources will be needed to enable your partnership to be successful?

- Accommodation?
- Facilities?
- Equipment?
- People?
- Money?
- Who will provide these things?

What is the current state of the partnership?

- Skills?
- Communication?
- Joint Planning?
- Joint Action?
- Leader(s)?
- Co-ordinator(s)?
- Facilitator(s)?
- Group(s)?

3. Managing and Administering the Partnership

When starting a new partnership (or when reinvigorating an old one) you will always need to commence with some kind of initial or inaugural meeting or workshop.

To do this you will need to be clear in your identification of the stakeholders and think carefully about who need to attend.

The purpose of the initial meeting is to build the foundation for the networks and relationships that will need to exist for the partnership to be successful.

Underpinning this will need to be a strong emphasis on understanding the value of diversity, respecting the roles of others and accepting they may have different pressures and priorities to respond to and being clear from the outset about the different roles people will need to perform to deliver the successes required.

Most partnerships really benefit from being trained together at the start. This helps establish rapport, build common understanding, common language, builds shared skills and allows understanding of roles, responsibilities, objectives and the plans for their delivery.

There are a number of core skill areas for partnership working which are very usefully included in start up training in the initial workshop(s)/meeting(s):

- Effective Listening and Feedback.
- Brainstorming.
- Facilitation.
- Interest Based Problem Solving.
- Group Dynamics.
- Consensus Decision Making.
- Effective Meetings.
- Team Building.

It is also very helpful for partnerships to think about engaging a facilitator to help them. This person, a skilled and experienced third party without vested interest in anybody’s outcomes or positions, can significantly help a group deliver its results and objectives.

4. Evaluating and Strengthening the Partnership

Evaluating and measuring the effectiveness of a partnership as it moves forward is crucial to its success and delivery of the results required. The following questions are important to address at regular intervals:

- What was our original purpose?
- How well have we addressed it?
- What were our original outcomes?
- How many have we delivered?
- Who are our customers?
- How satisfied are they?
- What more could we do?
- What about our people results?
- How well have we worked together?

- What went well?
- How effective are we?
- What could be improved?
- How do we do this?
- What was our original plan?
- How much has been delivered?
- Have we recognised and thanked those involved?
- Are we still on track?
- Does the plan need to be amended?
- What still needs to be done?
- Who specifically needs to do what specifically by when specifically?
- How do they need to do it?
- What was our original vision?
- What are the widest benefits that are coming from its achievement:
  - For us?
  - For the organisation?
  - For others?
- What outcomes and measurable changes were originally required?
- What measurable outcomes have we actually delivered?

Values to Support Partnership Working

One of the keys to success outlined in 'Making the Connections' and the 'Beecham Report' is the ability to work in partnership. For some organisations this will be familiar territory, for many extensive collaboration and truly joint working will be a new feature. Often the mot difficulties are experienced when establishing joint working groups. Outlined below are two sets of values or guiding principles you might like to suggest as jointly adopted principles to help people work together effectively in partnership situations:

A. Common Purpose Conventions

- **Commitment:**
  - To attend.
  - Read briefings.
  - Arrive on time and participate wholeheartedly.
  - Inform their offices they are not to be disturbed.
- **Determination, Tolerance and Sensitivity:**
  - Rigorous and challenging questioning, tempered by respect.
  - Demanding and persistent, rather than attacking, crushing or dismissive.
  - Tolerant of diverse points of view:
    - Avoid giving offence; ready to apologise.
    - Avoid taking offence; stay open to discussion.
- **Group Support:**
  - Sensitive to colleagues' need for support when challenging or being challenged.
  - Group ensures no-one becomes isolated in expressing their view.

- **Confidentiality:**
  - Candid, not secret.
  - No gossip, or gossip is shared and aired.
- **Making the Most of Time:**
  - Support the Chair, Officers and colleagues in making best use of time to maximise scope and variety of viewpoints heard.
  - Time is well used and individual points are relevant and short.

B. The I Factors of good Partnership Working

- Importance.
- Investment.
- Interdependence.
- Individual Excellence.
- Integration.
- Information.
- Institutionalisation (or 'Inbedded' *sic*).
- Integrity.

Rosabeth Moss Kanter (Harvard) 1994

The alliance must be seen as important to the participants, linked to their strategic objectives and long-term goals.

The alliance must be viewed as an investment, requiring time and resources. Benefits and costs should be seen as reasonably equitable over the long run.

The alliance must be based on mutual interdependence, recognising that the members can achieve together what none could achieve alone.

Each member must display individual excellence and bring value to the collective.

Open, frequent and candid exchange of information is central to effective collaboration.

The alliance must be institutionalised, permeating the infrastructure of the participating organisations.

Interaction among the members must be characterised by integrity and by relationships based on trust, commitment, honesty and good faith enterprise.

Readiness for Partnership Self Assessment

The following questionnaire can be used either as a self assessment tool that you can fill in for yourself periodically or, if you wish, you could ask colleagues involved in partnership with you to provide feedback to check the validity and accuracy of your self perception.

Your Name ……………………………   Date Completed ……………………........

Key:	1	=	never			
	2	=	almost never	5	=	nearly always
	3	=	sometimes	6	=	always
	4	=	usually	U	=	unable to comment

Assessing and Planning your Partnership

Assess own interpersonal and partnership skills	1	2	3	4	5	6	U
Plans to strengthen key personal skills	1	2	3	4	5	6	U
Clarifies the fundamental purpose of the partnership	1	2	3	4	5	6	U
Is clear about own outcomes and interests	1	2	3	4	5	6	U
Clearly describes partners' outcomes and interests	1	2	3	4	5	6	U
Agrees and articulates a compelling vision of what it will be like once the work of the partnership is done	1	2	3	4	5	6	U

Designing and Structuring Your Partnership

Communicates skilfully and effectively	1	2	3	4	5	6	U
Agrees statements of common values with partners	1	2	3	4	5	6	U
Agrees and abides by a set of partnership ground rules	1	2	3	4	5	6	U
Establishes joint operating procedures	1	2	3	4	5	6	U
Seeks joint appointments where effective	1	2	3	4	5	6	U
Arranges and participates in joint training	1	2	3	4	5	6	U
Agrees information sharing protocols	1	2	3	4	5	6	U
Agrees what resources will be needed for success	1	2	3	4	5	6	U
Agrees joint budgets for joint work	1	2	3	4	5	6	U
Agrees the key areas of action to deliver the joint vision	1	2	3	4	5	6	U
Agrees how the partnership will be led	1	2	3	4	5	6	U
Agrees the structure of the partnership	1	2	3	4	5	6	U
Agrees the membership of partnership bodies	1	2	3	4	5	6	U
Agrees what objectives will be deliver by each part	1	2	3	4	5	6	U

