



TRAINING NEED ANALYSIS CONSULTANCY SKILLS COURSE MANUAL



Government of India
Training Division
Department of Personnel and Training

TRAINING NEED ANALYSIS (TNA) CONSULTANCY SKILLS COURSE

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I= Introduction, T=Tools, BT=Blended Tools, C= Checklists, R= Recommended Notes, E= Exercises, CS= Case Study, PP=Performance Problem, P= Project

INTRODUCTION

I 1.1 TNA PPT

Trainer Development Programme

Training Need Analysis (TNA)

TNA and Use of TNA Resource kit

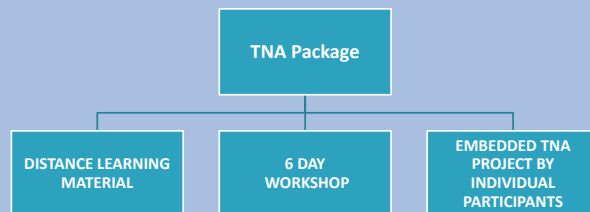
THE TNA PACKAGE

Brief Overview

FIRST UNDER DoPT WAS DONE IN HCM-RIPA, UDAIPUR FROM 3rd TO 14th DECEMBER, 2001

SECOND UNDER DoPT WAS DONE AT AASC, GUWAHATI FROM 21st OCTOBER TO 1st NOVEMBER, 2002

TNA PACKAGE: DIVIDED INTO THREE PARTS



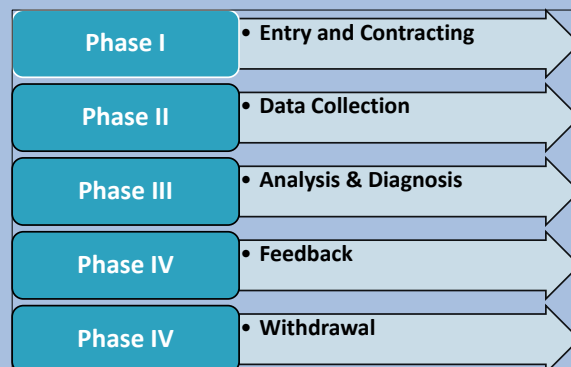
Training Need Analysis - DEFINITIONS

- Assessment of Training requirements of a target group in terms of
 - Number of trainees
 - Their educational and professional background
 - Their present level of competencies and job functions
 - The desired behaviour or skill level acquired at the completion of training
- An examination of an organization's present and expected operations and the workforce necessary to carry them out, in order to identify the numbers and categories of employee needing to be trained or re-trained.

Four ways of Doing TNA

1. Job Analysis
2. Task Analysis
3. Competency Analysis
4. Performance Problem

FIVE PHASES DURING WORKSHOP



PHASE – I: ENTRY AND CONTRACTING

TNA Activities

- Initial Research
- Plan the first meeting
- Meet the client
- Explain purpose of TNA
- Identify stakeholders
- Identify constraints
- Agree Terms of Reference

PHASE – II: DATA COLLECTION

TNA Activities

- Understand the Organization
- Collect information
- Interview employees
- Establish performance standards
- Analyse performance issues

PHASE – III: ANALYSIS AND DIAGNOSIS

TNA Activities

- Analyse hard data
- Analyse soft information
- Establish priorities
- Identify training needs
- Identify non-training implications

PHASE – IV: FEEDBACK

TNA Activities

- Prepare draft report
- Prepare presentation
- Present findings and recommendations
- Agree priorities

PHASE – V: WITHDRAWAL

TNA Activities

- Discuss training plan with client
- Prepare design briefs
- Brief stakeholders
- Clarify responsibilities
- Set targets
- Agree follow-up

THE TNA RESOURCE KIT

DURING THE FIVE PHASES –

- A CASE STUDY
- 17 TOOLS
- 12 CHECKLISTS
- 7 RECOMMENDED NOTES
- 2 EXERCISES

ARE PROVIDED TO THE PARTICIPANTS TO CREATE
EXPERIENTIAL LEARNING

PHASE – 1: ENTRY AND CONTRACTING

1.1 TERMS OF REFERENCE

This is an essential tool for most TNA consultancies as it defines the purpose and provides authority – both of which may be needed to carry out an effective consultancy

1.2 SURVEILLANCE

The use of this tool depends on your knowledge of the client organization, before discussing ToR with your client

PHASE – 2: DATA COLLECTION

2.1 SWOT

This tool is somewhat similar to 1.2, except that it is likely to be more specific, and done with stakeholders

2.2 SPIO

Provides overall opinions about aspects of organizational performance – from key people, such as stakeholders and beneficiaries

2.3 ENVIRONMENTAL, MOTIVATIONAL & BEHAVIOURAL

Bear in mind that your consultancy is primarily concerned with identifying training needs. This tool is useful in that it separates performance problems into training and non-training needs

2.4 RESPONSIBILITY MAPPING

Use this tool to establish relationships between 'actors' and 'actions' to trace authority and responsibilities

PHASE – 3: ANALYSIS AND DIAGNOSIS

3.1 FUNCTIONAL ANALYSIS

Defines the 'key purpose' within your client-organization and identifies supporting competences to achieve it

3.2 CAUSE AND EFFECT ANALYSIS

Examines in detail a specific performance problem to establish causes and likely training needs

3.3 VERSATILITY CHART

Provides an overview of a working group, in terms of the tasks being performed, competences and areas for training and development

3.4 JOB DESCRIPTION

These may exist – or need revising or preparing – to describe what a jobholder is expected to do, and their relationship with other members of staff, customers and beneficiaries

3.5 DE BONO

Helps to analyze situations/issues/information objectively from different perspectives

PHASE – 4: FEEDBACK

4.1 PERFORMANCE REPORT

Summarizes TNA findings for discussion with your client and stakeholder

4.2 PRIORITY LIST

Assists the client in deciding priorities and the relative importance of your recommendations

PHASE – 5: WITHDRAWAL

5.1 TARGET SETTING

Facilitates implementation of recommendations by defining action required, related to a timescale

5.2 TRAINING PLAN

Provides an overall view of the training and development needs of people connected to ToR

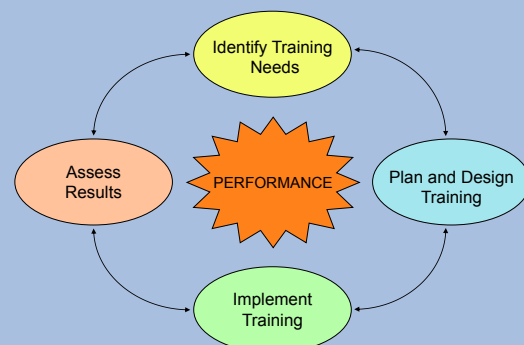
5.3 DESIGN BRIEF

AS the TNA consultant, you may be required to provide a specification or brief for training design

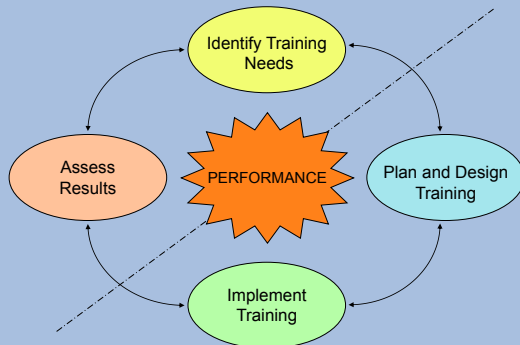
5.4 TNA Report

The culmination of a TNA consultancy is to submit a report of your findings and recommendations. This will be the basis for a variety of training, development and non-training initiatives. It also forms the main evidence for your consultancy certification

The Systematic Approach To Training - SAT



The Systematic Approach To Training - SAT



Definition of “Learning”

‘Get knowledge or skill, ability to - by study, experience or being taught’

‘Commit to memory’

‘Become aware of information, or... from observation’

‘Receive instruction..., become informed’

Oxford English Dictionary

Definition of “Learning”

- A planned process
- to modify attitude, knowledge or skill
- through learning experiences
- to achieve effective performance
- in an activity or range of activities...
- to satisfy... needs of organisation’

Glossary of Training Terms

Justification for Training

- Increased productivity
- Improved quality of products and service
- Less wastage
- Better utilisation of resources
- Reduced costs
- Fewer accidents
- Improved morale

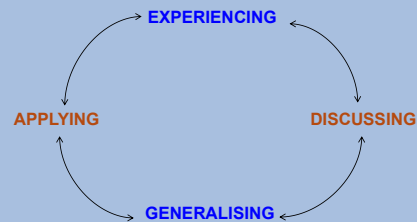
Definition of “DEVELOPMENT”

The growth or realisation of a person’s ability, through conscious or unconscious learning.

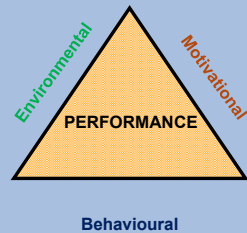
Glossary of Training Terms

Development includes planned study and work-related experiences, supported by counselling, coaching, advisory and assessment services.

Experiential Learning



THREE FACTORS AFFECTING PERFORMANCE



- Skills or Ability
- Environment or proper working conditions
- Motivation or the drive to perform

ENVIRONMENT

People often do not perform as desired because-

- They don't have the tools to do so
- The rules do not permit them to do so
- The procedures prevent them from doing so
- The resources are not available for doing so
- They do not know what they are expected to do

MOTIVATION

Often also, people do not perform as desired because-

- They are punished if they perform (by additional work)
- They do not get punished for not performing
- They are rewarded for non-performance (by less work)
- They find no reward for sincere performance
- Performing may be risky
- Not performing means no risks

JOB SATISFACTION

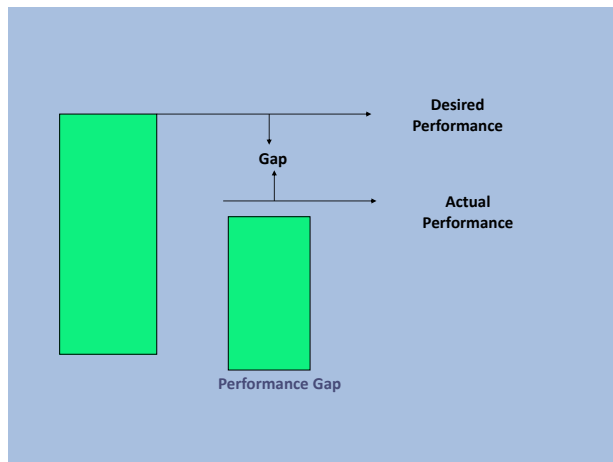
Factors influencing job satisfaction:-

- The degree of control we have over the way we do our job
- The scope we have for pride in the work we do
- The amount of recognition we receive
- The environment we work in
- The person we work for; and
- Security, money and promotion prospects

BEHAVIOUR

In other cases people do not perform as desired because -

- They do not know how to do it
- They find it very difficult to do it
- They are not sure whether they are doing the right thing
- They are slow in doing it and complete it late



LEARNING NEED

- A *Learning Need* arises when an individual or a group is required:
 - ☐ To do things differently, or
 - ☐ To do different things
- *Learning Needs* can arise from:
 - ☐ Performance Review
 - ☐ New Priorities
 - ☐ New Rules, etc.

LEARNING NEEDS v/s. TRAINING NEEDS

Majority of learning needs are met informally as part of day-to-day job experience by the

- ☐ Individual, or
- ☐ Group involved, or
- ☐ Informal help from colleagues, or
- ☐ Managers

A Training Need arises only when a Learning Need cannot be met within the normal day-to-day processes or when meeting learning need in this way will –

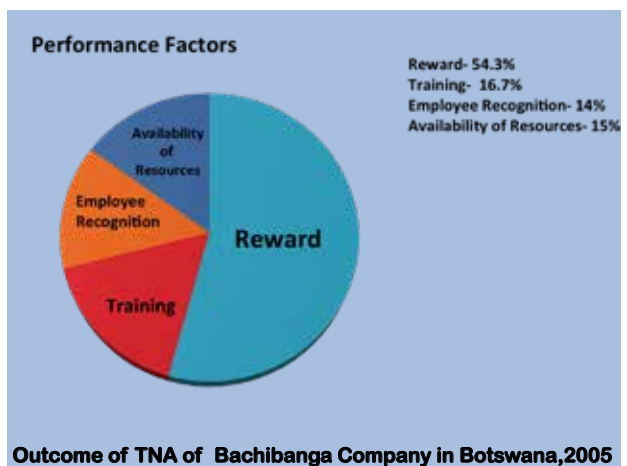
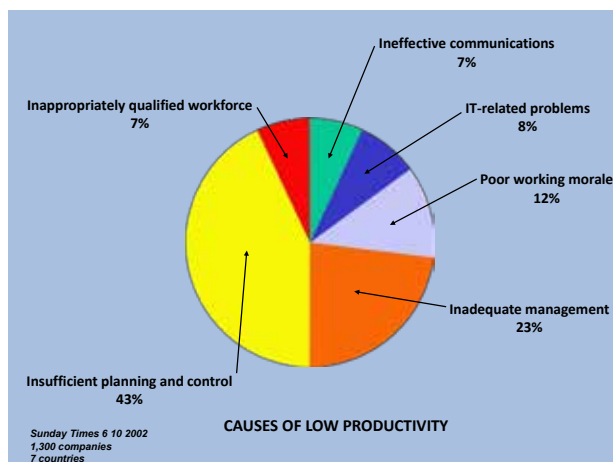
- ☐ Take too long
- ☐ Involve too high a risk/cost
- ☐ Net result is required standard of performance
- ☐ When training is most cost-effective way of meeting the need
- ☐ New demands on existing roles
- ☐ Different standards of performance

Organizational Performance

A Training Need arises only when a Learning Need cannot be met within the normal day-to-day processes or when meeting learning need in this way will –

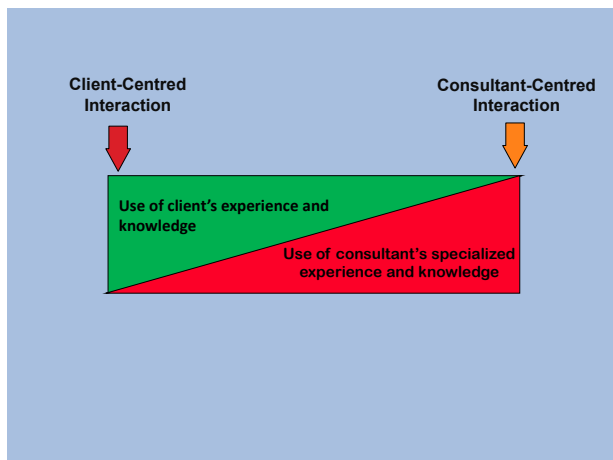
- ☐ Take too long
- ☐ Involve too high a risk/cost
- ☐ Net result is required standard of performance
- ☐ When training is most cost-effective way of meeting the need
- ☐ New demands on existing roles
- ☐ Different standards of performance

- Profitability
- Return on invested capital
- Utilisation of assets
- Market share
- Comparison with competitors
- Comparison to standards
- Customer or beneficiary reactions





Effective Consultant	Ineffective Consultant
Listens to understand	Appears superior in attitude
Accepts data without contradicting client	Decries what client says as unimportant
Initially non-judgmental	Criticizes or blames client
Concentrates on the assignment	Has many 'irons in the fire'
Takes time to assess problems	Shows impatience
Gets to know the problem or opportunity	Proposes instant pre-packed solutions
Summarizes accurately what clients say	Interested in own views, not client's
Gives confidence through gesture and behaviour	Lacking confidence
Fulfills promises	Fails to deliver
Adopts positive approach	Only points out what is wrong
Works to facilitate action	Works but no positive change emerges



Intervention Styles of Consultant

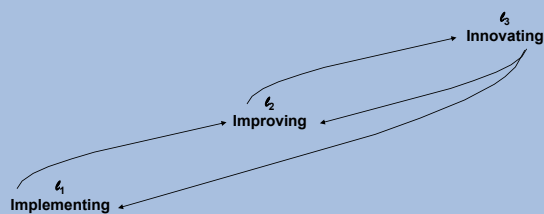
Supportive	Catalytic	Challenging	Theories and Principles	Prescriptive
Raises questions for reflection	Gathers data	Explores alternatives	Designs learning experiences	Directs in problem solving
Reflector	Fact finder	Alternative Identifier	Trainer	Technical Expert

Non-directive _____ Directive

Process Oriented _____ Product Oriented



ORGANIZATIONAL, GROUP AND INDIVIDUAL NEEDS AT THE THREE LEVELS OF PERFORMANCE



ORGANIZATIONAL, GROUP AND INDIVIDUAL NEEDS AT THE THREE LEVELS OF PERFORMANCE

Area of Need	Organizational	Group	Individual
Level of business benefit			
1: Implementing - doing things well	Meeting current organizational objectives	Working together to meet existing targets and standards	Being competent at the level of existing requirements
2: Improving - doing things better	Setting higher objectives and reaching them	Continuous improvement teams	Having and using systematic continuous improvement skills and processes
3: Innovating - doing new and better things	Changing objectives and strategies	Working across boundaries to create new relationships and new products and services	Being able to work differently and more creatively with a shared sense of purpose

I 1.2 Types of Needs Analysis

Different needs Assessment methods are used in different contexts.

Sources that can help you determine which needs analysis is appropriate for your situation are described below.

Organizational Analysis

An analysis of the organisations needs or other reasons the training is desired.

This requires an analysis of the organizations strategies, goals, and objectives. *What is the organization overall trying to accomplish?*

The important questions being answered by this analysis are:

1. Who decided that training should be conducted?
2. Why a training program is seen as the recommended solution to an organisation's problem?
3. What the history of the organization has been with regard to employee training and other management interventions?

Conducting an Organizational Analysis

- Determine what resources are available for training.
- What are the mission and goals of the organization in regards to employee development?
- What support will the senior management and managers give toward training?
- Is the organization supportive and on-board with this process?
- Are there adequate resources (financial and personnel)?

Job analysis / Task Analysis

It is an analysis of the job and the requirements for performing the work. This involves analysis of the tasks being performed and seeks to specify the main duties and skill level required.

This helps ensure that the training that is developed will include relevant links to the content of the job.

Conducting a job / Task Analysis

1. Interview employees, supervisors and managers in charge.
2. Review job descriptions and occupational information.
3. Develop an understanding of what employees need to know in order to perform their jobs.

Important questions to ask when conducting a Task Analysis:

- What tasks are performed?
- How frequently are they performed?
- How important is each task?
- What knowledge is needed to perform the task?

- How difficult is each task?
 - What kinds of training are available?
4. Observe the employee performing the job and document the tasks being performed. When documenting the tasks, make sure each task starts with an action verb.
 5. How does this task analysis compare to existing job descriptions? Did the task analysis miss any important parts of the job description? Were any tasks performed that were omitted from the job description?
 6. Organize the identified tasks. Develop a sequence of tasks. Or list the tasks by importance.
 7. Are there differences between high and low performing employees on specific work tasks?
 8. Would providing training on those tasks improve employee job performance?
 9. How is information gathered by the employee? What does the employee do with the information? Can training improve this process?

Competency Analysis

An analysis dealing with potential participants/employees level of competency.

The important questions being answered by this analysis are

1. Who will receive the training ?
2. Participants' level of existing knowledge on the subject
3. Participants' learning style
4. Who will conduct the training?
5. Are there changes to policies, procedures, software, or equipment that require or necessitate training?

Knowledge, Skills, and Abilities

Today's workplace often requires employees to be independent thinkers responsible for making good decisions based on limited information. This kind of work may require training if the employee does not have these skills. Below is a list of various competencies that employees may be required to possess in order to perform their jobs well.

- Adaptability
- Analytical Skills
- Action Orientation
- Business Knowledge/Acumen
- Coaching/Employee Development
- Communication
- Customer Focus
- Decision Making

- Fiscal Management
- Global Perspective
- Innovation
- Interpersonal Skills
- Leadership
- Establishing Objectives
- Risk Management
- Persuasion and Influence
- Planning
- Problem Solving
- Project Management
- Results Orientation
- Self-Management
- Teamwork
- Technology

Performance Analysis

Are the employees performing up to the established standard? If performance is below expectations, can training help to improve this performance? Is there a *Performance Gap*?

Conducting a Performance Analysis

This technique is used to identify which employees need the training.

1. Review performance appraisals.
2. Interview managers and supervisors. Look for performance measures and data such as benchmarks and goals.
3. Are there differences between high and low performing employees on specific competencies?
4. Would providing training on those competencies improve employee job performance?

Performance discrepancies and its causes may show that training interventions may not be required to increase performance, job efficiency/competency, for improving organizational performance. It is important to see if there is a need for training or non-training interventions as well as the benefit of training.

- **Training Suitability Analysis.** Analysis of whether training is the desired solution. Training is one of several solutions to organisations' performance problems. However, it may not always be the best solution. It is important to determine if training will be effective in its usage.
- **Cost-Benefit Analysis.** Analysis of the return on investment (ROI) of training. Effective training results in a return of value to the organization that is greater than the initial investment to produce or administer the training.

I 1.3 Introduction to Consultancy Process

THE TNA CONSULTANCY PROCESS

The TNA process involves using a range of techniques to analyse how an organisation's employees can be helped to improve performance. This can be done individually for particular employees, or for groups of workers, or for departments – even for an organisation as a whole. It can also be used for all levels of staff.

The result of doing a TNA is to accurately identify where and for whom training is needed, and to be able to present training recommendations to management for approval as a justifiable.

The following process, as the matrix (I 1.3) illustrates, provides a general basis for carrying out a TNA. This will apply to both an 'internal consultancy', where you are an employee or to an 'external consultancy' where you are acting as a contracted TNA consultant.

The process consists of **five phases** leading to a comprehensive identification of training needs.

Note: Each TNA Consultancy assignment is unique and the process and the use of each phase will have to be adapted to suit different situations.

PHASE 1: ENTRY AND CONTRACTING

TNA Activities

- Initial research
- Plan the first meeting
- Meet the client
- Explain purpose of TNA
- Identify stakeholders
- Identify constraints
- Agree Terms of Reference

Purpose

The purpose of this phase is to prepare both you and your client organisation for the consultancy. Initially, the phase provides an opportunity to find out about the organisation and the business environment in which it operates. This enables you to be well prepared to establish **terms of reference**. It also save time and helps to establish rapport with your client.

Of even more importance is to talk to people in the organisation at all levels to explain the reasons for carrying out a TNA consultancy and the process you intend to use. Stress how they can benefit from your work. It is vital that they see the consultancy not as a threat, but as an opportunity to contribute to the success of the organisation and to the security of their jobs.

The first meeting is your opportunity to gain entry to the organisation, develop rapport with the client and others, who can be considered as 'stakeholders'. You are selling both the concept of TNA and your

consultancy services will undermine your credibility to analyse the organisation's need for training. **It is essential to gain their confidence and commitment.**

Tips

If you are an external consultant, find out as much as you can about the organisation, its senior management and the business environment in which it's operating. Use **PEST** to provide a framework for this investigation. If you are an internal consultant, then this information will be known to you, although you may need to distance yourself from personalities and from preconceived ideas about problems and solutions.

Use the **checklist** to plan a short explanation of TNA, what you'll be doing and the results to be expected. Emphasise the benefits to the organisation and try to gain the client's commitment.

Use the opportunity to identify key stakeholders, especially those who have a direct influence on performance issues.

Be realistic about the promises you make and the expectations you raise with the client. Don't promise more than time and opportunity will permit you to achieve.

Negotiate the Terms of Reference for the TNA consultancy to take account of the expressed wishes of the client and your ability to meet them. Ensure that you have the client's authority to interview employees, and to have access to data about the organisation's operations and personnel.

It is important to ensure that all employees are aware of what is being done. They may be apprehensive about the consequences of what to them might be a threatening activity. They need to be reassured of the benefits they can obtain from the consultancy.

Employees are likely to respond positively to the prospect of training. There is also likely to be a great deal of untapped potential in an organisation, perhaps by means your consultancy some of this can be utilised for the benefit of all concerned including you!

Outcomes Intended

- Identification of 'stakeholders' in and associated with the organisation
- Identification of constraints which may limit the extent of the TNA consultancy.
- Terms of Reference approved by the client.

PHASE 2: DATA COLLECTION

TNA Activities

Understand the organisation

Collect information

Interview employees

Establish performance standards

Analyse performance issues

Purpose

The amount and quality of data obtained about the organisation and its activities will determine the effectiveness of the consultancy. It will be necessary to decide an overall strategy for collecting data, using a combination of **interviews and observation**. Data obtained should be relevant to the organisation, and to the sector and, where available, national standards of performance. This may apply to individuals, or to departments or functions within the organisation – such as administration, sales, finance, manufacturing, liaison with beneficiaries, funding agencies, etc.

Your ability to collect what is likely to be a wide variety of data and information will depend upon the time available, and the strategy you choose to use. An inappropriate use of time and a failure to adopt a suitable strategy may result in collecting insufficient or inadequate data, leading to a superficial or faulty identification of training needs.

Tips

The data potentially available is likely to consist of hard, objective facts and information about the organisation, its systems, working practices, and the business environment in which it's operating. Soft information, based on subjective opinions and suggestions will also emerge – especially from interviews. Both are important and often complementary.

Start this phase by obtaining an **organisational chart** showing the disposition of the workforce, and its allocation to departments or working groups. In a small organisation this may be informal where nothing exists on paper. Nevertheless, it could be important and worth doing yourself.

The existence of an **appraisal system**, as well as providing useful information, may provide an indication of how an organisation manages its human resources. Many smaller companies do not have appraisal systems, and it would be unrealistic to expect them to have one; others may have a system of questionable value.

Concentrate on building up a picture of the organisation, using information obtained from tools such as; **SWOT, SPIO, and Environmental, Motivational and Behavioural Factors, and Responsibility Mapping**. Link this to hard data that highlights features of the organisation's performance.

Select problem areas where there is evidence of significant **performance problems** that can be attributed to a lack of knowledge and skill.

Examine **environmental and motivational factors** that may influence the success of any training that might be proposed. Note any that will seriously impede the success of training.

Avoid getting enmeshed in detail, concentrate on collecting broad data about people and their performance. Find out what relevant data is available, and draw conclusions from what is not.

Interviews, either with individual employees, or working groups, will usually provide the best quality data. Try to cross check what might be vital information or opinion.

Keep **detailed notes** of your interviews for reference purposes in later phases. As far as possible, attribute soft data to people and situations – but only with their permission.

Outcomes Intended

- Evidence of performance problems – attributed to a lack of knowledge and skill.

- Evidence of performance problems influenced by environmental or motivational factors.
- Completion of some, but not necessarily all the TNA tools listed above.
- Verification of the data by stakeholders and others who have contributed to its collection.

PHASE 3: ANALYSIS AND DIAGNOSIS

TNA Activities

Analyse hard data

Analyse soft information

Establish priorities

Identify training needs

Identify non training implications

Purpose

Having collected information and data about the organisation and its employees, this will need to be analysed taking into account the organisation's priorities. The analysis should focus attention on performance related issues, either directly concerned with the training needs of employees or, alternatively, other issues indirectly influencing their performance.

The mixture of hard and soft data, and your personal impressions, will need to be interpreted and valued in relation to the potential they offer towards helping people to improve performance. The purpose of diagnosis will be to identify fundamental causes of performance problems, and to associate them with realistic proposals for training and non-training activities.

Tips

TNA tools used during earlier phases provide the basis for detailed analysis. Having analysed major performance problems, this leads into diagnosis, and to training and non-training implications.

Use an appropriate **Functional Analysis** to define roles and work areas of people associated with the performance problem.

The **Cause and Effect** tool will enable you to analyse the causes of the problem. You can probably trace flaws in procedures, contributory incidents and the people involved.

The **Versatility Chart** can be used to analyse working groups, and to use the information to identify training needs.

The existence of **Job Descriptions**, and their current validity, may indicate good management practice. If they are not used consider helping key people to write them as a means of clarifying role, responsibilities, relationships and authority.

Outcomes Intended

- Clearly defined roles and responsibilities.

- Identified training needs for individual employees or working groups.
- Non training needs that may significantly influence performance.
- Supporting evidence of the performance problem these training needs will address.

PHASE 4: FEEDBACK

TNA Activities

Prepare draft report

Prepare presentation

Present findings and recommendations

Agree priorities

Purpose

The purpose of the feedback phase is to present a **draft report** to the client, outlining findings and recommendations. A main feature of this phase of the consultancy should be **to highlight significant performance deficiencies, problems and opportunities for development** both for individual workers and for the organisation as a whole. These will be of direct concern and interest to your client and will establish the basis for discussing training needs.

Although you are mainly concerned with the identification of training needs, it is also important to include non-training recommendations which have a direct influence on performance. Following an exchange of views, priorities and plans for training can be agreed.

The intention of the **presentation** is to engage your client and, if possible, stakeholders in a dialogue to discuss your recommendations. This is likely to result in changes being made to the draft report.

Tips

Stress that you are presenting a draft TNA report as the basis for discussion.

Focus attention on performance issues that directly influence business and the success of the organisation.

Use the **Performance Report** forms to give structure to the discussion, with separate forms for each performance issue.

As far as possible, use words and suggestions made by the client and stakeholders. You want them to feel a sense of ownership of both the problems you have analysed and your recommended solutions.

Present the problems, supported by data as evidence. This need not be included in the **presentation** but should be available to substantiate your proposals.

Offer your client options from which an acceptable choice can be made. Use the **Priority List** to help your client decide priorities.

Use flipchart or projection system to present your report. Also remember that client's are busy people with a limited attention span. Concentrate your efforts on recommendations where the client is feeling real 'pain', and where the training you are proposing offers significant cost benefits.

Take notes of the points raised by the client and stakeholders. Ensure that you consider these when completing the report.

Outcomes Intended

- A completed TNA report
- Priorities agreed
- An agreement to tackle non training factors affecting performance
- Commitment by the client and stakeholders to implement proposals.
- Targets agreed for both training and non training activities.

PHASE 5: WITHDRAWAL

TNA Activities

Discuss training plan with client

Prepare design briefs

Brief stakeholders

Clarify responsibilities

Targets set

Agree follow up

Purpose

The primary purpose of a TNA consultancy is to help a client organisation identify its training needs, and to agree plans to meet those needs. The withdrawal phase of the process is therefore concerned with closing down the consultancy, but leaving the client, stakeholders and employees committed to implementing the agreed plan.

Further assistance may be required to help the client plan and implement the training plan. Although this may be outside your remit for the assignment, it's important that you withdraw leaving the client keen to continue. You also should establish ways in which you can return to the organisation to assess progress, and if possible, able to offer further assistance.

Tips

It's worth remembering that a major cause of a performance problem is due to environmental or motivational factors. Providing only training for such problems is unlikely to improve matters, so don't accept suggestions that training can be used to solve problems caused by them.

The client, as an individual, although keen to carry out the agreed training, is unlikely to be the person to actually do it. You also need to gain the commitment of the stakeholders and, if possible, the involvement of individual employees who will continue the process you have started.

Use **Target Setting and Training Plan** tools to help your client and stakeholders plan the implementation

of your recommendations.

Use **Design Briefs** to help trainers to design training that is relevant to specific performance problems and identified training needs.

The **TNA Report** is official documentation of your consultancy. It should be completed promptly for submission to the client organisation.

As far as possible, establish unofficial links with people you have identified as key players. This will enable you to unobtrusively check progress and provide whatever assistance is needed to achieve the agreed plans. If you are an 'internal consultant', then this should be easily done. As an 'external consultant' you may have to seek the assistance of colleges, or government funding agencies to enable you to maintain contact with your client.

During the TNA Consultancy you may have helped an individual employee identify personal development needs. Depending on the circumstances, it may be prudent to retain **confidentiality** for this, as these needs may be personal and of no benefit to the organisation.

Outcomes Intended

- The organisation is carrying out the agreed training plan.
- Training is being designed and developed based on the design briefs.
- Other, non training actions are being taken to improve performance.
- Targets have been set with stakeholders.
- There is evidence that the organisation is improving its performance.
- An opportunity for you to return to the organisation is agreed.

I 1.4 Phases of TNA and Resource Matrix

PHASE 1 “Entry & Contracting”	PHASE 2 “Data Collection”	PHASE 3 “Analysis & Diagnosis”	PHASE 4 “Feedback”	PHASE 5 “Withdrawal”
Tool1.1 Terms of Reference	Tool2.1 SWOT	Tool3.1 Functional Analysis	Tool4.1 Performance Report	Tool5.1 Target Setting
Tool1.2 Surveillance	Tool2.2 SPIO	Tool3.2 Cause & Effect Analysis	Tool4.2 Priority List	Tool5.2 Training Plan
	Tool2.3 Environmental, Motivational & Behavioural	Tool3.3 Versatility Chart		Tool5.3 Design Brief
	Tool2.4 Responsibility Mapping	Tool3.4 Job Description		Tool5.4 TNA Report
		Tool3.5 De Bono		
Chk1.1 First meeting with client	Chk2.1 Possible information to seek in an interview	Chk3.1 Causes of Performance Problems	Chk4.1 Setting priorities	Chk5.1 Preparing a Presentation
Chk1.2 Contracting meeting checklist	Chk2.2 Data collection face to face	Chk3.2 Responses to Performance Problems		Chk5.2 Using Learning Contracts
Chk1.3 Establishing ToR	Chk2.3 Behaviours checklist	Chk3.3 Analysis of Data Collected		
R1.1 The Trainer as a Consultant	R2.1 Interviewing to Obtain Information			R5.1 Persuasive Presentations

TNA TOOLS

T 1.1 Terms of Reference

The 'Terms of Reference' or ToR is the starting point of TNA Consultancy. It is used in Phase-I i.e. 'Entry and Contracting' Phase. In common parlance, it is like a Memorandum of Understanding or MoU

PURPOSE OF THE TOOL

Purpose of the Tool	<p>The main purpose of this tool is to associate you with your 'client' and 'client organization'.</p> <p>This will assist you to help your client to define why consultancy is being done and will provide administrative and financial authority.</p> <p>This will define outcomes expected from the Consultancy.</p> <p>The goal of the terms of reference is to:</p> <ul style="list-style-type: none">• Define the training needs analysis• Describe the various levels and scope to which it applies• Present the various methods enabling it to be completed
When to Use the Tool	<p>The TOR is presented during the initial phase of the training needs analysis. It is done during the entry and contracting phase.</p>
How to Use the Tool	<p>Start by reviewing your own resources, such as the time available and relevant specialist knowledge you may have.</p> <p>Then contact the client to briefly explain the purpose of a TNA consultancy with an indication of the Terms of Reference you believe will be appropriate. Click the below icon to view the sample of the type of letter you could use along with the factors to be considered.</p> <p>In practice, it may prove difficult to gain access to the client and to have sufficient time to establish a formal ToR. You may therefore have to compromise with a brief verbal agreement about the consultancy, but you should ensure that a note is taken of the agreement.</p> <p>The ToR can be in the form of a written document as annexed or sometimes verbal.</p>

TIPS ON TOR

- You are doing the consultancy to help the client identify training needs, don't get diverted into other areas of the business.
- Your time for the consultancy will be limited, so don't agree to an ambitious, extensive analysis which you may be unable to complete.
- Negotiate with your client whether the TNA is to be 'broad' looking across the company as a whole, or a more narrow, in depth analysis in a department or function within the company.
- While finalizing the ToR, keep in mind that 'it is better to promise less and deliver more' rather than 'promising more and delivering less'.

ESTABLISHING TERMS OF REFERENCE

Factors to Consider:

Funding agency

PEST factors

Responsibility and authority of client

Institutional involvement

Aims and objectives of consultancy assignment

Success criteria

Next steps, process to be followed

Who will be involved?

Roles and responsibilities of client, stakeholders and beneficiaries

Reporting

Outcomes expected

Timescales

Costs and invoicing

Confidentiality and access issues

Renegotiation

Withdrawal

Project review

Project evaluation

Feedback to consultant

EXAMPLE OF A LETTER SENT PRIOR TO FIRST MEETING WITH CLIENT

To:

Managing Director/Head of Department

Dear _____

Training Needs Analysis

Thank you for expressing an interest in carrying out a Training Needs Analysis (TNA) in your organisation. I have been asked to act as the TNA Consultant for conducting the TNA for you, my client.

We have to arrange our first meeting during which we can discuss the TNA process and the possible results to be achieved, at a time convenient to you.. The aim is to utilise training to help improve the performance of your employees and, ultimately, the organisation.

I would request you to agree in our first meeting on the 'Terms of Reference, which specify the purpose of the consultancy and define our respective roles so we can agree to:

- Set objectives to realistic expectations.
- Define my role and how I shall carry out the consultancy.
- Authorise access to relevant information.
- Identify members of staff, and perhaps others, who are likely to be involved in training activities that may result from the consultancy.

You may wish to consider whether you would find it relevant to carry out the consultancy across the organisation as a whole, or whether you prefer that I concentrate on one area of the organisation's operations.

I assure you that the consultancy is carried out in strict confidence.

Yours sincerely

SAMPLE

TERMS OF REFERENCE

Date of Issue- DD/MM/YY

Location:	_____
Application Deadline:	_____
Type of Contract:	_____
Languages Required:	_____
Starting Date:	_____
Duration of the Contract:	_____

Project Background

Brief background about the Training Need Analysis consultancy Project

Core Function Areas

Brief overview on organizational functional areas

Duties and Responsibilities

- *Job Description*
- *Task Description*

Management Arrangement

Description of the managerial support and arrangement needed to carry out the project activity, broadly classified under two distinct heads -

- *Description on "Support from organization"*
- *Description on "Support from Consultant"*

Financials

Description of the financials of the overall project

Competencies

Description on the consultants' competencies required with respect to the project/duties/responsibilities

Deliverables

- *Levels of Analysis*
- *Methods of Analysis*
- *Consolidation of the outcome*
- *Project Report*

Schedule

Description of Time-Lines and phases of the project

Monitoring/Evaluation

Description of the monitoring/evaluation measures to be undertaken for the specific consultancy project

Termination Clause

Description on the terms for termination of the contract as per the following –

- *Non delivery of the agreed tasks*
- *Non-compliance to the timeframe*
- *Unauthorized sharing of the data/information, etc.*

Documents to be Included When Submitting the Proposal

Description of the relevant documents required by the organization before giving an assignment to the consultant, e.g.

- *Certificates*
- *Previous work orders*
- *Completion certificates*
- *Educational qualification documents, etc.*

T 1.2 Surveillance/Observation

PURPOSE OF THE TOOL

Initial knowledge of a client organisation will influence your ability to establish satisfactory Terms of Reference for both you and your prospective client and stakeholders, who will expect benefits from their involvement.

Surveillance is a tool which helps you establish a sound basis for starting your consultancy. It is a tool you might choose to use generally, across a range of potential client organisations, or one you'll use before your first meeting with a client. Whether you are an internal consultant, familiar with your client organisation, or an external consultant, **surveillance of available information about the state of the organisation will keep you up-to-date with what is happening within the organisation, and external factors that might suggest training needs.**

DEFINITION

The act of observing or the condition of being observed. The objectives for the surveillance in a TNA consultancy are to contribute to the roadmap for the consultancy implementation of long term surveillance strategy.

DESCRIPTION

During surveillance you may suspect a performance problem or a skills gap, or learn about complaints about organisational performance, or receive requests for training, you should investigate. This could be done without having first met your client.

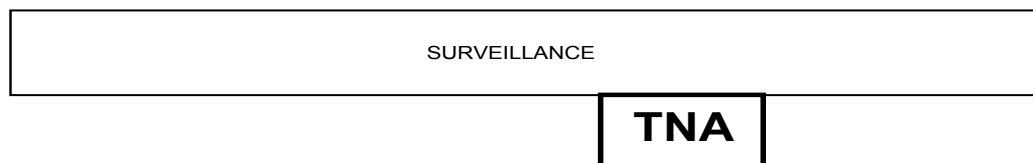


Fig.1 : illustrates the levels you may wish to use as you approach a TNA consultancy

Without an overall picture of your client organisation, it is very easy to respond to problems and requests with a flurry of activity and in the process miss major problems you didn't know existed. Although you might initiate training, it is unlikely to improve performance and, in the long term, could lower the credibility of training to help organisations improve performance.

HOW TO USE IT

Surveillance should be a continuous activity across the whole context in which the organisation operates. This will apply both internally to monitor how the organisation itself is performing. This can be done by

- Developing a network of contacts - stakeholders, heads of department, technical specialists, supervisors, etc. - who are aware of how you can help them.

- By developing a network, perhaps running search conferences to deal with known problems or anticipated changes, you are encouraging people in the organisation to make a contribution to the training function and ensure that available resources are used effectively.

Surveillance can also be done externally to keep abreast of changes in which the organisation operates. This can be done by means of a **PEST analysis**:

- P** The political climate in which the organisation operates can have significant impact on training needs. For example, the introduction of the Health and Safety at Work Act created a major demand for training. Changes in the political climate can result in new legislation, or changes in policy or public opinion that may require initiatives. Surveillance should enable you to make these proactive, rather than reacting to problems.
- E** The economic climate in which the organisation operates can influence and at time radically alter the nature and extent to which an organisation is able and willing to support training. In an economic recession, it may be extremely difficult to justify expenditure on training, yet as the economic cycle changes direction there might be an increased need for people to acquire new knowledge and skills. For example, without surveillance, there is the risk that new computer systems are installed and commissioned before people are trained to use them.
- S** The social climate within which the organisation operates is constantly changing. Some of these changes are caused by political interventions, such as the Sex Discrimination Act, but the underlying change is sociological, where politicians sense and respond to changes in society. This can apply equally to training where your surveillance indicates changes, such as privatisation of organisations, which are likely to result in major training needs.
- T** The technologies used by the organisation, now and in the future, will determine much of an organisation's training needs. It is increasingly difficult to think of any organisation, in either the public or private sectors, which are not influenced by changes due to the impact of technology. A few years ago this text would have been typed - on paper, with carbon copies for distribution: now it is done by word processing - and the text can either be photocopied for distribution or sent via e-mail, or by WAP. Who needs to be trained to ensure that full benefit is being obtained from the use of such technology?

Carrying out a continuous surveillance of potential client organisations will enable you to be an active trainer, attending not simply to current training needs but helping people to anticipate and cope with a changing future. Failure to do so leads to you becoming a passive provider of increasingly out-of-date, ineffective training.

Political	Economical
—	—
—	—
—	—
Socio-Cultural	Technological
—	—
—	—
—	—
—	—

FEEDBACK AND CRITICISM

These words are used to express our views about others. Let us try to appreciate the feelings behind these.

FEEDBACK	CRITICISM
Objective	Subjective
On Action/Activity	On a person
Based on facts which can be verified	Based on opinion or judgment
For improvement	Destroys morale
Can be positive/negative statement	Negative statement

Effective feedback must be –

- Timely
- Constructive
- Supportive
- Non-threatening
- Builds on trust

T 2.1 SWOT Analysis

Strength, Weakness, Opportunities and Threat (SWOT) Analysis is a useful technique for understanding an organisational or individuals Strengths and Weaknesses, and for identifying both the Opportunities and the Threats. It helps you focus on your strengths, minimise threats, and take advantage of opportunities available to you.

