1982

Administrative Planning Workshop Facilitator's Guide

Center for Public Affairs Research (CPAR)
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ADMINISTRATIVE PLANNING WORKSHOP FACILITATOR'S GUIDE

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Floyd T. Waterman, Director
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LIST OF HANDOUTS

The handouts are all assembled in a separate folder so each facilitator may have a complete set. The first 13 handouts are related to the 13 components that make up the six steps of the Goals/Process Model of Planning around which the Administrative Planning Workshop is centered. The handouts printed on colored paper are additional materials for the area of evaluation (Step VI, Component 13). The final handout is actually an evaluation for the entire workship (Participant Exit Feedback Form) which should be given out at the close of the workshop after the summary statement. Please note that if participants wish to keep their evaluation ratings anonymous, they should tear the last page (17d) off at the staple.

HO-1 Step 1—Diagnosis, Component 1, Needs Assessment/Data Gathering

HO-2 Step 1—Diagnosis, Component 2, Involvement in Planning

HO-3 Step II—Problem Analysis, Component 3, Problem Statement

HO-4 Step II—Problem Analysis, Component 4, Problem Analysis Techniques

HO-5 Step III—Determine Objectives, Component 5, Objectives Related to Overall Goals

HO-6 Step IV—Develop Strategies/Action Planning, Component 6, Action Alternatives

HO-7 Step IV—Develop Strategies/Action Planning, Component 7, Developing Strategies

HO-8 Step IV—Develop Strategies/Action Planning, Component 8, Task Analysis/Feasibility Testing

HO-9 Step V—Implementation, Component 9, Change Process Models

HO-10 Step V—Implementation, Component 10, Change Cycles: The Role of Leadership

HO-11 Step V—Implementation, Component 11, Budget and Resource Allocation

HO-12 Step V—Implementation, Component 12, Total Systems Planning

HO-13 Step VI—Evaluation, Component 13, Evaluation: The Feedback Loop

HO-14 Guide Questions During the Planning Process

HO-15 Flow Diagram for Evaluation

HO-16 Final Evaluation Worksheet

HO-17 Participant Exit Feedback

FACILITATOR'S CHECKLIST OF SUPPLIES

The printed materials (manual for participants, handouts) are obvious materials needed, but the items listed below serve as a reminder of other supplies and materials needed for the workshop.

1. **Newsprint pads** - one pad (easel as well) for each of the sub-groups and one for use of the facilitator near the lectern.

2. **Nametags for all participants.** Use magic markers to write on.

3. **A few sheets of lined, three-hole punched paper** at each table so participants may add sheets to their loose leaf binders.

4. **Several magic markers.** At least three colors (yellow and red are often hard to read). Darker colors (black, green, blue) are preferred.

5. **Half-inch masking tape** for attaching charts to walls.

6. **Preprinted roster lists of workshop registrants.** As participants enter the room, please have them check spellings, name, title, and correct mailing address. If corrections are needed, they can be supplied on a newsprint so participants may have an up-dated list.

7. **A cassette tape recorder** to play soft "easy" music during the break periods.

8. **A supply of candy mints** at each place after participants return from lunch. It is a nice touch that says, "We care about you."

9. **A certificate of attendance** for each participant.

LIST OF TRANSPARENCIES

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I. BACKGROUND INFORMATION

The Facilitator's Guide for the Administrative Planning Workshop is intended as a supplement for the participant's manual, **Administrative Planning Workshop**. The complete set of materials consists of:

- **Participant's Manual**, Administrative Planning Workshop, consists of 16 chapters. Chapters I, II, and III are to be placed in the loose leaf binders and presented to participants as they begin the seminar. The first chapter may also be used as an advance mailing to prepare participants.

  The remaining 13 chapters (IV through XVI) are to be distributed one at a time to participants as the workshop progresses. The reasons for distribution in this manner are: (1) participants might feel overwhelmed and feel they have a great deal of studying and reading to do in the seminar, and (2) facilitator's can maintain control of the workshop content and pace the reading after the introduction to the key concepts has been presented.

- **A set of 17 handouts** is to be distributed to the participants at appropriate times after they have read the "theory" introductions and have been given a specific charge by the facilitator. For example, the reading on determining objectives will have been preceded by a few comments by the facilitator. Once the participants have read Chapter VIII, Handout 5 will be distributed. This is merely a sheet with an action charge printed at the top and space for notes on writing objectives.

  The content of the workshop is divided into six steps: Diagnosis, Problem Analysis, Determining Objectives, Action Planning, Implementation, and Evaluation. These steps in turn, are subdivided into 13 components to which Handouts 1 through 16 are related. Handout 17 is an evaluation form.

- **A set of 57 transparencies** is to be used by the facilitator to introduce concepts to the participants in each of the 13 components. Printed chapters are then distributed to participants. Charges to discuss, write, or plan are summarized in the handouts.

- **The facilitator's guide** is designed so it may be kept together in sequence or separated and placed in the participant's manual at the appropriate places. For this reason, a dual system of pagination has been devised. Facilitators who wish to keep the guide together will use page numbers in the upper right corner. Those who wish to separate the facilitator's pages and interleaf them with the participants' materials may use the number at the bottom center.

II. FACILITATOR PREPARATION

The first and most obvious task for the facilitator is to read over all of the material—the folder of handouts, the workshop participant's manual, and the overhead transparencies. The idea behind the process in this workshop is to provide the participants with some general direction—a preparation for the material by the facilitator's use of notes and the transparencies. The chapter or section is then given for reading along with a handout that restates the task or charge for the group to perform during the activity portion of the workshop.

The facilitators will need to read all the material beforehand and become thoroughly familiar with it. Some people may bring materials upon which they have been working especially if more than one person comes from the same agency or department. A ratio of one facilitator to every six or eight participants would be best. In the "Forming Groups" section, some ways to group participants are discussed, but the possibility exists that more than one person will come as representatives of the same agency. If five or six are from a particular agency, they should be treated as a sub-group and should work on their own agency plan/proposal and needs. Some people may come to the workshop with copious material and/or a vaguely conceived project. In such cases, a facilitator may need to spend a considerable amount of time with that one group.

Facilitator/Trainer Roles

Facilitators will serve as consultants on the process of problem clarification, writing objectives, and the like, but they will need to help the group members become increasingly independent in carrying out the steps of the process.

Previous presentations of this workshop have shown that having two to three facilitators works best, but all must be involved with all the groups. Facilitators must not be passive observers; they need to walk around and visit groups and maintain a fairly regular contact with the small group to which they are assigned.

Each group will have a facilitator assigned to be its regular contact throughout the workshop, but this person must guard against doing the work FOR the participants. The workshop process is designed to help participants gain knowledge and skill in the process and not to become dependent upon facilitator/trainers.

Before the actual start of the workshop, the instructional leader/facilitator will meet with the facilitators and develop a set of understandings or a "contract" as to what responsibilities for the instruction will be handled by whom. Agreements should be made about interrupting, volunteering, etc., and consideration given to each person's comfort zones and styles of working. The participants must feel that the instructional/facilitation team is indeed a working team. Sometimes the facilitators will be distributing materials, sometimes observing. Some "up front" assignments with the participants will also be given. The facilitators should always give the participants an impression that all facilitators are engaged and involved.

As they become consultants to the small group to which they are assigned, the facilitators will move between the roles of facilitator and trainer. Dr. John Jones, one of the co-founders of University Associates in San Diego, developed a chart, displayed as Figure 1, to help make distinctions between teacher, trainer, consultant, facilitator, etc. This is a useful chart to study.

After reviewing the chart, the facilitators should develop a working relationship, map out major assignments, and clearly understand their individual "contracts" for the working relationship. For example, one facilitator may feel comfortable carrying out an assignment with the group (perhaps to explain one of the expanded name tag activities) but only occasionally feel comfortable about making an addition to a comment made to the group by the other facilitators. These matters should be discussed in advance so surprises do not occur among the facilitator team during the workshop itself.

Norms for the Seminar/Workshop

The facilitators establish the norms for the workshop, beginning by printing the participant list with first names more prominent than surnames. Name tags are provided with first names only. In the Expanded Name Tag activity people are invited to get to know each other as persons first and not just as roles or positions. The facilitators are actively involved in the expanded name tag work. All facilitators will roam about and work with groups once they are formed. One facilitator will be assigned primarily to a group, but other facilitators will visit the groups as they work. During break times, facilitators will visit informally with participants.

During the instructional time, a norm that should be fostered is one suggested by Dr. John Jones.

- **Sensitivity** to oneself and to others
- **Participation** in groups and in total group
- **Experimentation** with ideas, activities, relationships
- **Responsibility** for own learning. Facilitators and materials can only take one to "the dawn of your own awareness."

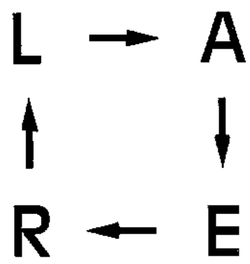
FIGURE 1

SOME CONTRASTS AMONG ROLES

DIMENSION / ROLE	"HELPEES"	ROLE VIS-A-VIS "HELPEES"	CONTENT EMPHASIS	LOCUS OF MEANING	DESIRED OUTCOMES
FACILITATOR	Participants	Helper in a Discovery Process	Inductive Learning	Individual "Helpees"	Discovery Application
TRAINER	Trainees	Shaper of Effective Behavior	Skill Acquisition	In the Trainer	Effective Behavior
TEACHER	Students	Imparter of Information & Meaning	Conceptual Understanding	In the Teacher's Interpretation	Awareness and Understanding
INSTRUCTOR (TECHNICAL TRAINING)	Students	Expert and a Demonstrator	"How to. . ."	In Definition of Effectiveness	Strategy, Tactic, and Technique
CONSULTANT	Client	Helper in Problem Solving	Client Situations that need Attention	In the Client System	Responsibility in Implementing Problem Solutions
COUNSELOR	Client/ Counselees	Permissive Helper	Client Life Situations and Feelings	In the Individual Client	"Wise Choices"

- **Openness** to self and to others; try to go beyond your own comfort level in terms of participation, experimentation, and in responsibility.

Sometimes participants respond to facilitators in such a manner that "anger" or resentment is engendered in the facilitator. If the following model developed by Carew and Jones is utilized, the possibilities of negative reactions on the part of the facilitator are reduced. The model requires the facilitator to take a number of steps.



First, **LISTEN** (L) unjudgingly; second, **ACKNOWLEDGE** (A) by rephrasing; third, **EXPLORE** (E) to see if you understood, explore the point with others in the group. Ask, "Is this what you heard?" The next step is to **RESPOND** (R) after you have had time to think through what has been said. In the event that your first reaction was one of anger, you have now had time to respond without rancor. The final step is listen (L) again. The effect is that this behavior "bonds" you and the other person (even objectors) because they feel that at least they have had a fair chance and that they have been heard.

Physical Setting for the Workshop

The **Administrative Planning Seminar** is more than just a place to work. It does have a structure reflecting the process of comprehensive planning, and this structure is the framework for the seminar. As facilitator, you will have to choose between two basic formats for presenting material, depending upon how much advance information you have on the participants, and this choice will influence your arrangements for physical facilities. The choices open to you will depend upon the maturity of workshop participants. If you discover that a fairly large number of persons are coming from one agency and if they represent a relatively mature group in terms of the following checklist, you may want to use **Plan A.** A relatively mature group would be characterized by:

- Each sub-group has brought a definite plan and/or proposal and sufficient related materials to the workshop.
- Communication exists not only within sub-groups but also within the total group.
- Members display abilities in decision-making, interpersonal communication skills, and discussion skills.
- Many of the members of the sub-group have done formal planning prior to this workshop.

A group exhibiting these characteristics would proceed with **Plan A** outlined below. A group lacking in them would follow **Plan B**, or possibly you could begin with **Plan A** and switch to **Plan B.** The two plans may be combined in any way that would best meet the needs of the workshop group.