Managing and Administering the Partnership

Identifies stakeholders	1	2	3	4	5	6	U
Responds to their communication needs	1	2	3	4	5	6	U
Builds the networks for the partnership to be successful	1	2	3	4	5	6	U
Sees diversity and difference as a strength and uses it well	1	2	3	4	5	6	U
Respects others' different roles, pressures and priorities	1	2	3	4	5	6	U
Establishes rapport	1	2	3	4	5	6	U
Builds common understanding and common language	1	2	3	4	5	6	U
Builds shared skills	1	2	3	4	5	6	U
Clarifies roles and responsibilities	1	2	3	4	5	6	U
Establishes clear objectives and plans for their delivery	1	2	3	4	5	6	U
Listens effectively and provides feedback	1	2	3	4	5	6	U
Brainstorms creatively	1	2	3	4	5	6	U
Engages a facilitator to assist when appropriate	1	2	3	4	5	6	U
Employs interest based problem solving	1	2	3	4	5	6	U
Manages group dynamics	1	2	3	4	5	6	U
Strives for consensus decisions	1	2	3	4	5	6	U
Runs effective meetings	1	2	3	4	5	6	U
Builds the partnership team	1	2	3	4	5	6	U

Evaluating and Strengthening the Partnership

Remembers the original fundamental purpose	1	2	3	4	5	6	U
Reviews how well it is being addressed	1	2	3	4	5	6	U
Restates the original outcomes required	1	2	3	4	5	6	U
Knows how many have been delivered	1	2	3	4	5	6	U
Knows who the customers are	1	2	3	4	5	6	U
Measures their satisfaction levels	1	2	3	4	5	6	U
Knows what more could be done	1	2	3	4	5	6	U
Measures people results	1	2	3	4	5	6	U
Evaluates how well you have and are working together	1	2	3	4	5	6	U

Describes what could be improved	1	2	3	4	5	6	U
Knows the detail of the delivery plan	1	2	3	4	5	6	U
Knows how much has been and will be delivered	1	2	3	4	5	6	U
Amends the plan when needed	1	2	3	4	5	6	U
Knows what still needs to be done	1	2	3	4	5	6	U
Specifies who will do what by when to deliver it	1	2	3	4	5	6	U
Knows how it is to be delivered	1	2	3	4	5	6	U
Knows how many have been delivered	1	2	3	4	5	6	U
Is a custodian for the original vision	1	2	3	4	5	6	U
Pursues the widest benefits possible from its realisation	1	2	3	4	5	6	U
Measures carefully to evidence the outcomes delivered	1	2	3	4	5	6	U
Identifies the problem and describes the situation	1	2	3	4	5	6	U
Defines interests, concerns and needs of all parties	1	2	3	4	5	6	U
Lists options from all parties that are potential solutions	1	2	3	4	5	6	U
Develops standards through consensus to evaluate options	1	2	3	4	5	6	U
Evaluates options against the standards	1	2	3	4	5	6	U
Agrees through consensus the best combination of options	1	2	3	4	5	6	U

Additional Comments:

What do you think your partnership colleagues most value about the way you behave?

What aspects of your behaviour do you think your partnership colleagues would most like you to change?

4. Team Development Tools

4.1. Team Development Guide

What is it?	What does it achieve?
• An overview of the essential building blocks needed for a team to function effectively.	• Helps a team work up its: • Purpose. • Vision. • Values. • Key areas to action. • Action plans. • Objectives for individuals.
How to use it?	**When to use it?**
• As a guide to the work that you need to check is completed or that needs to be done in every tem you have contact with; • Can be used as a handout to guide a team or team leader.	• With all teams.

Laying out clearly what is expected and required of people is absolutely key to good performance. One of the shocking facts about goal setting is that only 3% of people have clear life and career goals which they are actively pursuing. This is surprising because that 3% are more fulfilled, more successful, more motivated, usually have a higher income and seem to enjoy better health.

What is even more shocking is that the same percentage holds true for organisations, departments and teams. Very few have clearly articulated and communicated goals and objectives. The simple fact is that if people don't know where they are going, they will end up somewhere else!

When entering an organisation, there are three evidence based test questions that can be asked of any individual to provide a quick guide to how effective the organisation, the individual manager's and the internal communication process are:

1. How does what you do contribute to the wider goals of the organisation?

2. How does what you do fit with what other people are doing to achieve the wider goals of the organisation?

3. For managers and leaders only: How does what you do help people at the sharp end do their job better?

If members of front line staff in most organisations are asked question 1, the most common response is "what wider goals?" Most people want to do a good job and try their best to deliver one. However, in most organisations, teams and departments, the wider goals have neither been articulated nor communicated to staff. So, in the absence of this information most people are doing what they think is required. Their activity may, or may not, be properly prioritised or aligned with the organisation's most pressing deliverables.

Question 2 requires an even greater degree of understanding. Not only does the member of staff need to know what the wider goals are and understand how what they do contributes to their achievement, they also need to know what other people are doing and how the whole thing fits together. This requires a greater degree of competence as well as developed lateral communication mechanisms.

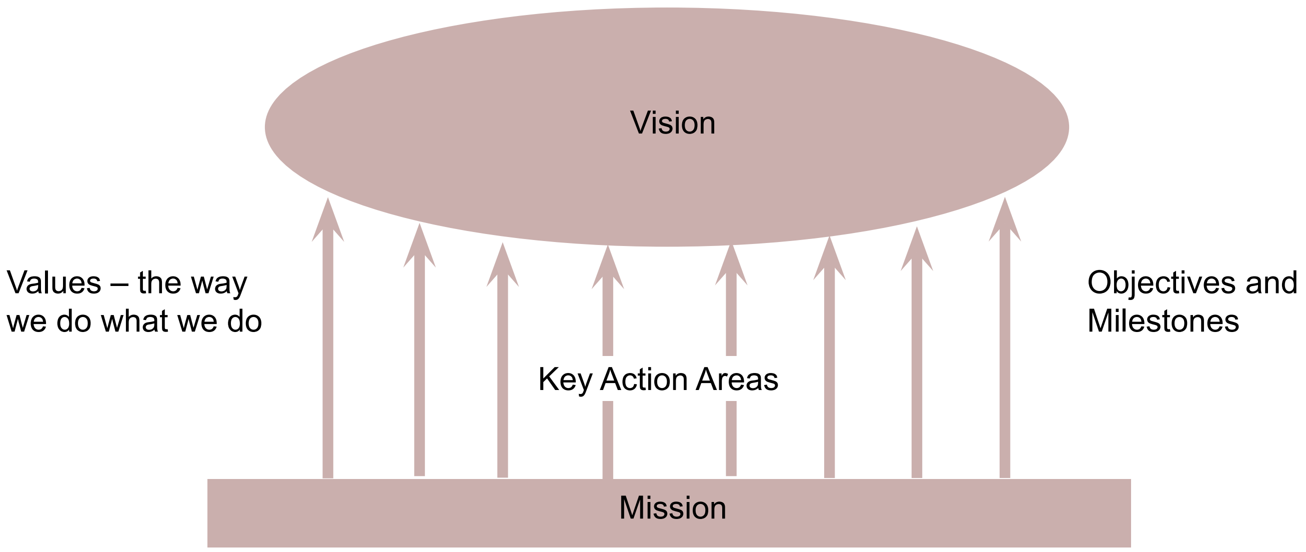
Question 3 is for managers and all who are in a leadership role. This requires, firstly, clarity that the reason they are in a leadership role is so that they can enable others to deliver the wider goals of the organisation. Secondly, clarity that the leader and manager's job, whatever level they work at in the organisation, is to help people at the sharp end do their job as well as possible. Many people in leadership and management roles gain great benefit from using these simple questions to refocus their activities.