SWOT ANALYSIS

Purpose of the Tool	<ul style="list-style-type: none">• To analyse the organisation's internal and external positioning, examining internal and external elements that must be factored into future decision making• Helps identify specific skills, knowledge and behaviours required to facilitate organisational success
When to Use the Tool	<p>SWOT can be used at both the organisational level and personal level.</p> <p>At the business level, it is useful as a strategic planning tool, to create a sustainable position in the market and to help practitioners on the organization's desired outcomes.</p> <p>As a workforce planning tool, at a individual level, it helps you develop employee/personal career by taking advantages of their talents, abilities and opportunities.</p> <p>SWOT Analysis at the Business Level:</p> <p>SWOT helps you to uncover opportunities that can be utilised by you. By understanding the weaknesses of your business, you can manage and remove threats that may come up unexpectedly.</p> <p>Apart from this using the SWOT framework, you can look at your business and your competitors. You can develop a strategy that helps you distinguish you from your competitors. This will help you to compete successfully in your market.</p> <p>Originated by Albert S Humphrey in the 1960s, the tool can be used to "kick off" strategy formulation.</p> <p>Strengths and weaknesses are often internal to your organization, while opportunities and threats generally relate to external factors. For this reason, SWOT is sometimes called Internal-External Analysis and the SWOT Matrix is sometimes called an IE Matrix.</p> <p>SWOT Analysis at the Personal Level:</p> <p>SWOT Analysis can also be performed at the personal level. It helps individuals to identify their strengths and weaknesses, and analyse the opportunities and threats that flow from them. It can help an individual to discover opportunities that you may not have otherwise spotted. By understanding an individual's weakness, you can manage and remove threats that might otherwise hinder their ability to move forward.</p>

How to Use the Tool	<ul style="list-style-type: none"> • Use the given template to compile the SWOT analysis • Decide the issue(s) to be analysed • You may decide to use a number of SWOT analyses, each dealing with a major issue faced by your client • Move from one factor to another and then, finally 'brainstorm' to obtain additional items
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QUESTIONS TO BE CONSIDERED WHILE DOING SWOT

Strengths

Questions to consider while looking at the strength are:

- What advantages does your organization have?
- What do you do better than anyone else?
- What unique or lowest-cost resources can you draw upon that others can't?
- What do people in your market see as your strengths?
- What factors mean that you ARE AT AN ADVANTAGE”?

Consider the strengths from both an internal perspective, and from the point of view of your customers and people in your market.

Also, if you're having any difficulty identifying strengths, write down a list of the organisation's characteristics. Some of these will hopefully be strengths!

When looking at the strengths, think about them in relation to the competitors. For example, if competitors provide high quality products, then a high quality production process is not a strength for the organisation, it's a necessity.

Weaknesses

Questions to consider while looking at the weaknesses are:

- What could you improve?
- What should you avoid?
- What are people in your market likely to see as weaknesses?
- What factors lose you sales?

Again, consider this from an internal and external basis: Do other people seem to perceive weaknesses that you don't see? Are your competitors doing any better than you?

It's best to be realistic now, and face any unpleasant truths as soon as possible. Again, weakness should be considered from an internal and external basis: Do other people seem to perceive weaknesses that you don't see? Are the organisation's competitors doing any better than you?

Opportunities

Questions to consider while looking at the opportunities are:

- What good opportunities can the organisation spot?
- What interesting trends is the organisation aware of?

A useful approach when looking at opportunities is to look at the strengths and ask whether the organisation is open to opportunities.

Threats

Questions to consider while looking at the threats are:

- What obstacles do you face?
- What are your competitors doing?
- Are quality standards or specifications for your job, products or services changing?
- Is changing technology threatening your position?
- Do you have bad debt or cash-flow problems?
- Could any of your weaknesses seriously threaten your business?

When looking at opportunities and threats, PEST Analysis can help to ensure that you don't overlook external factors, such as new government regulations, or technological changes in the industry.

Developments in Society

- How will changes in society influence the organisation?
- What changes in legislation can be expected?

Customers

- How big is the market into which the organisation provides services?
- Will this market change, and in which way?
- What will be the purchasing habits of its customers?
- Which tendencies will affect the organisation's market opportunities?
- How can these opportunities be exploited?
- Will there be a change in the volume of business?
- What level of quality are customers willing to pay for?

Suppliers

- How many suppliers does the organisation have?
- How will the most important suppliers develop in the future?
- Is the organisation likely to increase or decrease the number of suppliers?

Competitors

- How many competitors are there?
- Who are the most important?
- How will they affect the market?
- How will the market for the organisation's products and services change over the following years?
- What is the level of price, quality and supply compared to competitors?

Services

- What demands are customers likely to make on the organisation's services?
- What changes are likely to occur?
- To what extent is the organisation able to meet customer requirements?
- Which services are likely to be more in demand in the future?
- What are the consequences of falling demand for some organisation's services?

Technology

- What technological changes are being introduced which will affect the organisation's operations and business?
- What is the organisation planning in terms of investment in new equipment or systems?
- Which of the organisation's present equipment, systems and procedures are likely to become redundant in the near future?

Workers/Functionaries/Staff

- What are the present staffing levels compared to the amount of business the organisation is currently attracting?
- Is this likely to change in the near future?
- What are the current levels of competence relative to what is desirable?
- Which category of worker/staff has the greatest potential to improve performance?
- Are workers/staff sufficiently flexible to enable them to respond to business demands?
- Is the organisation able to retain its best, most competent workers?
- Are workers/staff willing to be trained?
- Would they respond positively to opportunities for personal vocational development?
- What factors may cause workers to resist opportunities for training and development?

TIPS TO PERFORM SWOT

- Decide the issue(s) to be analysed. You may decide to use a number of SWOT analyses, each dealing with a major issue faced by your client.
- Only accept precise, verifiable statements.
- Prioritise the important factors, so that you spend your time thinking about the most significant factors.
- Make sure that options generated are discussed in the strategy formation process.
- Apply it at the right level
- Use it in along with other strategy tools so that you get a comprehensive picture of the situation you're dealing with.

Example SWOT Analysis of a Government-Owned Organization: guidelines for Bus Service Improvement: Policy and Options

STRENGTHS (S)	WEAKNESSES (W)
<ol style="list-style-type: none"> 1. Expertise and experience in bus operation 2. Owns lands at key places 3. Skilled human resources 4. Less pollution per person carried 5. Less road space occupied per person carried 	<ol style="list-style-type: none"> 1. High cost of operations 2. Overstaffed 3. High indiscipline amongst staff 4. Financial pressure 5. Obsolete bus fleet 6. Bureaucratic system of management 7. Inadequate autonomy
OPPORTUNITIES (O)	THREATS (T)
<ol style="list-style-type: none"> 1. Rising Demand for Public Transport. 2. Rising Cost of fuel 3. Increasing concern for environment 4. Rising congestion on roads 5. Increasing population density 6. Government patronage 7. Transport policy gives priority to public transport systems 	<ol style="list-style-type: none"> 1. Unfavourable fiscal regime 2. Competition from other modes 3. Increasing staff costs 4. Unviable fares fixed by Government 5. Poor enforcement of laws and rules

SWOT ANALYSIS

ISSUE : _____

STRENGTHS	OPPORTUNITIES
WEAKNESSES	THREATS

T 2.2 SPIO

PURPOSE OF THE TOOL

SPIO¹ can be used with SWOT Analysis, or independently, to provide further insight into performance, training and development. Again the tool will provide general information that may need more detailed analysis. The tool is especially useful to gain the views of management and supervisors.

DESCRIPTION

SPIO stands for **Specific Problems, Issues and Opportunities** and can be used to identify training and development needs of individuals and organisations. The SPIO system is intended to be used with workers at managerial or supervisory levels who have some experience of these roles.

Some organisations issue a standard form to managers asking them to write down training needs for their staff, using interviews to provide detailed information. *The major shortcoming of this approach is that it does not give an adequate framework for diagnosing needs and may ignore the valuable contribution offered by self assessment.*

The SPIO system provides such a framework and emphasises self assessment as the first step in the diagnosis of training needs. Over 15 categories of managerial work, knowledge and skill are included in this TNA tool to be used as the basis for analysing both individual and organisational training needs. The categories are formed into **three groups covering:**

People Issues

- Appraisal
- Disturbance Handling
- Performance
- Staffing
- Training and Development

Task Issues

- Change
- Communication
- Job Knowledge
- Planning
- Problem Solving

1. SPIO: A Management and Organisation Development Package used with the permission of the Learning Technology Unit, Department of Employment.

Leadership Issues

Delegation
Leadership
Meetings
Negotiation
Teamwork

These categories are used as the basis for a series of 'statements' which are presented to individual managers or supervisors and from which they select important or urgent issues, reflecting personal or company needs. The statements are all derived from typical problems, issues and opportunities in the fifteen categories listed above.

Each statement begins with "It would help if _ _ _ ." to enable interviewees to:

- Identify their personal training and development needs.
- Focus constructively on organisational problems and opportunities, as seen from their own position in the organisation.

HOW TO USE IT

A range of a 100 individual and organisational training needs are printed on cards. The cards are sorted and prioritised to identify training and development needs. 60 of these cards, the yellow ones, cover the training and development needs of individuals; the remaining 40 white cards deal with issues concerning the organisation.

To use SPIO only with management, use the white cards. Use the yellow cards with management or supervisory level workers.

The cards are sorted into three groups:

Group 1 is for cards where you strongly agree with the statement.

Group 2 is for cards where you generally agree with the statement.

Group 3 is for the remainder of the cards.

Interviewing Management

Use the white card with either individual managers or with a small representative group of managers. Ensure that they sort out the cards themselves, making their own decisions.

Ask interviewees to look through the cards in Group 1 and select the five statements with which they most strongly agree.

These are their views about the organisation's training needs.

Write these five statements on the **Action Planning Sheet**. Include details of why the interviewees consider them important.

Interviewing Supervisory Workers

Use the yellow cards with workers who have experience in a management or supervisory level job. The interviewee sorts out the cards into the respective groups. This should be done with reference to their own job, taking into account their career aspirations.

Ask interviewees to look through the card in Group 1 and select the five statements that they feel most closely matches their views about themselves and their job. **These are their most important or urgent training or development needs.**

Action Planning Sheets

These can be used to plan for both organisation(white cards) and individual (yellow cards) training and development needs. Ask the interviewee to complete the sheets with your assistance. **The same form is used for both organisation and individual needs:**

- Name: note the names of the people contributing to the analysis of organisational training needs, or the name of the individual worker being interviewed.
- Analysis of Organisation or Individual Training Needs: tick whether the statement is from a white organisational card, or a yellow card for an individual.
- Write the statement from the first of either the white or yellow cards.
- Why is this important? Ask the interviewee(s) to briefly describe why this card was chosen.
- Proposed Action: describe the training and non training solutions or actions that could be taken to resolve the issue identified by the statement. For example:
- Responsibility: against each proposed action write the name of the person who will be responsible.
- Review date: indicate a date for the review or completion of this activity.
- Continue with the next card.

Organisation and Individual

- People
 - Appraisal
 - Disturbance Handling
 - Performance
 - Staffing
 - Training and Development
- Task
 - Change
 - Communication
 - Job Knowledge
 - Planning
 - Problem Solving
- Leadership
 - Delegation
 - Meetings
 - Negotiation
 - Teamwork

ACTION PLANNING SHEET

Analysis of Organisation Training Needs : _____

Analysis of Individual Training Needs : _____

Name of Interviewee (s) : _____

Statement :	No.	Why is this important?
Proposed Action	Responsibility	Review Date
Training :		
Non-Training :		

T 2.2A Details of SPI0 Cards

<p>1</p> <p>It would help if I could delegate more effectively</p>	<p>2</p> <p>It would help if I could get my staff to be more self-reliant</p>
<p>3</p> <p>It would help if I could create a more open and trusting atmosphere within the department</p>	<p>4</p> <p>It would help if I could be more assertive</p>
<p>5</p> <p>It would help if I had more authority</p>	<p>6</p> <p>It would help if I could improve the morale of my staff</p>
<p>7</p> <p>It would help if I could handle meetings better</p>	<p>8</p> <p>It would help if I did not have to attend so many meetings</p>
<p>9</p> <p>It would help if I could gain more real practice in negotiation</p>	<p>10</p> <p>It would help if I could be clearer about strategy and tactics in negotiation</p>

<p>11</p> <p>It would help if I could get more feedback from my staff</p>	<p>12</p> <p>It would help if I could improve the way we work together as a team</p>
<p>13</p> <p>It would help if we planned our workload on a team basis</p>	<p>14</p> <p>It would help if I could handle appraisal interviews more effectively</p>
<p>15</p> <p>It would help if I could improve my ability to assess the true potential of my staff</p>	<p>16</p> <p>It would help if I could handle disciplinary problems more effectively</p>
<p>17</p> <p>It would help if I could handle conflict more skilfully</p>	<p>18</p> <p>It would help if I knew more about my responsibilities within the formal discipline and grievance procedures</p>
<p>19</p> <p>It would help if my own objectives were more realistic</p>	<p>20</p> <p>It would help if I were more fully involved in setting objectives for my own staff</p>

<p>21</p> <p>It would help if I could improve my ability to select the best person for a job</p>	<p>22</p> <p>It would help if I could find ways of increasing staff flexibility</p>
<p>23</p> <p>It would help me to plan my development if I could identify the broad career options open to me</p>	<p>24</p> <p>It would help if I personally had more training and development</p>
<p>25</p> <p>It would help if I had the know-how and skills to train my own staff</p>	<p>26</p> <p>It would help if I could improve my ability to manage the implementation of change</p>
<p>27</p> <p>It would help if I could get my staff to be more positive about change</p>	<p>28</p> <p>It would help if I could scan magazines, reports etc, more quickly to extract key information</p>
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<p>33</p> <p>It would help if I had a clearer definition of my job</p>	<p>34</p> <p>It would help if I really understood our computer information systems</p>
<p>35</p> <p>It would help if I knew more about the function of other parts of the organisation</p>	<p>36</p> <p>It would help if I could assess priorities more accurately</p>
<p>37</p> <p>It would help if I could find ways of reducing the number of interruptions to my work</p>	<p>38</p> <p>It would help if I could spend more time with my staff</p>
<p>39</p> <p>It would help if I could improve my ability to come up with new ways of tackling familiar problems</p>	<p>40</p> <p>It would help if I could make a better assessment of the risks involved in the decisions I have to make</p>

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<p>51</p> <p>It would help if all Departments seemed to be working towards common goals</p>	<p>52</p> <p>It would help if everyone was clear about their responsibilities and what was expected of them</p>
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<p>79</p> <p>It would help if I could get my staff to be more committed to anticipating and solving problems</p>	<p>80</p> <p>It would help if I, as a manager, was allowed to manage</p>

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<p>93</p> <p>It would help if I knew more about opportunities for further education</p>	<p>94</p> <p>It would help if I could extend the range of my contacts outside the organisation</p>
<p>95</p> <p>It would help if I could improve my ability to think on my feet and deal with awkward or unexpected questions</p>	<p>96</p> <p>It would help if I could find better ways of keeping my boss up-to-date with what's going on</p>
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<p>99</p> <p>It would help if I could find a way of diverting some of the people who insist on seeing me</p>	<p>100</p> <p>It would help if I could set aside blocks of time for thinking and planning ahead</p>

SPIO - CATEGORY DEFINITIONS AND STATEMENT BANKS

INDEX: 1	FORMAT: IL	DELEGATION
It would help if I could delegate more effectively		
INDEX: 2	FORMAT: IL	DELEGATION
It would help if I could get my staff to be more self-reliant		
INDEX: 3	FORMAT: IL	LEADERSHIP
It would help if I could create a more open and trusting atmosphere within the department		
INDEX: 4	FORMAT: IL	LEADERSHIP
It would help if I could be more assertive		
INDEX: 5	FORMAT: IL	LEADERSHIP
It would help if I had more authority		
INDEX: 6	FORMAT: IL	LEADERSHIP
It would help if I could improve the morale of my staff		
INDEX: 7	FORMAT: IL	MEETINGS
It would help if I could handle meetings better		
INDEX: 8	FORMAT: IL	MEETINGS
It would help if I did not have to attend so many meetings		
INDEX: 9	FORMAT: IL	NEGOTIATION
It would help if I could gain more real practice in negotiation		
INDEX: 10	FORMAT: IL	NEGOTIATION
It would help if I could be clearer about strategy and tactics in negotiation		
INDEX: 11	FORMAT: IL	TEAMWORK
It would help if I could get more feedback from my staff		
INDEX: 12	FORMAT: IL	TEAMWORK
It would help if I could improve the way we work together as a team		
INDEX: 13	FORMAT: IL	TEAMWORK
It would help if we planned our workload on a team basis		
INDEX: 14	FORMAT: IL	APPRAISAL
It would help if I could handle appraisal interviews more effectively		

INDEX: 15	FORMAT: IP	APPRAISAL
It would help if I could improve my ability to assess the true potential of my staff		
INDEX: 16	FORMAT: IP	DISTURBANCE HANDLING
It would help if I could handle disciplinary problems more effectively		
INDEX: 17	FORMAT: IP	DISTURBANCE HANDLING
It would help if I could handle conflict more skillfully		
INDEX: 18	FORMAT: IP	DISTURBANCE HANDLING
It would help if I knew more about my responsibilities within the formal discipline and grievance procedures		
INDEX: 19	FORMAT: IP	PERFORMANCE
It would help if my own objective were more realistic.		
INDEX: 20	FORMAT: IP	PERFORMANCE
It would help if I were more fully involved in setting objectives for my own staff		
INDEX: 21	FORMAT: IP	STAFFING
It would help if I could improve my ability to select the best person for a job		
INDEX: 22	FORMAT: IP	STAFFING
It would help if I could find ways of increasing staff flexibility		
INDEX: 23	FORMAT: IP	TRAINING & DEVELOPMENT
It would help me to plan my development if I could identify the broad career options open to me		
INDEX: 24	FORMAT: IP	TRAINING & DEVELOPMENT
It would help if I personally had more training and development		
INDEX: 25	FORMAT: IP	TRAINING & DEVELOPMENT
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INDEX: 74	FORMAT: OT	COMMUNICATION
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INDEX: 75	FORMAT: OT	PROBLEM SOLVING
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INDEX 94	FORMAT :IT	COMMUNICATION
It would help if I could extent the range of my contracts outside the organization		
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INDEX 99	FORMAT :IT	PLANNING
It would help if I could find a way of diverting some of the people who insist on seeing me		
INDEX 100	FORMAT :IT	PLANNING
It would help If I could set aside block of time for thinking and planning ahead		
INDEX 101	FORMAT :IT	PLANNING
It would help if I could find time to discuss and explain more of my decisions to my staff		
INDEX 102	FORMAT :IT	PLANNING
It would help If I could spend more time with my boss		
INDEX 103	FORMAT :IT	PLANNING
It would help if my department had a greater say in policy		
INDEX 104	FORMAT :IT	PROBLEMS SOLVING
It would help if I could improve my ability to make estimates and forecasts in conditions of considerable uncertainty		

INDEX 105	FORMAT :IT	PROBLEMS SOLVING
It would help if I could identify problems before they become crisis		
INDEX 106	FORMAT :OL	LEADERSHIP
It would help if higher management become less remote from the staff		
INDEX 107	FORMAT :OL	LEADERSHIP
It would help if management and staff could work together more harmoniously		
INDEX :108	FORMAT : OL	L EADERSHIP
If would help if managers and supervisors took more initiatives in identifying and resolving problems		
INDEX : 109	FORMAT : OL	LEADERSHIP
If would help if people were less influenced by purely financial incentives		
INDEX : 110	FORMAT :OL	LEADRESHIP
If would help if the skills of managers were of a more consistently high quality		
INDEX : 111	FORMAT : OL	MEETINGS
If would help if meetings were more effectively run.		
INDEX : 112	FORMAT : OP	PERFORMANCE
If would help if the quality of our products/service was more closely monitored.		
INDEX : 113	FORMAT : OP	PERFORMANCE
If would help if staff operated the paper work procedures properly.		
INDEX : 114	FORMAT : OP	STAFFING
If would help if I was kept informed of decisions affecting my staff.		
INDEX : 115	FORMAT : OP	STAFFING
If would help If people and jobs were better matched.		
INDEX : 116	FORMAT : OP	STAFFING
If would help if managers were more involved in the hiring of staff.		
INDEX : 117	FORMAT : OP	STAFFING
If would help if we promoted staff within the organization		
INDEX : 118	FORMAT : OP	DEVELOPMENT
If would help with staff development in this organisation if managers were judged on how they developed their own staff.		
INDEX : 119	FORMAT : OP	DEVELOPMENT
If would help if training programmes were matched to the needs of the organisation		

INDEX : 120	FORMAT : OP	DEVELOPMENT
If would help if training programmes were kept up-to-date.		
INDEX : 121	FORMAT : OP	DEVELOPMENT
If would help if the organisation had a trainee manager programmes.		
INDEX : 122	FORMAT : OT	CHANGE
If would help if we made better use of up-to-date computer technology		
INDEX : 123	FORMAT : OT	CHANGE
If would help if the organisation took some risk ventures.		
INDEX : 124	FORMAT : OT	CHANGE
If would help if the lessons learned from managing change could be fed back and used.		
INDEX : 125	FORMAT : OT	COMMUNICATION
If would help if the organisation had a regular staff newsletter		
INDEX 126	FORMAT :OT	COMMUNICATION
It would help if Senior Managers were more in touch with day to day problems in the rest of the organization		
INDEX 127	FORMAT :OT	COMMUNICATION
It would help if I received only that information which was of a value to me		
INDEX 128	FORMAT :OT	COMMUNICATION
It would help if people were not forced to work in water tight compartments		
INDEX 129	FORMAT :OT	COMMUNICATION
It would help if information came to me in the right form		
INDEX 130	FORMAT :OT	PROBLEMS SOLVING
It would help if less people were involved in the decision making process		
INDEX 131		INDUSTRIAL RELATIONS
It would help if I could find ways of dealing more effectively with Industrial relations problems		
INDEX 132		INDUSTRIAL RELATIONS
It would help if Trade Unions were less powerful in this organization		
INDEX 133		INDUSTRIAL RELATIONS
It would help if workers rather than Unions had more say in what goes on		
INDEX 134		MANUFACTURING
It would help if I had a more accurate view of our production capacity		

INDEX 135	MANUFACTURING
It would help if there was better communication between shift managers	
INDEX 136	MANUFACTURING
It would help of production efficiency was a prime company objective	
INDEX 137	RETAILING
It would help if I could improve the system for organizing staff rotas	
INDEX 138	RETAILING
It would help if staff knew more about customer buying habits	
INDEX 139	RETAILING
It would help if standards of merchandising could be raised	
INDEX 140	SAFETY
It would help if we look safety more seriously	
INDEX 141	SAFETY
It would help senior staff took their fair share of the responsibility for implementing safety rules	
INDEX 142	SALES/MARKETING
It would help if I could improve my system for gathering and monitoring information on customers	
INDEX 143	SALES/MARKETING
It would help if I could concentric more on the needs of the marketplace that on technical excellence	
INDEX 144	SALES/MARKETING
It would help if the Sales Commercial function communicated better with the rest of the organization	
INDEX 145	SALES/MARKETING
It would help if our marketing was more in touch with the real situation in the business	
INDEX 146	ORGANISATION STRUCTURE
It would if I could improve my ability to sell the services of the department	
INDEX 147	ORGANISATION STRUCTURE
It would help if Head Office didn't get in the way of the decision making process of local managers	
INDEX 148	ORGANISATION STRUCTURE
It would help if the personnel department understood better what I am trying to do as a manager	
INDEX 149	SYSTEMS
It would help If I knew how our profitability was calculated	
INDEX 150	SYSTEMS
It would help If I could make better use of the bonus system in managing my staff	

T 2.3 Environmental, Motivational Behavioral Factors

PURPOSE OF THE TOOL

The complexity of some performance problems may require training and non training action.

It will help you to distinguish those performance factors directly linked to training needs and other, non training factors that also require attention. This tool can be used with the company as a whole but maybe more effective if used with a department or function

DESCRIPTION

Everybody, to a greater or lesser extent, has performance problems or development needs. People often do not perform as desired because-

- They don't have the tools to do so
- The rules do not permit them to do so
- The procedures prevent them from doing so
- The resources are not available for doing so
- They do not know what they are expected to do

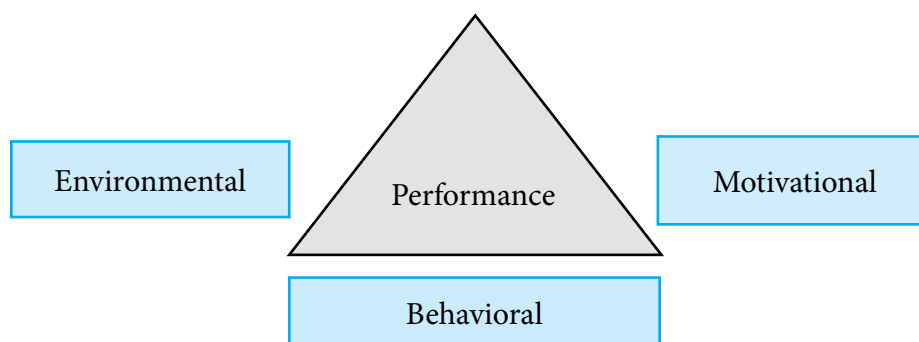
The three factors that affect performance are the environmental, motivational and behavioural factors.

'Environmental' factor is analysis of proper working conditions. It analysis the environment in which they are performing, the tools, equipment, materials and logistical support necessary for successful performance.

'Motivational' factor is the inner drive to perform. The person is motivated to perform to a high standard; they find it rewarding to do something to the best of their ability.

'Behavioural' factor analysis if an individual has the necessary behaviour (knowledge and skill) to carry out the tasks they are required to perform.

These three factors are like three arms of a triangle, which support each other.



ENVIRONMENTAL, MOTIVATIONAL AND BEHAVIOURAL FACTORS

Purpose of the Tool	<p>The 'purpose' of this tool is to understand the complexity of performance problems.</p> <p>It will help you to distinguish those performance factors directly linked to training needs and non-training that also require attention.</p>
When to Use the Tool	<p>This tool is used in Phase-2 – Data collection phase.</p> <p>It is used to analyse performance problems at an individual level.</p> <p>It is used to help a company improve its performance.</p>
How to Use the Tool	<p>First make a list of questions for each factor. Attached below is a sample list of the questions for each of the three factors.</p> <p>Unearth the answers to this problem by observing people at work, talking to people, interviewing them, conducting focus group discussions</p>

Environmental

- Are jobs and roles clearly defined?
- Are people expected to do too much work?
- Is the flow of work well organised?
- Are there hold ups in the flow of work?
- Are supplies materials and other resources readily available?
- Are systems and procedures suitable?
- Are tools and equipment adequate and appropriate?
- Are manufacturers' manuals readily available?
- Does the product/service have a market?
- How does the product/service compare with that of competitors?
- Are there significant changes to the technology being used?
- Are there general economic factors influencing performance?
- Is legislation likely to affect the situation?

Motivational

- Are workers encouraged to perform to the best of their ability?
- Are workers encouraged to express their views about working practices?
- What is done to reward good performance?

- Is remedial action taken to deal with poor performance?
- Is punishment used as a management tool?
- Are working conditions satisfactory?
- Are time allocations realistic?
- Does the organisation's culture support high standards of performance?
- Is there discontent and low morale?

Behavioural

- Have the workers experience of the tasks they are required to perform?
- Are the tasks easy to learn?
- To what extent are workers expected to follow standardised procedures?
- How relevant is the standard of vocational training and competence?
- Does knowledge of procedures of other departmental effect performance?
- Do workers require customer-related knowledge and skills?
- Who provides individual workers with advice to enable them to perform more specialised tasks?
- How are new tasks/products/services/technologies introduced?
- Do workers get feedback on their performance?
- Is decision making required?
- Are workers able to work as a member of a team?
- What are the procedures for inducting a newly recruited worker?
- Have workers the range of competences to enable them to tackle a variety of tasks in their work area?

TIPS FOR ANALYSING

- Environmental factors are directly linked to a person's standard of performance, but this may be of more concern to certain stakeholders who have the authority and responsibility to improve the situation. Such factors should be included in your report under 'Non Training Implications'.
- Motivational factors have training and non-training implications that may prove difficult to analyse during your TNA consultancy. They involve people's feelings within what will be widely differing business cultures. However, to ignore them may seriously erode the quality and effectiveness of the recommendations you will present to your client. It's also worth noting that some stakeholders are likely to be directly involved in motivational issues.
- Behavioural factors are the ones essential to analyse during a TNA consultancy. However, in view of the limited time available, avoid spending too much time investigating detailed areas of deficiencies which are not required for your report. Also concentrate your time and energies towards identifying areas of knowledge and skill where there is an attractive cost/benefit potential.

T 2.4 Responsibility Mapping

Responsibility mapping or charting is a technique for identifying functional areas where there are process ambiguities, bringing the differences out in the open and resolving them through a cross-functional collaborative effort.

Responsibility Charting enables managers from the same or different organizational levels or programs to actively participate in a focused and systematic discussion about process related descriptions of the actions that must be accomplished in order to deliver a successful end product or service.

Purpose of the Tool	<p>The main purpose of this tool is to analyse specific performance problems, or concerns which involve relationships between people and their respective responsibilities.</p> <p>This will assist you to examine relationships between people within a working unit, or as members of a network.</p> <p>You can use the tool to build up a map of people involved - referred to on the map as 'Actors'. The work they do is shown on the map as 'Actions'.</p> <p>The map can be built up through discussions with the people concerned to show an objective analysis of the work they do, and how they relate to each other.</p>
When to Use the Tool	<p>Responsibility mapping is likely to be done to supplement the use of other TNA tools, such as SWOT, SPIO and Cause and Effect.</p> <p>Following the use of other TNA tools, you are likely to become aware of problems or difficulties associated with people and their relationships - especially confusion over responsibilities. Some symptoms which may emerge when examining performance problems is given below (A)</p> <p>Responsibility Mapping tool helps you to interview all actors involved in a particular performance-related issue</p> <p>It is preferable to use this tool to analyse a clearly defined functional problem, involving a limited number of people</p>
How to Use the Tool	<p>Start by asking them pertinent, objective questions about what they do and their relationships with others. This establishes a focus for analysis.</p> <p>Interview sufficient actors for effective analysis of the problem. Consider doing this by asking questions based on codes used to define responsibility mapping. Some sample questions are give below (B)</p> <p>Once the principle actions have been specified, ideally in a logical sequence, actors associated with these actions can be identified. The matrix for responsibility mapping can then be prepared. During your interviews you can use the matrix</p> <p>Given below are codes to examine relationships between actors and actions (C)</p> <p>The actions carried out by these people, in respect to the issue, can be listed or analysed by Functional Analysis.</p>

(A) Symptoms emerging in a working unit or network when analyzing the performance problem

- Delays in carrying out activities involving members of a working unit, or a wider network of people across functions or departments, whose actions or commitment is essential for successful performance.
- Failure to delegate authority to actors, who may have responsibility to take action but lack the authority to organise resources.
- A tendency for subordinate actors to seek permission and support from more senior actors, thereby causing delays.
- Either too much or too little information is being exchanged. Both can result in confusion and delay - one because actors are swamped by non-essential information, and the other because they cannot take action due to a lack of information essential to their performance.

(B) Some questions that can be asked during the interview:

- R** Who is responsible (for this action)?
Does this person have sufficient authority to ensure a successful outcome?
What happens if the responsible or person is absent?
- A** Whose approval is needed before action is taken?
How is approval sought?
What information does this person need to approve action?
What are the consequences (financial, timescales, etc.) in delaying approval?
- S** What support is needed to enable action to be taken?
Who (which actors) are required to support this action?
How are resources allocated or authorised?
What happens (examples) when only limited support is available?
How can resource support be improved?
How can commitment be gained?
- I** Who (which actors) need to be informed about action taken?
How are they informed, and in what medium?
What are the consequences of a failure to inform?
How can the information system be improved?

(C) Relationships between actors and actions can be examined in more detail by using the following codes:

- R Responsibility** - where an actor has responsibility for an action, or responsibility for the consequences of the results of carrying it out. Note that having responsibility does not necessarily mean that an actor has also the authority. In such instances performance problems can occur when an actor has to seek authority, or decides to 'delegate upwards' actions that he or she might otherwise take.
- A Approval** - within a working unit there is likely to be a hierarchy, which may require an actor to seek permission or approval before taking action. The actor designated with approval has authority and the right to veto the proposed action. The need to seek approval from a senior actor, or one acting as a 'gatekeeper', can lead to delayed actions.

- S Support** - resources, such as people, facilities, funds, equipment or training being provided to support actions of other actors. These actors, who are depending on resource support, may experience performance problems because of delays, or a failure to supply essential support resources.
- I Inform** - coordinating actions requires effective communication. Actors need to be informed of actions being taken, although this does not imply the right to veto. Often information has to be communicated across functional or departmental boundaries, a likely source for performance problems.

RESPONSIBILITY CHART /MAP: THE 5-STEP PROCESS

1. Identify work process

Start with high impact areas first

- Don't chart process that will soon change
- Work process must be well defined
 - ▶ Fewer than ten activities implies the definition is too narrow
 - ▶ Greater than 25 activities implies definition is too broad

2. Determine the decisions and activities to chart

Avoid obvious, generic or ambiguous activities, such as:

- "Attend meetings"
- "Prepare reports"

Each activity or decision should begin with a good action verb : Evaluate Operate Approve Publish Schedule Monitor Conduct Report Write Prepare Develop Review Record Update Inspect Authorize Determine Collect Train Decide

3. Prepare a list of roles or people involved in those tasks

Roles can be individuals, groups or entire departments

- Can include people outside your department or outside the company
 - ▶ Customers, suppliers, etc.
- Roles are better than individual names
 - ▶ Responsibility map/chart should be independent of personal relationships so the chart would still be valid if all new people filled the roles tomorrow

4. Develop the Responsibility map

As a general rule, first assign R's then determine who has the A, then complete S's and I's

- For larger groups or more complex issues, an independent facilitator is required
- Meeting time can be significantly reduced if a "straw model" list of decisions and activities is completed prior to meeting

The ideal group size is four to ten people

5. Get feedback and buy-in

- Distribute the Responsibility Map/I chart to everyone represented on the chart but not present in the development meeting
- Capture their changes and revise chart as appropriate
- Reissue revised map
- Update as necessary on a on-going basis

A follow-up meeting may be necessary if significant changes are made

RESPONSIBILITY MAPPING CHART

Focus of Attention: _____

Actors ➤ Actions ▼						

Key:

R = Responsibility (not necessarily authority)

A = Approval (right to veto)

S = Support (put resources towards)

I = Inform (to be consulted before action but with no right of veto)

T 3.1 Functional Analysis

DEFINITION

‘Functional Analysis’ is the study of the activities or tasks people do in order for them to make an effective contribution to the achievement of the key purpose.

From the key purpose, organisations develop ‘Functions’, or work areas, such as administration, manufacturing, marketing, sales, finance, customer services, research and development. Each function brings together all the people and activities associated with a particular area of work.

PURPOSE OF THE TOOL

Purpose of functional analysis is the identification of ‘Competences’ that people need in order for them to do their job Fig 1 illustrates the relationship between purpose functions and competencies

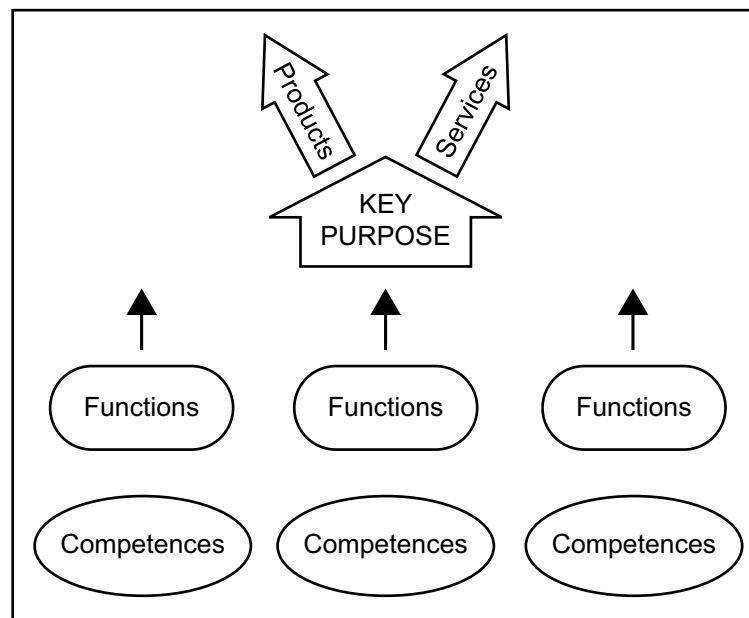


Fig.1

Each organization has a ‘Key Purpose’, focusing the attention of its management and employees on the products and services they provide or offer to customers and beneficiaries

All organisations, whether in the public or private sectors, and whether they are large or small, exist to provide a range of products and services for their customers and beneficiaries. In order for this to be achieved, an organisation has a ‘Key Purpose’, focusing the attention of its management and employees on the products and services they provide or offer to customers.

We can sometimes trace performance problems, and the need for training to deficiencies in a particular function, but more often to a combination of factors, involving different functions.

BENEFITS OF USING THE TOOL

The benefit of using the Functional Analysis tool is that it helps people to think about what they do, and how their activities relate to the activities of others. You are likely to find that the symptoms of poor performance, such as customer complaints, poor quality, excess stock, etc., is caused by a number of people in different functions. Individually, each person might be considered competent, but when analysed collectively flaws in performance become apparent.

For a small organisation the products or services it provides to its customers, and therefore its Key Purpose, will be limited. This influences the functions you are likely to encounter during a consultancy. You may find that functions are not clearly defined and people being involved in several functions, without necessarily the competence required. You may also find:

- No Key Purpose has been established so that an organisation or working unit is spreading its energies and resources too widely.
- Functional areas are poorly defined and that people are not organised into effective working units.
- People may be spread thinly over several functional areas, without them having the necessary competence.
- There may be difficulty in establishing suitable standards of performance.

WHEN CAN THE TOOL BE USED

The three functional areas shown in Figure 2 are a somewhat superficial analysis of activities associated with health care. The decision about which functions to include in an analysis can be based on either of the following:

- Functions directly contributing to the key purpose
- Functions involved in a recognised and important performance problem

Only those activities relevant to a function need to be identified and analysed. This is likely to require the use of other TNA tools.

The functions likely to be encountered may include administration, marketing, sales, finance, manufacturing, customer services, information technology, contract services etc. **From a TNA consultancy point of view, there is no necessity for you to be an expert in any of these functions. What is important is to be able to help specialists or management develop their own list of functional activities.**

The use of functional analysis enables you to dig in to the heart of an organisation's operations and build a picture of its strengths and weaknesses, and where training is likely to be of most benefit. The results of functional analysis can be used with other TNA tools, such as Versatility Chart and Responsibility Mapping

HOW CAN THE TOOL BE USED

To understand how functional analysis can be used consider an example of 'health care', illustrated in Figure 2. This could be applied with a client organisation providing health care services.



Fig.2

Once we have understood a client's key purpose, or defined their performance problems, then functional areas can be identified and essential areas of activity noted. You can develop lists of activities for each function by starting with its primary purpose and then examining in more detail the hierarchy of activities associated with this function. For example, the health care functions listed above, in particular to the function concerned with 'promoting good health' and to the area of activity 'promote individual lifestyles conducive to health', we might wish to examine stress factors that affect a person's health.

SAMPLE QUESTIONNAIRE

If there are many people to study, we can develop a questionnaire as given below.

The questionnaire could be used as a checklist to enable you to conduct one-to-one interviews, or to be sent to the people concerned. Other, more specific lists of questions can be devised dealing with administration, finance, sales, transport, communications etc

1. How much control do you feel you have in managing your time?
2. How do you spend the hours of a normal working day?
3. How do you spend the hours of a non-working day?
4. How would you rate the balance between work and your home/social commitments?
5. Who/what takes priority in your life?
6. How do you spend your free time?
7. How much time do you spend with your children during the week?
8. If you have children and they live with you, how much time do you spend with them at the weekend?
9. If you had more time to spend outside work, how would you spend it?
10. Over the past five years has the amount of time you spend at work changed?
11. How often do you stay late at work?
12. If you work late, how late do you stay?
13. How often do you have to work at weekends or during public holidays?
14. How often do you find yourself running late?
15. What/who are you most frequently late for?
16. What causes you to be late?
17. Over the past five years, do you feel that the amount of work-related stress has changed?
18. How many days have you taken off from work in the past year because of stress-related illness or exhaustion?

T 3.2 Cause & Effect Analysis

Cause and Effect Analysis is a diagram-based technique that helps you identify all of the likely causes of the problems you're facing

Cause and Effect diagrams are also known as "Fishbones" (because of their shape) or Ishikawa diagrams (after their inventor, Dr Ishikawa, the Japanese Quality Control Statistician).

PURPOSE OF THE TOOL

1. This tool enables you to analyse a particular performance problem in more detail. A problem may have several 'symptoms' that indicate faulty performance.
2. For e.g. consider the following sentence, which illustrates a simple performance problem and its symptoms:

Following to major changes to the organization, senior management has decided to establish a call center to deal with public greivances. There are several errors in the sentence - symptoms of a performance problem. But what is the problem? The problem, apparently, is that the person who typed it added a word 'to', and misspelt 'organisation', 'centre' and 'grievance'. The temptation is to jump to the conclusion that the person has a poor command of English - but that is a reaction to symptoms, rather than an analysis of its causes.

3. For example, a more detailed analysis could show:

The person who typed this was a PA using MS Word with an American English dictionary, and a default setting that automatically self-corrected spelling errors. In India, we use UK English, so why was the computer set up for American English? Another factor is that 'grievance' is wrongly spelt. Why? Surely the spellchecker corrects this error, but only if it's being used. Perhaps the spell checker is not on auto-set and the PA doesn't use it. What about 'to'? An obvious error - but who caused it? Perhaps the PA typed correctly from the draft, or perhaps he or she failed to use the computer's grammar-check. However, why couldn't the originator of the text check for errors themselves - especially if they are aware of the PA's weakness with English language? More fundamentally, is to question the reasons why the originator hadn't used the computer to directly enter the text. Why use a PA? People, closely associated with the problem can be invited to contribute to the analysis to ensure that all factors have been taken into consideration. In the illustration, above, factors that caused the performance problems can be discussed with the stakeholders to decide appropriate action.

4. The Cause and Effect tool is especially useful to supplement the analysis done by means of other TNA tools, for example, Environmental, Motivational and Behavioural.