Plan A involves two rooms—a basic workroom with large tables and a supplementary room. The basic workroom is where the large group will meet for general announcements, introductions, and also where sub-groups will do the actual work on their plans. The supplementary room is where mini-sessions will be conducted. A mini-session will be held for each component of the workshop, and each will be an input session using handouts, transparencies, mini-lectures, and discussions. Thus a sub-group could, for example, choose to attend only those sessions it feels it needs to work on, spending the balance of its time working on its own proposals and/or plans. Some sub-groups may elect to attend all of the sessions. The point is that any sub-group can, in effect, do its own needs assessment and determine its own workshop Schedule.

Plan B involves one large room to be used as both a workroom and an input room. As in **Plan A,** each mini-session will be conducted at a given time, but unlike A, the room arrangement more or less demands that all sub-groups interrupt work on their plans in order to participate in the mini-sessions on each component. The major disadvantage of this plan is that each sub-group loses the freedom to diagnose itself and structure its own schedule, but the advantages for a mixed group (coming from many different agencies) or a less mature group probably outweigh this factor. Generally speaking, **Plan B** is more effective for teaching the process of comprehensive planning, and the balance of this facilitator's guide is based upon the assumption that **Plan B** will be followed.

Whichever plan or combination is utilized, you and the rest of the staff will announce and conduct the input sessions. The time schedule must, of course, be flexible, but about one hour between each session has generally proved successful. Some of the sessions require writing time as a follow-up. Some may require discussions (either within or among groups), and others may just require "thinking" time. All of these are factors to be considered in determining the time schedule. As a facilitator, therefore, you need to be responsive to the particular groups with whom you are working.

Another feature of this workshop is that the facilitator's task does not stop at the end of each day. Instead, you are asked to critique the work that the participants have completed during the day and to comment upon the progress of each plan. This critique not only helps the participants, it also helps you to evaluate the success of the workshop and to determine the schedule for the next day. Critiques may lead to some mid-course corrections of your own.

Physical comfort of the participants. In preparation for the workshop, the facilitators will want to attend to a number of administrative details, for both the atmosphere and organization of the workshop will influence the learning outcomes. Since you will be working in teams, participants will be mixed up, and therefore designated smoking and non-smoking areas are not possible. Participants need to interact on the basis of ideas rather than on whether they smoke.

For this reason, you should provide about 15 minutes in both the morning and afternoon sessions as a coffee and break time so that people may go to the restrooms or smoke. Arrangements should be pointed out concerning smoking areas, restrooms, water fountains, soft drinks, and coffee.

III. BEGINNING THE WORKSHOP

Before you start with content, you will need to do a number of things to put people at ease, find out what their learning expectations are, and to develop a sense of trust and desire for teamwork. The facilitator's style will influence which activities are selected, but certain basic human relations activities should precede the formal presentation of the workshop content.

Adults learn best when they feel they have been engaged, involved, and that their leaders are committed to help them achieve their goals. Adults do not want to feel they are involved in a "course" or that they are going to have a lot of theory. They do respond to concrete examples, direct involvement, and affective, experiential learning activities. Adults do not want to feel they are being "talked at," "spoken down to," or given material they feel they already know or don't need. Adults appreciate a sense of humor. A facilitator must relax, be less formal, maintain eye contact, and be **energetic!** If you take yourself too seriously, the participants won't take you at all.

Getting to know each other. Notice that this does not say, "getting to know them!" The participants must get to know the facilitators and the facilitator the participants. Facilitators should be involved in all of the activities. In the expanded name tag activities suggested on page 6, all facilitators should participate with the workshop attendees. The purpose of the activity is to get to know each workshop participant and facilitator and to do some early team and trust building. Such trust building will also facilitate the division of the participants into groups.

Expanded Name Tag is both an energizer and a trust builder. It will require about 40 to 50 minutes. This is time well spent because the tone is set for the three-day workshop.

The facilitator says:

Please write your name in large letters at the top of a sheet of paper.
Below your name write the numbers 1 through 10. By each number write an item that is descriptive of you as a person. These items should not be involved with a job description. Items might begin with, "I like. . . ," "I want. . . ," or "I am usually. . .".

When the sheets are completed, say something like this:

Please take your sheet of paper and either fasten it or hold it up in front of you. Walk around and read every person's sheet of paper. YOU MAY NOT UTTER A WORD. DO THIS ENTIRELY NON-VERBALLY.

Watch the group to make certain they have time, probably about 10 to 15 minutes. After each person has had a chance to read every one else's descriptions, then instruct them:

Think of somebody you wanted to ask a question or wanted to find out more about when you weren't allowed to talk. Now go back and ask those questions. YOU MAY TALK NOW.

This should only take about ten minutes. Then say:

Now pair off and interview each other. You will have ten minutes to do this and then will be asked to introduce your partner to the total group. During these introductions, the role or position of the individual may be mentioned, but it should NOT be the dominant feature of the introduction. The stress should be upon the individual and his or her characteristics.

Needs Assessment

After the group has become acquainted and the expanded name tag activity, you should move to find out WHY PEOPLE ARE THERE. Of course they read the brochure advertising the workshop, but you are really seeking the personal/professional needs and agendas they may have brought with them to the workshop. This exercise accomplishes two very important tasks: (1) You find out what areas of interest exist in the group of participants, and this helps to give you some clues for possible groupings; and (2) the exercise engages the participants and helps to develop an interest and investment on their part. It says to them, "We care about you and want to make this activity meaningful to you." The activity also gives some clues as to possible special helps and/or consultant expertise you may need in some of the substantive areas.

While one facilitator is "pulling" these reasons for attending out of the participants, another is recording on newsprint and attempting to make some categories and/or groupings. This recording and categorization task might well involve two facilitators while the third is working with the group managing the discussion. The discussion should be more than a mere listing. Try to "tease out" the participant's needs. For example, if participant's reason is "working with personnel," the facilitator could pursue it a bit with something like, "Working with personnel. Could you say a little more about that? Do you mean supervising personnel?" Hopefully, this discussion will help others place or identify their needs a bit more precisely.

Forming the Groups

The needs assessment exercise should give you some problem areas and possible groupings. For example, someone may say she or he has an interest in planning regarding personnel and staffing. Others may identify problems related to financial affairs and to planning for the budget cycle. Others may relate to space utilization, new buildings, office re-arrangements, and the like. Some will be concerned with new programs, regulations, installing new agency procedures. Still others may have concerns about interagency or problems of interfacing with other agencies (e.g., Welfare with Labor Departments).

The facilitators should try to develop about six to eight groups, depending upon total workshop registration. If you have 48-50 people, you would have eight sub-groups of six people, about the right size for the small groups. The groupings need not be uniform in size because participants should work in an area of interest. As the group works, it might develop a hybrid of problems from two or more of the sub-group members. This group problem will become the basis for discussion in each of the groups, but some time should be devoted to the problems of each member. Each individual will want to develop the beginnings of his or her own plan to take home. The **product** of the workshop is the start of a plan for each individual's work situation. The product will also be the **knowledge of the process** acquired through the readings, discussions, and interaction with others during the workshop. The facilitators will serve as consultants on the **process** of problem clarification, writing objectives, etc.

IV. THE WORKSHOP CONTENT

Beginning with this section of the **Facilitator's Guide**, you may wish to place the pages that follow in sequence near the appropriate pages in the participant's manual.

As the beginning of the workshop the participant's manual should consist of the following:

- A looseleaf binder with title, **Administrative Planning**
- Title page, acknowledgements (ii), Table of Contents (iii), List of Figures (iv).
- Heavy dividers which mark each section or step as follows:

	Page
—Introduction	1
—Step I Diagnosis	16
—Step II Problem Analysis	24
—Step III Determine Objectives	32
—Step IV Action Planning: Strategy Development	35
—Step V Implementation	42
—Step VI Evaluation	55

- Chapters I, II, and III 2-15
- Bibliography 61-62

The other chapters and handouts will be added at appropriate times.

In the sections that follow, suggestions for content introduction are provided as well as reproductions of the transparencies so you will have a copy of them to assist you in going through the material. The handouts themselves are assembled in a separate handout folder for your convenience, but participants will receive them after they have received the printed chapters and the facilitator has given participants a charge or request to carry out a particular activity.

Introduction

As participants enter the room and have registered, before the formal opening and the Expanded Name Tag activity, they should be encouraged to take their notebooks and read the first three chapters. Once introductions and the Needs Assessment Exercise have been completed, the groups can be formed and the tables and chairs arranged so participants can see the overhead transparencies and the front of the room. Participants are now formed into their groups and ready to begin the workshop process. The following general guide as to what to say is suggested for the facilitator:

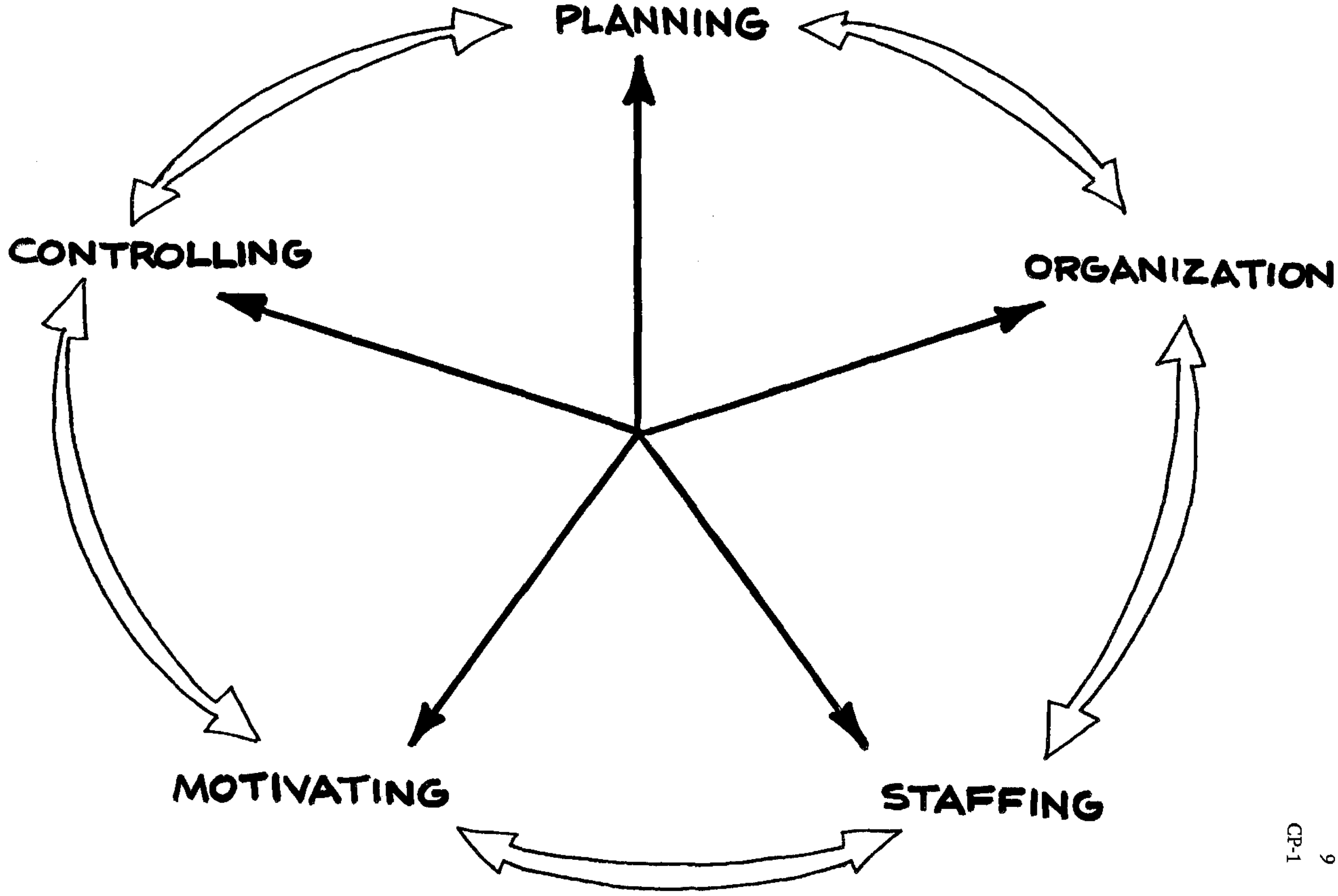
Why do we plan? What's in it for you and for me? If, indeed, planning is so important, why do so few managers do it well? Is it not because the manager is not rewarded for planning? Managers are rewarded for controlling, motivating, and staffing, but seldom for planning. Chapter II in your manual, (see page 7), lists some of the benefits of planning. But there are also some threats and costs to planning as well.