The purpose of this section of the guide, is to provide you with a description of the different levels of goal setting that are necessary for the success of any organisation, directorate, department, team or even an individual.

One of the simplest ways to remember the components of an effective goals and objective setting process is captured by the five phrases:

- Mission.
- Values.
- Vision.
- Key areas for action to bring the vision about.
- Objectives.

The diagram below describes the interrelationship of these components:



To avoid confusion and to establish a common language, before going any further it is worth providing some definition of terms:

Mission; is the fundamental purpose of the organisation. Ideally stated in 15 words or less which a member of the public could understand. It says clearly that the organisation exists for this, not that or the other, but this.

Values; are what we feel are important. Values and beliefs are what we use to guide our behaviour. A collection of values is called culture. Culture is the way we do things around here. Our values statement is what we use to guide the way we do things in our organisation.

Vision; is the picture of how the work of the organisation and the organisation itself will be when it is done. A lucid description of what people will see, hear and feel when the organisation is in the state desired at some defined point in the future.

Key areas for action to bring the vision about; are the key areas of action that need to be addressed in order to bring the vision about.

Policy; statements of what is to be done, the way to do things, a decision that has been made or a standard that the organisation requires.

Strategy; how the vision will be achieved. What will be achieved by when. The overall plan.

Objectives and sub objectives; how specifically will component parts of the strategy be delivered. Who specifically will do what specifically and by when specifically.

Milestones; specific dates by which specific achievements and results will be delivered.

The next section of the Guide is designed to provide you with tools and strategies for the achievement of the main components required and are split into five parts.

1. Purpose
2. Values
3. Vision
4. The Key Areas for Action to Bring the Vision About
5. Objectives

Purpose

One of the most helpful things that Leaders can do is to agree and articulate a statement of the fundamental or highest purpose for the organisation, department, team or individual. Ideally, the statement should be simple and clearly worded, so that an uninformed member of the public could understand it.

The importance of a mission or purpose statement is that it communicates to staff in a few words, what ultimately they are there for and trying to achieve. For other stakeholders, it communicates what the organisation is working to achieve.

Sometimes called the elevator speech because it is what a person would say if they got into a lift with a member of the public to go up one floor and were asked “What does your organisation do?”

The response would be:

“The purpose of our organisation (department or team) is to ……………….. followed by in not more than 10 to15 words, which an ordinary, uninformed member of the public would understand.

For example; in NHS Wales, the overarching purpose of health service organisations is provided in the publication ‘Improving Health in Wales – A Plan for the NHS and It’s Partners’, which describes the core purpose as:

- To improve the health of the population.
- To improve the quality and availability of services.
- To reduce health inequalities.

Organisations in NHS Wales will therefore have mission or purpose statements that are variations on this theme.

The importance of repeatedly stating and restating why an organisation exists cannot be understated. It reminds everybody why they are there.

It is therefore important that Leaders think really carefully about the words they choose to describe their mission or ultimate purpose so that:

- It aligns properly with the wider NHS and Welsh Government’s goals.
- The organisation can then use it wherever they can on their stationery and key publications and as a reminder at key events to communicate and direct people’s attention to what is really important.

Values

What are values?

Values are what people feel is important. Values guide people's behaviour. A collection of values is called culture. Culture is the way we do things around here.

If the values of an organisation are not made explicit then people use their own inner values, of which they are mostly unaware, to guide their behaviour and responses to the external events and the people they encounter. This can result in a highly variable approach and style within the organisation that can be very confusing for the people who work in the organisation, their partners and the people the organisation serves.

Values led organisations help provide more guidance as to the way things are done, the style of the organisation. Values led organisations help provide more certainty and more consistency.

Examples of Priority Values and their Relevance

In an accountant's office you might expect people to feel that accuracy, attention to detail, understanding the customer, compliance, being businesslike and communication are all important. Whether made explicit or not, these are likely to be some of the values that guide behaviour of staff and expectations of customers. In a children's nursery you would expect to see very different values at play, perhaps compassion, safety, creativity, learning, guidance. Again, you would expect to see values like these guiding the behaviour of staff. However, if they are not made explicit, what is to stop somebody also adopting strictness as a value, thinking they were doing right but in fact creating an inappropriate and harsh environment?

Establishing clear values to guide the way an organisation does things is an important job of the Leaders. Many Leaders find it helpful to agree a list of four to six priority values and describe the sorts of behavioural evidence they would expect to see when they were being lived.
A simple table can be used:

Priority Values	Evidence you would expect to see when they are being lived

Often organisations post their values up in meeting rooms, allowing people to evaluate the way they have worked and the decisions they have made against them.

Vision

The best leaders' vision is so broad that nobody can disagree with it, yet it is specific enough for people to know where they are going and when they have arrived. A good vision provides a pen picture of what it will be like when people arrive at the destination.

Another name for creating a vision is outcome building. There is a distinct five-part process to help an individual or group surface and articulate their outcome:

1. Be Positive: State what is wanted rather than what is not wanted. It is surprising how many people have the habit of saying what they don't want, rather than what they do want.
2. Be specific: Spell out clearly what is required. Describe the actions that need to be delivered to bring about the desired state.
3. State what people will see, hear and feel when the desired state of affairs is achieved.
4. Dovetail your outcome(s) with the outcome(s) of those around you to achieve win-win wherever possible. Dovetail your short term and long term objectives and goals, make sure they make sense and are congruent with one another.
5. Check ecology: If the outcome could be delivered tomorrow would that be right? If not, why not? If it is right, can the present be redefined in terms of the future now?

We know that there are three conditions for effective visioning:

1. That the group of people doing the visioning are in a state of emotional and mental rapport to ensure effective communication.
2. They project themselves into the future as though they have already achieved the desired state and describe the state of affairs that has been achieved and the way they got there in either past or present (rather than future) tense.
3. They provide a lucid description of what people will see, hear and feel once the outcome(s) has been achieved and it is communicated to all involved in its delivery.

The Key Areas for Action to bring the Vision About

As part of the process to lucidly articulate an outcome or vision, it is important to identify the key areas for action required to bring the vision about. These areas for action are often called 'the key areas for action to bring the vision about' and are best expressed as a simple list of action areas.