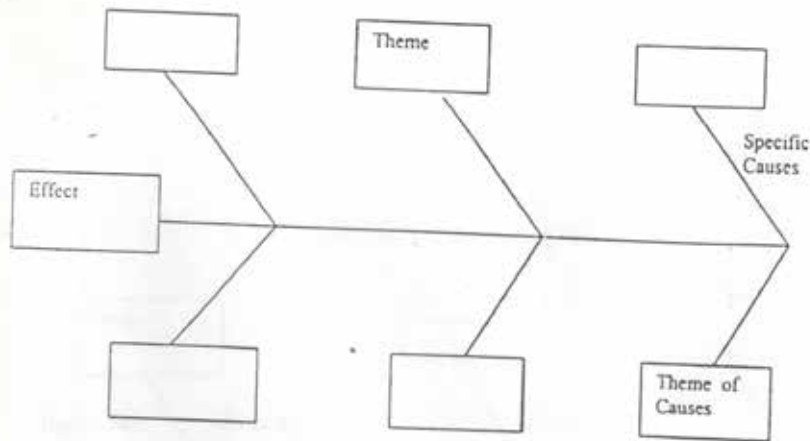
HOW TO USE THE TOOL

- **Identify the Problem** Cause and Effect analysis for the purposes of TNA, is a systematic way of looking at effects and the causes that create or contribute to specific performance problems. The problem being analysed can be expressed as a deficiency or as “desired state”.
- **Work out the major factors involved** The analysis focuses attention on either a detailed analysis of the causes of the problem, or seeking ideas for its solution.
- **Representing the problem and analysis** To provide a useful framework for analysis, the causes are **being** represented on a cause and effect or a fishbone diagram. Related causes are grouped together on bones of the fish which have been labelled with the common factor.

The process to follow in producing a Cause and Effect Diagram is:

- Identify the problem area or “effect” to be analysed or the desired state to be reached.
- Hold a brainstorming session with people associated with the problem to establish all the major possible causes.
- Write the effect/desired state in a box at the end of the main spine of the fishbone. Add several bones, drawn at an angle.
- From the results of the brainstorming session form groups of causes under several headings comprising the main factors contributing to the effect being analysed.
- On each of the major bones, write the contributory factors which the group consider to be part of each cause.
- Then decide whether you need to collect additional data to further understand the relationships of cause to effect.

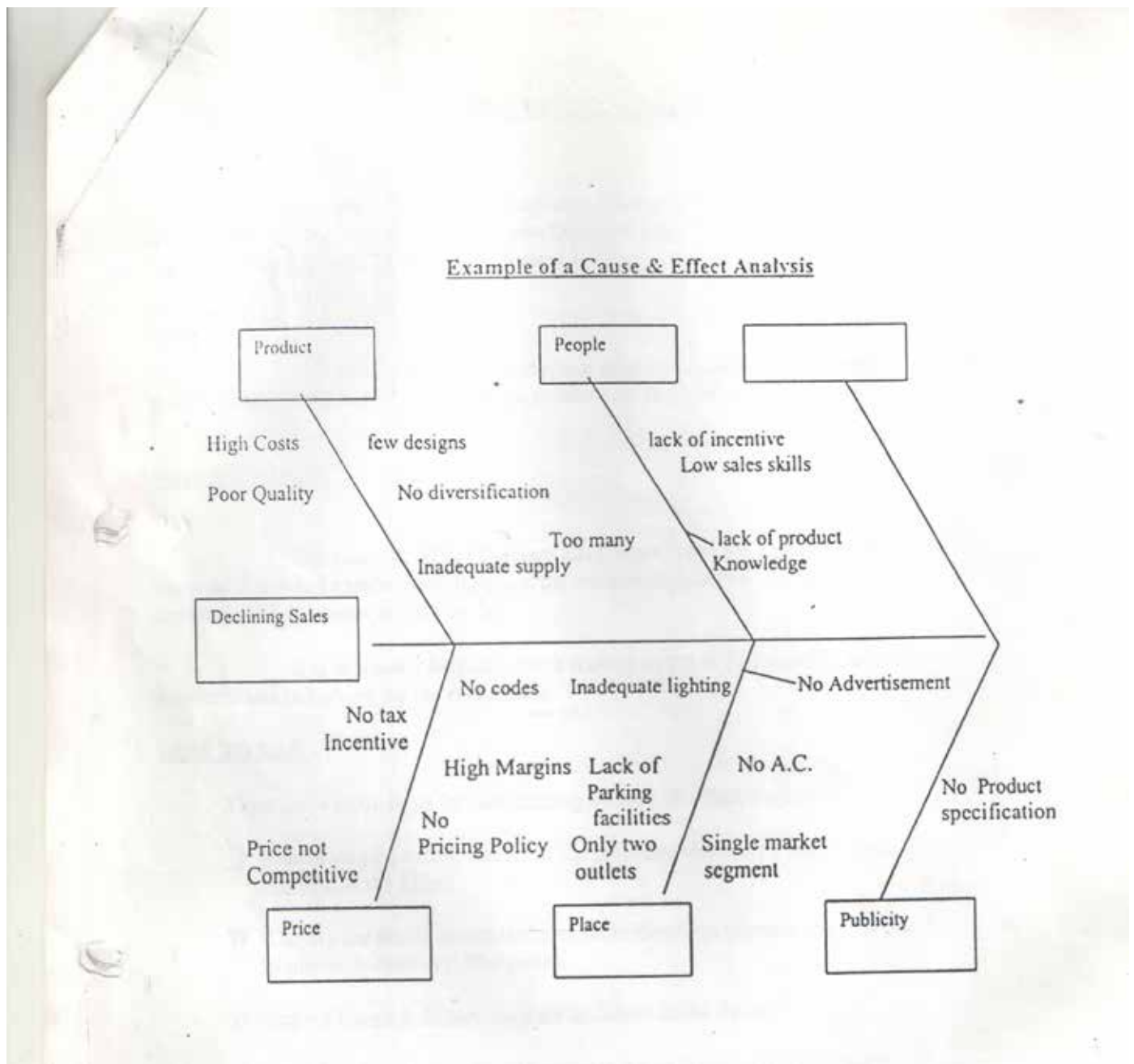
Tips for Constructing Cause and Effect Diagrams



Cause & effect Analysis

TIPS FOR CONSTRUCTING A CAUSE & EFFECT DIAGRAM

1. Brainstorm the causes. Everyone in the team should contribute and voice their ideas freely.
2. Visibility is a vital factor. Everyone should be able to see the Diagram as it develops. Use large Flip charts or White Board in well lit area.
3. Do not criticise any idea. Encourage free exchange. The Brainstorming approach is most appropriate.
4. Check understanding of each cause to ensure its proper placement in the diagram. Use the technique - Why; What; When; Where; Who; how.
5. Group various cause which have a common theme, link and create a bone for each theme.
6. Avoid overload. If one theme dominates, construct a separate diagram with that theme as the effect.
7. Focus on how to improve a situation rather than merely on how it arose.
8. After the diagram is complete, circle the most likely causes for special attention. Only here, is each idea critically evaluated.



There are four steps to using the tool.

1. Identify the problem.
2. Work out the major factors involved.
3. Identify possible causes.
4. Analyze your diagram

T 3.3 Versatility Chart

PURPOSE OF THE TOOL

The analysis of training needs often involves groups of people, as well as those for individual workers. This tool enables you to develop an overall analysis of the work being done by a working unit and their individual training and development needs.

WHEN TO USE THE TOOL

Consider the following diagram:

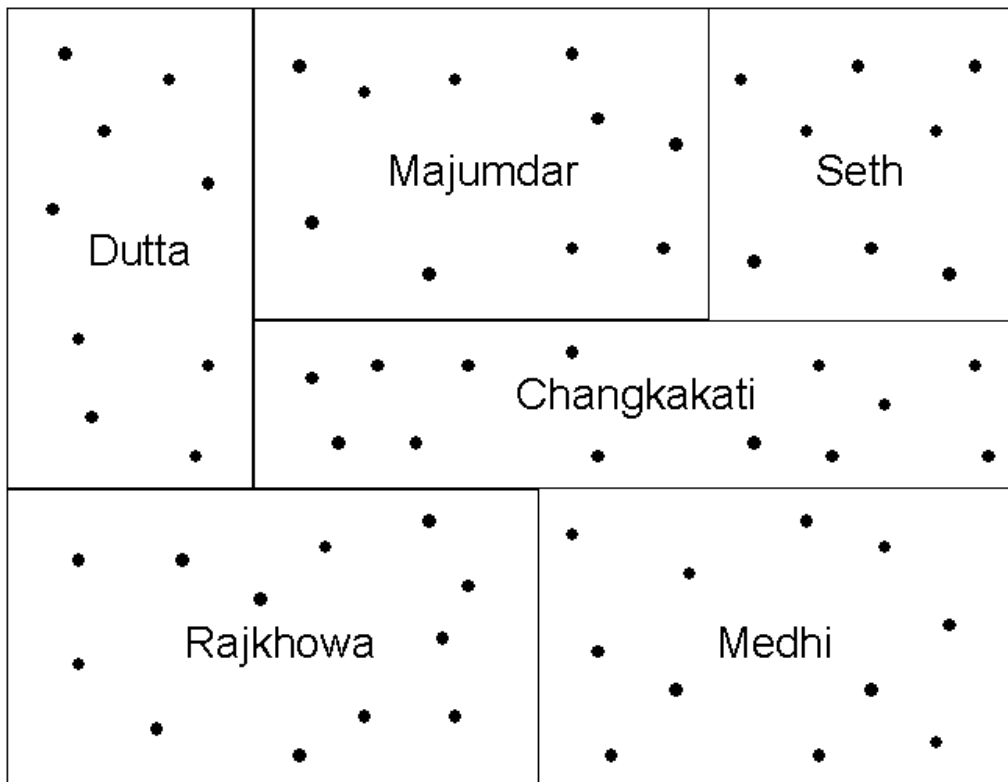


Fig. 1

The illustration in Figure 1 shows six people, forming a working group—for example, a small department in an organisation. Each dot represents a task that the group has to perform, and the boxes represent each individual job or role.

Although the illustration provides a neat picture, it does not show where jobs overlap and that some tasks are being performed by all members of the group. It fails to analyse how the group actually works together as a team, nor does it identify the group's strengths and weaknesses.

This information can be organised by means of a Versatility Chart, so that the overall performance of the working group can be analysed and training needs identified. The basis for the versatility chart is a

matrix that lists the principal tasks the group is expected to perform, against each member.

The versatility chart can also be useful when new technologies, procedures or working practices are being introduced. Often this will mean changes to the tasks people are expected to perform, and the likelihood of training being needed. Also, there is a general trend towards a more versatile workforce, so that workers can contribute more effectively to group activities.

HOW TO USE IT

Represent the information on a chart. The chart can include codes to show:

- M** For the person competent and normally expected to perform a particular task.
- C** Other members of the group competent to perform a task, if required.
- T** A task where a person requires training before being considered competent.

An example of a versatility chart is shown in Figure 2.

To simplify our example in Figure 2, we have shown only six tasks. These can be regarded as those forming a 'key result area' - perhaps identified by the client or stakeholder. Training needs can be identified by examining the gaps in the versatility chart. So, in the illustration, attention should be paid to the consequences of Seth being transferred, and the continuing training and development needed for Majumdar.

Potentially, this tool can make a major contribution to TNA. However, compiling a versatility chart can be a lengthy process, especially if you are an external consultant unfamiliar with the work being carried out. The ideal people to compile versatility charts are section heads. They will be familiar with the tasks to be performed, how they are allocated, and the strengths and weaknesses of their subordinates.

Therefore, encourage stakeholders to use a Versatility Chart, and include one in your analysis as an example. This is an excellent tool for regular use by section heads to help them deploy, train and develop their subordinates.

When you are helping a stakeholder or section to compile a Versatility Chart, take into account the following points:

1. Don't attempt to include all tasks being performed by a working group. Identify those tasks that can be considered key to successful performance.
2. Discuss likely changes to the work of the group and the introduction or changes to key tasks.
3. Examine the consequences of changes to the working group. These might be caused permanently by transfer or retirement; or a temporary situation caused by absence due to illness or leave.
4. Where performance problems or training needs emerge from the analysis, encourage stakeholders to consider how these can be addressed by training and non-training action.

VERSATILITY CHART - AN EXAMPLE

NAME	AGE	JOB TITLE	TASK					
			Supervising & Passing	Checking+ Budget Check	Preparing Bills	Drawing Cash from Bank	Disbursing Cash	Writing Cashbook or Ledger
S. Changkakati	33	Drawing & Disbursing Officer	M	C				
R. Seth	53	Section Officer		M	C			
S. Majumdar	30	Bill Assistant			M		T	T
G. Dutta	37	Bill Assistant			M		T	T
S. Rajkhowa	46	Cashier				C	M	M
M. Medhi	49	Duftry				M		

Figure 2

T 3.4 Job Description

PURPOSE OF THE TOOL

The purpose of a job description is to provide a 'picture' of a job and the person doing it. The clarity of the picture depends on the amount of detailed information included in the description, which is determined by the effort the organisation is willing to make in their preparation and use. For many small organisations the effort is not worthwhile, but for others the introduction of job descriptions could help to establish what people are expected to do, their relationships with other employees and where they need training.

In a client organisation where there are newly appointed employees, where there are changes in technologies or working practices, or where the performance of the organisation is less than satisfactory, job descriptions can be of considerable value. A job description may help

- Define what a person is expected to do.
- Clarify a person's relationship to senior and subordinate staff, and with immediate colleagues.
- Specify a person's duties, responsibilities and authority.
- Provide the basis for recruitment, selection, placement and development of employees.

WHEN TO USE THE TOOL

Each job in an organisation can be analysed by means of a job description. The job description will help obtain answers to some but not necessarily all of the following questions:

Job Title	What is the name of the job a person is doing? Is there any significance in this - for example, concerning status or authority?
Department	If the organisation has separate departments or working units, then we need to know where a person is working and who is the head of the department.
Job Holder	Who is doing the job? How many are there doing the same job? Are there any significant differences in performance?
Location	Where is this job done? Does it involve travel? Does it affect internal or external relationships?
Responsibilities	What is the job-holder responsible for? How effective is this person in fulfilling them?
Authority	Does the job-holder have authority to match responsibilities?
Duties	Are the job-holder's activities clearly defined? Who by?
Relationships	With whom does the job-holder have contact, both internally within the organisation, and externally with customers?

You may come across the following 'facts' used to describe a job:

- What job-holder's do
- What they believe they do
- What they say they do
- What others think they do
- What others think they ought to do
- What management want them to do

Resolving these 'facts' can help management and employees identify areas of concern. This will help to identify who is involved in tackling performance problems.

HOW TO USE THE TOOL

This will depend on the context in which the job description is being used.

The most practical way to use this tool is to devise a form that provides an effective basis for the analysis. This should be modified to suit different situations, requiring you to add or delete descriptors. The following points are important:

- Discuss the possibility of using job descriptions with management before attempting to use them. Some organisations will welcome their use, others may find them threatening or not worth the effort required to complete them.
- Clarify the purpose for doing them. Make sure that there are worthwhile benefits to the organisation, and that the information obtained will contribute to the TNA.
- Keep the descriptions as simple as possible, but also relevant to the situation. If the format is too simple, the information will not be of much value, if it's too long and complex people will be reluctant to complete them.
- Encourage the involvement of job-holders. Along with their management, they are the best people to do the analysis. You can provide the format and advice, but, ideally, they should want to do the analysis and gain a sense of ownership of the results.

TIPS

- The depth of the analysis, and the extent to which it needs to be done to get a detailed job description, will depend on circumstances and the potential benefits to be gained from the time and effort required.
- In obtaining answers to these questions you are likely to encounter differences of opinion, uncertainty and perhaps aggression and negative reactions.
- You may find job descriptions are available, but are out of date or provide an inadequate description of the job.
- You may find that a person has been doing a job for such a long time that you are describing the person rather than the job they should really be doing.

SAMPLE FORMAT AND DESCRIPTORS

Job Title:

Department:

Location:

Name of Job Holder:

Reporting to:

Scope or Purpose of Job:

Responsibilities:

Duties:

T 3.5 De-Bono

PURPOSE OF THE TOOL

Usually when analysing information we tend to consider it from our own perspective and may therefore limit the scope of the analysis. Edward De Bono introduced 'lateral thinking', to encourage us to look at situations from different points of view, some of his suggested techniques are used for this tool.

WHEN TO USE THESE TOOLS

When collecting data using other tools if you have found a considerable amount of information from a variety of sources and the data obtained from one source conflicts with data collected from another.

When people provide contradicting opinions about particular problems, based on their personal point of view, which is influenced by who they are, what they wish to achieve and any agenda they wish to pursue.

The De Bono techniques will help you to maintain objectivity and empathy. Objectivity is essential to avoid the tendency of being influenced by certain information and its source: empathy will be needed to enable you to consider situations from different perspectives.

5- DEBONO TECHNIQUES

De Bono offers a wide range of techniques that can contribute to the analysis of data. Five of these techniques have been selected and adapted for training needs analysis and as a tool for Phase 3 of your TNA consultancy:

1. CAF - Consider All Factors
2. EAS - Examine All Sides
3. ADI - Agreement, Disagreement and Irrelevance
4. OPV - Other People's Views
5. HV & LV - High Values & Low Values

These techniques can be used independently, or in combination to enable you to objectively analyse a situation.

Illustration

To illustrate how to use the tools we have featured a 'Sales Department', a particular Sales Representative who is experiencing performance problems, and the 'Sales Manager'. One suggestion is to equip all the sales representatives in the department with portable lap top computers, so that they can use e-mail and fax to communicate with the sales office.

CAF (CONSIDER ALL FACTORS)

DESCRIPTION

This is a device to make concrete what would otherwise remain a general intention to look broadly at a performance problem. 'Doing a CAF' means considering all factors that have to be considered in relation to a performance problem. There is no attempt to evaluate the factors.

HOW TO USE IT

For example doing a CAF on the sales representatives performance problem might result in listing such factors as:

- Past selling experiences with other companies.
- Comparison between training received by members of the sales team.
- Geographical spread of each representative's sales area.
- Identification and analysis of blockages to each representative's performance.
- Administrative procedures used by and on the behalf of the representatives.
- Management skills being used by the Sales Manager.
- Rewards and punishments, explicitly or implicitly used to influence the sales performance.

Any of these factors could lead to more detailed consideration to ensure that all factors related to the performance problem have been identified and explored.

In doing a CAF the emphasis is on 'what has been left out?' And 'what ought we to consider as well?' Buying portable computers may seem the answer to the performance problem, but what might have been left out could be other factors (administrative process, suitable programs etc.) which undermine performance. Equipping the representatives with portable computers might, potentially, make a major contribution to performance but other factors can undermine performance and result in a failure to realise the full benefits and potential of their introduction.

ACTIVITY

Do a CAF on the performance problem(s) you are dealing with. The more factors you consider the more thorough your analysis, and the likelihood of a more relevant training and non training intervention.

EAS (EXAMINE ALL SIDES)

DESCRIPTION

The original version stated EBS (Examine Both Sides). This implies that there are two sides, two points of view concerning a problem. The statement is amended to EAS to indicate that a problem exists in an organisational environment and facts, opinion, causes and solutions are offered by possibly most people. To arrive at a solution to a problem it is therefore necessary to consult as many people as is practicable. You can examine their point of view, resolve differences and establish a common basis for action.

HOW TO USE IT

Using the EAS approach to the sales representatives performance problems might result in examining the problem from the representatives point of view, both as individuals and as a working group. Other sides and other points of view might be obtained from other departments and from customers.

The main purpose of doing an EAS is to help come to terms with the problem, for example:

- To recognise the existence of the problem.
- To accept that the group, individually and collectively, have a responsibility in respect to developing solutions to the problem.
- To generate and explore ideas and proposals that might contribute towards a solution.

It is important to sustain an objective, consultative approach to not only helping the people concerned examine all sides of the problem, but to engender a sense of ownership in the proposed solutions.

ACTIVITY

Do an EAS on the performance problem(s) you are dealing with. Identify as many people as possible who influence the problem and encourage them to examine it using a neutral, objective approach with all sides of the problem examined.

ADI (AGREEMENT, DISAGREEMENT & IRRELEVANCE)

DESCRIPTION

From an examination of all sides of the problem areas of agreement can be noted. Next, the areas of disagreement are noted, finally, the areas of irrelevance. At the end of an ADI all parties concerned can probably point directly at the area of disagreement. Very important is to have established areas of agreement from which it might be possible to examine the area of disagreement and negotiate towards agreement, point by point.

HOW TO USE IT

When ADI is applied to the sales representatives performance problem, it should be possible to establish, for example, the following points

Agreement

- That performance is unsatisfactory.
- That change is needed.
- That the problem and solution involve and affect everybody.
- That resolving the problem results in improved remuneration and increased job satisfaction.

Disagreement

- That the Sales Representatives performance problems can be attributed to poor systems and management.
- Whether equipping the sales representatives with portable computers will improve performance sufficiently to justify the costs involved.
- That training should be confined solely to the Sales Representatives.

Irrelevances

- The type of portable computer.
- Detailed procedures for using the computers.
- Geographical allocation of sales areas.

ACTIVITY

Working from information obtained from EAS, draw up a chart showing areas of agreement, disagreement and irrelevances, each associated with the people concerned.

OPV (OTHER PEOPLE'S VIEWS)

DESCRIPTION

This technique requires the analyst, and people associated with the problem, to look at the problem from another perspective. Rather than express a personal point of view, emphasis is given to considering what others think about the problem. Developing a degree of empathy may require a conscious shift in perspective, attempting to put aside a personal point of view and considering the problem afresh from a different position.

There are two parts to the exercise. The first part involves identification of the other people who may or may not be aware of their part in the problem. The second part involves considering the problem from their point of view.

Doing an OPV does not mean putting into the mouths of all the people concerned the rational arguments and solutions you have developed with respect to the problem. It means objectively trying to look at the problem from an individual's point of view, using that person's perspective, background, information, attitudes and beliefs.

HOW TO USE IT

An OPV on the Sales Representative's performance problem might, for example, show the following perspectives:

- One sales representative blames performance problems on the ill considered changes to systems and procedures. "It used to be OK until decided to change the way we work, without consulting us".
- Another considers the problems with performance are the direct result of appointing a person to be the Sales Manager who "... is a workaholic unable to discuss anything but the number of calls we make and sales figures. He doesn't seem to realise I've got a family and other non work commitments".
- The Sales Manager has been promoted to the position after a successful career as a sales representative. He is unwilling to admit the need for training to undertake a management role involving systems and managing people.
- The invoice clerk in the Finance Department doesn't even know that the sales representatives have a problem, and still less to the fact that unnecessarily early and rather curt settlement statements to customers affect sales.

ACTIVITY

Carry out an OPV on the performance problem(s) you have identified. Try to include as many people as possible and encourage them by a counselling approach to express their point of view.

HV & LV (HIGH VALUES & LOW VALUES)

DESCRIPTION

Values are the link between events, in this case performance problems, and our basic emotions. Values are an important aspect of helping people to solve performance problems. For convenience we might look at four types of values:

Me values: ego, status, self importance, achievement, survival, pleasure, self indulgence, etc.

Mates values: being accepted by the group, acting as a member of a group, accepting the values of a group, not letting the group down.

Moral values: religious values, social custom, general observance of the law, upbringing values, general values of a particular culture.

Mankind values: ecology, pollution, a general concern for the whole earth and mankind upon it, also human rights and a concern for basic human values.

HV & LV is a useful technique to attempt to consider performance problems in relation to the high and low values associated both with the problem and possible solutions. In general the high values are the ones which determine action and the low values are the ones which have to be taken into account.

A performance problem may be wrapped up in value laden words and situation values. Therefore implications and judgements, may be associated with words such as sincere, conscientious, perceptive, imaginative, clever, well meaning, superficial through to more direct descriptors such as autocratic or incompetent. Helping people to solve their performance problems may result in you having to cope with value laden statements. These may be more implicit than explicit but provide evidence of values and the way they directly or indirectly affect performance.

HOW TO USE IT

The root cause of the sales representative's performance problem could be the values being used. For example:

HV The Sales Manager is worried about the consequences of sharing with other members of the sales team his lack of management expertise. To do so would affect his ego, self respect, authority and chances of further promotion.

LV The Sales Manager's concern about accepting the use of portable computers. He is not computer literate and has no experience of using computers.

These are typical examples of performance problems and solutions to both of them are not difficult to imagine. However, consider the influence of values in the first example. With HV, the Sales Manager has to accept the need to learn new skills and then face what is probably quite a daunting prospect of changing his style of management in front of subordinates. However, while, having to cope with developing these skills, inevitably making mistakes in full view of subordinates who might be less than supportive.

The second example, indicating LV, is different in that the Sales Manager can become computer literate and learn how to operate the portable computer well away from the rest of the sales team.

Values play an important part in considering problems and solutions because in the above illustration the Sales Manager may choose the LV computer solution because it is 'safe'. Unfortunately, in respect to the performance problem, it might be the wrong choice.

ACTIVITY

Consider the people, issues and values associated with your performance problem(s). Identify examples of high and low values and evaluate the influence they are likely to have as you help people to solve their performance problems.

T 4.1 Performance Report

PURPOSE OF THE TOOL

Having analysed performance problems and identified areas where training is needed, this tool can be used to summarise your findings. It can be used to present these to your client and stakeholders. It will help them to discuss your findings and recommendations, which will include priority for action both for training and non training needs.

- The 'purpose' of this Phase is to present 'draft' Report to the Client, outlining findings and recommendations.
- The intention of presentation is to engage the client and stakeholders in a dialogue to discuss your recommendations. This is likely to result in changes being made to the Draft Report.

HOW TO USE THE TOOL

First Write Down the Performance Problem

This should be a short, specific statement of the problem, using terms that are easily understood within the organisation. It's worth remembering that the problem 'belongs' to the organisation; they need to be able to recognise it and accept ownership.

List the Symptoms of Problem

From your consultancy activities you should have not only identified the performance problem, but compiled evidence to illustrate the extent of the problem and its consequences for the business. The client and stakeholders should feel a sense of 'pain' as you point out symptoms of the problem and how it is afflicting the organisation.

The form only has provision for a summary of the symptoms, so you may need access to further information and data to support your assertions.

Write the Causes of Problem

The symptoms of a problem may be self evident, or obtained as the result of interviewing people. But the causes of the problem may be obscure, and only found out by thorough analysis of available information and data. The results of this analysis should be summarised to establish a strong link between the symptoms of the problem and its causes.

You may have to contend with serious conflict, when the symptoms of a problem are attributed to one stakeholder and its causes to another. The points you record on the form are derived from your analysis and should enable the conflict to be resolved.

Detail the Training Implications

This is where you make recommendations about the training you believe will help to solve the problem.

At this stage you don't need to go into a detailed identification of training needs, but it's important to note down who will need to be trained and the reasons.

Note the Non Training Implications

Usually the solution to the performance problem will involve both training and non training implications. Also, almost certainly, tackling the non training implications will be a vital part of helping to solve the problem. The recommendations you make in this section of the form will be directed towards stakeholders, who have the authority and responsibility to take action.

WHEN TO USE THE TOOL

This tool is used to present the findings of your analysis to the stakeholders at the end of the analysis.

The form can be used to present your findings to the client, and to stakeholders who may feature prominently, both as owners of the problem and key players in the solutions you are recommending.

Consider the form as a summary of your findings, of your analysis and the training and non training recommendation you are making. Detailed material will be needed to back up the points you make on the form.

Take care to include all essential training and non training implications, so that once your recommendations have been accepted a solution to the problem can be achieved. The danger is that at this stage you miss out a crucial implication that affects chances of success.

Be aware that you may offend certain stakeholders who may be a partial cause of a problem, but who would not benefit directly from its solution. Their support is essential.

PERFORMANCE REPORT TEMPLATE

Performance Problem:	
Symptoms of Problem:	
Causes of Problem:	
Training Implications	Non-Training Implications

PERFORMANCE REPORT EXAMPLE

Performance Report

This Report Refers Bus Company case study – available in the download section

PERFORMANCE PROBLEM

Symptoms of Problem

- Operating equipment failed to deliver the companies' products in a timely and effective manner.
- Buses needed to service customers stood idle because they needed repair.
- The company lost approximately five lakhs a year due to the downtime of the buses.

Causes of Problem

- The maintenance personnel were unable to perform their normal job responsibilities due to a lack of parts.
- Buses needed for day-to-day operation sat idle.
- Often parts were on hand but could not be located.
- Maintenance planners seemed to be constantly chasing required parts.
- Consequently, the maintenance work was not planned or performed properly.
- The person in charge of the parts department exercised complete and autocratic control over the department.

Training Implications	Non-Training Implications
<p>Train Use of Inventory: Provide training to designated personnel (from the parts department manager as well as those from the maintenance department) in how to use the new inventory system. Train an assistant to the parts manager in the use of the system to ensure the availability and timely access to all items in the parts department.</p> <p>Train on Service orientation and Customer centricity: The staffs in the parts department need to be sensitised on service orientation and customer centricity.</p>	<p>Streamline Purchasing: Streamline purchasing procedures (e.g., purchase orders and job orders) and form a new system of availability and accessibility to items needed on a daily basis by maintenance personnel.</p> <p>Define SLA's and escalation matrix.</p> <p>Prioritize Critical Items: Make available, on a priority basis, urgent and time-critical items.</p> <p>Automate Inventory: Implement an automated inventory system</p> <p>Flag Critical Parts: Provide individual maintenance departments with the ability to flag critical parts.</p> <p>Print Availability: Print availability of general use items monthly but "critical spares" weekly.</p>

T 4.2 Priority List

After analysing an organisation's training needs, you need to be able to report to your client. This is the opportunity to outline the main performance problems and development needs affecting the success of the organisation.

Some of these problems will have major training implications, whereas others may require little training but other, non-training, action.

These performance problems can be presented by means of a Priority List.

PURPOSE OF THE TOOL

The 'purpose' of this Phase is to present 'draft' Report to the Client, outlining findings and recommendations

WHEN TO USE THE TOOL

- This tool can be used with the Performance Report Form to help client decide the importance attached to your recommendations
- The final decision on the priority for action is client's, as he has the responsibility to utilize available resources in the best interests of the organization

HOW TO USE THE TOOL

These performance problems can be presented by means of a Priority List, which will give the client the following information:

- **Performance Problem** stating a clearly defined problem, expressed in terms easily understood by the client.
- **Training Implications** indicating the type and extent of the training needed to solve the problem.
- **Other Implications** indicating additional action, other than training, which will be needed to solve the problem.
- **Training Priority** this column could be left empty, so that it can be filled in after discussion with your client who will decide the level of priority given to each problem.

This information forms the basis for discussions with your client and perhaps stakeholders. The format presents a summary of your findings, where each performance problem you have listed, and the recommendations you make, can be supported by detailed analysis and evidence.

TIPS TO PRESENT THE PRIORITY LIST

The Priority List can be presented on an Overhead Projector, on a flipchart, or simply on a sheet of paper. The choice will depend on the number of people present and the formality necessary to gain the client's attention.

Clients' who are keen to seek justification for your findings, may ask searching questions to assess your understanding of a problem and assurance that your recommendations are viable and cost effective.

You may leave the 'Training Priority' column blank, although you may have your own views about the relative importance and priority attached to each of your findings. By leaving it blank you are inviting the client and stakeholders to become 'owners' to decisions about priorities. Encourage them to decide where they want to concentrate their resources to achieve results of their choosing.

PRIORITY LIST FORMAT

Prepared by : _____

Date prepared : _____

Page No ____ of ____

PROBLEM	TRAINING IMPLICATIONS	OTHER IMPLICATIONS	PRIORITY

T 5.1 Target Setting

PURPOSE OF THE TOOL

As you approach the withdrawal phase of your consultancy, and after you have completed the analysis of training needs, it will become important to associate your findings and agreed recommendations with specific action. This tool provides a format for specifying action required, the person responsible and targets agreed.

This tool is an essential feature of the consultancy process, especially if you are an external consultant relying on others to implement your recommendations.

DESCRIPTION

Most jobs consist of a wide range of tasks, from the routine ones done every day by most workers in an organisation, to the highly specialised tasks done, for example, by technicians or management. As problems or opportunities arise in an organisation, or as workers need to be developed, there is the need to focus attention on certain tasks. This may occur as the result of:

- Agreements made during appraisal interviews.
- The recruitment of a new, experienced person with management, sales, administrative, technical or supervisory responsibilities.
- A development programme for a graduate trainee.
- Changes when new tasks will mean adjustment to roles.
- Response to business demands, which require priority attention.

The use of the Target Setting tool can make a valuable contribution to a TNA consultancy. It focuses training and development activities on specific tasks, or 'key result areas' important to a client or stakeholders. For smaller organisations, with limited resources available for training, the tool can be used to achieve specific targets of direct benefit to the business.

Stages of Target Setting

1. Establish the key result areas for training activities, in relation to a person's job or work area. The earlier use of the TNA tools should have identified key areas for attention, and provided detailed information and recommendations.
2. Establish targets to be achieved. Caution is needed to ensure that targets are agreed and that there is every prospect for achievement. Remember that you are relying on the goodwill and commitment of people who are involved in training as a relatively minor part of their job. Your advice might be needed to clarify what people, especially stakeholders, are required to do to implement recommendations.
3. Establish the means to verify progress towards achieving the targets. This may continue after the completion of your TNA consultancy, when responsibility is being carried by the organisation's management.

4. Assessment of performance in relation to targets. Again this will be done by the organisation's management. In view of the low priority likely to be given to training in the organisation, it may prove unrealistic to do this. Much will depend on the commitment of the client.
5. Follow up action. If you are an external consultant this can provide an opportunity to return to the organisation to discuss progress and perhaps help them to plan further training initiatives.

From your TNA consultancy activities, you may have established certain intentions that involve training or development activities. The Target Setting tool enables you to link these intentions to clearly defined outcomes, expressed in terms familiar to the people concerned.

Targets are something to be achieved and they should be written in such a way they can be measured or verified. The examples below illustrate the difference:

INTENTION	TARGET
a) To increase production	To increase production by X units per shift by 31 March 19--
b) To meet delivery schedules	To deliver goods ordered within 10 days of receipt of order
c) To submit monthly returns as quickly as possible	To submit monthly returns within five days after the end of the month concerned

HOW TO USE IT

It's important that you help stakeholders use the tool properly, so that targets can be achieved and assistance given to workers who need training. There is a risk that without your support, the organisation will start to use the tool for unsuitable, or unrealistic targets.

Targets should therefore be set following discussions with your client, stakeholders and, perhaps, other workers who will be involved in the training or non training activities you have recommended. In deciding targets it is important to ensure that they are:

- **Necessary.** Targets should be directed at priority problems in the organisation. They should help to improve performance of individuals, or working groups, departments or functions.
- **Realistic and attainable.** Targets should be closely related to the needs of the organisation and to the people involved. It's also important that they can be attained in what might be less than ideal circumstances for training and development.
- **Measurable.** Whenever possible, targets should include assessment criteria that can be used to assess improvement in performance, such as:
 - ▶ Time
 - ▶ Quantity
 - ▶ Quality
- **Agreed.** Stakeholders and workers should have agreed to the targets and feel a sense of 'ownership'. It's important that targets are not imposed on people.
- **Reviewed.** Targets, once set and agreed, should be reviewed regularly. This is especially important with on-job activities, where problems and other operational priorities may impede progress.

TNA TARGET SETTING FORM

Personnel	Key Result Area	Targets	Assessment	Criteria	Review	Date

T 5.2 Training Plan

PURPOSE OF THE TOOL

Once you have discussed your findings from the TNA consultancy with your client training priorities can be agreed. These can be presented by means of the Training Plan.

This tool provides the means by which your client can benefit from training. The Training Plan is the product of your consultancy activities and details activities agreed that will enable the organisation to benefit from its investment in training.

WHEN TO USE THE TOOL

The Training Plan should be used to help your client and stakeholders plan the implementation of your recommendations.

The Training plan is used in the withdrawal phase which represents an agreed plan for action, with special reference to training and development.

HOW TO USE THE TOOL

List Priority

Training being proposed should be referred to an agreed priority. The priority may be a number, denoting the sequence, importance or urgency of the proposed training. Alternatively, the priority column could be used to specify the date when training is scheduled to start. This would be helpful for off the job training courses, for example.

Job or Person

The proposed training could be intended for certain jobs, occupational categories or functions within the organisation. It could also be focused on training or development for an individual worker.

Aim of Training

This should state, briefly, the intention of the training. For the client and senior management this may be the only information they require, or likely to remember. However, for stakeholders and the people concerned, the stated aim should be a focal point for their attention, action and validation.

Strategy

This column should indicate the type of training needed. The strategy could be to attend a course, or it could be on job training, doing projects, or by means of distance learning. More than one strategy, or more specific training methods, may be needed to meet individual, group, or large-scale training needs.

Target

The client is entitled to expect an estimated date for the completion of the proposed training. This can easily be done for an off the job course, when dates are agreed with the provider, but possibly more difficult to establish with on job training.

Responsibility

It is likely that most of the proposals will involve stakeholders, as their colleagues or subordinates are to be trained. These are the people who should be designated to take action to implement the proposed training.

The Training Plan may be the last formal contact between you, your client and stakeholders within the organisation. This is particularly the case if you are an external consultant, but to a lesser extent it may also apply if you are an internal consultant.

The Training Plan is intended to initiate action, which has been assigned as a responsibility to certain people. You could be one of them. The plan is likely to feature prominently in what is the withdrawal phase of your TNA consultancy.

Depending on your status, the organisation, or the people with designated training responsibilities, may ask you for further assistance but this is likely to be outside your Terms of Reference. However, if you can't offer to assist, it's important to not to leave them uncertain about what to do, or where they can seek further help. Failure to do this properly could result in the failure of the organisation to benefit from their proposed investment in training.

TIPS TO PRESENT THE TRAINING PLAN

As this is probably your last formal link to the organisation, it's important that you manage the withdrawal effectively to enable the following outcomes to be achieved:

- The organisation has a viable Training Plan, suited to its needs and likely to result in improved performance.
- The Training Plan takes into account the client's priorities.
- Stakeholders are willing to support the Training Plan, and accept responsibility for contributing to its implementation.
- All workers associated with performance problems have been taken into account.
- The Training Plan forms the basis for what may be several Design Briefs - used to initiate the next stage of the Systematic Approach to Training.
- Be realistic about what you include in the Training Plan. One or two proposals that are successfully implemented are likely to be more beneficial to the organisation than a long list of ones ignored.
- Involve the stakeholders in your proposals, engage them in discussion about the reasons for training and try to ensure that they become 'owners' of the proposals. If you can do this, you will be presenting the Training Plan on their behalf.
- Choose a strategy and training methods that are practical and cost effective, so that your proposals include features that will be attractive to your client.
- Don't push your own particular interests. Remember, you are conducting a TNA consultancy, not

trying to sell a course!

- Include targets that are realistic, taking into account the performance problems you have found, and the extent to which the organisation is likely to respond to your proposals.
- Concentrate your proposals on 'winners' those stakeholders and workers who will respond enthusiastically to the prospect of training both for themselves and for the organisation.
- Limit your proposals to ones where there is a strong probability of success that way you will be creating opportunities for further consultancy work.

TRAINING PLAN

Priority	Job Or Person	Aim	Strategy	Target	Responsibility

SAMPLE PROJECT TRAINING PLAN

Project Name:	Project Management Program software (PMPS) –Implementation		
Date:	Jan 30, 2015		
Department/Unit:	DoPT		
Contact Names:	Role	Email	Phone
Kathy Wilmot	Project Manager	xxxxxxxxx@xxx.com	5678
Renée Lesage	Training Lead	xxxxxxxxx@xxx.com	1234

1. INTRODUCTION

Why are we doing this? What is the background or the history of the request?

Example:

Project Managers (PMs) require effective processes and software to plan, collaborate, monitor, and report on the projects.

This training plan outlines the requirements and methods needed to provide training on the use of Project Management Program software(PMPS). This tool will be required by IT units and will eventually be available to the DoPT community.

2. TRAINING SCOPE

2.1 Training Objectives

What are we hoping to accomplish (proficiency, advanced learning, certification credits, etc.) and who is the intended audience?

Sample:

A training program will be developed to provide the proper level of training needed for a range of users, from novice to expert project managers. Training methods will vary depending on the type of user – project manager, portfolio manager, directors/executive, and team member. Training will be provided for the PMPS software tool in conjunction with Project Management methodologies.

2.2 Assumptions

Who is going to set up the training environment? Is that going to happen in production? Who will set up the security for the site collection? Will users log in as themselves or as training ID's? Will we travel to all sites or just conduct classes at the corporate office?

Sample:

- The PM, in the capacity of functional expert, will help to develop the training materials, but the responsibility for developing, delivering, and administering the training remains with DoPT.
- Previous Project Management training is recommended as a prerequisite for novice PMs.

2.3 Constraints

Were you only given a month to put something together? Do you have any money to spend? Do you have an instructor? Does the trainer have access to an environment (dev or test) where they can learn the product and take screenshots? What issues are we facing specific to training?

Sample:

- A timely schedule for developing the training materials and course offerings will be a challenge as multiple software applications are competing for the same resources.
- The project team's availability over the summer (vacations) and the fall (busiest time of year) will make it difficult to develop and deliver training.

3. TRAINING PROGRAM

3.1 Training Prerequisites

Sample:

All Project Managers (PM) are expected to understand and be familiar with PMI's Project Management Methodology before attending any of the training session.

3.2 Types of Training

Title	Description	Method	Duration	Participants
Project Management Methodology at DoPT	At first this course will be geared to IT Project Management. This course will outline the methodology used at McGill and provide an introduction to the software.	Seminar	2 hours	Novice PM, PM, Portfolio PM
PMPS software for PMs	Overview of software for all users. Concentration will be on the PM user.	Lab	3 hours	Novice PM, PM, Portfolio PM
PMPS software for Directors and Executives	Overview of software for all users.			
Concentration will be for the Executive user.	Online	1 hour	Directors, Executives	
PMPS methodology and software for Team members	Introduction to methodology and overview of software. Concentration on team users, including time entry.	Online	30 min	Team Member

Access to PMPS for the Client	Overview of methodology and software. Emphasis on how to view project documents	Online	15 min	Client
PMPS Administrator	Training to be given initially by vendor. Procedures will be documented as necessary.	Vendor	TBD	PPM Administrator
Project Request	Guide to requesting a project via the software.	Online	TBD	Client
Project Request Approval	Guide to approving and staffing projects.	Online	TBD	Directors, Executives, Portfolio Managers

3.3 Training Schedule

Sample:

Initial training for the administrators, functional experts, ICS trainers, and reps from IT will be given by the vendor during implementation. At this time, course development begins for ongoing staff training. The estimated preliminary schedule is shown in table 3.3.

Training	Date	Responsible
Administrator training during implementation	Mar 17-21	Vendor
Train the trainer (ICS, PMO) during implementation	Mar 2015	Vendor
PMPS Course development	Apr – Jun 2015	DoPT Training & PMO
PMPS Staff Training begins for IT units	Jul 2015	DoPT Training

3.4 Training logistics

Sample:

- Training facilities are provided by DoPT.
- Seminar type courses require various size rooms equipped with a projector and laptop with access to internet.
- Hands-on courses will be given in an DoPT lab environment (maximum 15 users per session).
- DoPT set up to administer (schedule, register, record, etc).