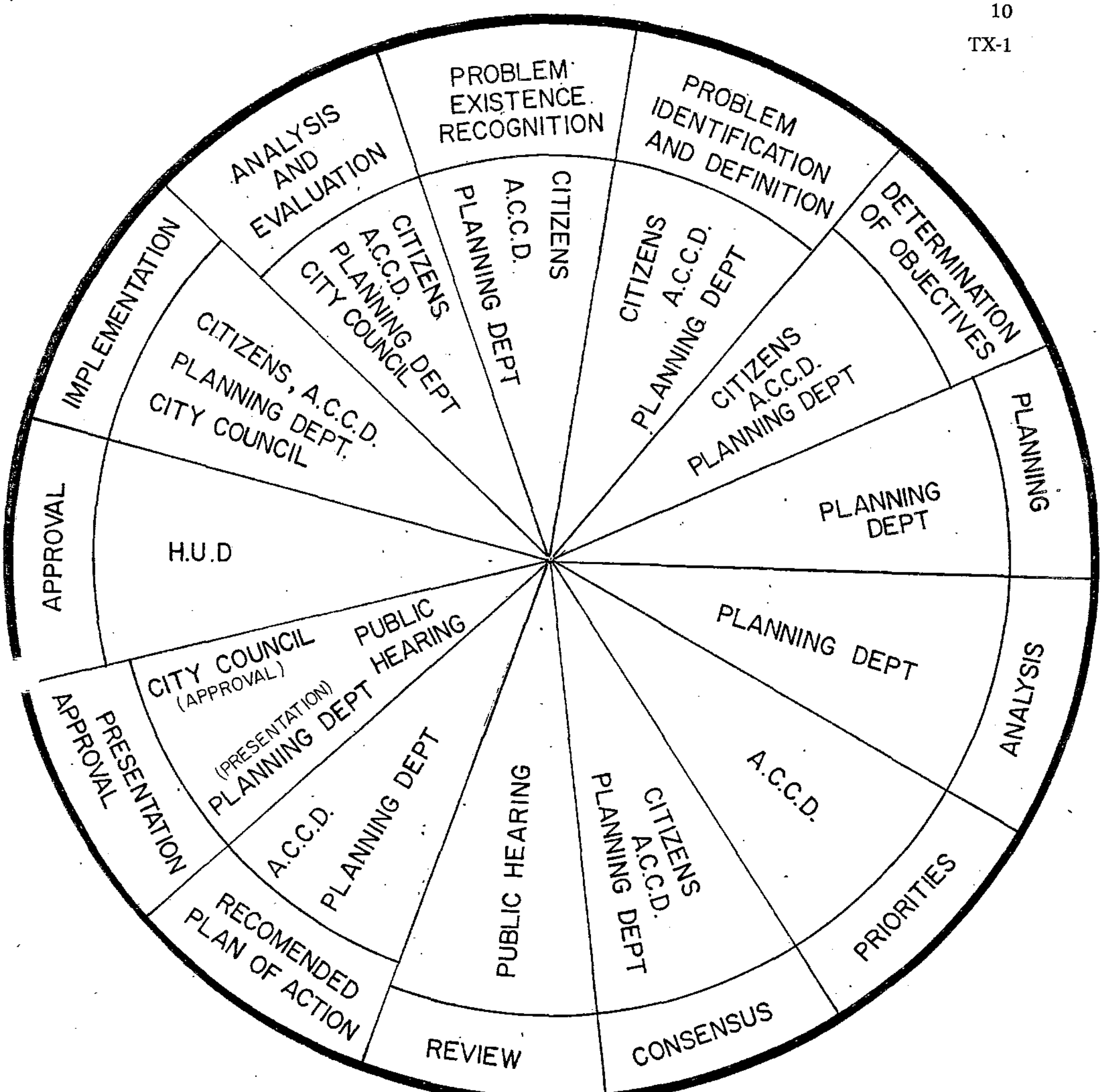
Go through list on page 7.

Go through points listed in the second column on page 7. Then conclude by summarizing the last paragraph on page 7.

Summarize the WHY PLAN concept by walking through the items on TRANSPARENCY CP-1 "The Process of Management." Now introduce the idea of planning models. Use TRANSPARENCY TX-1 "Community Development Process Participants" and TRANSPARENCY TX-2 "Community Development Process."

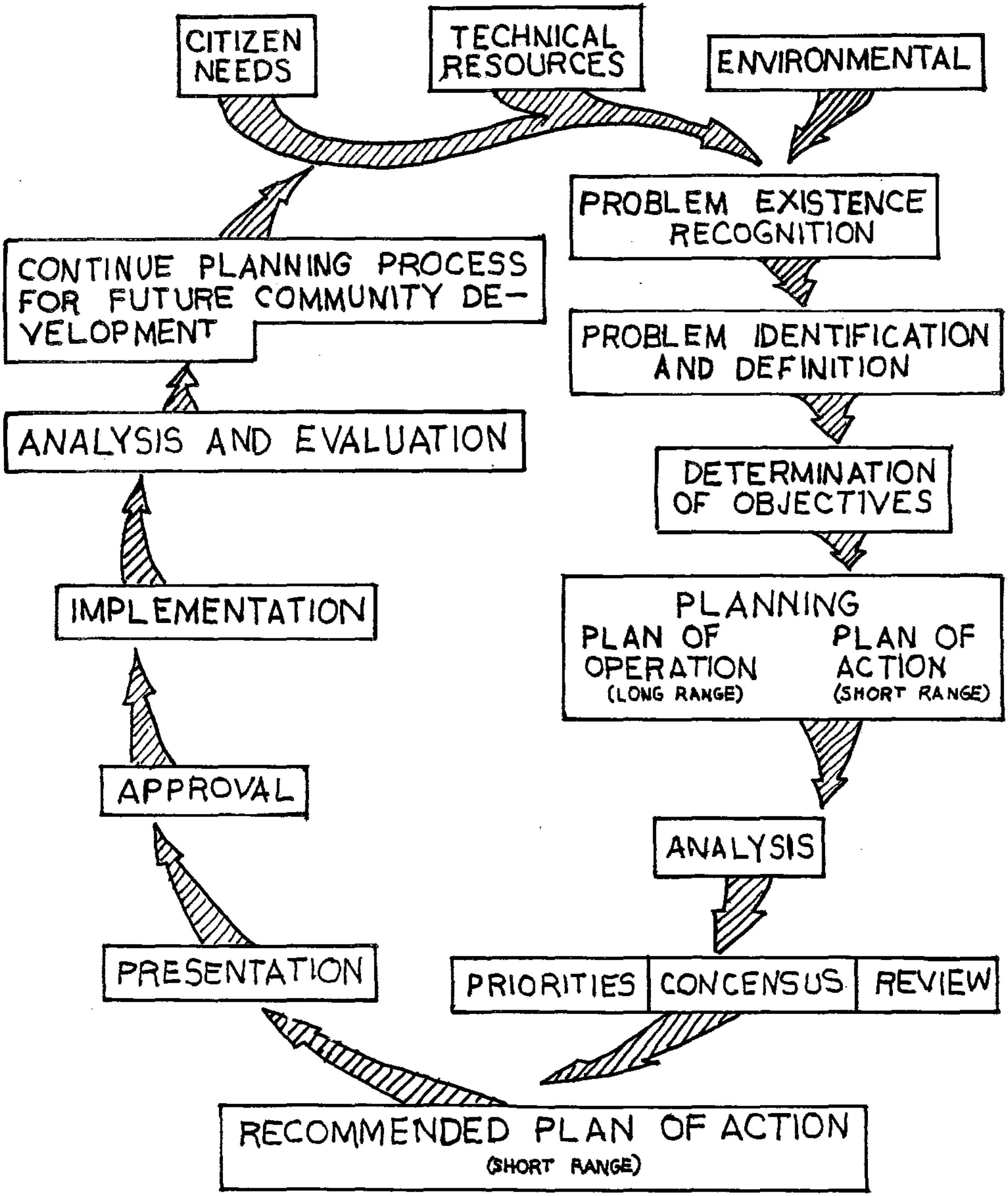
The Process of MANAGEMENT





Community Development Process Participants

Community Development Process



There are many different models or conceptions of planning. These two are community development models. If you move to Chapter III, "Three Approaches to Planning" (page 8), we point to three major types of models (1) the technical/mathematical model (Figure 3, page 9), used by highway engineers, (2) the corporate or business type model (Figure 4, page 10), and what we call the goals-process model (Figure 5, page 13). This is the model we have chosen to use for the workshop. We want to be upfront and say that it is perhaps different from some of the models to which you are accustomed. There are a variety of different versions of the basic goals-process models, but this is the one we have chosen to use. It has six major steps as shown on page 13.

OBJECTIVES OF THE WORKSHOP:

Use TRANSPARENCIES:

CP-2 "Managers Need Time"
CP-3 "Managers Need Expertise"
CP-4 "Managers Need Freedom to Act"
CP-5 "Managers Need Courage to Act"
CP-6 Product, Process, Resource Utilization

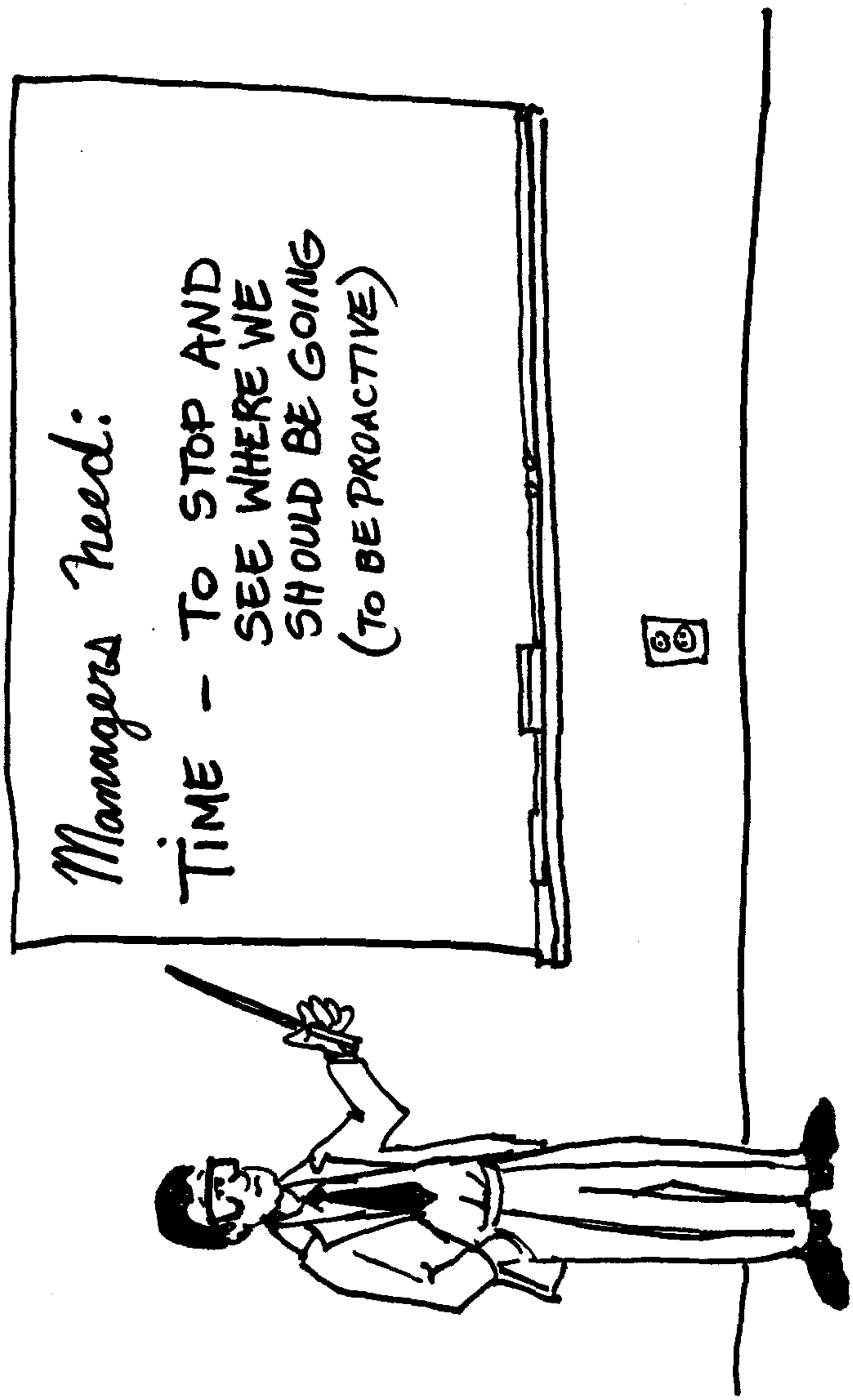
Refer to Chapter I (pages 2-3).