Vision in Action is the next stage of thinking. Vision in Action takes each Key Area for action to bring the vision about and thinks it through in more detail. The framework below is one that many people find helpful when completing this piece of work:

Vision in Action

Key Areas for Action to bring the vision about Action Area

What specifically?	How specifically?	By when specifically?	Who specifically?

What is it like now?	How does it want to be?	Actions and initiatives	What will be measured to know how well we are doing?	Milestone dates	Who will lead the action	Who else will be involved

Objectives

Once the initial thinking is done, very specific thought is required to think through and communicate the objectives and milestones that need to be delivered. There are three objective setting tools below and overleaf, provided to help you agree really clear and specific objectives:

- Verb, Noun, Number, Date; this describes the minimum specific content for any objective.
- SMART; this is a well-known and reliable objective setting tool that encourages good specificity. It provides a good standard.
- PACER; often used to enable a person to check they are really clear about the explicit and implicit parts of an objective/outcome statement.

An example objective using each tool is provided.

Verb, Noun, Number, Date

The key to effective objective setting is specificity. Objectives state whom specifically will do what specifically by when specifically. Good evidence based objectives always have the following hallmarks:

A Verb A Noun A Number A Date (A Person Responsible)

The importance of have a verb: A common error is to have objectives comprised of nouns only. It is important to have a verb so that people know what to do. Furthermore, it is helpful if that verb is active rather than passive for example:

'discover' 'devise' 'define' 'review' 'revise'	**= x =**	**– preliminary analysis – delay – procrastination**
'reduce' 'remove/eliminate' 'meet target' 'improve' 'maintain' 'do'	**= √ =**	**– the problem is understood – action – progress**

The noun in the objective is simply the name of the thing or activity to which the verb, number and date are to be applied.

It is also vital that every objective has a number associated with it, even if that is a word – like 'all', 'everything', 'nothing'. Providing some kind of numerical quantifier is vital to people being able to measure their progress and know when they have fully done what is required. It may be necessary to provide a soft measure like customer satisfaction scores in some cases.

The last feature of an evidence based objective is the **date**. This is the agreed target completion date by which the desired outcome or objective is to be achieved.

Example

To improve access to angiograms so that all patients are seen in four months or less by March 2006.

S.M.A.R.T Outcomes

S	Short Specific Simple
M	Measurable Meaningful to you Motivates you now
A	As if now in present tense Achievable All areas in your life
R	Realistic Responsible/Ecological
T	Timed Toward what you want, Positive

Example

To have increased the number of nurses employed from UK labour market sources by at least 150 by October 2005 as the first step in meeting the Designed for Life recruitment targets of 260 nurses by March 2006.

P.A.C.E.R Well Formed Outcomes

P	Positive	What do you want Stated in Positive and present tense.
A	Achievement	How would you know that you had it? What do you see, hear, feel? How would someone else know you had it? What are the steps necessary to get there? What is the first step? What is the last step?
C	Context	When do you want it? When don't you want it? With whom? Where?
E	Ecology	The study of consequences of achieving your goal. For what purpose do you want it? Is it representative of who you are and where you want to be? Does the outcome increase choice? What will happen if you get it? What won't happen if you get it? What will happen if you don't get it? What won't happen if you don't get it?
R	Resources	Can you initiate and maintain it? What do you need to do to get your outcome? Do you know anyone who has done this or achieved this?

Checking for understanding. Once an objective has been specified using SMART it's recipient can use PACER to check they understand all the implied aspects of an objective as shown in the example below:

In March 2006 we know that we are successful because all cataract patients are seen within four months. We see all inpatient and day case treatments being delivered within this time and patients saying how satisfied they feel with the excellent service.

The steps we have taken are to redesign the patient's pathway starting with diagnostic access and finally by increasing day case facilities and operating sites. We use day case whenever it is the most effective, we don't use it when it is not safe for the patients. We apply this ground rule for all patients in all locations. We do this to give everybody much better, faster access to service as we head towards becoming world class.

This achievement increases choice for patients, who can choose not only when but where they receive their treatment and it removes the delays and unnecessary inconveniences arising from a more centralised service. If we didn't have these arrangement waiting times would again become unacceptable and people could only come for treatment at a site where it was very difficult to park and people wouldn't feel more satisfied without the improvements in service quality it brings.

We initiated and maintained this by involving patients and clinicians in looking at all the available service related facts and data and choosing the best service option from those available and building a clear project plan for their delivery. We benchmark our achievement and compare our methods with the two top performing cataract units in the country.

4.2. Possible Team Building Workshop

What is it?	What does it achieve?
• An outline of a typical team building workshop.	• A set of common goals and understandings to enable a group of people to operate as a team.
How to use it?	**When to use it?**
• It is a facilitator's guide.	• The specific details would need to be agreed with the team leaders.

The following outlines typical process steps for a team building workshop.

Pre-workshop

- Diagnostic data gathering process.
- Diagnostic feedback meeting.

Workshop

- Purpose of workshop.
- Workshop process outline.
- Ground rules for the day.
- Round Robin Personal Introductions. Each person says something about themselves (even it is only their name and what they are doing now). Each person says what they'd like to get out of the workshop (psychological buy-in).
- Small groups draw pictures on flipchart entitled "Where are we now?"
- Present back.
- C.O.S.T. Small groups create four lists relating to the current situation:
  - Concerns;
  - Opportunities;
  - Strengths;
  - Threats.
- Feedback.
- Something to eat and drink (helps digest information).
- Leader of the group gives presentation of the wider environment for the team and offers their thoughts about the potential for the future.
- Small groups draw pictures entitled "How do we want it to be?" in say three to five years or five to ten years time.
- Small groups also prepare list of the top ten key areas for action needed to bring their vision about.
- Present back.
- Synthesize areas for action into single prioritised list (e.g. by using a sticker vote) Vision in Action – Action Planning.

- Pair or three's develop detailed action plans for each of the areas identified.
- Feedback action planning sheets – put them on wall and walk around to look at them if necessary.
- Round Robin – each person says what they will be going away to do as a result of the workshop, as an individual and as a member of the management team. One word review – what word best describes how you feel about the workshop and explain why you chose it.
- Team Leader summarises workshop output actions and next steps and thanks participants for the contribution.
- Close workshop.

Follow up workshop or meeting

Have follow up workshop/meeting in two to six weeks time to make sure people have completed the action they said they would implement.

Three Part Meeting

1. Round Robin – each person says what they have done to contribute to the wider goals s ince the last meeting – leader thanks where appropriate.
2. Situational Update – Leader (and others, if appropriate) brief team about news, what is happening in the bigger picture that affects the team and brings in relevant intelligence that helps people be informed and work more effectively.
3. Round Robin – each person ways what they and their team are going to do in the next period to contribute to the wider goals of the team/organisation.