4. ROLES AND RESPONSIBILITIES

Sample:

The table below outlines the basic training responsibilities. It does not represent a work breakdown structure - that will be added when more details are known.

Unit	Responsibilities	Existing or new resource
PM	Assist in course development with DoPT	PPM project team
DoPT Training	Develop courses (seminars, hands-on, online), administer training program on an ongoing basis	DoPT Trainers
DoPT Training	Administer training program – schedule courses, monitor registration, provide training records	DoPT Training coordinator
Vendor	Provide initial training during implementation and consult on training program	Vendor consultants
PM & DoPT	Evaluate training	DoPT Trainers & PM functional expert

5. ESTIMATED TRAINING BUDGET

Decide how many people will need to be trained. You may have 10,000 employees but only 500 of those are targeted for this list of objectives.

Sample:

Cost estimate is two full-time resources for six months to develop and schedule five custom scenarios to run a total of three times each at the corporate office only. The vendor estimate for this work is Rs.XXXXXXX.

DoPT currently have resources in place to offer training. However, it is likely that multiple software projects will need to share this limited resource. It is recommended that additional staff resources be secured in various departments and at multiple locations. Hosting a train-the-trainer program at corporate will require budget and manager approval for these resources to travel.

T 5.3 Design Brief

The Oxford English Dictionary's definition of design refers to 'A plan or scheme conceived in the mind of something to be done ' Whose mind - and what has to be done?

PURPOSE OF THE TOOL

As the TNA consultant, having worked through the consultancy process in collaboration with your client and stakeholders, you are now in the withdrawal phase. This tool is the means by which you conclude the TNA consultancy, and start a training design process. The Design Brief is the link between a client organisation and design and development of training.

DESCRIPTION

Features of a Design Brief

A design brief is the product of a TNA consultancy process, and follows the use of other Phase 5 TNA tools.

Features that could be included in a design brief, where appropriate:

- Information about the client
- Context within which training is being designed
- Performance problems being addressed
- Details of identified training needs
- Information about complementary non-training initiatives
- Details of people to be trained
- Significant constraints
- Aim of the proposed training
- Specific outcomes to be achieved
- Standards against which outcomes can be evaluated.

Constraints

For the recommendations to be practical, realistic and achievable leading to improved performance. Your design brief should include information about constraints relevant to a particular training need. The following are typical of ones you are likely to encounter are illustrated in Figure 1, below.

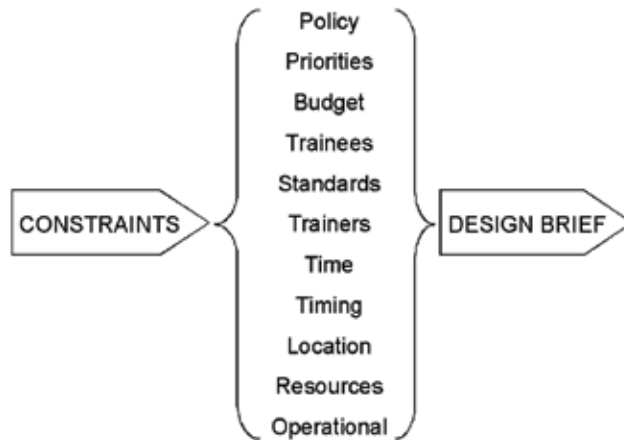


Fig. 1

Policy	<p>If there is a training policy then you can use it as a point of reference, for support and as a source of power - you are recommending training to meet policy requirements. Legislation can also act as a form of training policy.</p> <p>Without an adequate training policy, you are likely to face major difficulties and the design brief will depend on the evidence you can present to your client about performance problems and the likely benefits to be gained from accepting your recommendations.</p>
Priorities	<p>If the training you are recommending is seen by the client organisation as a priority then you are likely to find support and resources available. It is important to recognise the need to discuss your findings and suggested recommendations during Phase 4, 'Feedback'. During this phase you can get reactions from your client, and from key stakeholders, to enable you to clarify what they consider to be priorities. If you can link their priorities with possible training activities, it will enable you to provide a more specific design brief.</p>
Budget	<p>Client organisations are often willing to provide funds for people to attend training courses, but unwilling to support other, possible more efficient and effective ways to help people to improve performance. Although an organisation's training budget may not allow for training on the job, this is likely to be the most effective strategy. Given that most performance-related learning is done during normal work activities, this factor should feature in client/stakeholder discussions and be included in the design brief.</p>
Trainees	<p>The number of trainees and their entry behaviour can present constraints. One often presented as an excuse for not training is most trainees. From a TNA consultancy, you can help your client organisation plan training for those people who need it, irrespective of their status or number. The details of these people, their number, location, and the standards to be achieved are clearly an important feature of a design brief. Many trainees should present training designers with a challenging opportunity rather than being seen as a constraint.</p>

Standards	A likely cause of poor performance is the absence of clearly defined, measurable standards. Although the failure to use standards is mainly an environment factor, their absence is a major constraint to the design and implementation of effective and efficient training. Effective training depends on having clearly defined, measurable outcomes: efficient training is using minimum resources to achieve them. Both constraints are based on the existence of standards, which should be an essential feature of a design brief.
Trainers	As most training is likely to be done on the job, the availability of competent trainers is a possible constraint. These people are not necessarily full-time trainers, they are more likely to be members of staff competent to carry out coaching or mentoring duties, as part of other duties. The absence of such people is a major constraint, and the use of training institutions is not an effective alternative.
Time	Often, time is a constraint because others impose it on us. For example, you may have a client who expects an instant response to an identified training need, without recognising that design and development may need months of work before implementation. Another example could be for a client organisation, or perhaps individual trainees, to impose a schedule on their training needs based, for example, on attending a training course. They may not recognise that improved performance depends on practical experience on the job, where the important factor is not time but rather achieving a satisfactory standard of performance. Although planning time is primarily a design issue, the design brief should not impose unrealistic time constraints - especially prior to completing design proposals.
Timing	Due to operational, climatic or cultural reasons, opportunities for training and development may occur at certain times of the year. These need to be identified during TNA, and taken into account in the design brief. Failure to recognise such constraints could lead to setting up training and development programmes using an inappropriate time scale. This can apply to both off-job training, involving institutions, or on-the-job requiring suitable opportunities for practical experience. Timing constraints may also occur when there are several interdependent training programmes being recommended.
Location	Training can be seen by clients and stakeholders as something done at a training institution. This creates a constraint as they may not consider themselves directly involved in the implementation of your training recommendations. The location for training should be a product of the design process based on an agreed design brief. This may require training and development activities being done on the job or by distance learning. Failure to establish location, along with roles and responsibilities, could damage the aim of using training to improve performance.
Resources	During your TNA consultancy you will have had an opportunity to investigate resources that might be available for training. If your client organisation is large then there is the prospect of finding, or being able to recommend suitable resources. Increasingly, the availability of training and development resources, such as distance learning, computer-based learning systems, coaching and mentoring support are considered essential for successful organisational performance. However, many smaller non-governmental organisations do not have access to such resources and it would be futile to assume their existence when preparing a design brief.

Operational When preparing a design brief, you will have to take into account operational factors. For example, although ten people may need training, only three can be spared at a time: this will have to be taken into account when planning training. Also, if you are dealing with a performance problem that involves a large number of people with different training needs, operational constraints may influence what can be achieved. Having identified training and development needs, you may have to discuss these in detail with stakeholders so that suitable opportunities can be specified in the design brief.

HOW TO USE THE TOOL

A design brief is evolved from discussions with your client, stakeholders, beneficiaries and trainers. Consider using this tool during Phase 4 of your consultancy, and when using other tools in Phase 5. Think of a design brief as ‘the art of the possible’, so that as training and development needs are identified you are considering how best those needs can be dealt with. Remember that non-training needs will influence what is possible.

If you are involved in design and implementation, for some identified needs. The design brief becomes the basis for a professional contract between you and your client. The brief should set out a joint understanding of the needs identified, constraints and the intended outcome. Remember to include reference to non-training implications that may influence the success of the training.

For other training needs, where you may no longer be involved. Other trainers, or training institutions, take over responsibility for the design of training, relying on information provided in your TNA report. If your consultancy has identified a broad range of training needs, several design briefs may be produced, each dealing with a different performance problem. These could be allocated to different designers, or issued for tender submissions. The formal link between designers, and what may now be their client organisation, will be the design brief you have prepared. Your design brief should therefore include the following:

- Relevant information about the client organisation
- Person designated as the client
- People with stakeholder interest in the training being planned
- Details of performance, based on information included in the Performance Report
- A clearly identified training need that specifies knowledge and skill requirements
- Non-training implications that are also being dealt with
- Details of the people for whom training is required
- Clarification of opportunities or constraints that may influence the design process
- Desired outcomes

T 5.4 TNA Report

PURPOSE OF THE TOOL

The TNA Report is a part a consultant's Terms of Reference as a requirement to be submitted to the client. Reports are an important part of the decision-making process that will be carried out by your client, stakeholders and other experts.

You can outline your findings and recommendations during an oral presentation, but it is usual and more effective to provide a written report for planning action to implement your recommendations.

TNA Report intent to recommend a variety of initiatives - both training and non-training to help your client organisation improve performance.

The report may conclude your consultancy assignment, it is a significant feature in a planned sequence of activities - now being focused on implementing your recommendations.

HOW TO USE THE TOOL

Some organisations require consultancy reports to be submitted in a standard format. This can help disseminate your findings and recommendations. The following headings are likely to feature in a report structure:

Title Page	Clearly state the subject of the report, also references to the client organisation, authors and date.
Contents Page	List headings, subheadings and appendices.
Summary of Recommendations	Refer to numbered paragraphs in the text. Give particular emphasis to recommendations, where these are described in detail.
Terms and Abbreviations	Inevitably, the report will include terms, abbreviations and jargon unfamiliar to some readers. List these with a brief explanation.
Introduction	The purpose of an introduction is to describe the reasons for carrying out the TNA consultancy and what it is intended to achieve. For some consultancy assignments it may be appropriate to outline how information was gathered and what limitations, if any, were imposed.
Foreword	For some consultancy reports a foreword, written by a senior person can add authority and support to recommendations. However, there is a risk that a foreword includes irrelevancies that may distract readers' attention.
Acknowledgements	Record the names and designation of the people involved. Particular reference should be given to the client, then to stakeholders, followed by others who have helped.
Terms of Reference	These should be stated, as agreed during Phase 1 of the consultancy process. Note any changes made during the consultancy.

Main Text	<p>This is the most important part of the report. It must be organised so that it is both accessible, well-presented, and easy to read. Use main headings and subheadings to highlight significant features or chapters of the text. Consider linking these to specific performance issues, functions, working groups or stakeholders. Remember, people may only read those parts of the report directly relevant to them.</p> <p>It is important to note that the main text is presenting an explanation of the process you've used, along with your findings, conclusions and recommendations. The emphasis should be on the description of significant issues to which you wish to draw attention, rather than the tools you've used. Any reference you make to TNA tools should be brief or, when considered necessary, details included as an appendix.</p>
Executive Summary	<p>Busy decision makers usually want to grasp the point of a report without having to read the whole thing. They are likely to become impatient if a summary is not provided and may not bother reading the report at all. The summary should consist of one page and done after the main section has been compiled, not before.</p>
Appendices	<p>Also known as attachments, annexes or exhibits, appendices allow you to cater for a variety of readers. You should aim to keep the main text as concise as possible, with details presented separately where they will not interfere with the main flow of the report. Appendices can include completed TNA Toolkit tools, data and information obtained from interviews, also details of suggested training and non-training initiatives.</p> <p>Appendices can be referred to as 'see Appendix A', or 'details are shown in Appendix B'. Normally, appendices are designated by letter rather than numbers.</p>
Numbering	<p>As TNA consultancy reports are likely to accumulate within an organisation, where cross-referencing is an advantage, a standard number notation should be used. The most common system is paragraph numbering. Each paragraph has a sequential number, starting with 1 and carrying on through the text. The advantage of this system is that any paragraph can easily be identified and located, and thus discussed at meetings, or by telephone, or emailed.</p> <p>Numbering is best done after the main text is written and a summary of recommendations drafted.</p>

TIPS

To enable your client organisation to benefit from your consultancy it is essential that your report is both readable, and is read and understood by people involved in implementing your recommendations. Thus write the report with style and substance.

Reports tend to be formal documents, they are usually written in formal language. Thus keep in mind to:

- Use a style that is well structured and simple to read. A lack of jargon and using familiar vocabulary will help readers' understanding. They may be reading the report in a second language.
- Be tactful when describing problems and their causes. Don't offend people who are likely to be involved in training and non-training initiatives. You need their active, willing participation - not indifference and resentment.

- Help people to feel a sense of ownership of your recommendations. Include in your report references and contributions by the client, stakeholders, members of staff, beneficiaries, customers, etc.
- Rather than using formality to present your findings, include examples known to be of interest to readers of your report. Consider using analogies to illustrate what might be a complex, sensitive situation.
- Be aware of your relationship to the client organisation. Although you are acting as a TNA consultant, your status will be an important factor. Avoid allowing your style to become subservient, when dealing with senior people. Equally, don't become patronising or authoritarian to others subordinate to you.
- Use positive, objective and direct recommendations. Each of these statements are proposals leading to training and non-training initiatives. They should be a basis for action that is acceptable, practical, realistic and motivating to all concerned.
- As your report will contain non-training recommendations, ensure that these are expressed in an acceptable way. Don't risk offending stakeholders, technical experts or beneficiaries - for example, by inferring personal expertise, experience or opinions.
- Wherever possible, write your report on a computer. This will allow you to compile the report where sections can be patched together in an acceptable structure. Use grammar checks available with most word processing programmes to help simplify content.
- Initially, submit a draft report so that your client and stakeholders can comment on the content. This will enable you to allow for their views when carrying out a final edit.

TNA CHECKLIST

C 1.1 First Meeting with Client

1. Establish expectations of the client -individual and organization
 - ▶ Who wants it (stakeholder)
 - ▶ Why they want it (aims)
 - ▶ What do they expect (outcomes)
 - ▶ How do they expect it to be done (methods)
2. Gain authority/access to people and records
 - ▶ Establish how access is to be arranged
 - ▶ Establish confidentiality
 - ▶ Establish extent of support offered
 - ▶ Identify sensitive areas/ no go areas
3. Identify constraints
 - ▶ Access
 - ▶ Resources available
 - ▶ Timescale required
 - ▶ Training solutions acceptable
 - ▶ Non-training solutions anticipated
4. Agree to
 - ▶ Consultation during process
 - ▶ Check out findings
 - ▶ The purpose
 - ▶ The Terms of Reference
 - ▶ A report back time
5. Gain commitment to the process
6. Learn about the organisation
 - ▶ The business
 - ▶ The structure
 - ▶ Key people
 - ▶ Anticipated changes
7. Learn about policies and plans
8. Explore
 - ▶ Perceived performance problems
 - ▶ Priority areas
 - ▶ Acceptable training solutions

C 1.2 Contract Meeting

The checklist details outcomes to be achieved, whether explicitly or implicitly, from the formal contracting meeting with your client to start a project.

Formal Contract

- What will be done, scope and boundaries
- Objectives of the project
- Outcomes expected
- Success criteria
- Constraints
- Assumptions
- Principle stakeholders
- How much will it cost?
- Invoicing process
- Reporting process
- Reviewing, renegotiating and termination contract
- Timescales
- Evaluation of project
- Disengagement

Informal (Psychological) Contract

- How to behave
- Formality required/expected
- Confidentiality
- Commitment on both sides
- How to collect information
- Access to people and information
- Feedback to consultant
- Value systems between consultant and client
- Interpretation of language used
- Hidden agenda items of client
- Hidden agenda items of stakeholders and beneficiaries
- What client and consultant expect to gain from the project?

C 1.3 Establishing Terms of Reference

Factors to Consider

Funding agency?

PEST factors

Responsibility and authority of client

Institutional involvement

Aims and objectives of consultancy assignment

Success criteria

Next steps, process to be followed

Who will be involved?

Roles and responsibilities of client, stakeholders and beneficiaries

Reporting

Outcomes expected

Timescales

Costs and invoicing

Confidentiality and access issues

Renegotiation

Withdrawal

Project review

Project evaluation

Feedback to consultant

C 2.1 Possible Information to Seek in a TNA Interview

1. Organisation Policy and Plans

Does the organisation have a Mission Statement?

Is there a current Business Plan?

What are the overall aims and objectives of the organisation?

What changes are anticipated in the near and/or distant future?

What investment plans exist?

What are the resources of the organisation to meet the objectives?

How is the organisation organised and what systems are in existence?

What plans are there to change the organisation and/or its systems?

What are the current staffing levels and categories?

What changes in staffing levels, categories and competences are likely to be required due to:

- ▶ expansion or contraction?
- ▶ diversification or rationalisation of services?

How profitable or successful is the organisation?

What prospects are there for improvement?

How might the improvement be achieved?

Who provides funds for the organisation, or owns it?

What changes to funding or ownership are anticipated?

2. Marketing and Sales

What are the short term and long term marketing plans?

What changes are made to these and how often?

What market research is undertaken?

What is the market coverage?

Are sales targets set?

Have they been achieved in the past?

Are sales costs within expected limits?

What complaints are there?

3. Servicing

What is the rate of rejects?

What are the customer complaints?

What are the inspection arrangements?

- ▶ Are they too lax?
- ▶ Are they too stringent?
- ▶ Are they inconsistent?

What is the competition?

What are the quality standards?

What is the pricing structure?

How competitive is it?

What are the reject rates?

What is the down time?

What/where are the bottlenecks?

What is the plant utilisation?

What is the labour utilisation?

What improvements are anticipated?

4. Finance

What resources are there?

Are they effectively employed?

Is it adequate?

What system of cost control is there?

Is it effective?

What accounting aids are there?

What changes are anticipated?

What are the investment plans?

5. Technical

What technical development is being done?

How are the priorities assessed?

How is the effort co ordinated?

What is the calibre of the technical staff:

- ▶ How are they kept up to date?

- ▶ Have they supporting staff?
- ▶ Are they in sufficient numbers?
- ▶ Are there too many?
- ▶ Are the job ranges covered?

Are equipment/techniques up to date?

Are there likely to be changes to the equipment/ techniques?

6. Human Resources

What tasks/jobs/occupations are there?

How are they categorised?

What standards are there?

How do people know these?

What are the recruitment and selection policies and procedures?

What are the training/development policies and procedures?

What are the appraisal policies and procedures?

What are the transfer/termination policies and procedures?

How are key posts covered?

How versatile is the staff?

How competent are they?

What is the staff utilisation:

- ▶ where are they under utilised?
- ▶ where are they overstretched?

What is the age structure?

What are the anticipated retirements?

What are the grievances?

What are the absentee rates?

What are the accident rates?

What are the sickness rates?

What are the labour turnover rates?

What are the pay structures?

What are the consultation practices?

What are the industrial relations structures/practices?

What are the resistances to change?

C 2.2 Data Collection Face to Face

There are many ways to gather information including personal interviews, group meetings, observing people, examining documents and so on. One of the most important aspect of consultation is the time spent with others face to face gathering and consolidating data. Summarised below are some important points that are likely to be useful to effective data collection:

Behaviours to Keep in Mind

When interviewing to obtain information try to behave in such a way that facilitates comfort, collaboration, openness and elicits response:

- Reflect back to the client his or her concerns and feelings about the situation
- Ask them to draw an organisational picture of those involved
- Follow up their leads and let them describe situations with **minimum interruption**
- Encourage them to give views by **non-verbal gestures**, such as a nod of the head, a smile, lean forward in your chair, writing down a point or looking intently
- Use **open-ended questions** rather than closed questions, such as 'How do you feel about the situation?' rather than 'Is it true that the situation is pretty hopeless?'
- Pick up the key words and emotional phrases and encourage them to elaborate
- Support their endeavours to search for a clearer understanding of the situation by helping them to talk about themselves and their own role in the problem
- Check your understanding by **summarising** back
- Adopt a **problem centred** approach

Behaviours to Avoid

When interviewing, these are behaviours you should avoid:

- Don't evaluate and judge the person's remarks.
- Don't interpret the meaning behind his or her words.
- Don't put labels on them or others.
- Don't contradict them.
- Don't force them into an area which is of interest to you, but not them.
- Don't imply, by word or deed, approval or disapproval of what they say about others.
- Don't offer solutions before they ask for them or give permission for you to do so.
- Don't show impatience or lack of interest.

C 2.3 Consultancy Behaviours-Answer Sheet

BEHAVIOURS WHICH MAY BUILD A RELATIONSHIP

Verbal

- Using client's language / vocabulary
- Empathising with client
- Clarifying purpose or expectations of meeting
- Exploring feelings of the client
- Establishing credibility with client
- Checking understanding or clarifying
- Rephrasing client statements
- Reflecting words, examples, tone of voice
- Summarising
- Maintaining confidentiality
- Supporting the client without taking sides
- Probing (leads) exploring client concerns
- Asking open-ended questions
- Building on contributions of client
- Giving information to the client
- Identifying issues with the client
- Encouraging client to talk
- Encouraging client to make a decision

Non-verbal

- Nodding
- Open body posture (not uptight or stiff but relaxed and smiling)
- Looking interested
- Mirroring body language
- Encouraging and affirmative sounds

BEHAVIOURS WHICH MAY BUILD OR MAY UNDERMINE A RELATIONSHIP:

Verbal

- Exploring client's willingness to act
- Presenting professional image
- Acknowledging limits of own competence
- Offering to talk about solutions/ways forward
- Offering instant solutions/selling solutions

- Presenting oneself as always successful
- Interrupting or cutting the client
- Challenging client
- Approval or disapproval of client's opinions
- Assuming power or authority
- Taking responsibility away from the client

Non-verbal

- Sitting forward
- Silence
- Eye contact
- Smiling

BEHAVIOURS WHICH MAY BE EXPECTED TO UNDERMINE A RELATIONSHIP:

Verbal

- Abrupt changes of direction by consultant
- Following consultant's interests not client's
- Using closed-ended questions
- Criticising others
- Impatience with client
- Being judgmental
- Coldness
- Contradicting
- Acting superior
- Ignoring client's views
- Stereotyping client or others
- Dishonesty of consultant

Non-verbal

- Sitting back
- Being inattentive
- Looking bored
- Closing eyes
- Doodling
- Fidgeting
- Yawning
- Frequent time checks
- Excessive note taking

HIERARCHY OF BEHAVIOURS FROM CLIENT CENTRED (TOP) TO CONSULTANT CENTRED (BOTTOM)

Client-centred

Refuses involvement
Observes
Supports (encourages client to talk)
Listens
Non judgmental / neutral
Reflects feelings
Reflects data
Gathers data (seeks information)
Summarises
Clarifies (checks understanding)
Probes
Builds a common vision
Interprets data (identifies issues)
Explores willingness to act
Challenges
Diagnoses
Provides new data
Identifies options for action
Describes common ground
Proposes criteria for evaluation of alternatives (to judge solutions)
Recommends a solution / course of action
Prescribes a solution / course of action
Agrees future action of client to implement a solution / course of action
Plans Implementation of a solution / course of action
Consultant takes over and acts on behalf of client

Consultant-centred

C3.1 Causes of Performance Problems

Questions to consider when there are Emotional, Motivational(lack of encouragement) or behavioural (attitudinal) deficiencies

ENVIRONMENTAL

Are job roles clear?
Is the chain of command clear?
Is the workflow well organised?
Are workers over loaded?
Is there waiting time while others perform?
Is there role conflict with other workers?
Are adequate supplies of spare parts available?
Are the work processes adequate to the desired outcome?
Are tools and equipment adequate and appropriate?
Does the service match the competition?
Is the level of economic activity driving the problem?
Does legislation bear upon the situation?
Are technological factors operating against the current position?

MOTIVATIONAL

Could workers perform if their lives depended upon it?
Are workers unaware of value of the services?
Are there disagreements about how best to perform?
Is the effort greater than the reward?
Are there negative consequences of performing?
Is the deficient area distasteful or socially negative?
Is punishment used as a management tool?
Are there unpleasant working conditions?
Are there rewards for non performance?
Does the organisation's culture support performance?
Is there discontent and low morale?

BEHAVIOURAL

Are workers new to task(s)?

Are the tasks complex?

Is decision making required in the task(s)?

Do general principles need to be applied in task(s)?

Have workers had guidance in how to perform well?

Do workers get feedback on performance?

Has inadequate performance been directly observed?

Have workers been trained in task(s)?

Is there a history of inadequate training?

Were workers unable to learn from training available?

C 3.2 Responses to Performance Problems

Do Nothing?

Consequences for people involved in problem
Consequences for you

Environmental Changes

Re design workflow
Restructure management/supervision
Change organisation structure
Introduce new tools/equipment
Automate, use new technology
Re design procedures
Re locate jobs
Networking / part time working / job sharing
Re allocate workload/restructure workplace

Motivational Changes

Telling staff exactly what is required and why:
Set performance standards
Clarify roles, relationships, responsibilities and authority
Link remuneration to performance
Incentive schemes
Provide consequences of performance
Change company culture
Introduce counselling, career planning, mentoring
Resolve personality clashes
Make jobs more interesting e.g. Job rotation

Behavioural Changes

Re design job to remove requirement for lack of knowledge or skill
Terminate worker by dismissal, redundancy or retirement
Move worker by transfer, demotion, secondment or sabbatical
Provide opportunities for training and development:
 On job planned work experience
 On job training
 Off job planned experience
 Off job training (internal)
 Off job training (external)

C 3.3 Analysis of Data Collected

Some Questions to Consider When Analysing Data

<ul style="list-style-type: none"> • What is mentioned most, what least? • What does the data say to you? • What hunches/feelings are confirmed or denied? • Can symptoms and causes be separated? • Is it valid data? • Is it relevant? • Is it consistent? • Is it useful? • How can the data be grouped? • Is the problem worth solving? • Who owns the problem? • Can fact and opinion be separated? • Is there support from different sources? • Where there is conflict of evidence: <ul style="list-style-type: none"> ▶ possible reasons? ▶ how can you check? ▶ organisation politics? • Can training help? • Will training be cost effective? • If a training solution, what next step? • What other actions are required: <ul style="list-style-type: none"> ▶ by client? ▶ by others? ▶ training and non training? ▶ by yourself? 	<ul style="list-style-type: none"> • Does the evidence support the conclusions? • How can the evidence be structured to support conclusions? • Will the conclusions be meaningful to the client? • Will the results be acceptable to the client? • How can the results be best presented to the client: <ul style="list-style-type: none"> ▶ benefits? ▶ action? ▶ costs? • Will the results be acceptable to those to be trained? • Will the results be acceptable to those expected to implement them? • Are the results meeting your needs? • Are there too many recommendations? • Are recommendations clearly linked to conclusions? • Has the organisation the resources to implement the recommendations? • Are the priorities those of the client and stakeholders?
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C 4.1 Setting Priorities

Some Questions to Consider

- Who owns the problem?
- Who owns any training implication?
- How important is the training need to stakeholders?
- Where has the request for training originated?
- Impact on future success, how will it show:
 - ▶ improved output?
 - ▶ increased profit?
 - ▶ reduced accidents?
 - ▶ reduced costs?
- Importance of training and development implications:
 - ▶ for the workers?
 - ▶ for the company?
 - ▶ for the client?
 - ▶ for the stakeholders?
- Contribution training and development can make:
 - ▶ costs of implementation acceptable?
 - ▶ acceptability of proposed training?
- Likelihood of a successful training solution?
- How soon will the benefits be felt?
- Benefits will exceed costs?
- By how much benefits will exceed costs?
- What work is needed before training can start?
- Implementation is seen as desirable?
- Resources required to design and implement training?
- Existing training resources can be redeployed?
- Distinguish urgency of need from importance?
- Existing training staff are competent?
- Acceptability of using external resources?
- Resources are available?
- Consequences of implementation are not seen as disruptive?
- Cost of not acting seen as unacceptable?
- External pressure for action e.g. legislation, competition?
- Internal pressure for action:
 - ▶ workers?
 - ▶ union?
 - ▶ management?

C 5.1 Preparing a Presentation

Be Clear What You Want

- Set objectives: acceptance of proposals or commitment to act?
- Put in rank order
- Set minimum level

Decide Approach and Prepare

- Marshal facts
- Select best examples with facts and figures
- Prepare benefit statements for client's needs and interests
- Anticipate objections and prepare your response
- Prepare alternatives (acceptable to you) with pro's and cons
- Decide whether to use visual aids to illustrate: facts, accidents, profits, complaints
- Prepare an introduction
- Estimate time available for main points
- Allow time for questions and objections
- Rehearse: introductions, use of visuals

When Presenting

- Introduce your presentation
- Use the best examples
- Keep up interest
- Use benefit statements
- Make it easy to say 'yes'
- Respond to objections
- Offer alternatives
- Use visual aids
- Summarise as you go: points covered, areas of agreement

Gaining Agreement

- Assumptive close (then we're agreed that.....)
- Alternative close (do we start with A or B. ?)
- Summarise, emphasising agreements
- Close by listing areas of agreement

C 5.2 Training Strategies

1. A 'strategy' is a plan that is intended to achieve a particular purpose. A 'technique' is a particular way of doing something, especially one in which we have to learn special skills.

	Strategy	Techniques
1.	ON-JOB (informal)	No organized training used
2.	ON-JOB (formal)	Online with Coaching & Mentoring Supervisor/Line Manager Travelling Tutors Consultants Subject Specialist
3.	ON-JOB (planned experience)	Delegation Deputation Attachments Working Teams Job Rotation Assignments Projects
4.	OFF-JOB (internal course)	General Courses Nominated for Courses Training tailored to specific need Compulsory Training Self-selected course
5.	OFF-JOB (external courses)	Open Training Courses Tailor-made Training Courses Development training Action Learning Education (to enhance academic qualifications)
6.	OFF-JOB (planned development)	Secondment Visits Study Tours Sabbatical

	Strategy	Techniques
7.	Individualized	Technology-based (computer/video) Open-learning Distance-learning Blended-learning
8.	Self-development	With organizational support By private study and reading Through experience Through meetings Travel/Foreign Travel

2. Develop a 'learning organization' culture.

A learning organization is a developing organization.

RECOMMENDED NOTES

R 1.1 Introduction to Training Needs Analysis

As individuals, we spend most of our lives learning from our parents, other members of our family, from school teachers, study at college, or from friends and colleagues. Sometimes this learning is organised, such as at school, or it is random that happens as we progress through our lives. Often, we learn as a member of a group for example, as a member of our family, a member of society, or as a member of a working group. These learning experiences gradually shape us for what we are, and make a major contribution in determining our prospects for our life and careers.

Organisations also spend a considerable amount of time and energy learning, as they establish themselves in an industrial, commercial or public service market sector, with products and services to attract to customers. They learn about their market sector, about competitors, about successful business ventures and projects, also other activities where they failed. The concept of the 'learning organisation' is now well established to indicate that successful organisations are those that can learn and develop. The less successful ones are often those that are not able to learn. They are unable to respond to changes in government policies, working practices, competition, the market for their products and services, and the availability of new technologies. Successful organisations are those that have an inherent willingness to learn, so that they can respond positively to opportunities to improve performance.

So far, we haven't mentioned 'training', only learning. What's learning got to do with Training Needs Analysis, or helping organisations to improve performance?

The distinction between learning and training is

Learning is a naturally occurring experience which doesn't necessarily lead to a conclusion. Training is a planned learning activity intended to achieve a specific outcome.

Individuals, and organisations, can go through a succession of learning experiences that do not result in achieving any significant benefit. However, by means of training, they can plan and organise their learning activities to enable them to improve their performance. **Training Needs Analysis (TNA) is the primary stage in the Systematic Approach to Training (SAT), which enables them to do this effectively.**

A DEFINITION OF TRAINING NEEDS ANALYSIS

TNA is done by means of a **TNA Consultancy**, carried out either by a member of staff, acting as 'Internal Consultant', or by somebody appointed as 'External Consultant'. For both the competences and techniques are the same.

"An examination of an organisation's present and expected operations and the workforce necessary to carry them out, in order to identify the numbers and categories of employee needing to be trained or re trained. It may also refer to the training needs of individuals to enable them to reach the required standard of performance in their current or future jobs."

All organisations are a unique mix of personalities, business activities, strengths and weaknesses. As a consultant, you will find each TNA consultancy a unique and challenging experience, where you may need to adapt this definition to suit circumstances.

FEATURES OF THE TNA RESOURCE KIT

The TNA Resource kit provides a framework for carrying out Training Needs Analysis. It has a *process* for TNA consultants to follow and a selection of tools for them to use. The TNA Resource kit includes:

- Recommended five-phase consultancy process
- Selection of tools to be used during each phase of the process
- Checklists to help consultants when carrying out each phase
- Recommended Notes to provide background information about key elements of the process
- Illustrative case study to show how the process and tools can be used
- Miscellaneous resources on Soft Skills

The aim is to have a selection of tools from which to choose, depending on the following factors:

Your Involvement with a Client

You could be working for the client organisation and therefore would be familiar with its structure, systems, and technologies, also the market for its products and services. This knowledge will influence your choice of TNA tools.

Alternatively, you could be an external consultant and may require to use additional tools to gain a better insight into the client organisation's plans, problems and challenges.

The Time Available

You may be fortunate to have a generous allocation of time and therefore able to carry out a comprehensive TNA, using a wide selection of TNA tools. However, there may be other occasions when shortage of time will limit the consultancy and opportunities for using the TNA tools.

ISSUES TO BE CONSIDERED

For organisations to obtain benefit from their investment in training, it is essential that time and resources are focused on genuine training needs. These needs can be associated directly to the performance of an organisation, or indirectly to the development of its employees. If this can be achieved, it should result in the following benefits:

- Systematic training will be seen as a worthwhile investment.
- Training activities can make an effective contribution to improving performance.
- Organisations will consider TNA an essential part of their plans to improve performance.
- TNA will be carried out as a consultancy assignment by competent people.
- TNA consultancies will also identify non-training needs.

It's worth considering reasons why organisations may wish to use TNA to improve performance and, equally, why they may reject it. It's also important to recognise that a decision to authorise a TNA is in effect an investment decision. So **why should an organisation choose to invest in TNA, or even training?**

Consider the situation from a chief executive's point of view.

Organisations are usually faced with a multiplicity of investment opportunities such as developing new products and services; purchasing equipment, installing computer systems, opening new offices or sales outlets; recruiting or re-deploying personnel - even taking over other organisations. Investment decisions are taken with a great deal of caution by management. This involves careful analysis and comparison with other investment opportunities. The justification for any decision has to take into account resources to be committed, with the needs and priorities of the business. Therefore, investment intended to contribute to improving performance of the organisation should provide measurable benefits, such as:

- Paying a satisfactory dividend.
- Increasing profitability.
- Increasing market share.
- Providing stable and secure employment.
- Satisfying the needs of beneficiaries.
- Improving quality.
- Introducing new products or services.
- Reducing costs.

Before an organisation makes an investment, management usually carries out a detailed analysis of the problem, or situations they are dealing with. Resources are not allocated until there is a thorough understanding of what is involved and the results to be achieved. If a sufficiently convincing case cannot be given then there is no justification for approval, and resources can be directed elsewhere.

All organisations are keen to reduce costs with, unfortunately, training often seen as a cost rather than as an investment. Therefore, despite exhortations by government agencies to invest in training, the tendency of most organisations is not to incur what they may see as unnecessary costs.

Benefits of Training to Organisations

If we wish client organisations to consider training as a valid and justifiable investment, then we need to be able to indicate typical benefits that are likely to result from a decision to invest in a TNA consultancy, leading to training activities. For example:

- Efficiency will increase because employees are competent to use equipment and systems.
- Changes in technology can be coped with more easily because employees will have updated knowledge and skill.
- The workforce becomes more flexible as employees extend their range of competences.
- An organisation can attract higher calibre employees, due to having a reputation for training and developing its staff.
- Customer satisfaction will increase, resulting from dealing with trained employees.

Benefits of Training to Workers

Most industrial, commercial or public service sector organisations experience significant changes to business practice and the technologies they use. These changes affect workers, who face the prospect of less job security and a constant need to update their knowledge and skills. Although TNA is being done primarily to help organisations improve performance by means of training, it also benefits individual workers. For example:

- People are recognised as an organisation's greatest asset, and considered as major 'stakeholders' in its success.
- Workers who are actively involved in a TNA are likely to experience a sense of empowerment. They are encouraged to contribute to initiatives intended to improve both their personal performance and that of their organisation.
- The TNA process can often help individuals realise their full potential enabling them to an increasingly successful career, and make contribution to their organisation.
- Involving workers from all levels and jobs within an organisation will help them to share in the process of change and development. This will assist them to retain a sense of confidence in the future of the organisation, and their prospects for long term employment.
- TNA may identify development opportunities for individuals.

Features of TNA

The reason for training and development activities is to help people, or organisations, improve performance. Training is concerned with helping them to acquire knowledge and skills, whereas development focuses on future, anticipated needs.. TNA provides the basis for these activities by:

- Looking at an organisation as a whole to understand its business and where it's experiencing problems, seeking wherever possible to turn problems into opportunities.
- Looking at the people employed by an organisation, at all levels, to find out how they can help to improve their performance by means of training and development.
- Looking at an organisation's products, services, technologies and systems to identify significant performance problems.
- Analysing problems to identify training needs for people who are associated with them.
- Helping individual employees plan their training and development.
- Recommending training and non training solutions.
- Helping management to decide priorities, and benefits from an investment in training.
- Helping management to plan training initiatives.

R 1.2 The Trainer as a Consultant

WHAT MAKES AN EFFECTIVE CONSULTANT?

Consultants need to be knowledgeable in their field but still put the client first. That is, their expertise should support client needs, not dominate them. For e.g. over recent years the medical profession has been seeking to learn this - we often call it 'having the right bedside manner'. Patients clearly want their doctor to be an expert but primarily they want to be treated in a friendly, caring, professional manner with good interpersonal skills.

There are two essential elements in consulting.

- To have technical or professional knowledge and
- To use interpersonal skills to develop an effective relationship with a client
- As a training consultant you may or may not need technical ability in the area of your client's business

Effective Consultant	Ineffective Consultant
Listens to understand Accepts data without contradicting client Initially non judgemental Concentrates on the assignment Takes time to assess problems Gets to know the problem or opportunity Summarises accurately what clients say Gives confidence through gesture and behaviour Fulfils promises Adopts positive approach Works to facilitate action	Appears superior in attitude Decries what client says as unimportant Criticises or blames client Has many 'irons in the fire' Shows impatience Proposes instant pre packed solutions Interested in own views, not clients Lacking confidence Fails to deliver Only points out what is wrong Works but no positive change emerges

CONSULTANCY ROLES FOR CONSULTANCY

The approach we use when giving advice is based on a consulting model. We may use this subconsciously, but it reflects itself in the way in which we consult and give advice. It is important that you know the model you are employing and are aware of its strengths and weaknesses. Moreover, matching your model with what your client wants is also important. We shall look at four models that are regularly used. You may find that in your own practice you adopt different methods and can see your own approach in each model.

FOUR ROLE MODELS

Compare your work as a training consultant by analogy with four well-known professions. The professional role models we shall examine are:

1. The Doctor

2. The Detective
3. The Salesperson
4. The Travel Agent

The Doctor Model

This is a very common approach based on the medical analogy. This is based on a client with some form of illness or disease that needs to be cured by appropriate treatment. Most people who use the medical model assume that the client and organisation are in need of treatment. They start with an approach that concentrates on trying to find out the nature of the 'illness', looking for deviations from what they would regard as 'good' or normal health. **Some consultants refer to healthy or unhealthy organisations.**

Have identified the symptoms and made a diagnosis, a consultant who is following the medical model seeks to find a prescription that will enable the client to improve. It is here that the 'medicine' has to be taken in the doses recommended by the consultant. This may involve an 'operation' to get rid of some offending part of the organism, or it may require an 'injection' to provide an antidote to the condition that caused the original problem.

The medical model implies that the **consultant can diagnose what is wrong and provide a prescription based upon some expert knowledge that the client does not have.** It also implies that the **consultant has some prior knowledge** of what 'good health' is and can help the client through the provision of appropriate medication towards improvement.

However, most clients are unlikely to see themselves as suffering from an illness or disease. On the contrary, they are likely to see themselves as healthy people who are seeking to improve performance. Moreover, they do not look for medication or a specific operation to cure identified problems. They do not see themselves in a doctor/patient relationship.

The Detective Model

This approach **assumes that something is wrong and there is a need to find the person or persons responsible.** The detective model may imply a criminal conspiracy associated with the fact that problems have occurred. If this happens, then there is a tendency to have a culture surrounding the consultancy work associated with blame. For example, this may happen in safety consulting where an accident has occurred.

The detective model **concentrates on looking for clues associated** with the 'breaking of the law'. Once information is obtained, fault and accountability can be attributed to the people involved. The **consultant is often also involved in presenting ideas and views on how similar incidents can be prevented.** Those who have been found culpable may then be punished or provided with a scheme of reform.

The detective model has some strengths as there are systematic ways of gathering information. Examples of this approach would be clearly apparent in safety investigations, work study and auditing where deviances from accepted practice are identified and corrected.

The Sales Model

Here **the prevailing assumption is that the consultant has a product or a service to help solve the client's problem.** In short we have a **solution in search of problems.** This in many ways is the traditional

view that many people have of the consultant adviser: a picture of the consultant with a bag of tricks ready to produce an answer to solve any particular problems.

Few consultants would wish to see themselves having this approach, although a number still behave according to the model. That is, they do have specific solutions and are only interested in finding clients who will buy them. They do not wish to spend time analysing performance with a client organisation to identify particular needs. This approach to consulting is often used in information technology where software packages are being developed. Consultants may try to persuade clients to use particular packages. There is nothing wrong with having a solution in search of a problem as it may speed up a solution. The important thing is to be able to adapt the solution to the specific needs of the client.

All sales people are consultants. To sell you need to understand what the client wants and how your product or service can match that. If you want to have a continuing relationship in selling it is vitally important that you find the needs of clients.

The Travel Agent Model

In this approach the **consultant assumes that the client is on a journey**. The client may not always know specifically where they wish to go to or how to get there. It is the **job of the consultant to go through their objectives and work out the best means to reach their destination**. For example, managers may be thinking out new directions and wish to have advice from someone who has skills and knowledge of various options. As a consultant, you do not necessarily recommend specific destinations where people should go, rather you help them decide for themselves where they want to go and how they wish to travel.

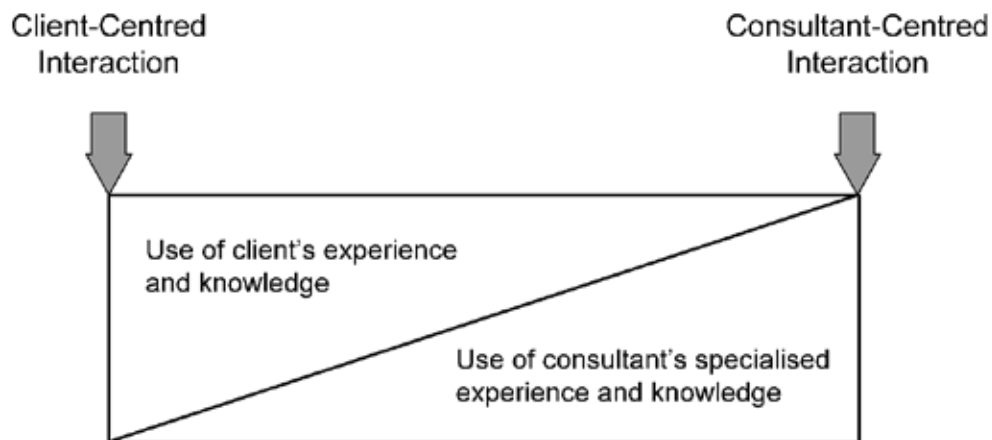
The travel agent approach to consulting is not so much concerned with causes as with consequences. This 'travel agent' model is **useful in that it provides a structure to consider the main issues and available options**.