One of the resources is yourselves. We cannot and will not do your work for you; you must make your own plans. We will provide you with a process, a way-by which you can plan, and facilitators will be assisting you, but you are your own best resource. Our model of goals-process is portrayed in this transparency.

Use TRANSPARENCY CP-7 "Goals/Process Model."

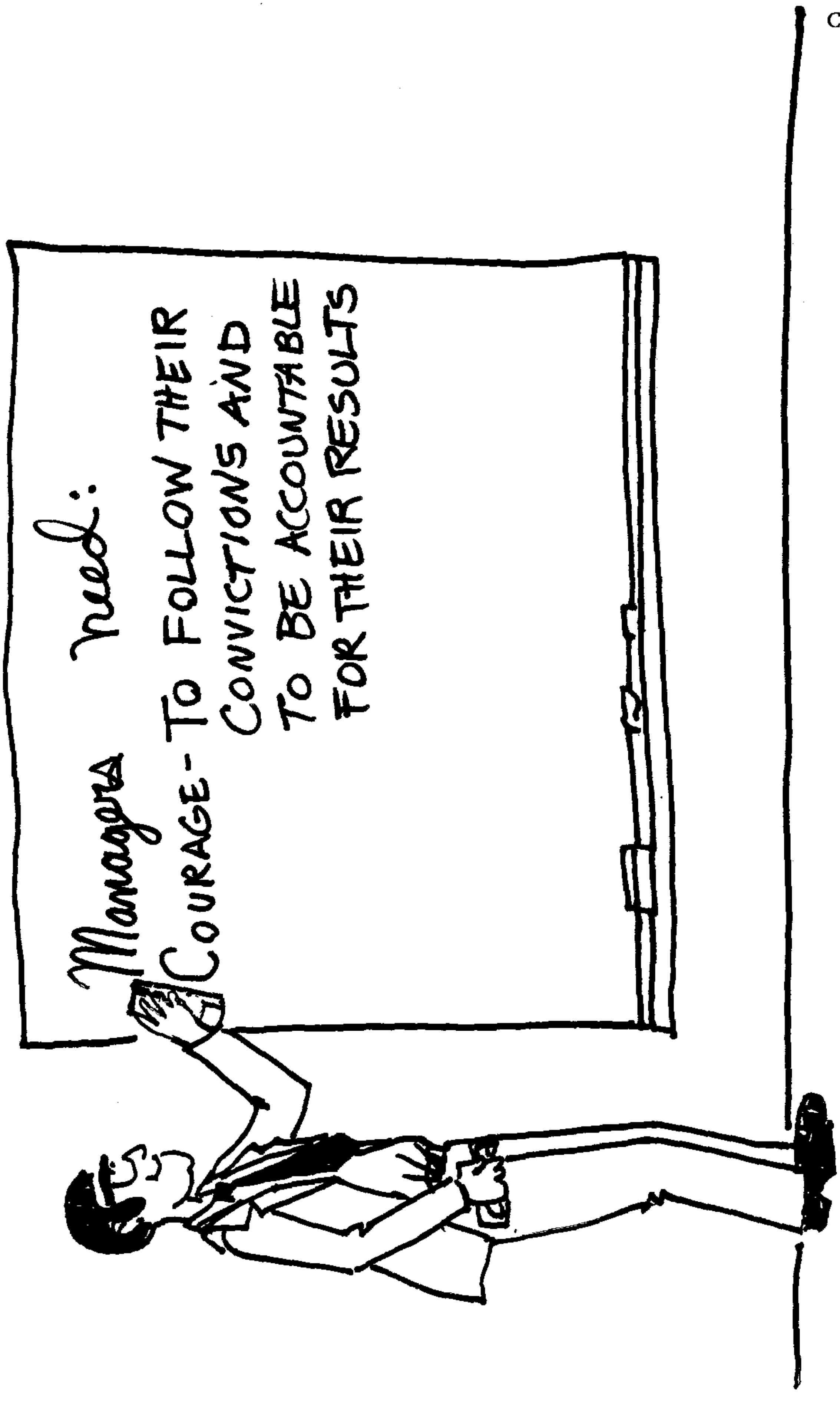
Use TRANSPARENCY CP-8 "Components of Processes, Skills, or Techniques." Also use TRANSPARENCY CP-9 "Components of the Model."

We all plan. The process is as humanly inescapable as the proverbial death and taxes. The Administrative Planning Workshop represents an analysis of that process, especially that process as it is directed toward the creation of interventional strategies or plans. In other words, we are concerned with the process underlying such plans as proposals or projects which, when completed, will be implemented in an attempt to change an existing situation—to intervene positively in the status quo, effecting movement toward new, more ideal conditions.


Managers need:
TIME - TO STOP AND
SEE WHERE WE
SHOULD BE GOING
(TO BE PROACTIVE)