Repeat these meetings regularly – not less than monthly

4.3. Effective Meetings

What is it?	What does it achieve?
• The essential of short interesting productive meetings.	• Shorter more effective meetings. • Better results. • An expectation of performance.
How to use it?	**When to use it?**
• Adopt the ground rules. • Practice chairing effectively. • Do Pre and post meeting tasks.	• As a framework and ground rules for all meeting where possible.

Effective Meetings

One of the biggest problems we all struggle with is the number of meetings we are called upon to attend. It is vital therefore that we use the time they consume as wisely as possible. The following are ground rules for making meetings effective. Use them whenever you can.

Before You Start

Ask yourself is a meeting really necessary? Often groups of people go on meeting year after year even though the original reason for meeting no longer exists. What meetings can you stop going to?

What do you personally want to get out of the meeting? Are you personally involved in at least 60% of the agenda items, if not, you are wasting your time. Are there better ways of doing what you want?

Ground Rules for Effective Meetings
1. Make sure everyone know at the start of the meeting what you want to have achieved by the end of the meeting.
2. Share responsibility for achieving the meeting objectives.
3. Listen to others.
4. Only one person to speak at a time.
5. Minimise paper, maximise face to face presentation. A lot can't all be read and retained, why produce it. It doesn't say how hard you work; it says how much paper you produce.
6. Make sure that there is a clearly stated outcome for every agenda item – use active words for these e.g. to decide – to identify – to approve – to agree action – to thank; avoid passives like, review – discuss – devise. Why are you doing this? Find the active reason.

Ground Rules for Effective Meetings
7. Keep to time. If you can't finish the agenda make decisions at least half an hour before the end about when, where, how and with whom, the unfinished business will be addressed. Allowing a meeting to run on late is a discourtesy to those attending.
8. Ensure that each agenda item has an owner and an amount of time allocated to it.
9. If the meeting becomes unproductive for you, say so at the time, later is often too late. The world is full of people who went to bad meetings.
10. Ensure that actions are clear – what specifically – who specifically – by when specifically.
11. Review the achievements and process at the end of each meeting. Were the objectives achieved? Was the agenda completed? How effective a group were we? How could we improve?
12. Remember, effective meetings do not last longer than 2 hours. Any longer, and people become less and less effective.

Check List for the Leader/Chairperson

- Document the meeting appropriately. Mostly a not of the key decisions, actions, recognitions and key messages will do.
- Record clear actions
  - Who is responsible?
  - How will it be completed?
  - By when will it be completed?
  - Who else needs to be involved or consulted?
- Circulate the minutes within five working days.
- Follow up all assigned actions to make sure they are making appropriate progress or have been completed by their target completion dates. Do this prior to the next meeting if possible, to avoid wasting time in the next meeting. Run a written list of all actions completed and outstanding – keep it up to date – circulate to meeting members to highlight progress and problems.
- Make all others who need to know about the output of the meeting are informed and that key decision makers are supporting what you are doing.

4.4. Group Decision Making

What is it?	What does it achieve?
• A description of the four main ways that groups make decisions.	• Better decisions. • Less misunderstanding. • Greater ownership.
How to use it?	**When to use it?**
• Learn the different approaches and know which one you are using. • Get the group to choose which one is best for a particular decision.	• As a framework for all decision making involving more than one person.

There are four basic methods for you to be aware of:

Unanimous Decisions: Suitable for very simple questions of 'yes' or 'no' – e.g. 'do you approve these minutes?' Be cautious, is it really unanimous or is it just compliance?

Majority Vote: To be avoided if at all possible. A quick way of getting a decision but can leave people feeling highly disenfranchised if they are voted down without enough discussion.

Consulted Decisions: Where you wish to gather other people's views so that you can decide what action to take or decision to make yourself.

Consensus Decisions: Decision making at its most skilful. Participants set aside an amount of time to make a decision. You all agree at the start of the process to go away and support the final decision, whether or not it is what you originally thought. Then, in the time available, each person is given an equal opportunity to say their piece and be heard by the rest of the group. Once everybody has spoken, the sense of what has emerged is summarised and refined to give the best result for the outcome required. If it is straightforward, everybody agrees; if it is more complex, a vote can be made on a number of summary proposals. When the best supported answer is found that becomes the decision of the group. Members then go away from the meeting and support that decision as the right one, in public and in private.

NB: Ensure that the group that you are in is clear about which method they are using at any one time.

4.5. Appreciative Inquiry

Appreciative Inquiry (AI) recognises that for meaningful and sustainable change to occur individuals need to be fully valued and engaged. Most importantly, it responds to that critical challenge that trainers often fail to address: start where people are "at".

AI can be used in a number of different ways, but the most familiar methodology is the 4D approach. Before beginning the 4D approach, an initial introduction is required to allow all those involved in the process to make sense of the model and convey its value to others.

Define – This stage brings the key players together to identify the purpose, focus and methodology of the process to ensure there is a coherent and shared plan of delivery in place.

Discovery – This stage invites participants (normally working in small groups) to identify peak experiences centred on the agreed topics. The purpose of this is to uncover the strengths of an organisation. As part of this process, individuals also explore the contributory factors that led to success. The power of this process lies in positive insight and awareness which is based on the real (and hence meaningful) experiences of participants.

Dream – This stage involves participants in an aspirational look at the future of the organisation. Discussions can be prompted by creative questions such as "Imagine the organisation has just won an award for the best partnership working in Wales, what sort of things would they be saying?" The dream stage is rooted in real experiences because it is carried out in the context of what is already occurring and had been identified at the discovery stage. Out of this exercise, participants agree on a set of "Provocative Propositions". These are a set of affirmative statements written in the current tense that stretch and challenge. This stage develops a clear idea of where the organisation wants to be in the future and then identifying the steps that will help to deliver the change.

Design – To help translate words into action, the Design stage engages participants in agreeing how their aspirations will be put into practice. This is an opportunity to involve a wider stakeholder group in the cycle of change if this has not already occurred. It is at this stage that participants work together to agree tangible responses to the "provocative propositions".

These may include some form of prioritisation when numerous actions emerge.

Example Questions that could be posed in three short "small group" sessions.

Group Session 1 – Identifying the positive and focusing attention

- What has been the high point experience of working in this Org and why?
- What's important to you about your role/organisation/service and why?
- How do you achieve satisfaction from your work?
- What values do you hold as an individual about yourself, your role, and your organisations/service?
- What is the deeper purpose that is worthy of our best effort? (the 'big' why)?
- What are the values we share that act as a platform for the way we work?
- How do we use our values in the course of our work to steer us in the right direction?
- How do we demonstrate these values to participants/citizens/users of this service?
- What are the core factors that are at the heart of your organisations/services when they are at their best?