A RANGE OF CONSULTANCY BEHAVIOURS

The word “consultant” has many meanings. Many organisations and individuals use consultants to improve problem solving and general effectiveness. People, with specialist knowledge serve as consultants to someone who has a difficult problem. In business and government internal staff specialists and external experts may act as consultants. This could be done occasionally or as a continuing source of support and influence over a long period.

When acting as a consultant you must continually assess your role and relationship to the client by considering questions such as:

- “Am I really needed here or am I doing the work that could be done more properly (and less expensively) by my client?”
- “Is my client depending on me too heavily?”
- “Am I helping my client to see crucial problems more clearly and in a broader perspective?”



Considering the above model, we can think of behaviour towards the left as “**client centred**”. Here the **client has the basic experience necessary to understand, analyse and find the solution to the problem**. The client’s need is for someone to provide a setting and to be a “sounding board”. A counsellor often operates in a “client centred” way.

We can think of behaviour towards the right as “**consultant centred**”. Here it is the **consultant’s specialised knowledge that is most relevant**. The further he or she moves to the right, **the more the consultant functions as an expert**. E.g. the medical doctor, the car mechanic, the lawyer are frequently expected to provide this kind of consultation.

THE RANGE OF BEHAVIOURS (FROM CLIENT CENTRED —————> TO CONSULTANT CENTRED)

Consider how you can be of maximum value to the client who has called on your services. Because each client is different and each problem is different, you must be prepared to respond in several ways. Each of the following behaviours reflects a different mix of the client consultant experience being brought to bear on a given problem.

The client and consultant must find the appropriate mix of their experience that will address the problem that the client wants to resolve.

Refusing to Become Involved

The consultant refuses to help because of lack of expertise or experience, or because the client can and should solve the problem without outside help.

Listening

The power of this seemingly simple but too little used skill has become increasingly apparent. The act of listening makes possible clarity and thought that enables a client to bring his or her full experience to bear on the issue that concerns them.

Observing

Observation of the client by the consultant can provide useful information. Body language and stress indicators, as well as physical surroundings provide useful data.

Reflecting Feelings

The consultant can reflect feelings expressed by the client to help build rapport. Phrases like “You obviously feel strongly on that point” or “I can understand your feeling frustrated” are often used.

Reflecting Data

“Active listening” may involve the consultant’s “mirroring” of the client’s ideas so that the client views his or her own thoughts more freshly and objectively. Phrases like: “You seem to be saying", “Let me see if I understand" may signal this kind of consultant behaviour.

Clarifying

The consultant may go further by rephrasing some of the client’s comments so that the issue is stated more sharply and precisely. Here the introductory phrases might be: “You seem to be saying that" or “Is this what you mean?”

Probing

Here the consultant may, through questions, direct the client’s attention to aspects of his or her experience that they have not expressed yet. This assumes that the client has within themselves the basic elements necessary to solve the problem. The consultant’s function, therefore is to help bring this experience into consciousness and focus.

Summarising

During the consultancy sessions the consultant summarises the points which have been considered. This can be particularly useful when moving from one phase of an assignment to another and during or at the end of a meeting.

Gathering Data

Here the consultant helps the client organise data to which the client has access. This will help identify what data is available and what information is lacking and therefore required. The consultant can set about collecting data through observation, interview etc., that will be useful in diagnosing problems.

Building a Vision

The consultant can help the client visualise what can be achieved by describing a vision of how things might be in the future.

Interpreting Data

One step beyond clarification is the interpretation of what the client may mean. Here the consultant tries to express what may lie beneath the words themselves, or to put together the implications of several statements. It is expressing what may be the client's intentions clearly but without evaluation.

Diagnosing

Here the consultant helps the client to focus on diagnosing or defining what the problem really is. The consultant helps distinguish problems, symptoms, causes. Ideally this involves a joint diagnosis of the problem with consultant and client both participating. This is crucial in the consultancy process and brings into focus such questions as ownership of the problem.

Providing New Data

At this point the consultant begins to add ideas and information that are not in the client's direct experience. It may be data about new dimensions of the problem or its context. It may be information that the consultant has collected through a survey or research. The consultant's goal is clearly to expand the client's knowledge and view of the issues at stake and the boundaries within which to resolve those issues.

Describing Common Ground

The consultant describes the common ground between the client's situation and needs and their experience and skills with how they could work with one another.

Confronting

Where the consultant sets out to help the client recognise any mismatch between what they believe and how they act. This does not have to be done in a way that attacks the client. There is a risk that the client will reject the consultant using confrontational behaviour.

Identifying Options for Action

Once the problem is clear – whether clarified by consultant or client – the task is to bring into focus the range of actions open to the client. It is the time when a consultant might say, as crisply as possible, “It seems that you have the choice of doing this or this or this.” One of the consultant’s most valuable contributions is often to expand the range of alternatives that a client considers.

Proposing Criteria for Evaluation of Alternatives

Sometimes a client has a clear picture of the problem and his or her possible courses of action – but they are not sure which is the best solution. Here the consultant can help by suggesting criteria to use in evaluation and to help the client arrange these criteria in some order of priority.

Recommending

There are times when a consultant’s particular experience tells them that one of the client’s potential actions is the right one. Having made certain that the client knows about all his or her options, the consultant may want to recommend one – and give reasons for doing so. This recommendation should bear in mind that the decision must be the client’s – who must live with the consequences.

Prescribing

This is an extreme form of recommending – in which the consultant assumes the role of expert. In effect saying to the client, “If this is your problem here is your solution”. The consultant may not even bother listing alternatives or go through the diagnostic stages with the client. He or she acts as if their experience is so clearly more relevant than the client’s that the weight of authority is clearly theirs.

Planning the Implementation

The ultimate use of consultant experience occurs when he or she not only prescribes what should be done, but develops the detailed action steps the client should take to carry out the prescribed solution to the problem.

R 1.3 Feedback and Criticism

These words are used to express our views about others. Let us try to appreciate the feelings behind these.

FEEDBACK	CRITICISM
Objective	Subjective
On Action/Activity	On a person
Based on facts which can be verified	Based on opinion or judgment
For improvement	Destroys morale
Can be positive/negative statement	Negative statement

Effective feedback must be –

- Timely
- Constructive
- Supportive
- Non-threatening
- Builds on trust

R 1.4 Level and Areas of Training Needs

1. ITN AND THE ORGANISATION

We now know ITN is about ensuring performance at the required level in order to satisfy the goals of the Organisation. Whether is on Organisation needs, group needs or individual needs, ultimate **aim** of TNA is to ensure the achievement of **organisation goals**.

TNA therefore has to be targeted to performance in the overall organisation context. In other words, the process of TNA has to be capable of integrating all training needs with the purpose of the organisation or, more specifically, with organisation outcomes.

Such link or integration is a must for any successful TNA. However, this is easier said than done.

Often, our vision becomes so blurred with the obsession of maintaining departmental Procedures and conventions- at doing what we have been always doing- that we end up doing a lot of work but producing nothing. We remain very busy without bothering whether the energy and time spend in doing so is actually contributing to the fulfilment of the purpose of the organisation or its outcomes. This is especially so in Government department. Indeed, today we seem to have lost our sense of purpose completely.

Performance, therefore, has to be connected to the purpose or goals in order to correct this. And herein lies the importance of **integrating training needs** with **organisation outcomes**.

Here, we consider two factors- LEVELS and AREAS of need- which help to frame a strategy for achieving this integration.

2. LEVELS OF PERFORMANCE & NEEDS

Based on recent research, Boy dell and Leary (1996) considers 3 levels of performance to provide a framework for the **integration** of **Training Needs** with **organisation outcomes**. The 3 levels of performance, and, hence, levels of Need are-

Level I:	Implementing	-	doing things well (Current standards)
Level II:	Improving	-	doing things better (Enhanced standards)
Level III:	Innovating	-	doing new & better things (new strategies and commitment)

I. IMPLEMENTING (AT CURRENT STANDARDS)

Needs at this level arise when the problem is a gap between the desired level of performance and actual performance i.e. when people need to learn how to do the jobs well as defined by current standards in order to achieve organisation goals?

It thus relates to the need for improvement of individual or group performance that is currently lagging behind. It is, therefore, about learning to satisfy basic requirements in order to bring performance up to present standard and maintain it there.

II. IMPROVING (ENHANCED STANDARDS OF ALL)

This arises when there is a need for improving the performance of the organisation as a whole of everybody by raising the current standards of performance so that the organisation can fulfil its purpose even better and continue to do so.

Here, we examine what the organisation is doing at present and effect systematic, organisation – wide improvements in order to do it better i.e. more efficiently and effectively. Learning, here, is related to continuous improvement.

III. INNOVATION (FOR STRATEGIC CHANGES)

This is a higher and more complex level of performance and related needs. Needs at this level are more comprehensive and correspond to a quantum leap or step – change in improvement rather than one that is incremental or continuous only.

Here, the approach is holistic. We begin with an all – round re-examination of the purpose and objectives of the organisation itself by asking – “Why do what we do, what are we trying to achieve?”

Based on the new clarity and understanding of the purpose of the organisation thus acquired, a thorough review of all work process and their-relations is then conducted and new and better processes established. This results in new performance levels, a whole range of Training Needs, a shared sense of purpose and, consequently, greater commitment. A lot of new learning and unlearning previous skills may be involved here and often the job itself becomes modified.

ADDITIVE NATURE OF THE 3 LEVELS

To make successful improvements, we need to learn at level II and then implement (level-I) the improved standards.

To be successful in innovation, we need to learn at level III and then implement (level I) the new methods/processes and continuously improve (level-II)

This clearly shows that the 3 levels of performance (and, therefore, needs) are additive in nature.

3. AREAS OF NEED

Apart from the 3 levels of need, there are also **3 Areas** of need. These are:-

- (a) Organisational Needs
- (b) Group Needs (team, division or Unit)
- (c) Individual needs.

Training needs will be different at each of the 3 performance levels for each area.

(a.) ***Organisational need***

These concern the performance of the Organisation as a whole which may give rise to Training or other Interventions.

- At the **Implementation** level. ITN seeks to find out and devise ways by which current performance standards can be achieved.
- At the **Improvement** level. Organisational needs arise when current performance standards are raised.
- Needs at the Innovation level. Arise when the organisation has to adopt major new strategies, develop new relationships (like partnerships etc.) deliver new services. etc.
- Here, a holistic view of all the existing systems is first taken to re-establish the purpose of the organisation – why do we do what we do?

On the basis of this new sense of purpose new work processes and relationships are established. This gives rise to a whole range of Training Needs.

(b.) ***Group Needs***

These concern the performance of groups. Teams, division, units or sections.

- At the **Implementation** level, needs arise if the group is not meeting current objectives.
- At the **Improvement** level, needs arise with setting of higher objectives or performance standards. Most continuous Improvement projects are found here as groups are able to identify improvement areas and effect process & systems improvement.
- At the **Innovating** level, need arise when group are required to work across boundaries with other groups/teams, and form new ways of working together effectively with a shared purpose.

(c.) ***Individual Needs***

These concern performance of one or more individuals as individuals and not as a group.

- **At Level –I**, needs May arise for bringing current performance up to the required standard or for changed work processes.
- **At Level- II**, needs arise for performance at raised standards or for continuous improvement skills.
- **At Level – III**. Needs depend on whether individuals are required to learn how to think holistically and work with a sense of purpose and commitment across boundaries with people having different perspectives.

Conclusion

In the table below, the 3 areas of need are shown at each of the 3 levels of performance indicating the wide range of what we have to consider when carrying out a thorough TNA of an Organisation. The magnitude of training needs that may arise by adopting a systematic, broad based TNA approach is so large that activities for Identification of needs have to be planned meticulously for ensuring a fair degree of objectivity.

TNA exercises focussed in this way helps in integrating training needs with organisational outcomes.

Table *- Needs at 3 level in 3 Areas.

Level Of Performance Area of Need	Organisation	Group	Individual
1.Implementing (doing things well)	Meeting current objectives of the organisation	Working together to meet existing target	Competency in existing requirements
2. Improving (doing new and better things)	Setting & meeting higher objectives	Continuous improvement teams	Using systematic continuous improvement skills and processes
3. Innovating (doing new and better things)	Changing objectives and strategies	Working across boundaries to create new relationships / products /services	Work effectively and creatively with a shared sense of purpose

*Adapted from T Boydell and M. Leary

R 2.1 Interviewing to Obtain Information

The purpose of TNA is to identify training needs, and to use the results to help improve performance. Therefore the quality of recommendations you can make to your client organisation depends on the information you obtain from interviewing your client, stakeholders, other members of staff, customers and beneficiaries. This often involves interviewing people who may have performance problems, who may be unable or unwilling to tell you about them. Would you in their position? Consider the situation:

- As a consultant, you might be seen as a threat to their security. Why disturb 'custom and practice', and what are the consequences of co operating with you?
- You may be culturally unacceptable, talking with the wrong accent, dressing differently, and unaware of the rumours and implications underlying your work.
- They may not even know they have a performance problem, and it's quite possible they haven't but they may know somebody who has.
- Some may see you as a useful lever to get things changed to their own advantage, and for co operation read 'manipulation'.
- They may be protecting themselves, their 'mates', or their boss.

Possibly, we are overstating the problems you will experience. You could find that people are pleased to be consulted about their work and problems, and are willing to give you information freely and in great quantity. Potentially a considerable amount of information is therefore available; some of it may be of little value, but you won't necessarily know this until after you've got it some may be factual and some anecdotal. An interview provides an excellent opportunity to work with people; to gain their confidence and co operation; to enable you to weigh up the situation; and, above all, to obtain the information which will help you to help them.

We are all familiar with interviewing. Throughout our lives probably we have:

- Interviewed other people
- Been interviewed ourselves
- Observed other people interviewing and being interviewed

Probably you haven't thought about how interviews are structured and conducted to enable you to achieve a specific purpose. The following notes should help you plan and conduct TNA interviews. The intention is to obtain information about an organisation, its business, systems, working practices and, above all, about the people who work for it, or depend on its products or services.

BEFORE THE INTERVIEW

Objectives

Decide what you want to get out of the interview: if you have no idea where you are going, how will you know when you get there? Make the objectives as specific as you can.

Plan

Select the TNA tools you intend to use, either during or following an interview. Make a checklist to guide you during the interview - list all the areas you want covered, so that you forget no vital areas. Preparing such a list also helps to clarify your thinking. Plan your approach to the interview:

- How will you arrange to meet the interviewee?
- How will you introduce yourself?
- Where will the interview take place?
- How will you explain the purpose of the interview?
- How will you record information?

DURING THE INTERVIEW

Gain Rapport

Put the interviewee at ease so that they feel able to listen and respond to your questions. Don't assume a special 'interview personality', use your own personality and style to elicit information you are seeking. Ease gradually into the interview from a friendly introduction.

Explain the Objectives

Ensure the interviewee is clear about the objective of the interview. Ideally, you should be completely open about the purpose of the interview. Check that the interviewee has understood. Answer an interviewee's questions so that they can be relaxed during the interview, and to have confidence and trust in your integrity.

Use Short Questions Long Answers

The more the interviewee talks the more you learn and the more facts become apparent. Ask enough questions to achieving the objectives. Give an interviewee maximum opportunity to talk.

Listen

Listening is vital for a successful interviewer and often difficult to do. So, listen carefully and concentrate on what is being said. Try to pick up key points, evident in the answers being given but not necessarily explicitly stated.

Follow up Points

Ask follow up questions whenever the reply is not perfectly clear to you, or to check and explain information. Be on your guard against letting plausible generalisation's pass unexamined. For example:

- | | |
|---------------------------------|-----------------|
| 'We always keep an eye on that' | - Who does? |
| | - How often? |
| | - In what form? |

'Oh, the safety records are fine'

- How fine?
- What do you do about fires?
- What is the accident procedure?
- What sort of safety?
- In which areas?

The shorter the question, the better. Use questions such as those above followed by supplementary ones, such as:

And then?

Why?

How?

How much?

In what way?

Such as?

Avoid 'Closed' Questions

Try not to ask leading questions, nor any questions which invite 'Yes' or 'No' replies. Answers to such questions may be worthless, since they may contain no information other than what you put into the question, and may give you no way of assessing the accuracy of this information.

'Have you stopped beating your child?' is a leading question. So is 'Do you allow unauthorised person's access to the poison cupboard'? (If they didn't know it was wrong before, this question tells them so!)

Confirm Understanding

Let interviewees do most of the talking, but maintain communication by confirming you have understood what they say. If you haven't, ask follow up questions. Show that you are paying attention otherwise they will lose interest.

When confirming, it may be difficult to avoid using a leading question. If so, imagine yourself doing the job, and phrase your question accordingly, as 'So if I wanted to issue a requisition, I would ...?'

Multiple Questions

Stick to one point in one question, don't ask multiple questions. Otherwise you cannot be sure to what the answers refer, you confuse the issue and you are likely to miss important points.

Specific not Abstract Questions

Rather than questions on theory, principle, or in general, ask for a specific example:

Not 'What do you do about the training of new staff?',

But 'What did you do last time you had a new person join the department?'

Neutrality

Be interested but neutral. You are not just trying to get interviewees to talk, but to talk usefully. This is especially important when they voice opinions. Don't take sides – you can reveal a sympathetic personality (which is essential) without taking sides.

Don't criticise – you may antagonise them or drive them back into their shells. Above all, do not try to prove how clever you are. They'll be annoyed, or possibly overawed.

Bias

Watch for bias, where interviewees minimise the work of their department, or exaggerate the importance of their role in it. They may also produce answers they think you will want to hear. You must avoid giving the impression that you want any particular type of answer, so don't:

- Take up attitudes

- Use jargon

- Show prejudice

- Interrupt

- Make assumptions

- Conclude

Conclude by asking if the interviewee wants to tell (or ask) you anything more – there may be something which has been worrying them all along – and is associated with vital information.

Record

Recording information is a problem. Ticking off areas on your checklist is easy, but taking notes during an interview is much more difficult. Ideally, perhaps, you should write nothing, but then you own fallible memory and biases. On the other hand, if you write intensively during an interview you run a strong risk of having interviewees becoming unwilling to commit themselves.

It is therefore necessary to write short notes with no obvious pattern in relation to questions and answers. Sort out the mixed thoughts, notes, questions and answers, immediately after the interview.

AFTER THE INTERVIEW

Immediately write up a full draft account – certainly before another interview. It is highly dangerous to interview several people and then write up the notes for all at the same time. Your memory will fail you and be distorted.

R 5.1 Persuasive Presentations

You may be asked to present the findings of your Training Needs Analysis to a client and possibly stakeholders. This provides an excellent opportunity to convince them of the validity of your analysis and, perhaps more importantly, gaining their commitment to implementing some but not necessarily all of your recommendations. When preparing a presentation, you may wish to take into account the following suggestions.

Be Realistic

Do not attempt to get too much content into what is likely to be limited time. Don't expect your client to give too many decisions (involving time, effort, money) in one meeting. Use the time to cover all essential areas, and do so by using a practical, performance-related approach. Remember that you should also have a draft report available to provide additional detail.

Decide Principle or Detail

Do you want an agreement in principle that management development, for example, should be started, and leave the detailed arrangements to others? You can get into technical difficulties by going into too much detail when you may not have done sufficient analysis, or straying outside your area of professional competence.

Use Benefit Statements

Always express actions or any feature of your recommendations in benefit terms, where each is related to a significant performance problem. Emphasise how these will benefit the organisation, or the client. The usual way is to say 'And this recommendation [or what I'm proposing] will BENEFIT the organisation by:

- Reducing waste and so reducing costs.
- Providing better quality services to beneficiaries.
- Increasing productivity and profitability.
- Speed up decision making.

Remember:

- The benefits you claim should be the ones that the client wants to achieve.
- The benefits you claim should be quantifiable.
- The benefits you claim should be worthwhile achieving.
- The cost of achieving those benefits should be much less than the increased return.

Use Visual Aids

Managers are used to looking at figures, charts, graphs. A table top visual aid can 'paint a picture' of costs going up, profits going down, far more vividly than most presenters can describe.

- Make the aids BIG, BOLD, and SIMPLE.
- Practice using them.

Choose the Best Examples

If you wanted to convince a client that communication is bad, choose an example where bad communication created a major problem. The example should strike home.

The example chosen should be of deep interest to the client. If concern has been expressed about quality, give examples where quality was affected. Perhaps the concern is about teamwork in which case choose an example where teamwork is failing because of lack of training.

Make it Easy to Say Yes

Most clients have a defence mechanism which means that they are likely to say 'No' to most proposals or recommendations. So get the client to agree with you from the start on certain issues around which you can base your presentation.

Another approach is to say 'I'm sure that you'll agree with me that an organisation must be profitable'. By using this technique the client should find it easy to say 'Yes' when the presenter says 'Then I'm sure that you will agree that we must carry out more safety training'.

Have Alternatives

Do not put a client or particular stakeholders into a position where they feel threatened or left with no choice but to accept. No one likes to be in that position and most people react badly if they feel that they are being forced into a corner.

Clients like to have alternative courses of action to choose from. They can then get the feeling that it was their decision (the alternative they chose) rather than one imposed by an outsider.

Have alternatives for the client to choose from. Each will have slightly different benefits, but if one is chosen, you have got the decision you wanted.

Summarise As You Go Along

Stop to get agreement (verbal or non verbal) on points. Deliberately make a small note. You can say, 'So we have agreed that maintenance is a problem (difficulty/nuisance)? Good!'

You can also say, 'I'm glad we agree that inter-departmental collaboration is a problem'.

Facts and Figures

You will need to quantify your arguments, so have your materials ready so that you can quickly refer to them. This will have been done during earlier phases of the consultancy and the information should be at hand, if the client requires further detail.

You usually have more information gathered than you need for the presentation. The information will be needed for the design brief, or as input to design. Remember, also, to have information available about non-training performance problems.

Anticipate Objections

There are several standard objections for which you should be prepared:

- 'It will cost too much'
- 'It is not the right time'
- 'We are not ready for it yet'
- 'We tried it before'
- 'We are too busy'
- 'It is too academic'
- 'We have other priorities'

Anticipate the objections and overcome them by having a response ready. You can also overcome objections by knocking them down before they are raised. You state, 'BEFORE you say that it will cost too much, let me point out that this scheme will repay itself five times over in the first year'.

Rehearse

It is always worthwhile to rehearse. Get your key phrases sorted out. Get someone to put up objections. Check your timing.

A rehearsal is an opportunity to learn about the quality of your presentation and the likely reaction of the client to your findings and recommendations. Use rehearsals to help improve your performance, don't risk ruining a whole consultancy through a poor presentation.

R 6 Paradigms

THE TRADITIONAL VS THE HIGH-PERFORMANCE ORGANIZATION

Traditional Organizational Paradigms	High-Performance Organization Paradigms
Command-demand/ Paramilitary orientation	Community/commitment orientation
Top are thinkers – bottom are ‘doers’	Everyone is a thinker and a doer
Quantity is all that important	Quality is the primary value
Information flows primary downward - only good news flow up	Information moves in all directions - listening and learning are everywhere
Extrinsic motivators dominate -pay, benefits, status symbols.....	Intrinsic motivators are important - involvement, information, respect.....
Short-term planning	Long-term vision
Internal independence & competition	Horizontal teamwork and cooperation
Isolated layers and structures	Integrated vertical teams
Mid-level grid specialist control, enforce, Compete.....	Mid-level shares expertise and vision with strong internal customer orientations
Employee evaluation based on punitive Assumptions and tools	Positive orientation with emphasis on quality and development
Machine analogy (impersonal)	System analogy/living organism
Rigid rules, policies and programmes	Loose anchors – outcome criteria, benchmarks and guidelines
Customer/Client seen as a passive receipt, a bother or enemy	Customer/Client seen as an ally, partner and active participant
Labour-Management relations are highly adverse	Labour-Management relations are based on collaboration and problem-solving
Old technology environment	High-tech and IT environment

R 8 Types of Needs Analyses

Different needs Assessment methods are used in different contexts.

Sources that can help you determine which needs analysis is appropriate for your situation are described below.

Organizational Analysis

An analysis of the organisations needs or other reasons the training is desired.

This requires an analysis of the organizations strategies, goals, and objectives. *What is the organization overall trying to accomplish?*

The important questions being answered by this analysis are

1. Who decided that training should be conducted?
2. Why a training program is seen as the recommended solution to a organisation problem?
3. What the history of the organization has been with regard to employee training and other management interventions?

Conducting an Organizational Analyses

Determine what resources are available for training.

What are the mission and goals of the organization in regards to employee development?

What support will the senior management and managers give toward training?

Is the organization supportive and on-board with this process?

Are there adequate resources (financial and personnel)?

Job analysis / Task Analysis

It is an analysis of the job and the requirements for performing the work. This involves analysis of the tasks being performed and seeks to specify the main duties and skill level required.

This helps ensure that the training which is developed will include relevant links to the content of the job.

Conducting a job / Task Analysis

1. Interview employees, supervisors and managers in charge.
2. Review job descriptions and occupational information.
3. Develop an understanding of what employees need to know in order to perform their jobs.

Important questions to ask when conducting a Task Analysis:

- What tasks are performed?
- How frequently are they performed?
- How important is each task?

- What knowledge is needed to perform the task?
 - How difficult is each task?
 - What kinds of training are available?
4. Observe the employee performing the job and document the tasks being performed. When documenting the tasks, make sure each task starts with an action verb.
 5. How does this task analysis compare to existing job descriptions? Did the task analysis miss any important parts of the job description? Were there tasks performed that were omitted from the job description?
 6. Organize the identified tasks. Develop a sequence of tasks. Or list the tasks by importance.
 7. Are there differences between high and low performing employees on specific work tasks?
 8. Would providing training on those tasks improve employee job performance?
 9. How is information gathered by the employee? What does the employee do with the information? Can training improve this process?

Competency Analysis

An analysis dealing with potential participants/employees level of competency.

The important questions being answered by this analysis are

1. Who will receive the training ?
2. Participants' level of existing knowledge on the subject
3. Participants' learning style
4. Who will conduct the training?
5. Are there changes to policies, procedures, software, or equipment that require or necessitate training?

Knowledge, Skills, and Abilities

Today's workplace often requires employees to be independent thinkers responsible for making good decisions based on limited information. This kind of work may require training if the employee does not have these skills. Below is a list of various competencies that employees may be required to possess in order to perform their jobs well.

- Adaptability
- Analytical Skills
- Action Orientation
- Business Knowledge/Acumen
- Coaching/Employee Development
- Communication
- Customer Focus

- Decision Making
- Fiscal Management
- Global Perspective
- Innovation
- Interpersonal Skills
- Leadership
- Establishing Objectives
- Risk Management
- Persuasion and Influence
- Planning
- Problem Solving
- Project Management
- Results Orientation
- Self-Management
- Teamwork
- Technology

Performance Analysis

Are the employees performing up to the established standard? If performance is below expectations, can training help to improve this performance? Is there a *Performance Gap*?

Conducting a Performance Analysis

This technique is used to identify which employees need the training.

1. Review performance appraisals.
2. Interview managers and supervisors. Look for performance measures and data such as benchmarks and goals.
3. Are there differences between high and low performing employees on specific competencies?
4. Would providing training on those competencies improve employee job performance?

Performance discrepancies and its causes may show that training interventions may not be required to increase performance, job efficiency/competency, for improving organizational performance. It is important to see if there is a need for training or non-training interventions as well as the benefit of training.

- **Training Suitability Analysis.** Analysis of whether training is the desired solution. Training is one of several solutions to organisations performance problems. However, it may not always be the best solution. It is important to determine if training will be effective in its usage.
- **Cost-Benefit Analysis.** Analysis of the return on investment (ROI) of training. Effective training results in a return of value to the organization that is greater than the initial investment to produce or administer the training.

R 9 Blended Learning

The term **blended learning** is generally applied to the practice of using both online and **in-person** learning experiences when teaching students. In a blended-learning course, for example, students might attend a class taught by a teacher in a traditional classroom setting, while also independently completing online components of the course outside of the classroom. In this case, in-class time may be either replaced or supplemented by online learning experiences, and students would learn about the same topics online as they do in class—i.e., the online and in-person learning experiences would parallel and complement one another. The definition of **blended learning** is a formal education program in which a student learns:

- (1) At least in part through online learning, with some element of student control over time, place, path, and/or pace;
- (2) At least in part in a supervised brick-and-mortar location away from home;
- (3) And the modalities along each student's learning path within a course or subject are connected to provide an integrated learning experience.

Also called *hybrid learning* and *mixed-mode learning*, blended-learning experiences may vary widely in design and execution from school to school. For example, blended learning may be provided in an existing school by only a few teachers or it may be the dominant learning-delivery model around which a school's academic program is designed. Online learning may be a minor component part of a classroom-based course, or video-recorded lectures, live video and text chats, and other digitally enabled learning activities may be a student's primary instructional interactions with a teacher. In some cases, students may work independently on online lessons, projects, and assignments at home or elsewhere, only periodically meeting with teachers to review their learning progress, discuss their work, ask questions, or receive assistance with difficult concepts. In other cases, students may spend their entire day in a traditional school building, but they will spend more time **Working Online** and independently than they do receiving instruction from a teacher. Again, the potential variations are numerous.

The majority of blended-learning programs resemble one of four models: Rotation, Flex, A La Carte, and Enriched Virtual. The Rotation model includes four sub-models: Station Rotation, Lab Rotation, Flipped Classroom, and Individual Rotation.

1. **Rotation model** — a course or subject in which students rotate on a fixed schedule or at the teacher's discretion between learning modalities, at least one of which is online learning. Other modalities might include activities such as small-group or full-class instruction, group projects, individual tutoring, and pencil-and-paper assignments. The students learn mostly on the brick-and-mortar campus, except for any homework assignments.
 - a. **Station Rotation** — a course or subject in which students experience the Rotation model within a contained classroom or group of classrooms. The Station Rotation model differs from the Individual Rotation model because students rotate through all of the stations, not only those on their custom schedules.
 - b. **Lab Rotation** — a course or subject in which students rotate to a computer lab for the online-learning station.
 - c. **Flipped Classroom** — a course or subject in which students participate in online learning off-site in place of traditional homework and then attend the brick-and-mortar school for face-to-face, teacher-guided practice or projects. The primary delivery of content and

instruction is online, which differentiates a Flipped Classroom from students who are merely doing homework practice online at night.

- d. **Individual Rotation** – a course or subject in which each student has an individualized playlist and does not necessarily rotate to each available station or modality. An algorithm or teacher(s) sets individual student schedules.
2. **Flex model** — a course or subject in which online learning the backbone of student is learning, even if it directs students to offline activities at times. Students move on an individually customized, fluid schedule among learning modalities. The teacher of record is on-site, and students learn mostly on the brick-and-mortar campus, except for any homework assignments. The teacher of record or other adults provide face-to-face support on a flexible and adaptive as-needed basis through activities such as small-group instruction, group projects, and individual tutoring. Some implementations have substantial face-to-face support, whereas others have minimal support. For example, some Flex models may have face-to-face certified teachers who supplement the online learning on a daily basis, whereas others may provide little face-to-face enrichment. Still others may have different staffing combinations. These variations are useful modifiers to describe a particular Flex model.
3. **A La Carte model** — a course that a student takes entirely online to accompany other experiences that the student is having at a brick-and-mortar school or learning center. The teacher of record for the A La Carte course is the online teacher. Students may take the A La Carte course either on the brick-and-mortar campus or off-site. This differs from full-time online learning because it is not a whole-school experience. Students take some courses A La Carte and others face-to-face at a brick-and-mortar campus.
4. **Enriched Virtual model** — a course or subject in which students have required face-to-face learning sessions with their teacher of record and then are free to complete their remaining coursework remote from the face-to-face teacher. Online learning is the backbone of student learning when the students are located remotely. The same person generally serves as both the online and face-to-face teacher. Many Enriched Virtual programs began as full-time online schools and then developed blended programs to provide students with brick-and-mortar school experiences. The Enriched Virtual model differs from the Flipped Classroom because in Enriched Virtual programs, students seldom meet face-to-face with their teachers every weekday. It differs from a fully online course because face-to-face learning sessions are more than optional office hours or social events; they are required.

Reform

Over the past decade, digital- and online-learning options have become more popular and more widely used in public schools, although many schools have been slow or reluctant to adopt new technologies for number of complex reasons, ranging from inadequate funding, technologies, and computing networks to general organizational recalcitrance and resistance to change. Given the fact that the internet and most digital learning technologies are still relatively new, instructional alternatives such as blended learning could be seen as de facto reform strategies—i.e., by incorporating blended learning, schools and teachers are forced to change the ways in which they have historically instructed and interacted with students. For example, if students begin learning both in-person and online, it might lead schools to re-examine their traditional school schedule and rethink how the typical school day is structured. In many cases, blended learning is one component of a larger reform initiative in a school or district.

For related discussions, see **asynchronous learning** and **synchronous learning**.

Debate

Generally speaking, blended learning offers many potential advantages and disadvantages that will largely depend on the quality of the design and execution of a given blended-learning model. Advocates may argue that blended learning gives students the benefits of both online learning and in-person instruction. For example, students can work independently and at their own pace online, but still have access to the personal attention of a teacher and all the assistance, knowledge, and resources such an educator provides. At the same time, teachers can structure courses and deliver instruction more flexibly or creatively than in a traditional classroom setting. That said, advocates of blended learning may also argue that online learning, on its own, is insufficient without in-person or one-on-one interactions with a teacher.

Blended learning may also allow teachers to spend less time giving whole-class lessons, and more time meeting with students individually or in small groups to help them with specific concepts, skills, questions, or learning problems—the basic educational rationale behind “flipped classrooms” or “flipped instruction,” a form of blended learning. Blended learning may also allow schools to teach more students more efficiently at a lower cost to the school and—in the case of higher education—the student. And because students are required to use digital and online technologies in blended-learning situations, they naturally acquire more technological literacy and greater confidence using new technologies. Some supporters may also argue that the blended-learning approach more closely resembles modern workplaces, in which employees may work largely on their own to meet specific objectives, only periodically checking in with their supervisors to give them updates or seek assistance. In this case, students would also be learning skills such as self-discipline, self-motivation, and organizational habits they will need in adult life.

In general, scepticism of digital and online learning (and its many variants) is widespread, at least in part because many technology-enabled educational practices are still largely untested, and their educational utility and value remain in question. For example, one common argument made against online learning is that it lends itself to rote, formulaic tasks that do not promote the kind of higher-order thinking skills that lead to deeper and more meaningful learning for students (although such outcomes will depend largely on the quality of the specific program or model in question).

Critics of blended-learning experiences may also question whether the practice can provide students with enough personal attention, guidance, and assistance from teachers, especially for students who may not be self-directed, self-disciplined, or organized enough to learn effectively without regular supervision from teachers and adults. Without in-person supervision, for example, students could easily spend more of their study time using social media and chatting with friends than doing their schoolwork. Critics also question whether teachers have received or will receive adequate training in how to instruct students effectively in a blended-learning context, given that the practice requires teachers to use new technologies and, possibly, more sophisticated instructional practices. Some educators also express concern that blended learning is merely a way for states or schools to reduce labor costs by substituting technology for people, which could result in teacher lay-offs, higher student-teacher ratios, unforeseen educational deficits, and other potential negative outcomes. Still other critics may simply dismiss blended learning as a passing educational fad. Another complicating factor is the rapid proliferation of for-profit enterprises that are selling digital-learning packages and online-learning systems to schools—a trend that has raised significant concerns about the potential for profiteering and low-quality educational services and products.

EXERCISES

E 1 Consultancy Behaviours Exercise

Categorise the following behaviours into the three headings given below and be prepared to explain your reasons for your categorization.

- 1. Behaviours which may build a relationship:**
- 2. Behaviours which may build or may undermine a relationship:**
- 3. Behaviours which may be expected to undermine a relationship:**

Verbal	Non-verbal
Acting as superior Abrupt changes of direction by consultant Acknowledging limits of own competence Asking client about time available Offer or talk about solutions / ways forward Assuming power or authority Being judgmental Building on contributions of client Challenging client Checking understanding / clarifying Clarifying purpose / expectations of meeting Contradicting Coldness Consultant stating difficulties to client Criticizing others Dishonesty of consultant Empathizing with client Exploring feelings of client Establishing credibility with client Encouraging client to talk Encouraging client to make a decision Exploring client's willingness to act Following consultant's interests not client's Giving information to client Identifying issues with client Ignoring client's views Interrupting / cutting across client	Nodding Open body posture Sitting back Monitoring time taken Doodling* Smiling Fidgeting** Yawning Seeking eye contact Sitting forward Looking interested Grunts / encouraging noises Silence Frequently checking time Closing eyes Showing impatience Continuous note taking Mirroring body language Looking bored

Verbal	Non-verbal
Impatience with client Maintaining confidentiality Offering approval / disapproval of client's opinions Offering instant solutions or selling solutions Presenting consultant as always successful Presenting professional image Probing (leads) exploring client concerns Rephrasing client statements Reflecting / mirroring words, examples, tone of voice Supporting client without taking sides Stereotyping client or others Taking responsibility away from the client Using client's language / vocabulary Using open questions Using closed questions Using leading questions	

*Doodling: To draw or scribble aimlessly, absence minded or while pre-occupied.

**Fidget: To be constantly making restless little movements/To be uneasy, worry/To make (someone) disturbed or worried / Restlessness, accompanied by frequent nervous movements/someone who fidgets or disturbs other.

E2 Sales Problem

5 Briefing Notes: Sales Problem Cards in Training Resource Kit

1. Production Manager
2. Service Engineer
3. Sales Manager
4. Customer
5. Sales Representative

ANALYSIS OF THE 'SALES PROBLEM'

	MOTIVATIONAL FACTORS	ENVIRONMENTAL FACTORS	BEHAVIOURAL FACTORS
Sales Representative			
Sales Manager			
Production Manager			
Service Engineer			
Customer			

CASE STUDY

Notes about the Case Study

- The **GENERAL INFORMATION ABOUT THE PROJECT** is for all participants (including Role Players) as it provides *background* and *features* of the Project
- The **BRIEFING NOTES FOR ROLE PLAYERS** are only for the four participants playing Roles of –
 - Managing Director, Uttar Pradesh Bhumi Sudhar Nigam
 - District Project Manager
 - World Bank Manager
 - Chairman Farmer Groups (Adhyaksh, Kisan Samooch)
- **BRIEFING FOR PARTICIPANTS** is for Master Trainers/Recognized Trainers

BRIEFING FOR PARTICIPANTS

The Course has four distinct features, each helping participants to develop their skills and understanding of TNA, namely,

- Distance Learning
- Blended Learning/E-Learning
- Consultancy Skills Workshop
- Project Work (embedded within Course Workshop)

The Consultancy Skills workshop is designed to be conducted over six working days. It includes –

- Familiarization with TNA concepts and tools
- Case Study
- TNA Consultancy assignment with a selected client-organization

The TNA Consultancy Skills Course covers the following Five Phases :

- Phase-I Entry and Contracting
- Phase-II Data Collection
- Phase-III Analysis & Diagnosis
- Phase-IV Feedback
- Phase-V Withdrawal

As per the scheme of the Course Phases-I-III will be learnt by participants during the Case Study. However, during the TNA Consultancy assignment with a selected client-organization all the five Phases will be learnt.

CS 1.1 Aravalli Hills Project - Case Study

- Briefing for Participants
- Briefing Notes for Role Players
- General Information for Role Players

INTRODUCTION

The Aravalli Hills is in a rural area of the state. It has several village communities, mainly engaged in subsistence farming. They send some Rabi and cash crops to urban areas nearby. Generally, the area suffers from low productivity leading to low income and poor investment capacity. Farmers are unable to take advantage of opportunities available for increasing their cash crops, with the community experiencing low economic activity and poor prospects for employment.

The major environmental problems of the area are moisture-stress, erratic rainfall, declining production, soil erosion, poor vegetative cover and inadequate drainage during periods of high rainfall. There has been an increase in the demand for firewood in the area and consequently a significant degradation in the local forests.

AIMS OF THE PROJECT

The aim of the project is the integrated development of the watershed and the afforestation of the Aravalli Hills area. This involves:

- Conservation, upgrading and better use of the area's natural resources, such as water, plants, trees, animals and the human population. All of this has to be achieved in a harmonious and integrated manner.
- An afforestation programme to regenerate the area's forests to provide shade, and an increased supply of firewood and timber products.
- Generation of employment during the project period, and on its completion security of employment for underprivileged sections of the community.
- The development of people's participation in the project.

The state government funds the project supported by a loan from the World Bank, under the supervision of an international aid agency. People working on the project are either seconded from the Department of Forestry and Watershed Development, or recruited from the local community.

The project site is located at a distance of 100 km away from headquarters where the Chief Conservator of Forests is Head of Department. He or she is responsible for the implementation of the project with the help of headquarters, district and field level staff. Information collected and consolidated by him is sent to the World Bank. The project has a time span of 5 years afterwards this will be handed over to the village community for sustenance.

Briefing Notes for Chief Conservator of Forests

You are a senior officer belonging to Indian Forests Service assigned to the Department of Forests and Watershed of the state government. You are Head of Department and in-charge of the Aravalli Hills Project. The following facts are relevant to your role.

You are based at the state capital, some 100 km from the Aravalli Hills.

Your immediate subordinates include Conservator of Forests, Divisional Forests Officer and Chief Account Officer based at headquarters.

Deputy Conservator of Forests looks after the administration with the help of Divisional Forests Officer and other staff. There is also a Chief Accounts Officer responsible for finance and accounts of the project.

The Field Project Officer acts as the link to lower level functionaries involved in the project, such as technical experts, foresters and forest guards. Also, he or she liaisons with the Village Project Committee, which represent the local community.

The project is of 5 years duration and you are completing the second year.

The only target the state government sets is to spend the allocation of funds. This is something that is always left to the last moment due to a ban imposed by the government as a part of its austerity measures. No other, more specific targets have been set.

The existing Project Evaluation System does not provide sufficient, accurate information about the progress in the field. Reporting is late and incomplete. It needs improvement as a matter of urgency.

There is a departmental training centre at the state capital, but it runs training courses only for state officials.

You observe that there is a lack of leadership, any sense of personal responsibility and lack of teamwork.

Initial surveys, the basis for implementing the project, are done badly by the subordinates of the Field Projects Officer.

You are finding it very difficult to get the village community involved in the project, and the field-based members of staff do not seem too keen either.