Managers need:
EXPERTISE - TO DO
SHORT AND LONG
RANGE PLANNING

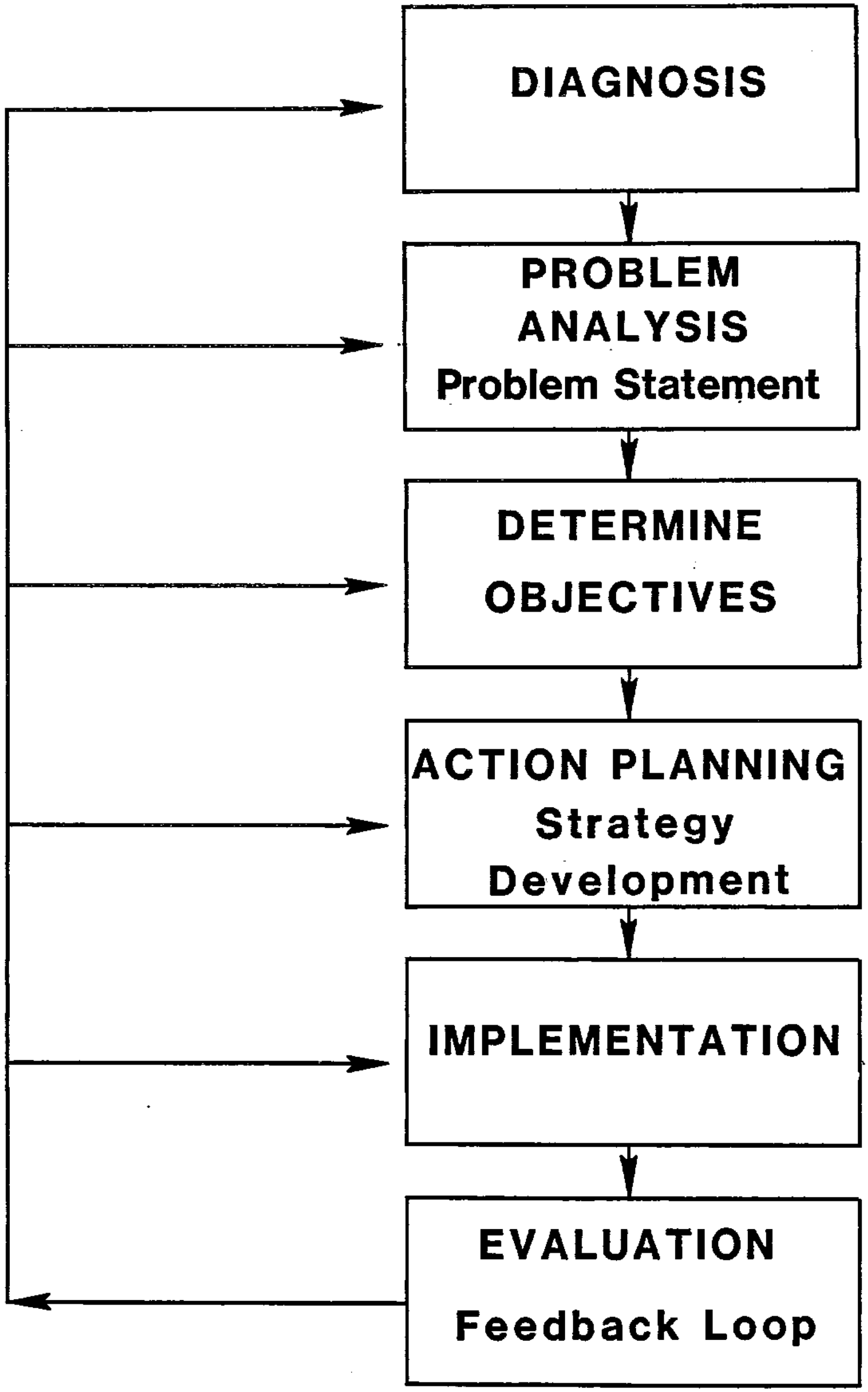

Managers need:
FREEDOM - TO GO IN THAT
DIRECTION


Managers need:
COURAGE - TO FOLLOW THEIR
CONVICTIONS AND
TO BE ACCOUNTABLE
FOR THEIR RESULTS

Administrative Planning Workshop Objectives

1. Product
2. Process
3. Resource Utilization

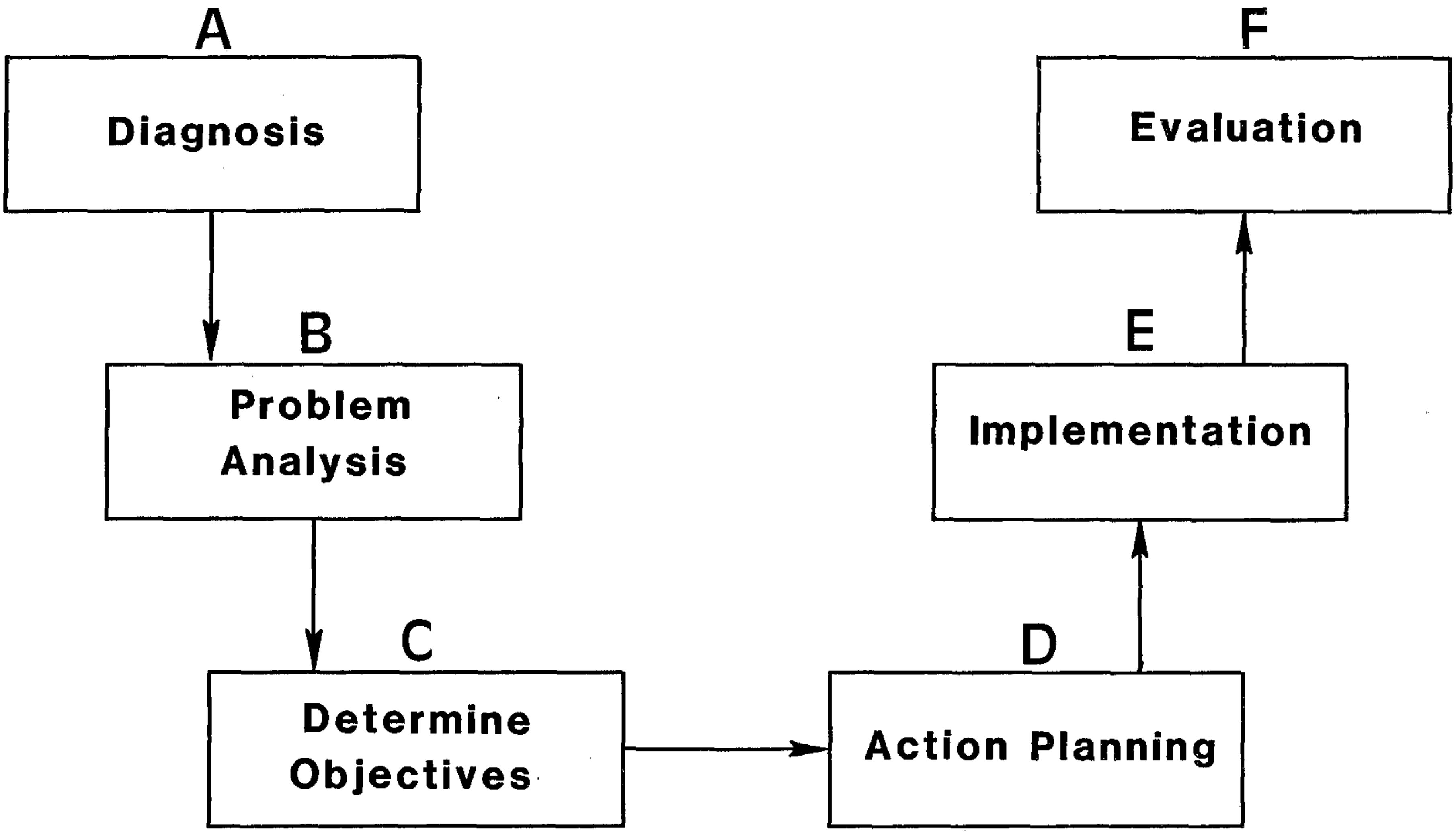
GOALS/PROCESS MODEL



Plan/Proposal Components Processes, Skills, or Techniques.

1. NEEDS ASSESSMENT/DATA GATHERING
2. INVOLVEMENT/COMMITMENT
3. PROBLEM STATEMENT/ GOAL STATEMENT
4. FORCE FIELD ANALYSIS
5. WRITING OBJECTIVES
6. ACTION ALTERNATIVES
7. DEVELOPING STRATEGIES
8. TASK ANALYSIS/ FEASIBILITY TESTING
9. CHANGE PROCESS MODELS IN PLANNING
10. CHANGE STYLES: THE ROLE OF LEADERSHIP
11. BUDGETING AND USE OF RESOURCES
12. TOTAL SYSTEMS PLANNING
13. EVALUATION, FEEDBACK LOOP AND MID-COURSE CORRECTIONS

PLAN/PROPOSAL BASIC COMPONENTS



Use TRANSPARENCY CP-7 again.

Our analysis of Administrative Planning as a process has yielded 13 components, and these grow from the six more general stages of planning. Two points should be made about the diagram in this transparency:

The first is that some of these components will, in all probability, be components of your final written plan or proposal such as objectives, strategies, and evaluation plans. Other parts however, are components that are relative to constructing your plan and probably will not appear in your plan itself (such as task analysis). You must keep these distinctions between the instructional steps that are for your use and understanding of the process and those which will actually be sections or parts of your written plans. You must use your judgment as to whether to include them.

The second point is that this illustration gives the impression that writing a proposal, plan, or project is a lock-step method; that is, begin with Step 1, Component 1, and proceed through Component 13, and, at last, the plan is finished. Of course, things are not that neat, and the impression is just an impression from the diagram or model. We should consider the process as a very interactive one. Indeed, the very nature of comprehensive, systematic planning models is that we may be working on more than one step at a time. The process is very dynamic; components are repeated, eliminated, rearranged, transformed. Particularly do we need to keep evaluation in mind all through the entire process. We list it as the last phase, but one must begin with evaluation in mind.

In short, as we all know, the road between the beginning and the end of a proposal or plan is not always straight. Yet, these steps are distinct enough that we have structured the workshop in this manner for purposes of instruction and analysis.

Step I—Diagnosis, Component 1, Diagnosis/Needs Assessment and Data Gathering

Time required: About 30-45 minutes

Use TRANSPARENCIES:

"Responsive, Viable, and Productive Organizations"
CP-10 "Gather Reliable and Relevant Data"
CP-11 "Generate Alternative Problem Solutions"
CP-12 "Gain a Commitment to the Decisions That Have Been Made"

These transparencies list three factors, from the perspective or organizations, that Chris Argyis identified as basic differences between a productive and an unproductive organization.

Note especially the relationship between data gathering (the first factor) and needs assessment. Data gathering is a way of meeting and pointing to possible solutions to needs.

Distribute Chapter IV "Diagnosis: Needs Assessment/Data Gathering."

Allow time for reading.
(Note: It is only three pages, pp. 17-19, but keep an eye on the participants to make sure you don't wait too long or move too fast.)

Use TRANSPARENCIES:

CP-13 "Needs: Discrepancy Between Real and Ideal or Desired State"
CP-14 "Data Gathering: Use Prepared Tools, Adapt Prepared Tools, Make Tools."
CP-15 "Points at Which Values Influence"

Charge:

As you discuss needs assessment, identify two or three critical needs and list the data you will require. At this point, some will argue that you cannot do a needs assessment and identify data requirements until you have identified a problem. In this model, we operate on the assumption that sometimes the needs are not clearly identified and some preliminary investigation or "poking around" will be necessary.

Distribute HO-1 "Step 1, Component 1."
Provide time for group to discuss and write out critical needs.

RESPONSIVE, VIABLE, AND PRODUCTIVE ORGANIZATIONS

1 Gather reliable and relevant data

RESPONSIVE, VIABLE, AND PRODUCTIVE ORGANIZATIONS

2

Generate alternate
problems solutions

RESPONSIVE, VIABLE, AND PRODUCTIVE ORGANIZATIONS

3 Gain a commitment to the decisions that have been made

NEEDS:

Discrepancy between REAL and IDEAL or DESIRED state.

Data Gathering

1. Use Prepared Tools
2. Adapt Prepared Tools
3. Make Tools

points at which VALUES INFLUENCE

1. IN VIEWING THE SITUATION
(WHAT YOU SEE)
2. IN MAKING A DECISION
(WHAT YOU DO)
3. IN EVALUATING A DECISION
(HOW PLEASED YOU ARE WITH THE RESULTS)

Step 1—Diagnosis, Component 2, Involvement in Planning

Time required: about 15-20 minutes

Use **TRANSPARENCY CP-16** "Groups and Decision Making: 1. Blizzard of Data"

Sometimes in groups we are faced with a number of decisions. One is that we may have mountains of data and we could become overwhelmed. We are faced with decisions as to when we have enough data, when we need more, and what to do with the data once accumulated. We now need to look to the idea of involvement in planning and indeed in group decision-making.

Use **TRANSPARENCY CP-17** "Decisions, How Made? By Whom? What? and Why?"

Sometimes how a decision is made can be as important as what the decision itself will be. We raise the question about who should be involved in making decisions, why the decision is made. What is the decision itself?

Use **TRANSPARENCY CP-18** "Groups and Decision Making: 2. Commitment/Motivation"

Distribute Chapter V "Involvement in Planning: Who? When? How Much?"

Allow time to read. Also suggest that participants place this chapter behind the Step 1 tab in their notebooks. The chapter ends on page 23.

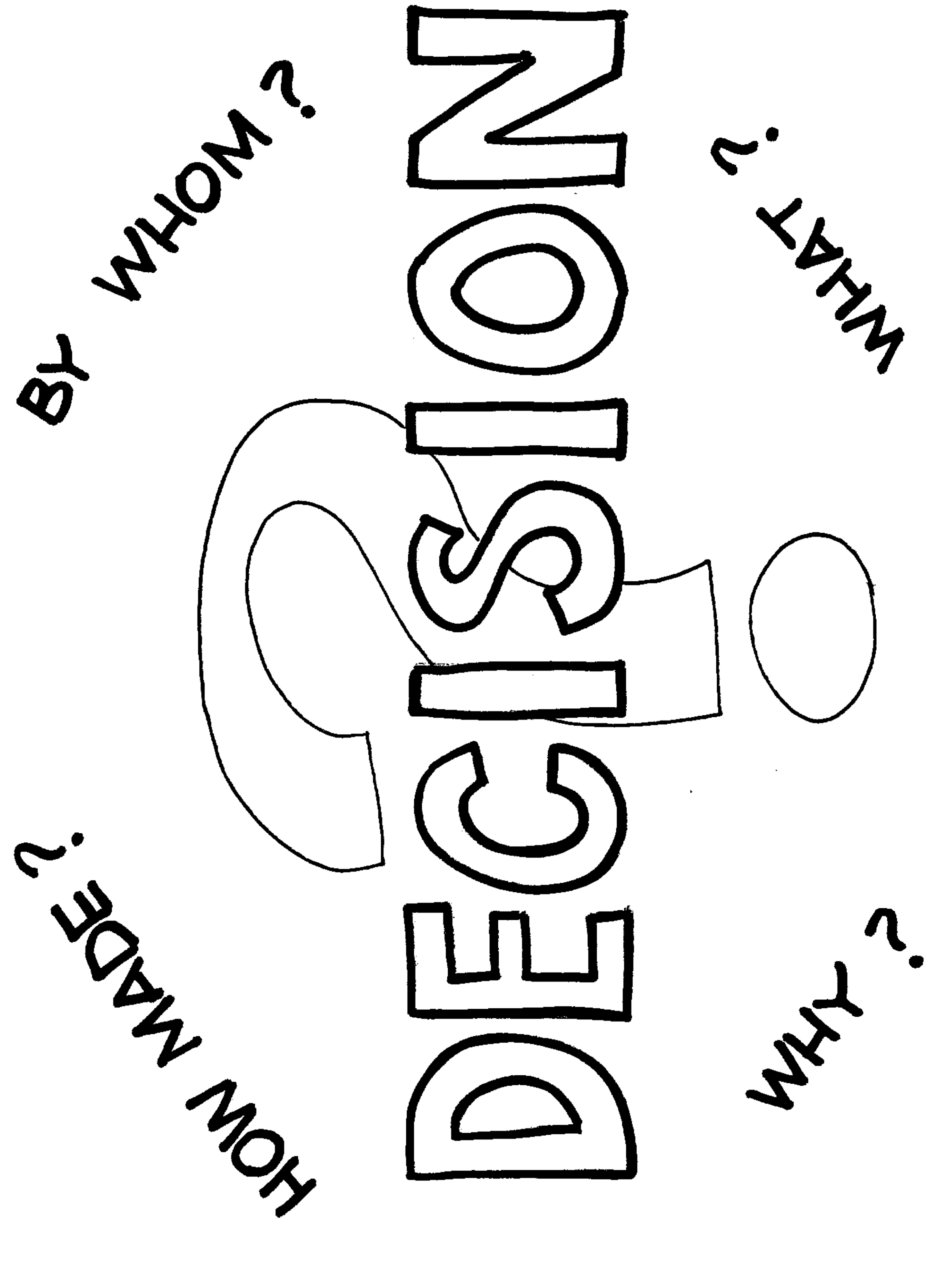
Charge:

Discuss the questions raised about involvement and identify those who should be involved in making your plans.

Distribute HO 2. "Step 1—Diagnosis, Component 2, Involvement in Planning."