Group Session 2 – Articulating Ambitions

- What could make the most difference to the future of our organisation?
- How might a participant/citizen/user describe the future?
- What opportunities do we have?
- What could be the template for how we intend to work together to achieve future success?
- As a community (our Org and stakeholders) how will we work together to maximise our efforts?
- How can we build and manage relationships between ourselves to deliver a success story?
- How will we communicate to achieve the most from our relationships with one another?
- What are our existing restrictions?.
- If this Inspectorate was acknowledged in three years time to be the most effective in the whole of Wales, how would we be described, what is it we would have done well?
- If our success was completely guaranteed, what bold steps might we choose?
- When the going gets tough how can we remind ourselves of the way we have agreed to work?
- What is missing from this picture so far?

Group Session 3 – Co-constructing the Future

- What would it take to begin the changes you have described?
- What could happen to enable you to feel fully engaged to be part of the future?
- What needs our immediate attention going forward?
- What unique contribution can we/ our team/our organisations/service make?
- How do we protect ourselves from the attraction and distraction of thinking and acting locally (within our organisational boundaries)?
- What is it we may need to learn or acquire as a new set of skills to do any of the above?
- What conversation if begun today, could ripple out in a way that created new possibilities for our future?

5. Performance Realisation Inventories

This section contains performance realisation inventories/checklists you can use to check that the best practice processes needed for optimising team performance are in place.

This enables you to guide the development of the team in a logical way that builds on their existing achievements.

Section	Contents	

5.1. Inventory 1 – Clarity of Purpose and goals

	Not Yet	To Some Extent	Yes Completely
Have you formally agreed the fundamental purpose of your Team?	☐	☐	☐
Have you agreed the fundamental values of your Team? What evidence will you need to see to know they are being delivered?	☐	☐	☐
Have you agreed a written long term vision for your Team, set in context of the wider goals of the larger Directorate?	☐	☐	☐
Have you identified the key areas of action needed to bring that vision about?	☐	☐	☐
Have you got detailed action plans describing how each of those areas will be delivered?	☐	☐	☐
Do you know your Team's short and medium term priorities? How do these reflect the priorities of your own team and those of the larger Directorate?	☐	☐	☐
Have you got written personal objectives linked to your Team's vision, priorities and values, agreed with the person you report to?	☐	☐	☐
Do you regularly measure the extent to which you have delivered these objectives and evaluate your progress more generally?	☐	☐	☐
Do you know who else needs to take action inside and outside your Team in support of the delivery of your objectives and have you agreed objectives with each of them?	☐	☐	☐
Do you record and regularly track, measure and evaluate the progress and performance of those with whom you have agreed action, in support of the delivery of your objectives?	☐	☐	☐
Do you have a clear process to follow when a person does or does not deliver to the performance level, standard or the time agreed?	☐	☐	☐
Do you know the exact total financial resources available to your Team this year?	☐	☐	☐
Do you know your exact expenditure to date?	☐	☐	☐
Have you got clear agreed key priorities linked to your Team's longer term vision and goals for delivery this year?	☐	☐	☐
Do you enable people to identify and redesign their core process to create service excellence and optimise performance?	☐	☐	☐

Do you enable people to acquire the individual and group skills for successful relationships and partnerships?	☐	☐	☐
Do you ensure that responsibility for success with money and resources is delegated to all who lead and manage in your organisation?	☐	☐	☐
Do you ensure that all leaders have skills to produce workforce plans and use evidenced appointment/promotion methods?	☐	☐	☐
Do you ensure that all leaders identify and implement the most important change/improvement projects in their work area?	☐	☐	☐
Do you ensure that leaders manage information well, use logical problem solving, creativity and thinking tools to be effective?	☐	☐	☐
Do you help and encourage leaders contribute beyond their role?	☐	☐	☐

5.2. Inventory 2 – Performance Management

	Not Yet	To Some Extent	Yes Completely
Self			
Do you assess your own performance and competence?	☐	☐	☐
Do you understand how you are viewed from above, below and alongside you in the Directorate/Department?	☐	☐	☐
Have you agreed work objectives for this year?	☐	☐	☐
Have you got current and self and performance improvement targets?	☐	☐	☐
Do you have longer term life and career goals?	☐	☐	☐
Do you have a plan for achieving both your work and life goals?	☐	☐	☐
Can you describe your core values and how they determine what you do and how you work?	☐	☐	☐
Team			
Do you measure and assess the performance and competence of your Team?	☐	☐	☐
Do you have a clear basis for improving performance and creating an open culture in your Team?	☐	☐	☐
Do you have performance objectives for your Team in the short, medium and long term?	☐	☐	☐
Do you have a current development programme for your Team? Do you have clear next steps?	☐	☐	☐
Do you have methods you use to help your people work together more effectively?	☐	☐	☐
Do you undertake regular communication activities to ensure your Team communicates internally and is aware of relevant external issue?	☐	☐	☐
Individual			
Do you use a framework to set clear and unambiguous personal objectives for each individual in your Team?	☐	☐	☐
Do your direct reports have current personal objectives that link to your objectives and to those of the wider Team/Directorate/Department?	☐	☐	☐

Do you ensure individuals frequently assess and measure their level of contribution, performance and competence?	☐	☐	☐
Do you deal effectively with good performance and correct poor performance?	☐	☐	☐
Do you ensure each person has an up to date personal performance, development and life/career plan in place?	☐	☐	☐

5.3. Inventory 3 – Managing Relationships for Success

	Not Yet	To Some Extent	Yes Completely
Do you know what other people think you are really like to work with?	☐	☐	☐
Do you review your team meeting effectiveness and design and implement changes to maximise their performance?	☐	☐	☐
Do you know what makes meetings short and effective and do you know how to shape the behaviours of others to get what is needed?	☐	☐	☐
Do you create an expectation of performance in others by asking the right questions?	☐	☐	☐
Do you take time to get around and talk with people?	☐	☐	☐
Do you identify your key relationships and manage them so that you get what you need to be successful?	☐	☐	☐
Do you practice and hone active listening as a key relationship skill?	☐	☐	☐
Do you operate performance management and code of conduct procedures in a fair and effective way?	☐	☐	☐
Do you manage the process as well as the content of your meetings to increase their effectiveness?	☐	☐	☐
Do you get feedback on your strengths as a presenter so that you build your skills and confidence in communicating to groups?	☐	☐	☐
Do you understand your preferred conflict handling strategies?	☐	☐	☐
Do you know how to reach effective decisions in groups, even when everybody wants different things?	☐	☐	☐
Do you know your dominant influencing strategy and understand how to enhance it?	☐	☐	☐
Do you use your skills as a facilitator to develop and help other people?	☐	☐	☐
Do you support staff and colleagues in maximising their personal effectiveness?	☐	☐	☐
Do you run goal oriented team meetings?	☐	☐	☐

Do you design and implement a programme of activities to gain the commitment of and motivate and develop those whose co-operation you need to be successful?	☐	☐	☐
Do you operate as an internal consultant to the organisation to deliver outside and beyond your role and enhance your success?	☐	☐	☐