The Field Project Officer attempts to implement a policy of People's Participation, but has no experience or training in the techniques needed to change from a regulatory system. This applies to the field's staff, generally.

Please find free to add colour and relevant detail to support these facts.

Briefing Notes for Field Project Officer

You are the 'on site' officer, in day-to-day charge of activities. Your boss is the Divisional Forests Officer based at the district headquarters. You live in the Aravalli Hills area. The following facts are relevant to your role:

You are a specialist in watershed construction. Your role and that of your staff has never been clearly defined.

It is difficult to speak to the local community as they speak in a local dialect and many are illiterate.

The social forestry approach, involving people's participation in development and decision-making may be good in theory but difficult to implement in the field.

Your staff does not understand the concept of establishing an ecological balance, and fail to see the broader aims of the project.

It is difficult to get your staff and villagers to draw up effective 'micro plans.' Usually there is a dispute between them.

The women in the village are very shy and difficult to deal with.

No women representatives are involved in the project committee.

The Nursery, where plants and tree seedlings are grown, is a major concern. Most of the people working there are women and children. They don't understand what they should do.

There is nobody available who knows how to organise on job training.

The training courses being run at the Department's training centre are too general and not relevant to the situation being faced in the Aravalli Hills. Management at the training centre do not seem interested in your requests for assistance. Neither does your boss.

The professional staff for the project comes from a variety of disciplines. They spend far too much arguing and critiquing.

Communication with headquarters in the state capital is very difficult. You have a telephone in your office, but no fax or computer facilities-and the post takes 4 or 5 days.

Your family has refused to move to the area, and you are keen to arrange a transfer to be near them.

The project really needs to be managed better - by you, your boss and your subordinates. Also, most importantly, by the village community.

Please feel free to add colour and relevant detail to support these facts.

Briefing Notes for Leader of Project Committee

You are a farmer living in the Aravalli Hills. Your family has lived in the area for generations, and you are a respected member of the community. You volunteered to serve on the Project Committee and have been elected as its leader. This committee represents the people living in the project area, and acts on their behalf. These people are classified as beneficiaries, i.e. people who are either employed on the project or who will benefit from its completion. The following facts are relevant to your role:

You know concepts of Social Forestry and People's Participation.

Staff of the Department of Forests and Watershed Development do not appear to understand their role in promoting people's participation. They continue to take all major decisions themselves.

You feel that staff of the department considers village people to be ignorant, uneducated and unable to appreciate what is being done for them. You consider the staff lack understanding of the local society and often arrogant in their dealings with them.

Departmental staff fails to appreciate that the project is for the benefit of the local community. Too much money is spent on offices, salaries, transport and visits.

Village people need firewood, so they cut trees to take to their home. There have been angry disputes between villages and Forest Guards about cutting trees for firewood. Whose trees are they?

The department is supposed to train beneficiaries to enable them to take over the project. This is not being done. You suspect that departmental staff are reluctant to trust local people, or they are fearful of losing their jobs once the project has been completed.

The local culture is that women can only be trained by other women and not by men. Unfortunately, staff of the department is predominately male. They are unacceptable as trainers for the female workforce working on the project, e.g. in the nursery.

Children are employed in the project along with their mothers. It is difficult to stop this, as mothers cannot come and leave their children alone at home. There are no crèche facilities available to them. People often complain that they are poorly paid.

Some plants and trees being grown are of foreign origin and may not be suitable. Workers are not shown how to do their jobs properly and are accused of having a 'poor attitude.' The percentage of seedlings successfully transplanted is low. However, nobody seems to care.

Meetings of the project committee are not regularly held.

Departmental staff is supposed to help farmers draw up 'micro plans' for their land. But no such plans are drawn up. Please feel free to add colour and relevant details to support these facts.

Briefing Notes for Project Manager -World Bank

You represent World Bank and work in its Office in the state capital. You have with you an Assistant Project Manager. The project is one that your agency is keen to support because it is for the benefit of a rural community. The following facts are relevant to your role:

Your agency supervises funds for the project, allotted by the World Bank. This is done in association with the Department of Forests and Watershed Development of the state government.

You work in close collaboration with the Chief Conservator of Forests.

On a personal level you like the Chief Conservator of Forests and have a high regard for his or her professional competence in the field of rural development.

Generally, the calibre of executive staff is less than satisfactory.

The project is falling behind schedule and nobody seems particularly concerned.

Progress reports are usually late and of a poor standard.

You have found it difficult to get the Chief Conservator of Forests to recognize the importance of setting targets and ensuring that they meet them.

Generally, you have found it difficult to work with people who lack the understanding and skills needed to manage projects such as this one.

You have heard rumours that some funding has been 'diverted' to other departmental undertakings.

You are under pressure from head office to get results. This is worrying you as failure to achieve the expected results can have serious consequences for your career prospects.

Unknown to the state government, you have been told that unless satisfactory results are achieved soon, the agency will withdraw funds.

Six months has been mentioned as the time remaining in which to achieve satisfactory results.

Please feel free to add colour and relevant details to support these facts.

INFORMATION ABOUT THE DEPARTMENT

The Department of Forests and Watershed are implementing the Aravalli Hills Project. The State Government employing 30 people from headquarters to the field level, runs this Department. The Department is organized into three main operating departments.

Headquarters Controlling the Aravalli Hills Project stationed in State capital. 9 staff are working at this level.

Area Headquarters Supervision and monitoring are done at this level with 7 staff.

Area Office Implements the Project with 13 staff.

In addition, the World Bank has set up an office in the state capital, which funds the project.

The administration of the project is carried out by the Department of Forests and Watershed. The project has a fixed duration of 5 years and is completing the second year. The following members of staff are likely to feature in the case study.

Headquarters Level

Chief Conservator of Forests

A senior officer belonging to the Indian Forests Service [IFS]. He is Head of the Department posted in state capital, some 100 km from the Aravalli Hills. He is in-charge of the Project and sends quarterly reports to the World Bank Office. He collects reports from Divisional Forest Officer every month. But he finds it difficult to get the report from the field in time. He is worried about the success of the project because he is finding it very difficult to get the village community involved in the project.

Area Level

Field Project Officer

He is the 'on site' officer and lives in the Aravalli Hills. He is a specialist in watershed construction. The department has not defined his role. But he is responsible for the successful implementation of the project within time frame. His family resides in the state capital. He has two school going children for whom there is no facility for education in the project area. He has no way out except to reside in the field and keep the family away. Therefore, he visits his family every weekend leaving the entire project in the hands of field officer. Sometimes he overstays there. He treats his visits as official. This has resulted into an increase in official expenses. He is not acquainted with local dialect of the people living in the area. Therefore, it is difficult for him to deal with them. Mostly they are women following local age-old traditions. The project area is not well connected with state headquarter. Only telephone facility is available which takes time to connect with seniors. No computer or fax facilities are available.

Village Project Committee

Leader of Project Committee

There are nearly 450 families living in the project area. A Project Committee has been formed which represents the people of the area. They have chosen a farmer as leader of this Project Committee who is familiar with the concepts of social forestry and people's participation. He feels that the Department does not appear to understand their role in promoting People's involvement in the project. The department

continues to take all decisions without involving project committee. Project staff come to them when problems arise. He believes that the Department is corrupt and implementing the project for their own benefits. There are different notions about the people living in the community in project area.

World Bank Office

Projects Manager

World Bank Office situated in state capital has a Projects Manager who has under his subordination an Assistant Projects Manager. They are responsible for transferring project funds following progress report of each quarter in the year. They report to the World Bank headquarter office about the progress of the project. They accept progress report in the format prescribed by the World Bank. In case it is not, they refer back the report and stop the release of funds.

CS 1.2 Land Reclamation Project in Uttar Pradesh - Case Study

- General Information about the Project
- Briefing for participants
- Briefing notes for Role Players

GENERAL INFORMATION ABOUT THE PROJECT

The project is being administered by the Uttar Pradesh Bhumi Sudhar Nigam, (UPBSN) established in 1978 with the mission to—

- Preserve the health and productivity of land resources in a sustainable manner and protect, rehabilitate and regenerate all potentially cultivable lands.
- To undertake, assist, aid, finance, execute and promote measures for land development, conservation and improvement of soil and water resources such as
 - reclamation of problem soils;
 - reclamation of saline-alkaline soils; and
 - ravine areas.

OBJECTIVES OF SODIC LANDS RECLAMATION PROJECT UNDERTAKEN BY UPBSN

- Utilization of appropriate soil reclamation technology
- Utilization and maintenance of main drains
- Strengthening agriculture research and extension activities
- Mobilization of the communities
- Strengthening key institutions involved in soil reclamation

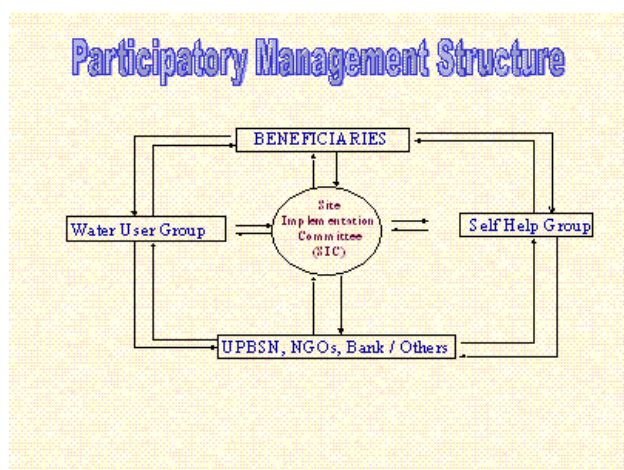
SALIENT FEATURES OF THE WORLD BANK FUNDED SODIC LAND RECLAMATION PROJECTS IMPLEMENTED BY UPBSN

Sl. No.	Particulars	UPSLR-I P (Year 1994-2001) Achievements	UPSLR-II P (Year 1999-2007) Achievements	UPSLR-III P (Year 2009-2017) Targets
1.	Area reclaimed (hactre)	68,000 Target:45,000	1,89,000 Target:1,50,000	1,30,000 (93,000 ha reclaimed by August, 2014)
2.	Ravine (Pilot)			5,000 (Kanpur Dehat and Fatepur)

Sl. No.	Particulars	UPSLR-I P (Year 1994-2001) Achievements	UPSLR-II P (Year 1999-2007) Achievements	UPSLR-III P (Year 2009-2017) Targets
3. Funding (in crore)				
3.1	IDA share	213.96 (\$54.7 million)	906.36 (\$224.68 million)	965.30 (\$197 million)
3.2	State share	51.24 (\$13.1 million)	186.82 (\$46.31 million)	241.33 (\$49.20 million)
3.3	Beneficiaries share	48.51 (\$12.4 million)	341.49 (\$84.65 million)	126.18 (25.80 million)
3.4	Total	313.71 (\$80.2 million)	1434.67 (\$355.64 million)	1332.81 (\$272 million)
4.	Districts Covered	10	18	29
5.	Beneficiary Farmers (No.)	1,56,000	3,67,000	2,40,000
6.	SC/ST farmers	28%	30%	33%
7.	OBC farmers	43%	46%	47%
8.	Marginal & Small farmers	93%	93%	93%
9.	Increase in productivity in C class Sodic lands)	- Paddy 0-29.92 Qt/ha	- Paddy 0-32.23 Qt/ha	- Paddy 0-35.00 Qt/ha
		- Wheat 0-26.05 Qt/ha	- Wheat 0-26.91 Qt/ha	- Wheat 0-30.00 Qt/ha
10.	Rehabilitation of main drains	2988.00 km	7620.43 km	5740.00 km

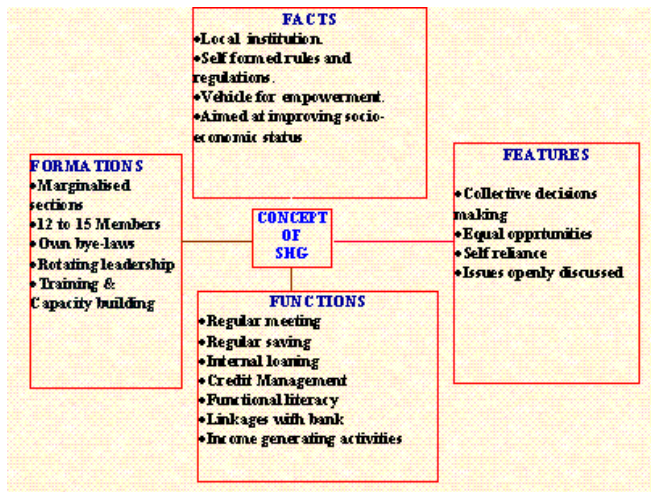
Some years are common in all the three Phases which means that the land which was selected for reclamation in 1997 will become normal in 1999. Sodic land takes three years in becoming normal when treated with Gypsum and Press Mud (a waste product of sugar mills).

PARTICIPATORY PROCESS



- Process through which the stakeholders influence and share control over development initiatives, decisions and resources, which will affect them directly or indirectly
- In the context of UPSLRP, it includes the involvement of participating communities at every stage of project implementation cycle, i.e. right from micro-planning, execution, monitoring and sustenance of project impacts beyond project period

CONCEPT OF SELF HELP GROUP



WHAT ARE SODIC LANDS?

Sodic lands are those lands which have high content of alkali salts like sodium carbonate and bicarbonate in the earth's crust. In areas where water table is high or where drainage is inadequate, these salts get dissolved and then rise through capillary action to the surface, where the water evaporates, leaving behind a salt crust that makes the land unsuitable for crop cultivation.

The chief characteristic of sodic soils from the agricultural point is that they contain sufficient exchangeable sodium to adversely affect the growth of most crop plants. For the purpose of definition, sodic soils are those which have an exchangeable sodium percentage of more than 15. Excess exchangeable sodium has an adverse effect on the physical and nutritional properties of the soil, with consequent reduction in crop growth, significantly or entirely.

LAND TYPES

'C' Class Land

Barren sodic land

'B' Class land

Single cropped sodic land with no irrigation facilities, low productivity

'B+' Class Land

Double cropped sodic land with some irrigation facilities, productivity below normal

PROCESS OF RECLAMATION

Application of gypsum (Calcium Sulfate) supplies calcium which replaces harmful sodium from the soil.

One of the recommended chemical amendments for sodic soil reclamation is use of soluble calcium salts, e.g. Gypsum, Calcium Chloride. Being cheapest and most abundantly available, gypsum is the most widely used amendment.

The replaced Sodium is then removed from the root zone by drainage and leaching.

The reclamation itself is a simple process that the farmers quickly master —gypsum is mixed with the soil and the fields are kept flooded for 15 days. When the water is drained, it washes away the harmful leached salts. This leaves the land ready to be transplanted with its first crop of Kharif (summer) paddy. Then follows a Rabi (winter) crop of wheat, and an intermediate crop of dhaincha, a nitrogen-fixing green manure needed to replenish the soil before a second paddy crop can be planted.

Two or three cycles of these crops, along with efficient drainage, make the once-barren sodic soils ready to yield any crop, from oil seeds to vegetables to flowers. Both backward and forward linkages are facilitated through the project.

COMPONENTS OF THE PROJECT

A. On-Farm Development and Land Treatment

- About 130,000 ha of sodic lands
- Mobilization of village communities
- Detailed mapping and classification of sodic lands
- Formation of water user groups (WUGs)
- on-farm development through land-leveling, bunding, and linking field drains to link and main drains
- Provision of shallow tube-wells to help in reclamation operations and provide irrigation
- Application of chemical/organic amendments and plant nutrients to the soil
- Cultivation of rice-wheat-green manure crop.
- A pilot on ravine reclamation covering an area of about 5,000 ha would also be included under this component. The pilot will follow a watershed development approach, focusing on in situ moisture conservation, local water harvesting, reducing soil erosion, improving natural vegetation, and enhancing crop and livestock productivity.

B Improvement of Drainage Systems

- About 5,700 km of the drainage network would require rehabilitation
- Re-modeling and rehabilitation of main drains
- Maintenance of main drains
- Training and capacity building of Uttar Pradesh Bhumi Sundar Nigam (UPBSN) and Irrigation Department (ID) staff on technical and management aspects, and training of WUGs for appropriate O&M of drainage network.

C Agriculture Support Services

- Training farmers in effective land and water management practices
- Dissemination of improved agricultural technology and production practices through on-farm demonstrations
- Support for livestock production, including dairy development and small ruminants as appropriate
- Exposure visits, farmer fairs, animal health camps and other “means” for rural communication and outreach
- Training and capacity building of line department staff and other relevant providers of support services to farmers.

D Institutional Strengthening and Capacity Building for Market Access

- Mobilization and capacity building of community based institutions like SHGs and producer groups (PGs)
- Support to cluster level producer groups for productive assets
- Investment support for productive assets
- Improving rural market infrastructure
- Organization of innovation forums.

E Project Management:

- Establishing and supporting project units at the state and district levels
- Creating a project monitoring, evaluation, and learning system to regularly inform project staff and stakeholders of progress and processes
- Engaging the services of an external Monitoring and Evaluation (M&E) agency to track project progress and confirm reporting from the project system
- technical assistance to improve implementation and nurture innovations in that regard
- Liaising with project partner organizations, support organizations, external professional agencies and the World Bank
- Documentation of project experience and its dissemination to the wider development community.

THE ORGANIZATION

HEADQUARTERS

The UPBSN was established in 1978 with the mission of preserving the health and productivity of land resources in a sustainable manner, and to protect, rehabilitate, and regenerate all potentially cultivable lands.

The UPBSN is responsible for the overall supervision of the UPSLRP Project and acts as a facilitator between the beneficiaries and the World Bank in achieving the best possible results

in the agriculture sector with the growing emphasis on the agro-based economy using the latest technological advancements, the UPBSN is making an all out effort to take the advantage of the technology and achieve the targets.

MANAGING DIRECTOR, assisted by

- Joint Managing Director
- Finance Controller
- Company Secretary

DISTRICT-LEVEL

District Project Manager

Supervision and monitoring at District-level

assisted by

Assistant Project Manager

At

TEHSIL LEVEL

VILLAGE-LEVEL

Chairman, Farmers' Group (Adhyaksh, Kisan Samooh)

MANAGING DIRECTOR

Functions of the Managing Director, Uttar Pradesh Bhumi Sudhar Nigam (a Uttar Pradesh Government Undertaking), who is generally a senior Indian Administrative Service (IAS) Officer, relate to -

- System
- Ground Water
- Personnel
- Technical
- Project
- Drainage
- Procurement
- Ravine
- Administration
- Animal Husbandry
- Monitoring & Evaluation
- Marketing
- Training
- Media
- Environment
- Participatory Management Cell
- Credit

DISTRICT PROJECT MANAGER

The District Project Manager, who is posted on deputation, is responsible for implementation of Sodic Lands Reclamation Project ultimately contributing to poverty alleviation in the village.

His functions are related to –

1. On-Farm Development
2. Rehabilitation and Maintenance of Main Drains
3. Agriculture Technology Dissemination
4. Upgrading farm to market roads
5. Capacity Building of support services related to Education, Micro Financing etc.
6. Adaptive research related to Agriculture and Irrigation Facilities
7. Increasing food productivity of Food grains specially of Rice and Wheat.

To promote horticulture marketing, efforts have been made to establish Primary Horticultural Growers Society.

CHAIRMAN, FARMER GROUPS (Adhyaksh, Kisan Samooh)

He is located at the village-level and heads Farmer Groups involved in implementation of Sodic Lands Reclamation Project.

He coordinates activities in association with the Assistant Project Manager who assists the District Project Manager at Tehsil-level.

His functions are related to –

1. Increasing participatory approach among farmers
2. Involve group members in important decisions related to planning, implementation, monitoring and evaluation.
3. They are the change agents.
4. Support mechanism to agriculture activities.
5. Ensure peoples participation and develops a sense of strong ownership.
6. With the help of Project Manager, ensure Training Programmes for skill development in the field of
 - boring,
 - pump set repair,
 - sodic reclamation,
 - capacity building of the group members,
 - income generating activities,
 - soil testing etc.

7. Savings and thrift and credit linkage for taking micro enterprises.
8. Involving farmer groups with banks for credit.
9. Building forward and backward linkage.
10. Market oriented ambiance for farmers.
11. Making efforts for storage of Agriculture Products in Cold Storages.
12. Motivating Farmer Group Members
13. Value Added Agriculture Products
14. Dairy development products
15. Increasing Horticulture products and their marketing etc.

WORLD BANK MANAGER

He is stationed at the Headquarters and operates in close coordination with the Managing Director, UPBSN and District Project Manager. Looks after release and utilization of World Bank funds for fulfilling the objectives of the Project.

The Project was designed in line with the World Bank's poverty reduction strategy for India at the time of appraisal, with priorities to work through State-level interventions, focusing on institutional change and technical innovation, and aiming for sustainable natural resources management and enhancement of participation.

In Uttar Pradesh (UP) there is widespread poverty and a high dependency on agriculture for livelihoods. While the State has been relatively slow on reforms, it has made a good start in addressing its considerable land degradation problems. The project dealt with these core issues by contributing to strengthening agriculture related institutions at many levels: through participation of stakeholders, maintenance of key infrastructure, and engagement of local government and extension services. While not central to the project, it also had activities to examine and ensure project beneficiary services for marketing systems and credit, aspects of agricultural reform which were weak in the State.

BRIEFING NOTES FOR MANAGING DIRECTOR, UTTAR PRADESH BHUMI SUDHAR NIGAM

Gender mainstreaming

For addressing women's needs and empowerment, the project ensured women as co-title holders of all the newly allotted lands and established inclusive institutions (SIC and WSHGs) to make explicit the role of women in reclamation activities.

Rehabilitation and maintenance of main drains

Proper drainage is essential for the sustainability of land reclamation. The rehabilitation and maintenance of drains was undertaken by UP Irrigation Department (UPID) using appropriate design parameters. 7,620 km main drains were rehabilitated, which constitute about 36.4% of the

drain network in the project districts. This resulted in efficient removal saline effluents from the reclaimed areas and also drained excess rain water from the other cultivated areas in these districts. The quality of drainage works was independently monitored by Consulting Engineering Services.

Technology dissemination

State, district, block and village level institutions have been developed which promoted effective inter-departmental coordination for implementation and monitoring of the project activities and dissemination of appropriate technologies.

Use of bio-fertilizers

- Green manure and farm yard manure on 48,915 and 41,048 ha respectively
- NADEP compost on 1,350 ha by 1900 farmers
- Vermicompost on 950 ha by 2,225 farmers
- Azotobactor on 2,136 ha by 6186 farmers
- Rhizobium on 1,670 ha by 3394 farmers
- Phosphatica on 2,264 ha by 4086 farmers

Management Agencies, namely, Agricultural Technology Management Agency(ATMAs) were setup in 8 project districts. In addition, 32 ATMAs were set up under the Diversified Agriculture Support Project.

Farmer Field schools

238 Farmer Field Schools (FFSs) covering all the project blocks and 2823 villages were established as community-based, demand-driven institutes for promoting farmer-to-farmer technology dissemination. The FFSs comprised of progressive farmers of 8-10 sodic villages located in a radius of 5 km.

A total of 2,533 Master Trainers on different subjects like -

- Agriculture,
- Horticulture,
- Animal husbandry,
- Credit,
- organic farming,
- soil testing,
- boring and pumpset maintenance,
- marketing,
- health, etc.,

were developed to provide training/support to the member farmers.

These FFSs were linked with different public and private institutions like State Agricultural Universities (SAUs), Krishi Vigyan Kendras, Departments of Agriculture and Animal Husbandry for technical backstopping. Some members of FFSs were nominated in block level Farmer Advisory Committees of ATMAs for raising farmer's voices in the district agriculture plans.

Libraries were established in all FFSs and computers were provided to establish *e-chaupals* in 15 FFSs.

The FFSs also helped in addressing issues critical to project sustainability like timely availability of agricultural inputs, credit, technical know-how and community awareness on drainage maintenance. 205 agriculture service centres managed by FFSs, facilitated timely availability of quality agriculture inputs. To sustain these FFS, business plans were prepared and implemented to ensure regular source of income.

- Farmer training programs,
- crop demonstrations,
- adaptive trials,
- wall writings,
- print and
- electronic media

were successfully used for dissemination of appropriate technologies to the farmers.

This helped in –

- promoting use of certified seed,
- timely planting of crops,
- integrated pest management,
- balanced fertilizer use and
- irrigation of crops

at critical stages. The recommendations emanating from the adaptive research component on various topics like –

- suitable medicinal crops,
- spice crops,
- sesbania and
- use of pressmud

were disseminated to the farmers through the extension units like ATMAs/DICCs/FFSs and the state extension system. The extension efforts promoted crop diversification after 2-3 cycles of rice-wheat rotation following land reclamation.

Upgrading farm to market roads

Upgrading of farm-to-market roads was included in the project to connect the isolated sodic villages with the main road network to enable the farmers to take their agricultural produce to

the nearby markets. Selection of these roads was done as per the ranking formula agreed with the World Bank. U.P. Public Works Department (PWD) and U.P.

Rajkiya Nirman Nigam were the implementing agencies.

HUMAN RESOURCE DEVELOPMENT AND INSTITUTIONAL CAPACITY BUILDING OF SUPPORT SERVICES

Training programs

The human resource development and institutional capacity building of support services emphasised on staff training and institutional strengthening of Panchayats, NGOs and other line agencies, viz. Departments of Agriculture (DOA), Public Works, Irrigation, Panchayati Raj, Remote Sensing Application Center (RSAC) and UP Council of Agricultural Research involved in project implementation.

A total of 690 trainings for 11,630 UPBSN staff, 1,066 trainings for 13,220 line department staff and 447 trainings for 6,461 NGO workers were organized. Additionally 12,647 multi-purpose workers of the GP and 104 Kisan Sahayaks of DOA were trained for providing extension support and technical back-up to farming community and FFS. A total of 106,345 core team members and MKs/MMKs were trained to serve as extension agents. Self-Help Groups (SHGs) promoted in the project were also strengthened through various training programs, workshops and exposure visits.

Need based Micro Enterprise Development (MED) trainings were provided to 1,675 members of the SHGs. These capacity building initiatives resulted in initiation of micro enterprises and other economic activities.

Strengthening of Panchayats

1,271 Panchayat Bhawans (PBs) were constructed to provide village communities, farmer groups, SICs and FFSs a platform for organizing trainings, setting up libraries, IT kiosks, holding meetings, and for other social activities.

1,342 libraries were established and 810 additional modules were constructed in the already existing PBs. These PBs are serving as a secretariat for village level local institutions and have also become a platform/hub for carrying out various developmental activities in the villages by the community-based organizations. The Government of UP has issued guidelines for strengthening and maintenance of PBs and library-cum –information centers.

Marketing

Initiatives for strengthening marketing of agricultural produce include setting up of 360 Sodic Haats (rural market hubs), out of which 46 were equipped with infrastructural facilities. 206 project villages were linked with Mandi Samitis. Construction of 1,197 zero energy cool chambers enhanced shelf life of perishable produce. Opportunities for marketing of horticultural produces were tapped through development of 19 Primary Horticultural Cooperative Societies. 338 project villages were linked with 125 milk routes with daily turnover of 31,754 litres.

One progressive farmer in each FFS was trained as Marketing Animator to promote backward and forward market linkages.

Adaptive Research

An international conference on “Sustainable Management of Sodic Lands” was organized in 2005 which provided an opportunity to develop international linkages and showcase the project accomplishments.

Project management

The project has been implemented through a well crafted Activity Schedules on the basis of which Annual Action Plans were prepared using a Computerized Project Management System which defined each project activity, the required critical path for completion, and displayed the proposed physical and expenditure targets. All the 23 Project Management Units were linked to the UPBSN headquarters (HQ). All the units at HQ were connected through LAN. This ensured a smooth flow of information and helped in effective internal monitoring.

The website www.upbsn.org with MIS and GIS mapping was developed and regularly updated. Procurement schedules for inputs were strictly adhered, and in the later years rake-wise, village-wise schedules for gypsum were developed resulting in significant savings, and ensuring timely supply of inputs at the project sites.

For assessing socio-economic and environmental impacts, and monitoring the project progress, third party independent external M&E agencies were hired.

Environmental management

The quality of ground water in the reclaimed areas was similar to the unreclaimed areas indicating that the leaching of salts has not produced any adverse effect on the quality of ground water. Similarly the quality of surface waters in the link drains, and at the outfall points where these drains join the main drains was within the permissible limits for irrigation quality standards. The floral diversity increased from 12 to 81 species, and the faunal diversity from 52 to 250 species as a result of reclamation. Microbial biomass increased from 52 to 418 milligram/gram soil after 10 years of reclamation.

ARRANGEMENTS FOR FUTURE OPERATION OF THE PROJECT

Sustainability strategy

A well crafted sustainability strategy was adopted. In the four years process of reclamation, exit policy exercises were conducted by the farmers themselves with the help of PRA techniques and developing issues matrix and sustainability index for each village. The critical issues identified during exit policy exercises were addressed through follow-up exercises.

Monitoring and evaluation

- Every project village was monitored at least once

- Development indicators and physical performance indicators were developed and regularly monitored
- Environmental monitoring was done by Remote Sensing Application Centre
- Impact of reclamation on bio-diversity was assessed by National Botanical Research Institute
- Quality of road and drainage works was monitored by Consulting Engineering Services

Steps for sustainability

- Only those sodic lands were selected for reclamation where ground water was 2 meter below ground surface to avoid reversion of sodicity
- Budgetary provision made for maintenance of sodic drains and a corpus fund “AnurakshanNidhi” established for meeting 10% farmer contribution
- FFS set up at the block level to ensure institutional arrangements for farmer-to-farmer technology dissemination
- SIC merged into Water Management Committee of Gram Panchayat providing it a constitutional status and ensuring link drain maintenance
- Panchayat Bhawans and Sodic Haats will be maintained by Panchayati Raj Department
- SHGs linked with banks for institutional credit during the post project period and for sustaining the project impacts. GOUP has prepared a proposal for the follow on project which is being processed by GOI.

BRIEFING NOTES FOR WORLD BANK MANAGER

Micro-Credit Action Research (MCAR)

MCAR was launched as a pilot in two districts, and the NGO and the bank worked together for promotion and strengthening of SHGs, aiming people’s empowerment and rural livelihood generation, sustainable outreach and access to micro credit for consumption, production and investment purposes. The credit coverage reached 91% and sustainable linkages of SHGs with banks helped rural poor in accessing institutional credit. Application of learnings of MCAR helped in strengthening of SHGs and promotion of clusters.

A total of 165 clusters, networking 1,716 SHGs were developed to support groups in –

- auditing,
- record-keeping,
- conflict resolution and
- initiation of marketable MEDs.

To sustain the SHGs, endeavours were made to link them with various mainstream Central and State sponsored Programs related to

- literacy,
- health care,

- sanitation, etc.

As such, 162 WSHGs started implementing mid-day meal scheme of Government of India.

Borrower's Performance

UPBSN's performance is rated as Highly Satisfactory, although frequent change of project management was an issue. The Government of UP (GOUP) allowed UPBSN substantial flexibility and authority for implementing project activities. It took steps to adapt the project design to emerging challenges.

For example, when the original funding mechanism for main drain maintenance did not work well and the issue of sustainability of institutions set up under the project came up in the OED review of the pilot project, UPBSN and GOUP were quick to develop and operationalize sustainable institutional arrangements for addressing these weaknesses.

Women Self-Help Groups (WSHGs)

Mobilization of 7,193 WSHGs not only supported 84,526 farm households with supplementary savings of Rs. 85.77 m but also empowered women by enhancing their role in decision-making and provided them opportunities for income generation. 6,743 WSHGs were linked with banks for cash credit limit and loans of Rs.17.7 m were disbursed.

In addition, these Groups inter-loaned Rs 263.7 m from their savings, 68% of which was used for financing agriculture and other economic activities. Promotion of MMKs facilitated technology interface between project and women farmers and enabled gender sensitive environment in the project villages.

Maintenance of main drains

For the maintenance of main drains, a funding mechanism has been developed and operationalized which includes 90% budgetary support by GOUP through UPID, and 10% contribution by the farmers. For meeting the 90% budgetary support, a separate line item in UPID has been created since FY 2005-06 and an amount of Rs. 17.9 m per year has been provided specifically for the maintenance of sodic drains. This arrangement would continue in the post project period. For meeting the 10% farmers' contribution, UPBSN has established a corpus fund "UP Bhumi SudharAnurakshan Nidhi Niyamawali 2006" out of the small levies collected from farmers on inputs provided to them under the project. An amount of Rs. 125.98 m was deposited in this corpus @ 8.35% interest/annum (now raised to 10.5% per annum). UPID has prepared the maintenance plan for the UPSLRI and IIP drains for the next five years. With this provision, both the UPSLRI and IIP drains will be maintained.

Bank's Performance

The Bank performance is rated as Highly Satisfactory. There was continuity of the Task Team, although the Task Leadership changed three times. Issues critical for improving implementation, technology transfer and sustainability were regularly raised; and workable solutions were provided to address the identified weaknesses. Despite the technical nature of the project, social, participatory, environmental and poverty issues were emphasised by the Bank team.

Project Constraints and Areas of Concern

Although the project achieved or exceeded the original targets, there were a few constraints. The major area of concern for the Bank missions was the frequent change of Project Manager.

Another constraint was lack of continuity of middle level and technical staff during the later years of the project since as per GOUP rules staff from the line Departments had to be repatriated back after completing five year deputation term.

There was no concrete plan to address the gaps identified during the Exit Policy exercises in the project design, although during the later stages these were addressed, and convergence strategy was formulated to hand over the ongoing activities to the relevant Departments.

Another concern since the beginning of the project was the main drain maintenance after the project closure since effective drainage system is very critical for sustainable reclamation.

Lessons Learnt

- Sodict areas with ground water within 2 meter from the surface or within 500 meter on the sides of canals should not be taken up for reclamation as the chances of reversion of sodicity are high.
- Selection of area should be done jointly by the technical staff and farmer teams. Ground truthing by involving farmers facilitates right selection of sodict lands.
- Awareness creation and social capital building are essential pre-requisites for effective land reclamation.
- “Convergence Action Plan Matrix” should be made an integral part of training modules from the beginning of the reclamation process.
- Horticulture should be promoted only in B+ category land and that, too, on the fields of “Willing farmer” only.
- Focussed attention should be given to marketing of agricultural produce.

BRIEFING NOTES FOR CHAIRMAN, FARMER GROUPS (ADHYAKSH, KISAN SAMOOH)

The project adopts participatory approach where participating farmers are involved in important decisions related to various project stages –

- planning,
- implementation,
- monitoring and evaluation, etc.,

through their community-based institutions.

In this connection –

- Site Implementation Committee (SIC),
- Water User Groups (WUG),

- Self-Help Groups (SHGs) and
- Farmer Field School (FFS)

are some of the major community institutions created under the project.

- MitraKisan,
- Mahila Mitra Kisan and
- Animators

are major ***community development change-agents*** under the project with well-defined roles and responsibilities.

Self-Help Groups have been promoted under the project as a support mechanism to the agriculture.

The ***Farmer Field Schools (FFS)*** promoted under the project have emerged as a forum where farmers are using their traditional knowledge (ITKs), experiences, skills in development & dissemination of local-specific, farmer-friendly, cost effective technologies.

Master trainers on different subjects have been developed to provide training/support to the member farmers. Under UPSLRP-II, 238 Farmer Field Schools have been formed covering 2588 villages. The membership base of the club comprises of 15505 members and 2180 master trainers.

These FFS have demonstrated commendable success in addressing the key issues affecting project sustainability like –

- timely availability of agriculture inputs,
- credit availability,
- providing updated technical know-how and
- drainage maintenance, etc.

Women in problem areas heavily depend on natural resources and are natural partners for managing/protecting them. Organizing women as groups for savings & thrift and credit linkage for taking up micro-enterprises has ensured their participation in natural resource management. Self-Help Groups have been promoted under the project as a support mechanism to the agriculture activities. These Groups have further been linked with banks for cash credit limits and additional income is being generated through initiation of various income-generating activities among the members of SHGs.

Under UPSLR-II P, 7938 Women Self Help Groups have been formed and their savings amount to Rs.788.31 lakh. 5031 Groups have been linked with bank, with total disbursements of Rs.814.37 lakh. The Groups have inter-loaned Rs 1553.65 lakh for various consumption and production purposes.

Similarly 4769 Men Self-Help Groups have also been formed, and their savings amount to Rs 379.23 lakh. 1737 Groups have been linked with bank, with total disbursements of Rs 328.56 lakh. The Group members have inter-loaned Rs 572.65 lakh among themselves. Most of the SHGs nurtured under the project have emerged strong and sustainable.

Even more striking is the change in the women themselves - they are more assured and more assertive. Today, impelled by their collective strength, women in these villages have taken charge of their lives in a hundred different ways. They have orchestrated regular visits by medical workers; they have set up Grain Banks and have even initiated their own literacy programme.

To link producers directly to the market and to strengthen the marketing of agricultural and non-agricultural produce, a two-pronged strategy has been adopted.

Under *backward* support linkage strategy, farmers are being educated to preserve their produce and forward support strategy emphasizes on developing a market-oriented ambience for farmers. The farmers are being educated about the zero energy cool chambers. Vegetables kept in this zero energy cool chamber remain fresh for long. It enhances their shelf-life which can then be marketed on better prices.

To ensure *forward* linkages, farmers are being motivated to link up with various rural markets and where there is no such market in the vicinity, the farmers are motivated to establish *sodic-baat* to serve as a platform for marketing of their produce. Efforts have also been made towards entrepreneurship development. Project beneficiaries are now taking up various food-processing and milk-processing related activities having proper marketing tie-up.

BRIEFING NOTES FOR DISTRICT PROJECT MANAGER

A common complaint was that the farmers sold their gypsum to contractors, brick kiln owners and construction agents. This was a deep rooted nexus.

It is interesting to note that gypsum can be used as a fertilizer, is the main constituent in many form of plaster and is widely mined. In fact, it is useful in a wide variety of purposes, including the following applications which often compete with each other in rural areas:

- Gypsum Board is primarily used as a finish for walls and ceilings, and is known in construction as drywall or plasterboard
- Gypsum Blocks are used like cement blocks in building construction
- Gypsum Mortar is an ancient mortar used in building construction
- Gypsum is used as fertilizer and soil conditioner

Diversion of gypsum supplied for land reclamation for other purposes amounted to leakage, pilferage and corruption, apart from negating the desired outcome of reclaimed land. As a result, during mid-term review of Phase-II of the Project, the World Bank had rated it as 'unsatisfactory' in 2005.

This issue was discussed with agricultural scientists and underlined the fact that gypsum could be used in the fields and leaching could be done only before the onset of monsoon. It was concluded that any gypsum supplied after that was useless for the farmer and would certainly be sold by him. The cycle had become such that gypsum supply from Rajasthan continued throughout the year.

In this complex situation, a very simple solution, took a very simple decision (though it was viewed by most as a diktat) that no rake of gypsum will enter the State after 30th June, i.e. a fortnight before the arrival of monsoon. This simple step, coupled with raising awareness amongst beneficiaries, did the trick. The change implied less supply of gypsum and consequently, less reclaimed area (theoretically, on paper) in that year. But the strategy prevailed in the succeeding years; more area was reclaimed than targeted in Phase-II, in fact 20% additional area was reclaimed (of course, this was possible due to many other factors also leading to cost saving). This was a pragmatic, though radical innovation that delivered more sustainable results in the long term. The World Bank rated the Project as 'satisfactory' in 2007.

Rivers and streams had become silted by the runoff caused by heavy rains. As they filled with soil, their capacity decreased, thereby reducing their capacity to drain, consequently increasing sodality, apart

from causing floods. Thousands of kilometers of drainage network required rehabilitation, remodeling and maintenance with the objective of removing leach effluents, excess rain and irrigation water from rehabilitation, remodeling and maintenance with the objective of removing leach effluents, excess rain and irrigation water from reclaimed and adjoining areas. This was expected to result in increased drainage capacity, relieving the area from water logging.

In general, the silt is fertile in nature and farmers would love to have the desilted material into their fields. But this aspect was, so far, unnoticed, inconsequential and unimportant. The local farmers' attention to this alluvial soil, 'real gold', and made them natural partners in the desilting process by announcing that the silt removed from the river bed would be distributed to the farmers (according to a formula arrived at after wider consultations). This simple announcement made them stakeholders in the process.

Meetings were held with various interest groups – beneficiaries, implementing agency, NGOs, village leaders, people's representatives and other identified groups.

Each farmer became aware of the advantage and wanted to have the maximum possible silt for himself. They became an interested group having local influence and hence able to influence and persuade the contractor (another local man) to do his job well, removing all the desired silt from the bed.

Desilting needs to be done by skilled labour under supervision of technical persons.

The Impact

There was no need of a strict outside supervision (equally powerful and influential) locals were keeping a vigilant eye on the operations. The job was completed so well that the World Bank officials got it videographed; the Chief Minister personally appreciated the work that the 67 villages would no remain flood-free for next 10 years, in addition to the problem of sodicity being tackled.

Project Impacts

The impacts of the project are multifold -

- The Project has helped improve the well-being of more than 3,69,000 poor families in 3,591 villages of 22 districts.
- More than 1,89,715 hectares of unproductive land has been reclaimed for agriculture, of which over 1,27,000 hectares is being cultivated for the first time.
- Annual household income has gone up by more than 50 Percent
- Cropping intensity has risen from 49 percent to over 200 Percent
- Land prices have increased more than three times.
- Local employment has increased five-fold and migration has decreased by 10%.
- 7938 WSHG and 4769 MSHG have been formed and many linked to bank for micro enterprises.
- The Project has helped set up 350 small market points called *sodic-baats* and has helped link 1415 sodic villages to the formal agriculture marketing system.

PROJECT

P 1.1 Project Time Table

INDIVIDUAL PROJECT TIMETABLE

1. The '*individual project*' is embedded within the six-day duration of the TNA Course including DLM.

The project work includes the following three main features.

- ▶ **PERFORMANCE PROBLEM ANALYSIS**
- ▶ **IDENTIFICATION OF TRAINING NEEDS**
- ▶ **DESIGN BRIEF**

2. The '*Performance Problem Analysis*' parameters related information is located in participant's Department/Organization. Since the participant is serving the Department/Organization, it is expected that she/he will bring the required information with them to bring realism in the project. This information can be incorporated under the required parameters on Day-1 and Day-2 during 'own-time work'.
3. '*Identification of Training Needs*' and 'Design Brief' parameters are also carried out during the Workshop through the Case Study and real-life TNA in client Department/Organization. These can be carried out on Day-3 and Day-4 during 'own-time work'.
4. The complete project will be handed over to the Tutors on Day-5 for assessment under '*Project Assessment Parameters*'. The Tutors will complete assessment of the Project on Day-6. On Day-5 and Day-6, the Tutors will be generally supervising and can find time for assessment.
5. The certification process will be completed by the end of Workshop.

P 1.2 Guidelines for Project Assessment

INTRODUCTION

To complete the TNA Consultancy Skills Course, and to obtain certification, you are required to carry out a project. You will also have agreed on a suitable client and particular area for analysis.

The project will be assessed on the criteria included on the Project Assessment Form.