GROUPS and DECISION MAKING

1. Blizzard of Data


BY WHOM ?
WHAT ?
DECISION
HOW MADE ?
WHY ?


GROUPS and
DECISION
MAKING
2. Commitment/
Motivation

Step II—Problem Analysis, Component 3, Problem Statement

Time required: about 45-50 minutes

Allow time to read.

Use **TRANSPARENCY CP-19** "Name Problem–Problem Statement."

Have groups discuss paper in terms of the four questions on transparency.

Distribute HO-3 "Problem Analysis, Component 3, Problem Statement."

Charge:

Develop a problem statement and write it on your handout.

Note: Some of the groups may not realize they could be writing their problems on the newsprint pads. They may prefer using the newsprint in the group work rather than their individual handouts which are for their own problems.

NAME PROBLEM
PROBLEM STATEMENT

1. **WHO OR WHAT** is causing the problem

2. **WHO** is affected by it

3. **GOALS** Statement of the "whats" which are required to reduce or solve the problem

4. **PROBLEM CLASSIFICATION** What type of problem is involved

   A. SELF
   B. OTHER
   C. ORGANIZATION
   D. SOCIETY

Step II—Problem Analysis, Component 4, Problem Analysis Techniques

Time required: 45-50 minutes

Introduce this component by saying:

Situation analysis is a means of looking at the present situation, then deciding the direction to be taken.

Distribute Chapter VII "Problem Analysis Techniques" (pp. 27-31).

Allow about 10 minutes for reading.

Refer participants to page 27, Figure 8.

The figure is one way of making a situation analysis. Another way is force field analysis.

Use TRANSPARENCIES:
- CP-20 "Force Field"
- CP-21 "Rank Forces—One Criterion is Importance"
- CP-22 "Rate Forces"

Call attention to force field analysis section (28-30).

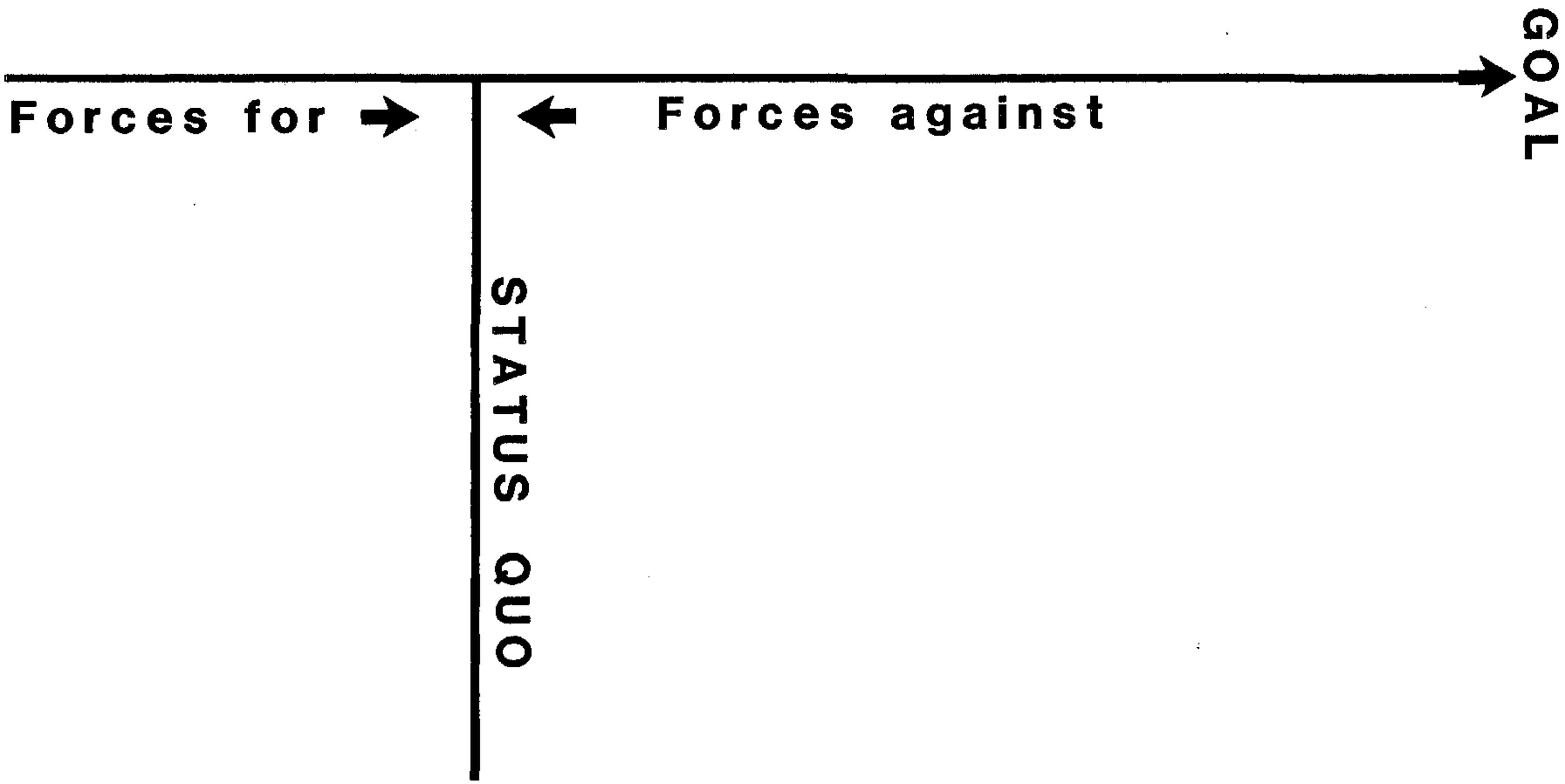
Charge:

Select a problem and do a force field analysis on it.

Distribute HO-4 Step II—Problem Analysis, Component 4, Problem Analysis Techniques.

FORCE FIELD

PROBLEM:



RANK FORCES

One Criterion is Importance.

How important do we think these forces are in changing the situation? Number 1 being most important.

Rate Forces

A. STRENGTH. HOW RESISTANT TO CHANGE IS EACH FORCE?

EASY	MEDIUM	HARD

B. CLARITY - HOW CLEAR IS IT TO ME THAT IT IS A FORCE?

CLEAR	PARTIALLY CLEAR	UNCLEAR

Step III—Determine Objectives

Time required: about 30-40 minutes

Introduce Step III:

Goals are global. Objectives are specific and should give clear direction; therefore they must be written in such a way that they will have impact—or changed behavior.

Use **TRANSPARENCY CP-23** "Impact: A Change in Behavior"

Use **TRANSPARENCY CP-24** "Rationale"

Rationale answers the question: "Why?" It sells the plan.

Distribute Chapter VIII—"Determining Goals and Objectives."

Note particularly the figure on page 34.

Allow time for reading.

Use **TRANSPARENCIES:**
- **CP-25** "First: Identify the terminal behavior by name"
- **CP-26** "Second: Describe the important conditions under which the behavior is to occur"
- **CP-27** "Third: Specify the criteria of acceptable performance"

Distribute HO-5 "Step III—Determine Objectives."

Use **TRANSPARENCIES:**
- **CP-28** "Focus on words that are measurable"
- **CP-29** "Words with Fewer Interpretations"

Charge:

Write out objectives for your project.

IMPACT:

a change in behavior

RATIONALE

- Answers the question - "WHY?"
- It sells the plan

logic

from needs assessment

expert opinion

theories

research

FIRST:

Identify the terminal behavior by name.

To recruit potential employees so that we increase the number of minority/ethnic group employees hired until they reach at least 10% of workforce.

SECOND:

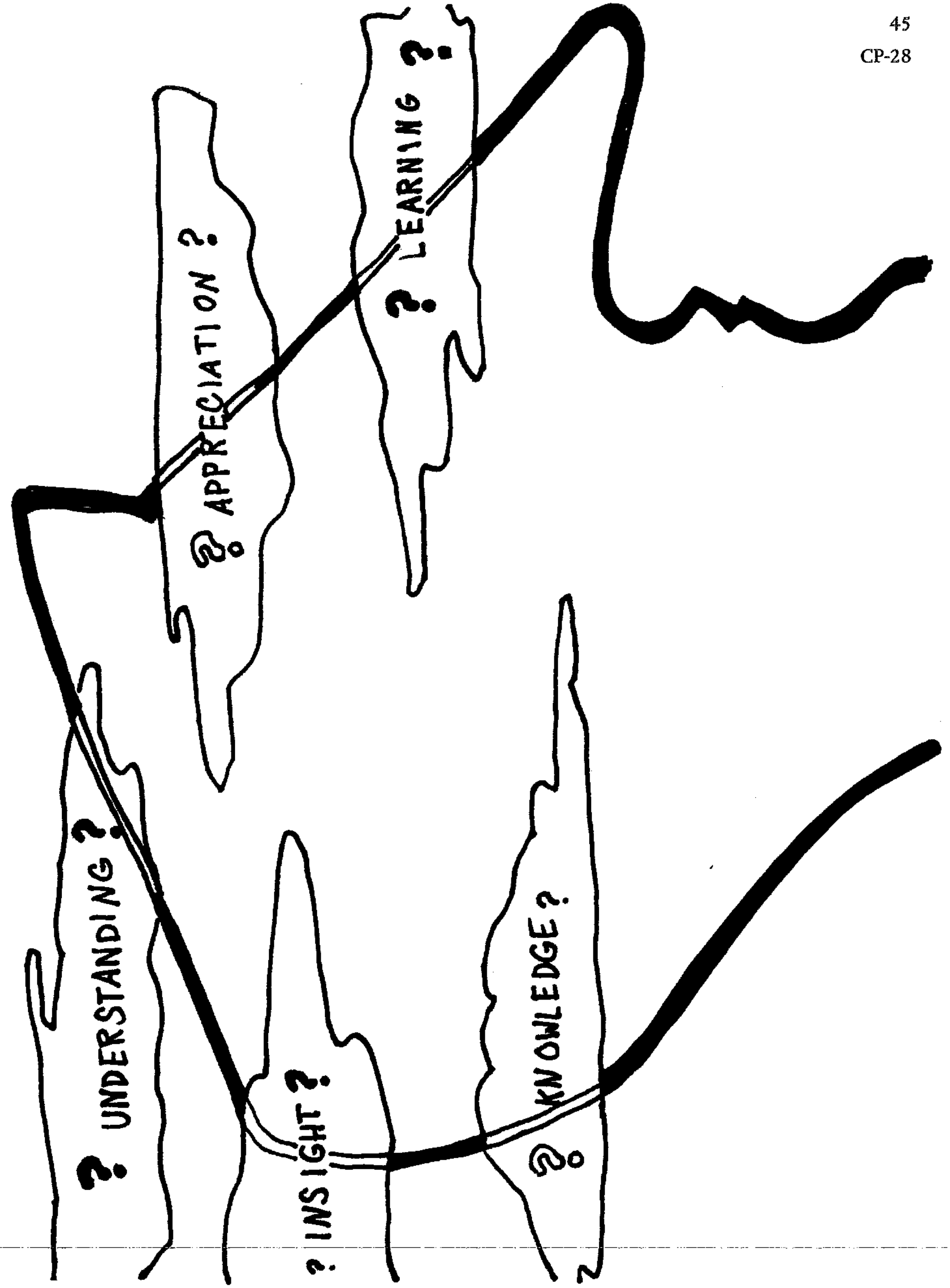
Describe the important conditions under which the behavior is to occur

To recruit potential employees so that we increase the number of minority/ethnic group employees hired until they reach at least 10% of workforce.

THIRD:

Specify the criteria of acceptable performance.

To recruit potential employees so that we increase the number of minority/ethnic group employees hired until they reach at least 10% of workforce.


? UNDERSTANDING ?
? INSIGHT ?
? KNOWLEDGE ?
? APPRECIATION ?
? LEARNING ?