5.4. Inventory 4 – Implementing Change and Improvement

	Not Yet	To Some Extent	Yes Completely
Have you selected the most important change or improvement you can make in your work area for special project status?	☐	☐	☐
Do you have a project management framework you use to implement all your change and improvement projects?	☐	☐	☐
Do you use a logical problem solving model in all your work?	☐	☐	☐
Do you know how to manage people through change effectively?	☐	☐	☐
Do you gain the support of key individuals and power groups for changes and improvements that you need to make?	☐	☐	☐
Do you understand and address the stress responses people go through when experiencing major change?	☐	☐	☐
Do you establish symbols and common language to create stability at times of change?	☐	☐	☐
Do you understand and manage your own stress responses at times of change?	☐	☐	☐
Do you surface and create dissatisfaction with the present state as a step in your change processes?	☐	☐	☐
Do you use participation to achieve excellence and control of costs when implementing change?	☐	☐	☐
Do you know how to help people deal with attachment and loss associated with change?	☐	☐	☐
Do you communicate and reinforce a clear image of the future to provide direction and coherence for changes you are implementing with others?	☐	☐	☐
Do you plan the use of multiple and consistent leverage points to ensure the success of your changes?	☐	☐	☐
Do you plan and sequence activities to manage and organise your resources for success?	☐	☐	☐
How do you know how well you are really doing when implementing change?	☐	☐	☐

5.5. Inventory 5 – Performance Coaching & Management

	Not Yet	To Some Extent	Yes Completely
Do you help your team assess their own performance and competence?	☐	☐	☐
Do you help people get feedback from you, their peers and those who report to them to get a rounded view?	☐	☐	☐
Have you always got clear SMART performance objectives established for every member of your team?	☐	☐	☐
Do you encourage your team members to reflect on their longer term career and life goals?	☐	☐	☐
Do you ensure every member of your team has a plan for achieving their life and career goals as well as their personal objectives?	☐	☐	☐
Do you help people identify their most effective learning styles?	☐	☐	☐
Do you assess the effectiveness of your team members and provide coaching in the best ways to do things?	☐	☐	☐
Have you identified your preferred leadership and coaching styles and identified the key leadership behaviours and strategies you need to improve your effectiveness?	☐	☐	☐
Do you have a range of team development models you can use?	☐	☐	☐
Do you plan and take your team through a systematic development process to improve their effectiveness and create/maintain a positive healthy open culture?	☐	☐	☐
Do you set clear SMART performance objectives for your team to achieve in the short, medium and long term?	☐	☐	☐
Do you actively facilitate or arrange facilitation to help your team improve its effectiveness?	☐	☐	☐
Do you set and track clear and unambiguous performance objectives for every member of your team?	☐	☐	☐
Do you deal effectively and assertively with poor performers?	☐	☐	☐
Do you respond creatively to high performing individuals so that they are motivated to continue to deliver well?	☐	☐	☐
Do you ensure that you and every member of your team have an active personal development plan in place, supported where appropriate with work based opportunities?	☐	☐	☐

5.6. Inventory 6 – Creating Service Excellence

	Not Yet	To Some Extent	Yes Completely
Do you have a list of your internal and external clients and customers?	☐	☐	☐
Do you know what each client/customer like/dislike about your output/services?	☐	☐	☐
Do you systematically seek and use feedback to improve the quality, effectiveness, value and service that you provide?	☐	☐	☐
Have you identified what is good, started the things clients do want, stopped the things clients don't want?	☐	☐	☐
Does each of your suppliers know what you like/dislike about their output?	☐	☐	☐
Do you systematically give feedback to improve the quality, effectiveness, value and service that your suppliers provide?	☐	☐	☐
Do you systematically agree with your suppliers what is good and secure the things you want started and stopped?	☐	☐	☐
Have you reduced supply costs and improved quality?	☐	☐	☐
Have you identified the 3 – 5 core processes that deliver what you and your team do?	☐	☐	☐
Have you mapped your core processes and decided how to improve them?	☐	☐	☐
Have you implemented ways to give better service whilst eliminating wasteful activity?	☐	☐	☐
Do you use process management to reduce costs, improve quality and free up resources for other important work?	☐	☐	☐
Do you have a one-page framework describing all your key management, team and individuals performance meetings for the year?	☐	☐	☐
Have you taken steps to reduce unnecessary work and overload on you and your team?	☐	☐	☐
Have you implemented improvement to your management systems in terms of setting objectives, contracting, personal development for staff, individual and team performance review and client focus – and made these part of your integrated management approach at no extra cost?	☐	☐	☐
Have you sorted out succession arrangements so that there is no disruption when key staff/supervisors/managers are sick, on leave – for other jobs?	☐	☐	☐
Do you have your own management master plan to enable you to take charge of the service you/your team provide?	☐	☐	☐

5.7. Inventory 7 – Thinking, Problem Solving & Creativity

	Not Yet	To Some Extent	Yes Completely
Do you and your team use a formal 6 or 8 step problem solving process to tackle important issues?	☐	☐	☐
Do you use a practical, structured and reliable system for setting up and implementing all your projects and main actions?	☐	☐	☐
Do you identify the technical, cultural and political work streams in all your major work/project activities?	☐	☐	☐
Do you use project mapping management techniques to manage main work projects?	☐	☐	☐
Are you aware of the main steps that virtually guarantee the success if included, or failure if missed, of all projects?	☐	☐	☐
Do you and your team use deliberate techniques to enhance your creativity?	☐	☐	☐
Do you and your team use cause and effect analysis?	☐	☐	☐
Do you and your team use outcome building techniques?	☐	☐	☐
Do you and your team start projects with evaluation criteria?	☐	☐	☐
Do you and your team use diagnostic techniques to understand complex situations?	☐	☐	☐
Do you and your team use effective meeting and teamwork techniques?	☐	☐	☐
Do you and your team use Force Field analysis?	☐	☐	☐
Do you and your team use the Gaining Commitment model?	☐	☐	☐
Do you and your team use team development tools?	☐	☐	☐
Do you and your team use Socratic Questioning?	☐	☐	☐
Do you and your team use COST and SWOT analysis?	☐	☐	☐
Do you and your team seek to use pictorial, graphic or diagrammatic means to communicate in preference to words wherever possible?	☐	☐	☐
Do you and your team use other techniques?	☐	☐	☐

5.8. Inventory 8 – Knowledge & Information Management

	Not Yet	To Some Extent	Yes Completely
Do you regularly review all the information inputs and outputs needed by you and your team?	☐	☐	☐
Do you identify ways to overcome information obstacles impeding your team's maximum effectiveness?	☐	☐	☐
Have you designed and implemented your own information recording and capture systems to support delivery of results?	☐	☐	☐
Have you reviewed and optimised how you and your team process information?	☐	☐	☐
Do you review, optimise and agree how you and your team store and retrieve paper and electronic information?	☐	☐	☐
Do you and your team use non-linear methods such as Cause & Effect diagrams for information structuring and analysis?	☐	☐	☐
What are the top risks –financial, managerial, H&S, reputational – faced by your organisation/team?	☐	☐	☐
Do you have a Risk Register?	☐	☐	☐
Do you evaluate and prioritise each of your risks?	☐	☐	☐
Do you have action/contingency plans to manage the risks faced by you and your team?	☐	☐	☐
Do you use forecasting and trending techniques to plan, create contingencies and avoid problems for your team?	☐	☐	☐
Do you use systematic tracking systems and documentation control for all your important information/communications?	☐	☐	☐
Do you use systematic security, culling and archival systems to keep your workspaces pleasant and efficient?	☐	☐	☐
Have you refined the presentation skills of you and your team to maximise your communication effectiveness?	☐	☐	☐
Have you completed and implemented a marketing plan for all aspects of your services and products?	☐	☐	☐