PROJECT ASSESSMENT CRITERIA GUIDELINES

PROJECT TITLE

This can be used by your client, stakeholders and the assessor

DETAILS OF CONSULTANT

This is **general information about you and your role in the organisation where you work**. It is important to identify the person in the client organisation who will act as your client.

DETAILS OF CLIENT ORGANISATION

You could either work for the client organisation, or be familiar with it. Alternatively, perhaps if you work at a Training Institute, you are becoming involved with the organisation for the first time. It's **important to record brief details of the client** to establish the context within which you are carrying out your TNA consultancy.

USE AND CHOICE OF TOOLS

Although the TNA Resource Kit contains a variety of tools for you to use, only a **selection of tools** is likely to be needed for a particular consultancy. Each tool has the potential to help you carry out a consultancy. However, the following points should be noted:

- Use only those tools that make a significant contribution to a particular Phase of the consultancy.
- It's better to restrict the number of tools, and to make thorough use of them, rather than have more tools poorly used.
- For the benefit of assessment, it's useful to briefly explain your choice of tools in each respective Phase of your consultancy.
- When selecting tools, bear in mind the time available for your project also the depth of analysis likely to be needed to identify training needs.

Phase 1 'Entry and Contracting'

1.1 **Terms of Reference.** This is an essential tool for most TNA consultancies as it defines the

purpose and provides authority - both of which may be needed to carry out an effective consultancy.

- 1.2 **Surveillance.** The use of this tool depends on your knowledge of the client organisation, before discussing ToR with your client.

Phase 2 'Data Collection'

- 2.1 **SWOT.** This tool is somewhat similar to Surveillance, except that it is likely to be more specific, and done with stakeholders.
- 2.2 **SPIO.** Provides overall opinions about aspects of organisational performance - from key people, such as stakeholders and beneficiaries.
- 2.3 **Environmental, Motivational & Behavioural.** Bear in mind that your consultancy is primarily concerned with identifying training needs. This tool is useful in that it separates performance problems into training and non-training needs.
- 2.4 **Responsibility Mapping.** Use this tool to establish relationships between 'actors' and 'actions' to trace authority and responsibilities.

Phase 3 'Analysis and Diagnosis'

- 3.1 **Functional Analysis.** Defines the 'key purpose' within your client organisation and identifies supporting competences to achieve it.
- 3.2 **Cause and Effect Analysis.** Examines in detail a specific performance problem to establish causes and likely training needs.
- 3.3 **Versatility Chart.** Provides an overview of a working group, in terms of the tasks being performed, competences and areas for training and development.
- 3.4 **Job Descriptions.** These may exist - or need revising or preparing - to describe what a jobholder is expected to do, and their relationship with other members of staff, customers and beneficiaries.
- 3.5 **De Bono.** Helps to analyse situations/issues/information objectively from different perspectives.

Phase 4 'Feedback'

- 4.1 **Performance Report.** Summarises TNA findings for discussion with your client and stakeholder.
- 4.2 **Priority List.** Assists the client in deciding priorities and the relative importance of your recommendations.

Phase 5 'Withdrawal'

- 5.1 **Target Setting.** Facilitates implementation of recommendations by defining action required, related to a timescale.
- 5.2 **Training Plan.** Provides an overall view of the training and development needs of people connected to the ToR
- 5.3 **Design Brief.** As the TNA consultant you may be required to use this tool to provide a specification or brief for training design.

- 5.4 **TNA Report.** The culmination of a TNA consultancy is to submit a report of your findings and recommendations. This will be the basis for a variety of training, development and non-training initiatives. It also forms the main evidence for your consultancy certification.

OUTCOMES OF CONSULTANCY

A TNA consultancy is a process carried out on behalf of a client organisation, with the purpose of helping it to improve performance. You will present your findings and recommendations to the client, also to stakeholders and possibly beneficiaries. They are the people closely involved in actions needed to improve performance, which are likely to include training, development and non-training initiatives. Therefore, **a key factor in a successful consultancy, and in assessing your competence, is the reaction of these people to your analysis and proposals.**

Where possible, a **representative assessor** will attend your presentation to observe the process of presenting your report. The record of this will be evidence you can include in your submission. Also, it is helpful to ask your client and some **stakeholders to give their written reactions** to your presentation. This, too, can be included in your submission.

Presentation of Findings and Recommendations

Include in the report

- Information about how your client, stakeholders, and possibly beneficiaries, reacted to both your findings and recommendations. These should have been discussed during the Feedback phase of the consultancy, the intention should be more to confirm their acceptance rather than confrontation.
- Evidence from those present of how you planned and implemented the process of your presentation.
- Information on how your client reacted - which may not always be favourable, especially when you are dealing with a contentious performance problem.

Performance Problems Identified

The range of your TNA consultancy may have been

- A **Horizontal analysis** across the organisation
- **Vertical analysis** to examine a particular organisational function
- Analysis of the work of a Department or Unit within the organisation

These are all legitimate starting points for a consultancy that should be defined by the **Terms of Reference** agreed with your client.

Training Intervention Proposals

A key feature of a TNA consultancy must be the training and development needs identified, in relation to actual performance problems. This should apply across the whole range of the client organisation, irrespective of status. Some needs identified could be specific to individual members of staff, or to certain cadres. These needs may involve on or off-job skills training, or opportunities for professional development.

Non-Training Implications

Always, to a greater or lesser extent, **performance problems involve factors other than simply the need for training.** Therefore,

- The consultancy report should include identified Training needs as well as other identifying training needs, other non-training implications
- You are not expected to make detailed recommendations in areas where you may lack the necessary expertise, it is essential to record these non-training factors.
- Alongside the training proposals, training proposals include environmental and motivational factors, where concurrent action is needed.

Report

TNA Tool 5.4-TNA Report gives a general guidance about preparing a report, and you may have to take into account requirements of your client organisation.

In your report describe

- How you established the range for your consultancy
- The problems you identified through your analysis and the relevance of these to your client, stakeholders and possibly beneficiaries

For purposes of assessment, we expect to see

- Evidence of a structure to your report
- The content gives sufficient detail of all five Phases of the consultancy process and is relevant to the client organisation
- A report which is unique to the situation
- Your submission for certification should includes additional information to explain how you carried out your consultancy project, perhaps including details of problems you encountered
- The language you use for the report, and perhaps your submission, depends on Government policy, the client organisation and personal preference. Please clarify this with your tutor

RATING OF PROJECT

The **Project Assessment Form** shows marks being allocated to each item of the listed criteria. The evidence in your project submission should take into account this criteria and the marks available.

Your assessor will use the criteria listed in the 'Project Assessment Form' to assess your submission. This will result in one of two possible conclusions:

'Pass' You have submitted sufficient evidence, against the stated criteria, to confirm your competence as a TNA Consultant. You will therefore be awarded a certificate endorsed by the Department of Personnel and Training.

'Referred' When your submission has been 'referred', it means that you haven't provided sufficient

evidence, against the stated criteria to confirm your competence. Your assessor will contact you to advise on additional evidence required. Once this has been done, you can re-submit your project.

On the Project Assessment Form you will see that a total of 100 marks are available. As a general guideline, you will be expected to obtain a score in excess of 70 marks to confirm your competence.

Tutor Feedback

Either your tutor or the assessor will give you feedback on your TNA Consultancy Project. If you have been

- PASSED as competent, feedback will concentrate on giving you advice on further development
- REFERRED: The advice will focus on additional evidence you need to submit to achieve competence

The feedback is intended help you continue to develop the skills and understanding needed to be a successful TNA Consultant.

Wherever necessary, the tutor will be critical so that development and success can be ensured - for example, commenting on the choice of tools you've used, or advice on areas in the client organisation where further analysis is needed.

P 1.3 Project Assessment Form

IDENTIFICATION OF TRAINING NEEDS

Submitted By : _____

Project Title : _____

Organization : _____

PERFORMANCE PROBLEM ANALYSIS		
	Rating	
Present Scenario /Context	5	
Definition /Description of Area	5	
Classification /Categorization(organizational and /or Job, and /or task levels	5	
Job /Task Description	5	
Data Collection and Evidence	5	
Data Analysis (Segregation of Symptoms / Causes) and Observations	5	
Sub Total	30	
IDENTIFICATAION OF TRAINING NEEDS		
Training Interventions and Non-Training Implications	10	
Knowledge, Skill, Attitudinal Deficiencies	10	
Training Strategy Proposed	10	
Sub Total	30	
DESIGN BRIEF		
Aim of training	5	
Constraints	5	
Benefits to individuals/organization	5	
Outcomes	5	
Target group/s	5	
Target population	5	
Sub Total	30	
Cohesiveness /Integration of parameters	10	

OVERALL ASSESSMENT		
Performance Problem Analysis	30	
Identification of Training Needs	30	
Design Brief	30	
Cohesiveness	10	
Total	100	
RATING OF THE PROJECT		
Satisfactory		
Referred		
Master Trainer/Recognized Trainer		

COMMENTS/SUGGESTIONS

P 1.4 Project Report Template

TRAINING NEED ANALYSIS

PROJECT REPORT

CLIENT:

Submitted by:

Facilitated by:

TABLE OF CONTENTS		
Chapters	Topic	Page No.
	Abbreviations	
	Summary of Recommendation	
	Acknowledgement	
	Offer Letter	
	Terms of References	
Chapter 1 :	Introduction	
1.1	Present Scenario	
1.2	Organisational Structure	
Chapter 2 :	Methodology (Scope of the Case Study)	
Chapter 3 :	Observations / Findings	
3.1	Observations & Findings at client organization	
3.2	Tool for Phase 2 (eg: SWOT Analysis)	
3.3	Performance Problems	
3.4	EMB Factors	
Chapter 4 :	Cause and Effect Analysis	
Chapter 5 :	Feedback	
5.1	Performance Report	
5.2	Priority List	
Chapter 6 :	Recommendations	
6.1	Training Interventions	
6.2	Non Training Implications	
Chapter 7 :	Withdrawal	
7.1	Target Setting	
7.2	Training Plan	
Chapter 8 :	Conclusion	
	List of Figures-	
	Figure-1: Organisational Structure	
	Figure-2: Methodology adopted for TNA study	
	Figure-3: Performance Gap Analysis	
	List of Tables-	
	Table-1 : Description of Methodology	
	Table-2 : List of Observations & Findings	
	Appendices- (Should include all tools used)	
	Appendix-I : SWOT Analysis	
	Appendix-II : EMB Factors	
	Appendix-III : Cause and Effect Analysis	
	Appendix-IV : Performance Report	
	Appendix-V : Priority List	
	Appendix-VI : Target Setting	
	Appendix-VII: Training Plan	
	Appendix-VIII: Design Brief	

P 1.5 Interviewing/Questioning Parameters

INFORMATION ABOUT THE DEPARTMENT/ORGANIZATION

1. Name
2. Official address
3. Key-purpose
4. Significant Performance Problems
5. Areas of priority, which having training intervention
6. Department-related Documents/Publications:

Training Policy	:	Y/N
Programme of Action	:	Y/N
Departmental Manuals	:	Y/N
Functional Manuals	:	Y/N
Training Manuals	:	Y/N

If yes, a copy
7. Existing training infrastructure, capacity and resources

INFORMATION FROM OFFICIALS

1. Name
2. Designation
3. Significant duties/responsibilities
4. Significant work-related problems 'on priority basis' which are frequently faced
5. For which problems training can be imparted
6. Any technique/technology, not in use but if used, can improve performance
7. Any performance indicators or standards
8. Performance standards

Quality
Quantity
Speed
Accuracy

Time

8a. List performance standards for significant tasks

8b. Suggest performance standard for significant job

S. No.	Duties/ Responsibilities	Performance Indicators Y/N	If yes, write, if no suggest
_____	_____	_____	_____

9. Indicate immediate steps required to improve services of the Department

10. Indicate challenges foreseen in work in near future

11. Details of work-related training already received

12. Work-related complaints beneficiaries often make

13. Ways by which work efficiency and effectiveness can be improve

14. Any re-designing of work needed to save time, cost and effort

15. Are you satisfied with your?, If not, what are the reasons of dissatisfaction?

16. Does your superior need training, if so, in which areas?

INFORMATION FROM IMMEDIATE SUPERIORS

1. Indicate significant work-related performance problems faced by subordinates

S.No.	Post	Duties/Responsibilities	Work-related problems
_____	_____	_____	_____

2. Significant training needs of subordinates

S.No.	Post	Training needs
_____	_____	_____

3. Department-related work-norms prepared

4. Training needs of subordinates with subject/area

5. Priority

6. Work-related complaints frequently received about subordinates

7. Suggestions to remove these complaints

8. Work-related important expectations from subordinates

INFORMATION FROM IMMEDIATE SUBORDINATES

1. Problems faced working with superiors
2. Does superior need training, if yes, in which area
3. Work-related expectations from immediate supervisor

INFORMATION FROM PEERS

1. Nature of problems faced while working with colleagues
2. Significant challenges jointly foresee in work
3. Training need of colleagues with subject/area

Post

Training subject/area

-
4. Work-related expectations from colleagues

INFORMATION FROM STAKEHOLDERS/BENEFICIARIES

1. Benefits/services received from the Department/Organization
2. Problems generally faced from Department/Organization
3. Significant causes of dissatisfaction from Department/Organization
4. Significant improvements expected for services provided by Department/Organization
5. On which subjects/areas training should be imparted
6. Significant expectations from Department/Organization
7. Significant expectations from officials

PERFORMANCE PROBLEMS

PP 1 Performance Problem 1

AFTER READING THE HANDOUT, YOU WILL BE ABLE TO:

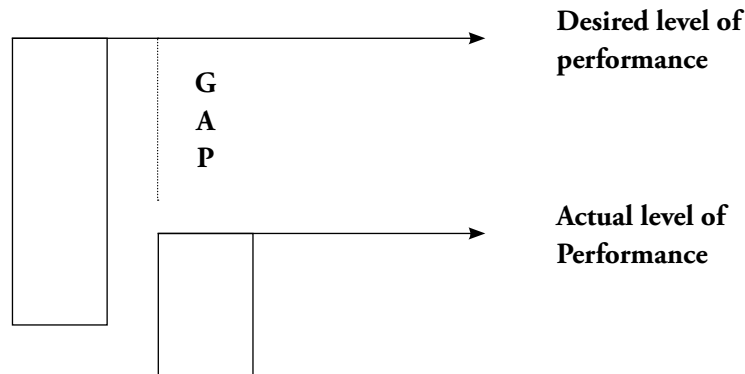
- (a) Explain the role of training in the context of organizational performance
 - (b) Explain what is a performance problem
 - (c) List the various steps involved in Training Needs Analysis
 - (d) List the factors which contribute to performance
 - (e) Distinguish between Training Needs and Non-Training interventions
 - (f) Describe the link between training Design Brief and Performance Problem
1. We are aware that the purpose of training is to enhance performance in the organizations. The definition of training with which we are already familiar states that:

“Training is a planned process to modify attitude, knowledge or skill behaviour through learning experience to achieve effective performance in an activity or range of activities.”
 2. So, the purpose of training is to achieve effective Performance. This is certainly required where the present level of performance is ineffective. Alternatively, even when the present level of performance is up to the mark, organizations may like to improve performance. Training comes as a solution under both the above mentioned circumstances. Please note Training comes as a solution; not the solution. This aspect will become clear when we proceed further.
 3. When it is proposed to solve an existing problem (of inadequate performance) through training, it is known as reactive route to training. When training is thought of as a means of enhancing the presently acceptable level of performance, it is known as pro-active route to training. In this handout we will be dealing with the first mentioned situation i.e. training as a way of solving Performance Problem.
 4. Performance is the major factor, often the only factor, determining the success or otherwise of the organizations. Human beings in the organization perform; various wings of the organization perform; the organization as such performs. Whenever the performance is below the prescribed level, there is a performance problem. A performance problem may be defined as the difference between what is and what ought to be. Mathematically we may put.

Performance Problem	=	What should be-what is
	=	standard –actual

5. Some of the situations we come across in the organisations
 - The company should have achieved a profit of 50 lakhs; but the actual profit is only 47 lakhs
 - Establishment wing should have completed the recruitment of new clerks before June; but actually it completed the process only in September.
 - Disciplinary proceedings must be completed within six months; there are seven cases pending for more than one year.

- The typist should be able to type at the speed of 40 words per minute; we have five typists who cannot type at more than 30 words per minutes.
6. The above concept can be graphically represented as under:



7. The solution of the above mentioned Performance Problems and other similar Performance Problems is possible only when the problem is identified and analysed because,

“IF YOU WISH TO UNTIE A KNOT,
YOU MUST FIRST UNDERSTAND HOW IT WAS TIED”

Narad in Surangam Sutra

8. You are aware that the first stage of SAT cycle is Training Needs Analysis. This stage in itself has three components. You may mathematically state:

$$TNA = IPP + APP + ITN$$

Where

TNA-Training Needs Analysis

IPP-Identification of Performance Problem

APP-Analysis of Performance Problem

ITN-Identification of Training Needs

9. The first stage in TNA i.e the identification of Performance Problem requires knowledge about two things viz. what is the prescribed standard performance and what is the actual performance. Actual performance may be measured through direct observation, inspection, financial statements, Annual Reports, etc. You may also prescribe reports for monitoring the actual performance. In fact, most of the control reports are prescribed by the management for assessing the performance of individuals as well as various wings of the organisation. Assessing the Standard or prescribed performance possess a problem. There may be charters of duty wherein the expected output of various categories of employees may be laid down. But there are many organizations where there is no prescribed level of performance. The following process will help in fixing the standard performance:

- Comparison with similarly placed organizations
 - Comparison with one's own past performance
 - Benchmarking
 - Comparison with Industry standards
 - Work study
10. Once the Performance Problem is identified, it is required to be analysed. At this stage the following factors become significant:
- Level of the problem
 - Dimension of the problem
 - Symptom/Cause Analysis
 - Identification of the Learning Needs
11. While going through the list of Performance Problem in Para 5 above, you might have noticed that the levels of the performance problems are different. The first problem (low profit) is at the organizational level i.e. it affects the entire organisation. Besides it seems that the entire organisation is responsible for the problem. The second problem (delay in recruitment) is at the level of a wing of an organisation, viz. The establishment wing. The third problem (delay in finalization of disciplinary cases) is probably at the level of the persons conducting the inquiry. The fourth problem (poor typing speed) is at the level of the Task. The Performance Problems may exist at any of following four levels
- Organisational level
 - Departmental level
 - Job level
 - Task level
12. During analysis of the Performance Problem you may be able to focus the problem from higher to lower levels .e.g. the first problem states that the profit in the organisation is less than the desired quantum. On further examination of the problem you may be able to attribute this to one or two problems at the departmental level. The above problem may be on account of:
- Failure of the materials division of the organisation –they may be procuring the raw material at a higher cost
 - Failure of the maintenance division- they may be failing in their duty with the result that there is higher cost of maintenance or the machine down time is going up.
 - Failure of the personnel wing- there may be poor Industrial Relations which affects performance.
13. Further analysis of the problem may reduce the level of the problem to still lower levels. The analyst should be able to reduce the level of the problem as low as possible so that the real cause of the problem could be identified.
14. Performance is achieved through a number of factors. Accordingly, a performance problem may also have a number of dimensions. Normally a performance problem may have one or more of the following dimensions:

- **Environmental dimension:** Environment is a factor of production. People need proper working place, equipment, etc. for effective performance. When non-performance or poor performance is attributable to the following factors, performance problems are said to have environmental dimension:
 - People lack tools necessary for performance
 - Rules do not permit them to do what they are required to do
 - Procedures prevent them from performing
 - Resources necessary for performance are not available
 - People do not know what is expected of them.
- **Motivational Dimension:** Over and above the resources such as equipment, funds, etc, people require motivation to perform. There may be situation where poor performance is attributable to lack of motivation. Some of the situations when performance problem is attributable to lack of motivation may be as under:
 - Performance is punishing (by assignment of additional work)
 - Non-Performance is not punishing (When there is no performance appraisal system in the organisation, non-performance may not be detected at all and they may get off with their poor performance)
 - Performance is risky (a performer may commit mistakes and may be required to answer a number of inconvenient and embarrassing questions whereas a non-performer has neither done any thing right nor wrong)
 - Non-Performance is rewarded (erratic application of the reward and punishment system in the organisation may lead to non-performers being rewarded)
- **Behavioural dimension:** Lack of performance may be attributable to lack of knowledge and skill of the persons responsible for performance. It may be due to variety of circumstances such as:
 - The complexity of the task to be performed
 - Individuals concerned may be new to the organisation
 - The individuals may be new to the particular assignment
 - The assignment is occasional in nature that one could not acquire mastery over the performance of the task and maintain it

15. As seen above, the problems may have multiple dimensions. The solutions to the performance problem depend upon its dimensions. If frequent power cut is responsible for the Performance Problem, the solution might be to install a generator or construct a transformer. There may be a situation where some one is not able to perform because the assignment is new and complex, Training may be thought of as a solution. There may be also be a situation where the problem is attributed to the old technology followed by the organisation. The solution may be to introduce modern technology. This will give rise to another requirement i.e. training the employees in the new technology. Thus, a performance problem may have a purely Non-training solution; or a training solution or a combination of both. In fact the National Training Policy states that Training must be preceded, accompanied and followed by suitable non-training interventions. You may appreciate that if training is to contribute for organizational growth, there must be active

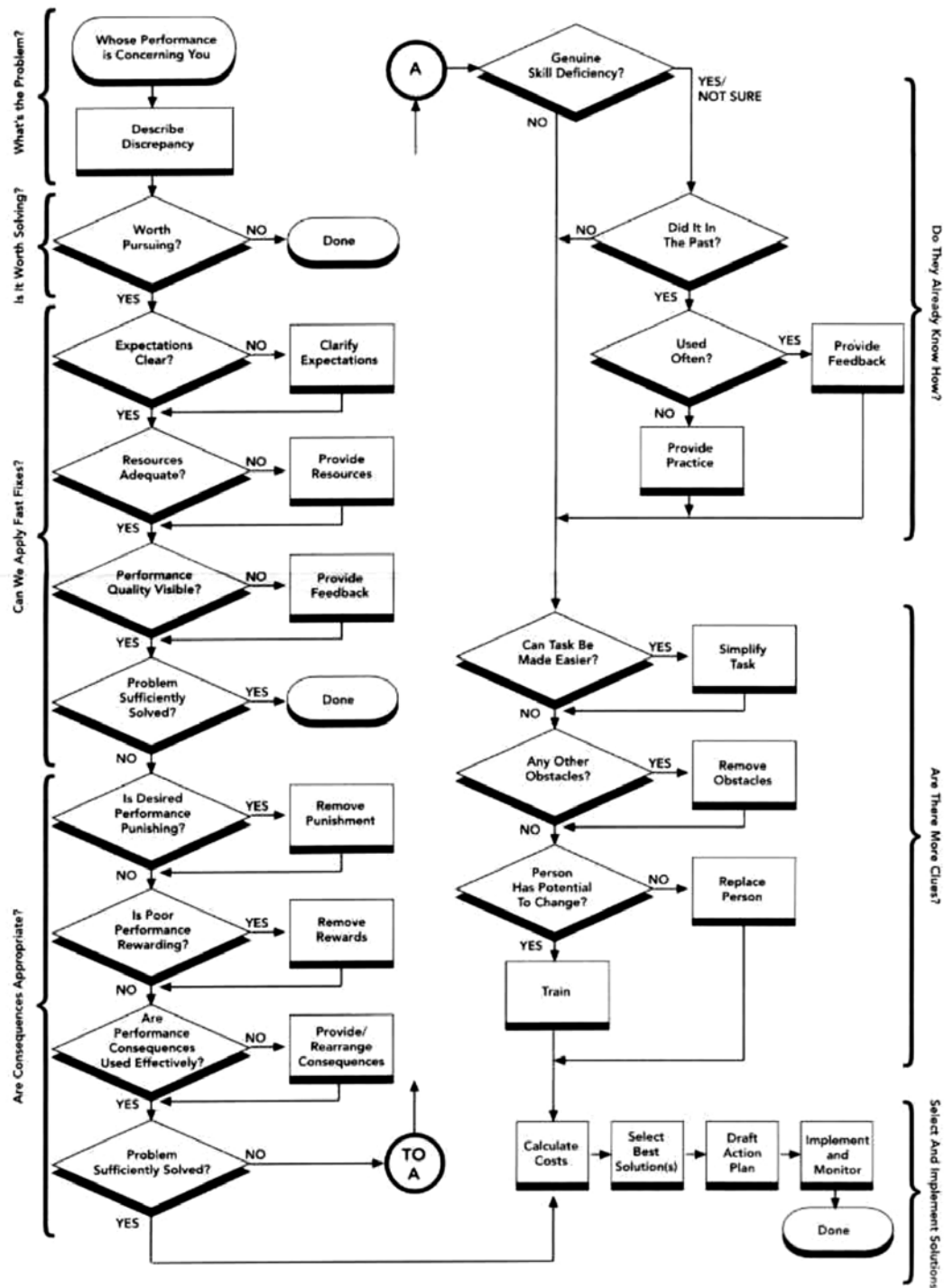
and effective integration between training and non-training interventions.

16. By now you might have guessed that Training can be a solution to a Performance Problem only when the problem has a behavioural dimension-either independently or along with the other dimensions. This is another point to be taken note of by the trainers. Trainers in their over enthusiasm should not suggest training as a cure-all for all the maladies in the organizations. Training can be a solution only to some of the problems of the organisation and that too along with some other solutions.
17. In fact the solutions to the problem is possible only when the cause of the problem is known. Very often, there might be confusion between a problem its symptom and cause. Suppose there is always a big crowd in a particular branch of a Bank. Is it a problem or a symptom of a problem? Well, it may be neither. It may be a symptom of the efficiency of the branch. A symptom is what meets the eye – the factor that prompts you to examine the issue further. Suppose you wish to examine the symptom of big crowd in the branch of the Bank. Is it a problem or a symptom of big crowd in the branch of the Bank. The problem may be that the time taken for clearing cheques is long. To put it in the form of the equation we saw in para 4 above,” whereas a cheque ought to be cleared in 10 minutes, it is being cleared in 20 minutes”. This problem may be due to any one of the following causes:
 - The ledgers required for making entries may not be handy
 - The office layout and the seating pattern of the employees may pose a hindrance to free movement
 - The person responsible for processing the cheque may be inefficient and hence slow
 - The computers used for the purpose may be slow and may need upgradation.
18. The solution to the problem depends upon the causes of the problem. One cause may give rise to a number of problems and a problem may have more than one cause. It is also necessary to note that there may be a cause behind a cause behind a cause. It is possible that that there is delay in processing cases in an office because the old records are not easily available because the Record room is not being maintained properly. The Record room is not being maintained properly because, it was constructed for holding 5000 records but presently there are 15000 records therein. The number of records in the Record room is disproportionate to its capacity because.....and it goes on. This way you should keep on asking why? How? Why? How? repeatedly till you reach the root cause. This will guide you to possible solutions.
19. The solutions, which emerge as a result of the analysis of the analysis of the Performance Problem, will contain several non-training interventions. There may be some solutions relating to the up gradation of the knowledge and skills of the employees. There are known as Learning Needs. There are several structured and unstructured informal ways of fulfilling these Learning Needs. Some of them may be as under:
 - The employee whose knowledge and skills are to be enhanced, may be posted as an understudy to an experienced worker.
 - Job Aids in the form of Tip Sheets, Task Guidance chart, etc. may be provided for reference when required.
 - Information required for enhancement of performance may be provided to the employees in the form of brochures, circulars, manuals, etc.

- Mentoring assistance may be provided to the needy.
 - Allowing more time for practice.
20. There may also be situations where such informal solutions may not work. The reasons may be:
- The skill to be acquired may be complex and call for regular, formal efforts to impart them.
 - Informal methods may be costly – you cannot afford to put one experienced senior behind every new recruit. This will affect the productivity of the seniors
 - It may be time consuming
 - It may be risky – you may not like to train fire service personnel to learn things through self-practice.
21. The Learning needs which could not be fulfilled through the informal arrangements are known as Training Needs. Again there is no unique way for fulfilling these training Needs. There may be some organizations, which are already conducting training courses, which address the Training Needs Identified by you. You may send your employees to such courses. Alternatively, you may have to arrange for a training course, which specifically addresses the Training Needs identified by you. Under such a circumstance, you may have to go in for designing a training course.
22. Normally TNA is carried out as a team activity. The team may include representatives of the organization, employees and training professionals. After identification of the Training Needs, the mantle will fall on the training professionals. Once a decision has been taken to go for designing a tailor-made training course, a Design Brief is prepared. This is the first understanding between the trainers and the organization for which the training is proposed. The Design Brief, which is the end product of the TNA, will contain broad specification of the proposed and will contain the following:
- Context within which the training is proposed
 - Performance Problem which has led to the Training Solution.
 - Client Organisation
 - Training Needs
 - Aim of the Proposed training
 - Target Population
 - Constraints in organising/conducting the proposed training
 - Benefits which will emerge out of the proposed training-benefits to the organisation, the trainees and the society, etc.
23. After the Design Brief is agreed between the organisation and the training professionals, detailed design activity commences. You will be holding detailed discussion about the design of training during the ensuing Workshop. Hope this write-up will serve as an effective curtain-raiser for the Workshop. Wish you all the best in your Workshop and the individual Design Project which will follow that.

PP 1 Performance Problem 2

Performance Analysis Flow Diagram



SELF ASSESSMENT QUIZ

- I Please state whether the following statements are TRUE or FALSE
1. Training can solve all the Performance Problems of organizations
 2. Performance Problem may exist only with reference to individual employees
 3. A problem, its symptom and cause are the same
 4. Performance problem is the difference between what ought to be and what is.
 5. Standard performance may not always be available in all organizations
- II Arrange the following stages of Training Needs Analysis in the chronological order:
6. Learning Needs
 7. Analysis of the Performance Problem
 8. Design Brief
 9. Identification of Performance Problem
 10. Training Needs
 11. Symptom of a Performance Problem
- III Please indicate the dimension of the following issues, which affect performance
1. You are required to report to five different official superiors on different matters handled by you.
 2. Your request for attending a three days' Training Course in a local Institute has been rejected because there may be some urgent unforeseen work during that period
 3. The newly promoted superintendent is very lenient to the sub-ordinates, which leads to some amount of indiscipline in the organisation.
 4. The production targets could not be met due to high down time of the plant.
 5. The plans for the export of your product could not materialize because of a new legislation.
- IV Indicate the level of the following Performance problems
1. Frequently there are strikes in the factory
 2. The Accountant who should pass a Travelling Allowance bill in 30 minutes takes more than 50 minutes
 3. Materials required in the shop floor do not reach in time.
 4. Indents for purchase of new materials are erratic
 5. Officers get the mail addressed to them nearly a week after they are received in the officer.
- V Mention any four components of the Design Brief
- VI Indicate any two ways in which the learning needs may be met without organizing a formal training course
- VII What are the circumstances when the Learning Need may not be met through informal arrangement.

**Now, can you attempt what we expected you to do after reading the handout?
(please refer to items (a) to (f) on top of the page1)**

MISCELLANEOUS

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Just listen: Discover the secret to getting through to absolute anyone by Mark Goulston

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102 Extra training Games - Gary Kroehner

Over 600 Icebreakers & Games: Jennifer Carter

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TNA/Employee Training Ten Tips for Making it Really Effective.html

TNA/HRD your Global learning partner3.html

TNA/scientific method.html

www.T+D.com

TNA/Conducting Training Needs Analysis.html

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Additional Resources

PRESENTATIONS

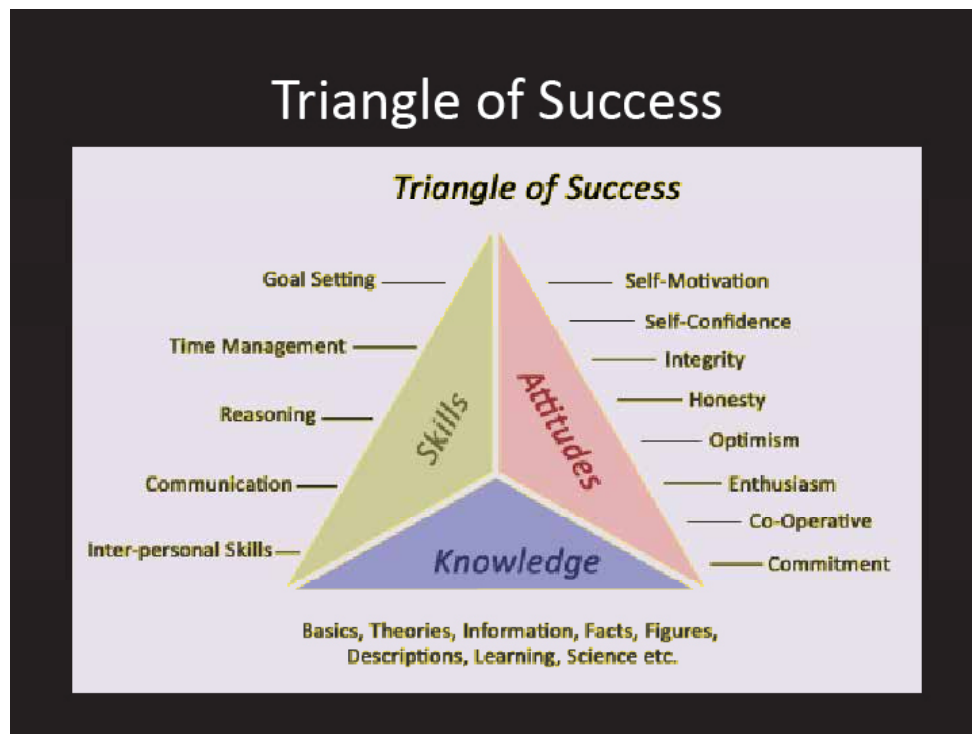
1. Triangle Of Success
2. Time Management
3. Communication Skills
4. What Makes a Good Report

HANDOUTS

5. Communication Quiz
6. Personal SWOT Analysis

REINFORCEMENT QUESTION BANK

1. Triangle of Success



Knowledge:

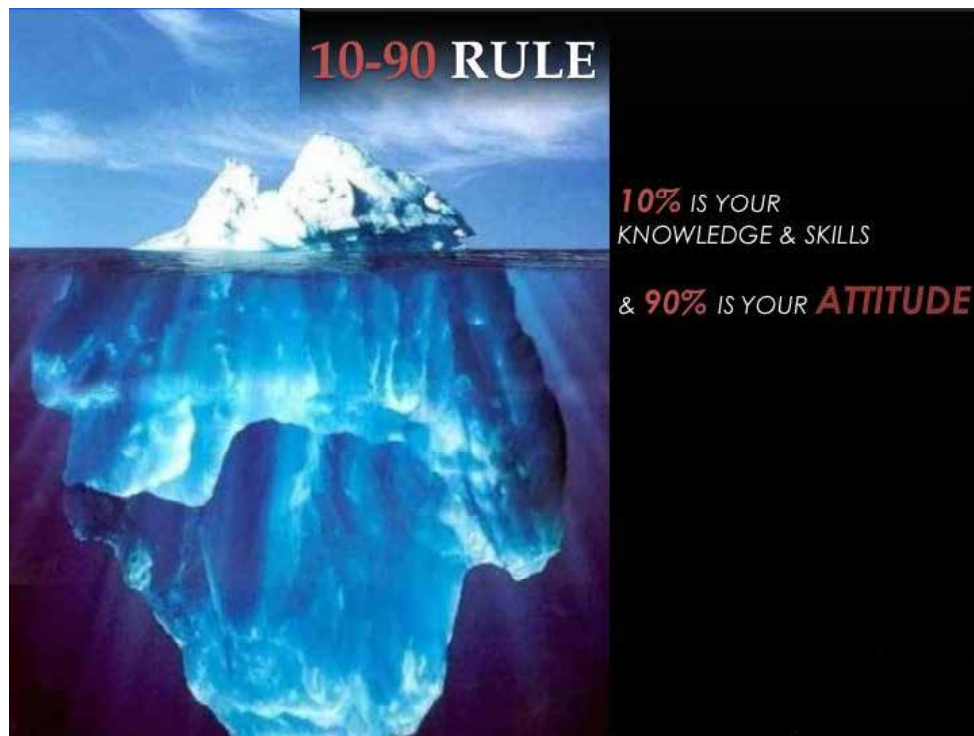
- KNOW WHAT
Knowledge represents the core curriculum
- Understanding of Information
- Outcome of collection and assimilation of information through learning
- Is theretical and or factual
- Is the foundation for success

Skills:

- KNOW HOW
- Ability to perform a task
- Ability to apply knowledge and use know-how to complete tasks and solve problems
- Cognitive and practical and involve use of methods, materials tools and instruments
- Skills help apply knowledge in a practical situation

Attitude:

- KNOW WHY
- Demonstrable behaviour
- Ability to apply knowledge and skills and other abilities to perform with a standard and possibility
- Learning response



2. Time Management



TIME MANAGEMENT, PLANNING, AND PRIORITIZATION

**JUDITH A. SIESS
INFORMATION BRIDGES INTERNATIONAL
4 November 2004
Wisconsin Library Association
Lake Geneva**



The "Three Ps" of Effective Time Management

Developed by Andrew Berner

- 1. Planning.**
- 2. Priorities.**
- 3. Procrastination.**



Ten Myths about Time

1. *Myth:* Time can be managed.
2. *Myth:* The longer or harder you work the more you accomplish.
3. *Myth:* If you want something done right, do it yourself.
4. *Myth:* You aren't supposed to enjoy work.
5. *Myth:* We should take pride in working hard.



Ten Myths about Time

6. *Myth:* You should try to do the most in the least amount of time.
7. *Myth:* Technology will help you do it better, faster.
8. *Myth:* Do one thing at a time.
9. *Myth:* Handle paper only once.
10. *Myth:* Get more done and you'll be happier.



Time Wasters

- Attempting too much.
- Not saying no.
- Incomplete information.
- Management by crisis, fire fighting.
- Interruptions.



Making the Best Use of Time

- Decide that you don't *have* to please everyone.
- Let go—don't be a perfectionist.
- Resist the temptation to do small, insignificant tasks too well.
- Outsource what you can.



Interruptions...

- If no one asked questions we wouldn't have jobs.
- Anticipate the most common questions.
- Try closing your door or arranging your office to discourage drop-ins.
- If all else fails, hide.



Why do we procrastinate?

- Don't know where to start.
- To avoid an unpleasant task.
- We're afraid to fail.
- Waiting for more information.
- You may think if you put it off someone else will do it.
- You're over-committed.



To overcome procrastination:

- SWAP.
- You *do not* work best under pressure.
- List the things you have been avoiding. Prioritize them. Try to do at least one of them each day until you catch up.



Timing

- Knowing when not to work is as important as knowing when to work.
- Save the easiest tasks for the end of the day.



Get The Most Out Of the First Two Hours of the Day

- Don't eat breakfast at work.
- Don't schedule meetings for this time.
- Start with the most important work of the day.
- Do the things you don't want to do first.



"Avoid meetings with time-wasting morons." (Dilbert)

- Make sure it's a working meeting.
- Don't attend unless there is a set agenda.
- Can the problem be solved or decision reached without a meeting?
- Does the meeting have a set ending time?



Filing

- You can do only 4-1/2 things with any piece of information:
 1. T
 2. R
 3. A
 4. F
 - 1/2 r



“Logic-based disposal”

- Does it require action on my part?
- Does it exist elsewhere?
- Is it outdated?
- Will I really use it again?
- Are there tax or legal implications?
- What’s the worst thing that could happen if I don’t have this info?
- Does anyone else need this info?



Other Filing Tips

- Never file envelopes unless the postmark is significant.
- Write a keyword on the item when you read it.
- File according to how you'll use it, not where it came from.
- Judy's first law of filing...



Managing Your To-Read Pile

- You will probably never be able to read everything you would like to read.
- Read with a pen in your hand.
- Scan.
- Share your reading with a friend.
- Keep a reading file.



Managing Your Email

- Check only once a day.
- Filter and triage.
- Don't print out messages.
- Weed.
 - One major exception: addresses.



PLANNING AND PRIORITIZATION



Why aren't we organized?

- It takes too much time.
- You don't know how.
- You want to do it "perfectly."



The price of not being organized?

- Missed deadlines.
- Overlooked opportunities.
- Wasted time.
- Lost customers due to poor or slow service.
- Wasted money.



Using Your Calendar

- Add a meeting as soon as you know about it.
- Write dates for follow-up on calendar.
- Include personal deadlines.
- Have one master calendar.
- If you use an electronic calendar, back it up regularly.



Eliminating things from your to do list

- What's the worst that can happen if don't do this?
- Am I the only person who can do this?
- Must it be done now?
- Is there an easier way to do it?



STRATEGIC PLANNING

"If you don't know where you're going,
any road will get you there?"

"If you don't know where you're going,
how will you know when you get
there?"

Strategic planning solves these problems.



Why Plan?

- It is a valuable management tool. It is also about change management. It strengthens the role of the library in the organization. It can demonstrate the librarian's competence and improves the image and visibility of the library. (St. Clair)



Is Strategic Planning the same as goals, or mission statements, or visions?

Sort of...



A vision is...

- what you want your library to be
- future oriented
- un-achievable
- has a lifetime of 5, 10, or more years
- My vision...
- What's yours?



A mission is...

- what the institution does,
- for whom it does it,
- how it does it, and
- why.
- My mission.
- What's yours?



Then set your goals...

- must be concrete
- must be measurable
- must be in writing
- must be achievable



List your tasks...

- Steps required to achieve the goals.
- Prioritize.
- Set deadlines.
- List resources needed.
- Keep your eye on your goals.



How Do I Plan?

- Beckwith's Three Cornerstones of Planning—Plus 1
 - 1. Predicting the future.
 - 2. Decide what you want your future to look like.
 - 3. Analyze the results.
 - 4. Implement the plan.



1. Predicting the future

- This is hard
- Look at the environment.
- What did last year's strategic plan say?
- What does your boss or organization want?
- What do your users want?



2. Decide what you want your future to look like

- Write your vision statement.
- Share your vision with the participants.
- Then write the mission statement.
- Remember to plan for alternative futures.



3. Analyze the results

- Write the strategic plan to show how you will respond to and flesh out the mission statement.
- Figure out ways to make sure your future comes out the way you want.



4. Implement the plan

- The process is important, maybe as important as the product.
- BUT...
 - the object of a plan is to change something—so it **MUST** be implemented.




PRIORITIZATION

Just because you *can* do something doesn't mean you *should*.




Question Things

- What is the objective?
- How will I know if I'm successful?
- How will I be rewarded?
- Is this task something I want to do?
- Do I have the time to do it?
- What have I got to lose?
- Is there a better way to do it?
- Should it even be done at all?
- Will the world come to an end if?



You Can—and Should, Say “No”

Remember Ann Landers’s words:
People take advantage of you
only with your permission.



Be both efficient and effective

- Efficiency is...
- Effectiveness is...
- Too many businesses spend lots of time making sure they are doing things right and not enough determining if they are doing the right things.



Other Prioritization Tips

- You don't have to do everything everybody tells you to do.
- You don't always have to do everything yourself.
- Yes, you have to please other people. But you also have to please yourself.