Words Open to Many Interpretations	Words Open to Fewer Interpretations
to know	to write
to understand	to recite
to really understand	to identify
to appreciate	to differentiate
to fully appreciate	to solve
to grasp the significance	to contrast
to enjoy	to list
to believe	to compare
to have faith	to contrast

Step IV—Develop Strategies/Action Planning, Component 6, Action Alternatives

Time required: about 30 minutes

Review **TRANSPARENCIES**:

CP-10 "Responsive, Viable, and Productive Organizations: 1) Gather, Reliable and Relevant Data" (p. 23)
CP-11 "Responsible, Viable, and Productive Organizations: 2) Generate Alternative Problem Solutions" (p. 24)
CP-12 "Responsible, Viable, and Productive Organizations: 3) Gain a Commitment to Decisions That Have Been Made" (p. 25)

Distribute Chapter IX "Action Alternatives," (pp. 36-37).

Distribute HO-6 "Component 6, Action Alternatives."

Charge:

Examine each of your objectives and generate several action alternatives for each objective.

Step IV—Develop Strategies/Action Planning, Component 7, Developing Strategies

Time required: about 20 minutes

Distribute Chapter X "Developing Strategies" (pp. 38-39).

Allow time to read.

Distribute HO-7.

Charge:

Write out what strategies will help you achieve your objectives.

Step IV—Develop Strategies/Action Planning, Component 8, Task Analysis/Feasibility Testing

Time required: about 1 hour

Use **TRANSPARENCIES:**
- **CP-30** "Task Analysis"
- **CP-31** "Feasibility Testing"
- **CP-32** "Feasibility Testing Only After Task Analyzed"
- **CP-33** "Feasibility Test as to Time, Expertise, Money, Materials, Acceptance"

The branching diagram (Figure 17) is an example of how a task analysis feasibility testing can be done by using a chart with columns.

Draw one on newsprint

Distribute Chapter XI "Task Analysis/Feasibility Testing."

Distribute HO-8 "Make a branching diagram or other type of task analysis and develop plans for feasibility testing."

One way to do feasibility testing is to prepare a chart similar to this one. Ask what is required and will it work in your organization? Consider whether you have the time, dollars, materials, facilities, and expertise.

CHART FOR USE ON NEWSPRINT FOR FEASIBILITY TESTING.

Objective or Activity	Time	Dollars	Materials	Facilities	Expertise

TASK ANALYSIS

BREAKING A TASK INTO ITS COMPONENTS IN ORDER TO DETERMINE WHAT HAS TO BE DONE AND WHO WILL BE RESPONSIBLE FOR DOING IT.

Feasibility Testing

"Say, that's a good idea,
but will it work?"

(what resources and research
available)

Feasibility testing

should be done **only after** a task has been **analyzed.**

FEASIBILITY TEST

as to:

Time

Expertise

Money

Materials

Acceptance

Step V—Implementation, Component 9, Change Process Models

Time required: about 40 minutes

Introduce component with **TRANSPARENCY** CP-34 "Change is our only constant"

Change—we live in a time of change. Organizations either go forward or they stagnate. Change is our only constant. We are going to compare two different change models—those by Kurt Lewin and Roger Pankratz.

CP-35 "Change Phase: Unfreezing"

Lewin speaks of an "unfreezing" phase which is an aim of an individual ready to change because of a dissatisfaction with present conditions.

CP-36 "Change Phase: Change Itself"

The second phase is the change itself during which the individual or organization can be presented with the new, expected behavior and can begin to use new skills to effect change.

CP-37 "Change Phase: Refreezing"

"Refreezing" is when the change is in place.

Distribute Chapter XI "Change Process Models in Planning" (pp. 43-46).

Figure 19 on page 45 compares Lewin's three stages with the five stages of Pankratz and his associates.

Allow time for reading.

Point out that too many changes at once can be confusing

Use **TRANSPARENCY CP-38** "Complacent—Totally Frustrated"

Use **TRANSPARENCY CP-39** "One of the greatest mistakes managers make is underestimating the amount of time change takes"

Distribute HO-9 which asks them to identify some ways in which a temporary system can be helpful to their projects.

change is our only CONSTANT

change Phases

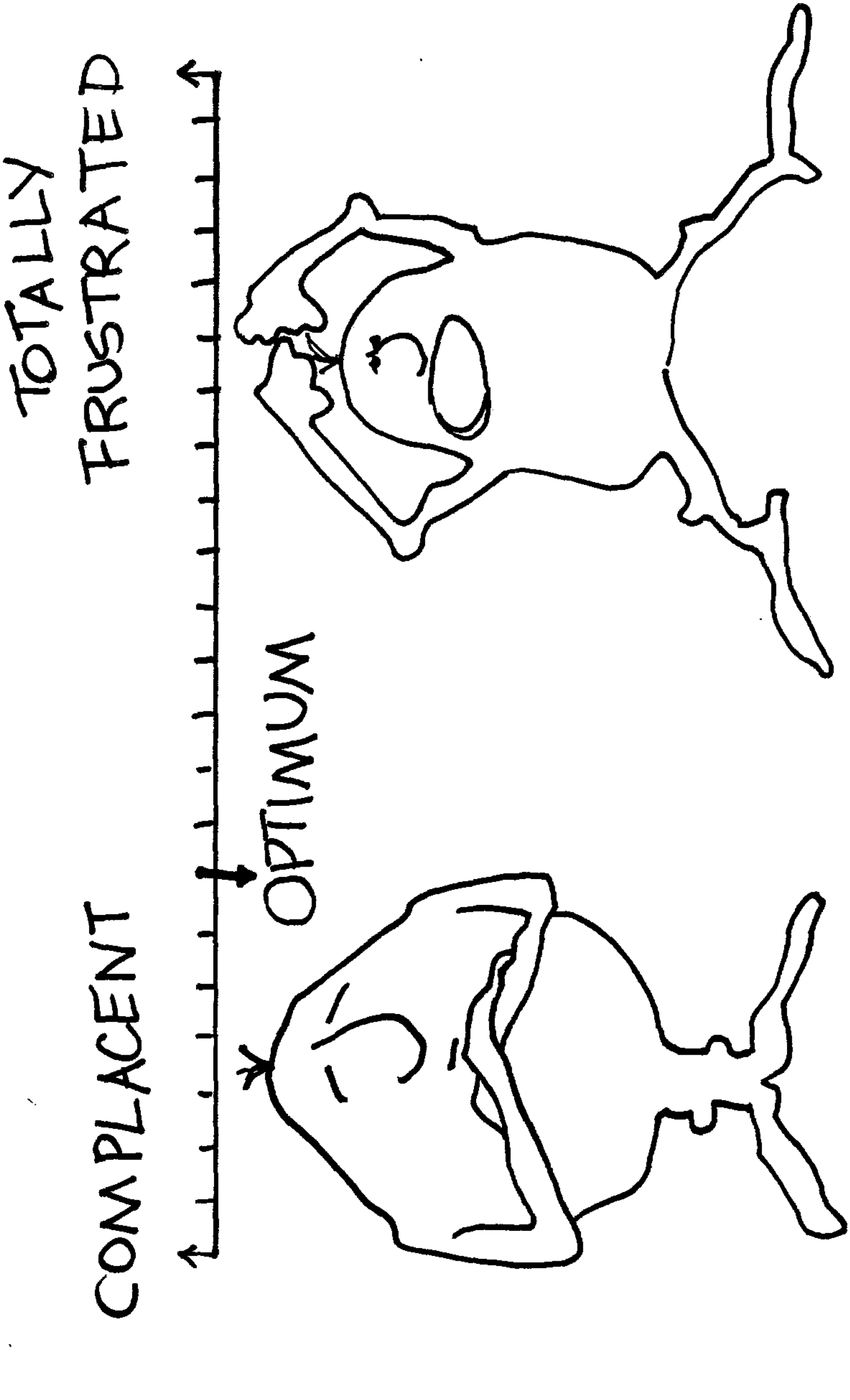
UNFREEZING

Change Phases

CHANGE ITSELF

Change Phases

REFREEZING


COMPLACENT
OPTIMUM
TOTALLY
FRUSTRATED

One of the greatest mistakes that managers make in introducing changes in organizations is to underestimate the amount of time that's needed.

Step V—Implementation, Component 10, Change Styles: The Role of Leadership

Time required: about 20 minutes

Use **TRANSPARENCIES**:

CP-40 "Participative Change Cycle"
CP-41 "Directed Change Cycle"
CP-42 "Participative Change Advantages/ Disadvantages"
CP-43 "Coercive Change Advantages/ Disadvantages"

Distribute Chapter XIII "The Change Cycles: The Role of Leadership" pp. 47-48.

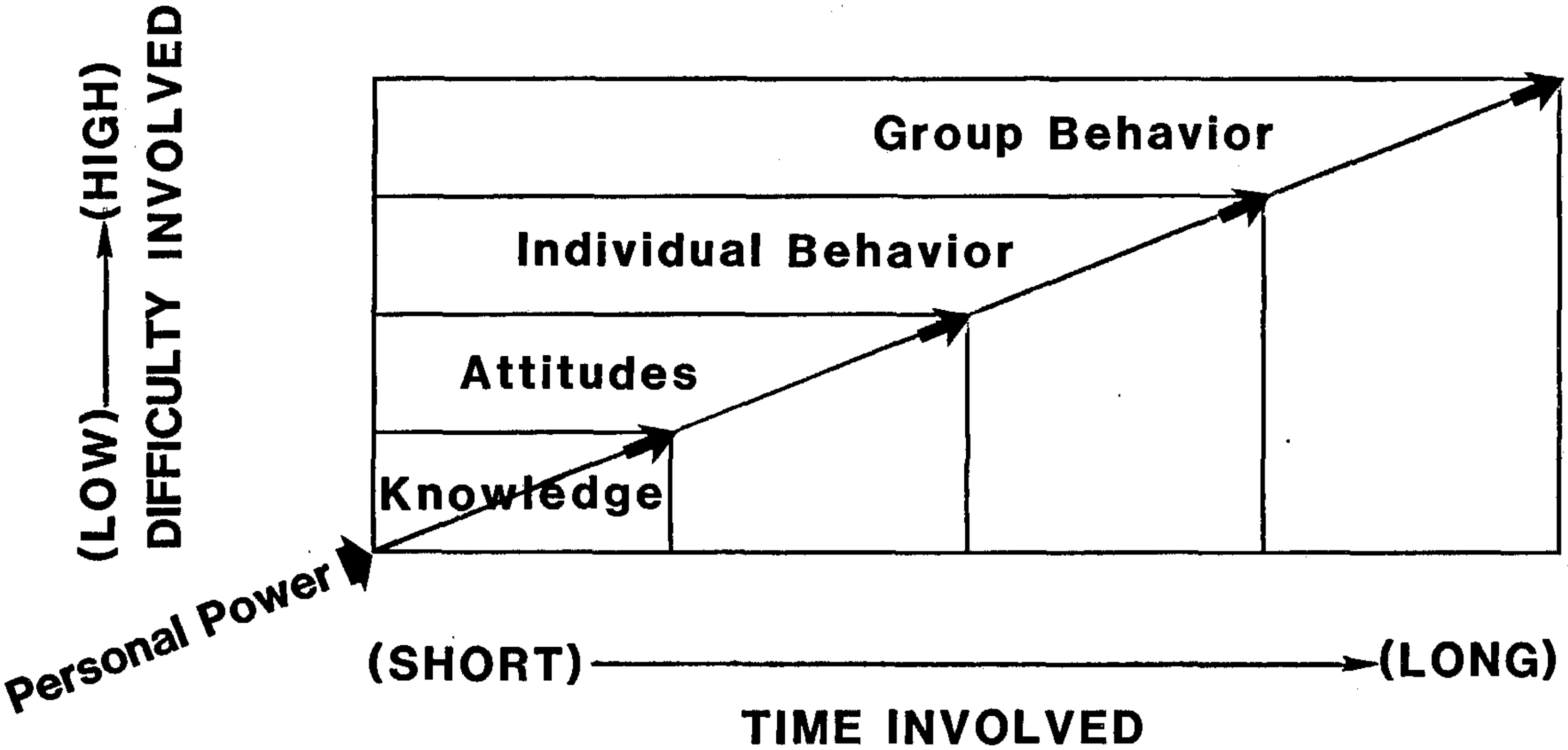
Allow time to read.