Do you and your team know how to produce high impact written presentations and reports to demonstrate your effectiveness and get things done?	☐	☐	☐
Do you and your team use deliberate communication and influencing strategies to create results you are seeking?	☐	☐	☐
Do you use deliberate methods to make all your meetings effective and enjoyable?	☐	☐	☐
Do you have clear and specific outcome statements, time and processes assigned for each item on your meeting agendas?	☐	☐	☐
Do you have clear systems in place to ensure that all recognition, actions and decisions are accurately recorded and followed up?	☐	☐	☐
Do you have strategies for dealing with difficult people?	☐	☐	☐

5.9. Inventory 9 – Success with Money & Resources

	Not Yet	To Some Extent	Yes Completely
Does your organisation know the cost of each of its activities so that it can resource its services effectively and negotiate fair contracts and service agreements with others?	☐	☐	☐
Does your organisation identify its critical internal and external clients and customers and use this information to give longer term security?	☐	☐	☐
Does each of the leaders in your organisation know in detail the exact costs of the wages, materials, supplies and overheads incurred by their team and use this information to be responsible for their area?	☐	☐	☐
Does your organisation and each of its leaders know what most effects costs and what you can do to change those factors?	☐	☐	☐
Have the budget holders in your department completed the e-learning course "Finance Skills for all"	☐	☐	☐
Does each of the leaders in your organisation understand the overhead costs on each of their activities/services and know how to reduce or eliminate that which they don't need and make better use of that which they do need?	☐	☐	☐
Does each of the leaders in your organisation produce departmental 'cash flow' for the year ahead?	☐	☐	☐
Does each of the leaders within your organisation operate the internal financial mechanisms and procedures to ensure effective financial management control?	☐	☐	☐
Does your organisation and each of the leaders within it think about the shape of their costs in terms of fixed, semi variable and variable components, to ensure that any contracts that are made are appropriately formed?	☐	☐	☐
Does each of the leaders in your organisation know how to put together proposals for expenditure for important capital projects?	☐	☐	☐
Does each of the leaders in your organisation manage their department or service in a way that maximises financial performance?	☐	☐	☐
Do your organisation and its leaders negotiate effectively with other people about the content, price and volume of the services/activities you provide?	☐	☐	☐
Does each of the leaders in your organisation operate their activity/service, as though it were a business?	☐	☐	☐

Are the leaders in your organisation able to communicate with weight and credibility in relation to the financial methods of the services and activities they provide?	☐	☐	☐
Do the leaders in your organisation know how to work most effectively with your Finance department to get the results required?	☐	☐	☐
Do the organisation and the leaders within it identify the key people with whom they need to negotiate to achieve financial success?	☐	☐	☐
Do the leaders in your organisation know how to negotiate successfully to receive the results required?	☐	☐	☐

5.10. Inventory 10 – Talent Management & Selection

	Not Yet	To Some Extent	Yes Completely
Does each of the leaders in your organisation review the department service activities present and future, to discover the key areas of manpower flexibility at least annually?	☐	☐	☐
Do the leaders in your organisation plan and cost the manpower elements they will need to implement new practices?	☐	☐	☐
Does each of the leaders in your organisation prepare their own workforce plan that is fully integrated with their business plan and budget?	☐	☐	☐
Does your organisation and each of the leaders within it take active control over the pay budget?	☐	☐	☐
Does each of the leaders in your organisation know when to use the tools of successful planning, promotion, transfers, recruitment and redundancy to get their key results?	☐	☐	☐
Does each of the leaders in your organisation know when to use permanent, temporary, full time or part time or independent contractors to achieve optimum department/service performance?	☐	☐	☐
Does your organisation and each of the leaders within it predict who will retire, get promoted or leave for other reasons in the next 1 – 5 years?	☐	☐	☐
Does your organisation and each of the leaders within it prepare plans to ensure you have the right people at the right time with the right skills to ensure department/service effectiveness?	☐	☐	☐
Do your organisation and the leaders within it actively use training to reduce your pay bill and ensure chief results are delivered?	☐	☐	☐
Does each of your leaders within the organisation prepare their own department/service training plan?	☐	☐	☐
Does each person in your organisation have a currently agreed job description with performance objectives built in?	☐	☐	☐
Do the leaders in your organisation know how to use person's specifications to ensure that new people fit in with the rest of their team?	☐	☐	☐

Do the leaders in your organisation know how to identify the key dimensions and selection criteria that make interviewing and selection easy and feedback to unsuccessful candidates much less stressful?	☐	☐	☐
Do those involved with selection and promotion decisions in your organisation know to take account of and build in compliance with employment legislation?	☐	☐	☐
Are those involved with selection and promotion decisions in your organisation trained as interviewers?	☐	☐	☐
Do the leaders in your organisation know how to design their own selection processes to make interviewing as reliable as possible?	☐	☐	☐
Do leaders in your organisation know when and how to use assessment centres to make excellent appointment decisions?	☐	☐	☐

5.11. Inventory 11 – Risk Management

	Not Yet	To Some Extent	Yes Completely
Is management of risk one of your organisations' key business objectives? Is risk management and its implementation a key accountability for every manager and leader in your organisation?	☐	☐	☐
Does your organisation require every directorate, department and team or service to keep an up to date register of identified risks?	☐	☐	☐
Is it a requirement that within three months of identification every identified risk be assessed and have a written product to service specification/ management procedure in place?	☐	☐	☐
Within six months of a risk being identified, are all staff affected and involved with the particular risk educated and trained about the risk and the procedures for preventing and/or managing it?	☐	☐	☐
Is there a named person responsible for ensuring that each of these procedures are kept up to date and reviewed in line with policy?	☐	☐	☐
Does every team in your organisation have procedures in place to ensure that all new staff receive induction training on recruitment, transfer or promotion, to ensure that they are properly trained about the risks in their work area and the procedures for managing them?	☐	☐	☐
Does your organisation operate a controlled documentation system to ensure that important information can be disseminated to those affected?	☐	☐	☐
Are directorate team and service risk registers and procedures included as part of the management quarterly review process?	☐	☐	☐
Is a full audit of risk and management procedures conducted at least annually and a feature in the annual review process for all?	☐	☐	☐

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