Give Yourself Permission to Fail

- Failure is okay, if...
- If you have not failed, it means you have not risked, not challenged yourself.

3. Communication Skills

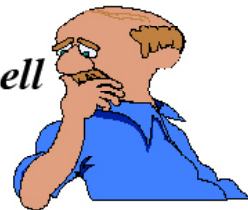
Communication Skills

Communication is a series of
experience of

Hearing



Smell



Seeing



Taste



Touch

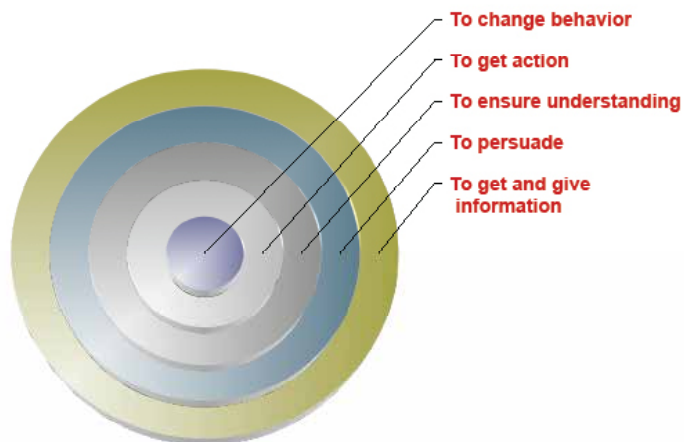


Communication Skills

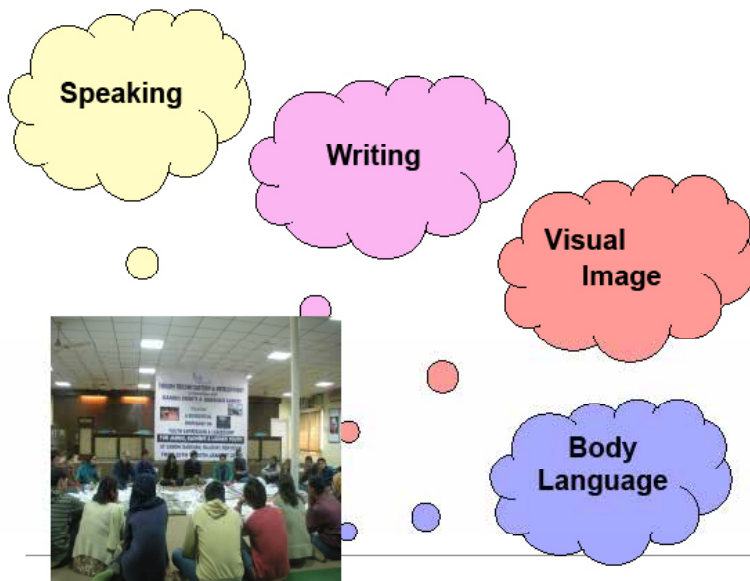
Communication skills is the ability to use language (receptive) and express (expressive) information.

Effective communication skills are a critical element in your career and personal lives.

Communication Goals



Most Common Ways to Communicate



Types of Communication

- **On the basis of organization relationship**
 - Formal
 - Informal
- **On the basis of Flow**
 - Vertical
 - Crosswise/Diagonal
 - Horizontal
- **On the basis of Expression**
 - Oral
 - Written
 - Gesture

Barriers to Communication

- Semantic Barriers
- Emotional Or Psychological Barriers
- Organizational Barriers
- Barriers in Superiors

Semantic Barriers

- Symbols with different meaning
- Badly expressed message
- Faulty translation
- Unclarified assumption
- Specialist' s language

Emotional Or Psychological Barriers

- Premature evolution
 - Inattention
 - Loss of transmission & poor retention
 - Undue reliance on the written word
 - Distrust of communication
 - Failure to communicate
-

Organization Barriers

- Organizational policy
 - Organization rules & regulation
 - Status relation
 - Complexity in organization
-

Personal Barriers

➤ Barriers in Superior

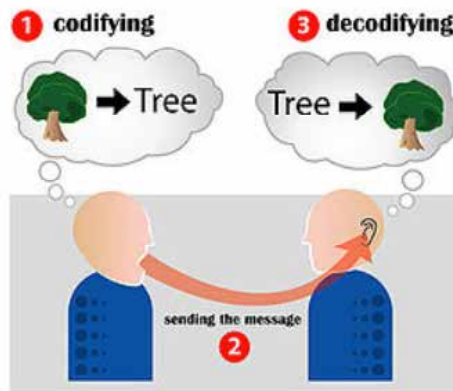
- Attitude of Superior
- Fear of challenge of authority
- Lack of time
- Lack of awareness

➤ Barriers in Subordinates

- Unwillingness to communicate
- Lack of proper incentive

Communication Skills

Communication code scheme



Communication Involves Three Components

- **Verbal Messages** - the words we choose
- **Paraverbal Messages** - how we say the words
- **Nonverbal Messages** - our body language

These Three Components Are Used To

- **Send Clear, Concise Messages**
- **Receive and Correctly Understand Messages Sent to Us**

SENDING MESSAGES

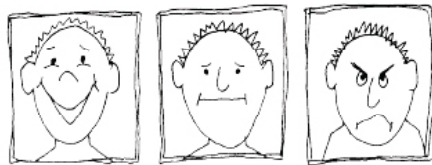
Effective Verbal Messages



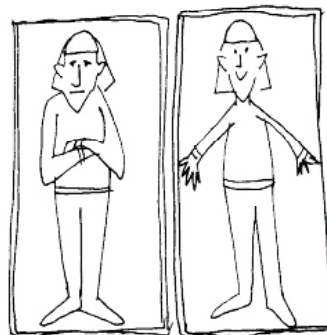
- Are brief, succinct, and organized
- Are free of jargon
- Do not create resistance in the listener

Nonverbal Messages

Nonverbal messages are the primary way that we communicate emotions



Facial Expression



Postures and Gestures

Paraverbal Messages

Paraverbal communication refers to the messages that we transmit through the tone, pitch, and pacing of our voices.

"I didn't **SAY** you were stupid."

"I didn't say **YOU** were stupid."

"I didn't say you were **STUPID**."

RECEIVING MESSAGES

Listening

- *Requires concentration and energy*
- *Involves a psychological connection with the speaker*
- *Includes a desire and willingness to try and see things from another's perspective*
- *Requires that we suspend judgment and evaluation*



Key Listening Skills



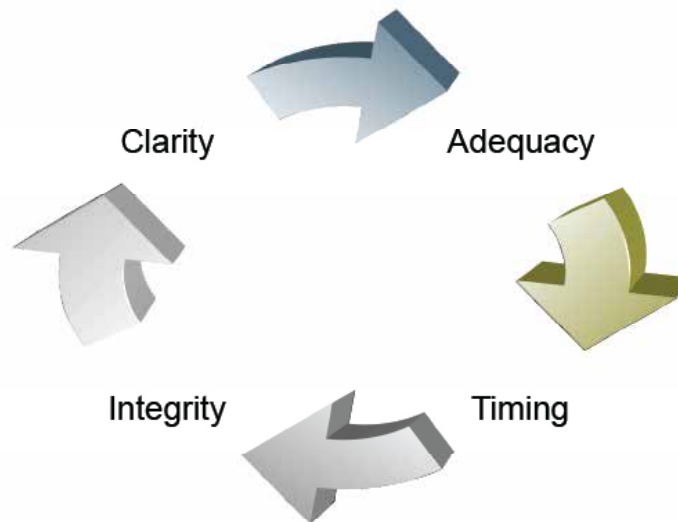
➤ **Nonverbal**

- Giving full physical attention to the speaker;
- Being aware of the speaker's nonverbal messages;

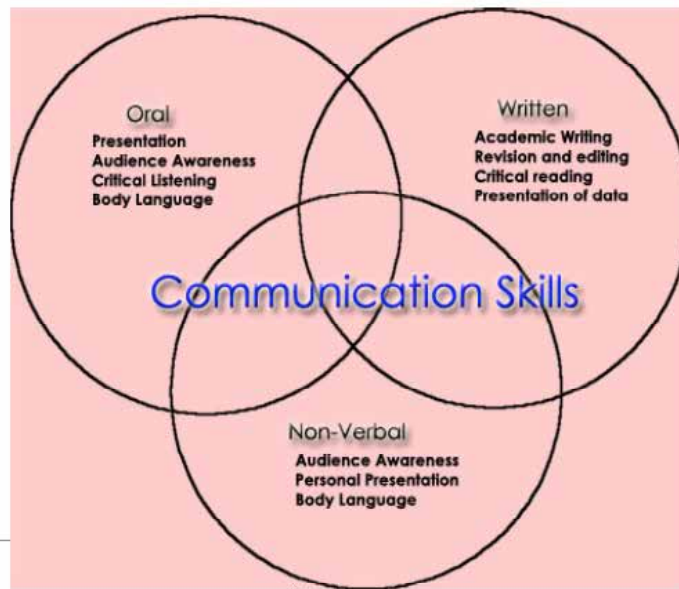
➤ **Verbal**

- Paying attention to the words and feelings that are being expressed

What makes a good communicator?



How do you develop your communication skills?
Explore the related skills



Tips to good communication skills

- Maintain eye contact with the audience
- Body awareness
- Gestures and expressions
- Convey one's thoughts
- Practice effective communication skills

Effective Communication . . .

It is two way.

It involves active listening.

It reflects the accountability of speaker and
listener.

It utilizes feedback.

It is free of stress.

It is clear.

4. What Makes a Good Report

What makes a good Report?

- A report must have a clear logical structure – with clear signposting to show where the ideas are leading.
- The report must make a good first impression. Presentation is very important
- All reports must be written in good language that it is being written in – using short sentences and with correct grammar and spelling

Ref: <http://www.surrey.ac.uk/Skills/pack/report.html>

Where to start?

- Report Structure
 - Before you write you should define the high level structure of the report – ***The Table of Contents***
- Defining a clear logical structure will make a report easier to write and to read.



Report Structure I

- Title Page
- Abstract
- Table of Contents
- Introduction
- Body – Technical Detail & Results
- Discussion & Conclusions
- References
- Appendices



Report Structure II

- Introduction
- Background and Context
- Technical Details
- Results
- Discussion & Conclusion



Order of Writing

- Start with the technical chapters/sections
- Then move onto the discussion
- Finally write the conclusions and introduction and abstract if you are including one



What goes in the Appendix?

- The appendix should **not** contain:
 - Material that is crucial to the flow of the document
 - Unnecessary 'bulking' material
- The appendix should contain:
 - Material the would interfere with the flow of the main document, either because it is too long or not essential reading, e.g. lists of parameter values etc.
 - Bibliography – list of all the sources of material you reference in you document.
 - Acknowledgements



Writing Style

- Your style should be:
 - Readable, Professional, Objective, Logical, Succinct
- Always write in the third person:
 - ‘The experiment was preformed....’ *not*
 - ‘I did this experiment...’
 - ‘A lot amount of data can be found on the WWW...’ *not*
 - ‘I found a lot of data on the WWW...



Spelling & Grammar

- Use the spell checker in Word but don’t assume that it will correct all your typos
- Word will also check your grammar but don’t rely on it
- Read your work aloud, proof read yourself thoroughly



Capitals

- Only use capitals for *proper nouns*
 - Place names, company names etc
- If you are using acronyms define them at the first point of usage:
 - New Product Development (NPD)
- Avoid using capitals for emphasis, use bold, italics or underlines if you must.



Headings

- Differentiate headings from the rest of the text using different fonts, bold, italics or underlines.
- Be consistent in how you format your headings – use predefined styles, modify these to suit your needs
- Don't go beyond 3 levels of headings



Tables, Figures & Equations

- All tables must be labelled descriptively across the top and must be referenced in the text.
- All figures must be labelled descriptively across the top and must be referenced in the text.
- All equations must be numbered consecutively



General Presentation suggestions

- Text must be 12 point and 1.5 spaced
- Sheets should be plain white A4 printed in one side only, in portrait orientation except where necessary for tables and figures
- Text should be justified on both sides, and leave a blank line between paragraphs.



Citations and Referencing

- DO NOT COPY AND PASTE
- An citation is the acknowledgement in your writing of the work of other authors and includes ***paraphrasing*** and ***making direct quotes***.
- Unless you have a very good reason to do otherwise you should paraphrase – that means putting the material into your own words. This shows that you understand what you have read and know how to apply it to your own context
- Always give credit to the source of information and Acknowledge the individual/organization/source of reference
- Check if there are any copyright issues and if you need permissions



Examples of paraphrasing

- According to Montoya-Weiss and Calantone (1994) a wide variety of methodologies and study types have been used
- A study of product development in the Japanese electrical machinery industry (Wakasugi and Koyata 1997) found that
- Traditionally small firms are seen as being flexible and innovative while large firms are expected to have structured processes (Wakasugi and Koyata 1997).
- Much of what is published about structure and organizational issues in small firms focuses on external relations(Rothwell and Dodgson 1991; Hoffman et al. 1997; MacPherson 1997).

5. The Communication Quiz

For each question, circle the number in the column that most applies.

	Statement	Not at all	Rarely	Some times	Often	Very Often
1	I try to anticipate and predict possible causes of confusion, and I deal with them up front.	1	2	3	4	5
2	When I write a memo, email, or other document, I give all of the background information and detail I can to make sure that my message is understood.	5	4	3	2	1
3	If I don't understand something, I tend to keep this to myself and figure it out later.	5	4	3	2	1
4	I'm sometimes surprised to find that people haven't understood what I've said.	5	4	3	2	1
5	I tend to say what I think, without worrying about how the other person perceives it. I assume that we'll be able to work things out later.	5	4	3	2	1
6	When people talk to me, I try to see their perspectives.	1	2	3	4	5
7	I use email to communicate complex issues with people. It's quick and efficient.	5	4	3	2	1
8	When I finish writing a report, memo, or email, I scan it quickly for typos and so forth, and then send it off right away.	5	4	3	2	1
9	When talking to people, I pay attention to their body language.	1	2	3	4	5
10	I use diagrams and charts to help express my ideas.	1	2	3	4	5
11	Before I communicate, I think about what the person needs to know, and how best to convey it.	1	2	3	4	5
12	When someone's talking to me, I think about what I'm going to say next to make sure I get my point across correctly.	5	4	3	2	1
13	Before I send a message, I think about the best way to communicate it (in person, over the phone, in a newsletter, via memo, and so on).	1	2	3	4	5
14	I try to help people understand the underlying concepts behind the point I'm discussing. This reduces misconceptions and increases understanding.	1	2	3	4	5
15	I consider cultural barriers when planning my communications.	1	2	3	4	5

The Source: Planning Your Message (Questions 1, 2, 11)

For questions in this category, fill in your scored answers in the table below, and then calculate your total.

	Score
Question 1	
Question 2	
Question 11	
Total	Out of 15

Before you start communicating, take a moment to figure out what you want to say, and why. Don't waste your time conveying information that isn't necessary - and don't waste the listener or reader's time either. Too often, people just keep talking or keep writing - because they think that by saying more, they'll surely cover all the points. Often, however, all they do is confuse the people they're talking to.

- Understand your objective. Why are you communicating?
- Understand your audience. With whom are you communicating? What do they need to know?
- Plan what you want to say, and how you'll send the message.
- Seek feedback on how well your message was received.

When you do this, you'll be able to craft a message that will be received positively by your audience.

Encoding: Creating a Clear, Well-Crafted Message

(Questions 1, 5, 8, 10, 15)

For questions in this category, fill in your scored answers in the table below, and then calculate your total.

	Score
Question 1	
Question 5	
Question 8	
Question 10	
Question 15	
Total	Out of 25

When you know what you want to say, decide exactly how you'll say it. You're responsible for sending a message that's clear and concise. To achieve this, you need to consider not only what you'll say, but also how you think the recipient will perceive it.

We often focus on the message that we want to send, and the way in which we'll send it. But if our message is delivered without considering the other person's perspective, it's likely that part of that message will be lost. To communicate more effectively:

- Understand what you truly need to say.
- Anticipate the other person's reaction to your message.
- Choose words and, if appropriate, use body language that helps the other person really hear what you're saying.

With written communication, make sure that what you write will be perceived the way you intend.

Words on a page generally have no emotion - they don't "smile" or "frown" at you while you're reading them (unless you're a very talented writer, of course!)

When writing, take time to do the following:

- Review your style.
- Avoid jargon or slang.
- Check your grammar and punctuation.
- Check also for tone, attitude, nuance, and other subtleties. If you think the message may be misunderstood, it probably will. Take the time to clarify it!
- Familiarize yourself with your company's writing policies.

Another important consideration is to use pictures, charts, and diagrams wherever possible. As the saying goes, "a picture speaks a thousand words." Our article on charts and graphs has some great tips that help you to use these to communicate clearly.

Also, whether you speak or write your message, consider the cultural context. If there's potential for miscommunication or misunderstanding due to cultural or language barriers, address these issues in advance. Consult with people who are familiar with these, and do your research so that you're aware of problems you may face.

Choosing the Right Channel (Questions 7, 11, 13)

For questions in this category, fill in your scored answers in the table below, and then calculate your total.

	Score
Question 7	
Question 11	
Question 13	
Total	Out of 15

Along with encoding the message, you need to choose the best communication channel to use to send it. You want to be efficient, and yet make the most of your communication opportunity.

Using email to send simple directions is practical. However, if you want to delegate a complex task, an email will probably just lead to more questions, so it may be best to arrange a time to speak in person. And if your communication has any negative emotional content, stay well away from email! Make sure that you communicate face to face or by phone, so that you can judge the impact of your words and adjust these appropriately.

When you determine the best way to send a message, consider the following:

- The sensitivity and emotional content of the subject.
- How easy it is to communicate detail.
- The receiver's preferences.
- Time constraints.
- The need to ask and answer questions.

Decoding: Receiving and Interpreting a Message (Questions 3, 6, 12, 14)

For questions in this category, fill in your scored answers in the table below, and then calculate your total.

	Score
Question 3	
Question 6	
Question 12	
Question 14	
Total	Out of 20

It can be easy to focus on speaking: we want to get our points out there, because we usually have lots to say. However, to be a great communicator, you also need to step back, let the other person talk, and just listen.

This doesn't mean that you should be passive. Listening is hard work, which is why effective listening is called active listening. To listen actively, give your undivided attention to the speaker:

- Look at the person.
- Pay attention to his or her body language.
- Avoid distractions.
- Nod and smile to acknowledge points.
- Occasionally think back about what the person has said.
- Allow the person to speak, without thinking about what you'll say next.
- Don't interrupt.

Empathic listening also helps you decode a message accurately. To understand a message fully, you have to understand the emotions and underlying feelings the speaker is expressing. This is where an understanding of body language can also be useful.

Feedback (Questions 3, 4, 9)

For questions in this category, fill in your scored answers in the table below, and then calculate your total.

	Score
Question 3	
Question 4	
Question 9	
Total	Out of 15

You need feedback, because without it, you can't be sure that people have understood your message. Sometimes feedback is verbal, and sometimes it's not. We've looked at the importance of asking questions and listening carefully. However, feedback through body language is perhaps the most important source of clues to the effectiveness of your communication. By watching the facial expressions, gestures, and posture of the person you're communicating with, you can spot:

- Confidence levels.

- Defensiveness.
- Agreement.
- Comprehension (or lack of understanding).
- Level of interest.
- Level of engagement with the message.
- Truthfulness (or lying/dishonesty).

As a speaker, understanding your listener's body language can give you an opportunity to adjust your message and make it more understandable, appealing, or interesting. As a listener, body language can show you more about what the other person is saying. You can then ask questions to ensure that you have, indeed, understood each other. In both situations, you can better avoid miscommunication if it happens.

Feedback can also be formal. If you're communicating something really important, it can often be worth asking questions of the person you're talking to to make sure that they've understood fully. And if you're receiving this sort of communication, repeat it in your own words to check your understanding.

6. Personal SWOT Analysis

Making the Most of Your Talents and Opportunities

KEY POINTS

SWOT Analysis is a useful technique that helps you identify your strengths and weaknesses, and analyze the opportunities and threats that flow from them

A SWOT matrix is a framework for analyzing your strengths and weaknesses as well as the opportunities and threats that you face. This helps you focus on your strengths, minimize your weaknesses, and take the greatest possible advantage of opportunities available to you.

You are most likely to succeed in life if you use your talents to their fullest extent. Similarly, you'll suffer fewer problems if you know what your weaknesses are, and if you manage these weaknesses so that they don't matter in the work you do.

HOW TO USE THE TOOL

To perform a personal SWOT analysis, write down answers to the questions in each area below.

Strengths

- What advantages do you have that others don't have (for example, skills, certifications, education, or connections)?
- What do you do better than anyone else?
- What personal resources can you access?
- What do other people (and your boss, in particular) see as your strengths?
- Which of your achievements are you most proud of?
- What values do you believe in that others fail to exhibit?
- Are you part of a network that no one else is involved in? If so, what connections do you have with influential people?

Consider this from your own perspective, and from the point of view of the people around you. And don't be modest—be as objective as you can.

And if you have any difficulty with this, write down a list of your personal characteristics. Some of these will hopefully be strengths!

Tip

Think about your strengths in relation to the people around you. For example, if you're a great mathematician and the people around you are also great at math, then this is not likely to be a strength in your current role – it may be a necessity.

Weaknesses

- What tasks do you usually avoid because you don't feel confident doing them?
- What will the people around you see as your weaknesses?
- Are you completely confident in your education and skills training? If not, where are you weakest?
- What are your negative work habits (for example, are you often late, are you disorganized, do you have a short temper, or are you poor at handling stress)?
- Do you have personality traits that hold you back in your field? For instance, if you have to conduct meetings on a regular basis, a fear of public speaking would be a major weakness.

Again, consider this from a personal/internal perspective and an external perspective. Do other people see weaknesses that you don't see? Do co-workers consistently outperform you in key areas? Be realistic – it's best to face any unpleasant truths as soon as possible.

Opportunities

- What new technology can help you? Or can you get help from others or from people via the Internet?
- Is your industry growing? If so, how can you take advantage of the current market?
- Do you have a network of strategic contacts to help you, or offer good advice?
- What trends (management or otherwise) do you see in your organization, and how can you take advantage of them?
- Are any of your competitors failing to do something important? If so, can you take advantage of their mistakes?
- Is there a need in your organization or industry that no one is filling?
- Do your customers complain about something in your company? If so, could you create an opportunity by offering a solution?

You might find useful opportunities in the following:

- Networking events, educational classes, or conferences.
- A colleague going on an extended leave. Could you take on some of this person's projects to gain experience?
- A new role or project that forces you to learn new skills, like public speaking or international relations.
- A company expansion or acquisition. Do you have specific skills (like a second language) that could help with the process?

Also, importantly, look at your strengths, and ask yourself whether these open up any opportunities – and look at your weaknesses, and ask yourself whether you could open up opportunities by eliminating those weaknesses.

Threats

- What obstacles do you currently face at work?

- Are any of your colleagues competing with you for projects or roles?
- Is your job (or the demand for the things you do) changing?
- Does changing technology threaten your position?
- Could any of your weaknesses lead to threats?

Performing this analysis will often provide key information – it can point out what needs to be done and put problems into perspective.

A PERSONAL SWOT EXAMPLE

What would a personal SWOT assessment look like? Review this SWOT analysis for Anju, a social media marketing manager

Strengths

- I'm very creative. I often impressing clients with a new perspective on their brands.
- I communicate well with my clients and team.
- I have the ability to ask key questions to find just the right marketing angle.
- I'm completely committed to the success of a client's brand.

Weaknesses

- I have a strong, compulsive need to do things quickly and remove them from my "to do" list, and sometimes the quality of my work suffers as a result.
- This same need to get things done also causes me stress when I have too many tasks.
- I get nervous when presenting ideas to clients, and this fear of public speaking often takes the passion out of my presentations.

Opportunities

- One of our major competitors has developed a reputation for treating their smaller clients poorly.
- I'm attending a major marketing conference next month. This will allow for strategic networking, and also offer some great training seminars.
- Our director will go on maternity leave soon. Covering her duties while she's away would be a great career development opportunity for me.

Threats

- Dinesh, one of my colleagues, is a much stronger speaker than I am, and he's competing with me for the director position.
- Due to recent staff shortages, I'm often overworked, and this negatively impacts my creativity.
- The current economic climate has resulted in slow growth for the social media marketing industry. Many firms have laid off hiring of social media experts due to expense involved.

As a result of performing this analysis, Anju takes the bold step of approaching her colleague Dinesh about the director's maternity leave. She proposes that both she and Dinesh cover the job's duties, working together and each using his or her strengths. To her surprise, he likes the idea. He knows he presents very well, but he admits that he's usually impressed by Anju's creative ideas, which he feels are far better than most of his.

By working as a team, they have a chance to make their smaller clients feel even better about the service they're getting. This takes advantage of their competitor's weakness in this area.

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Reinforcement Question Bank

REINFORCEMENT QUESTIONS

1. For whom is the TNA Course designed ?

- TNA Course is intended for institutional and departmental trainers. It is also suitable for experienced government officers and managers who are involved in helping organizations improve performance

2. What is the course style of TNA?

- TNA is not a '*taught*' course rather it is a series of practical learning activities – some simulated by the use of case studies and other actual field-based situations
- The course is intended to help participants develop consultancy skills, especially in respect to identifying training needs

3. In how many parts is the TNA Course divided?

- TNA is divided into three parts, namely,
 - ▶ FIRST - DISTANCE LEARNING
 - ▶ SECOND - TWO-WEEK WORKSHOP
 - ▶ THIRD - INDIVIDUAL TNA PROJECT BY PARTICIPANTS
(embedded within the Course)

4. How many Phases constitute the TNA Course?

- 5
 - ▶ PHASE-I - ENTRY & CONTRACTING
 - ▶ PHASE-II - DATA COLLECTION
 - ▶ PHASE-III - ANALYSIS & DIAGNOSIS
 - ▶ PHASE-IV - FEEDBACK
 - ▶ PHASE-V - WITHDRAWAL

PHASES

5. What is the purpose of Phase-I of TNA?

- To prepare both you and client organization for the consultancy
- To find out the organization and the business environment in which it operates

- Establish Terms of Reference
- Establish rapport with the Client and Stakeholders
- Explain the reasons for carrying out TNA

6. What is the purpose of Phase-II of TNA?

- The amount and quality of data about the organization and its activities will determine the effectiveness of the consultancy
- Strategy for collecting data – using a combination of interviews and observation
- Data should be relevant
- Failure to adopt a suitable strategy may result in collecting insufficient for inadequate data leading to a superficial or faulty identification of training needs

7. What is the purpose of Phase-III of TNA?

- Analysis should focus attention on performance related issues, either directly concerned with the training needs of employees or alternatively other issues indirectly influencing their performance
- The purpose of diagnosis will be to identify fundamental causes of performance problems and to associate them with realistic proposals for training and non-training activities

8. What is the purpose of Phase-IV of TNA?

- To present a draft report to the client outlining findings and recommendations
- Main feature – to highlight significant performance deficiencies, problems and opportunities for development – both for individual workers and for the organization as a whole
- It is also important to include non-training recommendations which have a direct influence on performance

9. What is the purpose of Phase-V of TNA?

- Closing down the consultancy
- Leaving the client, stakeholders and employees committed to implementing the agreed plan

TOOLS

10. What is the purpose of Terms of Reference?

- Associate with client, the organization and to the results expected from it
- Help your client to define why the consultancy is being done and the authority and support needed from all concerned

11. What is the purpose of Surveillance?

- If proper knowledge of client organization is not available, you risk agreeing to inappropriate ToR and dissatisfaction to all concerned
- When discussing TOR lack of knowledge about the organization is likely to undermine credibility
- Establishes a sound basis for starting consultancy

12. What is p e s t?

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political climate of the organization
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economic climate of the organization
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social climate of the organization
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technologies used by the organization

13. What is the purpose of SWOT Analysis?

- Provides an overall view of the organization, its business and the people being employed.
- Focus on different areas of the organization and should be done with the people concerned, especially the stakeholders.
- Enables to analyze a variety of issues concerned with performance and people and provides input to other tools

14. What is the purpose of SPIO?

- SPIO can be used with SWOT Analysis, or independently
- Provides further insight into performance, training and development.
- Provides general information that may need more detailed analysis.
- Specially useful to gain the views of management and supervisors.

15. Wat issues can TNA consultancy address?

- People issues
 - ▶ Appraisal
 - ▶ Disturbance handling
 - ▶ Performance
 - ▶ Staffing
 - ▶ Training and development
- Task issues
 - ▶ Change
 - ▶ Communication

- ▶ Job knowledge
- ▶ Planning
- ▶ Problem solving
- leadership issues
 - ▶ Delegation
 - ▶ Leadership
 - ▶ Meetings
 - ▶ Negotiation
 - ▶ Teamwork

16. What is the purpose of Environmental, Motivational or Behavioural factors?

- Complexity of some performance problems may hinder the identification of training needs
- Although training area is important yet it is vital to recognize that most performance problems require training and non-training interventions
- Assist to distinguish those performance factors directly linked to training needs and other non-training factors that also require attention

17. What is the purpose of Responsibility Mapping?

- Examine relationship between people within a working unit, or as members of a network.
- Build up a map of people involved – referred to as *'actors'*.
- The work they do is shown on the map as *'actions'*
- Map can be built up through discussion with the people concerned to show an objective analysis of the work they do and how they relate to each other
- Supplement to SWOT, SPIO and Cause and Effect Analysis

18. What is the purpose of Functional Analysis?

- Organizations provide a range of products and services for their customers and beneficiaries
- To achieve this, an organization has a *'key purpose'* focusing the attention of its management and employees on the products and services they provide or offer to customers
 - ▶ A small local hospital may focus on primary health care clinics, minor surgical operations, family planning, etc. Its key purpose is to provide local community with routine health services
 - ▶ On the other hand, the key purpose of a large general hospital would be to offer accident and emergency services, major surgical operations and a wide range of specialist consultancy services
- From the *'key purpose'* organizations develop *'functions'* or work areas, such as administration, manufacturing, marketing, sales, finance, customer services, research and development

- ***Functional analysis*** is the study of the activities or tasks people do in order for them to make an effective contribution to the achievement of the key purpose
- One result of functional analysis is the identification of ***competencies*** that people may need in order for them to do their job

19. What is the purpose of 'Cause and Effect Analysis'?

- Enables to analyse a particular performance problem in more detail
- Often, a problem is apparent through one, or perhaps several 'symptoms' that indicate faulty performance problem and its symptoms
- Especially useful to supplement the analysis done by means of other tools like Environmental, Motivational and Behavioural

20. What is the purpose of Versatility Chart?

- It enables to develop an overall analysis of the work being done by a working unit and their individual training and development needs

21. What is the purpose of job description?

- To provide a 'picture' of a job and the person doing it
- The clarity of the picture depends on the amount of detailed information included in the description which is determined by the effort the organization is willing to make in their preparation and use
- Help to establish what people are expected to do, their relationship with other employees and where they need training

22. What is the purpose of De-Bono?

- When analysing information we tend to consider it from our own perspective and may therefore limit the scope of the analysis
- There is a natural temptation to focus our attention on problems and situations with which we are familiar
- Edward de Bono in ***thinking skills*** introduced ***lateral thinking*** to encourage us to look at situations from different points of view
 - ▶ CAF - consider all factors
 - ▶ EAS - examine all sides
 - ▶ ADI - agreement, disagreement and irrelevance
 - ▶ OPV - other people's view
 - ▶ HV & LV - high values & low values

23. What is the purpose of Performance Report?

- To summarize findings

- To suggest recommendations which include priority for action both for training and non training needs
- Used to present these to client & stakeholders in order for them to discuss both findings and recommendations

24. What is the purpose of priority list?

- Can be used with Performance Report form to help client decide the importance attached to your recommendations
- The final decision on the priority for action is theirs', as they have the responsibility to utilize the available resources in the best interests of the organization
- Your own opinions about the relative importance of your recommendations, it would be unwise to attempt to impose them – especially where there are significant non-training implications
- Encourage client and stakeholders to complete the form themselves deciding priorities

25. What is the purpose of Target Setting?

- As we approach the withdrawal phase of consultancy and after you have completed the analysis of training needs, it will become important to associate your findings and agreed recommendations with specific action
- Provides a format for specifying action required, the person responsible and targets-agreed

26. What is the purpose of a Training Plan?

- Having worked through the consultancy process with client and stakeholders, it is important in the withdrawal phase to leave them with an agreed plan for action, with special reference to training and development
- Provides the means by which client can benefit from training
- The Training Plan is the product of consultancy activities and details activities agreed that will enable the organization to benefit from its investment in training

27. What is the purpose of a Design Brief?

- The Design Brief is the link between a client organization and design and development of training

28. What are the features of a Design Brief?

- Information about the client
- Context within which training is being designed
- Performance problem being addressed
- Details of identified training needs
- Information about complementary non-training initiatives
- Details of people to be trained
- Significant constraints

- Aim of the proposed training
- Specific outcomes to be achieved

29. What is the purpose of TNA Report?

- As part a consultant's Terms of Reference will be the requirement to submit a written Report to the client
- Reports are an important part of the decision-making process that will be carried out by the client, stakeholders and other experts
- Although findings can be outlined and recommendations during an oral presentation, it is usual and more effective to provide a written report for planning action to implement recommendations
- Not to be seen in isolation
- Intention is to recommend a variety of initiatives – both training and non-training
- The TNA Report may conclude consultancy assignment, it is a significant feature in a planned sequence of activities – now being focused on implementing recommendations

ACTIVITIES CARRIED OUT IN VARIOUS PHASES of TNA

30. What 'activities' are carried out in Phase-I?

- Initial Research
- Plan the first meeting
- Meet the client
- Explain purpose of TNA
- Identify stakeholders
- Identify constraints
- Agree Terms of Reference

31. What 'activities' are carried out in Phase-II?

- Understand the Organization
- Collect information
- Interview employees
- Establish performance standards
- Analyse performance issues

32. What 'activities' are carried out in Phase-III?

- Analyse hard data
- Analyse soft information

- Establish priorities
- Identify training needs
- Identify non-training implications

33. What ‘activities’ are carried out in Phase-IV?

- Prepare draft report
- Prepare presentation
- Present findings and recommendations
- Agree priorities

34. What ‘activities’ are carried out in Phase-V?

- Discuss Training Plan with client
- Prepare Design Briefs
- Brief stakeholders
- Clarify responsibilities
- Targets set
- Agree follow-up

DESCRIPTION OF TOOLS

35. Describe the tools of Phase-I?

- **TERMS OF REFERENCE**

This is an essential tool for most TNA consultancies as it defines the purpose and provides authority – both of which may be needed to carry out an effective consultancy.

- **SURVEILLANCE**

The use of this tool depends on your knowledge of the client organization, before discussing ToR with your client.

36. Describe the tools of Phase-II?

- **SWOT**

This tool is somewhat similar to Surveillance, except that it is likely to be more specific, and done with stakeholders. (SWOT ANALYSIS FORM)

- **SPIO**

Provides overall opinions about aspects of organizational performance – from key people, such as stakeholders and beneficiaries. (ACTION PLANNING SHEET)

- **ENVIRONMENTAL, MOTIVATIONAL & BEHAVIOURAL**

Your consultancy is primarily concerned with identifying training needs. This tool is useful in that it separates performance problems into training and non-training needs

- **RESPONSIBILITY MAPPING**

Use this tool to establish relationships between ‘actors’ and ‘actions’ to trace authority and responsibilities. (RESPONSIBILITY MAPPING CHART)

37. Describe the tools of Phase-III?

- **FUNCTIONAL ANALYSIS**

Defines the ‘key purpose’ within your client-organization and identifies supporting competences to achieve it. (FUNCTIONAL ANALYSIS MATRIX)

- **CAUSE AND EFFECT ANALYSIS**

Examines in detail a specific performance problem to establish causes and likely training

- **VERSATILITY CHART**

Provides an overview of a working group, in terms of the tasks being performed, competences and areas for training and development (VERSATILITY CHART)

- **JOB DESCRIPTION**

These may exist – or need revising or preparing – to describe what a jobholder is expected to do, and their relationship with other members of staff, customers and beneficiaries. (JOB DESCRIPTION)

- **DE BONO**

Helps to analyze situations/issues/information objectively from different perspectives. Invented by Edward de Bono.

38. Describe the tools of Phase-IV?

- **PERFORMANCE**

Summarizes TNA findings for discussion with your client and stakeholder. (Performance Report Form)

REPORT

- **PRIORITY**

Assists the client in deciding priorities and the relative importance of your recommendations (PRIORITY LIST FORMAT)

LIST

39. Describe the tools of Phase-V?

- **TARGET SETTING**

Facilitates implementation of recommendations by defining action required, related to a timescale (TNA TARGET SETTING FORM)

- **TRAINING PLAN**

Provides an overall view of the training and development needs of people connected to ToR. (TRAINING PLAN FORMAT)

- **DESIGN BRIEF**

AS the TNA consultant, you may be required to provide a specification or brief for training design.

- **TNA RPORT**

The culmination of a TNA consultancy is to submit a report of your findings and recommendations. This will be the basis for a variety of training, development and non-training initiatives. It also forms the main evidence for your consultancy certification (TNA REPORT FORMAT).

GENERAL

40. Define three conditions to ensure desired performance?

- Skills or Ability
- Environment or proper working conditions
- Motivation or the drive to perform

41. Why does a Performance Problems arise?

- Lack of or absence of any one of the three factors, namely, Environmental, Motivational or Behavioural will create a Performance Problem.

42. Illustrate 'Environment'?

- People often do not perform as desired because-
 - ▶ They don't have the tools to do so
 - ▶ The rules do not permit them to do so
 - ▶ The procedure prevents them from doing so
 - ▶ The resources are not available for doing so
 - ▶ They do not know what they are expected to do

43. Illustrate 'Motivation'?

- Often also, people do not perform as desired because-
 - ▶ They are punished if they perform (by additional work)
 - ▶ They do not get punished for not performing
 - ▶ They are rewarded for non-performance (by less work)
 - ▶ They find no reward for sincere performance
 - ▶ Performing may be risky
 - ▶ Not performing means no risks

44. What factors influence 'job-satisfaction'?

- The degree of control we have over the way we do our job
- The scope we have for pride in the work we do

- The amount of recognition we receive
- The environment we work in
- The person we work for; and
- Security, money and promotion prospects

45. Illustrate 'Behaviour'?

- The degree of control we have over the way we do our job
- The scope we have for pride in the work we do
- The amount of recognition we receive
- The environment we work in
- The person we work for; and
- Security, money and promotion prospects

46. What is 'Learning Need' and when does it arise?

- A *Learning Need* arises when an individual or a group is required:
 - ▶ To do things differently, or To do different things
- *Learning Needs* can arise from:
 - ▶ Performance Review
 - ▶ New Priorities
 - ▶ New Rules, etc.

47. How can 'Learning Needs' be met?

- Majority of learning needs are met informally (mentoring & counseling) as part of day-to-day job experience by the
 - ▶ Individual, or
 - ▶ Group involved, or
 - ▶ Informal help from colleagues, or
 - ▶ Managers

48. How do 'Training Needs' arise?

- A *Training Need* arises only when a *Learning Need* cannot be met within the normal day-to-day processes or when meeting learning need in this way will -
 - ▶ Take too long
 - ▶ Involve too high a risk/cost
 - ▶ Net result is required standard of performance

- ▶ When training is most cost-effective way of meeting the need
- ▶ New demands on existing roles
- ▶ Different standards of performance

49. How is organisational performance looked at?

- Profitability
- Return on invested capital
- Utilisation of assets
- Market share
- Comparison with competitors
- Comparison to standards
- Customer or beneficiary reactions

50. Differentiate between an 'effective' and 'ineffective' Consultant

Effective Consultant	Ineffective Consultant
<i>Listens</i> to understand	Appears superior in attitude
Accepts data without contradicting client	Decries what client says as unimportant
Initially non-judgmental	Criticizes or blames client
Concentrates on the assignment	Has many ' <i>irons in the fire</i> '
Takes time to assess problems	Shows impatience
Gets to know the problem or opportunity	Proposes instant pre-packed solutions
Summarizes accurately what clients say	Interested in own views, not client's
Gives confidence through gesture and behaviour	Lacking confidence
Fulfills promises	Fails to deliver
Adopts positive approach	Only points out what is wrong
Works to facilitate action	Works but no positive change emerges

51. Define Training Needs Analysis

- "An examination of an organization's present and expected operations and the workforce necessary to carry them out, in order to identify the numbers and categories of employee needing to be trained or re-trained. It may also refer to the training needs of individuals to enable them to reach the required standard of performance in their current or future jobs".

52. Define Development in the context of TNA

- The growth or realisation of a person's ability, through conscious or unconscious learning

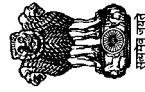
- Development includes planned study and work-related experiences, supported by counselling, coaching, advisory and assessment services.
- Gradual unfolding of personality

53. Define Training

- A planned process
 - ▶ to modify attitude, knowledge or skill
 - ▶ through learning experiences
 - ▶ to achieve effective performance
 - ▶ in an activity or range of activities...
 - ▶ to satisfy... needs of organisation' (*Glossary of Training Terms*)

54. What is difference between 'Analysis' and 'Assessment'?

- 'Analysis' is examination, whereas 'Assessment' is estimation.



Government of India
Training Division
Department of Personal and Training, New Delhi

CERTIFICATE

Name of the Institute/Academy

This is to certify that

has attended the Training Needs Analysis Consultants Skills Course

*held from _____ to _____
at*

Name of the Institute/Academy

*She/He has successfully completed the Six-Day Course
and certificated as TNA Consultant*

(Name)
Master Trainer/Recognized Trainer

(Name)
DG/Director of Institute/Academy

List of Abbreviation

1.	I	Introduction (List of Materials)
2	T	TNA Tools (List of Materials)
3.	C	TNA Checklists (List of Materials)
4.	R	Recommended Notes (List of Materials)
5.	E	Exercises (List of Materials)
6.	CS	Case Study (List of Materials)
7.	P	Project (List of Materials)
8.	PP	Performance Problem (List of Materials)
9.	TNA	Training Need Analysis
10.	TOR	Terms of reference
11.	TOC	Table of Content
12.	MOU	Memorandum of Understanding
13.	PEST	Political, Economic, Social and Technological
14.	SWOT	Strength Weakness Opportunities Threat
15.	SPIO	Specific Problems Issues & Opportunities
16.	CAF	Considering All Factors
17.	EAS	Examine All Sides
18.	ADI	Agreement, Disagreement & Irrelevance
19.	OPV	Other People's View
20.	HV & LV	High Values & Low Values
21.	PMs	Project Managers
22.	PMPS	Project management Program Software
23.	IT	Information Technology
24.	DOPT	Department of Personnel & Training
25.	PP	Performance Problem
26.	KSA	Knowledge Skills Attitude
27.	SAT	Systematic Approach to Training
28.	DLM	Distance Learning Material
29.	EMB	Environmental, Motivational & Behavioural
30.	HRM	Human Resource Management
31.	HRD	Human Resource Development