Distribute HO 10 "Change Cycles: The Role of Leadership"

Charge:

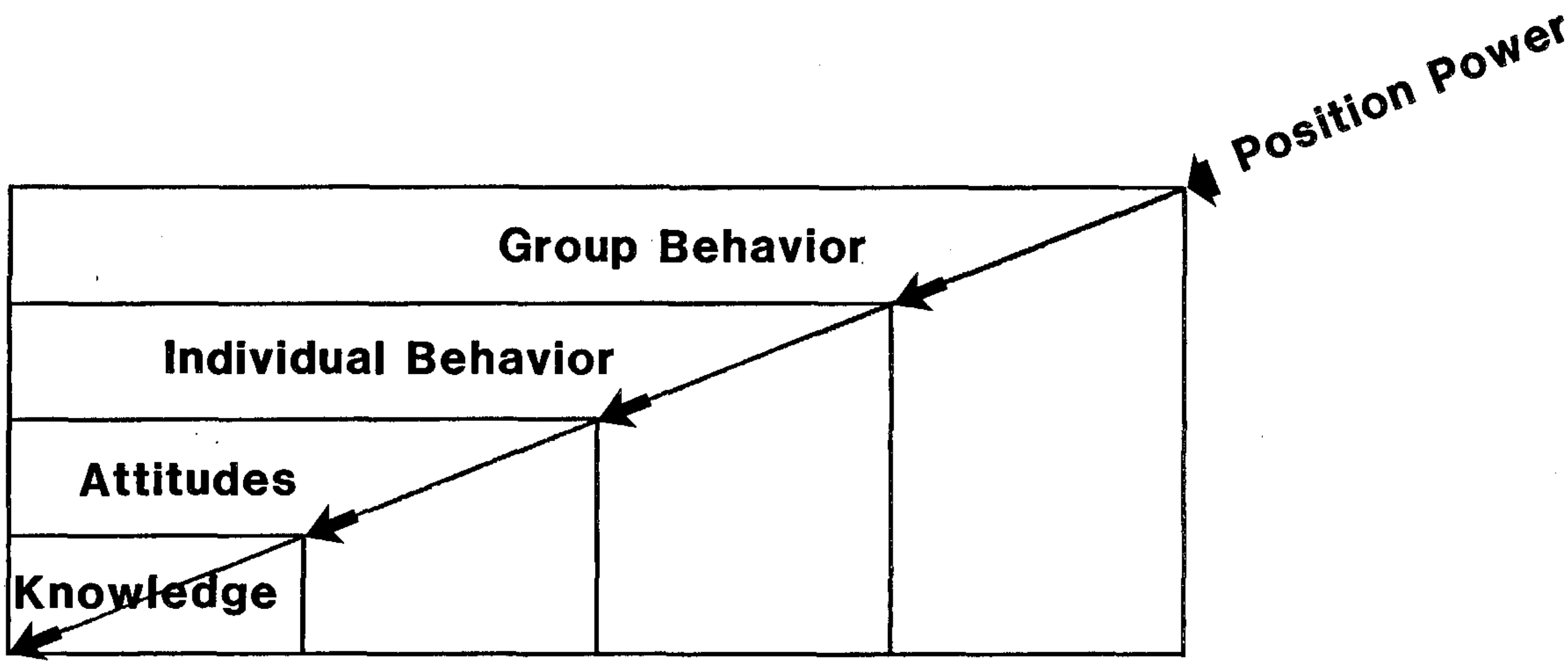
In your groups discuss the three questions listed on the handout.

PARTICIPATIVE CHANGE CYCLE



Time and Difficulty Involved in Making Various Changes

COERCED CHANGE CYCLE



Participative Change

Advantage – Commitment, involvement, quality

Disadvantage – It may take a long time or it may never happen.

You will need personal power.

Coercive Change

Advantage- It's fast

Disadvantage- It may well create hostility

You will need <u>position</u> power.

Step V—Implementation, Component 11, Budget and Resource Allocation

Time required: about 20 minutes

Use **TRANSPARENCIES:**

CP-44 "The Budget: A Numerical Charted Summary of the Costs Necessary to Meet the Objectives of the Plan/Proposal"

CP-45 "Support/Selling"

Distribute Chapter XIV "Budget and Resource Allocation."

Distribute HO-11.

Charge:

List all of the items you can identify that must be included in your budget. What other resources will be required to implement your project?

Depending upon questions from the group you may want to say a few words about the importance of having budget and your proposal narrative match so items are mentioned in budget but do not appear in narrative.

THE BUDGET

A numerical, charted summary of the costs necessary to meet the objectives of the plan proposal

SUPPORT SELLING

Gaining support for the plan or proposal.

Step V—Implementation, Component 12, Total Systems Planning

Time required: 15 minutes

Use **TRANSPARENCY CP-46** "Total Systems Planning"

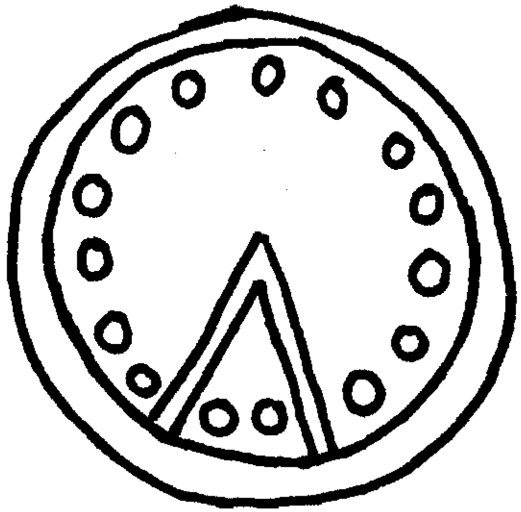
Distribute Chapter XV "Total Systems Planning."

Distribute HO-12 "Total Systems Planning."

Charge:

Describe ways in which your project is a subsystem. Now describe it as part of a total system.

TOTAL SYSTEM PLANNING



- seeing the plan as a total system
- seeing the plan as a subsystem

Step VI—Evaluation, Component 13, Evaluation: The Feedback Loop

Time required: about 45-55 minutes

Use TRANSPARENCIES:

CP-47 "Mid-course Corrections"
CP-48 "Overplanning Problems: Wasted Resources and Overcommitment"
CP-49 "Evaluation—A Definition"
CP-50 "Evaluation—Data for Decision-Making"
CP-51 "Product Evaluation: What are Your Results"
CP-52 "Process Evaluation: How You do Things"
CP-53 "Context Evaluation: What Learning Environment is Available"
CP-54 "Philosophy: Goals-objectives-activities-evaluation"
CP-55 "Not to Prove Failure but Help with Mid-course Corrections"

Distribute Chapter XVI "Evaluation: The Feedback Loop."

Allow time for reading.

Distribute HO-12 "Evaluation."

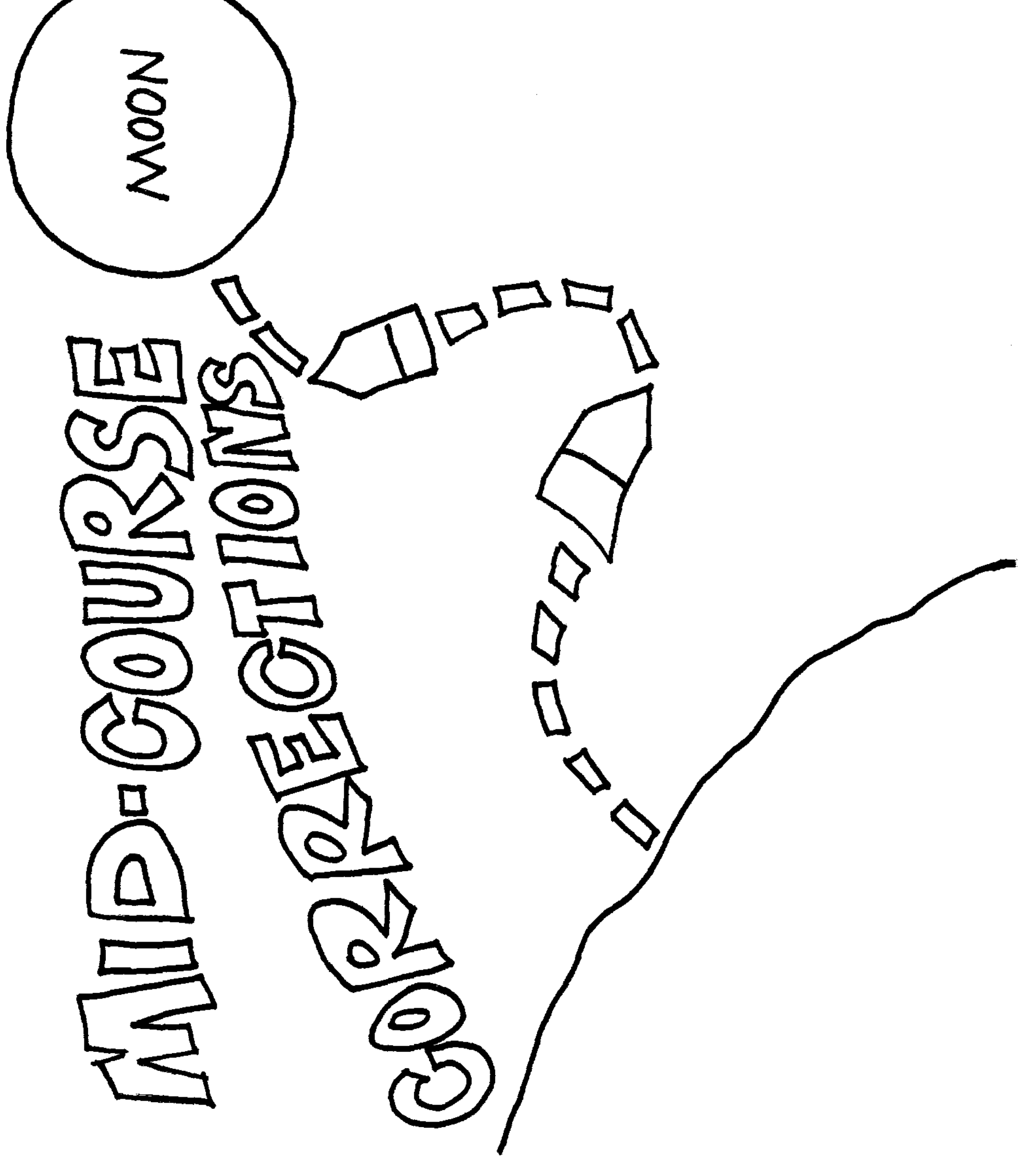
Charge:

Write plans for evaluation throughout the process of planning.

Distribute HO-13, 14, 15, and 16.

These diagrams on the handouts give additional ideas that participants may consider in evaluation of their proposals/plans.

At end of workshop allow time for HO-17 "Participant Exit Form" which is an evaluation of the entire workshop.


MOON
MID-COURSE
CORRECTIONS

OVERPLANNING PROBLEMS

1. WASTED RESOURCES
   a. time
   b. energy
2. OVER COMMITMENT

Evaluation – A DEFINITION

THE PROCESS OF DETERMINING THE *KINDS OF DECISIONS* THAT HAVE TO BE MADE; *SELECTING, COLLECTING & ANALYZING INFORMATION* NEEDED IN MAKING THESE DECISIONS; AND THEN *REPORTING* THIS INFORMATION TO APPROPRIATE DECISION MAKERS.

EVALUATION

DATA FOR

DECISION-MAKING

PRODUCT EVALUATION

▫ WHAT ARE YOUR RESULTS ▫

CONTEXT EVALUATION

- WHAT LEARNING ENVIRONMENT IS AVAILABLE -